



Concorde Investment Services, LLC  
**COMMISSION STATEMENT**  
**April 15, 2018**

04/17/2018  
Page No. 1

DELMAR (BO)-M143 MCKINNEY  
5 Red Bud Trail

BROKER #: M143  
BRANCH: EAGLE WEALTH MANAGEM

Round Rock, TX 78655-

| DATE   | CLIENT         | INVESTMENT                          | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|--|----------------|-------------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b><u>CLEARING TRANSACTIONS</u></b>                    |                |                                     |                      |                     |                    |                   |      |                      |
| <b><u>PRODUCT CATEGORY: MUTUAL FUNDS</u></b>           |                |                                     |                      |                     |                    |                   |      |                      |
| 04/05/2018   | ASPRA, TRISSA  | AM FUNDS AMCAP A                    | 75.00                | 3.19                | 12.00              | -8.81             | 90.0 | -7.93                |
| 04/05/2018   | ASPRA, TRISSA  | AM FUNDS GROWTH FUND OF AMERICA A   | 75.00                | 3.19                | 12.00              | -8.81             | 90.0 | -7.93                |
| 04/02/2018   | LAWHON, JACKIE | AM FUNDS WASHINGTON MUTUAL INVESTOR | -500.00              | 0.00                | 12.00              | -12.00            | 90.0 | -10.80               |
| * MUTUAL FUNDS SUBTOTAL *                              |                |                                     | \$-350.00            | \$6.38              | \$36.00            | \$-29.62          |      | \$-26.66             |
| <b><u>PRODUCT CATEGORY: UNIT INVESTMENT TRUSTS</u></b> |                |                                     |                      |                     |                    |                   |      |                      |
| 04/02/2018   | GUNTER, JOHN   | FT UNIT 6985 MLP CLOSED END PORTFOL | -8,005.28            | 0.00                | 44.00              | -44.00            | 90.0 | -39.60               |
| 04/02/2018   | GUNTER, JOHN   | FT UNIT 7038 GLOBAL EQUITY INCOME C | -8,008.85            | 0.00                | 44.00              | -44.00            | 90.0 | -39.60               |
| * UNIT INVESTMENT TRUSTS SUBTOTAL *                    |                |                                     | \$-16,014.13         | \$0.00              | \$88.00            | \$-88.00          |      | \$-79.20             |
| *** CLEARING TRANSACTIONS TOTAL ***                    |                |                                     | \$-16,364.13         | \$6.38              | \$124.00           | \$-117.62         |      | \$-105.86            |

|  |                     |                                   |            |          |        |          |      |          |
|--|---------------------|-----------------------------------|------------|----------|--------|----------|------|----------|
| <b><u>DIRECT TRANSACTIONS</u></b>                  |                     |                                   |            |          |        |          |      |          |
| <b><u>PRODUCT CATEGORY: MUTUAL FUNDS</u></b>       |                     |                                   |            |          |        |          |      |          |
| 03/29/2018   | BRUECKNER, KIMBERLY | AM FUNDS GROWTH FUND OF AMERICA A | 325.00     | 3.90     | 0.00   | 3.90     | 90.0 | 3.51     |
| * MUTUAL FUNDS SUBTOTAL *                          |                     |                                   | \$325.00   | \$3.90   | \$0.00 | \$3.90   |      | \$3.51   |
| <b><u>PRODUCT CATEGORY: VARIABLE ANNUITIES</u></b> |                     |                                   |            |          |        |          |      |          |
| 03/31/2018   | ESCHBERGER, AGNES   | AM GEN POLIRIS II FLEXIBLE        | 273,300.41 | 273.30   | 0.00   | 273.30   | 90.0 | 245.97   |
| 04/01/2018   | HERNANDEZ, JOHN     | ANCHOR ADVISOR 11 FLEX            | 51,312.27  | 128.28   | 0.00   | 128.28   | 90.0 | 115.45   |
| 03/29/2018   | LAWHON, JACKIE      | DIRECTOR ACCESS 416588614         | 4,843.51   | 12.11    | 0.00   | 12.11    | 90.0 | 10.90    |
| 03/29/2018   | CUMMINGS, ROBERT    | DIRECTOR ACCESS 416588614         | 606,469.93 | 1,516.17 | 0.00   | 1,516.17 | 90.0 | 1,364.55 |
| 03/29/2018   | STAGNER, JEAN       | DIRECTOR V 416594521              | 3,393.85   | 3.39     | 0.00   | 3.39     | 90.0 | 3.05     |
| 03/29/2018   | POTH, VIVIAN        | FED TRIPLE CROWN VA               | 6,080.10   | 6.08     | 0.00   | 6.08     | 90.0 | 5.47     |
| 03/29/2018   | LOGHRY, DORIS       | FED TRIPLE CROWN VA               | 22,247.83  | 22.25    | 0.00   | 22.25    | 90.0 | 20.03    |
| 03/29/2018   | NAIZER, JOHNNIE     | FED TRIPLE CROWN VA 34956F786     | 9,267.88   | 9.27     | 0.00   | 9.27     | 90.0 | 8.34     |
| 03/29/2018   | LUEDTKE, LOIS       | HARTFORD DIRECTOR VI (ILA)        | 422,258.02 | 422.26   | 0.00   | 422.26   | 90.0 | 380.03   |

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\*\* - Indicates adjustment is not included in Totals or Commissions  
^Date - Split Trade - full Investment Amount & Gross Commission displayed

| DATE   | CLIENT            | INVESTMENT                      | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|--|-------------------|---------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b><u>DIRECT TRANSACTIONS</u></b>                  |                   |                                 |                      |                     |                    |                   |      |                      |
| <b><u>PRODUCT CATEGORY: VARIABLE ANNUITIES</u></b> |                   |                                 |                      |                     |                    |                   |      |                      |
| 03/29/2018   | FUESSEL, NORMAN   | HARTFORD DIRECTOR VI (ILA)      | 211,265.25           | 211.27              | 0.00               | 211.27            | 90.0 | 190.14               |
| 03/29/2018   | WILSON, MARY      | HARTFORD DIRECTOR VI (ILA)      | 70,467.01            | 70.47               | 0.00               | 70.47             | 90.0 | 63.42                |
| 03/29/2018   | TAISLER, JESSE    | HARTFORD DIRECTOR VI (ILA)      | 6,718.41             | 6.72                | 0.00               | 6.72              | 90.0 | 6.05                 |
| 03/29/2018   | ROSIPAL, HERBERT  | HARTFORD DIRECTOR VI (ILA)      | 2,499.42             | 2.50                | 0.00               | 2.50              | 90.0 | 2.25                 |
| 03/29/2018   | MASON, JOHN       | HARTFORD DIRECTOR VI (ILA)      | 36,573.02            | 36.57               | 0.00               | 36.57             | 90.0 | 32.91                |
| 03/29/2018   | LUEDTKE, LOIS     | HARTFORD DIRECTOR VI (ILA)      | 210,699.19           | 210.70              | 0.00               | 210.70            | 90.0 | 189.63               |
| 03/29/2018   | BARTOSH, PATRICIA | HARTFORD DIRECTOR VI (ILA)      | 2,659.17             | 2.66                | 0.00               | 2.66              | 90.0 | 2.39                 |
| 03/29/2018   | ROSIPAL, ADELE    | HARTFORD DIRECTOR VI (ILA)      | 3,288.76             | 3.29                | 0.00               | 3.29              | 90.0 | 2.96                 |
| 03/29/2018   | CUMMINGS, ROBERT  | HARTFORD DIRECTOR VII (ILA)     | 4,169.38             | 2.61                | 0.00               | 2.61              | 90.0 | 2.35                 |
| 03/29/2018   | NAIZER, JOHNNIE   | HARTFORD DIRECTOR VII (ILA)     | 23,521.64            | 14.70               | 0.00               | 14.70             | 90.0 | 13.23                |
| 03/29/2018   | ESCHBERGER, AGNES | HARTFORD DIRECTOR VII (ILA)     | 121,801.81           | 76.13               | 0.00               | 76.13             | 90.0 | 68.52                |
| 03/29/2018   | ESCHBERGER, AGNES | HARTFORD DIRECTOR VII (ILA)     | 63,804.76            | 39.88               | 0.00               | 39.88             | 90.0 | 35.89                |
| 03/29/2018   | SIMCIK, CHESTER   | HARTFORD DIRECTOR VII (ILA)     | 99,618.90            | 62.26               | 0.00               | 62.26             | 90.0 | 56.03                |
| 03/29/2018   | LAWHON, STEVEN    | HARTFORD LEADERS                | 61,175.66            | 38.23               | 0.00               | 38.23             | 90.0 | 34.41                |
| 03/29/2018   | MARKERT, DOROTHY  | HARTFORD LEADERS                | 4,808.63             | 3.01                | 0.00               | 3.01              | 90.0 | 2.71                 |
| 03/29/2018   | PEKAR, DAVID      | HARTFORD LEADERS                | 70,238.05            | 43.90               | 0.00               | 43.90             | 90.0 | 39.51                |
| 03/29/2018   | STOLLE, KATHERINE | HARTFORD LEADERS                | 27,253.19            | 17.03               | 0.00               | 17.03             | 90.0 | 15.33                |
| 03/29/2018   | FERGUSON, LINDA   | HARTFORD LEADERS (ILA)          | 101,131.18           | 63.21               | 0.00               | 63.21             | 90.0 | 56.89                |
| 03/29/2018   | ESCHBERGER, AGNES | HARTFORD LEADERS (ILA)          | 284,462.80           | 177.79              | 0.00               | 177.79            | 90.0 | 160.01               |
| 03/29/2018   | SIMCIK, CHESTER   | HARTFORD LEADERS (ILA)          | 94,353.35            | 58.97               | 0.00               | 58.97             | 90.0 | 53.07                |
| 03/29/2018   | MORRIS, JANINE    | HARTFORD LEADERS 2              | 113,467.59           | 70.92               | 0.00               | 70.92             | 90.0 | 63.83                |
| 03/29/2018   | ROSIPAL, HERBERT  | HARTFORD LEADERS 2              | 3,188.37             | 1.99                | 0.00               | 1.99              | 90.0 | 1.79                 |
| 03/29/2018   | STAGNER, JEAN     | HARTFORD LEADERS 2              | 144,381.71           | 90.24               | 0.00               | 90.24             | 90.0 | 81.22                |
| 03/29/2018   | KLEMT, WILLIAM    | HARTFORD LEADERS 2              | 91,656.42            | 57.29               | 0.00               | 57.29             | 90.0 | 51.56                |
| 03/29/2018   | KELLEY, DOLORES   | HARTFORD LEADERS 2              | 3,687.08             | 2.30                | 0.00               | 2.30              | 90.0 | 2.07                 |
| 03/29/2018   | GORDON, HENRIETTA | HARTFORD LEADERS 2              | 180,702.86           | 112.94              | 0.00               | 112.94            | 90.0 | 101.65               |
| 03/29/2018   | KORNEGAY, ALISA   | HARTFORD LEADERS EDGE 41659Q324 | 404,866.50           | 253.04              | 0.00               | 253.04            | 90.0 | 227.74               |
| 03/29/2018   | KORNEGAY, ALISA   | HARTFORD LEADERS EDGE 41659Q324 | 78,621.54            | 49.14               | 0.00               | 49.14             | 90.0 | 44.23                |
| 03/29/2018   | WILSON, MARY      | HARTFORD LEADERS EDGE 41659Q324 | 238,700.08           | 149.19              | 0.00               | 149.19            | 90.0 | 134.27               |
| 03/29/2018   | BARTOSH, PATRICIA | HARTFORD LEADERS EDGE 41659Q324 | 60,866.28            | 38.04               | 0.00               | 38.04             | 90.0 | 34.24                |
| 03/29/2018   | DROMGOOLE, NONA   | HARTFORD LEADERS OUTLOOK 2      | 451,240.37           | 1,128.10            | 0.00               | 1,128.10          | 90.0 | 1,015.29             |
| 03/29/2018   | KLEMT, RUTH       | HARTFORD LIFE DIRECTOR 8        | 158,347.44           | 98.97               | 0.00               | 98.97             | 90.0 | 89.07                |
| 03/31/2018   | MASON, JOHN       | JNL PERSPECTIVE ADV II 5/05     | 446,793.01           | 372.33              | 0.00               | 372.33            | 90.0 | 335.10               |

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\*\* - Indicates adjustment is not included in Totals or Commissions

^Date - Split Trade - full Investment Amount &amp; Gross Commission displayed

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|---|----------------------------|-------------------------------------|-----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b><u>DIRECT TRANSACTIONS</u></b>                       |                            |                                     |                       |                     |                    |                   |      |                      |
| <b><u>PRODUCT CATEGORY: VARIABLE ANNUITIES</u></b>      |                            |                                     |                       |                     |                    |                   |      |                      |
| 03/31/2018  | MASON, JOHN                | JNL PERSPECTIVE L                   | 444,494.29            | 370.41              | 0.00               | 370.41            | 90.0 | 333.37               |
| 03/31/2018  | PEMBERTON, PATRICIA        | JOHN HANCOCK VENTURE                | 19,745.53             | 4.11                | 0.00               | 4.11              | 90.0 | 3.70                 |
| 03/29/2018  | NAIZER, JOHNNIE            | PHCM VI 416588408                   | 2,093.51              | 1.31                | 0.00               | 1.31              | 90.0 | 1.18                 |
| 03/31/2018  | PRAESEL, ARTHUR            | PRU AS APEX II                      | 282,298.40            | 176.44              | 0.00               | 176.44            | 90.0 | 158.80               |
| 03/31/2018  | PRAESEL, ARTHUR            | PRU AS APEX II                      | 282,298.40            | 705.75              | 0.00               | 705.75            | 90.0 | 635.18               |
| 03/31/2018  | MCRIGHT, WILLIAM           | PRU AS XTRA CREDIT                  | 3,205.31              | 2.00                | 0.00               | 2.00              | 90.0 | 1.80                 |
| 03/31/2018  | MCELROY, BENNETT           | PRU PREMIER RETIREMENT L            | 78,711.60             | 196.78              | 0.00               | 196.78            | 90.0 | 177.10               |
| 03/31/2018  | MCCALL, DONNA              | PRU XTRA CREDIT EIGHT               | 654,507.23            | 409.07              | 0.00               | 409.07            | 90.0 | 368.16               |
| 03/29/2018  | ESCHBERGER, AGNES          | THE DIRECTOR M EDGE                 | 274,444.78            | 171.53              | 0.00               | 171.53            | 90.0 | 154.38               |
| 03/29/2018  | ESCHBERGER, AGNES          | THE DIRECTOR M EDGE                 | 247,722.16            | 154.83              | 0.00               | 154.83            | 90.0 | 139.35               |
| * VARIABLE ANNUITIES SUBTOTAL *                         |                            |                                     | <b>\$7,565,723.84</b> | <b>\$8,151.73</b>   | <b>\$0.00</b>      | <b>\$8,151.73</b> |      | <b>\$7,336.57</b>    |
| <b><u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u></b> |                            |                                     |                       |                     |                    |                   |      |                      |
| 03/14/2018  | BUROW, PAUL                | ALLIANCEBERNSTEIN INTL VALUE A      | 0.00                  | 0.90                | 0.00               | 0.90              | 90.0 | 0.81                 |
| 03/16/2018  | WIESNER, BETTY             | AM CENT EQUITY INCOME               | 0.00                  | 2.87                | 0.00               | 2.87              | 90.0 | 2.58                 |
| 03/15/2018  | ROSENTHAL, LUCILLE         | AM FUNDS AMCAP A                    | 0.00                  | 12.41               | 0.00               | 12.41             | 90.0 | 11.17                |
| 03/15/2018  | LUEDTKE, LOIS              | AM FUNDS AMCAP A                    | 0.00                  | 12.50               | 0.00               | 12.50             | 90.0 | 11.25                |
| 03/15/2018  | ASPRA, TRISSA              | AM FUNDS AMCAP A                    | 0.00                  | 2.79                | 0.00               | 2.79              | 90.0 | 2.51                 |
| 03/15/2018  | NMN & NJN MGMT TRUST       | AM FUNDS AMCAP A                    | 0.00                  | 1.64                | 0.00               | 1.64              | 90.0 | 1.48                 |
| 03/15/2018  | MICHNA, RHYS               | AM FUNDS AMCAP A                    | 0.00                  | 1.37                | 0.00               | 1.37              | 90.0 | 1.23                 |
| 03/15/2018  | SCOTT, MONYAN              | AM FUNDS AMCAP A                    | 0.00                  | 28.33               | 0.00               | 28.33             | 90.0 | 25.50                |
| 03/15/2018  | GREER, GREGORY             | AM FUNDS AMCAP A                    | 0.00                  | 5.89                | 0.00               | 5.89              | 90.0 | 5.30                 |
| 03/15/2018  | GREER, GREGORY             | AM FUNDS AMCAP A                    | 0.00                  | 5.88                | 0.00               | 5.88              | 90.0 | 5.29                 |
| 03/15/2018  | SPECKELS, MELBA            | AM FUNDS AMERICAN BALANCED A        | 0.00                  | 1.21                | 0.00               | 1.21              | 90.0 | 1.09                 |
| 03/15/2018  | GREER, GREGORY             | AM FUNDS AMERICAN BALANCED A        | 0.00                  | 1.64                | 0.00               | 1.64              | 90.0 | 1.48                 |
| 03/15/2018  | GREER, GREGORY             | AM FUNDS AMERICAN BALANCED A        | 0.00                  | 1.91                | 0.00               | 1.91              | 90.0 | 1.72                 |
| 03/15/2018  | FUESSEL NE & NA TR, NORMAN | AM FUNDS AMERICAN HIGH-INCOME TRUST | 0.00                  | 32.14               | 0.00               | 32.14             | 90.0 | 28.93                |
| 03/15/2018  | SPECKELS, MELBA            | AM FUNDS AMERICAN HIGH-INCOME TRUST | 0.00                  | 1.50                | 0.00               | 1.50              | 90.0 | 1.35                 |
| 03/15/2018  | ROSENTHAL, LUCILLE         | AM FUNDS AMERICAN MUTUAL A          | 0.00                  | 18.14               | 0.00               | 18.14             | 90.0 | 16.33                |
| 03/15/2018  | FUESSEL IRREV TR, NORMAN   | AM FUNDS AMERICAN MUTUAL A          | 0.00                  | 8.30                | 0.00               | 8.30              | 90.0 | 7.47                 |
| 03/15/2018  | NMN & NJN MGMT TRUST       | AM FUNDS AMERICAN MUTUAL A          | 0.00                  | 0.96                | 0.00               | 0.96              | 90.0 | 0.86                 |
| 03/15/2018  | SCOTT, MONYAN              | AM FUNDS AMERICAN MUTUAL A          | 0.00                  | 23.29               | 0.00               | 23.29             | 90.0 | 20.96                |
| 03/15/2018  | IVICIC, MARY               | AM FUNDS AMERICAN MUTUAL A          | 0.00                  | 2.77                | 0.00               | 2.77              | 90.0 | 2.49                 |
| 03/15/2018  | CHEATHAM, JIMMY            | AM FUNDS CAPITAL INCOME BUILDER A   | 0.00                  | 10.55               | 0.00               | 10.55             | 90.0 | 9.50                 |

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|---|----------------------------|-------------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b><u>DIRECT TRANSACTIONS</u></b>                       |                            |                                     |                      |                     |                    |                   |      |                      |
| <b><u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u></b> |                            |                                     |                      |                     |                    |                   |      |                      |
| 03/15/2018  | PRAESEL, ARTHUR            | AM FUNDS CAPITAL INCOME BUILDER A   | 0.00                 | 19.89               | 0.00               | 19.89             | 90.0 | 17.90                |
| 03/15/2018  | ROSENTHAL, LUCILLE         | AM FUNDS CAPITAL INCOME BUILDER A   | 0.00                 | 31.47               | 0.00               | 31.47             | 90.0 | 28.32                |
| 03/15/2018  | FUESSEL, NORMAN            | AM FUNDS CAPITAL INCOME BUILDER A   | 0.00                 | 19.39               | 0.00               | 19.39             | 90.0 | 17.45                |
| 03/15/2018  | FUESSEL NE & NA TR, NORMAN | AM FUNDS CAPITAL INCOME BUILDER A   | 0.00                 | 17.72               | 0.00               | 17.72             | 90.0 | 15.95                |
| 03/15/2018  | BRUECKNER, KIMBERLY        | AM FUNDS CAPITAL INCOME BUILDER A   | 0.00                 | 5.07                | 0.00               | 5.07              | 90.0 | 4.56                 |
| 03/15/2018  | KELLEY, DOLORES            | AM FUNDS CAPITAL INCOME BUILDER A   | 0.00                 | 5.88                | 0.00               | 5.88              | 90.0 | 5.29                 |
| 03/15/2018  | LOGHRY, DORIS              | AM FUNDS CAPITAL INCOME BUILDER A   | 0.00                 | 0.06                | 0.00               | 0.06              | 90.0 | 0.05                 |
| 03/15/2018  | PEKAR, DAVID               | AM FUNDS CAPITAL INCOME BUILDER A   | 0.00                 | 7.27                | 0.00               | 7.27              | 90.0 | 6.54                 |
| 03/15/2018  | SPECKELS, WARREN           | AM FUNDS CAPITAL INCOME BUILDER A   | 0.00                 | 1.30                | 0.00               | 1.30              | 90.0 | 1.17                 |
| 03/15/2018  | SPECKELS, MELBA            | AM FUNDS CAPITAL INCOME BUILDER A   | 0.00                 | 1.93                | 0.00               | 1.93              | 90.0 | 1.74                 |
| 03/15/2018  | BRANSON, BARBARA           | AM FUNDS CAPITAL INCOME BUILDER A   | 0.00                 | 3.06                | 0.00               | 3.06              | 90.0 | 2.75                 |
| 03/15/2018  | MORRIS, JANINE             | AM FUNDS CAPITAL INCOME BUILDER A   | 0.00                 | 8.64                | 0.00               | 8.64              | 90.0 | 7.78                 |
| 03/15/2018  | SCOTT, MONYAN              | AM FUNDS CAPITAL INCOME BUILDER A   | 0.00                 | 19.91               | 0.00               | 19.91             | 90.0 | 17.92                |
| 03/15/2018  | GREER, GREGORY             | AM FUNDS CAPITAL INCOME BUILDER A   | 0.00                 | 1.32                | 0.00               | 1.32              | 90.0 | 1.19                 |
| 03/15/2018  | GREER, GREGORY             | AM FUNDS CAPITAL INCOME BUILDER A   | 0.00                 | 1.53                | 0.00               | 1.53              | 90.0 | 1.38                 |
| 03/15/2018  | URBAN, LONNIE              | AM FUNDS CAPITAL INCOME BUILDER A   | 0.00                 | 1.43                | 0.00               | 1.43              | 90.0 | 1.29                 |
| 03/15/2018  | MOORE, TERRY               | AM FUNDS CAPITAL INCOME BUILDER C   | 0.00                 | 31.13               | 0.00               | 31.13             | 90.0 | 28.02                |
| 03/15/2018  | ROSENTHAL, LUCILLE         | AM FUNDS CAPITAL WORLD GRTH & INC A | 0.00                 | 31.12               | 0.00               | 31.12             | 90.0 | 28.01                |
| 03/15/2018  | FUESSEL IRREV TR, NORMAN   | AM FUNDS CAPITAL WORLD GRTH & INC A | 0.00                 | 8.62                | 0.00               | 8.62              | 90.0 | 7.76                 |
| 03/15/2018  | BRUECKNER, KIMBERLY        | AM FUNDS CAPITAL WORLD GRTH & INC A | 0.00                 | 15.21               | 0.00               | 15.21             | 90.0 | 13.69                |
| 03/15/2018  | KELLEY, DOLORES            | AM FUNDS CAPITAL WORLD GRTH & INC A | 0.00                 | 5.09                | 0.00               | 5.09              | 90.0 | 4.58                 |
| 03/15/2018  | NMN & NJN MGMT TRUST       | AM FUNDS CAPITAL WORLD GRTH & INC A | 0.00                 | 1.15                | 0.00               | 1.15              | 90.0 | 1.04                 |
| 03/15/2018  | SCOTT, MONYAN              | AM FUNDS CAPITAL WORLD GRTH & INC A | 0.00                 | 31.03               | 0.00               | 31.03             | 90.0 | 27.93                |
| 03/15/2018  | HOHMAN, JEROME             | AM FUNDS CAPITAL WORLD GRTH & INC A | 0.00                 | 9.07                | 0.00               | 9.07              | 90.0 | 8.16                 |
| 03/15/2018  | DROMGOOLE, NONA            | AM FUNDS CAPITAL WORLD GRTH & INC A | 0.00                 | 6.24                | 0.00               | 6.24              | 90.0 | 5.62                 |
| 03/15/2018  | GREER, GREGORY             | AM FUNDS CAPITAL WORLD GRTH & INC A | 0.00                 | 4.45                | 0.00               | 4.45              | 90.0 | 4.01                 |
| 03/15/2018  | GREER, GREGORY             | AM FUNDS CAPITAL WORLD GRTH & INC A | 0.00                 | 4.46                | 0.00               | 4.46              | 90.0 | 4.01                 |
| 03/15/2018  | URBAN, LONNIE              | AM FUNDS CAPITAL WORLD GRTH & INC A | 0.00                 | 1.69                | 0.00               | 1.69              | 90.0 | 1.52                 |
| 03/15/2018  | IVICIC, MARY               | AM FUNDS CAPITAL WORLD GRTH & INC A | 0.00                 | 1.30                | 0.00               | 1.30              | 90.0 | 1.17                 |
| 03/15/2018  | FUESSEL NE & NA TR, NORMAN | AM FUNDS EUROPACIFIC GROWTH FUND A  | 0.00                 | 18.37               | 0.00               | 18.37             | 90.0 | 16.53                |
| 03/15/2018  | LUEDTKE, LOIS              | AM FUNDS EUROPACIFIC GROWTH FUND A  | 0.00                 | 17.31               | 0.00               | 17.31             | 90.0 | 15.58                |
| 03/15/2018  | KELLEY, DOLORES            | AM FUNDS EUROPACIFIC GROWTH FUND A  | 0.00                 | 4.45                | 0.00               | 4.45              | 90.0 | 4.01                 |
| 03/15/2018  | GREER, GREGORY             | AM FUNDS EUROPACIFIC GROWTH FUND A  | 0.00                 | 1.27                | 0.00               | 1.27              | 90.0 | 1.14                 |

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^Date - Split Trade - full Investment Amount &amp; Gross Commission displayed

| DATE  | CLIENT                     | INVESTMENT                         | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|---|----------------------------|------------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b><u>DIRECT TRANSACTIONS</u></b>                       |                            |                                    |                      |                     |                    |                   |      |                      |
| <b><u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u></b> |                            |                                    |                      |                     |                    |                   |      |                      |
| 03/15/2018  | GREER, GREGORY             | AM FUNDS EUROPACIFIC GROWTH FUND A | 0.00                 | 1.50                | 0.00               | 1.50              | 90.0 | 1.35                 |
| 03/15/2018  | ROSENTHAL, LUCILLE         | AM FUNDS FUNDAMENTAL INVESTORS A   | 0.00                 | 39.16               | 0.00               | 39.16             | 90.0 | 35.24                |
| 03/15/2018  | BRUECKNER, KIMBERLY        | AM FUNDS FUNDAMENTAL INVESTORS A   | 0.00                 | 19.56               | 0.00               | 19.56             | 90.0 | 17.60                |
| 03/15/2018  | NMN & NJN MGMT TRUST       | AM FUNDS FUNDAMENTAL INVESTORS A   | 0.00                 | 1.58                | 0.00               | 1.58              | 90.0 | 1.42                 |
| 03/15/2018  | SCOTT, MONYAN              | AM FUNDS FUNDAMENTAL INVESTORS A   | 0.00                 | 39.38               | 0.00               | 39.38             | 90.0 | 35.44                |
| 03/15/2018  | DROMGOOLE, NONA            | AM FUNDS FUNDAMENTAL INVESTORS A   | 0.00                 | 7.45                | 0.00               | 7.45              | 90.0 | 6.71                 |
| 03/15/2018  | GREER, GREGORY             | AM FUNDS FUNDAMENTAL INVESTORS A   | 0.00                 | 3.70                | 0.00               | 3.70              | 90.0 | 3.33                 |
| 03/15/2018  | GREER, GREGORY             | AM FUNDS FUNDAMENTAL INVESTORS A   | 0.00                 | 3.87                | 0.00               | 3.87              | 90.0 | 3.48                 |
| 03/15/2018  | EWING LIVING TRUST, JACK & | AM FUNDS FUNDAMENTAL INVESTORS A   | 0.00                 | 7.10                | 0.00               | 7.10              | 90.0 | 6.39                 |
| 03/15/2018  | IVICIC, MARY               | AM FUNDS FUNDAMENTAL INVESTORS A   | 0.00                 | 3.56                | 0.00               | 3.56              | 90.0 | 3.20                 |
| 03/15/2018  | ROSENTHAL, LUCILLE         | AM FUNDS GROWTH FUND OF AMERICA A  | 0.00                 | 13.34               | 0.00               | 13.34             | 90.0 | 12.01                |
| 03/15/2018  | FUESSEL IRREV TR, NORMAN   | AM FUNDS GROWTH FUND OF AMERICA A  | 0.00                 | 53.00               | 0.00               | 53.00             | 90.0 | 47.70                |
| 03/15/2018  | LUEDTKE, LOIS              | AM FUNDS GROWTH FUND OF AMERICA A  | 0.00                 | 39.08               | 0.00               | 39.08             | 90.0 | 35.17                |
| 03/15/2018  | ASPRA, TRISSA              | AM FUNDS GROWTH FUND OF AMERICA A  | 0.00                 | 3.04                | 0.00               | 3.04              | 90.0 | 2.74                 |
| 03/15/2018  | BRUECKNER, KIMBERLY        | AM FUNDS GROWTH FUND OF AMERICA A  | 0.00                 | 20.42               | 0.00               | 20.42             | 90.0 | 18.38                |
| 03/15/2018  | ROSIPAL, HERBERT           | AM FUNDS GROWTH FUND OF AMERICA A  | 0.00                 | 0.13                | 0.00               | 0.13              | 90.0 | 0.12                 |
| 03/15/2018  | KELLEY, DOLORES            | AM FUNDS GROWTH FUND OF AMERICA A  | 0.00                 | 6.01                | 0.00               | 6.01              | 90.0 | 5.41                 |
| 03/15/2018  | LAWHON, JACKIE             | AM FUNDS GROWTH FUND OF AMERICA A  | 0.00                 | 0.40                | 0.00               | 0.40              | 90.0 | 0.36                 |
| 03/15/2018  | NMN & NJN MGMT TRUST       | AM FUNDS GROWTH FUND OF AMERICA A  | 0.00                 | 1.63                | 0.00               | 1.63              | 90.0 | 1.47                 |
| 03/15/2018  | BORGNE JR, ROBERT          | AM FUNDS GROWTH FUND OF AMERICA A  | 0.00                 | 6.99                | 0.00               | 6.99              | 90.0 | 6.29                 |
| 03/15/2018  | LAWHON, STEVEN             | AM FUNDS GROWTH FUND OF AMERICA A  | 0.00                 | 7.09                | 0.00               | 7.09              | 90.0 | 6.38                 |
| 03/15/2018  | SPECKELS, WARREN           | AM FUNDS GROWTH FUND OF AMERICA A  | 0.00                 | 2.14                | 0.00               | 2.14              | 90.0 | 1.93                 |
| 03/15/2018  | MICHNA, RHYS               | AM FUNDS GROWTH FUND OF AMERICA A  | 0.00                 | 1.36                | 0.00               | 1.36              | 90.0 | 1.22                 |
| 03/15/2018  | MORRIS, JANINE             | AM FUNDS GROWTH FUND OF AMERICA A  | 0.00                 | 19.47               | 0.00               | 19.47             | 90.0 | 17.52                |
| 03/15/2018  | SCOTT, MONYAN              | AM FUNDS GROWTH FUND OF AMERICA A  | 0.00                 | 41.63               | 0.00               | 41.63             | 90.0 | 37.47                |
| 03/15/2018  | LAWHON, BRAEDEN            | AM FUNDS GROWTH FUND OF AMERICA A  | 0.00                 | 0.89                | 0.00               | 0.89              | 90.0 | 0.80                 |
| 03/15/2018  | DROMGOOLE, NONA            | AM FUNDS GROWTH FUND OF AMERICA A  | 0.00                 | 7.82                | 0.00               | 7.82              | 90.0 | 7.04                 |
| 03/15/2018  | GREER, GREGORY             | AM FUNDS GROWTH FUND OF AMERICA A  | 0.00                 | 7.52                | 0.00               | 7.52              | 90.0 | 6.77                 |
| 03/15/2018  | GREER, GREGORY             | AM FUNDS GROWTH FUND OF AMERICA A  | 0.00                 | 7.36                | 0.00               | 7.36              | 90.0 | 6.62                 |
| 03/15/2018  | MOORE, TERRY               | AM FUNDS GROWTH FUND OF AMERICA A  | 0.00                 | 2.34                | 0.00               | 2.34              | 90.0 | 2.11                 |
| 03/15/2018  | OHE, DRAKE                 | AM FUNDS GROWTH FUND OF AMERICA A  | 0.00                 | 1.25                | 0.00               | 1.25              | 90.0 | 1.13                 |
| 03/15/2018  | OHE, EUGENIA               | AM FUNDS GROWTH FUND OF AMERICA A  | 0.00                 | 0.83                | 0.00               | 0.83              | 90.0 | 0.75                 |
| 03/15/2018  | URBAN, LONNIE              | AM FUNDS GROWTH FUND OF AMERICA A  | 0.00                 | 2.21                | 0.00               | 2.21              | 90.0 | 1.99                 |

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|---|----------------------------|-----------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b><u>DIRECT TRANSACTIONS</u></b>                       |                            |                                   |                      |                     |                    |                   |      |                      |
| <b><u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u></b> |                            |                                   |                      |                     |                    |                   |      |                      |
| 03/15/2018  | LAWHON, MAISEN             | AM FUNDS GROWTH FUND OF AMERICA A | 0.00                 | 0.61                | 0.00               | 0.61              | 90.0 | 0.55                 |
| 03/15/2018  | IVICIC, MARY               | AM FUNDS GROWTH FUND OF AMERICA A | 0.00                 | 3.28                | 0.00               | 3.28              | 90.0 | 2.95                 |
| 03/15/2018  | DROMGOOLE, NONA            | AM FUNDS ICA A                    | 0.00                 | 6.18                | 0.00               | 6.18              | 90.0 | 5.56                 |
| 03/15/2018  | EWING JR, JACK             | AM FUNDS ICA A                    | 0.00                 | 8.97                | 0.00               | 8.97              | 90.0 | 8.07                 |
| 03/15/2018  | CHEATHAM, JIMMY            | AM FUNDS INCOME FUND OF AMERICA A | 0.00                 | 10.33               | 0.00               | 10.33             | 90.0 | 9.30                 |
| 03/15/2018  | PRAESEL, ARTHUR            | AM FUNDS INCOME FUND OF AMERICA A | 0.00                 | 24.18               | 0.00               | 24.18             | 90.0 | 21.76                |
| 03/15/2018  | ROSENTHAL, LUCILLE         | AM FUNDS INCOME FUND OF AMERICA A | 0.00                 | 37.24               | 0.00               | 37.24             | 90.0 | 33.52                |
| 03/15/2018  | FUESSEL, NORMAN            | AM FUNDS INCOME FUND OF AMERICA A | 0.00                 | 17.42               | 0.00               | 17.42             | 90.0 | 15.68                |
| 03/15/2018  | FUESSEL NE & NA TR, NORMAN | AM FUNDS INCOME FUND OF AMERICA A | 0.00                 | 16.90               | 0.00               | 16.90             | 90.0 | 15.21                |
| 03/15/2018  | BRUECKNER, KIMBERLY        | AM FUNDS INCOME FUND OF AMERICA A | 0.00                 | 10.03               | 0.00               | 10.03             | 90.0 | 9.03                 |
| 03/15/2018  | KELLEY, DOLORES            | AM FUNDS INCOME FUND OF AMERICA A | 0.00                 | 4.80                | 0.00               | 4.80              | 90.0 | 4.32                 |
| 03/15/2018  | SPECKELS, MELBA            | AM FUNDS INCOME FUND OF AMERICA A | 0.00                 | 1.91                | 0.00               | 1.91              | 90.0 | 1.72                 |
| 03/15/2018  | FISCHER, HAROLD            | AM FUNDS INCOME FUND OF AMERICA A | 0.00                 | 1.53                | 0.00               | 1.53              | 90.0 | 1.38                 |
| 03/15/2018  | HAMITER, DONNIE            | AM FUNDS INCOME FUND OF AMERICA A | 0.00                 | 7.99                | 0.00               | 7.99              | 90.0 | 7.19                 |
| 03/15/2018  | MORRIS, JANINE             | AM FUNDS INCOME FUND OF AMERICA A | 0.00                 | 13.03               | 0.00               | 13.03             | 90.0 | 11.73                |
| 03/15/2018  | SCOTT, MONYAN              | AM FUNDS INCOME FUND OF AMERICA A | 0.00                 | 26.77               | 0.00               | 26.77             | 90.0 | 24.09                |
| 03/15/2018  | KLEMT, RUTH                | AM FUNDS INCOME FUND OF AMERICA A | 0.00                 | 1.73                | 0.00               | 1.73              | 90.0 | 1.56                 |
| 03/15/2018  | WILSON, MARY               | AM FUNDS INCOME FUND OF AMERICA A | 0.00                 | 4.80                | 0.00               | 4.80              | 90.0 | 4.32                 |
| 03/15/2018  | GREER, GREGORY             | AM FUNDS INCOME FUND OF AMERICA A | 0.00                 | 1.50                | 0.00               | 1.50              | 90.0 | 1.35                 |
| 03/15/2018  | GREER, GREGORY             | AM FUNDS INCOME FUND OF AMERICA A | 0.00                 | 1.74                | 0.00               | 1.74              | 90.0 | 1.57                 |
| 03/15/2018  | EWING LIVING TRUST, JACK & | AM FUNDS INCOME FUND OF AMERICA A | 0.00                 | 15.58               | 0.00               | 15.58             | 90.0 | 14.02                |
| 03/15/2018  | NMN & NJN MGMT TRUST       | AM FUNDS INTL GROWTH AND INCOME A | 0.00                 | 0.62                | 0.00               | 0.62              | 90.0 | 0.56                 |
| 03/15/2018  | DROMGOOLE, NONA            | AM FUNDS INTL GROWTH AND INCOME A | 0.00                 | 4.78                | 0.00               | 4.78              | 90.0 | 4.30                 |
| 03/15/2018  | BRUECKNER, KIMBERLY        | AM FUNDS NEW ECONOMY A            | 0.00                 | 14.85               | 0.00               | 14.85             | 90.0 | 13.37                |
| 03/15/2018  | WILSON, MARY               | AM FUNDS NEW ECONOMY A            | 0.00                 | 12.22               | 0.00               | 12.22             | 90.0 | 11.00                |
| 03/15/2018  | BRUECKNER, KIMBERLY        | AM FUNDS NEW PERSPECTIVE A        | 0.00                 | 12.20               | 0.00               | 12.20             | 90.0 | 10.98                |
| 03/15/2018  | MORRIS, JANINE             | AM FUNDS NEW PERSPECTIVE A        | 0.00                 | 20.67               | 0.00               | 20.67             | 90.0 | 18.60                |
| 03/15/2018  | SCOTT, MONYAN              | AM FUNDS NEW PERSPECTIVE A        | 0.00                 | 36.61               | 0.00               | 36.61             | 90.0 | 32.95                |
| 03/15/2018  | NMN & NJN MGMT TRUST       | AM FUNDS NEW WORLD A              | 0.00                 | 0.32                | 0.00               | 0.32              | 90.0 | 0.29                 |
| 03/15/2018  | DROMGOOLE, NONA            | AM FUNDS NEW WORLD A              | 0.00                 | 4.72                | 0.00               | 4.72              | 90.0 | 4.25                 |
| 03/15/2018  | BRUECKNER, KIMBERLY        | AM FUNDS SMALLCAP WORLD A         | 0.00                 | 10.71               | 0.00               | 10.71             | 90.0 | 9.64                 |
| 03/15/2018  | NMN & NJN MGMT TRUST       | AM FUNDS SMALLCAP WORLD A         | 0.00                 | 1.38                | 0.00               | 1.38              | 90.0 | 1.24                 |
| 03/15/2018  | DROMGOOLE, NONA            | AM FUNDS SMALLCAP WORLD A         | 0.00                 | 1.75                | 0.00               | 1.75              | 90.0 | 1.58                 |

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|---|----------------------------|-------------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b><u>DIRECT TRANSACTIONS</u></b>                       |                            |                                     |                      |                     |                    |                   |      |                      |
| <b><u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u></b> |                            |                                     |                      |                     |                    |                   |      |                      |
| 03/15/2018  | GREER, GREGORY             | AM FUNDS SMALLCAP WORLD A           | 0.00                 | 1.59                | 0.00               | 1.59              | 90.0 | 1.43                 |
| 03/15/2018  | GREER, GREGORY             | AM FUNDS SMALLCAP WORLD A           | 0.00                 | 1.90                | 0.00               | 1.90              | 90.0 | 1.71                 |
| 03/15/2018  | FUESSEL, NORMAN            | AM FUNDS WASHINGTON MUTUAL INVESTOR | 0.00                 | 15.51               | 0.00               | 15.51             | 90.0 | 13.96                |
| 03/15/2018  | FUESSEL IRREV TR, NORMAN   | AM FUNDS WASHINGTON MUTUAL INVESTOR | 0.00                 | 8.35                | 0.00               | 8.35              | 90.0 | 7.52                 |
| 03/15/2018  | FUESSEL NE & NA TR, NORMAN | AM FUNDS WASHINGTON MUTUAL INVESTOR | 0.00                 | 66.15               | 0.00               | 66.15             | 90.0 | 59.54                |
| 03/15/2018  | BRUECKNER, KIMBERLY        | AM FUNDS WASHINGTON MUTUAL INVESTOR | 0.00                 | 12.26               | 0.00               | 12.26             | 90.0 | 11.03                |
| 03/15/2018  | KORNEGAY, ALISA            | AM FUNDS WASHINGTON MUTUAL INVESTOR | 0.00                 | 0.30                | 0.00               | 0.30              | 90.0 | 0.27                 |
| 03/15/2018  | KELLEY, DOLORES            | AM FUNDS WASHINGTON MUTUAL INVESTOR | 0.00                 | 8.33                | 0.00               | 8.33              | 90.0 | 7.50                 |
| 03/15/2018  | LAWHON, JACKIE             | AM FUNDS WASHINGTON MUTUAL INVESTOR | 0.00                 | 47.17               | 0.00               | 47.17             | 90.0 | 42.45                |
| 03/15/2018  | SPECKELS, WARREN           | AM FUNDS WASHINGTON MUTUAL INVESTOR | 0.00                 | 2.63                | 0.00               | 2.63              | 90.0 | 2.37                 |
| 03/15/2018  | SPECKELS, MELBA            | AM FUNDS WASHINGTON MUTUAL INVESTOR | 0.00                 | 1.77                | 0.00               | 1.77              | 90.0 | 1.59                 |
| 03/15/2018  | SPECKELS, MELBA            | AM FUNDS WASHINGTON MUTUAL INVESTOR | 0.00                 | 1.61                | 0.00               | 1.61              | 90.0 | 1.45                 |
| 03/15/2018  | GILLIGAN, DOROTHY          | AM FUNDS WASHINGTON MUTUAL INVESTOR | 0.00                 | 7.52                | 0.00               | 7.52              | 90.0 | 6.77                 |
| 03/15/2018  | STOLTE, VERNALINE          | AM FUNDS WASHINGTON MUTUAL INVESTOR | 0.00                 | 0.59                | 0.00               | 0.59              | 90.0 | 0.53                 |
| 03/15/2018  | MORRIS, JANINE             | AM FUNDS WASHINGTON MUTUAL INVESTOR | 0.00                 | 19.84               | 0.00               | 19.84             | 90.0 | 17.86                |
| 03/15/2018  | SMITH, MICHAEL             | AM FUNDS WASHINGTON MUTUAL INVESTOR | 0.00                 | 1.44                | 0.00               | 1.44              | 90.0 | 1.30                 |
| 03/15/2018  | BUROW, PAUL                | AM FUNDS WASHINGTON MUTUAL INVESTOR | 0.00                 | 1.42                | 0.00               | 1.42              | 90.0 | 1.28                 |
| 03/15/2018  | DALJO LTD PT               | AM FUNDS WASHINGTON MUTUAL INVESTOR | 0.00                 | 31.33               | 0.00               | 31.33             | 90.0 | 28.20                |
| 03/15/2018  | HOHMAN, JEROME             | AM FUNDS WASHINGTON MUTUAL INVESTOR | 0.00                 | 5.66                | 0.00               | 5.66              | 90.0 | 5.09                 |
| 03/15/2018  | WILSON, MARY               | AM FUNDS WASHINGTON MUTUAL INVESTOR | 0.00                 | 13.73               | 0.00               | 13.73             | 90.0 | 12.36                |
| 03/15/2018  | WIESNER, BETTY             | AM FUNDS WASHINGTON MUTUAL INVESTOR | 0.00                 | 3.60                | 0.00               | 3.60              | 90.0 | 3.24                 |
| 03/15/2018  | GREER, GREGORY             | AM FUNDS WASHINGTON MUTUAL INVESTOR | 0.00                 | 5.30                | 0.00               | 5.30              | 90.0 | 4.77                 |
| 03/15/2018  | GREER, GREGORY             | AM FUNDS WASHINGTON MUTUAL INVESTOR | 0.00                 | 5.28                | 0.00               | 5.28              | 90.0 | 4.75                 |
| 03/15/2018  | EWING LIVING TRUST, JACK & | AM FUNDS WASHINGTON MUTUAL INVESTOR | 0.00                 | 24.23               | 0.00               | 24.23             | 90.0 | 21.81                |
| 03/15/2018  | URBAN, LONNIE              | AM FUNDS WASHINGTON MUTUAL INVESTOR | 0.00                 | 1.96                | 0.00               | 1.96              | 90.0 | 1.76                 |
| 03/15/2018  | IVICIC, MARY               | AM FUNDS WASHINGTON MUTUAL INVESTOR | 0.00                 | 3.56                | 0.00               | 3.56              | 90.0 | 3.20                 |
| 02/28/2018  | SMITH, MARLO               | BLACKROCK GROWTH PORTFOLIO CL A     | 0.00                 | 0.45                | 0.00               | 0.45              | 90.0 | 0.41                 |
| 02/28/2018  | KORNEGAY, ALISA            | BLACKROCK GROWTH PORTFOLIO CL A     | 0.00                 | 1.15                | 0.00               | 1.15              | 90.0 | 1.04                 |
| 02/28/2018  | NAIZER, JOHNNIE            | BLACKROCK GROWTH PORTFOLIO CL A     | 0.00                 | 1.84                | 0.00               | 1.84              | 90.0 | 1.66                 |
| 02/28/2018  | SMITH, MARLO               | BLK AGG GROWTH A                    | 0.00                 | 0.36                | 0.00               | 0.36              | 90.0 | 0.32                 |
| 03/28/2018  | EWING JR, JACK             | BLK GLOBAL ALLOCATION C             | 0.00                 | 15.32               | 0.00               | 15.32             | 90.0 | 13.79                |
| 03/28/2018  | EWING LIVING TRUST, JACK & | BLK GLOBAL ALLOCATION C             | 0.00                 | 54.93               | 0.00               | 54.93             | 90.0 | 49.44                |
| 03/22/2018  | SMITH, JUDY                | CALAMOS GROWTH C                    | 0.00                 | 36.38               | 0.00               | 36.38             | 90.0 | 32.74                |

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|---|--------------------------------|-------------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b><u>DIRECT TRANSACTIONS</u></b>                       |                                |                                     |                      |                     |                    |                   |      |                      |
| <b><u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u></b> |                                |                                     |                      |                     |                    |                   |      |                      |
| 03/14/2018  | PEMBERTON, PATRICIA            | CLEARBRIDGE SMALL CAP GROWTH FUND C | 0.00                 | 3.93                | 0.00               | 3.93              | 90.0 | 3.54                 |
| 03/19/2018  | WIESNER, BETTY                 | COLUMBIA ACORN A                    | 0.00                 | 1.34                | 0.00               | 1.34              | 90.0 | 1.21                 |
| 03/19/2018  | MCELROY, BENNETT               | COLUMBIA MARSICO FOCUSED EQUITIES F | 0.00                 | 9.19                | 0.00               | 9.19              | 90.0 | 8.27                 |
| 03/19/2018  | CHEATHAM, JIMMY                | FEDERATED EQUITY INCOME A           | 0.00                 | 5.17                | 0.00               | 5.17              | 90.0 | 4.65                 |
| 03/19/2018  | CHEATHAM, JIMMY                | FEDERATED KAUFMANN FUND A           | 0.00                 | 2.67                | 0.00               | 2.67              | 90.0 | 2.40                 |
| 03/19/2018  | CHEATHAM, JIMMY                | FEDERATED MDT LARGE CAP VALUE FUND  | 0.00                 | 1.82                | 0.00               | 1.82              | 90.0 | 1.64                 |
| 03/19/2018  | CHEATHAM, JIMMY                | FEDERATED MDT MID CAP GROWTH STRATE | 0.00                 | 3.27                | 0.00               | 3.27              | 90.0 | 2.94                 |
| 03/20/2018  | ESCHBERGER TRUST, JACK & AGNES | FIDELITY ADV NEW INSIGHTS-CL A      | 0.00                 | 0.67                | 0.00               | 0.67              | 90.0 | 0.60                 |
| 03/20/2018  | NMN & NUN MGMT TRUST           | FIDELITY ADV NEW INSIGHTS-CL A      | 0.00                 | 1.56                | 0.00               | 1.56              | 90.0 | 1.40                 |
| 03/20/2018  | NAIZER TRUST, NOLAN            | FIDELITY ADV NEW INSIGHTS-CL A      | 0.00                 | 0.36                | 0.00               | 0.36              | 90.0 | 0.32                 |
| 03/20/2018  | NAIZER TRUST, NOEL             | FIDELITY ADV NEW INSIGHTS-CL A      | 0.00                 | 0.23                | 0.00               | 0.23              | 90.0 | 0.21                 |
| 03/20/2018  | WIESNER, BETTY                 | FIDELITY ADV NEW INSIGHTS-CL A      | 0.00                 | 3.65                | 0.00               | 3.65              | 90.0 | 3.29                 |
| 03/20/2018  | MCELROY, BENNETT               | FIDELITY ADV STRATEGIC INCOME A     | 0.00                 | 3.75                | 0.00               | 3.75              | 90.0 | 3.38                 |
| 03/15/2018  | COOPER, ADAM                   | FRANKLIN MUTUAL GLOBAL DISCOVERY A  | 0.00                 | 3.66                | 0.00               | 3.66              | 90.0 | 3.29                 |
| 03/15/2018  | COOPER, ADAM                   | FRANKLIN MUTUAL GLOBAL DISCOVERY A  | 0.00                 | 5.31                | 0.00               | 5.31              | 90.0 | 4.78                 |
| 03/15/2018  | COOPER, ADAM                   | FRANKLIN MUTUAL QUEST A             | 0.00                 | 4.69                | 0.00               | 4.69              | 90.0 | 4.22                 |
| 03/15/2018  | COOPER, ADAM                   | FRANKLIN RISING DIVIDENDS A         | 0.00                 | 5.19                | 0.00               | 5.19              | 90.0 | 4.67                 |
| 03/21/2018  | ENOCHS, LELAND                 | GOLDMAN SACHS CAPITAL GROWTH FUND C | 0.00                 | 9.96                | 0.00               | 9.96              | 90.0 | 8.96                 |
| 03/21/2018  | ENOCHS, LELAND                 | GOLDMAN SACHS FOCUSED INTL EQUITY F | 0.00                 | 2.75                | 0.00               | 2.75              | 90.0 | 2.48                 |
| 03/21/2018  | HAMITER, DONNIE                | GOLDMAN SACHS SMALL CAP VALUE FUND- | 0.00                 | 0.61                | 0.00               | 0.61              | 90.0 | 0.55                 |
| 03/21/2018  | STOLTE, VERNALINE              | GOLDMAN SACHS U.S. EQUITY INSIGHTS  | 0.00                 | 0.31                | 0.00               | 0.31              | 90.0 | 0.28                 |
| 03/21/2018  | BURKHART, KRISTI               | GOLDMAN SACHS U.S. EQUITY INSIGHTS  | 0.00                 | 1.65                | 0.00               | 1.65              | 90.0 | 1.49                 |
| 03/19/2018  | FUESSEL IRREV TR, NORMAN       | GRIFFIN INSTITUTIONAL ACCESS REAL E | 0.00                 | 12.90               | 0.00               | 12.90             | 90.0 | 11.61                |
| 03/19/2018  | MCRIGHT, WILLIAM               | GRIFFIN INSTITUTIONAL ACCESS REAL E | 0.00                 | 1.42                | 0.00               | 1.42              | 90.0 | 1.28                 |
| 03/19/2018  | MCRIGHT, BETTY                 | GRIFFIN INSTITUTIONAL ACCESS REAL E | 0.00                 | 0.53                | 0.00               | 0.53              | 90.0 | 0.48                 |
| 03/19/2018  | BELL, EDDY                     | GRIFFIN INSTITUTIONAL ACCESS REAL E | 0.00                 | 2.81                | 0.00               | 2.81              | 90.0 | 2.53                 |
| 03/19/2018  | BELL, EDDY                     | GRIFFIN INSTITUTIONAL ACCESS REAL E | 0.00                 | 2.84                | 0.00               | 2.84              | 90.0 | 2.56                 |
| 03/19/2018  | BELL, PATTI                    | GRIFFIN INSTITUTIONAL ACCESS REAL E | 0.00                 | 1.29                | 0.00               | 1.29              | 90.0 | 1.16                 |
| 03/19/2018  | STAGNER TRUST, JAMES           | GRIFFIN INSTITUTIONAL ACCESS REAL E | 0.00                 | 6.27                | 0.00               | 6.27              | 90.0 | 5.64                 |
| 03/19/2018  | PAULSEN, ROGER                 | GRIFFIN INSTITUTIONAL ACCESS REAL E | 0.00                 | 6.80                | 0.00               | 6.80              | 90.0 | 6.12                 |
| 03/19/2018  | BAGGETT, PETE                  | GRIFFIN INSTITUTIONAL ACCESS REAL E | 0.00                 | 6.71                | 0.00               | 6.71              | 90.0 | 6.04                 |
| 03/19/2018  | BAGGETT, JARROD                | GRIFFIN INSTITUTIONAL ACCESS REAL E | 0.00                 | 2.89                | 0.00               | 2.89              | 90.0 | 2.60                 |
| 03/19/2018  | LUERSEN, JENNIFER              | GRIFFIN INSTITUTIONAL ACCESS REAL E | 0.00                 | 9.62                | 0.00               | 9.62              | 90.0 | 8.66                 |

NOTES: \* - Indicates adjustment is not included in 1099 Earnings

\*\* - Indicates adjustment is not included in Totals or Commissions

^Date - Split Trade - full Investment Amount &amp; Gross Commission displayed



| DATE  | CLIENT                    | INVESTMENT                      | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|---|---------------------------|---------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b><u>DIRECT TRANSACTIONS</u></b>                       |                           |                                 |                      |                     |                    |                   |      |                      |
| <b><u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u></b> |                           |                                 |                      |                     |                    |                   |      |                      |
| 03/19/2018  | CHEATHAM, JIMMY           | HARTFORD BALANCED A             | 0.00                 | 0.88                | 0.00               | 0.88              | 90.0 | 0.79                 |
| 03/19/2018  | FLEMING, JERRY            | HARTFORD BALANCED A             | 0.00                 | 1.49                | 0.00               | 1.49              | 90.0 | 1.34                 |
| 03/19/2018  | RAESZ TTEE, BARBARA       | HARTFORD BALANCED ALLOCATION A  | 0.00                 | 3.83                | 0.00               | 3.83              | 90.0 | 3.45                 |
| 03/19/2018  | RAESZ TTEE, BARBARA       | HARTFORD BALANCED ALLOCATION A  | 0.00                 | 2.00                | 0.00               | 2.00              | 90.0 | 1.80                 |
| 03/19/2018  | TAISLER, JESSE            | HARTFORD CAPITAL APP II A       | 0.00                 | 1.66                | 0.00               | 1.66              | 90.0 | 1.49                 |
| 03/19/2018  | MASON, ELEANOR            | HARTFORD CAPITAL APP II A       | 0.00                 | 1.13                | 0.00               | 1.13              | 90.0 | 1.02                 |
| 03/19/2018  | SCOTT, MONYUAN            | HARTFORD CAPITAL APP II A       | 0.00                 | 15.65               | 0.00               | 15.65             | 90.0 | 14.09                |
| / /   | MICHNA JT TEN WROS, JIMMY | HARTFORD CAPITAL APPRECIATION A | 0.00                 | 3.22                | 0.00               | 3.22              | 90.0 | 2.90                 |
| 03/19/2018  | CHEATHAM, JIMMY           | HARTFORD CAPITAL APPRECIATION A | 0.00                 | 9.72                | 0.00               | 9.72              | 90.0 | 8.75                 |
| 03/19/2018  | ROSENTHAL, LUCILLE        | HARTFORD CAPITAL APPRECIATION A | 0.00                 | 11.39               | 0.00               | 11.39             | 90.0 | 10.25                |
| 03/19/2018  | BRUECKNER, KIMBERLY       | HARTFORD CAPITAL APPRECIATION A | 0.00                 | 12.94               | 0.00               | 12.94             | 90.0 | 11.65                |
| 03/19/2018  | HAMANN, LARRY             | HARTFORD CAPITAL APPRECIATION A | 0.00                 | 9.48                | 0.00               | 9.48              | 90.0 | 8.53                 |
| 03/19/2018  | FLEMING, JERRY            | HARTFORD CAPITAL APPRECIATION A | 0.00                 | 5.80                | 0.00               | 5.80              | 90.0 | 5.22                 |
| 03/19/2018  | TAISLER, JESSE            | HARTFORD CAPITAL APPRECIATION A | 0.00                 | 1.25                | 0.00               | 1.25              | 90.0 | 1.13                 |
| 03/19/2018  | MOORE, TERRY              | HARTFORD CAPITAL APPRECIATION C | 0.00                 | 24.36               | 0.00               | 24.36             | 90.0 | 21.92                |
| 03/19/2018  | CHEATHAM, JIMMY           | HARTFORD DIVIDEND & GROWTH A    | 0.00                 | 4.71                | 0.00               | 4.71              | 90.0 | 4.24                 |
| 03/19/2018  | BRUECKNER, KIMBERLY       | HARTFORD DIVIDEND & GROWTH A    | 0.00                 | 5.42                | 0.00               | 5.42              | 90.0 | 4.88                 |
| 03/19/2018  | HAMANN, LARRY             | HARTFORD DIVIDEND & GROWTH A    | 0.00                 | 4.11                | 0.00               | 4.11              | 90.0 | 3.70                 |
| 03/19/2018  | FLEMING, JERRY            | HARTFORD DIVIDEND & GROWTH A    | 0.00                 | 5.00                | 0.00               | 5.00              | 90.0 | 4.50                 |
| 03/19/2018  | TAISLER, JESSE            | HARTFORD DIVIDEND & GROWTH A    | 0.00                 | 1.88                | 0.00               | 1.88              | 90.0 | 1.69                 |
| / /   | EWING, JOHN               | HARTFORD GROWTH ALLOCATION A    | 0.00                 | 0.63                | 0.00               | 0.63              | 90.0 | 0.57                 |
| / /   | SMITH, MARLO              | HARTFORD GROWTH ALLOCATION A    | 0.00                 | 1.50                | 0.00               | 1.50              | 90.0 | 1.35                 |
| 03/19/2018  | RAESZ TTEE, BARBARA       | HARTFORD GROWTH ALLOCATION A    | 0.00                 | 3.78                | 0.00               | 3.78              | 90.0 | 3.40                 |
| 03/19/2018  | RAESZ TTEE, BARBARA       | HARTFORD GROWTH ALLOCATION A    | 0.00                 | 2.09                | 0.00               | 2.09              | 90.0 | 1.88                 |
| 03/19/2018  | EWING, JOHN               | HARTFORD GROWTH ALLOCATION A    | 0.00                 | 0.84                | 0.00               | 0.84              | 90.0 | 0.76                 |
| 03/19/2018  | ROSENTHAL, LUCILLE        | HARTFORD GROWTH OPP A           | 0.00                 | 11.25               | 0.00               | 11.25             | 90.0 | 10.13                |
| 03/19/2018  | SCOTT, MONYUAN            | HARTFORD GROWTH OPP A           | 0.00                 | 19.59               | 0.00               | 19.59             | 90.0 | 17.63                |
| 03/19/2018  | ROSENTHAL, LUCILLE        | HARTFORD INT'L GROWTH A         | 0.00                 | 7.19                | 0.00               | 7.19              | 90.0 | 6.47                 |
| / /   | MICHNA JT TEN WROS, JIMMY | HARTFORD MIDCAP A               | 0.00                 | 0.50                | 0.00               | 0.50              | 90.0 | 0.45                 |
| 03/19/2018  | CHEATHAM, JIMMY           | HARTFORD MIDCAP A               | 0.00                 | 7.16                | 0.00               | 7.16              | 90.0 | 6.44                 |
| 03/19/2018  | FLEMING, JERRY            | HARTFORD MIDCAP A               | 0.00                 | 5.31                | 0.00               | 5.31              | 90.0 | 4.78                 |
| 03/19/2018  | ROSENTHAL, LUCILLE        | HARTFORD MIDCAP VALUE A         | 0.00                 | 12.19               | 0.00               | 12.19             | 90.0 | 10.97                |
| 03/19/2018  | MASON, ELEANOR            | HARTFORD MIDCAP VALUE A         | 0.00                 | 0.74                | 0.00               | 0.74              | 90.0 | 0.67                 |

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| DATE  | CLIENT                         | INVESTMENT                          | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|---|--------------------------------|-------------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b><u>DIRECT TRANSACTIONS</u></b>                       |                                |                                     |                      |                     |                    |                   |      |                      |
| <b><u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u></b> |                                |                                     |                      |                     |                    |                   |      |                      |
| 03/19/2018  | BRUECKNER, KIMBERLY            | HARTFORD SMALL-COMPANY FUND CLASS A | 0.00                 | 5.68                | 0.00               | 5.68              | 90.0 | 5.11                 |
| 03/19/2018  | TAISLER, JESSE                 | HARTFORD VALUE OPPORTUNITY FUND CLA | 0.00                 | 1.84                | 0.00               | 1.84              | 90.0 | 1.66                 |
| 03/19/2018  | MASON, ELEANOR                 | HARTFUND EQUITY INCIME FUND A       | 0.00                 | 0.64                | 0.00               | 0.64              | 90.0 | 0.58                 |
| 03/16/2018  | ESCHBERGER TRUST, JACK & AGNES | JH DISCIPLINED VALUE A              | 0.00                 | 1.24                | 0.00               | 1.24              | 90.0 | 1.12                 |
| 03/16/2018  | ROSENTHAL, LUCILLE             | JH DISCIPLINED VALUE A              | 0.00                 | 0.62                | 0.00               | 0.62              | 90.0 | 0.56                 |
| 03/16/2018  | SCARBOROUGH, ROBERT            | JH DISCIPLINED VALUE A              | 0.00                 | 0.98                | 0.00               | 0.98              | 90.0 | 0.88                 |
| 03/16/2018  | NMN & NUN MGMT TRUST           | JH DISCIPLINED VALUE A              | 0.00                 | 3.01                | 0.00               | 3.01              | 90.0 | 2.71                 |
| 03/16/2018  | NAIZER TRUST, NOLAN            | JH DISCIPLINED VALUE A              | 0.00                 | 0.57                | 0.00               | 0.57              | 90.0 | 0.51                 |
| 03/16/2018  | NAIZER TRUST, NOEL             | JH DISCIPLINED VALUE A              | 0.00                 | 0.41                | 0.00               | 0.41              | 90.0 | 0.37                 |
| 03/16/2018  | OLSON, DALE                    | JH DISCIPLINED VALUE A              | 0.00                 | 2.41                | 0.00               | 2.41              | 90.0 | 2.17                 |
| 03/16/2018  | MCELROY, BENNETT               | JH STRATEGIC INCOME A               | 0.00                 | 3.72                | 0.00               | 3.72              | 90.0 | 3.35                 |
| 03/16/2018  | SCARBOROUGH, ROBERT            | JOHN HANCOCK GLOBAL ABSOLUTE RETURN | 0.00                 | 0.66                | 0.00               | 0.66              | 90.0 | 0.59                 |
| 03/16/2018  | NMN & NUN MGMT TRUST           | JOHN HANCOCK GLOBAL ABSOLUTE RETURN | 0.00                 | 1.62                | 0.00               | 1.62              | 90.0 | 1.46                 |
| 03/16/2018  | NAIZER TRUST, NOLAN            | JOHN HANCOCK GLOBAL ABSOLUTE RETURN | 0.00                 | 0.09                | 0.00               | 0.09              | 90.0 | 0.08                 |
| 03/16/2018  | NAIZER TRUST, NOEL             | JOHN HANCOCK GLOBAL ABSOLUTE RETURN | 0.00                 | 0.17                | 0.00               | 0.17              | 90.0 | 0.15                 |
| 03/16/2018  | OLSON, DALE                    | JOHN HANCOCK GLOBAL ABSOLUTE RETURN | 0.00                 | 0.50                | 0.00               | 0.50              | 90.0 | 0.45                 |
| 03/16/2018  | MASON, JOHN                    | JOHN HANCOCK GLOBAL ABSOLUTE RETURN | 0.00                 | 5.57                | 0.00               | 5.57              | 90.0 | 5.01                 |
| 03/19/2018  | CHEATHAM, JIMMY                | LORD ABBETT AFFILIATED A            | 0.00                 | 1.78                | 0.00               | 1.78              | 90.0 | 1.60                 |
| 03/19/2018  | SPECKELS, MELBA                | LORD ABBETT AFFILIATED A            | 0.00                 | 0.76                | 0.00               | 0.76              | 90.0 | 0.68                 |
| 03/19/2018  | CHEATHAM, JIMMY                | LORD ABBETT ALPHA STRATEGY A        | 0.00                 | 3.80                | 0.00               | 3.80              | 90.0 | 3.42                 |
| 03/19/2018  | FUESSEL NE & NA TR, NORMAN     | LORD ABBETT BOND DEBENTURE A        | 0.00                 | 5.72                | 0.00               | 5.72              | 90.0 | 5.15                 |
| 03/19/2018  | CHEATHAM, JIMMY                | LORD ABBETT CALIBRATED DIVIDEND GRO | 0.00                 | 2.22                | 0.00               | 2.22              | 90.0 | 2.00                 |
| 03/19/2018  | FUESSEL IRREV TR, NORMAN       | LORD ABBETT CALIBRATED DIVIDEND GRO | 0.00                 | 11.83               | 0.00               | 11.83             | 90.0 | 10.65                |
| 03/19/2018  | BRUECKNER, KIMBERLY            | LORD ABBETT CALIBRATED DIVIDEND GRO | 0.00                 | 7.82                | 0.00               | 7.82              | 90.0 | 7.04                 |
| 03/19/2018  | SPECKELS, MELBA                | LORD ABBETT CALIBRATED DIVIDEND GRO | 0.00                 | 0.94                | 0.00               | 0.94              | 90.0 | 0.85                 |
| 03/19/2018  | CHEATHAM, JIMMY                | LORD ABBETT DEVELOPING GROWTH A     | 0.00                 | 3.91                | 0.00               | 3.91              | 90.0 | 3.52                 |
| 03/19/2018  | FUESSEL IRREV TR, NORMAN       | LORD ABBETT DEVELOPING GROWTH A     | 0.00                 | 14.26               | 0.00               | 14.26             | 90.0 | 12.83                |
| 03/19/2018  | BRUECKNER, KIMBERLY            | LORD ABBETT FUNDAMENTAL EQUITY A    | 0.00                 | 10.06               | 0.00               | 10.06             | 90.0 | 9.05                 |
| 03/19/2018  | SPECKELS, MELBA                | LORD ABBETT FUNDAMENTAL EQUITY A    | 0.00                 | 0.75                | 0.00               | 0.75              | 90.0 | 0.68                 |
| 03/19/2018  | SPECKELS, MELBA                | LORD ABBETT GROWTH OPPORTUNITIES FU | 0.00                 | 0.59                | 0.00               | 0.59              | 90.0 | 0.53                 |
| 03/19/2018  | STAGNER TRUST, JAMES           | LORD ABBETT INVT TR FLTG RATE A     | 0.00                 | 6.23                | 0.00               | 6.23              | 90.0 | 5.61                 |
| 03/19/2018  | CHEATHAM, JIMMY                | LORD ABBETT MID CAP STOCK A         | 0.00                 | 6.74                | 0.00               | 6.74              | 90.0 | 6.07                 |
| 03/19/2018  | FUESSEL IRREV TR, NORMAN       | LORD ABBETT MID CAP STOCK A         | 0.00                 | 15.86               | 0.00               | 15.86             | 90.0 | 14.27                |

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|--|--------------------------|-------------------------------------|-----------------------|---------------------|--------------------|--------------------|------|----------------------|
| <b><u>DIRECT TRANSACTIONS</u></b>                            |                          |                                     |                       |                     |                    |                    |      |                      |
| <b><u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u></b>      |                          |                                     |                       |                     |                    |                    |      |                      |
| 03/19/2018   | BRUECKNER, KIMBERLY      | LORD ABBETT MID CAP STOCK A         | 0.00                  | 9.54                | 0.00               | 9.54               | 90.0 | 8.59                 |
| 03/15/2018   | ROSENTHAL, LUCILLE       | LTD TERM TAX-EX BOND FUND OF AMERIC | 0.00                  | 4.37                | 0.00               | 4.37               | 90.0 | 3.93                 |
| 03/13/2018   | PEARSON, GRANT           | MFS LIFETIME RETIREMENT INCOME FUND | 0.00                  | 39.88               | 0.00               | 39.88              | 90.0 | 35.89                |
| 04/01/2018   | HAMANN, LARRY            | MFS MASS INVESTORS GROWTH STOCK A   | 0.00                  | 7.74                | 0.00               | 7.74               | 90.0 | 6.97                 |
| 03/13/2018   | MCELROY, BENNETT         | MFS VALUE A                         | 0.00                  | 9.12                | 0.00               | 9.12               | 90.0 | 8.21                 |
| 03/14/2018   | MASON, JOHN              | NEUBERGER BERMAN LONG SHORT FUND CL | 0.00                  | 5.24                | 0.00               | 5.24               | 90.0 | 4.72                 |
| 03/20/2018   | WIESNER, BETTY           | OPPENHEIMER GLOBAL STRATEGIC INC A  | 0.00                  | 1.46                | 0.00               | 1.46               | 90.0 | 1.31                 |
| 03/21/2018   | FUESSEL IRREV TR, NORMAN | PUTNAM ASSET ALLOC GROWTH A         | 0.00                  | 16.46               | 0.00               | 16.46              | 90.0 | 14.81                |
| 04/02/2018   | PLAN                     | PUTNAM MULTI CAP GROWTH A           | 0.00                  | 2.66                | 0.00               | 2.66               | 90.0 | 2.39                 |
| 03/05/2018   | FUESSEL IRREV TR, NORMAN | RESOURCE R E DIVERSIFIED INC FUND A | 0.00                  | 14.05               | 0.00               | 14.05              | 90.0 | 12.65                |
| 03/05/2018   | BELL, EDDY               | RESOURCE R E DIVERSIFIED INC FUND A | 0.00                  | 10.94               | 0.00               | 10.94              | 90.0 | 9.85                 |
| 03/05/2018   | STAGNER TRUST, JAMES     | RESOURCE R E DIVERSIFIED INC FUND A | 0.00                  | 6.77                | 0.00               | 6.77               | 90.0 | 6.09                 |
| 03/05/2018   | LUERSEN, JENNIFER        | RESOURCE R E DIVERSIFIED INC FUND A | 0.00                  | 9.68                | 0.00               | 9.68               | 90.0 | 8.71                 |
| 03/15/2018   | FUESSEL IRREV TR, NORMAN | RESOURCE R E DIVERSIFIED INC FUND A | 0.00                  | 12.40               | 0.00               | 12.40              | 90.0 | 11.16                |
| 03/15/2018   | BELL, EDDY               | RESOURCE R E DIVERSIFIED INC FUND A | 0.00                  | 9.66                | 0.00               | 9.66               | 90.0 | 8.69                 |
| 03/15/2018   | STAGNER TRUST, JAMES     | RESOURCE R E DIVERSIFIED INC FUND A | 0.00                  | 5.98                | 0.00               | 5.98               | 90.0 | 5.38                 |
| 03/15/2018   | LUERSEN, JENNIFER        | RESOURCE R E DIVERSIFIED INC FUND A | 0.00                  | 8.54                | 0.00               | 8.54               | 90.0 | 7.69                 |
| 03/20/2018   | KURTH, KARIANNE          | TRANSAMERICA AA GROWTH C            | 0.00                  | 37.26               | 0.00               | 37.26              | 90.0 | 33.53                |
| 03/20/2018   | KURTH, DEREK             | TRANSAMERICA AA GROWTH C            | 0.00                  | 44.62               | 0.00               | 44.62              | 90.0 | 40.16                |
| 03/20/2018   | KURTH, DEREK             | TRANSAMERICA AA GROWTH C            | 0.00                  | 27.40               | 0.00               | 27.40              | 90.0 | 24.66                |
| 03/20/2018   | KURTH, DEREK             | TRANSAMERICA AA GROWTH C            | 0.00                  | 1.89                | 0.00               | 1.89               | 90.0 | 1.70                 |
| 03/20/2018   | KURTH, DEREK             | TRANSAMERICA AA GROWTH C            | 0.00                  | 1.89                | 0.00               | 1.89               | 90.0 | 1.70                 |
| 03/20/2018   | HERNANDEZ-GAGE, VIRGINIA | TRANSAMERICA AA MOD GROWTH C        | 0.00                  | 4.04                | 0.00               | 4.04               | 90.0 | 3.64                 |
| 03/20/2018   | KURTH, DEREK             | TRANSAMERICA AA MOD GROWTH C        | 0.00                  | 6.11                | 0.00               | 6.11               | 90.0 | 5.50                 |
| <b>* MUTUAL FUND 12B1 TRAILS SUBTOTAL *</b>                  |                          |                                     | <b>\$0.00</b>         | <b>\$2,373.65</b>   | <b>\$0.00</b>      | <b>\$2,373.65</b>  |      | <b>\$2,136.41</b>    |
| <b><u>PRODUCT CATEGORY: VARIABLE ANNUITY 12B1 TRAILS</u></b> |                          |                                     |                       |                     |                    |                    |      |                      |
| 03/31/2018   | ESCHBERGER, AGNES        | LINCOLN BENEFIT TRAIL RENEWALS      | 310,757.85            | 310.76              | 0.00               | 310.76             | 90.0 | 279.68               |
| 03/31/2018   | LINDELL, CAROL           | LINCOLN BENEFIT TRAIL RENEWALS      | 108,789.73            | 67.99               | 0.00               | 67.99              | 90.0 | 61.19                |
| 03/26/2018   | MOORE, TERRY             | PAC LIFE PORTFOLIOS                 | 0.00                  | 52.95               | 0.00               | 52.95              | 90.0 | 47.66                |
| <b>* VARIABLE ANNUITY 12B1 TRAILS SUBTOTAL *</b>             |                          |                                     | <b>\$419,547.58</b>   | <b>\$431.70</b>     | <b>\$0.00</b>      | <b>\$431.70</b>    |      | <b>\$388.53</b>      |
| <b>*** DIRECT TRANSACTIONS TOTAL ***</b>                     |                          |                                     | <b>\$7,985,596.42</b> | <b>\$10,960.98</b>  | <b>\$0.00</b>      | <b>\$10,960.98</b> |      | <b>\$9,865.02</b>    |

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| DATE                             | CLIENT | INVESTMENT                                    | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|----------------------------------|--------|---|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b><u>ADJUSTMENTS</u></b>        |        |   |                      |                     |                    |                   |      |                      |
| 04/15/2018                       |        | *AI INSIGHT: CURRENT MONTH                    | 0.00                 |                     |                    |                   |      | -7.00                |
| 04/15/2018                       |        | *ALBRIDGE: LIGHT USER                         | 0.00                 |                     |                    |                   |      | -76.00               |
| 04/15/2018                       |        | *CONCIERGE SVC: 211946 CATHEY                 | 0.00                 |                     |                    |                   |      | -50.00               |
| 04/15/2018                       |        | *CONCIERGE SVC: 211963 FLEMING                | 0.00                 |                     |                    |                   |      | -50.00               |
| 04/15/2018                       |        | *CONCIERGE SVC: 212043 DECKER                 | 0.00                 |                     |                    |                   |      | -50.00               |
| 04/15/2018                       |        | *CONCIERGE SVC: 212815 CERVENKA               | 0.00                 |                     |                    |                   |      | -50.00               |
| 04/15/2018                       |        | *CONCIERGE SVC: 213611 SAWYER                 | 0.00                 |                     |                    |                   |      | -50.00               |
| 04/15/2018                       |        | *DOCUSIGN: CURRENT MONTH                      | 0.00                 |                     |                    |                   |      | -18.00               |
| 04/15/2018                       |        | *EO INS: CURRENT MONTH INS                    | 0.00                 |                     |                    |                   |      | -300.00              |
| 04/15/2018                       |        | *GLOBAL RELAY: FACEBOOK                       | 0.00                 |                     |                    |                   |      | -5.00                |
| 04/15/2018                       |        | *GLOBAL RELAY: WEBSITE                        | 0.00                 |                     |                    |                   |      | -15.00               |
| 04/15/2018                       |        | *LASER APP: CURRENT MONTH                     | 0.00                 |                     |                    |                   |      | -18.00               |
| 04/15/2018                       |        | *PERSHING: BASIS TRACKING 234 ACCTS           | 0.00                 |                     |                    |                   |      | -234.00              |
| 04/15/2018                       |        | *PERSHING: BND R PNW102572<br>C332008F838     | 0.00                 |                     |                    |                   |      | -5.00                |
| 04/15/2018                       |        | *PERSHING: R SPLIT NEW YORK REIT -<br>FISCHER | 0.00                 |                     |                    |                   |      | -10.00               |
| 04/15/2018                       |        | *PERSHING: R SPLIT NEW YORK REIT -<br>OLSON   | 0.00                 |                     |                    |                   |      | -10.00               |
| 04/15/2018                       |        | *PERSHING: R SPLIT NEW YORK REIT -<br>WERCHAN | 0.00                 |                     |                    |                   |      | -10.00               |
| 04/15/2018                       |        | *PERSHING: BOOKS & RECORDS                    | 0.00                 |                     |                    |                   |      | -4.50                |
| 04/15/2018                       |        | *TECHNOLOGY: CURRENT MONTH BASIC              | 0.00                 |                     |                    |                   |      | -180.00              |
| <b>*** ADJUSTMENTS TOTAL ***</b> |        |   | <b>\$0.00</b>        | <b>\$0.00</b>       | <b>\$0.00</b>      | <b>\$0.00</b>     |      | <b>\$-1,142.50</b>   |

NOTES: \* - Indicates adjustment is not included in 1099 Earnings

\*\* - Indicates adjustment is not included in Totals or Commissions

^Date - Split Trade - full Investment Amount & Gross Commission displayed

**BROKER COMMISSION TOTALS**

|                       |             |
|-----------------------|-------------|
| Broker Transactions   | \$9,759.16  |
| Split Transactions    | \$0.00      |
| Override Transactions | \$0.00      |
| Adjustments           | \$-1,142.50 |
| Payroll Draw          | \$0.00      |
| Base Salary           | \$0.00      |
| Prior Period Balance  | \$0.00      |
| FINRA Assessment      | \$0.00      |
| SIPC Assessment       | \$0.00      |

|                       |              |
|-----------------------|--------------|
| Check Amount          | \$8,616.66   |
| Year-to-date Gross    | \$126,160.59 |
| Year-to-date Earnings | \$113,132.46 |