

**COMMISSION STATEMENT****October 15, 2017**DELMAR (BO)-M143 MCKINNEY  
5 Red Bud Trail**BROKER #: M143**

BRANCH: EAGLE WEALTH MANAGEM

Round Rock, TX 78655-

DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<b><u>BROKER TRANSACTIONS</u></b>								
<b><u>PRODUCT CATEGORY: 1031 EXCHANGES</u></b>								
09/28/2017	DAVIDSON, DAVID	INLAND NATIONAL MF PF II DST	100,000.00	5,000.00	0.00	5,000.00	90.0	4,500.00
		<b>* 1031 EXCHANGES SUBTOTAL *</b>	<b>\$100,000.00</b>	<b>\$5,000.00</b>	<b>\$0.00</b>	<b>\$5,000.00</b>		<b>\$4,500.00</b>
<b><u>PRODUCT CATEGORY: MUTUAL FUNDS</u></b>								
10/05/2017	ASPRA, TRISSA	AM FUNDS AMCAP A	75.00	3.19	12.00	-8.81	90.0	-7.93
09/29/2017	ENOCHS, LELAND	AM FUNDS EUROPACIFIC GROWTH FUND A	105.00	2.10	0.00	2.10	90.0	1.89
09/29/2017	ENOCHS, LELAND	AM FUNDS EUROPACIFIC GROWTH FUND A	270.82	5.42	0.00	5.42	90.0	4.88
09/29/2017	ENOCHS, DONNA	AM FUNDS EUROPACIFIC GROWTH FUND A	8.25	0.17	0.00	0.17	90.0	0.15
09/29/2017	ENOCHS, DONNA	AM FUNDS EUROPACIFIC GROWTH FUND A	253.96	5.08	0.00	5.08	90.0	4.57
09/29/2017	ENOCHS, LELAND	AM FUNDS FUNDAMENTAL INVESTORS A	105.00	2.10	0.00	2.10	90.0	1.89
09/29/2017	ENOCHS, LELAND	AM FUNDS FUNDAMENTAL INVESTORS A	270.84	5.42	0.00	5.42	90.0	4.88
09/29/2017	ENOCHS, DONNA	AM FUNDS FUNDAMENTAL INVESTORS A	8.25	0.17	0.00	0.17	90.0	0.15
09/29/2017	ENOCHS, DONNA	AM FUNDS FUNDAMENTAL INVESTORS A	253.96	5.08	0.00	5.08	90.0	4.57
09/27/2017	OHE, EUGENIA	AM FUNDS GROWTH FUND OF AMERICA 529	100.00	2.75	0.00	2.75	90.0	2.48
09/27/2017	OHE, EUGENIA	AM FUNDS GROWTH FUND OF AMERICA 529	100.00	2.75	0.00	2.75	90.0	2.48
09/29/2017	ENOCHS, LELAND	AM FUNDS GROWTH FUND OF AMERICA A	105.00	2.10	0.00	2.10	90.0	1.89
09/29/2017	ENOCHS, LELAND	AM FUNDS GROWTH FUND OF AMERICA A	270.84	5.42	0.00	5.42	90.0	4.88
09/29/2017	BRUECKNER, KIMBERLY	AM FUNDS GROWTH FUND OF AMERICA A	325.00	5.20	0.00	5.20	90.0	4.68
09/29/2017	ENOCHS, DONNA	AM FUNDS GROWTH FUND OF AMERICA A	8.25	0.17	0.00	0.17	90.0	0.15
09/29/2017	ENOCHS, DONNA	AM FUNDS GROWTH FUND OF AMERICA A	253.96	5.08	0.00	5.08	90.0	4.57
10/05/2017	ASPRA, TRISSA	AM FUNDS GROWTH FUND OF AMERICA A	75.00	3.19	12.00	-8.81	90.0	-7.93
09/29/2017	ENOCHS, LELAND	AM FUNDS WASHINGTON MUTUAL INVESTOR	105.00	2.10	0.00	2.10	90.0	1.89
09/29/2017	ENOCHS, LELAND	AM FUNDS WASHINGTON MUTUAL INVESTOR	270.84	5.42	0.00	5.42	90.0	4.88
09/29/2017	ENOCHS, DONNA	AM FUNDS WASHINGTON MUTUAL INVESTOR	8.25	0.17	0.00	0.17	90.0	0.15
09/29/2017	ENOCHS, DONNA	AM FUNDS WASHINGTON MUTUAL INVESTOR	253.97	5.08	0.00	5.08	90.0	4.57
10/02/2017	LAWHON, JACKIE	AM FUNDS WASHINGTON MUTUAL INVESTOR	-500.00	0.00	12.00	-12.00	90.0	-10.80
08/31/2017	KORNEGAY, ALISA	BLACKROCK 19452W490	0.00	1.18	0.00	1.18	90.0	1.06

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

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

DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<b><u>BROKER TRANSACTIONS</u></b>								
<b><u>PRODUCT CATEGORY: MUTUAL FUNDS</u></b>								
08/31/2017	NAIZER, JOHNNIE	BLACKROCK 19452W490	0.00	1.87	0.00	1.87	90.0	1.68
08/31/2017	SMITH, MARLO	BLACKROCK 19452W490	0.00	0.46	0.00	0.46	90.0	0.41
08/31/2017	SMITH, MARLO	BLK AGG GROWTH A	0.00	0.36	0.00	0.36	90.0	0.32
/ /	MICHNA JT TEN WROS, JIMMY	HARTFORD CAPITAL APPRECIATION A	0.00	2.86	0.00	2.86	90.0	2.57
/ /	EWING, JOHN	HARTFORD GROWTH ALLOCATION A	0.00	0.58	0.00	0.58	90.0	0.52
/ /	SMITH, MARLO	HARTFORD GROWTH ALLOCATION A	0.00	1.36	0.00	1.36	90.0	1.22
/ /	MICHNA JT TEN WROS, JIMMY	HARTFORD MIDCAP A	0.00	0.42	0.00	0.42	90.0	0.38
10/02/2017	PLAN	PUTNAM MULTI CAP GROWTH A	0.00	2.38	0.00	2.38	90.0	2.14
<b>* MUTUAL FUNDS SUBTOTAL *</b>			<b>\$2,727.19</b>	<b>\$79.63</b>	<b>\$36.00</b>	<b>\$43.63</b>		<b>\$39.24</b>

**PRODUCT CATEGORY: STOCKS**

10/10/2017	MAREK, RODNEY	NEW YORK REIT INC COM	-12,039.76	120.00	24.32	95.68	90.0	86.11
<b>* STOCKS SUBTOTAL *</b>			<b>\$-12,039.76</b>	<b>\$120.00</b>	<b>\$24.32</b>	<b>\$95.68</b>		<b>\$86.11</b>

**PRODUCT CATEGORY: VARIABLE ANNUITIES**

08/25/2017	MCKINNEY-BO, VARIOUS	TRANSAMERICA	0.00	23.20	0.00	23.20	90.0	20.88
10/01/2017	ESCHBERGER, AGNES	AM GEN POLIRIS II FLEXIBLE	266,576.74	266.58	0.00	266.58	90.0	239.92
10/01/2017	HERNANDEZ, JOHN	ANCHOR ADVISOR 11 FLEX	50,137.27	125.34	0.00	125.34	90.0	112.81
10/01/2017	BLAHA, TRONA	ANCHOR ADVISOR 11 FLEX	1,293,682.28	3,234.21	0.00	3,234.21	90.0	2,910.79
09/29/2017	LAWHON, JACKIE	DIRECTOR ACCESS 416588614	4,889.28	12.22	0.00	12.22	90.0	11.00
09/29/2017	CUMMINGS, ROBERT	DIRECTOR ACCESS 416588614	583,021.19	1,457.55	0.00	1,457.55	90.0	1,311.80
09/29/2017	STAGNER, JEAN	DIRECTOR V 416594521	3,509.42	3.51	0.00	3.51	90.0	3.16
09/29/2017	POTH, VIVIAN	FED TRIPLE CROWN VA	5,811.65	5.81	0.00	5.81	90.0	5.23
09/29/2017	LOGHRY, DORIS	FED TRIPLE CROWN VA	21,052.41	21.05	0.00	21.05	90.0	18.95
09/29/2017	NAIZER, JOHNNIE	FED TRIPLE CROWN VA 34956F786	9,106.63	9.11	0.00	9.11	90.0	8.20
09/29/2017	LUEDTKE, LOIS	HARTFORD DIRECTOR VI (ILA)	405,132.76	405.13	0.00	405.13	90.0	364.62
09/29/2017	FUESSEL, NORMAN	HARTFORD DIRECTOR VI (ILA)	202,840.54	202.84	0.00	202.84	90.0	182.56
09/29/2017	WILSON, MARY	HARTFORD DIRECTOR VI (ILA)	71,357.38	71.36	0.00	71.36	90.0	64.22
09/29/2017	TAISLER, JESSE	HARTFORD DIRECTOR VI (ILA)	8,660.75	8.66	0.00	8.66	90.0	7.79
09/29/2017	ROSIPAL, HERBERT	HARTFORD DIRECTOR VI (ILA)	2,463.46	2.46	0.00	2.46	90.0	2.21
09/29/2017	MASON, JOHN	HARTFORD DIRECTOR VI (ILA)	34,697.64	34.70	0.00	34.70	90.0	31.23
09/29/2017	LUEDTKE, LOIS	HARTFORD DIRECTOR VI (ILA)	202,298.74	202.30	0.00	202.30	90.0	182.07
09/29/2017	BARTOSH, PATRICIA	HARTFORD DIRECTOR VI (ILA)	2,754.29	2.75	0.00	2.75	90.0	2.48
09/29/2017	ROSIPAL, ADELE	HARTFORD DIRECTOR VI (ILA)	3,233.50	3.23	0.00	3.23	90.0	2.91

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<b><u>BROKER TRANSACTIONS</u></b>								
<b><u>PRODUCT CATEGORY: VARIABLE ANNUITIES</u></b>								
09/29/2017	CUMMINGS, ROBERT	HARTFORD DIRECTOR VII (ILA)	3,939.02	2.46	0.00	2.46	90.0	2.21
09/29/2017	NAIZER, JOHNNIE	HARTFORD DIRECTOR VII (ILA)	22,304.89	13.94	0.00	13.94	90.0	12.55
09/29/2017	ESCHBERGER, AGNES	HARTFORD DIRECTOR VII (ILA)	122,473.17	76.55	0.00	76.55	90.0	68.90
09/29/2017	ESCHBERGER, AGNES	HARTFORD DIRECTOR VII (ILA)	64,167.59	40.10	0.00	40.10	90.0	36.09
09/29/2017	SIMCIK, CHESTER	HARTFORD DIRECTOR VII (ILA)	102,091.71	63.81	0.00	63.81	90.0	57.43
09/29/2017	LAWHON, STEVEN	HARTFORD LEADERS	58,921.91	36.83	0.00	36.83	90.0	33.15
09/29/2017	MARKERT, DOROTHY	HARTFORD LEADERS	5,368.74	3.36	0.00	3.36	90.0	3.02
09/29/2017	PEKAR, DAVID	HARTFORD LEADERS	68,492.89	42.81	0.00	42.81	90.0	38.53
09/29/2017	STOLLE, KATHERINE	HARTFORD LEADERS	27,485.84	17.18	0.00	17.18	90.0	15.46
09/29/2017	FERGUSON, LINDA	HARTFORD LEADERS (ILA)	96,668.25	60.42	0.00	60.42	90.0	54.38
09/29/2017	ESCHBERGER, AGNES	HARTFORD LEADERS (ILA)	273,502.08	170.94	0.00	170.94	90.0	153.85
09/29/2017	SIMCIK, CHESTER	HARTFORD LEADERS (ILA)	97,654.23	61.03	0.00	61.03	90.0	54.93
09/29/2017	MORRIS, JANINE	HARTFORD LEADERS 2	108,621.24	67.89	0.00	67.89	90.0	61.10
09/29/2017	ROSIPAL, HERBERT	HARTFORD LEADERS 2	3,225.65	2.02	0.00	2.02	90.0	1.82
09/29/2017	STAGNER, JEAN	HARTFORD LEADERS 2	141,145.20	88.22	0.00	88.22	90.0	79.40
09/29/2017	KLEMT, WILLIAM	HARTFORD LEADERS 2	90,025.87	56.27	0.00	56.27	90.0	50.64
09/29/2017	KELLEY, DOLORES	HARTFORD LEADERS 2	3,595.46	2.25	0.00	2.25	90.0	2.03
09/29/2017	GORDON, HENRIETTA	HARTFORD LEADERS 2	190,157.08	118.85	0.00	118.85	90.0	106.97
09/29/2017	KORNEGAY, ALISA	HARTFORD LEADERS EDGE 41659Q324	393,824.65	246.14	0.00	246.14	90.0	221.53
09/29/2017	KORNEGAY, ALISA	HARTFORD LEADERS EDGE 41659Q324	76,477.26	47.80	0.00	47.80	90.0	43.02
09/29/2017	BLAHA, TRONA	HARTFORD LEADERS EDGE 41659Q324	132,098.78	82.56	0.00	82.56	90.0	74.30
09/29/2017	WILSON, MARY	HARTFORD LEADERS EDGE 41659Q324	246,170.84	153.86	0.00	153.86	90.0	138.47
09/29/2017	BARTOSH, PATRICIA	HARTFORD LEADERS EDGE 41659Q324	61,356.06	38.35	0.00	38.35	90.0	34.52
09/29/2017	DROMGOOLE, NONA	HARTFORD LEADERS OUTLOOK 2	427,655.08	1,069.14	0.00	1,069.14	90.0	962.23
09/29/2017	KLEMT, RUTH	HARTFORD LIFE DIRECTOR 8	153,952.29	96.22	0.00	96.22	90.0	86.60
09/30/2017	MASON, JOHN	JNL PERSPECTIVE ADV II 5/05	449,780.19	374.82	0.00	374.82	90.0	337.34
09/30/2017	MASON, JOHN	JNL PERSPECTIVE L	447,383.56	372.82	0.00	372.82	90.0	335.54
09/30/2017	PEMBERTON, PATRICIA	JOHN HANCOCK VENTURE	18,686.87	3.89	0.00	3.89	90.0	3.50
09/26/2017	MOORE, TERRY	PAC LIFE PORTFOLIOS	0.00	51.79	0.00	51.79	90.0	46.61
09/29/2017	NAIZER, JOHNNIE	PHCM VI 416588408	2,092.64	1.31	0.00	1.31	90.0	1.18
09/30/2017	PRAESEL, ARTHUR	PRU AS APEX II	266,926.65	166.83	0.00	166.83	90.0	150.15
09/30/2017	PRAESEL, ARTHUR	PRU AS APEX II	266,926.65	667.32	0.00	667.32	90.0	600.59
09/30/2017	MCRIGHT, WILLIAM	PRU AS XTRA CREDIT	2,960.73	1.85	0.00	1.85	90.0	1.67

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<b><u>BROKER TRANSACTIONS</u></b>								
<b><u>PRODUCT CATEGORY: VARIABLE ANNUITIES</u></b>								
09/30/2017	MCELROY, BENNETT	PRU PREMIER RETIREMENT L	74,509.93	186.27	0.00	186.27	90.0	167.64
09/30/2017	MCCALL, DONNA	PRU XTRA CREDIT EIGHT	667,289.51	417.06	0.00	417.06	90.0	375.35
09/29/2017	ESCHBERGER, AGNES	THE DIRECTOR M EDGE	269,962.20	168.73	0.00	168.73	90.0	151.86
09/29/2017	ESCHBERGER, AGNES	THE DIRECTOR M EDGE	244,369.72	152.73	0.00	152.73	90.0	137.46
<b>* VARIABLE ANNUITIES SUBTOTAL *</b>			<b>\$8,853,490.36</b>	<b>\$11,316.43</b>	<b>\$0.00</b>	<b>\$11,316.43</b>		<b>\$10,184.85</b>
<b><u>PRODUCT CATEGORY: UNIT INVESTMENT TRUSTS</u></b>								
10/09/2017	HOHMAN, JEROME	FT UNIT 6783 U.S. INFRASTRUCTURE PO	16,502.39	329.99	0.00	329.99	90.0	296.99
10/09/2017	HOHMAN, JEROME	FT UNIT 6846 CAP STRENGTH PORTFOLIO	17,002.69	340.06	0.00	340.06	90.0	306.05
10/09/2017	HOHMAN, JEROME	FT UNIT 6926 EMERGING MARKETS STREN	16,508.33	330.14	0.00	330.14	90.0	297.13
<b>* UNIT INVESTMENT TRUSTS SUBTOTAL *</b>			<b>\$50,013.41</b>	<b>\$1,000.19</b>	<b>\$0.00</b>	<b>\$1,000.19</b>		<b>\$900.17</b>
<b><u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u></b>								
09/11/2017	BUROW, PAUL	ALLIANCEBERNSTEIN INTL VALUE A	0.00	0.93	0.00	0.93	90.0	0.84
09/14/2017	WIESNER, BETTY	AM CENT EQUITY INCOME	0.00	3.04	0.00	3.04	90.0	2.74
09/18/2017	ROSENTHAL, LUCILLE	AM FUNDS AMCAP A	0.00	11.92	0.00	11.92	90.0	10.73
09/18/2017	LUEDTKE, LOIS	AM FUNDS AMCAP A	0.00	12.00	0.00	12.00	90.0	10.80
09/18/2017	ASPRA, TRISSA	AM FUNDS AMCAP A	0.00	2.58	0.00	2.58	90.0	2.32
09/18/2017	NMN & NJN MGMT TRUST	AM FUNDS AMCAP A	0.00	1.58	0.00	1.58	90.0	1.42
09/18/2017	MICHNA, RHYS	AM FUNDS AMCAP A	0.00	1.31	0.00	1.31	90.0	1.18
09/18/2017	SCOTT, MONYAN	AM FUNDS AMCAP A	0.00	27.31	0.00	27.31	90.0	24.58
09/18/2017	SPECKELS, MELBA	AM FUNDS AMERICAN BALANCED A	0.00	1.26	0.00	1.26	90.0	1.13
09/18/2017	FUESSEL, NORMAN	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	3.35	0.00	3.35	90.0	3.02
09/18/2017	FUESSEL NE & NA TR, NORMAN	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	35.08	0.00	35.08	90.0	31.57
09/18/2017	SPECKELS, MELBA	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	1.63	0.00	1.63	90.0	1.47
09/18/2017	ROSENTHAL, LUCILLE	AM FUNDS AMERICAN MUTUAL A	0.00	18.39	0.00	18.39	90.0	16.55
09/18/2017	FUESSEL IRREV TR, NORMAN	AM FUNDS AMERICAN MUTUAL A	0.00	8.50	0.00	8.50	90.0	7.65
09/18/2017	NMN & NJN MGMT TRUST	AM FUNDS AMERICAN MUTUAL A	0.00	0.98	0.00	0.98	90.0	0.88
09/18/2017	SCOTT, MONYAN	AM FUNDS AMERICAN MUTUAL A	0.00	23.85	0.00	23.85	90.0	21.47
09/18/2017	IVICIC, MARY	AM FUNDS AMERICAN MUTUAL A	0.00	2.78	0.00	2.78	90.0	2.50
09/18/2017	CHEATHAM, JIMMY	AM FUNDS CAPITAL INCOME BUILDER A	0.00	11.28	0.00	11.28	90.0	10.15
09/18/2017	PRAESEL, ARTHUR	AM FUNDS CAPITAL INCOME BUILDER A	0.00	21.94	0.00	21.94	90.0	19.75
09/18/2017	ROSENTHAL, LUCILLE	AM FUNDS CAPITAL INCOME BUILDER A	0.00	33.66	0.00	33.66	90.0	30.29
09/18/2017	FUESSEL, NORMAN	AM FUNDS CAPITAL INCOME BUILDER A	0.00	20.74	0.00	20.74	90.0	18.67

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<b><u>BROKER TRANSACTIONS</u></b>								
<b><u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u></b>								
09/18/2017	FUESSEL NE & NA TR, NORMAN	AM FUNDS CAPITAL INCOME BUILDER A	0.00	18.95	0.00	18.95	90.0	17.06
09/18/2017	BRUECKNER, KIMBERLY	AM FUNDS CAPITAL INCOME BUILDER A	0.00	5.42	0.00	5.42	90.0	4.88
09/18/2017	KELLEY, DOLORES	AM FUNDS CAPITAL INCOME BUILDER A	0.00	6.29	0.00	6.29	90.0	5.66
09/18/2017	LOGHRY, DORIS	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.06	0.00	0.06	90.0	0.05
09/18/2017	PEKAR, DAVID	AM FUNDS CAPITAL INCOME BUILDER A	0.00	7.78	0.00	7.78	90.0	7.00
09/18/2017	SPECKELS, WARREN	AM FUNDS CAPITAL INCOME BUILDER A	0.00	1.39	0.00	1.39	90.0	1.25
09/18/2017	SPECKELS, MELBA	AM FUNDS CAPITAL INCOME BUILDER A	0.00	2.06	0.00	2.06	90.0	1.85
09/18/2017	BRANSON, BARBARA	AM FUNDS CAPITAL INCOME BUILDER A	0.00	3.28	0.00	3.28	90.0	2.95
09/18/2017	MORRIS, JANINE	AM FUNDS CAPITAL INCOME BUILDER A	0.00	9.25	0.00	9.25	90.0	8.33
09/18/2017	SCOTT, MONYAN	AM FUNDS CAPITAL INCOME BUILDER A	0.00	21.68	0.00	21.68	90.0	19.51
09/18/2017	URBAN, LONNIE	AM FUNDS CAPITAL INCOME BUILDER A	0.00	1.53	0.00	1.53	90.0	1.38
09/18/2017	MOORE, TERRY	AM FUNDS CAPITAL INCOME BUILDER C	0.00	33.42	0.00	33.42	90.0	30.08
09/18/2017	ROSENTHAL, LUCILLE	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	31.14	0.00	31.14	90.0	28.03
09/18/2017	FUESSEL IRREV TR, NORMAN	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	8.68	0.00	8.68	90.0	7.81
09/18/2017	BRUECKNER, KIMBERLY	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	15.22	0.00	15.22	90.0	13.70
09/18/2017	KELLEY, DOLORES	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	5.09	0.00	5.09	90.0	4.58
09/18/2017	NMN & NJN MGMT TRUST	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	1.15	0.00	1.15	90.0	1.04
09/18/2017	SCOTT, MONYAN	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	31.27	0.00	31.27	90.0	28.14
09/18/2017	HOHMAN, JEROME	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	9.07	0.00	9.07	90.0	8.16
09/18/2017	DROMGOOLE, NONA	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	6.24	0.00	6.24	90.0	5.62
09/18/2017	URBAN, LONNIE	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	1.70	0.00	1.70	90.0	1.53
09/18/2017	IVICIC, MARY	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	1.30	0.00	1.30	90.0	1.17
09/18/2017	FUESSEL NE & NA TR, NORMAN	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	18.66	0.00	18.66	90.0	16.79
09/18/2017	LUEDTKE, LOIS	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	17.58	0.00	17.58	90.0	15.82
09/18/2017	KELLEY, DOLORES	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	4.52	0.00	4.52	90.0	4.07
09/18/2017	ROSENTHAL, LUCILLE	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	38.75	0.00	38.75	90.0	34.88
09/18/2017	BRUECKNER, KIMBERLY	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	19.36	0.00	19.36	90.0	17.42
09/18/2017	NMN & NJN MGMT TRUST	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	1.56	0.00	1.56	90.0	1.40
09/18/2017	SCOTT, MONYAN	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	39.33	0.00	39.33	90.0	35.40
09/18/2017	DROMGOOLE, NONA	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	7.38	0.00	7.38	90.0	6.64
09/18/2017	EWING LIVING TRUST, JACK &	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	7.03	0.00	7.03	90.0	6.33
09/18/2017	IVICIC, MARY	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	3.51	0.00	3.51	90.0	3.16
09/18/2017	ROSENTHAL, LUCILLE	AM FUNDS GROWTH FUND OF AMERICA A	0.00	12.85	0.00	12.85	90.0	11.57

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<b><u>BROKER TRANSACTIONS</u></b>								
<b><u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u></b>								
09/18/2017	FUESSEL IRREV TR, NORMAN	AM FUNDS GROWTH FUND OF AMERICA A	0.00	51.31	0.00	51.31	90.0	46.18
09/18/2017	LUEDTKE, LOIS	AM FUNDS GROWTH FUND OF AMERICA A	0.00	37.65	0.00	37.65	90.0	33.89
09/18/2017	ASPRA, TRISSA	AM FUNDS GROWTH FUND OF AMERICA A	0.00	2.83	0.00	2.83	90.0	2.55
09/18/2017	BRUECKNER, KIMBERLY	AM FUNDS GROWTH FUND OF AMERICA A	0.00	19.68	0.00	19.68	90.0	17.71
09/18/2017	ROSIPAL, HERBERT	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.13	0.00	0.13	90.0	0.12
09/18/2017	KELLEY, DOLORES	AM FUNDS GROWTH FUND OF AMERICA A	0.00	5.79	0.00	5.79	90.0	5.21
09/18/2017	LAWHON, JACKIE	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.38	0.00	0.38	90.0	0.34
09/18/2017	NMN & NJN MGMT TRUST	AM FUNDS GROWTH FUND OF AMERICA A	0.00	1.57	0.00	1.57	90.0	1.41
09/18/2017	BORGNE JR, ROBERT	AM FUNDS GROWTH FUND OF AMERICA A	0.00	6.74	0.00	6.74	90.0	6.07
09/18/2017	LAWHON, STEVEN	AM FUNDS GROWTH FUND OF AMERICA A	0.00	6.84	0.00	6.84	90.0	6.16
09/18/2017	SPECKELS, WARREN	AM FUNDS GROWTH FUND OF AMERICA A	0.00	2.06	0.00	2.06	90.0	1.85
09/18/2017	MICHNA, RHYS	AM FUNDS GROWTH FUND OF AMERICA A	0.00	1.31	0.00	1.31	90.0	1.18
09/18/2017	MORRIS, JANINE	AM FUNDS GROWTH FUND OF AMERICA A	0.00	18.75	0.00	18.75	90.0	16.88
09/18/2017	SCOTT, MONYUAN	AM FUNDS GROWTH FUND OF AMERICA A	0.00	42.28	0.00	42.28	90.0	38.05
09/18/2017	LAWHON, BRAEDEN	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.86	0.00	0.86	90.0	0.77
09/18/2017	DROMGOOLE, NONA	AM FUNDS GROWTH FUND OF AMERICA A	0.00	7.53	0.00	7.53	90.0	6.78
09/18/2017	MOORE, TERRY	AM FUNDS GROWTH FUND OF AMERICA A	0.00	2.25	0.00	2.25	90.0	2.03
09/18/2017	OHE, DRAKE	AM FUNDS GROWTH FUND OF AMERICA A	0.00	1.20	0.00	1.20	90.0	1.08
09/18/2017	OHE, EUGENIA	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.80	0.00	0.80	90.0	0.72
09/18/2017	URBAN, LONNIE	AM FUNDS GROWTH FUND OF AMERICA A	0.00	2.13	0.00	2.13	90.0	1.92
09/18/2017	LAWHON, MAISEN	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.59	0.00	0.59	90.0	0.53
09/18/2017	IVICIC, MARY	AM FUNDS GROWTH FUND OF AMERICA A	0.00	3.16	0.00	3.16	90.0	2.84
09/18/2017	DROMGOOLE, NONA	AM FUNDS ICA A	0.00	6.08	0.00	6.08	90.0	5.47
09/18/2017	EWING JR, JACK	AM FUNDS ICA A	0.00	8.84	0.00	8.84	90.0	7.96
09/18/2017	CHEATHAM, JIMMY	AM FUNDS INCOME FUND OF AMERICA A	0.00	10.80	0.00	10.80	90.0	9.72
09/18/2017	PRAESEL, ARTHUR	AM FUNDS INCOME FUND OF AMERICA A	0.00	26.21	0.00	26.21	90.0	23.59
09/18/2017	ROSENTHAL, LUCILLE	AM FUNDS INCOME FUND OF AMERICA A	0.00	38.95	0.00	38.95	90.0	35.06
09/18/2017	FUESSEL, NORMAN	AM FUNDS INCOME FUND OF AMERICA A	0.00	19.84	0.00	19.84	90.0	17.86
09/18/2017	FUESSEL NE & NA TR, NORMAN	AM FUNDS INCOME FUND OF AMERICA A	0.00	17.68	0.00	17.68	90.0	15.91
09/18/2017	BRUECKNER, KIMBERLY	AM FUNDS INCOME FUND OF AMERICA A	0.00	10.49	0.00	10.49	90.0	9.44
09/18/2017	KELLEY, DOLORES	AM FUNDS INCOME FUND OF AMERICA A	0.00	5.02	0.00	5.02	90.0	4.52
09/18/2017	SPECKELS, MELBA	AM FUNDS INCOME FUND OF AMERICA A	0.00	2.00	0.00	2.00	90.0	1.80
09/18/2017	FISCHER, HAROLD	AM FUNDS INCOME FUND OF AMERICA A	0.00	1.62	0.00	1.62	90.0	1.46

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<b><u>BROKER TRANSACTIONS</u></b>								
<b><u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u></b>								
09/18/2017	HAMITER, DONNIE	AM FUNDS INCOME FUND OF AMERICA A	0.00	10.56	0.00	10.56	90.0	9.50
09/18/2017	MORRIS, JANINE	AM FUNDS INCOME FUND OF AMERICA A	0.00	13.64	0.00	13.64	90.0	12.28
09/18/2017	SCOTT, MONYAN	AM FUNDS INCOME FUND OF AMERICA A	0.00	28.40	0.00	28.40	90.0	25.56
09/18/2017	KLEMT, RUTH	AM FUNDS INCOME FUND OF AMERICA A	0.00	1.81	0.00	1.81	90.0	1.63
09/18/2017	WILSON, MARY	AM FUNDS INCOME FUND OF AMERICA A	0.00	5.03	0.00	5.03	90.0	4.53
09/18/2017	EWING LIVING TRUST, JACK &	AM FUNDS INCOME FUND OF AMERICA A	0.00	16.29	0.00	16.29	90.0	14.66
09/18/2017	KETTLE, MARVIN	AM FUNDS INCOME FUND OF AMERICA A	0.00	3.68	0.00	3.68	90.0	3.31
09/18/2017	NMN & NJN MGMT TRUST	AM FUNDS INTL GROWTH AND INCOME A	0.00	0.62	0.00	0.62	90.0	0.56
09/18/2017	DROMGOOLE, NONA	AM FUNDS INTL GROWTH AND INCOME A	0.00	4.84	0.00	4.84	90.0	4.36
09/18/2017	BRUECKNER, KIMBERLY	AM FUNDS NEW ECONOMY A	0.00	13.97	0.00	13.97	90.0	12.57
09/18/2017	WILSON, MARY	AM FUNDS NEW ECONOMY A	0.00	11.49	0.00	11.49	90.0	10.34
09/18/2017	BRUECKNER, KIMBERLY	AM FUNDS NEW PERSPECTIVE A	0.00	12.19	0.00	12.19	90.0	10.97
09/18/2017	MORRIS, JANINE	AM FUNDS NEW PERSPECTIVE A	0.00	20.64	0.00	20.64	90.0	18.58
09/18/2017	SCOTT, MONYAN	AM FUNDS NEW PERSPECTIVE A	0.00	36.73	0.00	36.73	90.0	33.06
09/18/2017	NMN & NJN MGMT TRUST	AM FUNDS NEW WORLD A	0.00	0.32	0.00	0.32	90.0	0.29
09/18/2017	DROMGOOLE, NONA	AM FUNDS NEW WORLD A	0.00	4.70	0.00	4.70	90.0	4.23
09/18/2017	BRUECKNER, KIMBERLY	AM FUNDS SMALLCAP WORLD A	0.00	10.62	0.00	10.62	90.0	9.56
09/18/2017	NMN & NJN MGMT TRUST	AM FUNDS SMALLCAP WORLD A	0.00	1.37	0.00	1.37	90.0	1.23
09/18/2017	DROMGOOLE, NONA	AM FUNDS SMALLCAP WORLD A	0.00	1.73	0.00	1.73	90.0	1.56
09/18/2017	FUESSEL, NORMAN	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	15.42	0.00	15.42	90.0	13.88
09/18/2017	FUESSEL IRREV TR, NORMAN	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	8.39	0.00	8.39	90.0	7.55
09/18/2017	FUESSEL NE & NA TR, NORMAN	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	65.78	0.00	65.78	90.0	59.20
09/18/2017	BRUECKNER, KIMBERLY	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	12.19	0.00	12.19	90.0	10.97
09/18/2017	KORNEGAY, ALISA	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.30	0.00	0.30	90.0	0.27
09/18/2017	KELLEY, DOLORES	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	8.28	0.00	8.28	90.0	7.45
09/18/2017	LAWHON, JACKIE	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	47.49	0.00	47.49	90.0	42.74
09/18/2017	SPECKELS, WARREN	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	2.61	0.00	2.61	90.0	2.35
09/18/2017	SPECKELS, MELBA	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	1.76	0.00	1.76	90.0	1.58
09/18/2017	SPECKELS, MELBA	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	1.60	0.00	1.60	90.0	1.44
09/18/2017	GILLIGAN, DOROTHY	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	7.32	0.00	7.32	90.0	6.59
09/18/2017	STOLTE, VERNALINE	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.59	0.00	0.59	90.0	0.53
09/18/2017	MORRIS, JANINE	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	19.73	0.00	19.73	90.0	17.76
09/18/2017	SMITH, MICHAEL	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	1.44	0.00	1.44	90.0	1.30

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<b><u>BROKER TRANSACTIONS</u></b>								
<b><u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u></b>								
09/18/2017	BUROW, PAUL	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	1.41	0.00	1.41	90.0	1.27
09/18/2017	DALJO LTD PT	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	31.15	0.00	31.15	90.0	28.04
09/18/2017	HOHMAN, JEROME	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	5.63	0.00	5.63	90.0	5.07
09/18/2017	WILSON, MARY	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	17.44	0.00	17.44	90.0	15.70
09/18/2017	WIESNER, BETTY	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	3.62	0.00	3.62	90.0	3.26
09/18/2017	EWING LIVING TRUST, JACK &	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	24.09	0.00	24.09	90.0	21.68
09/18/2017	URBAN, LONNIE	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	1.95	0.00	1.95	90.0	1.76
09/18/2017	IVICIC, MARY	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	3.53	0.00	3.53	90.0	3.18
09/26/2017	EWING JR, JACK	BLK GLOBAL ALLOCATION C	0.00	16.33	0.00	16.33	90.0	14.70
09/26/2017	EWING LIVING TRUST, JACK &	BLK GLOBAL ALLOCATION C	0.00	58.54	0.00	58.54	90.0	52.69
09/20/2017	SMITH, JUDY	CALAMOS GROWTH C	0.00	35.52	0.00	35.52	90.0	31.97
09/01/2017	KETTLE, MARVIN	CLEARBRIDGE AGGRESSIVE	0.00	3.71	0.00	3.71	90.0	3.34
09/14/2017	KETTLE, MARVIN	CLEARBRIDGE AGGRESSIVE	0.00	3.65	0.00	3.65	90.0	3.29
09/01/2017	KETTLE, MARVIN	CLEARBRIDGE APPRECIATION FUND CLASS	0.00	2.00	0.00	2.00	90.0	1.80
09/14/2017	KETTLE, MARVIN	CLEARBRIDGE APPRECIATION FUND CLASS	0.00	2.01	0.00	2.01	90.0	1.81
09/01/2017	PEMBERTON, PATRICIA	CLEARBRIDGE SMALL CAP GROWTH FUND C	0.00	4.12	0.00	4.12	90.0	3.71
09/14/2017	PEMBERTON, PATRICIA	CLEARBRIDGE SMALL CAP GROWTH FUND C	0.00	4.00	0.00	4.00	90.0	3.60
09/15/2017	WIESNER, BETTY	COLUMBIA ACORN A	0.00	1.62	0.00	1.62	90.0	1.46
09/15/2017	MCELROY, BENNETT	COLUMBIA MARSICO FOCUSED EQUITIES F	0.00	9.23	0.00	9.23	90.0	8.31
09/20/2017	CHEATHAM, JIMMY	FEDERATED CLOVER VALUE A	0.00	1.83	0.00	1.83	90.0	1.65
09/20/2017	CHEATHAM, JIMMY	FEDERATED EQUITY INCOME A	0.00	9.78	0.00	9.78	90.0	8.80
09/20/2017	CHEATHAM, JIMMY	FEDERATED KAUFMANN FUND A	0.00	2.54	0.00	2.54	90.0	2.29
09/20/2017	CHEATHAM, JIMMY	FEDERATED MDT MID CAP GROWTH STRATE	0.00	3.06	0.00	3.06	90.0	2.75
09/20/2017	ESCHBERGER TRUST, JACK & AGNES	FIDELITY ADV NEW INSIGHTS-CL A	0.00	0.65	0.00	0.65	90.0	0.59
09/20/2017	NMN & NUN MGMT TRUST	FIDELITY ADV NEW INSIGHTS-CL A	0.00	1.51	0.00	1.51	90.0	1.36
09/20/2017	NAIZER TRUST, NOLAN	FIDELITY ADV NEW INSIGHTS-CL A	0.00	0.34	0.00	0.34	90.0	0.31
09/20/2017	NAIZER TRUST, NOEL	FIDELITY ADV NEW INSIGHTS-CL A	0.00	0.22	0.00	0.22	90.0	0.20
09/20/2017	WIESNER, BETTY	FIDELITY ADV NEW INSIGHTS-CL A	0.00	3.54	0.00	3.54	90.0	3.19
09/20/2017	MCELROY, BENNETT	FIDELITY ADV STRATEGIC INCOME A	0.00	4.11	0.00	4.11	90.0	3.70
09/14/2017	COOPER, ADAM	FRANKLIN MUTUAL GLOBAL DISCOVERY A	0.00	3.93	0.00	3.93	90.0	3.54
09/14/2017	COOPER, ADAM	FRANKLIN MUTUAL GLOBAL DISCOVERY A	0.00	5.71	0.00	5.71	90.0	5.14
09/14/2017	COOPER, ADAM	FRANKLIN MUTUAL QUEST A	0.00	5.55	0.00	5.55	90.0	5.00
09/14/2017	COOPER, ADAM	FRANKLIN RISING DIVIDENDS A	0.00	5.18	0.00	5.18	90.0	4.66

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<b><u>BROKER TRANSACTIONS</u></b>								
<b><u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u></b>								
09/15/2017	ENOCHS, LELAND	GOLDMAN SACHS CAPITAL GROWTH FUND C	0.00	9.68	0.00	9.68	90.0	8.71
09/15/2017	ENOCHS, LELAND	GOLDMAN SACHS FOCUSED INTL EQUITY F	0.00	2.79	0.00	2.79	90.0	2.51
09/15/2017	HAMITER, DONNIE	GOLDMAN SACHS SMALL CAP VALUE FUND-	0.00	0.62	0.00	0.62	90.0	0.56
09/15/2017	STOLTE, VERNALINE	GOLDMAN SACHS U.S. EQUITY INSIGHTS	0.00	0.31	0.00	0.31	90.0	0.28
09/15/2017	BURKHART, KRISTI	GOLDMAN SACHS U.S. EQUITY INSIGHTS	0.00	1.63	0.00	1.63	90.0	1.47
09/20/2017	FUESSEL IRREV TR, NORMAN	GRIFFIN INSTITUTIONAL ACCESS REAL E	0.00	11.30	0.00	11.30	90.0	10.17
09/20/2017	MCRIGHT, WILLIAM	GRIFFIN INSTITUTIONAL ACCESS REAL E	0.00	1.59	0.00	1.59	90.0	1.43
09/20/2017	MCRIGHT, BETTY	GRIFFIN INSTITUTIONAL ACCESS REAL E	0.00	0.60	0.00	0.60	90.0	0.54
09/20/2017	BELL, EDDY	GRIFFIN INSTITUTIONAL ACCESS REAL E	0.00	3.05	0.00	3.05	90.0	2.75
09/20/2017	BELL, EDDY	GRIFFIN INSTITUTIONAL ACCESS REAL E	0.00	3.09	0.00	3.09	90.0	2.78
09/20/2017	BELL, PATTI	GRIFFIN INSTITUTIONAL ACCESS REAL E	0.00	1.40	0.00	1.40	90.0	1.26
09/20/2017	STAGNER TRUST, JAMES	GRIFFIN INSTITUTIONAL ACCESS REAL E	0.00	6.99	0.00	6.99	90.0	6.29
09/20/2017	PAULSEN, ROGER	GRIFFIN INSTITUTIONAL ACCESS REAL E	0.00	7.59	0.00	7.59	90.0	6.83
09/20/2017	BAGGETT, PETE	GRIFFIN INSTITUTIONAL ACCESS REAL E	0.00	7.29	0.00	7.29	90.0	6.56
09/20/2017	BAGGETT, JARROD	GRIFFIN INSTITUTIONAL ACCESS REAL E	0.00	3.14	0.00	3.14	90.0	2.83
09/20/2017	LUERSEN, JENNIFER	GRIFFIN INSTITUTIONAL ACCESS REAL E	0.00	10.45	0.00	10.45	90.0	9.41
09/19/2017	CHEATHAM, JIMMY	HARTFORD BALANCED A	0.00	0.91	0.00	0.91	90.0	0.82
09/19/2017	FLEMING, JERRY	HARTFORD BALANCED A	0.00	1.54	0.00	1.54	90.0	1.39
09/19/2017	RAESZ TTEE, BARBARA	HARTFORD BALANCED ALLOCATION A	0.00	3.98	0.00	3.98	90.0	3.58
09/19/2017	RAESZ TTEE, BARBARA	HARTFORD BALANCED ALLOCATION A	0.00	2.08	0.00	2.08	90.0	1.87
09/19/2017	TAISLER, JESSE	HARTFORD CAPITAL APP II A	0.00	1.72	0.00	1.72	90.0	1.55
09/19/2017	MASON, ELEANOR	HARTFORD CAPITAL APP II A	0.00	1.17	0.00	1.17	90.0	1.05
09/19/2017	SCOTT, MONYEAN	HARTFORD CAPITAL APP II A	0.00	16.22	0.00	16.22	90.0	14.60
09/19/2017	CHEATHAM, JIMMY	HARTFORD CAPITAL APPRECIATION A	0.00	9.82	0.00	9.82	90.0	8.84
09/19/2017	ROSENTHAL, LUCILLE	HARTFORD CAPITAL APPRECIATION A	0.00	11.51	0.00	11.51	90.0	10.36
09/19/2017	BRUECKNER, KIMBERLY	HARTFORD CAPITAL APPRECIATION A	0.00	13.07	0.00	13.07	90.0	11.76
09/19/2017	HAMANN, LARRY	HARTFORD CAPITAL APPRECIATION A	0.00	9.58	0.00	9.58	90.0	8.62
09/19/2017	FLEMING, JERRY	HARTFORD CAPITAL APPRECIATION A	0.00	5.86	0.00	5.86	90.0	5.27
09/19/2017	TAISLER, JESSE	HARTFORD CAPITAL APPRECIATION A	0.00	1.41	0.00	1.41	90.0	1.27
09/19/2017	MOORE, TERRY	HARTFORD CAPITAL APPRECIATION C	0.00	24.71	0.00	24.71	90.0	22.24
09/19/2017	CHEATHAM, JIMMY	HARTFORD DIVIDEND & GROWTH A	0.00	4.75	0.00	4.75	90.0	4.28
09/19/2017	BRUECKNER, KIMBERLY	HARTFORD DIVIDEND & GROWTH A	0.00	5.47	0.00	5.47	90.0	4.92
09/19/2017	HAMANN, LARRY	HARTFORD DIVIDEND & GROWTH A	0.00	4.15	0.00	4.15	90.0	3.74

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<b><u>BROKER TRANSACTIONS</u></b>								
<b><u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u></b>								
09/19/2017	FLEMING, JERRY	HARTFORD DIVIDEND & GROWTH A	0.00	5.05	0.00	5.05	90.0	4.55
09/19/2017	TAISLER, JESSE	HARTFORD DIVIDEND & GROWTH A	0.00	1.90	0.00	1.90	90.0	1.71
09/19/2017	RAESZ TTEE, BARBARA	HARTFORD GROWTH ALLOCATION A	0.00	3.86	0.00	3.86	90.0	3.47
09/19/2017	RAESZ TTEE, BARBARA	HARTFORD GROWTH ALLOCATION A	0.00	2.13	0.00	2.13	90.0	1.92
09/19/2017	EWING, JOHN	HARTFORD GROWTH ALLOCATION A	0.00	0.86	0.00	0.86	90.0	0.77
09/19/2017	ROSENTHAL, LUCILLE	HARTFORD GROWTH OPP A	0.00	10.97	0.00	10.97	90.0	9.87
09/19/2017	SCOTT, MONYUAN	HARTFORD GROWTH OPP A	0.00	19.11	0.00	19.11	90.0	17.20
09/19/2017	ROSENTHAL, LUCILLE	HARTFORD INT'L GROWTH A	0.00	7.20	0.00	7.20	90.0	6.48
09/19/2017	CHEATHAM, JIMMY	HARTFORD MIDCAP A	0.00	6.97	0.00	6.97	90.0	6.27
09/19/2017	FLEMING, JERRY	HARTFORD MIDCAP A	0.00	6.12	0.00	6.12	90.0	5.51
09/19/2017	ROSENTHAL, LUCILLE	HARTFORD MIDCAP VALUE A	0.00	12.48	0.00	12.48	90.0	11.23
09/19/2017	MASON, ELEANOR	HARTFORD MIDCAP VALUE A	0.00	0.75	0.00	0.75	90.0	0.68
09/19/2017	BRUECKNER, KIMBERLY	HARTFORD SMALL-COMPANY FUND CLASS A	0.00	5.44	0.00	5.44	90.0	4.90
09/19/2017	TAISLER, JESSE	HARTFORD VALUE OPPORTUNITY FUND CLA	0.00	1.88	0.00	1.88	90.0	1.69
09/19/2017	MASON, ELEANOR	HARTFUND EQUITY INCIME FUND A	0.00	0.66	0.00	0.66	90.0	0.59
09/08/2017	BEEMAN, MICHAEL	HIGHLAND FLOATING RATE OPPORTUNITIE	0.00	0.63	0.00	0.63	90.0	0.57
09/15/2017	ESCHBERGER TRUST, JACK & AGNESJH	DISCIPLINED VALUE A	0.00	1.22	0.00	1.22	90.0	1.10
09/15/2017	ROSENTHAL, LUCILLE	JH DISCIPLINED VALUE A	0.00	0.62	0.00	0.62	90.0	0.56
09/15/2017	SCARBOROUGH, ROBERT	JH DISCIPLINED VALUE A	0.00	0.96	0.00	0.96	90.0	0.86
09/15/2017	NMN & NUN MGMT TRUST	JH DISCIPLINED VALUE A	0.00	2.97	0.00	2.97	90.0	2.67
09/15/2017	NAIZER TRUST, NOLAN	JH DISCIPLINED VALUE A	0.00	0.56	0.00	0.56	90.0	0.50
09/15/2017	NAIZER TRUST, NOEL	JH DISCIPLINED VALUE A	0.00	0.41	0.00	0.41	90.0	0.37
09/15/2017	OLSON, DALE	JH DISCIPLINED VALUE A	0.00	2.38	0.00	2.38	90.0	2.14
09/15/2017	KETTLE, MARVIN	JH DISCIPLINED VALUE A	0.00	1.05	0.00	1.05	90.0	0.95
09/15/2017	MCELROY, BENNETT	JH STRATEGIC INCOME A	0.00	4.12	0.00	4.12	90.0	3.71
09/15/2017	SCARBOROUGH, ROBERT	JOHN HANCOCK GLOBAL ABSOLUTE RETURN	0.00	0.73	0.00	0.73	90.0	0.66
09/15/2017	NMN & NUN MGMT TRUST	JOHN HANCOCK GLOBAL ABSOLUTE RETURN	0.00	1.78	0.00	1.78	90.0	1.60
09/15/2017	NAIZER TRUST, NOLAN	JOHN HANCOCK GLOBAL ABSOLUTE RETURN	0.00	0.10	0.00	0.10	90.0	0.09
09/15/2017	NAIZER TRUST, NOEL	JOHN HANCOCK GLOBAL ABSOLUTE RETURN	0.00	0.18	0.00	0.18	90.0	0.16
09/15/2017	OLSON, DALE	JOHN HANCOCK GLOBAL ABSOLUTE RETURN	0.00	0.55	0.00	0.55	90.0	0.50
09/15/2017	MASON, JOHN	JOHN HANCOCK GLOBAL ABSOLUTE RETURN	0.00	6.12	0.00	6.12	90.0	5.51
09/15/2017	KETTLE, MARVIN	JOHN HANCOCK GLOBAL ABSOLUTE RETURN	0.00	0.36	0.00	0.36	90.0	0.32
09/01/2017	KETTLE, MARVIN	LEGG MASON CLEARBRIDGE FUNDAMENTAL	0.00	3.20	0.00	3.20	90.0	2.88

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<b><u>BROKER TRANSACTIONS</u></b>								
<b><u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u></b>								
09/14/2017	KETTLE, MARVIN	LEGG MASON CLEARBRIDGE FUNDAMENTAL	0.00	3.16	0.00	3.16	90.0	2.84
09/21/2017	CHEATHAM, JIMMY	LORD ABBETT AFFILIATED A	0.00	1.80	0.00	1.80	90.0	1.62
09/21/2017	SPECKELS, MELBA	LORD ABBETT AFFILIATED A	0.00	0.77	0.00	0.77	90.0	0.69
09/21/2017	CHEATHAM, JIMMY	LORD ABBETT ALPHA STRATEGY A	0.00	3.78	0.00	3.78	90.0	3.40
09/21/2017	FUESSEL NE & NA TR, NORMAN	LORD ABBETT BOND DEBENTURE A	0.00	6.17	0.00	6.17	90.0	5.55
09/21/2017	CHEATHAM, JIMMY	LORD ABBETT CALIBRATED DIVIDEND GRO	0.00	2.21	0.00	2.21	90.0	1.99
09/21/2017	FUESSEL IRREV TR, NORMAN	LORD ABBETT CALIBRATED DIVIDEND GRO	0.00	11.88	0.00	11.88	90.0	10.69
09/21/2017	BRUECKNER, KIMBERLY	LORD ABBETT CALIBRATED DIVIDEND GRO	0.00	7.79	0.00	7.79	90.0	7.01
09/21/2017	SPECKELS, MELBA	LORD ABBETT CALIBRATED DIVIDEND GRO	0.00	0.94	0.00	0.94	90.0	0.85
09/21/2017	CHEATHAM, JIMMY	LORD ABBETT DEVELOPING GROWTH A	0.00	3.66	0.00	3.66	90.0	3.29
09/21/2017	FUESSEL IRREV TR, NORMAN	LORD ABBETT DEVELOPING GROWTH A	0.00	13.34	0.00	13.34	90.0	12.01
09/21/2017	BRUECKNER, KIMBERLY	LORD ABBETT FUNDAMENTAL EQUITY A	0.00	10.25	0.00	10.25	90.0	9.23
09/21/2017	SPECKELS, MELBA	LORD ABBETT FUNDAMENTAL EQUITY A	0.00	0.76	0.00	0.76	90.0	0.68
09/21/2017	SPECKELS, MELBA	LORD ABBETT GROWTH OPPORTUNITIES FU	0.00	0.59	0.00	0.59	90.0	0.53
09/21/2017	STAGNER TRUST, JAMES	LORD ABBETT INVT TR FLTG RATE A	0.00	6.71	0.00	6.71	90.0	6.04
09/21/2017	CHEATHAM, JIMMY	LORD ABBETT MID CAP STOCK A	0.00	7.24	0.00	7.24	90.0	6.52
09/21/2017	FUESSEL IRREV TR, NORMAN	LORD ABBETT MID CAP STOCK A	0.00	17.17	0.00	17.17	90.0	15.45
09/21/2017	BRUECKNER, KIMBERLY	LORD ABBETT MID CAP STOCK A	0.00	10.24	0.00	10.24	90.0	9.22
09/18/2017	ROSENTHAL, LUCILLE	LTD TERM TAX-EX BOND FUND OF AMERIC	0.00	4.88	0.00	4.88	90.0	4.39
09/14/2017	PEARSON, GRANT	MFS LIFETIME RETIREMENT INCOME FUND	0.00	43.43	0.00	43.43	90.0	39.09
09/14/2017	MCELROY, BENNETT	MFS VALUE A	0.00	9.66	0.00	9.66	90.0	8.69
09/19/2017	MASON, JOHN	NEUBERGER BERMAN LONG SHORT FUND CL	0.00	5.02	0.00	5.02	90.0	4.52
09/21/2017	WIESNER, BETTY	OPPENHEIMER GLOBAL STRATEGIC INC A	0.00	1.61	0.00	1.61	90.0	1.45
09/19/2017	FUESSEL IRREV TR, NORMAN	PUTNAM ASSET ALLOC GROWTH A	0.00	17.08	0.00	17.08	90.0	15.37
09/01/2017	KETTLE, MARVIN	QS GROWTH FUND CLASS A	0.00	0.61	0.00	0.61	90.0	0.55
09/14/2017	KETTLE, MARVIN	QS GROWTH FUND CLASS A	0.00	0.61	0.00	0.61	90.0	0.55
09/18/2017	FUESSEL IRREV TR, NORMAN	RESOURCE R E DIVERSIFIED INC FUND A	0.00	11.15	0.00	11.15	90.0	10.04
09/18/2017	BELL, EDDY	RESOURCE R E DIVERSIFIED INC FUND A	0.00	10.80	0.00	10.80	90.0	9.72
09/18/2017	STAGNER TRUST, JAMES	RESOURCE R E DIVERSIFIED INC FUND A	0.00	6.89	0.00	6.89	90.0	6.20
09/18/2017	LUERSEN, JENNIFER	RESOURCE R E DIVERSIFIED INC FUND A	0.00	9.84	0.00	9.84	90.0	8.86
09/18/2017	KURTH, KARIANNE	TRANSAMERICA AA GROWTH C	0.00	39.12	0.00	39.12	90.0	35.21
09/18/2017	KURTH, DEREK	TRANSAMERICA AA GROWTH C	0.00	46.84	0.00	46.84	90.0	42.16
09/18/2017	KURTH, DEREK	TRANSAMERICA AA GROWTH C	0.00	28.76	0.00	28.76	90.0	25.88

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<b><u>BROKER TRANSACTIONS</u></b>								
<b><u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u></b>								
09/18/2017	KURTH, DEREK	TRANSAMERICA AA GROWTH C	0.00	1.99	0.00	1.99	90.0	1.79
09/18/2017	KURTH, DEREK	TRANSAMERICA AA GROWTH C	0.00	1.99	0.00	1.99	90.0	1.79
09/18/2017	HERNANDEZ-GAGE, VIRGINIA	TRANSAMERICA AA MOD GROWTH C	0.00	4.35	0.00	4.35	90.0	3.92
09/18/2017	KURTH, DEREK	TRANSAMERICA AA MOD GROWTH C	0.00	6.57	0.00	6.57	90.0	5.91
* MUTUAL FUND 12B1 TRAILS SUBTOTAL *			\$0.00	\$2,331.46	\$0.00	\$2,331.46		\$2,098.47
<b><u>PRODUCT CATEGORY: VARIABLE ANNUITY 12B1 TRAILS</u></b>								
09/30/2017	MCKINNEY-BO, VARIOUS	LFG TRAILS	0.00	1,007.71	0.00	1,007.71	90.0	906.94
09/15/2017	FERGUSON, LINDA	ALLSTATE VA TRAILS	0.00	14.76	0.00	14.76	90.0	13.28
* VARIABLE ANNUITY 12B1 TRAILS SUBTOTAL *			\$0.00	\$1,022.47	\$0.00	\$1,022.47		\$920.22
*** BROKER TRANSACTIONS TOTAL ***			\$8,994,191.20	\$20,870.18	\$60.32	\$20,809.86		\$18,729.06

**SPLIT TRANSACTIONS****BROKER: BO/MO-M145 MCKINNEY #314**

09/15/2017	HG & DG FAMILY LP	INLAND GULF COAST IND'L DST	31,765.89	794.14	0.00	794.14	90.0	714.73
* BO/MO-M145 MCKINNEY SUBTOTAL *			\$31,765.89	\$794.14	\$0.00	\$794.14		\$714.73
*** SPLIT TRANSACTIONS TOTAL ***			\$31,765.89	\$794.14	\$0.00	\$794.14		\$714.73

**ADJUSTMENTS**

10/15/2017	*AI INSIGHT: CURRENT MONTH	0.00						-7.00
10/15/2017	*ALBRIDGE: LIGHT USER	0.00						-76.00
10/15/2017	*CONCIERGE SVC: 199669,199687-GUERR	0.00						-50.00
10/15/2017	*CONCIERGE SVC: 199671-GUERRA TTEE	0.00						-25.00
10/15/2017	*CONCIERGE SVC: 199714-STT LAND CO	0.00						-25.00
10/15/2017	*CONCIERGE SVC: 200040-DAVIDSON	0.00						-50.00
10/15/2017	*DOCUSIGN: CURRENT MONTH	0.00						-18.00
10/15/2017	*EO INS: CURRENT MONTH INS	0.00						-300.00
10/15/2017	*GLOBAL RELAY: FACEBOOK	0.00						-5.00
10/15/2017	*GLOBAL RELAY: WEBSITE	0.00						-15.00
10/15/2017	*LASER APP: CURRENT MONTH	0.00						-18.00

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<b><u>ADJUSTMENTS</u></b>								
10/15/2017		*PERSHING: MF PROSPECTUS	0.00					-4.33
10/15/2017		*PERSHING: UIT PROSPECTUS	0.00					-9.21
10/15/2017		*PERSHING: UIT PROSPECTUS	0.00					-4.31
10/15/2017		*TECHNOLOGY: CURRENT MONTH BASIC	0.00					-180.00
*** ADJUSTMENTS TOTAL ***			\$0.00	\$0.00	\$0.00	\$0.00		\$-786.85

**BROKER COMMISSION TOTALS**

Broker Transactions	\$18,729.06
Split Transactions	\$714.73
Override Transactions	\$0.00
Adjustments	\$-786.85
Payroll Draw	\$0.00
Base Salary	\$0.00
Prior Period Balance	\$0.00
FINRA Assessment	\$0.00
SIPC Assessment	\$0.00

Check Amount	\$18,656.94
Year-to-date Gross	\$238,553.91
Year-to-date Earnings	\$211,907.04

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