



Concorde Investment Services, LLC

02/14/2017
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COMMISSION STATEMENT **February 15, 2017**

NATHANIEL KUHN
612 S. Bristol Lane

BROKER #: K134
BRANCH: KUHN FINANCIAL, INC

Arlington Heights, IL 60005-

DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>BROKER TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: 1031 EXCHANGE</u>								
12/29/2016	BILLINGS TRUST, JULIE	STARBOARD MESA RIDGE DST	200,000.00	12,000.00	0.00	12,000.00	90.0	10,800.00
		* 1031 EXCHANGE SUBTOTAL *	\$200,000.00	\$12,000.00	\$0.00	\$12,000.00		\$10,800.00
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
01/30/2017	WHITE, AMANDA	AM FUNDS AMCAP A	32.50	1.38	0.00	1.38	90.0	1.24
02/01/2017	KOVACH, ERIC	AM FUNDS AMCAP A	25.00	1.06	0.00	1.06	90.0	0.95
02/01/2017	RAPATA, DANIEL	AM FUNDS AMCAP A	50.00	1.38	0.00	1.38	90.0	1.24
02/01/2017	SANTOS, LOURDES	AM FUNDS AMERICAN BALANCED C	100.00	1.00	0.00	1.00	90.0	0.90
02/01/2017	FUSCO, JAMES	AM FUNDS EUROPACIFIC GROWTH FUND A	150.00	5.63	0.00	5.63	90.0	5.07
02/01/2017	RAPATA, DANIEL	AM FUNDS EUROPACIFIC GROWTH FUND A	50.00	1.38	0.00	1.38	90.0	1.24
01/30/2017	WHITE, AMANDA	AM FUNDS FUNDAMENTAL INVESTORS A	32.50	1.38	0.00	1.38	90.0	1.24
02/01/2017	RAPATA, DANIEL	AM FUNDS FUNDAMENTAL INVESTORS A	50.00	1.38	0.00	1.38	90.0	1.24
02/01/2017	WEIL, PAUL	AM FUNDS FUNDAMENTAL INVESTORS A	50.00	2.50	0.00	2.50	90.0	2.25
02/01/2017	TUCCINI, MELISSA	AM FUNDS FUNDAMENTAL INVESTORS A	50.00	2.50	0.00	2.50	90.0	2.25
02/01/2017	ROLLINGER, LAUREN	AM FUNDS FUNDAMENTAL INVESTORS A	50.00	2.50	0.00	2.50	90.0	2.25
02/01/2017	TOWNSEND, KATHERINE	AM FUNDS FUNDAMENTAL INVESTORS A	100.00	5.00	0.00	5.00	90.0	4.50
02/01/2017	WIRTZ, GRETCHEN	AM FUNDS GROWTH AND INCOME 529A	100.00	5.00	0.00	5.00	90.0	4.50
02/01/2017	ALICOT, IRENE	AM FUNDS GROWTH AND INCOME A	100.00	5.00	0.00	5.00	90.0	4.50
01/23/2017	JOHNSON, LISA	AM FUNDS GROWTH FUND OF AMERICA A	50.00	2.50	0.00	2.50	90.0	2.25
01/30/2017	WHITE, AMANDA	AM FUNDS GROWTH FUND OF AMERICA A	32.50	1.38	0.00	1.38	90.0	1.24
02/01/2017	FUSCO, JAMES	AM FUNDS GROWTH FUND OF AMERICA A	50.00	1.88	0.00	1.88	90.0	1.69
02/01/2017	LIEBERMAN, DAVID	AM FUNDS GROWTH FUND OF AMERICA A	50.00	1.88	0.00	1.88	90.0	1.69
02/01/2017	KOVACH, ERIC	AM FUNDS GROWTH FUND OF AMERICA A	25.00	1.06	0.00	1.06	90.0	0.95
02/01/2017	LIVERIS, NICHOLAS	AM FUNDS GROWTH FUND OF AMERICA A	50.00	2.50	0.00	2.50	90.0	2.25
02/01/2017	MANSKE, DONNA	AM FUNDS GROWTH FUND OF AMERICA A	50.00	2.50	0.00	2.50	90.0	2.25
02/01/2017	MUELLNER, KARA	AM FUNDS GROWTH FUND OF AMERICA A	50.00	2.13	0.00	2.13	90.0	1.92
02/01/2017	ROLLINGER, JOHN	AM FUNDS GROWTH FUND OF AMERICA A	50.00	2.50	0.00	2.50	90.0	2.25

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

DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>BROKER TRANSACTIONS</u>								
PRODUCT CATEGORY: MUTUAL FUNDS								
02/01/2017	TOWNSEND, KATHERINE	AM FUNDS GROWTH FUND OF AMERICA A	100.00	5.00	0.00	5.00	90.0	4.50
01/30/2017	WHITE, AMANDA	AM FUNDS ICA A	32.50	1.38	0.00	1.38	90.0	1.24
02/01/2017	KOVACH, ERIC	AM FUNDS ICA A	25.00	1.06	0.00	1.06	90.0	0.95
02/01/2017	RAPATA, DANIEL	AM FUNDS ICA A	50.00	1.38	0.00	1.38	90.0	1.24
02/01/2017	MANSKE, DONNA	AM FUNDS ICA A	50.00	2.50	0.00	2.50	90.0	2.25
02/01/2017	LIEBERMAN, DAVID	AM FUNDS SMALLCAP WORLD A	50.00	1.88	0.00	1.88	90.0	1.69
02/01/2017	KOVACH, ERIC	AM FUNDS SMALLCAP WORLD A	25.00	1.06	0.00	1.06	90.0	0.95
02/01/2017	RAPATA, DANIEL	AM FUNDS SMALLCAP WORLD A	50.00	1.38	0.00	1.38	90.0	1.24
02/01/2017	LIVERIS, NICHOLAS	AM FUNDS SMALLCAP WORLD A	50.00	2.50	0.00	2.50	90.0	2.25
01/31/2017	ESCAREZ, MYRIAM	FT ADJUSTABLE US GOVT SEC CL C	0.00	1.53	0.00	1.53	90.0	1.38
01/31/2017	ESCAREZ, MYRIAM	FT ADJUSTABLE US GOVT SEC CL C	0.00	0.75	0.00	0.75	90.0	0.68
01/31/2017	LADUCA, BRIAN	FT CONSERVATIVE ALLOCATION C	0.00	9.44	0.00	9.44	90.0	8.50
02/01/2017	LADUCA, BRIAN	FT CONSERVATIVE ALLOCATION C	50.00	0.50	0.00	0.50	90.0	0.45
01/31/2017	MANSKE, DONNA	FT FOUNDING FUNDS ALLOC A	0.00	32.93	0.00	32.93	90.0	29.64
01/31/2017	RUNDELL, MARK	FT GROWTH ALLOC A	0.00	11.68	0.00	11.68	90.0	10.51
01/31/2017	BIEGERT, LAUREN	FT GROWTH ALLOC A	0.00	36.69	0.00	36.69	90.0	33.02
01/31/2017	MUELLNER, MARK	FT GROWTH ALLOC A	0.00	4.24	0.00	4.24	90.0	3.82
01/31/2017	WEIDENFELLER, KIRSTEN	FT GROWTH ALLOC A	0.00	2.32	0.00	2.32	90.0	2.09
01/31/2017	MUELLNER, MARK	FT GROWTH ALLOC A	0.00	2.66	0.00	2.66	90.0	2.39
01/31/2017	GREINER, CARRIE	FT GROWTH ALLOC A	0.00	1.01	0.00	1.01	90.0	0.91
01/31/2017	LIM, SUSIE	FT GROWTH ALLOC A	0.00	12.58	0.00	12.58	90.0	11.32
01/31/2017	DOOGAN, RONALD	FT GROWTH ALLOC A	0.00	7.48	0.00	7.48	90.0	6.73
01/31/2017	WILSON, JOE	FT GROWTH ALLOC A	0.00	1.69	0.00	1.69	90.0	1.52
01/31/2017	DOOGAN, RONALD	FT GROWTH ALLOC A	0.00	1.93	0.00	1.93	90.0	1.74
02/01/2017	MUELLNER, MARK	FT GROWTH ALLOC A	50.00	2.50	0.00	2.50	90.0	2.25
02/01/2017	WILSON, JOE	FT GROWTH ALLOC A	50.00	2.50	0.00	2.50	90.0	2.25
02/01/2017	DOOGAN, RONALD	FT GROWTH ALLOC A	100.00	5.00	0.00	5.00	90.0	4.50
01/31/2017	CHASE, LINDA	FT MODERATE ALLOCATION FUND C	0.00	24.37	0.00	24.37	90.0	21.93
01/31/2017	ESCAREZ, MYRIAM	FT MODERATE ALLOCATION FUND C	0.00	4.37	0.00	4.37	90.0	3.93
01/31/2017	ESCAREZ, ESTEBAN	FT MODERATE ALLOCATION FUND C	0.00	4.38	0.00	4.38	90.0	3.94
02/01/2017	CHASE, LINDA	FT MODERATE ALLOCATION FUND C	100.00	1.00	0.00	1.00	90.0	0.90
/ /	HOGLUND, KRISTEN	HARTFORD BALANCED ALLOCATION FUND C	0.00	0.16	0.00	0.16	90.0	0.14
/ /	LIVERIS, NICHOLAS	HARTFORD BALANCED ALLOCATION FUND C	0.00	14.37	0.00	14.37	90.0	12.93

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<u>BROKER TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
/ /	WILLIS, JUDE	HARTFORD BALANCED ALLOCATION FUND C	0.00	4.65	0.00	4.65	90.0	4.19
02/01/2017	LIVERIS, NICHOLAS	HARTFORD BALANCED ALLOCATION FUND C	150.00	1.50	0.00	1.50	90.0	1.35
/ /	SMITH, PATRICK	HARTFORD CAPITAL APPRECIATION A	0.00	0.20	0.00	0.20	90.0	0.18
/ /	KENNEDY, RACHEL	HARTFORD CAPITAL APPRECIATION A	0.00	0.55	0.00	0.55	90.0	0.50
/ /	SAYRE, MICHAEL	HARTFORD CAPITAL APPRECIATION A	0.00	0.06	0.00	0.06	90.0	0.05
/ /	SANTOS, LOURDES	HARTFORD CAPITAL APPRECIATION C	0.00	2.78	0.00	2.78	90.0	2.50
/ /	MEYER, WILLIAM	HARTFORD CHECKS AND BALANCES FUND A	0.00	5.48	0.00	5.48	90.0	4.93
/ /	LOPEZ, JOSE	HARTFORD CHECKS AND BALANCES FUND A	0.00	5.75	0.00	5.75	90.0	5.18
/ /	RAY, SCOTT	HARTFORD CONSERVATIVE ALLOC C	0.00	2.69	0.00	2.69	90.0	2.42
/ /	SMITH, PATRICK	HARTFORD DIVIDEND & GROWTH A	0.00	0.21	0.00	0.21	90.0	0.19
/ /	SAYRE, MICHAEL	HARTFORD DIVIDEND & GROWTH A	0.00	0.07	0.00	0.07	90.0	0.06
/ /	SANTOS, LOURDES	HARTFORD DIVIDEND & GROWTH C	0.00	5.20	0.00	5.20	90.0	4.68
/ /	BORJA, AIDA	HARTFORD DIVIDEND & GROWTH C	0.00	7.96	0.00	7.96	90.0	7.16
02/01/2017	SANTOS, LOURDES	HARTFORD DIVIDEND & GROWTH C	50.00	0.50	0.00	0.50	90.0	0.45
02/01/2017	BORJA, AIDA	HARTFORD DIVIDEND & GROWTH C	50.00	0.50	0.00	0.50	90.0	0.45
/ /	SANTOS, JAIMEE	HARTFORD FLOATING RATE C	0.00	10.19	0.00	10.19	90.0	9.17
/ /	LIEBERMAN, SHARON	HARTFORD GROWTH ALLOCATION A	0.00	3.92	0.00	3.92	90.0	3.53
/ /	BAXTER, KIMBERLY	HARTFORD GROWTH ALLOCATION A	0.00	0.24	0.00	0.24	90.0	0.22
/ /	LAMPI, STEPHANIE	HARTFORD GROWTH ALLOCATION A	0.00	4.81	0.00	4.81	90.0	4.33
/ /	EAR, SIEV	HARTFORD GROWTH ALLOCATION A	0.00	2.12	0.00	2.12	90.0	1.91
/ /	STEFFEN, NATHAN	HARTFORD GROWTH ALLOCATION A	0.00	4.60	0.00	4.60	90.0	4.14
/ /	BIEGERT, LAUREN	HARTFORD GROWTH ALLOCATION A	0.00	11.76	0.00	11.76	90.0	10.58
/ /	CRYLEN, ANNE	HARTFORD GROWTH ALLOCATION A	0.00	0.91	0.00	0.91	90.0	0.82
/ /	FLORES, KARINA	HARTFORD GROWTH ALLOCATION A	0.00	0.65	0.00	0.65	90.0	0.59
02/01/2017	LIEBERMAN, SHARON	HARTFORD GROWTH ALLOCATION A	100.00	4.75	0.00	4.75	90.0	4.28
/ /	LIEBERMAN, SHARON	HARTFORD GROWTH ALLOCATION B	0.00	0.25	0.00	0.25	90.0	0.23
/ /	LAMPI, STEPHANIE	HARTFORD GROWTH ALLOCATION B	0.00	0.36	0.00	0.36	90.0	0.32
/ /	STEFFEN, NATHAN	HARTFORD GROWTH OPP A	0.00	1.57	0.00	1.57	90.0	1.41
/ /	KENNEDY, RACHEL	HARTFORD GROWTH OPP A	0.00	0.67	0.00	0.67	90.0	0.60
/ /	SMITH, PATRICK	HARTFORD MIDCAP A	0.00	0.30	0.00	0.30	90.0	0.27
/ /	SMITH, PATRICK	HARTFORD TOTAL RETURN BOND A	0.00	0.13	0.00	0.13	90.0	0.12
/ /	DELLAPORTAS, VASILIS	HARTFORD TOTAL RETURN BOND A	0.00	1.80	0.00	1.80	90.0	1.62
/ /	SAYRE, MICHAEL	HARTFORD TOTAL RETURN BOND A	0.00	0.03	0.00	0.03	90.0	0.03

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<u>BROKER TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
/ /	SANTOS, LOURDES	HARTFORD TOTAL RETURN BOND FUND C	0.00	4.02	0.00	4.02	90.0	3.62
/ /	BORJA, AIDA	HARTFORD TOTAL RETURN BOND FUND C	0.00	5.48	0.00	5.48	90.0	4.93
02/01/2017	SANTOS, LOURDES	HARTFORD TOTAL RETURN BOND FUND C	50.00	0.50	0.00	0.50	90.0	0.45
02/01/2017	BORJA, AIDA	HARTFORD TOTAL RETURN BOND FUND C	50.00	0.50	0.00	0.50	90.0	0.45
/ /	VOLKOBBER, SUSAN	UB TRUST FUND 60 A	0.00	1.50	0.00	1.50	90.0	1.35
01/20/2017	VOLKOBBER, SUSAN	UB TRUST FUND 60 A	50.00	1.50	0.00	1.50	90.0	1.35
01/11/2017	REHMAN, AFSHAN	UB TRUST FUND 80 A	75.00	2.25	0.00	2.25	90.0	2.03
01/11/2017	REHMAN, AFSHAN	UB TRUST FUND 80 A	12.50	0.38	0.00	0.38	90.0	0.34
01/11/2017	REHMAN, AFSHAN	UB TRUST FUND 80 A	12.50	0.38	0.00	0.38	90.0	0.34
01/25/2017	REHMAN, AFSHAN	UB TRUST FUND 80 A	75.00	2.25	0.00	2.25	90.0	2.03
01/25/2017	REHMAN, AFSHAN	UB TRUST FUND 80 A	12.50	0.38	0.00	0.38	90.0	0.34
01/25/2017	REHMAN, AFSHAN	UB TRUST FUND 80 A	12.50	0.38	0.00	0.38	90.0	0.34
01/17/2017	MOLBERGER, KIMBERLY	UBT AGGRESSIVE AGE BASED 03-05-A	100.00	3.00	0.00	3.00	90.0	2.70
01/05/2017	SAAM, ROBERT	UBT AGGRESSIVE AGE BASED 06-08-A	200.00	6.00	0.00	6.00	90.0	5.40
01/17/2017	MOLBERGER, KIMBERLY	UBT AGGRESSIVE AGE BASED 06-08-A	100.00	3.00	0.00	3.00	90.0	2.70
01/20/2017	BAXTER, KIMBERLY	UBT AGGRESSIVE AGE BASED 06-08-A	25.00	0.75	0.00	0.75	90.0	0.68
01/20/2017	BAXTER, KIMBERLY	UBT AGGRESSIVE AGE BASED 09-10-A	25.00	0.75	0.00	0.75	90.0	0.68
01/03/2017	REIDY, TIFFANY	UBT MODERATE AGE BASED 0-02-A	140.00	4.20	0.00	4.20	90.0	3.78
01/03/2017	BRANNAN, JESSE	UBT MODERATE AGE BASED 0-02-A	250.00	7.50	0.00	7.50	90.0	6.75
01/03/2017	BRANNAN, JESSE	UBT MODERATE AGE BASED 0-02-A	75.00	2.25	0.00	2.25	90.0	2.03
01/09/2017	ARATA, MATHEW	UBT MODERATE AGE BASED 0-02-A	3,820.00	114.60	0.00	114.60	90.0	103.14
01/10/2017	ARATA, MATHEW	UBT MODERATE AGE BASED 0-02-A	111.00	3.33	0.00	3.33	90.0	3.00
01/17/2017	DEUTSCH, SCOTT	UBT MODERATE AGE BASED 0-02-A	500.00	15.00	0.00	15.00	90.0	13.50
01/17/2017	ARATA, MATHEW	UBT MODERATE AGE BASED 0-02-A	111.00	3.33	0.00	3.33	90.0	3.00
01/17/2017	TUCKER, BRANDON	UBT MODERATE AGE BASED 0-02-A	250.00	7.50	0.00	7.50	90.0	6.75
01/17/2017	ROLLINGER, LAUREN	UBT MODERATE AGE BASED 0-02-A	30.00	0.90	0.00	0.90	90.0	0.81
01/17/2017	ARIAS, MELISSA	UBT MODERATE AGE BASED 0-02-A	200.00	6.00	0.00	6.00	90.0	5.40
01/17/2017	SILKAITIS, MYIA	UBT MODERATE AGE BASED 0-02-A	50.00	1.50	0.00	1.50	90.0	1.35
01/17/2017	LAMPI, KEITH	UBT MODERATE AGE BASED 0-02-A	250.00	7.50	0.00	7.50	90.0	6.75
01/17/2017	MARIQUINA, JACQUELINE	UBT MODERATE AGE BASED 0-02-A	10.00	0.30	0.00	0.30	90.0	0.27
01/17/2017	MACK, ALEXANDER	UBT MODERATE AGE BASED 0-02-A	250.00	7.50	0.00	7.50	90.0	6.75
01/03/2017	KLABACHA, JASON	UBT MODERATE AGE BASED 03-05-A	300.00	9.00	0.00	9.00	90.0	8.10
01/03/2017	REIDY, TIFFANY	UBT MODERATE AGE BASED 03-05-A	150.00	4.50	0.00	4.50	90.0	4.05

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<u>BROKER TRANSACTIONS</u>								
PRODUCT CATEGORY: MUTUAL FUNDS								
01/03/2017	BATTAGLIA, MICHAEL	UBT MODERATE AGE BASED 03-05-A	50.00	1.50	0.00	1.50	90.0	1.35
01/03/2017	SAAM, ROBERT	UBT MODERATE AGE BASED 03-05-A	200.00	6.00	0.00	6.00	90.0	5.40
01/03/2017	LAMPI, KEITH	UBT MODERATE AGE BASED 03-05-A	250.00	7.50	0.00	7.50	90.0	6.75
01/03/2017	BRANNAN, JESSE	UBT MODERATE AGE BASED 03-05-A	250.00	7.50	0.00	7.50	90.0	6.75
01/03/2017	BRANNAN, JESSE	UBT MODERATE AGE BASED 03-05-A	100.00	3.00	0.00	3.00	90.0	2.70
01/03/2017	SISON, MARYBETH	UBT MODERATE AGE BASED 03-05-A	50.00	1.50	0.00	1.50	90.0	1.35
01/03/2017	NORRIS, VALERIE	UBT MODERATE AGE BASED 03-05-A	200.00	6.00	0.00	6.00	90.0	5.40
01/03/2017	CATANESE, JODY	UBT MODERATE AGE BASED 03-05-A	100.00	3.00	0.00	3.00	90.0	2.70
01/03/2017	ROLLINGER, LAUREN	UBT MODERATE AGE BASED 03-05-A	30.00	0.90	0.00	0.90	90.0	0.81
01/03/2017	WHITE, AMANDA	UBT MODERATE AGE BASED 03-05-A	100.00	3.00	0.00	3.00	90.0	2.70
01/17/2017	MARTIN, JOELLYN	UBT MODERATE AGE BASED 03-05-A	250.00	7.50	0.00	7.50	90.0	6.75
01/17/2017	ARIAS, MELISSA	UBT MODERATE AGE BASED 03-05-A	200.00	6.00	0.00	6.00	90.0	5.40
01/17/2017	WILSON, JOE	UBT MODERATE AGE BASED 03-05-A	30.00	0.90	0.00	0.90	90.0	0.81
01/17/2017	KARKI, TRISHA	UBT MODERATE AGE BASED 03-05-A	25.00	0.75	0.00	0.75	90.0	0.68
01/17/2017	MEYER, ELIZABETH	UBT MODERATE AGE BASED 03-05-A	25.00	0.75	0.00	0.75	90.0	0.68
01/17/2017	GREINER, PAUL	UBT MODERATE AGE BASED 03-05-A	150.00	4.50	0.00	4.50	90.0	4.05
01/17/2017	GREINER, PAUL	UBT MODERATE AGE BASED 03-05-A	150.00	4.50	0.00	4.50	90.0	4.05
01/17/2017	CATANESE, JODY	UBT MODERATE AGE BASED 03-05-A	100.00	3.00	0.00	3.00	90.0	2.70
01/17/2017	MARIQUINA, JACQUELINE	UBT MODERATE AGE BASED 03-05-A	25.00	0.75	0.00	0.75	90.0	0.68
01/17/2017	SAYRE, MICHAEL	UBT MODERATE AGE BASED 03-05-A	500.00	15.00	0.00	15.00	90.0	13.50
01/17/2017	SAYRE, MICHAEL	UBT MODERATE AGE BASED 03-05-A	500.00	15.00	0.00	15.00	90.0	13.50
01/20/2017	CATANESE, ERIN	UBT MODERATE AGE BASED 03-05-A	500.00	15.00	0.00	15.00	90.0	13.50
01/30/2017	COLAN, MICHAEL	UBT MODERATE AGE BASED 03-05-A	75.00	2.25	0.00	2.25	90.0	2.03
01/03/2017	KLABACHA, JASON	UBT MODERATE AGE BASED 06-08-A	300.00	9.00	0.00	9.00	90.0	8.10
01/03/2017	MUELLNER, MARK	UBT MODERATE AGE BASED 06-08-A	100.00	3.00	0.00	3.00	90.0	2.70
01/03/2017	MUELLNER, MARK	UBT MODERATE AGE BASED 06-08-A	100.00	3.00	0.00	3.00	90.0	2.70
01/03/2017	SISON, MARYBETH	UBT MODERATE AGE BASED 06-08-A	50.00	1.50	0.00	1.50	90.0	1.35
01/03/2017	SILKAITIS, MYIA	UBT MODERATE AGE BASED 06-08-A	50.00	1.50	0.00	1.50	90.0	1.35
01/03/2017	LIM, SUSIE	UBT MODERATE AGE BASED 06-08-A	100.00	3.00	0.00	3.00	90.0	2.70
01/05/2017	WILKINS, AARON	UBT MODERATE AGE BASED 06-08-A	150.00	4.50	0.00	4.50	90.0	4.05
01/17/2017	LIEBERMAN, DAVID	UBT MODERATE AGE BASED 06-08-A	100.00	3.00	0.00	3.00	90.0	2.70
01/17/2017	MARTIN, JOELLYN	UBT MODERATE AGE BASED 06-08-A	250.00	7.50	0.00	7.50	90.0	6.75
01/17/2017	MEYER, ELIZABETH	UBT MODERATE AGE BASED 06-08-A	25.00	0.75	0.00	0.75	90.0	0.68

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>BROKER TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
01/17/2017	CONTRERAS, ANDY	UBT MODERATE AGE BASED 06-08-A	50.00	1.50	0.00	1.50	90.0	1.35
01/17/2017	CONTRERAS, ANDY	UBT MODERATE AGE BASED 06-08-A	50.00	1.50	0.00	1.50	90.0	1.35
01/17/2017	LAMPI, KEITH	UBT MODERATE AGE BASED 06-08-A	250.00	7.50	0.00	7.50	90.0	6.75
01/20/2017	CATANESE, ERIN	UBT MODERATE AGE BASED 06-08-A	500.00	15.00	0.00	15.00	90.0	13.50
01/23/2017	KARKI, TRISHA	UBT MODERATE AGE BASED 06-08-A	25.00	0.75	0.00	0.75	90.0	0.68
01/30/2017	COLAN, MICHAEL	UBT MODERATE AGE BASED 06-08-A	75.00	2.25	0.00	2.25	90.0	2.03
01/03/2017	MUELLNER, MARK	UBT MODERATE AGE BASED 09-10-A	100.00	3.00	0.00	3.00	90.0	2.70
01/03/2017	MUELLNER, MARK	UBT MODERATE AGE BASED 09-10-A	150.00	4.50	0.00	4.50	90.0	4.05
01/03/2017	HINTCH, ELIZABETH	UBT MODERATE AGE BASED 09-10-A	850.00	25.50	0.00	25.50	90.0	22.95
01/03/2017	STETTER, MARIA	UBT MODERATE AGE BASED 09-10-A	50.00	1.50	0.00	1.50	90.0	1.35
01/05/2017	WELLINGTON, ERICA	UBT MODERATE AGE BASED 09-10-A	50.00	1.50	0.00	1.50	90.0	1.35
01/05/2017	WILKINS, AARON	UBT MODERATE AGE BASED 09-10-A	150.00	4.50	0.00	4.50	90.0	4.05
01/17/2017	LIEBERMAN, DAVID	UBT MODERATE AGE BASED 09-10-A	100.00	3.00	0.00	3.00	90.0	2.70
01/17/2017	HIRSTIUS, KERRIE	UBT MODERATE AGE BASED 09-10-A	175.00	5.25	0.00	5.25	90.0	4.73
01/17/2017	HATCHER, JULIANA	UBT MODERATE AGE BASED 09-10-A	50.00	1.50	0.00	1.50	90.0	1.35
01/30/2017	COLAN, MICHAEL	UBT MODERATE AGE BASED 09-10-A	75.00	2.25	0.00	2.25	90.0	2.03
01/03/2017	BATTAGLIA, MICHAEL	UBT MODERATE AGE BASED 11-12-A	100.00	3.00	0.00	3.00	90.0	2.70
01/03/2017	MUELLNER, MARK	UBT MODERATE AGE BASED 11-12-A	100.00	3.00	0.00	3.00	90.0	2.70
01/03/2017	MUELLNER, MARK	UBT MODERATE AGE BASED 11-12-A	150.00	4.50	0.00	4.50	90.0	4.05
01/05/2017	WELLINGTON, ERICA	UBT MODERATE AGE BASED 13-14-A	50.00	1.50	0.00	1.50	90.0	1.35
01/20/2017	GUIRAGOSSIAN, BETSY	UBT MODERATE AGE BASED 13-14-A	100.00	3.00	0.00	3.00	90.0	2.70
01/05/2017	LOPEZ, JOSE	UBT MODERATE AGE BASED 15-16-A	50.00	1.50	0.00	1.50	90.0	1.35
01/05/2017	ROSALES-HARRIGAN, ESTELA	UBT MODERATE AGE BASED 15-16-A	90.00	2.70	0.00	2.70	90.0	2.43
01/05/2017	LOPEZ, JOSE	UBT MODERATE AGE BASED 17-18-A	50.00	1.50	0.00	1.50	90.0	1.35
01/20/2017	GUIRAGOSSIAN, BETSY	UBT MODERATE AGE BASED 17-18-A	100.00	3.00	0.00	3.00	90.0	2.70
01/05/2017	LOPEZ, JOSE	UBT MODERATE AGE BASED 19+-A	50.00	1.50	0.00	1.50	90.0	1.35
* MUTUAL FUNDS SUBTOTAL *			\$18,402.00	\$833.48	\$0.00	\$833.48		\$750.18
<u>PRODUCT CATEGORY: VARIABLE ANNUITIES</u>								
02/01/2017	GALLESE, ALLISON	JNL ELITE ACCESS	500.00	26.25	0.00	26.25	90.0	23.63
01/30/2017	LOIKA, GREGORY	SBL ADVISOR PROGRAM	4,150.11	3.47	0.00	3.47	90.0	3.12
01/30/2017	LOIKA, JENNIFER	SBL ADVISOR PROGRAM	4,154.20	3.47	0.00	3.47	90.0	3.12
* VARIABLE ANNUITIES SUBTOTAL *			\$8,804.31	\$33.19	\$0.00	\$33.19		\$29.87

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>BROKER TRANSACTIONS</u>								
PRODUCT CATEGORY: VARIABLE ANNUITY 12B1 TRAILS								
01/31/2017	EDUCATION, BOARD OF	VOYA RETIREMENT & ANNUITY	0.00	41.92	0.00	41.92	90.0	37.73
		* VARIABLE ANNUITY 12B1 TRAILS SUBTOTAL *	\$0.00	\$41.92	\$0.00	\$41.92		\$37.73
		*** BROKER TRANSACTIONS TOTAL ***	\$227,206.31	\$12,908.59	\$0.00	\$12,908.59		\$11,617.78

<u>ADJUSTMENTS</u>								
02/15/2017		*CREDIT CARD PYT: CREDIT CARD PYT	0.00					1,000.00
02/15/2017		*E & O INSURANCE: CURRENT MONTH INS	0.00					-300.00
02/15/2017		*FINRA: FBI FINGERPRINT FEE	0.00					-10.00
02/15/2017		*FINRA: FINGERPRINT	0.00					-15.00
02/15/2017		*TECH: ADMIN-K JALOWIECKI	0.00					-100.00
02/15/2017		*TECH: ADMIN-W CLARK	0.00					-100.00
02/15/2017		*TECH: ALBRIDGE FULL	0.00					-100.00
02/15/2017		*TECHNOLOGY: ADMIN - MATT KUHN	0.00					-100.00
02/15/2017		*TECHNOLOGY: CURRENT MONTH TECH	0.00					-275.00
		*** ADJUSTMENTS TOTAL ***	\$0.00	\$0.00	\$0.00	\$0.00		\$0.00

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BROKER COMMISSION TOTALS

Broker Transactions	\$11,617.78
Split Transactions	\$0.00
Override Transactions	\$0.00
Adjustments	\$0.00
Payroll Draw	\$0.00
Base Salary	\$0.00
Prior Period Balance	\$0.00
FINRA Assessment	\$0.00
SIPC Assessment	\$0.00

Check Amount	\$11,617.78
Year-to-date Gross	\$35,394.09
Year-to-date Earnings	\$31,854.95