



Concorde Investment Services, LLC

08/14/2018

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COMMISSION STATEMENT**August 15, 2018**DELMAR (BO)-M143 MCKINNEY
5 Red Bud TrailBROKER #: M143
BRANCH: EAGLE WEALTH MANAGEM

Round Rock, TX 78655-

DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>CLEARING TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
08/06/2018	ASPRA, TRISSA	AM FUNDS AMCAP A	75.00	3.19	12.00	-8.81	90.0	-7.93
08/06/2018	ASPRA, TRISSA	AM FUNDS GROWTH FUND OF AMERICA A	75.00	3.19	12.00	-8.81	90.0	-7.93
* MUTUAL FUNDS SUBTOTAL *			\$150.00	\$6.38	\$24.00	\$-17.62		\$-15.86
<u>PRODUCT CATEGORY: UNIT INVESTMENT TRUSTS</u>								
07/27/2018	LUEDTKE, LOIS	FT UNIT 7453 COVERED CALL SELECT CL	100,009.83	2,000.22	0.00	2,000.22	90.0	1,800.20
07/27/2018	LUEDTKE, LOIS	FT UNIT 7494 U S EQUITY CLOSED END	100,002.30	1,999.77	0.00	1,999.77	90.0	1,799.79
07/27/2018	LUEDTKE, LOIS	FT UNIT 7496 GLOBAL EQUITY INCOME	150,000.00	3,000.00	0.00	3,000.00	90.0	2,700.00
07/27/2018	LUEDTKE, LOIS	FT UNIT 7497 MLP CLOSED END PORTFOL	150,000.00	3,000.00	0.00	3,000.00	90.0	2,700.00
07/27/2018	LUEDTKE, LOIS	FT UNIT 7531 DIVID & INCOME SELECT	150,009.48	3,000.01	0.00	3,000.01	90.0	2,700.01
07/27/2018	LUEDTKE, LOIS	UNIT 7434 EQUITY CLOSED END PORT SE	120,006.48	2,400.18	0.00	2,400.18	90.0	2,160.16
* UNIT INVESTMENT TRUSTS SUBTOTAL *			\$770,028.09	\$15,400.18	\$0.00	\$15,400.18		\$13,860.16
*** CLEARING TRANSACTIONS TOTAL ***			\$770,178.09	\$15,406.56	\$24.00	\$15,382.56		\$13,844.30

DIRECT TRANSACTIONS

<u>PRODUCT CATEGORY: 529 PLANS</u>								
07/27/2018	OHE, EUGENIA	AM FUNDS GROWTH FUND OF AMERICA 529	100.00	2.75	0.00	2.75	90.0	2.48
07/27/2018	OHE, EUGENIA	AM FUNDS GROWTH FUND OF AMERICA 529	100.00	2.75	0.00	2.75	90.0	2.48
* 529 PLANS SUBTOTAL *			\$200.00	\$5.50	\$0.00	\$5.50		\$4.96
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
07/17/2018	BUROW, PAUL	ALLIANCEBERNSTEIN INTL VALUE A	0.00	0.91	0.00	0.91	90.0	0.82
07/12/2018	WIESNER, BETTY	AM CENT EQUITY INCOME	0.00	3.10	0.00	3.10	90.0	2.79
07/17/2018	ROSENTHAL, LUCILLE	AM FUNDS AMCAP A	0.00	13.96	0.00	13.96	90.0	12.56
07/17/2018	LUEDTKE, LOIS	AM FUNDS AMCAP A	0.00	14.06	0.00	14.06	90.0	12.65
07/17/2018	ASPRA, TRISSA	AM FUNDS AMCAP A	0.00	3.45	0.00	3.45	90.0	3.11

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
07/17/2018	NMN & NJN MGMT TRUST	AM FUNDS AMCAP A	0.00	1.85	0.00	1.85	90.0	1.67
07/17/2018	MICHNA, RHYS	AM FUNDS AMCAP A	0.00	1.54	0.00	1.54	90.0	1.39
07/17/2018	SCOTT, MONYEAN	AM FUNDS AMCAP A	0.00	31.86	0.00	31.86	90.0	28.67
07/17/2018	GREER, GREGORY	AM FUNDS AMCAP A	0.00	6.63	0.00	6.63	90.0	5.97
07/17/2018	GREER, GREGORY	AM FUNDS AMCAP A	0.00	6.61	0.00	6.61	90.0	5.95
07/17/2018	SPECKELS, MELBA	AM FUNDS AMERICAN BALANCED A	0.00	1.31	0.00	1.31	90.0	1.18
07/17/2018	GREER, GREGORY	AM FUNDS AMERICAN BALANCED A	0.00	1.78	0.00	1.78	90.0	1.60
07/17/2018	GREER, GREGORY	AM FUNDS AMERICAN BALANCED A	0.00	2.08	0.00	2.08	90.0	1.87
07/17/2018	FUESSEL NE & NA TR, NORMAN	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	34.72	0.00	34.72	90.0	31.25
07/17/2018	SPECKELS, MELBA	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	1.62	0.00	1.62	90.0	1.46
07/17/2018	ROSENTHAL, LUCILLE	AM FUNDS AMERICAN MUTUAL A	0.00	19.53	0.00	19.53	90.0	17.58
07/17/2018	FUESSEL IRREV TR, NORMAN	AM FUNDS AMERICAN MUTUAL A	0.00	8.86	0.00	8.86	90.0	7.97
07/17/2018	NMN & NJN MGMT TRUST	AM FUNDS AMERICAN MUTUAL A	0.00	1.04	0.00	1.04	90.0	0.94
07/17/2018	SCOTT, MONYEAN	AM FUNDS AMERICAN MUTUAL A	0.00	24.88	0.00	24.88	90.0	22.39
07/17/2018	IVICIC, MARY	AM FUNDS AMERICAN MUTUAL A	0.00	2.98	0.00	2.98	90.0	2.68
07/17/2018	CHEATHAM, JIMMY	AM FUNDS CAPITAL INCOME BUILDER A	0.00	11.11	0.00	11.11	90.0	10.00
07/17/2018	PRAESEL, ARTHUR	AM FUNDS CAPITAL INCOME BUILDER A	0.00	20.69	0.00	20.69	90.0	18.62
07/17/2018	ROSENTHAL, LUCILLE	AM FUNDS CAPITAL INCOME BUILDER A	0.00	33.15	0.00	33.15	90.0	29.84
07/17/2018	FUESSEL, NORMAN	AM FUNDS CAPITAL INCOME BUILDER A	0.00	20.43	0.00	20.43	90.0	18.39
07/17/2018	FUESSEL NE & NA TR, NORMAN	AM FUNDS CAPITAL INCOME BUILDER A	0.00	18.67	0.00	18.67	90.0	16.80
07/17/2018	BRUECKNER, KIMBERLY	AM FUNDS CAPITAL INCOME BUILDER A	0.00	5.34	0.00	5.34	90.0	4.81
07/17/2018	KELLEY, DOLORES	AM FUNDS CAPITAL INCOME BUILDER A	0.00	6.20	0.00	6.20	90.0	5.58
07/17/2018	LOGHRY, DORIS	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.06	0.00	0.06	90.0	0.05
07/17/2018	PEKAR, DAVID	AM FUNDS CAPITAL INCOME BUILDER A	0.00	7.66	0.00	7.66	90.0	6.89
07/17/2018	SPECKELS, WARREN	AM FUNDS CAPITAL INCOME BUILDER A	0.00	1.37	0.00	1.37	90.0	1.23
07/17/2018	SPECKELS, MELBA	AM FUNDS CAPITAL INCOME BUILDER A	0.00	2.03	0.00	2.03	90.0	1.83
07/17/2018	BRANSON, BARBARA	AM FUNDS CAPITAL INCOME BUILDER A	0.00	3.23	0.00	3.23	90.0	2.91
07/17/2018	MORRIS, JANINE	AM FUNDS CAPITAL INCOME BUILDER A	0.00	9.11	0.00	9.11	90.0	8.20
07/17/2018	SCOTT, MONYEAN	AM FUNDS CAPITAL INCOME BUILDER A	0.00	20.71	0.00	20.71	90.0	18.64
07/17/2018	GREER, GREGORY	AM FUNDS CAPITAL INCOME BUILDER A	0.00	1.39	0.00	1.39	90.0	1.25
07/17/2018	GREER, GREGORY	AM FUNDS CAPITAL INCOME BUILDER A	0.00	1.61	0.00	1.61	90.0	1.45
07/17/2018	URBAN, LONNIE	AM FUNDS CAPITAL INCOME BUILDER A	0.00	1.51	0.00	1.51	90.0	1.36
07/17/2018	MOORE, TERRY	AM FUNDS CAPITAL INCOME BUILDER C	0.00	32.71	0.00	32.71	90.0	29.44

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<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
07/17/2018	ROSENTHAL, LUCILLE	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	33.27	0.00	33.27	90.0	29.94
07/17/2018	FUESSEL IRREV TR, NORMAN	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	9.14	0.00	9.14	90.0	8.23
07/17/2018	BRUECKNER, KIMBERLY	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	16.26	0.00	16.26	90.0	14.63
07/17/2018	KELLEY, DOLORES	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	5.44	0.00	5.44	90.0	4.90
07/17/2018	NMN & NJN MGMT TRUST	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	1.23	0.00	1.23	90.0	1.11
07/17/2018	SCOTT, MONYUAN	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	32.92	0.00	32.92	90.0	29.63
07/17/2018	HOHMAN, JEROME	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	9.69	0.00	9.69	90.0	8.72
07/17/2018	DROMGOOLE, NONA	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	6.67	0.00	6.67	90.0	6.00
07/17/2018	GREER, GREGORY	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	4.76	0.00	4.76	90.0	4.28
07/17/2018	GREER, GREGORY	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	4.76	0.00	4.76	90.0	4.28
07/17/2018	URBAN, LONNIE	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	1.81	0.00	1.81	90.0	1.63
07/17/2018	IVICIC, MARY	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	1.39	0.00	1.39	90.0	1.25
07/17/2018	FUESSEL NE & NA TR, NORMAN	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	19.32	0.00	19.32	90.0	17.39
07/17/2018	LUEDTKE, LOIS	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	18.21	0.00	18.21	90.0	16.39
07/17/2018	KELLEY, DOLORES	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	4.68	0.00	4.68	90.0	4.21
07/17/2018	GREER, GREGORY	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	1.34	0.00	1.34	90.0	1.21
07/17/2018	GREER, GREGORY	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	1.58	0.00	1.58	90.0	1.42
07/17/2018	ROSENTHAL, LUCILLE	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	42.43	0.00	42.43	90.0	38.19
07/17/2018	BRUECKNER, KIMBERLY	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	21.20	0.00	21.20	90.0	19.08
07/17/2018	NMN & NJN MGMT TRUST	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	1.71	0.00	1.71	90.0	1.54
07/17/2018	SCOTT, MONYUAN	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	42.50	0.00	42.50	90.0	38.25
07/17/2018	DROMGOOLE, NONA	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	8.08	0.00	8.08	90.0	7.27
07/17/2018	GREER, GREGORY	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	4.01	0.00	4.01	90.0	3.61
07/17/2018	GREER, GREGORY	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	4.19	0.00	4.19	90.0	3.77
07/17/2018	EWING LIVING TRUST, JACK &	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	7.70	0.00	7.70	90.0	6.93
07/17/2018	IVICIC, MARY	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	3.85	0.00	3.85	90.0	3.47
07/17/2018	ROSENTHAL, LUCILLE	AM FUNDS GROWTH FUND OF AMERICA A	0.00	15.03	0.00	15.03	90.0	13.53
07/17/2018	FUESSEL IRREV TR, NORMAN	AM FUNDS GROWTH FUND OF AMERICA A	0.00	59.73	0.00	59.73	90.0	53.76
07/17/2018	LUEDTKE, LOIS	AM FUNDS GROWTH FUND OF AMERICA A	0.00	44.04	0.00	44.04	90.0	39.64
07/17/2018	ASPRA, TRISSA	AM FUNDS GROWTH FUND OF AMERICA A	0.00	3.74	0.00	3.74	90.0	3.37
07/17/2018	BRUECKNER, KIMBERLY	AM FUNDS GROWTH FUND OF AMERICA A	0.00	23.02	0.00	23.02	90.0	20.72
07/17/2018	ROSIPAL, HERBERT	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.15	0.00	0.15	90.0	0.14
07/17/2018	KELLEY, DOLORES	AM FUNDS GROWTH FUND OF AMERICA A	0.00	6.77	0.00	6.77	90.0	6.09

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<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
07/17/2018	LAWHON, JACKIE	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.45	0.00	0.45	90.0	0.41
07/17/2018	NMN & NJN MGMT TRUST	AM FUNDS GROWTH FUND OF AMERICA A	0.00	1.84	0.00	1.84	90.0	1.66
07/17/2018	BORGNE JR, ROBERT	AM FUNDS GROWTH FUND OF AMERICA A	0.00	7.88	0.00	7.88	90.0	7.09
07/17/2018	LAWHON, STEVEN	AM FUNDS GROWTH FUND OF AMERICA A	0.00	8.00	0.00	8.00	90.0	7.20
07/17/2018	SPECKELS, WARREN	AM FUNDS GROWTH FUND OF AMERICA A	0.00	2.41	0.00	2.41	90.0	2.17
07/17/2018	MICHNA, RHYS	AM FUNDS GROWTH FUND OF AMERICA A	0.00	1.54	0.00	1.54	90.0	1.39
07/17/2018	MORRIS, JANINE	AM FUNDS GROWTH FUND OF AMERICA A	0.00	21.94	0.00	21.94	90.0	19.75
07/17/2018	SCOTT, MONYUAN	AM FUNDS GROWTH FUND OF AMERICA A	0.00	46.92	0.00	46.92	90.0	42.23
07/17/2018	LAWHON, BRAEDEN	AM FUNDS GROWTH FUND OF AMERICA A	0.00	1.00	0.00	1.00	90.0	0.90
07/17/2018	DROMGOOLE, NONA	AM FUNDS GROWTH FUND OF AMERICA A	0.00	8.81	0.00	8.81	90.0	7.93
07/17/2018	GREER, GREGORY	AM FUNDS GROWTH FUND OF AMERICA A	0.00	8.47	0.00	8.47	90.0	7.62
07/17/2018	GREER, GREGORY	AM FUNDS GROWTH FUND OF AMERICA A	0.00	8.29	0.00	8.29	90.0	7.46
07/17/2018	MOORE, TERRY	AM FUNDS GROWTH FUND OF AMERICA A	0.00	2.64	0.00	2.64	90.0	2.38
07/17/2018	OHE, DRAKE	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.56	0.00	0.56	90.0	0.50
07/17/2018	OHE, EUGENIA	AM FUNDS GROWTH FUND OF AMERICA A	0.00	1.29	0.00	1.29	90.0	1.16
07/17/2018	URBAN, LONNIE	AM FUNDS GROWTH FUND OF AMERICA A	0.00	2.49	0.00	2.49	90.0	2.24
07/17/2018	LAWHON, MAISEN	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.69	0.00	0.69	90.0	0.62
07/17/2018	IVICIC, MARY	AM FUNDS GROWTH FUND OF AMERICA A	0.00	3.69	0.00	3.69	90.0	3.32
07/17/2018	DROMGOOLE, NONA	AM FUNDS ICA A	0.00	6.65	0.00	6.65	90.0	5.99
07/17/2018	EWING JR, JACK	AM FUNDS ICA A	0.00	9.66	0.00	9.66	90.0	8.69
07/17/2018	CHEATHAM, JIMMY	AM FUNDS INCOME FUND OF AMERICA A	0.00	11.03	0.00	11.03	90.0	9.93
07/17/2018	PRAESEL, ARTHUR	AM FUNDS INCOME FUND OF AMERICA A	0.00	25.54	0.00	25.54	90.0	22.99
07/17/2018	ROSENTHAL, LUCILLE	AM FUNDS INCOME FUND OF AMERICA A	0.00	39.77	0.00	39.77	90.0	35.79
07/17/2018	FUESSEL, NORMAN	AM FUNDS INCOME FUND OF AMERICA A	0.00	18.60	0.00	18.60	90.0	16.74
07/17/2018	FUESSEL NE & NA TR, NORMAN	AM FUNDS INCOME FUND OF AMERICA A	0.00	18.05	0.00	18.05	90.0	16.25
07/17/2018	BRUECKNER, KIMBERLY	AM FUNDS INCOME FUND OF AMERICA A	0.00	10.71	0.00	10.71	90.0	9.64
07/17/2018	KELLEY, DOLORES	AM FUNDS INCOME FUND OF AMERICA A	0.00	5.12	0.00	5.12	90.0	4.61
07/17/2018	SPECKELS, MELBA	AM FUNDS INCOME FUND OF AMERICA A	0.00	2.04	0.00	2.04	90.0	1.84
07/17/2018	FISCHER, HAROLD	AM FUNDS INCOME FUND OF AMERICA A	0.00	1.61	0.00	1.61	90.0	1.45
07/17/2018	HAMITER, DONNIE	AM FUNDS INCOME FUND OF AMERICA A	0.00	6.63	0.00	6.63	90.0	5.97
07/17/2018	MORRIS, JANINE	AM FUNDS INCOME FUND OF AMERICA A	0.00	13.92	0.00	13.92	90.0	12.53
07/17/2018	SCOTT, MONYUAN	AM FUNDS INCOME FUND OF AMERICA A	0.00	28.27	0.00	28.27	90.0	25.44
07/17/2018	KLEMT, RUTH	AM FUNDS INCOME FUND OF AMERICA A	0.00	1.85	0.00	1.85	90.0	1.67

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<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
07/17/2018	WILSON, MARY	AM FUNDS INCOME FUND OF AMERICA A	0.00	5.14	0.00	5.14	90.0	4.63
07/17/2018	GREER, GREGORY	AM FUNDS INCOME FUND OF AMERICA A	0.00	1.60	0.00	1.60	90.0	1.44
07/17/2018	GREER, GREGORY	AM FUNDS INCOME FUND OF AMERICA A	0.00	1.86	0.00	1.86	90.0	1.67
07/17/2018	EWING LIVING TRUST, JACK &	AM FUNDS INCOME FUND OF AMERICA A	0.00	16.64	0.00	16.64	90.0	14.98
07/17/2018	NMN & NJN MGMT TRUST	AM FUNDS INTL GROWTH AND INCOME A	0.00	0.64	0.00	0.64	90.0	0.58
07/17/2018	DROMGOOLE, NONA	AM FUNDS INTL GROWTH AND INCOME A	0.00	4.93	0.00	4.93	90.0	4.44
07/17/2018	BRUECKNER, KIMBERLY	AM FUNDS NEW ECONOMY A	0.00	16.78	0.00	16.78	90.0	15.10
07/17/2018	WILSON, MARY	AM FUNDS NEW ECONOMY A	0.00	13.80	0.00	13.80	90.0	12.42
07/17/2018	BRUECKNER, KIMBERLY	AM FUNDS NEW PERSPECTIVE A	0.00	13.39	0.00	13.39	90.0	12.05
07/17/2018	MORRIS, JANINE	AM FUNDS NEW PERSPECTIVE A	0.00	22.68	0.00	22.68	90.0	20.41
07/17/2018	SCOTT, MONYAN	AM FUNDS NEW PERSPECTIVE A	0.00	40.17	0.00	40.17	90.0	36.15
07/17/2018	NMN & NJN MGMT TRUST	AM FUNDS NEW WORLD A	0.00	0.33	0.00	0.33	90.0	0.30
07/17/2018	DROMGOOLE, NONA	AM FUNDS NEW WORLD A	0.00	4.94	0.00	4.94	90.0	4.45
07/17/2018	BRUECKNER, KIMBERLY	AM FUNDS SMALLCAP WORLD A	0.00	12.04	0.00	12.04	90.0	10.84
07/17/2018	NMN & NJN MGMT TRUST	AM FUNDS SMALLCAP WORLD A	0.00	1.56	0.00	1.56	90.0	1.40
07/17/2018	DROMGOOLE, NONA	AM FUNDS SMALLCAP WORLD A	0.00	1.96	0.00	1.96	90.0	1.76
07/17/2018	GREER, GREGORY	AM FUNDS SMALLCAP WORLD A	0.00	1.79	0.00	1.79	90.0	1.61
07/17/2018	GREER, GREGORY	AM FUNDS SMALLCAP WORLD A	0.00	2.13	0.00	2.13	90.0	1.92
07/17/2018	FUESSEL, NORMAN	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	16.85	0.00	16.85	90.0	15.17
07/17/2018	FUESSEL IRREV TR, NORMAN	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	9.01	0.00	9.01	90.0	8.11
07/17/2018	FUESSEL NE & NA TR, NORMAN	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	71.88	0.00	71.88	90.0	64.69
07/17/2018	BRUECKNER, KIMBERLY	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	13.32	0.00	13.32	90.0	11.99
07/17/2018	KORNEGAY, ALISA	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.33	0.00	0.33	90.0	0.30
07/17/2018	KELLEY, DOLORES	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	9.05	0.00	9.05	90.0	8.15
07/17/2018	LAWHON, JACKIE	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	50.83	0.00	50.83	90.0	45.75
07/17/2018	SPECKELS, WARREN	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	2.86	0.00	2.86	90.0	2.57
07/17/2018	SPECKELS, MELBA	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	1.93	0.00	1.93	90.0	1.74
07/17/2018	SPECKELS, MELBA	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	1.75	0.00	1.75	90.0	1.58
07/17/2018	GILLIGAN, DOROTHY	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	8.17	0.00	8.17	90.0	7.35
07/17/2018	STOLTE, VERNALINE	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.64	0.00	0.64	90.0	0.58
07/17/2018	MORRIS, JANINE	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	21.56	0.00	21.56	90.0	19.40
07/17/2018	SMITH, MICHAEL	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	1.57	0.00	1.57	90.0	1.41
07/17/2018	BUROW, PAUL	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	1.55	0.00	1.55	90.0	1.40

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
07/17/2018	DALJO LTD PT	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	34.03	0.00	34.03	90.0	30.63
07/17/2018	HOHMAN, JEROME	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	6.15	0.00	6.15	90.0	5.54
07/17/2018	WILSON, MARY	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	14.92	0.00	14.92	90.0	13.43
07/17/2018	WIESNER, BETTY	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	3.89	0.00	3.89	90.0	3.50
07/17/2018	GREER, GREGORY	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	5.76	0.00	5.76	90.0	5.18
07/17/2018	GREER, GREGORY	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	5.74	0.00	5.74	90.0	5.17
07/17/2018	EWING LIVING TRUST, JACK &	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	26.33	0.00	26.33	90.0	23.70
07/17/2018	URBAN, LONNIE	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	2.13	0.00	2.13	90.0	1.92
07/17/2018	IVICIC, MARY	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	3.87	0.00	3.87	90.0	3.48
07/24/2018	EWING JR, JACK	BLK GLOBAL ALLOCATION C	0.00	16.16	0.00	16.16	90.0	14.54
07/24/2018	EWING LIVING TRUST, JACK &	BLK GLOBAL ALLOCATION C	0.00	57.94	0.00	57.94	90.0	52.15
07/19/2018	SMITH, JUDY	CALAMOS GROWTH C	0.00	40.50	0.00	40.50	90.0	36.45
07/13/2018	PEMBERTON, PATRICIA	CLEARBRIDGE SMALL CAP GROWTH FUND C	0.00	5.02	0.00	5.02	90.0	4.52
07/16/2018	WIESNER, BETTY	COLUMBIA ACORN A	0.00	1.54	0.00	1.54	90.0	1.39
07/16/2018	MCELROY, BENNETT	COLUMBIA MARSICO FOCUSED EQUITIES F	0.00	10.41	0.00	10.41	90.0	9.37
07/19/2018	CHEATHAM, JIMMY	FEDERATED EQUITY INCOME A	0.00	5.61	0.00	5.61	90.0	5.05
07/19/2018	CHEATHAM, JIMMY	FEDERATED KAUFMANN FUND A	0.00	3.19	0.00	3.19	90.0	2.87
07/19/2018	CHEATHAM, JIMMY	FEDERATED MDT LARGE CAP VALUE FUND	0.00	1.97	0.00	1.97	90.0	1.77
07/19/2018	CHEATHAM, JIMMY	FEDERATED MDT MID CAP GROWTH STRATE	0.00	3.71	0.00	3.71	90.0	3.34
07/16/2018	ESCHBERGER TRUST, JACK & AGNES	FIDELITY ADV NEW INSIGHTS-CL A	0.00	0.75	0.00	0.75	90.0	0.68
07/16/2018	NMN & NUN MGMT TRUST	FIDELITY ADV NEW INSIGHTS-CL A	0.00	1.75	0.00	1.75	90.0	1.58
07/16/2018	NAIZER TRUST, NOLAN	FIDELITY ADV NEW INSIGHTS-CL A	0.00	0.40	0.00	0.40	90.0	0.36
07/16/2018	NAIZER TRUST, NOEL	FIDELITY ADV NEW INSIGHTS-CL A	0.00	0.25	0.00	0.25	90.0	0.23
07/16/2018	WIESNER, BETTY	FIDELITY ADV NEW INSIGHTS-CL A	0.00	4.09	0.00	4.09	90.0	3.68
07/16/2018	MCELROY, BENNETT	FIDELITY ADV STRATEGIC INCOME A	0.00	4.00	0.00	4.00	90.0	3.60
07/23/2018	COOPER, ADAM	FRANKLIN MUTUAL GLOBAL DISCOVERY A	0.00	3.91	0.00	3.91	90.0	3.52
07/23/2018	COOPER, ADAM	FRANKLIN MUTUAL GLOBAL DISCOVERY A	0.00	5.68	0.00	5.68	90.0	5.11
07/23/2018	COOPER, ADAM	FRANKLIN MUTUAL QUEST A	0.00	5.17	0.00	5.17	90.0	4.65
07/23/2018	COOPER, ADAM	FRANKLIN RISING DIVIDENDS A	0.00	5.65	0.00	5.65	90.0	5.09
07/24/2018	ENOCHS, LELAND	GOLDMAN SACHS CAPITAL GROWTH FUND C	0.00	11.06	0.00	11.06	90.0	9.95
07/24/2018	ENOCHS, LELAND	GOLDMAN SACHS FOCUSED INTL EQUITY F	0.00	2.88	0.00	2.88	90.0	2.59
07/24/2018	HAMITER, DONNIE	GOLDMAN SACHS SMALL CAP VALUE FUND-	0.00	0.70	0.00	0.70	90.0	0.63
07/24/2018	STOLTE, VERNALINE	GOLDMAN SACHS U.S. EQUITY INSIGHTS	0.00	0.35	0.00	0.35	90.0	0.32

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<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
07/24/2018	BURKHART, KRISTI	GOLDMAN SACHS U.S. EQUITY INSIGHTS	0.00	1.83	0.00	1.83	90.0	1.65
07/16/2018	FUESSEL IRREV TR, NORMAN	GRIFFIN INSTITUTIONAL ACCESS REAL E	0.00	14.27	0.00	14.27	90.0	12.84
07/16/2018	MCRIGHT, WILLIAM	GRIFFIN INSTITUTIONAL ACCESS REAL E	0.00	1.55	0.00	1.55	90.0	1.40
07/16/2018	MCRIGHT, BETTY	GRIFFIN INSTITUTIONAL ACCESS REAL E	0.00	0.58	0.00	0.58	90.0	0.52
07/16/2018	BELL, EDDY	GRIFFIN INSTITUTIONAL ACCESS REAL E	0.00	3.10	0.00	3.10	90.0	2.79
07/16/2018	BELL, EDDY	GRIFFIN INSTITUTIONAL ACCESS REAL E	0.00	3.15	0.00	3.15	90.0	2.84
07/16/2018	BELL, PATTI	GRIFFIN INSTITUTIONAL ACCESS REAL E	0.00	1.42	0.00	1.42	90.0	1.28
07/16/2018	STAGNER TRUST, JAMES	GRIFFIN INSTITUTIONAL ACCESS REAL E	0.00	6.81	0.00	6.81	90.0	6.13
07/16/2018	PAULSEN, ROGER	GRIFFIN INSTITUTIONAL ACCESS REAL E	0.00	7.40	0.00	7.40	90.0	6.66
07/16/2018	BAGGETT, PETE	GRIFFIN INSTITUTIONAL ACCESS REAL E	0.00	7.43	0.00	7.43	90.0	6.69
07/16/2018	BAGGETT, JARROD	GRIFFIN INSTITUTIONAL ACCESS REAL E	0.00	3.20	0.00	3.20	90.0	2.88
07/16/2018	LUERSEN, JENNIFER	GRIFFIN INSTITUTIONAL ACCESS REAL E	0.00	10.64	0.00	10.64	90.0	9.58
07/17/2018	CHEATHAM, JIMMY	HARTFORD BALANCED A	0.00	0.94	0.00	0.94	90.0	0.85
07/17/2018	FLEMING, EVELYN	HARTFORD BALANCED A	0.00	1.59	0.00	1.59	90.0	1.43
07/17/2018	RAESZ TTEE, BARBARA	HARTFORD BALANCED ALLOCATION A	0.00	4.13	0.00	4.13	90.0	3.72
07/17/2018	RAESZ TTEE, BARBARA	HARTFORD BALANCED ALLOCATION A	0.00	2.16	0.00	2.16	90.0	1.94
07/17/2018	TAISLER, JESSE	HARTFORD CAPITAL APP II A	0.00	1.78	0.00	1.78	90.0	1.60
07/17/2018	MASON, ELEANOR	HARTFORD CAPITAL APP II A	0.00	1.22	0.00	1.22	90.0	1.10
07/17/2018	SCOTT, MONYUAN	HARTFORD CAPITAL APP II A	0.00	16.85	0.00	16.85	90.0	15.17
/ /	MICHNA, JIMMY	HARTFORD CAPITAL APPRECIATION A	0.00	3.35	0.00	3.35	90.0	3.02
07/17/2018	CHEATHAM, JIMMY	HARTFORD CAPITAL APPRECIATION A	0.00	10.87	0.00	10.87	90.0	9.78
07/17/2018	ROSENTHAL, LUCILLE	HARTFORD CAPITAL APPRECIATION A	0.00	12.74	0.00	12.74	90.0	11.47
07/17/2018	BRUECKNER, KIMBERLY	HARTFORD CAPITAL APPRECIATION A	0.00	14.47	0.00	14.47	90.0	13.02
07/17/2018	HAMANN, LARRY	HARTFORD CAPITAL APPRECIATION A	0.00	10.60	0.00	10.60	90.0	9.54
07/17/2018	TAISLER, JESSE	HARTFORD CAPITAL APPRECIATION A	0.00	1.40	0.00	1.40	90.0	1.26
07/17/2018	FLEMING, EVELYN	HARTFORD CAPITAL APPRECIATION A	0.00	6.49	0.00	6.49	90.0	5.84
07/17/2018	MOORE, TERRY	HARTFORD CAPITAL APPRECIATION C	0.00	27.18	0.00	27.18	90.0	24.46
07/17/2018	CHEATHAM, JIMMY	HARTFORD DIVIDEND & GROWTH A	0.00	5.07	0.00	5.07	90.0	4.56
07/17/2018	BRUECKNER, KIMBERLY	HARTFORD DIVIDEND & GROWTH A	0.00	5.84	0.00	5.84	90.0	5.26
07/17/2018	HAMANN, LARRY	HARTFORD DIVIDEND & GROWTH A	0.00	4.43	0.00	4.43	90.0	3.99
07/17/2018	TAISLER, JESSE	HARTFORD DIVIDEND & GROWTH A	0.00	2.03	0.00	2.03	90.0	1.83
07/17/2018	FLEMING, EVELYN	HARTFORD DIVIDEND & GROWTH A	0.00	5.39	0.00	5.39	90.0	4.85
/ /	EWING, JOHN	HARTFORD GROWTH ALLOCATION A	0.00	0.64	0.00	0.64	90.0	0.58

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<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
/ /	SMITH, MARLO	HARTFORD GROWTH ALLOCATION A	0.00	1.52	0.00	1.52	90.0	1.37
07/17/2018	RAESZ TTEE, BARBARA	HARTFORD GROWTH ALLOCATION A	0.00	4.11	0.00	4.11	90.0	3.70
07/17/2018	RAESZ TTEE, BARBARA	HARTFORD GROWTH ALLOCATION A	0.00	2.27	0.00	2.27	90.0	2.04
07/17/2018	EWING, JOHN	HARTFORD GROWTH ALLOCATION A	0.00	0.91	0.00	0.91	90.0	0.82
07/17/2018	ROSENTHAL, LUCILLE	HARTFORD GROWTH OPP A	0.00	13.44	0.00	13.44	90.0	12.10
07/17/2018	SCOTT, MONYUAN	HARTFORD GROWTH OPP A	0.00	23.40	0.00	23.40	90.0	21.06
07/17/2018	ROSENTHAL, LUCILLE	HARTFORD INT'L GROWTH A	0.00	7.70	0.00	7.70	90.0	6.93
/ /	MICHNA, JIMMY	HARTFORD MIDCAP A	0.00	0.53	0.00	0.53	90.0	0.48
07/17/2018	CHEATHAM, JIMMY	HARTFORD MIDCAP A	0.00	8.26	0.00	8.26	90.0	7.43
07/17/2018	FLEMING, EVELYN	HARTFORD MIDCAP A	0.00	6.13	0.00	6.13	90.0	5.52
07/17/2018	ROSENTHAL, LUCILLE	HARTFORD MIDCAP VALUE A	0.00	13.46	0.00	13.46	90.0	12.11
07/17/2018	MASON, ELEANOR	HARTFORD MIDCAP VALUE A	0.00	0.81	0.00	0.81	90.0	0.73
07/17/2018	BRUECKNER, KIMBERLY	HARTFORD SMALL-COMPANY FUND CLASS A	0.00	6.80	0.00	6.80	90.0	6.12
07/17/2018	TAISLER, JESSE	HARTFORD VALUE OPPORTUNITY FUND CLA	0.00	1.97	0.00	1.97	90.0	1.77
07/17/2018	MASON, ELEANOR	HARTFUND EQUITY INCIME FUND A	0.00	0.68	0.00	0.68	90.0	0.61
07/23/2018	ENOCHS, LELAND	INVESCO AMERICAN FRANCHISE A	0.00	8.78	0.00	8.78	90.0	7.90
07/23/2018	EWING JR, JACK	INVESCO ASIA PACIFIC GROWTH A	0.00	23.07	0.00	23.07	90.0	20.76
07/23/2018	ENOCHS, LELAND	INVESCO CHARTER FUND A	0.00	9.50	0.00	9.50	90.0	8.55
07/23/2018	WILSON, MARY	INVESCO CHARTER FUND A	0.00	52.36	0.00	52.36	90.0	47.12
07/23/2018	SMITH, MICHAEL	INVESCO CORPORATE BOND A	0.00	1.16	0.00	1.16	90.0	1.04
07/23/2018	EWING JR, JACK	INVESCO DEVELOPING MARKETS A	0.00	18.89	0.00	18.89	90.0	17.00
07/13/2018	ESCHBERGER TRUST, JACK & AGNES	IVY INTERNATIONAL CORE EQUITY FUND	0.00	2.35	0.00	2.35	90.0	2.12
07/13/2018	ROSENTHAL, LUCILLE	IVY INTERNATIONAL CORE EQUITY FUND	0.00	1.01	0.00	1.01	90.0	0.91
07/13/2018	SCARBOROUGH, ROBERT	IVY INTERNATIONAL CORE EQUITY FUND	0.00	1.47	0.00	1.47	90.0	1.32
07/13/2018	NAIZER TRUST, NOLAN	IVY INTERNATIONAL CORE EQUITY FUND	0.00	1.09	0.00	1.09	90.0	0.98
07/13/2018	NAIZER TRUST, NOEL	IVY INTERNATIONAL CORE EQUITY FUND	0.00	0.40	0.00	0.40	90.0	0.36
07/13/2018	OLSON, DALE	IVY INTERNATIONAL CORE EQUITY FUND	0.00	4.89	0.00	4.89	90.0	4.40
07/13/2018	ESCHBERGER TRUST, JACK & AGNES	JH DISCIPLINED VALUE A	0.00	1.30	0.00	1.30	90.0	1.17
07/13/2018	ROSENTHAL, LUCILLE	JH DISCIPLINED VALUE A	0.00	0.66	0.00	0.66	90.0	0.59
07/13/2018	SCARBOROUGH, ROBERT	JH DISCIPLINED VALUE A	0.00	1.03	0.00	1.03	90.0	0.93
07/13/2018	NMN & NUN MGMT TRUST	JH DISCIPLINED VALUE A	0.00	3.18	0.00	3.18	90.0	2.86
07/13/2018	NAIZER TRUST, NOLAN	JH DISCIPLINED VALUE A	0.00	0.60	0.00	0.60	90.0	0.54
07/13/2018	NAIZER TRUST, NOEL	JH DISCIPLINED VALUE A	0.00	0.43	0.00	0.43	90.0	0.39

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<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
07/13/2018	OLSON, DALE	JH DISCIPLINED VALUE A	0.00	2.55	0.00	2.55	90.0	2.30
07/13/2018	MCELROY, BENNETT	JH STRATEGIC INCOME A	0.00	3.92	0.00	3.92	90.0	3.53
07/13/2018	SCARBOROUGH, ROBERT	JOHN HANCOCK GLOBAL ABSOLUTE RETURN	0.00	0.69	0.00	0.69	90.0	0.62
07/13/2018	NMN & NUN MGMT TRUST	JOHN HANCOCK GLOBAL ABSOLUTE RETURN	0.00	1.69	0.00	1.69	90.0	1.52
07/13/2018	NAIZER TRUST, NOLAN	JOHN HANCOCK GLOBAL ABSOLUTE RETURN	0.00	0.09	0.00	0.09	90.0	0.08
07/13/2018	NAIZER TRUST, NOEL	JOHN HANCOCK GLOBAL ABSOLUTE RETURN	0.00	0.17	0.00	0.17	90.0	0.15
07/13/2018	OLSON, DALE	JOHN HANCOCK GLOBAL ABSOLUTE RETURN	0.00	0.52	0.00	0.52	90.0	0.47
07/13/2018	MASON, JOHN	JOHN HANCOCK GLOBAL ABSOLUTE RETURN	0.00	5.79	0.00	5.79	90.0	5.21
07/23/2018	CHEATHAM, JIMMY	LORD ABBETT AFFILIATED A	0.00	1.89	0.00	1.89	90.0	1.70
07/23/2018	SPECKELS, MELBA	LORD ABBETT AFFILIATED A	0.00	0.81	0.00	0.81	90.0	0.73
07/23/2018	CHEATHAM, JIMMY	LORD ABBETT ALPHA STRATEGY A	0.00	4.43	0.00	4.43	90.0	3.99
07/23/2018	FUESSEL NE & NA TR, NORMAN	LORD ABBETT BOND DEBENTURE A	0.00	6.13	0.00	6.13	90.0	5.52
07/23/2018	CHEATHAM, JIMMY	LORD ABBETT CALIBRATED DIVIDEND GRO	0.00	2.36	0.00	2.36	90.0	2.12
07/23/2018	FUESSEL IRREV TR, NORMAN	LORD ABBETT CALIBRATED DIVIDEND GRO	0.00	12.54	0.00	12.54	90.0	11.29
07/23/2018	BRUECKNER, KIMBERLY	LORD ABBETT CALIBRATED DIVIDEND GRO	0.00	8.32	0.00	8.32	90.0	7.49
07/23/2018	SPECKELS, MELBA	LORD ABBETT CALIBRATED DIVIDEND GRO	0.00	1.00	0.00	1.00	90.0	0.90
07/23/2018	CHEATHAM, JIMMY	LORD ABBETT DEVELOPING GROWTH A	0.00	5.14	0.00	5.14	90.0	4.63
07/23/2018	FUESSEL IRREV TR, NORMAN	LORD ABBETT DEVELOPING GROWTH A	0.00	18.74	0.00	18.74	90.0	16.87
07/23/2018	BRUECKNER, KIMBERLY	LORD ABBETT FUNDAMENTAL EQUITY A	0.00	10.62	0.00	10.62	90.0	9.56
07/23/2018	SPECKELS, MELBA	LORD ABBETT FUNDAMENTAL EQUITY A	0.00	0.79	0.00	0.79	90.0	0.71
07/23/2018	SPECKELS, MELBA	LORD ABBETT GROWTH OPPORTUNITIES FU	0.00	0.67	0.00	0.67	90.0	0.60
07/23/2018	STAGNER TRUST, JAMES	LORD ABBETT INVT TR FLTG RATE A	0.00	6.74	0.00	6.74	90.0	6.07
07/23/2018	CHEATHAM, JIMMY	LORD ABBETT MID CAP STOCK A	0.00	7.35	0.00	7.35	90.0	6.62
07/23/2018	FUESSEL IRREV TR, NORMAN	LORD ABBETT MID CAP STOCK A	0.00	17.28	0.00	17.28	90.0	15.55
07/23/2018	BRUECKNER, KIMBERLY	LORD ABBETT MID CAP STOCK A	0.00	10.39	0.00	10.39	90.0	9.35
07/17/2018	ROSENTHAL, LUCILLE	LTD TERM TAX-EX BOND FUND OF AMERIC	0.00	4.71	0.00	4.71	90.0	4.24
07/19/2018	PEARSON, GRANT	MFS LIFETIME RETIREMENT INCOME FUND	0.00	42.87	0.00	42.87	90.0	38.58
07/19/2018	MCELROY, BENNETT	MFS VALUE A	0.00	9.44	0.00	9.44	90.0	8.50
07/19/2018	MASON, JOHN	NEUBERGER BERMAN LONG SHORT FUND CL	0.00	5.29	0.00	5.29	90.0	4.76
07/23/2018	WIESNER, BETTY	OPPENHEIMER GLOBAL STRATEGIC INC A	0.00	1.54	0.00	1.54	90.0	1.39
07/23/2018	FUESSEL IRREV TR, NORMAN	PUTNAM ASSET ALLOC GROWTH A	0.00	17.91	0.00	17.91	90.0	16.12
07/16/2018	KURTH, KARIANNE	TRANSAMERICA AA GROWTH C	0.00	39.96	0.00	39.96	90.0	35.96
07/16/2018	KURTH, DEREK	TRANSAMERICA AA GROWTH C	0.00	47.86	0.00	47.86	90.0	43.07

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<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
07/16/2018	KURTH, DEREK	TRANSAMERICA AA GROWTH C	0.00	29.38	0.00	29.38	90.0	26.44
07/16/2018	KURTH, DEREK	TRANSAMERICA AA GROWTH C	0.00	2.03	0.00	2.03	90.0	1.83
07/16/2018	KURTH, DEREK	TRANSAMERICA AA GROWTH C	0.00	2.03	0.00	2.03	90.0	1.83
07/16/2018	HERNANDEZ-GAGE, VIRGINIA	TRANSAMERICA AA MOD GROWTH C	0.00	4.32	0.00	4.32	90.0	3.89
07/16/2018	KURTH, DEREK	TRANSAMERICA AA MOD GROWTH C	0.00	6.53	0.00	6.53	90.0	5.88
* MUTUAL FUND 12B1 TRAILS SUBTOTAL *			\$0.00	\$2,607.12	\$0.00	\$2,607.12		\$2,346.59
<u>PRODUCT CATEGORY: VARIABLE ANNUITY 12B1 TRAILS</u>								
08/03/2018	KELLEY, DOLORES	AM GEN POLIRIS II FLEXIBLE	0.00	3.19	0.00	3.19	90.0	2.87
07/31/2018	MASON, JOHN	JNL PERSPECTIVE ADV II 5/05	0.00	386.13	0.00	386.13	90.0	347.52
07/31/2018	MASON, JOHN	JNL PERSPECTIVE L	0.00	384.23	0.00	384.23	90.0	345.81
07/31/2018	PEMBERTON, PATRICIA	JOHN HANCOCK VENTURE	0.00	4.02	0.00	4.02	90.0	3.62
07/31/2018	PRAESEL, ARTHUR	PRU AS APEX II	0.00	233.47	0.00	233.47	90.0	210.12
07/31/2018	PRAESEL, ARTHUR	PRU AS APEX II	0.00	58.37	0.00	58.37	90.0	52.53
07/31/2018	MCRIGHT, WILLIAM	PRU AS XTRA CREDIT	0.00	0.67	0.00	0.67	90.0	0.60
07/31/2018	MCELROY, BENNETT	PRU PREMIER RETIREMENT L	0.00	65.23	0.00	65.23	90.0	58.71
07/31/2018	MCCALL, DONNA	PRU XTRA CREDIT EIGHT	0.00	134.42	0.00	134.42	90.0	120.98
* VARIABLE ANNUITY 12B1 TRAILS SUBTOTAL *			\$0.00	\$1,269.73	\$0.00	\$1,269.73		\$1,142.76
*** DIRECT TRANSACTIONS TOTAL ***			\$200.00	\$3,882.35	\$0.00	\$3,882.35		\$3,494.31

ADJUSTMENTS

08/15/2018	*AI INSIGHT: CURRENT MONTH	0.00	-7.00
08/15/2018	*ALBRIDGE: LIGHT USER	0.00	-76.00
08/15/2018	*CONCIERGE SVC: 220749 HOHMAN	0.00	-50.00
08/15/2018	*DOCUSIGN: CURRENT MONTH	0.00	-18.00
08/15/2018	*EO INS: CURRENT MONTH INS	0.00	-300.00
08/15/2018	*GLOBAL RELAY: FACEBOOK	0.00	-5.00
08/15/2018	*GLOBAL RELAY: WEBSITE	0.00	-15.00
08/15/2018	*LASER APP: CURRENT MONTH	0.00	-18.00
08/15/2018	*MARKETING PRO: PRO USER	0.00	-45.00
08/15/2018	*PERSHING: BASIS TRACKING 234 ACCTS	0.00	-234.00
08/15/2018	*PERSHING: MANDATORY REORG MERGER	0.00	-10.00

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>ADJUSTMENTS</u>								
		PNW113017						
08/15/2018		*PERSHING: MANDATORY REORG MERGER	0.00					-10.00
		PNW113017						
08/15/2018		*PERSHING: MANDATORY REORG MERGER	0.00					-10.00
		PNW113421						
08/15/2018		*PERSHING: MANDATORY REORG MERGER	0.00					-10.00
		PNW113421						
08/15/2018		*PERSHING: MANDATORY REORG MERGER	0.00					-10.00
		PNW113470						
08/15/2018		*PERSHING: MANDATORY REORG MERGER	0.00					-10.00
		PNW113470						
08/15/2018		*PERSHING: MANDATORY REORG MERGER	0.00					-10.00
		PNW118032						
08/15/2018		*PERSHING: MANDATORY REORG MERGER	0.00					-10.00
		PNW118065						
08/15/2018		*PERSHING: MANDATORY REORG MERGER	0.00					-10.00
		PNW118065						
08/15/2018		*PERSHING: MANDATORY REORG MERGER	0.00					-10.00
		PNW118073						
08/15/2018		*PERSHING: MANDATORY REORG MERGER	0.00					-10.00
		PNW118073						
08/15/2018		*PERSHING: MANDATORY REORG MERGER	0.00					-10.00
		PNW118099						
08/15/2018		*PERSHING: MANDATORY REORG MERGER	0.00					-10.00
		PNW118099						
08/15/2018		*TECHNOLOGY: CURRENT MONTH BASIC	0.00					-180.00
*** ADJUSTMENTS TOTAL ***			\$0.00	\$0.00	\$0.00	\$0.00		\$-1,078.00

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	\$17,338.61
Split Transactions	\$0.00
Override Transactions	\$0.00
Adjustments	\$-1,078.00
Payroll Draw	\$0.00
Base Salary	\$0.00
Prior Period Balance	\$0.00
FINRA Assessment	\$0.00
SIPC Assessment	\$0.00

Check Amount	\$16,260.61
Year-to-date Gross	\$268,101.58
Year-to-date Earnings	\$240,254.61