



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

04/17/2018  
Page No. 1

DAVID, Z116 ZUPEK  
1126 Bichara Blvd

BROKER #: Z116  
BRANCH: TADA WEALTH ADVISORS

The Villages, FL 32159

| 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: REIT</u></b>               |                  |                                     |                      |                     |                    |                   |      |                      |
| 03/15/2018   | ROSE, PETER      | CARTER VALIDUS MC REIT II CLASS T   | 0.00                 | 39.13               | 0.00               | 39.13             | 90.0 | 35.22                |
| 03/15/2018   | KANE, SUSAN      | CARTER VALIDUS MC REIT II CLASS T   | 0.00                 | 38.82               | 0.00               | 38.82             | 90.0 | 34.94                |
| * REIT SUBTOTAL *                                  |                  |                                     | \$0.00               | \$77.95             | \$0.00             | \$77.95           |      | \$70.16              |
| <b><u>PRODUCT CATEGORY: 529 PLANS</u></b>          |                  |                                     |                      |                     |                    |                   |      |                      |
| 04/06/2018   | NICOLAZZI, JOYCE | AM FUNDS AMERICAN MUTUAL 529A       | 377.00               | 10.37               | 0.00               | 10.37             | 90.0 | 9.33                 |
| 04/02/2018   | FROSCH, TRACEY   | AM FUNDS FUNDAMENTAL INVESTORS 529A | 15.00                | 0.56                | 0.00               | 0.56              | 90.0 | 0.50                 |
| 04/06/2018   | NICOLAZZI, JOYCE | AM FUNDS FUNDAMENTAL INVESTORS 529A | 390.00               | 10.73               | 0.00               | 10.73             | 90.0 | 9.66                 |
| 04/02/2018   | FROSCH, TRACEY   | AM FUNDS GROWTH FUND OF AMERICA 529 | 15.00                | 0.56                | 0.00               | 0.56              | 90.0 | 0.50                 |
| 04/06/2018   | NICOLAZZI, JOYCE | AM FUNDS GROWTH FUND OF AMERICA 529 | 403.00               | 11.08               | 0.00               | 11.08             | 90.0 | 9.97                 |
| 04/02/2018   | FROSCH, TRACEY   | AM FUNDS SMALLCAP WORLD-529A        | 15.00                | 0.56                | 0.00               | 0.56              | 90.0 | 0.50                 |
| 04/06/2018   | NICOLAZZI, JOYCE | AM FUNDS SMALLCAP WORLD-529A        | 130.00               | 3.58                | 0.00               | 3.58              | 90.0 | 3.22                 |
| 04/02/2018   | FROSCH, TRACEY   | AM FUNDS WASHINGTON MUTUAL INVESTOR | 15.00                | 0.56                | 0.00               | 0.56              | 90.0 | 0.50                 |
| * 529 PLANS SUBTOTAL *                             |                  |                                     | \$1,360.00           | \$38.00             | \$0.00             | \$38.00           |      | \$34.18              |
| <b><u>PRODUCT CATEGORY: MUTUAL FUNDS</u></b>       |                  |                                     |                      |                     |                    |                   |      |                      |
| 04/02/2018   | FROSCH, TRACEY   | 529 AMCAP FUND CLASS A              | 15.00                | 0.56                | 0.00               | 0.56              | 90.0 | 0.50                 |
| 04/02/2018   | KISSH, BARBARA   | AM FUNDS AMERICAN BALANCED A        | 50.00                | 2.50                | 0.00               | 2.50              | 90.0 | 2.25                 |
| * MUTUAL FUNDS SUBTOTAL *                          |                  |                                     | \$65.00              | \$3.06              | \$0.00             | \$3.06            |      | \$2.75               |
| <b><u>PRODUCT CATEGORY: VARIABLE ANNUITIES</u></b> |                  |                                     |                      |                     |                    |                   |      |                      |
| 03/29/2018   | DEHAHN, RAYMOND  | ALLIANZ VISION                      | 19,383.37            | 48.46               | 0.00               | 48.46             | 90.0 | 43.61                |
| 03/29/2018   | DEHAHN, RAYMOND  | ALLIANZ VISION                      | 19,332.53            | 48.33               | 0.00               | 48.33             | 90.0 | 43.50                |
| 03/29/2018   | RUSCH, JOSHUA    | ALLIANZ VISION                      | 34,006.17            | 85.02               | 0.00               | 85.02             | 90.0 | 76.52                |
| 03/29/2018   | SUS, SANDRA      | ALLIANZ VISION                      | 80,695.50            | 201.74              | 0.00               | 201.74            | 90.0 | 181.57               |
| 03/29/2018   | HORNACEK, JOSEPH | ALLIANZ VISION                      | 134,281.13           | 335.70              | 0.00               | 335.70            | 90.0 | 302.13               |
| 03/29/2018   | DENNE, THOMAS    | ALLIANZ VISION                      | 69,461.03            | 173.65              | 0.00               | 173.65            | 90.0 | 156.29               |
| 03/29/2018   | SCOTT, DEBRA     | AXA ACCUMULATOR PLUS (NQ)           | 75,690.19            | 141.92              | 0.00               | 141.92            | 90.0 | 127.73               |

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<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> |                    |                             |                      |                     |                    |                   |      |                      |
| 03/31/2018   | SHELDON, MARK      | JNL PERSPECTIVE ADV II 5/05 | 14,171.87            | 14.76               | 0.00               | 14.76             | 90.0 | 13.28                |
| 03/31/2018   | DEHAHN, RAYMOND    | JNL PERSPECTIVE ADV II 5/05 | 47,031.90            | 39.19               | 0.00               | 39.19             | 90.0 | 35.27                |
| 03/31/2018   | JOHNSON, ROBERT    | JNL PERSPECTIVE FOCUS       | 60,291.42            | 50.24               | 0.00               | 50.24             | 90.0 | 45.22                |
| 03/31/2018   | HARTGERINK, BRETT  | JNL PERSPECTIVE II 04/14    | 109,406.94           | 22.79               | 0.00               | 22.79             | 90.0 | 20.51                |
| 03/31/2018   | ROST, DAVID        | JNL PERSPECTIVE II 04/14    | 744,930.00           | 620.77              | 0.00               | 620.77            | 90.0 | 558.69               |
| 03/31/2018   | ZUPEK, ALBERT      | JNL PERSPECTIVE II 04/14    | 409,508.59           | 341.26              | 0.00               | 341.26            | 90.0 | 307.13               |
| 03/31/2018   | INGHAM, LYNNE      | JNL PERSPECTIVE II 05/05    | 15,366.75            | 6.40                | 0.00               | 6.40              | 90.0 | 5.76                 |
| 03/31/2018   | BELLAIRE, THOMAS   | JNL PERSPECTIVE II 10/04    | 14,670.77            | 6.11                | 0.00               | 6.11              | 90.0 | 5.50                 |
| 03/31/2018   | DENNE, FRANCES     | JNL PERSPECTIVE II 10/04    | 11,282.90            | 4.70                | 0.00               | 4.70              | 90.0 | 4.23                 |
| 03/31/2018   | HOSS, GAIL         | JNL PERSPECTIVE L           | 71,834.80            | 77.82               | 0.00               | 77.82             | 90.0 | 70.04                |
| 03/31/2018   | JEANQUART, ROBERT  | JNL PERSPECTIVE L           | 4,138.66             | 4.48                | 0.00               | 4.48              | 90.0 | 4.03                 |
| 03/31/2018   | PECKMAN, MARCIA    | JNL PERSPECTIVE L           | 74,834.74            | 81.07               | 0.00               | 81.07             | 90.0 | 72.96                |
| 03/31/2018   | HOOTEN, ROBERT     | JNL PERSPECTIVE L           | 32,575.03            | 35.29               | 0.00               | 35.29             | 90.0 | 31.76                |
| 03/31/2018   | KAEDING, HAROLD    | JNL PERSPECTIVE L           | 61,757.13            | 51.46               | 0.00               | 51.46             | 90.0 | 46.31                |
| 03/31/2018   | BABICKY, SHERRY    | JNL PERSPECTIVE L           | 50,716.58            | 59.17               | 0.00               | 59.17             | 90.0 | 53.25                |
| 03/31/2018   | MCFADDEN, JAMES    | JNL PERSPECTIVE L           | 163,487.55           | 190.74              | 0.00               | 190.74            | 90.0 | 171.67               |
| 03/31/2018   | TASKONIS, RICHARD  | JNL PERSPECTIVE L           | 118,459.52           | 138.20              | 0.00               | 138.20            | 90.0 | 124.38               |
| 03/31/2018   | BABICKY, SHERRY    | JNL PERSPECTIVE L           | 37,903.24            | 44.22               | 0.00               | 44.22             | 90.0 | 39.80                |
| 03/31/2018   | EDQUIST, BETTY     | JNL PERSPECTIVE L           | 41,914.86            | 34.93               | 0.00               | 34.93             | 90.0 | 31.44                |
| 03/31/2018   | FLETCHER, JEWEL    | JNL PERSPECTIVE L           | 25,316.80            | 21.10               | 0.00               | 21.10             | 90.0 | 18.99                |
| 03/31/2018   | SMITH, BETTY       | JNL PERSPECTIVE L           | 30,649.23            | 35.76               | 0.00               | 35.76             | 90.0 | 32.18                |
| 03/31/2018   | NONDORF, DENNIS    | JNL PERSPECTIVE L           | 3,215.96             | 2.68                | 0.00               | 2.68              | 90.0 | 2.41                 |
| 03/31/2018   | WILLIAMS, WARNER   | JNL PERSPECTIVE L           | 23,508.75            | 19.59               | 0.00               | 19.59             | 90.0 | 17.63                |
| 03/31/2018   | ZUPFER, CHARLES    | JNL PERSPECTIVE L           | 28,489.85            | 23.74               | 0.00               | 23.74             | 90.0 | 21.37                |
| 03/31/2018   | HUIZINGA, SHIRLEY  | JNL PERSPECTIVE L           | 31,435.11            | 26.20               | 0.00               | 26.20             | 90.0 | 23.58                |
| 03/31/2018   | SPERER, MARION     | JNL PERSPECTIVE L           | 21,133.82            | 17.61               | 0.00               | 17.61             | 90.0 | 15.85                |
| 03/31/2018   | VERBETEN, KAREN    | JNL PERSPECTIVE L           | 8,332.78             | 9.72                | 0.00               | 9.72              | 90.0 | 8.75                 |
| 03/31/2018   | BOLAND, TERRENCE   | JNL PERSPECTIVE L           | 22,843.28            | 26.65               | 0.00               | 26.65             | 90.0 | 23.99                |
| 03/31/2018   | HARTGERINK, EDWARD | JNL PERSPECTIVE L           | 26,970.72            | 29.22               | 0.00               | 29.22             | 90.0 | 26.30                |
| 03/31/2018   | HARTGERINK, EDWARD | JNL PERSPECTIVE L           | 25,031.60            | 27.12               | 0.00               | 27.12             | 90.0 | 24.41                |
| 03/31/2018   | HARTGERINK, EDWARD | JNL PERSPECTIVE L           | 27,203.43            | 22.67               | 0.00               | 22.67             | 90.0 | 20.40                |
| 03/31/2018   | BODVEN, BRUCE      | JNL PERSPECTIVE L           | 53,892.70            | 62.87               | 0.00               | 62.87             | 90.0 | 56.58                |
| 03/31/2018   | PAULICK, BERNARD   | JNL PERSPECTIVE L           | 133,799.62           | 111.50              | 0.00               | 111.50            | 90.0 | 100.35               |

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: VARIABLE ANNUITIES</u></b> |                          |                   |                      |                     |                    |                   |      |                      |
| 03/31/2018   | SORENSEN SR, ROBERT      | JNL PERSPECTIVE L | 134,745.81           | 112.29              | 0.00               | 112.29            | 90.0 | 101.06               |
| 03/31/2018   | RACK, JOAN               | JNL PERSPECTIVE L | 138,272.44           | 149.80              | 0.00               | 149.80            | 90.0 | 134.82               |
| 03/31/2018   | HUIZINGA, SHIRLEY        | JNL PERSPECTIVE L | 102,390.95           | 85.33               | 0.00               | 85.33             | 90.0 | 76.80                |
| 03/31/2018   | INGHAM, LYNNE            | JNL PERSPECTIVE L | 67,266.26            | 56.06               | 0.00               | 56.06             | 90.0 | 50.45                |
| 03/31/2018   | SORENSEN SR, ROBERT      | JNL PERSPECTIVE L | 164,803.49           | 137.34              | 0.00               | 137.34            | 90.0 | 123.61               |
| 03/31/2018   | CRAWFORD, TIMOTHY        | JNL PERSPECTIVE L | 200,074.07           | 166.73              | 0.00               | 166.73            | 90.0 | 150.06               |
| 03/31/2018   | WELLMAN, JAMES           | JNL PERSPECTIVE L | 52,484.17            | 61.23               | 0.00               | 61.23             | 90.0 | 55.11                |
| 03/31/2018   | CRAWFORD, JEANNE         | JNL PERSPECTIVE L | 97,690.61            | 113.97              | 0.00               | 113.97            | 90.0 | 102.57               |
| 03/31/2018   | THOMPSON, CAROL          | JNL PERSPECTIVE L | 70,759.76            | 58.97               | 0.00               | 58.97             | 90.0 | 53.07                |
| 03/31/2018   | SHELDON, SUSAN           | JNL PERSPECTIVE L | 45,825.93            | 38.19               | 0.00               | 38.19             | 90.0 | 34.37                |
| 03/31/2018   | SHELDON, MARK            | JNL PERSPECTIVE L | 89,055.62            | 103.90              | 0.00               | 103.90            | 90.0 | 93.51                |
| 03/31/2018   | FIEHWEG-CARTWRIGHT, LISA | JNL PERSPECTIVE L | 380,522.84           | 317.10              | 0.00               | 317.10            | 90.0 | 285.39               |
| 03/31/2018   | PERONE, PASQUALE         | JNL PERSPECTIVE L | 597,256.38           | 696.80              | 0.00               | 696.80            | 90.0 | 627.12               |
| 03/31/2018   | PECKMAN, ROGER           | JNL PERSPECTIVE L | 128,307.87           | 149.69              | 0.00               | 149.69            | 90.0 | 134.72               |
| 03/31/2018   | RUFFOLO, BENNY           | JNL PERSPECTIVE L | 98,238.65            | 114.61              | 0.00               | 114.61            | 90.0 | 103.15               |
| 03/31/2018   | ZUPEK, DAVID             | JNL PERSPECTIVE L | 218,259.87           | 254.64              | 0.00               | 254.64            | 90.0 | 229.18               |
| 03/31/2018   | FALBO, DIANE             | JNL PERSPECTIVE L | 647,329.71           | 755.22              | 0.00               | 755.22            | 90.0 | 679.70               |
| 03/31/2018   | GAFKA, PHILIP            | JNL PERSPECTIVE L | 187,757.89           | 219.05              | 0.00               | 219.05            | 90.0 | 197.15               |
| 03/31/2018   | GAFKA, PHILIP            | JNL PERSPECTIVE L | 351,336.04           | 409.89              | 0.00               | 409.89            | 90.0 | 368.90               |
| 03/31/2018   | HARRIS, BILLY            | JNL PERSPECTIVE L | 256,037.37           | 298.71              | 0.00               | 298.71            | 90.0 | 268.84               |
| 03/31/2018   | HEBERLING, DONALD        | JNL PERSPECTIVE L | 19,648.67            | 16.37               | 0.00               | 16.37             | 90.0 | 14.73                |
| 03/31/2018   | WAYO, DARLENE            | JNL PERSPECTIVE L | 67,172.56            | 55.98               | 0.00               | 55.98             | 90.0 | 50.38                |
| 03/31/2018   | HOSS, GAIL               | JNL PERSPECTIVE L | 69,087.67            | 80.60               | 0.00               | 80.60             | 90.0 | 72.54                |
| 03/31/2018   | MUELLER, ROMAYNE         | JNL PERSPECTIVE L | 54,164.63            | 45.14               | 0.00               | 45.14             | 90.0 | 40.63                |
| 03/31/2018   | STARK, GLORIA            | JNL PERSPECTIVE L | 56,751.25            | 47.29               | 0.00               | 47.29             | 90.0 | 42.56                |
| 03/31/2018   | SMITHANA, MARGARET       | JNL PERSPECTIVE L | 235,082.73           | 195.90              | 0.00               | 195.90            | 90.0 | 176.31               |
| 03/31/2018   | GIBSON, ROBERT           | JNL PERSPECTIVE L | 274,725.96           | 228.94              | 0.00               | 228.94            | 90.0 | 206.05               |
| 03/31/2018   | MCFADDEN, JAMES          | JNL PERSPECTIVE L | 29,640.85            | 24.70               | 0.00               | 24.70             | 90.0 | 22.23                |
| 03/31/2018   | KELLOGG, MICHAEL         | JNL PERSPECTIVE L | 213,785.42           | 178.15              | 0.00               | 178.15            | 90.0 | 160.34               |
| 03/31/2018   | BIRKHOLZ, GAY            | JNL PERSPECTIVE L | 107,165.04           | 89.30               | 0.00               | 89.30             | 90.0 | 80.37                |
| 03/31/2018   | HORNACEK, JOSEPH         | JNL PERSPECTIVE L | 380,003.93           | 443.34              | 0.00               | 443.34            | 90.0 | 399.01               |
| 03/31/2018   | ZUPFER, JO               | JNL PERSPECTIVE L | 84,950.81            | 70.79               | 0.00               | 70.79             | 90.0 | 63.71                |
| 03/31/2018   | BECKER, JOHN             | JNL PERSPECTIVE L | 117,556.56           | 97.96               | 0.00               | 97.96             | 90.0 | 88.16                |

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: VARIABLE ANNUITIES</u></b> |                     |                                |                        |                     |                    |                    |      |                      |
| 03/31/2018   | BECKER, JOHN        | JNL PERSPECTIVE L              | 145,530.50             | 121.28              | 0.00               | 121.28             | 90.0 | 109.15               |
| 03/31/2018   | BAHR, JEFFREY       | JNL PERSPECTIVE L              | 117,436.71             | 97.86               | 0.00               | 97.86              | 90.0 | 88.07                |
| 03/31/2018   | STEPHENS, CAROL     | JNL PERSPECTIVE L              | 546,780.18             | 455.65              | 0.00               | 455.65             | 90.0 | 410.09               |
| 03/31/2018   | GLENNAN, DONALD     | JNL PERSPECTIVE L              | 323,940.93             | 269.95              | 0.00               | 269.95             | 90.0 | 242.96               |
| 03/31/2018   | CAPSTRAW, RONALD    | JNL PERSPECTIVE L              | 360,231.70             | 300.19              | 0.00               | 300.19             | 90.0 | 270.17               |
| 03/31/2018   | CAPSTRAW, RONALD &  | JNL PERSPECTIVE L              | 208,512.18             | 173.76              | 0.00               | 173.76             | 90.0 | 156.38               |
| 03/31/2018   | FALBO, LEWIS        | PRU AS APEX II                 | 183,643.39             | 459.11              | 0.00               | 459.11             | 90.0 | 413.20               |
| 03/31/2018   | FALBO, LEWIS        | PRU AS APEX II                 | 183,643.39             | 114.78              | 0.00               | 114.78             | 90.0 | 103.30               |
| 03/31/2018   | FALBO, LEWIS        | PRU AS APEX II                 | 170,168.97             | 425.42              | 0.00               | 425.42             | 90.0 | 382.88               |
| 03/31/2018   | FALBO, LEWIS        | PRU AS APEX II                 | 170,168.97             | 106.36              | 0.00               | 106.36             | 90.0 | 95.72                |
| 03/31/2018   | DENNE, FRANCES      | PRU AS APEX II                 | 64,414.48              | 120.78              | 0.00               | 120.78             | 90.0 | 108.70               |
| 03/31/2018   | DENNE, FRANCES      | PRU AS APEX II                 | 64,414.48              | 40.26               | 0.00               | 40.26              | 90.0 | 36.23                |
| 03/31/2018   | HOOTEN, AUDREY      | PRU AS APEX II                 | 65,890.27              | 123.54              | 0.00               | 123.54             | 90.0 | 111.19               |
| 03/31/2018   | HOOTEN, AUDREY      | PRU AS APEX II                 | 65,890.27              | 41.18               | 0.00               | 41.18              | 90.0 | 37.06                |
| 03/31/2018   | OERTEL, CLIFFORD    | PRU PREMIER RETIREMENT B       | 168,600.70             | 210.75              | 0.00               | 210.75             | 90.0 | 189.68               |
| 03/31/2018   | JENSEN, DANIEL      | PRU PREMIER RETIREMENT L       | 3,733.22               | 9.33                | 0.00               | 9.33               | 90.0 | 8.40                 |
| 03/24/2018   | KAEDING, JEAN       | RELIASTAR LIFE PROTECTOR ELITE | 71,115.40              | 71.12               | 0.00               | 71.12              | 90.0 | 64.01                |
| 03/05/2018   | RACK, JOAN          | TRANSAMERICA LIBERTY           | 177,334.03             | 147.78              | 0.00               | 147.78             | 90.0 | 133.00               |
| 03/13/2018   | SOENS, JAMES        | TRANSAMERICA LIBERTY           | 107,932.50             | 89.94               | 0.00               | 89.94              | 90.0 | 80.95                |
| 03/13/2018   | HARTGERINK, EDWARD  | TRANSAMERICA LIBERTY           | 303,549.31             | 252.96              | 0.00               | 252.96             | 90.0 | 227.66               |
| 03/15/2018   | FRAID, JEROME       | TRANSAMERICA LIBERTY           | 88,508.31              | 73.76               | 0.00               | 73.76              | 90.0 | 66.38                |
| 03/17/2018   | MANDLI, JODI        | TRANSAMERICA LIBERTY           | 35,753.48              | 29.79               | 0.00               | 29.79              | 90.0 | 26.81                |
| 03/21/2018   | LUDWIG, DEBORA      | TRANSAMERICA LIBERTY           | 36,622.83              | 30.52               | 0.00               | 30.52              | 90.0 | 27.47                |
| 03/23/2018   | STARK, GLORIA       | TRANSAMERICA LIBERTY           | 38,352.13              | 31.96               | 0.00               | 31.96              | 90.0 | 28.76                |
| 03/23/2018   | DENNE, THOMAS       | TRANSAMERICA LIBERTY           | 38,240.69              | 31.87               | 0.00               | 31.87              | 90.0 | 28.68                |
| 03/23/2018   | ZUPEK TRUST         | TRANSAMERICA LIBERTY           | 1,107.85               | 0.92                | 0.00               | 0.92               | 90.0 | 0.83                 |
| 03/23/2018   | ZUPEK TRUST         | TRANSAMERICA LIBERTY           | 1,245.87               | 1.04                | 0.00               | 1.04               | 90.0 | 0.94                 |
| 03/24/2018   | HAMILTON, RONALD    | TRANSAMERICA LIBERTY           | 198,700.75             | 165.58              | 0.00               | 165.58             | 90.0 | 149.02               |
| 03/24/2018   | KASDORF, LINDA      | TRANSAMERICA LIBERTY           | 67,887.39              | 56.57               | 0.00               | 56.57              | 90.0 | 50.91                |
| 03/26/2018   | WAYO, DARLENE       | TRANSAMERICA LIBERTY           | 162,483.96             | 135.40              | 0.00               | 135.40             | 90.0 | 121.86               |
| 03/27/2018   | KIELPINSKI, ANTHONY | TRANSAMERICA LIBERTY           | 195,944.08             | 163.29              | 0.00               | 163.29             | 90.0 | 146.96               |
| <b>* VARIABLE ANNUITIES SUBTOTAL *</b>             |                     |                                | <b>\$13,084,887.55</b> | <b>\$13,521.53</b>  | <b>\$0.00</b>      | <b>\$13,521.53</b> |      | <b>\$12,169.39</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 &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>      |                       |                                     |                        |                     |                    |                    |      |                      |
| 03/01/2018   | AULER, WILLIAM        | BLUEROCK TOTAL INC & REAL ESTATE FU | 0.00                   | 28.22               | 0.00               | 28.22              | 90.0 | 25.40                |
| 03/23/2018   | AULER, WILLIAM        | BLUEROCK TOTAL INC & REAL ESTATE FU | 0.00                   | 25.61               | 0.00               | 25.61              | 90.0 | 23.05                |
| 03/19/2018   | SIMMONS, JERRY        | JP MORGAN INVESTOR GROWTH & INCOME  | 0.00                   | 5.59                | 0.00               | 5.59               | 90.0 | 5.03                 |
| <b>* MUTUAL FUND 12B1 TRAILS SUBTOTAL *</b>                  |                       |                                     | <b>\$0.00</b>          | <b>\$59.42</b>      | <b>\$0.00</b>      | <b>\$59.42</b>     |      | <b>\$53.48</b>       |
| <b><u>PRODUCT CATEGORY: VARIABLE ANNUITY 12B1 TRAILS</u></b> |                       |                                     |                        |                     |                    |                    |      |                      |
| 04/01/2018   | HOOTEN, ROBERT        | ING ACCESS                          | 97,328.76              | 304.15              | 0.00               | 304.15             | 90.0 | 273.74               |
| 04/02/2018   | HARTGERINK, EDWARD    | ING LANDMARK                        | 47,377.35              | 118.44              | 0.00               | 118.44             | 90.0 | 106.60               |
| 04/04/2018   | HARTGERINK, EDWARD    | ING LANDMARK                        | 29,204.90              | 73.01               | 0.00               | 73.01              | 90.0 | 65.71                |
| 03/31/2018   | VILLASENOR, PEDRO     | ING PREMIUM PLUS                    | 18,042.67              | 16.92               | 0.00               | 16.92              | 90.0 | 15.23                |
| 03/31/2018   | VILLASENOR, ANA MARIE | ING PREMIUM PLUS                    | 2,463.23               | 2.31                | 0.00               | 2.31               | 90.0 | 2.08                 |
| 03/31/2018   | VILLASENOR, PEDRO     | ING PREMIUM PLUS                    | 2,771.74               | 2.60                | 0.00               | 2.60               | 90.0 | 2.34                 |
| 03/31/2018   | VILLASENOR, PEDRO     | ING PREMIUM PLUS                    | 18,042.67              | 16.92               | 0.00               | 16.92              | 90.0 | 15.23                |
| 03/31/2018   | VILLASENOR, ANA MARIE | ING PREMIUM PLUS                    | 2,463.23               | 2.31                | 0.00               | 2.31               | 90.0 | 2.08                 |
| 03/31/2018   | VILLASENOR, PEDRO     | ING PREMIUM PLUS                    | 2,771.74               | 2.60                | 0.00               | 2.60               | 90.0 | 2.34                 |
| 03/31/2018   | RUSCH, ROGER          | LINCOLN BENEFIT TRAIL RENEWALS      | 105,921.29             | 264.80              | 0.00               | 264.80             | 90.0 | 238.32               |
| 03/31/2018   | HAMILTON, RONALD      | LINCOLN BENEFIT TRAIL RENEWALS      | 318,344.26             | 795.86              | 0.00               | 795.86             | 90.0 | 716.27               |
| 03/31/2018   | RYAN, CINDY           | LINCOLN BENEFIT TRAIL RENEWALS      | 32,645.86              | 81.61               | 0.00               | 81.61              | 90.0 | 73.45                |
| 03/31/2018   | WAYO, DARLENE         | LINCOLN BENEFIT TRAIL RENEWALS      | 162,704.68             | 406.76              | 0.00               | 406.76             | 90.0 | 366.08               |
| 03/31/2018   | ROBERTSON, MARTIN     | LINCOLN BENEFIT TRAIL RENEWALS      | 72,715.00              | 181.79              | 0.00               | 181.79             | 90.0 | 163.61               |
| 03/31/2018   | BIRKHOLZ, WILLIAM     | LINCOLN BENEFIT TRAIL RENEWALS      | 73,060.22              | 182.65              | 0.00               | 182.65             | 90.0 | 164.39               |
| <b>* VARIABLE ANNUITY 12B1 TRAILS SUBTOTAL *</b>             |                       |                                     | <b>\$985,857.60</b>    | <b>\$2,452.73</b>   | <b>\$0.00</b>      | <b>\$2,452.73</b>  |      | <b>\$2,207.47</b>    |
| <b>*** DIRECT TRANSACTIONS TOTAL ***</b>                     |                       |                                     | <b>\$14,072,170.15</b> | <b>\$16,152.69</b>  | <b>\$0.00</b>      | <b>\$16,152.69</b> |      | <b>\$14,537.43</b>   |

**SPLIT TRANSACTIONS****BROKER: R143-RICHARD/DAVE RODRIGUEZ/ZUPEK #404**

|   |               |                                |                    |                |               |                |      |                |
|---|---------------|--------------------------------|--------------------|----------------|---------------|----------------|------|----------------|
| 03/31/2018  | BROWN, CLAIRE | LINCOLN BENEFIT TRAIL RENEWALS | 89,146.15          | 55.72          | 0.00          | 55.72          | 90.0 | 50.15          |
| <b>* R143-RICHARD/DAVE RODRIGUEZ/ZUPEK SUBTOTAL *</b> |               |                                | <b>\$89,146.15</b> | <b>\$55.72</b> | <b>\$0.00</b> | <b>\$55.72</b> |      | <b>\$50.15</b> |
| <b>*** SPLIT TRANSACTIONS TOTAL ***</b>               |               |                                | <b>\$89,146.15</b> | <b>\$55.72</b> | <b>\$0.00</b> | <b>\$55.72</b> |      | <b>\$50.15</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 &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> OVERRIDE TRANSACTIONS </u></b>              |                      |                                     |                      |                     |                    |                   |      |                      |
| <b><u> BROKER: MARK-H122 HUBER #10 </u></b>        |                      |                                     |                      |                     |                    |                   |      |                      |
| 04/02/2018   | ZAREBA, NATALIA      | MFS GROWTH ALLOCATION FUND -529B    | 50.00                | 2.00                | 0.00               | 2.00              | 0.0  | 1.80                 |
|  |                      | * MARK-H122 HUBER SUBTOTAL *        | \$50.00              | \$2.00              | \$0.00             | \$2.00            |      | \$1.80               |
| <b><u> BROKER: R121-RICHARD RODRIGUEZ #88 </u></b> |                      |                                     |                      |                     |                    |                   |      |                      |
| 03/31/2018   | ROSE, NIKKI          | JNL PERSPECTIVE II 04/14            | 73,831.27            | 61.52               | 0.00               | 61.52             | 0.0  | 55.37                |
| 03/31/2018   | ROSE, PETER          | JNL PERSPECTIVE L                   | 32,296.19            | 26.92               | 0.00               | 26.92             | 0.0  | 24.23                |
|  |                      | * R121-RICHARD RODRIGUEZ SUBTOTAL * | \$106,127.46         | \$88.44             | \$0.00             | \$88.44           |      | \$79.60              |
| <b><u> BROKER: MARK-H122 HUBER #89 </u></b>        |                      |                                     |                      |                     |                    |                   |      |                      |
| 02/28/2018   | KOZIOL, CHRISTOPHER  | BLACKROCK 67776G469                 | 0.00                 | 6.12                | 0.00               | 6.12              | 0.0  | 5.51                 |
| 02/28/2018   | KOZIOL, CHRISTOPHER  | BLK GROWTH PORT C1                  | 0.00                 | 9.01                | 0.00               | 9.01              | 0.0  | 8.11                 |
| 02/28/2018   | KOZIOL, CHRISTOPHER  | BLK GROWTH PORT C1                  | 0.00                 | 9.01                | 0.00               | 9.01              | 0.0  | 8.11                 |
| 04/01/2018   | WIKAR, HALINA        | MFS LIFETIME 2050 FUND C            | 0.00                 | 52.15               | 0.00               | 52.15             | 0.0  | 46.94                |
| 04/01/2018   | RACZKA, PHILLIP      | MFS AGGRESS GROWTH ALLOCATION 529A  | 0.00                 | 5.76                | 0.00               | 5.76              | 0.0  | 5.18                 |
| 04/01/2018   | WIKAR, MAGDALENA     | MFS AGGRESSIVE GROWTH ALLOCATION A  | 0.00                 | 3.02                | 0.00               | 3.02              | 0.0  | 2.72                 |
| 04/01/2018   | DENEK, SABINA        | MFS AGGRESSIVE GROWTH ALLOCATION B  | 0.00                 | 0.41                | 0.00               | 0.41              | 0.0  | 0.37                 |
| 04/01/2018   | STELMASIAK, BERENIKA | MFS AGGRESSIVE GROWTH ALLOCATION B  | 0.00                 | 0.06                | 0.00               | 0.06              | 0.0  | 0.05                 |
| 04/01/2018   | ROMANEK, ELIZABETH   | MFS AGGRESSIVE GROWTH ALLOCATION C  | 0.00                 | 5.83                | 0.00               | 5.83              | 0.0  | 5.25                 |
| 04/01/2018   | TARCZYNSKI, LESTER   | MFS AGGRESSIVE GROWTH ALLOCATION C  | 0.00                 | 30.07               | 0.00               | 30.07             | 0.0  | 27.06                |
| 04/01/2018   | KWAK, ANNA           | MFS AGGRESSIVE GROWTH ALLOCATION C  | 0.00                 | 22.92               | 0.00               | 22.92             | 0.0  | 20.63                |
| 04/01/2018   | KOENIG, ANNA         | MFS AGGRESSIVE GRWTH ALLOC FD-529B  | 0.00                 | 0.33                | 0.00               | 0.33              | 0.0  | 0.30                 |
| 04/01/2018   | WAL, SEBASTIAN       | MFS BLENDED RESEARCH CORE C         | 0.00                 | 18.53               | 0.00               | 18.53             | 0.0  | 16.68                |
| 04/01/2018   | WIKAR, HALINA        | MFS BLENDED RESEARCH CORE C         | 0.00                 | 18.33               | 0.00               | 18.33             | 0.0  | 16.50                |
| 04/01/2018   | THOMAS, SYLVIA       | MFS BLENDED RESEARCH CORE C         | 0.00                 | 7.88                | 0.00               | 7.88              | 0.0  | 7.09                 |
| 04/01/2018   | WIKAR, HALINA        | MFS BLENDED RESEARCH CORE C         | 0.00                 | 8.35                | 0.00               | 8.35              | 0.0  | 7.52                 |
| 04/01/2018   | KRELLER, KRISTYNA    | MFS BLENDED RESEARCH CORE C         | 0.00                 | 3.02                | 0.00               | 3.02              | 0.0  | 2.72                 |
| 04/01/2018   | BECKER, KARINA       | MFS BLENDED RESEARCH CORE C         | 0.00                 | 13.36               | 0.00               | 13.36             | 0.0  | 12.02                |
| 04/01/2018   | PIETRZYK, JAN        | MFS BLENDED RESEARCH CORE C         | 0.00                 | 10.05               | 0.00               | 10.05             | 0.0  | 9.05                 |
| 04/01/2018   | PIETRZYK, DOROTA     | MFS BLENDED RESEARCH CORE C         | 0.00                 | 10.05               | 0.00               | 10.05             | 0.0  | 9.05                 |
| 04/01/2018   | KWAK, ANNA           | MFS BLENDED RESEARCH CORE C         | 0.00                 | 3.77                | 0.00               | 3.77              | 0.0  | 3.39                 |
| 04/02/2018   | KRELLER, KRISTYNA    | MFS BLENDED RESEARCH CORE C         | 40.00                | 0.40                | 0.00               | 0.40              | 0.0  | 0.36                 |
| 04/02/2018   | BECKER, KARINA       | MFS BLENDED RESEARCH CORE C         | 180.00               | 1.80                | 0.00               | 1.80              | 0.0  | 1.62                 |
| 04/01/2018   | KURILO SEP PLAN, EVA | MFS BLENDED RESEARCH CORE FD B      | 0.00                 | 5.23                | 0.00               | 5.23              | 0.0  | 4.71                 |
| 04/01/2018   | SIENKIEWICZ, TOMASZ  | MFS BLENDED RESEARCH CORE FD B      | 0.00                 | 0.78                | 0.00               | 0.78              | 0.0  | 0.70                 |

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> OVERRIDE TRANSACTIONS </u></b>       |                           |                                    |                      |                     |                    |                   |      |                      |
| <b><u> BROKER: MARK-H122 HUBER #89 </u></b> |                           |                                    |                      |                     |                    |                   |      |                      |
| 04/01/2018                                  | DABROWSKI, PAUL           | MFS BLENDED RESEARCH CORE FD B     | 0.00                 | 3.29                | 0.00               | 3.29              | 0.0  | 2.96                 |
| 04/01/2018                                  | MARSZALEK, ZOFIA          | MFS BLENDED RESEARCH CORE FD B     | 0.00                 | 4.75                | 0.00               | 4.75              | 0.0  | 4.28                 |
| 04/01/2018                                  | GUTT, MARTIN              | MFS BLENDED RESEARCH CORE FD B     | 0.00                 | 1.64                | 0.00               | 1.64              | 0.0  | 1.48                 |
| 04/01/2018                                  | WALCZYK, ANNA             | MFS BLENDED RESEARCH CORE FD B     | 0.00                 | 5.30                | 0.00               | 5.30              | 0.0  | 4.77                 |
| 04/01/2018                                  | WALCZYK, MAREK            | MFS BLENDED RESEARCH CORE FD B     | 0.00                 | 5.61                | 0.00               | 5.61              | 0.0  | 5.05                 |
| 04/01/2018                                  | KURILO SEP PLAN, EVA      | MFS BOND FUND B                    | 0.00                 | 6.95                | 0.00               | 6.95              | 0.0  | 6.26                 |
| 04/01/2018                                  | ZGAJEWSKI, MARIUSZ        | MFS BOND FUND B                    | 0.00                 | 3.23                | 0.00               | 3.23              | 0.0  | 2.91                 |
| 04/01/2018                                  | DABROWSKI, PAUL           | MFS BOND FUND B                    | 0.00                 | 2.70                | 0.00               | 2.70              | 0.0  | 2.43                 |
| 04/01/2018                                  | CHREPTOWICZ, MALGORZATA   | MFS CONSERVATIVE ALLOCATION A      | 0.00                 | 0.38                | 0.00               | 0.38              | 0.0  | 0.34                 |
| 04/01/2018                                  | SWIDERSKA, HELENA         | MFS CONSERVATIVE ALLOCATION A      | 0.00                 | 2.49                | 0.00               | 2.49              | 0.0  | 2.24                 |
| 04/01/2018                                  | CHREPTOWICZ, MALGORZATA   | MFS CONSERVATIVE ALLOCATION A      | 0.00                 | 0.77                | 0.00               | 0.77              | 0.0  | 0.69                 |
| 04/01/2018                                  | MROCKOWSKI, AGNES         | MFS CONSERVATIVE ALLOCATION A      | 0.00                 | 12.64               | 0.00               | 12.64             | 0.0  | 11.38                |
| 04/01/2018                                  | CHREPTOWICZ, MALGORZATA   | MFS CONSERVATIVE ALLOCATION B      | 0.00                 | 1.73                | 0.00               | 1.73              | 0.0  | 1.56                 |
| 04/01/2018                                  | MROCKOWSKI, AGNES         | MFS CONSERVATIVE ALLOCATION B      | 0.00                 | 1.20                | 0.00               | 1.20              | 0.0  | 1.08                 |
| 04/01/2018                                  | DANEK MD SEP PLAN, BEATA  | MFS CONSERVATIVE ALLOCATION B      | 0.00                 | 1.18                | 0.00               | 1.18              | 0.0  | 1.06                 |
| 04/01/2018                                  | JUSCINSKA, AGNIESZKA      | MFS CONSERVATIVE ALLOCATION B      | 0.00                 | 6.71                | 0.00               | 6.71              | 0.0  | 6.04                 |
| 04/01/2018                                  | JARZAREK, MAGDALENA       | MFS CONSERVATIVE ALLOCATION B      | 0.00                 | 3.20                | 0.00               | 3.20              | 0.0  | 2.88                 |
| 04/01/2018                                  | KURILO SEP PLAN, EVA      | MFS CONSERVATIVE ALLOCATION B      | 0.00                 | 1.17                | 0.00               | 1.17              | 0.0  | 1.05                 |
| 04/01/2018                                  | STRZECKA, SYLWIA          | MFS CONSERVATIVE ALLOCATION B      | 0.00                 | 0.12                | 0.00               | 0.12              | 0.0  | 0.11                 |
| 04/01/2018                                  | SZWEDO, MALGORZATA        | MFS CONSERVATIVE ALLOCATION B      | 0.00                 | 0.26                | 0.00               | 0.26              | 0.0  | 0.23                 |
| 04/01/2018                                  | LOWISZ, WLADYSLAWA        | MFS CONSERVATIVE ALLOCATION B      | 0.00                 | 1.92                | 0.00               | 1.92              | 0.0  | 1.73                 |
| 04/01/2018                                  | KONIECZNY, EWA            | MFS CONSERVATIVE ALLOCATION FUND C | 0.00                 | 7.57                | 0.00               | 7.57              | 0.0  | 6.81                 |
| 04/01/2018                                  | MROCKOWSKI, AGNES         | MFS CONSERVATIVE ALLOCATION FUND C | 0.00                 | 4.20                | 0.00               | 4.20              | 0.0  | 3.78                 |
| 04/01/2018                                  | CCJ CONSULTING CO SEP PLA | MFS CORE EQUITY A                  | 0.00                 | 1.53                | 0.00               | 1.53              | 0.0  | 1.38                 |
| 04/01/2018                                  | BOSOWSKI, JANUSZ          | MFS CORE EQUITY A                  | 0.00                 | 2.89                | 0.00               | 2.89              | 0.0  | 2.60                 |
| 04/01/2018                                  | BOSOWSKI, EWA             | MFS CORE EQUITY C                  | 0.00                 | 20.50               | 0.00               | 20.50             | 0.0  | 18.45                |
| 04/01/2018                                  | BOSOWSKI, JANUSZ          | MFS CORE EQUITY C                  | 0.00                 | 15.87               | 0.00               | 15.87             | 0.0  | 14.28                |
| 04/01/2018                                  | ZGAJEWSKI, MARIUSZ        | MFS DISCOVERY B                    | 0.00                 | 2.91                | 0.00               | 2.91              | 0.0  | 2.62                 |
| 04/01/2018                                  | DENEK, SABINA             | MFS DISCOVERY B                    | 0.00                 | 0.40                | 0.00               | 0.40              | 0.0  | 0.36                 |
| 04/01/2018                                  | THOMAS, SYLVIA            | MFS DIVERSIFIED INCOME FUND C      | 0.00                 | 19.26               | 0.00               | 19.26             | 0.0  | 17.33                |
| 04/01/2018                                  | WAL, SEBASTIAN            | MFS DIVERSIFIED INCOME FUND C      | 0.00                 | 18.26               | 0.00               | 18.26             | 0.0  | 16.43                |
| 04/01/2018                                  | WIKAR, HALINA             | MFS DIVERSIFIED INCOME FUND C      | 0.00                 | 36.25               | 0.00               | 36.25             | 0.0  | 32.63                |
| 04/01/2018                                  | BINKIL, ANNA              | MFS DIVERSIFIED INCOME FUND C      | 0.00                 | 8.57                | 0.00               | 8.57              | 0.0  | 7.71                 |

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> OVERRIDE TRANSACTIONS </u></b>       |                           |                                    |                      |                     |                    |                   |      |                      |
| <b><u> BROKER: MARK-H122 HUBER #89 </u></b> |                           |                                    |                      |                     |                    |                   |      |                      |
| 04/01/2018                                  | KWAK, ANNA                | MFS DIVERSIFIED INCOME FUND C      | 0.00                 | 3.21                | 0.00               | 3.21              | 0.0  | 2.89                 |
| 04/01/2018                                  | DZIEWIECKA, TERESA        | MFS DIVERSIFIED INCOME FUND C      | 0.00                 | 4.54                | 0.00               | 4.54              | 0.0  | 4.09                 |
| 04/01/2018                                  | BECKER, KARINA            | MFS DIVERSIFIED INCOME FUND C      | 0.00                 | 11.31               | 0.00               | 11.31             | 0.0  | 10.18                |
| 04/01/2018                                  | CHOWANIEC, WOJCIECH       | MFS DIVERSIFIED INCOME FUND C      | 0.00                 | 13.95               | 0.00               | 13.95             | 0.0  | 12.56                |
| 04/01/2018                                  | KWAK, ANNA                | MFS DIVERSIFIED INCOME FUND C      | 0.00                 | 3.21                | 0.00               | 3.21              | 0.0  | 2.89                 |
| 04/01/2018                                  | DABROWSKI, AGNIESZKA      | MFS DIVERSIFIED INCOME FUND C      | 0.00                 | 16.54               | 0.00               | 16.54             | 0.0  | 14.89                |
| 04/02/2018                                  | BECKER, KARINA            | MFS DIVERSIFIED INCOME FUND C      | 180.00               | 1.80                | 0.00               | 1.80              | 0.0  | 1.62                 |
| 04/01/2018                                  | MALYSZ TRUCKING INC SEP P | MFS EMERGINF MARKETS EQUITY FUND C | 0.00                 | 22.73               | 0.00               | 22.73             | 0.0  | 20.46                |
| 04/01/2018                                  | WAL, SEBASTIAN            | MFS EMERGINF MARKETS EQUITY FUND C | 0.00                 | 3.93                | 0.00               | 3.93              | 0.0  | 3.54                 |
| 04/01/2018                                  | MALYSZ, JERZY             | MFS EMERGINF MARKETS EQUITY FUND C | 0.00                 | 17.21               | 0.00               | 17.21             | 0.0  | 15.49                |
| 04/01/2018                                  | THOMAS, SYLVIA            | MFS EMERGINF MARKETS EQUITY FUND C | 0.00                 | 15.48               | 0.00               | 15.48             | 0.0  | 13.93                |
| 04/01/2018                                  | MALYSZ, JERZY             | MFS EMERGINF MARKETS EQUITY FUND C | 0.00                 | 9.60                | 0.00               | 9.60              | 0.0  | 8.64                 |
| 04/01/2018                                  | ZAREBA, GRZEGORZ          | MFS EMERGING MARKETS DEBT FUND B   | 0.00                 | 3.49                | 0.00               | 3.49              | 0.0  | 3.14                 |
| 04/01/2018                                  | VITALIDEX CORP SEP PLAN   | MFS EMERGING MARKETS DEBT FUND B   | 0.00                 | 5.00                | 0.00               | 5.00              | 0.0  | 4.50                 |
| 04/01/2018                                  | KURILO SEP PLAN, EVA      | MFS EMERGING MARKETS DEBT FUND B   | 0.00                 | 2.35                | 0.00               | 2.35              | 0.0  | 2.12                 |
| 04/01/2018                                  | LOWISZ, WLADYSLAWA        | MFS EMERGING MARKETS DEBT FUND B   | 0.00                 | 1.20                | 0.00               | 1.20              | 0.0  | 1.08                 |
| 04/02/2018                                  | ZAREBA, GRZEGORZ          | MFS EMERGING MARKETS DEBT FUND B   | 50.00                | 2.00                | 0.00               | 2.00              | 0.0  | 1.80                 |
| 04/01/2018                                  | MALYSZ (A MINOR), ANNA    | MFS EMERGING MARKETS EQUITY A      | 0.00                 | 2.05                | 0.00               | 2.05              | 0.0  | 1.85                 |
| 04/01/2018                                  | ARCIUCH, ARTUR            | MFS EMERGING MARKETS EQUITY A      | 0.00                 | 2.52                | 0.00               | 2.52              | 0.0  | 2.27                 |
| 04/01/2018                                  | WAL, SEBASTIAN            | MFS EMERGING MKTS DEBT FUND C      | 0.00                 | 17.54               | 0.00               | 17.54             | 0.0  | 15.79                |
| 04/01/2018                                  | WIKAR, HALINA             | MFS EMERGING MKTS DEBT FUND C      | 0.00                 | 3.62                | 0.00               | 3.62              | 0.0  | 3.26                 |
| 04/01/2018                                  | SYNOWIEC, LESZEK          | MFS EMERGING MKTS DEBT FUND C      | 0.00                 | 8.51                | 0.00               | 8.51              | 0.0  | 7.66                 |
| 04/01/2018                                  | SYNOWIEC, JADWIGA         | MFS EMERGING MKTS DEBT FUND C      | 0.00                 | 15.46               | 0.00               | 15.46             | 0.0  | 13.91                |
| 04/01/2018                                  | MARSZALEK, ZOFIA          | MFS EMERGING MKTS DEBT FUND C      | 0.00                 | 10.16               | 0.00               | 10.16             | 0.0  | 9.14                 |
| 04/01/2018                                  | KOPERDOWSKI, BEATA        | MFS EMERGING MKTS DEBT FUND C      | 0.00                 | 8.74                | 0.00               | 8.74              | 0.0  | 7.87                 |
| 04/01/2018                                  | KOPERDOWSKI, PIOTR        | MFS EMERGING MKTS DEBT FUND C      | 0.00                 | 8.74                | 0.00               | 8.74              | 0.0  | 7.87                 |
| 04/01/2018                                  | KWAK, ANNA                | MFS EMERGING MKTS DEBT FUND C      | 0.00                 | 22.63               | 0.00               | 22.63             | 0.0  | 20.37                |
| 04/01/2018                                  | TYLMAN, PETER             | MFS EMERGING MKTS DEBT FUND C      | 0.00                 | 14.27               | 0.00               | 14.27             | 0.0  | 12.84                |
| 04/01/2018                                  | TYLMAN, JOANNA            | MFS EMERGING MKTS DEBT FUND C      | 0.00                 | 14.27               | 0.00               | 14.27             | 0.0  | 12.84                |
| 04/01/2018                                  | BECKER, KARINA            | MFS EMERGING MKTS DEBT FUND C      | 0.00                 | 9.54                | 0.00               | 9.54              | 0.0  | 8.59                 |
| 04/01/2018                                  | PIETRZYK, JAN             | MFS EMERGING MKTS DEBT FUND C      | 0.00                 | 10.00               | 0.00               | 10.00             | 0.0  | 9.00                 |
| 04/01/2018                                  | PIETRZYK, DOROTA          | MFS EMERGING MKTS DEBT FUND C      | 0.00                 | 12.16               | 0.00               | 12.16             | 0.0  | 10.94                |
| 04/01/2018                                  | KWAK, ANNA                | MFS EMERGING MKTS DEBT FUND C      | 0.00                 | 22.97               | 0.00               | 22.97             | 0.0  | 20.67                |

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> OVERRIDE TRANSACTIONS </u></b>     |                             |                                    |                      |                     |                    |                   |      |                      |
| <b><u>BROKER: MARK-H122 HUBER #89</u></b> |                             |                                    |                      |                     |                    |                   |      |                      |
| 04/01/2018                                | MALYSZ, JERZY               | MFS EMERGING MKTS DEBT FUND C      | 0.00                 | 18.49               | 0.00               | 18.49             | 0.0  | 16.64                |
| 04/01/2018                                | GRZEDA, ZBIGNIEW            | MFS EMERGING MKTS DEBT FUND C      | 0.00                 | 29.46               | 0.00               | 29.46             | 0.0  | 26.51                |
| 04/01/2018                                | KRELLER, KRISTYNA           | MFS EMERGING MKTS DEBT FUND C      | 0.00                 | 27.44               | 0.00               | 27.44             | 0.0  | 24.70                |
| 04/01/2018                                | MALYSZ (A MINOR), ANNA      | MFS EMERGING MKTS DEBT FUND C      | 0.00                 | 17.85               | 0.00               | 17.85             | 0.0  | 16.07                |
| 04/01/2018                                | ZIEMBINSKI, JOANNA          | MFS EMERGING MKTS DEBT FUND C      | 0.00                 | 8.22                | 0.00               | 8.22              | 0.0  | 7.40                 |
| 04/01/2018                                | MALYSZ (A MINOR), MICHALINA | MFS EMERGING MKTS DEBT FUND C      | 0.00                 | 3.96                | 0.00               | 3.96              | 0.0  | 3.56                 |
| 04/01/2018                                | MALYSZ, JERZY               | MFS EMERGING MKTS DEBT FUND C      | 0.00                 | 15.38               | 0.00               | 15.38             | 0.0  | 13.84                |
| 04/01/2018                                | DZIEWIECKA, TERESA          | MFS EMERGING MKTS DEBT FUND C      | 0.00                 | 9.61                | 0.00               | 9.61              | 0.0  | 8.65                 |
| 04/02/2018                                | KRELLER, KRISTYNA           | MFS EMERGING MKTS DEBT FUND C      | 40.00                | 0.40                | 0.00               | 0.40              | 0.0  | 0.36                 |
| 04/01/2018                                | KURILO SEP PLAN, EVA        | MFS GLOBAL ALTERNATIVE STRATEGY FD | 0.00                 | 0.92                | 0.00               | 0.92              | 0.0  | 0.83                 |
| 04/01/2018                                | WIKAR, HALINA               | MFS GLOBAL EQUITY FUND C           | 0.00                 | 181.77              | 0.00               | 181.77            | 0.0  | 163.59               |
| 04/01/2018                                | MALYSZ, JERZY               | MFS GLOBAL NEW DISCOVERY FUND C    | 0.00                 | 23.43               | 0.00               | 23.43             | 0.0  | 21.09                |
| 04/01/2018                                | MALYSZ (A MINOR), MICHALINA | MFS GLOBAL NEW DISCOVERY FUND C    | 0.00                 | 1.46                | 0.00               | 1.46              | 0.0  | 1.31                 |
| 04/01/2018                                | MALYSZ (A MINOR), ANNA      | MFS GLOBAL NEW DISCOVERY FUND C    | 0.00                 | 19.47               | 0.00               | 19.47             | 0.0  | 17.52                |
| 04/01/2018                                | DZIEWIECKA, TERESA          | MFS GLOBAL REAL ESTATE FUND -C     | 0.00                 | 3.56                | 0.00               | 3.56              | 0.0  | 3.20                 |
| 04/01/2018                                | WALCZYK, ANNA               | MFS GLOBAL REAL ESTATE FUND B      | 0.00                 | 4.36                | 0.00               | 4.36              | 0.0  | 3.92                 |
| 04/01/2018                                | WALCZYK, MAREK              | MFS GLOBAL REAL ESTATE FUND B      | 0.00                 | 4.61                | 0.00               | 4.61              | 0.0  | 4.15                 |
| 04/01/2018                                | WALCZYK, SABRINA            | MFS GLOBAL REAL ESTATE FUND B      | 0.00                 | 0.32                | 0.00               | 0.32              | 0.0  | 0.29                 |
| 04/01/2018                                | TULEWICZ, KRISTYNA          | MFS GLOBAL REAL ESTATE FUND B      | 0.00                 | 0.32                | 0.00               | 0.32              | 0.0  | 0.29                 |
| 04/01/2018                                | FELINSKI, DOROTA            | MFS GLOBAL REAL ESTATE FUND B      | 0.00                 | 0.36                | 0.00               | 0.36              | 0.0  | 0.32                 |
| 04/01/2018                                | SZAJEWSKI, REGINA           | MFS GLOBAL TOTAL RETURN FUND-B     | 0.00                 | 1.37                | 0.00               | 1.37              | 0.0  | 1.23                 |
| 04/01/2018                                | WAL, SEBASTIAN              | MFS GOVERNMENT SECURITIES C        | 0.00                 | 1.59                | 0.00               | 1.59              | 0.0  | 1.43                 |
| 04/01/2018                                | CCJ CONSULTING CO SEP PLA   | MFS GROWTH A                       | 0.00                 | 3.07                | 0.00               | 3.07              | 0.0  | 2.76                 |
| 04/01/2018                                | CHOWANIEC, WOJCIECH         | MFS GROWTH ALLOCATION 529C         | 0.00                 | 42.71               | 0.00               | 42.71             | 0.0  | 38.44                |
| 04/01/2018                                | GRESZTA, LIDIA              | MFS GROWTH ALLOCATION B            | 0.00                 | 2.63                | 0.00               | 2.63              | 0.0  | 2.37                 |
| 04/01/2018                                | KURILO SEP PLAN, EVA        | MFS GROWTH ALLOCATION B            | 0.00                 | 0.57                | 0.00               | 0.57              | 0.0  | 0.51                 |
| 04/01/2018                                | MEI, JENNIFER               | MFS GROWTH ALLOCATION B            | 0.00                 | 2.13                | 0.00               | 2.13              | 0.0  | 1.92                 |
| 04/01/2018                                | STRZECKA, SYLWIA            | MFS GROWTH ALLOCATION B            | 0.00                 | 0.17                | 0.00               | 0.17              | 0.0  | 0.15                 |
| 04/01/2018                                | DABROWSKI, PAUL             | MFS GROWTH ALLOCATION B            | 0.00                 | 3.12                | 0.00               | 3.12              | 0.0  | 2.81                 |
| 04/01/2018                                | WALCZYK, ANNA               | MFS GROWTH ALLOCATION B            | 0.00                 | 5.06                | 0.00               | 5.06              | 0.0  | 4.55                 |
| 04/01/2018                                | WALCZYK, MAREK              | MFS GROWTH ALLOCATION B            | 0.00                 | 5.34                | 0.00               | 5.34              | 0.0  | 4.81                 |
| 04/01/2018                                | WALCZYK, SABRINA            | MFS GROWTH ALLOCATION B            | 0.00                 | 0.38                | 0.00               | 0.38              | 0.0  | 0.34                 |
| 04/01/2018                                | TULEWICZ, KRISTYNA          | MFS GROWTH ALLOCATION B            | 0.00                 | 0.37                | 0.00               | 0.37              | 0.0  | 0.33                 |

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> OVERRIDE TRANSACTIONS </u></b>       |                           |                                  |                      |                     |                    |                   |      |                      |
| <b><u> BROKER: MARK-H122 HUBER #89 </u></b> |                           |                                  |                      |                     |                    |                   |      |                      |
| 04/01/2018                                  | FELINSKI, DOROTA          | MFS GROWTH ALLOCATION B          | 0.00                 | 0.42                | 0.00               | 0.42              | 0.0  | 0.38                 |
| 04/01/2018                                  | SZWEDO, MALGORZATA        | MFS GROWTH ALLOCATION B          | 0.00                 | 0.29                | 0.00               | 0.29              | 0.0  | 0.26                 |
| 04/01/2018                                  | CHOWANIEC, WOJCIECH       | MFS GROWTH ALLOCATION B          | 0.00                 | 4.28                | 0.00               | 4.28              | 0.0  | 3.85                 |
| 04/01/2018                                  | WIKAR, SYLVIA             | MFS GROWTH ALLOCATION B          | 0.00                 | 0.59                | 0.00               | 0.59              | 0.0  | 0.53                 |
| 04/01/2018                                  | SZAJEWSKI, REGINA         | MFS GROWTH ALLOCATION B          | 0.00                 | 1.81                | 0.00               | 1.81              | 0.0  | 1.63                 |
| 04/01/2018                                  | SZAJEWSKI, REGINA         | MFS GROWTH ALLOCATION B          | 0.00                 | 1.41                | 0.00               | 1.41              | 0.0  | 1.27                 |
| 04/01/2018                                  | MURZANSKI, ANDRZEJ        | MFS GROWTH ALLOCATION C          | 0.00                 | 19.04               | 0.00               | 19.04             | 0.0  | 17.14                |
| 04/01/2018                                  | DZIEWIECKA, TERESA        | MFS GROWTH ALLOCATION C          | 0.00                 | 124.17              | 0.00               | 124.17            | 0.0  | 111.75               |
| 04/01/2018                                  | WIKAR, HALINA             | MFS GROWTH ALLOCATION C          | 0.00                 | 25.38               | 0.00               | 25.38             | 0.0  | 22.84                |
| 04/01/2018                                  | BOSOWSKI, JANUSZ          | MFS GROWTH ALLOCATION C          | 0.00                 | 17.97               | 0.00               | 17.97             | 0.0  | 16.17                |
| 04/01/2018                                  | BOSOWSKI, EWA             | MFS GROWTH ALLOCATION C          | 0.00                 | 18.30               | 0.00               | 18.30             | 0.0  | 16.47                |
| 04/01/2018                                  | KOPERDOWSKI, PIOTR        | MFS GROWTH ALLOCATION C          | 0.00                 | 16.87               | 0.00               | 16.87             | 0.0  | 15.18                |
| 04/01/2018                                  | KOPERDOWSKI, BEATA        | MFS GROWTH ALLOCATION C          | 0.00                 | 16.87               | 0.00               | 16.87             | 0.0  | 15.18                |
| 04/01/2018                                  | BINKIL, ANNA              | MFS GROWTH ALLOCATION C          | 0.00                 | 43.24               | 0.00               | 43.24             | 0.0  | 38.92                |
| 04/01/2018                                  | SWIDER, JULIA             | MFS GROWTH ALLOCATION C          | 0.00                 | 51.82               | 0.00               | 51.82             | 0.0  | 46.64                |
| 04/01/2018                                  | WAL, SEBASTIAN            | MFS GROWTH ALLOCATION C          | 0.00                 | 6.18                | 0.00               | 6.18              | 0.0  | 5.56                 |
| 04/01/2018                                  | ZIEMBINSKI, JACEK         | MFS GROWTH ALLOCATION C          | 0.00                 | 4.84                | 0.00               | 4.84              | 0.0  | 4.36                 |
| 04/01/2018                                  | BYSTROWIZ SEP PLAN, MAREK | MFS GROWTH ALLOCATION C          | 0.00                 | 9.17                | 0.00               | 9.17              | 0.0  | 8.25                 |
| 04/01/2018                                  | BUGAJ, ANNA               | MFS GROWTH ALLOCATION C          | 0.00                 | 9.77                | 0.00               | 9.77              | 0.0  | 8.79                 |
| 04/01/2018                                  | CHOWANIEC, WOJCIECH       | MFS GROWTH ALLOCATION C          | 0.00                 | 5.51                | 0.00               | 5.51              | 0.0  | 4.96                 |
| 04/01/2018                                  | MURZANSKI, EWA            | MFS GROWTH ALLOCATION C          | 0.00                 | 19.04               | 0.00               | 19.04             | 0.0  | 17.14                |
| 04/01/2018                                  | ZGAJEWSKI, BARBARA        | MFS GROWTH ALLOCATION C          | 0.00                 | 4.69                | 0.00               | 4.69              | 0.0  | 4.22                 |
| 04/01/2018                                  | ZAREBA, NATALIA           | MFS GROWTH ALLOCATION FUND -529B | 0.00                 | 2.70                | 0.00               | 2.70              | 0.0  | 2.43                 |
| 04/01/2018                                  | DUSZCZYK, DOROTA          | MFS GROWTH ALLOCATION FUND -529B | 0.00                 | 15.19               | 0.00               | 15.19             | 0.0  | 13.67                |
| 04/01/2018                                  | MARSZALEK, ZOFIA          | MFS GROWTH B                     | 0.00                 | 0.48                | 0.00               | 0.48              | 0.0  | 0.43                 |
| 04/01/2018                                  | WIKAR, TYMOTEUSZ          | MFS GROWTH B                     | 0.00                 | 1.26                | 0.00               | 1.26              | 0.0  | 1.13                 |
| 04/01/2018                                  | PROTTO, CAMILLA           | MFS GROWTH B                     | 0.00                 | 0.44                | 0.00               | 0.44              | 0.0  | 0.40                 |
| 04/01/2018                                  | SZAJEWSKI, REGINA         | MFS GROWTH B                     | 0.00                 | 2.07                | 0.00               | 2.07              | 0.0  | 1.86                 |
| 04/01/2018                                  | WIKAR, HALINA             | MFS GROWTH C                     | 0.00                 | 8.20                | 0.00               | 8.20              | 0.0  | 7.38                 |
| 04/01/2018                                  | ZIEMBINSKI, JACEK         | MFS GROWTH C                     | 0.00                 | 1.62                | 0.00               | 1.62              | 0.0  | 1.46                 |
| 04/01/2018                                  | CHADA, WIESLAW            | MFS GROWTH C                     | 0.00                 | 5.46                | 0.00               | 5.46              | 0.0  | 4.91                 |
| 04/01/2018                                  | TARCZYNSKI, LESTER        | MFS GROWTH C                     | 0.00                 | 17.97               | 0.00               | 17.97             | 0.0  | 16.17                |
| 04/01/2018                                  | KURILO SEP PLAN, EVA      | MFS HIGH INCOME FUND B           | 0.00                 | 1.69                | 0.00               | 1.69              | 0.0  | 1.52                 |

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> OVERRIDE TRANSACTIONS </u></b>       |                              |                                     |                      |                     |                    |                   |      |                      |
| <b><u> BROKER: MARK-H122 HUBER #89 </u></b> |                              |                                     |                      |                     |                    |                   |      |                      |
| 04/01/2018                                  | VITALIDEX CORP SEP PLAN      | MFS HIGH YIELD OPP FUND-B           | 0.00                 | 3.13                | 0.00               | 3.13              | 0.0  | 2.82                 |
| 04/01/2018                                  | GRESZTA, LIDIA               | MFS INTERNATIOANL DEVERSIFICATION F | 0.00                 | 2.60                | 0.00               | 2.60              | 0.0  | 2.34                 |
| 04/01/2018                                  | CHOWANIEC (A MINOR), MICHAL  | MFS INTERNATIOANL DEVERSIFICATION F | 0.00                 | 1.04                | 0.00               | 1.04              | 0.0  | 0.94                 |
| 04/01/2018                                  | CHOWANIEC (A MINOR), PAULINA | MFS INTERNATIOANL DEVERSIFICATION F | 0.00                 | 1.03                | 0.00               | 1.03              | 0.0  | 0.93                 |
| 04/01/2018                                  | CHOWANIEC, WOJCIECH          | MFS INTERNATIOANL DEVERSIFICATION F | 0.00                 | 4.62                | 0.00               | 4.62              | 0.0  | 4.16                 |
| 04/01/2018                                  | WIKAR, SYLVIA                | MFS INTERNATIOANL DEVERSIFICATION F | 0.00                 | 0.64                | 0.00               | 0.64              | 0.0  | 0.58                 |
| 04/01/2018                                  | MROCKOWSKI, AGNES            | MFS INTERNATIONAL DIVERSIFICATION A | 0.00                 | 15.99               | 0.00               | 15.99             | 0.0  | 14.39                |
| 04/01/2018                                  | WIKAR, HALINA                | MFS INTERNATIONAL DIVERSIFICATION C | 0.00                 | 23.91               | 0.00               | 23.91             | 0.0  | 21.52                |
| 04/01/2018                                  | MURZANSKI, ANDRZEJ           | MFS INTERNATIONAL DIVERSIFICATION C | 0.00                 | 16.57               | 0.00               | 16.57             | 0.0  | 14.91                |
| 04/01/2018                                  | BUGAJ, ANNA                  | MFS INTERNATIONAL DIVERSIFICATION C | 0.00                 | 7.61                | 0.00               | 7.61              | 0.0  | 6.85                 |
| 04/01/2018                                  | GRZEDA, ZBIGNIEW             | MFS INTERNATIONAL DIVERSIFICATION C | 0.00                 | 1.55                | 0.00               | 1.55              | 0.0  | 1.40                 |
| 04/01/2018                                  | ZIEMBINSKI, JACEK            | MFS INTERNATIONAL DIVERSIFICATION C | 0.00                 | 7.78                | 0.00               | 7.78              | 0.0  | 7.00                 |
| 04/01/2018                                  | MURZANSKI, EWA               | MFS INTERNATIONAL DIVERSIFICATION C | 0.00                 | 16.57               | 0.00               | 16.57             | 0.0  | 14.91                |
| 04/01/2018                                  | PIETRZYK, JAN                | MFS INTERNATIONAL DIVERSIFICATION C | 0.00                 | 14.70               | 0.00               | 14.70             | 0.0  | 13.23                |
| 04/01/2018                                  | PIETRZYK, DOROTA             | MFS INTERNATIONAL DIVERSIFICATION C | 0.00                 | 14.70               | 0.00               | 14.70             | 0.0  | 13.23                |
| 04/01/2018                                  | THOMAS, SYLVIA               | MFS INTERNATIONAL DIVERSIFICATION C | 0.00                 | 6.46                | 0.00               | 6.46              | 0.0  | 5.81                 |
| 04/01/2018                                  | WAL, SEBASTIAN               | MFS INTERNATIONAL NEW DISCOVERY C   | 0.00                 | 4.18                | 0.00               | 4.18              | 0.0  | 3.76                 |
| 04/01/2018                                  | THOMAS, SYLVIA               | MFS INTERNATIONAL NEW DISCOVERY C   | 0.00                 | 5.07                | 0.00               | 5.07              | 0.0  | 4.56                 |
| 04/01/2018                                  | ZIEMBINSKI, JOANNA           | MFS INTERNATIONAL VALUE FUND C      | 0.00                 | 11.93               | 0.00               | 11.93             | 0.0  | 10.74                |
| 04/01/2018                                  | MEI, JENNIFER                | MFS LIFETIME 2045 FUND B            | 0.00                 | 2.24                | 0.00               | 2.24              | 0.0  | 2.02                 |
| 04/01/2018                                  | VITALIDEX CORP SEP PLAN      | MFS LIFETIME 2050 FUND B            | 0.00                 | 6.71                | 0.00               | 6.71              | 0.0  | 6.04                 |
| 04/01/2018                                  | ZGAJEWSKI, MARIUSZ           | MFS LIFETIME 2050 FUND B            | 0.00                 | 3.20                | 0.00               | 3.20              | 0.0  | 2.88                 |
| 04/01/2018                                  | WIKAR, HALINA                | MFS LIFETIME RETIREMENT INCOME FUND | 0.00                 | 38.99               | 0.00               | 38.99             | 0.0  | 35.09                |
| 04/01/2018                                  | SWIDER, JULIA                | MFS LIMITED MATURITY 529A           | 0.00                 | 0.42                | 0.00               | 0.42              | 0.0  | 0.38                 |
| 04/01/2018                                  | SWIDER, JULIA                | MFS LIMITED MATURITY FUND 529B      | 0.00                 | 0.04                | 0.00               | 0.04              | 0.0  | 0.04                 |
| 04/01/2018                                  | DZIEWIECKA, TERESA           | MFS LOW VOLATILITY GLOBAL EQUITY F  | 0.00                 | 1.71                | 0.00               | 1.71              | 0.0  | 1.54                 |
| 03/21/2018                                  | GABEROV, VASIL               | MFS LOW VOLATILITY EQUITY FUND C    | 50.00                | 0.50                | 0.00               | 0.50              | 0.0  | 0.45                 |
| 03/21/2018                                  | GABEROVA, STELLA             | MFS LOW VOLATILITY EQUITY FUND C    | 50.00                | 0.50                | 0.00               | 0.50              | 0.0  | 0.45                 |
| 04/01/2018                                  | WIKAR, HALINA                | MFS LOW VOLATILITY EQUITY FUND C    | 0.00                 | 9.40                | 0.00               | 9.40              | 0.0  | 8.46                 |
| 04/01/2018                                  | GABEROV, VASIL               | MFS LOW VOLATILITY EQUITY FUND C    | 0.00                 | 15.61               | 0.00               | 15.61             | 0.0  | 14.05                |
| 04/01/2018                                  | GABEROVA, STELLA             | MFS LOW VOLATILITY EQUITY FUND C    | 0.00                 | 15.61               | 0.00               | 15.61             | 0.0  | 14.05                |
| 04/01/2018                                  | CCJ CONSULTING CO SEP PLA    | MFS MASS INVESTORS GROWTH STOCK A   | 0.00                 | 1.69                | 0.00               | 1.69              | 0.0  | 1.52                 |
| 04/01/2018                                  | BOSOWSKI, JANUSZ             | MFS MASS INVESTORS GROWTH STOCK C   | 0.00                 | 18.56               | 0.00               | 18.56             | 0.0  | 16.70                |

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<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|---|---------------------------|-------------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b><u> OVERRIDE TRANSACTIONS </u></b>       |                           |                                     |                      |                     |                    |                   |      |                      |
| <b><u> BROKER: MARK-H122 HUBER #89 </u></b> |                           |                                     |                      |                     |                    |                   |      |                      |
| 04/01/2018                                  | BOSOWSKI, EWA             | MFS MASS INVESTORS GROWTH STOCK C   | 0.00                 | 18.92               | 0.00               | 18.92             | 0.0  | 17.03                |
| 04/01/2018                                  | MARSZALEK, ZOFIA          | MFS MASS INVESTORS GROWTH STOCK C   | 0.00                 | 5.82                | 0.00               | 5.82              | 0.0  | 5.24                 |
| 04/01/2018                                  | SYNOWIEC, JADWIGA         | MFS MASS INVESTORS GROWTH STOCK C   | 0.00                 | 11.40               | 0.00               | 11.40             | 0.0  | 10.26                |
| 04/01/2018                                  | SWIDER, JULIA             | MFS MASS INVESTORS GROWTH STOCK C   | 0.00                 | 14.80               | 0.00               | 14.80             | 0.0  | 13.32                |
| 04/01/2018                                  | CCJ CONSULTING CO SEP PLA | MFS MASS INVESTORS TRUST A          | 0.00                 | 1.71                | 0.00               | 1.71              | 0.0  | 1.54                 |
| 04/01/2018                                  | MEI, JENNIFER             | MFS MASS INVESTORS TRUST B          | 0.00                 | 2.31                | 0.00               | 2.31              | 0.0  | 2.08                 |
| 04/01/2018                                  | BOSOWSKI, JANUSZ          | MFS MASSACHUSETTS INVESTORS TRUST C | 0.00                 | 16.21               | 0.00               | 16.21             | 0.0  | 14.59                |
| 04/01/2018                                  | BOSOWSKI, EWA             | MFS MASSACHUSETTS INVESTORS TRUST C | 0.00                 | 16.58               | 0.00               | 16.58             | 0.0  | 14.92                |
| 04/01/2018                                  | BYSTROWIZ SEP PLAN, MAREK | MFS MASSACHUSETTS INVESTORS TRUST C | 0.00                 | 8.75                | 0.00               | 8.75              | 0.0  | 7.88                 |
| 04/01/2018                                  | CHREPTOWICZ, MALGORZATA   | MFS MODERATE ALLOCATION A           | 0.00                 | 0.45                | 0.00               | 0.45              | 0.0  | 0.41                 |
| 04/01/2018                                  | CHREPTOWICZ, MALGORZATA   | MFS MODERATE ALLOCATION A           | 0.00                 | 0.87                | 0.00               | 0.87              | 0.0  | 0.78                 |
| 04/01/2018                                  | CHREPTOWICZ, MALGORZATA   | MFS MODERATE ALLOCATION B           | 0.00                 | 1.93                | 0.00               | 1.93              | 0.0  | 1.74                 |
| 04/01/2018                                  | DANEK MD SEP PLAN, BEATA  | MFS MODERATE ALLOCATION B           | 0.00                 | 1.33                | 0.00               | 1.33              | 0.0  | 1.20                 |
| 04/01/2018                                  | JUSCINSKA, AGNIESZKA      | MFS MODERATE ALLOCATION B           | 0.00                 | 7.26                | 0.00               | 7.26              | 0.0  | 6.53                 |
| 04/01/2018                                  | JARZAREK, MAGDALENA       | MFS MODERATE ALLOCATION B           | 0.00                 | 3.65                | 0.00               | 3.65              | 0.0  | 3.29                 |
| 04/01/2018                                  | LOWISZ, WLADYSLAWA        | MFS MODERATE ALLOCATION B           | 0.00                 | 2.03                | 0.00               | 2.03              | 0.0  | 1.83                 |
| 04/01/2018                                  | DANEK MD SEP PLAN, BEATA  | MFS MODERATE ALLOCATION B           | 0.00                 | 0.17                | 0.00               | 0.17              | 0.0  | 0.15                 |
| 04/01/2018                                  | DZIEWIECKA, TERESA        | MFS MODERATE ALLOCATION C           | 0.00                 | 114.21              | 0.00               | 114.21            | 0.0  | 102.79               |
| 04/01/2018                                  | BOSOWSKI, JANUSZ          | MFS MODERATE ALLOCATION C           | 0.00                 | 15.89               | 0.00               | 15.89             | 0.0  | 14.30                |
| 04/01/2018                                  | BOSOWSKI, EWA             | MFS MODERATE ALLOCATION C           | 0.00                 | 16.21               | 0.00               | 16.21             | 0.0  | 14.59                |
| 04/01/2018                                  | KOPERDOWSKI, PIOTR        | MFS MODERATE ALLOCATION C           | 0.00                 | 14.70               | 0.00               | 14.70             | 0.0  | 13.23                |
| 04/01/2018                                  | KOPERDOWSKI, BEATA        | MFS MODERATE ALLOCATION C           | 0.00                 | 14.70               | 0.00               | 14.70             | 0.0  | 13.23                |
| 04/01/2018                                  | SYNOWIEC, LESZEK          | MFS MODERATE ALLOCATION C           | 0.00                 | 10.68               | 0.00               | 10.68             | 0.0  | 9.61                 |
| 04/01/2018                                  | BINKIL, ANNA              | MFS MODERATE ALLOCATION C           | 0.00                 | 14.62               | 0.00               | 14.62             | 0.0  | 13.16                |
| 04/01/2018                                  | SWIDER, JULIA             | MFS MODERATE ALLOCATION C           | 0.00                 | 30.40               | 0.00               | 30.40             | 0.0  | 27.36                |
| 04/01/2018                                  | KRELLER, KRYSZYNA         | MFS MODERATE ALLOCATION C           | 0.00                 | 43.58               | 0.00               | 43.58             | 0.0  | 39.22                |
| 04/01/2018                                  | BYSTROWIZ SEP PLAN, MAREK | MFS MODERATE ALLOCATION C           | 0.00                 | 8.54                | 0.00               | 8.54              | 0.0  | 7.69                 |
| 04/01/2018                                  | GRZYBEK, MARK             | MFS MODERATE ALLOCATION C           | 0.00                 | 26.42               | 0.00               | 26.42             | 0.0  | 23.78                |
| 04/01/2018                                  | DABROWSKI, AGNIESZKA      | MFS MODERATE ALLOCATION C           | 0.00                 | 17.83               | 0.00               | 17.83             | 0.0  | 16.05                |
| 04/01/2018                                  | WALUSZKO, SYLWIA          | MFS MODERATE ALLOCATION C           | 0.00                 | 12.55               | 0.00               | 12.55             | 0.0  | 11.30                |
| 04/02/2018                                  | KRELLER, KRYSZYNA         | MFS MODERATE ALLOCATION C           | 40.00                | 0.40                | 0.00               | 0.40              | 0.0  | 0.36                 |
| 04/02/2018                                  | WALUSZKO, SYLWIA          | MFS MODERATE ALLOCATION C           | 20.00                | 0.20                | 0.00               | 0.20              | 0.0  | 0.18                 |
| 04/01/2018                                  | BOSOWSKI, JANUSZ          | MFS NEW DISCOVERY A                 | 0.00                 | 4.60                | 0.00               | 4.60              | 0.0  | 4.14                 |

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> OVERRIDE TRANSACTIONS </u></b>     |                             |                                     |                      |                     |                    |                   |      |                      |
| <b><u>BROKER: MARK-H122 HUBER #89</u></b> |                             |                                     |                      |                     |                    |                   |      |                      |
| 04/01/2018                                | BOSOWSKI, EWA               | MFS NEW DISCOVERY C                 | 0.00                 | 25.57               | 0.00               | 25.57             | 0.0  | 23.01                |
| 04/01/2018                                | MALYSZ (A MINOR), MICHALINA | MFS NEW DISCOVERY C                 | 0.00                 | 5.95                | 0.00               | 5.95              | 0.0  | 5.36                 |
| 04/01/2018                                | BECKER, KARINA              | MFS NEW DISCOVERY C                 | 0.00                 | 17.67               | 0.00               | 17.67             | 0.0  | 15.90                |
| 04/01/2018                                | MALYSZ, JERZY               | MFS NEW DISCOVERY C                 | 0.00                 | 23.46               | 0.00               | 23.46             | 0.0  | 21.11                |
| 04/01/2018                                | MALYSZ (A MINOR), ANNA      | MFS NEW DISCOVERY C                 | 0.00                 | 4.77                | 0.00               | 4.77              | 0.0  | 4.29                 |
| 04/01/2018                                | BOSOWSKI, JANUSZ            | MFS NEW DISCOVERY C                 | 0.00                 | 12.24               | 0.00               | 12.24             | 0.0  | 11.02                |
| 03/21/2018                                | GABEROV, VASIL              | MFS NEW DISCOVERY VALUE FUND C      | 50.00                | 0.50                | 0.00               | 0.50              | 0.0  | 0.45                 |
| 03/21/2018                                | GABEROVA, STELLA            | MFS NEW DISCOVERY VALUE FUND C      | 50.00                | 0.50                | 0.00               | 0.50              | 0.0  | 0.45                 |
| 04/01/2018                                | WIKAR, HALINA               | MFS NEW DISCOVERY VALUE FUND C      | 0.00                 | 28.34               | 0.00               | 28.34             | 0.0  | 25.51                |
| 04/01/2018                                | GABEROV, VASIL              | MFS NEW DISCOVERY VALUE FUND C      | 0.00                 | 21.49               | 0.00               | 21.49             | 0.0  | 19.34                |
| 04/01/2018                                | GABEROVA, STELLA            | MFS NEW DISCOVERY VALUE FUND C      | 0.00                 | 21.34               | 0.00               | 21.34             | 0.0  | 19.21                |
| 04/01/2018                                | CCJ CONSULTING CO SEP PLA   | MFS RESEARCH A                      | 0.00                 | 1.81                | 0.00               | 1.81              | 0.0  | 1.63                 |
| 04/01/2018                                | MEI, JENNIFER               | MFS RESEARCH B                      | 0.00                 | 2.26                | 0.00               | 2.26              | 0.0  | 2.03                 |
| 04/01/2018                                | GRESZTA, LIDIA              | MFS RESEARCH BOND FUND B            | 0.00                 | 1.24                | 0.00               | 1.24              | 0.0  | 1.12                 |
| 04/01/2018                                | REHABILITATION SVS PC SP,   | MFS RESEARCH BOND FUND B            | 0.00                 | 0.01                | 0.00               | 0.01              | 0.0  | 0.01                 |
| 04/01/2018                                | WAL, SEBASTIAN              | MFS RESEARCH BOND FUND C            | 0.00                 | 19.70               | 0.00               | 19.70             | 0.0  | 17.73                |
| 04/01/2018                                | WIKAR, HALINA               | MFS RESEARCH BOND FUND C            | 0.00                 | 5.97                | 0.00               | 5.97              | 0.0  | 5.37                 |
| 04/01/2018                                | THOMAS, SYLVIA              | MFS RESEARCH BOND FUND C            | 0.00                 | 11.59               | 0.00               | 11.59             | 0.0  | 10.43                |
| 04/01/2018                                | KRELLER, KRYSTYNA           | MFS RESEARCH BOND FUND C            | 0.00                 | 12.80               | 0.00               | 12.80             | 0.0  | 11.52                |
| 04/02/2018                                | KRELLER, KRYSTYNA           | MFS RESEARCH BOND FUND C            | 40.00                | 0.40                | 0.00               | 0.40              | 0.0  | 0.36                 |
| 04/01/2018                                | BOSOWSKI, JANUSZ            | MFS RESEARCH FUND-C                 | 0.00                 | 22.31               | 0.00               | 22.31             | 0.0  | 20.08                |
| 04/01/2018                                | BOSOWSKI, EWA               | MFS RESEARCH FUND-C                 | 0.00                 | 22.68               | 0.00               | 22.68             | 0.0  | 20.41                |
| 04/01/2018                                | BYSTROWIZ SEP PLAN, MAREK   | MFS RESEARCH FUND-C                 | 0.00                 | 9.01                | 0.00               | 9.01              | 0.0  | 8.11                 |
| 04/01/2018                                | RACZKA, PHILLIP             | MFS RESEARCH INTERNATIONAL FUND 529 | 0.00                 | 5.39                | 0.00               | 5.39              | 0.0  | 4.85                 |
| 04/01/2018                                | KURILO SEP PLAN, EVA        | MFS STRATEGIC INCOME FUND B         | 0.00                 | 1.61                | 0.00               | 1.61              | 0.0  | 1.45                 |
| 04/01/2018                                | GABEROV, VASIL              | MFS TECHNOLOGY FUND-C               | 0.00                 | 21.25               | 0.00               | 21.25             | 0.0  | 19.13                |
| 04/01/2018                                | GABEROVA, STELLA            | MFS TECHNOLOGY FUND-C               | 0.00                 | 21.25               | 0.00               | 21.25             | 0.0  | 19.13                |
| 04/01/2018                                | WIKAR, HALINA               | MFS TOTAL RETURN C                  | 0.00                 | 23.57               | 0.00               | 23.57             | 0.0  | 21.21                |
| 04/01/2018                                | MALYSZ, JERZY               | MFS UTILITIES A                     | 0.00                 | 0.71                | 0.00               | 0.71              | 0.0  | 0.64                 |
| 04/01/2018                                | MALYSZ, JERZY               | MFS UTILITIES A                     | 0.00                 | 5.28                | 0.00               | 5.28              | 0.0  | 4.75                 |
| 04/01/2018                                | WIKAR, MAGDALENA            | MFS UTILITIES A                     | 0.00                 | 3.02                | 0.00               | 3.02              | 0.0  | 2.72                 |
| 04/01/2018                                | MROCZKOWSKI, AGNES          | MFS UTILITIES A                     | 0.00                 | 17.86               | 0.00               | 17.86             | 0.0  | 16.07                |
| 04/01/2018                                | MALYSZ, JERZY               | MFS UTILITIES B                     | 0.00                 | 4.26                | 0.00               | 4.26              | 0.0  | 3.83                 |

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> OVERRIDE TRANSACTIONS </u></b>     |                              |                 |                      |                     |                    |                   |      |                      |
| <b><u>BROKER: MARK-H122 HUBER #89</u></b> |                              |                 |                      |                     |                    |                   |      |                      |
| 04/01/2018                                | GRESZTA, LIDIA               | MFS UTILITIES B | 0.00                 | 5.92                | 0.00               | 5.92              | 0.0  | 5.33                 |
| 04/01/2018                                | ZAREBA, GRZEGORZ             | MFS UTILITIES B | 0.00                 | 4.02                | 0.00               | 4.02              | 0.0  | 3.62                 |
| 04/01/2018                                | MALYSZ (A MINOR), ANNA       | MFS UTILITIES B | 0.00                 | 3.59                | 0.00               | 3.59              | 0.0  | 3.23                 |
| 04/01/2018                                | MROCKOWSKI, AGNES            | MFS UTILITIES B | 0.00                 | 1.43                | 0.00               | 1.43              | 0.0  | 1.29                 |
| 04/01/2018                                | CHREPTOWICZ, MALGORZATA      | MFS UTILITIES B | 0.00                 | 3.31                | 0.00               | 3.31              | 0.0  | 2.98                 |
| 04/01/2018                                | DANEK MD SEP PLAN, BEATA     | MFS UTILITIES B | 0.00                 | 2.19                | 0.00               | 2.19              | 0.0  | 1.97                 |
| 04/01/2018                                | JUSCINSKA, AGNIESZKA         | MFS UTILITIES B | 0.00                 | 7.58                | 0.00               | 7.58              | 0.0  | 6.82                 |
| 04/01/2018                                | JARZAREK, MAGDALENA          | MFS UTILITIES B | 0.00                 | 4.02                | 0.00               | 4.02              | 0.0  | 3.62                 |
| 04/01/2018                                | VITALIDEX CORP SEP PLAN      | MFS UTILITIES B | 0.00                 | 6.18                | 0.00               | 6.18              | 0.0  | 5.56                 |
| 04/01/2018                                | KURILO SEP PLAN, EVA         | MFS UTILITIES B | 0.00                 | 11.28               | 0.00               | 11.28             | 0.0  | 10.15                |
| 04/01/2018                                | REHABILITATION SVS PC SP,    | MFS UTILITIES B | 0.00                 | 0.02                | 0.00               | 0.02              | 0.0  | 0.02                 |
| 04/01/2018                                | ZGAJEWSKI, MARIUSZ           | MFS UTILITIES B | 0.00                 | 5.69                | 0.00               | 5.69              | 0.0  | 5.12                 |
| 04/01/2018                                | DENEK, SABINA                | MFS UTILITIES B | 0.00                 | 0.50                | 0.00               | 0.50              | 0.0  | 0.45                 |
| 04/01/2018                                | MEI, JENNIFER                | MFS UTILITIES B | 0.00                 | 1.91                | 0.00               | 1.91              | 0.0  | 1.72                 |
| 04/01/2018                                | STRZECKA, SYLWIA             | MFS UTILITIES B | 0.00                 | 0.19                | 0.00               | 0.19              | 0.0  | 0.17                 |
| 04/01/2018                                | STELMASIAK, BERENIKA         | MFS UTILITIES B | 0.00                 | 0.07                | 0.00               | 0.07              | 0.0  | 0.06                 |
| 04/01/2018                                | SIENKIEWICZ, TOMASZ          | MFS UTILITIES B | 0.00                 | 0.66                | 0.00               | 0.66              | 0.0  | 0.59                 |
| 04/01/2018                                | DABROWSKI, PAUL              | MFS UTILITIES B | 0.00                 | 2.85                | 0.00               | 2.85              | 0.0  | 2.57                 |
| 04/01/2018                                | GUTT, MARTIN                 | MFS UTILITIES B | 0.00                 | 1.46                | 0.00               | 1.46              | 0.0  | 1.31                 |
| 04/01/2018                                | WALCZYK, ANNA                | MFS UTILITIES B | 0.00                 | 4.82                | 0.00               | 4.82              | 0.0  | 4.34                 |
| 04/01/2018                                | WALCZYK, MAREK               | MFS UTILITIES B | 0.00                 | 5.09                | 0.00               | 5.09              | 0.0  | 4.58                 |
| 04/01/2018                                | WALCZYK, SABRINA             | MFS UTILITIES B | 0.00                 | 0.35                | 0.00               | 0.35              | 0.0  | 0.32                 |
| 04/01/2018                                | TULEWICZ, KRYSZYNA           | MFS UTILITIES B | 0.00                 | 0.35                | 0.00               | 0.35              | 0.0  | 0.32                 |
| 04/01/2018                                | FELINSKI, DOROTA             | MFS UTILITIES B | 0.00                 | 0.40                | 0.00               | 0.40              | 0.0  | 0.36                 |
| 04/01/2018                                | SZWEDO, MALGORZATA           | MFS UTILITIES B | 0.00                 | 0.34                | 0.00               | 0.34              | 0.0  | 0.31                 |
| 04/01/2018                                | CHOWANIEC (A MINOR), MICHAL  | MFS UTILITIES B | 0.00                 | 1.01                | 0.00               | 1.01              | 0.0  | 0.91                 |
| 04/01/2018                                | CHOWANIEC (A MINOR), PAULINA | MFS UTILITIES B | 0.00                 | 1.00                | 0.00               | 1.00              | 0.0  | 0.90                 |
| 04/01/2018                                | CHOWANIEC, WOJCIECH          | MFS UTILITIES B | 0.00                 | 4.04                | 0.00               | 4.04              | 0.0  | 3.64                 |
| 04/01/2018                                | WIKAR, SYLVIA                | MFS UTILITIES B | 0.00                 | 0.55                | 0.00               | 0.55              | 0.0  | 0.50                 |
| 04/01/2018                                | LOWISZ, WLADYSLAWA           | MFS UTILITIES B | 0.00                 | 2.04                | 0.00               | 2.04              | 0.0  | 1.84                 |
| 04/01/2018                                | DANEK MD SEP PLAN, BEATA     | MFS UTILITIES B | 0.00                 | 0.17                | 0.00               | 0.17              | 0.0  | 0.15                 |
| 04/02/2018                                | ZAREBA, GRZEGORZ             | MFS UTILITIES B | 50.00                | 2.00                | 0.00               | 2.00              | 0.0  | 1.80                 |
| 03/21/2018                                | GABEROV, VASIL               | MFS UTILITIES C | 70.00                | 0.70                | 0.00               | 0.70              | 0.0  | 0.63                 |

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> OVERRIDE TRANSACTIONS </u></b>     |                           |                 |                      |                     |                    |                   |      |                      |
| <b><u>BROKER: MARK-H122 HUBER #89</u></b> |                           |                 |                      |                     |                    |                   |      |                      |
| 03/21/2018                                | GABEROVA, STELLA          | MFS UTILITIES C | 70.00                | 0.70                | 0.00               | 0.70              | 0.0  | 0.63                 |
| 04/01/2018                                | GRZEDA, ZBIGNIEW          | MFS UTILITIES C | 0.00                 | 14.06               | 0.00               | 14.06             | 0.0  | 12.65                |
| 04/01/2018                                | WILK, TEOFIL              | MFS UTILITIES C | 0.00                 | 28.35               | 0.00               | 28.35             | 0.0  | 25.52                |
| 04/01/2018                                | KONIECZNY, EWA            | MFS UTILITIES C | 0.00                 | 18.91               | 0.00               | 18.91             | 0.0  | 17.02                |
| 04/01/2018                                | KWAK, ANNA                | MFS UTILITIES C | 0.00                 | 5.85                | 0.00               | 5.85              | 0.0  | 5.27                 |
| 04/01/2018                                | BYSTROWIZ SEP PLAN, MAREK | MFS UTILITIES C | 0.00                 | 5.47                | 0.00               | 5.47              | 0.0  | 4.92                 |
| 04/01/2018                                | MURZANSKI, ANDRZEJ        | MFS UTILITIES C | 0.00                 | 37.20               | 0.00               | 37.20             | 0.0  | 33.48                |
| 04/01/2018                                | KOPERDOWSKI, BEATA        | MFS UTILITIES C | 0.00                 | 17.72               | 0.00               | 17.72             | 0.0  | 15.95                |
| 04/01/2018                                | KOPERDOWSKI, PIOTR        | MFS UTILITIES C | 0.00                 | 17.72               | 0.00               | 17.72             | 0.0  | 15.95                |
| 04/01/2018                                | MARSZALEK, ZOFIA          | MFS UTILITIES C | 0.00                 | 19.06               | 0.00               | 19.06             | 0.0  | 17.15                |
| 04/01/2018                                | SYNOWIEC, JADWIGA         | MFS UTILITIES C | 0.00                 | 22.79               | 0.00               | 22.79             | 0.0  | 20.51                |
| 04/01/2018                                | SZCZESNIAK, EWA           | MFS UTILITIES C | 0.00                 | 4.49                | 0.00               | 4.49              | 0.0  | 4.04                 |
| 04/01/2018                                | DZIEWIECKA, TERESA        | MFS UTILITIES C | 0.00                 | 9.27                | 0.00               | 9.27              | 0.0  | 8.34                 |
| 04/01/2018                                | SYNOWIEC, LESZEK          | MFS UTILITIES C | 0.00                 | 17.69               | 0.00               | 17.69             | 0.0  | 15.92                |
| 04/01/2018                                | WIKAR, HALINA             | MFS UTILITIES C | 0.00                 | 105.58              | 0.00               | 105.58            | 0.0  | 95.02                |
| 04/01/2018                                | KRELLER, KRISTYNA         | MFS UTILITIES C | 0.00                 | 26.58               | 0.00               | 26.58             | 0.0  | 23.92                |
| 04/01/2018                                | WAL, SEBASTIAN            | MFS UTILITIES C | 0.00                 | 69.61               | 0.00               | 69.61             | 0.0  | 62.65                |
| 04/01/2018                                | BECKER, KARINA            | MFS UTILITIES C | 0.00                 | 36.27               | 0.00               | 36.27             | 0.0  | 32.64                |
| 04/01/2018                                | ZIEMBINSKI, JACEK         | MFS UTILITIES C | 0.00                 | 8.64                | 0.00               | 8.64              | 0.0  | 7.78                 |
| 04/01/2018                                | BINKIL, ANNA              | MFS UTILITIES C | 0.00                 | 23.39               | 0.00               | 23.39             | 0.0  | 21.05                |
| 04/01/2018                                | SWIDER, JULIA             | MFS UTILITIES C | 0.00                 | 25.96               | 0.00               | 25.96             | 0.0  | 23.36                |
| 04/01/2018                                | TARCZYNSKI, LESTER        | MFS UTILITIES C | 0.00                 | 104.31              | 0.00               | 104.31            | 0.0  | 93.88                |
| 04/01/2018                                | GRZYBEK, MARK             | MFS UTILITIES C | 0.00                 | 39.73               | 0.00               | 39.73             | 0.0  | 35.76                |
| 04/01/2018                                | DOMANUS, MALGORZATA       | MFS UTILITIES C | 0.00                 | 13.61               | 0.00               | 13.61             | 0.0  | 12.25                |
| 04/01/2018                                | BUGAJ, ANNA               | MFS UTILITIES C | 0.00                 | 19.96               | 0.00               | 19.96             | 0.0  | 17.96                |
| 04/01/2018                                | CHOWANIEC, WOJCIECH       | MFS UTILITIES C | 0.00                 | 38.29               | 0.00               | 38.29             | 0.0  | 34.46                |
| 04/01/2018                                | BECKER, KARINA            | MFS UTILITIES C | 0.00                 | 18.01               | 0.00               | 18.01             | 0.0  | 16.21                |
| 04/01/2018                                | WIKAR, TYMOTEUSZ          | MFS UTILITIES C | 0.00                 | 15.43               | 0.00               | 15.43             | 0.0  | 13.89                |
| 04/01/2018                                | MURZANSKI, EWA            | MFS UTILITIES C | 0.00                 | 32.61               | 0.00               | 32.61             | 0.0  | 29.35                |
| 04/01/2018                                | PIETRZYK, JAN             | MFS UTILITIES C | 0.00                 | 19.38               | 0.00               | 19.38             | 0.0  | 17.44                |
| 04/01/2018                                | PIETRZYK, DOROTA          | MFS UTILITIES C | 0.00                 | 17.28               | 0.00               | 17.28             | 0.0  | 15.55                |
| 04/01/2018                                | KWAK, ANNA                | MFS UTILITIES C | 0.00                 | 45.97               | 0.00               | 45.97             | 0.0  | 41.37                |
| 04/01/2018                                | THOMAS, SYLVIA            | MFS UTILITIES C | 0.00                 | 26.79               | 0.00               | 26.79             | 0.0  | 24.11                |

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<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|---|------------------------------|-----------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b><u> OVERRIDE TRANSACTIONS </u></b>       |                              |                 |                      |                     |                    |                   |      |                      |
| <b><u> BROKER: MARK-H122 HUBER #89 </u></b> |                              |                 |                      |                     |                    |                   |      |                      |
| 04/01/2018                                  | GABEROV, VASIL               | MFS UTILITIES C | 0.00                 | 61.87               | 0.00               | 61.87             | 0.0  | 55.68                |
| 04/01/2018                                  | GABEROVA, STELLA             | MFS UTILITIES C | 0.00                 | 61.87               | 0.00               | 61.87             | 0.0  | 55.68                |
| 04/01/2018                                  | JAROSZ, JACEK                | MFS UTILITIES C | 0.00                 | 8.95                | 0.00               | 8.95              | 0.0  | 8.06                 |
| 04/01/2018                                  | JAROSZ, TERESA               | MFS UTILITIES C | 0.00                 | 8.95                | 0.00               | 8.95              | 0.0  | 8.06                 |
| 04/01/2018                                  | MROCKZKOWSKI, AGNES          | MFS UTILITIES C | 0.00                 | 4.34                | 0.00               | 4.34              | 0.0  | 3.91                 |
| 04/01/2018                                  | ZIEMBINSKI, JOANNA           | MFS UTILITIES C | 0.00                 | 14.11               | 0.00               | 14.11             | 0.0  | 12.70                |
| 04/01/2018                                  | POLLAK, TATIANA              | MFS UTILITIES C | 0.00                 | 15.24               | 0.00               | 15.24             | 0.0  | 13.72                |
| 04/01/2018                                  | POLLAK, WIESLAW              | MFS UTILITIES C | 0.00                 | 15.24               | 0.00               | 15.24             | 0.0  | 13.72                |
| 04/01/2018                                  | BOSOWSKI, JANUSZ             | MFS UTILITIES C | 0.00                 | 22.01               | 0.00               | 22.01             | 0.0  | 19.81                |
| 04/01/2018                                  | BOSOWSKI, EWA                | MFS UTILITIES C | 0.00                 | 26.56               | 0.00               | 26.56             | 0.0  | 23.90                |
| 04/01/2018                                  | MALYSZ (A MINOR), MICHALINA  | MFS UTILITIES C | 0.00                 | 4.60                | 0.00               | 4.60              | 0.0  | 4.14                 |
| 04/01/2018                                  | TYLMAN, JOANNA               | MFS UTILITIES C | 0.00                 | 27.49               | 0.00               | 27.49             | 0.0  | 24.74                |
| 04/01/2018                                  | TYLMAN, PETER                | MFS UTILITIES C | 0.00                 | 28.87               | 0.00               | 28.87             | 0.0  | 25.98                |
| 04/01/2018                                  | ZGAJEWSKI, BARBARA           | MFS UTILITIES C | 0.00                 | 4.15                | 0.00               | 4.15              | 0.0  | 3.74                 |
| 04/01/2018                                  | DABROWSKI, AGNIESZKA         | MFS UTILITIES C | 0.00                 | 34.01               | 0.00               | 34.01             | 0.0  | 30.61                |
| 04/01/2018                                  | WALUSZKO, SYLWIA             | MFS UTILITIES C | 0.00                 | 20.74               | 0.00               | 20.74             | 0.0  | 18.67                |
| 04/02/2018                                  | KRELLER, KRISTYNA            | MFS UTILITIES C | 40.00                | 0.40                | 0.00               | 0.40              | 0.0  | 0.36                 |
| 04/02/2018                                  | BECKER, KARINA               | MFS UTILITIES C | 180.00               | 1.80                | 0.00               | 1.80              | 0.0  | 1.62                 |
| 04/02/2018                                  | WALUSZKO, SYLWIA             | MFS UTILITIES C | 20.00                | 0.20                | 0.00               | 0.20              | 0.0  | 0.18                 |
| 04/01/2018                                  | VITALIDEX CORP SEP PLAN      | MFS VALUE B     | 0.00                 | 0.08                | 0.00               | 0.08              | 0.0  | 0.07                 |
| 04/01/2018                                  | VITALIDEX CORP SEP PLAN      | MFS VALUE B     | 0.00                 | 0.54                | 0.00               | 0.54              | 0.0  | 0.49                 |
| 04/01/2018                                  | REHABILITATION SVS PC SP,    | MFS VALUE B     | 0.00                 | 0.10                | 0.00               | 0.10              | 0.0  | 0.09                 |
| 04/01/2018                                  | ZGAJEWSKI, MARIUSZ           | MFS VALUE B     | 0.00                 | 2.83                | 0.00               | 2.83              | 0.0  | 2.55                 |
| 04/01/2018                                  | STELMASIAK, BERENIKA         | MFS VALUE B     | 0.00                 | 0.06                | 0.00               | 0.06              | 0.0  | 0.05                 |
| 04/01/2018                                  | MARSZALEK, ZOFIA             | MFS VALUE B     | 0.00                 | 0.47                | 0.00               | 0.47              | 0.0  | 0.42                 |
| 04/01/2018                                  | WALCZYK, ANNA                | MFS VALUE B     | 0.00                 | 5.22                | 0.00               | 5.22              | 0.0  | 4.70                 |
| 04/01/2018                                  | WALCZYK, MAREK               | MFS VALUE B     | 0.00                 | 5.52                | 0.00               | 5.52              | 0.0  | 4.97                 |
| 04/01/2018                                  | WALCZYK, SABRINA             | MFS VALUE B     | 0.00                 | 0.39                | 0.00               | 0.39              | 0.0  | 0.35                 |
| 04/01/2018                                  | TULEWICZ, KRISTYNA           | MFS VALUE B     | 0.00                 | 0.38                | 0.00               | 0.38              | 0.0  | 0.34                 |
| 04/01/2018                                  | FELINSKI, DOROTA             | MFS VALUE B     | 0.00                 | 0.43                | 0.00               | 0.43              | 0.0  | 0.39                 |
| 04/01/2018                                  | CHOWANIEC (A MINOR), MICHAL  | MFS VALUE B     | 0.00                 | 0.99                | 0.00               | 0.99              | 0.0  | 0.89                 |
| 04/01/2018                                  | CHOWANIEC (A MINOR), PAULINA | MFS VALUE B     | 0.00                 | 0.99                | 0.00               | 0.99              | 0.0  | 0.89                 |
| 04/01/2018                                  | CHOWANIEC, WOJCIECH          | MFS VALUE B     | 0.00                 | 4.47                | 0.00               | 4.47              | 0.0  | 4.02                 |

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> OVERRIDE TRANSACTIONS </u></b>                         |                           |                                   |                      |                     |                    |                   |      |                      |
| <b><u> BROKER: MARK-H122 HUBER #89 </u></b>                   |                           |                                   |                      |                     |                    |                   |      |                      |
| 04/01/2018  | WIKAR, SYLVIA             | MFS VALUE B                       | 0.00                 | 0.60                | 0.00               | 0.60              | 0.0  | 0.54                 |
| 04/01/2018  | LOWISZ, WLADYSLAWA        | MFS VALUE B                       | 0.00                 | 2.20                | 0.00               | 2.20              | 0.0  | 1.98                 |
| 04/01/2018  | WIKAR, TYMOTEUSZ          | MFS VALUE B                       | 0.00                 | 1.15                | 0.00               | 1.15              | 0.0  | 1.04                 |
| 04/01/2018  | PROTTO, CAMILLA           | MFS VALUE B                       | 0.00                 | 0.41                | 0.00               | 0.41              | 0.0  | 0.37                 |
| 04/01/2018  | SZAJEWSKI, REGINA         | MFS VALUE B                       | 0.00                 | 1.12                | 0.00               | 1.12              | 0.0  | 1.01                 |
| 04/01/2018  | SZAJEWSKI, REGINA         | MFS VALUE B                       | 0.00                 | 1.46                | 0.00               | 1.46              | 0.0  | 1.31                 |
| 04/01/2018  | DANEK MD SEP PLAN, BEATA  | MFS VALUE B                       | 0.00                 | 0.17                | 0.00               | 0.17              | 0.0  | 0.15                 |
| 04/01/2018  | MURZANSKI, ANDRZEJ        | MFS VALUE C                       | 0.00                 | 5.98                | 0.00               | 5.98              | 0.0  | 5.38                 |
| 04/01/2018  | BOSOWSKI, JANUSZ          | MFS VALUE C                       | 0.00                 | 23.75               | 0.00               | 23.75             | 0.0  | 21.38                |
| 04/01/2018  | BOSOWSKI, EWA             | MFS VALUE C                       | 0.00                 | 24.12               | 0.00               | 24.12             | 0.0  | 21.71                |
| 04/01/2018  | SYNOWIEC, JADWIGA         | MFS VALUE C                       | 0.00                 | 8.88                | 0.00               | 8.88              | 0.0  | 7.99                 |
| 04/01/2018  | WIKAR, HALINA             | MFS VALUE C                       | 0.00                 | 52.52               | 0.00               | 52.52             | 0.0  | 47.27                |
| 04/01/2018  | SWIDER, JULIA             | MFS VALUE C                       | 0.00                 | 29.07               | 0.00               | 29.07             | 0.0  | 26.16                |
| 04/01/2018  | BYSTROWIZ SEP PLAN, MAREK | MFS VALUE C                       | 0.00                 | 6.86                | 0.00               | 6.86              | 0.0  | 6.17                 |
| 04/01/2018  | CHADA, WIESLAW            | MFS VALUE C                       | 0.00                 | 4.20                | 0.00               | 4.20              | 0.0  | 3.78                 |
| 04/01/2018  | ZIEMBINSKI, JACEK         | MFS VALUE C                       | 0.00                 | 2.86                | 0.00               | 2.86              | 0.0  | 2.57                 |
| 04/01/2018  | DOMANUS, MALGORZATA       | MFS VALUE C                       | 0.00                 | 3.08                | 0.00               | 3.08              | 0.0  | 2.77                 |
| 04/01/2018  | TYLMAN, PETER             | MFS VALUE C                       | 0.00                 | 21.49               | 0.00               | 21.49             | 0.0  | 19.34                |
| 04/01/2018  | TYLMAN, JOANNA            | MFS VALUE C                       | 0.00                 | 23.07               | 0.00               | 23.07             | 0.0  | 20.76                |
| 04/01/2018  | BECKER, KARINA            | MFS VALUE C                       | 0.00                 | 6.39                | 0.00               | 6.39              | 0.0  | 5.75                 |
| 04/01/2018  | MURZANSKI, EWA            | MFS VALUE C                       | 0.00                 | 5.98                | 0.00               | 5.98              | 0.0  | 5.38                 |
| 04/01/2018  | WALUSZKO, SYLWIA          | MFS VALUE C                       | 0.00                 | 14.31               | 0.00               | 14.31             | 0.0  | 12.88                |
| 04/02/2018  | WALUSZKO, SYLWIA          | MFS VALUE C                       | 20.00                | 0.20                | 0.00               | 0.20              | 0.0  | 0.18                 |
| 04/02/2018  | CHOWANIEC, WOJCIECH       | PUTNAM 529 AGE-BASED 2014-A       | 0.00                 | 6.43                | 0.00               | 6.43              | 0.0  | 5.79                 |
| * MARK-H122 HUBER SUBTOTAL *                                  |                           |                                   | \$1,240.00           | \$4,404.43          | \$0.00             | \$4,404.43        |      | \$3,964.08           |
| <b><u> BROKER: R122-RICHARD/MARK RODRIGUEZ/HUBER #90 </u></b> |                           |                                   |                      |                     |                    |                   |      |                      |
| 03/14/2018  | WOLF, XANDER              | ALGER SPECTRA A                   | 0.00                 | 0.99                | 0.00               | 0.99              | 0.0  | 0.89                 |
| 03/14/2018  | WOLF, AADRA               | ALGER SPECTRA A                   | 0.00                 | 0.99                | 0.00               | 0.99              | 0.0  | 0.89                 |
| 03/14/2018  | WOLF, XANDER              | ALLIANCEBERNSTEIN EQUITY INCOME A | 0.00                 | 1.01                | 0.00               | 1.01              | 0.0  | 0.91                 |
| 03/14/2018  | WOLF, AADRA               | ALLIANCEBERNSTEIN EQUITY INCOME A | 0.00                 | 1.14                | 0.00               | 1.14              | 0.0  | 1.03                 |
| 03/15/2018  | BATIO, KAREN              | AM FUNDS AMERICAN BALANCED A      | 0.00                 | 0.49                | 0.00               | 0.49              | 0.0  | 0.44                 |
| 03/15/2018  | BATIO, KAREN              | AM FUNDS CAPITAL INCOME BUILDER A | 0.00                 | 0.39                | 0.00               | 0.39              | 0.0  | 0.35                 |
| 03/15/2018  | BATIO, KAREN              | AM FUNDS FUNDAMENTAL INVESTORS A  | 0.00                 | 0.61                | 0.00               | 0.61              | 0.0  | 0.55                 |

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> OVERRIDE TRANSACTIONS </u></b>                         |                              |                                     |                      |                     |                    |                   |      |                      |
| <b><u> BROKER: R122-RICHARD/MARK RODRIGUEZ/HUBER #90 </u></b> |                              |                                     |                      |                     |                    |                   |      |                      |
| 03/15/2018  | BATIO, KAREN                 | AM FUNDS ICA A                      | 0.00                 | 0.57                | 0.00               | 0.57              | 0.0  | 0.51                 |
| 03/15/2018  | BATIO, KAREN                 | AM FUNDS INCOME FUND OF AMERICA A   | 0.00                 | 0.46                | 0.00               | 0.46              | 0.0  | 0.41                 |
| 03/16/2018  | WOLF, XANDER                 | AMERICAN CENTURY REAL ESTATE FUND C | 0.00                 | 0.43                | 0.00               | 0.43              | 0.0  | 0.39                 |
| 03/16/2018  | WOLF, AADRA                  | AMERICAN CENTURY REAL ESTATE FUND C | 0.00                 | 0.43                | 0.00               | 0.43              | 0.0  | 0.39                 |
| 03/28/2018  | WOLF, XANDER                 | BLACKROCK LARGE CAP GROWTH FUND CLA | 0.00                 | 1.24                | 0.00               | 1.24              | 0.0  | 1.12                 |
| 03/28/2018  | WOLF, AADRA                  | BLACKROCK LARGE CAP GROWTH FUND CLA | 0.00                 | 1.40                | 0.00               | 1.40              | 0.0  | 1.26                 |
| 03/28/2018  | WOLF, XANDER                 | BLK HEALTH SCIENCES A               | 0.00                 | 0.88                | 0.00               | 0.88              | 0.0  | 0.79                 |
| 03/28/2018  | WOLF, AADRA                  | BLK HEALTH SCIENCES A               | 0.00                 | 0.88                | 0.00               | 0.88              | 0.0  | 0.79                 |
| 04/04/2018  | JONES, GRETCHEN              | BLUEROCK RESIDENTIAL GROWTH REIT IN | -7,352.59            | 0.00                | 23.30              | -23.30            | 0.0  | -20.97               |
| 03/01/2018  | FERN, SARAH                  | BLUEROCK TOTAL INC & REAL ESTATE FU | 0.00                 | 5.82                | 0.00               | 5.82              | 0.0  | 5.24                 |
| 03/01/2018  | UKRAINIAN CHURCH, ST ANDREWS | BLUEROCK TOTAL INC & REAL ESTATE FU | 0.00                 | 17.58               | 0.00               | 17.58             | 0.0  | 15.82                |
| 03/01/2018  | UKRAINIAN CHURCH, ST ANDREWS | BLUEROCK TOTAL INC & REAL ESTATE FU | 0.00                 | 25.35               | 0.00               | 25.35             | 0.0  | 22.82                |
| 03/01/2018  | TRIPP, MAXX                  | BLUEROCK TOTAL INC & REAL ESTATE FU | 0.00                 | 11.13               | 0.00               | 11.13             | 0.0  | 10.02                |
| 03/01/2018  | TRIPP, ABBY                  | BLUEROCK TOTAL INC & REAL ESTATE FU | 0.00                 | 12.46               | 0.00               | 12.46             | 0.0  | 11.21                |
| 03/01/2018  | WOLF, XANDER                 | BLUEROCK TOTAL INC & REAL ESTATE FU | 0.00                 | 4.34                | 0.00               | 4.34              | 0.0  | 3.91                 |
| 03/01/2018  | WOLF, AADRA                  | BLUEROCK TOTAL INC & REAL ESTATE FU | 0.00                 | 4.34                | 0.00               | 4.34              | 0.0  | 3.91                 |
| 03/23/2018  | FERN, SARAH                  | BLUEROCK TOTAL INC & REAL ESTATE FU | 0.00                 | 5.28                | 0.00               | 5.28              | 0.0  | 4.75                 |
| 03/23/2018  | UKRAINIAN CHURCH, ST ANDREWS | BLUEROCK TOTAL INC & REAL ESTATE FU | 0.00                 | 5.12                | 0.00               | 5.12              | 0.0  | 4.61                 |
| 03/23/2018  | UKRAINIAN CHURCH, ST ANDREWS | BLUEROCK TOTAL INC & REAL ESTATE FU | 0.00                 | 7.39                | 0.00               | 7.39              | 0.0  | 6.65                 |
| 03/23/2018  | TRIPP, MAXX                  | BLUEROCK TOTAL INC & REAL ESTATE FU | 0.00                 | 10.10               | 0.00               | 10.10             | 0.0  | 9.09                 |
| 03/23/2018  | TRIPP, ABBY                  | BLUEROCK TOTAL INC & REAL ESTATE FU | 0.00                 | 11.30               | 0.00               | 11.30             | 0.0  | 10.17                |
| 03/23/2018  | WOLF, XANDER                 | BLUEROCK TOTAL INC & REAL ESTATE FU | 0.00                 | 3.94                | 0.00               | 3.94              | 0.0  | 3.55                 |
| 03/23/2018  | WOLF, AADRA                  | BLUEROCK TOTAL INC & REAL ESTATE FU | 0.00                 | 3.94                | 0.00               | 3.94              | 0.0  | 3.55                 |
| 04/05/2018  | JONES, GRETCHEN              | GLAXOSMITHKLINE PLC SPONSORED ADR(F | -6,181.94            | 0.00                | 22.50              | -22.50            | 0.0  | -20.25               |
| 03/19/2018  | UDCHIK, DAVID                | GRIFFIN INSTITUTIONAL ACCESS REAL E | 0.00                 | 2.56                | 0.00               | 2.56              | 0.0  | 2.30                 |
| 03/21/2018  | WOLF, XANDER                 | RYDEX TRANSPORTATION FUND CLASS A   | 0.00                 | 0.55                | 0.00               | 0.55              | 0.0  | 0.50                 |
| 03/21/2018  | WOLF, AADRA                  | RYDEX TRANSPORTATION FUND CLASS A   | 0.00                 | 0.55                | 0.00               | 0.55              | 0.0  | 0.50                 |
| <b> * R122-RICHARD/MARK RODRIGUEZ/HUBER SUBTOTAL * </b>       |                              |                                     | <b>\$-13,534.53</b>  | <b>\$143.66</b>     | <b>\$45.80</b>     | <b>\$97.86</b>    |      | <b>\$88.10</b>       |
| <b><u> BROKER: MICHAEL VENTURINI #127 </u></b>                |                              |                                     |                      |                     |                    |                   |      |                      |
| 03/31/2018  | CAMPOLO, JON                 | JNL PERSPECTIVE L                   | 19,631.48            | 16.36               | 0.00               | 16.36             | 0.0  | 14.72                |
| 03/31/2018  | CAMPOLO, JUDITH              | JNL PERSPECTIVE L                   | 15,827.26            | 13.19               | 0.00               | 13.19             | 0.0  | 11.87                |
| <b> * MICHAEL VENTURINI SUBTOTAL * </b>                       |                              |                                     | <b>\$35,458.74</b>   | <b>\$29.55</b>      | <b>\$0.00</b>      | <b>\$29.55</b>    |      | <b>\$26.59</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 &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> OVERRIDE TRANSACTIONS </u></b>                 |                      |                                     |                      |                     |                    |                    |      |                      |
| <b><u>BROKER: DAVE/MIKE ZUPEK/VENTURINI #129</u></b>  |                      |                                     |                      |                     |                    |                    |      |                      |
| 04/01/2018  | KISSH, BARBARA       | MFS CORE EQUITY A                   | 0.00                 | 1.76                | 0.00               | 1.76               | 0.0  | 1.58                 |
| * DAVE/MIKE ZUPEK/VENTURINI SUBTOTAL *                |                      |                                     | <b>\$0.00</b>        | <b>\$1.76</b>       | <b>\$0.00</b>      | <b>\$1.76</b>      |      | <b>\$1.58</b>        |
| <b><u>BROKER: WENDY GOODING #158</u></b>              |                      |                                     |                      |                     |                    |                    |      |                      |
| 03/19/2018  | SCOTT, NATALIE       | JP MORGAN INVESTOR GROWTH & INCOME  | 0.00                 | 9.54                | 0.00               | 9.54               | 0.0  | 3.34                 |
| * WENDY GOODING SUBTOTAL *                            |                      |                                     | <b>\$0.00</b>        | <b>\$9.54</b>       | <b>\$0.00</b>      | <b>\$9.54</b>      |      | <b>\$3.34</b>        |
| <b><u>BROKER: R133-MARK/DAVE HUBER/ZUPEK #269</u></b> |                      |                                     |                      |                     |                    |                    |      |                      |
| / /   | WIKAR, HALINA        | AGGRESSIVE AGE BASED 0 - 02 - A     | 0.00                 | 3.33                | 0.00               | 3.33               | 0.0  | 3.00                 |
| 03/12/2018  | WIKAR, HALINA        | AGGRESSIVE AGE BASED 0 - 02 - A     | 100.00               | 3.00                | 0.00               | 3.00               | 0.0  | 2.70                 |
| 04/05/2018  | CLINGERMAN, JENNIFER | AM FUNDS FUNDAMENTAL INVESTORS A    | 50.00                | 2.50                | 0.00               | 2.50               | 0.0  | 2.25                 |
| 02/28/2018  | SWAFFORD, WILLIAM    | BLACKROCK 67776G469                 | 0.00                 | 1.29                | 0.00               | 1.29               | 0.0  | 1.16                 |
| 03/01/2018  | SHAYKIN, STEVEN      | BLUEROCK TOTAL INC & REAL ESTATE FU | 0.00                 | 13.26               | 0.00               | 13.26              | 0.0  | 11.93                |
| 03/01/2018  | HAMILTON, RANDALL    | BLUEROCK TOTAL INC & REAL ESTATE FU | 0.00                 | 2.41                | 0.00               | 2.41               | 0.0  | 2.17                 |
| 03/01/2018  | HAMILTON, RANDALL    | BLUEROCK TOTAL INC & REAL ESTATE FU | 0.00                 | 2.19                | 0.00               | 2.19               | 0.0  | 1.97                 |
| 03/01/2018  | WHEELER, THOMAS      | BLUEROCK TOTAL INC & REAL ESTATE FU | 0.00                 | 1.72                | 0.00               | 1.72               | 0.0  | 1.55                 |
| 03/01/2018  | WHEELER, MARSHA      | BLUEROCK TOTAL INC & REAL ESTATE FU | 0.00                 | 1.64                | 0.00               | 1.64               | 0.0  | 1.48                 |
| 03/23/2018  | SHAYKIN, STEVEN      | BLUEROCK TOTAL INC & REAL ESTATE FU | 0.00                 | 12.03               | 0.00               | 12.03              | 0.0  | 10.83                |
| 03/23/2018  | HAMILTON, RANDALL    | BLUEROCK TOTAL INC & REAL ESTATE FU | 0.00                 | 2.19                | 0.00               | 2.19               | 0.0  | 1.97                 |
| 03/23/2018  | HAMILTON, RANDALL    | BLUEROCK TOTAL INC & REAL ESTATE FU | 0.00                 | 1.99                | 0.00               | 1.99               | 0.0  | 1.79                 |
| 03/23/2018  | WHEELER, THOMAS      | BLUEROCK TOTAL INC & REAL ESTATE FU | 0.00                 | 1.56                | 0.00               | 1.56               | 0.0  | 1.40                 |
| 03/23/2018  | WHEELER, MARSHA      | BLUEROCK TOTAL INC & REAL ESTATE FU | 0.00                 | 1.49                | 0.00               | 1.49               | 0.0  | 1.34                 |
| 03/15/2018  | MAY, ROBERT          | CARTER VALIDUS MC REIT II CLASS T   | 0.00                 | 54.35               | 0.00               | 54.35              | 0.0  | 48.92                |
| 02/28/2018  | SWAFFORD, WILLIAM    | GLOBAL ALLOCATION FUND              | 0.00                 | 1.36                | 0.00               | 1.36               | 0.0  | 1.22                 |
| * R133-MARK/DAVE HUBER/ZUPEK SUBTOTAL *               |                      |                                     | <b>\$150.00</b>      | <b>\$106.31</b>     | <b>\$0.00</b>      | <b>\$106.31</b>    |      | <b>\$95.68</b>       |
| <b><u>BROKER: MARK-H150 HUBER #396</u></b>            |                      |                                     |                      |                     |                    |                    |      |                      |
| 03/22/2018  | GIBSON, PAMELA       | GPB AUTOMOTIVE                      | 100,000.00           | 7,000.00            | 0.00               | 7,000.00           | 0.0  | 6,300.00             |
| * MARK-H150 HUBER SUBTOTAL *                          |                      |                                     | <b>\$100,000.00</b>  | <b>\$7,000.00</b>   | <b>\$0.00</b>      | <b>\$7,000.00</b>  |      | <b>\$6,300.00</b>    |
| *** OVERRIDE TRANSACTIONS TOTAL ***                   |                      |                                     | <b>\$229,491.67</b>  | <b>\$11,785.69</b>  | <b>\$45.80</b>     | <b>\$11,739.89</b> |      | <b>\$10,560.77</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 &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>ADJUSTMENTS</u></b> |        |   |                      |                     |                    |                   |      |                      |
| 04/15/2018                |        | *AI INSIGHT: AI INSIGHT                     | 0.00                 |                     |                    |                   |      | -7.00                |
| 04/15/2018                |        | *AI INSIGHT: AI INSIGHT - MARK              | 0.00                 |                     |                    |                   |      | -7.00                |
| 04/15/2018                |        | *ALBRIDGE: FULL USER - DAVID                | 0.00                 |                     |                    |                   |      | -88.00               |
| 04/15/2018                |        | *ALBRIDGE: FULL USER - MARK                 | 0.00                 |                     |                    |                   |      | -88.00               |
| 04/15/2018                |        | *E & O INSURANCE: CURRENT MONTH INS         | 0.00                 |                     |                    |                   |      | -300.00              |
| 04/15/2018                |        | *E & O INSURANCE: CURRENT MONTH<br>INS-MARK | 0.00                 |                     |                    |                   |      | -300.00              |
| 04/15/2018                |        | *GLOBAL RELAY: FACEBOOK - DAVID             | 0.00                 |                     |                    |                   |      | -2.50                |
| 04/15/2018                |        | *GLOBAL RELAY: FACEBOOK - MARK              | 0.00                 |                     |                    |                   |      | -2.50                |
| 04/15/2018                |        | *GLOBAL RELAY: WEBSITE - DAVID              | 0.00                 |                     |                    |                   |      | -7.50                |
| 04/15/2018                |        | *GLOBAL RELAY: WEBSITE - MARK               | 0.00                 |                     |                    |                   |      | -7.50                |
| 04/15/2018                |        | *LASER APP: LASER APP - MARK                | 0.00                 |                     |                    |                   |      | -18.00               |
| 04/15/2018                |        | *LASER APP: LASERAPP - DAVID                | 0.00                 |                     |                    |                   |      | -18.00               |
| 04/15/2018                |        | *MARKETING PRO: MARKETING PRO -<br>DAVID    | 0.00                 |                     |                    |                   |      | -10.00               |
| 04/15/2018                |        | *MARKETING PRO: STANDARD - MARK             | 0.00                 |                     |                    |                   |      | -10.00               |
| 04/15/2018                |        | *PERSHING: BOOKS & RECORDS                  | 0.00                 |                     |                    |                   |      | -7.92                |
| 04/15/2018                |        | *TECH: ADMIN - L JOCIUS                     | 0.00                 |                     |                    |                   |      | -130.00              |
| 04/15/2018                |        | *TECH: ADMIN - RON HAMILTON                 | 0.00                 |                     |                    |                   |      | -60.00               |
| 04/15/2018                |        | *TECH: ADMIN: JOHN ZUPEK                    | 0.00                 |                     |                    |                   |      | -60.00               |
| 04/15/2018                |        | *TECHNOLOGY: ADMIN - AMANDA MOON            | 0.00                 |                     |                    |                   |      | -130.00              |
| 04/15/2018                |        | *TECHNOLOGY: BASIC - DAVID                  | 0.00                 |                     |                    |                   |      | -180.00              |
| 04/15/2018                |        | *TECHNOLOGY: BASIC-MARK                     | 0.00                 |                     |                    |                   |      | -180.00              |
| *** ADJUSTMENTS TOTAL *** |        |   | \$0.00               | \$0.00              | \$0.00             | \$0.00            |      | \$-1,613.92          |

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   | \$14,537.43 |
| Split Transactions    | \$50.15     |
| Override Transactions | \$10,560.77 |
| Adjustments           | \$-1,613.92 |
| Payroll Draw          | \$0.00      |
| Base Salary           | \$0.00      |
| Prior Period Balance  | \$0.00      |
| FINRA Assessment      | \$0.00      |
| SIPC Assessment       | \$0.00      |

|                       |              |
|-----------------------|--------------|
| Check Amount          | \$23,534.43  |
| Year-to-date Gross    | \$157,637.19 |
| Year-to-date Earnings | \$175,842.28 |