



Concorde Investment Services, LLC

02/27/2018

Page No. 1

COMMISSION STATEMENT**February 28, 2018**DAVID, Z116 ZUPEK
1126 Bichara BlvdBROKER #: Z116
BRANCH: TADA WEALTH ADVISORS

The Villages, FL 32159

DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: NON-TRADED BDC</u>								
02/07/2018	RUGH, BARBARA	FS INVESTMENT CORP IV CLASS T	0.00	29.17	0.00	29.17	90.0	26.25
		* NON-TRADED BDC SUBTOTAL *	\$0.00	\$29.17	\$0.00	\$29.17		\$26.25
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
02/05/2018	KISSH, BARBARA	AM FUNDS AMERICAN BALANCED A	50.00	2.50	0.00	2.50	90.0	2.25
		* MUTUAL FUNDS SUBTOTAL *	\$50.00	\$2.50	\$0.00	\$2.50		\$2.25
<u>PRODUCT CATEGORY: VARIABLE ANNUITIES</u>								
02/12/2018	RACK, JOAN	AM GEN POLARIS CHOICE III	58,309.90	145.77	0.00	145.77	90.0	131.19
02/15/2018	MARTIN, CHARMAINE	JNL PERSPECTIVE II 05/05	50.00	3.75	0.00	3.75	90.0	3.38
02/05/2018	BABICKY, THOMAS	SECURITY LIFE OF DENVER VUL-DB	888.00	22.20	0.00	22.20	90.0	19.98
02/15/2018	HUDEC, JOANNE	SECURITY LIFE OF DENVER VUL-DB	300.00	7.50	0.00	7.50	90.0	6.75
01/05/2018	RACK, JOAN	TRANSAMERICA LIBERTY	177,246.45	147.71	0.00	147.71	90.0	132.94
01/13/2018	SOENS, JAMES	TRANSAMERICA LIBERTY	110,921.58	92.43	0.00	92.43	90.0	83.19
01/13/2018	HARTGERINK, EDWARD	TRANSAMERICA LIBERTY	321,555.89	267.96	0.00	267.96	90.0	241.16
01/15/2018	FRAID, JEROME	TRANSAMERICA LIBERTY	87,538.28	72.95	0.00	72.95	90.0	65.66
01/17/2018	MANDLI, JODI	TRANSAMERICA LIBERTY	36,485.63	30.40	0.00	30.40	90.0	27.36
01/21/2018	LUDWIG, DEBORA	TRANSAMERICA LIBERTY	37,063.54	30.89	0.00	30.89	90.0	27.80
01/23/2018	STARK, GLORIA	TRANSAMERICA LIBERTY	39,987.91	33.32	0.00	33.32	90.0	29.99
01/23/2018	DENNE, THOMAS	TRANSAMERICA LIBERTY	39,309.37	32.76	0.00	32.76	90.0	29.48
01/23/2018	ZUPEK TRUST	TRANSAMERICA LIBERTY	1,143.15	0.95	0.00	0.95	90.0	0.86
01/23/2018	ZUPEK TRUST	TRANSAMERICA LIBERTY	1,295.62	1.08	0.00	1.08	90.0	0.97
01/24/2018	HAMILTON, RONALD	TRANSAMERICA LIBERTY	201,440.55	167.87	0.00	167.87	90.0	151.08
01/24/2018	KASDORF, LINDA	TRANSAMERICA LIBERTY	68,761.78	57.30	0.00	57.30	90.0	51.57
01/26/2018	WAYO, DARLENE	TRANSAMERICA LIBERTY	167,138.80	139.28	0.00	139.28	90.0	125.35
01/27/2018	KIELPINSKI, ANTHONY	TRANSAMERICA LIBERTY	201,026.36	167.52	0.00	167.52	90.0	150.77
		* VARIABLE ANNUITIES SUBTOTAL *	\$1,550,462.81	\$1,421.64	\$0.00	\$1,421.64		\$1,279.48

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

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

DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
02/08/2016	AULER, WILLIAM	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	25.83	0.00	25.83	90.0	23.25
03/18/2016	AULER, WILLIAM	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	27.52	0.00	27.52	90.0	24.77
04/14/2016	AULER, WILLIAM	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	27.72	0.00	27.72	90.0	24.95
05/19/2016	AULER, WILLIAM	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	25.76	0.00	25.76	90.0	23.18
06/23/2016	AULER, WILLIAM	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	28.63	0.00	28.63	90.0	25.77
07/11/2016	AULER, WILLIAM	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	26.98	0.00	26.98	90.0	24.28
08/15/2016	AULER, WILLIAM	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	27.76	0.00	27.76	90.0	24.98
09/12/2016	AULER, WILLIAM	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	27.83	0.00	27.83	90.0	25.05
10/14/2016	AULER, WILLIAM	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	26.96	0.00	26.96	90.0	24.26
11/17/2016	AULER, WILLIAM	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	27.62	0.00	27.62	90.0	24.86
12/12/2016	AULER, WILLIAM	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	26.92	0.00	26.92	90.0	24.23
10/17/2016	COTE, WILLIAM	GRIFFIN INSTITUTIONAL ACCESS REAL E	0.00	8.83	0.00	8.83	90.0	7.95
02/19/2016	SIMMONS, JERRY	JP MORGAN INVESTOR GROWTH & INCOME	0.00	8.05	0.00	8.05	90.0	7.25
03/17/2016	SIMMONS, JERRY	JP MORGAN INVESTOR GROWTH & INCOME	0.00	7.22	0.00	7.22	90.0	6.50
04/25/2016	SIMMONS, JERRY	JP MORGAN INVESTOR GROWTH & INCOME	0.00	6.85	0.00	6.85	90.0	6.17
05/16/2016	SIMMONS, JERRY	JP MORGAN INVESTOR GROWTH & INCOME	0.00	6.77	0.00	6.77	90.0	6.09
06/20/2016	SIMMONS, JERRY	JP MORGAN INVESTOR GROWTH & INCOME	0.00	6.97	0.00	6.97	90.0	6.27
07/25/2016	SIMMONS, JERRY	JP MORGAN INVESTOR GROWTH & INCOME	0.00	6.78	0.00	6.78	90.0	6.10
08/15/2016	SIMMONS, JERRY	JP MORGAN INVESTOR GROWTH & INCOME	0.00	7.13	0.00	7.13	90.0	6.42
09/15/2016	SIMMONS, JERRY	JP MORGAN INVESTOR GROWTH & INCOME	0.00	6.14	0.00	6.14	90.0	5.53
10/14/2016	SIMMONS, JERRY	JP MORGAN INVESTOR GROWTH & INCOME	0.00	4.93	0.00	4.93	90.0	4.44
11/21/2016	SIMMONS, JERRY	JP MORGAN INVESTOR GROWTH & INCOME	0.00	5.09	0.00	5.09	90.0	4.58
12/16/2016	SIMMONS, JERRY	JP MORGAN INVESTOR GROWTH & INCOME	0.00	4.96	0.00	4.96	90.0	4.46
* MUTUAL FUND 12B1 TRAILS SUBTOTAL *			\$0.00	\$379.25	\$0.00	\$379.25		\$341.34
<u>PRODUCT CATEGORY: VARIABLE ANNUITY 12B1 TRAILS</u>								
02/14/2018	MUELLER, KENNETH	ADVANTAGE	30,645.15	68.95	0.00	68.95	90.0	62.06
* VARIABLE ANNUITY 12B1 TRAILS SUBTOTAL *			\$30,645.15	\$68.95	\$0.00	\$68.95		\$62.06
*** DIRECT TRANSACTIONS TOTAL ***			\$1,581,157.96	\$1,901.51	\$0.00	\$1,901.51		\$1,711.38

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<u> OVERRIDE TRANSACTIONS </u>								
<u>BROKER: MARK-H122 HUBER #10</u>								
02/20/2018	SWIDER, JULIA	MFS LIMITED MATURITY 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
<u>BROKER: MARK-H122 HUBER #89</u>								
02/07/2018	WAL, SEBASTIAN	MFS BLENDED RESEARCH CORE C	151.34	1.51	0.00	1.51	0.0	1.36
02/07/2018	WAL, SEBASTIAN	MFS BLENDED RESEARCH CORE C	45.40	0.45	0.00	0.45	0.0	0.41
02/07/2018	WIKAR, HALINA	MFS BLENDED RESEARCH CORE C	130.00	1.30	0.00	1.30	0.0	1.17
02/07/2018	WIKAR, HALINA	MFS BLENDED RESEARCH CORE C	24.00	0.24	0.00	0.24	0.0	0.22
02/07/2018	THOMAS, SYLVIA	MFS BLENDED RESEARCH CORE C	25.81	0.26	0.00	0.26	0.0	0.23
02/07/2018	THOMAS, SYLVIA	MFS BLENDED RESEARCH CORE C	51.63	0.52	0.00	0.52	0.0	0.47
02/12/2018	DABROWSKI, PAUL	MFS BLENDED RESEARCH CORE FD B	114.50	4.58	0.00	4.58	0.0	4.12
02/12/2018	GUTT, MARTIN	MFS BLENDED RESEARCH CORE FD B	100.00	4.00	0.00	4.00	0.0	3.60
02/16/2018	SIENKIEWICZ, TOMASZ	MFS BLENDED RESEARCH CORE FD B	25.00	1.00	0.00	1.00	0.0	0.90
02/12/2018	DABROWSKI, PAUL	MFS BOND FUND B	114.50	4.58	0.00	4.58	0.0	4.12
02/20/2018	LOWISZ, WLADYSLAWA	MFS CONSERVATIVE ALLOCATION B	108.00	4.32	0.00	4.32	0.0	3.89
02/07/2018	THOMAS, SYLVIA	MFS DIVERSIFIED INCOME FUND C	25.82	0.26	0.00	0.26	0.0	0.23
02/07/2018	THOMAS, SYLVIA	MFS DIVERSIFIED INCOME FUND C	51.63	0.52	0.00	0.52	0.0	0.47
02/07/2018	WAL, SEBASTIAN	MFS DIVERSIFIED INCOME FUND C	151.34	1.51	0.00	1.51	0.0	1.36
02/07/2018	WAL, SEBASTIAN	MFS DIVERSIFIED INCOME FUND C	45.41	0.45	0.00	0.45	0.0	0.41
02/07/2018	WIKAR, HALINA	MFS DIVERSIFIED INCOME FUND C	130.00	1.30	0.00	1.30	0.0	1.17
02/07/2018	WIKAR, HALINA	MFS DIVERSIFIED INCOME FUND C	24.00	0.24	0.00	0.24	0.0	0.22
02/09/2018	DABROWSKI, AGNIESZKA	MFS DIVERSIFIED INCOME FUND C	135.00	1.35	0.00	1.35	0.0	1.22
02/20/2018	LOWISZ, WLADYSLAWA	MFS EMERGING MARKETS DEBT FUND B	108.00	4.32	0.00	4.32	0.0	3.89
02/07/2018	WAL, SEBASTIAN	MFS EMERGING MKTS DEBT FUND C	113.50	1.14	0.00	1.14	0.0	1.03
02/07/2018	WAL, SEBASTIAN	MFS EMERGING MKTS DEBT FUND C	34.05	0.34	0.00	0.34	0.0	0.31
02/20/2018	TYLMAN, PETER	MFS EMERGING MKTS DEBT FUND C	50.00	0.50	0.00	0.50	0.0	0.45
02/20/2018	TYLMAN, JOANNA	MFS EMERGING MKTS DEBT FUND C	50.00	0.50	0.00	0.50	0.0	0.45
02/07/2018	WIKAR, HALINA	MFS GLOBAL EQUITY FUND C	260.00	2.60	0.00	2.60	0.0	2.34
02/07/2018	WIKAR, HALINA	MFS GLOBAL EQUITY FUND C	48.00	0.48	0.00	0.48	0.0	0.43
02/07/2018	SZAJEWSKI, REGINA	MFS GLOBAL TOTAL RETURN FUND-B	29.67	1.19	0.00	1.19	0.0	1.07
02/07/2018	SZAJEWSKI, REGINA	MFS GLOBAL TOTAL RETURN FUND-B	197.81	7.91	0.00	7.91	0.0	7.12
02/07/2018	WIKAR, SYLVIA	MFS GROWTH ALLOCATION B	23.84	0.95	0.00	0.95	0.0	0.86
02/07/2018	WIKAR, SYLVIA	MFS GROWTH ALLOCATION B	39.75	1.59	0.00	1.59	0.0	1.43
02/07/2018	SZAJEWSKI, REGINA	MFS GROWTH ALLOCATION B	29.67	1.19	0.00	1.19	0.0	1.07

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<u> OVERRIDE TRANSACTIONS </u>								
<u>BROKER: MARK-H122 HUBER #89</u>								
02/07/2018	SZAJEWSKI, REGINA	MFS GROWTH ALLOCATION B	197.81	7.91	0.00	7.91	0.0	7.12
02/12/2018	DABROWSKI, PAUL	MFS GROWTH ALLOCATION B	114.50	4.58	0.00	4.58	0.0	4.12
02/07/2018	WIKAR, HALINA	MFS GROWTH C	65.00	0.65	0.00	0.65	0.0	0.59
02/07/2018	WIKAR, HALINA	MFS GROWTH C	12.00	0.12	0.00	0.12	0.0	0.11
02/07/2018	WIKAR, SYLVIA	MFS INTERNATIOANL DEVERSIFICATION F	23.85	0.95	0.00	0.95	0.0	0.86
02/07/2018	WIKAR, SYLVIA	MFS INTERNATIOANL DEVERSIFICATION F	39.74	1.59	0.00	1.59	0.0	1.43
02/07/2018	THOMAS, SYLVIA	MFS INTERNATIONAL NEW DISCOVERY C	20.65	0.21	0.00	0.21	0.0	0.19
02/20/2018	LOWISZ, WLADYSLAWA	MFS MODERATE ALLOCATION B	108.00	4.32	0.00	4.32	0.0	3.89
02/09/2018	DABROWSKI, AGNIESZKA	MFS MODERATE ALLOCATION C	135.00	1.35	0.00	1.35	0.0	1.22
02/07/2018	WAL, SEBASTIAN	MFS RESEARCH BOND FUND C	151.34	1.51	0.00	1.51	0.0	1.36
02/07/2018	WAL, SEBASTIAN	MFS RESEARCH BOND FUND C	45.40	0.45	0.00	0.45	0.0	0.41
02/07/2018	THOMAS, SYLVIA	MFS RESEARCH BOND FUND C	5.16	0.05	0.00	0.05	0.0	0.05
02/07/2018	THOMAS, SYLVIA	MFS RESEARCH BOND FUND C	51.63	0.52	0.00	0.52	0.0	0.47
02/07/2018	WIKAR, SYLVIA	MFS UTILITIES B	23.85	0.95	0.00	0.95	0.0	0.86
02/07/2018	WIKAR, SYLVIA	MFS UTILITIES B	39.75	1.59	0.00	1.59	0.0	1.43
02/12/2018	DABROWSKI, PAUL	MFS UTILITIES B	114.50	4.58	0.00	4.58	0.0	4.12
02/12/2018	GUTT, MARTIN	MFS UTILITIES B	100.00	4.00	0.00	4.00	0.0	3.60
02/16/2018	GRESZTA, LIDIA	MFS UTILITIES B	300.00	12.00	0.00	12.00	0.0	10.80
02/16/2018	SIENKIEWICZ, TOMASZ	MFS UTILITIES B	25.00	1.00	0.00	1.00	0.0	0.90
02/20/2018	LOWISZ, WLADYSLAWA	MFS UTILITIES B	108.00	4.32	0.00	4.32	0.0	3.89
02/07/2018	WIKAR, HALINA	MFS UTILITIES C	260.00	2.60	0.00	2.60	0.0	2.34
02/07/2018	WIKAR, HALINA	MFS UTILITIES C	48.00	0.48	0.00	0.48	0.0	0.43
02/07/2018	WAL, SEBASTIAN	MFS UTILITIES C	189.17	1.89	0.00	1.89	0.0	1.70
02/07/2018	WAL, SEBASTIAN	MFS UTILITIES C	56.75	0.57	0.00	0.57	0.0	0.51
02/07/2018	THOMAS, SYLVIA	MFS UTILITIES C	25.81	0.26	0.00	0.26	0.0	0.23
02/07/2018	THOMAS, SYLVIA	MFS UTILITIES C	51.62	0.52	0.00	0.52	0.0	0.47
02/09/2018	DABROWSKI, AGNIESZKA	MFS UTILITIES C	270.00	2.70	0.00	2.70	0.0	2.43
02/20/2018	TYLMAN, JOANNA	MFS UTILITIES C	50.00	0.50	0.00	0.50	0.0	0.45
02/20/2018	TYLMAN, PETER	MFS UTILITIES C	50.00	0.50	0.00	0.50	0.0	0.45
02/07/2018	WIKAR, SYLVIA	MFS VALUE B	23.85	0.95	0.00	0.95	0.0	0.86
02/07/2018	WIKAR, SYLVIA	MFS VALUE B	39.75	1.59	0.00	1.59	0.0	1.43
02/07/2018	SZAJEWSKI, REGINA	MFS VALUE B	30.58	1.22	0.00	1.22	0.0	1.10
02/07/2018	SZAJEWSKI, REGINA	MFS VALUE B	203.81	8.15	0.00	8.15	0.0	7.34

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<u> OVERRIDE TRANSACTIONS </u>								
<u> BROKER: MARK-H122 HUBER #89 </u>								
02/16/2018	GRESZTA, LIDIA	MFS VALUE B	700.00	28.00	0.00	28.00	0.0	25.20
02/20/2018	LOWISZ, WLADYSLAWA	MFS VALUE B	108.00	4.32	0.00	4.32	0.0	3.89
02/07/2018	WIKAR, HALINA	MFS VALUE C	455.00	4.55	0.00	4.55	0.0	4.10
02/07/2018	WIKAR, HALINA	MFS VALUE C	84.00	0.84	0.00	0.84	0.0	0.76
02/20/2018	TYLMAN, PETER	MFS VALUE C	50.00	0.50	0.00	0.50	0.0	0.45
02/20/2018	TYLMAN, JOANNA	MFS VALUE C	50.00	0.50	0.00	0.50	0.0	0.45
* MARK-H122 HUBER SUBTOTAL *			\$6,865.19	\$164.39	\$0.00	\$164.39		\$148.03
<u> BROKER: R122-RICHARD/MARK RODRIGUEZ/HUBER #90 </u>								
02/26/2016	WOLF, XANDER	ALGER SPECTRA A	0.00	0.74	0.00	0.74	0.0	0.67
02/26/2016	WOLF, AADRA	ALGER SPECTRA A	0.00	0.74	0.00	0.74	0.0	0.67
03/11/2016	WOLF, XANDER	ALGER SPECTRA A	0.00	0.66	0.00	0.66	0.0	0.59
03/11/2016	WOLF, AADRA	ALGER SPECTRA A	0.00	0.66	0.00	0.66	0.0	0.59
04/22/2016	WOLF, XANDER	ALGER SPECTRA A	0.00	0.75	0.00	0.75	0.0	0.68
04/22/2016	WOLF, AADRA	ALGER SPECTRA A	0.00	0.75	0.00	0.75	0.0	0.68
05/23/2016	WOLF, XANDER	ALGER SPECTRA A	0.00	0.74	0.00	0.74	0.0	0.67
05/23/2016	WOLF, AADRA	ALGER SPECTRA A	0.00	0.74	0.00	0.74	0.0	0.67
06/22/2016	WOLF, XANDER	ALGER SPECTRA A	0.00	0.76	0.00	0.76	0.0	0.68
06/22/2016	WOLF, AADRA	ALGER SPECTRA A	0.00	0.76	0.00	0.76	0.0	0.68
07/28/2016	WOLF, XANDER	ALGER SPECTRA A	0.00	0.74	0.00	0.74	0.0	0.67
07/28/2016	WOLF, AADRA	ALGER SPECTRA A	0.00	0.74	0.00	0.74	0.0	0.67
08/22/2016	WOLF, XANDER	ALGER SPECTRA A	0.00	0.79	0.00	0.79	0.0	0.71
08/22/2016	WOLF, AADRA	ALGER SPECTRA A	0.00	0.79	0.00	0.79	0.0	0.71
09/23/2016	WOLF, XANDER	ALGER SPECTRA A	0.00	0.81	0.00	0.81	0.0	0.73
09/23/2016	WOLF, AADRA	ALGER SPECTRA A	0.00	0.81	0.00	0.81	0.0	0.73
10/31/2016	WOLF, XANDER	ALGER SPECTRA A	0.00	0.78	0.00	0.78	0.0	0.70
10/31/2016	WOLF, AADRA	ALGER SPECTRA A	0.00	0.78	0.00	0.78	0.0	0.70
11/30/2016	WOLF, XANDER	ALGER SPECTRA A	0.00	0.80	0.00	0.80	0.0	0.72
11/30/2016	WOLF, AADRA	ALGER SPECTRA A	0.00	0.80	0.00	0.80	0.0	0.72
12/30/2016	WOLF, XANDER	ALGER SPECTRA A	0.00	0.76	0.00	0.76	0.0	0.68
12/30/2016	WOLF, AADRA	ALGER SPECTRA A	0.00	0.76	0.00	0.76	0.0	0.68
02/08/2016	WOLF, XANDER	ALLIANCEBERNSTEIN EQUITY INCOME A	0.00	0.81	0.00	0.81	0.0	0.73
02/08/2016	WOLF, AADRA	ALLIANCEBERNSTEIN EQUITY INCOME A	0.00	0.91	0.00	0.91	0.0	0.82
03/09/2016	WOLF, XANDER	ALLIANCEBERNSTEIN EQUITY INCOME A	0.00	0.76	0.00	0.76	0.0	0.68

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u> OVERRIDE TRANSACTIONS </u>								
BROKER: R122-RICHARD/MARK RODRIGUEZ/HUBER #90								
03/09/2016	WOLF, AADRA	ALLIANCEBERNSTEIN EQUITY INCOME A	0.00	0.86	0.00	0.86	0.0	0.77
04/18/2016	WOLF, XANDER	ALLIANCEBERNSTEIN EQUITY INCOME A	0.00	0.86	0.00	0.86	0.0	0.77
04/18/2016	WOLF, AADRA	ALLIANCEBERNSTEIN EQUITY INCOME A	0.00	0.97	0.00	0.97	0.0	0.87
05/11/2016	WOLF, XANDER	ALLIANCEBERNSTEIN EQUITY INCOME A	0.00	0.85	0.00	0.85	0.0	0.77
05/11/2016	WOLF, AADRA	ALLIANCEBERNSTEIN EQUITY INCOME A	0.00	0.96	0.00	0.96	0.0	0.86
06/10/2016	WOLF, XANDER	ALLIANCEBERNSTEIN EQUITY INCOME A	0.00	0.88	0.00	0.88	0.0	0.79
06/10/2016	WOLF, AADRA	ALLIANCEBERNSTEIN EQUITY INCOME A	0.00	0.99	0.00	0.99	0.0	0.89
07/18/2016	WOLF, XANDER	ALLIANCEBERNSTEIN EQUITY INCOME A	0.00	0.86	0.00	0.86	0.0	0.77
07/18/2016	WOLF, AADRA	ALLIANCEBERNSTEIN EQUITY INCOME A	0.00	0.97	0.00	0.97	0.0	0.87
08/08/2016	WOLF, XANDER	ALLIANCEBERNSTEIN EQUITY INCOME A	0.00	0.92	0.00	0.92	0.0	0.83
08/08/2016	WOLF, AADRA	ALLIANCEBERNSTEIN EQUITY INCOME A	0.00	1.03	0.00	1.03	0.0	0.93
09/12/2016	WOLF, XANDER	ALLIANCEBERNSTEIN EQUITY INCOME A	0.00	0.92	0.00	0.92	0.0	0.83
09/12/2016	WOLF, AADRA	ALLIANCEBERNSTEIN EQUITY INCOME A	0.00	1.04	0.00	1.04	0.0	0.94
10/20/2016	WOLF, XANDER	ALLIANCEBERNSTEIN EQUITY INCOME A	0.00	0.89	0.00	0.89	0.0	0.80
10/20/2016	WOLF, AADRA	ALLIANCEBERNSTEIN EQUITY INCOME A	0.00	1.00	0.00	1.00	0.0	0.90
11/11/2016	WOLF, XANDER	ALLIANCEBERNSTEIN EQUITY INCOME A	0.00	0.91	0.00	0.91	0.0	0.82
11/11/2016	WOLF, AADRA	ALLIANCEBERNSTEIN EQUITY INCOME A	0.00	1.02	0.00	1.02	0.0	0.92
12/12/2016	WOLF, XANDER	ALLIANCEBERNSTEIN EQUITY INCOME A	0.00	0.89	0.00	0.89	0.0	0.80
12/12/2016	WOLF, AADRA	ALLIANCEBERNSTEIN EQUITY INCOME A	0.00	1.00	0.00	1.00	0.0	0.90
02/16/2016	BATIO, JESSICA	AM FUNDS AMERICAN BALANCED A	0.00	0.42	0.00	0.42	0.0	0.38
03/15/2016	BATIO, JESSICA	AM FUNDS AMERICAN BALANCED A	0.00	0.40	0.00	0.40	0.0	0.36
04/20/2016	BATIO, JESSICA	AM FUNDS AMERICAN BALANCED A	0.00	0.44	0.00	0.44	0.0	0.40
05/16/2016	BATIO, JESSICA	AM FUNDS AMERICAN BALANCED A	0.00	0.44	0.00	0.44	0.0	0.40
06/15/2016	BATIO, JESSICA	AM FUNDS AMERICAN BALANCED A	0.00	0.45	0.00	0.45	0.0	0.41
07/18/2016	BATIO, JESSICA	AM FUNDS AMERICAN BALANCED A	0.00	0.44	0.00	0.44	0.0	0.40
08/15/2016	BATIO, JESSICA	AM FUNDS AMERICAN BALANCED A	0.00	0.47	0.00	0.47	0.0	0.42
09/16/2016	BATIO, JESSICA	AM FUNDS AMERICAN BALANCED A	0.00	0.35	0.00	0.35	0.0	0.32
02/16/2016	TRIPP, ABBY	AM FUNDS CAPITAL INCOME BUILDER A	0.00	1.75	0.00	1.75	0.0	1.58
02/16/2016	BATIO, JESSICA	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.35	0.00	0.35	0.0	0.32
03/15/2016	TRIPP, ABBY	AM FUNDS CAPITAL INCOME BUILDER A	0.00	1.65	0.00	1.65	0.0	1.49
03/15/2016	BATIO, JESSICA	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.33	0.00	0.33	0.0	0.30
04/20/2016	TRIPP, ABBY	AM FUNDS CAPITAL INCOME BUILDER A	0.00	1.85	0.00	1.85	0.0	1.67
04/20/2016	BATIO, JESSICA	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.37	0.00	0.37	0.0	0.33

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u> OVERRIDE TRANSACTIONS </u>								
<u>BROKER: R122-RICHARD/MARK RODRIGUEZ/HUBER #90</u>								
05/16/2016	TRIPP, ABBY	AM FUNDS CAPITAL INCOME BUILDER A	0.00	1.83	0.00	1.83	0.0	1.65
05/16/2016	BATIO, JESSICA	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.36	0.00	0.36	0.0	0.32
06/15/2016	TRIPP, ABBY	AM FUNDS CAPITAL INCOME BUILDER A	0.00	1.89	0.00	1.89	0.0	1.70
06/15/2016	BATIO, JESSICA	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.37	0.00	0.37	0.0	0.33
07/18/2016	TRIPP, ABBY	AM FUNDS CAPITAL INCOME BUILDER A	0.00	1.84	0.00	1.84	0.0	1.66
07/18/2016	BATIO, JESSICA	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.37	0.00	0.37	0.0	0.33
08/15/2016	TRIPP, ABBY	AM FUNDS CAPITAL INCOME BUILDER A	0.00	1.96	0.00	1.96	0.0	1.76
08/15/2016	BATIO, JESSICA	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.39	0.00	0.39	0.0	0.35
09/16/2016	TRIPP, ABBY	AM FUNDS CAPITAL INCOME BUILDER A	0.00	1.97	0.00	1.97	0.0	1.77
09/16/2016	BATIO, JESSICA	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.39	0.00	0.39	0.0	0.35
10/17/2016	TRIPP, ABBY	AM FUNDS CAPITAL INCOME BUILDER A	0.00	1.89	0.00	1.89	0.0	1.70
10/17/2016	BATIO, JESSICA	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.38	0.00	0.38	0.0	0.34
11/18/2016	TRIPP, ABBY	AM FUNDS CAPITAL INCOME BUILDER A	0.00	1.93	0.00	1.93	0.0	1.74
11/18/2016	BATIO, JESSICA	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.38	0.00	0.38	0.0	0.34
12/15/2016	TRIPP, ABBY	AM FUNDS CAPITAL INCOME BUILDER A	0.00	1.83	0.00	1.83	0.0	1.65
12/15/2016	BATIO, JESSICA	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.36	0.00	0.36	0.0	0.32
02/16/2016	TRIPP, ABBY	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	2.22	0.00	2.22	0.0	2.00
02/16/2016	BATIO, JESSICA	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	0.45	0.00	0.45	0.0	0.41
03/15/2016	TRIPP, ABBY	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	2.04	0.00	2.04	0.0	1.84
03/15/2016	BATIO, JESSICA	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	0.42	0.00	0.42	0.0	0.38
04/20/2016	TRIPP, ABBY	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	2.33	0.00	2.33	0.0	2.10
04/20/2016	BATIO, JESSICA	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	0.48	0.00	0.48	0.0	0.43
05/16/2016	TRIPP, ABBY	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	2.32	0.00	2.32	0.0	2.09
05/16/2016	BATIO, JESSICA	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	0.47	0.00	0.47	0.0	0.42
06/15/2016	TRIPP, ABBY	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	2.41	0.00	2.41	0.0	2.17
06/15/2016	BATIO, JESSICA	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	0.49	0.00	0.49	0.0	0.44
07/18/2016	TRIPP, ABBY	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	2.36	0.00	2.36	0.0	2.12
07/18/2016	BATIO, JESSICA	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	0.48	0.00	0.48	0.0	0.43
08/15/2016	TRIPP, ABBY	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	2.50	0.00	2.50	0.0	2.25
08/15/2016	BATIO, JESSICA	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	0.51	0.00	0.51	0.0	0.46
09/16/2016	TRIPP, ABBY	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	2.54	0.00	2.54	0.0	2.29
09/16/2016	BATIO, JESSICA	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	0.49	0.00	0.49	0.0	0.44
10/17/2016	TRIPP, ABBY	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	2.44	0.00	2.44	0.0	2.20

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<u> OVERRIDE TRANSACTIONS </u>								
<u> BROKER: R122-RICHARD/MARK RODRIGUEZ/HUBER #90 </u>								
10/17/2016	BATIO, JESSICA	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	0.40	0.00	0.40	0.0	0.36
11/18/2016	TRIPP, ABBY	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	2.54	0.00	2.54	0.0	2.29
11/18/2016	BATIO, JESSICA	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	0.41	0.00	0.41	0.0	0.37
12/15/2016	TRIPP, ABBY	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	2.49	0.00	2.49	0.0	2.24
12/15/2016	BATIO, JESSICA	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	0.40	0.00	0.40	0.0	0.36
02/16/2016	TRIPP, ABBY	AM FUNDS ICA A	0.00	2.14	0.00	2.14	0.0	1.93
02/16/2016	BATIO, JESSICA	AM FUNDS ICA A	0.00	0.43	0.00	0.43	0.0	0.39
03/15/2016	TRIPP, ABBY	AM FUNDS ICA A	0.00	2.00	0.00	2.00	0.0	1.80
03/15/2016	BATIO, JESSICA	AM FUNDS ICA A	0.00	0.40	0.00	0.40	0.0	0.36
04/20/2016	TRIPP, ABBY	AM FUNDS ICA A	0.00	2.28	0.00	2.28	0.0	2.05
04/20/2016	BATIO, JESSICA	AM FUNDS ICA A	0.00	0.46	0.00	0.46	0.0	0.41
05/16/2016	TRIPP, ABBY	AM FUNDS ICA A	0.00	2.28	0.00	2.28	0.0	2.05
05/16/2016	BATIO, JESSICA	AM FUNDS ICA A	0.00	0.46	0.00	0.46	0.0	0.41
06/15/2016	TRIPP, ABBY	AM FUNDS ICA A	0.00	2.35	0.00	2.35	0.0	2.12
06/15/2016	BATIO, JESSICA	AM FUNDS ICA A	0.00	0.47	0.00	0.47	0.0	0.42
07/18/2016	TRIPP, ABBY	AM FUNDS ICA A	0.00	2.31	0.00	2.31	0.0	2.08
07/18/2016	BATIO, JESSICA	AM FUNDS ICA A	0.00	0.47	0.00	0.47	0.0	0.42
08/15/2016	TRIPP, ABBY	AM FUNDS ICA A	0.00	2.46	0.00	2.46	0.0	2.21
08/15/2016	BATIO, JESSICA	AM FUNDS ICA A	0.00	0.50	0.00	0.50	0.0	0.45
09/16/2016	TRIPP, ABBY	AM FUNDS ICA A	0.00	2.50	0.00	2.50	0.0	2.25
09/16/2016	BATIO, JESSICA	AM FUNDS ICA A	0.00	0.37	0.00	0.37	0.0	0.33
10/17/2016	TRIPP, ABBY	AM FUNDS ICA A	0.00	2.40	0.00	2.40	0.0	2.16
11/18/2016	TRIPP, ABBY	AM FUNDS ICA A	0.00	2.48	0.00	2.48	0.0	2.23
12/15/2016	TRIPP, ABBY	AM FUNDS ICA A	0.00	2.42	0.00	2.42	0.0	2.18
02/16/2016	BATIO, JESSICA	AM FUNDS INCOME FUND OF AMERICA A	0.00	0.39	0.00	0.39	0.0	0.35
03/15/2016	BATIO, JESSICA	AM FUNDS INCOME FUND OF AMERICA A	0.00	0.37	0.00	0.37	0.0	0.33
04/20/2016	BATIO, JESSICA	AM FUNDS INCOME FUND OF AMERICA A	0.00	0.41	0.00	0.41	0.0	0.37
05/16/2016	BATIO, JESSICA	AM FUNDS INCOME FUND OF AMERICA A	0.00	0.41	0.00	0.41	0.0	0.37
06/15/2016	BATIO, JESSICA	AM FUNDS INCOME FUND OF AMERICA A	0.00	0.42	0.00	0.42	0.0	0.38
07/18/2016	BATIO, JESSICA	AM FUNDS INCOME FUND OF AMERICA A	0.00	0.42	0.00	0.42	0.0	0.38
08/15/2016	BATIO, JESSICA	AM FUNDS INCOME FUND OF AMERICA A	0.00	0.44	0.00	0.44	0.0	0.40
09/16/2016	BATIO, JESSICA	AM FUNDS INCOME FUND OF AMERICA A	0.00	0.42	0.00	0.42	0.0	0.38
10/17/2016	BATIO, JESSICA	AM FUNDS INCOME FUND OF AMERICA A	0.00	0.33	0.00	0.33	0.0	0.30

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<u> OVERRIDE TRANSACTIONS </u>								
BROKER: R122-RICHARD/MARK RODRIGUEZ/HUBER #90								
11/18/2016	BATIO, JESSICA	AM FUNDS INCOME FUND OF AMERICA A	0.00	0.34	0.00	0.34	0.0	0.31
12/15/2016	BATIO, JESSICA	AM FUNDS INCOME FUND OF AMERICA A	0.00	0.32	0.00	0.32	0.0	0.29
02/22/2016	WOLF, XANDER	AMERICAN CENTURY REAL ESTATE FUND C	0.00	0.46	0.00	0.46	0.0	0.41
02/22/2016	WOLF, AADRA	AMERICAN CENTURY REAL ESTATE FUND C	0.00	0.46	0.00	0.46	0.0	0.41
03/16/2016	WOLF, XANDER	AMERICAN CENTURY REAL ESTATE FUND C	0.00	0.41	0.00	0.41	0.0	0.37
03/16/2016	WOLF, AADRA	AMERICAN CENTURY REAL ESTATE FUND C	0.00	0.41	0.00	0.41	0.0	0.37
04/21/2016	WOLF, XANDER	AMERICAN CENTURY REAL ESTATE FUND C	0.00	0.48	0.00	0.48	0.0	0.43
04/21/2016	WOLF, AADRA	AMERICAN CENTURY REAL ESTATE FUND C	0.00	0.48	0.00	0.48	0.0	0.43
05/24/2016	WOLF, XANDER	AMERICAN CENTURY REAL ESTATE FUND C	0.00	0.47	0.00	0.47	0.0	0.42
05/24/2016	WOLF, AADRA	AMERICAN CENTURY REAL ESTATE FUND C	0.00	0.47	0.00	0.47	0.0	0.42
06/10/2016	WOLF, XANDER	AMERICAN CENTURY REAL ESTATE FUND C	0.00	0.49	0.00	0.49	0.0	0.44
06/10/2016	WOLF, AADRA	AMERICAN CENTURY REAL ESTATE FUND C	0.00	0.49	0.00	0.49	0.0	0.44
07/14/2016	WOLF, XANDER	AMERICAN CENTURY REAL ESTATE FUND C	0.00	0.49	0.00	0.49	0.0	0.44
07/14/2016	WOLF, AADRA	AMERICAN CENTURY REAL ESTATE FUND C	0.00	0.49	0.00	0.49	0.0	0.44
08/19/2016	WOLF, XANDER	AMERICAN CENTURY REAL ESTATE FUND C	0.00	0.54	0.00	0.54	0.0	0.49
08/19/2016	WOLF, AADRA	AMERICAN CENTURY REAL ESTATE FUND C	0.00	0.54	0.00	0.54	0.0	0.49
09/19/2016	WOLF, XANDER	AMERICAN CENTURY REAL ESTATE FUND C	0.00	0.53	0.00	0.53	0.0	0.48
09/19/2016	WOLF, AADRA	AMERICAN CENTURY REAL ESTATE FUND C	0.00	0.53	0.00	0.53	0.0	0.48
10/20/2016	WOLF, XANDER	AMERICAN CENTURY REAL ESTATE FUND C	0.00	0.50	0.00	0.50	0.0	0.45
10/20/2016	WOLF, AADRA	AMERICAN CENTURY REAL ESTATE FUND C	0.00	0.50	0.00	0.50	0.0	0.45
11/18/2016	WOLF, XANDER	AMERICAN CENTURY REAL ESTATE FUND C	0.00	0.50	0.00	0.50	0.0	0.45
11/18/2016	WOLF, AADRA	AMERICAN CENTURY REAL ESTATE FUND C	0.00	0.50	0.00	0.50	0.0	0.45
12/19/2016	WOLF, XANDER	AMERICAN CENTURY REAL ESTATE FUND C	0.00	0.46	0.00	0.46	0.0	0.41
12/19/2016	WOLF, AADRA	AMERICAN CENTURY REAL ESTATE FUND C	0.00	0.46	0.00	0.46	0.0	0.41
02/26/2016	WOLF, XANDER	BLACKROCK LARGE CAP GROWTH FUND CLA	0.00	0.87	0.00	0.87	0.0	0.78
02/26/2016	WOLF, AADRA	BLACKROCK LARGE CAP GROWTH FUND CLA	0.00	0.98	0.00	0.98	0.0	0.88
03/23/2016	WOLF, XANDER	BLACKROCK LARGE CAP GROWTH FUND CLA	0.00	0.79	0.00	0.79	0.0	0.71
03/23/2016	WOLF, AADRA	BLACKROCK LARGE CAP GROWTH FUND CLA	0.00	0.89	0.00	0.89	0.0	0.80
04/27/2016	WOLF, XANDER	BLACKROCK LARGE CAP GROWTH FUND CLA	0.00	0.90	0.00	0.90	0.0	0.81
04/27/2016	WOLF, AADRA	BLACKROCK LARGE CAP GROWTH FUND CLA	0.00	1.02	0.00	1.02	0.0	0.92
05/31/2016	WOLF, XANDER	BLACKROCK LARGE CAP GROWTH FUND CLA	0.00	0.89	0.00	0.89	0.0	0.80
05/31/2016	WOLF, AADRA	BLACKROCK LARGE CAP GROWTH FUND CLA	0.00	1.01	0.00	1.01	0.0	0.91
06/27/2016	WOLF, XANDER	BLACKROCK LARGE CAP GROWTH FUND CLA	0.00	0.91	0.00	0.91	0.0	0.82

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<u> OVERRIDE TRANSACTIONS </u>								
BROKER: R122-RICHARD/MARK RODRIGUEZ/HUBER #90								
06/27/2016	WOLF, AADRA	BLACKROCK LARGE CAP GROWTH FUND CLA	0.00	1.02	0.00	1.02	0.0	0.92
07/29/2016	WOLF, XANDER	BLACKROCK LARGE CAP GROWTH FUND CLA	0.00	0.88	0.00	0.88	0.0	0.79
07/29/2016	WOLF, AADRA	BLACKROCK LARGE CAP GROWTH FUND CLA	0.00	0.99	0.00	0.99	0.0	0.89
08/30/2016	WOLF, XANDER	BLACKROCK LARGE CAP GROWTH FUND CLA	0.00	0.94	0.00	0.94	0.0	0.85
08/30/2016	WOLF, AADRA	BLACKROCK LARGE CAP GROWTH FUND CLA	0.00	1.06	0.00	1.06	0.0	0.95
09/29/2016	WOLF, XANDER	BLACKROCK LARGE CAP GROWTH FUND CLA	0.00	0.96	0.00	0.96	0.0	0.86
09/29/2016	WOLF, AADRA	BLACKROCK LARGE CAP GROWTH FUND CLA	0.00	1.08	0.00	1.08	0.0	0.97
10/27/2016	WOLF, XANDER	BLACKROCK LARGE CAP GROWTH FUND CLA	0.00	0.92	0.00	0.92	0.0	0.83
10/27/2016	WOLF, AADRA	BLACKROCK LARGE CAP GROWTH FUND CLA	0.00	1.04	0.00	1.04	0.0	0.94
11/28/2016	WOLF, XANDER	BLACKROCK LARGE CAP GROWTH FUND CLA	0.00	0.95	0.00	0.95	0.0	0.86
11/28/2016	WOLF, AADRA	BLACKROCK LARGE CAP GROWTH FUND CLA	0.00	1.07	0.00	1.07	0.0	0.96
12/21/2016	WOLF, XANDER	BLACKROCK LARGE CAP GROWTH FUND CLA	0.00	0.93	0.00	0.93	0.0	0.84
12/21/2016	WOLF, AADRA	BLACKROCK LARGE CAP GROWTH FUND CLA	0.00	1.04	0.00	1.04	0.0	0.94
02/26/2016	WOLF, XANDER	BLK HEALTH SCIENCES A	0.00	0.75	0.00	0.75	0.0	0.68
02/26/2016	WOLF, AADRA	BLK HEALTH SCIENCES A	0.00	0.75	0.00	0.75	0.0	0.68
03/23/2016	WOLF, XANDER	BLK HEALTH SCIENCES A	0.00	0.66	0.00	0.66	0.0	0.59
03/23/2016	WOLF, AADRA	BLK HEALTH SCIENCES A	0.00	0.66	0.00	0.66	0.0	0.59
04/27/2016	WOLF, XANDER	BLK HEALTH SCIENCES A	0.00	0.72	0.00	0.72	0.0	0.65
04/27/2016	WOLF, AADRA	BLK HEALTH SCIENCES A	0.00	0.72	0.00	0.72	0.0	0.65
05/31/2016	WOLF, XANDER	BLK HEALTH SCIENCES A	0.00	0.73	0.00	0.73	0.0	0.66
05/31/2016	WOLF, AADRA	BLK HEALTH SCIENCES A	0.00	0.73	0.00	0.73	0.0	0.66
06/27/2016	WOLF, XANDER	BLK HEALTH SCIENCES A	0.00	0.76	0.00	0.76	0.0	0.68
06/27/2016	WOLF, AADRA	BLK HEALTH SCIENCES A	0.00	0.76	0.00	0.76	0.0	0.68
07/29/2016	WOLF, XANDER	BLK HEALTH SCIENCES A	0.00	0.75	0.00	0.75	0.0	0.68
07/29/2016	WOLF, AADRA	BLK HEALTH SCIENCES A	0.00	0.75	0.00	0.75	0.0	0.68
08/30/2016	WOLF, XANDER	BLK HEALTH SCIENCES A	0.00	0.80	0.00	0.80	0.0	0.72
08/30/2016	WOLF, AADRA	BLK HEALTH SCIENCES A	0.00	0.80	0.00	0.80	0.0	0.72
09/29/2016	WOLF, XANDER	BLK HEALTH SCIENCES A	0.00	0.81	0.00	0.81	0.0	0.73
09/29/2016	WOLF, AADRA	BLK HEALTH SCIENCES A	0.00	0.81	0.00	0.81	0.0	0.73
10/27/2016	WOLF, XANDER	BLK HEALTH SCIENCES A	0.00	0.78	0.00	0.78	0.0	0.70
10/27/2016	WOLF, AADRA	BLK HEALTH SCIENCES A	0.00	0.78	0.00	0.78	0.0	0.70
11/28/2016	WOLF, XANDER	BLK HEALTH SCIENCES A	0.00	0.78	0.00	0.78	0.0	0.70
11/28/2016	WOLF, AADRA	BLK HEALTH SCIENCES A	0.00	0.78	0.00	0.78	0.0	0.70

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u> OVERRIDE TRANSACTIONS </u>								
<u> BROKER: R122-RICHARD/MARK RODRIGUEZ/HUBER #90 </u>								
12/21/2016	WOLF, XANDER	BLK HEALTH SCIENCES A	0.00	0.74	0.00	0.74	0.0	0.67
12/21/2016	WOLF, AADRA	BLK HEALTH SCIENCES A	0.00	0.74	0.00	0.74	0.0	0.67
02/08/2016	PALIS, NANCY	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	62.97	0.00	62.97	0.0	56.67
02/08/2016	FERN, SARAH	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	4.79	0.00	4.79	0.0	4.31
02/08/2016	UKRAINIAN CHURCH, ST ANDREWS	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	14.47	0.00	14.47	0.0	13.02
02/08/2016	UKRAINIAN CHURCH, ST ANDREWS	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	20.87	0.00	20.87	0.0	18.78
02/08/2016	TRIPP, MAXX	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	5.39	0.00	5.39	0.0	4.85
02/08/2016	TRIPP, MAXX	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	9.17	0.00	9.17	0.0	8.25
02/08/2016	TRIPP, ABBY	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	10.26	0.00	10.26	0.0	9.23
02/08/2016	TRIPP, ABBY	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	3.88	0.00	3.88	0.0	3.49
02/08/2016	BATIO, KAREN	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	3.26	0.00	3.26	0.0	2.93
02/08/2016	WOLF, XANDER	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	3.58	0.00	3.58	0.0	3.22
02/08/2016	WOLF, AADRA	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	3.58	0.00	3.58	0.0	3.22
03/18/2016	PALIS, NANCY	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	67.08	0.00	67.08	0.0	60.37
03/18/2016	FERN, SARAH	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	5.11	0.00	5.11	0.0	4.60
03/18/2016	UKRAINIAN CHURCH, ST ANDREWS	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	15.42	0.00	15.42	0.0	13.88
03/18/2016	UKRAINIAN CHURCH, ST ANDREWS	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	22.24	0.00	22.24	0.0	20.02
03/18/2016	TRIPP, MAXX	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	5.74	0.00	5.74	0.0	5.17
03/18/2016	TRIPP, MAXX	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	9.77	0.00	9.77	0.0	8.79
03/18/2016	TRIPP, ABBY	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	10.93	0.00	10.93	0.0	9.84
03/18/2016	TRIPP, ABBY	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	4.14	0.00	4.14	0.0	3.73
03/18/2016	BATIO, KAREN	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	3.47	0.00	3.47	0.0	3.12
03/18/2016	WOLF, XANDER	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	3.81	0.00	3.81	0.0	3.43
03/18/2016	WOLF, AADRA	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	3.81	0.00	3.81	0.0	3.43
04/14/2016	PALIS, NANCY	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	67.60	0.00	67.60	0.0	60.84
04/14/2016	FERN, SARAH	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	5.15	0.00	5.15	0.0	4.64
04/14/2016	UKRAINIAN CHURCH, ST ANDREWS	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	15.54	0.00	15.54	0.0	13.99
04/14/2016	UKRAINIAN CHURCH, ST ANDREWS	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	22.41	0.00	22.41	0.0	20.17
04/14/2016	TRIPP, MAXX	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	5.79	0.00	5.79	0.0	5.21
04/14/2016	TRIPP, MAXX	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	9.84	0.00	9.84	0.0	8.86
04/14/2016	TRIPP, ABBY	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	11.01	0.00	11.01	0.0	9.91
04/14/2016	TRIPP, ABBY	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	4.17	0.00	4.17	0.0	3.75
04/14/2016	BATIO, KAREN	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	3.50	0.00	3.50	0.0	3.15

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<u>VERRIDE TRANSACTIONS</u>								
BROKER: R122-RICHARD/MARK RODRIGUEZ/HUBER #90								
04/14/2016	WOLF, XANDER	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	3.84	0.00	3.84	0.0	3.46
04/14/2016	WOLF, AADRA	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	3.84	0.00	3.84	0.0	3.46
05/19/2016	PALIS, NANCY	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	63.62	0.00	63.62	0.0	57.26
05/19/2016	FERN, SARAH	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	4.84	0.00	4.84	0.0	4.36
05/19/2016	UKRAINIAN CHURCH, ST ANDREWS	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	14.62	0.00	14.62	0.0	13.16
05/19/2016	UKRAINIAN CHURCH, ST ANDREWS	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	21.09	0.00	21.09	0.0	18.98
05/19/2016	TRIPP, MAXX	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	5.44	0.00	5.44	0.0	4.90
05/19/2016	TRIPP, MAXX	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	9.26	0.00	9.26	0.0	8.33
05/19/2016	TRIPP, ABBY	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	10.36	0.00	10.36	0.0	9.32
05/19/2016	TRIPP, ABBY	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	3.92	0.00	3.92	0.0	3.53
05/19/2016	BATIO, KAREN	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	3.29	0.00	3.29	0.0	2.96
05/19/2016	WOLF, XANDER	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	3.61	0.00	3.61	0.0	3.25
05/19/2016	WOLF, AADRA	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	3.61	0.00	3.61	0.0	3.25
06/23/2016	PALIS, NANCY	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	70.71	0.00	70.71	0.0	63.64
06/23/2016	FERN, SARAH	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	5.38	0.00	5.38	0.0	4.84
06/23/2016	UKRAINIAN CHURCH, ST ANDREWS	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	16.25	0.00	16.25	0.0	14.63
06/23/2016	UKRAINIAN CHURCH, ST ANDREWS	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	23.44	0.00	23.44	0.0	21.10
06/23/2016	TRIPP, MAXX	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	6.05	0.00	6.05	0.0	5.45
06/23/2016	TRIPP, MAXX	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	10.29	0.00	10.29	0.0	9.26
06/23/2016	TRIPP, ABBY	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	11.52	0.00	11.52	0.0	10.37
06/23/2016	TRIPP, ABBY	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	4.36	0.00	4.36	0.0	3.92
06/23/2016	BATIO, KAREN	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	3.66	0.00	3.66	0.0	3.29
06/23/2016	WOLF, XANDER	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	4.02	0.00	4.02	0.0	3.62
06/23/2016	WOLF, AADRA	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	4.02	0.00	4.02	0.0	3.62
07/11/2016	PALIS, NANCY	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	66.66	0.00	66.66	0.0	59.99
07/11/2016	FERN, SARAH	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	5.07	0.00	5.07	0.0	4.56
07/11/2016	UKRAINIAN CHURCH, ST ANDREWS	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	15.32	0.00	15.32	0.0	13.79
07/11/2016	UKRAINIAN CHURCH, ST ANDREWS	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	22.10	0.00	22.10	0.0	19.89
07/11/2016	TRIPP, MAXX	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	5.71	0.00	5.71	0.0	5.14
07/11/2016	TRIPP, MAXX	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	9.71	0.00	9.71	0.0	8.74
07/11/2016	TRIPP, ABBY	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	10.86	0.00	10.86	0.0	9.77
07/11/2016	TRIPP, ABBY	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	4.11	0.00	4.11	0.0	3.70
07/11/2016	BATIO, KAREN	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	3.45	0.00	3.45	0.0	3.11

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<u> OVERRIDE TRANSACTIONS </u>								
<u> BROKER: R122-RICHARD/MARK RODRIGUEZ/HUBER #90 </u>								
07/11/2016	WOLF, XANDER	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	3.79	0.00	3.79	0.0	3.41
07/11/2016	WOLF, AADRA	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	3.79	0.00	3.79	0.0	3.41
08/15/2016	PALIS, NANCY	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	69.48	0.00	69.48	0.0	62.53
08/15/2016	FERN, SARAH	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	5.29	0.00	5.29	0.0	4.76
08/15/2016	UKRAINIAN CHURCH, ST ANDREWS	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	15.97	0.00	15.97	0.0	14.37
08/15/2016	UKRAINIAN CHURCH, ST ANDREWS	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	23.03	0.00	23.03	0.0	20.73
08/15/2016	TRIPP, MAXX	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	5.95	0.00	5.95	0.0	5.36
08/15/2016	TRIPP, MAXX	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	10.12	0.00	10.12	0.0	9.11
08/15/2016	TRIPP, ABBY	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	11.32	0.00	11.32	0.0	10.19
08/15/2016	TRIPP, ABBY	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	4.29	0.00	4.29	0.0	3.86
08/15/2016	BATIO, KAREN	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	3.60	0.00	3.60	0.0	3.24
08/15/2016	WOLF, XANDER	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	3.95	0.00	3.95	0.0	3.56
08/15/2016	WOLF, AADRA	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	3.95	0.00	3.95	0.0	3.56
09/12/2016	PALIS, NANCY	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	69.64	0.00	69.64	0.0	62.68
09/12/2016	FERN, SARAH	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	5.30	0.00	5.30	0.0	4.77
09/12/2016	UKRAINIAN CHURCH, ST ANDREWS	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	16.01	0.00	16.01	0.0	14.41
09/12/2016	UKRAINIAN CHURCH, ST ANDREWS	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	23.08	0.00	23.08	0.0	20.77
09/12/2016	TRIPP, MAXX	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	5.96	0.00	5.96	0.0	5.36
09/12/2016	TRIPP, MAXX	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	10.14	0.00	10.14	0.0	9.13
09/12/2016	TRIPP, ABBY	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	11.35	0.00	11.35	0.0	10.22
09/12/2016	TRIPP, ABBY	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	4.30	0.00	4.30	0.0	3.87
09/12/2016	BATIO, KAREN	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	3.60	0.00	3.60	0.0	3.24
09/12/2016	WOLF, XANDER	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	3.96	0.00	3.96	0.0	3.56
09/12/2016	WOLF, AADRA	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	3.96	0.00	3.96	0.0	3.56
10/14/2016	PALIS, NANCY	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	67.49	0.00	67.49	0.0	60.74
10/14/2016	FERN, SARAH	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	5.14	0.00	5.14	0.0	4.63
10/14/2016	UKRAINIAN CHURCH, ST ANDREWS	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	15.51	0.00	15.51	0.0	13.96
10/14/2016	UKRAINIAN CHURCH, ST ANDREWS	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	22.37	0.00	22.37	0.0	20.13
10/14/2016	TRIPP, MAXX	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	5.78	0.00	5.78	0.0	5.20
10/14/2016	TRIPP, MAXX	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	9.83	0.00	9.83	0.0	8.85
10/14/2016	TRIPP, ABBY	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	11.00	0.00	11.00	0.0	9.90
10/14/2016	TRIPP, ABBY	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	4.16	0.00	4.16	0.0	3.74
10/14/2016	BATIO, KAREN	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	3.49	0.00	3.49	0.0	3.14

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<u>VERRIDE TRANSACTIONS</u>								
<u>BROKER: R122-RICHARD/MARK RODRIGUEZ/HUBER #90</u>								
10/14/2016	WOLF, XANDER	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	3.83	0.00	3.83	0.0	3.45
10/14/2016	WOLF, AADRA	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	3.83	0.00	3.83	0.0	3.45
11/17/2016	PALIS, NANCY	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	70.05	0.00	70.05	0.0	63.05
11/17/2016	FERN, SARAH	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	5.33	0.00	5.33	0.0	4.80
11/17/2016	UKRAINIAN CHURCH, ST ANDREWS	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	16.10	0.00	16.10	0.0	14.49
11/17/2016	UKRAINIAN CHURCH, ST ANDREWS	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	23.22	0.00	23.22	0.0	20.90
11/17/2016	TRIPP, MAXX	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	6.00	0.00	6.00	0.0	5.40
11/17/2016	TRIPP, MAXX	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	10.20	0.00	10.20	0.0	9.18
11/17/2016	TRIPP, ABBY	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	11.41	0.00	11.41	0.0	10.27
11/17/2016	TRIPP, ABBY	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	4.32	0.00	4.32	0.0	3.89
11/17/2016	BATIO, KAREN	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	3.62	0.00	3.62	0.0	3.26
11/17/2016	WOLF, XANDER	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	3.98	0.00	3.98	0.0	3.58
11/17/2016	WOLF, AADRA	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	3.98	0.00	3.98	0.0	3.58
12/12/2016	PALIS, NANCY	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	68.28	0.00	68.28	0.0	61.45
12/12/2016	FERN, SARAH	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	5.20	0.00	5.20	0.0	4.68
12/12/2016	UKRAINIAN CHURCH, ST ANDREWS	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	15.69	0.00	15.69	0.0	14.12
12/12/2016	UKRAINIAN CHURCH, ST ANDREWS	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	22.63	0.00	22.63	0.0	20.37
12/12/2016	TRIPP, MAXX	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	5.84	0.00	5.84	0.0	5.26
12/12/2016	TRIPP, MAXX	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	9.94	0.00	9.94	0.0	8.95
12/12/2016	TRIPP, ABBY	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	11.12	0.00	11.12	0.0	10.01
12/12/2016	TRIPP, ABBY	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	0.98	0.00	0.98	0.0	0.88
12/12/2016	BATIO, KAREN	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	3.53	0.00	3.53	0.0	3.18
12/12/2016	WOLF, XANDER	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	3.88	0.00	3.88	0.0	3.49
12/12/2016	WOLF, AADRA	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	3.88	0.00	3.88	0.0	3.49
04/22/2016	UDCHIK, DAVID	GRIFFIN INSTITUTIONAL ACCESS REAL E	0.00	7.39	0.00	7.39	0.0	6.65
08/01/2016	UDCHIK, DAVID	GRIFFIN INSTITUTIONAL ACCESS REAL E	0.00	7.58	0.00	7.58	0.0	6.82
10/17/2016	UDCHIK, DAVID	GRIFFIN INSTITUTIONAL ACCESS REAL E	0.00	7.82	0.00	7.82	0.0	7.04
04/15/2016	WOLF, XANDER	IVY SCIENCE AND TECHNOLOGY FUND A	0.00	1.26	0.00	1.26	0.0	1.13
04/15/2016	WOLF, AADRA	IVY SCIENCE AND TECHNOLOGY FUND A	0.00	1.26	0.00	1.26	0.0	1.13
07/13/2016	WOLF, XANDER	IVY SCIENCE AND TECHNOLOGY FUND A	0.00	1.31	0.00	1.31	0.0	1.18
07/13/2016	WOLF, AADRA	IVY SCIENCE AND TECHNOLOGY FUND A	0.00	1.31	0.00	1.31	0.0	1.18
10/14/2016	WOLF, XANDER	IVY SCIENCE AND TECHNOLOGY FUND A	0.00	1.40	0.00	1.40	0.0	1.26
10/14/2016	WOLF, AADRA	IVY SCIENCE AND TECHNOLOGY FUND A	0.00	1.40	0.00	1.40	0.0	1.26

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>VERRIDE TRANSACTIONS</u>								
BROKER: R122-RICHARD/MARK RODRIGUEZ/HUBER #90								
02/19/2016	VAUGHN, MEREDITH	JP MORGAN INVESTOR GROWTH FUND CLAS	0.00	2.27	0.00	2.27	0.0	2.04
02/19/2016	VAUGHN, MEREDITH	JP MORGAN INVESTOR GROWTH FUND CLAS	0.00	9.05	0.00	9.05	0.0	8.15
03/17/2016	VAUGHN, MEREDITH	JP MORGAN INVESTOR GROWTH FUND CLAS	0.00	2.08	0.00	2.08	0.0	1.87
03/17/2016	VAUGHN, MEREDITH	JP MORGAN INVESTOR GROWTH FUND CLAS	0.00	8.27	0.00	8.27	0.0	7.44
04/25/2016	VAUGHN, MEREDITH	JP MORGAN INVESTOR GROWTH FUND CLAS	0.00	2.37	0.00	2.37	0.0	2.13
04/25/2016	VAUGHN, MEREDITH	JP MORGAN INVESTOR GROWTH FUND CLAS	0.00	9.42	0.00	9.42	0.0	8.48
05/16/2016	VAUGHN, MEREDITH	JP MORGAN INVESTOR GROWTH FUND CLAS	0.00	2.35	0.00	2.35	0.0	2.12
05/16/2016	VAUGHN, MEREDITH	JP MORGAN INVESTOR GROWTH FUND CLAS	0.00	9.36	0.00	9.36	0.0	8.42
06/20/2016	VAUGHN, MEREDITH	JP MORGAN INVESTOR GROWTH FUND CLAS	0.00	2.41	0.00	2.41	0.0	2.17
06/20/2016	VAUGHN, MEREDITH	JP MORGAN INVESTOR GROWTH FUND CLAS	0.00	9.60	0.00	9.60	0.0	8.64
07/25/2016	VAUGHN, MEREDITH	JP MORGAN INVESTOR GROWTH FUND CLAS	0.00	2.34	0.00	2.34	0.0	2.11
07/25/2016	VAUGHN, MEREDITH	JP MORGAN INVESTOR GROWTH FUND CLAS	0.00	9.33	0.00	9.33	0.0	8.40
08/15/2016	VAUGHN, MEREDITH	JP MORGAN INVESTOR GROWTH FUND CLAS	0.00	2.47	0.00	2.47	0.0	2.22
08/15/2016	VAUGHN, MEREDITH	JP MORGAN INVESTOR GROWTH FUND CLAS	0.00	9.85	0.00	9.85	0.0	8.87
09/15/2016	VAUGHN, MEREDITH	JP MORGAN INVESTOR GROWTH FUND CLAS	0.00	2.53	0.00	2.53	0.0	2.28
09/15/2016	VAUGHN, MEREDITH	JP MORGAN INVESTOR GROWTH FUND CLAS	0.00	10.06	0.00	10.06	0.0	9.05
10/14/2016	VAUGHN, MEREDITH	JP MORGAN INVESTOR GROWTH FUND CLAS	0.00	2.44	0.00	2.44	0.0	2.20
10/14/2016	VAUGHN, MEREDITH	JP MORGAN INVESTOR GROWTH FUND CLAS	0.00	9.72	0.00	9.72	0.0	8.75
11/21/2016	VAUGHN, MEREDITH	JP MORGAN INVESTOR GROWTH FUND CLAS	0.00	2.52	0.00	2.52	0.0	2.27
11/21/2016	VAUGHN, MEREDITH	JP MORGAN INVESTOR GROWTH FUND CLAS	0.00	10.03	0.00	10.03	0.0	9.03
12/16/2016	VAUGHN, MEREDITH	JP MORGAN INVESTOR GROWTH FUND CLAS	0.00	2.47	0.00	2.47	0.0	2.22
12/16/2016	VAUGHN, MEREDITH	JP MORGAN INVESTOR GROWTH FUND CLAS	0.00	9.82	0.00	9.82	0.0	8.84
02/07/2018	ARCIUCH, ARTUR	MFS EMERGING MARKETS EQUITY A	1,100.00	19.25	0.00	19.25	0.0	17.33
02/07/2018	ARCIUCH, ARTUR	MFS EMERGING MARKETS EQUITY A	240.00	4.20	0.00	4.20	0.0	3.78
02/08/2016	BRAUCHLA, KELLY	MFS LIFETIME 2030 FUND A	0.00	1.05	0.00	1.05	0.0	0.95
02/08/2016	BRAUCHLA, KELLY	MFS LIFETIME 2030 FUND A	0.00	1.07	0.00	1.07	0.0	0.96
03/14/2016	BRAUCHLA, KELLY	MFS LIFETIME 2030 FUND A	0.00	0.97	0.00	0.97	0.0	0.87
03/14/2016	BRAUCHLA, KELLY	MFS LIFETIME 2030 FUND A	0.00	0.99	0.00	0.99	0.0	0.89
04/15/2016	BRAUCHLA, KELLY	MFS LIFETIME 2030 FUND A	0.00	1.10	0.00	1.10	0.0	0.99
04/15/2016	BRAUCHLA, KELLY	MFS LIFETIME 2030 FUND A	0.00	1.12	0.00	1.12	0.0	1.01
05/17/2016	BRAUCHLA, KELLY	MFS LIFETIME 2030 FUND A	0.00	1.09	0.00	1.09	0.0	0.98
05/17/2016	BRAUCHLA, KELLY	MFS LIFETIME 2030 FUND A	0.00	1.11	0.00	1.11	0.0	1.00
06/16/2016	BRAUCHLA, KELLY	MFS LIFETIME 2030 FUND A	0.00	1.13	0.00	1.13	0.0	1.02

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<u> OVERRIDE TRANSACTIONS </u>								
<u> BROKER: R122-RICHARD/MARK RODRIGUEZ/HUBER #90 </u>								
06/16/2016	BRAUCHLA, KELLY	MFS LIFETIME 2030 FUND A	0.00	1.15	0.00	1.15	0.0	1.04
07/20/2016	BRAUCHLA, KELLY	MFS LIFETIME 2030 FUND A	0.00	1.11	0.00	1.11	0.0	1.00
07/20/2016	BRAUCHLA, KELLY	MFS LIFETIME 2030 FUND A	0.00	1.13	0.00	1.13	0.0	1.02
08/16/2016	BRAUCHLA, KELLY	MFS LIFETIME 2030 FUND A	0.00	1.17	0.00	1.17	0.0	1.05
08/16/2016	BRAUCHLA, KELLY	MFS LIFETIME 2030 FUND A	0.00	1.19	0.00	1.19	0.0	1.07
09/15/2016	BRAUCHLA, KELLY	MFS LIFETIME 2030 FUND A	0.00	1.19	0.00	1.19	0.0	1.07
09/15/2016	BRAUCHLA, KELLY	MFS LIFETIME 2030 FUND A	0.00	1.21	0.00	1.21	0.0	1.09
10/20/2016	BRAUCHLA, KELLY	MFS LIFETIME 2030 FUND A	0.00	1.15	0.00	1.15	0.0	1.04
10/20/2016	BRAUCHLA, KELLY	MFS LIFETIME 2030 FUND A	0.00	1.17	0.00	1.17	0.0	1.05
11/14/2016	BRAUCHLA, KELLY	MFS LIFETIME 2030 FUND A	0.00	1.18	0.00	1.18	0.0	1.06
11/14/2016	BRAUCHLA, KELLY	MFS LIFETIME 2030 FUND A	0.00	1.20	0.00	1.20	0.0	1.08
12/19/2016	BRAUCHLA, KELLY	MFS LIFETIME 2030 FUND A	0.00	1.13	0.00	1.13	0.0	1.02
12/19/2016	BRAUCHLA, KELLY	MFS LIFETIME 2030 FUND A	0.00	1.15	0.00	1.15	0.0	1.04
02/22/2016	PALIS, NANCY	PAC LIFE PORT OPTIMIZATION AGG	0.00	4.26	0.00	4.26	0.0	3.83
03/18/2016	PALIS, NANCY	PAC LIFE PORT OPTIMIZATION AGG	0.00	3.89	0.00	3.89	0.0	3.50
04/20/2016	PALIS, NANCY	PAC LIFE PORT OPTIMIZATION AGG	0.00	4.44	0.00	4.44	0.0	4.00
05/24/2016	PALIS, NANCY	PAC LIFE PORT OPTIMIZATION AGG	0.00	4.41	0.00	4.41	0.0	3.97
06/16/2016	PALIS, NANCY	PAC LIFE PORT OPTIMIZATION AGG	0.00	4.54	0.00	4.54	0.0	4.09
07/19/2016	PALIS, NANCY	PAC LIFE PORT OPTIMIZATION AGG	0.00	4.41	0.00	4.41	0.0	3.97
08/18/2016	PALIS, NANCY	PAC LIFE PORT OPTIMIZATION AGG	0.00	4.66	0.00	4.66	0.0	4.19
09/22/2016	PALIS, NANCY	PAC LIFE PORT OPTIMIZATION AGG	0.00	4.77	0.00	4.77	0.0	4.29
10/20/2016	PALIS, NANCY	PAC LIFE PORT OPTIMIZATION AGG	0.00	4.60	0.00	4.60	0.0	4.14
11/25/2016	PALIS, NANCY	PAC LIFE PORT OPTIMIZATION AGG	0.00	4.74	0.00	4.74	0.0	4.27
12/21/2016	PALIS, NANCY	PAC LIFE PORT OPTIMIZATION AGG	0.00	4.60	0.00	4.60	0.0	4.14
02/11/2016	WOLF, XANDER	RYDEX TRANSPORTATION FUND CLASS A	0.00	0.40	0.00	0.40	0.0	0.36
02/11/2016	WOLF, AADRA	RYDEX TRANSPORTATION FUND CLASS A	0.00	0.40	0.00	0.40	0.0	0.36
03/11/2016	WOLF, XANDER	RYDEX TRANSPORTATION FUND CLASS A	0.00	0.37	0.00	0.37	0.0	0.33
03/11/2016	WOLF, AADRA	RYDEX TRANSPORTATION FUND CLASS A	0.00	0.37	0.00	0.37	0.0	0.33
04/29/2016	WOLF, XANDER	RYDEX TRANSPORTATION FUND CLASS A	0.00	0.44	0.00	0.44	0.0	0.40
04/29/2016	WOLF, AADRA	RYDEX TRANSPORTATION FUND CLASS A	0.00	0.44	0.00	0.44	0.0	0.40
05/10/2016	WOLF, XANDER	RYDEX TRANSPORTATION FUND CLASS A	0.00	0.43	0.00	0.43	0.0	0.39
05/10/2016	WOLF, AADRA	RYDEX TRANSPORTATION FUND CLASS A	0.00	0.43	0.00	0.43	0.0	0.39
06/15/2016	WOLF, XANDER	RYDEX TRANSPORTATION FUND CLASS A	0.00	0.43	0.00	0.43	0.0	0.39

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<u> OVERRIDE TRANSACTIONS </u>								
<u> BROKER: R122-RICHARD/MARK RODRIGUEZ/HUBER #90 </u>								
06/15/2016	WOLF, AADRA	RYDEX TRANSPORTATION FUND CLASS A	0.00	0.43	0.00	0.43	0.0	0.39
07/15/2016	WOLF, XANDER	RYDEX TRANSPORTATION FUND CLASS A	0.00	0.41	0.00	0.41	0.0	0.37
07/15/2016	WOLF, AADRA	RYDEX TRANSPORTATION FUND CLASS A	0.00	0.41	0.00	0.41	0.0	0.37
08/10/2016	WOLF, XANDER	RYDEX TRANSPORTATION FUND CLASS A	0.00	0.44	0.00	0.44	0.0	0.40
08/10/2016	WOLF, AADRA	RYDEX TRANSPORTATION FUND CLASS A	0.00	0.44	0.00	0.44	0.0	0.40
09/19/2016	WOLF, XANDER	RYDEX TRANSPORTATION FUND CLASS A	0.00	0.45	0.00	0.45	0.0	0.41
09/19/2016	WOLF, AADRA	RYDEX TRANSPORTATION FUND CLASS A	0.00	0.45	0.00	0.45	0.0	0.41
10/18/2016	WOLF, XANDER	RYDEX TRANSPORTATION FUND CLASS A	0.00	0.44	0.00	0.44	0.0	0.40
10/18/2016	WOLF, AADRA	RYDEX TRANSPORTATION FUND CLASS A	0.00	0.44	0.00	0.44	0.0	0.40
11/15/2016	WOLF, XANDER	RYDEX TRANSPORTATION FUND CLASS A	0.00	0.45	0.00	0.45	0.0	0.41
11/15/2016	WOLF, AADRA	RYDEX TRANSPORTATION FUND CLASS A	0.00	0.45	0.00	0.45	0.0	0.41
12/14/2016	WOLF, XANDER	RYDEX TRANSPORTATION FUND CLASS A	0.00	0.46	0.00	0.46	0.0	0.41
12/14/2016	WOLF, AADRA	RYDEX TRANSPORTATION FUND CLASS A	0.00	0.46	0.00	0.46	0.0	0.41
 * R122-RICHARD/MARK RODRIGUEZ/HUBER SUBTOTAL * 			\$1,340.00	\$2,122.49	\$0.00	\$2,122.49		\$1,910.42
<u> BROKER: WENDY GOODING #158 </u>								
02/19/2016	SCOTT, NATALIE	JP MORGAN INVESTOR GROWTH & INCOME	0.00	7.95	0.00	7.95	0.0	2.78
03/17/2016	SCOTT, NATALIE	JP MORGAN INVESTOR GROWTH & INCOME	0.00	7.29	0.00	7.29	0.0	2.55
04/25/2016	SCOTT, NATALIE	JP MORGAN INVESTOR GROWTH & INCOME	0.00	8.21	0.00	8.21	0.0	2.87
05/16/2016	SCOTT, NATALIE	JP MORGAN INVESTOR GROWTH & INCOME	0.00	8.13	0.00	8.13	0.0	2.85
06/20/2016	SCOTT, NATALIE	JP MORGAN INVESTOR GROWTH & INCOME	0.00	8.36	0.00	8.36	0.0	2.93
07/25/2016	SCOTT, NATALIE	JP MORGAN INVESTOR GROWTH & INCOME	0.00	8.13	0.00	8.13	0.0	2.85
08/15/2016	SCOTT, NATALIE	JP MORGAN INVESTOR GROWTH & INCOME	0.00	8.56	0.00	8.56	0.0	3.00
09/15/2016	SCOTT, NATALIE	JP MORGAN INVESTOR GROWTH & INCOME	0.00	8.71	0.00	8.71	0.0	3.05
10/14/2016	SCOTT, NATALIE	JP MORGAN INVESTOR GROWTH & INCOME	0.00	8.42	0.00	8.42	0.0	2.95
11/21/2016	SCOTT, NATALIE	JP MORGAN INVESTOR GROWTH & INCOME	0.00	8.69	0.00	8.69	0.0	3.04
12/16/2016	SCOTT, NATALIE	JP MORGAN INVESTOR GROWTH & INCOME	0.00	8.46	0.00	8.46	0.0	2.96
02/08/2016	BRAUCHLA, CLINTON	MFS LIFETIME 2030 FUND A	0.00	2.57	0.00	2.57	0.0	0.90
03/14/2016	BRAUCHLA, CLINTON	MFS LIFETIME 2030 FUND A	0.00	2.37	0.00	2.37	0.0	0.83
04/15/2016	BRAUCHLA, CLINTON	MFS LIFETIME 2030 FUND A	0.00	2.68	0.00	2.68	0.0	0.94
05/17/2016	BRAUCHLA, CLINTON	MFS LIFETIME 2030 FUND A	0.00	2.66	0.00	2.66	0.0	0.93
06/16/2016	BRAUCHLA, CLINTON	MFS LIFETIME 2030 FUND A	0.00	2.77	0.00	2.77	0.0	0.97
07/20/2016	BRAUCHLA, CLINTON	MFS LIFETIME 2030 FUND A	0.00	2.70	0.00	2.70	0.0	0.95
08/16/2016	BRAUCHLA, CLINTON	MFS LIFETIME 2030 FUND A	0.00	2.86	0.00	2.86	0.0	1.00

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u> OVERRIDE TRANSACTIONS </u>								
<u>BROKER: WENDY GOODING #158</u>								
09/15/2016	BRAUCHLA, CLINTON	MFS LIFETIME 2030 FUND A	0.00	2.91	0.00	2.91	0.0	1.02
10/20/2016	BRAUCHLA, CLINTON	MFS LIFETIME 2030 FUND A	0.00	2.81	0.00	2.81	0.0	0.98
11/14/2016	BRAUCHLA, CLINTON	MFS LIFETIME 2030 FUND A	0.00	2.89	0.00	2.89	0.0	1.01
12/19/2016	BRAUCHLA, CLINTON	MFS LIFETIME 2030 FUND A	0.00	2.77	0.00	2.77	0.0	0.97
* WENDY GOODING SUBTOTAL *			\$0.00	\$120.90	\$0.00	\$120.90		\$42.33
<u>BROKER: R133-MARK/DAVE HUBER/ZUPEK #269</u>								
02/16/2016	BATIO, COURTNEY	AM FUNDS AMERICAN BALANCED A	0.00	0.42	0.00	0.42	0.0	0.38
03/15/2016	BATIO, COURTNEY	AM FUNDS AMERICAN BALANCED A	0.00	0.39	0.00	0.39	0.0	0.35
04/20/2016	BATIO, COURTNEY	AM FUNDS AMERICAN BALANCED A	0.00	0.44	0.00	0.44	0.0	0.40
05/16/2016	BATIO, COURTNEY	AM FUNDS AMERICAN BALANCED A	0.00	0.43	0.00	0.43	0.0	0.39
06/15/2016	BATIO, COURTNEY	AM FUNDS AMERICAN BALANCED A	0.00	0.45	0.00	0.45	0.0	0.41
07/18/2016	BATIO, COURTNEY	AM FUNDS AMERICAN BALANCED A	0.00	0.44	0.00	0.44	0.0	0.40
08/15/2016	BATIO, COURTNEY	AM FUNDS AMERICAN BALANCED A	0.00	0.46	0.00	0.46	0.0	0.41
09/16/2016	BATIO, COURTNEY	AM FUNDS AMERICAN BALANCED A	0.00	0.47	0.00	0.47	0.0	0.42
10/17/2016	BATIO, COURTNEY	AM FUNDS AMERICAN BALANCED A	0.00	0.45	0.00	0.45	0.0	0.41
11/18/2016	BATIO, COURTNEY	AM FUNDS AMERICAN BALANCED A	0.00	0.46	0.00	0.46	0.0	0.41
12/15/2016	BATIO, COURTNEY	AM FUNDS AMERICAN BALANCED A	0.00	0.45	0.00	0.45	0.0	0.41
02/16/2016	BATIO, COURTNEY	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.34	0.00	0.34	0.0	0.31
03/15/2016	BATIO, COURTNEY	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.33	0.00	0.33	0.0	0.30
04/20/2016	BATIO, COURTNEY	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.36	0.00	0.36	0.0	0.32
05/16/2016	BATIO, COURTNEY	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.36	0.00	0.36	0.0	0.32
06/15/2016	BATIO, COURTNEY	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.37	0.00	0.37	0.0	0.33
07/18/2016	BATIO, COURTNEY	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.36	0.00	0.36	0.0	0.32
08/15/2016	BATIO, COURTNEY	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.39	0.00	0.39	0.0	0.35
09/16/2016	BATIO, COURTNEY	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.39	0.00	0.39	0.0	0.35
10/17/2016	BATIO, COURTNEY	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.37	0.00	0.37	0.0	0.33
11/18/2016	BATIO, COURTNEY	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.38	0.00	0.38	0.0	0.34
12/15/2016	BATIO, COURTNEY	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.36	0.00	0.36	0.0	0.32
02/16/2016	BATIO, COURTNEY	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	0.45	0.00	0.45	0.0	0.41
03/15/2016	BATIO, COURTNEY	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	0.41	0.00	0.41	0.0	0.37
04/20/2016	BATIO, COURTNEY	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	0.47	0.00	0.47	0.0	0.42
05/16/2016	BATIO, COURTNEY	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	0.47	0.00	0.47	0.0	0.42
06/15/2016	BATIO, COURTNEY	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	0.49	0.00	0.49	0.0	0.44

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<u> OVERRIDE TRANSACTIONS </u>								
<u> BROKER: R133-MARK/DAVE HUBER/ZUPEK #269 </u>								
07/18/2016	BATIO, COURTNEY	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	0.48	0.00	0.48	0.0	0.43
08/15/2016	BATIO, COURTNEY	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	0.51	0.00	0.51	0.0	0.46
09/16/2016	BATIO, COURTNEY	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	0.51	0.00	0.51	0.0	0.46
10/17/2016	BATIO, COURTNEY	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	0.49	0.00	0.49	0.0	0.44
11/18/2016	BATIO, COURTNEY	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	0.51	0.00	0.51	0.0	0.46
12/15/2016	BATIO, COURTNEY	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	0.50	0.00	0.50	0.0	0.45
02/16/2016	BATIO, COURTNEY	AM FUNDS ICA A	0.00	0.43	0.00	0.43	0.0	0.39
03/15/2016	BATIO, COURTNEY	AM FUNDS ICA A	0.00	0.40	0.00	0.40	0.0	0.36
04/20/2016	BATIO, COURTNEY	AM FUNDS ICA A	0.00	0.46	0.00	0.46	0.0	0.41
05/16/2016	BATIO, COURTNEY	AM FUNDS ICA A	0.00	0.46	0.00	0.46	0.0	0.41
06/15/2016	BATIO, COURTNEY	AM FUNDS ICA A	0.00	0.47	0.00	0.47	0.0	0.42
07/18/2016	BATIO, COURTNEY	AM FUNDS ICA A	0.00	0.46	0.00	0.46	0.0	0.41
08/15/2016	BATIO, COURTNEY	AM FUNDS ICA A	0.00	0.49	0.00	0.49	0.0	0.44
09/16/2016	BATIO, COURTNEY	AM FUNDS ICA A	0.00	0.50	0.00	0.50	0.0	0.45
10/17/2016	BATIO, COURTNEY	AM FUNDS ICA A	0.00	0.48	0.00	0.48	0.0	0.43
11/18/2016	BATIO, COURTNEY	AM FUNDS ICA A	0.00	0.50	0.00	0.50	0.0	0.45
12/15/2016	BATIO, COURTNEY	AM FUNDS ICA A	0.00	0.48	0.00	0.48	0.0	0.43
02/16/2016	BATIO, COURTNEY	AM FUNDS INCOME FUND OF AMERICA A	0.00	0.39	0.00	0.39	0.0	0.35
03/15/2016	BATIO, COURTNEY	AM FUNDS INCOME FUND OF AMERICA A	0.00	0.37	0.00	0.37	0.0	0.33
04/20/2016	BATIO, COURTNEY	AM FUNDS INCOME FUND OF AMERICA A	0.00	0.41	0.00	0.41	0.0	0.37
05/16/2016	BATIO, COURTNEY	AM FUNDS INCOME FUND OF AMERICA A	0.00	0.41	0.00	0.41	0.0	0.37
06/15/2016	BATIO, COURTNEY	AM FUNDS INCOME FUND OF AMERICA A	0.00	0.42	0.00	0.42	0.0	0.38
07/18/2016	BATIO, COURTNEY	AM FUNDS INCOME FUND OF AMERICA A	0.00	0.41	0.00	0.41	0.0	0.37
08/15/2016	BATIO, COURTNEY	AM FUNDS INCOME FUND OF AMERICA A	0.00	0.44	0.00	0.44	0.0	0.40
09/16/2016	BATIO, COURTNEY	AM FUNDS INCOME FUND OF AMERICA A	0.00	0.44	0.00	0.44	0.0	0.40
10/17/2016	BATIO, COURTNEY	AM FUNDS INCOME FUND OF AMERICA A	0.00	0.43	0.00	0.43	0.0	0.39
11/18/2016	BATIO, COURTNEY	AM FUNDS INCOME FUND OF AMERICA A	0.00	0.44	0.00	0.44	0.0	0.40
12/15/2016	BATIO, COURTNEY	AM FUNDS INCOME FUND OF AMERICA A	0.00	0.42	0.00	0.42	0.0	0.38
02/08/2016	SHAYKIN, STEVEN	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	10.92	0.00	10.92	0.0	9.83
03/18/2016	SHAYKIN, STEVEN	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	11.63	0.00	11.63	0.0	10.47
04/14/2016	SHAYKIN, STEVEN	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	11.72	0.00	11.72	0.0	10.55
05/19/2016	SHAYKIN, STEVEN	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	11.03	0.00	11.03	0.0	9.93
06/23/2016	SHAYKIN, STEVEN	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	12.26	0.00	12.26	0.0	11.03

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

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

DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>VERRIDE TRANSACTIONS</u>								
<u>BROKER: R133-MARK/DAVE HUBER/ZUPEK #269</u>								
07/11/2016	SHAYKIN, STEVEN	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	11.56	0.00	11.56	0.0	10.40
08/15/2016	SHAYKIN, STEVEN	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	12.05	0.00	12.05	0.0	10.85
09/12/2016	SHAYKIN, STEVEN	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	12.07	0.00	12.07	0.0	10.86
09/12/2016	HAMILTON, RANDALL	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	1.91	0.00	1.91	0.0	1.72
09/12/2016	HAMILTON, RANDALL	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	1.74	0.00	1.74	0.0	1.57
10/14/2016	SHAYKIN, STEVEN	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	11.70	0.00	11.70	0.0	10.53
10/14/2016	HAMILTON, RANDALL	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	2.13	0.00	2.13	0.0	1.92
10/14/2016	HAMILTON, RANDALL	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	1.94	0.00	1.94	0.0	1.75
11/17/2016	SHAYKIN, STEVEN	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	12.14	0.00	12.14	0.0	10.93
11/17/2016	HAMILTON, RANDALL	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	2.21	0.00	2.21	0.0	1.99
11/17/2016	HAMILTON, RANDALL	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	2.01	0.00	2.01	0.0	1.81
11/17/2016	WHEELER, THOMAS	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	1.58	0.00	1.58	0.0	1.42
11/17/2016	WHEELER, MARSHA	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	1.50	0.00	1.50	0.0	1.35
12/12/2016	SHAYKIN, STEVEN	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	11.84	0.00	11.84	0.0	10.66
12/12/2016	HAMILTON, RANDALL	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	2.15	0.00	2.15	0.0	1.94
12/12/2016	HAMILTON, RANDALL	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	1.96	0.00	1.96	0.0	1.76
12/12/2016	WHEELER, THOMAS	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	1.54	0.00	1.54	0.0	1.39
12/12/2016	WHEELER, MARSHA	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	1.46	0.00	1.46	0.0	1.31
02/07/2018	SKOWRON, ALEKSANDER	FS INVESTMENT CORP IV CLASS T	0.00	17.33	0.00	17.33	0.0	15.60
02/07/2018	GIBSON, PAMELA	FS INVESTMENT CORP IV CLASS T	0.00	32.49	0.00	32.49	0.0	29.24
02/19/2016	ELLIOTT, REBECCA	JP MORGAN INCOME BUILDER FUND CLASS	0.00	25.83	0.00	25.83	0.0	23.25
03/17/2016	ELLIOTT, REBECCA	JP MORGAN INCOME BUILDER FUND CLASS	0.00	23.78	0.00	23.78	0.0	21.40
04/25/2016	ELLIOTT, REBECCA	JP MORGAN INCOME BUILDER FUND CLASS	0.00	26.47	0.00	26.47	0.0	23.82
05/16/2016	ELLIOTT, REBECCA	JP MORGAN INCOME BUILDER FUND CLASS	0.00	26.09	0.00	26.09	0.0	23.48
06/20/2016	ELLIOTT, REBECCA	JP MORGAN INCOME BUILDER FUND CLASS	0.00	27.12	0.00	27.12	0.0	24.41
07/25/2016	ELLIOTT, REBECCA	JP MORGAN INCOME BUILDER FUND CLASS	0.00	26.36	0.00	26.36	0.0	23.72
08/15/2016	ELLIOTT, REBECCA	JP MORGAN INCOME BUILDER FUND CLASS	0.00	27.93	0.00	27.93	0.0	25.14
09/15/2016	ELLIOTT, REBECCA	JP MORGAN INCOME BUILDER FUND CLASS	0.00	28.31	0.00	28.31	0.0	25.48
10/14/2016	ELLIOTT, REBECCA	JP MORGAN INCOME BUILDER FUND CLASS	0.00	27.37	0.00	27.37	0.0	24.63
11/21/2016	ELLIOTT, REBECCA	JP MORGAN INCOME BUILDER FUND CLASS	0.00	28.29	0.00	28.29	0.0	25.46
12/16/2016	ELLIOTT, REBECCA	JP MORGAN INCOME BUILDER FUND CLASS	0.00	26.96	0.00	26.96	0.0	24.26
* R133-MARK/DAVE HUBER/ZUPEK SUBTOTAL *			\$0.00	\$519.25	\$0.00	\$519.25		\$467.34
*** OVERRIDE TRANSACTIONS TOTAL ***			\$8,255.19	\$2,929.03	\$0.00	\$2,929.03		\$2,569.92

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

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

BROKER COMMISSION TOTALS

Broker Transactions	\$1,711.38
Split Transactions	\$0.00
Override Transactions	\$2,569.92
Adjustments	\$0.00
Payroll Draw	\$0.00
Base Salary	\$0.00
Prior Period Balance	\$0.00
FINRA Assessment	\$0.00
SIPC Assessment	\$0.00

Check Amount	\$4,281.30
Year-to-date Gross	\$115,686.86
Year-to-date Earnings	\$122,689.74