



COMMISSION STATEMENT March 31, 2017

BRENT LEE
13423 Kings View Lane

Williston, ND 58801-

BROKER #: L137
BRANCH: TRUWEALTH FINANCIAL

| DATE | CLIENT | INVESTMENT | INVESTMENT AMOUNT | GROSS COMMISSION | CLEARING CHARGE | NET COMMISSION | RATE | BROKER COMMISSION |
|--|----------------|-------------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <u>BROKER TRANSACTIONS</u> | | | | | | | | |
| <u>PRODUCT CATEGORY: MUTUAL FUNDS</u> | | | | | | | | |
| 03/20/2017 | QUALE, MICHAEL | CAMBIAR INTERNATIONAL EQUITY FUND I | -14,136.16 | 0.00 | 0.00 | 0.00 | 90.0 | 0.00 |
| 03/20/2017 | QUALE, MICHAEL | CONGRESS MID CAP GROWTH FUND INSTIT | -1,695.61 | 0.00 | 0.00 | 0.00 | 90.0 | 0.00 |
| 03/20/2017 | QUALE, MICHAEL | CREDIT SUISSE COMMODITY RETURN STRA | -1,689.78 | 0.00 | 0.00 | 0.00 | 90.0 | 0.00 |
| 03/20/2017 | QUALE, MICHAEL | HORIZON ACTIVE ASSET ALLOCATION FUN | -9,259.39 | 0.00 | 0.00 | 0.00 | 90.0 | 0.00 |
| 03/20/2017 | QUALE, MICHAEL | JH DISCIPLINED VAL CL 1 | -3,728.07 | 0.00 | 0.00 | 0.00 | 90.0 | 0.00 |
| 03/20/2017 | QUALE, MICHAEL | MFS INTL NEW DISCOVERY FUND I | -3,669.16 | 0.00 | 0.00 | 0.00 | 90.0 | 0.00 |
| 03/20/2017 | QUALE, MICHAEL | NAVIGATOR TACTICAL FIXED INCOME FUN | -990.35 | 0.00 | 0.00 | 0.00 | 90.0 | 0.00 |
| 03/20/2017 | QUALE, MICHAEL | NORTHERN MULTI- MANAGER EMERGING MA | -2,193.31 | 0.00 | 0.00 | 0.00 | 90.0 | 0.00 |
| 03/20/2017 | QUALE, MICHAEL | RESEARCH MARKET NEUTRAL FUND-INST | -1,775.02 | 0.00 | 0.00 | 0.00 | 90.0 | 0.00 |
| 03/20/2017 | QUALE, MICHAEL | RIDGEWORTH SEIX FLOATING RATE HIGH | -1,484.13 | 0.00 | 0.00 | 0.00 | 90.0 | 0.00 |
| 03/20/2017 | QUALE, MICHAEL | RIVERPARK/WEDGEWOOD FUND INSTITUTIO | -4,192.66 | 0.00 | 0.00 | 0.00 | 90.0 | 0.00 |
| 03/20/2017 | QUALE, LOLA | SEI INSTITUTIONALLY MANAGED HIGH-YI | -3,776.05 | 0.00 | 0.00 | 0.00 | 90.0 | 0.00 |
| 03/20/2017 | QUALE, LOLA | SEI INSTL MANAGED TRUST LARGE CAP F | -19,045.07 | 0.00 | 0.00 | 0.00 | 90.0 | 0.00 |
| 03/20/2017 | QUALE, LOLA | SEI INSTL MANAGED TRUST SMALL CAP F | -3,335.98 | 0.00 | 0.00 | 0.00 | 90.0 | 0.00 |
| 03/20/2017 | QUALE, LOLA | SEI INTERNATIONAL EMERGING MARKETS | -3,653.87 | 0.00 | 0.00 | 0.00 | 90.0 | 0.00 |
| 03/20/2017 | QUALE, LOLA | SEI INTERNATIONAL EMERGING MARKETS | -4,045.15 | 0.00 | 0.00 | 0.00 | 90.0 | 0.00 |
| 03/20/2017 | QUALE, LOLA | SEI INTERNATIONAL EQUITY FUND | -8,020.30 | 0.00 | 0.00 | 0.00 | 90.0 | 0.00 |
| 03/20/2017 | QUALE, LOLA | SEI MULTI-ASSET ACCUMULATION FUND C | -9,830.68 | 0.00 | 0.00 | 0.00 | 90.0 | 0.00 |
| 03/20/2017 | QUALE, MICHAEL | STERLING CAP FUNDS | -1,667.51 | 0.00 | 0.00 | 0.00 | 90.0 | 0.00 |
| * MUTUAL FUNDS SUBTOTAL * | | | \$-98,188.25 | \$0.00 | \$0.00 | \$0.00 | | \$0.00 |
| <u>PRODUCT CATEGORY: STOCKS</u> | | | | | | | | |
| 03/21/2017 | QUALE, LOLA | ISHARES TR RUSSELL 2000 INDEX FD | 3,102.88 | 0.00 | 0.00 | 0.00 | 90.0 | 0.00 |
| 03/22/2017 | QUALE, MICHAEL | ISHARES TR RUSSELL 2000 INDEX FD | 801.34 | 0.00 | 0.00 | 0.00 | 90.0 | 0.00 |
| 03/21/2017 | QUALE, LOLA | ISHARES TR S&P 500 INDEX FD | 9,713.56 | 0.00 | 0.00 | 0.00 | 90.0 | 0.00 |
| 03/22/2017 | QUALE, MICHAEL | ISHARES TR S&P 500 INDEX FD | 9,470.57 | 0.00 | 0.00 | 0.00 | 90.0 | 0.00 |
| 03/21/2017 | QUALE, LOLA | POWERSHARES DB COMMODITY INDEX TRAC | 1,775.24 | 0.00 | 0.00 | 0.00 | 90.0 | 0.00 |

NOTES: * - Indicates adjustment is not included in 1099 Earnings
 ** - Indicates adjustment is not included in Totals or Commissions
 ^Date - Split Trade - full Investment Amount & Gross Commission displayed

| DATE | CLIENT | INVESTMENT | INVESTMENT AMOUNT | GROSS COMMISSION | CLEARING CHARGE | NET COMMISSION | RATE | BROKER COMMISSION |
|--|----------------|-------------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <u>BROKER TRANSACTIONS</u> | | | | | | | | |
| <u>PRODUCT CATEGORY: STOCKS</u> | | | | | | | | |
| 03/22/2017 | QUALE, MICHAEL | POWERSHARES DB COMMODITY INDEX TRAC | 1,741.77 | 0.00 | 0.00 | 0.00 | 90.0 | 0.00 |
| 03/21/2017 | QUALE, LOLA | POWERSHARES EXCHANGE-TRADED FD TR I | 1,275.94 | 0.00 | 0.00 | 0.00 | 90.0 | 0.00 |
| 03/22/2017 | QUALE, MICHAEL | POWERSHARES EXCHANGE-TRADED FD TR I | 1,252.77 | 0.00 | 0.00 | 0.00 | 90.0 | 0.00 |
| 03/21/2017 | QUALE, LOLA | SPDR S&P MIDCAP 400 ETF TR UNIT SER | 4,000.10 | 0.00 | 0.00 | 0.00 | 90.0 | 0.00 |
| 03/22/2017 | QUALE, MICHAEL | SPDR S&P MIDCAP 400 ETF TR UNIT SER | 3,986.42 | 0.00 | 0.00 | 0.00 | 90.0 | 0.00 |
| 03/21/2017 | QUALE, LOLA | SPDR SER TR BARCLAYS HIGH YIELD BD | 3,568.93 | 0.00 | 0.00 | 0.00 | 90.0 | 0.00 |
| 03/22/2017 | QUALE, MICHAEL | SPDR SER TR BARCLAYS HIGH YIELD BD | 3,491.22 | 0.00 | 0.00 | 0.00 | 90.0 | 0.00 |
| 03/21/2017 | QUALE, LOLA | VANGUARD INDEX FDS VANGUARD REIT ET | 1,230.57 | 0.00 | 0.00 | 0.00 | 90.0 | 0.00 |
| 03/22/2017 | QUALE, MICHAEL | VANGUARD INDEX FDS VANGUARD REIT ET | 325.23 | 0.00 | 0.00 | 0.00 | 90.0 | 0.00 |
| 03/21/2017 | QUALE, LOLA | VANGUARD INTL EQUITY INDEX FD INC F | 25,029.65 | 0.00 | 0.00 | 0.00 | 90.0 | 0.00 |
| 03/22/2017 | QUALE, MICHAEL | VANGUARD INTL EQUITY INDEX FD INC F | 24,529.42 | 0.00 | 0.00 | 0.00 | 90.0 | 0.00 |
| * STOCKS SUBTOTAL * | | | \$95,295.61 | \$0.00 | \$0.00 | \$0.00 | | \$0.00 |
| <u>PRODUCT CATEGORY: RIA</u> | | | | | | | | |
| 03/27/2017 | QUALE, LOLA | PERSHING | 0.00 | 22.46 | 0.00 | 22.46 | 90.0 | 20.21 |
| * RIA SUBTOTAL * | | | \$0.00 | \$22.46 | \$0.00 | \$22.46 | | \$20.21 |
| *** BROKER TRANSACTIONS TOTAL *** | | | \$-2,892.64 | \$22.46 | \$0.00 | \$22.46 | | \$20.21 |

SPLIT TRANSACTIONS**BROKER: BLB BRENT/BRION TRU-LEE/NORBY #332**

| | | | | | | | | |
|------------|-----------------|-------------------------------------|------------|------|------|------|------|------|
| 03/27/2017 | HELLER, GREG | AMG GW&K ENHANCED CORE BOND FUND CL | -2,390.69 | 0.00 | 0.00 | 0.00 | 90.0 | 0.00 |
| 03/27/2017 | HELLER, GREG | AMG GW&K ENHANCED CORE BOND FUND CL | -26,774.86 | 0.00 | 0.00 | 0.00 | 90.0 | 0.00 |
| 03/20/2017 | LIESENER, MARTY | CAMBIAR INTERNATIONAL EQUITY FUND I | -8,477.44 | 0.00 | 0.00 | 0.00 | 90.0 | 0.00 |
| 03/20/2017 | MILLER, MELINDA | CAMBIAR INTERNATIONAL EQUITY FUND I | -7,917.06 | 0.00 | 0.00 | 0.00 | 90.0 | 0.00 |
| 03/20/2017 | MILLER, CHARLES | CAMBIAR INTERNATIONAL EQUITY FUND I | -11,276.95 | 0.00 | 0.00 | 0.00 | 90.0 | 0.00 |
| 03/20/2017 | MILLER, CHARLES | CAMBIAR INTERNATIONAL EQUITY FUND I | -8,291.46 | 0.00 | 0.00 | 0.00 | 90.0 | 0.00 |
| 03/20/2017 | WEBER, DANIEL | CAMBIAR INTERNATIONAL EQUITY FUND I | -13,990.85 | 0.00 | 0.00 | 0.00 | 90.0 | 0.00 |
| 03/20/2017 | BROE, CRAIG | CAMBIAR INTERNATIONAL EQUITY FUND I | -30,617.49 | 0.00 | 0.00 | 0.00 | 90.0 | 0.00 |
| 03/20/2017 | HICKEL, TONY | CAMBIAR INTERNATIONAL EQUITY FUND I | -33,723.37 | 0.00 | 0.00 | 0.00 | 90.0 | 0.00 |
| 03/27/2017 | HELLER, GREG | CAMBIAR INTERNATIONAL EQUITY FUND I | -5,274.37 | 0.00 | 0.00 | 0.00 | 90.0 | 0.00 |
| 03/27/2017 | HELLER, GREG | CAMBIAR INTERNATIONAL EQUITY FUND I | -59,065.80 | 0.00 | 0.00 | 0.00 | 90.0 | 0.00 |
| 03/20/2017 | MILLER, MELINDA | CATALYST HEDGED FUTURES STRATEGY FU | -2,437.42 | 0.00 | 0.00 | 0.00 | 90.0 | 0.00 |
| 03/22/2017 | MILLER, MELINDA | CATALYST HEDGED FUTURES STRATEGY FU | 2,475.34 | 0.00 | 0.00 | 0.00 | 90.0 | 0.00 |

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|--|-----------------|-------------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <u>SPLIT TRANSACTIONS</u> | | | | | | | | |
| <u>BROKER: BLB BRENT/BRION TRU-LEE/NORBY #332</u> | | | | | | | | |
| 03/27/2017 | HELLER, GREG | CLEARBRIDGE MID CAP | -1,760.10 | 0.00 | 0.00 | 0.00 | 90.0 | 0.00 |
| 03/27/2017 | HELLER, GREG | CLEARBRIDGE MID CAP | -19,710.64 | 0.00 | 0.00 | 0.00 | 90.0 | 0.00 |
| 03/20/2017 | LIESENER, MARTY | CONGRESS MID CAP GROWTH FUND INSTIT | -1,016.89 | 0.00 | 0.00 | 0.00 | 90.0 | 0.00 |
| 03/20/2017 | MILLER, MELINDA | CONGRESS MID CAP GROWTH FUND INSTIT | -949.67 | 0.00 | 0.00 | 0.00 | 90.0 | 0.00 |
| 03/20/2017 | MILLER, CHARLES | CONGRESS MID CAP GROWTH FUND INSTIT | -1,352.73 | 0.00 | 0.00 | 0.00 | 90.0 | 0.00 |
| 03/20/2017 | MILLER, CHARLES | CONGRESS MID CAP GROWTH FUND INSTIT | -994.60 | 0.00 | 0.00 | 0.00 | 90.0 | 0.00 |
| 03/20/2017 | WEBER, DANIEL | CONGRESS MID CAP GROWTH FUND INSTIT | -1,678.26 | 0.00 | 0.00 | 0.00 | 90.0 | 0.00 |
| 03/20/2017 | BROE, CRAIG | CONGRESS MID CAP GROWTH FUND INSTIT | -3,672.71 | 0.00 | 0.00 | 0.00 | 90.0 | 0.00 |
| 03/20/2017 | HICKEL, TONY | CONGRESS MID CAP GROWTH FUND INSTIT | -4,045.01 | 0.00 | 0.00 | 0.00 | 90.0 | 0.00 |
| 03/20/2017 | LIESENER, MARTY | CREDIT SUISSE COMMODITY RETURN STRA | -1,013.24 | 0.00 | 0.00 | 0.00 | 90.0 | 0.00 |
| 03/20/2017 | MILLER, MELINDA | CREDIT SUISSE COMMODITY RETURN STRA | -946.26 | 0.00 | 0.00 | 0.00 | 90.0 | 0.00 |
| 03/20/2017 | MILLER, CHARLES | CREDIT SUISSE COMMODITY RETURN STRA | -1,347.86 | 0.00 | 0.00 | 0.00 | 90.0 | 0.00 |
| 03/20/2017 | MILLER, CHARLES | CREDIT SUISSE COMMODITY RETURN STRA | -991.02 | 0.00 | 0.00 | 0.00 | 90.0 | 0.00 |
| 03/20/2017 | WEBER, DANIEL | CREDIT SUISSE COMMODITY RETURN STRA | -1,672.23 | 0.00 | 0.00 | 0.00 | 90.0 | 0.00 |
| 03/20/2017 | BROE, CRAIG | CREDIT SUISSE COMMODITY RETURN STRA | -3,659.49 | 0.00 | 0.00 | 0.00 | 90.0 | 0.00 |
| 03/20/2017 | HICKEL, TONY | CREDIT SUISSE COMMODITY RETURN STRA | -4,031.04 | 0.00 | 0.00 | 0.00 | 90.0 | 0.00 |
| 03/27/2017 | HELLER, GREG | CREDIT SUISSE COMMODITY RETURN STRA | -1,078.74 | 0.00 | 0.00 | 0.00 | 90.0 | 0.00 |
| 03/27/2017 | HELLER, GREG | CREDIT SUISSE COMMODITY RETURN STRA | -12,078.24 | 0.00 | 0.00 | 0.00 | 90.0 | 0.00 |
| 03/20/2017 | LIESENER, MARTY | HORIZON ACTIVE ASSET ALLOCATION FUN | -5,604.64 | 0.00 | 0.00 | 0.00 | 90.0 | 0.00 |
| 03/20/2017 | MILLER, MELINDA | HORIZON ACTIVE ASSET ALLOCATION FUN | -5,234.16 | 0.00 | 0.00 | 0.00 | 90.0 | 0.00 |
| 03/20/2017 | MILLER, CHARLES | HORIZON ACTIVE ASSET ALLOCATION FUN | -7,455.50 | 0.00 | 0.00 | 0.00 | 90.0 | 0.00 |
| 03/20/2017 | MILLER, CHARLES | HORIZON ACTIVE ASSET ALLOCATION FUN | -5,481.70 | 0.00 | 0.00 | 0.00 | 90.0 | 0.00 |
| 03/20/2017 | WEBER, DANIEL | HORIZON ACTIVE ASSET ALLOCATION FUN | -9,249.75 | 0.00 | 0.00 | 0.00 | 90.0 | 0.00 |
| 03/20/2017 | BROE, CRAIG | HORIZON ACTIVE ASSET ALLOCATION FUN | -20,242.01 | 0.00 | 0.00 | 0.00 | 90.0 | 0.00 |
| 03/20/2017 | HICKEL, TONY | HORIZON ACTIVE ASSET ALLOCATION FUN | -22,293.43 | 0.00 | 0.00 | 0.00 | 90.0 | 0.00 |
| 03/27/2017 | HELLER, GREG | HORIZON ACTIVE ASSET ALLOCATION FUN | -3,965.29 | 0.00 | 0.00 | 0.00 | 90.0 | 0.00 |
| 03/27/2017 | HELLER, GREG | HORIZON ACTIVE ASSET ALLOCATION FUN | -44,409.67 | 0.00 | 0.00 | 0.00 | 90.0 | 0.00 |
| 03/22/2017 | LIESENER, MARTY | ISHARES TR RUSSELL 2000 INDEX FD | 400.67 | 0.00 | 0.00 | 0.00 | 90.0 | 0.00 |
| 03/22/2017 | MILLER, MELINDA | ISHARES TR RUSSELL 2000 INDEX FD | 400.67 | 0.00 | 0.00 | 0.00 | 90.0 | 0.00 |
| 03/22/2017 | MILLER, CHARLES | ISHARES TR RUSSELL 2000 INDEX FD | 534.23 | 0.00 | 0.00 | 0.00 | 90.0 | 0.00 |
| 03/22/2017 | MILLER, CHARLES | ISHARES TR RUSSELL 2000 INDEX FD | 400.67 | 0.00 | 0.00 | 0.00 | 90.0 | 0.00 |
| 03/22/2017 | WEBER, DANIEL | ISHARES TR RUSSELL 2000 INDEX FD | 667.78 | 0.00 | 0.00 | 0.00 | 90.0 | 0.00 |
| 03/22/2017 | BROE, CRAIG | ISHARES TR RUSSELL 2000 INDEX FD | 1,602.68 | 0.00 | 0.00 | 0.00 | 90.0 | 0.00 |

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|--|-----------------|-------------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <u>SPLIT TRANSACTIONS</u> | | | | | | | | |
| <u>BROKER: BLB BRENT/BRION TRU-LEE/NORBY #332</u> | | | | | | | | |
| 03/22/2017 | HICKEL, TONY | ISHARES TR RUSSELL 2000 INDEX FD | 1,736.23 | 0.00 | 0.00 | 0.00 | 90.0 | 0.00 |
| 03/28/2017 | HELLER, GREG | ISHARES TR RUSSELL 2000 INDEX FD | 810.22 | 0.00 | 0.00 | 0.00 | 90.0 | 0.00 |
| 03/28/2017 | HELLER, GREG | ISHARES TR RUSSELL 2000 INDEX FD | 9,452.53 | 0.00 | 0.00 | 0.00 | 90.0 | 0.00 |
| 03/22/2017 | LIESENER, MARTY | ISHARES TR S&P 500 INDEX FD | 5,682.34 | 0.00 | 0.00 | 0.00 | 90.0 | 0.00 |
| 03/22/2017 | MILLER, MELINDA | ISHARES TR S&P 500 INDEX FD | 5,208.81 | 0.00 | 0.00 | 0.00 | 90.0 | 0.00 |
| 03/22/2017 | MILLER, CHARLES | ISHARES TR S&P 500 INDEX FD | 7,576.45 | 0.00 | 0.00 | 0.00 | 90.0 | 0.00 |
| 03/22/2017 | MILLER, CHARLES | ISHARES TR S&P 500 INDEX FD | 5,445.58 | 0.00 | 0.00 | 0.00 | 90.0 | 0.00 |
| 03/22/2017 | WEBER, DANIEL | ISHARES TR S&P 500 INDEX FD | 9,470.57 | 0.00 | 0.00 | 0.00 | 90.0 | 0.00 |
| 03/22/2017 | BROE, CRAIG | ISHARES TR S&P 500 INDEX FD | 20,835.25 | 0.00 | 0.00 | 0.00 | 90.0 | 0.00 |
| 03/22/2017 | HICKEL, TONY | ISHARES TR S&P 500 INDEX FD | 22,966.12 | 0.00 | 0.00 | 0.00 | 90.0 | 0.00 |
| 03/28/2017 | HELLER, GREG | ISHARES TR S&P 500 INDEX FD | 5,906.15 | 0.00 | 0.00 | 0.00 | 90.0 | 0.00 |
| 03/28/2017 | HELLER, GREG | ISHARES TR S&P 500 INDEX FD | 68,747.57 | 0.00 | 0.00 | 0.00 | 90.0 | 0.00 |
| 03/20/2017 | LIESENER, MARTY | JH DISCIPLINED VAL CL 1 | -2,235.76 | 0.00 | 0.00 | 0.00 | 90.0 | 0.00 |
| 03/20/2017 | MILLER, MELINDA | JH DISCIPLINED VAL CL 1 | -2,087.98 | 0.00 | 0.00 | 0.00 | 90.0 | 0.00 |
| 03/20/2017 | MILLER, CHARLES | JH DISCIPLINED VAL CL 1 | -2,974.11 | 0.00 | 0.00 | 0.00 | 90.0 | 0.00 |
| 03/20/2017 | MILLER, CHARLES | JH DISCIPLINED VAL CL 1 | -2,186.72 | 0.00 | 0.00 | 0.00 | 90.0 | 0.00 |
| 03/20/2017 | WEBER, DANIEL | JH DISCIPLINED VAL CL 1 | -3,689.87 | 0.00 | 0.00 | 0.00 | 90.0 | 0.00 |
| 03/20/2017 | BROE, CRAIG | JH DISCIPLINED VAL CL 1 | -8,074.85 | 0.00 | 0.00 | 0.00 | 90.0 | 0.00 |
| 03/20/2017 | HICKEL, TONY | JH DISCIPLINED VAL CL 1 | -8,893.51 | 0.00 | 0.00 | 0.00 | 90.0 | 0.00 |
| 03/27/2017 | HELLER, GREG | JH DISCIPLINED VAL CL 1 | -2,445.54 | 0.00 | 0.00 | 0.00 | 90.0 | 0.00 |
| 03/27/2017 | HELLER, GREG | JH DISCIPLINED VAL CL 1 | -27,385.59 | 0.00 | 0.00 | 0.00 | 90.0 | 0.00 |
| 03/27/2017 | HELLER, GREG | METROPOLITAN WEST TOTAL RETURN BOND | -2,389.78 | 0.00 | 0.00 | 0.00 | 90.0 | 0.00 |
| 03/27/2017 | HELLER, GREG | METROPOLITAN WEST TOTAL RETURN BOND | -26,764.68 | 0.00 | 0.00 | 0.00 | 90.0 | 0.00 |
| 03/20/2017 | LIESENER, MARTY | MFS INTL NEW DISCOVERY FUND I | -2,200.47 | 0.00 | 0.00 | 0.00 | 90.0 | 0.00 |
| 03/20/2017 | MILLER, MELINDA | MFS INTL NEW DISCOVERY FUND I | -2,055.01 | 0.00 | 0.00 | 0.00 | 90.0 | 0.00 |
| 03/20/2017 | MILLER, CHARLES | MFS INTL NEW DISCOVERY FUND I | -2,927.11 | 0.00 | 0.00 | 0.00 | 90.0 | 0.00 |
| 03/20/2017 | MILLER, CHARLES | MFS INTL NEW DISCOVERY FUND I | -2,152.19 | 0.00 | 0.00 | 0.00 | 90.0 | 0.00 |
| 03/20/2017 | WEBER, DANIEL | MFS INTL NEW DISCOVERY FUND I | -3,631.56 | 0.00 | 0.00 | 0.00 | 90.0 | 0.00 |
| 03/20/2017 | BROE, CRAIG | MFS INTL NEW DISCOVERY FUND I | -7,947.29 | 0.00 | 0.00 | 0.00 | 90.0 | 0.00 |
| 03/20/2017 | HICKEL, TONY | MFS INTL NEW DISCOVERY FUND I | -8,753.22 | 0.00 | 0.00 | 0.00 | 90.0 | 0.00 |
| 03/27/2017 | HELLER, GREG | MFS INTL NEW DISCOVERY FUND I | -1,082.95 | 0.00 | 0.00 | 0.00 | 90.0 | 0.00 |
| 03/27/2017 | HELLER, GREG | MFS INTL NEW DISCOVERY FUND I | -12,127.62 | 0.00 | 0.00 | 0.00 | 90.0 | 0.00 |
| 03/20/2017 | LIESENER, MARTY | NAVIGATOR TACTICAL FIXED INCOME FUN | -593.91 | 0.00 | 0.00 | 0.00 | 90.0 | 0.00 |

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| <u>SPLIT TRANSACTIONS</u> | | | | | | | | |
| BROKER: BLB BRENT/BRION TRU-LEE/NORBY #332 | | | | | | | | |
| 03/20/2017 | MILLER, MELINDA | NAVIGATOR TACTICAL FIXED INCOME FUN | -554.65 | 0.00 | 0.00 | 0.00 | 90.0 | 0.00 |
| 03/20/2017 | MILLER, CHARLES | NAVIGATOR TACTICAL FIXED INCOME FUN | -790.04 | 0.00 | 0.00 | 0.00 | 90.0 | 0.00 |
| 03/20/2017 | MILLER, CHARLES | NAVIGATOR TACTICAL FIXED INCOME FUN | -580.88 | 0.00 | 0.00 | 0.00 | 90.0 | 0.00 |
| 03/20/2017 | WEBER, DANIEL | NAVIGATOR TACTICAL FIXED INCOME FUN | -980.17 | 0.00 | 0.00 | 0.00 | 90.0 | 0.00 |
| 03/20/2017 | BROE, CRAIG | NAVIGATOR TACTICAL FIXED INCOME FUN | -2,144.99 | 0.00 | 0.00 | 0.00 | 90.0 | 0.00 |
| 03/20/2017 | HICKEL, TONY | NAVIGATOR TACTICAL FIXED INCOME FUN | -2,362.49 | 0.00 | 0.00 | 0.00 | 90.0 | 0.00 |
| 03/27/2017 | HELLER, GREG | NAVIGATOR TACTICAL FIXED INCOME FUN | -2,547.85 | 0.00 | 0.00 | 0.00 | 90.0 | 0.00 |
| 03/27/2017 | HELLER, GREG | NAVIGATOR TACTICAL FIXED INCOME FUN | -28,534.72 | 0.00 | 0.00 | 0.00 | 90.0 | 0.00 |
| 03/20/2017 | LIESENER, MARTY | NORTHERN MULTI- MANAGER EMERGING MA | -1,315.32 | 0.00 | 0.00 | 0.00 | 90.0 | 0.00 |
| 03/20/2017 | MILLER, MELINDA | NORTHERN MULTI- MANAGER EMERGING MA | -1,228.37 | 0.00 | 0.00 | 0.00 | 90.0 | 0.00 |
| 03/20/2017 | MILLER, CHARLES | NORTHERN MULTI- MANAGER EMERGING MA | -1,749.69 | 0.00 | 0.00 | 0.00 | 90.0 | 0.00 |
| 03/20/2017 | MILLER, CHARLES | NORTHERN MULTI- MANAGER EMERGING MA | -1,286.47 | 0.00 | 0.00 | 0.00 | 90.0 | 0.00 |
| 03/20/2017 | WEBER, DANIEL | NORTHERN MULTI- MANAGER EMERGING MA | -2,170.79 | 0.00 | 0.00 | 0.00 | 90.0 | 0.00 |
| 03/20/2017 | BROE, CRAIG | NORTHERN MULTI- MANAGER EMERGING MA | -4,750.50 | 0.00 | 0.00 | 0.00 | 90.0 | 0.00 |
| 03/20/2017 | HICKEL, TONY | NORTHERN MULTI- MANAGER EMERGING MA | -5,232.47 | 0.00 | 0.00 | 0.00 | 90.0 | 0.00 |
| 03/27/2017 | HELLER, GREG | NORTHERN MULTI- MANAGER EMERGING MA | -734.15 | 0.00 | 0.00 | 0.00 | 90.0 | 0.00 |
| 03/27/2017 | HELLER, GREG | NORTHERN MULTI- MANAGER EMERGING MA | -8,221.51 | 0.00 | 0.00 | 0.00 | 90.0 | 0.00 |
| 03/22/2017 | LIESENER, MARTY | POWERSHARES DB COMMODITY INDEX TRAC | 1,042.09 | 0.00 | 0.00 | 0.00 | 90.0 | 0.00 |
| 03/22/2017 | MILLER, MELINDA | POWERSHARES DB COMMODITY INDEX TRAC | 967.65 | 0.00 | 0.00 | 0.00 | 90.0 | 0.00 |
| 03/22/2017 | MILLER, CHARLES | POWERSHARES DB COMMODITY INDEX TRAC | 1,399.37 | 0.00 | 0.00 | 0.00 | 90.0 | 0.00 |
| 03/22/2017 | MILLER, CHARLES | POWERSHARES DB COMMODITY INDEX TRAC | 1,027.20 | 0.00 | 0.00 | 0.00 | 90.0 | 0.00 |
| 03/22/2017 | WEBER, DANIEL | POWERSHARES DB COMMODITY INDEX TRAC | 1,726.89 | 0.00 | 0.00 | 0.00 | 90.0 | 0.00 |
| 03/22/2017 | BROE, CRAIG | POWERSHARES DB COMMODITY INDEX TRAC | 3,811.06 | 0.00 | 0.00 | 0.00 | 90.0 | 0.00 |
| 03/22/2017 | HICKEL, TONY | POWERSHARES DB COMMODITY INDEX TRAC | 4,183.24 | 0.00 | 0.00 | 0.00 | 90.0 | 0.00 |
| 03/28/2017 | HELLER, GREG | POWERSHARES DB COMMODITY INDEX TRAC | 1,096.96 | 0.00 | 0.00 | 0.00 | 90.0 | 0.00 |
| 03/28/2017 | HELLER, GREG | POWERSHARES DB COMMODITY INDEX TRAC | 12,487.30 | 0.00 | 0.00 | 0.00 | 90.0 | 0.00 |
| 03/22/2017 | LIESENER, MARTY | POWERSHARES EXCHANGE-TRADED FD TR I | 742.38 | 0.00 | 0.00 | 0.00 | 90.0 | 0.00 |
| 03/22/2017 | MILLER, MELINDA | POWERSHARES EXCHANGE-TRADED FD TR I | 695.99 | 0.00 | 0.00 | 0.00 | 90.0 | 0.00 |
| 03/22/2017 | MILLER, CHARLES | POWERSHARES EXCHANGE-TRADED FD TR I | 997.58 | 0.00 | 0.00 | 0.00 | 90.0 | 0.00 |
| 03/22/2017 | MILLER, CHARLES | POWERSHARES EXCHANGE-TRADED FD TR I | 719.18 | 0.00 | 0.00 | 0.00 | 90.0 | 0.00 |
| 03/22/2017 | WEBER, DANIEL | POWERSHARES EXCHANGE-TRADED FD TR I | 1,229.57 | 0.00 | 0.00 | 0.00 | 90.0 | 0.00 |
| 03/22/2017 | BROE, CRAIG | POWERSHARES EXCHANGE-TRADED FD TR I | 2,714.34 | 0.00 | 0.00 | 0.00 | 90.0 | 0.00 |
| 03/22/2017 | HICKEL, TONY | POWERSHARES EXCHANGE-TRADED FD TR I | 2,992.74 | 0.00 | 0.00 | 0.00 | 90.0 | 0.00 |

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| DATE | CLIENT | INVESTMENT | INVESTMENT AMOUNT | GROSS COMMISSION | CLEARING CHARGE | NET COMMISSION | RATE | BROKER COMMISSION |
|---|-----------------|-------------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <u>SPLIT TRANSACTIONS</u> | | | | | | | | |
| BROKER: BLB BRENT/BRION TRU-LEE/NORBY #332 | | | | | | | | |
| 03/28/2017 | HELLER, GREG | POWERSHARES EXCHANGE-TRADED FD TR I | 788.34 | 0.00 | 0.00 | 0.00 | 90.0 | 0.00 |
| 03/28/2017 | HELLER, GREG | POWERSHARES EXCHANGE-TRADED FD TR I | 8,926.80 | 0.00 | 0.00 | 0.00 | 90.0 | 0.00 |
| 03/20/2017 | LIESENER, MARTY | RESEARCH MARKET NEUTRAL FUND-INST | -1,064.34 | 0.00 | 0.00 | 0.00 | 90.0 | 0.00 |
| 03/20/2017 | MILLER, MELINDA | RESEARCH MARKET NEUTRAL FUND-INST | -993.99 | 0.00 | 0.00 | 0.00 | 90.0 | 0.00 |
| 03/20/2017 | MILLER, CHARLES | RESEARCH MARKET NEUTRAL FUND-INST | -1,415.83 | 0.00 | 0.00 | 0.00 | 90.0 | 0.00 |
| 03/20/2017 | MILLER, CHARLES | RESEARCH MARKET NEUTRAL FUND-INST | -1,041.00 | 0.00 | 0.00 | 0.00 | 90.0 | 0.00 |
| 03/20/2017 | WEBER, DANIEL | RESEARCH MARKET NEUTRAL FUND-INST | -1,756.58 | 0.00 | 0.00 | 0.00 | 90.0 | 0.00 |
| 03/20/2017 | BROE, CRAIG | RESEARCH MARKET NEUTRAL FUND-INST | -3,844.06 | 0.00 | 0.00 | 0.00 | 90.0 | 0.00 |
| 03/20/2017 | HICKEL, TONY | RESEARCH MARKET NEUTRAL FUND-INST | -4,234.71 | 0.00 | 0.00 | 0.00 | 90.0 | 0.00 |
| 03/27/2017 | HELLER, GREG | RESEARCH MARKET NEUTRAL FUND-INST | -1,370.29 | 0.00 | 0.00 | 0.00 | 90.0 | 0.00 |
| 03/27/2017 | HELLER, GREG | RESEARCH MARKET NEUTRAL FUND-INST | -15,346.22 | 0.00 | 0.00 | 0.00 | 90.0 | 0.00 |
| 03/20/2017 | LIESENER, MARTY | RIDGEWORTH SEIX FLOATING RATE HIGH | -890.01 | 0.00 | 0.00 | 0.00 | 90.0 | 0.00 |
| 03/20/2017 | MILLER, MELINDA | RIDGEWORTH SEIX FLOATING RATE HIGH | -831.20 | 0.00 | 0.00 | 0.00 | 90.0 | 0.00 |
| 03/20/2017 | MILLER, CHARLES | RIDGEWORTH SEIX FLOATING RATE HIGH | -1,183.92 | 0.00 | 0.00 | 0.00 | 90.0 | 0.00 |
| 03/20/2017 | MILLER, CHARLES | RIDGEWORTH SEIX FLOATING RATE HIGH | -870.48 | 0.00 | 0.00 | 0.00 | 90.0 | 0.00 |
| 03/20/2017 | WEBER, DANIEL | RIDGEWORTH SEIX FLOATING RATE HIGH | -1,468.88 | 0.00 | 0.00 | 0.00 | 90.0 | 0.00 |
| 03/20/2017 | BROE, CRAIG | RIDGEWORTH SEIX FLOATING RATE HIGH | -3,214.40 | 0.00 | 0.00 | 0.00 | 90.0 | 0.00 |
| 03/20/2017 | HICKEL, TONY | RIDGEWORTH SEIX FLOATING RATE HIGH | -3,540.47 | 0.00 | 0.00 | 0.00 | 90.0 | 0.00 |
| 03/27/2017 | HELLER, GREG | RIDGEWORTH SEIX FLOATING RATE HIGH | -1,269.28 | 0.00 | 0.00 | 0.00 | 90.0 | 0.00 |
| 03/27/2017 | HELLER, GREG | RIDGEWORTH SEIX FLOATING RATE HIGH | -14,192.10 | 0.00 | 0.00 | 0.00 | 90.0 | 0.00 |
| 03/20/2017 | LIESENER, MARTY | RIVERPARK/WEDGEWOOD FUND INSTITUTIO | -2,514.23 | 0.00 | 0.00 | 0.00 | 90.0 | 0.00 |
| 03/20/2017 | MILLER, MELINDA | RIVERPARK/WEDGEWOOD FUND INSTITUTIO | -2,348.03 | 0.00 | 0.00 | 0.00 | 90.0 | 0.00 |
| 03/20/2017 | MILLER, CHARLES | RIVERPARK/WEDGEWOOD FUND INSTITUTIO | -3,344.53 | 0.00 | 0.00 | 0.00 | 90.0 | 0.00 |
| 03/20/2017 | MILLER, CHARLES | RIVERPARK/WEDGEWOOD FUND INSTITUTIO | -2,459.08 | 0.00 | 0.00 | 0.00 | 90.0 | 0.00 |
| 03/20/2017 | WEBER, DANIEL | RIVERPARK/WEDGEWOOD FUND INSTITUTIO | -4,149.43 | 0.00 | 0.00 | 0.00 | 90.0 | 0.00 |
| 03/20/2017 | BROE, CRAIG | RIVERPARK/WEDGEWOOD FUND INSTITUTIO | -9,080.55 | 0.00 | 0.00 | 0.00 | 90.0 | 0.00 |
| 03/20/2017 | HICKEL, TONY | RIVERPARK/WEDGEWOOD FUND INSTITUTIO | -10,001.37 | 0.00 | 0.00 | 0.00 | 90.0 | 0.00 |
| 03/27/2017 | HELLER, GREG | RIVERPARK/WEDGEWOOD FUND INSTITUTIO | -2,492.66 | 0.00 | 0.00 | 0.00 | 90.0 | 0.00 |
| 03/27/2017 | HELLER, GREG | RIVERPARK/WEDGEWOOD FUND INSTITUTIO | -27,913.09 | 0.00 | 0.00 | 0.00 | 90.0 | 0.00 |
| 03/22/2017 | LIESENER, MARTY | SPDR S&P MIDCAP 400 ETF TR UNIT SER | 2,146.54 | 0.00 | 0.00 | 0.00 | 90.0 | 0.00 |
| 03/22/2017 | MILLER, MELINDA | SPDR S&P MIDCAP 400 ETF TR UNIT SER | 2,146.54 | 0.00 | 0.00 | 0.00 | 90.0 | 0.00 |
| 03/22/2017 | MILLER, CHARLES | SPDR S&P MIDCAP 400 ETF TR UNIT SER | 3,066.48 | 0.00 | 0.00 | 0.00 | 90.0 | 0.00 |
| 03/22/2017 | MILLER, CHARLES | SPDR S&P MIDCAP 400 ETF TR UNIT SER | 2,146.54 | 0.00 | 0.00 | 0.00 | 90.0 | 0.00 |

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| DATE | CLIENT | INVESTMENT | INVESTMENT AMOUNT | GROSS COMMISSION | CLEARING CHARGE | NET COMMISSION | RATE | BROKER COMMISSION |
|--|-----------------|-------------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <u>SPLIT TRANSACTIONS</u> | | | | | | | | |
| <u>BROKER: BLB BRENT/BRION TRU-LEE/NORBY #332</u> | | | | | | | | |
| 03/22/2017 | WEBER, DANIEL | SPDR S&P MIDCAP 400 ETF TR UNIT SER | 3,986.42 | 0.00 | 0.00 | 0.00 | 90.0 | 0.00 |
| 03/22/2017 | BROE, CRAIG | SPDR S&P MIDCAP 400 ETF TR UNIT SER | 8,892.79 | 0.00 | 0.00 | 0.00 | 90.0 | 0.00 |
| 03/22/2017 | HICKEL, TONY | SPDR S&P MIDCAP 400 ETF TR UNIT SER | 9,506.09 | 0.00 | 0.00 | 0.00 | 90.0 | 0.00 |
| 03/28/2017 | HELLER, GREG | SPDR S&P MIDCAP 400 ETF TR UNIT SER | 2,469.47 | 0.00 | 0.00 | 0.00 | 90.0 | 0.00 |
| 03/28/2017 | HELLER, GREG | SPDR S&P MIDCAP 400 ETF TR UNIT SER | 29,016.28 | 0.00 | 0.00 | 0.00 | 90.0 | 0.00 |
| 03/22/2017 | LIESENER, MARTY | SPDR SER TR BARCLAYS HIGH YIELD BD | 2,072.91 | 0.00 | 0.00 | 0.00 | 90.0 | 0.00 |
| 03/22/2017 | MILLER, MELINDA | SPDR SER TR BARCLAYS HIGH YIELD BD | 1,963.81 | 0.00 | 0.00 | 0.00 | 90.0 | 0.00 |
| 03/22/2017 | MILLER, CHARLES | SPDR SER TR BARCLAYS HIGH YIELD BD | 2,800.25 | 0.00 | 0.00 | 0.00 | 90.0 | 0.00 |
| 03/22/2017 | MILLER, CHARLES | SPDR SER TR BARCLAYS HIGH YIELD BD | 2,036.54 | 0.00 | 0.00 | 0.00 | 90.0 | 0.00 |
| 03/22/2017 | WEBER, DANIEL | SPDR SER TR BARCLAYS HIGH YIELD BD | 3,454.85 | 0.00 | 0.00 | 0.00 | 90.0 | 0.00 |
| 03/22/2017 | BROE, CRAIG | SPDR SER TR BARCLAYS HIGH YIELD BD | 7,600.67 | 0.00 | 0.00 | 0.00 | 90.0 | 0.00 |
| 03/22/2017 | HICKEL, TONY | SPDR SER TR BARCLAYS HIGH YIELD BD | 8,364.37 | 0.00 | 0.00 | 0.00 | 90.0 | 0.00 |
| 03/28/2017 | HELLER, GREG | SPDR SER TR BARCLAYS HIGH YIELD BD | 2,197.65 | 0.00 | 0.00 | 0.00 | 90.0 | 0.00 |
| 03/28/2017 | HELLER, GREG | SPDR SER TR BARCLAYS HIGH YIELD BD | 25,016.54 | 0.00 | 0.00 | 0.00 | 90.0 | 0.00 |
| 03/20/2017 | LIESENER, MARTY | STERLING CAP FUNDS | -1,000.06 | 0.00 | 0.00 | 0.00 | 90.0 | 0.00 |
| 03/20/2017 | MILLER, MELINDA | STERLING CAP FUNDS | -933.97 | 0.00 | 0.00 | 0.00 | 90.0 | 0.00 |
| 03/20/2017 | MILLER, CHARLES | STERLING CAP FUNDS | -1,330.33 | 0.00 | 0.00 | 0.00 | 90.0 | 0.00 |
| 03/20/2017 | MILLER, CHARLES | STERLING CAP FUNDS | -978.14 | 0.00 | 0.00 | 0.00 | 90.0 | 0.00 |
| 03/20/2017 | WEBER, DANIEL | STERLING CAP FUNDS | -1,650.48 | 0.00 | 0.00 | 0.00 | 90.0 | 0.00 |
| 03/20/2017 | BROE, CRAIG | STERLING CAP FUNDS | -3,611.90 | 0.00 | 0.00 | 0.00 | 90.0 | 0.00 |
| 03/20/2017 | HICKEL, TONY | STERLING CAP FUNDS | -3,978.07 | 0.00 | 0.00 | 0.00 | 90.0 | 0.00 |
| 03/27/2017 | HELLER, GREG | VANGUARD CHARLOTTE FDS TOTAL INTL B | -702.44 | 0.00 | 0.00 | 0.00 | 90.0 | 0.00 |
| 03/27/2017 | HELLER, GREG | VANGUARD CHARLOTTE FDS TOTAL INTL B | -8,213.09 | 0.00 | 0.00 | 0.00 | 90.0 | 0.00 |
| 03/22/2017 | LIESENER, MARTY | VANGUARD INDEX FDS VANGUARD REIT ET | 162.61 | 0.00 | 0.00 | 0.00 | 90.0 | 0.00 |
| 03/22/2017 | MILLER, MELINDA | VANGUARD INDEX FDS VANGUARD REIT ET | 162.61 | 0.00 | 0.00 | 0.00 | 90.0 | 0.00 |
| 03/22/2017 | MILLER, CHARLES | VANGUARD INDEX FDS VANGUARD REIT ET | 243.92 | 0.00 | 0.00 | 0.00 | 90.0 | 0.00 |
| 03/22/2017 | MILLER, CHARLES | VANGUARD INDEX FDS VANGUARD REIT ET | 243.92 | 0.00 | 0.00 | 0.00 | 90.0 | 0.00 |
| 03/22/2017 | WEBER, DANIEL | VANGUARD INDEX FDS VANGUARD REIT ET | 325.23 | 0.00 | 0.00 | 0.00 | 90.0 | 0.00 |
| 03/22/2017 | BROE, CRAIG | VANGUARD INDEX FDS VANGUARD REIT ET | 650.45 | 0.00 | 0.00 | 0.00 | 90.0 | 0.00 |
| 03/22/2017 | HICKEL, TONY | VANGUARD INDEX FDS VANGUARD REIT ET | 813.07 | 0.00 | 0.00 | 0.00 | 90.0 | 0.00 |
| 03/28/2017 | HELLER, GREG | VANGUARD INDEX FDS VANGUARD REIT ET | 162.48 | 0.00 | 0.00 | 0.00 | 90.0 | 0.00 |
| 03/28/2017 | HELLER, GREG | VANGUARD INDEX FDS VANGUARD REIT ET | 2,030.95 | 0.00 | 0.00 | 0.00 | 90.0 | 0.00 |
| 03/22/2017 | LIESENER, MARTY | VANGUARD INTL EQUITY INDEX FD INC F | 14,717.65 | 0.00 | 0.00 | 0.00 | 90.0 | 0.00 |

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| DATE | CLIENT | INVESTMENT | INVESTMENT AMOUNT | GROSS COMMISSION | CLEARING CHARGE | NET COMMISSION | RATE | BROKER COMMISSION |
|---|--------------------|-------------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <u>SPLIT TRANSACTIONS</u> | | | | | | | | |
| <u>BROKER: BLB BRENT/BRION TRU-LEE/NORBY #332</u> | | | | | | | | |
| 03/22/2017 | MILLER, MELINDA | VANGUARD INTL EQUITY INDEX FD INC F | 13,717.42 | 0.00 | 0.00 | 0.00 | 90.0 | 0.00 |
| 03/22/2017 | MILLER, CHARLES | VANGUARD INTL EQUITY INDEX FD INC F | 19,575.91 | 0.00 | 0.00 | 0.00 | 90.0 | 0.00 |
| 03/22/2017 | MILLER, CHARLES | VANGUARD INTL EQUITY INDEX FD INC F | 14,384.24 | 0.00 | 0.00 | 0.00 | 90.0 | 0.00 |
| 03/22/2017 | WEBER, DANIEL | VANGUARD INTL EQUITY INDEX FD INC F | 24,338.90 | 0.00 | 0.00 | 0.00 | 90.0 | 0.00 |
| 03/22/2017 | BROE, CRAIG | VANGUARD INTL EQUITY INDEX FD INC F | 53,393.16 | 0.00 | 0.00 | 0.00 | 90.0 | 0.00 |
| 03/22/2017 | HICKEL, TONY | VANGUARD INTL EQUITY INDEX FD INC F | 58,775.35 | 0.00 | 0.00 | 0.00 | 90.0 | 0.00 |
| 03/28/2017 | HELLER, GREG | VANGUARD INTL EQUITY INDEX FD INC F | 15,500.48 | 0.00 | 0.00 | 0.00 | 90.0 | 0.00 |
| 03/28/2017 | HELLER, GREG | VANGUARD INTL EQUITY INDEX FD INC F | 175,078.42 | 0.00 | 0.00 | 0.00 | 90.0 | 0.00 |
| * BLB BRENT/BRION TRU-LEE/NORBY SUBTOTAL * | | | \$-8,156.58 | \$0.00 | \$0.00 | \$0.00 | | \$0.00 |
| <u>BROKER: BJB JEN-BRENT-BRION TRU-DONAIIS-LEE- #334</u> | | | | | | | | |
| 03/07/2017 | HUGGINS, JAMES | RBC | 0.00 | 23.53 | 0.00 | 23.53 | 90.0 | 21.18 |
| 03/07/2017 | HUGGINS, JAMES | RBC | 0.00 | 11.64 | 0.00 | 11.64 | 90.0 | 10.48 |
| * BJB JEN-BRENT-BRION TRU-DONAIIS-LEE- SUBTOTAL * | | | \$0.00 | \$35.17 | \$0.00 | \$35.17 | | \$31.66 |
| <u>BROKER: BBJ-BRENT-BRION-JEN TRU-LEE-NORBY-D #335</u> | | | | | | | | |
| 03/20/2017 | KEMPER, JEROME | AMG GW&K ENHANCED CORE BOND FUND CL | -5,921.79 | 0.00 | 0.00 | 0.00 | 90.0 | 0.00 |
| 03/20/2017 | RETZLAFF, SANDRA | AMG GW&K ENHANCED CORE BOND FUND CL | -2,893.63 | 0.00 | 0.00 | 0.00 | 90.0 | 0.00 |
| 03/20/2017 | SKAARE, LARRY | AMG GW&K ENHANCED CORE BOND FUND CL | -892.10 | 0.00 | 0.00 | 0.00 | 90.0 | 0.00 |
| 03/20/2017 | RASMUSSEN, CLINTON | AMG GW&K ENHANCED CORE BOND FUND CL | -4,600.26 | 0.00 | 0.00 | 0.00 | 90.0 | 0.00 |
| 03/20/2017 | KEMPER, JEROME | CAMBIAR INTERNATIONAL EQUITY FUND I | -41,719.12 | 0.00 | 0.00 | 0.00 | 90.0 | 0.00 |
| 03/20/2017 | MONETTE, PEGGY | CAMBIAR INTERNATIONAL EQUITY FUND I | -53,162.21 | 0.00 | 0.00 | 0.00 | 90.0 | 0.00 |
| 03/20/2017 | MONETTE, PEGGY | CAMBIAR INTERNATIONAL EQUITY FUND I | -10,470.29 | 0.00 | 0.00 | 0.00 | 90.0 | 0.00 |
| 03/20/2017 | RETZLAFF, SANDRA | CAMBIAR INTERNATIONAL EQUITY FUND I | -20,378.41 | 0.00 | 0.00 | 0.00 | 90.0 | 0.00 |
| 03/20/2017 | SKAARE, LARRY | CAMBIAR INTERNATIONAL EQUITY FUND I | -6,299.73 | 0.00 | 0.00 | 0.00 | 90.0 | 0.00 |
| 03/20/2017 | RASMUSSEN, CLINTON | CAMBIAR INTERNATIONAL EQUITY FUND I | -10,293.63 | 0.00 | 0.00 | 0.00 | 90.0 | 0.00 |
| 03/20/2017 | LEE, CONNIE | CAMBIAR INTERNATIONAL EQUITY FUND I | -12,153.49 | 0.00 | 0.00 | 0.00 | 90.0 | 0.00 |
| 03/20/2017 | LEE, DONALD | CAMBIAR INTERNATIONAL EQUITY FUND I | -33,685.83 | 0.00 | 0.00 | 0.00 | 90.0 | 0.00 |
| 03/20/2017 | SKAARE, LARRY | CAMBIAR INTERNATIONAL EQUITY FUND I | -31,462.43 | 0.00 | 0.00 | 0.00 | 90.0 | 0.00 |
| 03/20/2017 | KUHN, KENNETH | CAMBIAR INTERNATIONAL EQUITY FUND I | -15,008.73 | 0.00 | 0.00 | 0.00 | 90.0 | 0.00 |
| 03/22/2017 | KEMPER, JEROME | CATALYST HEDGED FUTURES STRATEGY FU | 3,400.09 | 0.00 | 0.00 | 0.00 | 90.0 | 0.00 |
| 03/22/2017 | MONETTE, PEGGY | CATALYST HEDGED FUTURES STRATEGY FU | 3,260.85 | 0.00 | 0.00 | 0.00 | 90.0 | 0.00 |
| 03/22/2017 | LEE, DONALD | CATALYST HEDGED FUTURES STRATEGY FU | 2,057.99 | 0.00 | 0.00 | 0.00 | 90.0 | 0.00 |
| 03/22/2017 | KUHN, KENNETH | CATALYST HEDGED FUTURES STRATEGY FU | 1,741.04 | 0.00 | 0.00 | 0.00 | 90.0 | 0.00 |

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|--|--------------------|-------------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <u>SPLIT TRANSACTIONS</u> | | | | | | | | |
| <u>BROKER: BBJ-BRENT-BRION-JEN TRU-LEE-NORBY-D #335</u> | | | | | | | | |
| 03/23/2017 | LEE, CONNIE | CATALYST HEDGED FUTURES STRATEGY FU | 128.24 | 0.00 | 0.00 | 0.00 | 90.0 | 0.00 |
| 03/20/2017 | RASMUSSEN, CLINTON | CLEARBRIDGE MID CAP | -3,455.93 | 0.00 | 0.00 | 0.00 | 90.0 | 0.00 |
| 03/20/2017 | KEMPER, JEROME | CONGRESS MID CAP GROWTH FUND INSTIT | -7,113.42 | 0.00 | 0.00 | 0.00 | 90.0 | 0.00 |
| 03/20/2017 | MONETTE, PEGGY | CONGRESS MID CAP GROWTH FUND INSTIT | -6,377.31 | 0.00 | 0.00 | 0.00 | 90.0 | 0.00 |
| 03/20/2017 | MONETTE, PEGGY | CONGRESS MID CAP GROWTH FUND INSTIT | -1,255.95 | 0.00 | 0.00 | 0.00 | 90.0 | 0.00 |
| 03/20/2017 | RETZLAFF, SANDRA | CONGRESS MID CAP GROWTH FUND INSTIT | -3,476.96 | 0.00 | 0.00 | 0.00 | 90.0 | 0.00 |
| 03/20/2017 | SKAARE, LARRY | CONGRESS MID CAP GROWTH FUND INSTIT | -1,054.42 | 0.00 | 0.00 | 0.00 | 90.0 | 0.00 |
| 03/20/2017 | LEE, CONNIE | CONGRESS MID CAP GROWTH FUND INSTIT | -1,457.93 | 0.00 | 0.00 | 0.00 | 90.0 | 0.00 |
| 03/20/2017 | LEE, DONALD | CONGRESS MID CAP GROWTH FUND INSTIT | -4,040.92 | 0.00 | 0.00 | 0.00 | 90.0 | 0.00 |
| 03/20/2017 | SKAARE, LARRY | CONGRESS MID CAP GROWTH FUND INSTIT | -3,773.83 | 0.00 | 0.00 | 0.00 | 90.0 | 0.00 |
| 03/20/2017 | KUHN, KENNETH | CONGRESS MID CAP GROWTH FUND INSTIT | -1,708.84 | 0.00 | 0.00 | 0.00 | 90.0 | 0.00 |
| 03/20/2017 | KEMPER, JEROME | CREDIT SUISSE COMMODITY RETURN STRA | -6,774.97 | 0.00 | 0.00 | 0.00 | 90.0 | 0.00 |
| 03/20/2017 | MONETTE, PEGGY | CREDIT SUISSE COMMODITY RETURN STRA | -6,354.50 | 0.00 | 0.00 | 0.00 | 90.0 | 0.00 |
| 03/20/2017 | MONETTE, PEGGY | CREDIT SUISSE COMMODITY RETURN STRA | -1,251.44 | 0.00 | 0.00 | 0.00 | 90.0 | 0.00 |
| 03/20/2017 | RETZLAFF, SANDRA | CREDIT SUISSE COMMODITY RETURN STRA | -3,310.79 | 0.00 | 0.00 | 0.00 | 90.0 | 0.00 |
| 03/20/2017 | SKAARE, LARRY | CREDIT SUISSE COMMODITY RETURN STRA | -1,014.26 | 0.00 | 0.00 | 0.00 | 90.0 | 0.00 |
| 03/20/2017 | RASMUSSEN, CLINTON | CREDIT SUISSE COMMODITY RETURN STRA | -2,101.66 | 0.00 | 0.00 | 0.00 | 90.0 | 0.00 |
| 03/20/2017 | LEE, CONNIE | CREDIT SUISSE COMMODITY RETURN STRA | -1,452.73 | 0.00 | 0.00 | 0.00 | 90.0 | 0.00 |
| 03/20/2017 | LEE, DONALD | CREDIT SUISSE COMMODITY RETURN STRA | -4,026.00 | 0.00 | 0.00 | 0.00 | 90.0 | 0.00 |
| 03/20/2017 | SKAARE, LARRY | CREDIT SUISSE COMMODITY RETURN STRA | -3,760.98 | 0.00 | 0.00 | 0.00 | 90.0 | 0.00 |
| 03/20/2017 | KUHN, KENNETH | CREDIT SUISSE COMMODITY RETURN STRA | -1,817.24 | 0.00 | 0.00 | 0.00 | 90.0 | 0.00 |
| 03/20/2017 | KEMPER, JEROME | HORIZON ACTIVE ASSET ALLOCATION FUN | -31,240.86 | 0.00 | 0.00 | 0.00 | 90.0 | 0.00 |
| 03/20/2017 | MONETTE, PEGGY | HORIZON ACTIVE ASSET ALLOCATION FUN | -35,148.21 | 0.00 | 0.00 | 0.00 | 90.0 | 0.00 |
| 03/20/2017 | MONETTE, PEGGY | HORIZON ACTIVE ASSET ALLOCATION FUN | -6,922.20 | 0.00 | 0.00 | 0.00 | 90.0 | 0.00 |
| 03/20/2017 | RETZLAFF, SANDRA | HORIZON ACTIVE ASSET ALLOCATION FUN | -15,267.98 | 0.00 | 0.00 | 0.00 | 90.0 | 0.00 |
| 03/20/2017 | SKAARE, LARRY | HORIZON ACTIVE ASSET ALLOCATION FUN | -4,663.68 | 0.00 | 0.00 | 0.00 | 90.0 | 0.00 |
| 03/20/2017 | RASMUSSEN, CLINTON | HORIZON ACTIVE ASSET ALLOCATION FUN | -7,756.41 | 0.00 | 0.00 | 0.00 | 90.0 | 0.00 |
| 03/20/2017 | LEE, CONNIE | HORIZON ACTIVE ASSET ALLOCATION FUN | -8,035.36 | 0.00 | 0.00 | 0.00 | 90.0 | 0.00 |
| 03/20/2017 | LEE, DONALD | HORIZON ACTIVE ASSET ALLOCATION FUN | -22,271.40 | 0.00 | 0.00 | 0.00 | 90.0 | 0.00 |
| 03/20/2017 | SKAARE, LARRY | HORIZON ACTIVE ASSET ALLOCATION FUN | -20,568.95 | 0.00 | 0.00 | 0.00 | 90.0 | 0.00 |
| 03/20/2017 | KUHN, KENNETH | HORIZON ACTIVE ASSET ALLOCATION FUN | -9,465.85 | 0.00 | 0.00 | 0.00 | 90.0 | 0.00 |
| 03/20/2017 | FREIH, DIANE | ISHARES TR CORE TOTAL U S BD MKT ET | 3,128.75 | 0.00 | 0.00 | 0.00 | 90.0 | 0.00 |
| 03/22/2017 | KEMPER, JEROME | ISHARES TR CORE TOTAL U S BD MKT ET | 22,667.41 | 0.00 | 0.00 | 0.00 | 90.0 | 0.00 |

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

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

| DATE | CLIENT | INVESTMENT | INVESTMENT AMOUNT | GROSS COMMISSION | CLEARING CHARGE | NET COMMISSION | RATE | BROKER COMMISSION |
|---|--------------------|-------------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <u>SPLIT TRANSACTIONS</u> | | | | | | | | |
| BROKER: BBJ-BRENT-BRION-JEN TRU-LEE-NORBY-D #335 | | | | | | | | |
| 03/20/2017 | FREIH, DIANE | ISHARES TR RUSSELL 2000 INDEX FD | 3,039.04 | 0.00 | 0.00 | 0.00 | 90.0 | 0.00 |
| 03/22/2017 | KEMPER, JEROME | ISHARES TR RUSSELL 2000 INDEX FD | 2,404.02 | 0.00 | 0.00 | 0.00 | 90.0 | 0.00 |
| 03/22/2017 | MONETTE, PEGGY | ISHARES TR RUSSELL 2000 INDEX FD | 2,537.57 | 0.00 | 0.00 | 0.00 | 90.0 | 0.00 |
| 03/22/2017 | MONETTE, PEGGY | ISHARES TR RUSSELL 2000 INDEX FD | 534.23 | 0.00 | 0.00 | 0.00 | 90.0 | 0.00 |
| 03/22/2017 | RETZLAFF, SANDRA | ISHARES TR RUSSELL 2000 INDEX FD | 2,804.69 | 0.00 | 0.00 | 0.00 | 90.0 | 0.00 |
| 03/22/2017 | SKAARE, LARRY | ISHARES TR RUSSELL 2000 INDEX FD | 267.11 | 0.00 | 0.00 | 0.00 | 90.0 | 0.00 |
| 03/22/2017 | RASMUSSEN, CLINTON | ISHARES TR RUSSELL 2000 INDEX FD | 1,736.23 | 0.00 | 0.00 | 0.00 | 90.0 | 0.00 |
| 03/22/2017 | LEE, DONALD | ISHARES TR RUSSELL 2000 INDEX FD | 1,602.68 | 0.00 | 0.00 | 0.00 | 90.0 | 0.00 |
| 03/22/2017 | SKAARE, LARRY | ISHARES TR RUSSELL 2000 INDEX FD | 6,410.71 | 0.00 | 0.00 | 0.00 | 90.0 | 0.00 |
| 03/22/2017 | KUHN, KENNETH | ISHARES TR RUSSELL 2000 INDEX FD | 801.34 | 0.00 | 0.00 | 0.00 | 90.0 | 0.00 |
| 03/23/2017 | LEE, CONNIE | ISHARES TR RUSSELL 2000 INDEX FD | 676.19 | 0.00 | 0.00 | 0.00 | 90.0 | 0.00 |
| 03/20/2017 | FREIH, DIANE | ISHARES TR S&P 500 INDEX FD | 8,870.68 | 0.00 | 0.00 | 0.00 | 90.0 | 0.00 |
| 03/22/2017 | KEMPER, JEROME | ISHARES TR S&P 500 INDEX FD | 40,013.14 | 0.00 | 0.00 | 0.00 | 90.0 | 0.00 |
| 03/22/2017 | MONETTE, PEGGY | ISHARES TR S&P 500 INDEX FD | 35,751.39 | 0.00 | 0.00 | 0.00 | 90.0 | 0.00 |
| 03/22/2017 | MONETTE, PEGGY | ISHARES TR S&P 500 INDEX FD | 7,102.92 | 0.00 | 0.00 | 0.00 | 90.0 | 0.00 |
| 03/22/2017 | RETZLAFF, SANDRA | ISHARES TR S&P 500 INDEX FD | 23,913.18 | 0.00 | 0.00 | 0.00 | 90.0 | 0.00 |
| 03/22/2017 | SKAARE, LARRY | ISHARES TR S&P 500 INDEX FD | 5,682.34 | 0.00 | 0.00 | 0.00 | 90.0 | 0.00 |
| 03/22/2017 | RASMUSSEN, CLINTON | ISHARES TR S&P 500 INDEX FD | 11,838.21 | 0.00 | 0.00 | 0.00 | 90.0 | 0.00 |
| 03/22/2017 | LEE, DONALD | ISHARES TR S&P 500 INDEX FD | 22,492.59 | 0.00 | 0.00 | 0.00 | 90.0 | 0.00 |
| 03/22/2017 | SKAARE, LARRY | ISHARES TR S&P 500 INDEX FD | 36,461.68 | 0.00 | 0.00 | 0.00 | 90.0 | 0.00 |
| 03/22/2017 | KUHN, KENNETH | ISHARES TR S&P 500 INDEX FD | 9,944.09 | 0.00 | 0.00 | 0.00 | 90.0 | 0.00 |
| 03/23/2017 | LEE, CONNIE | ISHARES TR S&P 500 INDEX FD | 8,537.26 | 0.00 | 0.00 | 0.00 | 90.0 | 0.00 |
| 03/20/2017 | KEMPER, JEROME | JH DISCIPLINED VAL CL 1 | -16,789.87 | 0.00 | 0.00 | 0.00 | 90.0 | 0.00 |
| 03/20/2017 | MONETTE, PEGGY | JH DISCIPLINED VAL CL 1 | -14,021.62 | 0.00 | 0.00 | 0.00 | 90.0 | 0.00 |
| 03/20/2017 | MONETTE, PEGGY | JH DISCIPLINED VAL CL 1 | -2,761.35 | 0.00 | 0.00 | 0.00 | 90.0 | 0.00 |
| 03/20/2017 | RETZLAFF, SANDRA | JH DISCIPLINED VAL CL 1 | -8,206.64 | 0.00 | 0.00 | 0.00 | 90.0 | 0.00 |
| 03/20/2017 | SKAARE, LARRY | JH DISCIPLINED VAL CL 1 | -2,497.73 | 0.00 | 0.00 | 0.00 | 90.0 | 0.00 |
| 03/20/2017 | RASMUSSEN, CLINTON | JH DISCIPLINED VAL CL 1 | -4,828.15 | 0.00 | 0.00 | 0.00 | 90.0 | 0.00 |
| 03/20/2017 | LEE, CONNIE | JH DISCIPLINED VAL CL 1 | -3,205.51 | 0.00 | 0.00 | 0.00 | 90.0 | 0.00 |
| 03/20/2017 | LEE, DONALD | JH DISCIPLINED VAL CL 1 | -8,884.68 | 0.00 | 0.00 | 0.00 | 90.0 | 0.00 |
| 03/20/2017 | SKAARE, LARRY | JH DISCIPLINED VAL CL 1 | -8,297.20 | 0.00 | 0.00 | 0.00 | 90.0 | 0.00 |
| 03/20/2017 | KUHN, KENNETH | JH DISCIPLINED VAL CL 1 | -3,800.14 | 0.00 | 0.00 | 0.00 | 90.0 | 0.00 |
| 03/20/2017 | KEMPER, JEROME | METROPOLITAN WEST TOTAL RETURN BOND | -5,921.05 | 0.00 | 0.00 | 0.00 | 90.0 | 0.00 |

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| DATE | CLIENT | INVESTMENT | INVESTMENT AMOUNT | GROSS COMMISSION | CLEARING CHARGE | NET COMMISSION | RATE | BROKER COMMISSION |
|---|--------------------|-------------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <u>SPLIT TRANSACTIONS</u> | | | | | | | | |
| BROKER: BBJ-BRENT-BRION-JEN TRU-LEE-NORBY-D #335 | | | | | | | | |
| 03/20/2017 | RETZLAFF, SANDRA | METROPOLITAN WEST TOTAL RETURN BOND | -2,893.23 | 0.00 | 0.00 | 0.00 | 90.0 | 0.00 |
| 03/20/2017 | SKAARE, LARRY | METROPOLITAN WEST TOTAL RETURN BOND | -893.66 | 0.00 | 0.00 | 0.00 | 90.0 | 0.00 |
| 03/20/2017 | RASMUSSEN, CLINTON | METROPOLITAN WEST TOTAL RETURN BOND | -4,600.38 | 0.00 | 0.00 | 0.00 | 90.0 | 0.00 |
| 03/20/2017 | KEMPER, JEROME | MFS INTL NEW DISCOVERY FUND I | -11,143.74 | 0.00 | 0.00 | 0.00 | 90.0 | 0.00 |
| 03/20/2017 | MONETTE, PEGGY | MFS INTL NEW DISCOVERY FUND I | -13,798.87 | 0.00 | 0.00 | 0.00 | 90.0 | 0.00 |
| 03/20/2017 | MONETTE, PEGGY | MFS INTL NEW DISCOVERY FUND I | -2,717.76 | 0.00 | 0.00 | 0.00 | 90.0 | 0.00 |
| 03/20/2017 | RETZLAFF, SANDRA | MFS INTL NEW DISCOVERY FUND I | -5,446.07 | 0.00 | 0.00 | 0.00 | 90.0 | 0.00 |
| 03/20/2017 | SKAARE, LARRY | MFS INTL NEW DISCOVERY FUND I | -1,681.38 | 0.00 | 0.00 | 0.00 | 90.0 | 0.00 |
| 03/20/2017 | RASMUSSEN, CLINTON | MFS INTL NEW DISCOVERY FUND I | -2,087.82 | 0.00 | 0.00 | 0.00 | 90.0 | 0.00 |
| 03/20/2017 | LEE, CONNIE | MFS INTL NEW DISCOVERY FUND I | -3,154.58 | 0.00 | 0.00 | 0.00 | 90.0 | 0.00 |
| 03/20/2017 | LEE, DONALD | MFS INTL NEW DISCOVERY FUND I | -8,743.53 | 0.00 | 0.00 | 0.00 | 90.0 | 0.00 |
| 03/20/2017 | SKAARE, LARRY | MFS INTL NEW DISCOVERY FUND I | -8,166.30 | 0.00 | 0.00 | 0.00 | 90.0 | 0.00 |
| 03/20/2017 | KUHN, KENNETH | MFS INTL NEW DISCOVERY FUND I | -3,745.95 | 0.00 | 0.00 | 0.00 | 90.0 | 0.00 |
| 03/20/2017 | KEMPER, JEROME | NAVIGATOR TACTICAL FIXED INCOME FUN | -9,943.64 | 0.00 | 0.00 | 0.00 | 90.0 | 0.00 |
| 03/20/2017 | MONETTE, PEGGY | NAVIGATOR TACTICAL FIXED INCOME FUN | -3,724.46 | 0.00 | 0.00 | 0.00 | 90.0 | 0.00 |
| 03/20/2017 | MONETTE, PEGGY | NAVIGATOR TACTICAL FIXED INCOME FUN | -733.53 | 0.00 | 0.00 | 0.00 | 90.0 | 0.00 |
| 03/20/2017 | RETZLAFF, SANDRA | NAVIGATOR TACTICAL FIXED INCOME FUN | -4,859.37 | 0.00 | 0.00 | 0.00 | 90.0 | 0.00 |
| 03/20/2017 | SKAARE, LARRY | NAVIGATOR TACTICAL FIXED INCOME FUN | -1,481.72 | 0.00 | 0.00 | 0.00 | 90.0 | 0.00 |
| 03/20/2017 | RASMUSSEN, CLINTON | NAVIGATOR TACTICAL FIXED INCOME FUN | -4,937.46 | 0.00 | 0.00 | 0.00 | 90.0 | 0.00 |
| 03/20/2017 | LEE, CONNIE | NAVIGATOR TACTICAL FIXED INCOME FUN | -851.46 | 0.00 | 0.00 | 0.00 | 90.0 | 0.00 |
| 03/20/2017 | LEE, DONALD | NAVIGATOR TACTICAL FIXED INCOME FUN | -2,359.98 | 0.00 | 0.00 | 0.00 | 90.0 | 0.00 |
| 03/20/2017 | SKAARE, LARRY | NAVIGATOR TACTICAL FIXED INCOME FUN | -2,204.18 | 0.00 | 0.00 | 0.00 | 90.0 | 0.00 |
| 03/20/2017 | KUHN, KENNETH | NAVIGATOR TACTICAL FIXED INCOME FUN | -1,042.42 | 0.00 | 0.00 | 0.00 | 90.0 | 0.00 |
| 03/20/2017 | KEMPER, JEROME | NORTHERN MULTI- MANAGER EMERGING MA | -6,926.72 | 0.00 | 0.00 | 0.00 | 90.0 | 0.00 |
| 03/20/2017 | MONETTE, PEGGY | NORTHERN MULTI- MANAGER EMERGING MA | -8,248.96 | 0.00 | 0.00 | 0.00 | 90.0 | 0.00 |
| 03/20/2017 | MONETTE, PEGGY | NORTHERN MULTI- MANAGER EMERGING MA | -1,624.53 | 0.00 | 0.00 | 0.00 | 90.0 | 0.00 |
| 03/20/2017 | RETZLAFF, SANDRA | NORTHERN MULTI- MANAGER EMERGING MA | -3,385.68 | 0.00 | 0.00 | 0.00 | 90.0 | 0.00 |
| 03/20/2017 | SKAARE, LARRY | NORTHERN MULTI- MANAGER EMERGING MA | -1,042.72 | 0.00 | 0.00 | 0.00 | 90.0 | 0.00 |
| 03/20/2017 | RASMUSSEN, CLINTON | NORTHERN MULTI- MANAGER EMERGING MA | -1,432.92 | 0.00 | 0.00 | 0.00 | 90.0 | 0.00 |
| 03/20/2017 | LEE, CONNIE | NORTHERN MULTI- MANAGER EMERGING MA | -1,885.82 | 0.00 | 0.00 | 0.00 | 90.0 | 0.00 |
| 03/20/2017 | LEE, DONALD | NORTHERN MULTI- MANAGER EMERGING MA | -5,226.90 | 0.00 | 0.00 | 0.00 | 90.0 | 0.00 |
| 03/20/2017 | SKAARE, LARRY | NORTHERN MULTI- MANAGER EMERGING MA | -4,881.69 | 0.00 | 0.00 | 0.00 | 90.0 | 0.00 |
| 03/20/2017 | KUHN, KENNETH | NORTHERN MULTI- MANAGER EMERGING MA | -2,175.04 | 0.00 | 0.00 | 0.00 | 90.0 | 0.00 |

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| DATE | CLIENT | INVESTMENT | INVESTMENT AMOUNT | GROSS COMMISSION | CLEARING CHARGE | NET COMMISSION | RATE | BROKER COMMISSION |
|---|--------------------|-------------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <u>SPLIT TRANSACTIONS</u> | | | | | | | | |
| BROKER: BBJ-BRENT-BRION-JEN TRU-LEE-NORBY-D #335 | | | | | | | | |
| 03/02/2017 | KUHN, KENNETH | PERSHING | 11,920.69 | -4.90 | 0.00 | -4.90 | 90.0 | -4.41 |
| 03/02/2017 | KUHN, KRISTINE | PERSHING | 63,443.14 | -26.07 | 0.00 | -26.07 | 90.0 | -23.46 |
| 03/02/2017 | KUHN, KENNETH | PERSHING | 44,500.47 | -18.29 | 0.00 | -18.29 | 90.0 | -16.46 |
| 03/02/2017 | KUHN, KRISTINE | PERSHING | 10,509.03 | -4.32 | 0.00 | -4.32 | 90.0 | -3.89 |
| 03/02/2017 | KUHN, KENNETH | PERSHING | 75,002.59 | -30.83 | 0.00 | -30.83 | 90.0 | -27.75 |
| 03/02/2017 | KUHN, KENNETH | PERSHING | 9,480.63 | -3.89 | 0.00 | -3.89 | 90.0 | -3.50 |
| 03/02/2017 | FREIH, DIANE | PERSHING | 21,287.39 | -9.04 | 0.00 | -9.04 | 90.0 | -8.14 |
| 03/02/2017 | FREIH, DIANE | PERSHING | 170,804.03 | -72.53 | 0.00 | -72.53 | 90.0 | -65.28 |
| 03/20/2017 | FREIH, DIANE | POWERSHARES DB COMMODITY INDEX TRAC | 1,542.58 | 0.00 | 0.00 | 0.00 | 90.0 | 0.00 |
| 03/22/2017 | KEMPER, JEROME | POWERSHARES DB COMMODITY INDEX TRAC | 6,907.55 | 0.00 | 0.00 | 0.00 | 90.0 | 0.00 |
| 03/22/2017 | MONETTE, PEGGY | POWERSHARES DB COMMODITY INDEX TRAC | 6,505.60 | 0.00 | 0.00 | 0.00 | 90.0 | 0.00 |
| 03/22/2017 | MONETTE, PEGGY | POWERSHARES DB COMMODITY INDEX TRAC | 1,295.17 | 0.00 | 0.00 | 0.00 | 90.0 | 0.00 |
| 03/22/2017 | RETZLAFF, SANDRA | POWERSHARES DB COMMODITY INDEX TRAC | 4,346.99 | 0.00 | 0.00 | 0.00 | 90.0 | 0.00 |
| 03/22/2017 | SKAARE, LARRY | POWERSHARES DB COMMODITY INDEX TRAC | 1,042.09 | 0.00 | 0.00 | 0.00 | 90.0 | 0.00 |
| 03/22/2017 | RASMUSSEN, CLINTON | POWERSHARES DB COMMODITY INDEX TRAC | 2,158.61 | 0.00 | 0.00 | 0.00 | 90.0 | 0.00 |
| 03/22/2017 | LEE, DONALD | POWERSHARES DB COMMODITY INDEX TRAC | 4,108.80 | 0.00 | 0.00 | 0.00 | 90.0 | 0.00 |
| 03/22/2017 | SKAARE, LARRY | POWERSHARES DB COMMODITY INDEX TRAC | 6,639.58 | 0.00 | 0.00 | 0.00 | 90.0 | 0.00 |
| 03/22/2017 | KUHN, KENNETH | POWERSHARES DB COMMODITY INDEX TRAC | 1,831.10 | 0.00 | 0.00 | 0.00 | 90.0 | 0.00 |
| 03/23/2017 | LEE, CONNIE | POWERSHARES DB COMMODITY INDEX TRAC | 1,560.98 | 0.00 | 0.00 | 0.00 | 90.0 | 0.00 |
| 03/20/2017 | FREIH, DIANE | POWERSHARES EXCHANGE-TRADED FD TR I | 1,884.30 | 0.00 | 0.00 | 0.00 | 90.0 | 0.00 |
| 03/22/2017 | KEMPER, JEROME | POWERSHARES EXCHANGE-TRADED FD TR I | 8,885.41 | 0.00 | 0.00 | 0.00 | 90.0 | 0.00 |
| 03/22/2017 | MONETTE, PEGGY | POWERSHARES EXCHANGE-TRADED FD TR I | 4,639.90 | 0.00 | 0.00 | 0.00 | 90.0 | 0.00 |
| 03/22/2017 | MONETTE, PEGGY | POWERSHARES EXCHANGE-TRADED FD TR I | 927.98 | 0.00 | 0.00 | 0.00 | 90.0 | 0.00 |
| 03/22/2017 | RETZLAFF, SANDRA | POWERSHARES EXCHANGE-TRADED FD TR I | 3,108.73 | 0.00 | 0.00 | 0.00 | 90.0 | 0.00 |
| 03/22/2017 | SKAARE, LARRY | POWERSHARES EXCHANGE-TRADED FD TR I | 742.38 | 0.00 | 0.00 | 0.00 | 90.0 | 0.00 |
| 03/22/2017 | RASMUSSEN, CLINTON | POWERSHARES EXCHANGE-TRADED FD TR I | 1,531.17 | 0.00 | 0.00 | 0.00 | 90.0 | 0.00 |
| 03/22/2017 | LEE, DONALD | POWERSHARES EXCHANGE-TRADED FD TR I | 2,946.34 | 0.00 | 0.00 | 0.00 | 90.0 | 0.00 |
| 03/22/2017 | SKAARE, LARRY | POWERSHARES EXCHANGE-TRADED FD TR I | 4,732.70 | 0.00 | 0.00 | 0.00 | 90.0 | 0.00 |
| 03/22/2017 | KUHN, KENNETH | POWERSHARES EXCHANGE-TRADED FD TR I | 1,299.17 | 0.00 | 0.00 | 0.00 | 90.0 | 0.00 |
| 03/23/2017 | LEE, CONNIE | POWERSHARES EXCHANGE-TRADED FD TR I | 1,112.06 | 0.00 | 0.00 | 0.00 | 90.0 | 0.00 |
| 03/20/2017 | KEMPER, JEROME | RESEARCH MARKET NEUTRAL FUND-INST | -6,917.90 | 0.00 | 0.00 | 0.00 | 90.0 | 0.00 |
| 03/20/2017 | MONETTE, PEGGY | RESEARCH MARKET NEUTRAL FUND-INST | -6,675.20 | 0.00 | 0.00 | 0.00 | 90.0 | 0.00 |
| 03/20/2017 | MONETTE, PEGGY | RESEARCH MARKET NEUTRAL FUND-INST | -1,314.55 | 0.00 | 0.00 | 0.00 | 90.0 | 0.00 |

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| DATE | CLIENT | INVESTMENT | INVESTMENT AMOUNT | GROSS COMMISSION | CLEARING CHARGE | NET COMMISSION | RATE | BROKER COMMISSION |
|---|--------------------|-------------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <u>SPLIT TRANSACTIONS</u> | | | | | | | | |
| BROKER: BBJ-BRENT-BRION-JEN TRU-LEE-NORBY-D #335 | | | | | | | | |
| 03/20/2017 | RETZLAFF, SANDRA | RESEARCH MARKET NEUTRAL FUND-INST | -3,381.53 | 0.00 | 0.00 | 0.00 | 90.0 | 0.00 |
| 03/20/2017 | SKAARE, LARRY | RESEARCH MARKET NEUTRAL FUND-INST | -1,033.98 | 0.00 | 0.00 | 0.00 | 90.0 | 0.00 |
| 03/20/2017 | RASMUSSEN, CLINTON | RESEARCH MARKET NEUTRAL FUND-INST | -2,651.93 | 0.00 | 0.00 | 0.00 | 90.0 | 0.00 |
| 03/20/2017 | LEE, CONNIE | RESEARCH MARKET NEUTRAL FUND-INST | -1,526.05 | 0.00 | 0.00 | 0.00 | 90.0 | 0.00 |
| 03/20/2017 | LEE, DONALD | RESEARCH MARKET NEUTRAL FUND-INST | -4,229.56 | 0.00 | 0.00 | 0.00 | 90.0 | 0.00 |
| 03/20/2017 | SKAARE, LARRY | RESEARCH MARKET NEUTRAL FUND-INST | -3,950.46 | 0.00 | 0.00 | 0.00 | 90.0 | 0.00 |
| 03/20/2017 | KUHN, KENNETH | RESEARCH MARKET NEUTRAL FUND-INST | -1,820.83 | 0.00 | 0.00 | 0.00 | 90.0 | 0.00 |
| 03/20/2017 | KEMPER, JEROME | RIDGEWORTH SEIX FLOATING RATE HIGH | -7,125.42 | 0.00 | 0.00 | 0.00 | 90.0 | 0.00 |
| 03/20/2017 | MONETTE, PEGGY | RIDGEWORTH SEIX FLOATING RATE HIGH | -5,581.48 | 0.00 | 0.00 | 0.00 | 90.0 | 0.00 |
| 03/20/2017 | MONETTE, PEGGY | RIDGEWORTH SEIX FLOATING RATE HIGH | -1,099.19 | 0.00 | 0.00 | 0.00 | 90.0 | 0.00 |
| 03/20/2017 | RETZLAFF, SANDRA | RIDGEWORTH SEIX FLOATING RATE HIGH | -3,475.69 | 0.00 | 0.00 | 0.00 | 90.0 | 0.00 |
| 03/20/2017 | SKAARE, LARRY | RIDGEWORTH SEIX FLOATING RATE HIGH | -1,067.12 | 0.00 | 0.00 | 0.00 | 90.0 | 0.00 |
| 03/20/2017 | RASMUSSEN, CLINTON | RIDGEWORTH SEIX FLOATING RATE HIGH | -2,450.64 | 0.00 | 0.00 | 0.00 | 90.0 | 0.00 |
| 03/20/2017 | LEE, CONNIE | RIDGEWORTH SEIX FLOATING RATE HIGH | -1,276.00 | 0.00 | 0.00 | 0.00 | 90.0 | 0.00 |
| 03/20/2017 | LEE, DONALD | RIDGEWORTH SEIX FLOATING RATE HIGH | -3,534.06 | 0.00 | 0.00 | 0.00 | 90.0 | 0.00 |
| 03/20/2017 | SKAARE, LARRY | RIDGEWORTH SEIX FLOATING RATE HIGH | -3,303.13 | 0.00 | 0.00 | 0.00 | 90.0 | 0.00 |
| 03/20/2017 | KUHN, KENNETH | RIDGEWORTH SEIX FLOATING RATE HIGH | -1,555.11 | 0.00 | 0.00 | 0.00 | 90.0 | 0.00 |
| 03/20/2017 | KEMPER, JEROME | RIVERPARK/WEDGEWOOD FUND INSTITUTIO | -17,011.15 | 0.00 | 0.00 | 0.00 | 90.0 | 0.00 |
| 03/20/2017 | MONETTE, PEGGY | RIVERPARK/WEDGEWOOD FUND INSTITUTIO | -15,768.60 | 0.00 | 0.00 | 0.00 | 90.0 | 0.00 |
| 03/20/2017 | MONETTE, PEGGY | RIVERPARK/WEDGEWOOD FUND INSTITUTIO | -3,105.28 | 0.00 | 0.00 | 0.00 | 90.0 | 0.00 |
| 03/20/2017 | RETZLAFF, SANDRA | RIVERPARK/WEDGEWOOD FUND INSTITUTIO | -8,315.86 | 0.00 | 0.00 | 0.00 | 90.0 | 0.00 |
| 03/20/2017 | SKAARE, LARRY | RIVERPARK/WEDGEWOOD FUND INSTITUTIO | -2,537.39 | 0.00 | 0.00 | 0.00 | 90.0 | 0.00 |
| 03/20/2017 | RASMUSSEN, CLINTON | RIVERPARK/WEDGEWOOD FUND INSTITUTIO | -4,891.51 | 0.00 | 0.00 | 0.00 | 90.0 | 0.00 |
| 03/20/2017 | LEE, CONNIE | RIVERPARK/WEDGEWOOD FUND INSTITUTIO | -3,604.98 | 0.00 | 0.00 | 0.00 | 90.0 | 0.00 |
| 03/20/2017 | LEE, DONALD | RIVERPARK/WEDGEWOOD FUND INSTITUTIO | -9,991.63 | 0.00 | 0.00 | 0.00 | 90.0 | 0.00 |
| 03/20/2017 | SKAARE, LARRY | RIVERPARK/WEDGEWOOD FUND INSTITUTIO | -9,330.50 | 0.00 | 0.00 | 0.00 | 90.0 | 0.00 |
| 03/20/2017 | KUHN, KENNETH | RIVERPARK/WEDGEWOOD FUND INSTITUTIO | -4,235.62 | 0.00 | 0.00 | 0.00 | 90.0 | 0.00 |
| 03/20/2017 | FREIH, DIANE | SPDR S&P MIDCAP 400 ETF TR UNIT SER | 3,759.74 | 0.00 | 0.00 | 0.00 | 90.0 | 0.00 |
| 03/22/2017 | KEMPER, JEROME | SPDR S&P MIDCAP 400 ETF TR UNIT SER | 16,558.99 | 0.00 | 0.00 | 0.00 | 90.0 | 0.00 |
| 03/22/2017 | MONETTE, PEGGY | SPDR S&P MIDCAP 400 ETF TR UNIT SER | 15,025.75 | 0.00 | 0.00 | 0.00 | 90.0 | 0.00 |
| 03/22/2017 | MONETTE, PEGGY | SPDR S&P MIDCAP 400 ETF TR UNIT SER | 2,759.83 | 0.00 | 0.00 | 0.00 | 90.0 | 0.00 |
| 03/22/2017 | RETZLAFF, SANDRA | SPDR S&P MIDCAP 400 ETF TR UNIT SER | 10,119.38 | 0.00 | 0.00 | 0.00 | 90.0 | 0.00 |
| 03/22/2017 | SKAARE, LARRY | SPDR S&P MIDCAP 400 ETF TR UNIT SER | 2,453.18 | 0.00 | 0.00 | 0.00 | 90.0 | 0.00 |

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

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

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

| DATE | CLIENT | INVESTMENT | INVESTMENT AMOUNT | GROSS COMMISSION | CLEARING CHARGE | NET COMMISSION | RATE | BROKER COMMISSION |
|---|--------------------|-------------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <u>SPLIT TRANSACTIONS</u> | | | | | | | | |
| BROKER: BBJ-BRENT-BRION-JEN TRU-LEE-NORBY-D #335 | | | | | | | | |
| 03/22/2017 | RASMUSSEN, CLINTON | SPDR S&P MIDCAP 400 ETF TR UNIT SER | 4,906.37 | 0.00 | 0.00 | 0.00 | 90.0 | 0.00 |
| 03/22/2017 | LEE, DONALD | SPDR S&P MIDCAP 400 ETF TR UNIT SER | 9,506.09 | 0.00 | 0.00 | 0.00 | 90.0 | 0.00 |
| 03/22/2017 | SKAARE, LARRY | SPDR S&P MIDCAP 400 ETF TR UNIT SER | 15,332.40 | 0.00 | 0.00 | 0.00 | 90.0 | 0.00 |
| 03/22/2017 | KUHN, KENNETH | SPDR S&P MIDCAP 400 ETF TR UNIT SER | 3,986.42 | 0.00 | 0.00 | 0.00 | 90.0 | 0.00 |
| 03/23/2017 | LEE, CONNIE | SPDR S&P MIDCAP 400 ETF TR UNIT SER | 3,401.29 | 0.00 | 0.00 | 0.00 | 90.0 | 0.00 |
| 03/20/2017 | FREIH, DIANE | SPDR SER TR BARCLAYS HIGH YIELD BD | 439.29 | 0.00 | 0.00 | 0.00 | 90.0 | 0.00 |
| 03/22/2017 | KEMPER, JEROME | SPDR SER TR BARCLAYS HIGH YIELD BD | 2,945.71 | 0.00 | 0.00 | 0.00 | 90.0 | 0.00 |
| 03/22/2017 | MONETTE, PEGGY | SPDR SER TR BARCLAYS HIGH YIELD BD | 13,019.33 | 0.00 | 0.00 | 0.00 | 90.0 | 0.00 |
| 03/22/2017 | MONETTE, PEGGY | SPDR SER TR BARCLAYS HIGH YIELD BD | 2,582.05 | 0.00 | 0.00 | 0.00 | 90.0 | 0.00 |
| 03/22/2017 | RETZLAFF, SANDRA | SPDR SER TR BARCLAYS HIGH YIELD BD | 8,691.67 | 0.00 | 0.00 | 0.00 | 90.0 | 0.00 |
| 03/22/2017 | RASMUSSEN, CLINTON | SPDR SER TR BARCLAYS HIGH YIELD BD | 4,327.65 | 0.00 | 0.00 | 0.00 | 90.0 | 0.00 |
| 03/22/2017 | LEE, DONALD | SPDR SER TR BARCLAYS HIGH YIELD BD | 8,218.91 | 0.00 | 0.00 | 0.00 | 90.0 | 0.00 |
| 03/22/2017 | SKAARE, LARRY | SPDR SER TR BARCLAYS HIGH YIELD BD | 13,273.90 | 0.00 | 0.00 | 0.00 | 90.0 | 0.00 |
| 03/23/2017 | LEE, CONNIE | SPDR SER TR BARCLAYS HIGH YIELD BD | 3,099.75 | 0.00 | 0.00 | 0.00 | 90.0 | 0.00 |
| 03/20/2017 | KEMPER, JEROME | STERLING CAP FUNDS | -6,995.85 | 0.00 | 0.00 | 0.00 | 90.0 | 0.00 |
| 03/20/2017 | MONETTE, PEGGY | STERLING CAP FUNDS | -6,271.66 | 0.00 | 0.00 | 0.00 | 90.0 | 0.00 |
| 03/20/2017 | MONETTE, PEGGY | STERLING CAP FUNDS | -1,235.17 | 0.00 | 0.00 | 0.00 | 90.0 | 0.00 |
| 03/20/2017 | RETZLAFF, SANDRA | STERLING CAP FUNDS | -3,419.71 | 0.00 | 0.00 | 0.00 | 90.0 | 0.00 |
| 03/20/2017 | SKAARE, LARRY | STERLING CAP FUNDS | -1,040.82 | 0.00 | 0.00 | 0.00 | 90.0 | 0.00 |
| 03/20/2017 | LEE, CONNIE | STERLING CAP FUNDS | -1,433.78 | 0.00 | 0.00 | 0.00 | 90.0 | 0.00 |
| 03/20/2017 | LEE, DONALD | STERLING CAP FUNDS | -3,973.98 | 0.00 | 0.00 | 0.00 | 90.0 | 0.00 |
| 03/20/2017 | SKAARE, LARRY | STERLING CAP FUNDS | -3,711.37 | 0.00 | 0.00 | 0.00 | 90.0 | 0.00 |
| 03/20/2017 | KUHN, KENNETH | STERLING CAP FUNDS | -1,689.13 | 0.00 | 0.00 | 0.00 | 90.0 | 0.00 |
| 03/22/2017 | SKAARE, LARRY | VANECK VECTORS ETF TR HIGH-YIELD MU | 2,097.36 | 0.00 | 0.00 | 0.00 | 90.0 | 0.00 |
| 03/22/2017 | KUHN, KENNETH | VANECK VECTORS ETF TR HIGH-YIELD MU | 3,647.58 | 0.00 | 0.00 | 0.00 | 90.0 | 0.00 |
| 03/20/2017 | FREIH, DIANE | VANGUARD CHARLOTTE FDS TOTAL INTL B | 698.72 | 0.00 | 0.00 | 0.00 | 90.0 | 0.00 |
| 03/20/2017 | KEMPER, JEROME | VANGUARD CHARLOTTE FDS TOTAL INTL B | -2,956.44 | 0.00 | 0.00 | 0.00 | 90.0 | 0.00 |
| 03/20/2017 | RETZLAFF, SANDRA | VANGUARD CHARLOTTE FDS TOTAL INTL B | -1,451.34 | 0.00 | 0.00 | 0.00 | 90.0 | 0.00 |
| 03/20/2017 | SKAARE, LARRY | VANGUARD CHARLOTTE FDS TOTAL INTL B | -430.03 | 0.00 | 0.00 | 0.00 | 90.0 | 0.00 |
| 03/20/2017 | RASMUSSEN, CLINTON | VANGUARD CHARLOTTE FDS TOTAL INTL B | -1,397.59 | 0.00 | 0.00 | 0.00 | 90.0 | 0.00 |
| 03/22/2017 | KEMPER, JEROME | VANGUARD CHARLOTTE FDS TOTAL INTL B | 3,940.39 | 0.00 | 0.00 | 0.00 | 90.0 | 0.00 |
| 03/20/2017 | FREIH, DIANE | VANGUARD INDEX FDS VANGUARD REIT ET | 1,403.66 | 0.00 | 0.00 | 0.00 | 90.0 | 0.00 |
| 03/22/2017 | KEMPER, JEROME | VANGUARD INDEX FDS VANGUARD REIT ET | 1,300.90 | 0.00 | 0.00 | 0.00 | 90.0 | 0.00 |

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

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

| DATE | CLIENT | INVESTMENT | INVESTMENT AMOUNT | GROSS COMMISSION | CLEARING CHARGE | NET COMMISSION | RATE | BROKER COMMISSION |
|---|--------------------|-------------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <u>SPLIT TRANSACTIONS</u> | | | | | | | | |
| BROKER: BBJ-BRENT-BRION-JEN TRU-LEE-NORBY-D #335 | | | | | | | | |
| 03/22/2017 | MONETTE, PEGGY | VANGUARD INDEX FDS VANGUARD REIT ET | 1,056.98 | 0.00 | 0.00 | 0.00 | 90.0 | 0.00 |
| 03/22/2017 | MONETTE, PEGGY | VANGUARD INDEX FDS VANGUARD REIT ET | 243.92 | 0.00 | 0.00 | 0.00 | 90.0 | 0.00 |
| 03/22/2017 | RETZLAFF, SANDRA | VANGUARD INDEX FDS VANGUARD REIT ET | 813.07 | 0.00 | 0.00 | 0.00 | 90.0 | 0.00 |
| 03/22/2017 | SKAARE, LARRY | VANGUARD INDEX FDS VANGUARD REIT ET | 81.31 | 0.00 | 0.00 | 0.00 | 90.0 | 0.00 |
| 03/22/2017 | RASMUSSEN, CLINTON | VANGUARD INDEX FDS VANGUARD REIT ET | 325.23 | 0.00 | 0.00 | 0.00 | 90.0 | 0.00 |
| 03/22/2017 | LEE, DONALD | VANGUARD INDEX FDS VANGUARD REIT ET | 650.45 | 0.00 | 0.00 | 0.00 | 90.0 | 0.00 |
| 03/22/2017 | SKAARE, LARRY | VANGUARD INDEX FDS VANGUARD REIT ET | 2,601.81 | 0.00 | 0.00 | 0.00 | 90.0 | 0.00 |
| 03/22/2017 | KUHN, KENNETH | VANGUARD INDEX FDS VANGUARD REIT ET | 325.23 | 0.00 | 0.00 | 0.00 | 90.0 | 0.00 |
| 03/23/2017 | LEE, CONNIE | VANGUARD INDEX FDS VANGUARD REIT ET | 247.19 | 0.00 | 0.00 | 0.00 | 90.0 | 0.00 |
| 03/20/2017 | FREIH, DIANE | VANGUARD INTL EQUITY INDEX FD INC F | 17,222.13 | 0.00 | 0.00 | 0.00 | 90.0 | 0.00 |
| 03/22/2017 | KEMPER, JEROME | VANGUARD INTL EQUITY INDEX FD INC F | 73,207.22 | 0.00 | 0.00 | 0.00 | 90.0 | 0.00 |
| 03/22/2017 | MONETTE, PEGGY | VANGUARD INTL EQUITY INDEX FD INC F | 91,211.34 | 0.00 | 0.00 | 0.00 | 90.0 | 0.00 |
| 03/22/2017 | MONETTE, PEGGY | VANGUARD INTL EQUITY INDEX FD INC F | 18,194.64 | 0.00 | 0.00 | 0.00 | 90.0 | 0.00 |
| 03/22/2017 | RETZLAFF, SANDRA | VANGUARD INTL EQUITY INDEX FD INC F | 60,918.69 | 0.00 | 0.00 | 0.00 | 90.0 | 0.00 |
| 03/22/2017 | SKAARE, LARRY | VANGUARD INTL EQUITY INDEX FD INC F | 14,765.28 | 0.00 | 0.00 | 0.00 | 90.0 | 0.00 |
| 03/22/2017 | RASMUSSEN, CLINTON | VANGUARD INTL EQUITY INDEX FD INC F | 30,340.27 | 0.00 | 0.00 | 0.00 | 90.0 | 0.00 |
| 03/22/2017 | LEE, DONALD | VANGUARD INTL EQUITY INDEX FD INC F | 57,727.49 | 0.00 | 0.00 | 0.00 | 90.0 | 0.00 |
| 03/22/2017 | SKAARE, LARRY | VANGUARD INTL EQUITY INDEX FD INC F | 93,068.90 | 0.00 | 0.00 | 0.00 | 90.0 | 0.00 |
| 03/22/2017 | KUHN, KENNETH | VANGUARD INTL EQUITY INDEX FD INC F | 25,624.91 | 0.00 | 0.00 | 0.00 | 90.0 | 0.00 |
| 03/23/2017 | LEE, CONNIE | VANGUARD INTL EQUITY INDEX FD INC F | 21,915.64 | 0.00 | 0.00 | 0.00 | 90.0 | 0.00 |
| * BBJ-BRENT-BRION-JEN TRU-LEE-NORBY-D SUBTOTAL * | | | \$542,652.57 | \$-169.87 | \$0.00 | \$-169.87 | | \$-152.89 |
| BROKER: TBB TYLER-BRENT-BRIO TRU-LIFFFRIG-L #336 | | | | | | | | |
| 03/20/2017 | HENNEN, STUART | CAMBIAR INTERNATIONAL EQUITY FUND I | 136,340.76 | 0.00 | 0.00 | 0.00 | 90.0 | 0.00 |
| 03/27/2017 | HENNEN, ANN | CAMBIAR INTERNATIONAL EQUITY FUND I | -135,085.43 | 0.00 | 0.00 | 0.00 | 90.0 | 0.00 |
| 03/20/2017 | HENNEN, STUART | CONGRESS MID CAP GROWTH FUND INSTIT | 15,713.03 | 0.00 | 0.00 | 0.00 | 90.0 | 0.00 |
| 03/27/2017 | HENNEN, ANN | CONGRESS MID CAP GROWTH FUND INSTIT | -15,496.30 | 0.00 | 0.00 | 0.00 | 90.0 | 0.00 |
| 03/20/2017 | HENNEN, STUART | CREDIT SUISSE COMMODITY RETURN STRA | 16,921.73 | 0.00 | 0.00 | 0.00 | 90.0 | 0.00 |
| 03/27/2017 | HENNEN, ANN | CREDIT SUISSE COMMODITY RETURN STRA | -16,785.26 | 0.00 | 0.00 | 0.00 | 90.0 | 0.00 |
| 03/20/2017 | HENNEN, STUART | HORIZON ACTIVE ASSET ALLOCATION FUN | 87,026.02 | 0.00 | 0.00 | 0.00 | 90.0 | 0.00 |
| 03/27/2017 | HENNEN, ANN | HORIZON ACTIVE ASSET ALLOCATION FUN | -86,051.33 | 0.00 | 0.00 | 0.00 | 90.0 | 0.00 |
| 03/20/2017 | HENNEN, STUART | ISHARES TR RUSSELL 2000 INDEX FD | 23,609.37 | 0.00 | 0.00 | 0.00 | 90.0 | 0.00 |
| 03/28/2017 | HENNEN, ANN | ISHARES TR RUSSELL 2000 INDEX FD | 6,076.63 | 0.00 | 0.00 | 0.00 | 90.0 | 0.00 |
| 03/28/2017 | HENNEN, ANN | ISHARES TR S&P 500 INDEX FD | 91,899.67 | 0.00 | 0.00 | 0.00 | 90.0 | 0.00 |

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| DATE | CLIENT | INVESTMENT | INVESTMENT AMOUNT | GROSS COMMISSION | CLEARING CHARGE | NET COMMISSION | RATE | BROKER COMMISSION |
|---|----------------|-------------------------------------|-----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <u>SPLIT TRANSACTIONS</u> | | | | | | | | |
| BROKER: TBB TYLER-BRENT-BRIO TRU-LIFFFRIG-L #336 | | | | | | | | |
| 03/20/2017 | HENNEN, STUART | JH DISCIPLINED VAL CL 1 | 35,293.89 | 0.00 | 0.00 | 0.00 | 90.0 | 0.00 |
| 03/27/2017 | HENNEN, ANN | JH DISCIPLINED VAL CL 1 | -34,563.67 | 0.00 | 0.00 | 0.00 | 90.0 | 0.00 |
| 03/20/2017 | HENNEN, STUART | MFS INTL NEW DISCOVERY FUND I | 33,843.44 | 0.00 | 0.00 | 0.00 | 90.0 | 0.00 |
| 03/27/2017 | HENNEN, ANN | MFS INTL NEW DISCOVERY FUND I | -33,944.69 | 0.00 | 0.00 | 0.00 | 90.0 | 0.00 |
| 03/20/2017 | HENNEN, STUART | NAVIGATOR TACTICAL FIXED INCOME FUN | 9,669.56 | 0.00 | 0.00 | 0.00 | 90.0 | 0.00 |
| 03/27/2017 | HENNEN, ANN | NAVIGATOR TACTICAL FIXED INCOME FUN | -9,650.91 | 0.00 | 0.00 | 0.00 | 90.0 | 0.00 |
| 03/20/2017 | HENNEN, STUART | NORTHERN MULTI- MANAGER EMERGING MA | 19,339.12 | 0.00 | 0.00 | 0.00 | 90.0 | 0.00 |
| 03/27/2017 | HENNEN, ANN | NORTHERN MULTI- MANAGER EMERGING MA | -19,159.67 | 0.00 | 0.00 | 0.00 | 90.0 | 0.00 |
| 03/27/2017 | HENNEN, ANN | PERSHING | 0.00 | 27.60 | 0.00 | 27.60 | 90.0 | 24.84 |
| 03/28/2017 | HENNEN, ANN | POWERSHARES DB COMMODITY INDEX TRAC | 16,709.85 | 0.00 | 0.00 | 0.00 | 90.0 | 0.00 |
| 03/28/2017 | HENNEN, ANN | POWERSHARES EXCHANGE-TRADED FD TR I | 11,941.05 | 0.00 | 0.00 | 0.00 | 90.0 | 0.00 |
| 03/20/2017 | HENNEN, STUART | RESEARCH MARKET NEUTRAL FUND-INST | 16,921.73 | 0.00 | 0.00 | 0.00 | 90.0 | 0.00 |
| 03/27/2017 | HENNEN, ANN | RESEARCH MARKET NEUTRAL FUND-INST | -16,910.52 | 0.00 | 0.00 | 0.00 | 90.0 | 0.00 |
| 03/20/2017 | HENNEN, STUART | RIDGEWORTH SEIX FLOATING RATE HIGH | 14,504.34 | 0.00 | 0.00 | 0.00 | 90.0 | 0.00 |
| 03/27/2017 | HENNEN, ANN | RIDGEWORTH SEIX FLOATING RATE HIGH | -14,454.73 | 0.00 | 0.00 | 0.00 | 90.0 | 0.00 |
| 03/20/2017 | HENNEN, STUART | RIVERPARK/WEDGEWOOD FUND INSTITUTIO | 39,161.71 | 0.00 | 0.00 | 0.00 | 90.0 | 0.00 |
| 03/27/2017 | HENNEN, ANN | RIVERPARK/WEDGEWOOD FUND INSTITUTIO | -38,583.27 | 0.00 | 0.00 | 0.00 | 90.0 | 0.00 |
| 03/28/2017 | HENNEN, ANN | SPDR S&P MIDCAP 400 ETF TR UNIT SER | 38,894.16 | 0.00 | 0.00 | 0.00 | 90.0 | 0.00 |
| 03/28/2017 | HENNEN, ANN | SPDR SER TR BARCLAYS HIGH YIELD BD | 33,440.85 | 0.00 | 0.00 | 0.00 | 90.0 | 0.00 |
| 03/20/2017 | HENNEN, STUART | STERLING CAP FUNDS | 15,713.03 | 0.00 | 0.00 | 0.00 | 90.0 | 0.00 |
| 03/27/2017 | HENNEN, ANN | STERLING CAP FUNDS | -15,435.29 | 0.00 | 0.00 | 0.00 | 90.0 | 0.00 |
| 03/20/2017 | HENNEN, STUART | VANGUARD INDEX FDS VANGUARD REIT ET | 9,660.28 | 0.00 | 0.00 | 0.00 | 90.0 | 0.00 |
| 03/28/2017 | HENNEN, ANN | VANGUARD INDEX FDS VANGUARD REIT ET | 2,437.14 | 0.00 | 0.00 | 0.00 | 90.0 | 0.00 |
| 03/28/2017 | HENNEN, ANN | VANGUARD INTL EQUITY INDEX FD INC F | 234,095.77 | 0.00 | 0.00 | 0.00 | 90.0 | 0.00 |
| * TBB TYLER-BRENT-BRIO TRU-LIFFFRIG-L SUBTOTAL * | | | \$473,092.06 | \$27.60 | \$0.00 | \$27.60 | | \$24.84 |
| *** SPLIT TRANSACTIONS TOTAL *** | | | \$1,007,588.05 | \$-107.10 | \$0.00 | \$-107.10 | | \$-96.39 |

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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 | \$20.21 |
| Split Transactions | \$-96.39 |
| Override Transactions | \$0.00 |
| Adjustments | \$0.00 |
| Payroll Draw | \$0.00 |
| Base Salary | \$0.00 |
| Prior Period Balance | \$-198.14 |
| FINRA Assessment | \$0.00 |
| SIPC Assessment | \$0.00 |

Please Retain for Your Records
THERE WILL BE NO CHECK THIS PERIOD

| | |
|------------------------------|-------------------|
| Balance Forward | \$-274.32 |
| Year-to-date Gross | \$7,311.26 |
| Year-to-date Earnings | \$6,275.38 |