

**COMMISSION STATEMENT****October 31, 2017**

101 CFGROUP/KOSANKE  
1120 E. Long Lake Road  
Suite 250  
Troy, MI 48085

**BROKER #: 101**  
**BRANCH: CONCORDE FINANCIAL G**

DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<b><u>BROKER TRANSACTIONS</u></b>								
<b><u>PRODUCT CATEGORY: PRIVATE PLACEMENT</u></b>								
10/24/2017	SHEARIN, DEAN	GPB AUTOMOTIVE PORTFOLIO LP	50,000.00	3,500.00	0.00	3,500.00	95.0	3,325.00
10/24/2017	SHEARIN, DEAN	GPB WASTE MANAGEMENT LP	50,000.00	3,500.00	0.00	3,500.00	95.0	3,325.00
<b>* PRIVATE PLACEMENT SUBTOTAL *</b>			<b>\$100,000.00</b>	<b>\$7,000.00</b>	<b>\$0.00</b>	<b>\$7,000.00</b>		<b>\$6,650.00</b>
<b><u>PRODUCT CATEGORY: INTERVAL FUNDS</u></b>								
10/11/2017	CFGROUP, VARIOUS	BR TOTAL INC & REAL ESTATE FUND C	0.00	294.25	0.00	294.25	95.0	279.54
09/30/2017	CFGROUP, VARIOUS	GRIFFIN INST'L ACCESS R E FUND C	0.00	930.15	0.00	930.15	95.0	883.64
09/30/2017	CFGROUP, VARIOUS	GRIFFIN INST'L ACCESS R E FUND C	0.00	976.80	0.00	976.80	95.0	927.96
09/30/2017	CFGROUP, VARIOUS	GRIFFIN INST'L ACCESS R E FUND C	0.00	736.38	0.00	736.38	95.0	699.56
<b>* INTERVAL FUNDS SUBTOTAL *</b>			<b>\$0.00</b>	<b>\$2,937.58</b>	<b>\$0.00</b>	<b>\$2,937.58</b>		<b>\$2,790.70</b>
<b><u>PRODUCT CATEGORY: MUTUAL FUNDS</u></b>								
10/04/2017	ZERILLI, SALVATORE	ALGER CAPITAL APPRECIATION A	0.00	6.79	0.00	6.79	95.0	6.45
10/04/2017	COOPER, IAN	ALGER CAPITAL APPRECIATION A	0.00	27.72	0.00	27.72	95.0	26.33
10/04/2017	RICHARDS, JAKOB	ALGER CAPITAL APPRECIATION C	0.00	3.09	0.00	3.09	95.0	2.94
10/04/2017	RICHARDS, JAKOB	ALGER CAPITAL APPRECIATION C	0.00	1.04	0.00	1.04	95.0	0.99
10/04/2017	RICHARDS, JAKOB	ALGER HEALTH SCIENCES C	0.00	3.13	0.00	3.13	95.0	2.97
10/04/2017	RICHARDS, JAKOB	ALGER HEALTH SCIENCES C	0.00	1.12	0.00	1.12	95.0	1.06
10/04/2017	ZERILLI, SALVATORE	ALGER LARGE CAP GROWTH A	0.00	3.06	0.00	3.06	95.0	2.91
10/04/2017	SEKULA, MICHAEL	ALGER LARGE CAP GROWTH A	0.00	1.04	0.00	1.04	95.0	0.99
10/04/2017	SEKULA, MICHAEL	ALGER LARGE CAP GROWTH A	0.00	1.04	0.00	1.04	95.0	0.99
10/04/2017	SEKULA, KRISTINA	ALGER LARGE CAP GROWTH A	0.00	1.04	0.00	1.04	95.0	0.99
10/04/2017	SEGARRA, AMY	ALGER LARGE CAP GROWTH A	0.00	0.03	0.00	0.03	95.0	0.03
10/04/2017	NEUER-MIHALAK, LORIE	ALGER LARGE CAP GROWTH A	0.00	3.91	0.00	3.91	95.0	3.71
10/04/2017	BRUGLIO, JULIA	ALGER LARGE CAP GROWTH A	0.00	0.04	0.00	0.04	95.0	0.04
10/04/2017	RICHARDS, JAKOB	ALGER LARGE CAP GROWTH C	0.00	2.66	0.00	2.66	95.0	2.53
10/04/2017	RICHARDS, JAKOB	ALGER LARGE CAP GROWTH C	0.00	0.97	0.00	0.97	95.0	0.92

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

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<b><u>BROKER TRANSACTIONS</u></b>								
<b><u>PRODUCT CATEGORY: MUTUAL FUNDS</u></b>								
10/04/2017	NEUER-MIHALAK, LORIE	ALGER MIDCAP GROWTH A	0.00	5.60	0.00	5.60	95.0	5.32
10/04/2017	MUNTEANU, RADU	ALGER MIDCAP GROWTH A	0.00	21.05	0.00	21.05	95.0	20.00
10/04/2017	MORSE, TRACY	ALGER MIDCAP GROWTH A	0.00	0.16	0.00	0.16	95.0	0.15
10/04/2017	NEUER-MIHALAK, LORIE	ALGER MIDCAP GROWTH B	0.00	0.91	0.00	0.91	95.0	0.86
10/04/2017	RICHARDS, JAKOB	ALGER MIDCAP GROWTH C	0.00	3.28	0.00	3.28	95.0	3.12
10/04/2017	RICHARDS, JAKOB	ALGER MIDCAP GROWTH C	0.00	1.09	0.00	1.09	95.0	1.04
10/04/2017	HUANG, CONNIE LING	ALGER SMALLCAP GROWTH A	0.00	0.40	0.00	0.40	95.0	0.38
10/09/2017	HAINES, JILL	ALLIANCE BERNSTEIN CORE OPP A	0.00	1.34	0.00	1.34	95.0	1.27
10/09/2017	HAINES, JILL	ALLIANCE BERNSTEIN VALUE FUND A	0.00	0.86	0.00	0.86	95.0	0.82
10/09/2017	HARTOUNIAN, HAGOB BEN	ALLIANCE SMALLCAP	0.00	1.56	0.00	1.56	95.0	1.48
10/09/2017	HAINES, JILL	ALLIANCEBERNSTEIN CORE OPPORTUNITIE	0.00	0.79	0.00	0.79	95.0	0.75
10/09/2017	HAINES, JILL	ALLIANCEBERNSTEIN GL THEMATIC GROWT	0.00	7.78	0.00	7.78	95.0	7.39
10/09/2017	GEORGE, RONALD	ALLIANCEBERNSTEIN GL THEMATIC GROWT	0.00	1.53	0.00	1.53	95.0	1.45
10/09/2017	PINKOS, CHRISTINE	ALLIANCEBERNSTEIN GL THEMATIC GROWT	0.00	0.05	0.00	0.05	95.0	0.05
10/09/2017	SEBLANI, MUSTAPHA	ALLIANCEBERNSTEIN GL THEMATIC GROWT	0.00	4.97	0.00	4.97	95.0	4.72
10/09/2017	FLANNERY, CHRISTIAN	ALLIANCEBERNSTEIN GL THEMATIC GROWT	0.00	0.38	0.00	0.38	95.0	0.36
10/09/2017	KIEFHABER, JEAN	ALLIANCEBERNSTEIN GLOBAL BOND A	0.00	5.79	0.00	5.79	95.0	5.50
10/09/2017	BRADEN, TERRI	ALLIANCEBERNSTEIN GROWTH A	0.00	13.26	0.00	13.26	95.0	12.60
10/09/2017	HARTOUNIAN, HAGOB BEN	ALLIANCEBERNSTEIN GROWTH AND INC A	0.00	1.54	0.00	1.54	95.0	1.46
10/09/2017	BRADEN, TERRI	ALLIANCEBERNSTEIN GROWTH B	0.00	5.59	0.00	5.59	95.0	5.31
10/09/2017	MOILANEN, STEPHEN	ALLIANCEBERNSTEIN HIGH INCOME A	0.00	2.31	0.00	2.31	95.0	2.19
10/09/2017	HAINES, JILL	ALLIANCEBERNSTEIN INTL VALUE A	0.00	0.83	0.00	0.83	95.0	0.79
10/09/2017	HAINES, JILL	ALLIANCEBERNSTEIN INTL VALUE C	0.00	0.38	0.00	0.38	95.0	0.36
10/09/2017	HAINES, JILL	ALLIANCEBERNSTEIN LARGE CAP GROWTH	0.00	13.86	0.00	13.86	95.0	13.17
10/09/2017	GEORGE, RONALD	ALLIANCEBERNSTEIN LARGE CAP GROWTH	0.00	1.81	0.00	1.81	95.0	1.72
10/09/2017	SEBLANI, MUSTAPHA	ALLIANCEBERNSTEIN LARGE CAP GROWTH	0.00	6.41	0.00	6.41	95.0	6.09
10/09/2017	HAINES, JILL	ALLIANCEBERNSTEIN SMALL/MID CAP VAL	0.00	1.67	0.00	1.67	95.0	1.59
10/09/2017	HAINES, JILL	ALLIANCEBERNSTEIN SMALL/MID CAP VAL	0.00	0.75	0.00	0.75	95.0	0.71
10/09/2017	OPALESKI, SCOTT	ALLIANCEBERNSTEIN SMALL/MID-CAP GRW	0.00	1.05	0.00	1.05	95.0	1.00
10/09/2017	KING, MACKENZIE	ALLIANCEBERNSTEIN SMALL/MID-CAP GRW	0.00	0.78	0.00	0.78	95.0	0.74
10/09/2017	LYNN GOODRICH JT TEN, CHERIL	ALLIANCEBERNSTEIN SMALL/MID-CAP GRW	0.00	0.97	0.00	0.97	95.0	0.92
10/09/2017	KING, RITA	ALLIANCEBERNSTEIN SMALL/MID-CAP GRW	0.00	1.19	0.00	1.19	95.0	1.13
10/09/2017	KING, COURTNEY	ALLIANCEBERNSTEIN SMALL/MID-CAP GRW	0.00	1.22	0.00	1.22	95.0	1.16

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<b><u>BROKER TRANSACTIONS</u></b>								
<b><u>PRODUCT CATEGORY: MUTUAL FUNDS</u></b>								
10/09/2017	HAINES, JILL	ALLIANCEBERNSTEIN VALUE FUND C	0.00	0.58	0.00	0.58	95.0	0.55
10/03/2017	MIKLEVICH, MICHAEL	ALLIANZ NFJ MIDCAP VALUE C	0.00	44.53	0.00	44.53	95.0	42.30
10/03/2017	MIKLEVICH, MICHAEL	ALLIANZ NFJ MIDCAP VALUE C	0.00	122.68	0.00	122.68	95.0	116.55
10/10/2017	GARDNER, THERESA	AM FUNDS 2015 TARGET DATE A	37.50	1.88	0.00	1.88	95.0	1.79
10/10/2017	GARDNER, THERESA	AM FUNDS 2015 TARGET DATE A	37.50	1.88	0.00	1.88	95.0	1.79
10/10/2017	GARDNER, THERESA	AM FUNDS 2015 TARGET DATE A	37.50	1.88	0.00	1.88	95.0	1.79
10/10/2017	GARDNER, THERESA	AM FUNDS 2015 TARGET DATE A	37.50	1.88	0.00	1.88	95.0	1.79
10/10/2017	GARDNER, THERESA	AM FUNDS 2015 TARGET DATE A	37.50	1.88	0.00	1.88	95.0	1.79
10/10/2017	GARDNER, THERESA	AM FUNDS 2035 TARGET DATE-A	37.50	1.88	0.00	1.88	95.0	1.79
10/10/2017	GARDNER, THERESA	AM FUNDS 2035 TARGET DATE-A	37.50	1.88	0.00	1.88	95.0	1.79
10/10/2017	GARDNER, THERESA	AM FUNDS 2035 TARGET DATE-A	37.50	1.88	0.00	1.88	95.0	1.79
10/10/2017	GARDNER, THERESA	AM FUNDS 2035 TARGET DATE-A	37.50	1.88	0.00	1.88	95.0	1.79
10/10/2017	GARDNER, THERESA	AM FUNDS 2035 TARGET DATE-A	37.50	1.88	0.00	1.88	95.0	1.79
10/10/2017	GARDNER, THERESA	AM FUNDS AMERICAN BALANCED A	22.50	1.13	0.00	1.13	95.0	1.07
10/10/2017	GARDNER, THERESA	AM FUNDS AMERICAN BALANCED A	22.50	1.13	0.00	1.13	95.0	1.07
10/10/2017	GARDNER, THERESA	AM FUNDS AMERICAN BALANCED A	22.50	1.13	0.00	1.13	95.0	1.07
10/10/2017	GARDNER, THERESA	AM FUNDS AMERICAN BALANCED A	22.50	1.13	0.00	1.13	95.0	1.07
10/10/2017	GARDNER, THERESA	AM FUNDS AMERICAN BALANCED A	22.50	1.13	0.00	1.13	95.0	1.07
10/10/2017	GARDNER, THERESA	AM FUNDS AMERICAN BALANCED A	22.50	1.13	0.00	1.13	95.0	1.07
10/10/2017	GARDNER, THERESA	AM FUNDS AMERICAN BALANCED A	22.50	1.13	0.00	1.13	95.0	1.07
10/12/2017	CERIMELE, NICHOLAS	AM FUNDS AMERICAN BALANCED A	60.00	3.00	0.00	3.00	95.0	2.85
10/10/2017	GARDNER, THERESA	AM FUNDS AMERICAN MUTUAL A	22.50	1.13	0.00	1.13	95.0	1.07
10/10/2017	GARDNER, THERESA	AM FUNDS AMERICAN MUTUAL A	22.50	1.13	0.00	1.13	95.0	1.07
10/10/2017	GARDNER, THERESA	AM FUNDS AMERICAN MUTUAL A	22.50	1.13	0.00	1.13	95.0	1.07
10/10/2017	GARDNER, THERESA	AM FUNDS AMERICAN MUTUAL A	22.50	1.13	0.00	1.13	95.0	1.07
10/10/2017	GARDNER, THERESA	AM FUNDS AMERICAN MUTUAL A	22.50	1.13	0.00	1.13	95.0	1.07
10/12/2017	LISIECKI, MARGARET	AM FUNDS AMERICAN MUTUAL A	2,000.00	75.00	0.00	75.00	95.0	71.25
10/17/2017	HOOTNER-JONES, ANN	AM FUNDS AMERICAN MUTUAL C	100.00	1.00	0.00	1.00	95.0	0.95
10/17/2017	HOOTNER-JONES, ANN	AM FUNDS AMERICAN MUTUAL C	100.00	1.00	0.00	1.00	95.0	0.95
10/17/2017	HOOTNER-JONES, ANN	AM FUNDS AMERICAN MUTUAL C	100.00	1.00	0.00	1.00	95.0	0.95
10/16/2017	STOLL, BENJAMIN	AM FUNDS CAPITAL WORLD GRTH & INC 5	50.00	2.13	0.00	2.13	95.0	2.02
10/16/2017	VAN DAELE, DAVID	AM FUNDS CAPITAL WORLD GRTH & INC 5	100.00	5.00	0.00	5.00	95.0	4.75
10/10/2017	NANAS, DAVID	AM FUNDS CAPITAL WORLD GRTH & INC A	100.00	5.00	0.00	5.00	95.0	4.75
10/10/2017	NANAS, DAVID	AM FUNDS CAPITAL WORLD GRTH & INC A	-100.00	-5.00	0.00	-5.00	95.0	-4.75
10/20/2017	NAGEOTTE, NIKOLAUS	AM FUNDS CAPITAL WORLD GRTH & INC A	100.00	5.00	0.00	5.00	95.0	4.75

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<b><u>BROKER TRANSACTIONS</u></b>								
<b><u>PRODUCT CATEGORY: MUTUAL FUNDS</u></b>								
10/16/2017	VAN DAELE, DAVID	AM FUNDS EUROPACIFIC GROWTH FUND 52	100.00	5.00	0.00	5.00	95.0	4.75
10/10/2017	STRUNCK, TED	AM FUNDS GROWTH FUND OF AMERICA A	33.00	0.66	0.00	0.66	95.0	0.63
10/10/2017	STRUNCK, TED	AM FUNDS GROWTH FUND OF AMERICA A	33.00	0.66	0.00	0.66	95.0	0.63
10/10/2017	STRUNCK, TED	AM FUNDS GROWTH FUND OF AMERICA A	33.00	0.66	0.00	0.66	95.0	0.63
10/10/2017	STRUNCK, TED	AM FUNDS GROWTH FUND OF AMERICA A	33.00	0.66	0.00	0.66	95.0	0.63
10/10/2017	STRUNCK, TED	AM FUNDS GROWTH FUND OF AMERICA A	33.00	0.66	0.00	0.66	95.0	0.63
10/09/2017	SOBIESKI, JOYCE	AM FUNDS GROWTH FUND OF AMERICA C	37.50	0.38	0.00	0.38	95.0	0.36
10/10/2017	GOUGEON, MEGAN	AM FUNDS GROWTH FUND OF AMERICA C	35.00	0.35	0.00	0.35	95.0	0.33
10/10/2017	GOUGEON, MEGAN	AM FUNDS GROWTH FUND OF AMERICA C	35.00	0.35	0.00	0.35	95.0	0.33
10/10/2017	GOUGEON, MEGAN	AM FUNDS GROWTH FUND OF AMERICA C	35.00	0.35	0.00	0.35	95.0	0.33
10/10/2017	GOUGEON, MEGAN	AM FUNDS GROWTH FUND OF AMERICA C	35.00	0.35	0.00	0.35	95.0	0.33
10/10/2017	GOUGEON, MEGAN	AM FUNDS GROWTH FUND OF AMERICA C	35.00	0.35	0.00	0.35	95.0	0.33
10/16/2017	WONCH, ELIZABETH	AM FUNDS ICA A	200.00	10.00	0.00	10.00	95.0	9.50
10/10/2017	GARDNER, THERESA	AM FUNDS MORTGAGE A	15.00	0.45	0.00	0.45	95.0	0.43
10/10/2017	GARDNER, THERESA	AM FUNDS MORTGAGE A	15.00	0.45	0.00	0.45	95.0	0.43
10/10/2017	GARDNER, THERESA	AM FUNDS MORTGAGE A	15.00	0.45	0.00	0.45	95.0	0.43
10/10/2017	GARDNER, THERESA	AM FUNDS MORTGAGE A	15.00	0.45	0.00	0.45	95.0	0.43
10/10/2017	GARDNER, THERESA	AM FUNDS MORTGAGE A	15.00	0.45	0.00	0.45	95.0	0.43
10/10/2017	HAWK, CYNTHIA	AM FUNDS NEW PERSPECTIVE A	100.00	5.00	0.00	5.00	95.0	4.75
10/10/2017	STRUNCK, TED	AM FUNDS NEW PERSPECTIVE A	33.00	0.66	0.00	0.66	95.0	0.63
10/10/2017	STRUNCK, TED	AM FUNDS NEW PERSPECTIVE A	33.00	0.66	0.00	0.66	95.0	0.63
10/10/2017	STRUNCK, TED	AM FUNDS NEW PERSPECTIVE A	33.00	0.66	0.00	0.66	95.0	0.63
10/10/2017	STRUNCK, TED	AM FUNDS NEW PERSPECTIVE A	33.00	0.66	0.00	0.66	95.0	0.63
10/10/2017	STRUNCK, TED	AM FUNDS NEW PERSPECTIVE A	33.00	0.66	0.00	0.66	95.0	0.63
10/10/2017	GARDNER, THERESA	AM FUNDS SMALLCAP WORLD A	15.00	0.75	0.00	0.75	95.0	0.71
10/10/2017	GARDNER, THERESA	AM FUNDS SMALLCAP WORLD A	15.00	0.75	0.00	0.75	95.0	0.71
10/10/2017	GARDNER, THERESA	AM FUNDS SMALLCAP WORLD A	15.00	0.75	0.00	0.75	95.0	0.71
10/10/2017	GARDNER, THERESA	AM FUNDS SMALLCAP WORLD A	15.00	0.75	0.00	0.75	95.0	0.71
10/10/2017	GARDNER, THERESA	AM FUNDS SMALLCAP WORLD A	15.00	0.75	0.00	0.75	95.0	0.71
10/09/2017	SOBIESKI, JOYCE	AM FUNDS WASHINGTON MUTUAL INVESTOR	37.50	0.38	0.00	0.38	95.0	0.36
10/10/2017	IVEZAJ, GYSTE	AM FUNDS WASHINGTON MUTUAL INVESTOR	50.00	1.88	0.00	1.88	95.0	1.79
10/10/2017	STRUNCK, TED	AM FUNDS WASHINGTON MUTUAL INVESTOR	34.00	0.68	0.00	0.68	95.0	0.65
10/10/2017	STRUNCK, TED	AM FUNDS WASHINGTON MUTUAL INVESTOR	34.00	0.68	0.00	0.68	95.0	0.65

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<b><u>BROKER TRANSACTIONS</u></b>								
<b><u>PRODUCT CATEGORY: MUTUAL FUNDS</u></b>								
10/10/2017	STRUNCK, TED	AM FUNDS WASHINGTON MUTUAL INVESTOR	34.00	0.68	0.00	0.68	95.0	0.65
10/10/2017	STRUNCK, TED	AM FUNDS WASHINGTON MUTUAL INVESTOR	34.00	0.68	0.00	0.68	95.0	0.65
10/10/2017	STRUNCK, TED	AM FUNDS WASHINGTON MUTUAL INVESTOR	34.00	0.68	0.00	0.68	95.0	0.65
10/16/2017	KEMP, JEREMY	AM FUNDS WASHINGTON MUTUAL INVESTOR	50.00	2.13	0.00	2.13	95.0	2.02
10/16/2017	BEHNKE, DANIEL	AM FUNDS WASHINGTON MUTUAL INVESTOR	50.00	2.50	0.00	2.50	95.0	2.38
10/16/2017	BEHNKE, MARK	AM FUNDS WASHINGTON MUTUAL INVESTOR	100.00	5.00	0.00	5.00	95.0	4.75
10/16/2017	ULJAJ, JOSEPH	AM FUNDS WASHINGTON MUTUAL INVESTOR	50.00	2.13	0.00	2.13	95.0	2.02
10/05/2017	CFGROUP, VARIOUS	AMERICAN FUNDS 8504AFRKD	0.00	71.83	0.00	71.83	95.0	68.24
09/30/2017	GALLAS, JAMES L & ANN M	BLACKROCK 19452P473	0.00	7.26	0.00	7.26	95.0	6.90
09/30/2017	GALLAS, ANN	BLACKROCK 19452P473	0.00	3.54	0.00	3.54	95.0	3.36
09/30/2017	BURKE, KIMBERLY	BLACKROCK FUND 19452P594	0.00	2.48	0.00	2.48	95.0	2.36
09/30/2017	BURKE, KIMBERLY	BLACKROCK FUND 19452P594	0.00	7.44	0.00	7.44	95.0	7.07
09/30/2017	BURKE, KIMBERLY	BLACKROCK FUND 19452P594	0.00	6.16	0.00	6.16	95.0	5.85
09/30/2017	BURKE, KIMBERLY	BLACKROCK FUND 19452P594	0.00	2.05	0.00	2.05	95.0	1.95
09/30/2017	BURKE, KIMBERLY	BLACKROCK FUND 19452P610	0.00	2.03	0.00	2.03	95.0	1.93
09/30/2017	BURKE, KIMBERLY	BLACKROCK FUND 19452P610	0.00	5.96	0.00	5.96	95.0	5.66
09/30/2017	BURKE, KIMBERLY	BLACKROCK FUND 19452P628	0.00	2.07	0.00	2.07	95.0	1.97
09/30/2017	BURKE, KIMBERLY	BLACKROCK FUND 19452P628	0.00	6.21	0.00	6.21	95.0	5.90
09/30/2017	BURKE, KIMBERLY	BLACKROCK FUND 19452P636	0.00	6.31	0.00	6.31	95.0	5.99
09/30/2017	MERRITT, GREGORY	BLK AGG 10-12 AGE BASED A	0.00	4.63	0.00	4.63	95.0	4.40
09/30/2017	BAKER, JEAN-ANNE	BLK AGG 10-12 AGE BASED A	0.00	0.79	0.00	0.79	95.0	0.75
09/30/2017	YASCH, SANDY	BLK AGG 10-12 AGE BASED A	0.00	0.62	0.00	0.62	95.0	0.59
09/30/2017	BAKER, JEAN-ANNE	BLK AGG 10-12 AGE BASED A	0.00	1.76	0.00	1.76	95.0	1.67
09/30/2017	YASCH, KEN	BLK AGG 13-16 AGE BASED A	0.00	0.59	0.00	0.59	95.0	0.56
09/30/2017	WILLIT	BLK AGG GROWTH A	0.00	2.03	0.00	2.03	95.0	1.93
09/30/2017	BAKER, JEAN-ANNE	BLK COLLEGE ADVANTAGE 529 PLAN	0.00	0.04	0.00	0.04	95.0	0.04
09/30/2017	BAKER, JEAN-ANNE	BLK COLLEGE ADVANTAGE 529 PLAN	0.00	0.12	0.00	0.12	95.0	0.11
09/30/2017	KING, DAVID	BLK EQUITY DIVIDEND C	0.00	0.49	0.00	0.49	95.0	0.47
09/30/2017	KING, DAVID	BLK EQUITY DIVIDEND C	0.00	0.16	0.00	0.16	95.0	0.15
09/30/2017	GAWTHROP, NANCY	BLK MOD 0-5 AGE BASED C	0.00	0.15	0.00	0.15	95.0	0.14
09/30/2017	GAWTHROP, NANCY	BLK MOD 0-5 AGE BASED C	0.00	0.47	0.00	0.47	95.0	0.45
09/30/2017	GAWTHROP, NANCY	BLK MOD 0-5 AGE BASED C	0.00	0.16	0.00	0.16	95.0	0.15
09/30/2017	WETZEL, DIANNE	BLK MOD 0-5 AGE BASED C	0.00	2.67	0.00	2.67	95.0	2.54

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<b><u>BROKER TRANSACTIONS</u></b>								
<b><u>PRODUCT CATEGORY: MUTUAL FUNDS</u></b>								
09/30/2017	WETZEL, DIANNE	BLK MOD 0-5 AGE BASED C	0.00	0.89	0.00	0.89	95.0	0.85
09/30/2017	WETZEL, DIANNE	BLK MOD 0-5 AGE BASED C	0.00	0.82	0.00	0.82	95.0	0.78
09/30/2017	WETZEL, DIANNE	BLK MOD 0-5 AGE BASED C	0.00	2.45	0.00	2.45	95.0	2.33
09/30/2017	GAWTHROP, NANCY	BLK MOD 0-5 AGE BASED C	0.00	0.05	0.00	0.05	95.0	0.05
09/30/2017	BUSZEK, RICHARD	BLK MOD 0-5 AGE BASED C	0.00	1.83	0.00	1.83	95.0	1.74
09/30/2017	BUSZEK, RICHARD	BLK MOD 0-5 AGE BASED C	0.00	0.61	0.00	0.61	95.0	0.58
09/30/2017	BAKER, JEAN-ANNE	BLK MOD 0-5 AGE BASED C	0.00	0.24	0.00	0.24	95.0	0.23
09/30/2017	BAKER, JEAN-ANNE	BLK MOD 0-5 AGE BASED C	0.00	0.08	0.00	0.08	95.0	0.08
09/30/2017	MOELLER, RICHARD	BLK MOD 10-12 AGE BASED C	0.00	0.40	0.00	0.40	95.0	0.38
09/30/2017	NIZIO, EDMUND	BLK MOD 10-12 AGE BASED C	0.00	2.48	0.00	2.48	95.0	2.36
09/30/2017	NIZIO, EDMUND	BLK MOD 10-12 AGE BASED C	0.00	7.44	0.00	7.44	95.0	7.07
09/30/2017	NIZIO, MARGARET	BLK MOD 10-12 AGE BASED C	0.00	2.48	0.00	2.48	95.0	2.36
09/30/2017	NIZIO, MARGARET	BLK MOD 10-12 AGE BASED C	0.00	7.44	0.00	7.44	95.0	7.07
09/30/2017	MOELLER, RICHARD	BLK MOD 10-12 AGE BASED C	0.00	0.13	0.00	0.13	95.0	0.12
10/02/2017	NIZIO, MARGARET	BLK MOD 10-12 AGE BASED C	50.00	0.50	0.00	0.50	95.0	0.48
10/02/2017	NIZIO, EDMUND	BLK MOD 10-12 AGE BASED C	50.00	0.50	0.00	0.50	95.0	0.48
09/30/2017	COOPER, LISA	BLK MOD 13-16 AGE BASED A	0.00	2.90	0.00	2.90	95.0	2.76
09/30/2017	COOPER, LISA	BLK MOD 13-16 AGE BASED A	0.00	3.24	0.00	3.24	95.0	3.08
09/30/2017	GAWTHROP, NANCY	BLK MOD 13-16 AGE BASED A	0.00	0.79	0.00	0.79	95.0	0.75
09/30/2017	GAWTHROP, NANCY	BLK MOD 13-16 AGE BASED A	0.00	0.55	0.00	0.55	95.0	0.52
09/30/2017	NIK, YASCH	BLK MOD 13-16 AGE BASED A	0.00	0.55	0.00	0.55	95.0	0.52
09/30/2017	MERRITT, GREGORY	BLK MOD 13-16 AGE BASED A	0.00	2.07	0.00	2.07	95.0	1.97
09/30/2017	KUCHAREK, PAUL	BLK MOD 13-16 AGE BASED A	0.00	2.35	0.00	2.35	95.0	2.23
09/30/2017	HOOTNER-JONES, ANN	BLK MOD 13-16 AGE BASED A	0.00	3.31	0.00	3.31	95.0	3.14
09/30/2017	HOOTNER-JONES, ANN	BLK MOD 13-16 AGE BASED A	0.00	3.31	0.00	3.31	95.0	3.14
09/30/2017	HOOTNER-JONES, ANN	BLK MOD 13-16 AGE BASED A	0.00	5.01	0.00	5.01	95.0	4.76
10/02/2017	KUCHAREK, PAUL	BLK MOD 13-16 AGE BASED A	50.00	1.88	0.00	1.88	95.0	1.79
09/30/2017	COOPER, LISA	BLK MOD 13-16 AGE BASED C	0.00	1.94	0.00	1.94	95.0	1.84
09/30/2017	COOPER, LISA	BLK MOD 13-16 AGE BASED C	0.00	0.65	0.00	0.65	95.0	0.62
09/30/2017	COOPER, LISA	BLK MOD 13-16 AGE BASED C	0.00	0.59	0.00	0.59	95.0	0.56
09/30/2017	COOPER, LISA	BLK MOD 13-16 AGE BASED C	0.00	1.76	0.00	1.76	95.0	1.67
09/30/2017	GAWTHROP, NANCY	BLK MOD 13-16 AGE BASED C	0.00	1.04	0.00	1.04	95.0	0.99
09/30/2017	GAWTHROP, NANCY	BLK MOD 13-16 AGE BASED C	0.00	0.35	0.00	0.35	95.0	0.33

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<b><u>BROKER TRANSACTIONS</u></b>								
<b><u>PRODUCT CATEGORY: MUTUAL FUNDS</u></b>								
09/30/2017	GAWTHROP, NANCY	BLK MOD 13-16 AGE BASED C	0.00	0.28	0.00	0.28	95.0	0.27
09/30/2017	GAWTHROP, NANCY	BLK MOD 13-16 AGE BASED C	0.00	0.84	0.00	0.84	95.0	0.80
09/30/2017	TRYNAN, SHELLY	BLK MOD 13-16 AGE BASED C	0.00	0.48	0.00	0.48	95.0	0.46
09/30/2017	MOELLER, RICHARD	BLK MOD 13-16 AGE BASED C	0.00	0.53	0.00	0.53	95.0	0.50
09/30/2017	MOELLER, RICHARD	BLK MOD 13-16 AGE BASED C	0.00	0.18	0.00	0.18	95.0	0.17
09/30/2017	TRYNAN, SHELLY	BLK MOD 13-16 AGE BASED C	0.00	1.44	0.00	1.44	95.0	1.37
09/30/2017	KUCHAREK, PAUL	BLK MOD 17+ AGE BASED A	0.00	4.19	0.00	4.19	95.0	3.98
09/30/2017	KUCHAREK, PAUL	BLK MOD 17+ AGE BASED A	0.00	2.18	0.00	2.18	95.0	2.07
09/30/2017	KUCHAREK, PAUL	BLK MOD 17+ AGE BASED A	0.00	3.84	0.00	3.84	95.0	3.65
09/30/2017	MUENCH, DANIEL	BLK MOD 17+ AGE BASED A	0.00	2.35	0.00	2.35	95.0	2.23
09/30/2017	MUENCH, DANIEL	BLK MOD 17+ AGE BASED A	0.00	0.87	0.00	0.87	95.0	0.83
09/30/2017	MERRITT, GREGORY	BLK MOD 17+ AGE BASED A	0.00	0.38	0.00	0.38	95.0	0.36
10/02/2017	KUCHAREK, PAUL	BLK MOD 17+ AGE BASED A	50.00	1.88	0.00	1.88	95.0	1.79
09/30/2017	TRYNAN, SHELLY	BLK MOD 17+ AGE BASED C	0.00	2.76	0.00	2.76	95.0	2.62
09/30/2017	TRYNAN, SHELLY	BLK MOD 17+ AGE BASED C	0.00	0.92	0.00	0.92	95.0	0.87
09/30/2017	MERRITT, GREGORY	BLK MOD 6-9 AGE BASED A	0.00	4.24	0.00	4.24	95.0	4.03
09/30/2017	GAWTHROP, NANCY	BLK MOD 6-9 AGE BASED A	0.00	0.21	0.00	0.21	95.0	0.20
09/30/2017	BUSZEK, RICHARD	BLK MOD 6-9 AGE BASED C	0.00	3.25	0.00	3.25	95.0	3.09
09/30/2017	GAWTHROP, NANCY	BLK MOD 6-9 AGE BASED C	0.00	1.06	0.00	1.06	95.0	1.01
09/30/2017	CFGROUP, VARIOUS	BLK MOD 6-9 AGE BASED C	0.00	1.16	0.00	1.16	95.0	1.10
09/30/2017	GAWTHROP, NANCY	BLK MOD 6-9 AGE BASED C	0.00	0.35	0.00	0.35	95.0	0.33
09/30/2017	MOELLER, RICHARD	BLK MOD 6-9 AGE BASED C	0.00	0.33	0.00	0.33	95.0	0.31
09/30/2017	MOELLER, RICHARD	BLK MOD 6-9 AGE BASED C	0.00	0.11	0.00	0.11	95.0	0.10
09/30/2017	COOPER, LISA	BLK MOD 6-9 AGE BASED C	0.00	2.21	0.00	2.21	95.0	2.10
09/30/2017	COOPER, LISA	BLK MOD 6-9 AGE BASED C	0.00	6.63	0.00	6.63	95.0	6.30
09/30/2017	BUSZEK, RICHARD	BLK MOD 6-9 AGE BASED C	0.00	1.08	0.00	1.08	95.0	1.03
09/30/2017	BUSZEK, RICHARD	BLK MOD 6-9 AGE BASED C	0.00	1.08	0.00	1.08	95.0	1.03
09/30/2017	BUSZEK, RICHARD	BLK MOD 6-9 AGE BASED C	0.00	3.24	0.00	3.24	95.0	3.08
09/30/2017	GAWTHROP, NANCY	BLK MOD 6-9 AGE BASED C	0.00	0.35	0.00	0.35	95.0	0.33
09/30/2017	GAWTHROP, NANCY	BLK MOD 6-9 AGE BASED C	0.00	1.05	0.00	1.05	95.0	1.00
09/30/2017	CFGROUP, VARIOUS	BLK MOD 6-9 AGE BASED C	0.00	3.48	0.00	3.48	95.0	3.31
/ /	SOLDAN-, MATTHEW	CALAMOS GROWTH & INCOME A	0.00	2.96	0.00	2.96	95.0	2.81
/ /	GRAVES, ANNE	CALAMOS GROWTH A	0.00	11.80	0.00	11.80	95.0	11.21

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<b><u>BROKER TRANSACTIONS</u></b>								
<b><u>PRODUCT CATEGORY: MUTUAL FUNDS</u></b>								
/ /	SOLDAN-, MATTHEW	CALAMOS GROWTH A	0.00	2.73	0.00	2.73	95.0	2.59
/ /	SOBIESKI, JOYCE	CALAMOS GROWTH C	0.00	31.13	0.00	31.13	95.0	29.57
10/04/2017	MERRITT, KATHY	COLUMBIA ACORN A	0.00	9.17	0.00	9.17	95.0	8.71
10/04/2017	EQUITY TRUST CO	COLUMBIA ACORN A	0.00	5.58	0.00	5.58	95.0	5.30
10/04/2017	SMARK, CHARLES	COLUMBIA ACORN A	0.00	6.51	0.00	6.51	95.0	6.18
10/04/2017	MOORE, DONYELLE	COLUMBIA EQUITY VALUE A	0.00	0.95	0.00	0.95	95.0	0.90
10/04/2017	MUNTEANU, RADU	COLUMBIA GREATER CHINA A	0.00	8.06	0.00	8.06	95.0	7.66
10/04/2017	KLEMPNER TRUST, VLADIMIR	COLUMBIA INCOME BUILDER FUND A	0.00	9.08	0.00	9.08	95.0	8.63
10/04/2017	SMYTH, DAVID	COLUMBIA LARGE CAP GROWTH A	0.00	3.29	0.00	3.29	95.0	3.13
10/04/2017	MOORE, DONYELLE	COLUMBIA MIDCAP VALUE A	0.00	8.54	0.00	8.54	95.0	8.11
10/04/2017	KULA, THOMAS	COLUMBIA SELIGMAN COMM AND INFO A	0.00	2.84	0.00	2.84	95.0	2.70
10/04/2017	HOSKIN, JOHN	COLUMBIA SELIGMAN COMM AND INFO A	0.00	5.74	0.00	5.74	95.0	5.45
10/04/2017	SWIDER, ROB	COLUMBIA SELIGMAN COMM AND INFO A	0.00	5.92	0.00	5.92	95.0	5.62
10/04/2017	VANMEER, MICHAEL	COLUMBIA SELIGMAN COMM AND INFO A	0.00	3.52	0.00	3.52	95.0	3.34
10/04/2017	SCULLY, DOROTHY	COLUMBIA SELIGMAN COMM AND INFO C	0.00	44.62	0.00	44.62	95.0	42.39
10/04/2017	FALKIEWICZ, DAVID	COLUMBIA SMALL CAP VALUE I A	0.00	5.79	0.00	5.79	95.0	5.50
10/04/2017	MOORE, DONYELLE	COLUMBIA SMALL CAP VALUE I A	0.00	4.81	0.00	4.81	95.0	4.57
10/04/2017	KOSUTH, SARA	COLUMBIA STRATEGIC INVESTOR A	0.00	2.64	0.00	2.64	95.0	2.51
10/04/2017	KUCHAREK, EMMA	COLUMBIA STRATEGIC INVESTOR A	0.00	0.19	0.00	0.19	95.0	0.18
10/04/2017	KUCHAREK, PETER	COLUMBIA STRATEGIC INVESTOR A	0.00	0.19	0.00	0.19	95.0	0.18
10/04/2017	KUCHAREK, GILLIAN	COLUMBIA STRATEGIC INVESTOR A	0.00	0.19	0.00	0.19	95.0	0.18
10/04/2017	KUCHAREK, SARAH	COLUMBIA STRATEGIC INVESTOR A	0.00	0.19	0.00	0.19	95.0	0.18
10/04/2017	KINGSLEY, BRIAN GENE	COLUMBIA STRATEGIC INVESTOR A	0.00	2.69	0.00	2.69	95.0	2.56
10/04/2017	KUCHAREK, MIRIAM	COLUMBIA STRATEGIC INVESTOR A	0.00	0.20	0.00	0.20	95.0	0.19
10/01/2017	VARTABEDIAN, ROBERT	DAVIS FINANCIAL A	0.00	6.50	0.00	6.50	95.0	6.18
10/01/2017	ROY, JACKIE	DAVIS FINANCIAL A	0.00	7.13	0.00	7.13	95.0	6.77
10/01/2017	ROY, LORAIN	DAVIS FINANCIAL A	0.00	4.29	0.00	4.29	95.0	4.08
10/01/2017	SZETO, CHOWN	DAVIS FINANCIAL A	0.00	1.52	0.00	1.52	95.0	1.44
10/01/2017	MICHON, ERIK	DAVIS FINANCIAL A	0.00	1.89	0.00	1.89	95.0	1.80
10/01/2017	ROCCA, HELEN	DAVIS FINANCIAL A	0.00	6.05	0.00	6.05	95.0	5.75
10/01/2017	ROCCA, JOHN	DAVIS FINANCIAL A	0.00	10.34	0.00	10.34	95.0	9.82
10/01/2017	SMITH, DENNIS	DAVIS FINANCIAL A	0.00	4.29	0.00	4.29	95.0	4.08
10/01/2017	DUDZIK, ELZBIETA	DAVIS FINANCIAL A	0.00	3.99	0.00	3.99	95.0	3.79

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<b><u>BROKER TRANSACTIONS</u></b>								
<b><u>PRODUCT CATEGORY: MUTUAL FUNDS</u></b>								
10/01/2017	ROCCA, HELEN	DAVIS FINANCIAL A	0.00	4.61	0.00	4.61	95.0	4.38
10/01/2017	ROCCA, JOHN	DAVIS FINANCIAL A	0.00	0.79	0.00	0.79	95.0	0.75
10/01/2017	TSANGANOS, OURANIA	DAVIS GLOBAL A	0.00	15.69	0.00	15.69	95.0	14.91
10/01/2017	TSANGANOS, NICHOLAOS	DAVIS GLOBAL A	0.00	15.69	0.00	15.69	95.0	14.91
10/01/2017	SELVAGGIO, VINCENZA	DAVIS GLOBAL A	0.00	4.58	0.00	4.58	95.0	4.35
10/01/2017	FRAZE, BILL	DAVIS GLOBAL A	0.00	5.07	0.00	5.07	95.0	4.82
10/01/2017	VANDERMEER, BRETT	DAVIS GLOBAL A	0.00	9.07	0.00	9.07	95.0	8.62
10/01/2017	VANDERMEER, PAIGE	DAVIS GLOBAL A	0.00	9.07	0.00	9.07	95.0	8.62
10/01/2017	VARTABEDIAN, ROBERT	DAVIS GLOBAL A	0.00	5.56	0.00	5.56	95.0	5.28
10/01/2017	TSANGANOS, LEONIDAS	DAVIS GLOBAL A	0.00	10.05	0.00	10.05	95.0	9.55
10/01/2017	MITSOPOULOS, GEORGIA	DAVIS GLOBAL A	0.00	1.74	0.00	1.74	95.0	1.65
10/01/2017	MITSOPOULOS, GEORGIA	DAVIS GLOBAL A	0.00	2.19	0.00	2.19	95.0	2.08
10/01/2017	DUDZIK, ELZBIETA	DAVIS GLOBAL A	0.00	2.10	0.00	2.10	95.0	2.00
10/01/2017	TSANGANOS, LEONIDAS	DAVIS GLOBAL A	0.00	5.91	0.00	5.91	95.0	5.61
10/01/2017	SCHEFFLER, NEAL	DAVIS GLOBAL A	0.00	3.51	0.00	3.51	95.0	3.33
10/01/2017	PISTOLESI, LEIGH	DAVIS GLOBAL A	0.00	2.64	0.00	2.64	95.0	2.51
10/01/2017	PISTOLESI, VAUGHN	DAVIS GLOBAL A	0.00	9.71	0.00	9.71	95.0	9.22
10/01/2017	SMITH, AMELIA	DAVIS GLOBAL A	0.00	1.13	0.00	1.13	95.0	1.07
10/01/2017	KIRSCHLING UTMA-MI, ANNA	DAVIS GLOBAL A	0.00	1.01	0.00	1.01	95.0	0.96
10/01/2017	ROCCA, HELEN	DAVIS GLOBAL A	0.00	2.35	0.00	2.35	95.0	2.23
10/01/2017	DANNIS, DIANE	DAVIS GLOBAL A	0.00	3.44	0.00	3.44	95.0	3.27
10/01/2017	SELVAGGIO, STEVE	DAVIS GLOBAL A	0.00	2.76	0.00	2.76	95.0	2.62
10/01/2017	VANDERMEER, SANDRA	DAVIS GLOBAL A	0.00	4.21	0.00	4.21	95.0	4.00
10/01/2017	VARTABEDIAN, ROBERT	DAVIS GOVERNMENT MONEY MARKET A	0.00	0.00	0.00	0.00	95.0	0.00
09/27/2017	CUDNIK, LEONARD	DAVIS NEW YORK VENTURE A	200.00	8.00	0.00	8.00	95.0	7.60
10/01/2017	HARRIS TRUST, JACOB	DAVIS NEW YORK VENTURE A	0.00	2.76	0.00	2.76	95.0	2.62
10/01/2017	PAPPAS, LARRY	DAVIS NEW YORK VENTURE A	0.00	140.87	0.00	140.87	95.0	133.83
10/01/2017	POLYZOIS, ALEX	DAVIS NEW YORK VENTURE A	0.00	4.88	0.00	4.88	95.0	4.64
10/01/2017	MURPHY, SEAN	DAVIS NEW YORK VENTURE A	0.00	16.62	0.00	16.62	95.0	15.79
10/01/2017	LUSK, AMY	DAVIS NEW YORK VENTURE A	0.00	3.79	0.00	3.79	95.0	3.60
10/01/2017	COMAIANNI, KATHLEEN	DAVIS NEW YORK VENTURE A	0.00	16.95	0.00	16.95	95.0	16.10
10/01/2017	PESSINA, GAIL	DAVIS NEW YORK VENTURE A	0.00	74.92	0.00	74.92	95.0	71.17
10/01/2017	VARTABEDIAN, MARGARET	DAVIS NEW YORK VENTURE A	0.00	11.31	0.00	11.31	95.0	10.74

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<b><u>BROKER TRANSACTIONS</u></b>								
<b><u>PRODUCT CATEGORY: MUTUAL FUNDS</u></b>								
10/01/2017	TSEREGOUNIS, SPYROS	DAVIS NEW YORK VENTURE A	0.00	57.63	0.00	57.63	95.0	54.75
10/01/2017	CIAGLO, BETTY	DAVIS NEW YORK VENTURE A	0.00	91.57	0.00	91.57	95.0	86.99
10/01/2017	ANASTASIOU, BASILE	DAVIS NEW YORK VENTURE A	0.00	9.29	0.00	9.29	95.0	8.83
10/01/2017	ARVANT, PETER	DAVIS NEW YORK VENTURE A	0.00	183.28	0.00	183.28	95.0	174.12
10/01/2017	VARTABEDIAN, ROBERT	DAVIS NEW YORK VENTURE A	0.00	6.46	0.00	6.46	95.0	6.14
10/01/2017	REYNOLDS, DONALD	DAVIS NEW YORK VENTURE A	0.00	65.31	0.00	65.31	95.0	62.04
10/01/2017	YET, CHARLES	DAVIS NEW YORK VENTURE A	0.00	4.33	0.00	4.33	95.0	4.11
10/01/2017	TSANGANOS, NICHOLAOS	DAVIS NEW YORK VENTURE A	0.00	57.63	0.00	57.63	95.0	54.75
10/01/2017	RUFFINO, ERNESTINE	DAVIS NEW YORK VENTURE A	0.00	43.90	0.00	43.90	95.0	41.71
10/01/2017	VARTABEDIAN, ARTHUR	DAVIS NEW YORK VENTURE A	0.00	4.33	0.00	4.33	95.0	4.11
10/01/2017	KNOWLES, SHANA	DAVIS NEW YORK VENTURE A	0.00	1.15	0.00	1.15	95.0	1.09
10/01/2017	PISTOLESI, VAUGHN	DAVIS NEW YORK VENTURE A	0.00	27.04	0.00	27.04	95.0	25.69
10/01/2017	PISTOLESI, LEIGH	DAVIS NEW YORK VENTURE A	0.00	3.03	0.00	3.03	95.0	2.88
10/01/2017	CISSELL, MICHELLE	DAVIS NEW YORK VENTURE A	0.00	19.94	0.00	19.94	95.0	18.94
10/01/2017	SUCHYTZ, DAVID	DAVIS NEW YORK VENTURE A	0.00	17.53	0.00	17.53	95.0	16.65
10/01/2017	ANDREAPOULOS, FOTINI	DAVIS NEW YORK VENTURE A	0.00	12.04	0.00	12.04	95.0	11.44
10/01/2017	ROY, JACKIE	DAVIS NEW YORK VENTURE A	0.00	5.24	0.00	5.24	95.0	4.98
10/01/2017	ROY, LORAINÉ	DAVIS NEW YORK VENTURE A	0.00	6.23	0.00	6.23	95.0	5.92
10/01/2017	SZETO, CHOWN	DAVIS NEW YORK VENTURE A	0.00	1.31	0.00	1.31	95.0	1.24
10/01/2017	DOUTSAS, FREIDA	DAVIS NEW YORK VENTURE A	0.00	50.10	0.00	50.10	95.0	47.60
10/01/2017	POTTS, JEFFERY	DAVIS NEW YORK VENTURE A	0.00	17.31	0.00	17.31	95.0	16.44
10/01/2017	SHERMAN, SCOTT	DAVIS NEW YORK VENTURE A	0.00	3.15	0.00	3.15	95.0	2.99
10/01/2017	MILLER-TAMM/AUTH PER, MARY	DAVIS NEW YORK VENTURE A	0.00	0.10	0.00	0.10	95.0	0.10
10/01/2017	PARTALIS, CHRISTINE	DAVIS NEW YORK VENTURE A	0.00	4.52	0.00	4.52	95.0	4.29
10/01/2017	CISSELL, EVAN	DAVIS NEW YORK VENTURE A	0.00	38.74	0.00	38.74	95.0	36.80
10/01/2017	GRUENBURG, ROY	DAVIS NEW YORK VENTURE A	0.00	30.53	0.00	30.53	95.0	29.00
10/01/2017	ROCCA, HELEN	DAVIS NEW YORK VENTURE A	0.00	19.55	0.00	19.55	95.0	18.57
10/01/2017	ROCCA, JOHN	DAVIS NEW YORK VENTURE A	0.00	25.53	0.00	25.53	95.0	24.25
10/01/2017	SELVAGGIO, VINCENZA	DAVIS NEW YORK VENTURE A	0.00	1.16	0.00	1.16	95.0	1.10
10/01/2017	TSANGANOS, LEONIDAS	DAVIS NEW YORK VENTURE A	0.00	11.29	0.00	11.29	95.0	10.73
10/01/2017	SELVAGGIO, STEVE	DAVIS NEW YORK VENTURE A	0.00	1.22	0.00	1.22	95.0	1.16
10/01/2017	SMITH, DENNIS	DAVIS NEW YORK VENTURE A	0.00	4.34	0.00	4.34	95.0	4.12
10/01/2017	FRAZHO, JENNIFER	DAVIS NEW YORK VENTURE A	0.00	1.46	0.00	1.46	95.0	1.39

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<b><u>BROKER TRANSACTIONS</u></b>								
<b><u>PRODUCT CATEGORY: MUTUAL FUNDS</u></b>								
10/01/2017	TSOUKALAS, IOANNIS	DAVIS NEW YORK VENTURE A	0.00	3.90	0.00	3.90	95.0	3.71
10/01/2017	BECKER, ADRIANNA	DAVIS NEW YORK VENTURE A	0.00	1.01	0.00	1.01	95.0	0.96
10/01/2017	DUDZIK, ELZBIETA	DAVIS NEW YORK VENTURE A	0.00	24.53	0.00	24.53	95.0	23.30
10/01/2017	VARTABEDIAN, TED	DAVIS NEW YORK VENTURE A	0.00	37.07	0.00	37.07	95.0	35.22
10/01/2017	PAVLIK, SUZANNE	DAVIS NEW YORK VENTURE A	0.00	7.27	0.00	7.27	95.0	6.91
10/01/2017	KOECHIG, CHRISTOPHER	DAVIS NEW YORK VENTURE A	0.00	0.84	0.00	0.84	95.0	0.80
10/01/2017	RAPER, LORRAINE	DAVIS NEW YORK VENTURE A	0.00	7.60	0.00	7.60	95.0	7.22
10/01/2017	MORICI, MICHELLE	DAVIS NEW YORK VENTURE A	0.00	28.96	0.00	28.96	95.0	27.51
10/01/2017	RITTER, WILLIAM	DAVIS NEW YORK VENTURE A	0.00	9.58	0.00	9.58	95.0	9.10
10/01/2017	SCHEFFLER, NEAL	DAVIS NEW YORK VENTURE A	0.00	22.83	0.00	22.83	95.0	21.69
10/01/2017	ZAWACKI, SANDY	DAVIS NEW YORK VENTURE A	0.00	72.60	0.00	72.60	95.0	68.97
10/01/2017	KEMPERMAN, MICHELLE	DAVIS NEW YORK VENTURE A	0.00	8.44	0.00	8.44	95.0	8.02
10/01/2017	SCULLY, KATHLEEN	DAVIS NEW YORK VENTURE A	0.00	13.33	0.00	13.33	95.0	12.66
10/01/2017	BROSHEAR, KARA	DAVIS NEW YORK VENTURE A	0.00	13.65	0.00	13.65	95.0	12.97
10/01/2017	BROSHEAR, MARK	DAVIS NEW YORK VENTURE A	0.00	15.27	0.00	15.27	95.0	14.51
10/01/2017	PETRO, PAUL	DAVIS NEW YORK VENTURE A	0.00	34.71	0.00	34.71	95.0	32.97
10/01/2017	PISTOLESI, MORGAN	DAVIS NEW YORK VENTURE A	0.00	7.33	0.00	7.33	95.0	6.96
10/01/2017	GARLAND, DAWN	DAVIS NEW YORK VENTURE A	0.00	8.92	0.00	8.92	95.0	8.47
10/01/2017	KISH, VIVIAN	DAVIS NEW YORK VENTURE A	0.00	28.67	0.00	28.67	95.0	27.24
10/01/2017	KISH, VIVIAN	DAVIS NEW YORK VENTURE A	0.00	48.25	0.00	48.25	95.0	45.84
10/01/2017	LAPORTE, NATANIAL	DAVIS NEW YORK VENTURE A	0.00	2.32	0.00	2.32	95.0	2.20
10/01/2017	CUDNIK, LEONARD	DAVIS NEW YORK VENTURE A	0.00	17.22	0.00	17.22	95.0	16.36
10/01/2017	GABRAIL, JALAL	DAVIS NEW YORK VENTURE A	0.00	2.80	0.00	2.80	95.0	2.66
10/01/2017	MANSOUR, EVA	DAVIS NEW YORK VENTURE A	0.00	1.34	0.00	1.34	95.0	1.27
10/01/2017	MOELLER, RICHARD	DAVIS NEW YORK VENTURE A	0.00	9.59	0.00	9.59	95.0	9.11
10/01/2017	NICOLOSI, ROSE	DAVIS NEW YORK VENTURE A	0.00	14.20	0.00	14.20	95.0	13.49
10/01/2017	PISTOLESI, VAUGHN	DAVIS NEW YORK VENTURE A	0.00	10.98	0.00	10.98	95.0	10.43
10/01/2017	MORELLI, MARY	DAVIS NEW YORK VENTURE A	0.00	120.45	0.00	120.45	95.0	114.43
10/01/2017	MORELLI, MARY	DAVIS NEW YORK VENTURE A	0.00	30.84	0.00	30.84	95.0	29.30
10/01/2017	ANDREOPOULOS, KOULA	DAVIS NEW YORK VENTURE A	0.00	23.76	0.00	23.76	95.0	22.57
10/01/2017	BARBER, IAN	DAVIS NEW YORK VENTURE A	0.00	5.94	0.00	5.94	95.0	5.64
10/01/2017	BANKS, VICTORIA	DAVIS NEW YORK VENTURE A	0.00	17.82	0.00	17.82	95.0	16.93
10/01/2017	NIKOU, JIMMY	DAVIS NEW YORK VENTURE A	0.00	59.58	0.00	59.58	95.0	56.60

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<b><u>BROKER TRANSACTIONS</u></b>								
<b><u>PRODUCT CATEGORY: MUTUAL FUNDS</u></b>								
10/01/2017	ANASTASIOU, DESPINA	DAVIS NEW YORK VENTURE A	0.00	32.82	0.00	32.82	95.0	31.18
10/01/2017	ANASTASIOU, BASILE	DAVIS NEW YORK VENTURE A	0.00	68.04	0.00	68.04	95.0	64.64
10/01/2017	ALEXOPOULOS, PAUL	DAVIS NEW YORK VENTURE A	0.00	16.42	0.00	16.42	95.0	15.60
10/01/2017	NIKOU, JIMMY	DAVIS NEW YORK VENTURE A	0.00	37.55	0.00	37.55	95.0	35.67
10/01/2017	CISSELL, EVAN	DAVIS NEW YORK VENTURE A	0.00	17.80	0.00	17.80	95.0	16.91
10/01/2017	CISSELL, PATRICIA	DAVIS NEW YORK VENTURE A	0.00	90.61	0.00	90.61	95.0	86.08
10/01/2017	WALSH, MICHAEL	DAVIS NEW YORK VENTURE A	0.00	2.55	0.00	2.55	95.0	2.42
10/01/2017	SUCHYTA, DENNIS	DAVIS NEW YORK VENTURE A	0.00	3.92	0.00	3.92	95.0	3.72
10/01/2017	TASCH, MARTIN	DAVIS NEW YORK VENTURE A	0.00	9.41	0.00	9.41	95.0	8.94
10/01/2017	ARVANT, PETER	DAVIS NEW YORK VENTURE A	0.00	152.02	0.00	152.02	95.0	144.42
10/01/2017	FRAZE, BILL	DAVIS NEW YORK VENTURE A	0.00	98.53	0.00	98.53	95.0	93.60
10/01/2017	ROBINETTE, JANET	DAVIS NEW YORK VENTURE A	0.00	19.52	0.00	19.52	95.0	18.54
10/01/2017	HOWARD, LISA	DAVIS NEW YORK VENTURE A	0.00	6.99	0.00	6.99	95.0	6.64
10/01/2017	ROCCA, ALEX	DAVIS NEW YORK VENTURE A	0.00	2.55	0.00	2.55	95.0	2.42
10/01/2017	ROCCA, AARON	DAVIS NEW YORK VENTURE A	0.00	2.55	0.00	2.55	95.0	2.42
10/01/2017	ROCCA, JACQUELYN	DAVIS NEW YORK VENTURE A	0.00	2.49	0.00	2.49	95.0	2.37
10/01/2017	ROCCA, HELEN	DAVIS NEW YORK VENTURE A	0.00	9.64	0.00	9.64	95.0	9.16
10/01/2017	TSANGANOS, LABRENE	DAVIS NEW YORK VENTURE A	0.00	23.98	0.00	23.98	95.0	22.78
10/01/2017	PESSINA, GAIL	DAVIS NEW YORK VENTURE A	0.00	95.51	0.00	95.51	95.0	90.73
10/01/2017	MASTERSON, ANNA	DAVIS NEW YORK VENTURE A	0.00	0.75	0.00	0.75	95.0	0.71
10/01/2017	DOUTSAS, CHRIS	DAVIS NEW YORK VENTURE A	0.00	24.31	0.00	24.31	95.0	23.09
10/01/2017	REDDEN, TODD	DAVIS NEW YORK VENTURE A	0.00	3.86	0.00	3.86	95.0	3.67
10/01/2017	DOUMAS, IRENE	DAVIS NEW YORK VENTURE A	0.00	22.99	0.00	22.99	95.0	21.84
10/01/2017	DANNIS, DIANE	DAVIS NEW YORK VENTURE A	0.00	18.57	0.00	18.57	95.0	17.64
10/01/2017	OVERMYER, SUSAN	DAVIS NEW YORK VENTURE A	0.00	148.49	0.00	148.49	95.0	141.07
10/01/2017	GRUENER, ELEANOR	DAVIS NEW YORK VENTURE A	0.00	91.29	0.00	91.29	95.0	86.73
10/01/2017	DAVIS, JAMES	DAVIS NEW YORK VENTURE A	0.00	24.15	0.00	24.15	95.0	22.94
10/01/2017	KOPRINCE, RYAN	DAVIS NEW YORK VENTURE A	0.00	1.62	0.00	1.62	95.0	1.54
10/01/2017	COMAIANNI, KATHLEEN	DAVIS NEW YORK VENTURE A	0.00	20.52	0.00	20.52	95.0	19.49
10/01/2017	DOUTSAS, MICHAEL	DAVIS NEW YORK VENTURE A	0.00	6.48	0.00	6.48	95.0	6.16
10/01/2017	SUCHER, ADAM	DAVIS NEW YORK VENTURE A	0.00	3.29	0.00	3.29	95.0	3.13
10/01/2017	SCULLY, DOROTHY	DAVIS NEW YORK VENTURE A	0.00	190.31	0.00	190.31	95.0	180.79
10/01/2017	STUDAKER, RICHARD	DAVIS NEW YORK VENTURE A	0.00	66.00	0.00	66.00	95.0	62.70

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<b><u>BROKER TRANSACTIONS</u></b>								
<b><u>PRODUCT CATEGORY: MUTUAL FUNDS</u></b>								
10/01/2017	POLYZOIS, ELLIE	DAVIS NEW YORK VENTURE A	0.00	50.23	0.00	50.23	95.0	47.72
10/01/2017	PSIHOPEDAS, NICHOLAS	DAVIS NEW YORK VENTURE A	0.00	6.13	0.00	6.13	95.0	5.82
10/01/2017	DOUTSAS, DANNIE	DAVIS NEW YORK VENTURE A	0.00	7.97	0.00	7.97	95.0	7.57
10/01/2017	SELVAGGIO, ANTHONY	DAVIS NEW YORK VENTURE A	0.00	4.08	0.00	4.08	95.0	3.88
10/01/2017	SELVAGGIO, STEVE	DAVIS NEW YORK VENTURE A	0.00	1.55	0.00	1.55	95.0	1.47
10/01/2017	SELVAGGIO, VINCENZA	DAVIS NEW YORK VENTURE A	0.00	14.09	0.00	14.09	95.0	13.39
10/01/2017	PSIHOPEDAS, STAPHANIE	DAVIS NEW YORK VENTURE A	0.00	5.01	0.00	5.01	95.0	4.76
10/01/2017	HATSIOS, DEMETRIUS	DAVIS NEW YORK VENTURE A	0.00	4.51	0.00	4.51	95.0	4.28
10/01/2017	VANDERMEER, SANDRA	DAVIS NEW YORK VENTURE A	0.00	102.90	0.00	102.90	95.0	97.76
10/01/2017	FEINBERG, MARK	DAVIS NEW YORK VENTURE A	0.00	7.15	0.00	7.15	95.0	6.79
10/01/2017	LEMPINEN, DIANE	DAVIS NEW YORK VENTURE A	0.00	129.83	0.00	129.83	95.0	123.34
10/01/2017	SUCHER, ALLIE	DAVIS NEW YORK VENTURE A	0.00	3.09	0.00	3.09	95.0	2.94
10/01/2017	SUCHER, ERIK	DAVIS NEW YORK VENTURE A	0.00	3.09	0.00	3.09	95.0	2.94
10/01/2017	PAPPAS, JOHN	DAVIS NEW YORK VENTURE A	0.00	8.70	0.00	8.70	95.0	8.27
10/01/2017	BOLOGNA, ADAM	DAVIS NEW YORK VENTURE A	0.00	14.38	0.00	14.38	95.0	13.66
10/01/2017	PRATER-MANOR, AMY	DAVIS NEW YORK VENTURE A	0.00	64.61	0.00	64.61	95.0	61.38
10/01/2017	PRATER-MANOR, SARAH	DAVIS NEW YORK VENTURE A	0.00	65.31	0.00	65.31	95.0	62.04
10/01/2017	PESSINA, JOHN	DAVIS NEW YORK VENTURE A	0.00	14.84	0.00	14.84	95.0	14.10
10/01/2017	RICCHIUTI, HERMAN	DAVIS NEW YORK VENTURE A	0.00	87.63	0.00	87.63	95.0	83.25
10/01/2017	OVERMYER, EMILY	DAVIS NEW YORK VENTURE A	0.00	15.96	0.00	15.96	95.0	15.16
10/01/2017	OVERMYER, STEVEN	DAVIS NEW YORK VENTURE A	0.00	52.65	0.00	52.65	95.0	50.02
10/01/2017	PAPPAS, JOHN	DAVIS NEW YORK VENTURE A	0.00	34.36	0.00	34.36	95.0	32.64
10/01/2017	YET, BETTY	DAVIS NEW YORK VENTURE A	0.00	140.81	0.00	140.81	95.0	133.77
10/01/2017	OVERMYER, STEVEN	DAVIS NEW YORK VENTURE A	0.00	20.82	0.00	20.82	95.0	19.78
10/01/2017	GIARRATANO, LAUREN	DAVIS NEW YORK VENTURE A	0.00	1.45	0.00	1.45	95.0	1.38
10/01/2017	ROCCA, JOHN	DAVIS NEW YORK VENTURE A	0.00	2.09	0.00	2.09	95.0	1.99
10/01/2017	POTEMPA TRUST	DAVIS NEW YORK VENTURE A	0.00	21.44	0.00	21.44	95.0	20.37
10/01/2017	KRAUSE, BARBARA	DAVIS NEW YORK VENTURE A	0.00	32.23	0.00	32.23	95.0	30.62
10/02/2017	PARTALIS, CHRISTINE	DAVIS NEW YORK VENTURE A	125.00	5.00	0.00	5.00	95.0	4.75
09/28/2017	RITTER, WILLIAM	DAVIS NEW YORK VENTURE B	25.00	1.00	0.00	1.00	95.0	0.95
09/29/2017	PISTOLESI, VAUGHN	DAVIS NEW YORK VENTURE B	200.00	8.00	0.00	8.00	95.0	7.60
09/29/2017	PISTOLESI, MORGAN	DAVIS NEW YORK VENTURE B	100.00	4.00	0.00	4.00	95.0	3.80
10/01/2017	PISTOLESI, VAUGHN	DAVIS NEW YORK VENTURE B	0.00	7.59	0.00	7.59	95.0	7.21

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<b><u>BROKER TRANSACTIONS</u></b>								
<b><u>PRODUCT CATEGORY: MUTUAL FUNDS</u></b>								
10/01/2017	PISTOLESI, LEIGH	DAVIS NEW YORK VENTURE B	0.00	1.02	0.00	1.02	95.0	0.97
10/01/2017	MORICI, MICHELLE	DAVIS NEW YORK VENTURE B	0.00	2.37	0.00	2.37	95.0	2.25
10/01/2017	RITTER, WILLIAM	DAVIS NEW YORK VENTURE B	0.00	1.18	0.00	1.18	95.0	1.12
10/01/2017	GARLAND, DAWN	DAVIS NEW YORK VENTURE B	0.00	1.42	0.00	1.42	95.0	1.35
10/01/2017	PISTOLESI, MORGAN	DAVIS NEW YORK VENTURE B	0.00	5.76	0.00	5.76	95.0	5.47
10/01/2017	LIEN, CONNIE	DAVIS NEW YORK VENTURE C	0.00	34.44	0.00	34.44	95.0	32.72
10/01/2017	CISSELL, JOHN	DAVIS NEW YORK VENTURE C	0.00	402.99	0.00	402.99	95.0	382.84
10/01/2017	CISSELL, PATRICIA	DAVIS NEW YORK VENTURE C	0.00	402.99	0.00	402.99	95.0	382.84
10/01/2017	SALES, THOMAS	DAVIS OPPORTUNITY A	0.00	9.51	0.00	9.51	95.0	9.03
10/01/2017	TSANGANOS, OURANIA	DAVIS OPPORTUNITY A	0.00	31.20	0.00	31.20	95.0	29.64
10/01/2017	TSANGANOS, NICHOLAOS	DAVIS OPPORTUNITY A	0.00	31.20	0.00	31.20	95.0	29.64
10/01/2017	CISSELL, JOHN	DAVIS OPPORTUNITY A	0.00	164.05	0.00	164.05	95.0	155.85
10/01/2017	SELVAGGIO, VINCENZA	DAVIS OPPORTUNITY A	0.00	15.33	0.00	15.33	95.0	14.56
10/01/2017	SELVAGGIO, STEVE	DAVIS OPPORTUNITY A	0.00	28.45	0.00	28.45	95.0	27.03
10/01/2017	CIAGLO, BETTY	DAVIS OPPORTUNITY A	0.00	24.69	0.00	24.69	95.0	23.46
10/01/2017	BANKS, VICTORIA	DAVIS OPPORTUNITY A	0.00	18.16	0.00	18.16	95.0	17.25
10/01/2017	PRATER-MANOR, SARAH	DAVIS OPPORTUNITY A	0.00	15.47	0.00	15.47	95.0	14.70
10/01/2017	PRATER-MANOR, AMY	DAVIS OPPORTUNITY A	0.00	16.74	0.00	16.74	95.0	15.90
10/01/2017	ROCCA, HELEN	DAVIS OPPORTUNITY A	0.00	4.23	0.00	4.23	95.0	4.02
10/01/2017	ROCCA, JOHN	DAVIS OPPORTUNITY A	0.00	9.00	0.00	9.00	95.0	8.55
10/01/2017	TSANGANOS, LEONIDAS	DAVIS OPPORTUNITY A	0.00	6.25	0.00	6.25	95.0	5.94
10/01/2017	TSANGANOS, LEONIDAS	DAVIS OPPORTUNITY A	0.00	21.25	0.00	21.25	95.0	20.19
10/01/2017	AMERMAN, LORI	DAVIS OPPORTUNITY A	0.00	3.37	0.00	3.37	95.0	3.20
10/01/2017	ROCCA, HELEN	DAVIS OPPORTUNITY A	0.00	0.97	0.00	0.97	95.0	0.92
10/01/2017	VANDERMEER, BRYON	DAVIS OPPORTUNITY A	0.00	61.84	0.00	61.84	95.0	58.75
10/01/2017	DOUTSAS, DANNIE	DAVIS OPPORTUNITY A	0.00	11.49	0.00	11.49	95.0	10.92
10/01/2017	VANDERMEER, SANDRA	DAVIS OPPORTUNITY A	0.00	11.15	0.00	11.15	95.0	10.59
10/01/2017	SELVAGGIO, VINCENZA	DAVIS REAL ESTATE A	0.00	2.83	0.00	2.83	95.0	2.69
10/01/2017	SELVAGGIO, STEVE	DAVIS REAL ESTATE A	0.00	7.74	0.00	7.74	95.0	7.35
10/01/2017	VARTABEDIAN, ROBERT	DAVIS REAL ESTATE A	0.00	6.00	0.00	6.00	95.0	5.70
10/01/2017	ROY, JACKIE	DAVIS REAL ESTATE A	0.00	5.76	0.00	5.76	95.0	5.47
10/01/2017	ROY, LORAINÉ	DAVIS REAL ESTATE A	0.00	5.22	0.00	5.22	95.0	4.96
10/01/2017	SZETO, CHOWN	DAVIS REAL ESTATE A	0.00	1.33	0.00	1.33	95.0	1.26

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<b><u>BROKER TRANSACTIONS</u></b>								
<b><u>PRODUCT CATEGORY: MUTUAL FUNDS</u></b>								
10/01/2017	MICHON, ERIK	DAVIS REAL ESTATE A	0.00	2.06	0.00	2.06	95.0	1.96
10/01/2017	ROCCA, HELEN	DAVIS REAL ESTATE A	0.00	0.67	0.00	0.67	95.0	0.64
10/01/2017	ROCCA, JOHN	DAVIS REAL ESTATE A	0.00	2.20	0.00	2.20	95.0	2.09
10/01/2017	SMITH, DENNIS	DAVIS REAL ESTATE A	0.00	4.85	0.00	4.85	95.0	4.61
10/01/2017	MITSOPOULOS, GEORGIA	DAVIS REAL ESTATE A	0.00	3.14	0.00	3.14	95.0	2.98
10/01/2017	DUDZIK, ELZBIETA	DAVIS REAL ESTATE A	0.00	4.65	0.00	4.65	95.0	4.42
10/01/2017	VANDERMEER, SANDRA	DAVIS REAL ESTATE A	0.00	4.71	0.00	4.71	95.0	4.47
10/13/2017	DAVIS, LYNN	DWS CORE EQUITY FUND A	0.00	1.07	0.00	1.07	95.0	1.02
10/13/2017	ENDLICH, RICHARD	DWS DEUTSCHE CAPITAL GROWTH FUND-A	0.00	109.05	0.00	109.05	95.0	103.60
10/13/2017	DAVIS, LYNN	DWS DEUTSCHE CAPITAL GROWTH FUND-A	0.00	0.97	0.00	0.97	95.0	0.92
10/13/2017	DAVENPORT, JOHN	DWS DEUTSCHE CORE PLUS INCOME FUND-	0.00	0.03	0.00	0.03	95.0	0.03
10/13/2017	HENDERSON, OSCAR	DWS DEUTSCHE GLOBAL GROWTH FUND-A	0.00	13.58	0.00	13.58	95.0	12.90
10/13/2017	REVITZER, SANDRA	DWS DEUTSCHE HIGH INCOME FUND A	0.00	52.34	0.00	52.34	95.0	49.72
10/13/2017	ROSS, DAVID	DWS DEUTSCHE HIGH INCOME FUND A	0.00	76.71	0.00	76.71	95.0	72.87
10/13/2017	WARMANN TRUST, WALTER	DWS DEUTSCHE HIGH INCOME FUND A	0.00	28.82	0.00	28.82	95.0	27.38
10/13/2017	JAGGER, ALBERT	DWS DEUTSCHE HIGH INCOME FUND A	0.00	93.99	0.00	93.99	95.0	89.29
10/13/2017	ADRAGNA, NICOLE	DWS DEUTSCHE HIGH INCOME FUND A	0.00	2.44	0.00	2.44	95.0	2.32
10/13/2017	CIAGLO, BETTY	DWS DEUTSCHE HIGH INCOME FUND A	0.00	7.14	0.00	7.14	95.0	6.78
10/13/2017	OLWEEAN, ADAM	DWS DEUTSCHE HIGH INCOME FUND A	0.00	34.84	0.00	34.84	95.0	33.10
10/13/2017	HOSLEY, KATHLEEN	DWS DEUTSCHE HIGH INCOME FUND A	0.00	0.63	0.00	0.63	95.0	0.60
10/13/2017	BAKEWELL, RALPH	DWS DEUTSCHE HIGH INCOME FUND A	0.00	11.29	0.00	11.29	95.0	10.73
10/13/2017	WARMANN TRUST, WALTER	DWS DEUTSCHE UNCONSTRAINED INCOME F	0.00	2.28	0.00	2.28	95.0	2.17
10/13/2017	WARMANN TRUST, RUTH	DWS DEUTSCHE UNCONSTRAINED INCOME F	0.00	2.27	0.00	2.27	95.0	2.16
10/13/2017	PATINOS, GLORIA	DWS GLOBAL INCOME BUILDER A	0.00	23.82	0.00	23.82	95.0	22.63
10/13/2017	DOBROTH, THERESA	DWS GLOBAL INCOME BUILDER A	0.00	17.55	0.00	17.55	95.0	16.67
10/13/2017	CISSELL, PATRICIA	DWSE HIGH INCOME FUND C	0.00	313.10	0.00	313.10	95.0	297.45
10/10/2017	TYSZKIEWICZ, KURT	FRANKLIN GROWTH C	100.00	1.00	0.00	1.00	95.0	0.95
10/10/2017	CHADICK TRUST	FRANKLIN INCOME A	80.00	3.20	0.00	3.20	95.0	3.04
/ /	WAGNER, SHARON	GUGGENHEIM NASDAQ 100-H	0.00	0.22	0.00	0.22	95.0	0.21
10/02/2017	SABOL, NICHOLAS	INVESCO AMERICAN FRANCHISE A	0.00	3.79	0.00	3.79	95.0	3.60
10/02/2017	WATSON, WILLIAM	INVESCO AMERICAN FRANCHISE A	0.00	13.66	0.00	13.66	95.0	12.98
10/02/2017	HENDERSON JT TEN, CAROLYN	INVESCO AMERICAN FRANCHISE A	0.00	2.71	0.00	2.71	95.0	2.57
10/02/2017	SABOL, MAXWELLA	INVESCO AMERICAN FRANCHISE A	0.00	14.73	0.00	14.73	95.0	13.99

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<b><u>BROKER TRANSACTIONS</u></b>								
<b>PRODUCT CATEGORY: MUTUAL FUNDS</b>								
10/02/2017	PELC TOD ACCOUNT, RODERICK	INVESCO AMERICAN FRANCHISE A	0.00	0.64	0.00	0.64	95.0	0.61
10/02/2017	DANDRON, JAY	INVESCO AMERICAN FRANCHISE A	0.00	5.45	0.00	5.45	95.0	5.18
10/02/2017	MOYER-GUSE, EMILY	INVESCO AMERICAN FRANCHISE A	0.00	6.38	0.00	6.38	95.0	6.06
10/02/2017	VANDAELE, JENNIFER	INVESCO AMERICAN FRANCHISE A	0.00	0.90	0.00	0.90	95.0	0.86
10/02/2017	VAN DAELE, JILLIAN	INVESCO AMERICAN FRANCHISE A	0.00	0.37	0.00	0.37	95.0	0.35
10/02/2017	VAN DAELE, JANE	INVESCO AMERICAN FRANCHISE A	0.00	0.15	0.00	0.15	95.0	0.14
10/02/2017	GRUBER, ALYSSA	INVESCO AMERICAN FRANCHISE A	0.00	0.44	0.00	0.44	95.0	0.42
10/02/2017	SCHROETER, RICHARD	INVESCO AMERICAN FRANCHISE A	0.00	0.96	0.00	0.96	95.0	0.91
10/02/2017	SALLEY, MATTHEW	INVESCO AMERICAN FRANCHISE A	0.00	0.44	0.00	0.44	95.0	0.42
10/02/2017	SALLEY, TERENCE	INVESCO AMERICAN FRANCHISE A	0.00	0.28	0.00	0.28	95.0	0.27
10/02/2017	ELBERT UTMA/MI, NICHOLAS	INVESCO AMERICAN FRANCHISE A	0.00	0.48	0.00	0.48	95.0	0.46
10/02/2017	MCINTYRE, SCOTT	INVESCO AMERICAN FRANCHISE A	0.00	0.17	0.00	0.17	95.0	0.16
10/02/2017	NOWACKI, MICHAEL	INVESCO AMERICAN FRANCHISE A	0.00	1.21	0.00	1.21	95.0	1.15
10/02/2017	WILLIAMS, PAUL	INVESCO AMERICAN FRANCHISE A	0.00	1.77	0.00	1.77	95.0	1.68
10/02/2017	SCHROETER, MARY	INVESCO AMERICAN FRANCHISE A	0.00	0.96	0.00	0.96	95.0	0.91
10/02/2017	MCINTYRE, SCOTT	INVESCO AMERICAN FRANCHISE A	0.00	0.14	0.00	0.14	95.0	0.13
10/02/2017	BUTLER, PAUL	INVESCO AMERICAN FRANCHISE A	0.00	1.67	0.00	1.67	95.0	1.59
10/02/2017	GILLESPIE, SCOTT	INVESCO AMERICAN FRANCHISE A	0.00	0.16	0.00	0.16	95.0	0.15
10/02/2017	HUNTER UGMA/MI, NICOLE	INVESCO AMERICAN FRANCHISE A	0.00	1.84	0.00	1.84	95.0	1.75
10/02/2017	KOWAL UGMA/MI, ALEXANDER	INVESCO AMERICAN FRANCHISE A	0.00	14.03	0.00	14.03	95.0	13.33
10/02/2017	MARSH/SEP, GARY	INVESCO AMERICAN FRANCHISE A	0.00	8.64	0.00	8.64	95.0	8.21
10/02/2017	JOHNSON, DANIEL	INVESCO AMERICAN FRANCHISE A	0.00	0.33	0.00	0.33	95.0	0.31
10/02/2017	O'BRIEN, AMY	INVESCO AMERICAN FRANCHISE A	0.00	4.27	0.00	4.27	95.0	4.06
10/02/2017	JARZEBOSKI, DIANE	INVESCO AMERICAN FRANCHISE A	0.00	2.15	0.00	2.15	95.0	2.04
10/02/2017	BERGLUND, KRIS	INVESCO AMERICAN FRANCHISE A	0.00	2.35	0.00	2.35	95.0	2.23
10/05/2017	BERGLUND, KRIS	INVESCO AMERICAN FRANCHISE A	50.00	2.50	0.00	2.50	95.0	2.38
10/02/2017	KOWAL UGMA/MI, ALEXANDER	INVESCO AMERICAN FRANCHISE FUND CL-	0.00	4.83	0.00	4.83	95.0	4.59
10/02/2017	SALLEY, TERENCE	INVESCO ASIA PACIFIC GROWTH A	0.00	0.65	0.00	0.65	95.0	0.62
10/02/2017	MCINTYRE, SCOTT	INVESCO ASIA PACIFIC GROWTH A	0.00	0.06	0.00	0.06	95.0	0.06
10/02/2017	ELBERT UTMA/MI, NATHANIEL	INVESCO ASIA PACIFIC GROWTH A	0.00	1.36	0.00	1.36	95.0	1.29
10/02/2017	PRZYBYLOWICZ, NORBERT	INVESCO ASIA PACIFIC GROWTH A	0.00	4.66	0.00	4.66	95.0	4.43
10/02/2017	HARRINGTON, KAY	INVESCO ASIA PACIFIC GROWTH A	0.00	4.59	0.00	4.59	95.0	4.36
10/02/2017	WOLAK SEP, SHARON	INVESCO ASIA PACIFIC GROWTH A	0.00	2.90	0.00	2.90	95.0	2.76

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<b><u>BROKER TRANSACTIONS</u></b>								
<b><u>PRODUCT CATEGORY: MUTUAL FUNDS</u></b>								
10/02/2017	SHEARIN, APRIL	INVESCO CHARTER FUND A	0.00	12.92	0.00	12.92	95.0	12.27
10/02/2017	PITRAGO, ALEX	INVESCO CHARTER FUND A	0.00	3.06	0.00	3.06	95.0	2.91
10/02/2017	KRENGEL, KATHERINE	INVESCO CHARTER FUND A	0.00	4.67	0.00	4.67	95.0	4.44
10/02/2017	NEIKO SFERRO UTMA/FL, DOMINIC	INVESCO CHARTER FUND A	0.00	12.39	0.00	12.39	95.0	11.77
10/02/2017	DANDRON, JAY	INVESCO CHARTER FUND A	0.00	18.58	0.00	18.58	95.0	17.65
10/02/2017	RAYMOND O'CONNOR UGMA/MI,	INVESCO CHARTER FUND A	0.00	2.30	0.00	2.30	95.0	2.19
10/02/2017	CRONENWETT, JULIE	INVESCO CHARTER FUND A	0.00	2.23	0.00	2.23	95.0	2.12
10/02/2017	SHERMAN, SCOTT	INVESCO CHARTER FUND A	0.00	2.93	0.00	2.93	95.0	2.78
10/02/2017	SMYTH, DAVID	INVESCO CHARTER FUND A	0.00	7.17	0.00	7.17	95.0	6.81
10/02/2017	SALLEY, TERENCE	INVESCO CHARTER FUND A	0.00	0.15	0.00	0.15	95.0	0.14
10/02/2017	ROCK ST PIERRE UGMA/MI,	INVESCO CHARTER FUND A	0.00	0.17	0.00	0.17	95.0	0.16
10/02/2017	JACKOVIK, GLORIA	INVESCO CHARTER FUND A	0.00	0.02	0.00	0.02	95.0	0.02
10/02/2017	DAIZA, PHILLIP	INVESCO CHARTER FUND A	0.00	12.71	0.00	12.71	95.0	12.07
10/02/2017	MCINTYRE, SCOTT	INVESCO CHARTER FUND A	0.00	0.04	0.00	0.04	95.0	0.04
10/02/2017	ANN GERMAIN UGMA/MI, ALISON	INVESCO CHARTER FUND A	0.00	4.28	0.00	4.28	95.0	4.07
10/02/2017	WILLIAMS, PAUL	INVESCO CHARTER FUND A	0.00	0.81	0.00	0.81	95.0	0.77
10/02/2017	SALLEY UGMA/MI, NATHAN	INVESCO CHARTER FUND A	0.00	1.59	0.00	1.59	95.0	1.51
10/02/2017	LECIK, TONIA	INVESCO CHARTER FUND A	0.00	0.12	0.00	0.12	95.0	0.11
10/02/2017	MEWHINNEY, BARBARA	INVESCO CHARTER FUND A	0.00	7.73	0.00	7.73	95.0	7.34
10/02/2017	SANGMEISTER, GINA	INVESCO CHARTER FUND A	0.00	0.72	0.00	0.72	95.0	0.68
10/02/2017	WEAVER, TAMMY	INVESCO CHARTER FUND A	0.00	6.92	0.00	6.92	95.0	6.57
10/02/2017	BUCKINGHAM MIN, GEORGE	INVESCO CHARTER FUND A	0.00	0.15	0.00	0.15	95.0	0.14
10/02/2017	O'BRIEN, AMY	INVESCO CHARTER FUND A	0.00	5.88	0.00	5.88	95.0	5.59
10/02/2017	JOSEPH SUCHER UGMA/MI, ADAM	INVESCO CHARTER FUND A	0.00	1.48	0.00	1.48	95.0	1.41
10/02/2017	DAIZA, PHILLIP	INVESCO CHARTER FUND B	0.00	0.98	0.00	0.98	95.0	0.93
10/02/2017	DAIZA, PHILLIP	INVESCO CHARTER FUND C	0.00	11.57	0.00	11.57	95.0	10.99
10/02/2017	HENDERSON JT TEN, CAROLYN	INVESCO CONVERTIBLE SECURITIES A	0.00	2.53	0.00	2.53	95.0	2.40
10/02/2017	HENDERSON, OSCAR	INVESCO CONVERTIBLE SECURITIES A	0.00	18.67	0.00	18.67	95.0	17.74
10/02/2017	PELC TOD ACCOUNT, RODERICK	INVESCO CORPORATE BOND A	0.00	1.64	0.00	1.64	95.0	1.56
10/02/2017	VAN DAELE, JACOB	INVESCO DEVELOPING MARKETS A	0.00	0.65	0.00	0.65	95.0	0.62
10/02/2017	MUNTEANU, DACIA	INVESCO DEVELOPING MARKETS A	0.00	10.41	0.00	10.41	95.0	9.89
10/02/2017	PITRAGO, ALEX	INVESCO DEVELOPING MARKETS A	0.00	0.92	0.00	0.92	95.0	0.87
10/02/2017	MCINTYRE, SCOTT	INVESCO DEVELOPING MARKETS A	0.00	0.05	0.00	0.05	95.0	0.05

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<b><u>BROKER TRANSACTIONS</u></b>								
<b><u>PRODUCT CATEGORY: MUTUAL FUNDS</u></b>								
10/02/2017	MCINTYRE, SCOTT	INVESCO EUROPEAN GROWTH FUND A	0.00	0.06	0.00	0.06	95.0	0.06
10/02/2017	SOUTHWORTH, STEPHANIE	INVESCO EUROPEAN GROWTH FUND A	0.00	0.44	0.00	0.44	95.0	0.42
10/02/2017	LEE, LESLIE	INVESCO EUROPEAN GROWTH FUND A	0.00	1.27	0.00	1.27	95.0	1.21
10/02/2017	WASHINGTON, PAULA	INVESCO EUROPEAN GROWTH FUND A	0.00	3.02	0.00	3.02	95.0	2.87
10/02/2017	VANDAELE, JENNIFER	INVESCO EUROPEAN SMALL COMPANY A	0.00	0.74	0.00	0.74	95.0	0.70
10/02/2017	VAN DAELE, JILLIAN	INVESCO EUROPEAN SMALL COMPANY A	0.00	1.16	0.00	1.16	95.0	1.10
10/02/2017	VAN DAELE UGMA/MI, JANE	INVESCO GBL SMALL & MID CAP GROWTH	0.00	1.05	0.00	1.05	95.0	1.00
10/02/2017	VAN DAELE, JENNA	INVESCO GBL SMALL & MID CAP GROWTH	0.00	0.65	0.00	0.65	95.0	0.62
10/02/2017	ELBERT UTMA/MI, NICHOLAS	INVESCO GBL SMALL & MID CAP GROWTH	0.00	0.65	0.00	0.65	95.0	0.62
10/02/2017	FISHER, NATHAN	INVESCO GBL SMALL & MID CAP GROWTH	0.00	7.38	0.00	7.38	95.0	7.01
10/02/2017	JOHNSON, DANIEL	INVESCO GBL SMALL & MID CAP GROWTH	0.00	0.72	0.00	0.72	95.0	0.68
10/02/2017	PELC TOD ACCOUNT, RODERICK	INVESCO GLOBAL GROWTH A	0.00	1.31	0.00	1.31	95.0	1.24
10/02/2017	VANDAELE, JENNIFER	INVESCO GLOBAL HEALTH CARE A	0.00	0.57	0.00	0.57	95.0	0.54
10/02/2017	VAN DAELE, JANE	INVESCO GLOBAL HEALTH CARE A	0.00	0.45	0.00	0.45	95.0	0.43
10/02/2017	HARRINGTON, KAY	INVESCO GLOBAL HEALTH CARE A	0.00	2.76	0.00	2.76	95.0	2.62
10/02/2017	MANKO, MARGARET	INVESCO HIGH YIELD FUND A	0.00	5.95	0.00	5.95	95.0	5.65
10/02/2017	COOPER, BENNETT	INVESCO MIDCAP GROWTH A	0.00	1.67	0.00	1.67	95.0	1.59
10/02/2017	COOPER, MADISON	INVESCO MIDCAP GROWTH A	0.00	2.05	0.00	2.05	95.0	1.95
10/02/2017	SCHROETER, RICHARD	INVESCO MIDCAP GROWTH A	0.00	1.02	0.00	1.02	95.0	0.97
10/02/2017	PALAZZOLO UTMA/MI, JULIA	INVESCO MIDCAP GROWTH A	0.00	1.81	0.00	1.81	95.0	1.72
10/02/2017	ELBERT UTMA/MI, NATHANIEL	INVESCO MIDCAP GROWTH A	0.00	0.85	0.00	0.85	95.0	0.81
10/02/2017	SCHROETER, MARY	INVESCO MIDCAP GROWTH A	0.00	1.02	0.00	1.02	95.0	0.97
10/02/2017	DUDZIK, ELZBIETA	INVESCO SENIOR LOAN FUND IB	0.00	33.45	0.00	33.45	95.0	31.78
10/02/2017	CEBALT, THOMAS	INVESCO SMALL CAP EQUITY A	0.00	0.07	0.00	0.07	95.0	0.07
10/02/2017	PELC TOD ACCOUNT, RODERICK	INVESCO TECHNOLOGY A	0.00	1.27	0.00	1.27	95.0	1.21
10/02/2017	VAN DAELE, JACOB	INVESCO TECHNOLOGY A	0.00	0.30	0.00	0.30	95.0	0.29
10/02/2017	CRONENWETT, JULIE	INVESCO TECHNOLOGY A	0.00	0.34	0.00	0.34	95.0	0.32
10/02/2017	WILSON, GARRETT	INVESCO TECHNOLOGY A	0.00	10.92	0.00	10.92	95.0	10.37
10/02/2017	ELBERT UTMA/MI, NICHOLAS	INVESCO TECHNOLOGY A	0.00	0.12	0.00	0.12	95.0	0.11
10/02/2017	SEMKE, DEANNA	INVESCO TECHNOLOGY A	0.00	0.18	0.00	0.18	95.0	0.17
10/02/2017	ELBERT UTMA/MI, NATHANIEL	INVESCO TECHNOLOGY A	0.00	0.12	0.00	0.12	95.0	0.11
10/02/2017	JOHNSON, DANIEL	INVESCO TECHNOLOGY A	0.00	0.44	0.00	0.44	95.0	0.42
10/02/2017	NIXON, NORMA	INVESCO TECHNOLOGY A	0.00	3.99	0.00	3.99	95.0	3.79

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<b><u>BROKER TRANSACTIONS</u></b>								
<b><u>PRODUCT CATEGORY: MUTUAL FUNDS</u></b>								
10/02/2017	CELANI TRUST, VINCENZO	INVESCO US GOVT A	0.00	8.24	0.00	8.24	95.0	7.83
10/02/2017	MOORE, FRED	INVESCO US GOVT A	0.00	37.59	0.00	37.59	95.0	35.71
10/02/2017	WATSON, WILLIAM	INVESCO US GOVT A	0.00	5.11	0.00	5.11	95.0	4.85
10/02/2017	OBIE, THOMAS	INVESCO US GOVT A	0.00	18.16	0.00	18.16	95.0	17.25
10/13/2017	LAI, MICHAEL	JH FINANCIAL INDUSTRIES A	0.00	1.16	0.00	1.16	95.0	1.10
10/13/2017	MALINAK, FRANCES	JH FINANCIAL INDUSTRIES A	0.00	6.96	0.00	6.96	95.0	6.61
10/13/2017	BOHACEK, STEVE	JH LARGE CAP EQUITY A	0.00	5.71	0.00	5.71	95.0	5.42
10/13/2017	RACK, ROBERT	JH LARGE CAP EQUITY A	0.00	5.72	0.00	5.72	95.0	5.43
10/13/2017	ENGLEBERT, JAMES	JH REGIONAL BANK A	0.00	4.56	0.00	4.56	95.0	4.33
10/13/2017	HELTSLEY, MARTHA	JH REGIONAL BANK A	0.00	1.76	0.00	1.76	95.0	1.67
10/13/2017	BOZELKA, KEVIN	JH REGIONAL BANK A	0.00	1.81	0.00	1.81	95.0	1.72
10/13/2017	JAHNKE, DENNIS	JH REGIONAL BANK A	0.00	4.27	0.00	4.27	95.0	4.06
10/13/2017	MIKLEVICH, MICHAEL	JH REGIONAL BANK A	0.00	6.37	0.00	6.37	95.0	6.05
10/13/2017	EIS (MINOR), MARGO	JH STRATEGIC GROWTH A	0.00	0.44	0.00	0.44	95.0	0.42
10/13/2017	MIKLEVICH, MICHAEL	JH STRATEGIC GROWTH A	0.00	0.50	0.00	0.50	95.0	0.48
10/13/2017	EIS (MINOR), AUSTIN	JH STRATEGIC GROWTH A	0.00	0.71	0.00	0.71	95.0	0.67
10/13/2017	EIS (MINOR), STEFANIE	JH STRATEGIC GROWTH A	0.00	0.71	0.00	0.71	95.0	0.67
10/13/2017	EIS, AUSTIN	JN DISCIPLINED VALUE INT'L A	0.00	1.64	0.00	1.64	95.0	1.56
10/13/2017	EIS, STEFANIE	JN DISCIPLINED VALUE INT'L A	0.00	1.64	0.00	1.64	95.0	1.56
10/01/2017	BLACKBURN, GLORIA	MFS AGGRESSIVE GROWTH ALLOCATION A	0.00	1.86	0.00	1.86	95.0	1.77
10/01/2017	CHIDSEY, DARRYL	MFS AGGRESSIVE GROWTH ALLOCATION C	0.00	12.18	0.00	12.18	95.0	11.57
10/01/2017	MARVIN, SAMANTHA	MFS CORE EQUITY A	0.00	1.23	0.00	1.23	95.0	1.17
10/01/2017	AUMAN, ABBY G M	MFS CORE EQUITY A	0.00	1.26	0.00	1.26	95.0	1.20
10/01/2017	MELLERT, BETH	MFS CORE EQUITY C	0.00	13.22	0.00	13.22	95.0	12.56
10/01/2017	BLACKBURN, W ALLEN	MFS CORE EQUITY C	0.00	6.17	0.00	6.17	95.0	5.86
10/01/2017	MUNTEANU, RADU	MFS EMERGING MARKETS EQUITY A	0.00	13.58	0.00	13.58	95.0	12.90
10/01/2017	AUMAN, ABBY G M	MFS GLOBAL GROWTH A	0.00	1.51	0.00	1.51	95.0	1.43
10/01/2017	HOWARD, ANNE	MFS GROWTH A	0.00	12.19	0.00	12.19	95.0	11.58
10/01/2017	WRIGHT, JAMES	MFS GROWTH A	0.00	1.46	0.00	1.46	95.0	1.39
10/01/2017	O'CONNOR, CYNTHIA	MFS GROWTH A	0.00	3.35	0.00	3.35	95.0	3.18
10/01/2017	MARVIN, SAMANTHA	MFS GROWTH A	0.00	2.33	0.00	2.33	95.0	2.21
10/01/2017	AUMAN, ABBY G M	MFS GROWTH A	0.00	2.31	0.00	2.31	95.0	2.19
10/01/2017	RITTER, KYLE	MFS GROWTH A	0.00	1.70	0.00	1.70	95.0	1.62

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<b><u>BROKER TRANSACTIONS</u></b>								
<b><u>PRODUCT CATEGORY: MUTUAL FUNDS</u></b>								
10/01/2017	MELLERT, BETH	MFS GROWTH C	0.00	11.78	0.00	11.78	95.0	11.19
10/01/2017	BLACKBURN, W ALLEN	MFS GROWTH C	0.00	5.24	0.00	5.24	95.0	4.98
10/01/2017	WEIDRICK, RUSSELL	MFS GROWTH C	0.00	10.03	0.00	10.03	95.0	9.53
10/01/2017	LLOYD, HEATHER	MFS HIGH INCOME A	0.00	1.68	0.00	1.68	95.0	1.60
10/01/2017	PASEK, KEVIN	MFS MASS INVESTORS GROWTH STOCK A	0.00	3.73	0.00	3.73	95.0	3.54
10/01/2017	PASEK, CHRISTINE	MFS MASS INVESTORS GROWTH STOCK A	0.00	1.38	0.00	1.38	95.0	1.31
10/01/2017	PASEK, CHRISTINE	MFS MASS INVESTORS GROWTH STOCK A	0.00	12.29	0.00	12.29	95.0	11.68
10/01/2017	CHESNEY TRUST, CHRISTINE	MFS MASS INVESTORS GROWTH STOCK A	0.00	0.99	0.00	0.99	95.0	0.94
10/01/2017	MELLERT, BETH	MFS MASS INVESTORS GROWTH STOCK C	0.00	13.55	0.00	13.55	95.0	12.87
10/01/2017	BLACKBURN, W ALLEN	MFS MASS INVESTORS GROWTH STOCK C	0.00	6.05	0.00	6.05	95.0	5.75
10/01/2017	RITTER, KYLE	MFS MASS INVESTORS TRUST A	0.00	2.24	0.00	2.24	95.0	2.13
10/01/2017	MELLERT, BETH	MFS MIDCAP GROWTH C	0.00	9.32	0.00	9.32	95.0	8.85
10/01/2017	BLACKBURN, W ALLEN	MFS MIDCAP GROWTH C	0.00	4.10	0.00	4.10	95.0	3.90
10/01/2017	KUSNERAK, SYLVIA	MFS MODERATE ALLOCATION A	0.00	25.29	0.00	25.29	95.0	24.03
10/01/2017	ENDRESS, ROBERT	MFS MUNICIPAL INCOME A	0.00	13.38	0.00	13.38	95.0	12.71
10/01/2017	WEIDRICK, RUSSELL	MFS NEW DISCOVERY C	0.00	10.07	0.00	10.07	95.0	9.57
10/01/2017	HOWARD, ANNE	MFS RESEARCH A	0.00	11.43	0.00	11.43	95.0	10.86
10/01/2017	LAI, DOROTHY	MFS RESEARCH A	0.00	11.24	0.00	11.24	95.0	10.68
10/01/2017	WRIGHT, JAMES	MFS RESEARCH A	0.00	2.94	0.00	2.94	95.0	2.79
10/01/2017	ZYREK, THOMAS	MFS RESEARCH A	0.00	8.29	0.00	8.29	95.0	7.88
10/01/2017	ENDRESS, ROBERT	MFS RESEARCH A	0.00	51.31	0.00	51.31	95.0	48.74
10/01/2017	RITTER, KYLE	MFS RESEARCH A	0.00	1.46	0.00	1.46	95.0	1.39
10/01/2017	MARVIN, SAMANTHA	MFS RESEARCH INTL A	0.00	1.32	0.00	1.32	95.0	1.25
10/01/2017	MELLERT, BETH	MFS RESEARCH INTL C	0.00	14.58	0.00	14.58	95.0	13.85
10/01/2017	BLACKBURN, W ALLEN	MFS RESEARCH INTL C	0.00	6.97	0.00	6.97	95.0	6.62
10/01/2017	MELLIS, STEVEN	MFS TOTAL RETURN A	0.00	4.89	0.00	4.89	95.0	4.65
10/01/2017	SARKISIAN, NORAY	MFS TOTAL RETURN A	0.00	16.82	0.00	16.82	95.0	15.98
10/01/2017	KING, VICTORIA	MFS TOTAL RETURN A	0.00	50.07	0.00	50.07	95.0	47.57
10/01/2017	MELLIS, STEVEN	MFS VALUE A	0.00	6.00	0.00	6.00	95.0	5.70
10/02/2017	ELIAS, JANICE	OPPENHEIMER CAPITAL APPRECIATION C	31.09	0.31	0.00	0.31	95.0	0.29
10/02/2017	ELIAS, JANICE	OPPENHEIMER CAPITAL APPRECIATION C	18.65	0.19	0.00	0.19	95.0	0.18
10/13/2017	DINKA, JOHN	OPPENHEIMER CAPITAL APPRECIATION C	782.50	7.83	0.00	7.83	95.0	7.44
10/13/2017	SCHULTZ, DEBRA	OPPENHEIMER CAPITAL APPRECIATION C	80.00	0.80	0.00	0.80	95.0	0.76

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<b><u>BROKER TRANSACTIONS</u></b>								
<b><u>PRODUCT CATEGORY: MUTUAL FUNDS</u></b>								
10/13/2017	SCHULTZ, DEBRA	OPPENHEIMER CAPITAL APPRECIATION C	1.23	0.01	0.00	0.01	95.0	0.01
10/13/2017	SCHULTZ, DEBRA	OPPENHEIMER DEVELOPING MARKETS C	40.00	0.40	0.00	0.40	95.0	0.38
10/13/2017	SCHULTZ, DEBRA	OPPENHEIMER DEVELOPING MARKETS C	0.62	0.01	0.00	0.01	95.0	0.01
10/02/2017	DAMORE, MONICA	OPPENHEIMER DISCOVERY C	205.99	2.06	0.00	2.06	95.0	1.96
10/02/2017	DAMORE, MONICA	OPPENHEIMER DISCOVERY C	36.35	0.36	0.00	0.36	95.0	0.34
10/02/2017	ELIAS, JANICE	OPPENHEIMER GLOBAL C	30.18	0.30	0.00	0.30	95.0	0.29
10/02/2017	ELIAS, JANICE	OPPENHEIMER GLOBAL C	18.11	0.18	0.00	0.18	95.0	0.17
10/02/2017	TRBOVICH, NICK	OPPENHEIMER GLOBAL OPPORTUNITIES A	517.50	24.58	0.00	24.58	95.0	23.35
10/02/2017	TRBOVICH, MARY	OPPENHEIMER GLOBAL OPPORTUNITIES A	402.50	19.12	0.00	19.12	95.0	18.16
10/02/2017	DAMORE, MONICA	OPPENHEIMER GLOBAL OPPORTUNITIES C	205.99	2.06	0.00	2.06	95.0	1.96
10/02/2017	DAMORE, MONICA	OPPENHEIMER GLOBAL OPPORTUNITIES C	36.35	0.36	0.00	0.36	95.0	0.34
10/13/2017	DINKA, JOHN	OPPENHEIMER GLOBAL OPPORTUNITIES C	391.25	3.91	0.00	3.91	95.0	3.71
10/13/2017	SCHULTZ, DEBRA	OPPENHEIMER GLOBAL OPPORTUNITIES C	80.00	0.80	0.00	0.80	95.0	0.76
10/13/2017	SCHULTZ, DEBRA	OPPENHEIMER GLOBAL OPPORTUNITIES C	1.24	0.01	0.00	0.01	95.0	0.01
10/02/2017	DAMORE, MONICA	OPPENHEIMER INTL SMALL CO C	212.22	2.12	0.00	2.12	95.0	2.01
10/02/2017	DAMORE, MONICA	OPPENHEIMER INTL SMALL CO C	37.45	0.37	0.00	0.37	95.0	0.35
10/02/2017	ELIAS, JANICE	OPPENHEIMER MAIN ST SELECT C	30.18	0.30	0.00	0.30	95.0	0.29
10/02/2017	ELIAS, JANICE	OPPENHEIMER MAIN ST SELECT C	18.11	0.18	0.00	0.18	95.0	0.17
10/02/2017	TRBOVICH, NICK	OPPENHEIMER MAIN STREET A	517.50	24.58	0.00	24.58	95.0	23.35
10/02/2017	TRBOVICH, MARY	OPPENHEIMER MAIN STREET A	402.50	19.12	0.00	19.12	95.0	18.16
10/13/2017	SMOLAREK, CHERYL	OPPENHEIMER PTF SERIES EQUITY INVES	50.00	0.50	0.00	0.50	95.0	0.48
10/13/2017	SMOLAREK, CHERYL	OPPENHEIMER PTF SERIES EQUITY INVES	50.00	0.50	0.00	0.50	95.0	0.48
10/13/2017	TORRICE, PAULA	OPPENHEIMER QUEST OPP VALUE C	50.00	0.50	0.00	0.50	95.0	0.48
10/13/2017	TORRICE, PAULA	OPPENHEIMER QUEST OPP VALUE C	50.00	0.50	0.00	0.50	95.0	0.48
10/02/2017	TRBOVICH, NICK	OPPENHEIMER REAL ESTATE A	517.50	24.58	0.00	24.58	95.0	23.35
10/02/2017	TRBOVICH, MARY	OPPENHEIMER REAL ESTATE A	402.50	19.12	0.00	19.12	95.0	18.16
10/02/2017	WOUDSTRA, KAREN	OPPENHEIMER SMALL & MIDCAP GROWTH C	100.00	1.00	0.00	1.00	95.0	0.95
10/02/2017	WOUDSTRA, KAREN	OPPENHEIMER SMALL & MIDCAP GROWTH C	56.06	0.56	0.00	0.56	95.0	0.53
10/02/2017	TRBOVICH, NICK	OPPENHEIMER VALUE A	517.50	24.58	0.00	24.58	95.0	23.35
10/02/2017	TRBOVICH, MARY	OPPENHEIMER VALUE A	402.50	19.12	0.00	19.12	95.0	18.16
10/13/2017	DINKA, JOHN	OPPENHEIMER VALUE C	782.50	7.83	0.00	7.83	95.0	7.44
10/02/2017	WONCH, LIZ	PUTNAM INVESTORS A	50.00	2.50	0.00	2.50	95.0	2.38
10/09/2017	LOPICCOLO, CATHERINE	TRANSAMERICA AA GROWTH C	124.24	1.24	0.00	1.24	95.0	1.18

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<b><u>BROKER TRANSACTIONS</u></b>								
<b><u>PRODUCT CATEGORY: MUTUAL FUNDS</u></b>								
10/16/2017	TOBEY, TIMOTHY	TRANSAMERICA AA GROWTH C	100.00	1.00	0.00	1.00	95.0	0.95
10/06/2017	BARTOI, JOHN	TRANSAMERICA AA MODERATE C	998.74	9.99	0.00	9.99	95.0	9.49
10/16/2017	EICHENLAUB, TRACEY	TRANSAMERICA MULTI-MANAGED BAL C	450.00	4.50	0.00	4.50	95.0	4.28
10/16/2017	WEYCKER, ROBERT	TRANSAMERICA MULTI-MANAGED BAL C	300.00	3.00	0.00	3.00	95.0	2.85
10/04/2017	BUSSELL REV LV TRUST, SHARON	WELLS FARGO 100% TREASURY MMKT-A	0.00	7.15	0.00	7.15	95.0	6.79
10/04/2017	DAMIANO, RUTH	WELLS FARGO HIGH YIELD BOND A	0.00	23.64	0.00	23.64	95.0	22.46
10/04/2017	THOMAS, HENRY	WELLS FARGO INCOME PLUS A	0.00	3.30	0.00	3.30	95.0	3.14
10/04/2017	THOMAS, SYBIL	WELLS FARGO INCOME PLUS A	0.00	2.60	0.00	2.60	95.0	2.47
10/04/2017	TOTEFF, JESSIE	WELLS FARGO INCOME PLUS A	0.00	3.32	0.00	3.32	95.0	3.15
10/04/2017	SPEAROT, ALAN	WELLS FARGO INCOME PLUS A	0.00	0.89	0.00	0.89	95.0	0.85
10/04/2017	SPEAROT, DOUGLAS	WELLS FARGO INCOME PLUS A	0.00	0.89	0.00	0.89	95.0	0.85
10/04/2017	DAMIANO, MAURICE	WELLS FARGO INTL BOND A	0.00	7.87	0.00	7.87	95.0	7.48
10/04/2017	DAMIANO, RUTH	WELLS FARGO INTL BOND A	0.00	9.54	0.00	9.54	95.0	9.06
10/04/2017	GUTMAN, KENNETH	WELLS FARGO INTL BOND A	0.00	2.13	0.00	2.13	95.0	2.02
10/04/2017	GUTMAN, MATHEW	WELLS FARGO INTL BOND A	0.00	2.13	0.00	2.13	95.0	2.02
10/04/2017	JAGGER, ALBERT	WELLS FARGO INTL BOND A	0.00	27.47	0.00	27.47	95.0	26.10
10/04/2017	BUSSELL REV LIV TRST, GEROGE &	WELLS FARGO MONEY MKT A	0.00	27.85	0.00	27.85	95.0	26.46
10/04/2017	STEBBINS, DAVID	WELLS FARGO OPP A	0.00	0.60	0.00	0.60	95.0	0.57
10/04/2017	BASILE, NINO	WELLS FARGO OPP A	0.00	0.90	0.00	0.90	95.0	0.86
10/04/2017	DUDLEY, CHERYL	WELLS FARGO OPP A	0.00	1.11	0.00	1.11	95.0	1.05
10/04/2017	BASILE, ANNA	WELLS FARGO OPP A	0.00	0.78	0.00	0.78	95.0	0.74
10/04/2017	CODDING, CRAIG	WELLS FARGO PREMIER LG COMP GRWTH A	0.00	3.26	0.00	3.26	95.0	3.10
10/04/2017	KISH, VIVIAN	WELLS FARGO STRATEGIC MUNI A	0.00	0.96	0.00	0.96	95.0	0.91
10/04/2017	ROEHRIG, RITA	WELLS FARGO STRATEGIC MUNI A	0.00	2.65	0.00	2.65	95.0	2.52
10/04/2017	JAGGER, ALBERT	WELLS FARGO STRATEGIC MUNI A	0.00	24.52	0.00	24.52	95.0	23.29
10/04/2017	PER, MARIANNE	WELLS FARGO STRATEGIC MUNI A	0.00	0.18	0.00	0.18	95.0	0.17
10/04/2017	TSEREGOUNIS, SPYROS	WELLS FARGO STRATEGIC MUNI A	0.00	5.13	0.00	5.13	95.0	4.87
10/04/2017	ALEXOPOULOS, PAUL	WELLS FARGO STRATEGIC MUNI A	0.00	5.63	0.00	5.63	95.0	5.35
10/04/2017	REBNER, WALDEMAR	WELLS FARGO STRATEGIC MUNI A	0.00	9.10	0.00	9.10	95.0	8.65
10/04/2017	SPEAROT, REBECCA	WELLS FARGO STRATEGIC MUNI A	0.00	1.62	0.00	1.62	95.0	1.54
10/04/2017	CLEMAK, CHARLES	WELLS FARGO STRATEGIC MUNI A	0.00	27.51	0.00	27.51	95.0	26.13
10/04/2017	MUGLIA, DOMINIC	WELLS FARGO STRATEGIC MUNI A	0.00	36.48	0.00	36.48	95.0	34.66
10/04/2017	MCLUCAS, ROBERT	WELLS FARGO STRATEGIC MUNI A	0.00	53.54	0.00	53.54	95.0	50.86

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<b><u>BROKER TRANSACTIONS</u></b>								
<b><u>PRODUCT CATEGORY: MUTUAL FUNDS</u></b>								
10/04/2017	DAMIANO, RUTH	WELLS FARGO STRATEGIC MUNI A	0.00	4.75	0.00	4.75	95.0	4.51
10/04/2017	KATEHI, PISTI	WELLS FARGO TOTAL RETURN BOND A	0.00	1.13	0.00	1.13	95.0	1.07
10/04/2017	TSEREGOUNIS, SPYROS	WELLS FARGO TOTAL RETURN BOND A	0.00	1.07	0.00	1.07	95.0	1.02
10/04/2017	SNYDER, SHIRLEY	WELLS FARGO TOTAL RETURN BOND A	0.00	0.58	0.00	0.58	95.0	0.55
10/04/2017	BAYS, MARVIN	WELLS FARGO UTILITY AND TELECOM A	0.00	11.26	0.00	11.26	95.0	10.70
* MUTUAL FUNDS SUBTOTAL *			\$14,989.05	\$8,776.04	\$0.00	\$8,776.04		\$8,337.40
<b><u>PRODUCT CATEGORY: VARIABLE UNIVERSAL LIFE</u></b>								
10/06/2017	DINKA, JOHN	PAC LIFE VUL	2,500.00	50.00	0.00	50.00	95.0	47.50
* VARIABLE UNIVERSAL LIFE SUBTOTAL *			\$2,500.00	\$50.00	\$0.00	\$50.00		\$47.50
<b><u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u></b>								
09/30/2017	ERKFITZ, ELAINE	MAINSTAY	0.00	23.18	0.00	23.18	95.0	22.02
* MUTUAL FUND 12B1 TRAILS SUBTOTAL *			\$0.00	\$23.18	\$0.00	\$23.18		\$22.02
<b><u>PRODUCT CATEGORY: VARIABLE ANNUITY 12B1 TRAILS</u></b>								
10/05/2017	WEYCKER, EDWARD	ING PREMIUM PLUS	0.00	30.26	0.00	30.26	95.0	28.75
* VARIABLE ANNUITY 12B1 TRAILS SUBTOTAL *			\$0.00	\$30.26	\$0.00	\$30.26		\$28.75
*** BROKER TRANSACTIONS TOTAL ***			\$117,489.05	\$18,817.06	\$0.00	\$18,817.06		\$17,876.37

**SPLIT TRANSACTIONS****BROKER: MARK KOSANKE #3**

10/01/2017	STANDBERGH, JENNIFER	DAVIS NEW YORK VENTURE A	0.00	7.26	0.00	7.26	95.0	6.90
10/13/2017	KRAUSE, BARBARA	DWS SEUTSCHE MANAGED MUNICIPAL BOND	0.00	94.18	0.00	94.18	95.0	89.47
10/03/2017	MCCLAIN, DOROTHY	GENWORTH CHOICE 03 (UNBUN GUAR 1.5)	96,364.70	80.30	0.00	80.30	95.0	76.29
10/03/2017	EMBACH, KEVIN	GENWORTH CHOICE VA	78,022.34	65.02	0.00	65.02	95.0	61.77
10/03/2017	EMBACH, JAMES	GENWORTH CHOICE VA	78,022.36	65.02	0.00	65.02	95.0	61.77
10/03/2017	ZACK, MAUREEN	GENWORTH CHOICE VA	78,022.36	65.02	0.00	65.02	95.0	61.77
10/03/2017	HARTOUNIAN, HAGOB	GENWORTH CHOICE VA	11,416.33	9.51	0.00	9.51	95.0	9.03
10/03/2017	BYERS, SHARRON	GENWORTH COMMONWEALTH VA 1994 (NON-	105,128.87	17.52	0.00	17.52	95.0	16.64
10/28/2017	STEFFES, MARTIN	JNL REWARD 10 YR TERM	32.61	0.16	0.00	0.16	95.0	0.15
10/04/2017	RIMKUS, MARILYN	WELLS FARGO ENTERPRISE A	0.00	4.19	0.00	4.19	95.0	3.98
10/04/2017	ALEXANDER, JEAN	WELLS FARGO STRATEGIC MUNI A	0.00	0.88	0.00	0.88	95.0	0.84
10/04/2017	EMMER, ILENE	WELLS FARGO TOTAL RETURN BOND A	0.00	0.17	0.00	0.17	95.0	0.16

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

DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<b><u>SPLIT TRANSACTIONS</u></b>								
<b><u>BROKER: MARK KOSANKE #3</u></b>								
10/04/2017	DANIELS, KATHLEEN	WELLS FARGO TOTAL RETURN BOND A	0.00	2.94	0.00	2.94	95.0	2.79
10/04/2017	SMOLBOSKI, BARBARA	WELLS FARGO TOTAL RETURN BOND A	0.00	0.23	0.00	0.23	95.0	0.22
* MARK KOSANKE SUBTOTAL *			\$447,009.57	\$412.40	\$0.00	\$412.40		\$391.78
<b><u>BROKER: J117-PETE/JOAN JOHNSON/FLAM #19</u></b>								
10/04/2017	BACK, JULIE	ALGER LARGECAP GROWTH A	0.00	2.47	0.00	2.47	95.0	2.35
10/04/2017	FEINBERG, MARK	ALGER LARGECAP GROWTH A	0.00	8.00	0.00	8.00	95.0	7.60
10/04/2017	WILSON, EMILEE	ALGER LARGECAP GROWTH A	0.00	0.03	0.00	0.03	95.0	0.03
10/04/2017	DRABCZYK, FRANK	ALGER LARGECAP GROWTH A	0.00	0.57	0.00	0.57	95.0	0.54
10/04/2017	FEINBERG, JENNIFER	ALGER LARGECAP GROWTH A	0.00	1.55	0.00	1.55	95.0	1.47
10/04/2017	FEINBERG, JULIE	ALGER LARGECAP GROWTH A	0.00	1.78	0.00	1.78	95.0	1.69
10/04/2017	FEINBERG, MARK	ALGER LARGECAP GROWTH B	0.00	1.65	0.00	1.65	95.0	1.57
10/04/2017	BACK, JULIE	ALGER MIDCAP GROWTH A	0.00	1.07	0.00	1.07	95.0	1.02
10/04/2017	FEINBERG, JULIE	ALGER MIDCAP GROWTH A	0.00	0.78	0.00	0.78	95.0	0.74
10/04/2017	BACK, JULIE	ALGER SMALLCAP GROWTH A	0.00	1.00	0.00	1.00	95.0	0.95
10/04/2017	FEINBERG, JENNIFER	ALGER SMALLCAP GROWTH A	0.00	2.67	0.00	2.67	95.0	2.54
10/04/2017	FEINBERG, JULIE	ALGER SMALLCAP GROWTH A	0.00	0.73	0.00	0.73	95.0	0.69
09/30/2017	HARNE, DEXTL	TOUCHSTONE GROWTH OPP A	0.00	0.05	0.00	0.05	95.0	0.05
09/30/2017	HARNE, DEXTL	TOUCHSTONE MID CAP GROWTH A	0.00	0.07	0.00	0.07	95.0	0.07
* J117-PETE/JOAN JOHNSON/FLAM SUBTOTAL *			\$0.00	\$22.42	\$0.00	\$22.42		\$21.31
<b><u>BROKER: MEGHA GROUP #41</u></b>								
10/04/2017	VARTANIAN, NICHOLAS	ALGER CAPITAL APPRECIATION A	0.00	2.09	0.00	2.09	95.0	1.99
10/04/2017	MEHLBERG, GREYSON	ALGER CAPITAL APPRECIATION A	0.00	2.37	0.00	2.37	95.0	2.25
10/04/2017	MATHEWS, DOUG	ALGER MIDCAP GROWTH A	0.00	6.49	0.00	6.49	95.0	6.17
* MEGHA GROUP SUBTOTAL *			\$0.00	\$10.95	\$0.00	\$10.95		\$10.41
*** SPLIT TRANSACTIONS TOTAL ***			\$447,009.57	\$445.77	\$0.00	\$445.77		\$423.50

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<b><u> OVERRIDE TRANSACTIONS </u></b>								
<b><u>BROKER: FRANK DUNN #7</u></b>								
09/30/2017	LABANCA, SOL	GRIFFIN AMERICAN HEALTHCARE REIT IV	0.00	252.05	0.00	252.05	90.0	12.60
09/30/2017	BRENT, MARY	GRIFFIN AMERICAN HEALTHCARE REIT IV	0.00	26.03	0.00	26.03	90.0	1.30
09/30/2017	SCARLATO, MARY	GRIFFIN AMERICAN HEALTHCARE REIT IV	0.00	27.40	0.00	27.40	90.0	1.37
09/30/2017	WETHINGTON JR, ROBERT	GRIFFIN CAPITAL ESSENTIAL ASSET II	0.00	248.35	0.00	248.35	90.0	12.42
09/30/2017	REIFMAN FAMILY TRUST	GRIFFIN CAPITAL ESSENTIAL ASSET II	0.00	189.22	0.00	189.22	90.0	9.46
09/30/2017	WETHINGTON, JUDITH	GRIFFIN CAPITAL ESSENTIAL ASSET II	0.00	82.78	0.00	82.78	90.0	4.14
09/30/2017	BRENT, MARY	GRIFFIN INST'L ACCESS R E FUND	0.00	6.14	0.00	6.14	90.0	0.31
09/30/2017	SCARLATO, MARY	GRIFFIN INST'L ACCESS R E FUND	0.00	8.41	0.00	8.41	90.0	0.42
* FRANK DUNN SUBTOTAL *			\$0.00	\$840.38	\$0.00	\$840.38		\$42.02
<b><u>BROKER: 101 CFGROUP/KOSANKE #9</u></b>								
10/16/2017	STOLL, BENJAMIN	AM FUNDS CAPITAL WORLD GRTH & INC 5	50.00	2.13	0.00	2.13	95.0	2.02
10/20/2017	NAGEOTTE, NIKOLAUS	AM FUNDS CAPITAL WORLD GRTH & INC A	100.00	5.00	0.00	5.00	95.0	4.75
* 101 CFGROUP/KOSANKE SUBTOTAL *			\$150.00	\$7.13	\$0.00	\$7.13		\$6.77
<b><u>BROKER: THOMAS SCHNEIDER #30</u></b>								
/ /	D&D TRAILER HAULING INC	PROFUNDS ULTRA SMALLCAP SVC	0.00	0.01	0.00	0.01	0.0	0.01
/ /	GREENE, DAVID	PROFUNDS ULTRA SMALLCAP SVC	0.00	0.01	0.00	0.01	0.0	0.01
/ /	D&D TRAILER HAULING INC	PROFUNDS ULTRANASDAQ 100 SVC	0.00	0.01	0.00	0.01	0.0	0.01
/ /	GREENE, DAVID	PROFUNDS ULTRANASDAQ 100 SVC	0.00	0.01	0.00	0.01	0.0	0.01
/ /	D&D TRAILER HAULING INC	PROFUNDS ULTRASHORT NASDAQ 100 SVC	0.00	0.02	0.00	0.02	0.0	0.02
/ /	GREENE, DAVID	PROFUNDS ULTRASHORT NASDAQ 100 SVC	0.00	0.02	0.00	0.02	0.0	0.02
/ /	D&D TRAILER HAULING INC	PROFUNDS ULTRASHORT NASDAQ 100 SVC	0.00	0.06	0.00	0.06	0.0	0.06
/ /	GREENE, DAVID	PROFUNDS ULTRASHORT NASDAQ 100 SVC	0.00	0.06	0.00	0.06	0.0	0.06
/ /	D&D TRAILER HAULING INC	PROFUNDS ULTRASHORT SMALLCAP SVC	0.00	0.05	0.00	0.05	0.0	0.05
/ /	GREENE, DAVID	PROFUNDS ULTRASHORT SMALLCAP SVC	0.00	0.05	0.00	0.05	0.0	0.05
/ /	D&D TRAILER HAULING INC	PROFUNDS ULTRASHORT SMALLCAP SVC	0.00	0.16	0.00	0.16	0.0	0.15
/ /	GREENE, DAVID	PROFUNDS ULTRASHORT SMALLCAP SVC	0.00	0.16	0.00	0.16	0.0	0.15
/ /	D&D TRAILER HAULING INC	PROFUNDS US GOV PLUS SVC	0.00	0.01	0.00	0.01	0.0	0.01
/ /	GREENE, DAVID	PROFUNDS US GOV PLUS SVC	0.00	0.01	0.00	0.01	0.0	0.01
* THOMAS SCHNEIDER SUBTOTAL *			\$0.00	\$0.64	\$0.00	\$0.64		\$0.62
*** OVERRIDE TRANSACTIONS TOTAL ***			\$150.00	\$848.15	\$0.00	\$848.15		\$49.41

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**BROKER COMMISSION TOTALS**

Broker Transactions	\$17,876.37
Split Transactions	\$423.50
Override Transactions	\$49.41
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	\$18,349.28
Year-to-date Gross	\$383,046.68
Year-to-date Earnings	\$369,492.67