



Concorde Investment Services, LLC

12/15/2017

Page No. 1

# COMMISSION STATEMENT

December 15, 2017

BARTHOLOMEW MACKLER  
1359 W. Fairview Lane

BROKER #: M121 Terminated 11/24/2017  
BRANCH: CONCORDE FINANCIAL G

Rochester Hills, MI 48306

DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<b><u>DIRECT TRANSACTIONS</u></b>								
<b><u>PRODUCT CATEGORY: 529 PLANS</u></b>								
11/20/2017	HARRISON, DAVID	AM FUNDS BOND FUND OF AMERICA 529A	50.00	1.00	0.00	1.00	90.0	0.90
12/04/2017	CHIECHA, MOLLY	AM FUNDS CAPITAL WORLD GRTH & INC 5	50.00	2.50	0.00	2.50	90.0	2.25
11/20/2017	HARRISON, SHARON	AM FUNDS FUNDAMENTAL INVESTORS 529A	50.00	1.00	0.00	1.00	90.0	0.90
11/20/2017	HARRISON, SHARON	AM FUNDS GROWTH FUND OF AMERICA 529	50.00	1.00	0.00	1.00	90.0	0.90
11/20/2017	HARRISON, DAVID	AM FUNDS GROWTH FUND OF AMERICA 529	100.00	2.00	0.00	2.00	90.0	1.80
11/20/2017	HARRISON, DAVID	AM FUNDS GROWTH FUND OF AMERICA 529	50.00	1.00	0.00	1.00	90.0	0.90
11/20/2017	HARRISON, SHARON	AM FUNDS GROWTH FUND OF AMERICA 529	50.00	1.00	0.00	1.00	90.0	0.90
11/20/2017	HARRISON, SHARON	AM FUNDS NEW PERSPECTIVE 529A	50.00	1.00	0.00	1.00	90.0	0.90
11/20/2017	HARRISON, DAVID	AM FUNDS NEW PERSPECTIVE 529A	50.00	1.00	0.00	1.00	90.0	0.90
* 529 PLANS SUBTOTAL *			\$500.00	\$11.50	\$0.00	\$11.50		\$10.35
<b><u>PRODUCT CATEGORY: MUTUAL FUNDS</u></b>								
11/09/2017	DIX, DAVID	ALLIANZ INCOME & GROWTH FND	0.00	35.21	0.00	35.21	90.0	31.69
11/09/2017	QUENNEVILLE, JEROME	ALLIANZ INCOME & GROWTH FND	0.00	2.05	0.00	2.05	90.0	1.85
11/09/2017	LINGEMANN, HELEN	AM FUNDS CAPITAL INCOME BUILDER A	0.00	13.62	0.00	13.62	90.0	12.26
12/08/2017	DEEB, DANUTA	AM FUNDS EUROPACIFIC GROWTH FUND A	100.00	5.00	0.00	5.00	90.0	4.50
11/09/2017	KALOHN TRUST, RUTHANN	AM FUNDS GROWTH FUND OF AMERICA C	0.00	19.42	0.00	19.42	90.0	17.48
11/09/2017	BAUGHMAN, MICHELE	AM FUNDS GROWTH FUND OF AMERICA C	0.00	10.88	0.00	10.88	90.0	9.79
11/09/2017	BAUGHMAN, MICHELE	AM FUNDS GROWTH FUND OF AMERICA F1	0.00	6.28	0.00	6.28	90.0	5.65
11/09/2017	ODOM, EDDIE	AM FUNDS ICA A	0.00	5.74	0.00	5.74	90.0	5.17
12/08/2017	WHEELER, PAUL	AM FUNDS ICA C	75.00	0.75	0.00	0.75	90.0	0.68
12/08/2017	LOUDERMILK, SCOTT	AM FUNDS ICA C	400.00	4.00	0.00	4.00	90.0	3.60
12/08/2017	LOCKHART, JOSEPH	AM FUNDS ICA C	600.00	6.00	0.00	6.00	90.0	5.40
11/09/2017	ODOM, EDDIE	AM FUNDS INCOME FUND OF AMERICA A	0.00	47.10	0.00	47.10	90.0	42.39
11/09/2017	LINGEMANN, HELEN	AM FUNDS INCOME FUND OF AMERICA A	0.00	5.69	0.00	5.69	90.0	5.12
11/09/2017	MILLER, ROBERT	BLK GLOBAL ALLOCATION A	0.00	3.50	0.00	3.50	90.0	3.15
11/09/2017	MARSH, GARY	COLUMBIA DIVIDEND OPP A	0.00	4.82	0.00	4.82	90.0	4.34

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
<b><u>DIRECT TRANSACTIONS</u></b>								
<b><u>PRODUCT CATEGORY: MUTUAL FUNDS</u></b>								
11/09/2017	PALFFY, AMANDA	DAVIS NEW YORK VENTURE B	0.00	2.37	0.00	2.37	90.0	2.13
11/09/2017	PALFFY, JESSICA	DAVIS NEW YORK VENTURE B	0.00	1.91	0.00	1.91	90.0	1.72
11/09/2017	PALFFY, VICTORIA	DAVIS NEW YORK VENTURE B	0.00	1.43	0.00	1.43	90.0	1.29
11/09/2017	JOHNSON, WILLIAM	FEDERATED CAPITAL INCOME B	0.00	0.01	0.00	0.01	90.0	0.01
11/09/2017	PALFFY, AMANDA	FEDERATED CAPITAL INCOME B	0.00	0.11	0.00	0.11	90.0	0.10
11/09/2017	PALFFY, JESSICA	FEDERATED CAPITAL INCOME B	0.00	0.08	0.00	0.08	90.0	0.07
11/09/2017	PALFFY, VICTORIA	FEDERATED CAPITAL INCOME B	0.00	0.06	0.00	0.06	90.0	0.05
11/09/2017	QUENNEVILLE, JEROME	FEDERATED CAPITAL INCOME B	0.00	4.95	0.00	4.95	90.0	4.46
11/21/2017	JOHNSON, WILLIAM	FEDERATED CAPITAL INCOME B	18,128.77	22.00	0.00	22.00	90.0	19.80
11/09/2017	ALLOR, PATRICK	FIRST EAGLE GLOBAL FUND CL A	0.00	4.18	0.00	4.18	90.0	3.76
11/09/2017	LINGEMANN TRUST, THOMAS	FRANKLIN MI TAX FR INCOME A	0.00	0.83	0.00	0.83	90.0	0.75
11/09/2017	MILLER, ROBERT	IVY ASSET STRATEGY FUND CLASS A	0.00	2.90	0.00	2.90	90.0	2.61
11/09/2017	HORTON, RICHARD	LEGG MASON CLEARBRIDGE TACTICAL DIV	0.00	3.74	0.00	3.74	90.0	3.37
11/09/2017	CURL, BRIAN K	OPPENHEIMER GOLD & SPECIAL MINERALS	0.00	1.04	0.00	1.04	90.0	0.94
11/09/2017	LINGEMANN TRUST, THOMAS	OPPENHEIMER GOLD & SPECIAL MINERALS	0.00	0.99	0.00	0.99	90.0	0.89
11/09/2017	LAMARRA, BEN	OPPENHEIMER GOLD & SPECIAL MINERALS	0.00	0.83	0.00	0.83	90.0	0.75
11/09/2017	MAPLEY, CRISSELLA	OPPENHEIMER GOLD & SPECIAL MINERALS	0.00	1.38	0.00	1.38	90.0	1.24
11/09/2017	BECK III, FRANKLIN	OPPENHEIMER GOLD & SPECIAL MINERALS	0.00	0.10	0.00	0.10	90.0	0.09
11/09/2017	NIPPA, BETTY	OPPENHEIMER GOLD & SPECIAL MINERALS	0.00	0.77	0.00	0.77	90.0	0.69
11/09/2017	QUENNEVILLE, JEROME	OPPENHEIMER GOLD & SPECIAL MINERALS	0.00	0.46	0.00	0.46	90.0	0.41
11/09/2017	QUENNEVILLE, JEROME	OPPENHEIMER GOLD & SPECIAL MINERALS	0.00	0.02	0.00	0.02	90.0	0.02
11/09/2017	LINGEMANN, HELEN	OPPENHEIMER INTL DIVERSIFIED A	0.00	7.39	0.00	7.39	90.0	6.65
11/09/2017	LINGEMANN, HELEN	OPPENHEIMER LIMITED TERM MUNI A	0.00	5.58	0.00	5.58	90.0	5.02
11/09/2017	TUMINO TRUST, RAPHAEL	PUTNAM EQUITY INCOME A	0.00	6.82	0.00	6.82	90.0	6.14
11/09/2017	TUMINO TRUST, RAPHAEL	PUTNAM TAX EXEMPT INCOME-A	0.00	1.72	0.00	1.72	90.0	1.55
<b>* MUTUAL FUNDS SUBTOTAL *</b>			<b>\$19,303.77</b>	<b>\$241.73</b>	<b>\$0.00</b>	<b>\$241.73</b>		<b>\$217.58</b>
<b><u>PRODUCT CATEGORY: STOCKS</u></b>								
11/15/2017	HORTON, RICHARD	BANK AMER CORP COM	16,074.06	50.00	14.00	36.00	90.0	32.40
11/02/2017	LAROCHE, DAVID	CAPITAL ONE FINANCIAL CORP	3,005.06	50.00	14.00	36.00	90.0	32.40
11/17/2017	LAROCHE, DAVID	CAPITAL ONE FINANCIAL CORP	5,660.57	45.00	14.00	31.00	90.0	27.90
11/24/2017	RYAN, NANCY	CNX COAL RESOURCES LP	8,520.00	50.00	14.00	36.00	90.0	32.40
10/31/2017	LAMARRA, BEN	COCA COLA COMPANY	3,909.99	50.00	14.00	36.00	90.0	32.40
11/07/2017	SILVER, DANIELLA	COEUR D ALENE MINES CORP IDAHO COM	754.34	25.00	14.00	11.00	90.0	9.90

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<b><u>DIRECT TRANSACTIONS</u></b>								
<b><u>PRODUCT CATEGORY: STOCKS</u></b>								
11/06/2017	BORR, RUDOLPH	CURTISS WRIGHT CORP	20,826.93	152.00	14.00	138.00	90.0	124.20
11/07/2017	SILVER, DANIELLA	CYTOSORBENTS CORPORATION	637.80	25.00	14.00	11.00	90.0	9.90
11/07/2017	SILVER, ERIC	CYTOSORBENTS CORPORATION	1,596.85	50.00	14.00	36.00	90.0	32.40
11/07/2017	SILVER, STEVEN	CYTOSORBENTS CORPORATION	973.23	30.00	14.00	16.00	90.0	14.40
11/07/2017	SILVER, STEVEN	DIREXION DAILY GOLD MINERS	360.12	22.00	14.00	8.00	90.0	7.20
11/07/2017	SILVER, STEVEN	DIREXION DAILY JUNIOR GOLD	666.54	22.00	14.00	8.00	90.0	7.20
11/24/2017	RYAN, NANCY	ELLINGTON RESIDENTIAL MTG REIT	8,493.94	50.00	14.00	36.00	90.0	32.40
10/31/2017	LAMARRA, BEN	GENERAL ELECTRIC CO COM	3,956.36	50.00	14.00	36.00	90.0	32.40
11/07/2017	SILVER, ERIC	GOLDCORP INC NEW	1,710.80	50.00	14.00	36.00	90.0	32.40
11/15/2017	HORTON, RICHARD	GROUPON INC	5,253.00	50.00	14.00	36.00	90.0	32.40
11/17/2017	HERRADA, ROBERT	GROUPON INC	9,232.47	92.00	14.00	78.00	90.0	70.20
11/06/2017	QUENNEVILLE, JEROME	JUNO THERAPEUTICS INC	17,200.50	142.00	14.00	128.00	90.0	115.20
11/06/2017	BORR, RUDOLPH	JUNO THERAPEUTICS INC	7,379.97	60.00	14.00	46.00	90.0	41.40
11/15/2017	HORTON, RICHARD	JUNO THERAPEUTICS INC	19,332.25	216.00	14.00	202.00	90.0	181.80
11/24/2017	MACKLER, BARTHOLOMEW	KRAIG BIOCRAFT LABORATORIES	460.00	22.00	14.00	8.00	90.0	7.20
11/15/2017	HORTON, RICHARD	MCDONALDS CORP	19,388.48	192.00	14.00	178.00	90.0	160.20
11/15/2017	HORTON, RICHARD	MCDONALDS CORP	21,891.25	212.00	14.00	198.00	90.0	178.20
11/14/2017	LOWELL, THOMAS	PARK ELECTROCHEMICAL CORP	18,600.00	80.00	14.00	66.00	90.0	59.40
11/15/2017	MODZELEWSKI, DENNIS	PNC FINANCIAL SERVICES GROUP	5,022.08	50.00	14.00	36.00	90.0	32.40
11/16/2017	QUENNEVILLE, JEROME	SQUARE INC	16,545.72	84.00	14.00	70.00	90.0	63.00
11/27/2017	QUENNEVILLE, JEROME	SQUARE INC	16,400.00	92.00	14.00	78.00	90.0	70.20
11/15/2017	LOWELL, THOMAS	YUM BRANDS INC COM	19,411.72	80.00	14.00	66.00	90.0	59.40
* STOCKS SUBTOTAL *			\$253,264.03	\$2,093.00	\$392.00	\$1,701.00		\$1,530.90
<b><u>PRODUCT CATEGORY: VARIABLE ANNUITIES</u></b>								
11/30/2017	DAMRON, ROBERT	JNL PERSPECTIVE	291,566.91	60.74	0.00	60.74	90.0	54.67
11/30/2017	JOHNSON, WILLIAM	JNL PERSPECTIVE	1,740.95	0.36	0.00	0.36	90.0	0.32
11/30/2017	MITCHELL, DONALD	JNL PERSPECTIVE	8,781.10	1.83	0.00	1.83	90.0	1.65
11/30/2017	ROHLOFF, CARL	JNL PERSPECTIVE	15,589.98	3.25	0.00	3.25	90.0	2.93
11/30/2017	SCHNELL, JAMES	JNL PERSPECTIVE	5,094.53	2.12	0.00	2.12	90.0	1.91
11/30/2017	ANTON, CAROLE	JNL PERSPECTIVE II 04/14	25,490.35	10.62	0.00	10.62	90.0	9.56
11/30/2017	RYAN, NANCY	JNL PERSPECTIVE L	63,444.46	52.87	0.00	52.87	90.0	47.58
11/30/2017	MAZURKIEWICZ, JAMES	JNL PERSPECTIVE L	50,825.48	42.35	0.00	42.35	90.0	38.12
11/30/2017	SNYDER, MICHAEL C	JNL PERSPECTIVE L	39,568.69	32.97	0.00	32.97	90.0	29.67

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DIRECT TRANSACTIONSPRODUCT CATEGORY: VARIABLE UNIVERSAL LIFE

* VARIABLE ANNUITIES SUBTOTAL *			\$502,102.45	\$207.11	\$0.00	\$207.11		\$186.41
<u>PRODUCT CATEGORY: VARIABLE UNIVERSAL LIFE</u>								
11/14/2017	SNYDER, MICHAEL C	PAC LIFE VUL	0.00	0.65	0.00	0.65	90.0	0.59
* VARIABLE UNIVERSAL LIFE SUBTOTAL *			\$0.00	\$0.65	\$0.00	\$0.65		\$0.59

PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS

12/01/2017	MARSH, GARY	AM FUNDS AMCAP A	0.00	13.28	0.00	13.28	90.0	11.95
12/01/2017	JEZDIMIR, CAROLINE	AM FUNDS AMERICAN BALANCED A	0.00	31.05	0.00	31.05	90.0	27.95
12/01/2017	BAUGHMAN/BENE, MICHELE	AM FUNDS AMERICAN BALANCED A	0.00	30.40	0.00	30.40	90.0	27.36
12/01/2017	ALLOR, PATRICK	AM FUNDS AMERICAN BALANCED A	0.00	20.24	0.00	20.24	90.0	18.22
12/01/2017	VANDEUSEN, STEPHEN	AM FUNDS AMERICAN BALANCED A	0.00	3.33	0.00	3.33	90.0	3.00
12/01/2017	BURROWS, JOY	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	3.22	0.00	3.22	90.0	2.90
12/01/2017	JACKSON, RICHARD	AM FUNDS AMERICAN MUTUAL A	0.00	2.25	0.00	2.25	90.0	2.03
12/01/2017	WATERMAN, MICHAEL	AM FUNDS AMERICAN MUTUAL A	0.00	2.99	0.00	2.99	90.0	2.69
12/01/2017	HARRISON, DAVID	AM FUNDS BOND FUND OF AMERICA 529A	0.00	3.82	0.00	3.82	90.0	3.44
12/01/2017	HARRISON, SHARON	AM FUNDS BOND FUND OF AMERICA 529A	0.00	0.23	0.00	0.23	90.0	0.21
12/01/2017	HARRISON, SHARON	AM FUNDS BOND FUND OF AMERICA 529A	0.00	0.25	0.00	0.25	90.0	0.23
12/01/2017	KEENEY, DONALD	AM FUNDS BOND FUND OF AMERICA A	0.00	7.20	0.00	7.20	90.0	6.48
12/01/2017	HARRISON, DAVID	AM FUNDS BOND FUND OF AMERICA A	0.00	23.71	0.00	23.71	90.0	21.34
12/01/2017	HARRISON, SHARON	AM FUNDS BOND FUND OF AMERICA A	0.00	1.92	0.00	1.92	90.0	1.73
12/01/2017	LINGEMANN TRUST, THOMAS	AM FUNDS CAPITAL INCOME BUILDER A	0.00	33.90	0.00	33.90	90.0	30.51
12/01/2017	BREZA, DONICE	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.71	0.00	0.71	90.0	0.64
12/01/2017	WOJTACHA, NEAL	AM FUNDS CAPITAL INCOME BUILDER A	0.00	8.02	0.00	8.02	90.0	7.22
12/01/2017	VIVIANO, KAREN	AM FUNDS CAPITAL INCOME BUILDER C	0.00	68.53	0.00	68.53	90.0	61.68
12/01/2017	CHIECHA, MOLLY	AM FUNDS CAPITAL WORLD GRTH & INC 5	0.00	4.83	0.00	4.83	90.0	4.35
12/01/2017	SCHULER/SEP, ANN	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	11.37	0.00	11.37	90.0	10.23
12/01/2017	HARRISON, SHARON	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	16.50	0.00	16.50	90.0	14.85
12/01/2017	BAUGHMAN, MICHELE	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	12.18	0.00	12.18	90.0	10.96
12/01/2017	BREZA, DONICE	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.78	0.00	0.78	90.0	0.70
12/01/2017	LISOWSKI, JULIE	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	1.01	0.00	1.01	90.0	0.91
12/01/2017	O'CONNOR, ROSE	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	47.97	0.00	47.97	90.0	43.17
12/01/2017	DEEB, DANUTA	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	0.81	0.00	0.81	90.0	0.73
12/01/2017	REED, CAROLINA	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	0.99	0.00	0.99	90.0	0.89

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<b><u>DIRECT TRANSACTIONS</u></b>								
<b><u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u></b>								
12/01/2017	DEEB, DANUTA	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	2.87	0.00	2.87	90.0	2.58
12/01/2017	SCHULER/SEP, ANN	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	6.35	0.00	6.35	90.0	5.72
12/01/2017	PALFFY, JOHN	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	8.95	0.00	8.95	90.0	8.06
12/01/2017	HARRISON, SHARON	AM FUNDS FUNDAMENTAL INVESTORS 529A	0.00	0.75	0.00	0.75	90.0	0.68
12/01/2017	HARRISON, SHARON	AM FUNDS FUNDAMENTAL INVESTORS 529A	0.00	6.14	0.00	6.14	90.0	5.53
12/01/2017	HARRISON, SHARON	AM FUNDS FUNDAMENTAL INVESTORS 529A	0.00	4.28	0.00	4.28	90.0	3.85
12/01/2017	HARRISON, DAVID	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	26.17	0.00	26.17	90.0	23.55
12/01/2017	PALFFY, JOHN	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	11.68	0.00	11.68	90.0	10.51
12/01/2017	HARRISON, SHARON	AM FUNDS GROWTH FUND OF AMERICA 529	0.00	6.99	0.00	6.99	90.0	6.29
12/01/2017	HARRISON, DAVID	AM FUNDS GROWTH FUND OF AMERICA 529	0.00	6.90	0.00	6.90	90.0	6.21
12/01/2017	HARRISON, DAVID	AM FUNDS GROWTH FUND OF AMERICA 529	0.00	2.69	0.00	2.69	90.0	2.42
12/01/2017	HARRISON, SHARON	AM FUNDS GROWTH FUND OF AMERICA 529	0.00	6.15	0.00	6.15	90.0	5.54
12/01/2017	HARRISON, SHARON	AM FUNDS GROWTH FUND OF AMERICA 529	0.00	4.33	0.00	4.33	90.0	3.90
12/01/2017	SCHULER/SEP, ANN	AM FUNDS GROWTH FUND OF AMERICA A	0.00	11.99	0.00	11.99	90.0	10.79
12/01/2017	JOHNSON, WILLIAM	AM FUNDS GROWTH FUND OF AMERICA A	0.00	4.23	0.00	4.23	90.0	3.81
12/01/2017	JOHNSON, BARBARA	AM FUNDS GROWTH FUND OF AMERICA A	0.00	9.20	0.00	9.20	90.0	8.28
12/01/2017	MEGGE, STEVE	AM FUNDS GROWTH FUND OF AMERICA A	0.00	1.62	0.00	1.62	90.0	1.46
12/01/2017	KAZMIROWSKI, THOMAS	AM FUNDS GROWTH FUND OF AMERICA A	0.00	2.96	0.00	2.96	90.0	2.66
12/01/2017	HARRISON, DAVID	AM FUNDS GROWTH FUND OF AMERICA A	0.00	18.43	0.00	18.43	90.0	16.59
12/01/2017	KOZLOWSKI, MICHAEL	AM FUNDS GROWTH FUND OF AMERICA A	0.00	10.13	0.00	10.13	90.0	9.12
12/01/2017	WOJTACHA, NEAL	AM FUNDS GROWTH FUND OF AMERICA A	0.00	1.23	0.00	1.23	90.0	1.11
12/01/2017	RIGGERT, HILARY	AM FUNDS ICA A	0.00	0.05	0.00	0.05	90.0	0.05
12/01/2017	KEECH, SCOTT	AM FUNDS ICA A	0.00	13.20	0.00	13.20	90.0	11.88
12/01/2017	ZECH, DONALD	AM FUNDS ICA A	0.00	12.11	0.00	12.11	90.0	10.90
12/01/2017	KOLOVSKY, JEFFREY	AM FUNDS ICA A	0.00	6.40	0.00	6.40	90.0	5.76
12/01/2017	COLLAR, VICKI	AM FUNDS ICA A	0.00	3.61	0.00	3.61	90.0	3.25
12/01/2017	MARSH, GARY	AM FUNDS ICA A	0.00	187.10	0.00	187.10	90.0	168.39
12/01/2017	SCHULER/SEP, ANN	AM FUNDS ICA A	0.00	14.57	0.00	14.57	90.0	13.11
12/01/2017	KULHANEK, CAROL	AM FUNDS ICA A	0.00	0.68	0.00	0.68	90.0	0.61
12/01/2017	KULHANEK, MICHAEL	AM FUNDS ICA A	0.00	3.78	0.00	3.78	90.0	3.40
12/01/2017	PERS, MICHAEL	AM FUNDS ICA A	0.00	1.68	0.00	1.68	90.0	1.51
12/01/2017	KULHANEK, CAROL	AM FUNDS ICA A	0.00	3.52	0.00	3.52	90.0	3.17
12/01/2017	WATERMAN, MICHAEL	AM FUNDS ICA A	0.00	2.78	0.00	2.78	90.0	2.50

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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>DIRECT TRANSACTIONS</u></b>								
<b><u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u></b>								
12/01/2017	HARRISON, DAVID	AM FUNDS ICA A	0.00	28.33	0.00	28.33	90.0	25.50
12/01/2017	KOZLOWSKI, MICHAEL	AM FUNDS ICA A	0.00	6.88	0.00	6.88	90.0	6.19
12/01/2017	BURROWS, JOY	AM FUNDS ICA A	0.00	5.71	0.00	5.71	90.0	5.14
12/01/2017	CONLIN, DANIEL	AM FUNDS ICA A	0.00	3.63	0.00	3.63	90.0	3.27
12/01/2017	BREZA, DONICE	AM FUNDS ICA A	0.00	0.81	0.00	0.81	90.0	0.73
12/01/2017	WOJTACHA, NEAL	AM FUNDS ICA A	0.00	8.44	0.00	8.44	90.0	7.60
12/01/2017	ODOM, COLLEEN	AM FUNDS ICA A	0.00	19.06	0.00	19.06	90.0	17.15
12/01/2017	EQUITY TRUST CO	AM FUNDS ICA A	0.00	10.45	0.00	10.45	90.0	9.41
12/01/2017	KEHRES, RICHARD	AM FUNDS ICA A	0.00	7.25	0.00	7.25	90.0	6.53
12/01/2017	VIVIANO, KAREN	AM FUNDS ICA C	0.00	75.62	0.00	75.62	90.0	68.06
12/01/2017	WHEELER, PAUL	AM FUNDS ICA C	0.00	2.08	0.00	2.08	90.0	1.87
12/01/2017	AFFER, RONALD	AM FUNDS ICA C	0.00	3.44	0.00	3.44	90.0	3.10
12/01/2017	LOUDERMILK, SCOTT	AM FUNDS ICA C	0.00	5.15	0.00	5.15	90.0	4.64
12/01/2017	LOCKHART, JOSEPH	AM FUNDS ICA C	0.00	7.74	0.00	7.74	90.0	6.97
12/01/2017	MODZELEWSKI, DENNIS	AM FUNDS INCOME FUND OF AMERICA A	0.00	22.11	0.00	22.11	90.0	19.90
12/01/2017	REED, CAROLINA	AM FUNDS INCOME FUND OF AMERICA A	0.00	1.00	0.00	1.00	90.0	0.90
12/01/2017	ROSEN, STANLEY	AM FUNDS INCOME FUND OF AMERICA A	0.00	15.42	0.00	15.42	90.0	13.88
12/01/2017	BREZA, DONICE	AM FUNDS INCOME FUND OF AMERICA A	0.00	0.80	0.00	0.80	90.0	0.72
12/01/2017	JOHNSON, BARBARA	AM FUNDS INCOME FUND OF AMERICA A	0.00	5.77	0.00	5.77	90.0	5.19
12/01/2017	ROSEN, JUDITH	AM FUNDS INCOME FUND OF AMERICA A	0.00	26.33	0.00	26.33	90.0	23.70
12/01/2017	MARSH, KEITH	AM FUNDS NEW ECONOMY A	0.00	54.43	0.00	54.43	90.0	48.99
12/01/2017	PALFFY, JOHN	AM FUNDS NEW ECONOMY A	0.00	8.82	0.00	8.82	90.0	7.94
12/01/2017	HARRISON, SHARON	AM FUNDS NEW PERSPECTIVE 529A	0.00	6.41	0.00	6.41	90.0	5.77
12/01/2017	HARRISON, DAVID	AM FUNDS NEW PERSPECTIVE 529A	0.00	6.17	0.00	6.17	90.0	5.55
12/01/2017	HARRISON, DAVID	AM FUNDS NEW PERSPECTIVE 529A	0.00	1.36	0.00	1.36	90.0	1.22
12/01/2017	HARRISON, SHARON	AM FUNDS NEW PERSPECTIVE 529A	0.00	0.48	0.00	0.48	90.0	0.43
12/01/2017	KEENEY, DONALD	AM FUNDS NEW PERSPECTIVE A	0.00	24.10	0.00	24.10	90.0	21.69
12/01/2017	RIGGERT, ANDREW	AM FUNDS NEW PERSPECTIVE A	0.00	12.01	0.00	12.01	90.0	10.81
12/01/2017	HARRISON, DAVID	AM FUNDS NEW PERSPECTIVE A	0.00	16.88	0.00	16.88	90.0	15.19
12/01/2017	LINGEMANN, HELEN	AM FUNDS NEW PERSPECTIVE A	0.00	45.69	0.00	45.69	90.0	41.12
12/01/2017	SCHULER/SEP, ANN	AM FUNDS NEW WORLD A	0.00	7.17	0.00	7.17	90.0	6.45
12/01/2017	RIGGERT, ANDREW	AM FUNDS NEW WORLD A	0.00	9.69	0.00	9.69	90.0	8.72
12/01/2017	O'CONNOR, ROSE	AM FUNDS NEW WORLD A	0.00	39.81	0.00	39.81	90.0	35.83

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<b><u>DIRECT TRANSACTIONS</u></b>								
<b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</b>								
12/01/2017	GARBO, PAULETTE	AM FUNDS NEW WORLD A	0.00	1.43	0.00	1.43	90.0	1.29
12/01/2017	GARBO, PAUL	AM FUNDS NEW WORLD A	0.00	1.37	0.00	1.37	90.0	1.23
12/01/2017	HARRISON, DAVID	AM FUNDS U.S. GOVERNMENT SECURITIES	0.00	23.07	0.00	23.07	90.0	20.76
12/01/2017	DEEB, DANUTA	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	6.38	0.00	6.38	90.0	5.74
12/01/2017	REED, CAROLINA	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.78	0.00	0.78	90.0	0.70
12/01/2017	TANNER, ALBERT	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	2.17	0.00	2.17	90.0	1.95
12/01/2017	SCHULER/SEP, ANN	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	13.08	0.00	13.08	90.0	11.77
12/01/2017	KEENEY, DONALD	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	21.31	0.00	21.31	90.0	19.18
12/01/2017	MOOSEKIAN/AUTH PER, BRYAN	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.79	0.00	0.79	90.0	0.71
12/01/2017	LAPLACA, FRANK	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	3.95	0.00	3.95	90.0	3.56
12/01/2017	LAPLACA, FRANK	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	3.93	0.00	3.93	90.0	3.54
12/01/2017	LAPLACA, BETTY	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	3.90	0.00	3.90	90.0	3.51
12/01/2017	DZIALO, MARIE	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	1.04	0.00	1.04	90.0	0.94
12/01/2017	ROSEN, STANLEY	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	195.29	0.00	195.29	90.0	175.76
12/01/2017	GAMICCHIA, RAYMOND	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	20.11	0.00	20.11	90.0	18.10
12/01/2017	KUSCH, KIMBERLY	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.18	0.00	0.18	90.0	0.16
12/01/2017	KUSCH, CHRISTOPHER	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.18	0.00	0.18	90.0	0.16
12/01/2017	LATOUR, KERRY	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	2.03	0.00	2.03	90.0	1.83
12/01/2017	GAMICCHIA, RAYMOND	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	9.38	0.00	9.38	90.0	8.44
12/01/2017	ROHLOFF, CARL	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	30.96	0.00	30.96	90.0	27.86
12/01/2017	HARRISON, DAVID	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	30.38	0.00	30.38	90.0	27.34
12/01/2017	JEZDIMIR, CAROLINE	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	34.85	0.00	34.85	90.0	31.37
12/01/2017	WOJTACHA, DOROTHY	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	125.19	0.00	125.19	90.0	112.67
12/01/2017	LISOWSKI, JULIE	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	1.62	0.00	1.62	90.0	1.46
12/01/2017	CHIECHA, MOLLY	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	4.79	0.00	4.79	90.0	4.31
12/04/2017	TERRELL, KATHLEEN	TRANSAMERICA AA MODERATE C	0.00	9.40	0.00	9.40	90.0	8.46
12/04/2017	KRYSTOFF, LAURA	TRANSAMERICA AA MODERATE C	0.00	30.55	0.00	30.55	90.0	27.50
<b>* MUTUAL FUND 12B1 TRAILS SUBTOTAL *</b>			<b>\$0.00</b>	<b>\$1,822.16</b>	<b>\$0.00</b>	<b>\$1,822.16</b>		<b>\$1,640.02</b>
<b>*** DIRECT TRANSACTIONS TOTAL ***</b>			<b>\$775,170.25</b>	<b>\$4,376.15</b>	<b>\$392.00</b>	<b>\$3,984.15</b>		<b>\$3,585.85</b>

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**BROKER COMMISSION TOTALS**

Broker Transactions	\$3,585.85
Split Transactions	\$0.00
Override Transactions	\$0.00
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	\$3,585.85
Year-to-date Gross	\$76,349.28
Year-to-date Earnings	\$72,805.68