



Concorde Investment Services, LLC

02/27/2018

Page No. 1

COMMISSION STATEMENT**February 28, 2018**

A132 - HERB/FRED ALSTON/CHASALOW

BROKER #: A132

BRANCH: HERBERT ALSTON

, MI

DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: 529 PLANS</u>								
^02/16/2018	COHEN, LORI PIERCE-	AM FUNDS GROWTH FUND OF AMERICA 529	100.00	1.00	0.00	1.00	100.0	0.00
^02/16/2018	COHEN, LORI PIERCE-	AM FUNDS NEW PERSPECTIVE 529C	100.00	1.00	0.00	1.00	100.0	0.00
* 529 PLANS SUBTOTAL *			\$200.00	\$2.00	\$0.00	\$2.00		\$0.00
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
^02/11/2016	MISCHAK, RONALD	ASP ARROW DWA BALANCED A	0.00	6.41	0.00	6.41	100.0	0.00
^02/11/2016	GASPAR, NICHOLAS	ASP ARROW DWA BALANCED A	0.00	0.95	0.00	0.95	100.0	0.00
^03/14/2016	MISCHAK, RONALD	ASP ARROW DWA BALANCED A	0.00	6.72	0.00	6.72	100.0	0.00
^03/14/2016	GASPAR, NICHOLAS	ASP ARROW DWA BALANCED A	0.00	0.99	0.00	0.99	100.0	0.00
^04/13/2016	MISCHAK, RONALD	ASP ARROW DWA BALANCED A	0.00	6.95	0.00	6.95	100.0	0.00
^04/13/2016	GASPAR, NICHOLAS	ASP ARROW DWA BALANCED A	0.00	1.03	0.00	1.03	100.0	0.00
^05/11/2016	MISCHAK, RONALD	ASP ARROW DWA BALANCED A	0.00	6.61	0.00	6.61	100.0	0.00
^05/11/2016	GASPAR, NICHOLAS	ASP ARROW DWA BALANCED A	0.00	0.98	0.00	0.98	100.0	0.00
^06/16/2016	MISCHAK, RONALD	ASP ARROW DWA BALANCED A	0.00	7.29	0.00	7.29	100.0	0.00
^06/16/2016	GASPAR, NICHOLAS	ASP ARROW DWA BALANCED A	0.00	1.08	0.00	1.08	100.0	0.00
^07/11/2016	MISCHAK, RONALD	ASP ARROW DWA BALANCED A	0.00	6.89	0.00	6.89	100.0	0.00
^07/11/2016	GASPAR, NICHOLAS	ASP ARROW DWA BALANCED A	0.00	1.02	0.00	1.02	100.0	0.00
^08/12/2016	MISCHAK, RONALD	ASP ARROW DWA BALANCED A	0.00	6.85	0.00	6.85	100.0	0.00
^08/12/2016	GASPAR, NICHOLAS	ASP ARROW DWA BALANCED A	0.00	1.02	0.00	1.02	100.0	0.00
^09/14/2016	MISCHAK, RONALD	ASP ARROW DWA BALANCED A	0.00	7.88	0.00	7.88	100.0	0.00
^09/14/2016	GASPAR, NICHOLAS	ASP ARROW DWA BALANCED A	0.00	1.17	0.00	1.17	100.0	0.00
^10/12/2016	MISCHAK, RONALD	ASP ARROW DWA BALANCED A	0.00	7.09	0.00	7.09	100.0	0.00
^10/12/2016	GASPAR, NICHOLAS	ASP ARROW DWA BALANCED A	0.00	1.05	0.00	1.05	100.0	0.00
^11/16/2016	MISCHAK, RONALD	ASP ARROW DWA BALANCED A	0.00	7.22	0.00	7.22	100.0	0.00
^11/16/2016	GASPAR, NICHOLAS	ASP ARROW DWA BALANCED A	0.00	1.07	0.00	1.07	100.0	0.00
^12/12/2016	MISCHAK, RONALD	ASP ARROW DWA BALANCED A	0.00	6.87	0.00	6.87	100.0	0.00
^12/12/2016	GASPAR, NICHOLAS	ASP ARROW DWA BALANCED A	0.00	1.02	0.00	1.02	100.0	0.00

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

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

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

DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
^02/11/2016	WEBER, PENNY	ASP ARROW MAANGED FUTURES STRATEGY	0.00	4.81	0.00	4.81	100.0	0.00
^03/14/2016	WEBER, PENNY	ASP ARROW MAANGED FUTURES STRATEGY	0.00	5.24	0.00	5.24	100.0	0.00
^04/13/2016	WEBER, PENNY	ASP ARROW MAANGED FUTURES STRATEGY	0.00	5.05	0.00	5.05	100.0	0.00
^05/11/2016	WEBER, PENNY	ASP ARROW MAANGED FUTURES STRATEGY	0.00	4.68	0.00	4.68	100.0	0.00
^06/16/2016	WEBER, PENNY	ASP ARROW MAANGED FUTURES STRATEGY	0.00	5.11	0.00	5.11	100.0	0.00
^07/11/2016	WEBER, PENNY	ASP ARROW MAANGED FUTURES STRATEGY	0.00	5.03	0.00	5.03	100.0	0.00
^08/12/2016	WEBER, PENNY	ASP ARROW MAANGED FUTURES STRATEGY	0.00	5.10	0.00	5.10	100.0	0.00
^09/14/2016	WEBER, PENNY	ASP ARROW MAANGED FUTURES STRATEGY	0.00	5.73	0.00	5.73	100.0	0.00
^10/12/2016	WEBER, PENNY	ASP ARROW MAANGED FUTURES STRATEGY	0.00	5.06	0.00	5.06	100.0	0.00
^11/16/2016	WEBER, PENNY	ASP ARROW MAANGED FUTURES STRATEGY	0.00	5.04	0.00	5.04	100.0	0.00
^12/12/2016	WEBER, PENNY	ASP ARROW MAANGED FUTURES STRATEGY	0.00	4.41	0.00	4.41	100.0	0.00
^02/08/2016	CHASALOW, SANDRA	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	11.88	0.00	11.88	100.0	0.00
^02/08/2016	BRADY, JEANNE	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	4.74	0.00	4.74	100.0	0.00
^02/08/2016	COHEN, JOYCE	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	5.89	0.00	5.89	100.0	0.00
^02/08/2016	COHEN, JOEL	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	5.89	0.00	5.89	100.0	0.00
^02/08/2016	KIM, SCARLET	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	3.34	0.00	3.34	100.0	0.00
^02/08/2016	WEBER, PENNY	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	4.74	0.00	4.74	100.0	0.00
^02/08/2016	FROST, CARRIE-ANN	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	1.58	0.00	1.58	100.0	0.00
^02/08/2016	MCDONALD, MARY	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	2.39	0.00	2.39	100.0	0.00
^03/18/2016	CHASALOW, SANDRA	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	12.66	0.00	12.66	100.0	0.00
^03/18/2016	BRADY, JEANNE	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	5.05	0.00	5.05	100.0	0.00
^03/18/2016	COHEN, JOYCE	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	6.27	0.00	6.27	100.0	0.00
^03/18/2016	COHEN, JOEL	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	6.27	0.00	6.27	100.0	0.00
^03/18/2016	KIM, SCARLET	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	3.56	0.00	3.56	100.0	0.00
^03/18/2016	WEBER, PENNY	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	5.05	0.00	5.05	100.0	0.00
^03/18/2016	FROST, CARRIE-ANN	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	1.69	0.00	1.69	100.0	0.00
^03/18/2016	MCDONALD, MARY	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	2.54	0.00	2.54	100.0	0.00
^04/14/2016	CHASALOW, SANDRA	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	12.75	0.00	12.75	100.0	0.00
^04/14/2016	BRADY, JEANNE	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	5.09	0.00	5.09	100.0	0.00
^04/14/2016	COHEN, JOYCE	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	6.32	0.00	6.32	100.0	0.00
^04/14/2016	COHEN, JOEL	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	6.32	0.00	6.32	100.0	0.00
^04/14/2016	KIM, SCARLET	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	3.59	0.00	3.59	100.0	0.00
^04/14/2016	WEBER, PENNY	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	5.09	0.00	5.09	100.0	0.00

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

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

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

DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
^04/14/2016	FROST, CARRIE-ANN	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	1.69	0.00	1.69	100.0	0.00
^04/14/2016	MCDONALD, MARY	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	2.56	0.00	2.56	100.0	0.00
^05/19/2016	CHASALOW, SANDRA	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	12.00	0.00	12.00	100.0	0.00
^05/19/2016	BRADY, JEANNE	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	4.79	0.00	4.79	100.0	0.00
^05/19/2016	COHEN, JOYCE	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	5.95	0.00	5.95	100.0	0.00
^05/19/2016	COHEN, JOEL	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	5.95	0.00	5.95	100.0	0.00
^05/19/2016	KIM, SCARLET	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	3.37	0.00	3.37	100.0	0.00
^05/19/2016	WEBER, PENNY	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	4.79	0.00	4.79	100.0	0.00
^05/19/2016	FROST, CARRIE-ANN	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	1.60	0.00	1.60	100.0	0.00
^05/19/2016	MCDONALD, MARY	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	2.41	0.00	2.41	100.0	0.00
^06/23/2016	CHASALOW, SANDRA	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	13.34	0.00	13.34	100.0	0.00
^06/23/2016	BRADY, JEANNE	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	5.32	0.00	5.32	100.0	0.00
^06/23/2016	COHEN, JOYCE	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	6.61	0.00	6.61	100.0	0.00
^06/23/2016	COHEN, JOEL	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	6.61	0.00	6.61	100.0	0.00
^06/23/2016	KIM, SCARLET	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	3.75	0.00	3.75	100.0	0.00
^06/23/2016	WEBER, PENNY	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	5.32	0.00	5.32	100.0	0.00
^06/23/2016	FROST, CARRIE-ANN	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	1.78	0.00	1.78	100.0	0.00
^06/23/2016	MCDONALD, MARY	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	2.68	0.00	2.68	100.0	0.00
^07/11/2016	CHASALOW, SANDRA	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	12.58	0.00	12.58	100.0	0.00
^07/11/2016	BRADY, JEANNE	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	3.51	0.00	3.51	100.0	0.00
^07/11/2016	COHEN, JOYCE	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	6.23	0.00	6.23	100.0	0.00
^07/11/2016	COHEN, JOEL	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	6.23	0.00	6.23	100.0	0.00
^07/11/2016	KIM, SCARLET	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	3.54	0.00	3.54	100.0	0.00
^07/11/2016	WEBER, PENNY	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	5.02	0.00	5.02	100.0	0.00
^07/11/2016	FROST, CARRIE-ANN	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	1.68	0.00	1.68	100.0	0.00
^07/11/2016	MCDONALD, MARY	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	2.53	0.00	2.53	100.0	0.00
^08/15/2016	CHASALOW, SANDRA	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	13.11	0.00	13.11	100.0	0.00
^08/15/2016	COHEN, JOYCE	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	6.50	0.00	6.50	100.0	0.00
^08/15/2016	COHEN, JOEL	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	6.50	0.00	6.50	100.0	0.00
^08/15/2016	KIM, SCARLET	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	3.69	0.00	3.69	100.0	0.00
^08/15/2016	WEBER, PENNY	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	5.23	0.00	5.23	100.0	0.00
^08/15/2016	FROST, CARRIE-ANN	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	1.75	0.00	1.75	100.0	0.00
^08/15/2016	MCDONALD, MARY	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	2.63	0.00	2.63	100.0	0.00

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

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

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

DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
^09/12/2016	CHASALOW, SANDRA	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	13.14	0.00	13.14	100.0	0.00
^09/12/2016	COHEN, JOYCE	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	6.51	0.00	6.51	100.0	0.00
^09/12/2016	COHEN, JOEL	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	6.51	0.00	6.51	100.0	0.00
^09/12/2016	KIM, SCARLET	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	3.69	0.00	3.69	100.0	0.00
^09/12/2016	WEBER, PENNY	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	5.24	0.00	5.24	100.0	0.00
^09/12/2016	FROST, CARRIE-ANN	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	1.75	0.00	1.75	100.0	0.00
^09/12/2016	MCDONALD, MARY	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	2.64	0.00	2.64	100.0	0.00
^10/14/2016	CHASALOW, SANDRA	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	12.73	0.00	12.73	100.0	0.00
^10/14/2016	COHEN, JOYCE	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	6.31	0.00	6.31	100.0	0.00
^10/14/2016	COHEN, JOEL	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	6.31	0.00	6.31	100.0	0.00
^10/14/2016	KIM, SCARLET	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	3.58	0.00	3.58	100.0	0.00
^10/14/2016	WEBER, PENNY	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	5.08	0.00	5.08	100.0	0.00
^10/14/2016	FROST, CARRIE-ANN	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	1.70	0.00	1.70	100.0	0.00
^10/14/2016	MCDONALD, MARY	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	2.56	0.00	2.56	100.0	0.00
^11/17/2016	CHASALOW, SANDRA	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	13.22	0.00	13.22	100.0	0.00
^11/17/2016	COHEN, JOYCE	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	6.55	0.00	6.55	100.0	0.00
^11/17/2016	COHEN, JOEL	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	6.55	0.00	6.55	100.0	0.00
^11/17/2016	KIM, SCARLET	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	3.72	0.00	3.72	100.0	0.00
^11/17/2016	WEBER, PENNY	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	5.28	0.00	5.28	100.0	0.00
^11/17/2016	FROST, CARRIE-ANN	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	1.76	0.00	1.76	100.0	0.00
^11/17/2016	MCDONALD, MARY	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	2.65	0.00	2.65	100.0	0.00
^12/12/2016	CHASALOW, SANDRA	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	12.88	0.00	12.88	100.0	0.00
^12/12/2016	COHEN, JOYCE	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	6.39	0.00	6.39	100.0	0.00
^12/12/2016	COHEN, JOEL	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	6.39	0.00	6.39	100.0	0.00
^12/12/2016	KIM, SCARLET	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	3.62	0.00	3.62	100.0	0.00
^12/12/2016	WEBER, PENNY	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	5.14	0.00	5.14	100.0	0.00
^12/12/2016	FROST, CARRIE-ANN	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	1.72	0.00	1.72	100.0	0.00
^12/12/2016	MCDONALD, MARY	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	2.59	0.00	2.59	100.0	0.00
^02/18/2016	MCDONALD, MARY	COHEN & STEERS INTERNATIONAL REALTY	0.00	0.98	0.00	0.98	100.0	0.00
^03/22/2016	MCDONALD, MARY	COHEN & STEERS INTERNATIONAL REALTY	0.00	0.92	0.00	0.92	100.0	0.00
^04/19/2016	MCDONALD, MARY	COHEN & STEERS INTERNATIONAL REALTY	0.00	1.05	0.00	1.05	100.0	0.00
^05/18/2016	MCDONALD, MARY	COHEN & STEERS INTERNATIONAL REALTY	0.00	1.05	0.00	1.05	100.0	0.00
^06/20/2016	MCDONALD, MARY	COHEN & STEERS INTERNATIONAL REALTY	0.00	1.08	0.00	1.08	100.0	0.00

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

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

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

DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
^07/20/2016	MCDONALD, MARY	COHEN & STEERS INTERNATIONAL REALTY	0.00	1.04	0.00	1.04	100.0	0.00
^08/23/2016	MCDONALD, MARY	COHEN & STEERS INTERNATIONAL REALTY	0.00	1.09	0.00	1.09	100.0	0.00
^09/27/2016	MCDONALD, MARY	COHEN & STEERS INTERNATIONAL REALTY	0.00	1.13	0.00	1.13	100.0	0.00
^10/21/2016	MCDONALD, MARY	COHEN & STEERS INTERNATIONAL REALTY	0.00	1.08	0.00	1.08	100.0	0.00
^11/23/2016	MCDONALD, MARY	COHEN & STEERS INTERNATIONAL REALTY	0.00	1.07	0.00	1.07	100.0	0.00
^12/21/2016	MCDONALD, MARY	COHEN & STEERS INTERNATIONAL REALTY	0.00	1.00	0.00	1.00	100.0	0.00
^02/10/2016	ROBERTSON, BARBARA	FEDERATED KAUFMANN SMALL CAP A	0.00	4.08	0.00	4.08	100.0	0.00
^03/15/2016	ROBERTSON, BARBARA	FEDERATED KAUFMANN SMALL CAP A	0.00	3.44	0.00	3.44	100.0	0.00
^04/20/2016	ROBERTSON, BARBARA	FEDERATED KAUFMANN SMALL CAP A	0.00	3.96	0.00	3.96	100.0	0.00
^05/16/2016	ROBERTSON, BARBARA	FEDERATED KAUFMANN SMALL CAP A	0.00	4.05	0.00	4.05	100.0	0.00
^06/15/2016	ROBERTSON, BARBARA	FEDERATED KAUFMANN SMALL CAP A	0.00	4.13	0.00	4.13	100.0	0.00
^07/19/2016	ROBERTSON, BARBARA	FEDERATED KAUFMANN SMALL CAP A	0.00	4.20	0.00	4.20	100.0	0.00
^08/12/2016	ROBERTSON, BARBARA	FEDERATED KAUFMANN SMALL CAP A	0.00	4.58	0.00	4.58	100.0	0.00
^09/16/2016	ROBERTSON, BARBARA	FEDERATED KAUFMANN SMALL CAP A	0.00	4.77	0.00	4.77	100.0	0.00
^10/21/2016	ROBERTSON, BARBARA	FEDERATED KAUFMANN SMALL CAP A	0.00	4.69	0.00	4.69	100.0	0.00
^11/21/2016	ROBERTSON, BARBARA	FEDERATED KAUFMANN SMALL CAP A	0.00	1.43	0.00	1.43	100.0	0.00
^02/19/2016	THEIN, CHRISTINE	JH GREATER CHINA OPP A	0.00	1.99	0.00	1.99	100.0	0.00
^03/18/2016	THEIN, CHRISTINE	JH GREATER CHINA OPP A	0.00	1.82	0.00	1.82	100.0	0.00
^04/15/2016	THEIN, CHRISTINE	JH GREATER CHINA OPP A	0.00	2.09	0.00	2.09	100.0	0.00
^05/23/2016	THEIN, CHRISTINE	JH GREATER CHINA OPP A	0.00	2.09	0.00	2.09	100.0	0.00
^06/27/2016	THEIN, CHRISTINE	JH GREATER CHINA OPP A	0.00	2.07	0.00	2.07	100.0	0.00
^07/15/2016	THEIN, CHRISTINE	JH GREATER CHINA OPP A	0.00	2.07	0.00	2.07	100.0	0.00
^08/16/2016	THEIN, CHRISTINE	JH GREATER CHINA OPP A	0.00	2.24	0.00	2.24	100.0	0.00
^09/16/2016	THEIN, CHRISTINE	JH GREATER CHINA OPP A	0.00	2.38	0.00	2.38	100.0	0.00
^10/24/2016	THEIN, CHRISTINE	JH GREATER CHINA OPP A	0.00	2.39	0.00	2.39	100.0	0.00
^11/18/2016	THEIN, CHRISTINE	JH GREATER CHINA OPP A	0.00	2.48	0.00	2.48	100.0	0.00
^12/16/2016	THEIN, CHRISTINE	JH GREATER CHINA OPP A	0.00	2.26	0.00	2.26	100.0	0.00
^02/19/2016	COHEN, JOYCE	JH GREATER CHINA OPP C	0.00	6.63	0.00	6.63	100.0	0.00
^03/18/2016	COHEN, JOYCE	JH GREATER CHINA OPP C	0.00	6.05	0.00	6.05	100.0	0.00
^04/15/2016	COHEN, JOYCE	JH GREATER CHINA OPP C	0.00	6.98	0.00	6.98	100.0	0.00
^05/23/2016	COHEN, JOYCE	JH GREATER CHINA OPP C	0.00	6.95	0.00	6.95	100.0	0.00
^06/27/2016	COHEN, JOYCE	JH GREATER CHINA OPP C	0.00	6.89	0.00	6.89	100.0	0.00
^07/15/2016	COHEN, JOYCE	JH GREATER CHINA OPP C	0.00	6.89	0.00	6.89	100.0	0.00

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

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

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

DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
^08/16/2016	COHEN, JOYCE	JH GREATER CHINA OPP C	0.00	7.44	0.00	7.44	100.0	0.00
^09/16/2016	COHEN, JOYCE	JH GREATER CHINA OPP C	0.00	7.90	0.00	7.90	100.0	0.00
^10/24/2016	COHEN, JOYCE	JH GREATER CHINA OPP C	0.00	7.94	0.00	7.94	100.0	0.00
^11/18/2016	COHEN, JOYCE	JH GREATER CHINA OPP C	0.00	8.22	0.00	8.22	100.0	0.00
^12/16/2016	COHEN, JOYCE	JH GREATER CHINA OPP C	0.00	7.51	0.00	7.51	100.0	0.00
^02/11/2016	ROBERTSON, BARBARA	RYDEX BIOTECHNOLOGY C	0.00	25.25	0.00	25.25	100.0	0.00
^03/11/2016	ROBERTSON, BARBARA	RYDEX BIOTECHNOLOGY C	0.00	20.66	0.00	20.66	100.0	0.00
^04/29/2016	ROBERTSON, BARBARA	RYDEX BIOTECHNOLOGY C	0.00	22.33	0.00	22.33	100.0	0.00
^05/10/2016	ROBERTSON, BARBARA	RYDEX BIOTECHNOLOGY C	0.00	23.22	0.00	23.22	100.0	0.00
^06/15/2016	ROBERTSON, BARBARA	RYDEX BIOTECHNOLOGY C	0.00	23.00	0.00	23.00	100.0	0.00
^07/15/2016	ROBERTSON, BARBARA	RYDEX BIOTECHNOLOGY C	0.00	22.41	0.00	22.41	100.0	0.00
^08/10/2016	ROBERTSON, BARBARA	RYDEX BIOTECHNOLOGY C	0.00	24.10	0.00	24.10	100.0	0.00
^09/19/2016	ROBERTSON, BARBARA	RYDEX BIOTECHNOLOGY C	0.00	25.55	0.00	25.55	100.0	0.00
^10/18/2016	ROBERTSON, BARBARA	RYDEX BIOTECHNOLOGY C	0.00	24.70	0.00	24.70	100.0	0.00
^11/15/2016	ROBERTSON, BARBARA	RYDEX BIOTECHNOLOGY C	0.00	1.65	0.00	1.65	100.0	0.00
^02/11/2016	ROBERTSON, BARBARA	RYDEX GUGG U.S. LONG SHORT MOMENTUM	0.00	19.33	0.00	19.33	100.0	0.00
^02/11/2016	MCKEE, MARY L KLANCHNI	RYDEX GUGG U.S. LONG SHORT MOMENTUM	0.00	1.86	0.00	1.86	100.0	0.00
^03/11/2016	ROBERTSON, BARBARA	RYDEX GUGG U.S. LONG SHORT MOMENTUM	0.00	17.64	0.00	17.64	100.0	0.00
^03/11/2016	MCKEE, MARY L KLANCHNI	RYDEX GUGG U.S. LONG SHORT MOMENTUM	0.00	1.70	0.00	1.70	100.0	0.00
^04/29/2016	ROBERTSON, BARBARA	RYDEX GUGG U.S. LONG SHORT MOMENTUM	0.00	19.16	0.00	19.16	100.0	0.00
^04/29/2016	MCKEE, MARY L KLANCHNI	RYDEX GUGG U.S. LONG SHORT MOMENTUM	0.00	1.85	0.00	1.85	100.0	0.00
^05/10/2016	ROBERTSON, BARBARA	RYDEX GUGG U.S. LONG SHORT MOMENTUM	0.00	18.64	0.00	18.64	100.0	0.00
^05/10/2016	MCKEE, MARY L KLANCHNI	RYDEX GUGG U.S. LONG SHORT MOMENTUM	0.00	1.80	0.00	1.80	100.0	0.00
^06/15/2016	ROBERTSON, BARBARA	RYDEX GUGG U.S. LONG SHORT MOMENTUM	0.00	19.32	0.00	19.32	100.0	0.00
^06/15/2016	MCKEE, MARY L KLANCHNI	RYDEX GUGG U.S. LONG SHORT MOMENTUM	0.00	1.87	0.00	1.87	100.0	0.00
^07/15/2016	ROBERTSON, BARBARA	RYDEX GUGG U.S. LONG SHORT MOMENTUM	0.00	18.86	0.00	18.86	100.0	0.00
^07/15/2016	MCKEE, MARY L KLANCHNI	RYDEX GUGG U.S. LONG SHORT MOMENTUM	0.00	1.82	0.00	1.82	100.0	0.00
^08/10/2016	ROBERTSON, BARBARA	RYDEX GUGG U.S. LONG SHORT MOMENTUM	0.00	19.77	0.00	19.77	100.0	0.00
^08/10/2016	MCKEE, MARY L KLANCHNI	RYDEX GUGG U.S. LONG SHORT MOMENTUM	0.00	1.91	0.00	1.91	100.0	0.00
^09/19/2016	ROBERTSON, BARBARA	RYDEX GUGG U.S. LONG SHORT MOMENTUM	0.00	19.73	0.00	19.73	100.0	0.00
^09/19/2016	MCKEE, MARY L KLANCHNI	RYDEX GUGG U.S. LONG SHORT MOMENTUM	0.00	1.91	0.00	1.91	100.0	0.00
^10/18/2016	ROBERTSON, BARBARA	RYDEX GUGG U.S. LONG SHORT MOMENTUM	0.00	18.92	0.00	18.92	100.0	0.00
^10/18/2016	MCKEE, MARY L KLANCHNI	RYDEX GUGG U.S. LONG SHORT MOMENTUM	0.00	1.83	0.00	1.83	100.0	0.00

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

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

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

DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
^11/15/2016	ROBERTSON, BARBARA	RYDEX GUGG U.S. LONG SHORT MOMENTUM	0.00	1.26	0.00	1.26	100.0	0.00
^11/15/2016	MCKEE, MARY L KLANCHNI	RYDEX GUGG U.S. LONG SHORT MOMENTUM	0.00	1.86	0.00	1.86	100.0	0.00
^12/14/2016	MCKEE, MARY L KLANCHNI	RYDEX GUGG U.S. LONG SHORT MOMENTUM	0.00	1.82	0.00	1.82	100.0	0.00
^04/12/2016	BRADY, JEANNE	WILLISTON BASIN/MID- NORTH AMERICA	0.00	1.22	0.00	1.22	100.0	0.00
^04/12/2016	COHEN, JOEL	WILLISTON BASIN/MID- NORTH AMERICA	0.00	8.62	0.00	8.62	100.0	0.00
^04/12/2016	MCDONALD, MARY	WILLISTON BASIN/MID- NORTH AMERICA	0.00	4.45	0.00	4.45	100.0	0.00
^07/13/2016	COHEN, JOEL	WILLISTON BASIN/MID- NORTH AMERICA	0.00	10.11	0.00	10.11	100.0	0.00
^07/13/2016	MCDONALD, MARY	WILLISTON BASIN/MID- NORTH AMERICA	0.00	5.22	0.00	5.22	100.0	0.00
^10/11/2016	COHEN, JOEL	WILLISTON BASIN/MID- NORTH AMERICA	0.00	11.00	0.00	11.00	100.0	0.00
^10/11/2016	MCDONALD, MARY	WILLISTON BASIN/MID- NORTH AMERICA	0.00	5.68	0.00	5.68	100.0	0.00
* MUTUAL FUND 12B1 TRAILS SUBTOTAL *			\$0.00	\$1,199.71	\$0.00	\$1,199.71		\$0.00
*** DIRECT TRANSACTIONS TOTAL ***			\$200.00	\$1,201.71	\$0.00	\$1,201.71		\$0.00

BROKER COMMISSION TOTALS

Broker Transactions	\$0.00
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

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

Balance Forward	\$0.00
Year-to-date Gross	\$0.00
Year-to-date Earnings	\$0.00

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

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

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