



Concorde Investment Services, LLC

09/13/2017
Page No. 1

COMMISSION STATEMENT **September 15, 2017**

MARC LINSKY
104 B. Centre Blvd

Marlton, NJ 08053

BROKER #: L134
BRANCH: E STREET FINANCIAL L

DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>BROKER TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: INTERVAL FUNDS</u>								
08/03/2017	KIM, CHUNG	GRIFFIN INST'L ACCESS R E FUND C	-2,482.25	22.00	0.00	22.00	90.0	19.80
08/25/2017	CHERRY, ADAM	GRIFFIN INST'L ACCESS R E FUND C	100,003.20	1,000.03	0.00	1,000.03	90.0	900.03
08/29/2017	ROSENBLUM, LUCILLE	GRIFFIN INST'L ACCESS R E FUND C	25,025.13	0.00	0.00	0.00	90.0	0.00
08/29/2017	ROSENBLUM, LUCILLE	GRIFFIN INST'L ACCESS R E FUND C	25,025.13	250.25	0.00	250.25	90.0	225.23
09/08/2017	KRAMER, LARRY	GRIFFIN INST'L ACCESS R E FUND C	28,005.26	280.05	0.00	280.05	90.0	252.05
* INTERVAL FUNDS SUBTOTAL *			\$175,576.47	\$1,552.33	\$0.00	\$1,552.33		\$1,397.11
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
09/01/2017	CHERRY, ADAM	AM FUNDS AMERICAN MUTUAL 529C	1,000.00	10.00	0.00	10.00	90.0	9.00
09/01/2017	WALENCZYK, BRENDA	AM FUNDS CAPITAL WORLD GRTH & INC 5	400.00	17.00	0.00	17.00	90.0	15.30
09/01/2017	BENFER, ANDREW	AM FUNDS FUNDAMENTAL INVESTORS A	225.00	11.25	0.00	11.25	90.0	10.13
09/01/2017	WALENCZYK, BRENDA	AM FUNDS WASHINGTON MUTUAL INVESTOR	400.00	17.00	0.00	17.00	90.0	15.30
08/29/2017	MEDIA ENTERPRISES	LORD ABBETT FUNDAMENTAL EQUITY A	4,197.80	136.43	22.00	114.43	90.0	102.99
08/29/2017	MEDIA ENTERPRISES	LORD ABBETT FUNDAMENTAL EQUITY A	3,002.40	97.58	22.00	75.58	90.0	68.02
08/29/2017	MEDIA ENTERPRISES	LORD ABBETT SHORT DURATION INCOME A	3,002.19	45.03	22.00	23.03	90.0	20.73
09/07/2017	CHERRY, AYDEN	TURNER MIDCAP GROWTH FUND INVESTOR	-3,843.78	0.00	0.00	0.00	90.0	0.00
/ /	GOLDBERG, SCOTT	WVA AGE-BASED PORTFOLIO 18+ A	0.00	4.64	0.00	4.64	90.0	4.18
/ /	GOLDBERG, SCOTT	WVA AGE-BASED PORTFOLIO 18+ A	0.00	0.44	0.00	0.44	90.0	0.40
08/28/2017	GOLDBERG, SCOTT	WVA AGE-BASED PORTFOLIO 18+ A	300.00	7.50	0.00	7.50	90.0	6.75
08/28/2017	GOLDBERG, SCOTT	WVA AGE-BASED PORTFOLIO 18+ A	150.00	3.75	0.00	3.75	90.0	3.38
/ /	GOLDBERG, SCOTT	WVA AGED-BASED PORTFOLIO 9-13 A	0.00	6.98	0.00	6.98	90.0	6.28
08/28/2017	GOLDBERG, SCOTT	WVA AGED-BASED PORTFOLIO 9-13 A	200.00	5.00	0.00	5.00	90.0	4.50
* MUTUAL FUNDS SUBTOTAL *			\$9,033.61	\$362.60	\$66.00	\$296.60		\$266.96
<u>PRODUCT CATEGORY: STOCKS</u>								
08/29/2017	KRAMER, LARRY	SELECT INCOME REIT COM SH BEN INT	-19,311.43	30.00	23.28	6.72	90.0	6.05
* STOCKS SUBTOTAL *			\$-19,311.43	\$30.00	\$23.28	\$6.72		\$6.05

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<u>BROKER TRANSACTIONS</u>								
PRODUCT CATEGORY: VARIABLE ANNUITIES								
08/31/2017	BONESKI, MARGUERITE	JNL PERSPECTIVE II 05/05	259,259.05	216.05	0.00	216.05	90.0	194.45
08/31/2017	TROMBINO, CONSTANCE	JNL PERSPECTIVE L	265,503.80	221.25	0.00	221.25	90.0	199.13
08/31/2017	NANI, JOSEPH	JNL PERSPECTIVE L	408,064.44	340.05	0.00	340.05	90.0	306.05
08/31/2017	FELDNER, BARBARA	JNL PERSPECTIVE L	509,774.84	424.81	0.00	424.81	90.0	382.33
08/31/2017	STERR, CHRISTOPHER	JNL PERSPECTIVE L	105,803.17	88.17	0.00	88.17	90.0	79.35
08/31/2017	OTT, CAROL	JOHN HANCOCK VENTURE	14,034.24	2.92	0.00	2.92	90.0	2.63
08/31/2017	CAMPBELL, BARBARA	JOHN HANCOCK VENTURE III	208,983.82	174.15	0.00	174.15	90.0	156.74
09/01/2017	PISANI, NICHOLAS	LFG LNCTV679U	250.00	10.00	0.00	10.00	90.0	9.00
09/01/2017	PISANI, CARLA	LFG LNDEV679U	541.00	25.70	0.00	25.70	90.0	23.13
09/05/2017	CARROLLTON, DONNA	METLIFE SHIELD LEVEL SELECT 6 YR	50,000.00	3,000.00	0.00	3,000.00	90.0	2,700.00
08/28/2017	MEDIA ENTERPRISES	PAC LIFE INNOVATIVE SELECT	0.00	147.24	0.00	147.24	90.0	132.52
08/24/2017	GALEMAN, ALAN	TRANSAMERICA LIBERTY	115,822.09	96.52	0.00	96.52	90.0	86.87
* VARIABLE ANNUITIES SUBTOTAL *			\$1,938,036.45	\$4,746.86	\$0.00	\$4,746.86		\$4,272.20

PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS

08/08/2017	CENTANNI, RICHARD	ALLIANCEBERNSTEIN SMALL/MID CAP VAL	0.00	0.85	0.00	0.85	90.0	0.77
08/08/2017	TRICHON, DONNA-LYNN	ALLIANCEBERNSTEIN SMALL/MID-CAP GRW	0.00	11.86	0.00	11.86	90.0	10.67
08/17/2017	CHIECO, DANIEL	AM CENT EQUITY INCOME	0.00	3.88	0.00	3.88	90.0	3.49
08/15/2017	MEDIA ENTERPRISES	AM FUNDS AMCAP A	0.00	3.70	0.00	3.70	90.0	3.33
08/15/2017	GREENWELL, MARION	AM FUNDS AMCAP C	0.00	7.78	0.00	7.78	90.0	7.00
08/15/2017	BERK, SHERRI	AM FUNDS AMERICAN BALANCED A	0.00	0.18	0.00	0.18	90.0	0.16
08/15/2017	MELVIN, MARY THOMPSON	AM FUNDS AMERICAN BALANCED A	0.00	1.76	0.00	1.76	90.0	1.58
08/15/2017	TAYLOR, THOMAS	AM FUNDS AMERICAN BALANCED A	0.00	0.47	0.00	0.47	90.0	0.42
08/15/2017	TAYLOR, DIANE	AM FUNDS AMERICAN BALANCED A	0.00	0.47	0.00	0.47	90.0	0.42
08/15/2017	APPLEGATE, PAMAELA	AM FUNDS AMERICAN BALANCED A	0.00	0.97	0.00	0.97	90.0	0.87
08/15/2017	RIZZO, DIANE	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.97	0.00	0.97	90.0	0.87
08/15/2017	APPLEGATE, PAMAELA	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.80	0.00	0.80	90.0	0.72
08/15/2017	LINSKY, LISA	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	3.71	0.00	3.71	90.0	3.34
08/15/2017	MEDIA ENTERPRISES	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	2.96	0.00	2.96	90.0	2.66
08/15/2017	RIZZO, DIANE	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	1.40	0.00	1.40	90.0	1.26
08/15/2017	MELVIN, GREG	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.70	0.00	0.70	90.0	0.63
08/15/2017	POLLAN, JACLYN	AM FUNDS CAPITAL WORLD GRTH & INC C	0.00	2.70	0.00	2.70	90.0	2.43
08/15/2017	FLEISCH, ROBERT	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	14.03	0.00	14.03	90.0	12.63
08/15/2017	MELVIN, MARY THOMPSON	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	1.49	0.00	1.49	90.0	1.34

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<u>BROKER TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
08/15/2017	CHERRY, AYDEN	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.86	0.00	0.86	90.0	0.77
08/15/2017	LINSKY, LISA	AM FUNDS GROWTH FUND OF AMERICA A	0.00	4.41	0.00	4.41	90.0	3.97
08/15/2017	RIZZO, DIANE	AM FUNDS GROWTH FUND OF AMERICA A	0.00	1.59	0.00	1.59	90.0	1.43
08/15/2017	OLIVETI, FRANK	AM FUNDS GROWTH FUND OF AMERICA A	0.00	6.03	0.00	6.03	90.0	5.43
08/15/2017	BERK, SHERRI	AM FUNDS GROWTH FUND OF AMERICA A	0.00	4.32	0.00	4.32	90.0	3.89
08/15/2017	PERETTI, TERESA	AM FUNDS GROWTH FUND OF AMERICA A	0.00	1.73	0.00	1.73	90.0	1.56
08/15/2017	CENTANNI, BETTY	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.37	0.00	0.37	90.0	0.33
08/15/2017	CENTANNI, RICHARD	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.92	0.00	0.92	90.0	0.83
08/15/2017	AYES, NICOLE	AM FUNDS GROWTH FUND OF AMERICA A	0.00	1.35	0.00	1.35	90.0	1.22
08/15/2017	NATHAN, EDWARD	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.63	0.00	0.63	90.0	0.57
08/15/2017	NATHAN, EDWARD	AM FUNDS GROWTH FUND OF AMERICA A	0.00	1.02	0.00	1.02	90.0	0.92
08/15/2017	NATHAN, SUSAN	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.62	0.00	0.62	90.0	0.56
08/15/2017	SPECTER, LINDSAY	AM FUNDS GROWTH FUND OF AMERICA C	0.00	2.61	0.00	2.61	90.0	2.35
08/15/2017	POLLAN, JACLYN	AM FUNDS GROWTH FUND OF AMERICA F1	0.00	2.55	0.00	2.55	90.0	2.30
08/15/2017	SPECTER, LINDSAY	AM FUNDS GROWTH FUND OF AMERICA F1	0.00	5.23	0.00	5.23	90.0	4.71
08/15/2017	SPECTER, SHELBY	AM FUNDS GROWTH FUND OF AMERICA F1	0.00	5.32	0.00	5.32	90.0	4.79
08/15/2017	RIZZO, DIANE	AM FUNDS ICA A	0.00	1.46	0.00	1.46	90.0	1.31
08/15/2017	FLEISCH, ROBERT	AM FUNDS ICA A	0.00	8.70	0.00	8.70	90.0	7.83
08/15/2017	NATHAN, EDWARD	AM FUNDS ICA A	0.00	0.55	0.00	0.55	90.0	0.50
08/15/2017	NATHAN, EDWARD	AM FUNDS ICA A	0.00	0.90	0.00	0.90	90.0	0.81
08/15/2017	NATHAN, SUSAN	AM FUNDS ICA A	0.00	0.55	0.00	0.55	90.0	0.50
08/15/2017	TAYLOR, THOMAS	AM FUNDS ICA A	0.00	0.56	0.00	0.56	90.0	0.50
08/15/2017	TAYLOR, DIANE	AM FUNDS ICA A	0.00	0.56	0.00	0.56	90.0	0.50
08/15/2017	APPLEGATE, PAMAELE	AM FUNDS ICA A	0.00	0.97	0.00	0.97	90.0	0.87
08/15/2017	SPECTER, SHELBY	AM FUNDS ICA C	0.00	5.24	0.00	5.24	90.0	4.72
08/15/2017	SPECTER TRUST, STEPHANIE	AM FUNDS ICA F1	0.00	12.22	0.00	12.22	90.0	11.00
08/15/2017	SPECTER, LINDSAY	AM FUNDS ICA F1	0.00	4.74	0.00	4.74	90.0	4.27
08/15/2017	SPECTER, SHELBY	AM FUNDS ICA F1	0.00	4.54	0.00	4.54	90.0	4.09
08/15/2017	GARAFOLA, MICHAEL	AM FUNDS INCOME FUND OF AMERICA A	0.00	5.11	0.00	5.11	90.0	4.60
08/15/2017	GARAFOLA, GRACE	AM FUNDS INCOME FUND OF AMERICA A	0.00	4.25	0.00	4.25	90.0	3.83
08/15/2017	GARAFOLA, MICHAEL	AM FUNDS INCOME FUND OF AMERICA A	0.00	20.60	0.00	20.60	90.0	18.54
08/15/2017	MEDIA ENTERPRISES	AM FUNDS INCOME FUND OF AMERICA A	0.00	3.03	0.00	3.03	90.0	2.73
08/15/2017	TAYLOR, THOMAS	AM FUNDS NEW PERSPECTIVE A	0.00	0.74	0.00	0.74	90.0	0.67

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<u>BROKER TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
08/15/2017	TAYLOR, DIANE	AM FUNDS NEW PERSPECTIVE A	0.00	0.74	0.00	0.74	90.0	0.67
08/15/2017	APPLEGATE, PAMAEALA	AM FUNDS NEW PERSPECTIVE A	0.00	1.05	0.00	1.05	90.0	0.95
08/15/2017	MELVIN, MARY THOMPSON	AM FUNDS SMALLCAP WORLD A	0.00	1.68	0.00	1.68	90.0	1.51
08/15/2017	OLIVETI, FRANK	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	5.51	0.00	5.51	90.0	4.96
08/15/2017	PERETTI, TERESA	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	1.39	0.00	1.39	90.0	1.25
08/15/2017	COHEN, PAUL	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	3.14	0.00	3.14	90.0	2.83
08/15/2017	NATHAN, EDWARD	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.54	0.00	0.54	90.0	0.49
08/15/2017	NATHAN, EDWARD	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.89	0.00	0.89	90.0	0.80
08/15/2017	NATHAN, SUSAN	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.54	0.00	0.54	90.0	0.49
08/17/2017	O'DONNELL, PATRICIA	AMERICAN CENTURY STRATEGIC ALLOC MO	0.00	3.68	0.00	3.68	90.0	3.31
08/25/2017	PLEVAK, MICHAEL	BLACKROCK EQUITY DIVIDEND FUND CL C	0.00	17.67	0.00	17.67	90.0	15.90
08/18/2017	PERETTI, TERESA	CALAMOS GROWTH A	0.00	1.41	0.00	1.41	90.0	1.27
08/18/2017	DUBIN, JON	CALAMOS GROWTH A	0.00	4.44	0.00	4.44	90.0	4.00
08/17/2017	MEDIA ENTERPRISES	COLUMBIA ACORN A	0.00	1.02	0.00	1.02	90.0	0.92
08/17/2017	FLEISCH, ROBERT	COLUMBIA ACORN A	0.00	14.75	0.00	14.75	90.0	13.28
08/17/2017	FLEISCH, ROBERT	COLUMBIA ACORN SELECT A	0.00	7.61	0.00	7.61	90.0	6.85
08/17/2017	MEDIA ENTERPRISES	COLUMBIA ACORN USA FUND CLASS A	0.00	2.70	0.00	2.70	90.0	2.43
08/17/2017	BOWERS, DORA	COLUMBIA DIVERSIFIED EQUITY INCOME	0.00	1.13	0.00	1.13	90.0	1.02
08/17/2017	MEDIA ENTERPRISES	COLUMBIA EQUITY VALUE A	0.00	0.29	0.00	0.29	90.0	0.26
08/17/2017	MEDIA ENTERPRISES	COLUMBIA LARGE CAP GROWTH A	0.00	0.32	0.00	0.32	90.0	0.29
08/17/2017	MELVIN, GREG	COLUMBIA MARSICO FOCUSED EQUITIES F	0.00	0.91	0.00	0.91	90.0	0.82
08/17/2017	MEDIA ENTERPRISES	COLUMBIA MIDCAP VALUE A	0.00	2.39	0.00	2.39	90.0	2.15
08/17/2017	BOWERS, DORA	COLUMBIA SELECT LARGE CAP GROWTH FU	0.00	1.06	0.00	1.06	90.0	0.95
08/17/2017	FLEISCH, ROBERT	COLUMBIA SMALL CAP INDEX FUND CLASS	0.00	11.15	0.00	11.15	90.0	10.04
08/17/2017	BOWERS, DORA	COLUMBIA SMALL CAP VALUE FUND II CL	0.00	0.19	0.00	0.19	90.0	0.17
08/17/2017	FLEISCH, ROBERT	COLUMBIA STRATEGIC INCOME A	0.00	2.42	0.00	2.42	90.0	2.18
08/14/2017	CENTANNI, BETTY	DAVIS NEW YORK VENTURE A	0.00	0.40	0.00	0.40	90.0	0.36
08/14/2017	CENTANNI, RICHARD	DAVIS NEW YORK VENTURE A	0.00	0.74	0.00	0.74	90.0	0.67
08/17/2017	GUERRIERI, CHARLES	DREYFUS CORE EQUITY FUND CLASS A	0.00	3.21	0.00	3.21	90.0	2.89
08/17/2017	GUERRIERI, CHARLES	DREYFUS HIGH YIELD FUND CLASS C	0.00	0.01	0.00	0.01	90.0	0.01
08/17/2017	COHEN, HARRIET	DREYFUS NEW JERSEY MUNICIPAL BOND F	0.00	63.14	0.00	63.14	90.0	56.83
08/17/2017	BOWERS, DORA	EATON VANCE LARGE-CAP VALUE FUND CL	0.00	0.75	0.00	0.75	90.0	0.68
08/17/2017	HANKINS, ROBERT	FEDERATED HIGH INCOME BOND FUND INC	0.00	1.14	0.00	1.14	90.0	1.03

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<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
08/17/2017	CENTANNI, BETTY	FEDERATED KAUFMANN FUND A	0.00	0.33	0.00	0.33	90.0	0.30
08/17/2017	FLEISCH, ROBERT	FIDELITY ADV FLOATING RATE HIGH INC	0.00	7.83	0.00	7.83	90.0	7.05
08/17/2017	FLEISCH, ROBERT	FIDELITY ADV STRATEGIC INCOME A	0.00	8.83	0.00	8.83	90.0	7.95
08/17/2017	CENTANNI, BETTY	FIDELITY ADV STRATEGIC INCOME C	0.00	1.54	0.00	1.54	90.0	1.39
08/17/2017	CENTANNI, RICHARD	FIDELITY ADV STRATEGIC INCOME C	0.00	6.04	0.00	6.04	90.0	5.44
08/17/2017	BOWERS, DORA	FIDELITY ADVISOR MID CAP II FUND CL	0.00	0.28	0.00	0.28	90.0	0.25
08/17/2017	BEYERLE, PATRICIA	FIDELITY MIDCAP II T	0.00	2.79	0.00	2.79	90.0	2.51
08/14/2017	FLEISCH, ROBERT	FRANKLIN DYNATECH A	0.00	13.87	0.00	13.87	90.0	12.48
08/14/2017	FLEISCH, ROBERT	FRANKLIN GOLD & PRECIOUS METALS A	0.00	3.26	0.00	3.26	90.0	2.93
08/14/2017	HASTINGS TURST, OSCAR	FRANKLIN INCOME A	0.00	1.16	0.00	1.16	90.0	1.04
08/14/2017	FLEISCHMAN, RITA	FRANKLIN INCOME A	0.00	5.42	0.00	5.42	90.0	4.88
08/14/2017	COBB, DOROTHY	FRANKLIN INCOME A	0.00	0.80	0.00	0.80	90.0	0.72
08/14/2017	CENTANNI, RICHARD	FRANKLIN MUTUAL GLOBAL DISCOVERY A	0.00	0.58	0.00	0.58	90.0	0.52
08/14/2017	GREENWELL, MARION	FRNKLN FLOATING RATE DLY ACCESS FND	0.00	2.83	0.00	2.83	90.0	2.55
08/21/2017	BOWERS, STEVEN	GOLDMAN SACHS CAPITAL GROWTH FUND C	0.00	15.45	0.00	15.45	90.0	13.91
08/21/2017	CHERRY, ANDREW	GOLDMAN SACHS GROWTH OPPORT FD CLAS	0.00	5.75	0.00	5.75	90.0	5.18
08/21/2017	CHERRY, ANDREW	GOLDMAN SACHS GROWTH OPPORT FD CLAS	0.00	2.95	0.00	2.95	90.0	2.66
08/21/2017	BOWERS, DORA	GOLDMAN SACHS MID CAP VALUE FD CLAS	0.00	0.26	0.00	0.26	90.0	0.23
08/21/2017	PARSONS, MICHELLE	GOLDMAN SACHS U.S. EQUITY INSIGHTS	0.00	0.61	0.00	0.61	90.0	0.55
08/16/2017	KLEIN, HOWARD	GRIFFIN INST'L ACCESS R E FUND C	0.00	44.43	0.00	44.43	90.0	39.99
08/16/2017	KLEIN, HOWARD	GRIFFIN INST'L ACCESS R E FUND C	0.00	133.28	0.00	133.28	90.0	119.95
08/16/2017	ROESKE, CHARLES	GRIFFIN INSTITUTIONAL ACCESS REAL E	0.00	4.30	0.00	4.30	90.0	3.87
08/16/2017	ROESKE, CHARLES	GRIFFIN INSTITUTIONAL ACCESS REAL E	0.00	6.08	0.00	6.08	90.0	5.47
08/16/2017	LEVY, RONI	GRIFFIN INSTITUTIONAL ACCESS REAL E	0.00	5.11	0.00	5.11	90.0	4.60
08/18/2017	SPECTER TRUST, STEPHANIE	GUGGENHEIM INVERSE GOVT LONG BOND C	0.00	12.81	0.00	12.81	90.0	11.53
08/18/2017	HALL, GLORIA	GUGGENHEIM INVERSE GOVT LONG BOND C	0.00	5.46	0.00	5.46	90.0	4.91
08/18/2017	LINSKY, MARC	GUGGENHEIM INVERSE GOVT LONG BOND C	0.00	4.35	0.00	4.35	90.0	3.92
08/16/2017	LINSKY, LISA	HARTFORD CAPITAL APPRECIATION A	0.00	3.73	0.00	3.73	90.0	3.36
08/16/2017	SPECTER TRUST, STEPHANIE	HARTFORD CAPITAL APPRECIATION C	0.00	85.23	0.00	85.23	90.0	76.71
08/16/2017	MEDIA ENTERPRISES	HARTFORD CAPITAL APPRECIATION C	0.00	41.00	0.00	41.00	90.0	36.90
08/16/2017	PERETTI JR, ANTHONY	HARTFORD CAPITAL APPRECIATION C	0.00	35.25	0.00	35.25	90.0	31.73
08/16/2017	KLEIN, HOWARD	HARTFORD CAPITAL APPRECIATION C	0.00	447.97	0.00	447.97	90.0	403.17
08/16/2017	CAMARDO, DONNA	HARTFORD CAPITAL APPRECIATION C	0.00	11.27	0.00	11.27	90.0	10.14

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>BROKER TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
08/16/2017	GODLBERG, SHARON	HARTFORD CAPITAL APPRECIATION C	0.00	7.34	0.00	7.34	90.0	6.61
08/16/2017	BALZANO, AUGUSTUS	HARTFORD CAPITAL APPRECIATION C	0.00	7.83	0.00	7.83	90.0	7.05
08/16/2017	SPECTER, LINDSAY	HARTFORD CAPITAL APPRECIATION C	0.00	33.15	0.00	33.15	90.0	29.84
08/16/2017	SPECTER, SHELBY	HARTFORD CAPITAL APPRECIATION C	0.00	30.94	0.00	30.94	90.0	27.85
08/16/2017	HARRIS, MORGAN	HARTFORD CAPITAL APPRECIATION C	0.00	11.27	0.00	11.27	90.0	10.14
08/16/2017	BUSLER, SCOTT	HARTFORD CAPITAL APPRECIATION C	0.00	9.25	0.00	9.25	90.0	8.33
08/16/2017	BUSLER, MARIANNE	HARTFORD CAPITAL APPRECIATION C	0.00	4.14	0.00	4.14	90.0	3.73
08/16/2017	OLIVETI, ANTHONY	HARTFORD CHECKS AND BALANCES FUND A	0.00	2.75	0.00	2.75	90.0	2.48
08/16/2017	OLIVETI, NICOLE	HARTFORD CHECKS AND BALANCES FUND A	0.00	2.75	0.00	2.75	90.0	2.48
08/16/2017	PISANI, NICHOLAS	HARTFORD CHECKS AND BALANCES FUND A	0.00	4.13	0.00	4.13	90.0	3.72
08/16/2017	SPECTER TRUST, STEPHANIE	HARTFORD DIVIDEND & GROWTH C	0.00	72.70	0.00	72.70	90.0	65.43
08/16/2017	MEDIA ENTERPRISES	HARTFORD DIVIDEND & GROWTH C	0.00	45.34	0.00	45.34	90.0	40.81
08/16/2017	CAMARDO, DONNA	HARTFORD DIVIDEND & GROWTH C	0.00	20.86	0.00	20.86	90.0	18.77
08/16/2017	BALZANO, AUGUSTUS	HARTFORD DIVIDEND & GROWTH C	0.00	14.33	0.00	14.33	90.0	12.90
08/16/2017	HARRIS, MORGAN	HARTFORD DIVIDEND & GROWTH C	0.00	20.87	0.00	20.87	90.0	18.78
08/16/2017	SANDERLIN, CATHERINE	HARTFORD DIVIDEND & GROWTH C	0.00	0.07	0.00	0.07	90.0	0.06
08/16/2017	WILSON, KEVIN	HARTFORD DIVIDEND & GROWTH C	0.00	0.01	0.00	0.01	90.0	0.01
08/16/2017	BUSLER, SCOTT	HARTFORD DIVIDEND & GROWTH C	0.00	16.72	0.00	16.72	90.0	15.05
08/16/2017	BUSLER, MARIANNE	HARTFORD DIVIDEND & GROWTH C	0.00	7.49	0.00	7.49	90.0	6.74
08/16/2017	CAMPAGNA, MARIE	HARTFORD FLOATING RATE C	0.00	11.06	0.00	11.06	90.0	9.95
08/16/2017	GODLBERG, SHARON	HARTFORD TOTAL RETURN BOND FUND C	0.00	4.30	0.00	4.30	90.0	3.87
08/02/2017	APPLEGATE, PAMAELA	HIGHLAND FLOATING RATE OPPORTUNITIE	0.00	0.27	0.00	0.27	90.0	0.24
08/01/2017	CHERRY, ANDREW	HOTCHKIS & WILEY SMALL-CAP VALUE FU	0.00	3.73	0.00	3.73	90.0	3.36
08/01/2017	CHERRY, ANDREW	HOTCHKIS & WILEY SMALL-CAP VALUE FU	0.00	3.73	0.00	3.73	90.0	3.36
08/31/2017	CHERRY, ANDREW	HOTCHKIS & WILEY SMALL-CAP VALUE FU	0.00	3.95	0.00	3.95	90.0	3.56
08/31/2017	CHERRY, ANDREW	HOTCHKIS & WILEY SMALL-CAP VALUE FU	0.00	3.95	0.00	3.95	90.0	3.56
08/17/2017	BOWERS, DORA	JANUS RESEARCH FUND CLASS A	0.00	1.07	0.00	1.07	90.0	0.96
08/18/2017	BOWERS, DORA	JN DISCIPLINED VALUE INT'L A	0.00	0.17	0.00	0.17	90.0	0.15
08/15/2017	CENTANNI, RICHARD	JP MORGAN MID CAP VALUE FUND CLASS	0.00	0.63	0.00	0.63	90.0	0.57
08/21/2017	MEDIA ENTERPRISES	LORD ABBETT BOND DEBENTURE A	0.00	3.01	0.00	3.01	90.0	2.71
08/21/2017	MEDIA ENTERPRISES	LORD ABBETT BOND DEBENTURE A	0.00	2.10	0.00	2.10	90.0	1.89
08/21/2017	LA CORTE, CYNTHIA	LORD ABBETT BOND DEBENTURE A	0.00	0.29	0.00	0.29	90.0	0.26
08/21/2017	DEBRIELLE-HEALEY, ELIZABETH	LORD ABBETT BOND DEBENTURE A	0.00	2.79	0.00	2.79	90.0	2.51

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<u>BROKER TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
08/21/2017	LAISO, MICHAEL	LORD ABBETT BOND DEBENTURE A	0.00	8.05	0.00	8.05	90.0	7.25
08/21/2017	STRAUS, KAREN	LORD ABBETT BOND DEBENTURE A	0.00	2.65	0.00	2.65	90.0	2.39
08/21/2017	CHERRY, ADAM	LORD ABBETT BOND DEBENTURE C	0.00	116.98	0.00	116.98	90.0	105.28
08/21/2017	HUDSON TRUST OF 2000, ROBERT	LORD ABBETT BOND DEBENTURE C	0.00	119.84	0.00	119.84	90.0	107.86
08/21/2017	YANKOWITZ, HARRIETT	LORD ABBETT BOND DEBENTURE C	0.00	28.80	0.00	28.80	90.0	25.92
08/21/2017	TOBIAS, DAVID	LORD ABBETT BOND DEBENTURE C	0.00	20.25	0.00	20.25	90.0	18.23
08/21/2017	LINSKY, LISA	LORD ABBETT FUNDAMENTAL EQUITY A	0.00	0.88	0.00	0.88	90.0	0.79
08/21/2017	MEDIA ENTERPRISES	LORD ABBETT FUNDAMENTAL EQUITY A	0.00	5.24	0.00	5.24	90.0	4.72
08/21/2017	MEDIA ENTERPRISES	LORD ABBETT FUNDAMENTAL EQUITY A	0.00	4.07	0.00	4.07	90.0	3.66
08/21/2017	TAROFF, DANIELLE	LORD ABBETT FUNDAMENTAL EQUITY CL C	0.00	11.10	0.00	11.10	90.0	9.99
08/21/2017	TAROFF, DANIELLE	LORD ABBETT FUNDAMENTAL EQUITY CL C	0.00	6.03	0.00	6.03	90.0	5.43
08/21/2017	OLIVETI, NICOLE	LORD ABBETT FUNDAMENTAL EQUITY CL C	0.00	6.30	0.00	6.30	90.0	5.67
08/21/2017	YANKOWITZ, HARRIETT	LORD ABBETT FUNDAMENTAL EQUITY CL C	0.00	15.66	0.00	15.66	90.0	14.09
08/21/2017	LIBERTY, SUSAN	LORD ABBETT FUNDAMENTAL EQUITY CL C	0.00	0.01	0.00	0.01	90.0	0.01
08/21/2017	DIECKERT, DEBRA	LORD ABBETT FUNDAMENTAL EQUITY CL C	0.00	3.16	0.00	3.16	90.0	2.84
08/21/2017	MEDIA ENTERPRISES	LORD ABBETT SHORT DURATION INCOME A	0.00	2.74	0.00	2.74	90.0	2.47
08/21/2017	MEDIA ENTERPRISES	LORD ABBETT SHORT DURATION INCOME A	0.00	1.88	0.00	1.88	90.0	1.69
08/21/2017	BOWERS, DORA	LORD ABBETT SHORT DURATION INCOME F	0.00	1.51	0.00	1.51	90.0	1.36
08/21/2017	BOWERS, DORA	LORD ABBETT SHORT DURATION INCOME F	0.00	20.41	0.00	20.41	90.0	18.37
08/21/2017	BOWERS, DORA	LORD ABBETT SHORT DURATION INCOME F	0.00	1.71	0.00	1.71	90.0	1.54
08/21/2017	BOWERS, STEVEN	LORD ABBETT SHORT DURATION INCOME F	0.00	2.76	0.00	2.76	90.0	2.48
08/21/2017	BOWERS, STEVEN	LORD ABBETT SHORT DURATION INCOME F	0.00	2.11	0.00	2.11	90.0	1.90
08/21/2017	CAMPAGNA, MARIE	LORD ABBETT SHORT DURATION INCOME F	0.00	9.76	0.00	9.76	90.0	8.78
08/21/2017	CHERRY, ADAM	LORD ABBETT SHORT DURATION INCOME F	0.00	99.01	0.00	99.01	90.0	89.11
08/21/2017	KRAMER, LESLIE	LORD ABBETT SHORT DURATION INCOME F	0.00	11.69	0.00	11.69	90.0	10.52
08/21/2017	DADINO, CAROLE	LORD ABBETT SHORT DURATION INCOME F	0.00	6.04	0.00	6.04	90.0	5.44
08/21/2017	BROSIUS JR, ARTHUR	LORD ABBETT SHORT DURATION INCOME F	0.00	6.41	0.00	6.41	90.0	5.77
08/21/2017	HARDING, LORETTA	LORD ABBETT SHORT DURATION INCOME F	0.00	13.01	0.00	13.01	90.0	11.71
08/21/2017	BUSLER, SCOTT	LORD ABBETT SHORT DURATION INCOME F	0.00	3.56	0.00	3.56	90.0	3.20
08/21/2017	BUSLER, SCOTT	LORD ABBETT SHORT DURATION INCOME F	0.00	2.11	0.00	2.11	90.0	1.90
08/17/2017	MURRY, YVONNE	MAINSTAY CUSHING MLP PREMIER FUND C	0.00	10.88	0.00	10.88	90.0	9.79
08/17/2017	FARBMAN, SANDRA	MAINSTAY CUSHING ROYALTY ENERGY INC	0.00	1.86	0.00	1.86	90.0	1.67
08/17/2017	FLEISCHMAN, RITA	MAINSTAY CUSHING ROYALTY ENERGY INC	0.00	2.78	0.00	2.78	90.0	2.50

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<u>BROKER TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
08/17/2017	PAGLIA, DIANA	MAINSTAY FLOATING RATE FUND CLASS A	0.00	0.49	0.00	0.49	90.0	0.44
08/17/2017	PAGLIA, DIANA	MAINSTAY HIGH YIELD CORP BOND A	0.00	1.22	0.00	1.22	90.0	1.10
08/17/2017	PAGLIA, DIANA	MAINSTAY LARGE CAP GROWTH FUND A	0.00	0.70	0.00	0.70	90.0	0.63
08/17/2017	KROSNOWSKI, THOMAS	MFS CORE EQUITY C	0.00	6.34	0.00	6.34	90.0	5.71
08/17/2017	KROSNOWSKI, THOMAS	MFS EMERGINF MARKETS EQUITY FUND C	0.00	15.20	0.00	15.20	90.0	13.68
08/17/2017	CAMPAGNA, MARIE	MFS EMERGING MKTS DEBT FUND C	0.00	8.10	0.00	8.10	90.0	7.29
08/17/2017	SPECTER TRUST, STEPHANIE	MFS GROWTH C	0.00	15.11	0.00	15.11	90.0	13.60
08/17/2017	KROSNOWSKI, THOMAS	MFS INTERNATIONAL VALUE FUND C	0.00	15.25	0.00	15.25	90.0	13.73
08/17/2017	BOWERS, DORA	MFS INTERNATIONAL VALUE FUND CLASS	0.00	0.68	0.00	0.68	90.0	0.61
08/17/2017	SPECTER TRUST, BRADLEY	MFS MID-CAP VALUE FUND CLASS C	0.00	9.38	0.00	9.38	90.0	8.44
08/17/2017	SPECTER TRUST, STEPHANIE	MFS MID-CAP VALUE FUND CLASS C	0.00	22.44	0.00	22.44	90.0	20.20
08/17/2017	SPECTER TRUST, BRADLEY	MFS MIDCAP GROWTH C	0.00	7.98	0.00	7.98	90.0	7.18
08/17/2017	SPECTER TRUST, STEPHANIE	MFS MIDCAP GROWTH C	0.00	18.81	0.00	18.81	90.0	16.93
08/17/2017	KROSNOWSKI, THOMAS	MFS MIDCAP GROWTH C	0.00	5.46	0.00	5.46	90.0	4.91
08/17/2017	KROSNOWSKI, THOMAS	MFS RESEARCH FUND-C	0.00	5.77	0.00	5.77	90.0	5.19
08/17/2017	SPECTER TRUST, STEPHANIE	MFS RESEARCH INTL C	0.00	26.55	0.00	26.55	90.0	23.90
08/17/2017	KROSNOWSKI, THOMAS	MFS TECHNOLOGY FUND-C	0.00	10.98	0.00	10.98	90.0	9.88
08/17/2017	SPECTER TRUST, BRADLEY	MFS VALUE C	0.00	9.30	0.00	9.30	90.0	8.37
08/17/2017	SPECTER TRUST, STEPHANIE	MFS VALUE C	0.00	14.47	0.00	14.47	90.0	13.02
08/21/2017	KROSNOWSKI, THOMAS	OPPENHEIMER DISCOVERY A	0.00	1.17	0.00	1.17	90.0	1.05
08/21/2017	KROSNOWSKI, THOMAS	OPPENHEIMER GLOBAL OPPORTUNITIES A	0.00	1.01	0.00	1.01	90.0	0.91
08/21/2017	KROSNOWSKI, THOMAS	OPPENHEIMER GOLD & SPECIAL MINERALS	0.00	0.41	0.00	0.41	90.0	0.37
08/21/2017	BOWERS, DORA	OPPENHEIMER INTL GROWTH A	0.00	0.60	0.00	0.60	90.0	0.54
08/21/2017	STERR, ERIN	OPPENHEIMER MAIN STREET A	0.00	2.39	0.00	2.39	90.0	2.15
08/21/2017	KROSNOWSKI, THOMAS	OPPENHEIMER MAIN STREET A	0.00	3.08	0.00	3.08	90.0	2.77
08/21/2017	PERETTI, DANIEL	OPPENHEIMER PORTFOLIO SERIES EQ INV	0.00	0.93	0.00	0.93	90.0	0.84
08/21/2017	PERETTI, DANIEL	OPPENHEIMER PORTFOLIO SERIRES: MOD	0.00	38.76	0.00	38.76	90.0	34.88
08/21/2017	CHERRY, LISA	OPPENHEIMER QUEST OPP VALUE A	0.00	2.68	0.00	2.68	90.0	2.41
08/21/2017	KROSNOWSKI, THOMAS	OPPENHEIMER QUEST OPP VALUE A	0.00	1.81	0.00	1.81	90.0	1.63
08/21/2017	CHERRY, ADAM	PAC LIFE FUNDS PRT OPT MOD	0.00	246.77	0.00	246.77	90.0	222.09
08/16/2017	TRICHON, DONNA-LYNN	PUTNAM GROWTH OPP A	0.00	12.83	0.00	12.83	90.0	11.55
08/16/2017	NIEMINEN, EUGENE	PUTNAM MULTI CAP GROWTH A	0.00	2.90	0.00	2.90	90.0	2.61
08/14/2017	SPECTER, BRADLEY	RESOURCE R E DIVERSIFIED INC FUND A	0.00	13.29	0.00	13.29	90.0	11.96

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<u>BROKER TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
08/14/2017	SPECTER, STEPHANIE	RESOURCE R E DIVERSIFIED INC FUND A	0.00	18.15	0.00	18.15	90.0	16.34
08/14/2017	TAROFF, MICHELLE	RESOURCE R E DIVERSIFIED INC FUND A	0.00	5.97	0.00	5.97	90.0	5.37
08/14/2017	KLEIN, HOWARD	RESOURCE REAL ESTATE DIVERSIFIED IN	0.00	45.39	0.00	45.39	90.0	40.85
08/14/2017	KLEIN, HOWARD	RESOURCE REAL ESTATE DIVERSIFIED IN	0.00	136.17	0.00	136.17	90.0	122.55
08/14/2017	FLEISCH, ROBERT	TEMPLETON GLOBAL BOND A	0.00	12.14	0.00	12.14	90.0	10.93
08/14/2017	GREENWELL, MARION	TEMPLETON GROWTH A	0.00	1.61	0.00	1.61	90.0	1.45
08/14/2017	CENTANNI, RICHARD	TEMPLETON GROWTH A	0.00	0.35	0.00	0.35	90.0	0.32
08/14/2017	FLEISCH, ROBERT	TEMPLETON WORLD A	0.00	11.61	0.00	11.61	90.0	10.45
08/22/2017	PERETTI, DANIEL	TOUCHSTONE GROWTH OPP A	0.00	1.44	0.00	1.44	90.0	1.30
08/24/2017	EHRET, WAYNE	VICTORY CAPITAL MANAGEMENT	0.00	0.45	0.00	0.45	90.0	0.41
08/22/2017	CHERRY, LISA	VIRTUS SMALL-CAP SUSTAINABLE GROWTH	0.00	5.42	0.00	5.42	90.0	4.88
08/14/2017	PISANI, NICHOLAS	WELLS FARGO ADVANTAGE OMEGA GROWTH	0.00	8.99	0.00	8.99	90.0	8.09
08/14/2017	CAMPAGNA, MARIE	WELLS FARGO ADVTG DIVERSIFIED INCOM	0.00	22.71	0.00	22.71	90.0	20.44
08/14/2017	CAMPAGNA, MARIE	WELLS FARGO ADVTG DIVERSIFIED INCOM	0.00	11.11	0.00	11.11	90.0	10.00
08/14/2017	BOWERS, DORA	WELLS FARGO ADVTG EMERGING MARKETS	0.00	0.19	0.00	0.19	90.0	0.17
08/14/2017	TRICHON, DONNA-LYNN	WELLS FARGO DIVERSIFIED CAPITAL BUI	0.00	17.51	0.00	17.51	90.0	15.76
* MUTUAL FUND 12B1 TRAILS SUBTOTAL *			\$0.00	\$2,978.13	\$0.00	\$2,978.13		\$2,680.48
<u>PRODUCT CATEGORY: VARIABLE ANNUITY 12B1 TRAILS</u>								
09/07/2017	LINSKY, VARIOUS	TRANSAMERICA	0.00	37.15	0.00	37.15	90.0	33.44
* VARIABLE ANNUITY 12B1 TRAILS SUBTOTAL *			\$0.00	\$37.15	\$0.00	\$37.15		\$33.44
*** BROKER TRANSACTIONS TOTAL ***			\$2,103,335.10	\$9,707.07	\$89.28	\$9,617.79		\$8,656.24

SPLIT TRANSACTIONS**BROKER: J30 MARC/MICHAEL LINSKY/FOX #266**

08/15/2017	CLARKE, PHYLLIS	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	1.23	0.00	1.23	90.0	1.11
08/15/2017	CLARKE, PHYLLIS	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	0.08	0.00	0.08	90.0	0.07
08/15/2017	BERK, MICHAEL	AM FUNDS GROWTH FUND OF AMERICA A	0.00	1.35	0.00	1.35	90.0	1.22
08/14/2017	CLARKE, PHYLLIS	FRANKLIN GROWTH OPPORTUNITIES FUND	0.00	0.11	0.00	0.11	90.0	0.10
08/21/2017	SPOKANE, LOIS	GOLDMAN SACHS U.S. EQUITY INSIGHTS	0.00	0.61	0.00	0.61	90.0	0.55
08/16/2017	CLARKE, PHYLLIS	HARTFORD INFLATION PLUS FUIND C	0.00	3.45	0.00	3.45	90.0	3.11
08/21/2017	CLARKE, PHYLLIS	LORD ABBETT AFFILIATED A	0.00	1.12	0.00	1.12	90.0	1.01
08/21/2017	SPOKANE, LOIS	LORD ABBETT BOND DEBENTURE A	0.00	2.19	0.00	2.19	90.0	1.97

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<u>SPLIT TRANSACTIONS</u>								
<u>BROKER: J30 MARC/MICHAEL LINSKY/FOX #266</u>								
08/21/2017	SPOKANE, LOIS	LORD ABBETT FUNDAMENTAL EQUITY A	0.00	3.87	0.00	3.87	90.0	3.48
08/21/2017	CLARKE, PHYLLIS	PIMCO TOTAL RETURN C	0.00	14.31	0.00	14.31	90.0	12.88
08/16/2017	BELLO, JOSEPH	PUTNAM MULTI CAP GROWTH A	0.00	0.58	0.00	0.58	90.0	0.52
08/14/2017	LANUTI, CHERYL	RESOURCE R E DIVERSIFIED INC FUND A	0.00	9.36	0.00	9.36	90.0	8.42
08/16/2017	MAHONEY, MARIA	SENTINEL GOVERNMENT SECURITIES FUND	0.00	5.15	0.00	5.15	90.0	4.64
08/16/2017	MAHONEY, MARIA	SENTINEL MULTI- ASSET INCOME FUND A	0.00	4.94	0.00	4.94	90.0	4.45
* J30 MARC/MICHAEL LINSKY/FOX SUBTOTAL *			\$0.00	\$48.35	\$0.00	\$48.35		\$43.53
<u>BROKER: R134-DAN/JEFF/JON P/ FT-NY RAUPP/KI #272</u>								
08/15/2017	DAMONE, DENNIS	JP MORGAN INVESTOR GROWTH & INCOME	0.00	0.22	0.00	0.22	90.0	0.20
* R134-DAN/JEFF/JON P/ FT-NY RAUPP/KI SUBTOTAL *			\$0.00	\$0.22	\$0.00	\$0.22		\$0.20
<u>BROKER: P124-JONP/MARC/DAN/J FT-FL JUNO CIR #273</u>								
08/15/2017	FLAHERTY, STEPHEN	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.06	0.00	0.06	90.0	0.05
08/17/2017	WILKINSKY, KARA-JANE	AMERICAN CENTURY STRATEGIC ALLOC AG	0.00	1.52	0.00	1.52	90.0	1.37
08/17/2017	WILKINSKY, KARA-JANE	AMERICAN CENTURY STRATEGIC ALLOC AG	0.00	4.91	0.00	4.91	90.0	4.42
08/17/2017	WILKINSKY, MATTHEW	AMERICAN CENTURY STRATEGIC ALLOC AG	0.00	3.24	0.00	3.24	90.0	2.92
08/17/2017	LEEN, RANDY	AMERICAN CENTURY STRATEGIC ALLOC AG	0.00	2.35	0.00	2.35	90.0	2.12
08/09/2017	ROMAN, ROSA	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	0.36	0.00	0.36	90.0	0.32
08/09/2017	ABRAMS, RAFAEL	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	0.91	0.00	0.91	90.0	0.82
08/09/2017	JA, WILLIAM	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	0.05	0.00	0.05	90.0	0.05
08/09/2017	JA, WILLIAM	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	0.13	0.00	0.13	90.0	0.12
08/16/2017	MORONEY, PHYLLIS	GRIFFIN INST'L ACCESS R E FUND C	0.00	0.92	0.00	0.92	90.0	0.83
08/16/2017	MORONEY, PHYLLIS	GRIFFIN INST'L ACCESS R E FUND C	0.00	2.75	0.00	2.75	90.0	2.48
08/16/2017	MORONEY, PHYLLIS	GRIFFIN INST'L ACCESS R E FUND C	0.00	1.15	0.00	1.15	90.0	1.04
08/16/2017	MORONEY, PHYLLIS	GRIFFIN INST'L ACCESS R E FUND C	0.00	3.44	0.00	3.44	90.0	3.10
08/16/2017	MORONEY JR, JOHN	GRIFFIN INST'L ACCESS R E FUND C	0.00	0.77	0.00	0.77	90.0	0.69
08/16/2017	MORONEY JR, JOHN	GRIFFIN INST'L ACCESS R E FUND C	0.00	2.30	0.00	2.30	90.0	2.07
08/16/2017	MORONEY JR, JOHN	GRIFFIN INST'L ACCESS R E FUND C	0.00	0.92	0.00	0.92	90.0	0.83
08/16/2017	MORONEY JR, JOHN	GRIFFIN INST'L ACCESS R E FUND C	0.00	2.75	0.00	2.75	90.0	2.48
08/16/2017	ROMAN, ROSA	GRIFFIN INSTITUTIONAL ACCESS REAL E	0.00	0.58	0.00	0.58	90.0	0.52
08/16/2017	ABRAMS, RAFAEL	GRIFFIN INSTITUTIONAL ACCESS REAL E	0.00	0.91	0.00	0.91	90.0	0.82
08/16/2017	WILKINSKY, KARA-JANE	GRIFFIN INSTITUTIONAL ACCESS REAL E	0.00	1.56	0.00	1.56	90.0	1.40
08/16/2017	WILKINSKY, MATTHEW	GRIFFIN INSTITUTIONAL ACCESS REAL E	0.00	1.25	0.00	1.25	90.0	1.13

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

DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>SPLIT TRANSACTIONS</u>								
BROKER: P124-JONP/MARC/DAN/J FT-FL JUNO CIR #273								
08/16/2017	KELLY, GORDON	GRIFFIN INSTITUTIONAL ACCESS REAL E	0.00	1.49	0.00	1.49	90.0	1.34
08/16/2017	SCHENONE, LORI	GRIFFIN INSTITUTIONAL ACCESS REAL E	0.00	4.55	0.00	4.55	90.0	4.10
* P124-JONP/MARC/DAN/J FT-FL JUNO CIR SUBTOTAL *			\$0.00	\$38.87	\$0.00	\$38.87		\$35.02
BROKER: C148 DAN/MARC FT-CHARLEY/LINSKY #315								
08/15/2017	ANDERSON, WILLIAM	AM FUNDS BOND FUND OF AMERICA A	0.00	0.48	0.00	0.48	90.0	0.43
08/17/2017	ANDERSON, WILLIAM	AMERICAN CENTURY CORE PLUS FUND CLA	0.00	2.87	0.00	2.87	90.0	2.58
08/25/2017	ANDERSON, ELAINE	BLK GLOBAL ALLOCATION C	0.00	2.48	0.00	2.48	90.0	2.23
08/18/2017	ANDERSON, ELAINE	CALAMOS GROWTH & INCOME A	0.00	0.88	0.00	0.88	90.0	0.79
08/17/2017	ANDERSON, WILLIAM	COLUMBIA BALANCED FUND CLASS C	0.00	3.47	0.00	3.47	90.0	3.12
08/17/2017	FIAMINGO, FRANK	COLUMBIA SELIGMAN COMM AND INFO A	0.00	1.45	0.00	1.45	90.0	1.31
08/14/2017	FIAMINGO, FRANK	DAVIS REAL ESTATE A	0.00	2.17	0.00	2.17	90.0	1.95
08/14/2017	ANDERSON, WILLIAM	EAGLE GROWTH AND INCOME FUND CLASS	0.00	6.01	0.00	6.01	90.0	5.41
08/21/2017	FIAMINGO, FRANK	FIRST EAGLE GLOBAL FUND CL A	0.00	6.35	0.00	6.35	90.0	5.72
08/21/2017	FIAMINGO, FRANK	FIRST EAGLE OVERSEAS FUND CLASS A	0.00	2.22	0.00	2.22	90.0	2.00
08/21/2017	ANDERSON, WILLIAM	FIRST EAGLE OVERSEAS FUND CLASS A	0.00	0.97	0.00	0.97	90.0	0.87
08/17/2017	ANDERSON, ELAINE	JANUS BALANCED FUND CLASS C	0.00	3.15	0.00	3.15	90.0	2.84
08/18/2017	ANDERSON, ELAINE	JH STRATEGIC INCOME A	0.00	0.44	0.00	0.44	90.0	0.40
08/21/2017	FIAMINGO, FRANK	OPPENHEIMER CAPITAL INCOME A	0.00	0.99	0.00	0.99	90.0	0.89
08/21/2017	ANDERSON, WILLIAM	PIMCO REAL RETURN C	0.00	1.71	0.00	1.71	90.0	1.54
08/14/2017	RYNEX, CAROL	WELLS FARGO DOW JONES TARGET 2035 F	0.00	1.00	0.00	1.00	90.0	0.90
08/14/2017	RYNEX, STEPHEN	WELLS FARGO PREMIER LG COMP GRWTH A	0.00	0.53	0.00	0.53	90.0	0.48
08/14/2017	RYNEX, ANDREW	WELLS FARGO PREMIER LG COMP GRWTH A	0.00	0.17	0.00	0.17	90.0	0.15
* C148 DAN/MARC FT-CHARLEY/LINSKY SUBTOTAL *			\$0.00	\$37.34	\$0.00	\$37.34		\$33.61
*** SPLIT TRANSACTIONS TOTAL ***			\$0.00	\$124.78	\$0.00	\$124.78		\$112.36

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>ADJUSTMENTS</u>								
09/15/2017		*EO INS: CURRENT MONTH INS	0.00					-300.00
09/15/2017		*EO INS: CURRENT MONTH INS	0.00					-105.00
09/15/2017		*EO INS: CURRENT MONTH-T THOMPSON	0.00					-105.00
09/15/2017		*EO INS: N ELIAS	0.00					-105.00
09/15/2017		*FEDERAL EXPRESS: 5-920-79549 9/6/1	0.00					-33.58
09/15/2017		*MARKETING LIBRARY: MARKETING LIBRA	0.00					-45.00
09/15/2017		*PERSHING: BOOKS & RECORDS	0.00					-1.50
09/15/2017		*PERSHING: BOOKS & RECORDS	0.00					-0.51
09/15/2017		*PERSHING: MF PROSPECTUS MAILING	0.00					-5.30
09/15/2017		*PERSHING: MF PROSPECTUS MAILING	0.00					-0.54
09/15/2017		*TECH: ADMIN-CHRISTINE GILMER	0.00					-100.00
09/15/2017		*TECH: ADMIN-LINDA BOND-HILTNER	0.00					-100.00
09/15/2017		*TECH: CURRENT MONTH TECH	0.00					-275.00
09/15/2017		*TECH: CURRENT MONTH TECH	0.00					-96.25
09/15/2017		*TECH: CURRENT MONTH-T THOMPSON	0.00					-96.25
09/15/2017		*TECH: N ELIAS	0.00					-96.25
*** ADJUSTMENTS TOTAL ***			\$0.00	\$0.00	\$0.00	\$0.00		\$-1,465.18

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BROKER COMMISSION TOTALS

Broker Transactions	\$8,656.24
Split Transactions	\$112.36
Override Transactions	\$0.00
Adjustments	\$-1,465.18
Payroll Draw	\$0.00
Base Salary	\$0.00
Prior Period Balance	\$0.00
FINRA Assessment	\$0.00
SIPC Assessment	\$0.00

Check Amount	\$7,303.42
Year-to-date Gross	\$525,038.13
Year-to-date Earnings	\$472,123.96