



Concorde Investment Services, LLC

02/27/2018

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**COMMISSION STATEMENT****February 28, 2018**FRED CHASALOW  
2523 Hastings DriveBROKER #: C121 Terminated 12/31/2015  
BRANCH: FRED CHASALOW

Belmont, CA 94002-

DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<b><u>SPLIT TRANSACTIONS</u></b>								
<b><u>BROKER: A132 - HERB/FRED ALSTON/CHASALOW #10</u></b>								
02/16/2018	COHEN, LORI PIERCE-	AM FUNDS GROWTH FUND OF AMERICA 529	100.00	0.33	0.00	0.33	72.0	0.24
02/16/2018	COHEN, LORI PIERCE-	AM FUNDS NEW PERSPECTIVE 529C	100.00	0.33	0.00	0.33	72.0	0.24
* A132 - HERB/FRED ALSTON/CHASALOW SUBTOTAL *			<b>\$200.00</b>	<b>\$0.66</b>	<b>\$0.00</b>	<b>\$0.66</b>		<b>\$0.48</b>
<b><u>BROKER: A132 - HERB/FRED ALSTON/CHASALOW #413</u></b>								
02/11/2016	MISCHAK, RONALD	ASP ARROW DWA BALANCED A	0.00	2.13	0.00	2.13	72.0	1.53
02/11/2016	GASPAR, NICHOLAS	ASP ARROW DWA BALANCED A	0.00	0.32	0.00	0.32	72.0	0.23
03/14/2016	MISCHAK, RONALD	ASP ARROW DWA BALANCED A	0.00	2.24	0.00	2.24	72.0	1.61
03/14/2016	GASPAR, NICHOLAS	ASP ARROW DWA BALANCED A	0.00	0.33	0.00	0.33	72.0	0.24
04/13/2016	MISCHAK, RONALD	ASP ARROW DWA BALANCED A	0.00	2.31	0.00	2.31	72.0	1.66
04/13/2016	GASPAR, NICHOLAS	ASP ARROW DWA BALANCED A	0.00	0.34	0.00	0.34	72.0	0.24
05/11/2016	MISCHAK, RONALD	ASP ARROW DWA BALANCED A	0.00	2.20	0.00	2.20	72.0	1.58
05/11/2016	GASPAR, NICHOLAS	ASP ARROW DWA BALANCED A	0.00	0.33	0.00	0.33	72.0	0.24
06/16/2016	MISCHAK, RONALD	ASP ARROW DWA BALANCED A	0.00	2.43	0.00	2.43	72.0	1.75
06/16/2016	GASPAR, NICHOLAS	ASP ARROW DWA BALANCED A	0.00	0.36	0.00	0.36	72.0	0.26
07/11/2016	MISCHAK, RONALD	ASP ARROW DWA BALANCED A	0.00	2.29	0.00	2.29	72.0	1.65
07/11/2016	GASPAR, NICHOLAS	ASP ARROW DWA BALANCED A	0.00	0.34	0.00	0.34	72.0	0.24
08/12/2016	MISCHAK, RONALD	ASP ARROW DWA BALANCED A	0.00	2.28	0.00	2.28	72.0	1.64
08/12/2016	GASPAR, NICHOLAS	ASP ARROW DWA BALANCED A	0.00	0.34	0.00	0.34	72.0	0.24
09/14/2016	MISCHAK, RONALD	ASP ARROW DWA BALANCED A	0.00	2.62	0.00	2.62	72.0	1.89
09/14/2016	GASPAR, NICHOLAS	ASP ARROW DWA BALANCED A	0.00	0.39	0.00	0.39	72.0	0.28
10/12/2016	MISCHAK, RONALD	ASP ARROW DWA BALANCED A	0.00	2.36	0.00	2.36	72.0	1.70
10/12/2016	GASPAR, NICHOLAS	ASP ARROW DWA BALANCED A	0.00	0.35	0.00	0.35	72.0	0.25
11/16/2016	MISCHAK, RONALD	ASP ARROW DWA BALANCED A	0.00	2.40	0.00	2.40	72.0	1.73
11/16/2016	GASPAR, NICHOLAS	ASP ARROW DWA BALANCED A	0.00	0.36	0.00	0.36	72.0	0.26
12/12/2016	MISCHAK, RONALD	ASP ARROW DWA BALANCED A	0.00	2.29	0.00	2.29	72.0	1.65
12/12/2016	GASPAR, NICHOLAS	ASP ARROW DWA BALANCED A	0.00	0.34	0.00	0.34	72.0	0.24

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

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

^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: A132 - HERB/FRED ALSTON/CHASALOW #413</u></b>								
02/11/2016	WEBER, PENNY	ASP ARROW MAANGED FUTURES STRATEGY	0.00	1.60	0.00	1.60	72.0	1.15
03/14/2016	WEBER, PENNY	ASP ARROW MAANGED FUTURES STRATEGY	0.00	1.74	0.00	1.74	72.0	1.25
04/13/2016	WEBER, PENNY	ASP ARROW MAANGED FUTURES STRATEGY	0.00	1.68	0.00	1.68	72.0	1.21
05/11/2016	WEBER, PENNY	ASP ARROW MAANGED FUTURES STRATEGY	0.00	1.56	0.00	1.56	72.0	1.12
06/16/2016	WEBER, PENNY	ASP ARROW MAANGED FUTURES STRATEGY	0.00	1.70	0.00	1.70	72.0	1.22
07/11/2016	WEBER, PENNY	ASP ARROW MAANGED FUTURES STRATEGY	0.00	1.67	0.00	1.67	72.0	1.20
08/12/2016	WEBER, PENNY	ASP ARROW MAANGED FUTURES STRATEGY	0.00	1.70	0.00	1.70	72.0	1.22
09/14/2016	WEBER, PENNY	ASP ARROW MAANGED FUTURES STRATEGY	0.00	1.91	0.00	1.91	72.0	1.38
10/12/2016	WEBER, PENNY	ASP ARROW MAANGED FUTURES STRATEGY	0.00	1.68	0.00	1.68	72.0	1.21
11/16/2016	WEBER, PENNY	ASP ARROW MAANGED FUTURES STRATEGY	0.00	1.68	0.00	1.68	72.0	1.21
12/12/2016	WEBER, PENNY	ASP ARROW MAANGED FUTURES STRATEGY	0.00	1.47	0.00	1.47	72.0	1.06
02/08/2016	CHASALOW, SANDRA	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	3.96	0.00	3.96	72.0	2.85
02/08/2016	BRADY, JEANNE	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	1.58	0.00	1.58	72.0	1.14
02/08/2016	COHEN, JOYCE	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	1.96	0.00	1.96	72.0	1.41
02/08/2016	COHEN, JOEL	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	1.96	0.00	1.96	72.0	1.41
02/08/2016	KIM, SCARLET	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	1.11	0.00	1.11	72.0	0.80
02/08/2016	WEBER, PENNY	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	1.58	0.00	1.58	72.0	1.14
02/08/2016	FROST, CARRIE-ANN	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	0.53	0.00	0.53	72.0	0.38
02/08/2016	MCDONALD, MARY	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	0.80	0.00	0.80	72.0	0.58
03/18/2016	CHASALOW, SANDRA	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	4.22	0.00	4.22	72.0	3.04
03/18/2016	BRADY, JEANNE	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	1.68	0.00	1.68	72.0	1.21
03/18/2016	COHEN, JOYCE	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	2.09	0.00	2.09	72.0	1.50
03/18/2016	COHEN, JOEL	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	2.09	0.00	2.09	72.0	1.50
03/18/2016	KIM, SCARLET	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	1.19	0.00	1.19	72.0	0.86
03/18/2016	WEBER, PENNY	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	1.68	0.00	1.68	72.0	1.21
03/18/2016	FROST, CARRIE-ANN	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	0.56	0.00	0.56	72.0	0.40
03/18/2016	MCDONALD, MARY	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	0.85	0.00	0.85	72.0	0.61
04/14/2016	CHASALOW, SANDRA	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	4.25	0.00	4.25	72.0	3.06
04/14/2016	BRADY, JEANNE	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	1.69	0.00	1.69	72.0	1.22
04/14/2016	COHEN, JOYCE	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	2.10	0.00	2.10	72.0	1.51
04/14/2016	COHEN, JOEL	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	2.10	0.00	2.10	72.0	1.51
04/14/2016	KIM, SCARLET	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	1.20	0.00	1.20	72.0	0.86
04/14/2016	WEBER, PENNY	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	1.69	0.00	1.69	72.0	1.22

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

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

^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>BROKER: A132 - HERB/FRED ALSTON/CHASALOW #413</b>								
04/14/2016	FROST, CARRIE-ANN	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	0.56	0.00	0.56	72.0	0.40
04/14/2016	MCDONALD, MARY	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	0.85	0.00	0.85	72.0	0.61
05/19/2016	CHASALOW, SANDRA	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	4.00	0.00	4.00	72.0	2.88
05/19/2016	BRADY, JEANNE	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	1.60	0.00	1.60	72.0	1.15
05/19/2016	COHEN, JOYCE	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	1.98	0.00	1.98	72.0	1.43
05/19/2016	COHEN, JOEL	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	1.98	0.00	1.98	72.0	1.43
05/19/2016	KIM, SCARLET	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	1.12	0.00	1.12	72.0	0.81
05/19/2016	WEBER, PENNY	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	1.60	0.00	1.60	72.0	1.15
05/19/2016	FROST, CARRIE-ANN	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	0.53	0.00	0.53	72.0	0.38
05/19/2016	MCDONALD, MARY	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	0.80	0.00	0.80	72.0	0.58
06/23/2016	CHASALOW, SANDRA	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	4.44	0.00	4.44	72.0	3.20
06/23/2016	BRADY, JEANNE	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	1.77	0.00	1.77	72.0	1.27
06/23/2016	COHEN, JOYCE	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	2.20	0.00	2.20	72.0	1.58
06/23/2016	COHEN, JOEL	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	2.20	0.00	2.20	72.0	1.58
06/23/2016	KIM, SCARLET	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	1.25	0.00	1.25	72.0	0.90
06/23/2016	WEBER, PENNY	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	1.77	0.00	1.77	72.0	1.27
06/23/2016	FROST, CARRIE-ANN	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	0.59	0.00	0.59	72.0	0.42
06/23/2016	MCDONALD, MARY	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	0.89	0.00	0.89	72.0	0.64
07/11/2016	CHASALOW, SANDRA	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	4.19	0.00	4.19	72.0	3.02
07/11/2016	BRADY, JEANNE	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	1.17	0.00	1.17	72.0	0.84
07/11/2016	COHEN, JOYCE	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	2.07	0.00	2.07	72.0	1.49
07/11/2016	COHEN, JOEL	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	2.07	0.00	2.07	72.0	1.49
07/11/2016	KIM, SCARLET	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	1.18	0.00	1.18	72.0	0.85
07/11/2016	WEBER, PENNY	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	1.67	0.00	1.67	72.0	1.20
07/11/2016	FROST, CARRIE-ANN	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	0.56	0.00	0.56	72.0	0.40
07/11/2016	MCDONALD, MARY	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	0.84	0.00	0.84	72.0	0.60
08/15/2016	CHASALOW, SANDRA	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	4.37	0.00	4.37	72.0	3.15
08/15/2016	COHEN, JOYCE	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	2.16	0.00	2.16	72.0	1.56
08/15/2016	COHEN, JOEL	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	2.16	0.00	2.16	72.0	1.56
08/15/2016	KIM, SCARLET	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	1.23	0.00	1.23	72.0	0.89
08/15/2016	WEBER, PENNY	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	1.74	0.00	1.74	72.0	1.25
08/15/2016	FROST, CARRIE-ANN	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	0.58	0.00	0.58	72.0	0.42
08/15/2016	MCDONALD, MARY	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	0.88	0.00	0.88	72.0	0.63

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<b><u>SPLIT TRANSACTIONS</u></b>								
<b><u>BROKER: A132 - HERB/FRED ALSTON/CHASALOW #413</u></b>								
09/12/2016	CHASALOW, SANDRA	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	4.38	0.00	4.38	72.0	3.15
09/12/2016	COHEN, JOYCE	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	2.17	0.00	2.17	72.0	1.56
09/12/2016	COHEN, JOEL	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	2.17	0.00	2.17	72.0	1.56
09/12/2016	KIM, SCARLET	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	1.23	0.00	1.23	72.0	0.89
09/12/2016	WEBER, PENNY	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	1.74	0.00	1.74	72.0	1.25
09/12/2016	FROST, CARRIE-ANN	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	0.58	0.00	0.58	72.0	0.42
09/12/2016	MCDONALD, MARY	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	0.88	0.00	0.88	72.0	0.63
10/14/2016	CHASALOW, SANDRA	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	4.24	0.00	4.24	72.0	3.05
10/14/2016	COHEN, JOYCE	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	2.10	0.00	2.10	72.0	1.51
10/14/2016	COHEN, JOEL	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	2.10	0.00	2.10	72.0	1.51
10/14/2016	KIM, SCARLET	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	1.19	0.00	1.19	72.0	0.86
10/14/2016	WEBER, PENNY	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	1.69	0.00	1.69	72.0	1.22
10/14/2016	FROST, CARRIE-ANN	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	0.57	0.00	0.57	72.0	0.41
10/14/2016	MCDONALD, MARY	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	0.85	0.00	0.85	72.0	0.61
11/17/2016	CHASALOW, SANDRA	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	4.40	0.00	4.40	72.0	3.17
11/17/2016	COHEN, JOYCE	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	2.18	0.00	2.18	72.0	1.57
11/17/2016	COHEN, JOEL	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	2.18	0.00	2.18	72.0	1.57
11/17/2016	KIM, SCARLET	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	1.24	0.00	1.24	72.0	0.89
11/17/2016	WEBER, PENNY	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	1.76	0.00	1.76	72.0	1.27
11/17/2016	FROST, CARRIE-ANN	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	0.59	0.00	0.59	72.0	0.42
11/17/2016	MCDONALD, MARY	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	0.88	0.00	0.88	72.0	0.63
12/12/2016	CHASALOW, SANDRA	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	4.29	0.00	4.29	72.0	3.09
12/12/2016	COHEN, JOYCE	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	2.13	0.00	2.13	72.0	1.53
12/12/2016	COHEN, JOEL	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	2.13	0.00	2.13	72.0	1.53
12/12/2016	KIM, SCARLET	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	1.21	0.00	1.21	72.0	0.87
12/12/2016	WEBER, PENNY	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	1.71	0.00	1.71	72.0	1.23
12/12/2016	FROST, CARRIE-ANN	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	0.57	0.00	0.57	72.0	0.41
12/12/2016	MCDONALD, MARY	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	0.86	0.00	0.86	72.0	0.62
02/18/2016	MCDONALD, MARY	COHEN & STEERS INTERNATIONAL REALTY	0.00	0.33	0.00	0.33	72.0	0.24
03/22/2016	MCDONALD, MARY	COHEN & STEERS INTERNATIONAL REALTY	0.00	0.31	0.00	0.31	72.0	0.22
04/19/2016	MCDONALD, MARY	COHEN & STEERS INTERNATIONAL REALTY	0.00	0.35	0.00	0.35	72.0	0.25
05/18/2016	MCDONALD, MARY	COHEN & STEERS INTERNATIONAL REALTY	0.00	0.35	0.00	0.35	72.0	0.25
06/20/2016	MCDONALD, MARY	COHEN & STEERS INTERNATIONAL REALTY	0.00	0.36	0.00	0.36	72.0	0.26

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<b><u>SPLIT TRANSACTIONS</u></b>								
<b><u>BROKER: A132 - HERB/FRED ALSTON/CHASALOW #413</u></b>								
07/20/2016	MCDONALD, MARY	COHEN & STEERS INTERNATIONAL REALTY	0.00	0.35	0.00	0.35	72.0	0.25
08/23/2016	MCDONALD, MARY	COHEN & STEERS INTERNATIONAL REALTY	0.00	0.36	0.00	0.36	72.0	0.26
09/27/2016	MCDONALD, MARY	COHEN & STEERS INTERNATIONAL REALTY	0.00	0.38	0.00	0.38	72.0	0.27
10/21/2016	MCDONALD, MARY	COHEN & STEERS INTERNATIONAL REALTY	0.00	0.36	0.00	0.36	72.0	0.26
11/23/2016	MCDONALD, MARY	COHEN & STEERS INTERNATIONAL REALTY	0.00	0.36	0.00	0.36	72.0	0.26
12/21/2016	MCDONALD, MARY	COHEN & STEERS INTERNATIONAL REALTY	0.00	0.33	0.00	0.33	72.0	0.24
02/10/2016	ROBERTSON, BARBARA	FEDERATED KAUFMANN SMALL CAP A	0.00	1.36	0.00	1.36	72.0	0.98
03/15/2016	ROBERTSON, BARBARA	FEDERATED KAUFMANN SMALL CAP A	0.00	1.15	0.00	1.15	72.0	0.83
04/20/2016	ROBERTSON, BARBARA	FEDERATED KAUFMANN SMALL CAP A	0.00	1.32	0.00	1.32	72.0	0.95
05/16/2016	ROBERTSON, BARBARA	FEDERATED KAUFMANN SMALL CAP A	0.00	1.35	0.00	1.35	72.0	0.97
06/15/2016	ROBERTSON, BARBARA	FEDERATED KAUFMANN SMALL CAP A	0.00	1.38	0.00	1.38	72.0	0.99
07/19/2016	ROBERTSON, BARBARA	FEDERATED KAUFMANN SMALL CAP A	0.00	1.40	0.00	1.40	72.0	1.01
08/12/2016	ROBERTSON, BARBARA	FEDERATED KAUFMANN SMALL CAP A	0.00	1.53	0.00	1.53	72.0	1.10
09/16/2016	ROBERTSON, BARBARA	FEDERATED KAUFMANN SMALL CAP A	0.00	1.59	0.00	1.59	72.0	1.14
10/21/2016	ROBERTSON, BARBARA	FEDERATED KAUFMANN SMALL CAP A	0.00	1.56	0.00	1.56	72.0	1.12
11/21/2016	ROBERTSON, BARBARA	FEDERATED KAUFMANN SMALL CAP A	0.00	0.48	0.00	0.48	72.0	0.35
02/19/2016	THEIN, CHRISTINE	JH GREATER CHINA OPP A	0.00	0.66	0.00	0.66	72.0	0.48
03/18/2016	THEIN, CHRISTINE	JH GREATER CHINA OPP A	0.00	0.61	0.00	0.61	72.0	0.44
04/15/2016	THEIN, CHRISTINE	JH GREATER CHINA OPP A	0.00	0.70	0.00	0.70	72.0	0.50
05/23/2016	THEIN, CHRISTINE	JH GREATER CHINA OPP A	0.00	0.70	0.00	0.70	72.0	0.50
06/27/2016	THEIN, CHRISTINE	JH GREATER CHINA OPP A	0.00	0.69	0.00	0.69	72.0	0.50
07/15/2016	THEIN, CHRISTINE	JH GREATER CHINA OPP A	0.00	0.69	0.00	0.69	72.0	0.50
08/16/2016	THEIN, CHRISTINE	JH GREATER CHINA OPP A	0.00	0.75	0.00	0.75	72.0	0.54
09/16/2016	THEIN, CHRISTINE	JH GREATER CHINA OPP A	0.00	0.79	0.00	0.79	72.0	0.57
10/24/2016	THEIN, CHRISTINE	JH GREATER CHINA OPP A	0.00	0.80	0.00	0.80	72.0	0.58
11/18/2016	THEIN, CHRISTINE	JH GREATER CHINA OPP A	0.00	0.83	0.00	0.83	72.0	0.60
12/16/2016	THEIN, CHRISTINE	JH GREATER CHINA OPP A	0.00	0.75	0.00	0.75	72.0	0.54
02/19/2016	COHEN, JOYCE	JH GREATER CHINA OPP C	0.00	2.21	0.00	2.21	72.0	1.59
03/18/2016	COHEN, JOYCE	JH GREATER CHINA OPP C	0.00	2.01	0.00	2.01	72.0	1.45
04/15/2016	COHEN, JOYCE	JH GREATER CHINA OPP C	0.00	2.32	0.00	2.32	72.0	1.67
05/23/2016	COHEN, JOYCE	JH GREATER CHINA OPP C	0.00	2.31	0.00	2.31	72.0	1.66
06/27/2016	COHEN, JOYCE	JH GREATER CHINA OPP C	0.00	2.29	0.00	2.29	72.0	1.65
07/15/2016	COHEN, JOYCE	JH GREATER CHINA OPP C	0.00	2.29	0.00	2.29	72.0	1.65

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<b><u>SPLIT TRANSACTIONS</u></b>								
<b><u>BROKER: A132 - HERB/FRED ALSTON/CHASALOW #413</u></b>								
08/16/2016	COHEN, JOYCE	JH GREATER CHINA OPP C	0.00	2.48	0.00	2.48	72.0	1.79
09/16/2016	COHEN, JOYCE	JH GREATER CHINA OPP C	0.00	2.63	0.00	2.63	72.0	1.89
10/24/2016	COHEN, JOYCE	JH GREATER CHINA OPP C	0.00	2.64	0.00	2.64	72.0	1.90
11/18/2016	COHEN, JOYCE	JH GREATER CHINA OPP C	0.00	2.74	0.00	2.74	72.0	1.97
12/16/2016	COHEN, JOYCE	JH GREATER CHINA OPP C	0.00	2.50	0.00	2.50	72.0	1.80
02/11/2016	ROBERTSON, BARBARA	RYDEX BIOTECHNOLOGY C	0.00	8.41	0.00	8.41	72.0	6.06
03/11/2016	ROBERTSON, BARBARA	RYDEX BIOTECHNOLOGY C	0.00	6.88	0.00	6.88	72.0	4.95
04/29/2016	ROBERTSON, BARBARA	RYDEX BIOTECHNOLOGY C	0.00	7.44	0.00	7.44	72.0	5.36
05/10/2016	ROBERTSON, BARBARA	RYDEX BIOTECHNOLOGY C	0.00	7.73	0.00	7.73	72.0	5.57
06/15/2016	ROBERTSON, BARBARA	RYDEX BIOTECHNOLOGY C	0.00	7.66	0.00	7.66	72.0	5.52
07/15/2016	ROBERTSON, BARBARA	RYDEX BIOTECHNOLOGY C	0.00	7.46	0.00	7.46	72.0	5.37
08/10/2016	ROBERTSON, BARBARA	RYDEX BIOTECHNOLOGY C	0.00	8.03	0.00	8.03	72.0	5.78
09/19/2016	ROBERTSON, BARBARA	RYDEX BIOTECHNOLOGY C	0.00	8.51	0.00	8.51	72.0	6.13
10/18/2016	ROBERTSON, BARBARA	RYDEX BIOTECHNOLOGY C	0.00	8.23	0.00	8.23	72.0	5.93
11/15/2016	ROBERTSON, BARBARA	RYDEX BIOTECHNOLOGY C	0.00	0.55	0.00	0.55	72.0	0.40
02/11/2016	ROBERTSON, BARBARA	RYDEX GUGG U.S. LONG SHORT MOMENTUM	0.00	6.44	0.00	6.44	72.0	4.64
02/11/2016	MCKEE, MARY L KLANCHNI	RYDEX GUGG U.S. LONG SHORT MOMENTUM	0.00	0.62	0.00	0.62	72.0	0.45
03/11/2016	ROBERTSON, BARBARA	RYDEX GUGG U.S. LONG SHORT MOMENTUM	0.00	5.87	0.00	5.87	72.0	4.23
03/11/2016	MCKEE, MARY L KLANCHNI	RYDEX GUGG U.S. LONG SHORT MOMENTUM	0.00	0.57	0.00	0.57	72.0	0.41
04/29/2016	ROBERTSON, BARBARA	RYDEX GUGG U.S. LONG SHORT MOMENTUM	0.00	6.38	0.00	6.38	72.0	4.59
04/29/2016	MCKEE, MARY L KLANCHNI	RYDEX GUGG U.S. LONG SHORT MOMENTUM	0.00	0.62	0.00	0.62	72.0	0.45
05/10/2016	ROBERTSON, BARBARA	RYDEX GUGG U.S. LONG SHORT MOMENTUM	0.00	6.21	0.00	6.21	72.0	4.47
05/10/2016	MCKEE, MARY L KLANCHNI	RYDEX GUGG U.S. LONG SHORT MOMENTUM	0.00	0.60	0.00	0.60	72.0	0.43
06/15/2016	ROBERTSON, BARBARA	RYDEX GUGG U.S. LONG SHORT MOMENTUM	0.00	6.43	0.00	6.43	72.0	4.63
06/15/2016	MCKEE, MARY L KLANCHNI	RYDEX GUGG U.S. LONG SHORT MOMENTUM	0.00	0.62	0.00	0.62	72.0	0.45
07/15/2016	ROBERTSON, BARBARA	RYDEX GUGG U.S. LONG SHORT MOMENTUM	0.00	6.28	0.00	6.28	72.0	4.52
07/15/2016	MCKEE, MARY L KLANCHNI	RYDEX GUGG U.S. LONG SHORT MOMENTUM	0.00	0.61	0.00	0.61	72.0	0.44
08/10/2016	ROBERTSON, BARBARA	RYDEX GUGG U.S. LONG SHORT MOMENTUM	0.00	6.58	0.00	6.58	72.0	4.74
08/10/2016	MCKEE, MARY L KLANCHNI	RYDEX GUGG U.S. LONG SHORT MOMENTUM	0.00	0.64	0.00	0.64	72.0	0.46
09/19/2016	ROBERTSON, BARBARA	RYDEX GUGG U.S. LONG SHORT MOMENTUM	0.00	6.57	0.00	6.57	72.0	4.73
09/19/2016	MCKEE, MARY L KLANCHNI	RYDEX GUGG U.S. LONG SHORT MOMENTUM	0.00	0.64	0.00	0.64	72.0	0.46
10/18/2016	ROBERTSON, BARBARA	RYDEX GUGG U.S. LONG SHORT MOMENTUM	0.00	6.30	0.00	6.30	72.0	4.54
10/18/2016	MCKEE, MARY L KLANCHNI	RYDEX GUGG U.S. LONG SHORT MOMENTUM	0.00	0.61	0.00	0.61	72.0	0.44

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<b><u>SPLIT TRANSACTIONS</u></b>								
<b><u>BROKER: A132 - HERB/FRED ALSTON/CHASALOW #413</u></b>								
11/15/2016	ROBERTSON, BARBARA	RYDEX GUGG U.S. LONG SHORT MOMENTUM	0.00	0.42	0.00	0.42	72.0	0.30
11/15/2016	MCKEE, MARY L KLANCHNI	RYDEX GUGG U.S. LONG SHORT MOMENTUM	0.00	0.62	0.00	0.62	72.0	0.45
12/14/2016	MCKEE, MARY L KLANCHNI	RYDEX GUGG U.S. LONG SHORT MOMENTUM	0.00	0.61	0.00	0.61	72.0	0.44
04/12/2016	BRADY, JEANNE	WILLISTON BASIN/MID- NORTH AMERICA	0.00	0.41	0.00	0.41	72.0	0.30
04/12/2016	COHEN, JOEL	WILLISTON BASIN/MID- NORTH AMERICA	0.00	2.87	0.00	2.87	72.0	2.07
04/12/2016	MCDONALD, MARY	WILLISTON BASIN/MID- NORTH AMERICA	0.00	1.48	0.00	1.48	72.0	1.07
07/13/2016	COHEN, JOEL	WILLISTON BASIN/MID- NORTH AMERICA	0.00	3.37	0.00	3.37	72.0	2.43
07/13/2016	MCDONALD, MARY	WILLISTON BASIN/MID- NORTH AMERICA	0.00	1.74	0.00	1.74	72.0	1.25
10/11/2016	COHEN, JOEL	WILLISTON BASIN/MID- NORTH AMERICA	0.00	3.66	0.00	3.66	72.0	2.64
10/11/2016	MCDONALD, MARY	WILLISTON BASIN/MID- NORTH AMERICA	0.00	1.89	0.00	1.89	72.0	1.36
<b>* A132 - HERB/FRED ALSTON/CHASALOW SUBTOTAL *</b>			<b>\$0.00</b>	<b>\$399.54</b>	<b>\$0.00</b>	<b>\$399.54</b>		<b>\$287.65</b>
<b>*** SPLIT TRANSACTIONS TOTAL ***</b>			<b>\$200.00</b>	<b>\$400.20</b>	<b>\$0.00</b>	<b>\$400.20</b>		<b>\$288.13</b>

**BROKER COMMISSION TOTALS**

Broker Transactions	\$0.00
Split Transactions	\$288.13
Override Transactions	\$0.00
Adjustments	\$0.00
Payroll Draw	\$0.00
Base Salary	\$0.00
Prior Period Balance	\$73.33
FINRA Assessment	\$0.00
SIPC Assessment	\$0.00

<b>Check Amount</b>	<b>\$361.46</b>
<b>Year-to-date Gross</b>	<b>\$4,879.48</b>
<b>Year-to-date Earnings</b>	<b>\$3,507.80</b>

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