



Concorde Investment Services, LLC

01/13/2017
Page No. 1

COMMISSION STATEMENT

January 17, 2017

LESLIE PERSIN
1899 Orchard Lake
Suite 204
Sylvan Lake, MI 48320

BROKER #: P117 Terminated 12/31/2016
BRANCH: LESLIE PERSIN

DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>BROKER TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
12/30/2016	GOFF, LISA	AM FUNDS AMCAP A	1,168.71	43.83	0.00	43.83	80.0	35.06
12/30/2016	LAPRATT-DOYLE, MARY	AM FUNDS AMERICAN BALANCED A	4,471.49	122.97	0.00	122.97	80.0	98.38
12/27/2016	ANSON, MOLLY	AM FUNDS AMERICAN MUTUAL A	54.00	2.03	0.00	2.03	80.0	1.62
12/30/2016	LAPRATT-DOYLE, MARY	AM FUNDS AMERICAN MUTUAL A	4,471.49	122.97	0.00	122.97	80.0	98.38
01/03/2017	TORNOW, MARGARET	AM FUNDS AMERICAN MUTUAL A	150.00	1.80	0.00	1.80	80.0	1.44
01/03/2017	HOOTON, KELLY	AM FUNDS AMERICAN MUTUAL A	12.50	0.25	0.00	0.25	80.0	0.20
12/30/2016	GOFF, LISA	AM FUNDS CAPITAL INCOME BUILDER A	1,168.71	43.83	0.00	43.83	80.0	35.06
01/03/2017	SEMRAY, SHELLY	AM FUNDS CAPITAL INCOME BUILDER A	30.00	1.28	0.00	1.28	80.0	1.02
12/28/2016	DOYLE, DENNIS	AM FUNDS CAPITAL WORLD GRTH & INC A	57.43	1.58	0.00	1.58	80.0	1.26
12/28/2016	BARRY, ANNE M CHAPUSEA	AM FUNDS CAPITAL WORLD GRTH & INC A	138.18	3.80	0.00	3.80	80.0	3.04
12/28/2016	MURRAY, KATHLEEN	AM FUNDS CAPITAL WORLD GRTH & INC A	50.00	1.38	0.00	1.38	80.0	1.10
12/28/2016	COFFMAN, ANITA	AM FUNDS CAPITAL WORLD GRTH & INC A	75.00	3.75	0.00	3.75	80.0	3.00
12/30/2016	GOFF, LISA	AM FUNDS CAPITAL WORLD GRTH & INC A	1,078.81	40.46	0.00	40.46	80.0	32.37
01/03/2017	TORNOW, MARGARET	AM FUNDS CAPITAL WORLD GRTH & INC A	150.00	1.80	0.00	1.80	80.0	1.44
01/03/2017	DOYLE, DENNIS	AM FUNDS CAPITAL WORLD GRTH & INC A	57.43	1.58	0.00	1.58	80.0	1.26
01/03/2017	BARRY, ANNE M CHAPUSEA	AM FUNDS CAPITAL WORLD GRTH & INC A	138.18	3.80	0.00	3.80	80.0	3.04
01/03/2017	MURRAY, KATHLEEN	AM FUNDS CAPITAL WORLD GRTH & INC A	50.00	1.38	0.00	1.38	80.0	1.10
01/03/2017	SINGER, MICHELLE	AM FUNDS CAPITAL WORLD GRTH & INC A	50.00	1.38	0.00	1.38	80.0	1.10
01/03/2017	TYRANSKI, KELLY	AM FUNDS CAPITAL WORLD GRTH & INC A	16.50	0.83	0.00	0.83	80.0	0.66
12/28/2016	DOYLE, DENNIS	AM FUNDS EUROPACIFIC GROWTH FUND A	57.42	1.58	0.00	1.58	80.0	1.26
12/28/2016	ANSON, MOLLY	AM FUNDS EUROPACIFIC GROWTH FUND A	44.14	1.66	0.00	1.66	80.0	1.33
12/28/2016	MURRAY, KATHLEEN	AM FUNDS EUROPACIFIC GROWTH FUND A	50.00	1.38	0.00	1.38	80.0	1.10
12/28/2016	HARMSWORTH, KRISTA	AM FUNDS EUROPACIFIC GROWTH FUND A	36.30	1.36	0.00	1.36	80.0	1.09
12/28/2016	LAPRATT-DOYLE, MARY	AM FUNDS EUROPACIFIC GROWTH FUND A	12.50	0.34	0.00	0.34	80.0	0.27
12/28/2016	COFFMAN, ANITA	AM FUNDS EUROPACIFIC GROWTH FUND A	75.00	3.75	0.00	3.75	80.0	3.00
01/03/2017	HOOTON, KELLY	AM FUNDS EUROPACIFIC GROWTH FUND A	12.50	0.25	0.00	0.25	80.0	0.20

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>BROKER TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
01/03/2017	DOYLE, DENNIS	AM FUNDS EUROPACIFIC GROWTH FUND A	57.42	1.58	0.00	1.58	80.0	1.26
01/03/2017	ANSON, MOLLY	AM FUNDS EUROPACIFIC GROWTH FUND A	44.14	1.66	0.00	1.66	80.0	1.33
01/03/2017	MURRAY, KATHLEEN	AM FUNDS EUROPACIFIC GROWTH FUND A	50.00	1.38	0.00	1.38	80.0	1.10
01/03/2017	HARMSWORTH, KRISTA	AM FUNDS EUROPACIFIC GROWTH FUND A	36.30	1.36	0.00	1.36	80.0	1.09
01/03/2017	SINGER, MICHELLE	AM FUNDS EUROPACIFIC GROWTH FUND A	50.00	1.38	0.00	1.38	80.0	1.10
01/03/2017	LAPRATT-DOYLE, MARY	AM FUNDS EUROPACIFIC GROWTH FUND A	12.50	0.34	0.00	0.34	80.0	0.27
12/28/2016	ANSON, MOLLY	AM FUNDS FUNDAMENTAL INVESTORS A	44.14	1.66	0.00	1.66	80.0	1.33
12/30/2016	WHITE, KRISTIN	AM FUNDS FUNDAMENTAL INVESTORS A	1,073.69	40.26	0.00	40.26	80.0	32.21
01/03/2017	HOOTON, KELLY	AM FUNDS FUNDAMENTAL INVESTORS A	12.50	0.25	0.00	0.25	80.0	0.20
01/03/2017	ANSON, MOLLY	AM FUNDS FUNDAMENTAL INVESTORS A	44.14	1.66	0.00	1.66	80.0	1.33
12/30/2016	WHITE, KRISTIN	AM FUNDS GLOBAL BALANCED A	2,477.74	92.92	0.00	92.92	80.0	74.34
12/28/2016	DOYLE, DENNIS	AM FUNDS GROWTH FUND OF AMERICA A	57.42	1.58	0.00	1.58	80.0	1.26
12/28/2016	BARRY, ANNE M CHAPUSEA	AM FUNDS GROWTH FUND OF AMERICA A	134.11	3.69	0.00	3.69	80.0	2.95
12/28/2016	ANSON, MOLLY	AM FUNDS GROWTH FUND OF AMERICA A	45.48	1.71	0.00	1.71	80.0	1.37
12/28/2016	HARMSWORTH, KRISTA	AM FUNDS GROWTH FUND OF AMERICA A	37.40	1.40	0.00	1.40	80.0	1.12
12/28/2016	COFFMAN, ANITA	AM FUNDS GROWTH FUND OF AMERICA A	75.00	3.75	0.00	3.75	80.0	3.00
12/30/2016	GOFF, LISA	AM FUNDS GROWTH FUND OF AMERICA A	1,168.71	43.83	0.00	43.83	80.0	35.06
12/30/2016	WHITE, KRISTIN	AM FUNDS GROWTH FUND OF AMERICA A	1,156.28	43.36	0.00	43.36	80.0	34.69
12/30/2016	THOMPSON, DOUGLAS	AM FUNDS GROWTH FUND OF AMERICA A	114.58	5.73	0.00	5.73	80.0	4.58
01/03/2017	TORNOW, MARGARET	AM FUNDS GROWTH FUND OF AMERICA A	150.00	1.80	0.00	1.80	80.0	1.44
01/03/2017	DOYLE, DENNIS	AM FUNDS GROWTH FUND OF AMERICA A	57.42	1.58	0.00	1.58	80.0	1.26
01/03/2017	BARRY, ANNE M CHAPUSEA	AM FUNDS GROWTH FUND OF AMERICA A	134.11	3.69	0.00	3.69	80.0	2.95
01/03/2017	ANSON, MOLLY	AM FUNDS GROWTH FUND OF AMERICA A	45.48	1.71	0.00	1.71	80.0	1.37
01/03/2017	HARMSWORTH, KRISTA	AM FUNDS GROWTH FUND OF AMERICA A	37.40	1.40	0.00	1.40	80.0	1.12
01/03/2017	TYRANSKI, KELLY	AM FUNDS GROWTH FUND OF AMERICA A	17.00	0.85	0.00	0.85	80.0	0.68
01/03/2017	JOHNSTON, BARBARA	AM FUNDS GROWTH FUND OF AMERICA A	100.00	4.25	0.00	4.25	80.0	3.40
01/03/2017	SEMRAU, SHELLY	AM FUNDS GROWTH FUND OF AMERICA A	30.00	1.28	0.00	1.28	80.0	1.02
12/28/2016	DOYLE, DENNIS	AM FUNDS ICA A	57.42	1.58	0.00	1.58	80.0	1.26
01/03/2017	TORNOW, MARGARET	AM FUNDS ICA A	150.00	1.80	0.00	1.80	80.0	1.44
01/03/2017	DOYLE, DENNIS	AM FUNDS ICA A	57.42	1.58	0.00	1.58	80.0	1.26
12/28/2016	MURRAY, KATHLEEN	AM FUNDS INTL GROWTH AND INCOME A	50.00	1.38	0.00	1.38	80.0	1.10
01/03/2017	MURRAY, KATHLEEN	AM FUNDS INTL GROWTH AND INCOME A	50.00	1.38	0.00	1.38	80.0	1.10
01/03/2017	SEMRAU, SHELLY	AM FUNDS INTL GROWTH AND INCOME A	30.00	1.28	0.00	1.28	80.0	1.02

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>BROKER TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
12/28/2016	LAPRATT-DOYLE, MARY	AM FUNDS NEW ECONOMY A	12.50	0.34	0.00	0.34	80.0	0.27
12/30/2016	GOFF, LISA	AM FUNDS NEW ECONOMY A	1,078.81	40.46	0.00	40.46	80.0	32.37
01/03/2017	LAPRATT-DOYLE, MARY	AM FUNDS NEW ECONOMY A	12.50	0.34	0.00	0.34	80.0	0.27
12/27/2016	ANSON, MOLLY	AM FUNDS NEW PERSPECTIVE A	54.00	2.03	0.00	2.03	80.0	1.62
12/28/2016	BARRY, ANNE M CHAPUSEA	AM FUNDS NEW PERSPECTIVE A	134.11	3.69	0.00	3.69	80.0	2.95
12/28/2016	MURRAY, KATHLEEN	AM FUNDS NEW PERSPECTIVE A	50.00	1.38	0.00	1.38	80.0	1.10
12/28/2016	HARMSWORTH, KRISTA	AM FUNDS NEW PERSPECTIVE A	36.30	1.36	0.00	1.36	80.0	1.09
12/28/2016	LAPRATT-DOYLE, MARY	AM FUNDS NEW PERSPECTIVE A	12.50	0.34	0.00	0.34	80.0	0.27
12/30/2016	GOFF, LISA	AM FUNDS NEW PERSPECTIVE A	1,078.81	40.46	0.00	40.46	80.0	32.37
12/30/2016	WHITE, KRISTIN	AM FUNDS NEW PERSPECTIVE A	1,073.69	40.26	0.00	40.26	80.0	32.21
01/03/2017	HOOTON, KELLY	AM FUNDS NEW PERSPECTIVE A	12.50	0.25	0.00	0.25	80.0	0.20
01/03/2017	BARRY, ANNE M CHAPUSEA	AM FUNDS NEW PERSPECTIVE A	134.11	3.69	0.00	3.69	80.0	2.95
01/03/2017	MURRAY, KATHLEEN	AM FUNDS NEW PERSPECTIVE A	50.00	1.38	0.00	1.38	80.0	1.10
01/03/2017	HARMSWORTH, KRISTA	AM FUNDS NEW PERSPECTIVE A	36.30	1.36	0.00	1.36	80.0	1.09
01/03/2017	LAPRATT-DOYLE, MARY	AM FUNDS NEW PERSPECTIVE A	12.50	0.34	0.00	0.34	80.0	0.27
01/03/2017	TYRANSKI, KELLY	AM FUNDS NEW PERSPECTIVE A	16.50	0.83	0.00	0.83	80.0	0.66
12/28/2016	COFFMAN, ANITA	AM FUNDS NEW WORLD A	75.00	3.75	0.00	3.75	80.0	3.00
01/03/2017	SEMRAU, SHELLY	AM FUNDS NEW WORLD A	30.00	1.28	0.00	1.28	80.0	1.02
01/03/2017	WHITE, KRISTIN	AM FUNDS SMALLCAP WORLD C	200.00	2.00	0.00	2.00	80.0	1.60
12/28/2016	LAPRATT-DOYLE, MARY	AM FUNDS WASHINGTON MUTUAL INVESTOR	12.50	0.34	0.00	0.34	80.0	0.27
12/30/2016	GOFF, LISA	AM FUNDS WASHINGTON MUTUAL INVESTOR	1,168.71	43.83	0.00	43.83	80.0	35.06
12/30/2016	WHITE, KRISTIN	AM FUNDS WASHINGTON MUTUAL INVESTOR	2,477.74	92.92	0.00	92.92	80.0	74.34
01/03/2017	TORNOW, MARGARET	AM FUNDS WASHINGTON MUTUAL INVESTOR	150.00	1.80	0.00	1.80	80.0	1.44
01/03/2017	LAPRATT-DOYLE, MARY	AM FUNDS WASHINGTON MUTUAL INVESTOR	12.50	0.34	0.00	0.34	80.0	0.27
01/03/2017	SEMRAU, SHELLY	AM FUNDS WASHINGTON MUTUAL INVESTOR	30.00	1.28	0.00	1.28	80.0	1.02
12/30/2016	GOFF, LISA	AMERICAN FUNDS DEVELOPING WORLD GRO	1,078.81	40.46	0.00	40.46	80.0	32.37
/ /	SOCHA, KRISTEN	FIDELITY ADV GROWTH OPP A	0.00	1.13	0.00	1.13	80.0	0.90
/ /	SOCHA, KRISTEN	FIDELITY EQUITY INCOME A	0.00	1.02	0.00	1.02	80.0	0.82
12/28/2016	SOCHA, KRISTEN	FIDELITY EQUITY INCOME A	50.00	2.50	0.00	2.50	80.0	2.00
/ /	SOCHA, KRISTEN	FIDELITY TREASURY FUND	0.00	0.08	0.00	0.08	80.0	0.06
12/19/2016	KALANQUIN, THOMAS	FRANKLIN GROWTH A	89.64	3.36	0.00	3.36	80.0	2.69
12/30/2016	KALANQUIN, THOMAS	FRANKLIN GROWTH A	89.64	3.36	0.00	3.36	80.0	2.69
01/03/2017	FLOWERS, AMY	FRANKLIN GROWTH A	50.00	2.50	0.00	2.50	80.0	2.00

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>BROKER TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
01/03/2017	STRATZ, SARAH	FRANKLIN GROWTH A	100.00	5.00	0.00	5.00	80.0	4.00
12/19/2016	KALANQUIN, THOMAS	FRANKLIN HIGH INCOME A	89.64	3.59	0.00	3.59	80.0	2.87
12/30/2016	KALANQUIN, THOMAS	FRANKLIN HIGH INCOME A	89.64	3.59	0.00	3.59	80.0	2.87
12/19/2016	KALANQUIN, THOMAS	FRANKLIN INCOME A	89.64	3.59	0.00	3.59	80.0	2.87
12/30/2016	KALANQUIN, THOMAS	FRANKLIN INCOME A	89.64	3.59	0.00	3.59	80.0	2.87
12/19/2016	KALANQUIN, THOMAS	FRANKLIN NATURAL RESOURCES A	91.80	3.44	0.00	3.44	80.0	2.75
12/30/2016	KALANQUIN, THOMAS	FRANKLIN NATURAL RESOURCES A	91.80	3.44	0.00	3.44	80.0	2.75
12/30/2016	ULIN, DAWN	FRANKLIN TEMPLETON GLOBAL BALANCED	2,000.00	75.00	0.00	75.00	80.0	60.00
12/30/2016	ULIN, DAWN	FRANKLIN TOTAL RETURN A	2,000.00	80.00	0.00	80.00	80.0	64.00
12/19/2016	KALANQUIN, THOMAS	FT MUTUAL EUROPEAN FUND A	89.64	3.36	0.00	3.36	80.0	2.69
12/30/2016	KALANQUIN, THOMAS	FT MUTUAL EUROPEAN FUND A	89.64	3.36	0.00	3.36	80.0	2.69
01/03/2017	CONN, NANCY	GRIFFIN INSTITUTIONAL ACCESS REAL E	13,675.00	683.75	22.00	661.75	80.0	529.40
/ /	WHITE, DYLAN	JH 529 PORT 2021-2024 A	0.00	0.27	0.00	0.27	80.0	0.22
/ /	WHITE, DYLAN	JH 529 PORT 2021-2024 A	0.00	0.27	0.00	0.27	80.0	0.22
/ /	LAMBERT, JOANNE	OPPENHEIMER CAPITAL APPRECIATION A	0.00	4.59	0.00	4.59	80.0	3.67
/ /	RAMIN, DONNA	OPPENHEIMER CAPITAL APPRECIATION A	0.00	7.29	0.00	7.29	80.0	5.83
/ /	MATOUSEK, LAURA	OPPENHEIMER CAPITAL APPRECIATION A	0.00	12.79	0.00	12.79	80.0	10.23
/ /	YODZIO, JESSICA	OPPENHEIMER CAPITAL APPRECIATION A	0.00	6.01	0.00	6.01	80.0	4.81
12/22/2016	YODZIO, JESSICA	OPPENHEIMER CAPITAL APPRECIATION A	54.45	2.59	0.00	2.59	80.0	2.07
12/30/2016	LAMBERT, JOANNE	OPPENHEIMER CAPITAL APPRECIATION A	56.00	2.66	0.00	2.66	80.0	2.13
12/30/2016	RAMIN, DONNA	OPPENHEIMER CAPITAL APPRECIATION A	30.00	1.20	0.00	1.20	80.0	0.96
12/30/2016	MATOUSEK, LAURA	OPPENHEIMER CAPITAL APPRECIATION A	100.00	4.75	0.00	4.75	80.0	3.80
/ /	RAMIN, DONNA	OPPENHEIMER DEVELOPING MARKETS A	0.00	6.73	0.00	6.73	80.0	5.38
/ /	RAMIN, DONNA	OPPENHEIMER DEVELOPING MARKETS A	0.00	2.02	0.00	2.02	80.0	1.62
/ /	YODZIO, JESSICA	OPPENHEIMER DEVELOPING MARKETS A	0.00	4.73	0.00	4.73	80.0	3.78
12/22/2016	YODZIO, JESSICA	OPPENHEIMER DEVELOPING MARKETS A	56.10	2.66	0.00	2.66	80.0	2.13
12/30/2016	RAMIN, DONNA	OPPENHEIMER DEVELOPING MARKETS A	60.00	2.40	0.00	2.40	80.0	1.92
/ /	LAMBERT, JOANNE	OPPENHEIMER DISCOVERY A	0.00	1.14	0.00	1.14	80.0	0.91
/ /	RAMIN, DONNA	OPPENHEIMER DISCOVERY A	0.00	6.09	0.00	6.09	80.0	4.87
12/30/2016	LAMBERT, JOANNE	OPPENHEIMER DISCOVERY A	14.00	0.67	0.00	0.67	80.0	0.54
12/30/2016	RAMIN, DONNA	OPPENHEIMER DISCOVERY A	30.00	1.20	0.00	1.20	80.0	0.96
/ /	RAMIN, DONNA	OPPENHEIMER EMERGING MKTS DEBT A	0.00	1.63	0.00	1.63	80.0	1.30
/ /	YODZIO, JESSICA	OPPENHEIMER EQUITY A	0.00	6.10	0.00	6.10	80.0	4.88

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>BROKER TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
12/22/2016	YODZIO, JESSICA	OPPENHEIMER EQUITY A	54.45	2.59	0.00	2.59	80.0	2.07
/ /	HEBERT, PAUL	OPPENHEIMER EQUITY INCOME A	0.00	0.52	0.00	0.52	80.0	0.42
/ /	RAMIN, DONNA	OPPENHEIMER GLOBAL A	0.00	2.45	0.00	2.45	80.0	1.96
/ /	MATOUSEK, LAURA	OPPENHEIMER GLOBAL A	0.00	1.41	0.00	1.41	80.0	1.13
/ /	HEBERT, PAUL	OPPENHEIMER GLOBAL A	0.00	0.44	0.00	0.44	80.0	0.35
/ /	LAMBERT, JOANNE	OPPENHEIMER GLOBAL OPPORTUNITIES A	0.00	2.49	0.00	2.49	80.0	1.99
/ /	RAMIN, DONNA	OPPENHEIMER GLOBAL OPPORTUNITIES A	0.00	6.32	0.00	6.32	80.0	5.06
12/30/2016	LAMBERT, JOANNE	OPPENHEIMER GLOBAL OPPORTUNITIES A	28.00	1.33	0.00	1.33	80.0	1.06
12/30/2016	RAMIN, DONNA	OPPENHEIMER GLOBAL OPPORTUNITIES A	30.00	1.20	0.00	1.20	80.0	0.96
/ /	HEBERT, PAUL	OPPENHEIMER INTL GROWTH A	0.00	0.36	0.00	0.36	80.0	0.29
/ /	RAMIN, DONNA	OPPENHEIMER RISING DIVIDENDS A	0.00	3.97	0.00	3.97	80.0	3.18
12/27/2016	RAMIN, DONNA	OPPENHEIMER RISING DIVIDENDS A	75.00	3.00	0.00	3.00	80.0	2.40
/ /	LAMBERT, JOANNE	OPPENHEIMER SMALL & MIDCAP GROWTH A	0.00	2.36	0.00	2.36	80.0	1.89
12/30/2016	LAMBERT, JOANNE	OPPENHEIMER SMALL & MIDCAP GROWTH A	28.00	1.33	0.00	1.33	80.0	1.06
/ /	LAMBERT, JOANNE	OPPENHEIMER VALUE A	0.00	0.97	0.00	0.97	80.0	0.78
12/30/2016	LAMBERT, JOANNE	OPPENHEIMER VALUE A	14.00	0.67	0.00	0.67	80.0	0.54
12/30/2016	ULIN, DAWN	TEMPLETON GLOBAL BOND A	2,000.00	80.00	0.00	80.00	80.0	64.00
12/19/2016	KALANQUIN, THOMAS	TEMPLETON GROWTH A	89.64	3.36	0.00	3.36	80.0	2.69
12/30/2016	KALANQUIN, THOMAS	TEMPLETON GROWTH A	89.64	3.36	0.00	3.36	80.0	2.69
12/30/2016	ULIN, DAWN	TEMPLETON GROWTH A	2,000.00	75.00	0.00	75.00	80.0	60.00
01/03/2017	ENGLISH, RANDY	TEMPLETON GROWTH A	25.00	1.25	0.00	1.25	80.0	1.00
01/03/2017	PEARSON, PAMELA	TEMPLETON GROWTH A	85.00	4.25	0.00	4.25	80.0	3.40
01/03/2017	FLOWERS, AMY	TEMPLETON GROWTH A	50.00	2.50	0.00	2.50	80.0	2.00
01/03/2017	ENGLISH, RANDY	TEMPLETON WORLD A	25.00	1.25	0.00	1.25	80.0	1.00
* MUTUAL FUNDS SUBTOTAL *			\$54,144.48	\$2,178.42	\$22.00	\$2,156.42		\$1,725.04
<u>PRODUCT CATEGORY: STOCKS</u>								
01/04/2017	CONN, NANCY	FS INVT CORP IV CLASS T	13,675.00	0.00	0.00	0.00	80.0	0.00
* STOCKS SUBTOTAL *			\$13,675.00	\$0.00	\$0.00	\$0.00		\$0.00
*** BROKER TRANSACTIONS TOTAL ***			\$67,819.48	\$2,178.42	\$22.00	\$2,156.42		\$1,725.04

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>ADJUSTMENTS</u>								
01/17/2017		*FINRA: S66 EXAM	0.00					-155.00
		*** ADJUSTMENTS TOTAL ***	\$0.00	\$0.00	\$0.00	\$0.00		\$-155.00

BROKER COMMISSION TOTALS

Broker Transactions	\$1,725.04
Split Transactions	\$0.00
Override Transactions	\$0.00
Adjustments	\$-155.00
Payroll Draw	\$0.00
Base Salary	\$0.00
Prior Period Balance	\$0.00
FINRA Assessment	\$0.00
SIPC Assessment	\$0.00

Check Amount	\$1,570.04
Year-to-date Gross	\$2,178.42
Year-to-date Earnings	\$1,725.04

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