



Concorde Investment Services, LLC
COMMISSION STATEMENT
February 15, 2018

02/19/2018
Page No. 1

DELMAR (BO)-M143 MCKINNEY
5 Red Bud Trail

BROKER #: M143
BRANCH: EAGLE WEALTH MANAGEM

Round Rock, TX 78655-

DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>CLEARING TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
02/05/2018	ASPRA, TRISSA	AM FUNDS AMCAP A	75.00	3.19	12.00	-8.81	90.0	-7.93
02/05/2018	ASPRA, TRISSA	AM FUNDS GROWTH FUND OF AMERICA A	75.00	3.19	12.00	-8.81	90.0	-7.93
02/02/2018	LAWHON, JACKIE	AM FUNDS WASHINGTON MUTUAL INVESTOR	-500.00	0.00	12.00	-12.00	90.0	-10.80
* MUTUAL FUNDS SUBTOTAL *			\$-350.00	\$6.38	\$36.00	\$-29.62		\$-26.66
*** CLEARING TRANSACTIONS TOTAL ***			\$-350.00	\$6.38	\$36.00	\$-29.62		\$-26.66

<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: 529 PLANS</u>								
01/22/2018	BRUECKNER, MICHAEL	AM FUNDS GROWTH FUND OF AMERICA 529	100.00	1.20	0.00	1.20	90.0	1.08
02/01/2018	OHE, EUGENIA	AM FUNDS GROWTH FUND OF AMERICA 529	100.00	2.75	0.00	2.75	90.0	2.48
02/01/2018	OHE, EUGENIA	AM FUNDS GROWTH FUND OF AMERICA 529	100.00	2.75	0.00	2.75	90.0	2.48
01/22/2018	BRUECKNER, MICHAEL	AM FUNDS WASHINGTON MUTUAL INVESTOR	100.00	1.20	0.00	1.20	90.0	1.08
* 529 PLANS SUBTOTAL *			\$400.00	\$7.90	\$0.00	\$7.90		\$7.12

<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
01/31/2018	ENOCHS, LELAND	AM FUNDS EUROPACIFIC GROWTH FUND A	105.00	2.10	0.00	2.10	90.0	1.89
01/31/2018	ENOCHS, LELAND	AM FUNDS EUROPACIFIC GROWTH FUND A	270.82	5.42	0.00	5.42	90.0	4.88
01/31/2018	ENOCHS, DONNA	AM FUNDS EUROPACIFIC GROWTH FUND A	8.25	0.17	0.00	0.17	90.0	0.15
01/31/2018	ENOCHS, DONNA	AM FUNDS EUROPACIFIC GROWTH FUND A	253.96	5.08	0.00	5.08	90.0	4.57
01/31/2018	ENOCHS, LELAND	AM FUNDS FUNDAMENTAL INVESTORS A	105.00	2.10	0.00	2.10	90.0	1.89
01/31/2018	ENOCHS, LELAND	AM FUNDS FUNDAMENTAL INVESTORS A	270.84	5.42	0.00	5.42	90.0	4.88
01/31/2018	ENOCHS, DONNA	AM FUNDS FUNDAMENTAL INVESTORS A	8.25	0.17	0.00	0.17	90.0	0.15
01/31/2018	ENOCHS, DONNA	AM FUNDS FUNDAMENTAL INVESTORS A	253.96	5.08	0.00	5.08	90.0	4.57
01/31/2018	ENOCHS, LELAND	AM FUNDS GROWTH FUND OF AMERICA A	105.00	2.10	0.00	2.10	90.0	1.89
01/31/2018	ENOCHS, LELAND	AM FUNDS GROWTH FUND OF AMERICA A	270.84	5.42	0.00	5.42	90.0	4.88
01/31/2018	BRUECKNER, KIMBERLY	AM FUNDS GROWTH FUND OF AMERICA A	325.00	3.90	0.00	3.90	90.0	3.51

NOTES: * - Indicates adjustment is not included in 1099 Earnings
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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>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
01/31/2018	ENOCHS, DONNA	AM FUNDS GROWTH FUND OF AMERICA A	8.25	0.17	0.00	0.17	90.0	0.15
01/31/2018	ENOCHS, DONNA	AM FUNDS GROWTH FUND OF AMERICA A	253.96	5.08	0.00	5.08	90.0	4.57
01/31/2018	ENOCHS, LELAND	AM FUNDS WASHINGTON MUTUAL INVESTOR	105.00	2.10	0.00	2.10	90.0	1.89
01/31/2018	ENOCHS, LELAND	AM FUNDS WASHINGTON MUTUAL INVESTOR	270.84	5.42	0.00	5.42	90.0	4.88
01/31/2018	ENOCHS, DONNA	AM FUNDS WASHINGTON MUTUAL INVESTOR	8.25	0.17	0.00	0.17	90.0	0.15
01/31/2018	ENOCHS, DONNA	AM FUNDS WASHINGTON MUTUAL INVESTOR	253.97	5.08	0.00	5.08	90.0	4.57
* MUTUAL FUNDS SUBTOTAL *			\$2,877.19	\$54.98	\$0.00	\$54.98		\$49.47
<u>PRODUCT CATEGORY: VARIABLE ANNUITIES</u>								
02/03/2018	KELLEY, DOLORES	AM GEN POLIRIS II FLEXIBLE	2,920.65	2.92	0.00	2.92	90.0	2.63
01/31/2018	MASON, JOHN	JNL PERSPECTIVE ADV II 5/05	476,103.18	396.75	0.00	396.75	90.0	357.08
01/31/2018	MASON, JOHN	JNL PERSPECTIVE L	473,652.95	394.71	0.00	394.71	90.0	355.24
01/31/2018	PEMBERTON, PATRICIA	JOHN HANCOCK VENTURE	20,985.94	4.37	0.00	4.37	90.0	3.93
* VARIABLE ANNUITIES SUBTOTAL *			\$973,662.72	\$798.75	\$0.00	\$798.75		\$718.88
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
01/18/2018	BUROW, PAUL	ALLIANCEBERNSTEIN INTL VALUE A	0.00	0.97	0.00	0.97	90.0	0.87
01/23/2018	WIESNER, BETTY	AM CENT EQUITY INCOME	0.00	3.22	0.00	3.22	90.0	2.90
01/18/2018	ROSENTHAL, LUCILLE	AM FUNDS AMCAP A	0.00	13.10	0.00	13.10	90.0	11.79
01/18/2018	LUEDTKE, LOIS	AM FUNDS AMCAP A	0.00	13.19	0.00	13.19	90.0	11.87
01/18/2018	ASPRA, TRISSA	AM FUNDS AMCAP A	0.00	2.90	0.00	2.90	90.0	2.61
01/18/2018	NMN & NJN MGMT TRUST	AM FUNDS AMCAP A	0.00	1.73	0.00	1.73	90.0	1.56
01/18/2018	MICHNA, RHYS	AM FUNDS AMCAP A	0.00	1.44	0.00	1.44	90.0	1.30
01/18/2018	SCOTT, MONYAN	AM FUNDS AMCAP A	0.00	29.96	0.00	29.96	90.0	26.96
01/18/2018	GREER, GREGORY	AM FUNDS AMCAP A	0.00	6.22	0.00	6.22	90.0	5.60
01/18/2018	GREER, GREGORY	AM FUNDS AMCAP A	0.00	6.21	0.00	6.21	90.0	5.59
01/18/2018	SPECKELS, MELBA	AM FUNDS AMERICAN BALANCED A	0.00	1.33	0.00	1.33	90.0	1.20
01/18/2018	GREER, GREGORY	AM FUNDS AMERICAN BALANCED A	0.00	1.81	0.00	1.81	90.0	1.63
01/18/2018	GREER, GREGORY	AM FUNDS AMERICAN BALANCED A	0.00	2.11	0.00	2.11	90.0	1.90
01/18/2018	FUESSEL, NORMAN	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	0.44	0.00	0.44	90.0	0.40
01/18/2018	FUESSEL NE & NA TR, NORMAN	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	35.56	0.00	35.56	90.0	32.00
01/18/2018	SPECKELS, MELBA	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	1.66	0.00	1.66	90.0	1.49
01/18/2018	ROSENTHAL, LUCILLE	AM FUNDS AMERICAN MUTUAL A	0.00	19.90	0.00	19.90	90.0	17.91
01/18/2018	FUESSEL IRREV TR, NORMAN	AM FUNDS AMERICAN MUTUAL A	0.00	9.12	0.00	9.12	90.0	8.21

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<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
01/18/2018	NMN & NJN MGMT TRUST	AM FUNDS AMERICAN MUTUAL A	0.00	1.06	0.00	1.06	90.0	0.95
01/18/2018	SCOTT, MONYEAN	AM FUNDS AMERICAN MUTUAL A	0.00	25.62	0.00	25.62	90.0	23.06
01/18/2018	IVICIC, MARY	AM FUNDS AMERICAN MUTUAL A	0.00	3.03	0.00	3.03	90.0	2.73
01/18/2018	CHEATHAM, JIMMY	AM FUNDS CAPITAL INCOME BUILDER A	0.00	11.71	0.00	11.71	90.0	10.54
01/18/2018	PRAESEL, ARTHUR	AM FUNDS CAPITAL INCOME BUILDER A	0.00	22.43	0.00	22.43	90.0	20.19
01/18/2018	ROSENTHAL, LUCILLE	AM FUNDS CAPITAL INCOME BUILDER A	0.00	34.94	0.00	34.94	90.0	31.45
01/18/2018	FUESSEL, NORMAN	AM FUNDS CAPITAL INCOME BUILDER A	0.00	21.53	0.00	21.53	90.0	19.38
01/18/2018	FUESSEL NE & NA TR, NORMAN	AM FUNDS CAPITAL INCOME BUILDER A	0.00	19.68	0.00	19.68	90.0	17.71
01/18/2018	BRUECKNER, KIMBERLY	AM FUNDS CAPITAL INCOME BUILDER A	0.00	5.63	0.00	5.63	90.0	5.07
01/18/2018	KELLEY, DOLORES	AM FUNDS CAPITAL INCOME BUILDER A	0.00	6.53	0.00	6.53	90.0	5.88
01/18/2018	LOGHRY, DORIS	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.07	0.00	0.07	90.0	0.06
01/18/2018	PEKAR, DAVID	AM FUNDS CAPITAL INCOME BUILDER A	0.00	8.08	0.00	8.08	90.0	7.27
01/18/2018	SPECKELS, WARREN	AM FUNDS CAPITAL INCOME BUILDER A	0.00	1.44	0.00	1.44	90.0	1.30
01/18/2018	SPECKELS, MELBA	AM FUNDS CAPITAL INCOME BUILDER A	0.00	2.14	0.00	2.14	90.0	1.93
01/18/2018	BRANSON, BARBARA	AM FUNDS CAPITAL INCOME BUILDER A	0.00	3.40	0.00	3.40	90.0	3.06
01/18/2018	MORRIS, JANINE	AM FUNDS CAPITAL INCOME BUILDER A	0.00	9.60	0.00	9.60	90.0	8.64
01/18/2018	SCOTT, MONYEAN	AM FUNDS CAPITAL INCOME BUILDER A	0.00	22.25	0.00	22.25	90.0	20.03
01/18/2018	GREER, GREGORY	AM FUNDS CAPITAL INCOME BUILDER A	0.00	1.46	0.00	1.46	90.0	1.31
01/18/2018	GREER, GREGORY	AM FUNDS CAPITAL INCOME BUILDER A	0.00	1.70	0.00	1.70	90.0	1.53
01/18/2018	URBAN, LONNIE	AM FUNDS CAPITAL INCOME BUILDER A	0.00	1.59	0.00	1.59	90.0	1.43
01/18/2018	MOORE, TERRY	AM FUNDS CAPITAL INCOME BUILDER C	0.00	34.61	0.00	34.61	90.0	31.15
01/18/2018	ROSENTHAL, LUCILLE	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	33.34	0.00	33.34	90.0	30.01
01/18/2018	FUESSEL IRREV TR, NORMAN	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	9.25	0.00	9.25	90.0	8.33
01/18/2018	BRUECKNER, KIMBERLY	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	16.30	0.00	16.30	90.0	14.67
01/18/2018	KELLEY, DOLORES	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	5.45	0.00	5.45	90.0	4.91
01/18/2018	NMN & NJN MGMT TRUST	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	1.23	0.00	1.23	90.0	1.11
01/18/2018	SCOTT, MONYEAN	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	33.31	0.00	33.31	90.0	29.98
01/18/2018	HOHMAN, JEROME	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	9.71	0.00	9.71	90.0	8.74
01/18/2018	DROMGOOLE, NONA	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	6.68	0.00	6.68	90.0	6.01
01/18/2018	GREER, GREGORY	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	4.77	0.00	4.77	90.0	4.29
01/18/2018	GREER, GREGORY	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	4.77	0.00	4.77	90.0	4.29
01/18/2018	URBAN, LONNIE	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	1.81	0.00	1.81	90.0	1.63
01/18/2018	IVICIC, MARY	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	1.40	0.00	1.40	90.0	1.26

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<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
01/18/2018	FUESSEL NE & NA TR, NORMAN	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	19.71	0.00	19.71	90.0	17.74
01/18/2018	LUEDTKE, LOIS	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	18.57	0.00	18.57	90.0	16.71
01/18/2018	KELLEY, DOLORES	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	4.78	0.00	4.78	90.0	4.30
01/18/2018	GREER, GREGORY	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	1.36	0.00	1.36	90.0	1.22
01/18/2018	GREER, GREGORY	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	1.61	0.00	1.61	90.0	1.45
01/18/2018	ROSENTHAL, LUCILLE	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	42.21	0.00	42.21	90.0	37.99
01/18/2018	BRUECKNER, KIMBERLY	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	21.08	0.00	21.08	90.0	18.97
01/18/2018	NMN & NJN MGMT TRUST	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	1.70	0.00	1.70	90.0	1.53
01/18/2018	SCOTT, MONYUAN	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	42.60	0.00	42.60	90.0	38.34
01/18/2018	DROMGOOLE, NONA	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	8.03	0.00	8.03	90.0	7.23
01/18/2018	GREER, GREGORY	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	3.99	0.00	3.99	90.0	3.59
01/18/2018	GREER, GREGORY	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	4.17	0.00	4.17	90.0	3.75
01/18/2018	EWING LIVING TRUST, JACK &	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	7.65	0.00	7.65	90.0	6.89
01/18/2018	IVICIC, MARY	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	3.82	0.00	3.82	90.0	3.44
01/18/2018	ROSENTHAL, LUCILLE	AM FUNDS GROWTH FUND OF AMERICA A	0.00	14.03	0.00	14.03	90.0	12.63
01/18/2018	FUESSEL IRREV TR, NORMAN	AM FUNDS GROWTH FUND OF AMERICA A	0.00	55.91	0.00	55.91	90.0	50.32
01/18/2018	LUEDTKE, LOIS	AM FUNDS GROWTH FUND OF AMERICA A	0.00	41.10	0.00	41.10	90.0	36.99
01/18/2018	ASPRA, TRISSA	AM FUNDS GROWTH FUND OF AMERICA A	0.00	3.16	0.00	3.16	90.0	2.84
01/18/2018	BRUECKNER, KIMBERLY	AM FUNDS GROWTH FUND OF AMERICA A	0.00	21.48	0.00	21.48	90.0	19.33
01/18/2018	ROSIPAL, HERBERT	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.14	0.00	0.14	90.0	0.13
01/18/2018	KELLEY, DOLORES	AM FUNDS GROWTH FUND OF AMERICA A	0.00	6.32	0.00	6.32	90.0	5.69
01/18/2018	LAWHON, JACKIE	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.42	0.00	0.42	90.0	0.38
01/18/2018	NMN & NJN MGMT TRUST	AM FUNDS GROWTH FUND OF AMERICA A	0.00	1.71	0.00	1.71	90.0	1.54
01/18/2018	BORGNE JR, ROBERT	AM FUNDS GROWTH FUND OF AMERICA A	0.00	7.36	0.00	7.36	90.0	6.62
01/18/2018	LAWHON, STEVEN	AM FUNDS GROWTH FUND OF AMERICA A	0.00	7.46	0.00	7.46	90.0	6.71
01/18/2018	SPECKELS, WARREN	AM FUNDS GROWTH FUND OF AMERICA A	0.00	2.25	0.00	2.25	90.0	2.03
01/18/2018	MICHNA, RHYS	AM FUNDS GROWTH FUND OF AMERICA A	0.00	1.44	0.00	1.44	90.0	1.30
01/18/2018	MORRIS, JANINE	AM FUNDS GROWTH FUND OF AMERICA A	0.00	20.47	0.00	20.47	90.0	18.42
01/18/2018	SCOTT, MONYUAN	AM FUNDS GROWTH FUND OF AMERICA A	0.00	43.92	0.00	43.92	90.0	39.53
01/18/2018	LAWHON, BRAEDEN	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.94	0.00	0.94	90.0	0.85
01/18/2018	DROMGOOLE, NONA	AM FUNDS GROWTH FUND OF AMERICA A	0.00	8.22	0.00	8.22	90.0	7.40
01/18/2018	GREER, GREGORY	AM FUNDS GROWTH FUND OF AMERICA A	0.00	7.91	0.00	7.91	90.0	7.12
01/18/2018	GREER, GREGORY	AM FUNDS GROWTH FUND OF AMERICA A	0.00	7.74	0.00	7.74	90.0	6.97

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<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
01/18/2018	MOORE, TERRY	AM FUNDS GROWTH FUND OF AMERICA A	0.00	2.46	0.00	2.46	90.0	2.21
01/18/2018	OHE, DRAKE	AM FUNDS GROWTH FUND OF AMERICA A	0.00	1.31	0.00	1.31	90.0	1.18
01/18/2018	OHE, EUGENIA	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.88	0.00	0.88	90.0	0.79
01/18/2018	URBAN, LONNIE	AM FUNDS GROWTH FUND OF AMERICA A	0.00	2.33	0.00	2.33	90.0	2.10
01/18/2018	LAWHON, MAISEN	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.65	0.00	0.65	90.0	0.59
01/18/2018	IVICIC, MARY	AM FUNDS GROWTH FUND OF AMERICA A	0.00	3.45	0.00	3.45	90.0	3.11
01/18/2018	DROMGOOLE, NONA	AM FUNDS ICA A	0.00	6.64	0.00	6.64	90.0	5.98
01/18/2018	EWING JR, JACK	AM FUNDS ICA A	0.00	9.65	0.00	9.65	90.0	8.69
01/18/2018	CHEATHAM, JIMMY	AM FUNDS INCOME FUND OF AMERICA A	0.00	11.39	0.00	11.39	90.0	10.25
01/18/2018	PRAESEL, ARTHUR	AM FUNDS INCOME FUND OF AMERICA A	0.00	27.12	0.00	27.12	90.0	24.41
01/18/2018	ROSENTHAL, LUCILLE	AM FUNDS INCOME FUND OF AMERICA A	0.00	41.08	0.00	41.08	90.0	36.97
01/18/2018	FUESSEL, NORMAN	AM FUNDS INCOME FUND OF AMERICA A	0.00	19.43	0.00	19.43	90.0	17.49
01/18/2018	FUESSEL NE & NA TR, NORMAN	AM FUNDS INCOME FUND OF AMERICA A	0.00	18.65	0.00	18.65	90.0	16.79
01/18/2018	BRUECKNER, KIMBERLY	AM FUNDS INCOME FUND OF AMERICA A	0.00	11.07	0.00	11.07	90.0	9.96
01/18/2018	KELLEY, DOLORES	AM FUNDS INCOME FUND OF AMERICA A	0.00	5.29	0.00	5.29	90.0	4.76
01/18/2018	SPECKELS, MELBA	AM FUNDS INCOME FUND OF AMERICA A	0.00	2.10	0.00	2.10	90.0	1.89
01/18/2018	FISCHER, HAROLD	AM FUNDS INCOME FUND OF AMERICA A	0.00	1.69	0.00	1.69	90.0	1.52
01/18/2018	HAMITER, DONNIE	AM FUNDS INCOME FUND OF AMERICA A	0.00	8.96	0.00	8.96	90.0	8.06
01/18/2018	MORRIS, JANINE	AM FUNDS INCOME FUND OF AMERICA A	0.00	14.38	0.00	14.38	90.0	12.94
01/18/2018	SCOTT, MONYAN	AM FUNDS INCOME FUND OF AMERICA A	0.00	29.65	0.00	29.65	90.0	26.69
01/18/2018	KLEMT, RUTH	AM FUNDS INCOME FUND OF AMERICA A	0.00	1.91	0.00	1.91	90.0	1.72
01/18/2018	WILSON, MARY	AM FUNDS INCOME FUND OF AMERICA A	0.00	5.30	0.00	5.30	90.0	4.77
01/18/2018	GREER, GREGORY	AM FUNDS INCOME FUND OF AMERICA A	0.00	1.66	0.00	1.66	90.0	1.49
01/18/2018	GREER, GREGORY	AM FUNDS INCOME FUND OF AMERICA A	0.00	1.92	0.00	1.92	90.0	1.73
01/18/2018	EWING LIVING TRUST, JACK &	AM FUNDS INCOME FUND OF AMERICA A	0.00	17.18	0.00	17.18	90.0	15.46
01/18/2018	KETTLE, MARVIN	AM FUNDS INCOME FUND OF AMERICA A	0.00	2.41	0.00	2.41	90.0	2.17
01/18/2018	NMN & NJN MGMT TRUST	AM FUNDS INTL GROWTH AND INCOME A	0.00	0.66	0.00	0.66	90.0	0.59
01/18/2018	DROMGOOLE, NONA	AM FUNDS INTL GROWTH AND INCOME A	0.00	5.12	0.00	5.12	90.0	4.61
01/18/2018	BRUECKNER, KIMBERLY	AM FUNDS NEW ECONOMY A	0.00	15.56	0.00	15.56	90.0	14.00
01/18/2018	WILSON, MARY	AM FUNDS NEW ECONOMY A	0.00	12.79	0.00	12.79	90.0	11.51
01/18/2018	BRUECKNER, KIMBERLY	AM FUNDS NEW PERSPECTIVE A	0.00	12.98	0.00	12.98	90.0	11.68
01/18/2018	MORRIS, JANINE	AM FUNDS NEW PERSPECTIVE A	0.00	21.98	0.00	21.98	90.0	19.78
01/18/2018	SCOTT, MONYAN	AM FUNDS NEW PERSPECTIVE A	0.00	39.04	0.00	39.04	90.0	35.14

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>DIRECT TRANSACTIONS</u>								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS								
01/18/2018	NMN & NJN MGMT TRUST	AM FUNDS NEW WORLD A	0.00	0.34	0.00	0.34	90.0	0.31
01/18/2018	DROMGOOLE, NONA	AM FUNDS NEW WORLD A	0.00	5.04	0.00	5.04	90.0	4.54
01/18/2018	BRUECKNER, KIMBERLY	AM FUNDS SMALLCAP WORLD A	0.00	11.53	0.00	11.53	90.0	10.38
01/18/2018	NMN & NJN MGMT TRUST	AM FUNDS SMALLCAP WORLD A	0.00	1.49	0.00	1.49	90.0	1.34
01/18/2018	DROMGOOLE, NONA	AM FUNDS SMALLCAP WORLD A	0.00	1.88	0.00	1.88	90.0	1.69
01/18/2018	GREER, GREGORY	AM FUNDS SMALLCAP WORLD A	0.00	1.71	0.00	1.71	90.0	1.54
01/18/2018	GREER, GREGORY	AM FUNDS SMALLCAP WORLD A	0.00	2.04	0.00	2.04	90.0	1.84
01/18/2018	FUESSEL, NORMAN	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	16.86	0.00	16.86	90.0	15.17
01/18/2018	FUESSEL IRREV TR, NORMAN	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	9.11	0.00	9.11	90.0	8.20
01/18/2018	FUESSEL NE & NA TR, NORMAN	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	71.92	0.00	71.92	90.0	64.73
01/18/2018	BRUECKNER, KIMBERLY	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	13.32	0.00	13.32	90.0	11.99
01/18/2018	KORNEGAY, ALISA	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.33	0.00	0.33	90.0	0.30
01/18/2018	KELLEY, DOLORES	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	9.05	0.00	9.05	90.0	8.15
01/18/2018	LAWHON, JACKIE	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	51.49	0.00	51.49	90.0	46.34
01/18/2018	SPECKELS, WARREN	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	2.86	0.00	2.86	90.0	2.57
01/18/2018	SPECKELS, MELBA	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	1.93	0.00	1.93	90.0	1.74
01/18/2018	SPECKELS, MELBA	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	1.75	0.00	1.75	90.0	1.58
01/18/2018	GILLIGAN, DOROTHY	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	8.01	0.00	8.01	90.0	7.21
01/18/2018	STOLTE, VERNALINE	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.65	0.00	0.65	90.0	0.59
01/18/2018	MORRIS, JANINE	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	21.58	0.00	21.58	90.0	19.42
01/18/2018	SMITH, MICHAEL	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	1.57	0.00	1.57	90.0	1.41
01/18/2018	BUROW, PAUL	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	1.55	0.00	1.55	90.0	1.40
01/18/2018	DALJO LTD PT	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	34.07	0.00	34.07	90.0	30.66
01/18/2018	HOHMAN, JEROME	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	6.16	0.00	6.16	90.0	5.54
01/18/2018	WILSON, MARY	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	15.46	0.00	15.46	90.0	13.91
01/18/2018	WIESNER, BETTY	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	3.92	0.00	3.92	90.0	3.53
01/18/2018	GREER, GREGORY	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	5.77	0.00	5.77	90.0	5.19
01/18/2018	GREER, GREGORY	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	5.74	0.00	5.74	90.0	5.17
01/18/2018	EWING LIVING TRUST, JACK &	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	26.35	0.00	26.35	90.0	23.72
01/18/2018	URBAN, LONNIE	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	2.13	0.00	2.13	90.0	1.92
01/18/2018	IVICIC, MARY	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	3.87	0.00	3.87	90.0	3.48
01/05/2018	BAGGETT, PETE	AQR MANAGED FUTURES STRATEGY FUND C	0.00	0.01	0.00	0.01	90.0	0.01
01/05/2018	BAGGETT, PETE	AQR MULTI STRATEGY ALTERNATIVE FUND	0.00	0.01	0.00	0.01	90.0	0.01

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<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
12/31/2017	NAIZER, JOHNNIE	BLACKROCK 19452W490	0.00	2.00	0.00	2.00	90.0	1.80
12/31/2017	KORNEGAY, ALISA	BLACKROCK 19452W490	0.00	1.25	0.00	1.25	90.0	1.13
12/31/2017	SMITH, MARLO	BLACKROCK 19452W490	0.00	0.49	0.00	0.49	90.0	0.44
12/31/2017	SMITH, MARLO	BLK AGG GROWTH A	0.00	0.39	0.00	0.39	90.0	0.35
01/24/2018	EWING JR, JACK	BLK GLOBAL ALLOCATION C	0.00	16.79	0.00	16.79	90.0	15.11
01/24/2018	EWING LIVING TRUST, JACK &	BLK GLOBAL ALLOCATION C	0.00	60.19	0.00	60.19	90.0	54.17
01/23/2018	SMITH, JUDY	CALAMOS GROWTH C	0.00	38.86	0.00	38.86	90.0	34.97
01/12/2018	KETTLE, MARVIN	CLEARBRIDGE AGGRESSIVE	0.00	2.20	0.00	2.20	90.0	1.98
01/12/2018	KETTLE, MARVIN	CLEARBRIDGE APPRECIATION FUND CLASS	0.00	1.26	0.00	1.26	90.0	1.13
01/12/2018	PEMBERTON, PATRICIA	CLEARBRIDGE SMALL CAP GROWTH FUND C	0.00	4.28	0.00	4.28	90.0	3.85
01/10/2018	WIESNER, BETTY	COLUMBIA ACORN A	0.00	1.50	0.00	1.50	90.0	1.35
01/10/2018	MCELROY, BENNETT	COLUMBIA MARSICO FOCUSED EQUITIES F	0.00	9.84	0.00	9.84	90.0	8.86
01/17/2018	CHEATHAM, JIMMY	FEDERATED CLOVER VALUE A	0.00	0.45	0.00	0.45	90.0	0.41
01/17/2018	CHEATHAM, JIMMY	FEDERATED EQUITY INCOME A	0.00	7.94	0.00	7.94	90.0	7.15
01/17/2018	CHEATHAM, JIMMY	FEDERATED KAUFMANN FUND A	0.00	2.76	0.00	2.76	90.0	2.48
01/17/2018	CHEATHAM, JIMMY	FEDERATED MDT LARGE CAP VALUE FUND	0.00	1.56	0.00	1.56	90.0	1.40
01/17/2018	CHEATHAM, JIMMY	FEDERATED MDT MID CAP GROWTH STRATE	0.00	3.47	0.00	3.47	90.0	3.12
01/17/2018	ESCHBERGER TRUST, JACK & AGNES	FIDELITY ADV NEW INSIGHTS-CL A	0.00	0.71	0.00	0.71	90.0	0.64
01/17/2018	NMN & NUN MGMT TRUST	FIDELITY ADV NEW INSIGHTS-CL A	0.00	1.65	0.00	1.65	90.0	1.49
01/17/2018	NAIZER TRUST, NOLAN	FIDELITY ADV NEW INSIGHTS-CL A	0.00	0.38	0.00	0.38	90.0	0.34
01/17/2018	NAIZER TRUST, NOEL	FIDELITY ADV NEW INSIGHTS-CL A	0.00	0.24	0.00	0.24	90.0	0.22
01/17/2018	WIESNER, BETTY	FIDELITY ADV NEW INSIGHTS-CL A	0.00	3.86	0.00	3.86	90.0	3.47
01/17/2018	MCELROY, BENNETT	FIDELITY ADV STRATEGIC INCOME A	0.00	4.15	0.00	4.15	90.0	3.74
01/22/2018	COOPER, ADAM	FRANKLIN MUTUAL GLOBAL DISCOVERY A	0.00	4.03	0.00	4.03	90.0	3.63
01/22/2018	COOPER, ADAM	FRANKLIN MUTUAL GLOBAL DISCOVERY A	0.00	5.85	0.00	5.85	90.0	5.27
01/22/2018	COOPER, ADAM	FRANKLIN MUTUAL QUEST A	0.00	5.22	0.00	5.22	90.0	4.70
01/22/2018	COOPER, ADAM	FRANKLIN RISING DIVIDENDS A	0.00	5.70	0.00	5.70	90.0	5.13
01/23/2018	ENOCHS, LELAND	GOLDMAN SACHS CAPITAL GROWTH FUND C	0.00	10.60	0.00	10.60	90.0	9.54
01/23/2018	ENOCHS, LELAND	GOLDMAN SACHS FOCUSED INTL EQUITY F	0.00	2.98	0.00	2.98	90.0	2.68
01/23/2018	HAMITER, DONNIE	GOLDMAN SACHS SMALL CAP VALUE FUND-	0.00	0.69	0.00	0.69	90.0	0.62
01/23/2018	STOLTE, VERNALINE	GOLDMAN SACHS U.S. EQUITY INSIGHTS	0.00	0.34	0.00	0.34	90.0	0.31
01/23/2018	BURKHART, KRISTI	GOLDMAN SACHS U.S. EQUITY INSIGHTS	0.00	1.79	0.00	1.79	90.0	1.61
01/19/2018	FUESSEL IRREV TR, NORMAN	GRIFFIN INSTITUTIONAL ACCESS REAL E	0.00	14.35	0.00	14.35	90.0	12.92

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<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
01/19/2018	MCRIGHT, WILLIAM	GRIFFIN INSTITUTIONAL ACCESS REAL E	0.00	1.60	0.00	1.60	90.0	1.44
01/19/2018	MCRIGHT, BETTY	GRIFFIN INSTITUTIONAL ACCESS REAL E	0.00	0.60	0.00	0.60	90.0	0.54
01/19/2018	BELL, EDDY	GRIFFIN INSTITUTIONAL ACCESS REAL E	0.00	3.12	0.00	3.12	90.0	2.81
01/19/2018	BELL, EDDY	GRIFFIN INSTITUTIONAL ACCESS REAL E	0.00	3.16	0.00	3.16	90.0	2.84
01/19/2018	BELL, PATTI	GRIFFIN INSTITUTIONAL ACCESS REAL E	0.00	1.43	0.00	1.43	90.0	1.29
01/19/2018	STAGNER TRUST, JAMES	GRIFFIN INSTITUTIONAL ACCESS REAL E	0.00	7.03	0.00	7.03	90.0	6.33
01/19/2018	PAULSEN, ROGER	GRIFFIN INSTITUTIONAL ACCESS REAL E	0.00	7.63	0.00	7.63	90.0	6.87
01/19/2018	BAGGETT, PETE	GRIFFIN INSTITUTIONAL ACCESS REAL E	0.00	7.47	0.00	7.47	90.0	6.72
01/19/2018	BAGGETT, JARROD	GRIFFIN INSTITUTIONAL ACCESS REAL E	0.00	3.22	0.00	3.22	90.0	2.90
01/19/2018	LUERSEN, JENNIFER	GRIFFIN INSTITUTIONAL ACCESS REAL E	0.00	10.70	0.00	10.70	90.0	9.63
01/17/2018	CHEATHAM, JIMMY	HARTFORD BALANCED A	0.00	0.97	0.00	0.97	90.0	0.87
01/17/2018	FLEMING, JERRY	HARTFORD BALANCED A	0.00	1.63	0.00	1.63	90.0	1.47
01/17/2018	RAESZ TTEE, BARBARA	HARTFORD BALANCED ALLOCATION A	0.00	4.19	0.00	4.19	90.0	3.77
01/17/2018	RAESZ TTEE, BARBARA	HARTFORD BALANCED ALLOCATION A	0.00	2.19	0.00	2.19	90.0	1.97
01/17/2018	TAISLER, JESSE	HARTFORD CAPITAL APP II A	0.00	1.80	0.00	1.80	90.0	1.62
01/17/2018	MASON, ELEANOR	HARTFORD CAPITAL APP II A	0.00	1.23	0.00	1.23	90.0	1.11
01/17/2018	SCOTT, MONYAN	HARTFORD CAPITAL APP II A	0.00	17.03	0.00	17.03	90.0	15.33
/ /	MICHNA JT TEN WROS, JIMMY	HARTFORD CAPITAL APPRECIATION A	0.00	3.25	0.00	3.25	90.0	2.93
01/17/2018	CHEATHAM, JIMMY	HARTFORD CAPITAL APPRECIATION A	0.00	10.48	0.00	10.48	90.0	9.43
01/17/2018	ROSENTHAL, LUCILLE	HARTFORD CAPITAL APPRECIATION A	0.00	12.29	0.00	12.29	90.0	11.06
01/17/2018	BRUECKNER, KIMBERLY	HARTFORD CAPITAL APPRECIATION A	0.00	13.95	0.00	13.95	90.0	12.56
01/17/2018	HAMANN, LARRY	HARTFORD CAPITAL APPRECIATION A	0.00	10.23	0.00	10.23	90.0	9.21
01/17/2018	FLEMING, JERRY	HARTFORD CAPITAL APPRECIATION A	0.00	6.26	0.00	6.26	90.0	5.63
01/17/2018	TAISLER, JESSE	HARTFORD CAPITAL APPRECIATION A	0.00	1.35	0.00	1.35	90.0	1.22
01/17/2018	MOORE, TERRY	HARTFORD CAPITAL APPRECIATION C	0.00	26.31	0.00	26.31	90.0	23.68
01/17/2018	CHEATHAM, JIMMY	HARTFORD DIVIDEND & GROWTH A	0.00	5.19	0.00	5.19	90.0	4.67
01/17/2018	BRUECKNER, KIMBERLY	HARTFORD DIVIDEND & GROWTH A	0.00	5.97	0.00	5.97	90.0	5.37
01/17/2018	HAMANN, LARRY	HARTFORD DIVIDEND & GROWTH A	0.00	4.53	0.00	4.53	90.0	4.08
01/17/2018	FLEMING, JERRY	HARTFORD DIVIDEND & GROWTH A	0.00	5.52	0.00	5.52	90.0	4.97
01/17/2018	TAISLER, JESSE	HARTFORD DIVIDEND & GROWTH A	0.00	2.08	0.00	2.08	90.0	1.87
/ /	EWING, JOHN	HARTFORD GROWTH ALLOCATION A	0.00	0.65	0.00	0.65	90.0	0.59
/ /	SMITH, MARLO	HARTFORD GROWTH ALLOCATION A	0.00	1.54	0.00	1.54	90.0	1.39
01/17/2018	RAESZ TTEE, BARBARA	HARTFORD GROWTH ALLOCATION A	0.00	4.12	0.00	4.12	90.0	3.71

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<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
01/17/2018	RAESZ TTEE, BARBARA	HARTFORD GROWTH ALLOCATION A	0.00	2.28	0.00	2.28	90.0	2.05
01/17/2018	EWING, JOHN	HARTFORD GROWTH ALLOCATION A	0.00	0.91	0.00	0.91	90.0	0.82
01/17/2018	ROSENTHAL, LUCILLE	HARTFORD GROWTH OPP A	0.00	11.89	0.00	11.89	90.0	10.70
01/17/2018	SCOTT, MONYEAN	HARTFORD GROWTH OPP A	0.00	20.71	0.00	20.71	90.0	18.64
01/17/2018	ROSENTHAL, LUCILLE	HARTFORD INT'L GROWTH A	0.00	7.69	0.00	7.69	90.0	6.92
/ /	MICHNA JT TEN WROS, JIMMY	HARTFORD MIDCAP A	0.00	0.50	0.00	0.50	90.0	0.45
01/17/2018	CHEATHAM, JIMMY	HARTFORD MIDCAP A	0.00	7.74	0.00	7.74	90.0	6.97
01/17/2018	FLEMING, JERRY	HARTFORD MIDCAP A	0.00	5.88	0.00	5.88	90.0	5.29
01/17/2018	ROSENTHAL, LUCILLE	HARTFORD MIDCAP VALUE A	0.00	13.58	0.00	13.58	90.0	12.22
01/17/2018	MASON, ELEANOR	HARTFORD MIDCAP VALUE A	0.00	0.82	0.00	0.82	90.0	0.74
01/17/2018	BRUECKNER, KIMBERLY	HARTFORD SMALL-COMPANY FUND CLASS A	0.00	6.05	0.00	6.05	90.0	5.45
01/17/2018	TAISLER, JESSE	HARTFORD VALUE OPPORTUNITY FUND CLA	0.00	2.02	0.00	2.02	90.0	1.82
01/17/2018	MASON, ELEANOR	HARTFUND EQUITY INCIME FUND A	0.00	0.72	0.00	0.72	90.0	0.65
01/25/2018	ENOCHS, LELAND	INVESCO AMERICAN FRANCHISE A	0.00	8.14	0.00	8.14	90.0	7.33
01/25/2018	EWING JR, JACK	INVESCO ASIA PACIFIC GROWTH A	0.00	23.36	0.00	23.36	90.0	21.02
01/25/2018	ENOCHS, LELAND	INVESCO CHARTER FUND A	0.00	9.39	0.00	9.39	90.0	8.45
01/25/2018	WILSON, MARY	INVESCO CHARTER FUND A	0.00	51.76	0.00	51.76	90.0	46.58
01/25/2018	SMITH, MICHAEL	INVESCO CORPORATE BOND A	0.00	1.20	0.00	1.20	90.0	1.08
01/25/2018	EWING JR, JACK	INVESCO DEVELOPING MARKETS A	0.00	20.08	0.00	20.08	90.0	18.07
01/12/2018	ESCHBERGER TRUST, JACK & AGNES	IVY INTERNATIONAL CORE EQUITY FUND	0.00	2.31	0.00	2.31	90.0	2.08
01/12/2018	ROSENTHAL, LUCILLE	IVY INTERNATIONAL CORE EQUITY FUND	0.00	0.99	0.00	0.99	90.0	0.89
01/12/2018	SCARBOROUGH, ROBERT	IVY INTERNATIONAL CORE EQUITY FUND	0.00	1.45	0.00	1.45	90.0	1.31
01/12/2018	NAIZER TRUST, NOLAN	IVY INTERNATIONAL CORE EQUITY FUND	0.00	1.08	0.00	1.08	90.0	0.97
01/12/2018	NAIZER TRUST, NOEL	IVY INTERNATIONAL CORE EQUITY FUND	0.00	0.40	0.00	0.40	90.0	0.36
01/12/2018	OLSON, DALE	IVY INTERNATIONAL CORE EQUITY FUND	0.00	4.81	0.00	4.81	90.0	4.33
01/12/2018	KETTLE, MARVIN	IVY INTERNATIONAL CORE EQUITY FUND	0.00	1.22	0.00	1.22	90.0	1.10
01/19/2018	ESCHBERGER TRUST, JACK & AGNES	JH DISCIPLINED VALUE A	0.00	1.35	0.00	1.35	90.0	1.22
01/19/2018	ROSENTHAL, LUCILLE	JH DISCIPLINED VALUE A	0.00	0.68	0.00	0.68	90.0	0.61
01/19/2018	SCARBOROUGH, ROBERT	JH DISCIPLINED VALUE A	0.00	1.06	0.00	1.06	90.0	0.95
01/19/2018	NMN & NUN MGMT TRUST	JH DISCIPLINED VALUE A	0.00	3.28	0.00	3.28	90.0	2.95
01/19/2018	NAIZER TRUST, NOLAN	JH DISCIPLINED VALUE A	0.00	0.62	0.00	0.62	90.0	0.56
01/19/2018	NAIZER TRUST, NOEL	JH DISCIPLINED VALUE A	0.00	0.45	0.00	0.45	90.0	0.41
01/19/2018	OLSON, DALE	JH DISCIPLINED VALUE A	0.00	2.63	0.00	2.63	90.0	2.37

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<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
01/19/2018	KETTLE, MARVIN	JH DISCIPLINED VALUE A	0.00	0.68	0.00	0.68	90.0	0.61
01/19/2018	MCELROY, BENNETT	JH STRATEGIC INCOME A	0.00	4.14	0.00	4.14	90.0	3.73
01/19/2018	SCARBOROUGH, ROBERT	JOHN HANCOCK GLOBAL ABSOLUTE RETURN	0.00	0.73	0.00	0.73	90.0	0.66
01/19/2018	NMN & NUN MGMT TRUST	JOHN HANCOCK GLOBAL ABSOLUTE RETURN	0.00	1.80	0.00	1.80	90.0	1.62
01/19/2018	NAIZER TRUST, NOLAN	JOHN HANCOCK GLOBAL ABSOLUTE RETURN	0.00	0.10	0.00	0.10	90.0	0.09
01/19/2018	NAIZER TRUST, NOEL	JOHN HANCOCK GLOBAL ABSOLUTE RETURN	0.00	0.19	0.00	0.19	90.0	0.17
01/19/2018	OLSON, DALE	JOHN HANCOCK GLOBAL ABSOLUTE RETURN	0.00	0.56	0.00	0.56	90.0	0.50
01/19/2018	MASON, JOHN	JOHN HANCOCK GLOBAL ABSOLUTE RETURN	0.00	6.18	0.00	6.18	90.0	5.56
01/19/2018	KETTLE, MARVIN	JOHN HANCOCK GLOBAL ABSOLUTE RETURN	0.00	0.21	0.00	0.21	90.0	0.19
01/12/2018	KETTLE, MARVIN	LEGG MASON CLEARBRIDGE FUNDAMENTAL	0.00	1.98	0.00	1.98	90.0	1.78
01/22/2018	CHEATHAM, JIMMY	LORD ABBETT AFFILIATED A	0.00	1.95	0.00	1.95	90.0	1.76
01/22/2018	SPECKELS, MELBA	LORD ABBETT AFFILIATED A	0.00	0.84	0.00	0.84	90.0	0.76
01/22/2018	CHEATHAM, JIMMY	LORD ABBETT ALPHA STRATEGY A	0.00	4.16	0.00	4.16	90.0	3.74
01/22/2018	FUESSEL NE & NA TR, NORMAN	LORD ABBETT BOND DEBENTURE A	0.00	6.34	0.00	6.34	90.0	5.71
01/22/2018	CHEATHAM, JIMMY	LORD ABBETT CALIBRATED DIVIDEND GRO	0.00	2.44	0.00	2.44	90.0	2.20
01/22/2018	FUESSEL IRREV TR, NORMAN	LORD ABBETT CALIBRATED DIVIDEND GRO	0.00	13.04	0.00	13.04	90.0	11.74
01/22/2018	BRUECKNER, KIMBERLY	LORD ABBETT CALIBRATED DIVIDEND GRO	0.00	8.59	0.00	8.59	90.0	7.73
01/22/2018	SPECKELS, MELBA	LORD ABBETT CALIBRATED DIVIDEND GRO	0.00	1.03	0.00	1.03	90.0	0.93
01/22/2018	CHEATHAM, JIMMY	LORD ABBETT DEVELOPING GROWTH A	0.00	4.17	0.00	4.17	90.0	3.75
01/22/2018	FUESSEL IRREV TR, NORMAN	LORD ABBETT DEVELOPING GROWTH A	0.00	15.19	0.00	15.19	90.0	13.67
01/22/2018	BRUECKNER, KIMBERLY	LORD ABBETT FUNDAMENTAL EQUITY A	0.00	11.06	0.00	11.06	90.0	9.95
01/22/2018	SPECKELS, MELBA	LORD ABBETT FUNDAMENTAL EQUITY A	0.00	0.82	0.00	0.82	90.0	0.74
01/22/2018	SPECKELS, MELBA	LORD ABBETT GROWTH OPPORTUNITIES FU	0.00	0.64	0.00	0.64	90.0	0.58
01/22/2018	STAGNER TRUST, JAMES	LORD ABBETT INVT TR FLTG RATE A	0.00	6.82	0.00	6.82	90.0	6.14
01/22/2018	CHEATHAM, JIMMY	LORD ABBETT MID CAP STOCK A	0.00	7.51	0.00	7.51	90.0	6.76
01/22/2018	FUESSEL IRREV TR, NORMAN	LORD ABBETT MID CAP STOCK A	0.00	17.74	0.00	17.74	90.0	15.97
01/22/2018	BRUECKNER, KIMBERLY	LORD ABBETT MID CAP STOCK A	0.00	10.63	0.00	10.63	90.0	9.57
01/18/2018	ROSENTHAL, LUCILLE	LTD TERM TAX-EX BOND FUND OF AMERIC	0.00	4.86	0.00	4.86	90.0	4.37
01/19/2018	PEARSON, GRANT	MFS LIFETIME RETIREMENT INCOME FUND	0.00	44.27	0.00	44.27	90.0	39.84
01/19/2018	MCELROY, BENNETT	MFS VALUE A	0.00	10.23	0.00	10.23	90.0	9.21
01/22/2018	MASON, JOHN	NEUBERGER BERMAN LONG SHORT FUND CL	0.00	5.22	0.00	5.22	90.0	4.70
01/22/2018	WIESNER, BETTY	OPPENHEIMER GLOBAL STRATEGIC INC A	0.00	1.63	0.00	1.63	90.0	1.47
01/22/2018	FUESSEL IRREV TR, NORMAN	PUTNAM ASSET ALLOC GROWTH A	0.00	18.29	0.00	18.29	90.0	16.46

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>								
01/12/2018	KETTLE, MARVIN	QS GROWTH FUND CLASS A	0.00	0.38	0.00	0.38	90.0	0.34
01/18/2018	FUESSEL IRREV TR, NORMAN	RESOURCE R E DIVERSIFIED INC FUND A	0.00	14.01	0.00	14.01	90.0	12.61
01/18/2018	BELL, EDDY	RESOURCE R E DIVERSIFIED INC FUND A	0.00	10.91	0.00	10.91	90.0	9.82
01/18/2018	STAGNER TRUST, JAMES	RESOURCE R E DIVERSIFIED INC FUND A	0.00	6.83	0.00	6.83	90.0	6.15
01/18/2018	LUERSEN, JENNIFER	RESOURCE R E DIVERSIFIED INC FUND A	0.00	9.75	0.00	9.75	90.0	8.78
01/22/2018	KURTH, KARIANNE	TRANSAMERICA AA GROWTH C	0.00	41.07	0.00	41.07	90.0	36.96
01/22/2018	KURTH, DEREK	TRANSAMERICA AA GROWTH C	0.00	49.18	0.00	49.18	90.0	44.26
01/22/2018	KURTH, DEREK	TRANSAMERICA AA GROWTH C	0.00	30.20	0.00	30.20	90.0	27.18
01/22/2018	KURTH, DEREK	TRANSAMERICA AA GROWTH C	0.00	2.09	0.00	2.09	90.0	1.88
01/22/2018	KURTH, DEREK	TRANSAMERICA AA GROWTH C	0.00	2.09	0.00	2.09	90.0	1.88
01/22/2018	HERNANDEZ-GAGE, VIRGINIA	TRANSAMERICA AA MOD GROWTH C	0.00	4.50	0.00	4.50	90.0	4.05
01/22/2018	KURTH, DEREK	TRANSAMERICA AA MOD GROWTH C	0.00	6.79	0.00	6.79	90.0	6.11
* MUTUAL FUND 12B1 TRAILS SUBTOTAL *			\$0.00	\$2,662.22	\$0.00	\$2,662.22		\$2,396.18
*** DIRECT TRANSACTIONS TOTAL ***			\$976,939.91	\$3,523.85	\$0.00	\$3,523.85		\$3,171.65

ADJUSTMENTS

02/15/2018	*AI INSIGHT: CURRENT MONTH	0.00						-7.00
02/15/2018	*ALBRIDGE: LIGHT USER	0.00						-76.00
02/15/2018	*CONCIERGE SVC: 208071 GONZALEZ	0.00						-25.00
02/15/2018	*DOCUSIGN: CURRENT MONTH	0.00						-18.00
02/15/2018	*EO INS: CURRENT MONTH INS	0.00						-300.00
02/15/2018	*GLOBAL RELAY: FACEBOOK	0.00						-5.00
02/15/2018	*GLOBAL RELAY: WEBSITE	0.00						-15.00
02/15/2018	*LASER APP: CURRENT MONTH	0.00						-18.00
02/15/2018	*PERSHING: UIT PROSPECTUS MAILING	0.00						-12.22
02/15/2018	*TECHNOLOGY: CURRENT MONTH BASIC	0.00						-180.00
*** ADJUSTMENTS TOTAL ***			\$0.00	\$0.00	\$0.00	\$0.00		\$-656.22

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

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

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

BROKER COMMISSION TOTALS

Broker Transactions	\$3,144.99
Split Transactions	\$0.00
Override Transactions	\$0.00
Adjustments	\$-656.22
Payroll Draw	\$0.00
Base Salary	\$0.00
Prior Period Balance	\$0.00
FINRA Assessment	\$0.00
SIPC Assessment	\$0.00

Check Amount	\$2,488.77
Year-to-date Gross	\$91,991.94
Year-to-date Earnings	\$82,681.54