



Concorde Investment Services, LLC

08/14/2017  
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# **COMMISSION STATEMENT** **August 15, 2017**

**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
<b><u>BROKER TRANSACTIONS</u></b>								
<b><u>PRODUCT CATEGORY: MUTUAL FUNDS</u></b>								
08/07/2017	ASPRA, TRISSA	AM FUNDS AMCAP A	75.00	3.19	12.00	-8.81	90.0	-7.93
07/31/2017	ENOCHS, LELAND	AM FUNDS EUROPACIFIC GROWTH FUND A	105.00	2.10	0.00	2.10	90.0	1.89
07/31/2017	ENOCHS, LELAND	AM FUNDS EUROPACIFIC GROWTH FUND A	270.82	5.42	0.00	5.42	90.0	4.88
07/31/2017	ENOCHS, DONNA	AM FUNDS EUROPACIFIC GROWTH FUND A	8.25	0.17	0.00	0.17	90.0	0.15
07/31/2017	ENOCHS, DONNA	AM FUNDS EUROPACIFIC GROWTH FUND A	253.96	5.08	0.00	5.08	90.0	4.57
07/31/2017	ENOCHS, LELAND	AM FUNDS FUNDAMENTAL INVESTORS A	105.00	2.10	0.00	2.10	90.0	1.89
07/31/2017	ENOCHS, LELAND	AM FUNDS FUNDAMENTAL INVESTORS A	270.84	5.42	0.00	5.42	90.0	4.88
07/31/2017	ENOCHS, DONNA	AM FUNDS FUNDAMENTAL INVESTORS A	8.25	0.17	0.00	0.17	90.0	0.15
07/31/2017	ENOCHS, DONNA	AM FUNDS FUNDAMENTAL INVESTORS A	253.96	5.08	0.00	5.08	90.0	4.57
07/31/2017	ENOCHS, LELAND	AM FUNDS GROWTH FUND OF AMERICA A	105.00	2.10	0.00	2.10	90.0	1.89
07/31/2017	ENOCHS, LELAND	AM FUNDS GROWTH FUND OF AMERICA A	270.84	5.42	0.00	5.42	90.0	4.88
07/31/2017	BRUECKNER, KIMBERLY	AM FUNDS GROWTH FUND OF AMERICA A	325.00	5.20	0.00	5.20	90.0	4.68
07/31/2017	ENOCHS, DONNA	AM FUNDS GROWTH FUND OF AMERICA A	8.25	0.17	0.00	0.17	90.0	0.15
07/31/2017	ENOCHS, DONNA	AM FUNDS GROWTH FUND OF AMERICA A	253.96	5.08	0.00	5.08	90.0	4.57
08/07/2017	ASPRA, TRISSA	AM FUNDS GROWTH FUND OF AMERICA A	75.00	3.19	12.00	-8.81	90.0	-7.93
07/31/2017	ENOCHS, LELAND	AM FUNDS WASHINGTON MUTUAL INVESTOR	105.00	2.10	0.00	2.10	90.0	1.89
07/31/2017	ENOCHS, LELAND	AM FUNDS WASHINGTON MUTUAL INVESTOR	270.84	5.42	0.00	5.42	90.0	4.88
07/31/2017	ENOCHS, DONNA	AM FUNDS WASHINGTON MUTUAL INVESTOR	8.25	0.17	0.00	0.17	90.0	0.15
07/31/2017	ENOCHS, DONNA	AM FUNDS WASHINGTON MUTUAL INVESTOR	253.97	5.08	0.00	5.08	90.0	4.57
08/01/2017	DALJO LTD PT	AM FUNDS WASHINGTON MUTUAL INVESTOR	-15,000.00	22.00	22.00	0.00	90.0	0.00
08/02/2017	LAWHON, JACKIE	AM FUNDS WASHINGTON MUTUAL INVESTOR	-500.00	0.00	12.00	-12.00	90.0	-10.80
06/30/2017	KORNEGAY, ALISA	BLACKROCK 19452W490	0.00	1.13	0.00	1.13	90.0	1.02
06/30/2017	NAIZER, JOHNNIE	BLACKROCK 19452W490	0.00	1.79	0.00	1.79	90.0	1.61
06/30/2017	SMITH, MARLO	BLACKROCK 19452W490	0.00	0.44	0.00	0.44	90.0	0.40
06/30/2017	SMITH, MARLO	BLK AGG GROWTH A	0.00	0.34	0.00	0.34	90.0	0.31
08/07/2017	FUESSEL IRREV TR, NORMAN	GRIFFIN INSTITUTIONAL ACCESS REAL E	70,009.74	3,500.49	22.00	3,478.49	90.0	3,130.64

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
<b><u>BROKER TRANSACTIONS</u></b>								
<b><u>PRODUCT CATEGORY: MUTUAL FUNDS</u></b>								
/ /	MICHNA JT TEN WROS, JIMMY	HARTFORD CAPITAL APPRECIATION A	0.00	2.94	0.00	2.94	90.0	2.65
08/08/2017	TAISLER, JESSE	HARTFORD CAPITAL APPRECIATION A	-3,050.00	0.00	0.00	0.00	90.0	0.00
/ /	EWING, JOHN	HARTFORD GROWTH ALLOCATION A	0.00	0.59	0.00	0.59	90.0	0.53
/ /	SMITH, MARLO	HARTFORD GROWTH ALLOCATION A	0.00	1.39	0.00	1.39	90.0	1.25
/ /	MICHNA JT TEN WROS, JIMMY	HARTFORD MIDCAP A	0.00	0.44	0.00	0.44	90.0	0.40
<b>* MUTUAL FUNDS SUBTOTAL *</b>			<b>\$54,486.93</b>	<b>\$3,594.21</b>	<b>\$80.00</b>	<b>\$3,514.21</b>		<b>\$3,162.79</b>
<b><u>PRODUCT CATEGORY: STOCKS</u></b>								
08/09/2017	NORMAN, ISAAC	AT&T INC COM	38,227.00	199.00	23.50	175.50	90.0	157.95
<b>* STOCKS SUBTOTAL *</b>			<b>\$38,227.00</b>	<b>\$199.00</b>	<b>\$23.50</b>	<b>\$175.50</b>		<b>\$157.95</b>
<b><u>PRODUCT CATEGORY: VARIABLE ANNUITIES</u></b>								
08/03/2017	KELLEY, DOLORES	AM GEN POLIRIS II FLEXIBLE	2,708.33	2.71	0.00	2.71	90.0	2.44
07/31/2017	MASON, JOHN	JNL PERSPECTIVE ADV II 5/05	444,773.83	370.64	0.00	370.64	90.0	333.58
07/31/2017	MASON, JOHN	JNL PERSPECTIVE L	442,302.58	368.59	0.00	368.59	90.0	331.73
07/31/2017	PEMBERTON, PATRICIA	JOHN HANCOCK VENTURE	18,259.95	3.80	0.00	3.80	90.0	3.42
<b>* VARIABLE ANNUITIES SUBTOTAL *</b>			<b>\$908,044.69</b>	<b>\$745.74</b>	<b>\$0.00</b>	<b>\$745.74</b>		<b>\$671.17</b>
<b><u>PRODUCT CATEGORY: UNIT INVESTMENT TRUSTS</u></b>								
08/07/2017	SIMCIK, CHESTER	SMART TR CEFA SELECT BDC TR SER 10	19,754.75	395.05	38.00	357.05	90.0	321.35
<b>* UNIT INVESTMENT TRUSTS SUBTOTAL *</b>			<b>\$19,754.75</b>	<b>\$395.05</b>	<b>\$38.00</b>	<b>\$357.05</b>		<b>\$321.35</b>
<b><u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u></b>								
07/17/2017	BUROW, PAUL	ALLIANCEBERNSTEIN INTL VALUE A	0.00	0.87	0.00	0.87	90.0	0.78
07/21/2017	WIESNER, BETTY	AM CENT EQUITY INCOME	0.00	2.92	0.00	2.92	90.0	2.63
07/18/2017	ROSENTHAL, LUCILLE	AM FUNDS AMCAP A	0.00	11.44	0.00	11.44	90.0	10.30
07/18/2017	LESCHBER, PAMELA	AM FUNDS AMCAP A	0.00	0.57	0.00	0.57	90.0	0.51
07/18/2017	LUEDTKE, LOIS	AM FUNDS AMCAP A	0.00	11.52	0.00	11.52	90.0	10.37
07/18/2017	ASPRA, TRISSA	AM FUNDS AMCAP A	0.00	2.48	0.00	2.48	90.0	2.23
07/18/2017	NMN & NJN MGMT TRUST	AM FUNDS AMCAP A	0.00	1.51	0.00	1.51	90.0	1.36
07/18/2017	MICHNA, RHYS	AM FUNDS AMCAP A	0.00	1.26	0.00	1.26	90.0	1.13
07/18/2017	SCOTT, MONYUAN	AM FUNDS AMCAP A	0.00	26.20	0.00	26.20	90.0	23.58
07/18/2017	SPECKELS, MELBA	AM FUNDS AMERICAN BALANCED A	0.00	1.20	0.00	1.20	90.0	1.08
07/18/2017	FUESSEL, NORMAN	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	3.22	0.00	3.22	90.0	2.90
07/18/2017	FUESSEL NE & NA TR, NORMAN	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	33.69	0.00	33.69	90.0	30.32

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<b><u>BROKER TRANSACTIONS</u></b>								
<b><u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u></b>								
07/18/2017	SPECKELS, MELBA	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	1.57	0.00	1.57	90.0	1.41
07/18/2017	ROSENTHAL, LUCILLE	AM FUNDS AMERICAN MUTUAL A	0.00	17.59	0.00	17.59	90.0	15.83
07/18/2017	FUESSEL IRREV TR, NORMAN	AM FUNDS AMERICAN MUTUAL A	0.00	8.15	0.00	8.15	90.0	7.34
07/18/2017	NMN & NJN MGMT TRUST	AM FUNDS AMERICAN MUTUAL A	0.00	0.93	0.00	0.93	90.0	0.84
07/18/2017	SCOTT, MONYUAN	AM FUNDS AMERICAN MUTUAL A	0.00	22.87	0.00	22.87	90.0	20.58
07/18/2017	IVICIC, MARY	AM FUNDS AMERICAN MUTUAL A	0.00	2.67	0.00	2.67	90.0	2.40
07/18/2017	CHEATHAM, JIMMY	AM FUNDS CAPITAL INCOME BUILDER A	0.00	10.84	0.00	10.84	90.0	9.76
07/18/2017	PRAESEL, ARTHUR	AM FUNDS CAPITAL INCOME BUILDER A	0.00	21.17	0.00	21.17	90.0	19.05
07/18/2017	ROSENTHAL, LUCILLE	AM FUNDS CAPITAL INCOME BUILDER A	0.00	32.37	0.00	32.37	90.0	29.13
07/18/2017	FUESSEL, NORMAN	AM FUNDS CAPITAL INCOME BUILDER A	0.00	19.94	0.00	19.94	90.0	17.95
07/18/2017	FUESSEL NE & NA TR, NORMAN	AM FUNDS CAPITAL INCOME BUILDER A	0.00	18.23	0.00	18.23	90.0	16.41
07/18/2017	BRUECKNER, KIMBERLY	AM FUNDS CAPITAL INCOME BUILDER A	0.00	5.22	0.00	5.22	90.0	4.70
07/18/2017	KELLEY, DOLORES	AM FUNDS CAPITAL INCOME BUILDER A	0.00	6.05	0.00	6.05	90.0	5.45
07/18/2017	LOGHRY, DORIS	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.06	0.00	0.06	90.0	0.05
07/18/2017	PEKAR, DAVID	AM FUNDS CAPITAL INCOME BUILDER A	0.00	7.48	0.00	7.48	90.0	6.73
07/18/2017	SPECKELS, WARREN	AM FUNDS CAPITAL INCOME BUILDER A	0.00	1.33	0.00	1.33	90.0	1.20
07/18/2017	SPECKELS, MELBA	AM FUNDS CAPITAL INCOME BUILDER A	0.00	1.98	0.00	1.98	90.0	1.78
07/18/2017	BRANSON, BARBARA	AM FUNDS CAPITAL INCOME BUILDER A	0.00	3.15	0.00	3.15	90.0	2.84
07/18/2017	MORRIS, JANINE	AM FUNDS CAPITAL INCOME BUILDER A	0.00	8.89	0.00	8.89	90.0	8.00
07/18/2017	SCOTT, MONYUAN	AM FUNDS CAPITAL INCOME BUILDER A	0.00	20.93	0.00	20.93	90.0	18.84
07/18/2017	URBAN, LONNIE	AM FUNDS CAPITAL INCOME BUILDER A	0.00	1.47	0.00	1.47	90.0	1.32
07/18/2017	MOORE, TERRY	AM FUNDS CAPITAL INCOME BUILDER C	0.00	32.19	0.00	32.19	90.0	28.97
07/18/2017	ROSENTHAL, LUCILLE	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	29.61	0.00	29.61	90.0	26.65
07/18/2017	LESCHBER, LARRY	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	1.35	0.00	1.35	90.0	1.22
07/18/2017	FUESSEL IRREV TR, NORMAN	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	8.28	0.00	8.28	90.0	7.45
07/18/2017	BRUECKNER, KIMBERLY	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	14.47	0.00	14.47	90.0	13.02
07/18/2017	KELLEY, DOLORES	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	4.84	0.00	4.84	90.0	4.36
07/18/2017	NMN & NJN MGMT TRUST	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	1.09	0.00	1.09	90.0	0.98
07/18/2017	SCOTT, MONYUAN	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	29.82	0.00	29.82	90.0	26.84
07/18/2017	HOHMAN, JEROME	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	8.63	0.00	8.63	90.0	7.77
07/18/2017	DROMGOOLE, NONA	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	5.93	0.00	5.93	90.0	5.34
07/18/2017	URBAN, LONNIE	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	1.61	0.00	1.61	90.0	1.45
07/18/2017	IVICIC, MARY	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	1.24	0.00	1.24	90.0	1.12

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<b><u>BROKER TRANSACTIONS</u></b>								
<b><u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u></b>								
07/18/2017	FUESSEL NE & NA TR, NORMAN	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	17.40	0.00	17.40	90.0	15.66
07/18/2017	LUEDTKE, LOIS	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	16.39	0.00	16.39	90.0	14.75
07/18/2017	KELLEY, DOLORES	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	4.22	0.00	4.22	90.0	3.80
07/18/2017	ROSENTHAL, LUCILLE	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	37.03	0.00	37.03	90.0	33.33
07/18/2017	LESCHBER, PAMELA	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	0.89	0.00	0.89	90.0	0.80
07/18/2017	BRUECKNER, KIMBERLY	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	18.50	0.00	18.50	90.0	16.65
07/18/2017	NMN & NJN MGMT TRUST	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	1.49	0.00	1.49	90.0	1.34
07/18/2017	SCOTT, MONYEAN	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	37.62	0.00	37.62	90.0	33.86
07/18/2017	DROMGOOLE, NONA	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	7.05	0.00	7.05	90.0	6.35
07/18/2017	EWING LIVING TRUST, JACK &	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	6.72	0.00	6.72	90.0	6.05
07/18/2017	IVICIC, MARY	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	3.35	0.00	3.35	90.0	3.02
07/18/2017	ROSENTHAL, LUCILLE	AM FUNDS GROWTH FUND OF AMERICA A	0.00	12.28	0.00	12.28	90.0	11.05
07/18/2017	FUESSEL IRREV TR, NORMAN	AM FUNDS GROWTH FUND OF AMERICA A	0.00	49.02	0.00	49.02	90.0	44.12
07/18/2017	LUEDTKE, LOIS	AM FUNDS GROWTH FUND OF AMERICA A	0.00	35.97	0.00	35.97	90.0	32.37
07/18/2017	ASPRA, TRISSA	AM FUNDS GROWTH FUND OF AMERICA A	0.00	2.71	0.00	2.71	90.0	2.44
07/18/2017	BRUECKNER, KIMBERLY	AM FUNDS GROWTH FUND OF AMERICA A	0.00	18.80	0.00	18.80	90.0	16.92
07/18/2017	ROSIPAL, HERBERT	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.12	0.00	0.12	90.0	0.11
07/18/2017	KELLEY, DOLORES	AM FUNDS GROWTH FUND OF AMERICA A	0.00	5.53	0.00	5.53	90.0	4.98
07/18/2017	LAWHON, JACKIE	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.37	0.00	0.37	90.0	0.33
07/18/2017	NMN & NJN MGMT TRUST	AM FUNDS GROWTH FUND OF AMERICA A	0.00	1.50	0.00	1.50	90.0	1.35
07/18/2017	BORGNE JR, ROBERT	AM FUNDS GROWTH FUND OF AMERICA A	0.00	6.44	0.00	6.44	90.0	5.80
07/18/2017	LAWHON, STEVEN	AM FUNDS GROWTH FUND OF AMERICA A	0.00	6.53	0.00	6.53	90.0	5.88
07/18/2017	SPECKELS, WARREN	AM FUNDS GROWTH FUND OF AMERICA A	0.00	1.97	0.00	1.97	90.0	1.77
07/18/2017	MICHNA, RHYS	AM FUNDS GROWTH FUND OF AMERICA A	0.00	1.25	0.00	1.25	90.0	1.13
07/18/2017	MORRIS, JANINE	AM FUNDS GROWTH FUND OF AMERICA A	0.00	17.91	0.00	17.91	90.0	16.12
07/18/2017	SCOTT, MONYEAN	AM FUNDS GROWTH FUND OF AMERICA A	0.00	40.52	0.00	40.52	90.0	36.47
07/18/2017	LAWHON, BRAEDEN	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.81	0.00	0.81	90.0	0.73
07/18/2017	DROMGOOLE, NONA	AM FUNDS GROWTH FUND OF AMERICA A	0.00	7.19	0.00	7.19	90.0	6.47
07/18/2017	MOORE, TERRY	AM FUNDS GROWTH FUND OF AMERICA A	0.00	2.15	0.00	2.15	90.0	1.94
07/18/2017	OHE, DRAKE	AM FUNDS GROWTH FUND OF AMERICA A	0.00	1.15	0.00	1.15	90.0	1.04
07/18/2017	OHE, EUGENIA	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.77	0.00	0.77	90.0	0.69
07/18/2017	URBAN, LONNIE	AM FUNDS GROWTH FUND OF AMERICA A	0.00	2.04	0.00	2.04	90.0	1.84
07/18/2017	LAWHON, MAISEN	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.57	0.00	0.57	90.0	0.51

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<b><u>BROKER TRANSACTIONS</u></b>								
<b><u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u></b>								
07/18/2017	IVICIC, MARY	AM FUNDS GROWTH FUND OF AMERICA A	0.00	3.01	0.00	3.01	90.0	2.71
07/18/2017	LESCHBER, LARRY	AM FUNDS ICA A	0.00	0.78	0.00	0.78	90.0	0.70
07/18/2017	DROMGOOLE, NONA	AM FUNDS ICA A	0.00	5.87	0.00	5.87	90.0	5.28
07/18/2017	EWING JR, JACK	AM FUNDS ICA A	0.00	8.53	0.00	8.53	90.0	7.68
07/18/2017	CHEATHAM, JIMMY	AM FUNDS INCOME FUND OF AMERICA A	0.00	10.41	0.00	10.41	90.0	9.37
07/18/2017	PRAESEL, ARTHUR	AM FUNDS INCOME FUND OF AMERICA A	0.00	25.34	0.00	25.34	90.0	22.81
07/18/2017	ROSENTHAL, LUCILLE	AM FUNDS INCOME FUND OF AMERICA A	0.00	37.54	0.00	37.54	90.0	33.79
07/18/2017	LESCHBER, PAMELA	AM FUNDS INCOME FUND OF AMERICA A	0.00	2.26	0.00	2.26	90.0	2.03
07/18/2017	FUESSEL, NORMAN	AM FUNDS INCOME FUND OF AMERICA A	0.00	19.13	0.00	19.13	90.0	17.22
07/18/2017	FUESSEL NE & NA TR, NORMAN	AM FUNDS INCOME FUND OF AMERICA A	0.00	17.04	0.00	17.04	90.0	15.34
07/18/2017	BRUECKNER, KIMBERLY	AM FUNDS INCOME FUND OF AMERICA A	0.00	10.11	0.00	10.11	90.0	9.10
07/18/2017	KELLEY, DOLORES	AM FUNDS INCOME FUND OF AMERICA A	0.00	4.84	0.00	4.84	90.0	4.36
07/18/2017	SPECKELS, MELBA	AM FUNDS INCOME FUND OF AMERICA A	0.00	1.92	0.00	1.92	90.0	1.73
07/18/2017	FISCHER, HAROLD	AM FUNDS INCOME FUND OF AMERICA A	0.00	1.57	0.00	1.57	90.0	1.41
07/18/2017	HAMITER, DONNIE	AM FUNDS INCOME FUND OF AMERICA A	0.00	10.17	0.00	10.17	90.0	9.15
07/18/2017	MORRIS, JANINE	AM FUNDS INCOME FUND OF AMERICA A	0.00	13.14	0.00	13.14	90.0	11.83
07/18/2017	SCOTT, MONYAN	AM FUNDS INCOME FUND OF AMERICA A	0.00	27.46	0.00	27.46	90.0	24.71
07/18/2017	KLEMT, RUTH	AM FUNDS INCOME FUND OF AMERICA A	0.00	1.74	0.00	1.74	90.0	1.57
07/18/2017	WILSON, MARY	AM FUNDS INCOME FUND OF AMERICA A	0.00	4.85	0.00	4.85	90.0	4.37
07/18/2017	EWING LIVING TRUST, JACK &	AM FUNDS INCOME FUND OF AMERICA A	0.00	15.71	0.00	15.71	90.0	14.14
07/18/2017	KETTLE, MARVIN	AM FUNDS INCOME FUND OF AMERICA A	0.00	3.55	0.00	3.55	90.0	3.20
07/18/2017	NMN & NJN MGMT TRUST	AM FUNDS INTL GROWTH AND INCOME A	0.00	0.59	0.00	0.59	90.0	0.53
07/18/2017	DROMGOOLE, NONA	AM FUNDS INTL GROWTH AND INCOME A	0.00	4.57	0.00	4.57	90.0	4.11
07/18/2017	BRUECKNER, KIMBERLY	AM FUNDS NEW ECONOMY A	0.00	13.24	0.00	13.24	90.0	11.92
07/18/2017	WILSON, MARY	AM FUNDS NEW ECONOMY A	0.00	10.89	0.00	10.89	90.0	9.80
07/18/2017	LESCHBER, LARRY	AM FUNDS NEW PERSPECTIVE A	0.00	0.73	0.00	0.73	90.0	0.66
07/18/2017	BRUECKNER, KIMBERLY	AM FUNDS NEW PERSPECTIVE A	0.00	11.54	0.00	11.54	90.0	10.39
07/18/2017	MORRIS, JANINE	AM FUNDS NEW PERSPECTIVE A	0.00	19.54	0.00	19.54	90.0	17.59
07/18/2017	SCOTT, MONYAN	AM FUNDS NEW PERSPECTIVE A	0.00	34.77	0.00	34.77	90.0	31.29
07/18/2017	NMN & NJN MGMT TRUST	AM FUNDS NEW WORLD A	0.00	0.30	0.00	0.30	90.0	0.27
07/18/2017	DROMGOOLE, NONA	AM FUNDS NEW WORLD A	0.00	4.39	0.00	4.39	90.0	3.95
07/18/2017	BRUECKNER, KIMBERLY	AM FUNDS SMALLCAP WORLD A	0.00	10.21	0.00	10.21	90.0	9.19
07/18/2017	NMN & NJN MGMT TRUST	AM FUNDS SMALLCAP WORLD A	0.00	1.32	0.00	1.32	90.0	1.19

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<b><u>BROKER TRANSACTIONS</u></b>								
<b><u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u></b>								
07/18/2017	DROMGOOLE, NONA	AM FUNDS SMALLCAP WORLD A	0.00	1.66	0.00	1.66	90.0	1.49
07/18/2017	LESCHBER, PAMELA	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.56	0.00	0.56	90.0	0.50
07/18/2017	FUESSEL, NORMAN	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	14.69	0.00	14.69	90.0	13.22
07/18/2017	FUESSEL IRREV TR, NORMAN	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	8.01	0.00	8.01	90.0	7.21
07/18/2017	FUESSEL NE & NA TR, NORMAN	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	62.69	0.00	62.69	90.0	56.42
07/18/2017	BRUECKNER, KIMBERLY	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	11.61	0.00	11.61	90.0	10.45
07/18/2017	KORNEGAY, ALISA	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.29	0.00	0.29	90.0	0.26
07/18/2017	KELLEY, DOLORES	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	7.89	0.00	7.89	90.0	7.10
07/18/2017	LAWHON, JACKIE	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	45.46	0.00	45.46	90.0	40.91
07/18/2017	SPECKELS, WARREN	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	2.49	0.00	2.49	90.0	2.24
07/18/2017	SPECKELS, MELBA	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	1.68	0.00	1.68	90.0	1.51
07/18/2017	SPECKELS, MELBA	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	1.53	0.00	1.53	90.0	1.38
07/18/2017	GILLIGAN, DOROTHY	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	6.98	0.00	6.98	90.0	6.28
07/18/2017	STOLTE, VERNALINE	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	1.16	0.00	1.16	90.0	1.04
07/18/2017	MORRIS, JANINE	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	18.80	0.00	18.80	90.0	16.92
07/18/2017	SMITH, MICHAEL	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	1.37	0.00	1.37	90.0	1.23
07/18/2017	BUROW, PAUL	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	1.35	0.00	1.35	90.0	1.22
07/18/2017	DALJO LTD PT	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	32.70	0.00	32.70	90.0	29.43
07/18/2017	HOHMAN, JEROME	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	5.37	0.00	5.37	90.0	4.83
07/18/2017	WILSON, MARY	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	16.62	0.00	16.62	90.0	14.96
07/18/2017	WIESNER, BETTY	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	3.45	0.00	3.45	90.0	3.11
07/18/2017	EWING LIVING TRUST, JACK &	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	22.96	0.00	22.96	90.0	20.66
07/18/2017	URBAN, LONNIE	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	1.86	0.00	1.86	90.0	1.67
07/18/2017	IVICIC, MARY	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	3.36	0.00	3.36	90.0	3.02
07/28/2017	EWING JR, JACK	BLK GLOBAL ALLOCATION C	0.00	15.61	0.00	15.61	90.0	14.05
07/28/2017	EWING LIVING TRUST, JACK &	BLK GLOBAL ALLOCATION C	0.00	55.95	0.00	55.95	90.0	50.36
07/20/2017	SMITH, JUDY	CALAMOS GROWTH C	0.00	34.20	0.00	34.20	90.0	30.78
07/27/2017	KETTLE, MARVIN	CLEARBRIDGE AGGRESSIVE	0.00	3.54	0.00	3.54	90.0	3.19
07/27/2017	KETTLE, MARVIN	CLEARBRIDGE APPRECIATION FUND CLASS	0.00	1.92	0.00	1.92	90.0	1.73
07/27/2017	PEMBERTON, PATRICIA	CLEARBRIDGE SMALL CAP GROWTH FUND C	0.00	3.94	0.00	3.94	90.0	3.55
07/17/2017	WIESNER, BETTY	COLUMBIA ACORN A	0.00	1.57	0.00	1.57	90.0	1.41
07/17/2017	MCELROY, BENNETT	COLUMBIA MARSICO FOCUSED EQUITIES F	0.00	8.80	0.00	8.80	90.0	7.92
07/17/2017	CHEATHAM, JIMMY	FEDERATED CLOVER VALUE A	0.00	1.75	0.00	1.75	90.0	1.58

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<b><u>BROKER TRANSACTIONS</u></b>								
<b><u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u></b>								
07/17/2017	CHEATHAM, JIMMY	FEDERATED EQUITY INCOME A	0.00	9.43	0.00	9.43	90.0	8.49
07/17/2017	CHEATHAM, JIMMY	FEDERATED KAUFMANN FUND A	0.00	2.43	0.00	2.43	90.0	2.19
07/17/2017	CHEATHAM, JIMMY	FEDERATED MDT MID CAP GROWTH STRATE	0.00	2.97	0.00	2.97	90.0	2.67
07/19/2017	ESCHBERGER TRUST, JACK & AGNES	FIDELITY ADV NEW INSIGHTS-CL A	0.00	0.62	0.00	0.62	90.0	0.56
07/19/2017	NMN & NUN MGMT TRUST	FIDELITY ADV NEW INSIGHTS-CL A	0.00	1.43	0.00	1.43	90.0	1.29
07/19/2017	NAIZER TRUST, NOLAN	FIDELITY ADV NEW INSIGHTS-CL A	0.00	0.33	0.00	0.33	90.0	0.30
07/19/2017	NAIZER TRUST, NOEL	FIDELITY ADV NEW INSIGHTS-CL A	0.00	0.21	0.00	0.21	90.0	0.19
07/19/2017	WIESNER, BETTY	FIDELITY ADV NEW INSIGHTS-CL A	0.00	3.36	0.00	3.36	90.0	3.02
07/19/2017	MCELROY, BENNETT	FIDELITY ADV STRATEGIC INCOME A	0.00	3.92	0.00	3.92	90.0	3.53
07/13/2017	COOPER, ADAM	FRANKLIN MUTUAL GLOBAL DISCOVERY A	0.00	3.82	0.00	3.82	90.0	3.44
07/13/2017	COOPER, ADAM	FRANKLIN MUTUAL GLOBAL DISCOVERY A	0.00	5.55	0.00	5.55	90.0	5.00
07/13/2017	COOPER, ADAM	FRANKLIN MUTUAL QUEST A	0.00	5.32	0.00	5.32	90.0	4.79
07/13/2017	COOPER, ADAM	FRANKLIN RISING DIVIDENDS A	0.00	5.01	0.00	5.01	90.0	4.51
07/21/2017	ENOCHS, LELAND	GOLDMAN SACHS CAPITAL GROWTH FUND C	0.00	9.23	0.00	9.23	90.0	8.31
07/21/2017	ENOCHS, LELAND	GOLDMAN SACHS FOCUSED INTL EQUITY F	0.00	2.68	0.00	2.68	90.0	2.41
07/21/2017	HAMITER, DONNIE	GOLDMAN SACHS SMALL CAP VALUE FUND-	0.00	0.61	0.00	0.61	90.0	0.55
07/21/2017	STOLTE, VERNALINE	GOLDMAN SACHS U.S. EQUITY INSIGHTS	0.00	0.29	0.00	0.29	90.0	0.26
07/21/2017	BURKHART, KRISTI	GOLDMAN SACHS U.S. EQUITY INSIGHTS	0.00	1.55	0.00	1.55	90.0	1.40
07/19/2017	MCRIGHT, WILLIAM	GRIFFIN INSTITUTIONAL ACCESS REAL E	0.00	4.65	0.00	4.65	90.0	4.19
07/19/2017	MCRIGHT, BETTY	GRIFFIN INSTITUTIONAL ACCESS REAL E	0.00	1.74	0.00	1.74	90.0	1.57
07/19/2017	BELL, EDDY	GRIFFIN INSTITUTIONAL ACCESS REAL E	0.00	8.81	0.00	8.81	90.0	7.93
07/19/2017	BELL, EDDY	GRIFFIN INSTITUTIONAL ACCESS REAL E	0.00	8.93	0.00	8.93	90.0	8.04
07/19/2017	BELL, PATTI	GRIFFIN INSTITUTIONAL ACCESS REAL E	0.00	4.04	0.00	4.04	90.0	3.64
07/19/2017	STAGNER TRUST, JAMES	GRIFFIN INSTITUTIONAL ACCESS REAL E	0.00	3.83	0.00	3.83	90.0	3.45
07/19/2017	PAULSEN, ROGER	GRIFFIN INSTITUTIONAL ACCESS REAL E	0.00	21.80	0.00	21.80	90.0	19.62
07/19/2017	BAGGETT, PETE	GRIFFIN INSTITUTIONAL ACCESS REAL E	0.00	21.07	0.00	21.07	90.0	18.96
07/19/2017	BAGGETT, JARROD	GRIFFIN INSTITUTIONAL ACCESS REAL E	0.00	9.08	0.00	9.08	90.0	8.17
07/19/2017	LUERSEN, JENNIFER	GRIFFIN INSTITUTIONAL ACCESS REAL E	0.00	30.19	0.00	30.19	90.0	27.17
07/18/2017	CHEATHAM, JIMMY	HARTFORD BALANCED A	0.00	0.87	0.00	0.87	90.0	0.78
07/18/2017	FLEMING, JERRY	HARTFORD BALANCED A	0.00	1.48	0.00	1.48	90.0	1.33
07/18/2017	RAESZ TTEE, BARBARA	HARTFORD BALANCED ALLOCATION A	0.00	3.82	0.00	3.82	90.0	3.44
07/18/2017	RAESZ TTEE, BARBARA	HARTFORD BALANCED ALLOCATION A	0.00	2.00	0.00	2.00	90.0	1.80
07/18/2017	TAISLER, JESSE	HARTFORD CAPITAL APP II A	0.00	1.65	0.00	1.65	90.0	1.49

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<b><u>BROKER TRANSACTIONS</u></b>								
<b><u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u></b>								
07/18/2017	MASON, ELEANOR	HARTFORD CAPITAL APP II A	0.00	1.12	0.00	1.12	90.0	1.01
07/18/2017	SCOTT, MONYAN	HARTFORD CAPITAL APP II A	0.00	15.55	0.00	15.55	90.0	14.00
07/18/2017	CHEATHAM, JIMMY	HARTFORD CAPITAL APPRECIATION A	0.00	9.48	0.00	9.48	90.0	8.53
07/18/2017	ROSENTHAL, LUCILLE	HARTFORD CAPITAL APPRECIATION A	0.00	11.11	0.00	11.11	90.0	10.00
07/18/2017	LESCHBER, LARRY	HARTFORD CAPITAL APPRECIATION A	0.00	10.58	0.00	10.58	90.0	9.52
07/18/2017	BRUECKNER, KIMBERLY	HARTFORD CAPITAL APPRECIATION A	0.00	12.62	0.00	12.62	90.0	11.36
07/18/2017	HAMANN, LARRY	HARTFORD CAPITAL APPRECIATION A	0.00	9.25	0.00	9.25	90.0	8.33
07/18/2017	FLEMING, JERRY	HARTFORD CAPITAL APPRECIATION A	0.00	5.66	0.00	5.66	90.0	5.09
07/18/2017	TAISLER, JESSE	HARTFORD CAPITAL APPRECIATION A	0.00	1.84	0.00	1.84	90.0	1.66
07/18/2017	MOORE, TERRY	HARTFORD CAPITAL APPRECIATION C	0.00	23.88	0.00	23.88	90.0	21.49
07/18/2017	LESCHBER, LARRY	HARTFORD DISCIPLINED EQUITY A	0.00	2.93	0.00	2.93	90.0	2.64
07/18/2017	CHEATHAM, JIMMY	HARTFORD DIVIDEND & GROWTH A	0.00	4.57	0.00	4.57	90.0	4.11
07/18/2017	BRUECKNER, KIMBERLY	HARTFORD DIVIDEND & GROWTH A	0.00	5.26	0.00	5.26	90.0	4.73
07/18/2017	HAMANN, LARRY	HARTFORD DIVIDEND & GROWTH A	0.00	3.99	0.00	3.99	90.0	3.59
07/18/2017	FLEMING, JERRY	HARTFORD DIVIDEND & GROWTH A	0.00	4.86	0.00	4.86	90.0	4.37
07/18/2017	TAISLER, JESSE	HARTFORD DIVIDEND & GROWTH A	0.00	1.83	0.00	1.83	90.0	1.65
07/18/2017	RAESZ TTEE, BARBARA	HARTFORD GROWTH ALLOCATION A	0.00	3.70	0.00	3.70	90.0	3.33
07/18/2017	RAESZ TTEE, BARBARA	HARTFORD GROWTH ALLOCATION A	0.00	2.04	0.00	2.04	90.0	1.84
07/18/2017	EWING, JOHN	HARTFORD GROWTH ALLOCATION A	0.00	0.82	0.00	0.82	90.0	0.74
07/18/2017	ROSENTHAL, LUCILLE	HARTFORD GROWTH OPP A	0.00	10.45	0.00	10.45	90.0	9.41
07/18/2017	SCOTT, MONYAN	HARTFORD GROWTH OPP A	0.00	18.20	0.00	18.20	90.0	16.38
07/18/2017	ROSENTHAL, LUCILLE	HARTFORD INT'L GROWTH A	0.00	6.74	0.00	6.74	90.0	6.07
07/18/2017	CHEATHAM, JIMMY	HARTFORD MIDCAP A	0.00	6.78	0.00	6.78	90.0	6.10
07/18/2017	LESCHBER, LARRY	HARTFORD MIDCAP A	0.00	11.71	0.00	11.71	90.0	10.54
07/18/2017	FLEMING, JERRY	HARTFORD MIDCAP A	0.00	5.96	0.00	5.96	90.0	5.36
07/18/2017	ROSENTHAL, LUCILLE	HARTFORD MIDCAP VALUE A	0.00	12.07	0.00	12.07	90.0	10.86
07/18/2017	MASON, ELEANOR	HARTFORD MIDCAP VALUE A	0.00	0.73	0.00	0.73	90.0	0.66
07/18/2017	LESCHBER, LARRY	HARTFORD SMALL-COMPANY FUND CLASS A	0.00	7.41	0.00	7.41	90.0	6.67
07/18/2017	BRUECKNER, KIMBERLY	HARTFORD SMALL-COMPANY FUND CLASS A	0.00	5.30	0.00	5.30	90.0	4.77
07/18/2017	TAISLER, JESSE	HARTFORD VALUE OPPORTUNITY FUND CLA	0.00	1.84	0.00	1.84	90.0	1.66
07/18/2017	MASON, ELEANOR	HARTFUND EQUITY INCIME FUND A	0.00	0.64	0.00	0.64	90.0	0.58
07/18/2017	ENOCHS, LELAND	INVESCO AMERICAN FRANCHISE A	0.00	7.38	0.00	7.38	90.0	6.64
07/18/2017	EWING JR, JACK	INVESCO ASIA PACIFIC GROWTH A	0.00	20.98	0.00	20.98	90.0	18.88

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<b><u>BROKER TRANSACTIONS</u></b>								
<b><u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u></b>								
07/18/2017	ENOCHS, LELAND	INVESCO CHARTER FUND A	0.00	8.86	0.00	8.86	90.0	7.97
07/18/2017	WILSON, MARY	INVESCO CHARTER FUND A	0.00	48.82	0.00	48.82	90.0	43.94
07/18/2017	LESCHBER, PAMELA	INVESCO COMSTOCK A	0.00	1.18	0.00	1.18	90.0	1.06
07/18/2017	SMITH, MICHAEL	INVESCO CORPORATE BOND A	0.00	1.15	0.00	1.15	90.0	1.04
07/18/2017	EWING JR, JACK	INVESCO DEVELOPING MARKETS A	0.00	17.75	0.00	17.75	90.0	15.98
07/18/2017	LESCHBER, PAMELA	INVESCO EQUITY AND INCOME A	0.00	0.85	0.00	0.85	90.0	0.77
07/14/2017	ESCHBERGER TRUST, JACK & AGNES	IVY INTERNATIONAL CORE EQUITY FUND	0.00	2.14	0.00	2.14	90.0	1.93
07/14/2017	ROSENTHAL, LUCILLE	IVY INTERNATIONAL CORE EQUITY FUND	0.00	0.92	0.00	0.92	90.0	0.83
07/14/2017	SCARBOROUGH, ROBERT	IVY INTERNATIONAL CORE EQUITY FUND	0.00	1.34	0.00	1.34	90.0	1.21
07/14/2017	NAIZER TRUST, NOLAN	IVY INTERNATIONAL CORE EQUITY FUND	0.00	0.99	0.00	0.99	90.0	0.89
07/14/2017	NAIZER TRUST, NOEL	IVY INTERNATIONAL CORE EQUITY FUND	0.00	0.37	0.00	0.37	90.0	0.33
07/14/2017	OLSON, DALE	IVY INTERNATIONAL CORE EQUITY FUND	0.00	4.45	0.00	4.45	90.0	4.01
07/14/2017	KETTLE, MARVIN	IVY INTERNATIONAL CORE EQUITY FUND	0.00	1.32	0.00	1.32	90.0	1.19
07/14/2017	ESCHBERGER TRUST, JACK & AGNES	JH DISCIPLINED VALUE A	0.00	1.16	0.00	1.16	90.0	1.04
07/14/2017	ROSENTHAL, LUCILLE	JH DISCIPLINED VALUE A	0.00	0.59	0.00	0.59	90.0	0.53
07/14/2017	SCARBOROUGH, ROBERT	JH DISCIPLINED VALUE A	0.00	0.92	0.00	0.92	90.0	0.83
07/14/2017	NMN & NUN MGMT TRUST	JH DISCIPLINED VALUE A	0.00	2.84	0.00	2.84	90.0	2.56
07/14/2017	NAIZER TRUST, NOLAN	JH DISCIPLINED VALUE A	0.00	0.54	0.00	0.54	90.0	0.49
07/14/2017	NAIZER TRUST, NOEL	JH DISCIPLINED VALUE A	0.00	0.39	0.00	0.39	90.0	0.35
07/14/2017	OLSON, DALE	JH DISCIPLINED VALUE A	0.00	2.27	0.00	2.27	90.0	2.04
07/14/2017	KETTLE, MARVIN	JH DISCIPLINED VALUE A	0.00	1.00	0.00	1.00	90.0	0.90
07/14/2017	MCELROY, BENNETT	JH STRATEGIC INCOME A	0.00	3.96	0.00	3.96	90.0	3.56
07/14/2017	ESCHBERGER TRUST, JACK & AGNES	JOHN HANCOCK GLOBAL ABSOLUTE RETURN	0.00	0.65	0.00	0.65	90.0	0.59
07/14/2017	ROSENTHAL, LUCILLE	JOHN HANCOCK GLOBAL ABSOLUTE RETURN	0.00	0.08	0.00	0.08	90.0	0.07
07/14/2017	SCARBOROUGH, ROBERT	JOHN HANCOCK GLOBAL ABSOLUTE RETURN	0.00	0.70	0.00	0.70	90.0	0.63
07/14/2017	NMN & NUN MGMT TRUST	JOHN HANCOCK GLOBAL ABSOLUTE RETURN	0.00	1.73	0.00	1.73	90.0	1.56
07/14/2017	NAIZER TRUST, NOLAN	JOHN HANCOCK GLOBAL ABSOLUTE RETURN	0.00	0.09	0.00	0.09	90.0	0.08
07/14/2017	NAIZER TRUST, NOEL	JOHN HANCOCK GLOBAL ABSOLUTE RETURN	0.00	0.18	0.00	0.18	90.0	0.16
07/14/2017	OLSON, DALE	JOHN HANCOCK GLOBAL ABSOLUTE RETURN	0.00	0.54	0.00	0.54	90.0	0.49
07/14/2017	MASON, JOHN	JOHN HANCOCK GLOBAL ABSOLUTE RETURN	0.00	5.92	0.00	5.92	90.0	5.33
07/14/2017	KETTLE, MARVIN	JOHN HANCOCK GLOBAL ABSOLUTE RETURN	0.00	0.35	0.00	0.35	90.0	0.32
07/27/2017	KETTLE, MARVIN	LEGG MASON CLEARBRIDGE FUNDAMENTAL	0.00	3.03	0.00	3.03	90.0	2.73
07/21/2017	CHEATHAM, JIMMY	LORD ABBETT AFFILIATED A	0.00	1.74	0.00	1.74	90.0	1.57

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

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<b><u>BROKER TRANSACTIONS</u></b>								
<b><u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u></b>								
07/21/2017	SPECKELS, MELBA	LORD ABBETT AFFILIATED A	0.00	0.75	0.00	0.75	90.0	0.68
07/21/2017	CHEATHAM, JIMMY	LORD ABBETT ALPHA STRATEGY A	0.00	3.67	0.00	3.67	90.0	3.30
07/21/2017	FUESSEL NE & NA TR, NORMAN	LORD ABBETT BOND DEBENTURE A	0.00	5.91	0.00	5.91	90.0	5.32
07/21/2017	CHEATHAM, JIMMY	LORD ABBETT CALIBRATED DIVIDEND GRO	0.00	2.15	0.00	2.15	90.0	1.94
07/21/2017	FUESSEL IRREV TR, NORMAN	LORD ABBETT CALIBRATED DIVIDEND GRO	0.00	11.61	0.00	11.61	90.0	10.45
07/21/2017	BRUECKNER, KIMBERLY	LORD ABBETT CALIBRATED DIVIDEND GRO	0.00	7.58	0.00	7.58	90.0	6.82
07/21/2017	SPECKELS, MELBA	LORD ABBETT CALIBRATED DIVIDEND GRO	0.00	0.91	0.00	0.91	90.0	0.82
07/21/2017	CHEATHAM, JIMMY	LORD ABBETT DEVELOPING GROWTH A	0.00	3.57	0.00	3.57	90.0	3.21
07/21/2017	FUESSEL IRREV TR, NORMAN	LORD ABBETT DEVELOPING GROWTH A	0.00	13.00	0.00	13.00	90.0	11.70
07/21/2017	BRUECKNER, KIMBERLY	LORD ABBETT FUNDAMENTAL EQUITY A	0.00	9.89	0.00	9.89	90.0	8.90
07/21/2017	SPECKELS, MELBA	LORD ABBETT FUNDAMENTAL EQUITY A	0.00	0.74	0.00	0.74	90.0	0.67
07/21/2017	SPECKELS, MELBA	LORD ABBETT GROWTH OPPORTUNITIES FU	0.00	0.57	0.00	0.57	90.0	0.51
07/21/2017	STAGNER TRUST, JAMES	LORD ABBETT INVT TR FLTG RATE A	0.00	6.46	0.00	6.46	90.0	5.81
07/21/2017	CHEATHAM, JIMMY	LORD ABBETT MID CAP STOCK A	0.00	7.12	0.00	7.12	90.0	6.41
07/21/2017	FUESSEL IRREV TR, NORMAN	LORD ABBETT MID CAP STOCK A	0.00	16.91	0.00	16.91	90.0	15.22
07/21/2017	BRUECKNER, KIMBERLY	LORD ABBETT MID CAP STOCK A	0.00	10.08	0.00	10.08	90.0	9.07
07/18/2017	ROSENTHAL, LUCILLE	LTD TERM TAX-EX BOND FUND OF AMERIC	0.00	4.69	0.00	4.69	90.0	4.22
07/21/2017	PEARSON, GRANT	MFS LIFETIME RETIREMENT INCOME FUND	0.00	41.76	0.00	41.76	90.0	37.58
07/21/2017	MCELROY, BENNETT	MFS VALUE A	0.00	9.33	0.00	9.33	90.0	8.40
07/25/2017	MASON, JOHN	NEUBERGER BERMAN LONG SHORT FUND CL	0.00	4.98	0.00	4.98	90.0	4.48
07/21/2017	WIESNER, BETTY	OPPENHEIMER GLOBAL STRATEGIC INC A	0.00	1.55	0.00	1.55	90.0	1.40
07/25/2017	FUESSEL IRREV TR, NORMAN	PUTNAM ASSET ALLOC GROWTH A	0.00	16.26	0.00	16.26	90.0	14.63
07/27/2017	KETTLE, MARVIN	QS GROWTH FUND CLASS A	0.00	0.59	0.00	0.59	90.0	0.53
07/17/2017	BELL, EDDY	RESOURCE R E DIVERSIFIED INC FUND A	0.00	10.45	0.00	10.45	90.0	9.41
07/17/2017	STAGNER TRUST, JAMES	RESOURCE R E DIVERSIFIED INC FUND A	0.00	3.82	0.00	3.82	90.0	3.44
07/17/2017	LUERSEN, JENNIFER	RESOURCE R E DIVERSIFIED INC FUND A	0.00	9.62	0.00	9.62	90.0	8.66
07/18/2017	LESCHBER, LARRY	THE HARTFORD GLOBAL EQUITY INCOME F	0.00	5.07	0.00	5.07	90.0	4.56
07/20/2017	KURTH, KARIANNE	TRANSAMERICA AA GROWTH C	0.00	37.37	0.00	37.37	90.0	33.63
07/20/2017	KURTH, DEREK	TRANSAMERICA AA GROWTH C	0.00	44.75	0.00	44.75	90.0	40.28
07/20/2017	KURTH, DEREK	TRANSAMERICA AA GROWTH C	0.00	27.48	0.00	27.48	90.0	24.73
07/20/2017	KURTH, DEREK	TRANSAMERICA AA GROWTH C	0.00	1.90	0.00	1.90	90.0	1.71
07/20/2017	KURTH, DEREK	TRANSAMERICA AA GROWTH C	0.00	1.90	0.00	1.90	90.0	1.71
07/20/2017	HERNANDEZ-GAGE, VIRGINIA	TRANSAMERICA AA MOD GROWTH C	0.00	4.16	0.00	4.16	90.0	3.74

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<b><u>BROKER TRANSACTIONS</u></b>								
<b><u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u></b>								
07/20/2017	KURTH, DEREK	TRANSAMERICA AA MOD GROWTH C	0.00	6.28	0.00	6.28	90.0	5.65
<b>* MUTUAL FUND 12B1 TRAILS SUBTOTAL *</b>			<b>\$0.00</b>	<b>\$2,435.67</b>	<b>\$0.00</b>	<b>\$2,435.67</b>		<b>\$2,192.29</b>
<b>*** BROKER TRANSACTIONS TOTAL ***</b>			<b>\$1,020,513.37</b>	<b>\$7,369.67</b>	<b>\$141.50</b>	<b>\$7,228.17</b>		<b>\$6,505.55</b>

<b><u>ADJUSTMENTS</u></b>								
08/15/2017		*EO INS: CURRENT MONTH INS	0.00					-300.00
08/15/2017		*PERSHING: BOOKS & RECORDS	0.00					-1.50
08/15/2017		*PERSHING: MF PROSPECTUS MAILING	0.00					-6.64
08/15/2017		*PERSHING: UIT PROSPECTUS MAILING	0.00					-92.61
08/15/2017		*TECH: CURRENT MONTH TECH	0.00					-275.00
<b>*** ADJUSTMENTS TOTAL ***</b>			<b>\$0.00</b>	<b>\$0.00</b>	<b>\$0.00</b>	<b>\$0.00</b>		<b>\$-675.75</b>

<b><u>BROKER COMMISSION TOTALS</u></b>	
Broker Transactions	\$6,505.55
Split Transactions	\$0.00
Override Transactions	\$0.00
Adjustments	\$-675.75
Payroll Draw	\$0.00
Base Salary	\$0.00
Prior Period Balance	\$0.00
FINRA Assessment	\$0.00
SIPC Assessment	\$0.00

Check Amount	\$5,829.80
Year-to-date Gross	\$151,462.52
Year-to-date Earnings	\$133,159.31

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