

**COMMISSION STATEMENT****January 31, 2018**

101 CFGROUP/KOSANKE
1120 E. Long Lake Road
Suite 250
Troy, MI 48085

BROKER #: 101
BRANCH: CONCORDE FINANCIAL G

| DATE | CLIENT | INVESTMENT | INVESTMENT AMOUNT | GROSS COMMISSION | CLEARING CHARGE | NET COMMISSION | RATE | BROKER COMMISSION |
|---|------------------------|-------------------------------------|----------------------|---------------------|--------------------|--------------------|------|----------------------|
| <u>DIRECT TRANSACTIONS</u> | | | | | | | | |
| <u>PRODUCT CATEGORY: PRIVATE PLACEMENT</u> | | | | | | | | |
| 01/04/2018 | WAGNER II TRUST, HARRY | COTTONWOOD RESIDENTIAL 2016 PREFR'D | 100,000.00 | 7,000.00 | 0.00 | 7,000.00 | 95.0 | 6,650.00 |
| 12/08/2017 | JOHNSON, RODNEY | GPB AUTOMOTIVE | 36,000.00 | 2,520.00 | 0.00 | 2,520.00 | 95.0 | 2,394.00 |
| 01/10/2018 | RIOS-DORIA, H | GPB AUTOMOTIVE PORTFOLIO LP | 25,000.00 | 1,750.00 | 0.00 | 1,750.00 | 95.0 | 1,662.50 |
| * PRIVATE PLACEMENT SUBTOTAL * | | | \$161,000.00 | \$11,270.00 | \$0.00 | \$11,270.00 | | \$10,706.50 |
| <u>PRODUCT CATEGORY: INTERVAL FUNDS</u> | | | | | | | | |
| 01/19/2018 | ORTAGO, PAULA | BLUEROCK TOTAL INC & RE FUND | 42,403.09 | 36.01 | 0.00 | 36.01 | 95.0 | 34.21 |
| 01/19/2018 | CFGROUP, VARIOUS | BLUEROCK TOTAL INC & RE FUND | 129,187.88 | 109.72 | 0.00 | 109.72 | 95.0 | 104.23 |
| 01/19/2018 | CFGROUP, VARIOUS | BLUEROCK TOTAL INC & RE FUND | 50,464.78 | 42.87 | 0.00 | 42.87 | 95.0 | 40.73 |
| 01/19/2018 | KOPCZYK, LAWRENCE | BLUEROCK TOTAL INC & RE FUND | 82,130.87 | 69.76 | 0.00 | 69.76 | 95.0 | 66.27 |
| 01/19/2018 | SPEARY, LISA | BLUEROCK TOTAL INC & RE FUND | 76,069.15 | 64.61 | 0.00 | 64.61 | 95.0 | 61.38 |
| * INTERVAL FUNDS SUBTOTAL * | | | \$380,255.77 | \$322.97 | \$0.00 | \$322.97 | | \$306.82 |
| <u>PRODUCT CATEGORY: 529 PLANS</u> | | | | | | | | |
| 01/19/2018 | FROMM, MARY | AM FUNDS CAPITAL INCOME BUILDER 529 | 25.00 | 1.25 | 0.00 | 1.25 | 95.0 | 1.19 |
| 01/19/2018 | FROMM, MARY | AM FUNDS CAPITAL INCOME BUILDER 529 | 25.00 | 1.25 | 0.00 | 1.25 | 95.0 | 1.19 |
| 01/19/2018 | FROMM, MARY | AM FUNDS CAPITAL INCOME BUILDER 529 | 25.00 | 1.25 | 0.00 | 1.25 | 95.0 | 1.19 |
| 01/08/2018 | BOWEN, ED | AM FUNDS CAPITAL WORLD GRTH & INC 5 | 50.00 | 2.13 | 0.00 | 2.13 | 95.0 | 2.02 |
| 01/08/2018 | BOWEN, ED | AM FUNDS GROWTH FUND OF AMERICA 529 | 50.00 | 2.13 | 0.00 | 2.13 | 95.0 | 2.02 |
| 01/19/2018 | FROMM, MARY | AM FUNDS NEW WORLD 529A | 25.00 | 1.25 | 0.00 | 1.25 | 95.0 | 1.19 |
| 01/19/2018 | FROMM, MARY | AM FUNDS NEW WORLD 529A | 25.00 | 1.25 | 0.00 | 1.25 | 95.0 | 1.19 |
| 01/19/2018 | FROMM, MARY | AM FUNDS NEW WORLD 529A | 25.00 | 1.25 | 0.00 | 1.25 | 95.0 | 1.19 |
| 01/02/2018 | NIZIO, MARGARET | BLACKROCK 67776G493 | 50.00 | 0.50 | 0.00 | 0.50 | 95.0 | 0.48 |
| 01/02/2018 | NIZIO, EDMUND | BLACKROCK 67776G493 | 50.00 | 0.50 | 0.00 | 0.50 | 95.0 | 0.48 |
| 01/02/2018 | KUCHAREK, PAUL | BLACKROCK 67776G469 | 50.00 | 1.75 | 0.00 | 1.75 | 95.0 | 1.66 |
| 01/16/2018 | KUCHAREK, PAUL | BLACKROCK 67776G469 | 50.00 | 1.75 | 0.00 | 1.75 | 95.0 | 1.66 |
| 01/16/2018 | KUCHAREK, PAUL | BLACKROCK 67776G469 | 50.00 | 1.75 | 0.00 | 1.75 | 95.0 | 1.66 |

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 FUNDS</u> | | | | | | | | |
| * 529 PLANS SUBTOTAL * | | | \$500.00 | \$18.01 | \$0.00 | \$18.01 | | \$17.12 |
| <u>PRODUCT CATEGORY: MUTUAL FUNDS</u> | | | | | | | | |
| 01/12/2018 | CERIMELE, NICHOLAS | AM FUNDS AMERICAN BALANCED A | 60.00 | 2.55 | 0.00 | 2.55 | 95.0 | 2.42 |
| 01/17/2018 | HOOTNER-JONES, ANN | AM FUNDS AMERICAN MUTUAL C | 100.00 | 1.00 | 0.00 | 1.00 | 95.0 | 0.95 |
| 01/17/2018 | HOOTNER-JONES, ANN | AM FUNDS AMERICAN MUTUAL C | 100.00 | 1.00 | 0.00 | 1.00 | 95.0 | 0.95 |
| 01/17/2018 | HOOTNER-JONES, ANN | AM FUNDS AMERICAN MUTUAL C | 100.00 | 1.00 | 0.00 | 1.00 | 95.0 | 0.95 |
| 01/16/2018 | BUTT, DENNIS | AM FUNDS CAPITAL INCOME BUILDER A | 35.00 | 1.75 | 0.00 | 1.75 | 95.0 | 1.66 |
| 01/16/2018 | BUTT, DENNIS | AM FUNDS CAPITAL INCOME BUILDER A | 35.00 | 1.75 | 0.00 | 1.75 | 95.0 | 1.66 |
| 01/09/2018 | SOBIESKI, JOYCE | AM FUNDS GROWTH FUND OF AMERICA C | 37.50 | 0.38 | 0.00 | 0.38 | 95.0 | 0.36 |
| 01/16/2018 | SOBIESKI, JOYCE | AM FUNDS GROWTH FUND OF AMERICA C | 37.50 | 0.38 | 0.00 | 0.38 | 95.0 | 0.36 |
| 01/08/2018 | MCGEE, MICHAEL | AM FUNDS ICA A | 60.00 | 3.00 | 0.00 | 3.00 | 95.0 | 2.85 |
| 01/16/2018 | WONCH, ELIZABETH | AM FUNDS ICA A | 200.00 | 10.00 | 0.00 | 10.00 | 95.0 | 9.50 |
| 01/19/2018 | MCGEE, MICHAEL | AM FUNDS ICA A | 60.00 | 3.00 | 0.00 | 3.00 | 95.0 | 2.85 |
| 01/10/2018 | HAWK, CYNTHIA | AM FUNDS NEW PERSPECTIVE A | 100.00 | 5.00 | 0.00 | 5.00 | 95.0 | 4.75 |
| 01/16/2018 | BUTT, DENNIS | AM FUNDS NEW WORLD A | 105.00 | 5.25 | 0.00 | 5.25 | 95.0 | 4.99 |
| 01/16/2018 | BUTT, DENNIS | AM FUNDS NEW WORLD A | 105.00 | 5.25 | 0.00 | 5.25 | 95.0 | 4.99 |
| 01/09/2018 | SOBIESKI, JOYCE | AM FUNDS WASHINGTON MUTUAL INVESTOR | 37.50 | 0.38 | 0.00 | 0.38 | 95.0 | 0.36 |
| 01/10/2018 | IVEZAJ, GYSTE | AM FUNDS WASHINGTON MUTUAL INVESTOR | 50.00 | 1.88 | 0.00 | 1.88 | 95.0 | 1.79 |
| 01/16/2018 | BEHNKE, DANIEL | AM FUNDS WASHINGTON MUTUAL INVESTOR | 50.00 | 2.13 | 0.00 | 2.13 | 95.0 | 2.02 |
| 01/16/2018 | BEHNKE, MARK | AM FUNDS WASHINGTON MUTUAL INVESTOR | 100.00 | 5.00 | 0.00 | 5.00 | 95.0 | 4.75 |
| 01/16/2018 | SOBIESKI, JOYCE | AM FUNDS WASHINGTON MUTUAL INVESTOR | 37.50 | 0.38 | 0.00 | 0.38 | 95.0 | 0.36 |
| 01/02/2018 | KUCHAREK, PAUL | BLACK ROCK 67776G485 | 50.00 | 1.88 | 0.00 | 1.88 | 95.0 | 1.79 |
| 01/02/2018 | PARTALIS, CHRISTINE | DAVIS NEW YORK VENTURE A | 125.00 | 5.00 | 0.00 | 5.00 | 95.0 | 4.75 |
| 12/28/2017 | RITTER, WILLIAM | DAVIS NEW YORK VENTURE B | 25.00 | 1.00 | 0.00 | 1.00 | 95.0 | 0.95 |
| 12/29/2017 | PISTOLESI, VAUGHN | DAVIS NEW YORK VENTURE B | 200.00 | 8.00 | 0.00 | 8.00 | 95.0 | 7.60 |
| 12/29/2017 | PISTOLESI, MORGAN | DAVIS NEW YORK VENTURE B | 100.00 | 4.00 | 0.00 | 4.00 | 95.0 | 3.80 |
| 01/05/2018 | BERGLUND, KRIS | INVESCO AMERICAN FRANCHISE A | 50.00 | 2.50 | 0.00 | 2.50 | 95.0 | 2.38 |
| 01/09/2018 | KRAYDICH, KELLIE | OPPENHEIMER CAPITAL APPRECIATION A | 62.50 | 2.97 | 0.00 | 2.97 | 95.0 | 2.82 |
| 01/09/2018 | KRAYDICH, KELLIE | OPPENHEIMER CAPITAL APPRECIATION A | 33.88 | 1.61 | 0.00 | 1.61 | 95.0 | 1.53 |
| 01/09/2018 | RENTROP, GARRETT | OPPENHEIMER CAPITAL APPRECIATION C | 40.38 | 0.40 | 0.00 | 0.40 | 95.0 | 0.38 |
| 01/09/2018 | RENTROP, GARRETT | OPPENHEIMER CAPITAL APPRECIATION C | 40.38 | 0.40 | 0.00 | 0.40 | 95.0 | 0.38 |
| 01/09/2018 | KRAYDICH, KELLIE | OPPENHEIMER CAPITAL INCOME A | 62.50 | 2.97 | 0.00 | 2.97 | 95.0 | 2.82 |
| 01/09/2018 | KRAYDICH, KELLIE | OPPENHEIMER CAPITAL INCOME A | 33.88 | 1.61 | 0.00 | 1.61 | 95.0 | 1.53 |

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|--|------------------|-------------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <u>DIRECT TRANSACTIONS</u> | | | | | | | | |
| <u>PRODUCT CATEGORY: MUTUAL FUNDS</u> | | | | | | | | |
| 01/02/2018 | LABAZA, LYNN | OPPENHEIMER DISCOVERY C | 3,875.00 | 38.75 | 0.00 | 38.75 | 95.0 | 36.81 |
| 01/02/2018 | LABAZA, LYNN | OPPENHEIMER DISCOVERY C | 116.25 | 1.16 | 0.00 | 1.16 | 95.0 | 1.10 |
| 01/02/2018 | LABAZA, JOHN | OPPENHEIMER DISCOVERY C | 3,875.00 | 38.75 | 0.00 | 38.75 | 95.0 | 36.81 |
| 01/02/2018 | LABAZA, JOHN | OPPENHEIMER DISCOVERY C | 116.25 | 1.16 | 0.00 | 1.16 | 95.0 | 1.10 |
| 01/09/2018 | TRBOVICH, NICK | OPPENHEIMER GLOBAL OPPORTUNITIES A | 2,175.00 | 103.31 | 0.00 | 103.31 | 95.0 | 98.14 |
| 01/09/2018 | TRBOVICH, NICK | OPPENHEIMER GLOBAL OPPORTUNITIES A | 705.00 | 33.49 | 0.00 | 33.49 | 95.0 | 31.82 |
| 01/09/2018 | TRBOVICH, MARY | OPPENHEIMER GLOBAL OPPORTUNITIES A | 2,525.00 | 119.94 | 0.00 | 119.94 | 95.0 | 113.94 |
| 01/09/2018 | TRBOVICH, MARY | OPPENHEIMER GLOBAL OPPORTUNITIES A | 165.00 | 7.84 | 0.00 | 7.84 | 95.0 | 7.45 |
| 01/09/2018 | RENTROP, GARRETT | OPPENHEIMER GLOBAL OPPORTUNITIES C | 40.38 | 0.40 | 0.00 | 0.40 | 95.0 | 0.38 |
| 01/09/2018 | RENTROP, GARRETT | OPPENHEIMER GLOBAL OPPORTUNITIES C | 40.38 | 0.40 | 0.00 | 0.40 | 95.0 | 0.38 |
| 01/09/2018 | RENTROP, GARRETT | OPPENHEIMER GLOBAL STRATEGIC INC C | 40.38 | 0.40 | 0.00 | 0.40 | 95.0 | 0.38 |
| 01/09/2018 | RENTROP, GARRETT | OPPENHEIMER GLOBAL STRATEGIC INC C | 40.38 | 0.40 | 0.00 | 0.40 | 95.0 | 0.38 |
| 01/09/2018 | KRAYDICH, KELLIE | OPPENHEIMER INTL SMALL CO A | 62.50 | 2.97 | 0.00 | 2.97 | 95.0 | 2.82 |
| 01/09/2018 | KRAYDICH, KELLIE | OPPENHEIMER INTL SMALL CO A | 33.86 | 1.61 | 0.00 | 1.61 | 95.0 | 1.53 |
| 01/09/2018 | RENTROP, GARRETT | OPPENHEIMER MAIN ST SMALL & MID CAP | 40.38 | 0.40 | 0.00 | 0.40 | 95.0 | 0.38 |
| 01/09/2018 | RENTROP, GARRETT | OPPENHEIMER MAIN ST SMALL & MID CAP | 40.38 | 0.40 | 0.00 | 0.40 | 95.0 | 0.38 |
| 01/09/2018 | TRBOVICH, NICK | OPPENHEIMER MAIN STREET A | 2,175.00 | 103.31 | 0.00 | 103.31 | 95.0 | 98.14 |
| 01/09/2018 | TRBOVICH, NICK | OPPENHEIMER MAIN STREET A | 705.00 | 33.49 | 0.00 | 33.49 | 95.0 | 31.82 |
| 01/09/2018 | TRBOVICH, MARY | OPPENHEIMER MAIN STREET A | 2,525.00 | 119.94 | 0.00 | 119.94 | 95.0 | 113.94 |
| 01/09/2018 | TRBOVICH, MARY | OPPENHEIMER MAIN STREET A | 165.00 | 7.84 | 0.00 | 7.84 | 95.0 | 7.45 |
| 01/09/2018 | TRBOVICH, NICK | OPPENHEIMER REAL ESTATE A | 2,175.00 | 103.31 | 0.00 | 103.31 | 95.0 | 98.14 |
| 01/09/2018 | TRBOVICH, NICK | OPPENHEIMER REAL ESTATE A | 705.00 | 33.49 | 0.00 | 33.49 | 95.0 | 31.82 |
| 01/09/2018 | TRBOVICH, MARY | OPPENHEIMER REAL ESTATE A | 2,525.00 | 119.94 | 0.00 | 119.94 | 95.0 | 113.94 |
| 01/09/2018 | TRBOVICH, MARY | OPPENHEIMER REAL ESTATE A | 165.00 | 7.84 | 0.00 | 7.84 | 95.0 | 7.45 |
| 01/02/2018 | LABAZA, LYNN | OPPENHEIMER SMALL & MIDCAP GROWTH C | 3,875.00 | 38.75 | 0.00 | 38.75 | 95.0 | 36.81 |
| 01/02/2018 | LABAZA, LYNN | OPPENHEIMER SMALL & MIDCAP GROWTH C | 116.25 | 1.16 | 0.00 | 1.16 | 95.0 | 1.10 |
| 01/02/2018 | LABAZA, JOHN | OPPENHEIMER SMALL & MIDCAP GROWTH C | 3,875.00 | 38.75 | 0.00 | 38.75 | 95.0 | 36.81 |
| 01/02/2018 | LABAZA, JOHN | OPPENHEIMER SMALL & MIDCAP GROWTH C | 116.25 | 1.16 | 0.00 | 1.16 | 95.0 | 1.10 |
| 01/09/2018 | TRBOVICH, NICK | OPPENHEIMER VALUE A | 2,175.00 | 103.31 | 0.00 | 103.31 | 95.0 | 98.14 |
| 01/09/2018 | TRBOVICH, NICK | OPPENHEIMER VALUE A | 705.00 | 33.49 | 0.00 | 33.49 | 95.0 | 31.82 |
| 01/09/2018 | TRBOVICH, MARY | OPPENHEIMER VALUE A | 2,525.00 | 119.94 | 0.00 | 119.94 | 95.0 | 113.94 |
| 01/09/2018 | TRBOVICH, MARY | OPPENHEIMER VALUE A | 165.00 | 7.84 | 0.00 | 7.84 | 95.0 | 7.45 |
| 01/09/2018 | RENTROP, GARRETT | OPPENHEIMER QUEST BALANCED C | 40.38 | 0.40 | 0.00 | 0.40 | 95.0 | 0.38 |

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|--|----------------------|----------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <u>DIRECT TRANSACTIONS</u> | | | | | | | | |
| <u>PRODUCT CATEGORY: MUTUAL FUNDS</u> | | | | | | | | |
| 01/09/2018 | RENTROP, GARRETT | OPPENHEIMIER QUEST BALANCED C | 40.38 | 0.40 | 0.00 | 0.40 | 95.0 | 0.38 |
| 01/02/2018 | WONCH, LIZ | PUTNAM INVESTORS A | 50.00 | 2.50 | 0.00 | 2.50 | 95.0 | 2.38 |
| 01/08/2018 | LOPICCOLO, CATHERINE | TRANSAMERICA AA GROWTH C | 128.39 | 1.28 | 0.00 | 1.28 | 95.0 | 1.22 |
| 01/16/2018 | TOBEY, TIMOTHY | TRANSAMERICA AA GROWTH C | 100.00 | 1.00 | 0.00 | 1.00 | 95.0 | 0.95 |
| 01/02/2018 | O'CONNOR, FRANCIS | TRANSAMERICA AA MOD GROWTH C | 3,687.11 | 36.87 | 0.00 | 36.87 | 95.0 | 35.03 |
| 01/09/2018 | BARTOI, JOHN | TRANSAMERICA AA MODERATE C | 1,000.65 | 10.01 | 0.00 | 10.01 | 95.0 | 9.51 |
| 01/16/2018 | WEYCKER, ROBERT | TRANSAMERICA MULTI-MANAGED BAL C | 300.00 | 3.00 | 0.00 | 3.00 | 95.0 | 2.85 |
| 01/16/2018 | EICHENLAUB, TRACEY | TRANSAMERICA MULTI-MANAGED BAL C | 450.00 | 4.50 | 0.00 | 4.50 | 95.0 | 4.28 |
| * MUTUAL FUNDS SUBTOTAL * | | | \$46,614.07 | \$1,368.32 | \$0.00 | \$1,368.32 | | \$1,299.90 |

PRODUCT CATEGORY: VARIABLE UNIVERSAL LIFE

| | | | | | | | | |
|--------------------------------------|--------------|--------------|-------------------|-----------------|---------------|-----------------|------|-----------------|
| 01/02/2018 | DINKA, JENNA | PAC LIFE VUL | 666.49 | 133.21 | 0.00 | 133.21 | 95.0 | 126.55 |
| 01/08/2018 | DINKA, JOHN | PAC LIFE VUL | 2,500.00 | 50.00 | 0.00 | 50.00 | 95.0 | 47.50 |
| * VARIABLE UNIVERSAL LIFE SUBTOTAL * | | | \$3,166.49 | \$183.21 | \$0.00 | \$183.21 | | \$174.05 |

PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS

| | | | | | | | | |
|------------|----------------------|------------------------------|------|-------|------|-------|------|-------|
| 01/04/2018 | ZERILLI, SALVATORE | ALGER CAPITAL APPRECIATION A | 0.00 | 7.24 | 0.00 | 7.24 | 95.0 | 6.88 |
| 01/04/2018 | COOPER, IAN | ALGER CAPITAL APPRECIATION A | 0.00 | 29.53 | 0.00 | 29.53 | 95.0 | 28.05 |
| 01/04/2018 | RICHARDS, JAKOB | ALGER CAPITAL APPRECIATION C | 0.00 | 3.24 | 0.00 | 3.24 | 95.0 | 3.08 |
| 01/04/2018 | RICHARDS, JAKOB | ALGER CAPITAL APPRECIATION C | 0.00 | 1.10 | 0.00 | 1.10 | 95.0 | 1.05 |
| 01/04/2018 | RICHARDS, JAKOB | ALGER HEALTH SCIENCES C | 0.00 | 3.23 | 0.00 | 3.23 | 95.0 | 3.07 |
| 01/04/2018 | RICHARDS, JAKOB | ALGER HEALTH SCIENCES C | 0.00 | 1.17 | 0.00 | 1.17 | 95.0 | 1.11 |
| 01/04/2018 | ZERILLI, SALVATORE | ALGER LARGECAP GROWTH A | 0.00 | 3.25 | 0.00 | 3.25 | 95.0 | 3.09 |
| 01/04/2018 | SEKULA, MICHAEL | ALGER LARGECAP GROWTH A | 0.00 | 1.10 | 0.00 | 1.10 | 95.0 | 1.05 |
| 01/04/2018 | SEKULA, MICHAEL | ALGER LARGECAP GROWTH A | 0.00 | 1.10 | 0.00 | 1.10 | 95.0 | 1.05 |
| 01/04/2018 | SEKULA, KRISTINA | ALGER LARGECAP GROWTH A | 0.00 | 1.10 | 0.00 | 1.10 | 95.0 | 1.05 |
| 01/04/2018 | SEGARRA, AMY | ALGER LARGECAP GROWTH A | 0.00 | 0.03 | 0.00 | 0.03 | 95.0 | 0.03 |
| 01/04/2018 | NEUER-MIHALAK, LORIE | ALGER LARGECAP GROWTH A | 0.00 | 4.16 | 0.00 | 4.16 | 95.0 | 3.95 |
| 01/04/2018 | BRUGLIO, JULIA | ALGER LARGECAP GROWTH A | 0.00 | 0.04 | 0.00 | 0.04 | 95.0 | 0.04 |
| 01/04/2018 | RICHARDS, JAKOB | ALGER LARGECAP GROWTH C | 0.00 | 2.80 | 0.00 | 2.80 | 95.0 | 2.66 |
| 01/04/2018 | RICHARDS, JAKOB | ALGER LARGECAP GROWTH C | 0.00 | 1.03 | 0.00 | 1.03 | 95.0 | 0.98 |
| 01/04/2018 | NEUER-MIHALAK, LORIE | ALGER MIDCAP GROWTH A | 0.00 | 6.01 | 0.00 | 6.01 | 95.0 | 5.71 |
| 01/04/2018 | MUNTEANU, RADU | ALGER MIDCAP GROWTH A | 0.00 | 22.58 | 0.00 | 22.58 | 95.0 | 21.45 |
| 01/04/2018 | MORSE, TRACY | ALGER MIDCAP GROWTH A | 0.00 | 0.17 | 0.00 | 0.17 | 95.0 | 0.16 |

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|--|------------------------------|-------------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <u>DIRECT TRANSACTIONS</u> | | | | | | | | |
| PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS | | | | | | | | |
| 01/04/2018 | NEUER-MIHALAK, LORIE | ALGER MIDCAP GROWTH B | 0.00 | 0.97 | 0.00 | 0.97 | 95.0 | 0.92 |
| 01/04/2018 | RICHARDS, JAKOB | ALGER MIDCAP GROWTH C | 0.00 | 3.51 | 0.00 | 3.51 | 95.0 | 3.33 |
| 01/04/2018 | RICHARDS, JAKOB | ALGER MIDCAP GROWTH C | 0.00 | 1.17 | 0.00 | 1.17 | 95.0 | 1.11 |
| 01/04/2018 | HUANG, CONNIE LING | ALGER SMALLCAP GROWTH A | 0.00 | 0.43 | 0.00 | 0.43 | 95.0 | 0.41 |
| 01/08/2018 | HAINES, JILL | ALLIANCE BERNSTEIN CORE OPP A | 0.00 | 1.42 | 0.00 | 1.42 | 95.0 | 1.35 |
| 01/08/2018 | HAINES, JILL | ALLIANCE BERNSTEIN VALUE FUND A | 0.00 | 0.91 | 0.00 | 0.91 | 95.0 | 0.86 |
| 01/08/2018 | HARTOUNIAN, HAGOB BEN | ALLIANCE SMALLCAP | 0.00 | 1.71 | 0.00 | 1.71 | 95.0 | 1.62 |
| 01/08/2018 | HAINES, JILL | ALLIANCEBERNSTEIN CORE OPPORTUNITIE | 0.00 | 0.84 | 0.00 | 0.84 | 95.0 | 0.80 |
| 01/08/2018 | HAINES, JILL | ALLIANCEBERNSTEIN GL THEMATIC GROWT | 0.00 | 8.27 | 0.00 | 8.27 | 95.0 | 7.86 |
| 01/08/2018 | GEORGE, RONALD | ALLIANCEBERNSTEIN GL THEMATIC GROWT | 0.00 | 1.63 | 0.00 | 1.63 | 95.0 | 1.55 |
| 01/08/2018 | PINKOS, CHRISTINE | ALLIANCEBERNSTEIN GL THEMATIC GROWT | 0.00 | 0.05 | 0.00 | 0.05 | 95.0 | 0.05 |
| 01/08/2018 | SEBLANI, MUSTAPHA | ALLIANCEBERNSTEIN GL THEMATIC GROWT | 0.00 | 5.28 | 0.00 | 5.28 | 95.0 | 5.02 |
| 01/08/2018 | FLANNERY, CHRISTIAN | ALLIANCEBERNSTEIN GL THEMATIC GROWT | 0.00 | 0.40 | 0.00 | 0.40 | 95.0 | 0.38 |
| 01/08/2018 | KIEFHABER, JEAN | ALLIANCEBERNSTEIN GLOBAL BOND A | 0.00 | 5.68 | 0.00 | 5.68 | 95.0 | 5.40 |
| 01/08/2018 | BRADEN, TERRI | ALLIANCEBERNSTEIN GROWTH A | 0.00 | 14.57 | 0.00 | 14.57 | 95.0 | 13.84 |
| 01/08/2018 | HARTOUNIAN, HAGOB BEN | ALLIANCEBERNSTEIN GROWTH AND INC A | 0.00 | 1.64 | 0.00 | 1.64 | 95.0 | 1.56 |
| 01/08/2018 | BRADEN, TERRI | ALLIANCEBERNSTEIN GROWTH B | 0.00 | 5.83 | 0.00 | 5.83 | 95.0 | 5.54 |
| 01/08/2018 | MOILANEN, STEPHEN | ALLIANCEBERNSTEIN HIGH INCOME A | 0.00 | 2.33 | 0.00 | 2.33 | 95.0 | 2.21 |
| 01/08/2018 | HAINES, JILL | ALLIANCEBERNSTEIN INTL VALUE A | 0.00 | 0.86 | 0.00 | 0.86 | 95.0 | 0.82 |
| 01/08/2018 | HAINES, JILL | ALLIANCEBERNSTEIN INTL VALUE C | 0.00 | 0.39 | 0.00 | 0.39 | 95.0 | 0.37 |
| 01/08/2018 | HAINES, JILL | ALLIANCEBERNSTEIN LARGE CAP GROWTH | 0.00 | 14.86 | 0.00 | 14.86 | 95.0 | 14.12 |
| 01/08/2018 | GEORGE, RONALD | ALLIANCEBERNSTEIN LARGE CAP GROWTH | 0.00 | 1.94 | 0.00 | 1.94 | 95.0 | 1.84 |
| 01/08/2018 | SEBLANI, MUSTAPHA | ALLIANCEBERNSTEIN LARGE CAP GROWTH | 0.00 | 6.87 | 0.00 | 6.87 | 95.0 | 6.53 |
| 01/08/2018 | HAINES, JILL | ALLIANCEBERNSTEIN SMALL/MID CAP VAL | 0.00 | 1.79 | 0.00 | 1.79 | 95.0 | 1.70 |
| 01/08/2018 | HAINES, JILL | ALLIANCEBERNSTEIN SMALL/MID CAP VAL | 0.00 | 0.81 | 0.00 | 0.81 | 95.0 | 0.77 |
| 01/08/2018 | OPALESKI, SCOTT | ALLIANCEBERNSTEIN SMALL/MID-CAP GRW | 0.00 | 1.14 | 0.00 | 1.14 | 95.0 | 1.08 |
| 01/08/2018 | LYNN GOODRICH JT TEN, CHERIL | ALLIANCEBERNSTEIN SMALL/MID-CAP GRW | 0.00 | 1.05 | 0.00 | 1.05 | 95.0 | 1.00 |
| 01/08/2018 | KING, RITA | ALLIANCEBERNSTEIN SMALL/MID-CAP GRW | 0.00 | 1.29 | 0.00 | 1.29 | 95.0 | 1.23 |
| 01/08/2018 | KING, COURTNEY | ALLIANCEBERNSTEIN SMALL/MID-CAP GRW | 0.00 | 1.33 | 0.00 | 1.33 | 95.0 | 1.26 |
| 01/08/2018 | HAINES, JILL | ALLIANCEBERNSTEIN VALUE FUND C | 0.00 | 0.61 | 0.00 | 0.61 | 95.0 | 0.58 |
| 01/24/2018 | CFGROUP, VARIOUS | AM FUNDS AMCAP C | 0.00 | 1,299.06 | 0.00 | 1,299.06 | 95.0 | 1,234.11 |
| 01/08/2018 | CFGROUP, VARIOUS | AMERICAN FUNDS 8504AFRKD | 0.00 | 67.61 | 0.00 | 67.61 | 95.0 | 64.23 |
| 01/24/2018 | CFGROUP, VARIOUS | AMERICAN FUNDS PERSHING | 0.00 | 6.93 | 0.00 | 6.93 | 95.0 | 6.58 |

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| 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> | | | | | | | | |
| / / | SOLDAN-, MATTHEW | CALAMOS GROWTH & INCOME A | 0.00 | 3.09 | 0.00 | 3.09 | 95.0 | 2.94 |
| / / | GRAVES, ANNE | CALAMOS GROWTH A | 0.00 | 12.51 | 0.00 | 12.51 | 95.0 | 11.88 |
| / / | SOLDAN-, MATTHEW | CALAMOS GROWTH A | 0.00 | 2.90 | 0.00 | 2.90 | 95.0 | 2.76 |
| / / | SOBIESKI, JOYCE | CALAMOS GROWTH C | 0.00 | 28.04 | 0.00 | 28.04 | 95.0 | 26.64 |
| 01/04/2018 | MERRITT, KATHY | COLUMBIA ACORN A | 0.00 | 10.15 | 0.00 | 10.15 | 95.0 | 9.64 |
| 01/04/2018 | EQUITY TRUST CO | COLUMBIA ACORN A | 0.00 | 5.19 | 0.00 | 5.19 | 95.0 | 4.93 |
| 01/04/2018 | SMARK, CHARLES | COLUMBIA ACORN A | 0.00 | 6.06 | 0.00 | 6.06 | 95.0 | 5.76 |
| 01/04/2018 | MOORE, DONYELLE | COLUMBIA EQUITY VALUE A | 0.00 | 1.04 | 0.00 | 1.04 | 95.0 | 0.99 |
| 01/04/2018 | MUNTEANU, RADU | COLUMBIA GREATER CHINA A | 0.00 | 9.17 | 0.00 | 9.17 | 95.0 | 8.71 |
| 01/04/2018 | KLEMPNER TRUST, VLADIMIR | COLUMBIA INCOME BUILDER FUND A | 0.00 | 9.55 | 0.00 | 9.55 | 95.0 | 9.07 |
| 01/04/2018 | SMYTH, DAVID | COLUMBIA LARGE CAP GROWTH A | 0.00 | 3.57 | 0.00 | 3.57 | 95.0 | 3.39 |
| 01/04/2018 | MOORE, DONYELLE | COLUMBIA MIDCAP VALUE A | 0.00 | 9.44 | 0.00 | 9.44 | 95.0 | 8.97 |
| 01/04/2018 | KULA, THOMAS | COLUMBIA SELIGMAN COMM AND INFO A | 0.00 | 3.11 | 0.00 | 3.11 | 95.0 | 2.95 |
| 01/04/2018 | HOSKIN, JOHN | COLUMBIA SELIGMAN COMM AND INFO A | 0.00 | 6.30 | 0.00 | 6.30 | 95.0 | 5.99 |
| 01/04/2018 | SWIDER, ROB | COLUMBIA SELIGMAN COMM AND INFO A | 0.00 | 6.50 | 0.00 | 6.50 | 95.0 | 6.18 |
| 01/04/2018 | VANMEER, MICHAEL | COLUMBIA SELIGMAN COMM AND INFO A | 0.00 | 3.87 | 0.00 | 3.87 | 95.0 | 3.68 |
| 01/04/2018 | SCULLY, DOROTHY | COLUMBIA SELIGMAN COMM AND INFO C | 0.00 | 47.22 | 0.00 | 47.22 | 95.0 | 44.86 |
| 01/04/2018 | FALKIEWICZ, DAVID | COLUMBIA SMALL CAP VALUE I A | 0.00 | 6.48 | 0.00 | 6.48 | 95.0 | 6.16 |
| 01/04/2018 | MOORE, DONYELLE | COLUMBIA SMALL CAP VALUE I A | 0.00 | 5.39 | 0.00 | 5.39 | 95.0 | 5.12 |
| 01/04/2018 | KUCHAREK, EMMA | COLUMBIA STRATEGIC INVESTOR A | 0.00 | 0.20 | 0.00 | 0.20 | 95.0 | 0.19 |
| 01/04/2018 | KUCHAREK, PETER | COLUMBIA STRATEGIC INVESTOR A | 0.00 | 0.20 | 0.00 | 0.20 | 95.0 | 0.19 |
| 01/04/2018 | KUCHAREK, GILLIAN | COLUMBIA STRATEGIC INVESTOR A | 0.00 | 0.20 | 0.00 | 0.20 | 95.0 | 0.19 |
| 01/04/2018 | KUCHAREK, SARAH | COLUMBIA STRATEGIC INVESTOR A | 0.00 | 0.20 | 0.00 | 0.20 | 95.0 | 0.19 |
| 01/04/2018 | KINGSLEY, BRIAN GENE | COLUMBIA STRATEGIC INVESTOR A | 0.00 | 2.92 | 0.00 | 2.92 | 95.0 | 2.77 |
| 01/04/2018 | KUCHAREK, MIRIAM | COLUMBIA STRATEGIC INVESTOR A | 0.00 | 0.21 | 0.00 | 0.21 | 95.0 | 0.20 |
| 01/02/2018 | VARTABEDIAN, ROBERT | DAVIS FINANCIAL A | 0.00 | 6.86 | 0.00 | 6.86 | 95.0 | 6.52 |
| 01/02/2018 | ROY, JACKIE | DAVIS FINANCIAL A | 0.00 | 7.52 | 0.00 | 7.52 | 95.0 | 7.14 |
| 01/02/2018 | ROY, LORAIN | DAVIS FINANCIAL A | 0.00 | 4.52 | 0.00 | 4.52 | 95.0 | 4.29 |
| 01/02/2018 | SZETO, CHOWN | DAVIS FINANCIAL A | 0.00 | 1.61 | 0.00 | 1.61 | 95.0 | 1.53 |
| 01/02/2018 | MICHON, ERIK | DAVIS FINANCIAL A | 0.00 | 2.00 | 0.00 | 2.00 | 95.0 | 1.90 |
| 01/02/2018 | ROCCA, HELEN | DAVIS FINANCIAL A | 0.00 | 6.38 | 0.00 | 6.38 | 95.0 | 6.06 |
| 01/02/2018 | ROCCA, JOHN | DAVIS FINANCIAL A | 0.00 | 10.90 | 0.00 | 10.90 | 95.0 | 10.36 |
| 01/02/2018 | SMITH, DENNIS | DAVIS FINANCIAL A | 0.00 | 4.52 | 0.00 | 4.52 | 95.0 | 4.29 |

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|---|--------------------------|---------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <u>DIRECT TRANSACTIONS</u> | | | | | | | | |
| <u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u> | | | | | | | | |
| 01/02/2018 | DUDZIK, ELZBIETA | DAVIS FINANCIAL A | 0.00 | 4.18 | 0.00 | 4.18 | 95.0 | 3.97 |
| 01/02/2018 | ROCCA, HELEN | DAVIS FINANCIAL A | 0.00 | 4.86 | 0.00 | 4.86 | 95.0 | 4.62 |
| 01/02/2018 | ROCCA, JOHN | DAVIS FINANCIAL A | 0.00 | 0.83 | 0.00 | 0.83 | 95.0 | 0.79 |
| 01/02/2018 | TSANGANOS, OURANIA | DAVIS GLOBAL A | 0.00 | 16.90 | 0.00 | 16.90 | 95.0 | 16.06 |
| 01/02/2018 | TSANGANOS, NICHOLAOS | DAVIS GLOBAL A | 0.00 | 16.90 | 0.00 | 16.90 | 95.0 | 16.06 |
| 01/02/2018 | SELVAGGIO, VINCENZA | DAVIS GLOBAL A | 0.00 | 4.94 | 0.00 | 4.94 | 95.0 | 4.69 |
| 01/02/2018 | FRAZE, BILL | DAVIS GLOBAL A | 0.00 | 5.46 | 0.00 | 5.46 | 95.0 | 5.19 |
| 01/02/2018 | VANDERMEER, BRETT | DAVIS GLOBAL A | 0.00 | 9.77 | 0.00 | 9.77 | 95.0 | 9.28 |
| 01/02/2018 | VANDERMEER, PAIGE | DAVIS GLOBAL A | 0.00 | 9.77 | 0.00 | 9.77 | 95.0 | 9.28 |
| 01/02/2018 | VARTABEDIAN, ROBERT | DAVIS GLOBAL A | 0.00 | 5.99 | 0.00 | 5.99 | 95.0 | 5.69 |
| 01/02/2018 | TSANGANOS, LEONIDAS | DAVIS GLOBAL A | 0.00 | 10.82 | 0.00 | 10.82 | 95.0 | 10.28 |
| 01/02/2018 | MITSOPOULOS, GEORGIA | DAVIS GLOBAL A | 0.00 | 1.88 | 0.00 | 1.88 | 95.0 | 1.79 |
| 01/02/2018 | MITSOPOULOS, GEORGIA | DAVIS GLOBAL A | 0.00 | 2.36 | 0.00 | 2.36 | 95.0 | 2.24 |
| 01/02/2018 | DUDZIK, ELZBIETA | DAVIS GLOBAL A | 0.00 | 2.26 | 0.00 | 2.26 | 95.0 | 2.15 |
| 01/02/2018 | TSANGANOS, LEONIDAS | DAVIS GLOBAL A | 0.00 | 6.37 | 0.00 | 6.37 | 95.0 | 6.05 |
| 01/02/2018 | PISTOLESI, LEIGH | DAVIS GLOBAL A | 0.00 | 2.84 | 0.00 | 2.84 | 95.0 | 2.70 |
| 01/02/2018 | PISTOLESI, VAUGHN | DAVIS GLOBAL A | 0.00 | 10.46 | 0.00 | 10.46 | 95.0 | 9.94 |
| 01/02/2018 | SMITH, AMELIA | DAVIS GLOBAL A | 0.00 | 1.22 | 0.00 | 1.22 | 95.0 | 1.16 |
| 01/02/2018 | KIRSCHLING UTMA-MI, ANNA | DAVIS GLOBAL A | 0.00 | 1.09 | 0.00 | 1.09 | 95.0 | 1.04 |
| 01/02/2018 | ROCCA, HELEN | DAVIS GLOBAL A | 0.00 | 2.53 | 0.00 | 2.53 | 95.0 | 2.40 |
| 01/02/2018 | DANNIS, DIANE | DAVIS GLOBAL A | 0.00 | 3.71 | 0.00 | 3.71 | 95.0 | 3.52 |
| 01/02/2018 | SELVAGGIO, STEVE | DAVIS GLOBAL A | 0.00 | 2.98 | 0.00 | 2.98 | 95.0 | 2.83 |
| 01/02/2018 | VANDERMEER, SANDRA | DAVIS GLOBAL A | 0.00 | 4.54 | 0.00 | 4.54 | 95.0 | 4.31 |
| 01/02/2018 | VARTABEDIAN, ROBERT | DAVIS GOVERNMENT MONEY MARKET A | 0.00 | 0.00 | 0.00 | 0.00 | 95.0 | 0.00 |
| 01/02/2018 | HARRIS TRUST, JACOB | DAVIS NEW YORK VENTURE A | 0.00 | 2.95 | 0.00 | 2.95 | 95.0 | 2.80 |
| 01/02/2018 | PAPPAS, LARRY | DAVIS NEW YORK VENTURE A | 0.00 | 150.20 | 0.00 | 150.20 | 95.0 | 142.69 |
| 01/02/2018 | POLYZOIS, ALEX | DAVIS NEW YORK VENTURE A | 0.00 | 5.20 | 0.00 | 5.20 | 95.0 | 4.94 |
| 01/02/2018 | MURPHY, SEAN | DAVIS NEW YORK VENTURE A | 0.00 | 17.72 | 0.00 | 17.72 | 95.0 | 16.83 |
| 01/02/2018 | LUSK, AMY | DAVIS NEW YORK VENTURE A | 0.00 | 4.04 | 0.00 | 4.04 | 95.0 | 3.84 |
| 01/02/2018 | COMAIANNI, KATHLEEN | DAVIS NEW YORK VENTURE A | 0.00 | 18.07 | 0.00 | 18.07 | 95.0 | 17.17 |
| 01/02/2018 | PESSINA, GAIL | DAVIS NEW YORK VENTURE A | 0.00 | 79.89 | 0.00 | 79.89 | 95.0 | 75.90 |
| 01/02/2018 | VARTABEDIAN, MARGARET | DAVIS NEW YORK VENTURE A | 0.00 | 12.06 | 0.00 | 12.06 | 95.0 | 11.46 |
| 01/02/2018 | TSEREGOUNIS, SPYROS | DAVIS NEW YORK VENTURE A | 0.00 | 61.45 | 0.00 | 61.45 | 95.0 | 58.38 |

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|---|----------------------|--------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <u>DIRECT TRANSACTIONS</u> | | | | | | | | |
| <u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u> | | | | | | | | |
| 01/02/2018 | CIAGLO, BETTY | DAVIS NEW YORK VENTURE A | 0.00 | 97.64 | 0.00 | 97.64 | 95.0 | 92.76 |
| 01/02/2018 | ANASTASIOU, BASILE | DAVIS NEW YORK VENTURE A | 0.00 | 9.90 | 0.00 | 9.90 | 95.0 | 9.41 |
| 01/02/2018 | ARVANT, PETER | DAVIS NEW YORK VENTURE A | 0.00 | 195.42 | 0.00 | 195.42 | 95.0 | 185.65 |
| 01/02/2018 | VARTABEDIAN, ROBERT | DAVIS NEW YORK VENTURE A | 0.00 | 6.88 | 0.00 | 6.88 | 95.0 | 6.54 |
| 01/02/2018 | REYNOLDS, DONALD | DAVIS NEW YORK VENTURE A | 0.00 | 68.95 | 0.00 | 68.95 | 95.0 | 65.50 |
| 01/02/2018 | YET, CHARLES | DAVIS NEW YORK VENTURE A | 0.00 | 4.62 | 0.00 | 4.62 | 95.0 | 4.39 |
| 01/02/2018 | TSANGANOS, NICHOLAOS | DAVIS NEW YORK VENTURE A | 0.00 | 61.45 | 0.00 | 61.45 | 95.0 | 58.38 |
| 01/02/2018 | RUFFINO, ERNESTINE | DAVIS NEW YORK VENTURE A | 0.00 | 45.88 | 0.00 | 45.88 | 95.0 | 43.59 |
| 01/02/2018 | VARTABEDIAN, ARTHUR | DAVIS NEW YORK VENTURE A | 0.00 | 4.61 | 0.00 | 4.61 | 95.0 | 4.38 |
| 01/02/2018 | KNOWLES, SHANA | DAVIS NEW YORK VENTURE A | 0.00 | 1.22 | 0.00 | 1.22 | 95.0 | 1.16 |
| 01/02/2018 | PISTOLESI, VAUGHN | DAVIS NEW YORK VENTURE A | 0.00 | 29.05 | 0.00 | 29.05 | 95.0 | 27.60 |
| 01/02/2018 | PISTOLESI, LEIGH | DAVIS NEW YORK VENTURE A | 0.00 | 3.43 | 0.00 | 3.43 | 95.0 | 3.26 |
| 01/02/2018 | CISSELL, MICHELLE | DAVIS NEW YORK VENTURE A | 0.00 | 21.26 | 0.00 | 21.26 | 95.0 | 20.20 |
| 01/02/2018 | SUCHYTZ, DAVID | DAVIS NEW YORK VENTURE A | 0.00 | 18.69 | 0.00 | 18.69 | 95.0 | 17.76 |
| 01/02/2018 | ANDREAPOULOS, FOTINI | DAVIS NEW YORK VENTURE A | 0.00 | 12.83 | 0.00 | 12.83 | 95.0 | 12.19 |
| 01/02/2018 | ROY, JACKIE | DAVIS NEW YORK VENTURE A | 0.00 | 5.59 | 0.00 | 5.59 | 95.0 | 5.31 |
| 01/02/2018 | ROY, LORAIN | DAVIS NEW YORK VENTURE A | 0.00 | 6.64 | 0.00 | 6.64 | 95.0 | 6.31 |
| 01/02/2018 | SZETO, CHOWN | DAVIS NEW YORK VENTURE A | 0.00 | 1.40 | 0.00 | 1.40 | 95.0 | 1.33 |
| 01/02/2018 | DOUTSAS, FREIDA | DAVIS NEW YORK VENTURE A | 0.00 | 49.69 | 0.00 | 49.69 | 95.0 | 47.21 |
| 01/02/2018 | POTTS, JEFFERY | DAVIS NEW YORK VENTURE A | 0.00 | 18.46 | 0.00 | 18.46 | 95.0 | 17.54 |
| 01/02/2018 | SHERMAN, SCOTT | DAVIS NEW YORK VENTURE A | 0.00 | 3.36 | 0.00 | 3.36 | 95.0 | 3.19 |
| 01/02/2018 | PARTALIS, CHRISTINE | DAVIS NEW YORK VENTURE A | 0.00 | 5.05 | 0.00 | 5.05 | 95.0 | 4.80 |
| 01/02/2018 | CISSELL, EVAN | DAVIS NEW YORK VENTURE A | 0.00 | 41.31 | 0.00 | 41.31 | 95.0 | 39.24 |
| 01/02/2018 | GRUENBURG, ROY | DAVIS NEW YORK VENTURE A | 0.00 | 32.55 | 0.00 | 32.55 | 95.0 | 30.92 |
| 01/02/2018 | ROCCA, HELEN | DAVIS NEW YORK VENTURE A | 0.00 | 20.85 | 0.00 | 20.85 | 95.0 | 19.81 |
| 01/02/2018 | ROCCA, JOHN | DAVIS NEW YORK VENTURE A | 0.00 | 27.23 | 0.00 | 27.23 | 95.0 | 25.87 |
| 01/02/2018 | SELVAGGIO, VINCENZA | DAVIS NEW YORK VENTURE A | 0.00 | 1.09 | 0.00 | 1.09 | 95.0 | 1.04 |
| 01/02/2018 | TSANGANOS, LEONIDAS | DAVIS NEW YORK VENTURE A | 0.00 | 12.04 | 0.00 | 12.04 | 95.0 | 11.44 |
| 01/02/2018 | SELVAGGIO, STEVE | DAVIS NEW YORK VENTURE A | 0.00 | 1.31 | 0.00 | 1.31 | 95.0 | 1.24 |
| 01/02/2018 | SMITH, DENNIS | DAVIS NEW YORK VENTURE A | 0.00 | 4.63 | 0.00 | 4.63 | 95.0 | 4.40 |
| 01/02/2018 | FRAZHO, JENNIFER | DAVIS NEW YORK VENTURE A | 0.00 | 0.68 | 0.00 | 0.68 | 95.0 | 0.65 |
| 01/02/2018 | TSOUKALAS, IOANNIS | DAVIS NEW YORK VENTURE A | 0.00 | 4.15 | 0.00 | 4.15 | 95.0 | 3.94 |
| 01/02/2018 | BECKER, ADRIANNA | DAVIS NEW YORK VENTURE A | 0.00 | 1.08 | 0.00 | 1.08 | 95.0 | 1.03 |

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|---|----------------------|--------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <u>DIRECT TRANSACTIONS</u> | | | | | | | | |
| <u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u> | | | | | | | | |
| 01/02/2018 | DUDZIK, ELZBIETA | DAVIS NEW YORK VENTURE A | 0.00 | 25.90 | 0.00 | 25.90 | 95.0 | 24.61 |
| 01/02/2018 | VARTABEDIAN, TED | DAVIS NEW YORK VENTURE A | 0.00 | 39.52 | 0.00 | 39.52 | 95.0 | 37.54 |
| 01/02/2018 | PAVLIK, SUZANNE | DAVIS NEW YORK VENTURE A | 0.00 | 7.75 | 0.00 | 7.75 | 95.0 | 7.36 |
| 01/02/2018 | KOECHIG, CHRISTOPHER | DAVIS NEW YORK VENTURE A | 0.00 | 0.89 | 0.00 | 0.89 | 95.0 | 0.85 |
| 01/02/2018 | RAPER, LORRAINE | DAVIS NEW YORK VENTURE A | 0.00 | 8.10 | 0.00 | 8.10 | 95.0 | 7.70 |
| 01/02/2018 | MORICI, MICHELLE | DAVIS NEW YORK VENTURE A | 0.00 | 30.98 | 0.00 | 30.98 | 95.0 | 29.43 |
| 01/02/2018 | RITTER, WILLIAM | DAVIS NEW YORK VENTURE A | 0.00 | 10.27 | 0.00 | 10.27 | 95.0 | 9.76 |
| 01/02/2018 | ZAWACKI, SANDY | DAVIS NEW YORK VENTURE A | 0.00 | 77.23 | 0.00 | 77.23 | 95.0 | 73.37 |
| 01/02/2018 | KEMPERMAN, MICHELLE | DAVIS NEW YORK VENTURE A | 0.00 | 9.00 | 0.00 | 9.00 | 95.0 | 8.55 |
| 01/02/2018 | SCULLY, KATHLEEN | DAVIS NEW YORK VENTURE A | 0.00 | 14.21 | 0.00 | 14.21 | 95.0 | 13.50 |
| 01/02/2018 | BROSHEAR, KARA | DAVIS NEW YORK VENTURE A | 0.00 | 14.56 | 0.00 | 14.56 | 95.0 | 13.83 |
| 01/02/2018 | BROSHEAR, MARK | DAVIS NEW YORK VENTURE A | 0.00 | 16.28 | 0.00 | 16.28 | 95.0 | 15.47 |
| 01/02/2018 | PETRO, PAUL | DAVIS NEW YORK VENTURE A | 0.00 | 33.25 | 0.00 | 33.25 | 95.0 | 31.59 |
| 01/02/2018 | PISTOLESI, MORGAN | DAVIS NEW YORK VENTURE A | 0.00 | 5.08 | 0.00 | 5.08 | 95.0 | 4.83 |
| 01/02/2018 | GARLAND, DAWN | DAVIS NEW YORK VENTURE A | 0.00 | 9.57 | 0.00 | 9.57 | 95.0 | 9.09 |
| 01/02/2018 | KISH, VIVIAN | DAVIS NEW YORK VENTURE A | 0.00 | 30.56 | 0.00 | 30.56 | 95.0 | 29.03 |
| 01/02/2018 | KISH, VIVIAN | DAVIS NEW YORK VENTURE A | 0.00 | 51.45 | 0.00 | 51.45 | 95.0 | 48.88 |
| 01/02/2018 | LAPORTE, NATANIAL | DAVIS NEW YORK VENTURE A | 0.00 | 2.47 | 0.00 | 2.47 | 95.0 | 2.35 |
| 01/02/2018 | CUDNIK, LEONARD | DAVIS NEW YORK VENTURE A | 0.00 | 18.62 | 0.00 | 18.62 | 95.0 | 17.69 |
| 01/02/2018 | GABRAIL, JALAL | DAVIS NEW YORK VENTURE A | 0.00 | 2.99 | 0.00 | 2.99 | 95.0 | 2.84 |
| 01/02/2018 | MANSOUR, EVA | DAVIS NEW YORK VENTURE A | 0.00 | 1.42 | 0.00 | 1.42 | 95.0 | 1.35 |
| 01/02/2018 | MOELLER, RICHARD | DAVIS NEW YORK VENTURE A | 0.00 | 10.23 | 0.00 | 10.23 | 95.0 | 9.72 |
| 01/02/2018 | NICOLOSI, ROSE | DAVIS NEW YORK VENTURE A | 0.00 | 15.14 | 0.00 | 15.14 | 95.0 | 14.38 |
| 01/02/2018 | PISTOLESI, VAUGHN | DAVIS NEW YORK VENTURE A | 0.00 | 11.71 | 0.00 | 11.71 | 95.0 | 11.12 |
| 01/02/2018 | MORELLI, MARY | DAVIS NEW YORK VENTURE A | 0.00 | 128.43 | 0.00 | 128.43 | 95.0 | 122.01 |
| 01/02/2018 | MORELLI, MARY | DAVIS NEW YORK VENTURE A | 0.00 | 32.88 | 0.00 | 32.88 | 95.0 | 31.24 |
| 01/02/2018 | ANDREOPOULOS, KOULA | DAVIS NEW YORK VENTURE A | 0.00 | 25.33 | 0.00 | 25.33 | 95.0 | 24.06 |
| 01/02/2018 | BARBER, IAN | DAVIS NEW YORK VENTURE A | 0.00 | 6.33 | 0.00 | 6.33 | 95.0 | 6.01 |
| 01/02/2018 | BANKS, VICTORIA | DAVIS NEW YORK VENTURE A | 0.00 | 19.00 | 0.00 | 19.00 | 95.0 | 18.05 |
| 01/02/2018 | NIKOU, JIMMY | DAVIS NEW YORK VENTURE A | 0.00 | 63.53 | 0.00 | 63.53 | 95.0 | 60.35 |
| 01/02/2018 | ANASTASIOU, DESPINA | DAVIS NEW YORK VENTURE A | 0.00 | 34.99 | 0.00 | 34.99 | 95.0 | 33.24 |
| 01/02/2018 | ANASTASIOU, BASILE | DAVIS NEW YORK VENTURE A | 0.00 | 71.23 | 0.00 | 71.23 | 95.0 | 67.67 |
| 01/02/2018 | ALEXOPOULOS, PAUL | DAVIS NEW YORK VENTURE A | 0.00 | 16.92 | 0.00 | 16.92 | 95.0 | 16.07 |

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| 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> | | | | | | | | |
| 01/02/2018 | CISSELL, EVAN | DAVIS NEW YORK VENTURE A | 0.00 | 18.98 | 0.00 | 18.98 | 95.0 | 18.03 |
| 01/02/2018 | CISSELL, PATRICIA | DAVIS NEW YORK VENTURE A | 0.00 | 96.62 | 0.00 | 96.62 | 95.0 | 91.79 |
| 01/02/2018 | WALSH, MICHAEL | DAVIS NEW YORK VENTURE A | 0.00 | 2.72 | 0.00 | 2.72 | 95.0 | 2.58 |
| 01/02/2018 | SUCHYTA, DENNIS | DAVIS NEW YORK VENTURE A | 0.00 | 4.18 | 0.00 | 4.18 | 95.0 | 3.97 |
| 01/02/2018 | TASCH, MARTIN | DAVIS NEW YORK VENTURE A | 0.00 | 10.04 | 0.00 | 10.04 | 95.0 | 9.54 |
| 01/02/2018 | ARVANT, PETER | DAVIS NEW YORK VENTURE A | 0.00 | 162.09 | 0.00 | 162.09 | 95.0 | 153.99 |
| 01/02/2018 | FRAZE, BILL | DAVIS NEW YORK VENTURE A | 0.00 | 105.05 | 0.00 | 105.05 | 95.0 | 99.80 |
| 01/02/2018 | ROBINETTE, JANET | DAVIS NEW YORK VENTURE A | 0.00 | 20.91 | 0.00 | 20.91 | 95.0 | 19.86 |
| 01/02/2018 | HOWARD, LISA | DAVIS NEW YORK VENTURE A | 0.00 | 7.45 | 0.00 | 7.45 | 95.0 | 7.08 |
| 01/02/2018 | ROCCA, ALEX | DAVIS NEW YORK VENTURE A | 0.00 | 2.71 | 0.00 | 2.71 | 95.0 | 2.57 |
| 01/02/2018 | ROCCA, AARON | DAVIS NEW YORK VENTURE A | 0.00 | 2.72 | 0.00 | 2.72 | 95.0 | 2.58 |
| 01/02/2018 | ROCCA, JACQUELYN | DAVIS NEW YORK VENTURE A | 0.00 | 2.72 | 0.00 | 2.72 | 95.0 | 2.58 |
| 01/02/2018 | ROCCA, HELEN | DAVIS NEW YORK VENTURE A | 0.00 | 10.28 | 0.00 | 10.28 | 95.0 | 9.77 |
| 01/02/2018 | TSANGANOS, LABRENE | DAVIS NEW YORK VENTURE A | 0.00 | 25.57 | 0.00 | 25.57 | 95.0 | 24.29 |
| 01/02/2018 | PESSINA, GAIL | DAVIS NEW YORK VENTURE A | 0.00 | 101.84 | 0.00 | 101.84 | 95.0 | 96.75 |
| 01/02/2018 | MASTERSON, ANNA | DAVIS NEW YORK VENTURE A | 0.00 | 0.73 | 0.00 | 0.73 | 95.0 | 0.69 |
| 01/02/2018 | DOUTSAS, CHRIS | DAVIS NEW YORK VENTURE A | 0.00 | 25.92 | 0.00 | 25.92 | 95.0 | 24.62 |
| 01/02/2018 | REDDEN, TODD | DAVIS NEW YORK VENTURE A | 0.00 | 4.11 | 0.00 | 4.11 | 95.0 | 3.90 |
| 01/02/2018 | DOUMAS, IRENE | DAVIS NEW YORK VENTURE A | 0.00 | 24.51 | 0.00 | 24.51 | 95.0 | 23.28 |
| 01/02/2018 | DANNIS, DIANE | DAVIS NEW YORK VENTURE A | 0.00 | 19.15 | 0.00 | 19.15 | 95.0 | 18.19 |
| 01/02/2018 | OVERMYER, SUSAN | DAVIS NEW YORK VENTURE A | 0.00 | 156.76 | 0.00 | 156.76 | 95.0 | 148.92 |
| 01/02/2018 | GRUENER, ELEANOR | DAVIS NEW YORK VENTURE A | 0.00 | 94.69 | 0.00 | 94.69 | 95.0 | 89.96 |
| 01/02/2018 | DAVIS, JAMES | DAVIS NEW YORK VENTURE A | 0.00 | 25.75 | 0.00 | 25.75 | 95.0 | 24.46 |
| 01/02/2018 | KOPRINCE, RYAN | DAVIS NEW YORK VENTURE A | 0.00 | 1.73 | 0.00 | 1.73 | 95.0 | 1.64 |
| 01/02/2018 | COMAIANNI, KATHLEEN | DAVIS NEW YORK VENTURE A | 0.00 | 21.88 | 0.00 | 21.88 | 95.0 | 20.79 |
| 01/02/2018 | DOUTSAS, MICHAEL | DAVIS NEW YORK VENTURE A | 0.00 | 5.12 | 0.00 | 5.12 | 95.0 | 4.86 |
| 01/02/2018 | SUCHER, ADAM | DAVIS NEW YORK VENTURE A | 0.00 | 3.51 | 0.00 | 3.51 | 95.0 | 3.33 |
| 01/02/2018 | SCULLY, DOROTHY | DAVIS NEW YORK VENTURE A | 0.00 | 195.90 | 0.00 | 195.90 | 95.0 | 186.11 |
| 01/02/2018 | STUDAKER, RICHARD | DAVIS NEW YORK VENTURE A | 0.00 | 70.38 | 0.00 | 70.38 | 95.0 | 66.86 |
| 01/02/2018 | POLYZOIS, ELLIE | DAVIS NEW YORK VENTURE A | 0.00 | 53.55 | 0.00 | 53.55 | 95.0 | 50.87 |
| 01/02/2018 | PSIHOPEDAS, NICHOLAS | DAVIS NEW YORK VENTURE A | 0.00 | 6.54 | 0.00 | 6.54 | 95.0 | 6.21 |
| 01/02/2018 | DOUTSAS, DANNIE | DAVIS NEW YORK VENTURE A | 0.00 | 8.50 | 0.00 | 8.50 | 95.0 | 8.08 |
| 01/02/2018 | SELVAGGIO, ANTHONY | DAVIS NEW YORK VENTURE A | 0.00 | 4.35 | 0.00 | 4.35 | 95.0 | 4.13 |

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|---|-----------------------|--------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <u>DIRECT TRANSACTIONS</u> | | | | | | | | |
| <u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u> | | | | | | | | |
| 01/02/2018 | SELVAGGIO, STEVE | DAVIS NEW YORK VENTURE A | 0.00 | 1.65 | 0.00 | 1.65 | 95.0 | 1.57 |
| 01/02/2018 | SELVAGGIO, VINCENZA | DAVIS NEW YORK VENTURE A | 0.00 | 13.77 | 0.00 | 13.77 | 95.0 | 13.08 |
| 01/02/2018 | PSIHOPEDAS, STAPHANIE | DAVIS NEW YORK VENTURE A | 0.00 | 5.33 | 0.00 | 5.33 | 95.0 | 5.06 |
| 01/02/2018 | HATSIOS, DEMETRIUS | DAVIS NEW YORK VENTURE A | 0.00 | 4.81 | 0.00 | 4.81 | 95.0 | 4.57 |
| 01/02/2018 | VANDERMEER, SANDRA | DAVIS NEW YORK VENTURE A | 0.00 | 109.72 | 0.00 | 109.72 | 95.0 | 104.23 |
| 01/02/2018 | FEINBERG, MARK | DAVIS NEW YORK VENTURE A | 0.00 | 7.62 | 0.00 | 7.62 | 95.0 | 7.24 |
| 01/02/2018 | LEMPINEN, DIANE | DAVIS NEW YORK VENTURE A | 0.00 | 138.43 | 0.00 | 138.43 | 95.0 | 131.51 |
| 01/02/2018 | SUCHER, ALLIE | DAVIS NEW YORK VENTURE A | 0.00 | 3.30 | 0.00 | 3.30 | 95.0 | 3.14 |
| 01/02/2018 | SUCHER, ERIK | DAVIS NEW YORK VENTURE A | 0.00 | 3.30 | 0.00 | 3.30 | 95.0 | 3.14 |
| 01/02/2018 | PAPPAS, JOHN | DAVIS NEW YORK VENTURE A | 0.00 | 9.28 | 0.00 | 9.28 | 95.0 | 8.82 |
| 01/02/2018 | BOLOGNA, ADAM | DAVIS NEW YORK VENTURE A | 0.00 | 15.18 | 0.00 | 15.18 | 95.0 | 14.42 |
| 01/02/2018 | PRATER-MANOR, AMY | DAVIS NEW YORK VENTURE A | 0.00 | 68.90 | 0.00 | 68.90 | 95.0 | 65.46 |
| 01/02/2018 | PRATER-MANOR, SARAH | DAVIS NEW YORK VENTURE A | 0.00 | 69.64 | 0.00 | 69.64 | 95.0 | 66.16 |
| 01/02/2018 | PESSINA, JOHN | DAVIS NEW YORK VENTURE A | 0.00 | 15.82 | 0.00 | 15.82 | 95.0 | 15.03 |
| 01/02/2018 | RICCHIUTI, HERMAN | DAVIS NEW YORK VENTURE A | 0.00 | 90.93 | 0.00 | 90.93 | 95.0 | 86.38 |
| 01/02/2018 | OVERMYER, EMILY | DAVIS NEW YORK VENTURE A | 0.00 | 17.02 | 0.00 | 17.02 | 95.0 | 16.17 |
| 01/02/2018 | OVERMYER, STEVEN | DAVIS NEW YORK VENTURE A | 0.00 | 56.14 | 0.00 | 56.14 | 95.0 | 53.33 |
| 01/02/2018 | PAPPAS, JOHN | DAVIS NEW YORK VENTURE A | 0.00 | 36.64 | 0.00 | 36.64 | 95.0 | 34.81 |
| 01/02/2018 | YET, BETTY | DAVIS NEW YORK VENTURE A | 0.00 | 150.14 | 0.00 | 150.14 | 95.0 | 142.63 |
| 01/02/2018 | OVERMYER, STEVEN | DAVIS NEW YORK VENTURE A | 0.00 | 20.69 | 0.00 | 20.69 | 95.0 | 19.66 |
| 01/02/2018 | GIARRATANO, LAUREN | DAVIS NEW YORK VENTURE A | 0.00 | 1.54 | 0.00 | 1.54 | 95.0 | 1.46 |
| 01/02/2018 | ROCCA, JOHN | DAVIS NEW YORK VENTURE A | 0.00 | 2.22 | 0.00 | 2.22 | 95.0 | 2.11 |
| 01/02/2018 | POTEMPA TRUST | DAVIS NEW YORK VENTURE A | 0.00 | 22.86 | 0.00 | 22.86 | 95.0 | 21.72 |
| 01/02/2018 | KRAUSE, BARBARA | DAVIS NEW YORK VENTURE A | 0.00 | 34.03 | 0.00 | 34.03 | 95.0 | 32.33 |
| 01/02/2018 | PISTOLESI, VAUGHN | DAVIS NEW YORK VENTURE B | 0.00 | 8.26 | 0.00 | 8.26 | 95.0 | 7.85 |
| 01/02/2018 | PISTOLESI, LEIGH | DAVIS NEW YORK VENTURE B | 0.00 | 0.89 | 0.00 | 0.89 | 95.0 | 0.85 |
| 01/02/2018 | MORICI, MICHELLE | DAVIS NEW YORK VENTURE B | 0.00 | 2.52 | 0.00 | 2.52 | 95.0 | 2.39 |
| 01/02/2018 | RITTER, WILLIAM | DAVIS NEW YORK VENTURE B | 0.00 | 1.25 | 0.00 | 1.25 | 95.0 | 1.19 |
| 01/02/2018 | GARLAND, DAWN | DAVIS NEW YORK VENTURE B | 0.00 | 1.51 | 0.00 | 1.51 | 95.0 | 1.43 |
| 01/02/2018 | PISTOLESI, MORGAN | DAVIS NEW YORK VENTURE B | 0.00 | 4.06 | 0.00 | 4.06 | 95.0 | 3.86 |
| 01/02/2018 | LIEN, CONNIE | DAVIS NEW YORK VENTURE C | 0.00 | 36.64 | 0.00 | 36.64 | 95.0 | 34.81 |
| 01/02/2018 | CISSELL, JOHN | DAVIS NEW YORK VENTURE C | 0.00 | 428.86 | 0.00 | 428.86 | 95.0 | 407.42 |
| 01/02/2018 | CISSELL, PATRICIA | DAVIS NEW YORK VENTURE C | 0.00 | 428.86 | 0.00 | 428.86 | 95.0 | 407.42 |

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|---|----------------------|---------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <u>DIRECT TRANSACTIONS</u> | | | | | | | | |
| <u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u> | | | | | | | | |
| 01/02/2018 | TSANGANOS, OURANIA | DAVIS OPPORTUNITY A | 0.00 | 33.10 | 0.00 | 33.10 | 95.0 | 31.45 |
| 01/02/2018 | TSANGANOS, NICHOLAOS | DAVIS OPPORTUNITY A | 0.00 | 33.10 | 0.00 | 33.10 | 95.0 | 31.45 |
| 01/02/2018 | CISSELL, JOHN | DAVIS OPPORTUNITY A | 0.00 | 174.03 | 0.00 | 174.03 | 95.0 | 165.33 |
| 01/02/2018 | SELVAGGIO, VINCENZA | DAVIS OPPORTUNITY A | 0.00 | 15.00 | 0.00 | 15.00 | 95.0 | 14.25 |
| 01/02/2018 | SELVAGGIO, STEVE | DAVIS OPPORTUNITY A | 0.00 | 29.05 | 0.00 | 29.05 | 95.0 | 27.60 |
| 01/02/2018 | CIAGLO, BETTY | DAVIS OPPORTUNITY A | 0.00 | 26.19 | 0.00 | 26.19 | 95.0 | 24.88 |
| 01/02/2018 | BANKS, VICTORIA | DAVIS OPPORTUNITY A | 0.00 | 19.26 | 0.00 | 19.26 | 95.0 | 18.30 |
| 01/02/2018 | PRATER-MANOR, SARAH | DAVIS OPPORTUNITY A | 0.00 | 16.41 | 0.00 | 16.41 | 95.0 | 15.59 |
| 01/02/2018 | PRATER-MANOR, AMY | DAVIS OPPORTUNITY A | 0.00 | 17.75 | 0.00 | 17.75 | 95.0 | 16.86 |
| 01/02/2018 | ROCCA, HELEN | DAVIS OPPORTUNITY A | 0.00 | 4.48 | 0.00 | 4.48 | 95.0 | 4.26 |
| 01/02/2018 | ROCCA, JOHN | DAVIS OPPORTUNITY A | 0.00 | 9.54 | 0.00 | 9.54 | 95.0 | 9.06 |
| 01/02/2018 | TSANGANOS, LEONIDAS | DAVIS OPPORTUNITY A | 0.00 | 6.64 | 0.00 | 6.64 | 95.0 | 6.31 |
| 01/02/2018 | TSANGANOS, LEONIDAS | DAVIS OPPORTUNITY A | 0.00 | 22.54 | 0.00 | 22.54 | 95.0 | 21.41 |
| 01/02/2018 | AMERMAN, LORI | DAVIS OPPORTUNITY A | 0.00 | 3.57 | 0.00 | 3.57 | 95.0 | 3.39 |
| 01/02/2018 | ROCCA, HELEN | DAVIS OPPORTUNITY A | 0.00 | 1.03 | 0.00 | 1.03 | 95.0 | 0.98 |
| 01/02/2018 | VANDERMEER, BRYON | DAVIS OPPORTUNITY A | 0.00 | 65.60 | 0.00 | 65.60 | 95.0 | 62.32 |
| 01/02/2018 | DOUTSAS, DANNIE | DAVIS OPPORTUNITY A | 0.00 | 12.18 | 0.00 | 12.18 | 95.0 | 11.57 |
| 01/02/2018 | VANDERMEER, SANDRA | DAVIS OPPORTUNITY A | 0.00 | 11.83 | 0.00 | 11.83 | 95.0 | 11.24 |
| 01/02/2018 | SELVAGGIO, VINCENZA | DAVIS REAL ESTATE A | 0.00 | 2.91 | 0.00 | 2.91 | 95.0 | 2.76 |
| 01/02/2018 | SELVAGGIO, STEVE | DAVIS REAL ESTATE A | 0.00 | 7.22 | 0.00 | 7.22 | 95.0 | 6.86 |
| 01/02/2018 | VARTABEDIAN, ROBERT | DAVIS REAL ESTATE A | 0.00 | 6.17 | 0.00 | 6.17 | 95.0 | 5.86 |
| 01/02/2018 | ROY, JACKIE | DAVIS REAL ESTATE A | 0.00 | 5.92 | 0.00 | 5.92 | 95.0 | 5.62 |
| 01/02/2018 | ROY, LORAIN | DAVIS REAL ESTATE A | 0.00 | 5.37 | 0.00 | 5.37 | 95.0 | 5.10 |
| 01/02/2018 | SZETO, CHOWN | DAVIS REAL ESTATE A | 0.00 | 1.37 | 0.00 | 1.37 | 95.0 | 1.30 |
| 01/02/2018 | MICHON, ERIK | DAVIS REAL ESTATE A | 0.00 | 2.11 | 0.00 | 2.11 | 95.0 | 2.00 |
| 01/02/2018 | ROCCA, HELEN | DAVIS REAL ESTATE A | 0.00 | 0.69 | 0.00 | 0.69 | 95.0 | 0.66 |
| 01/02/2018 | ROCCA, JOHN | DAVIS REAL ESTATE A | 0.00 | 2.27 | 0.00 | 2.27 | 95.0 | 2.16 |
| 01/02/2018 | SMITH, DENNIS | DAVIS REAL ESTATE A | 0.00 | 4.99 | 0.00 | 4.99 | 95.0 | 4.74 |
| 01/02/2018 | MITSOPOULOS, GEORGIA | DAVIS REAL ESTATE A | 0.00 | 3.23 | 0.00 | 3.23 | 95.0 | 3.07 |
| 01/02/2018 | DUDZIK, ELZBIETA | DAVIS REAL ESTATE A | 0.00 | 4.77 | 0.00 | 4.77 | 95.0 | 4.53 |
| 01/02/2018 | VANDERMEER, SANDRA | DAVIS REAL ESTATE A | 0.00 | 4.84 | 0.00 | 4.84 | 95.0 | 4.60 |
| 12/31/2017 | CFGROUP, VARIOUS | DREYFUS | 0.00 | 74.81 | 0.00 | 74.81 | 95.0 | 71.07 |
| 12/31/2017 | CFGROUP, VARIOUS | DREYFUS | 0.00 | 6.38 | 0.00 | 6.38 | 95.0 | 6.06 |

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|--|----------------------------|-------------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <u>DIRECT TRANSACTIONS</u> | | | | | | | | |
| PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS | | | | | | | | |
| 12/31/2017 | CFGROUP, VARIOUS | DREYFUS | 0.00 | 14.62 | 0.00 | 14.62 | 95.0 | 13.89 |
| 01/16/2018 | DAVIS, LYNN | DWS CORE EQUITY FUND A | 0.00 | 1.13 | 0.00 | 1.13 | 95.0 | 1.07 |
| 01/16/2018 | ENDLICH, RICHARD | DWS DEUTSCHE CAPITAL GROWTH FUND-A | 0.00 | 114.83 | 0.00 | 114.83 | 95.0 | 109.09 |
| 01/16/2018 | DAVIS, LYNN | DWS DEUTSCHE CAPITAL GROWTH FUND-A | 0.00 | 1.03 | 0.00 | 1.03 | 95.0 | 0.98 |
| 01/16/2018 | DAVENPORT, JOHN | DWS DEUTSCHE CORE PLUS INCOME FUND- | 0.00 | 0.02 | 0.00 | 0.02 | 95.0 | 0.02 |
| 01/16/2018 | HENDERSON, OSCAR | DWS DEUTSCHE GLOBAL GROWTH FUND-A | 0.00 | 14.11 | 0.00 | 14.11 | 95.0 | 13.40 |
| 01/16/2018 | REVITZER, SANDRA | DWS DEUTSCHE HIGH INCOME FUND A | 0.00 | 53.03 | 0.00 | 53.03 | 95.0 | 50.38 |
| 01/16/2018 | ROSS, DAVID | DWS DEUTSCHE HIGH INCOME FUND A | 0.00 | 76.66 | 0.00 | 76.66 | 95.0 | 72.83 |
| 01/16/2018 | WARMANN TRUST, WALTER | DWS DEUTSCHE HIGH INCOME FUND A | 0.00 | 29.20 | 0.00 | 29.20 | 95.0 | 27.74 |
| 01/16/2018 | JAGGER, ALBERT | DWS DEUTSCHE HIGH INCOME FUND A | 0.00 | 93.11 | 0.00 | 93.11 | 95.0 | 88.45 |
| 01/16/2018 | ADRAGNA, NICOLE | DWS DEUTSCHE HIGH INCOME FUND A | 0.00 | 2.47 | 0.00 | 2.47 | 95.0 | 2.35 |
| 01/16/2018 | CIAGLO, BETTY | DWS DEUTSCHE HIGH INCOME FUND A | 0.00 | 7.24 | 0.00 | 7.24 | 95.0 | 6.88 |
| 01/16/2018 | OLWEEAN, ADAM | DWS DEUTSCHE HIGH INCOME FUND A | 0.00 | 34.82 | 0.00 | 34.82 | 95.0 | 33.08 |
| 01/16/2018 | HOSLEY, KATHLEEN | DWS DEUTSCHE HIGH INCOME FUND A | 0.00 | 0.62 | 0.00 | 0.62 | 95.0 | 0.59 |
| 01/16/2018 | BAKEWELL, RALPH | DWS DEUTSCHE HIGH INCOME FUND A | 0.00 | 11.39 | 0.00 | 11.39 | 95.0 | 10.82 |
| 01/16/2018 | WARMANN TRUST, WALTER | DWS DEUTSCHE UNCONSTRAINED INCOME F | 0.00 | 2.30 | 0.00 | 2.30 | 95.0 | 2.19 |
| 01/16/2018 | WARMANN TRUST, RUTH | DWS DEUTSCHE UNCONSTRAINED INCOME F | 0.00 | 2.29 | 0.00 | 2.29 | 95.0 | 2.18 |
| 01/16/2018 | PATINOS, GLORIA | DWS GLOBAL INCOME BUILDER A | 0.00 | 23.44 | 0.00 | 23.44 | 95.0 | 22.27 |
| 01/16/2018 | DOBROTH, THERESA | DWS GLOBAL INCOME BUILDER A | 0.00 | 18.29 | 0.00 | 18.29 | 95.0 | 17.38 |
| 01/16/2018 | CISSELL, PATRICIA | DWSE HIGH INCOME FUND C | 0.00 | 316.65 | 0.00 | 316.65 | 95.0 | 300.82 |
| / / | WAGNER, SHARON | GUGGENHEIM NASDAQ 100-H | 0.00 | 0.44 | 0.00 | 0.44 | 95.0 | 0.42 |
| 01/01/2018 | SABOL, NICHOLAS | INVESCO AMERICAN FRANCHISE A | 0.00 | 3.92 | 0.00 | 3.92 | 95.0 | 3.72 |
| 01/01/2018 | WATSON, WILLIAM | INVESCO AMERICAN FRANCHISE A | 0.00 | 14.11 | 0.00 | 14.11 | 95.0 | 13.40 |
| 01/01/2018 | HENDERSON JT TEN, CAROLYN | INVESCO AMERICAN FRANCHISE A | 0.00 | 2.80 | 0.00 | 2.80 | 95.0 | 2.66 |
| 01/01/2018 | SABOL, MAXWELLA | INVESCO AMERICAN FRANCHISE A | 0.00 | 15.23 | 0.00 | 15.23 | 95.0 | 14.47 |
| 01/01/2018 | PELC TOD ACCOUNT, RODERICK | INVESCO AMERICAN FRANCHISE A | 0.00 | 0.66 | 0.00 | 0.66 | 95.0 | 0.63 |
| 01/01/2018 | DANDRON, JAY | INVESCO AMERICAN FRANCHISE A | 0.00 | 5.44 | 0.00 | 5.44 | 95.0 | 5.17 |
| 01/01/2018 | MOYER-GUSE, EMILY | INVESCO AMERICAN FRANCHISE A | 0.00 | 6.59 | 0.00 | 6.59 | 95.0 | 6.26 |
| 01/01/2018 | VANDAELE, JENNIFER | INVESCO AMERICAN FRANCHISE A | 0.00 | 0.93 | 0.00 | 0.93 | 95.0 | 0.88 |
| 01/01/2018 | VAN DAELE, JILLIAN | INVESCO AMERICAN FRANCHISE A | 0.00 | 0.38 | 0.00 | 0.38 | 95.0 | 0.36 |
| 01/01/2018 | VAN DAELE, JANE | INVESCO AMERICAN FRANCHISE A | 0.00 | 0.16 | 0.00 | 0.16 | 95.0 | 0.15 |
| 01/01/2018 | GRUBER, ALYSSA | INVESCO AMERICAN FRANCHISE A | 0.00 | 0.45 | 0.00 | 0.45 | 95.0 | 0.43 |
| 01/01/2018 | SCHROETER, RICHARD | INVESCO AMERICAN FRANCHISE A | 0.00 | 0.99 | 0.00 | 0.99 | 95.0 | 0.94 |

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|---|-------------------------------|-------------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <u>DIRECT TRANSACTIONS</u> | | | | | | | | |
| <u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u> | | | | | | | | |
| 01/01/2018 | SALLEY, MATTHEW | INVESCO AMERICAN FRANCHISE A | 0.00 | 0.45 | 0.00 | 0.45 | 95.0 | 0.43 |
| 01/01/2018 | SALLEY, TERENCE | INVESCO AMERICAN FRANCHISE A | 0.00 | 0.29 | 0.00 | 0.29 | 95.0 | 0.28 |
| 01/01/2018 | ELBERT UTMA/MI, NICHOLAS | INVESCO AMERICAN FRANCHISE A | 0.00 | 0.50 | 0.00 | 0.50 | 95.0 | 0.48 |
| 01/01/2018 | MCINTYRE, SCOTT | INVESCO AMERICAN FRANCHISE A | 0.00 | 0.17 | 0.00 | 0.17 | 95.0 | 0.16 |
| 01/01/2018 | NOWACKI, MICHAEL | INVESCO AMERICAN FRANCHISE A | 0.00 | 1.25 | 0.00 | 1.25 | 95.0 | 1.19 |
| 01/01/2018 | WILLIAMS, PAUL | INVESCO AMERICAN FRANCHISE A | 0.00 | 1.83 | 0.00 | 1.83 | 95.0 | 1.74 |
| 01/01/2018 | SCHROETER, MARY | INVESCO AMERICAN FRANCHISE A | 0.00 | 0.99 | 0.00 | 0.99 | 95.0 | 0.94 |
| 01/01/2018 | MCINTYRE, SCOTT | INVESCO AMERICAN FRANCHISE A | 0.00 | 0.14 | 0.00 | 0.14 | 95.0 | 0.13 |
| 01/01/2018 | BUTLER, PAUL | INVESCO AMERICAN FRANCHISE A | 0.00 | 1.73 | 0.00 | 1.73 | 95.0 | 1.64 |
| 01/01/2018 | GILLESPIE, SCOTT | INVESCO AMERICAN FRANCHISE A | 0.00 | 0.16 | 0.00 | 0.16 | 95.0 | 0.15 |
| 01/01/2018 | HUNTER UGMA/MI, NICOLE | INVESCO AMERICAN FRANCHISE A | 0.00 | 1.90 | 0.00 | 1.90 | 95.0 | 1.81 |
| 01/01/2018 | KOWAL UGMA/MI, ALEXANDER | INVESCO AMERICAN FRANCHISE A | 0.00 | 15.48 | 0.00 | 15.48 | 95.0 | 14.71 |
| 01/01/2018 | MARSH/SEP, GARY | INVESCO AMERICAN FRANCHISE A | 0.00 | 8.93 | 0.00 | 8.93 | 95.0 | 8.48 |
| 01/01/2018 | JOHNSON, DANIEL | INVESCO AMERICAN FRANCHISE A | 0.00 | 0.34 | 0.00 | 0.34 | 95.0 | 0.32 |
| 01/01/2018 | O'BRIEN, AMY | INVESCO AMERICAN FRANCHISE A | 0.00 | 4.41 | 0.00 | 4.41 | 95.0 | 4.19 |
| 01/01/2018 | JARZEBOSKI, DIANE | INVESCO AMERICAN FRANCHISE A | 0.00 | 2.22 | 0.00 | 2.22 | 95.0 | 2.11 |
| 01/01/2018 | BERGLUND, KRIS | INVESCO AMERICAN FRANCHISE A | 0.00 | 2.52 | 0.00 | 2.52 | 95.0 | 2.39 |
| 01/01/2018 | KOWAL UGMA/MI, ALEXANDER | INVESCO AMERICAN FRANCHISE FUND CL- | 0.00 | 4.01 | 0.00 | 4.01 | 95.0 | 3.81 |
| 01/01/2018 | SALLEY, TERENCE | INVESCO ASIA PACIFIC GROWTH A | 0.00 | 0.68 | 0.00 | 0.68 | 95.0 | 0.65 |
| 01/01/2018 | MCINTYRE, SCOTT | INVESCO ASIA PACIFIC GROWTH A | 0.00 | 0.06 | 0.00 | 0.06 | 95.0 | 0.06 |
| 01/01/2018 | ELBERT UTMA/MI, NATHANIEL | INVESCO ASIA PACIFIC GROWTH A | 0.00 | 1.42 | 0.00 | 1.42 | 95.0 | 1.35 |
| 01/01/2018 | PRZYBYLOWICZ, NORBERT | INVESCO ASIA PACIFIC GROWTH A | 0.00 | 4.80 | 0.00 | 4.80 | 95.0 | 4.56 |
| 01/01/2018 | HARRINGTON, KAY | INVESCO ASIA PACIFIC GROWTH A | 0.00 | 4.80 | 0.00 | 4.80 | 95.0 | 4.56 |
| 01/01/2018 | WOLAK SEP, SHARON | INVESCO ASIA PACIFIC GROWTH A | 0.00 | 3.03 | 0.00 | 3.03 | 95.0 | 2.88 |
| 01/01/2018 | SHEARIN, APRIL | INVESCO CHARTER FUND A | 0.00 | 13.20 | 0.00 | 13.20 | 95.0 | 12.54 |
| 01/01/2018 | KRENGEL, KATHERINE | INVESCO CHARTER FUND A | 0.00 | 4.77 | 0.00 | 4.77 | 95.0 | 4.53 |
| 01/01/2018 | NEIKO SFERRO UTMA/FL, DOMINIC | INVESCO CHARTER FUND A | 0.00 | 12.66 | 0.00 | 12.66 | 95.0 | 12.03 |
| 01/01/2018 | DANDRON, JAY | INVESCO CHARTER FUND A | 0.00 | 18.79 | 0.00 | 18.79 | 95.0 | 17.85 |
| 01/01/2018 | RAYMOND O'CONNOR UGMA/MI, | INVESCO CHARTER FUND A | 0.00 | 2.35 | 0.00 | 2.35 | 95.0 | 2.23 |
| 01/01/2018 | CRONENWETT, JULIE | INVESCO CHARTER FUND A | 0.00 | 2.28 | 0.00 | 2.28 | 95.0 | 2.17 |
| 01/01/2018 | SHERMAN, SCOTT | INVESCO CHARTER FUND A | 0.00 | 3.00 | 0.00 | 3.00 | 95.0 | 2.85 |
| 01/01/2018 | SMYTH, DAVID | INVESCO CHARTER FUND A | 0.00 | 7.33 | 0.00 | 7.33 | 95.0 | 6.96 |
| 01/01/2018 | SALLEY, TERENCE | INVESCO CHARTER FUND A | 0.00 | 0.15 | 0.00 | 0.15 | 95.0 | 0.14 |

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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 | | | | | | | | |
| 01/01/2018 | ROCK ST PIERRE UGMA/MI, | INVESCO CHARTER FUND A | 0.00 | 0.17 | 0.00 | 0.17 | 95.0 | 0.16 |
| 01/01/2018 | JACKOVIAK, GLORIA | INVESCO CHARTER FUND A | 0.00 | 0.02 | 0.00 | 0.02 | 95.0 | 0.02 |
| 01/01/2018 | DAIZA, PHILLIP | INVESCO CHARTER FUND A | 0.00 | 13.18 | 0.00 | 13.18 | 95.0 | 12.52 |
| 01/01/2018 | MCINTYRE, SCOTT | INVESCO CHARTER FUND A | 0.00 | 0.04 | 0.00 | 0.04 | 95.0 | 0.04 |
| 01/01/2018 | ANN GERMAIN UGMA/MI, ALISON | INVESCO CHARTER FUND A | 0.00 | 4.37 | 0.00 | 4.37 | 95.0 | 4.15 |
| 01/01/2018 | WILLIAMS, PAUL | INVESCO CHARTER FUND A | 0.00 | 0.83 | 0.00 | 0.83 | 95.0 | 0.79 |
| 01/01/2018 | SALLEY UGMA/MI, NATHAN | INVESCO CHARTER FUND A | 0.00 | 1.63 | 0.00 | 1.63 | 95.0 | 1.55 |
| 01/01/2018 | LECIK, TONIA | INVESCO CHARTER FUND A | 0.00 | 0.12 | 0.00 | 0.12 | 95.0 | 0.11 |
| 01/01/2018 | MEWHINNEY, BARBARA | INVESCO CHARTER FUND A | 0.00 | 7.90 | 0.00 | 7.90 | 95.0 | 7.51 |
| 01/01/2018 | SANGMEISTER, GINA | INVESCO CHARTER FUND A | 0.00 | 0.74 | 0.00 | 0.74 | 95.0 | 0.70 |
| 01/01/2018 | WEAVER, TAMMY | INVESCO CHARTER FUND A | 0.00 | 7.07 | 0.00 | 7.07 | 95.0 | 6.72 |
| 01/01/2018 | BUCKINGHAM MIN, GEORGE | INVESCO CHARTER FUND A | 0.00 | 0.14 | 0.00 | 0.14 | 95.0 | 0.13 |
| 01/01/2018 | O'BRIEN, AMY | INVESCO CHARTER FUND A | 0.00 | 6.01 | 0.00 | 6.01 | 95.0 | 5.71 |
| 01/01/2018 | JOSEPH SUCHER UGMA/MI, ADAM | INVESCO CHARTER FUND A | 0.00 | 1.51 | 0.00 | 1.51 | 95.0 | 1.43 |
| 01/01/2018 | DAIZA, PHILLIP | INVESCO CHARTER FUND B | 0.00 | 0.81 | 0.00 | 0.81 | 95.0 | 0.77 |
| 01/01/2018 | DAIZA, PHILLIP | INVESCO CHARTER FUND C | 0.00 | 12.21 | 0.00 | 12.21 | 95.0 | 11.60 |
| 01/01/2018 | HENDERSON JT TEN, CAROLYN | INVESCO CONVERTIBLE SECURITIES A | 0.00 | 2.61 | 0.00 | 2.61 | 95.0 | 2.48 |
| 01/01/2018 | HENDERSON, OSCAR | INVESCO CONVERTIBLE SECURITIES A | 0.00 | 19.23 | 0.00 | 19.23 | 95.0 | 18.27 |
| 01/01/2018 | PELC TOD ACCOUNT, RODERICK | INVESCO CORPORATE BOND A | 0.00 | 1.65 | 0.00 | 1.65 | 95.0 | 1.57 |
| 01/01/2018 | VAN DAELE, JACOB | INVESCO DEVELOPING MARKETS A | 0.00 | 0.68 | 0.00 | 0.68 | 95.0 | 0.65 |
| 01/01/2018 | MUNTEANU, DACIA | INVESCO DEVELOPING MARKETS A | 0.00 | 5.41 | 0.00 | 5.41 | 95.0 | 5.14 |
| 01/01/2018 | MCINTYRE, SCOTT | INVESCO DEVELOPING MARKETS A | 0.00 | 0.05 | 0.00 | 0.05 | 95.0 | 0.05 |
| 01/01/2018 | MCINTYRE, SCOTT | INVESCO EUROPEAN GROWTH FUND A | 0.00 | 0.06 | 0.00 | 0.06 | 95.0 | 0.06 |
| 01/01/2018 | SOUTHWORTH, STEPHANIE | INVESCO EUROPEAN GROWTH FUND A | 0.00 | 0.46 | 0.00 | 0.46 | 95.0 | 0.44 |
| 01/01/2018 | LEE, LESLIE | INVESCO EUROPEAN GROWTH FUND A | 0.00 | 1.33 | 0.00 | 1.33 | 95.0 | 1.26 |
| 01/01/2018 | WASHINGTON, PAULA | INVESCO EUROPEAN GROWTH FUND A | 0.00 | 3.17 | 0.00 | 3.17 | 95.0 | 3.01 |
| 01/01/2018 | VANDAELE, JENNIFER | INVESCO EUROPEAN SMALL COMPANY A | 0.00 | 0.75 | 0.00 | 0.75 | 95.0 | 0.71 |
| 01/01/2018 | VAN DAELE, JILLIAN | INVESCO EUROPEAN SMALL COMPANY A | 0.00 | 1.18 | 0.00 | 1.18 | 95.0 | 1.12 |
| 01/01/2018 | VAN DAELE UGMA/MI, JANE | INVESCO GBL SMALL & MID CAP GROWTH | 0.00 | 1.09 | 0.00 | 1.09 | 95.0 | 1.04 |
| 01/01/2018 | VAN DAELE, JENNA | INVESCO GBL SMALL & MID CAP GROWTH | 0.00 | 0.68 | 0.00 | 0.68 | 95.0 | 0.65 |
| 01/01/2018 | ELBERT UTMA/MI, NICHOLAS | INVESCO GBL SMALL & MID CAP GROWTH | 0.00 | 0.68 | 0.00 | 0.68 | 95.0 | 0.65 |
| 01/01/2018 | FISHER, NATHAN | INVESCO GBL SMALL & MID CAP GROWTH | 0.00 | 7.67 | 0.00 | 7.67 | 95.0 | 7.29 |
| 01/01/2018 | JOHNSON, DANIEL | INVESCO GBL SMALL & MID CAP GROWTH | 0.00 | 0.75 | 0.00 | 0.75 | 95.0 | 0.71 |

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| <u>DIRECT TRANSACTIONS</u> | | | | | | | | |
| PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS | | | | | | | | |
| 01/01/2018 | PELC TOD ACCOUNT, RODERICK | INVESCO GLOBAL GROWTH A | 0.00 | 1.33 | 0.00 | 1.33 | 95.0 | 1.26 |
| 01/01/2018 | VANDAELE, JENNIFER | INVESCO GLOBAL HEALTH CARE A | 0.00 | 0.57 | 0.00 | 0.57 | 95.0 | 0.54 |
| 01/01/2018 | VAN DAELE, JANE | INVESCO GLOBAL HEALTH CARE A | 0.00 | 0.45 | 0.00 | 0.45 | 95.0 | 0.43 |
| 01/01/2018 | HARRINGTON, KAY | INVESCO GLOBAL HEALTH CARE A | 0.00 | 2.77 | 0.00 | 2.77 | 95.0 | 2.63 |
| 01/01/2018 | MANKO, MARGARET | INVESCO HIGH YIELD FUND A | 0.00 | 6.00 | 0.00 | 6.00 | 95.0 | 5.70 |
| 01/01/2018 | COOPER, BENNETT | INVESCO MIDCAP GROWTH A | 0.00 | 1.75 | 0.00 | 1.75 | 95.0 | 1.66 |
| 01/01/2018 | COOPER, MADISON | INVESCO MIDCAP GROWTH A | 0.00 | 2.14 | 0.00 | 2.14 | 95.0 | 2.03 |
| 01/01/2018 | SCHROETER, RICHARD | INVESCO MIDCAP GROWTH A | 0.00 | 1.06 | 0.00 | 1.06 | 95.0 | 1.01 |
| 01/01/2018 | PALAZZOLO UTMA/MI, JULIA | INVESCO MIDCAP GROWTH A | 0.00 | 1.89 | 0.00 | 1.89 | 95.0 | 1.80 |
| 01/01/2018 | ELBERT UTMA/MI, NATHANIEL | INVESCO MIDCAP GROWTH A | 0.00 | 0.88 | 0.00 | 0.88 | 95.0 | 0.84 |
| 01/01/2018 | SCHROETER, MARY | INVESCO MIDCAP GROWTH A | 0.00 | 1.06 | 0.00 | 1.06 | 95.0 | 1.01 |
| 01/01/2018 | DUDZIK, ELZBIETA | INVESCO SENIOR LOAN FUND IB | 0.00 | 33.55 | 0.00 | 33.55 | 95.0 | 31.87 |
| 01/01/2018 | CEBALT, THOMAS | INVESCO SMALL CAP EQUITY A | 0.00 | 0.07 | 0.00 | 0.07 | 95.0 | 0.07 |
| 01/01/2018 | PELC TOD ACCOUNT, RODERICK | INVESCO TECHNOLOGY A | 0.00 | 1.33 | 0.00 | 1.33 | 95.0 | 1.26 |
| 01/01/2018 | VAN DAELE, JACOB | INVESCO TECHNOLOGY A | 0.00 | 0.31 | 0.00 | 0.31 | 95.0 | 0.29 |
| 01/01/2018 | CRONENWETT, JULIE | INVESCO TECHNOLOGY A | 0.00 | 0.36 | 0.00 | 0.36 | 95.0 | 0.34 |
| 01/01/2018 | WILSON, GARRETT | INVESCO TECHNOLOGY A | 0.00 | 11.48 | 0.00 | 11.48 | 95.0 | 10.91 |
| 01/01/2018 | ELBERT UTMA/MI, NICHOLAS | INVESCO TECHNOLOGY A | 0.00 | 0.12 | 0.00 | 0.12 | 95.0 | 0.11 |
| 01/01/2018 | SEMKE, DEANNA | INVESCO TECHNOLOGY A | 0.00 | 0.19 | 0.00 | 0.19 | 95.0 | 0.18 |
| 01/01/2018 | ELBERT UTMA/MI, NATHANIEL | INVESCO TECHNOLOGY A | 0.00 | 0.12 | 0.00 | 0.12 | 95.0 | 0.11 |
| 01/01/2018 | JOHNSON, DANIEL | INVESCO TECHNOLOGY A | 0.00 | 0.47 | 0.00 | 0.47 | 95.0 | 0.45 |
| 01/01/2018 | NIXON, NORMA | INVESCO TECHNOLOGY A | 0.00 | 4.20 | 0.00 | 4.20 | 95.0 | 3.99 |
| 01/01/2018 | CELANI TRUST, VINCENZO | INVESCO US GOVT A | 0.00 | 8.23 | 0.00 | 8.23 | 95.0 | 7.82 |
| 01/01/2018 | MOORE, FRED | INVESCO US GOVT A | 0.00 | 37.56 | 0.00 | 37.56 | 95.0 | 35.68 |
| 01/01/2018 | WATSON, WILLIAM | INVESCO US GOVT A | 0.00 | 5.10 | 0.00 | 5.10 | 95.0 | 4.85 |
| 01/01/2018 | OBIE, THOMAS | INVESCO US GOVT A | 0.00 | 6.11 | 0.00 | 6.11 | 95.0 | 5.80 |
| 01/16/2018 | LAI, MICHAEL | JH FINANCIAL INDUSTRIES A | 0.00 | 1.29 | 0.00 | 1.29 | 95.0 | 1.23 |
| 01/16/2018 | MALINAK, FRANCES | JH FINANCIAL INDUSTRIES A | 0.00 | 7.78 | 0.00 | 7.78 | 95.0 | 7.39 |
| 01/16/2018 | BOHACEK, STEVE | JH LARGE CAP EQUITY A | 0.00 | 6.25 | 0.00 | 6.25 | 95.0 | 5.94 |
| 01/16/2018 | RACK, ROBERT | JH LARGE CAP EQUITY A | 0.00 | 6.24 | 0.00 | 6.24 | 95.0 | 5.93 |
| 01/16/2018 | ENGLEBERT, JAMES | JH REGIONAL BANK A | 0.00 | 5.25 | 0.00 | 5.25 | 95.0 | 4.99 |
| 01/16/2018 | HELTSLEY, MARTHA | JH REGIONAL BANK A | 0.00 | 2.03 | 0.00 | 2.03 | 95.0 | 1.93 |
| 01/16/2018 | BOZELKA, KEVIN | JH REGIONAL BANK A | 0.00 | 2.09 | 0.00 | 2.09 | 95.0 | 1.99 |

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| <u>DIRECT TRANSACTIONS</u> | | | | | | | | |
| <u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u> | | | | | | | | |
| 01/16/2018 | JAHNKE, DENNIS | JH REGIONAL BANK A | 0.00 | 4.92 | 0.00 | 4.92 | 95.0 | 4.67 |
| 01/16/2018 | EIS (MINOR), MARGO | JH STRATEGIC GROWTH A | 0.00 | 0.48 | 0.00 | 0.48 | 95.0 | 0.46 |
| 01/16/2018 | EIS (MINOR), AUSTIN | JH STRATEGIC GROWTH A | 0.00 | 0.78 | 0.00 | 0.78 | 95.0 | 0.74 |
| 01/16/2018 | EIS (MINOR), STEFANIE | JH STRATEGIC GROWTH A | 0.00 | 0.78 | 0.00 | 0.78 | 95.0 | 0.74 |
| 01/16/2018 | EIS, AUSTIN | JN DISCIPLINED VALUE INT'L A | 0.00 | 1.76 | 0.00 | 1.76 | 95.0 | 1.67 |
| 01/16/2018 | EIS, STEFANIE | JN DISCIPLINED VALUE INT'L A | 0.00 | 1.76 | 0.00 | 1.76 | 95.0 | 1.67 |
| 01/05/2018 | ERKFITZ, ELAINE | MAINSTAY HIGH YIELD CORP BOND A | 0.00 | 23.50 | 0.00 | 23.50 | 95.0 | 22.33 |
| 01/02/2018 | RAJKOVICH, TONI | PUTNAM ASSET ALLOC GROWTH A | 0.00 | 1.37 | 0.00 | 1.37 | 95.0 | 1.30 |
| 01/02/2018 | BEDORE, CHARLES | PUTNAM CAPITAL OPPORTUNITIES A | 0.00 | 2.42 | 0.00 | 2.42 | 95.0 | 2.30 |
| 01/02/2018 | ALLEGRIANA, JULIE | PUTNAM CAPITAL OPPORTUNITIES A | 0.00 | 3.01 | 0.00 | 3.01 | 95.0 | 2.86 |
| 01/02/2018 | SZOCINSKI, CASIMER | PUTNAM DIVERSIFIED INCOME A | 0.00 | 10.58 | 0.00 | 10.58 | 95.0 | 10.05 |
| 01/02/2018 | MEHLER, BENE | PUTNAM EQUITY INCOME A | 0.00 | 6.45 | 0.00 | 6.45 | 95.0 | 6.13 |
| 01/02/2018 | LORI RUTH THOMASSY, BENE | PUTNAM EQUITY INCOME A | 0.00 | 7.81 | 0.00 | 7.81 | 95.0 | 7.42 |
| 01/02/2018 | SCULLY, DOROTHY | PUTNAM EQUITY INCOME A | 0.00 | 42.45 | 0.00 | 42.45 | 95.0 | 40.33 |
| 01/02/2018 | BOGLE, DAVID | PUTNAM EQUITY INCOME A | 0.00 | 0.97 | 0.00 | 0.97 | 95.0 | 0.92 |
| 01/02/2018 | BARNETT, MARK | PUTNAM EQUITY INCOME A | 0.00 | 1.30 | 0.00 | 1.30 | 95.0 | 1.24 |
| 01/02/2018 | GUTMAN, THERESE ANNE | PUTNAM EQUITY INCOME A | 0.00 | 12.19 | 0.00 | 12.19 | 95.0 | 11.58 |
| 01/02/2018 | JAKUBOWSKI, LORRAINE | PUTNAM EQUITY INCOME A | 0.00 | 90.13 | 0.00 | 90.13 | 95.0 | 85.62 |
| 01/02/2018 | O'CONNOR, TIMOTHY | PUTNAM EQUITY INCOME A | 0.00 | 4.79 | 0.00 | 4.79 | 95.0 | 4.55 |
| 01/02/2018 | KELSEY, RONALD | PUTNAM EQUITY INCOME A | 0.00 | 0.03 | 0.00 | 0.03 | 95.0 | 0.03 |
| 01/02/2018 | SZOCINSKI, CASIMER | PUTNAM EQUITY INCOME A | 0.00 | 15.43 | 0.00 | 15.43 | 95.0 | 14.66 |
| 01/02/2018 | JENDRUSINA, ROGER | PUTNAM EQUITY INCOME A | 0.00 | 81.07 | 0.00 | 81.07 | 95.0 | 77.02 |
| 01/02/2018 | CATES, CALVIN | PUTNAM EQUITY INCOME A | 0.00 | 0.36 | 0.00 | 0.36 | 95.0 | 0.34 |
| 01/02/2018 | RANCOURT, RICHARD | PUTNAM EQUITY INCOME A | 0.00 | 13.07 | 0.00 | 13.07 | 95.0 | 12.42 |
| 01/02/2018 | RUSHLOW, LAWRENCE | PUTNAM EQUITY INCOME A | 0.00 | 29.28 | 0.00 | 29.28 | 95.0 | 27.82 |
| 01/02/2018 | KING, DAVID | PUTNAM EQUITY INCOME A | 0.00 | 6.98 | 0.00 | 6.98 | 95.0 | 6.63 |
| 01/02/2018 | O'CONNOR, TIMOTHY | PUTNAM EQUITY INCOME B | 0.00 | 4.91 | 0.00 | 4.91 | 95.0 | 4.66 |
| 01/02/2018 | CAMERON, KATHRYN | PUTNAM GEORGE PUTNAM BALANCED A | 0.00 | 13.18 | 0.00 | 13.18 | 95.0 | 12.52 |
| 01/02/2018 | SELLECK, GREGORY | PUTNAM GEORGE PUTNAM BALANCED A | 0.00 | 0.20 | 0.00 | 0.20 | 95.0 | 0.19 |
| 01/02/2018 | SCULLY, DOROTHY | PUTNAM GLOBAL EQUITY A | 0.00 | 23.60 | 0.00 | 23.60 | 95.0 | 22.42 |
| 01/02/2018 | JOHNSON, ABEN MARTIN | PUTNAM GLOBAL EQUITY A | 0.00 | 9.69 | 0.00 | 9.69 | 95.0 | 9.21 |
| 01/02/2018 | WILLISON, VICTORIA | PUTNAM GLOBAL EQUITY A | 0.00 | 5.94 | 0.00 | 5.94 | 95.0 | 5.64 |
| 01/02/2018 | SONDLES HOLMAN, KAREN | PUTNAM GLOBAL HEALTH CARE A | 0.00 | 21.50 | 0.00 | 21.50 | 95.0 | 20.43 |

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| <u>DIRECT TRANSACTIONS</u> | | | | | | | | |
| <u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u> | | | | | | | | |
| 01/02/2018 | KEELER, MARSHA | PUTNAM GLOBAL HEALTH CARE A | 0.00 | 14.96 | 0.00 | 14.96 | 95.0 | 14.21 |
| 01/02/2018 | TUCKER, LINDA | PUTNAM GLOBAL HEALTH CARE A | 0.00 | 0.81 | 0.00 | 0.81 | 95.0 | 0.77 |
| 01/02/2018 | DEMERJIAN, CARL | PUTNAM GLOBAL HEALTH CARE A | 0.00 | 2.15 | 0.00 | 2.15 | 95.0 | 2.04 |
| 01/02/2018 | SCULLY, DOROTHY | PUTNAM GROWTH OPP A | 0.00 | 28.03 | 0.00 | 28.03 | 95.0 | 26.63 |
| 01/02/2018 | BLAIR, PATRICIA | PUTNAM GROWTH OPP A | 0.00 | 10.50 | 0.00 | 10.50 | 95.0 | 9.98 |
| 01/02/2018 | VERSTRAETE, GEORGE | PUTNAM GROWTH OPP A | 0.00 | 14.16 | 0.00 | 14.16 | 95.0 | 13.45 |
| 01/02/2018 | ELLWOOD, JOHN | PUTNAM GROWTH OPP A | 0.00 | 0.40 | 0.00 | 0.40 | 95.0 | 0.38 |
| 01/02/2018 | BUCHANAN, JAMIE | PUTNAM GROWTH OPP A | 0.00 | 10.90 | 0.00 | 10.90 | 95.0 | 10.36 |
| 01/02/2018 | KACIR, EVA | PUTNAM GROWTH OPP A | 0.00 | 9.27 | 0.00 | 9.27 | 95.0 | 8.81 |
| 01/02/2018 | KOSANKE, JOHN | PUTNAM GROWTH OPP A | 0.00 | 10.13 | 0.00 | 10.13 | 95.0 | 9.62 |
| 01/02/2018 | KOSANKE, JOHN | PUTNAM GROWTH OPP A | 0.00 | 9.48 | 0.00 | 9.48 | 95.0 | 9.01 |
| 01/02/2018 | BRADLEY, SARAH | PUTNAM GROWTH OPP A | 0.00 | 5.61 | 0.00 | 5.61 | 95.0 | 5.33 |
| 01/02/2018 | PROKROPOWICZ, EMILY | PUTNAM GROWTH OPP A | 0.00 | 1.39 | 0.00 | 1.39 | 95.0 | 1.32 |
| 01/02/2018 | CARLSON, TYLER | PUTNAM GROWTH OPP A | 0.00 | 0.59 | 0.00 | 0.59 | 95.0 | 0.56 |
| 01/02/2018 | CARNAHAN, BRUCE | PUTNAM GROWTH OPP A | 0.00 | 5.57 | 0.00 | 5.57 | 95.0 | 5.29 |
| 01/02/2018 | MIKLEVICH, MICHAEL | PUTNAM GROWTH OPP A | 0.00 | 0.55 | 0.00 | 0.55 | 95.0 | 0.52 |
| 01/02/2018 | LAI, JOHN | PUTNAM GROWTH OPP A | 0.00 | 3.42 | 0.00 | 3.42 | 95.0 | 3.25 |
| 01/02/2018 | LAI, ANGIE | PUTNAM GROWTH OPP A | 0.00 | 3.42 | 0.00 | 3.42 | 95.0 | 3.25 |
| 01/02/2018 | BUTLER, PAUL | PUTNAM GROWTH OPP A | 0.00 | 9.64 | 0.00 | 9.64 | 95.0 | 9.16 |
| 01/02/2018 | BUTLER, PAUL | PUTNAM GROWTH OPP A | 0.00 | 7.55 | 0.00 | 7.55 | 95.0 | 7.17 |
| 01/02/2018 | BUTLER, KATHLEEN | PUTNAM GROWTH OPP A | 0.00 | 2.97 | 0.00 | 2.97 | 95.0 | 2.82 |
| 01/02/2018 | BUTLER, KATHLEEN | PUTNAM GROWTH OPP A | 0.00 | 10.12 | 0.00 | 10.12 | 95.0 | 9.61 |
| 01/02/2018 | TUCKER, LINDA | PUTNAM GROWTH OPP A | 0.00 | 3.48 | 0.00 | 3.48 | 95.0 | 3.31 |
| 01/02/2018 | WEAVER, RONALD | PUTNAM GROWTH OPP A | 0.00 | 7.82 | 0.00 | 7.82 | 95.0 | 7.43 |
| 01/02/2018 | ALLEGRIANA, JULIE | PUTNAM GROWTH OPP A | 0.00 | 2.88 | 0.00 | 2.88 | 95.0 | 2.74 |
| 01/02/2018 | KOSANKE, JOHN | PUTNAM GROWTH OPPORTUNITIES B | 0.00 | 1.52 | 0.00 | 1.52 | 95.0 | 1.44 |
| 01/02/2018 | KOSANKE, JOHN | PUTNAM GROWTH OPPORTUNITIES B | 0.00 | 7.58 | 0.00 | 7.58 | 95.0 | 7.20 |
| 01/02/2018 | BRADLEY, SARAH | PUTNAM GROWTH OPPORTUNITIES B | 0.00 | 0.22 | 0.00 | 0.22 | 95.0 | 0.21 |
| 01/02/2018 | MEHLER, BENE | PUTNAM HIGH YIELD ADVANTAGE A | 0.00 | 4.71 | 0.00 | 4.71 | 95.0 | 4.47 |
| 01/02/2018 | LORI RUTH THOMASSY, BENE | PUTNAM HIGH YIELD ADVANTAGE A | 0.00 | 5.65 | 0.00 | 5.65 | 95.0 | 5.37 |
| 01/02/2018 | SCULLY, DOROTHY | PUTNAM HIGH YIELD ADVANTAGE A | 0.00 | 25.46 | 0.00 | 25.46 | 95.0 | 24.19 |
| 01/02/2018 | MASTALSKI, JOLEEN | PUTNAM HIGH YIELD ADVANTAGE A | 0.00 | 26.05 | 0.00 | 26.05 | 95.0 | 24.75 |
| 01/02/2018 | BAKEWELL, RALPH | PUTNAM HIGH YIELD ADVANTAGE A | 0.00 | 30.18 | 0.00 | 30.18 | 95.0 | 28.67 |

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|---|----------------------|-------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <u>DIRECT TRANSACTIONS</u> | | | | | | | | |
| <u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u> | | | | | | | | |
| 01/02/2018 | BARR, BETTY | PUTNAM HIGH YIELD ADVANTAGE A | 0.00 | 2.46 | 0.00 | 2.46 | 95.0 | 2.34 |
| 01/02/2018 | DEGRANDCHAMP, PAUL | PUTNAM HIGH YIELD ADVANTAGE A | 0.00 | 0.23 | 0.00 | 0.23 | 95.0 | 0.22 |
| 01/02/2018 | MASTALSKI, JOLEEN | PUTNAM HIGH YIELD ADVANTAGE A | 0.00 | 7.49 | 0.00 | 7.49 | 95.0 | 7.12 |
| 01/02/2018 | MASTALSKI, JOLEEN | PUTNAM HIGH YIELD ADVANTAGE A | 0.00 | 4.24 | 0.00 | 4.24 | 95.0 | 4.03 |
| 01/02/2018 | BARR, BETTY | PUTNAM HIGH YIELD ADVANTAGE A | 0.00 | 5.95 | 0.00 | 5.95 | 95.0 | 5.65 |
| 01/02/2018 | KIVELA, BERNICE | PUTNAM HIGH YIELD ADVANTAGE A | 0.00 | 9.35 | 0.00 | 9.35 | 95.0 | 8.88 |
| 01/02/2018 | RUSHLOW, JEAN | PUTNAM HIGH YIELD ADVANTAGE A | 0.00 | 8.90 | 0.00 | 8.90 | 95.0 | 8.46 |
| 01/02/2018 | MANNING, JOHN | PUTNAM HIGH YIELD ADVANTAGE A | 0.00 | 67.33 | 0.00 | 67.33 | 95.0 | 63.96 |
| 01/02/2018 | KRAUSE, BARBARA | PUTNAM HIGH YIELD ADVANTAGE A | 0.00 | 113.11 | 0.00 | 113.11 | 95.0 | 107.45 |
| 01/02/2018 | CIAGLO, BETTY | PUTNAM HIGH YIELD ADVANTAGE A | 0.00 | 8.15 | 0.00 | 8.15 | 95.0 | 7.74 |
| 01/02/2018 | WEBB, TODD | PUTNAM INCOME A | 0.00 | 0.09 | 0.00 | 0.09 | 95.0 | 0.09 |
| 01/02/2018 | RUSHLOW, JEAN | PUTNAM INTERNATIONAL EQUITY-A | 0.00 | 3.61 | 0.00 | 3.61 | 95.0 | 3.43 |
| 01/02/2018 | RUSHLOW, LAWRENCE | PUTNAM INTERNATIONAL EQUITY-A | 0.00 | 3.79 | 0.00 | 3.79 | 95.0 | 3.60 |
| 01/02/2018 | O'CONNOR, TIMOTHY | PUTNAM INTERNATIONAL GROWTH-A | 0.00 | 2.68 | 0.00 | 2.68 | 95.0 | 2.55 |
| 01/02/2018 | JOHNSON, DANIEL | PUTNAM INTERNATIONAL GROWTH-A | 0.00 | 4.03 | 0.00 | 4.03 | 95.0 | 3.83 |
| 01/02/2018 | WEAVER, RONALD | PUTNAM INTERNATIONAL GROWTH-A | 0.00 | 7.56 | 0.00 | 7.56 | 95.0 | 7.18 |
| 01/02/2018 | MILLER, BRADLEY | PUTNAM INTERNATIONAL GROWTH-A | 0.00 | 0.79 | 0.00 | 0.79 | 95.0 | 0.75 |
| 01/02/2018 | MILLER, BRIANNA | PUTNAM INTERNATIONAL GROWTH-A | 0.00 | 0.12 | 0.00 | 0.12 | 95.0 | 0.11 |
| 01/02/2018 | MILLER, SARAH | PUTNAM INTERNATIONAL GROWTH-A | 0.00 | 0.79 | 0.00 | 0.79 | 95.0 | 0.75 |
| 01/02/2018 | BEDORE, CHARLES | PUTNAM INTERNATIONAL GROWTH-A | 0.00 | 1.68 | 0.00 | 1.68 | 95.0 | 1.60 |
| 01/02/2018 | SCULLY, DOROTHY | PUTNAM INTERNATIONAL VALUE-A | 0.00 | 21.95 | 0.00 | 21.95 | 95.0 | 20.85 |
| 01/02/2018 | SCULLY, DOROTHY | PUTNAM INTL CAPITAL OPPS-A | 0.00 | 54.05 | 0.00 | 54.05 | 95.0 | 51.35 |
| 01/02/2018 | BEDORE, CHARLES | PUTNAM INTL CAPITAL OPPS-A | 0.00 | 2.74 | 0.00 | 2.74 | 95.0 | 2.60 |
| 01/02/2018 | WONCH, LIZ | PUTNAM INVESTORS A | 0.00 | 4.21 | 0.00 | 4.21 | 95.0 | 4.00 |
| 01/02/2018 | MILLER, BRADLEY | PUTNAM INVESTORS A | 0.00 | 0.78 | 0.00 | 0.78 | 95.0 | 0.74 |
| 01/02/2018 | MILLER, BRIANNA | PUTNAM INVESTORS A | 0.00 | 0.12 | 0.00 | 0.12 | 95.0 | 0.11 |
| 01/02/2018 | MILLER, SARAH | PUTNAM INVESTORS A | 0.00 | 0.78 | 0.00 | 0.78 | 95.0 | 0.74 |
| 01/02/2018 | WONCH, LIZ | PUTNAM INVESTORS B | 0.00 | 2.44 | 0.00 | 2.44 | 95.0 | 2.32 |
| 01/02/2018 | TUCKER, LINDA | PUTNAM MULTI CAP GROWTH A | 0.00 | 2.18 | 0.00 | 2.18 | 95.0 | 2.07 |
| 01/02/2018 | JAKUBOWSKI, LORRAINE | PUTNAM MULTI CAP GROWTH A | 0.00 | 31.96 | 0.00 | 31.96 | 95.0 | 30.36 |
| 01/02/2018 | O'CONNOR, TIMOTHY | PUTNAM MULTI CAP GROWTH A | 0.00 | 10.82 | 0.00 | 10.82 | 95.0 | 10.28 |
| 01/02/2018 | O'CONNOR, TIMOTHY | PUTNAM MULTI CAP GROWTH A | 0.00 | 2.82 | 0.00 | 2.82 | 95.0 | 2.68 |
| 01/02/2018 | KACIR, EVA | PUTNAM MULTI CAP GROWTH A | 0.00 | 15.19 | 0.00 | 15.19 | 95.0 | 14.43 |

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|---|--------------------|------------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <u>DIRECT TRANSACTIONS</u> | | | | | | | | |
| <u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u> | | | | | | | | |
| 01/02/2018 | STEWART, DAVID | PUTNAM MULTI CAP GROWTH A | 0.00 | 34.78 | 0.00 | 34.78 | 95.0 | 33.04 |
| 01/02/2018 | STEWART, ANN | PUTNAM MULTI CAP GROWTH A | 0.00 | 20.01 | 0.00 | 20.01 | 95.0 | 19.01 |
| 01/02/2018 | LOWE, SARAH | PUTNAM MULTI CAP GROWTH A | 0.00 | 0.54 | 0.00 | 0.54 | 95.0 | 0.51 |
| 01/02/2018 | EAST, DENISE | PUTNAM MULTI CAP GROWTH A | 0.00 | 1.13 | 0.00 | 1.13 | 95.0 | 1.07 |
| 01/02/2018 | SZOCINSKI, CASIMER | PUTNAM MULTI CAP GROWTH A | 0.00 | 11.36 | 0.00 | 11.36 | 95.0 | 10.79 |
| 01/02/2018 | SZOCINSKI, BILLIE | PUTNAM MULTI CAP GROWTH A | 0.00 | 10.96 | 0.00 | 10.96 | 95.0 | 10.41 |
| 01/02/2018 | JENDRUSINA, ROGER | PUTNAM MULTI CAP GROWTH A | 0.00 | 52.46 | 0.00 | 52.46 | 95.0 | 49.84 |
| 01/02/2018 | MIKLEVICH, MICHAEL | PUTNAM MULTI CAP GROWTH A | 0.00 | 3.53 | 0.00 | 3.53 | 95.0 | 3.35 |
| 01/02/2018 | RANCOURT, RICHARD | PUTNAM MULTI CAP GROWTH A | 0.00 | 12.96 | 0.00 | 12.96 | 95.0 | 12.31 |
| 01/02/2018 | RANCOURT, RICHARD | PUTNAM MULTI CAP GROWTH A | 0.00 | 7.22 | 0.00 | 7.22 | 95.0 | 6.86 |
| 01/02/2018 | JOHNSON, DANIEL | PUTNAM MULTI CAP GROWTH A | 0.00 | 4.65 | 0.00 | 4.65 | 95.0 | 4.42 |
| 01/02/2018 | BABIN, WILLIAM | PUTNAM MULTI CAP GROWTH A | 0.00 | 59.04 | 0.00 | 59.04 | 95.0 | 56.09 |
| 01/02/2018 | LOWE, EMILY | PUTNAM MULTI CAP GROWTH A | 0.00 | 0.14 | 0.00 | 0.14 | 95.0 | 0.13 |
| 01/02/2018 | TUCKER, LINDA | PUTNAM MULTI CAP GROWTH A | 0.00 | 1.54 | 0.00 | 1.54 | 95.0 | 1.46 |
| 01/02/2018 | HARRISON, EDWARD | PUTNAM MULTI CAP GROWTH A | 0.00 | 0.66 | 0.00 | 0.66 | 95.0 | 0.63 |
| 01/02/2018 | DEMERJIAN, CARL | PUTNAM MULTI CAP GROWTH A | 0.00 | 1.05 | 0.00 | 1.05 | 95.0 | 1.00 |
| 01/02/2018 | JOUPPI, JEFFREY | PUTNAM MULTI CAP GROWTH A | 0.00 | 5.25 | 0.00 | 5.25 | 95.0 | 4.99 |
| 01/02/2018 | WEAVER, RONALD | PUTNAM MULTI CAP GROWTH A | 0.00 | 4.30 | 0.00 | 4.30 | 95.0 | 4.09 |
| 01/02/2018 | WEAVER, RONALD | PUTNAM MULTI CAP GROWTH A | 0.00 | 2.05 | 0.00 | 2.05 | 95.0 | 1.95 |
| 01/02/2018 | BEDORE, CHARLES | PUTNAM MULTI CAP GROWTH A | 0.00 | 18.93 | 0.00 | 18.93 | 95.0 | 17.98 |
| 01/02/2018 | PLAN, CONVERSION | PUTNAM MULTI CAP GROWTH A | 0.00 | 1.36 | 0.00 | 1.36 | 95.0 | 1.29 |
| 01/02/2018 | MIKLEVICH TRUST | PUTNAM MULTI CAP GROWTH A | 0.00 | 27.80 | 0.00 | 27.80 | 95.0 | 26.41 |
| 01/02/2018 | O'CONNOR, TIMOTHY | PUTNAM MULTI-CAP GROWTH B | 0.00 | 5.13 | 0.00 | 5.13 | 95.0 | 4.87 |
| 01/02/2018 | MOUSSA, PATRICK | PUTNAM MULTI-CAP GROWTH B | 0.00 | 1.65 | 0.00 | 1.65 | 95.0 | 1.57 |
| 01/02/2018 | TUCKER, LINDA | PUTNAM RESEARCH A | 0.00 | 1.62 | 0.00 | 1.62 | 95.0 | 1.54 |
| 01/02/2018 | ALLEGRIANA, JULIE | PUTNAM RETIREMENT READY 746859602 | 0.00 | 2.48 | 0.00 | 2.48 | 95.0 | 2.36 |
| 01/02/2018 | VIVIANO, SAM | PUTNAM TAX-FREE HIGH YIELD-A | 0.00 | 5.42 | 0.00 | 5.42 | 95.0 | 5.15 |
| 01/02/2018 | KRAUSE, BARBARA | PUTNAM TAX-FREE HIGH YIELD-A | 0.00 | 117.56 | 0.00 | 117.56 | 95.0 | 111.68 |
| / / | WAGNER, SHARON | RYDEX GUGG S&P 500 H | 0.00 | 0.46 | 0.00 | 0.46 | 95.0 | 0.44 |
| / / | WAGNER, SHARON | RYDEXGUGGENHEIM INVERSE NASDAQ 100 | 0.00 | 0.50 | 0.00 | 0.50 | 95.0 | 0.48 |
| 01/03/2018 | PETERSON, ALEXA | TRANSAMERICA AA CONSERVATIVE C | 0.00 | 34.81 | 0.00 | 34.81 | 95.0 | 33.07 |
| 01/03/2018 | PETERSON, TREY | TRANSAMERICA AA CONSERVATIVE C | 0.00 | 34.81 | 0.00 | 34.81 | 95.0 | 33.07 |
| 01/03/2018 | KING, ALEXANDER | TRANSAMERICA AA GROWTH A | 0.00 | 9.10 | 0.00 | 9.10 | 95.0 | 8.65 |

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| <u>DIRECT TRANSACTIONS</u> | | | | | | | | |
| <u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u> | | | | | | | | |
| 01/03/2018 | MOORE, MICHELLE | TRANSAMERICA AA GROWTH A | 0.00 | 13.36 | 0.00 | 13.36 | 95.0 | 12.69 |
| 01/03/2018 | KUCHAREK, MARK | TRANSAMERICA AA GROWTH A | 0.00 | 25.84 | 0.00 | 25.84 | 95.0 | 24.55 |
| 01/03/2018 | HESTER, RICHARD | TRANSAMERICA AA GROWTH A | 0.00 | 0.76 | 0.00 | 0.76 | 95.0 | 0.72 |
| 01/03/2018 | SOLDAN, JULIE | TRANSAMERICA AA GROWTH A | 0.00 | 10.83 | 0.00 | 10.83 | 95.0 | 10.29 |
| 01/03/2018 | KING, NATHAN | TRANSAMERICA AA GROWTH A | 0.00 | 3.97 | 0.00 | 3.97 | 95.0 | 3.77 |
| 01/03/2018 | RYAN, JONATHON | TRANSAMERICA AA GROWTH A | 0.00 | 9.21 | 0.00 | 9.21 | 95.0 | 8.75 |
| 01/03/2018 | MALAVOLTI, KURT | TRANSAMERICA AA GROWTH A | 0.00 | 11.66 | 0.00 | 11.66 | 95.0 | 11.08 |
| 01/03/2018 | KUCHAREK, MARK | TRANSAMERICA AA GROWTH B | 0.00 | 9.37 | 0.00 | 9.37 | 95.0 | 8.90 |
| 01/03/2018 | HESTER, RICHARD | TRANSAMERICA AA GROWTH B | 0.00 | 0.48 | 0.00 | 0.48 | 95.0 | 0.46 |
| 01/03/2018 | RICE, STEPHANIE | TRANSAMERICA AA GROWTH C | 0.00 | 5.13 | 0.00 | 5.13 | 95.0 | 4.87 |
| 01/03/2018 | KUCHAREK, MARK | TRANSAMERICA AA GROWTH C | 0.00 | 6.39 | 0.00 | 6.39 | 95.0 | 6.07 |
| 01/03/2018 | SULLIVAN, MICHAEL | TRANSAMERICA AA GROWTH C | 0.00 | 21.71 | 0.00 | 21.71 | 95.0 | 20.62 |
| 01/03/2018 | MAYNARD, TRAVIS | TRANSAMERICA AA GROWTH C | 0.00 | 1.71 | 0.00 | 1.71 | 95.0 | 1.62 |
| 01/03/2018 | DUMOND, PHYLLIS | TRANSAMERICA AA GROWTH C | 0.00 | 10.37 | 0.00 | 10.37 | 95.0 | 9.85 |
| 01/03/2018 | COOPER, LISA | TRANSAMERICA AA GROWTH C | 0.00 | 0.48 | 0.00 | 0.48 | 95.0 | 0.46 |
| 01/03/2018 | WEBSTER, BRIAN | TRANSAMERICA AA GROWTH C | 0.00 | 1.04 | 0.00 | 1.04 | 95.0 | 0.99 |
| 01/03/2018 | JOUPPI, JEFFREY | TRANSAMERICA AA GROWTH C | 0.00 | 89.87 | 0.00 | 89.87 | 95.0 | 85.38 |
| 01/03/2018 | COMAN, RONALD | TRANSAMERICA AA GROWTH C | 0.00 | 21.31 | 0.00 | 21.31 | 95.0 | 20.24 |
| 01/03/2018 | PALAZZOLO, SALATORE | TRANSAMERICA AA GROWTH C | 0.00 | 12.63 | 0.00 | 12.63 | 95.0 | 12.00 |
| 01/03/2018 | BARTOI, MIKAELA | TRANSAMERICA AA GROWTH C | 0.00 | 4.24 | 0.00 | 4.24 | 95.0 | 4.03 |
| 01/03/2018 | ROWAN, CHRISTINE | TRANSAMERICA AA GROWTH C | 0.00 | 28.89 | 0.00 | 28.89 | 95.0 | 27.45 |
| 01/03/2018 | KUCHAREK, NORMA | TRANSAMERICA AA GROWTH C | 0.00 | 9.31 | 0.00 | 9.31 | 95.0 | 8.84 |
| 01/03/2018 | OLSEN, MARTHA | TRANSAMERICA AA GROWTH C | 0.00 | 10.84 | 0.00 | 10.84 | 95.0 | 10.30 |
| 01/03/2018 | HESSLER, GARY | TRANSAMERICA AA GROWTH C | 0.00 | 40.75 | 0.00 | 40.75 | 95.0 | 38.71 |
| 01/03/2018 | BLANKENSHIP, JANET | TRANSAMERICA AA GROWTH C | 0.00 | 12.33 | 0.00 | 12.33 | 95.0 | 11.71 |
| 01/03/2018 | RONDO, DENISE | TRANSAMERICA AA GROWTH C | 0.00 | 12.83 | 0.00 | 12.83 | 95.0 | 12.19 |
| 01/03/2018 | PALAZZOLO, ANNA | TRANSAMERICA AA GROWTH C | 0.00 | 19.81 | 0.00 | 19.81 | 95.0 | 18.82 |
| 01/03/2018 | LINDOW, RONALD | TRANSAMERICA AA GROWTH C | 0.00 | 1.58 | 0.00 | 1.58 | 95.0 | 1.50 |
| 01/03/2018 | WILMAN, ANN | TRANSAMERICA AA GROWTH C | 0.00 | 60.78 | 0.00 | 60.78 | 95.0 | 57.74 |
| 01/03/2018 | KUCHAREK, MARK | TRANSAMERICA AA GROWTH C | 0.00 | 39.28 | 0.00 | 39.28 | 95.0 | 37.32 |
| 01/03/2018 | LOPICCOLO, CATHERINE | TRANSAMERICA AA GROWTH C | 0.00 | 42.85 | 0.00 | 42.85 | 95.0 | 40.71 |
| 01/03/2018 | DUMOND, PHYLLIS | TRANSAMERICA AA GROWTH C | 0.00 | 23.34 | 0.00 | 23.34 | 95.0 | 22.17 |
| 01/03/2018 | RIOS-DORIA, H. WALTER | TRANSAMERICA AA GROWTH C | 0.00 | 50.87 | 0.00 | 50.87 | 95.0 | 48.33 |

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| <u>DIRECT TRANSACTIONS</u> | | | | | | | | |
| <u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u> | | | | | | | | |
| 01/03/2018 | WETZEL, TIFFANY | TRANSAMERICA AA GROWTH C | 0.00 | 13.90 | 0.00 | 13.90 | 95.0 | 13.21 |
| 01/03/2018 | KEELER, DAVID | TRANSAMERICA AA GROWTH C | 0.00 | 51.31 | 0.00 | 51.31 | 95.0 | 48.74 |
| 01/03/2018 | HILDEBRAND, JOSEPH | TRANSAMERICA AA GROWTH C | 0.00 | 28.67 | 0.00 | 28.67 | 95.0 | 27.24 |
| 01/03/2018 | DEHEM, GARY | TRANSAMERICA AA GROWTH C | 0.00 | 40.37 | 0.00 | 40.37 | 95.0 | 38.35 |
| 01/03/2018 | LINDOW, RICHARD | TRANSAMERICA AA GROWTH C | 0.00 | 24.73 | 0.00 | 24.73 | 95.0 | 23.49 |
| 01/03/2018 | MULDOON, SHEILA | TRANSAMERICA AA GROWTH C | 0.00 | 25.33 | 0.00 | 25.33 | 95.0 | 24.06 |
| 01/03/2018 | KUCHAREK, SARAH | TRANSAMERICA AA GROWTH C | 0.00 | 5.11 | 0.00 | 5.11 | 95.0 | 4.85 |
| 01/03/2018 | HECKER, GENE | TRANSAMERICA AA GROWTH C | 0.00 | 7.75 | 0.00 | 7.75 | 95.0 | 7.36 |
| 01/03/2018 | WATERS, SALLY | TRANSAMERICA AA GROWTH C | 0.00 | 13.89 | 0.00 | 13.89 | 95.0 | 13.20 |
| 01/03/2018 | WATERS, WILLIAM | TRANSAMERICA AA GROWTH C | 0.00 | 5.38 | 0.00 | 5.38 | 95.0 | 5.11 |
| 01/03/2018 | TOBEY, TIMOTHY | TRANSAMERICA AA GROWTH C | 0.00 | 14.16 | 0.00 | 14.16 | 95.0 | 13.45 |
| 01/03/2018 | FARRAR, CHARLES | TRANSAMERICA AA GROWTH C | 0.00 | 8.20 | 0.00 | 8.20 | 95.0 | 7.79 |
| 01/03/2018 | BUSZEK, PAUL | TRANSAMERICA AA GROWTH C | 0.00 | 1.17 | 0.00 | 1.17 | 95.0 | 1.11 |
| 01/03/2018 | HOOTNER-JONES, ANN | TRANSAMERICA AA GROWTH C | 0.00 | 8.46 | 0.00 | 8.46 | 95.0 | 8.04 |
| 01/03/2018 | PALAZZOLO, SALVATORE | TRANSAMERICA AA GROWTH C | 0.00 | 14.83 | 0.00 | 14.83 | 95.0 | 14.09 |
| 01/03/2018 | BASTIN, TIFFANY | TRANSAMERICA AA GROWTH C | 0.00 | 3.88 | 0.00 | 3.88 | 95.0 | 3.69 |
| 01/03/2018 | RICE, STEPHANIE | TRANSAMERICA AA GROWTH C | 0.00 | 3.94 | 0.00 | 3.94 | 95.0 | 3.74 |
| 01/03/2018 | MERRITT TRUST, LEO | TRANSAMERICA AA MOD GROWTH A | 0.00 | 49.99 | 0.00 | 49.99 | 95.0 | 47.49 |
| 01/03/2018 | KOLLINGER, ROBERT | TRANSAMERICA AA MOD GROWTH C | 0.00 | 0.96 | 0.00 | 0.96 | 95.0 | 0.91 |
| 01/03/2018 | HOVIS, MARJORIE | TRANSAMERICA AA MOD GROWTH C | 0.00 | 2.43 | 0.00 | 2.43 | 95.0 | 2.31 |
| 01/03/2018 | BELLINGER, VICKIE | TRANSAMERICA AA MOD GROWTH C | 0.00 | 35.10 | 0.00 | 35.10 | 95.0 | 33.35 |
| 01/03/2018 | BELLINGER, GEORGE | TRANSAMERICA AA MOD GROWTH C | 0.00 | 28.32 | 0.00 | 28.32 | 95.0 | 26.90 |
| 01/03/2018 | POLENYCHKO, SHIRLEY | TRANSAMERICA AA MOD GROWTH C | 0.00 | 9.60 | 0.00 | 9.60 | 95.0 | 9.12 |
| 01/03/2018 | AUGUSTYN, PATRICIA | TRANSAMERICA AA MOD GROWTH C | 0.00 | 11.77 | 0.00 | 11.77 | 95.0 | 11.18 |
| 01/03/2018 | BLANKENSHIP, JANET | TRANSAMERICA AA MOD GROWTH C | 0.00 | 216.08 | 0.00 | 216.08 | 95.0 | 205.28 |
| 01/03/2018 | KOLLINGER, CINDY | TRANSAMERICA AA MOD GROWTH C | 0.00 | 9.87 | 0.00 | 9.87 | 95.0 | 9.38 |
| 01/03/2018 | KEELER, DAVID | TRANSAMERICA AA MOD GROWTH C | 0.00 | 22.65 | 0.00 | 22.65 | 95.0 | 21.52 |
| 01/03/2018 | TYSZKIEWICZ, KURT | TRANSAMERICA AA MOD GROWTH C | 0.00 | 24.67 | 0.00 | 24.67 | 95.0 | 23.44 |
| 01/03/2018 | KUCHAREK, MARCIA | TRANSAMERICA AA MOD GROWTH C | 0.00 | 12.19 | 0.00 | 12.19 | 95.0 | 11.58 |
| 01/03/2018 | MCGUIRE, MARY | TRANSAMERICA AA MOD GROWTH C | 0.00 | 16.54 | 0.00 | 16.54 | 95.0 | 15.71 |
| 01/03/2018 | LEHMAN, JEFFREY | TRANSAMERICA AA MOD GROWTH C | 0.00 | 0.11 | 0.00 | 0.11 | 95.0 | 0.10 |
| 01/03/2018 | HENRY, JACQUELINE | TRANSAMERICA AA MOD GROWTH C | 0.00 | 26.30 | 0.00 | 26.30 | 95.0 | 24.99 |
| 01/03/2018 | O'CONNOR, FRANCIS | TRANSAMERICA AA MOD GROWTH C | 0.00 | 57.08 | 0.00 | 57.08 | 95.0 | 54.23 |

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|---|-----------------------------|-----------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <u>DIRECT TRANSACTIONS</u> | | | | | | | | |
| <u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u> | | | | | | | | |
| 01/03/2018 | BAKER, JEAN-ANNE | TRANSAMERICA AA MOD GROWTH C | 0.00 | 39.73 | 0.00 | 39.73 | 95.0 | 37.74 |
| 01/03/2018 | KOSANKE, BARBARA | TRANSAMERICA AA MOD GROWTH C | 0.00 | 33.47 | 0.00 | 33.47 | 95.0 | 31.80 |
| 01/03/2018 | DEW, DESIREE | TRANSAMERICA AA MOD GROWTH C | 0.00 | 46.15 | 0.00 | 46.15 | 95.0 | 43.84 |
| 01/03/2018 | CYRULEWSKI TRUST, LOIS | TRANSAMERICA AA MOD GROWTH C | 0.00 | 12.28 | 0.00 | 12.28 | 95.0 | 11.67 |
| 01/03/2018 | NIZIO, EDMUND | TRANSAMERICA AA MOD GROWTH C | 0.00 | 3.73 | 0.00 | 3.73 | 95.0 | 3.54 |
| 01/03/2018 | PALAZZOLO, SALATORE | TRANSAMERICA AA MOD GROWTH C | 0.00 | 10.11 | 0.00 | 10.11 | 95.0 | 9.60 |
| 01/03/2018 | KOSANKE, CHARLES W | TRANSAMERICA AA MOD GROWTH C | 0.00 | 17.23 | 0.00 | 17.23 | 95.0 | 16.37 |
| 01/03/2018 | MERRITT, MARY LOU | TRANSAMERICA AA MOD GROWTH C | 0.00 | 118.42 | 0.00 | 118.42 | 95.0 | 112.50 |
| 01/03/2018 | GROBAR TRUST, MARVIN & MARY | TRANSAMERICA AA MOD GROWTH C | 0.00 | 60.05 | 0.00 | 60.05 | 95.0 | 57.05 |
| 01/03/2018 | OLSEN, MARTHA | TRANSAMERICA AA MOD GROWTH C | 0.00 | 10.24 | 0.00 | 10.24 | 95.0 | 9.73 |
| 01/03/2018 | SARKISIAN, NORAY | TRANSAMERICA AA MOD GROWTH C | 0.00 | 10.50 | 0.00 | 10.50 | 95.0 | 9.98 |
| 01/03/2018 | SARKISIAN, NORAY | TRANSAMERICA AA MOD GROWTH C | 0.00 | 5.30 | 0.00 | 5.30 | 95.0 | 5.04 |
| 01/03/2018 | CARLSON, PATRICIA | TRANSAMERICA AA MOD GROWTH C | 0.00 | 2.82 | 0.00 | 2.82 | 95.0 | 2.68 |
| 01/03/2018 | RIOS-DORIA, H. WALTER | TRANSAMERICA AA MOD GROWTH C | 0.00 | 46.32 | 0.00 | 46.32 | 95.0 | 44.00 |
| 01/03/2018 | RYAN, VICKI | TRANSAMERICA AA MOD GROWTH C | 0.00 | 3.64 | 0.00 | 3.64 | 95.0 | 3.46 |
| 01/03/2018 | RYAN, KAREN | TRANSAMERICA AA MOD GROWTH C | 0.00 | 0.21 | 0.00 | 0.21 | 95.0 | 0.20 |
| 01/03/2018 | BARTOI, MIKAELA | TRANSAMERICA AA MOD GROWTH C | 0.00 | 158.36 | 0.00 | 158.36 | 95.0 | 150.44 |
| 01/03/2018 | BUTLER, SANDRA | TRANSAMERICA AA MOD GROWTH C | 0.00 | 56.49 | 0.00 | 56.49 | 95.0 | 53.67 |
| 01/03/2018 | KANAKRI, JOSEPH | TRANSAMERICA AA MOD GROWTH C | 0.00 | 2.19 | 0.00 | 2.19 | 95.0 | 2.08 |
| 01/03/2018 | KANAKRI, MARIA | TRANSAMERICA AA MOD GROWTH C | 0.00 | 3.44 | 0.00 | 3.44 | 95.0 | 3.27 |
| 01/03/2018 | BUSZEK, PAUL | TRANSAMERICA AA MOD GROWTH C | 0.00 | 12.91 | 0.00 | 12.91 | 95.0 | 12.26 |
| 01/03/2018 | LAWRENCE, PEGGY | TRANSAMERICA AA MOD GROWTH C | 0.00 | 13.69 | 0.00 | 13.69 | 95.0 | 13.01 |
| 01/03/2018 | BERDESKI, AUDREY | TRANSAMERICA AA MOD GROWTH C | 0.00 | 5.73 | 0.00 | 5.73 | 95.0 | 5.44 |
| 01/03/2018 | KAWALA, CHRISTINA | TRANSAMERICA AA MOD GROWTH C | 0.00 | 117.31 | 0.00 | 117.31 | 95.0 | 111.44 |
| 01/03/2018 | DUMOND, PHYLLIS | TRANSAMERICA AA MODERATE A | 0.00 | 11.37 | 0.00 | 11.37 | 95.0 | 10.80 |
| 01/03/2018 | MIJAL, SHARON | TRANSAMERICA AA MODERATE A | 0.00 | 13.44 | 0.00 | 13.44 | 95.0 | 12.77 |
| 01/03/2018 | SARKISIAN, NORAY | TRANSAMERICA AA MODERATE C | 0.00 | 19.29 | 0.00 | 19.29 | 95.0 | 18.33 |
| 01/03/2018 | SARKISIAN, NORAY | TRANSAMERICA AA MODERATE C | 0.00 | 0.79 | 0.00 | 0.79 | 95.0 | 0.75 |
| 01/03/2018 | MOORE, LOUIS | TRANSAMERICA AA MODERATE C | 0.00 | 89.01 | 0.00 | 89.01 | 95.0 | 84.56 |
| 01/03/2018 | BARTOI, JOHN | TRANSAMERICA AA MODERATE C | 0.00 | 2.95 | 0.00 | 2.95 | 95.0 | 2.80 |
| 01/03/2018 | MANOLATOS, STEVE | TRANSAMERICA AA MODERATE C | 0.00 | 8.03 | 0.00 | 8.03 | 95.0 | 7.63 |
| 01/03/2018 | MADIGAN, JOHN | TRANSAMERICA CAPITAL GROWTH A | 0.00 | 0.68 | 0.00 | 0.68 | 95.0 | 0.65 |
| 01/03/2018 | BACHTELL, JAMES | TRANSAMERICA DIVERSIFIED EQUITY A | 0.00 | 19.29 | 0.00 | 19.29 | 95.0 | 18.33 |

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| <u>DIRECT TRANSACTIONS</u> | | | | | | | | |
| <u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u> | | | | | | | | |
| 01/03/2018 | BOYER, KENNETH | TRANSAMERICA DIVERSIFIED EQUITY A | 0.00 | 14.61 | 0.00 | 14.61 | 95.0 | 13.88 |
| 01/03/2018 | CHATTULANI, DIANA | TRANSAMERICA DIVERSIFIED EQUITY A | 0.00 | 9.75 | 0.00 | 9.75 | 95.0 | 9.26 |
| 01/03/2018 | HORTON, RICHARD | TRANSAMERICA DIVERSIFIED EQUITY A | 0.00 | 6.64 | 0.00 | 6.64 | 95.0 | 6.31 |
| 01/03/2018 | WONCH, ELIZABETH | TRANSAMERICA DIVERSIFIED EQUITY A | 0.00 | 1.03 | 0.00 | 1.03 | 95.0 | 0.98 |
| 01/03/2018 | WILLIAMS, DAVID | TRANSAMERICA DIVERSIFIED EQUITY A | 0.00 | 2.44 | 0.00 | 2.44 | 95.0 | 2.32 |
| 01/03/2018 | WILLIAMS, DAVID | TRANSAMERICA DIVERSIFIED EQUITY A | 0.00 | 8.66 | 0.00 | 8.66 | 95.0 | 8.23 |
| 01/03/2018 | HILDEBRAND, JOSEPH | TRANSAMERICA MULTI MGR ALT STRATEGI | 0.00 | 9.94 | 0.00 | 9.94 | 95.0 | 9.44 |
| 01/03/2018 | DOYLE, CHRISTINE | TRANSAMERICA MULTI MGR ALT STRATEGI | 0.00 | 1.31 | 0.00 | 1.31 | 95.0 | 1.24 |
| 01/03/2018 | COOPER, IAN | TRANSAMERICA MULTI MGR INTL A | 0.00 | 5.12 | 0.00 | 5.12 | 95.0 | 4.86 |
| 01/03/2018 | PALAZZOLO, SALATORE | TRANSAMERICA MULTI MGR INTL C | 0.00 | 0.35 | 0.00 | 0.35 | 95.0 | 0.33 |
| 01/03/2018 | BARTOI, JOHN | TRANSAMERICA MULTI MGR INTL C | 0.00 | 13.52 | 0.00 | 13.52 | 95.0 | 12.84 |
| 01/03/2018 | BARTOI, MIKAELA | TRANSAMERICA MULTI MGR INTL C | 0.00 | 9.48 | 0.00 | 9.48 | 95.0 | 9.01 |
| 01/03/2018 | FARRAR, CHARLES | TRANSAMERICA MULTI MGR INTL C | 0.00 | 36.49 | 0.00 | 36.49 | 95.0 | 34.67 |
| 01/03/2018 | WILMAN, ANN | TRANSAMERICA MULTI MGR INTL C | 0.00 | 26.36 | 0.00 | 26.36 | 95.0 | 25.04 |
| 01/03/2018 | KUCHAREK, MARK | TRANSAMERICA MULTI MGR INTL C | 0.00 | 11.06 | 0.00 | 11.06 | 95.0 | 10.51 |
| 01/03/2018 | DUMOND, PHYLLIS | TRANSAMERICA MULTI MGR INTL C | 0.00 | 5.34 | 0.00 | 5.34 | 95.0 | 5.07 |
| 01/03/2018 | KEELER, DAVID | TRANSAMERICA MULTI MGR INTL C | 0.00 | 14.79 | 0.00 | 14.79 | 95.0 | 14.05 |
| 01/03/2018 | HILDEBRAND, JOSEPH | TRANSAMERICA MULTI MGR INTL C | 0.00 | 12.82 | 0.00 | 12.82 | 95.0 | 12.18 |
| 01/03/2018 | DEHEM, GARY | TRANSAMERICA MULTI MGR INTL C | 0.00 | 15.57 | 0.00 | 15.57 | 95.0 | 14.79 |
| 01/03/2018 | MERRITT, GREGORY | TRANSAMERICA MULTI-MANAGED BAL A | 0.00 | 6.48 | 0.00 | 6.48 | 95.0 | 6.16 |
| 01/03/2018 | KOGUT, MONICA | TRANSAMERICA MULTI-MANAGED BAL A | 0.00 | 3.03 | 0.00 | 3.03 | 95.0 | 2.88 |
| 01/03/2018 | WAGNER, MALLORY | TRANSAMERICA MULTI-MANAGED BAL C | 0.00 | 3.14 | 0.00 | 3.14 | 95.0 | 2.98 |
| 01/03/2018 | EVANS, SANDRA | TRANSAMERICA MULTI-MANAGED BAL C | 0.00 | 6.57 | 0.00 | 6.57 | 95.0 | 6.24 |
| 01/03/2018 | EVANS, ROBERT | TRANSAMERICA MULTI-MANAGED BAL C | 0.00 | 7.88 | 0.00 | 7.88 | 95.0 | 7.49 |
| 01/03/2018 | GRECH, ROSALIE | TRANSAMERICA MULTI-MANAGED BAL C | 0.00 | 40.58 | 0.00 | 40.58 | 95.0 | 38.55 |
| 01/03/2018 | CANNON TRUST, HENRY & BARBARA | TRANSAMERICA MULTI-MANAGED BAL C | 0.00 | 117.12 | 0.00 | 117.12 | 95.0 | 111.26 |
| 01/03/2018 | WEYCKER, AARON | TRANSAMERICA MULTI-MANAGED BAL C | 0.00 | 46.34 | 0.00 | 46.34 | 95.0 | 44.02 |
| 01/03/2018 | WEYCKER, AARON | TRANSAMERICA MULTI-MANAGED BAL C | 0.00 | 7.30 | 0.00 | 7.30 | 95.0 | 6.94 |
| 01/03/2018 | DOUTSAS, MADELYN | TRANSAMERICA MULTI-MANAGED BAL C | 0.00 | 3.09 | 0.00 | 3.09 | 95.0 | 2.94 |
| 01/03/2018 | HOOTNER-JONES, ANN | TRANSAMERICA MULTI-MANAGED BAL C | 0.00 | 2.87 | 0.00 | 2.87 | 95.0 | 2.73 |
| 01/03/2018 | WEYCKER, ROBERT | TRANSAMERICA MULTI-MANAGED BAL C | 0.00 | 14.99 | 0.00 | 14.99 | 95.0 | 14.24 |
| 01/03/2018 | RICHARDSON, SHANE | TRANSAMERICA MULTI-MANAGED BAL C | 0.00 | 1.28 | 0.00 | 1.28 | 95.0 | 1.22 |
| 01/03/2018 | MAGGARD, LORETTA | TRANSAMERICA MULTI-MANAGED BAL C | 0.00 | 13.17 | 0.00 | 13.17 | 95.0 | 12.51 |

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| <u>DIRECT TRANSACTIONS</u> | | | | | | | | |
| <u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u> | | | | | | | | |
| 01/03/2018 | KAWALA, CHRISTINA | TRANSAMERICA MULTI-MANAGED BAL C | 0.00 | 18.04 | 0.00 | 18.04 | 95.0 | 17.14 |
| 01/03/2018 | EICHENLAUB, TRACEY | TRANSAMERICA MULTI-MANAGED BAL C | 0.00 | 40.08 | 0.00 | 40.08 | 95.0 | 38.08 |
| 01/03/2018 | BELLINGER, VICKIE | TRANSAMERICA MULTI-MANAGED BAL C | 0.00 | 46.67 | 0.00 | 46.67 | 95.0 | 44.34 |
| 01/03/2018 | OLSEN, MARTHA | TRANSAMERICA MULTI-MANAGED BAL C | 0.00 | 11.12 | 0.00 | 11.12 | 95.0 | 10.56 |
| 01/03/2018 | MOORE, SUSAN ANN PRIES | TRANSAMERICA MULTI-MANAGED BAL C | 0.00 | 105.54 | 0.00 | 105.54 | 95.0 | 100.26 |
| 01/03/2018 | YOUNG, RICK | TRANSAMERICA MULTI-MANAGED BAL C | 0.00 | 141.64 | 0.00 | 141.64 | 95.0 | 134.56 |
| 01/03/2018 | DINKA, CATHERINE | TRANSAMERICA MULTI-MANAGED BAL C | 0.00 | 80.20 | 0.00 | 80.20 | 95.0 | 76.19 |
| 01/03/2018 | PARKE, DEBORAH | TRANSAMERICA MULTI-MANAGED BAL C | 0.00 | 16.85 | 0.00 | 16.85 | 95.0 | 16.01 |
| 01/03/2018 | SMITH, MARTHA | TRANSAMERICA MULTI-MANAGED BAL C | 0.00 | 106.45 | 0.00 | 106.45 | 95.0 | 101.13 |
| 01/03/2018 | FARRAR, KAREN | TRANSAMERICA MULTI-MANAGED BAL C | 0.00 | 45.86 | 0.00 | 45.86 | 95.0 | 43.57 |
| 01/03/2018 | EICHENLAUB, TRACEY | TRANSAMERICA MULTI-MANAGED BAL C | 0.00 | 21.88 | 0.00 | 21.88 | 95.0 | 20.79 |
| 01/03/2018 | ROLLINGS, DEBORAH | TRANSAMERICA MULTI-MANAGED BAL C | 0.00 | 30.74 | 0.00 | 30.74 | 95.0 | 29.20 |
| 01/03/2018 | DOUTSAS, ALEXANDER | TRANSAMERICA MULTI-MANAGED BAL C | 0.00 | 6.54 | 0.00 | 6.54 | 95.0 | 6.21 |
| 01/03/2018 | GRAMMATICO, DENNIS | TRANSAMERICA SHORT-TERM BOND C | 0.00 | 7.31 | 0.00 | 7.31 | 95.0 | 6.94 |
| 01/03/2018 | GRAMMATICO, SHARON | TRANSAMERICA SHORT-TERM BOND C | 0.00 | 7.31 | 0.00 | 7.31 | 95.0 | 6.94 |
| 01/03/2018 | SARKISIAN, NORAY | TRANSAMERICA SHORT-TERM BOND C | 0.00 | 27.73 | 0.00 | 27.73 | 95.0 | 26.34 |
| 01/03/2018 | MERRITT, MARY LOU | TRANSAMERICA SHORT-TERM BOND C | 0.00 | 22.77 | 0.00 | 22.77 | 95.0 | 21.63 |
| 01/03/2018 | O'CONNOR, FRANCIS | TRANSAMERICA SHORT-TERM BOND C | 0.00 | 62.74 | 0.00 | 62.74 | 95.0 | 59.60 |
| 01/03/2018 | RYAN, JACK | TRANSAMERICA SHORT-TERM BOND C | 0.00 | 0.85 | 0.00 | 0.85 | 95.0 | 0.81 |
| 01/03/2018 | RYAN, KAREN | TRANSAMERICA SHORT-TERM BOND C | 0.00 | 1.35 | 0.00 | 1.35 | 95.0 | 1.28 |
| 01/03/2018 | EVANS, SANDRA | TRANSAMERICA TACTICAL INCOME C | 0.00 | 4.85 | 0.00 | 4.85 | 95.0 | 4.61 |
| 01/03/2018 | EVANS, ROBERT | TRANSAMERICA TACTICAL INCOME C | 0.00 | 5.82 | 0.00 | 5.82 | 95.0 | 5.53 |
| 01/03/2018 | KAWALA, CHRISTINA | TRANSAMERICA TACTICAL INCOME C | 0.00 | 3.25 | 0.00 | 3.25 | 95.0 | 3.09 |
| 01/03/2018 | PIZZO, ROSOLINO | TRANSAMERICA WMC DIV EQUITY C | 0.00 | 2.01 | 0.00 | 2.01 | 95.0 | 1.91 |
| 01/04/2018 | BUSSELL REV LV TRUST, SHARON | WELLS FARGO 100% TREASURY MMKT-A | 0.00 | 7.40 | 0.00 | 7.40 | 95.0 | 7.03 |
| 01/04/2018 | THOMAS, HENRY | WELLS FARGO INCOME PLUS A | 0.00 | 3.35 | 0.00 | 3.35 | 95.0 | 3.18 |
| 01/04/2018 | THOMAS, SYBIL | WELLS FARGO INCOME PLUS A | 0.00 | 2.65 | 0.00 | 2.65 | 95.0 | 2.52 |
| 01/04/2018 | TOTTEFF, JESSIE | WELLS FARGO INCOME PLUS A | 0.00 | 3.44 | 0.00 | 3.44 | 95.0 | 3.27 |
| 01/04/2018 | SPEAROT, DOUGLAS | WELLS FARGO INCOME PLUS A | 0.00 | 0.92 | 0.00 | 0.92 | 95.0 | 0.87 |
| 01/04/2018 | GUTMAN, KENNETH | WELLS FARGO INTL BOND A | 0.00 | 2.16 | 0.00 | 2.16 | 95.0 | 2.05 |
| 01/04/2018 | GUTMAN, MATHEW | WELLS FARGO INTL BOND A | 0.00 | 2.16 | 0.00 | 2.16 | 95.0 | 2.05 |
| 01/04/2018 | JAGGER, ALBERT | WELLS FARGO INTL BOND A | 0.00 | 27.33 | 0.00 | 27.33 | 95.0 | 25.96 |
| 01/04/2018 | BUSSELL REV LIV TRST, GEROGE & | WELLS FARGO MONEY MKT A | 0.00 | 28.17 | 0.00 | 28.17 | 95.0 | 26.76 |

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|---|---------------------|-------------------------------------|----------------------|---------------------|--------------------|--------------------|------|----------------------|
| <u>DIRECT TRANSACTIONS</u> | | | | | | | | |
| <u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u> | | | | | | | | |
| 01/04/2018 | STEBBINS, DAVID | WELLS FARGO OPP A | 0.00 | 0.67 | 0.00 | 0.67 | 95.0 | 0.64 |
| 01/04/2018 | BASILE, NINO | WELLS FARGO OPP A | 0.00 | 1.00 | 0.00 | 1.00 | 95.0 | 0.95 |
| 01/04/2018 | DUDLEY, CHERYL | WELLS FARGO OPP A | 0.00 | 1.23 | 0.00 | 1.23 | 95.0 | 1.17 |
| 01/04/2018 | BASILE, ANNA | WELLS FARGO OPP A | 0.00 | 0.86 | 0.00 | 0.86 | 95.0 | 0.82 |
| 01/04/2018 | CODDING, CRAIG | WELLS FARGO PREMIER LG COMP GRWTH A | 0.00 | 3.64 | 0.00 | 3.64 | 95.0 | 3.46 |
| 01/04/2018 | KISH, VIVIAN | WELLS FARGO STRATEGIC MUNI A | 0.00 | 0.99 | 0.00 | 0.99 | 95.0 | 0.94 |
| 01/04/2018 | ROEHRIG, RITA | WELLS FARGO STRATEGIC MUNI A | 0.00 | 2.74 | 0.00 | 2.74 | 95.0 | 2.60 |
| 01/04/2018 | JAGGER, ALBERT | WELLS FARGO STRATEGIC MUNI A | 0.00 | 25.34 | 0.00 | 25.34 | 95.0 | 24.07 |
| 01/04/2018 | PER, MARIANNE | WELLS FARGO STRATEGIC MUNI A | 0.00 | 0.18 | 0.00 | 0.18 | 95.0 | 0.17 |
| 01/04/2018 | TSEREGOUNIS, SPYROS | WELLS FARGO STRATEGIC MUNI A | 0.00 | 5.30 | 0.00 | 5.30 | 95.0 | 5.04 |
| 01/04/2018 | ALEXOPOULOS, PAUL | WELLS FARGO STRATEGIC MUNI A | 0.00 | 5.81 | 0.00 | 5.81 | 95.0 | 5.52 |
| 01/04/2018 | REBNER, WALDEMAR | WELLS FARGO STRATEGIC MUNI A | 0.00 | 9.40 | 0.00 | 9.40 | 95.0 | 8.93 |
| 01/04/2018 | SPEAROT, REBECCA | WELLS FARGO STRATEGIC MUNI A | 0.00 | 1.68 | 0.00 | 1.68 | 95.0 | 1.60 |
| 01/04/2018 | CLEMAK, CHARLES | WELLS FARGO STRATEGIC MUNI A | 0.00 | 28.43 | 0.00 | 28.43 | 95.0 | 27.01 |
| 01/04/2018 | MUGLIA, DOMINIC | WELLS FARGO STRATEGIC MUNI A | 0.00 | 37.70 | 0.00 | 37.70 | 95.0 | 35.82 |
| 01/04/2018 | MCLUCAS, ROBERT | WELLS FARGO STRATEGIC MUNI A | 0.00 | 55.34 | 0.00 | 55.34 | 95.0 | 52.57 |
| 01/04/2018 | KATEHI, PISTI | WELLS FARGO TOTAL RETURN BOND A | 0.00 | 1.16 | 0.00 | 1.16 | 95.0 | 1.10 |
| 01/04/2018 | TSEREGOUNIS, SPYROS | WELLS FARGO TOTAL RETURN BOND A | 0.00 | 1.10 | 0.00 | 1.10 | 95.0 | 1.05 |
| 01/04/2018 | SNYDER, SHIRLEY | WELLS FARGO TOTAL RETURN BOND A | 0.00 | 0.60 | 0.00 | 0.60 | 95.0 | 0.57 |
| 01/04/2018 | BAYS, MARVIN | WELLS FARGO UTILITY AND TELECOM A | 0.00 | 11.80 | 0.00 | 11.80 | 95.0 | 11.21 |
| * MUTUAL FUND 12B1 TRAILS SUBTOTAL * | | | \$0.00 | \$14,482.73 | \$0.00 | \$14,482.73 | | \$13,758.86 |

PRODUCT CATEGORY: VARIABLE ANNUITY 12B1 TRAILS

| | | | | | | | | |
|------------|--------------------|------------------------------------|-----------|-------|------|-------|------|-------|
| 01/05/2018 | WEYCKER, EDWARD | ING PREMIUM PLUS | 16,149.39 | 15.14 | 0.00 | 15.14 | 95.0 | 14.38 |
| 01/05/2018 | WEYCKER, EDWARD | ING PREMIUM PLUS | 16,149.39 | 15.14 | 0.00 | 15.14 | 95.0 | 14.38 |
| 01/01/2018 | BLACKBURN, GLORIA | MFS AGGRESSIVE GROWTH ALLOCATION A | 0.00 | 1.95 | 0.00 | 1.95 | 95.0 | 1.85 |
| 01/01/2018 | CHIDSEY, DARRYL | MFS AGGRESSIVE GROWTH ALLOCATION C | 0.00 | 12.79 | 0.00 | 12.79 | 95.0 | 12.15 |
| 01/01/2018 | MARVIN, SAMANTHA | MFS CORE EQUITY A | 0.00 | 1.31 | 0.00 | 1.31 | 95.0 | 1.24 |
| 01/01/2018 | AUMAN, ABBY G M | MFS CORE EQUITY A | 0.00 | 1.34 | 0.00 | 1.34 | 95.0 | 1.27 |
| 01/01/2018 | MELLERT, BETH | MFS CORE EQUITY C | 0.00 | 14.05 | 0.00 | 14.05 | 95.0 | 13.35 |
| 01/01/2018 | BLACKBURN, W ALLEN | MFS CORE EQUITY C | 0.00 | 6.56 | 0.00 | 6.56 | 95.0 | 6.23 |
| 01/01/2018 | MUNTEANU, RADU | MFS EMERGING MARKETS EQUITY A | 0.00 | 14.42 | 0.00 | 14.42 | 95.0 | 13.70 |
| 01/01/2018 | AUMAN, ABBY G M | MFS GLOBAL GROWTH A | 0.00 | 1.60 | 0.00 | 1.60 | 95.0 | 1.52 |
| 01/01/2018 | HOWARD, ANNE | MFS GROWTH A | 0.00 | 12.97 | 0.00 | 12.97 | 95.0 | 12.32 |

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: VARIABLE ANNUITY 12B1 TRAILS</u> | | | | | | | | |
| 01/01/2018 | WRIGHT, JAMES | MFS GROWTH A | 0.00 | 1.55 | 0.00 | 1.55 | 95.0 | 1.47 |
| 01/01/2018 | O'CONNOR, CYNTHIA | MFS GROWTH A | 0.00 | 3.57 | 0.00 | 3.57 | 95.0 | 3.39 |
| 01/01/2018 | MARVIN, SAMANTHA | MFS GROWTH A | 0.00 | 2.48 | 0.00 | 2.48 | 95.0 | 2.36 |
| 01/01/2018 | AUMAN, ABBY G M | MFS GROWTH A | 0.00 | 2.46 | 0.00 | 2.46 | 95.0 | 2.34 |
| 01/01/2018 | RITTER, KYLE | MFS GROWTH A | 0.00 | 1.64 | 0.00 | 1.64 | 95.0 | 1.56 |
| 01/01/2018 | MELLERT, BETH | MFS GROWTH C | 0.00 | 12.51 | 0.00 | 12.51 | 95.0 | 11.88 |
| 01/01/2018 | BLACKBURN, W ALLEN | MFS GROWTH C | 0.00 | 5.56 | 0.00 | 5.56 | 95.0 | 5.28 |
| 01/01/2018 | WEIDRICK, RUSSELL | MFS GROWTH C | 0.00 | 10.65 | 0.00 | 10.65 | 95.0 | 10.12 |
| 01/01/2018 | LLOYD, HEATHER | MFS HIGH INCOME A | 0.00 | 1.70 | 0.00 | 1.70 | 95.0 | 1.62 |
| 01/01/2018 | PASEK, KEVIN | MFS MASS INVESTORS GROWTH STOCK A | 0.00 | 3.97 | 0.00 | 3.97 | 95.0 | 3.77 |
| 01/01/2018 | PASEK, CHRISTINE | MFS MASS INVESTORS GROWTH STOCK A | 0.00 | 1.47 | 0.00 | 1.47 | 95.0 | 1.40 |
| 01/01/2018 | PASEK, CHRISTINE | MFS MASS INVESTORS GROWTH STOCK A | 0.00 | 13.07 | 0.00 | 13.07 | 95.0 | 12.42 |
| 01/01/2018 | CHESNEY TRUST, CHRISTINE | MFS MASS INVESTORS GROWTH STOCK A | 0.00 | 1.06 | 0.00 | 1.06 | 95.0 | 1.01 |
| 01/01/2018 | MELLERT, BETH | MFS MASS INVESTORS GROWTH STOCK C | 0.00 | 14.39 | 0.00 | 14.39 | 95.0 | 13.67 |
| 01/01/2018 | BLACKBURN, W ALLEN | MFS MASS INVESTORS GROWTH STOCK C | 0.00 | 6.43 | 0.00 | 6.43 | 95.0 | 6.11 |
| 01/01/2018 | RITTER, KYLE | MFS MASS INVESTORS TRUST A | 0.00 | 1.31 | 0.00 | 1.31 | 95.0 | 1.24 |
| 01/01/2018 | MELLERT, BETH | MFS MIDCAP GROWTH C | 0.00 | 9.90 | 0.00 | 9.90 | 95.0 | 9.41 |
| 01/01/2018 | BLACKBURN, W ALLEN | MFS MIDCAP GROWTH C | 0.00 | 4.35 | 0.00 | 4.35 | 95.0 | 4.13 |
| 01/01/2018 | KUSNERAK, SYLVIA | MFS MODERATE ALLOCATION A | 0.00 | 26.10 | 0.00 | 26.10 | 95.0 | 24.80 |
| 01/01/2018 | ENDRESS, ROBERT | MFS MUNICIPAL INCOME A | 0.00 | 13.34 | 0.00 | 13.34 | 95.0 | 12.67 |
| 01/01/2018 | WEIDRICK, RUSSELL | MFS NEW DISCOVERY C | 0.00 | 10.88 | 0.00 | 10.88 | 95.0 | 10.34 |
| 01/01/2018 | HOWARD, ANNE | MFS RESEARCH A | 0.00 | 12.09 | 0.00 | 12.09 | 95.0 | 11.49 |
| 01/01/2018 | LAI, DOROTHY | MFS RESEARCH A | 0.00 | 11.89 | 0.00 | 11.89 | 95.0 | 11.30 |
| 01/01/2018 | WRIGHT, JAMES | MFS RESEARCH A | 0.00 | 3.11 | 0.00 | 3.11 | 95.0 | 2.95 |
| 01/01/2018 | ZYREK, THOMAS | MFS RESEARCH A | 0.00 | 8.77 | 0.00 | 8.77 | 95.0 | 8.33 |
| 01/01/2018 | ENDRESS, ROBERT | MFS RESEARCH A | 0.00 | 53.65 | 0.00 | 53.65 | 95.0 | 50.97 |
| 01/01/2018 | RITTER, KYLE | MFS RESEARCH A | 0.00 | 0.67 | 0.00 | 0.67 | 95.0 | 0.64 |
| 01/01/2018 | MARVIN, SAMANTHA | MFS RESEARCH INTL A | 0.00 | 1.38 | 0.00 | 1.38 | 95.0 | 1.31 |
| 01/01/2018 | MELLERT, BETH | MFS RESEARCH INTL C | 0.00 | 15.22 | 0.00 | 15.22 | 95.0 | 14.46 |
| 01/01/2018 | BLACKBURN, W ALLEN | MFS RESEARCH INTL C | 0.00 | 7.27 | 0.00 | 7.27 | 95.0 | 6.91 |
| 01/01/2018 | MELLIS, STEVEN | MFS TOTAL RETURN A | 0.00 | 5.04 | 0.00 | 5.04 | 95.0 | 4.79 |
| 01/01/2018 | SARKISIAN, NORAY | MFS TOTAL RETURN A | 0.00 | 16.87 | 0.00 | 16.87 | 95.0 | 16.03 |
| 01/01/2018 | KING, VICTORIA | MFS TOTAL RETURN A | 0.00 | 51.58 | 0.00 | 51.58 | 95.0 | 49.00 |

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| DATE | CLIENT | INVESTMENT | INVESTMENT AMOUNT | GROSS COMMISSION | CLEARING CHARGE | NET COMMISSION | RATE | BROKER COMMISSION |
|--|----------------------|-------------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <u>DIRECT TRANSACTIONS</u> | | | | | | | | |
| <u>PRODUCT CATEGORY: VARIABLE ANNUITY 12B1 TRAILS</u> | | | | | | | | |
| 01/01/2018 | MELLIS, STEVEN | MFS VALUE A | 0.00 | 6.26 | 0.00 | 6.26 | 95.0 | 5.95 |
| * VARIABLE ANNUITY 12B1 TRAILS SUBTOTAL * | | | \$32,298.78 | \$439.46 | \$0.00 | \$439.46 | | \$417.51 |
| *** DIRECT TRANSACTIONS TOTAL *** | | | \$623,835.11 | \$28,084.70 | \$0.00 | \$28,084.70 | | \$26,680.76 |
| <u>SPLIT TRANSACTIONS</u> | | | | | | | | |
| <u>BROKER: MARK KOSANKE #3</u> | | | | | | | | |
| 01/02/2018 | STANDBERGH, JENNIFER | DAVIS NEW YORK VENTURE A | 0.00 | 7.74 | 0.00 | 7.74 | 95.0 | 7.35 |
| 01/16/2018 | KRAUSE, BARBARA | DWS SEUTSCHE MANAGED MUNICIPAL BOND | 0.00 | 94.02 | 0.00 | 94.02 | 95.0 | 89.32 |
| 01/28/2018 | STEFFES, MARTIN | JNL REWARD 10 YR TERM | 32.61 | 0.16 | 0.00 | 0.16 | 95.0 | 0.15 |
| 01/03/2018 | MOORE, LOUIS | TRANSAMERICA AA MODERATE C | 0.00 | 30.24 | 0.00 | 30.24 | 95.0 | 28.73 |
| 01/04/2018 | RIMKUS, MARILYN | WELLS FARGO ENTERPRISE A | 0.00 | 4.61 | 0.00 | 4.61 | 95.0 | 4.38 |
| 01/04/2018 | ALEXANDER, JEAN | WELLS FARGO STRATEGIC MUNI A | 0.00 | 0.91 | 0.00 | 0.91 | 95.0 | 0.86 |
| 01/04/2018 | EMMER, ILENE | WELLS FARGO TOTAL RETURN BOND A | 0.00 | 0.17 | 0.00 | 0.17 | 95.0 | 0.16 |
| 01/04/2018 | DANIELS, KATHLEEN | WELLS FARGO TOTAL RETURN BOND A | 0.00 | 3.04 | 0.00 | 3.04 | 95.0 | 2.89 |
| 01/04/2018 | SMOLBOSKI, BARBARA | WELLS FARGO TOTAL RETURN BOND A | 0.00 | 0.23 | 0.00 | 0.23 | 95.0 | 0.22 |
| * MARK KOSANKE SUBTOTAL * | | | \$32.61 | \$141.12 | \$0.00 | \$141.12 | | \$134.06 |
| <u>BROKER: J117-PETE/JOAN JOHNSON/FLAM #19</u> | | | | | | | | |
| 01/04/2018 | BACK, JULIE | ALGER LARGE CAP GROWTH A | 0.00 | 4.52 | 0.00 | 4.52 | 95.0 | 4.29 |
| 01/04/2018 | FEINBERG, MARK | ALGER LARGE CAP GROWTH A | 0.00 | 8.62 | 0.00 | 8.62 | 95.0 | 8.19 |
| 01/04/2018 | WILSON, EMILEE | ALGER LARGE CAP GROWTH A | 0.00 | 0.03 | 0.00 | 0.03 | 95.0 | 0.03 |
| 01/04/2018 | DRABCZYK, FRANK | ALGER LARGE CAP GROWTH A | 0.00 | 0.60 | 0.00 | 0.60 | 95.0 | 0.57 |
| 01/04/2018 | FEINBERG, MARK | ALGER LARGE CAP GROWTH B | 0.00 | 1.63 | 0.00 | 1.63 | 95.0 | 1.55 |
| 01/04/2018 | BACK, JULIE | ALGER MIDCAP GROWTH A | 0.00 | 1.99 | 0.00 | 1.99 | 95.0 | 1.89 |
| 01/04/2018 | BACK, JULIE | ALGER SMALLCAP GROWTH A | 0.00 | 1.87 | 0.00 | 1.87 | 95.0 | 1.78 |
| / / | HARNE, DEXTL | TOUCHSTONE GROWTH OPP A | 0.00 | 0.05 | 0.00 | 0.05 | 95.0 | 0.05 |
| 12/31/2017 | HARNE, DEXTL | TOUCHSTONE MID CAP GROWTH A | 0.00 | 0.07 | 0.00 | 0.07 | 95.0 | 0.07 |
| * J117-PETE/JOAN JOHNSON/FLAM SUBTOTAL * | | | \$0.00 | \$19.38 | \$0.00 | \$19.38 | | \$18.42 |
| <u>BROKER: GROUP FLAM/BUSSELL #32</u> | | | | | | | | |
| 12/31/2017 | M, OSIP | DELAWARE VALUE A | 0.00 | 1.36 | 0.00 | 1.36 | 95.0 | 1.29 |
| * GROUP FLAM/BUSSELL SUBTOTAL * | | | \$0.00 | \$1.36 | \$0.00 | \$1.36 | | \$1.29 |

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|--|-------------------------|-------------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <u>SPLIT TRANSACTIONS</u> | | | | | | | | |
| <u>BROKER: MEGHA GROUP #41</u> | | | | | | | | |
| 01/04/2018 | VARTANIAN, NICHOLAS | ALGER CAPITAL APPRECIATION A | 0.00 | 2.23 | 0.00 | 2.23 | 95.0 | 2.12 |
| 01/04/2018 | MEHLBERG, GREYSON | ALGER CAPITAL APPRECIATION A | 0.00 | 2.52 | 0.00 | 2.52 | 95.0 | 2.39 |
| 01/04/2018 | MATHEWS, DOUG | ALGER MIDCAP GROWTH A | 0.00 | 6.96 | 0.00 | 6.96 | 95.0 | 6.61 |
| * MEGHA GROUP SUBTOTAL * | | | \$0.00 | \$11.71 | \$0.00 | \$11.71 | | \$11.12 |
| <u>BROKER: PETER JOHNSON #63</u> | | | | | | | | |
| 12/31/2017 | ROSS, DAVID | DELAWARE HIGH YIELD OPP A | 0.00 | 26.64 | 0.00 | 26.64 | 95.0 | 25.31 |
| 12/31/2017 | KAPELN, J | DELAWARE TAX FREE USA A | 0.00 | 9.27 | 0.00 | 9.27 | 95.0 | 8.81 |
| 12/31/2017 | PAPPAS, JANE | DELAWARE VALUE A | 0.00 | 7.04 | 0.00 | 7.04 | 95.0 | 6.69 |
| 12/31/2017 | PAPPAS, LARRY | DELAWARE VALUE A | 0.00 | 35.77 | 0.00 | 35.77 | 95.0 | 33.98 |
| * PETER JOHNSON SUBTOTAL * | | | \$0.00 | \$78.72 | \$0.00 | \$78.72 | | \$74.79 |
| *** SPLIT TRANSACTIONS TOTAL *** | | | \$32.61 | \$252.29 | \$0.00 | \$252.29 | | \$239.68 |
| <u>OVERRIDE TRANSACTIONS</u> | | | | | | | | |
| <u>BROKER: FRANK DUNN #7</u> | | | | | | | | |
| 01/04/2018 | HOOGENBOOM, ROBERT | COTTONWOOD RESIDENTIAL 2016 PREFR'D | 100,000.00 | 7,000.00 | 0.00 | 7,000.00 | 90.0 | 350.00 |
| 12/31/2017 | LABANCA, SOL | GRIFFIN AMERICAN HEALTHCARE REIT IV | 100,000.00 | 252.05 | 0.00 | 252.05 | 90.0 | 12.60 |
| 12/31/2017 | BRENT, MARY | GRIFFIN AMERICAN HEALTHCARE REIT IV | 50,000.00 | 126.03 | 0.00 | 126.03 | 90.0 | 6.30 |
| 12/31/2017 | SCARLATO, MARY | GRIFFIN AMERICAN HEALTHCARE REIT IV | 50,000.00 | 126.03 | 0.00 | 126.03 | 90.0 | 6.30 |
| 12/31/2017 | HOOGENBOOM, ROBERT | GRIFFIN AMERICAN HEALTHCARE REIT IV | 3,260.87 | 8.22 | 0.00 | 8.22 | 90.0 | 0.41 |
| 12/31/2017 | WETHINGTON JR, ROBERT | GRIFFIN CAPITAL ESSENTIAL ASSET II | 99,805.92 | 251.57 | 0.00 | 251.57 | 90.0 | 12.58 |
| 12/31/2017 | REIFMAN FAMILY TRUST | GRIFFIN CAPITAL ESSENTIAL ASSET II | 76,042.61 | 191.67 | 0.00 | 191.67 | 90.0 | 9.58 |
| 12/31/2017 | WETHINGTON, JUDITH | GRIFFIN CAPITAL ESSENTIAL ASSET II | 33,268.64 | 83.86 | 0.00 | 83.86 | 90.0 | 4.19 |
| 01/04/2018 | HOOGENBOOM, ROBERT | HPI FUND V | 100,000.00 | 6,000.00 | 0.00 | 6,000.00 | 90.0 | 300.00 |
| 01/25/2018 | HOOGENBOOM, ROBERT | SEALEY STRATEGIC EQUITY PARTNERS LP | 100,000.00 | 7,000.00 | 0.00 | 7,000.00 | 90.0 | 350.00 |
| * FRANK DUNN SUBTOTAL * | | | \$712,378.04 | \$21,039.43 | \$0.00 | \$21,039.43 | | \$1,051.96 |
| <u>BROKER: THOMAS SCHNEIDER #30</u> | | | | | | | | |
| / / | D&D TRAILER HAULING INC | PROFUNDS ULTRA SMALLCAP SVC | 0.00 | 0.02 | 0.00 | 0.02 | 0.0 | 0.02 |
| / / | GREENE, DAVID | PROFUNDS ULTRA SMALLCAP SVC | 0.00 | 0.02 | 0.00 | 0.02 | 0.0 | 0.02 |
| / / | D&D TRAILER HAULING INC | PROFUNDS ULTRA SMALLCAP SVC | 0.00 | 0.05 | 0.00 | 0.05 | 0.0 | 0.05 |
| / / | GREENE, DAVID | PROFUNDS ULTRA SMALLCAP SVC | 0.00 | 0.05 | 0.00 | 0.05 | 0.0 | 0.05 |
| 01/02/2018 | O'CONNOR, TIMOTHY | PUTNAM EQUITY INCOME A | 0.00 | 0.33 | 0.00 | 0.33 | 0.0 | 0.31 |

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|--|-------------------|-------------------------------|----------------------|---------------------|--------------------|--------------------|------|----------------------|
| <u> OVERRIDE TRANSACTIONS </u> | | | | | | | | |
| <u>BROKER: THOMAS SCHNEIDER #30</u> | | | | | | | | |
| 01/02/2018 | O'CONNOR, TIMOTHY | PUTNAM EQUITY INCOME B | 0.00 | 1.36 | 0.00 | 1.36 | 0.0 | 1.29 |
| 01/02/2018 | O'CONNOR, TIMOTHY | PUTNAM INTERNATIONAL GROWTH-A | 0.00 | 3.15 | 0.00 | 3.15 | 0.0 | 2.99 |
| 01/02/2018 | O'CONNOR, TIMOTHY | PUTNAM MULTI CAP GROWTH A | 0.00 | 3.42 | 0.00 | 3.42 | 0.0 | 3.25 |
| 01/02/2018 | O'CONNOR, TIMOTHY | PUTNAM MULTI CAP GROWTH A | 0.00 | 2.93 | 0.00 | 2.93 | 0.0 | 2.78 |
| 01/02/2018 | O'CONNOR, TIMOTHY | PUTNAM MULTI-CAP GROWTH B | 0.00 | 1.53 | 0.00 | 1.53 | 0.0 | 1.45 |
| * THOMAS SCHNEIDER SUBTOTAL * | | | \$0.00 | \$12.86 | \$0.00 | \$12.86 | | \$12.21 |
| *** OVERRIDE TRANSACTIONS TOTAL *** | | | \$712,378.04 | \$21,052.29 | \$0.00 | \$21,052.29 | | \$1,064.17 |

BROKER COMMISSION TOTALS

| | |
|-----------------------|-------------|
| Broker Transactions | \$26,680.76 |
| Split Transactions | \$239.68 |
| Override Transactions | \$1,064.17 |
| Adjustments | \$0.00 |
| Payroll Draw | \$0.00 |
| Base Salary | \$0.00 |
| Prior Period Balance | \$0.00 |
| FINRA Assessment | \$0.00 |
| SIPC Assessment | \$0.00 |

| | |
|-----------------------|-------------|
| Check Amount | \$27,984.61 |
| Year-to-date Gross | \$46,808.14 |
| Year-to-date Earnings | \$49,726.24 |

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