

**COMMISSION STATEMENT****February 28, 2018**

R122-RICHARD/MARK RODRIGUEZ/HUBER
 2340 S. Arlington Heights Rd.
 Suite 440
 Arlington Heights, IL 60005

BROKER #: R122
BRANCH: TADA WEALTH ADVISORS

DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
02/07/2018	ARCIUCH, ARTUR	MFS EMERGING MARKETS EQUITY A	1,100.00	19.25	0.00	19.25	0.0	0.00
02/07/2018	ARCIUCH, ARTUR	MFS EMERGING MARKETS EQUITY A	240.00	4.20	0.00	4.20	0.0	0.00
* MUTUAL FUNDS SUBTOTAL *			\$1,340.00	\$23.45	\$0.00	\$23.45		\$0.00
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
02/26/2016	WOLF, XANDER	ALGER SPECTRA A	0.00	0.74	0.00	0.74	0.0	0.00
02/26/2016	WOLF, AADRA	ALGER SPECTRA A	0.00	0.74	0.00	0.74	0.0	0.00
03/11/2016	WOLF, XANDER	ALGER SPECTRA A	0.00	0.66	0.00	0.66	0.0	0.00
03/11/2016	WOLF, AADRA	ALGER SPECTRA A	0.00	0.66	0.00	0.66	0.0	0.00
04/22/2016	WOLF, XANDER	ALGER SPECTRA A	0.00	0.75	0.00	0.75	0.0	0.00
04/22/2016	WOLF, AADRA	ALGER SPECTRA A	0.00	0.75	0.00	0.75	0.0	0.00
05/23/2016	WOLF, XANDER	ALGER SPECTRA A	0.00	0.74	0.00	0.74	0.0	0.00
05/23/2016	WOLF, AADRA	ALGER SPECTRA A	0.00	0.74	0.00	0.74	0.0	0.00
06/22/2016	WOLF, XANDER	ALGER SPECTRA A	0.00	0.76	0.00	0.76	0.0	0.00
06/22/2016	WOLF, AADRA	ALGER SPECTRA A	0.00	0.76	0.00	0.76	0.0	0.00
07/28/2016	WOLF, XANDER	ALGER SPECTRA A	0.00	0.74	0.00	0.74	0.0	0.00
07/28/2016	WOLF, AADRA	ALGER SPECTRA A	0.00	0.74	0.00	0.74	0.0	0.00
08/22/2016	WOLF, XANDER	ALGER SPECTRA A	0.00	0.79	0.00	0.79	0.0	0.00
08/22/2016	WOLF, AADRA	ALGER SPECTRA A	0.00	0.79	0.00	0.79	0.0	0.00
09/23/2016	WOLF, XANDER	ALGER SPECTRA A	0.00	0.81	0.00	0.81	0.0	0.00
09/23/2016	WOLF, AADRA	ALGER SPECTRA A	0.00	0.81	0.00	0.81	0.0	0.00
10/31/2016	WOLF, XANDER	ALGER SPECTRA A	0.00	0.78	0.00	0.78	0.0	0.00
10/31/2016	WOLF, AADRA	ALGER SPECTRA A	0.00	0.78	0.00	0.78	0.0	0.00
11/30/2016	WOLF, XANDER	ALGER SPECTRA A	0.00	0.80	0.00	0.80	0.0	0.00
11/30/2016	WOLF, AADRA	ALGER SPECTRA A	0.00	0.80	0.00	0.80	0.0	0.00
12/30/2016	WOLF, XANDER	ALGER SPECTRA A	0.00	0.76	0.00	0.76	0.0	0.00
12/30/2016	WOLF, AADRA	ALGER SPECTRA A	0.00	0.76	0.00	0.76	0.0	0.00

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

DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
02/08/2016	WOLF, XANDER	ALLIANCEBERNSTEIN EQUITY INCOME A	0.00	0.81	0.00	0.81	0.0	0.00
02/08/2016	WOLF, AADRA	ALLIANCEBERNSTEIN EQUITY INCOME A	0.00	0.91	0.00	0.91	0.0	0.00
03/09/2016	WOLF, XANDER	ALLIANCEBERNSTEIN EQUITY INCOME A	0.00	0.76	0.00	0.76	0.0	0.00
03/09/2016	WOLF, AADRA	ALLIANCEBERNSTEIN EQUITY INCOME A	0.00	0.86	0.00	0.86	0.0	0.00
04/18/2016	WOLF, XANDER	ALLIANCEBERNSTEIN EQUITY INCOME A	0.00	0.86	0.00	0.86	0.0	0.00
04/18/2016	WOLF, AADRA	ALLIANCEBERNSTEIN EQUITY INCOME A	0.00	0.97	0.00	0.97	0.0	0.00
05/11/2016	WOLF, XANDER	ALLIANCEBERNSTEIN EQUITY INCOME A	0.00	0.85	0.00	0.85	0.0	0.00
05/11/2016	WOLF, AADRA	ALLIANCEBERNSTEIN EQUITY INCOME A	0.00	0.96	0.00	0.96	0.0	0.00
06/10/2016	WOLF, XANDER	ALLIANCEBERNSTEIN EQUITY INCOME A	0.00	0.88	0.00	0.88	0.0	0.00
06/10/2016	WOLF, AADRA	ALLIANCEBERNSTEIN EQUITY INCOME A	0.00	0.99	0.00	0.99	0.0	0.00
07/18/2016	WOLF, XANDER	ALLIANCEBERNSTEIN EQUITY INCOME A	0.00	0.86	0.00	0.86	0.0	0.00
07/18/2016	WOLF, AADRA	ALLIANCEBERNSTEIN EQUITY INCOME A	0.00	0.97	0.00	0.97	0.0	0.00
08/08/2016	WOLF, XANDER	ALLIANCEBERNSTEIN EQUITY INCOME A	0.00	0.92	0.00	0.92	0.0	0.00
08/08/2016	WOLF, AADRA	ALLIANCEBERNSTEIN EQUITY INCOME A	0.00	1.03	0.00	1.03	0.0	0.00
09/12/2016	WOLF, XANDER	ALLIANCEBERNSTEIN EQUITY INCOME A	0.00	0.92	0.00	0.92	0.0	0.00
09/12/2016	WOLF, AADRA	ALLIANCEBERNSTEIN EQUITY INCOME A	0.00	1.04	0.00	1.04	0.0	0.00
10/20/2016	WOLF, XANDER	ALLIANCEBERNSTEIN EQUITY INCOME A	0.00	0.89	0.00	0.89	0.0	0.00
10/20/2016	WOLF, AADRA	ALLIANCEBERNSTEIN EQUITY INCOME A	0.00	1.00	0.00	1.00	0.0	0.00
11/11/2016	WOLF, XANDER	ALLIANCEBERNSTEIN EQUITY INCOME A	0.00	0.91	0.00	0.91	0.0	0.00
11/11/2016	WOLF, AADRA	ALLIANCEBERNSTEIN EQUITY INCOME A	0.00	1.02	0.00	1.02	0.0	0.00
12/12/2016	WOLF, XANDER	ALLIANCEBERNSTEIN EQUITY INCOME A	0.00	0.89	0.00	0.89	0.0	0.00
12/12/2016	WOLF, AADRA	ALLIANCEBERNSTEIN EQUITY INCOME A	0.00	1.00	0.00	1.00	0.0	0.00
02/16/2016	BATIO, JESSICA	AM FUNDS AMERICAN BALANCED A	0.00	0.42	0.00	0.42	0.0	0.00
03/15/2016	BATIO, JESSICA	AM FUNDS AMERICAN BALANCED A	0.00	0.40	0.00	0.40	0.0	0.00
04/20/2016	BATIO, JESSICA	AM FUNDS AMERICAN BALANCED A	0.00	0.44	0.00	0.44	0.0	0.00
05/16/2016	BATIO, JESSICA	AM FUNDS AMERICAN BALANCED A	0.00	0.44	0.00	0.44	0.0	0.00
06/15/2016	BATIO, JESSICA	AM FUNDS AMERICAN BALANCED A	0.00	0.45	0.00	0.45	0.0	0.00
07/18/2016	BATIO, JESSICA	AM FUNDS AMERICAN BALANCED A	0.00	0.44	0.00	0.44	0.0	0.00
08/15/2016	BATIO, JESSICA	AM FUNDS AMERICAN BALANCED A	0.00	0.47	0.00	0.47	0.0	0.00
09/16/2016	BATIO, JESSICA	AM FUNDS AMERICAN BALANCED A	0.00	0.35	0.00	0.35	0.0	0.00
02/16/2016	TRIPP, ABBY	AM FUNDS CAPITAL INCOME BUILDER A	0.00	1.75	0.00	1.75	0.0	0.00
02/16/2016	BATIO, JESSICA	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.35	0.00	0.35	0.0	0.00
03/15/2016	TRIPP, ABBY	AM FUNDS CAPITAL INCOME BUILDER A	0.00	1.65	0.00	1.65	0.0	0.00

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<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
03/15/2016	BATIO, JESSICA	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.33	0.00	0.33	0.0	0.00
04/20/2016	TRIPP, ABBY	AM FUNDS CAPITAL INCOME BUILDER A	0.00	1.85	0.00	1.85	0.0	0.00
04/20/2016	BATIO, JESSICA	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.37	0.00	0.37	0.0	0.00
05/16/2016	TRIPP, ABBY	AM FUNDS CAPITAL INCOME BUILDER A	0.00	1.83	0.00	1.83	0.0	0.00
05/16/2016	BATIO, JESSICA	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.36	0.00	0.36	0.0	0.00
06/15/2016	TRIPP, ABBY	AM FUNDS CAPITAL INCOME BUILDER A	0.00	1.89	0.00	1.89	0.0	0.00
06/15/2016	BATIO, JESSICA	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.37	0.00	0.37	0.0	0.00
07/18/2016	TRIPP, ABBY	AM FUNDS CAPITAL INCOME BUILDER A	0.00	1.84	0.00	1.84	0.0	0.00
07/18/2016	BATIO, JESSICA	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.37	0.00	0.37	0.0	0.00
08/15/2016	TRIPP, ABBY	AM FUNDS CAPITAL INCOME BUILDER A	0.00	1.96	0.00	1.96	0.0	0.00
08/15/2016	BATIO, JESSICA	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.39	0.00	0.39	0.0	0.00
09/16/2016	TRIPP, ABBY	AM FUNDS CAPITAL INCOME BUILDER A	0.00	1.97	0.00	1.97	0.0	0.00
09/16/2016	BATIO, JESSICA	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.39	0.00	0.39	0.0	0.00
10/17/2016	TRIPP, ABBY	AM FUNDS CAPITAL INCOME BUILDER A	0.00	1.89	0.00	1.89	0.0	0.00
10/17/2016	BATIO, JESSICA	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.38	0.00	0.38	0.0	0.00
11/18/2016	TRIPP, ABBY	AM FUNDS CAPITAL INCOME BUILDER A	0.00	1.93	0.00	1.93	0.0	0.00
11/18/2016	BATIO, JESSICA	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.38	0.00	0.38	0.0	0.00
12/15/2016	TRIPP, ABBY	AM FUNDS CAPITAL INCOME BUILDER A	0.00	1.83	0.00	1.83	0.0	0.00
12/15/2016	BATIO, JESSICA	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.36	0.00	0.36	0.0	0.00
02/16/2016	TRIPP, ABBY	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	2.22	0.00	2.22	0.0	0.00
02/16/2016	BATIO, JESSICA	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	0.45	0.00	0.45	0.0	0.00
03/15/2016	TRIPP, ABBY	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	2.04	0.00	2.04	0.0	0.00
03/15/2016	BATIO, JESSICA	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	0.42	0.00	0.42	0.0	0.00
04/20/2016	TRIPP, ABBY	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	2.33	0.00	2.33	0.0	0.00
04/20/2016	BATIO, JESSICA	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	0.48	0.00	0.48	0.0	0.00
05/16/2016	TRIPP, ABBY	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	2.32	0.00	2.32	0.0	0.00
05/16/2016	BATIO, JESSICA	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	0.47	0.00	0.47	0.0	0.00
06/15/2016	TRIPP, ABBY	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	2.41	0.00	2.41	0.0	0.00
06/15/2016	BATIO, JESSICA	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	0.49	0.00	0.49	0.0	0.00
07/18/2016	TRIPP, ABBY	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	2.36	0.00	2.36	0.0	0.00
07/18/2016	BATIO, JESSICA	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	0.48	0.00	0.48	0.0	0.00
08/15/2016	TRIPP, ABBY	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	2.50	0.00	2.50	0.0	0.00
08/15/2016	BATIO, JESSICA	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	0.51	0.00	0.51	0.0	0.00

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<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
09/16/2016	TRIPP, ABBY	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	2.54	0.00	2.54	0.0	0.00
09/16/2016	BATIO, JESSICA	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	0.49	0.00	0.49	0.0	0.00
10/17/2016	TRIPP, ABBY	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	2.44	0.00	2.44	0.0	0.00
10/17/2016	BATIO, JESSICA	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	0.40	0.00	0.40	0.0	0.00
11/18/2016	TRIPP, ABBY	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	2.54	0.00	2.54	0.0	0.00
11/18/2016	BATIO, JESSICA	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	0.41	0.00	0.41	0.0	0.00
12/15/2016	TRIPP, ABBY	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	2.49	0.00	2.49	0.0	0.00
12/15/2016	BATIO, JESSICA	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	0.40	0.00	0.40	0.0	0.00
02/16/2016	TRIPP, ABBY	AM FUNDS ICA A	0.00	2.14	0.00	2.14	0.0	0.00
02/16/2016	BATIO, JESSICA	AM FUNDS ICA A	0.00	0.43	0.00	0.43	0.0	0.00
03/15/2016	TRIPP, ABBY	AM FUNDS ICA A	0.00	2.00	0.00	2.00	0.0	0.00
03/15/2016	BATIO, JESSICA	AM FUNDS ICA A	0.00	0.40	0.00	0.40	0.0	0.00
04/20/2016	TRIPP, ABBY	AM FUNDS ICA A	0.00	2.28	0.00	2.28	0.0	0.00
04/20/2016	BATIO, JESSICA	AM FUNDS ICA A	0.00	0.46	0.00	0.46	0.0	0.00
05/16/2016	TRIPP, ABBY	AM FUNDS ICA A	0.00	2.28	0.00	2.28	0.0	0.00
05/16/2016	BATIO, JESSICA	AM FUNDS ICA A	0.00	0.46	0.00	0.46	0.0	0.00
06/15/2016	TRIPP, ABBY	AM FUNDS ICA A	0.00	2.35	0.00	2.35	0.0	0.00
06/15/2016	BATIO, JESSICA	AM FUNDS ICA A	0.00	0.47	0.00	0.47	0.0	0.00
07/18/2016	TRIPP, ABBY	AM FUNDS ICA A	0.00	2.31	0.00	2.31	0.0	0.00
07/18/2016	BATIO, JESSICA	AM FUNDS ICA A	0.00	0.47	0.00	0.47	0.0	0.00
08/15/2016	TRIPP, ABBY	AM FUNDS ICA A	0.00	2.46	0.00	2.46	0.0	0.00
08/15/2016	BATIO, JESSICA	AM FUNDS ICA A	0.00	0.50	0.00	0.50	0.0	0.00
09/16/2016	TRIPP, ABBY	AM FUNDS ICA A	0.00	2.50	0.00	2.50	0.0	0.00
09/16/2016	BATIO, JESSICA	AM FUNDS ICA A	0.00	0.37	0.00	0.37	0.0	0.00
10/17/2016	TRIPP, ABBY	AM FUNDS ICA A	0.00	2.40	0.00	2.40	0.0	0.00
11/18/2016	TRIPP, ABBY	AM FUNDS ICA A	0.00	2.48	0.00	2.48	0.0	0.00
12/15/2016	TRIPP, ABBY	AM FUNDS ICA A	0.00	2.42	0.00	2.42	0.0	0.00
02/16/2016	BATIO, JESSICA	AM FUNDS INCOME FUND OF AMERICA A	0.00	0.39	0.00	0.39	0.0	0.00
03/15/2016	BATIO, JESSICA	AM FUNDS INCOME FUND OF AMERICA A	0.00	0.37	0.00	0.37	0.0	0.00
04/20/2016	BATIO, JESSICA	AM FUNDS INCOME FUND OF AMERICA A	0.00	0.41	0.00	0.41	0.0	0.00
05/16/2016	BATIO, JESSICA	AM FUNDS INCOME FUND OF AMERICA A	0.00	0.41	0.00	0.41	0.0	0.00
06/15/2016	BATIO, JESSICA	AM FUNDS INCOME FUND OF AMERICA A	0.00	0.42	0.00	0.42	0.0	0.00
07/18/2016	BATIO, JESSICA	AM FUNDS INCOME FUND OF AMERICA A	0.00	0.42	0.00	0.42	0.0	0.00

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<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
08/15/2016	BATIO, JESSICA	AM FUNDS INCOME FUND OF AMERICA A	0.00	0.44	0.00	0.44	0.0	0.00
09/16/2016	BATIO, JESSICA	AM FUNDS INCOME FUND OF AMERICA A	0.00	0.42	0.00	0.42	0.0	0.00
10/17/2016	BATIO, JESSICA	AM FUNDS INCOME FUND OF AMERICA A	0.00	0.33	0.00	0.33	0.0	0.00
11/18/2016	BATIO, JESSICA	AM FUNDS INCOME FUND OF AMERICA A	0.00	0.34	0.00	0.34	0.0	0.00
12/15/2016	BATIO, JESSICA	AM FUNDS INCOME FUND OF AMERICA A	0.00	0.32	0.00	0.32	0.0	0.00
02/22/2016	WOLF, XANDER	AMERICAN CENTURY REAL ESTATE FUND C	0.00	0.46	0.00	0.46	0.0	0.00
02/22/2016	WOLF, AADRA	AMERICAN CENTURY REAL ESTATE FUND C	0.00	0.46	0.00	0.46	0.0	0.00
03/16/2016	WOLF, XANDER	AMERICAN CENTURY REAL ESTATE FUND C	0.00	0.41	0.00	0.41	0.0	0.00
03/16/2016	WOLF, AADRA	AMERICAN CENTURY REAL ESTATE FUND C	0.00	0.41	0.00	0.41	0.0	0.00
04/21/2016	WOLF, XANDER	AMERICAN CENTURY REAL ESTATE FUND C	0.00	0.48	0.00	0.48	0.0	0.00
04/21/2016	WOLF, AADRA	AMERICAN CENTURY REAL ESTATE FUND C	0.00	0.48	0.00	0.48	0.0	0.00
05/24/2016	WOLF, XANDER	AMERICAN CENTURY REAL ESTATE FUND C	0.00	0.47	0.00	0.47	0.0	0.00
05/24/2016	WOLF, AADRA	AMERICAN CENTURY REAL ESTATE FUND C	0.00	0.47	0.00	0.47	0.0	0.00
06/10/2016	WOLF, XANDER	AMERICAN CENTURY REAL ESTATE FUND C	0.00	0.49	0.00	0.49	0.0	0.00
06/10/2016	WOLF, AADRA	AMERICAN CENTURY REAL ESTATE FUND C	0.00	0.49	0.00	0.49	0.0	0.00
07/14/2016	WOLF, XANDER	AMERICAN CENTURY REAL ESTATE FUND C	0.00	0.49	0.00	0.49	0.0	0.00
07/14/2016	WOLF, AADRA	AMERICAN CENTURY REAL ESTATE FUND C	0.00	0.49	0.00	0.49	0.0	0.00
08/19/2016	WOLF, XANDER	AMERICAN CENTURY REAL ESTATE FUND C	0.00	0.54	0.00	0.54	0.0	0.00
08/19/2016	WOLF, AADRA	AMERICAN CENTURY REAL ESTATE FUND C	0.00	0.54	0.00	0.54	0.0	0.00
09/19/2016	WOLF, XANDER	AMERICAN CENTURY REAL ESTATE FUND C	0.00	0.53	0.00	0.53	0.0	0.00
09/19/2016	WOLF, AADRA	AMERICAN CENTURY REAL ESTATE FUND C	0.00	0.53	0.00	0.53	0.0	0.00
10/20/2016	WOLF, XANDER	AMERICAN CENTURY REAL ESTATE FUND C	0.00	0.50	0.00	0.50	0.0	0.00
10/20/2016	WOLF, AADRA	AMERICAN CENTURY REAL ESTATE FUND C	0.00	0.50	0.00	0.50	0.0	0.00
11/18/2016	WOLF, XANDER	AMERICAN CENTURY REAL ESTATE FUND C	0.00	0.50	0.00	0.50	0.0	0.00
11/18/2016	WOLF, AADRA	AMERICAN CENTURY REAL ESTATE FUND C	0.00	0.50	0.00	0.50	0.0	0.00
12/19/2016	WOLF, XANDER	AMERICAN CENTURY REAL ESTATE FUND C	0.00	0.46	0.00	0.46	0.0	0.00
12/19/2016	WOLF, AADRA	AMERICAN CENTURY REAL ESTATE FUND C	0.00	0.46	0.00	0.46	0.0	0.00
02/26/2016	WOLF, XANDER	BLACKROCK LARGE CAP GROWTH FUND CLA	0.00	0.87	0.00	0.87	0.0	0.00
02/26/2016	WOLF, AADRA	BLACKROCK LARGE CAP GROWTH FUND CLA	0.00	0.98	0.00	0.98	0.0	0.00
03/23/2016	WOLF, XANDER	BLACKROCK LARGE CAP GROWTH FUND CLA	0.00	0.79	0.00	0.79	0.0	0.00
03/23/2016	WOLF, AADRA	BLACKROCK LARGE CAP GROWTH FUND CLA	0.00	0.89	0.00	0.89	0.0	0.00
04/27/2016	WOLF, XANDER	BLACKROCK LARGE CAP GROWTH FUND CLA	0.00	0.90	0.00	0.90	0.0	0.00
04/27/2016	WOLF, AADRA	BLACKROCK LARGE CAP GROWTH FUND CLA	0.00	1.02	0.00	1.02	0.0	0.00

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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: MUTUAL FUND 12B1 TRAILS</u>								
05/31/2016	WOLF, XANDER	BLACKROCK LARGE CAP GROWTH FUND CLA	0.00	0.89	0.00	0.89	0.0	0.00
05/31/2016	WOLF, AADRA	BLACKROCK LARGE CAP GROWTH FUND CLA	0.00	1.01	0.00	1.01	0.0	0.00
06/27/2016	WOLF, XANDER	BLACKROCK LARGE CAP GROWTH FUND CLA	0.00	0.91	0.00	0.91	0.0	0.00
06/27/2016	WOLF, AADRA	BLACKROCK LARGE CAP GROWTH FUND CLA	0.00	1.02	0.00	1.02	0.0	0.00
07/29/2016	WOLF, XANDER	BLACKROCK LARGE CAP GROWTH FUND CLA	0.00	0.88	0.00	0.88	0.0	0.00
07/29/2016	WOLF, AADRA	BLACKROCK LARGE CAP GROWTH FUND CLA	0.00	0.99	0.00	0.99	0.0	0.00
08/30/2016	WOLF, XANDER	BLACKROCK LARGE CAP GROWTH FUND CLA	0.00	0.94	0.00	0.94	0.0	0.00
08/30/2016	WOLF, AADRA	BLACKROCK LARGE CAP GROWTH FUND CLA	0.00	1.06	0.00	1.06	0.0	0.00
09/29/2016	WOLF, XANDER	BLACKROCK LARGE CAP GROWTH FUND CLA	0.00	0.96	0.00	0.96	0.0	0.00
09/29/2016	WOLF, AADRA	BLACKROCK LARGE CAP GROWTH FUND CLA	0.00	1.08	0.00	1.08	0.0	0.00
10/27/2016	WOLF, XANDER	BLACKROCK LARGE CAP GROWTH FUND CLA	0.00	0.92	0.00	0.92	0.0	0.00
10/27/2016	WOLF, AADRA	BLACKROCK LARGE CAP GROWTH FUND CLA	0.00	1.04	0.00	1.04	0.0	0.00
11/28/2016	WOLF, XANDER	BLACKROCK LARGE CAP GROWTH FUND CLA	0.00	0.95	0.00	0.95	0.0	0.00
11/28/2016	WOLF, AADRA	BLACKROCK LARGE CAP GROWTH FUND CLA	0.00	1.07	0.00	1.07	0.0	0.00
12/21/2016	WOLF, XANDER	BLACKROCK LARGE CAP GROWTH FUND CLA	0.00	0.93	0.00	0.93	0.0	0.00
12/21/2016	WOLF, AADRA	BLACKROCK LARGE CAP GROWTH FUND CLA	0.00	1.04	0.00	1.04	0.0	0.00
02/26/2016	WOLF, XANDER	BLK HEALTH SCIENCES A	0.00	0.75	0.00	0.75	0.0	0.00
02/26/2016	WOLF, AADRA	BLK HEALTH SCIENCES A	0.00	0.75	0.00	0.75	0.0	0.00
03/23/2016	WOLF, XANDER	BLK HEALTH SCIENCES A	0.00	0.66	0.00	0.66	0.0	0.00
03/23/2016	WOLF, AADRA	BLK HEALTH SCIENCES A	0.00	0.66	0.00	0.66	0.0	0.00
04/27/2016	WOLF, XANDER	BLK HEALTH SCIENCES A	0.00	0.72	0.00	0.72	0.0	0.00
04/27/2016	WOLF, AADRA	BLK HEALTH SCIENCES A	0.00	0.72	0.00	0.72	0.0	0.00
05/31/2016	WOLF, XANDER	BLK HEALTH SCIENCES A	0.00	0.73	0.00	0.73	0.0	0.00
05/31/2016	WOLF, AADRA	BLK HEALTH SCIENCES A	0.00	0.73	0.00	0.73	0.0	0.00
06/27/2016	WOLF, XANDER	BLK HEALTH SCIENCES A	0.00	0.76	0.00	0.76	0.0	0.00
06/27/2016	WOLF, AADRA	BLK HEALTH SCIENCES A	0.00	0.76	0.00	0.76	0.0	0.00
07/29/2016	WOLF, XANDER	BLK HEALTH SCIENCES A	0.00	0.75	0.00	0.75	0.0	0.00
07/29/2016	WOLF, AADRA	BLK HEALTH SCIENCES A	0.00	0.75	0.00	0.75	0.0	0.00
08/30/2016	WOLF, XANDER	BLK HEALTH SCIENCES A	0.00	0.80	0.00	0.80	0.0	0.00
08/30/2016	WOLF, AADRA	BLK HEALTH SCIENCES A	0.00	0.80	0.00	0.80	0.0	0.00
09/29/2016	WOLF, XANDER	BLK HEALTH SCIENCES A	0.00	0.81	0.00	0.81	0.0	0.00
09/29/2016	WOLF, AADRA	BLK HEALTH SCIENCES A	0.00	0.81	0.00	0.81	0.0	0.00
10/27/2016	WOLF, XANDER	BLK HEALTH SCIENCES A	0.00	0.78	0.00	0.78	0.0	0.00

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<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
10/27/2016	WOLF, AADRA	BLK HEALTH SCIENCES A	0.00	0.78	0.00	0.78	0.0	0.00
11/28/2016	WOLF, XANDER	BLK HEALTH SCIENCES A	0.00	0.78	0.00	0.78	0.0	0.00
11/28/2016	WOLF, AADRA	BLK HEALTH SCIENCES A	0.00	0.78	0.00	0.78	0.0	0.00
12/21/2016	WOLF, XANDER	BLK HEALTH SCIENCES A	0.00	0.74	0.00	0.74	0.0	0.00
12/21/2016	WOLF, AADRA	BLK HEALTH SCIENCES A	0.00	0.74	0.00	0.74	0.0	0.00
02/08/2016	PALIS, NANCY	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	62.97	0.00	62.97	0.0	0.00
02/08/2016	FERN, SARAH	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	4.79	0.00	4.79	0.0	0.00
02/08/2016	UKRAINIAN CHURCH, ST ANDREWS	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	14.47	0.00	14.47	0.0	0.00
02/08/2016	UKRAINIAN CHURCH, ST ANDREWS	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	20.87	0.00	20.87	0.0	0.00
02/08/2016	TRIPP, MAXX	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	5.39	0.00	5.39	0.0	0.00
02/08/2016	TRIPP, MAXX	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	9.17	0.00	9.17	0.0	0.00
02/08/2016	TRIPP, ABBY	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	10.26	0.00	10.26	0.0	0.00
02/08/2016	TRIPP, ABBY	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	3.88	0.00	3.88	0.0	0.00
02/08/2016	BATIO, KAREN	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	3.26	0.00	3.26	0.0	0.00
02/08/2016	WOLF, XANDER	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	3.58	0.00	3.58	0.0	0.00
02/08/2016	WOLF, AADRA	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	3.58	0.00	3.58	0.0	0.00
03/18/2016	PALIS, NANCY	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	67.08	0.00	67.08	0.0	0.00
03/18/2016	FERN, SARAH	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	5.11	0.00	5.11	0.0	0.00
03/18/2016	UKRAINIAN CHURCH, ST ANDREWS	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	15.42	0.00	15.42	0.0	0.00
03/18/2016	UKRAINIAN CHURCH, ST ANDREWS	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	22.24	0.00	22.24	0.0	0.00
03/18/2016	TRIPP, MAXX	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	5.74	0.00	5.74	0.0	0.00
03/18/2016	TRIPP, MAXX	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	9.77	0.00	9.77	0.0	0.00
03/18/2016	TRIPP, ABBY	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	10.93	0.00	10.93	0.0	0.00
03/18/2016	TRIPP, ABBY	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	4.14	0.00	4.14	0.0	0.00
03/18/2016	BATIO, KAREN	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	3.47	0.00	3.47	0.0	0.00
03/18/2016	WOLF, XANDER	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	3.81	0.00	3.81	0.0	0.00
03/18/2016	WOLF, AADRA	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	3.81	0.00	3.81	0.0	0.00
04/14/2016	PALIS, NANCY	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	67.60	0.00	67.60	0.0	0.00
04/14/2016	FERN, SARAH	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	5.15	0.00	5.15	0.0	0.00
04/14/2016	UKRAINIAN CHURCH, ST ANDREWS	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	15.54	0.00	15.54	0.0	0.00
04/14/2016	UKRAINIAN CHURCH, ST ANDREWS	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	22.41	0.00	22.41	0.0	0.00
04/14/2016	TRIPP, MAXX	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	5.79	0.00	5.79	0.0	0.00
04/14/2016	TRIPP, MAXX	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	9.84	0.00	9.84	0.0	0.00

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<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
04/14/2016	TRIPP, ABBY	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	11.01	0.00	11.01	0.0	0.00
04/14/2016	TRIPP, ABBY	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	4.17	0.00	4.17	0.0	0.00
04/14/2016	BATIO, KAREN	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	3.50	0.00	3.50	0.0	0.00
04/14/2016	WOLF, XANDER	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	3.84	0.00	3.84	0.0	0.00
04/14/2016	WOLF, AADRA	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	3.84	0.00	3.84	0.0	0.00
05/19/2016	PALIS, NANCY	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	63.62	0.00	63.62	0.0	0.00
05/19/2016	FERN, SARAH	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	4.84	0.00	4.84	0.0	0.00
05/19/2016	UKRAINIAN CHURCH, ST ANDREWS	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	14.62	0.00	14.62	0.0	0.00
05/19/2016	UKRAINIAN CHURCH, ST ANDREWS	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	21.09	0.00	21.09	0.0	0.00
05/19/2016	TRIPP, MAXX	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	5.44	0.00	5.44	0.0	0.00
05/19/2016	TRIPP, MAXX	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	9.26	0.00	9.26	0.0	0.00
05/19/2016	TRIPP, ABBY	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	10.36	0.00	10.36	0.0	0.00
05/19/2016	TRIPP, ABBY	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	3.92	0.00	3.92	0.0	0.00
05/19/2016	BATIO, KAREN	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	3.29	0.00	3.29	0.0	0.00
05/19/2016	WOLF, XANDER	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	3.61	0.00	3.61	0.0	0.00
05/19/2016	WOLF, AADRA	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	3.61	0.00	3.61	0.0	0.00
06/23/2016	PALIS, NANCY	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	70.71	0.00	70.71	0.0	0.00
06/23/2016	FERN, SARAH	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	5.38	0.00	5.38	0.0	0.00
06/23/2016	UKRAINIAN CHURCH, ST ANDREWS	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	16.25	0.00	16.25	0.0	0.00
06/23/2016	UKRAINIAN CHURCH, ST ANDREWS	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	23.44	0.00	23.44	0.0	0.00
06/23/2016	TRIPP, MAXX	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	6.05	0.00	6.05	0.0	0.00
06/23/2016	TRIPP, MAXX	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	10.29	0.00	10.29	0.0	0.00
06/23/2016	TRIPP, ABBY	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	11.52	0.00	11.52	0.0	0.00
06/23/2016	TRIPP, ABBY	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	4.36	0.00	4.36	0.0	0.00
06/23/2016	BATIO, KAREN	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	3.66	0.00	3.66	0.0	0.00
06/23/2016	WOLF, XANDER	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	4.02	0.00	4.02	0.0	0.00
06/23/2016	WOLF, AADRA	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	4.02	0.00	4.02	0.0	0.00
07/11/2016	PALIS, NANCY	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	66.66	0.00	66.66	0.0	0.00
07/11/2016	FERN, SARAH	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	5.07	0.00	5.07	0.0	0.00
07/11/2016	UKRAINIAN CHURCH, ST ANDREWS	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	15.32	0.00	15.32	0.0	0.00
07/11/2016	UKRAINIAN CHURCH, ST ANDREWS	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	22.10	0.00	22.10	0.0	0.00
07/11/2016	TRIPP, MAXX	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	5.71	0.00	5.71	0.0	0.00
07/11/2016	TRIPP, MAXX	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	9.71	0.00	9.71	0.0	0.00

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<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
07/11/2016	TRIPP, ABBY	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	10.86	0.00	10.86	0.0	0.00
07/11/2016	TRIPP, ABBY	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	4.11	0.00	4.11	0.0	0.00
07/11/2016	BATIO, KAREN	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	3.45	0.00	3.45	0.0	0.00
07/11/2016	WOLF, XANDER	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	3.79	0.00	3.79	0.0	0.00
07/11/2016	WOLF, AADRA	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	3.79	0.00	3.79	0.0	0.00
08/15/2016	PALIS, NANCY	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	69.48	0.00	69.48	0.0	0.00
08/15/2016	FERN, SARAH	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	5.29	0.00	5.29	0.0	0.00
08/15/2016	UKRAINIAN CHURCH, ST ANDREWS	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	15.97	0.00	15.97	0.0	0.00
08/15/2016	UKRAINIAN CHURCH, ST ANDREWS	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	23.03	0.00	23.03	0.0	0.00
08/15/2016	TRIPP, MAXX	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	5.95	0.00	5.95	0.0	0.00
08/15/2016	TRIPP, MAXX	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	10.12	0.00	10.12	0.0	0.00
08/15/2016	TRIPP, ABBY	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	11.32	0.00	11.32	0.0	0.00
08/15/2016	TRIPP, ABBY	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	4.29	0.00	4.29	0.0	0.00
08/15/2016	BATIO, KAREN	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	3.60	0.00	3.60	0.0	0.00
08/15/2016	WOLF, XANDER	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	3.95	0.00	3.95	0.0	0.00
08/15/2016	WOLF, AADRA	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	3.95	0.00	3.95	0.0	0.00
09/12/2016	PALIS, NANCY	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	69.64	0.00	69.64	0.0	0.00
09/12/2016	FERN, SARAH	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	5.30	0.00	5.30	0.0	0.00
09/12/2016	UKRAINIAN CHURCH, ST ANDREWS	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	16.01	0.00	16.01	0.0	0.00
09/12/2016	UKRAINIAN CHURCH, ST ANDREWS	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	23.08	0.00	23.08	0.0	0.00
09/12/2016	TRIPP, MAXX	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	5.96	0.00	5.96	0.0	0.00
09/12/2016	TRIPP, MAXX	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	10.14	0.00	10.14	0.0	0.00
09/12/2016	TRIPP, ABBY	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	11.35	0.00	11.35	0.0	0.00
09/12/2016	TRIPP, ABBY	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	4.30	0.00	4.30	0.0	0.00
09/12/2016	BATIO, KAREN	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	3.60	0.00	3.60	0.0	0.00
09/12/2016	WOLF, XANDER	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	3.96	0.00	3.96	0.0	0.00
09/12/2016	WOLF, AADRA	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	3.96	0.00	3.96	0.0	0.00
10/14/2016	PALIS, NANCY	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	67.49	0.00	67.49	0.0	0.00
10/14/2016	FERN, SARAH	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	5.14	0.00	5.14	0.0	0.00
10/14/2016	UKRAINIAN CHURCH, ST ANDREWS	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	15.51	0.00	15.51	0.0	0.00
10/14/2016	UKRAINIAN CHURCH, ST ANDREWS	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	22.37	0.00	22.37	0.0	0.00
10/14/2016	TRIPP, MAXX	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	5.78	0.00	5.78	0.0	0.00
10/14/2016	TRIPP, MAXX	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	9.83	0.00	9.83	0.0	0.00

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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: MUTUAL FUND 12B1 TRAILS</u>								
10/14/2016	TRIPP, ABBY	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	11.00	0.00	11.00	0.0	0.00
10/14/2016	TRIPP, ABBY	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	4.16	0.00	4.16	0.0	0.00
10/14/2016	BATIO, KAREN	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	3.49	0.00	3.49	0.0	0.00
10/14/2016	WOLF, XANDER	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	3.83	0.00	3.83	0.0	0.00
10/14/2016	WOLF, AADRA	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	3.83	0.00	3.83	0.0	0.00
11/17/2016	PALIS, NANCY	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	70.05	0.00	70.05	0.0	0.00
11/17/2016	FERN, SARAH	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	5.33	0.00	5.33	0.0	0.00
11/17/2016	UKRAINIAN CHURCH, ST ANDREWS	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	16.10	0.00	16.10	0.0	0.00
11/17/2016	UKRAINIAN CHURCH, ST ANDREWS	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	23.22	0.00	23.22	0.0	0.00
11/17/2016	TRIPP, MAXX	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	6.00	0.00	6.00	0.0	0.00
11/17/2016	TRIPP, MAXX	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	10.20	0.00	10.20	0.0	0.00
11/17/2016	TRIPP, ABBY	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	11.41	0.00	11.41	0.0	0.00
11/17/2016	TRIPP, ABBY	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	4.32	0.00	4.32	0.0	0.00
11/17/2016	BATIO, KAREN	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	3.62	0.00	3.62	0.0	0.00
11/17/2016	WOLF, XANDER	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	3.98	0.00	3.98	0.0	0.00
11/17/2016	WOLF, AADRA	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	3.98	0.00	3.98	0.0	0.00
12/12/2016	PALIS, NANCY	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	68.28	0.00	68.28	0.0	0.00
12/12/2016	FERN, SARAH	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	5.20	0.00	5.20	0.0	0.00
12/12/2016	UKRAINIAN CHURCH, ST ANDREWS	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	15.69	0.00	15.69	0.0	0.00
12/12/2016	UKRAINIAN CHURCH, ST ANDREWS	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	22.63	0.00	22.63	0.0	0.00
12/12/2016	TRIPP, MAXX	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	5.84	0.00	5.84	0.0	0.00
12/12/2016	TRIPP, MAXX	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	9.94	0.00	9.94	0.0	0.00
12/12/2016	TRIPP, ABBY	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	11.12	0.00	11.12	0.0	0.00
12/12/2016	TRIPP, ABBY	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	0.98	0.00	0.98	0.0	0.00
12/12/2016	BATIO, KAREN	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	3.53	0.00	3.53	0.0	0.00
12/12/2016	WOLF, XANDER	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	3.88	0.00	3.88	0.0	0.00
12/12/2016	WOLF, AADRA	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	3.88	0.00	3.88	0.0	0.00
04/22/2016	UDCHIK, DAVID	GRIFFIN INSTITUTIONAL ACCESS REAL E	0.00	7.39	0.00	7.39	0.0	0.00
08/01/2016	UDCHIK, DAVID	GRIFFIN INSTITUTIONAL ACCESS REAL E	0.00	7.58	0.00	7.58	0.0	0.00
10/17/2016	UDCHIK, DAVID	GRIFFIN INSTITUTIONAL ACCESS REAL E	0.00	7.82	0.00	7.82	0.0	0.00
04/15/2016	WOLF, XANDER	IVY SCIENCE AND TECHNOLOGY FUND A	0.00	1.26	0.00	1.26	0.0	0.00
04/15/2016	WOLF, AADRA	IVY SCIENCE AND TECHNOLOGY FUND A	0.00	1.26	0.00	1.26	0.0	0.00
07/13/2016	WOLF, XANDER	IVY SCIENCE AND TECHNOLOGY FUND A	0.00	1.31	0.00	1.31	0.0	0.00

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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: MUTUAL FUND 12B1 TRAILS</u>								
07/13/2016	WOLF, AADRA	IVY SCIENCE AND TECHNOLOGY FUND A	0.00	1.31	0.00	1.31	0.0	0.00
10/14/2016	WOLF, XANDER	IVY SCIENCE AND TECHNOLOGY FUND A	0.00	1.40	0.00	1.40	0.0	0.00
10/14/2016	WOLF, AADRA	IVY SCIENCE AND TECHNOLOGY FUND A	0.00	1.40	0.00	1.40	0.0	0.00
02/19/2016	VAUGHN, MEREDITH	JP MORGAN INVESTOR GROWTH FUND CLAS	0.00	2.27	0.00	2.27	0.0	0.00
02/19/2016	VAUGHN, MEREDITH	JP MORGAN INVESTOR GROWTH FUND CLAS	0.00	9.05	0.00	9.05	0.0	0.00
03/17/2016	VAUGHN, MEREDITH	JP MORGAN INVESTOR GROWTH FUND CLAS	0.00	2.08	0.00	2.08	0.0	0.00
03/17/2016	VAUGHN, MEREDITH	JP MORGAN INVESTOR GROWTH FUND CLAS	0.00	8.27	0.00	8.27	0.0	0.00
04/25/2016	VAUGHN, MEREDITH	JP MORGAN INVESTOR GROWTH FUND CLAS	0.00	2.37	0.00	2.37	0.0	0.00
04/25/2016	VAUGHN, MEREDITH	JP MORGAN INVESTOR GROWTH FUND CLAS	0.00	9.42	0.00	9.42	0.0	0.00
05/16/2016	VAUGHN, MEREDITH	JP MORGAN INVESTOR GROWTH FUND CLAS	0.00	2.35	0.00	2.35	0.0	0.00
05/16/2016	VAUGHN, MEREDITH	JP MORGAN INVESTOR GROWTH FUND CLAS	0.00	9.36	0.00	9.36	0.0	0.00
06/20/2016	VAUGHN, MEREDITH	JP MORGAN INVESTOR GROWTH FUND CLAS	0.00	2.41	0.00	2.41	0.0	0.00
06/20/2016	VAUGHN, MEREDITH	JP MORGAN INVESTOR GROWTH FUND CLAS	0.00	9.60	0.00	9.60	0.0	0.00
07/25/2016	VAUGHN, MEREDITH	JP MORGAN INVESTOR GROWTH FUND CLAS	0.00	2.34	0.00	2.34	0.0	0.00
07/25/2016	VAUGHN, MEREDITH	JP MORGAN INVESTOR GROWTH FUND CLAS	0.00	9.33	0.00	9.33	0.0	0.00
08/15/2016	VAUGHN, MEREDITH	JP MORGAN INVESTOR GROWTH FUND CLAS	0.00	2.47	0.00	2.47	0.0	0.00
08/15/2016	VAUGHN, MEREDITH	JP MORGAN INVESTOR GROWTH FUND CLAS	0.00	9.85	0.00	9.85	0.0	0.00
09/15/2016	VAUGHN, MEREDITH	JP MORGAN INVESTOR GROWTH FUND CLAS	0.00	2.53	0.00	2.53	0.0	0.00
09/15/2016	VAUGHN, MEREDITH	JP MORGAN INVESTOR GROWTH FUND CLAS	0.00	10.06	0.00	10.06	0.0	0.00
10/14/2016	VAUGHN, MEREDITH	JP MORGAN INVESTOR GROWTH FUND CLAS	0.00	2.44	0.00	2.44	0.0	0.00
10/14/2016	VAUGHN, MEREDITH	JP MORGAN INVESTOR GROWTH FUND CLAS	0.00	9.72	0.00	9.72	0.0	0.00
11/21/2016	VAUGHN, MEREDITH	JP MORGAN INVESTOR GROWTH FUND CLAS	0.00	2.52	0.00	2.52	0.0	0.00
11/21/2016	VAUGHN, MEREDITH	JP MORGAN INVESTOR GROWTH FUND CLAS	0.00	10.03	0.00	10.03	0.0	0.00
12/16/2016	VAUGHN, MEREDITH	JP MORGAN INVESTOR GROWTH FUND CLAS	0.00	2.47	0.00	2.47	0.0	0.00
12/16/2016	VAUGHN, MEREDITH	JP MORGAN INVESTOR GROWTH FUND CLAS	0.00	9.82	0.00	9.82	0.0	0.00
02/08/2016	BRAUCHLA, KELLY	MFS LIFETIME 2030 FUND A	0.00	1.05	0.00	1.05	0.0	0.00
02/08/2016	BRAUCHLA, KELLY	MFS LIFETIME 2030 FUND A	0.00	1.07	0.00	1.07	0.0	0.00
03/14/2016	BRAUCHLA, KELLY	MFS LIFETIME 2030 FUND A	0.00	0.97	0.00	0.97	0.0	0.00
03/14/2016	BRAUCHLA, KELLY	MFS LIFETIME 2030 FUND A	0.00	0.99	0.00	0.99	0.0	0.00
04/15/2016	BRAUCHLA, KELLY	MFS LIFETIME 2030 FUND A	0.00	1.10	0.00	1.10	0.0	0.00
04/15/2016	BRAUCHLA, KELLY	MFS LIFETIME 2030 FUND A	0.00	1.12	0.00	1.12	0.0	0.00
05/17/2016	BRAUCHLA, KELLY	MFS LIFETIME 2030 FUND A	0.00	1.09	0.00	1.09	0.0	0.00
05/17/2016	BRAUCHLA, KELLY	MFS LIFETIME 2030 FUND A	0.00	1.11	0.00	1.11	0.0	0.00

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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: MUTUAL FUND 12B1 TRAILS</u>								
06/16/2016	BRAUCHLA, KELLY	MFS LIFETIME 2030 FUND A	0.00	1.13	0.00	1.13	0.0	0.00
06/16/2016	BRAUCHLA, KELLY	MFS LIFETIME 2030 FUND A	0.00	1.15	0.00	1.15	0.0	0.00
07/20/2016	BRAUCHLA, KELLY	MFS LIFETIME 2030 FUND A	0.00	1.11	0.00	1.11	0.0	0.00
07/20/2016	BRAUCHLA, KELLY	MFS LIFETIME 2030 FUND A	0.00	1.13	0.00	1.13	0.0	0.00
08/16/2016	BRAUCHLA, KELLY	MFS LIFETIME 2030 FUND A	0.00	1.17	0.00	1.17	0.0	0.00
08/16/2016	BRAUCHLA, KELLY	MFS LIFETIME 2030 FUND A	0.00	1.19	0.00	1.19	0.0	0.00
09/15/2016	BRAUCHLA, KELLY	MFS LIFETIME 2030 FUND A	0.00	1.19	0.00	1.19	0.0	0.00
09/15/2016	BRAUCHLA, KELLY	MFS LIFETIME 2030 FUND A	0.00	1.21	0.00	1.21	0.0	0.00
10/20/2016	BRAUCHLA, KELLY	MFS LIFETIME 2030 FUND A	0.00	1.15	0.00	1.15	0.0	0.00
10/20/2016	BRAUCHLA, KELLY	MFS LIFETIME 2030 FUND A	0.00	1.17	0.00	1.17	0.0	0.00
11/14/2016	BRAUCHLA, KELLY	MFS LIFETIME 2030 FUND A	0.00	1.18	0.00	1.18	0.0	0.00
11/14/2016	BRAUCHLA, KELLY	MFS LIFETIME 2030 FUND A	0.00	1.20	0.00	1.20	0.0	0.00
12/19/2016	BRAUCHLA, KELLY	MFS LIFETIME 2030 FUND A	0.00	1.13	0.00	1.13	0.0	0.00
12/19/2016	BRAUCHLA, KELLY	MFS LIFETIME 2030 FUND A	0.00	1.15	0.00	1.15	0.0	0.00
02/22/2016	PALIS, NANCY	PAC LIFE PORT OPTIMIZATION AGG	0.00	4.26	0.00	4.26	0.0	0.00
03/18/2016	PALIS, NANCY	PAC LIFE PORT OPTIMIZATION AGG	0.00	3.89	0.00	3.89	0.0	0.00
04/20/2016	PALIS, NANCY	PAC LIFE PORT OPTIMIZATION AGG	0.00	4.44	0.00	4.44	0.0	0.00
05/24/2016	PALIS, NANCY	PAC LIFE PORT OPTIMIZATION AGG	0.00	4.41	0.00	4.41	0.0	0.00
06/16/2016	PALIS, NANCY	PAC LIFE PORT OPTIMIZATION AGG	0.00	4.54	0.00	4.54	0.0	0.00
07/19/2016	PALIS, NANCY	PAC LIFE PORT OPTIMIZATION AGG	0.00	4.41	0.00	4.41	0.0	0.00
08/18/2016	PALIS, NANCY	PAC LIFE PORT OPTIMIZATION AGG	0.00	4.66	0.00	4.66	0.0	0.00
09/22/2016	PALIS, NANCY	PAC LIFE PORT OPTIMIZATION AGG	0.00	4.77	0.00	4.77	0.0	0.00
10/20/2016	PALIS, NANCY	PAC LIFE PORT OPTIMIZATION AGG	0.00	4.60	0.00	4.60	0.0	0.00
11/25/2016	PALIS, NANCY	PAC LIFE PORT OPTIMIZATION AGG	0.00	4.74	0.00	4.74	0.0	0.00
12/21/2016	PALIS, NANCY	PAC LIFE PORT OPTIMIZATION AGG	0.00	4.60	0.00	4.60	0.0	0.00
02/11/2016	WOLF, XANDER	RYDEX TRANSPORTATION FUND CLASS A	0.00	0.40	0.00	0.40	0.0	0.00
02/11/2016	WOLF, AADRA	RYDEX TRANSPORTATION FUND CLASS A	0.00	0.40	0.00	0.40	0.0	0.00
03/11/2016	WOLF, XANDER	RYDEX TRANSPORTATION FUND CLASS A	0.00	0.37	0.00	0.37	0.0	0.00
03/11/2016	WOLF, AADRA	RYDEX TRANSPORTATION FUND CLASS A	0.00	0.37	0.00	0.37	0.0	0.00
04/29/2016	WOLF, XANDER	RYDEX TRANSPORTATION FUND CLASS A	0.00	0.44	0.00	0.44	0.0	0.00
04/29/2016	WOLF, AADRA	RYDEX TRANSPORTATION FUND CLASS A	0.00	0.44	0.00	0.44	0.0	0.00
05/10/2016	WOLF, XANDER	RYDEX TRANSPORTATION FUND CLASS A	0.00	0.43	0.00	0.43	0.0	0.00
05/10/2016	WOLF, AADRA	RYDEX TRANSPORTATION FUND CLASS A	0.00	0.43	0.00	0.43	0.0	0.00

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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								
06/15/2016	WOLF, XANDER	RYDEX TRANSPORTATION FUND CLASS A	0.00	0.43	0.00	0.43	0.0	0.00
06/15/2016	WOLF, AADRA	RYDEX TRANSPORTATION FUND CLASS A	0.00	0.43	0.00	0.43	0.0	0.00
07/15/2016	WOLF, XANDER	RYDEX TRANSPORTATION FUND CLASS A	0.00	0.41	0.00	0.41	0.0	0.00
07/15/2016	WOLF, AADRA	RYDEX TRANSPORTATION FUND CLASS A	0.00	0.41	0.00	0.41	0.0	0.00
08/10/2016	WOLF, XANDER	RYDEX TRANSPORTATION FUND CLASS A	0.00	0.44	0.00	0.44	0.0	0.00
08/10/2016	WOLF, AADRA	RYDEX TRANSPORTATION FUND CLASS A	0.00	0.44	0.00	0.44	0.0	0.00
09/19/2016	WOLF, XANDER	RYDEX TRANSPORTATION FUND CLASS A	0.00	0.45	0.00	0.45	0.0	0.00
09/19/2016	WOLF, AADRA	RYDEX TRANSPORTATION FUND CLASS A	0.00	0.45	0.00	0.45	0.0	0.00
10/18/2016	WOLF, XANDER	RYDEX TRANSPORTATION FUND CLASS A	0.00	0.44	0.00	0.44	0.0	0.00
10/18/2016	WOLF, AADRA	RYDEX TRANSPORTATION FUND CLASS A	0.00	0.44	0.00	0.44	0.0	0.00
11/15/2016	WOLF, XANDER	RYDEX TRANSPORTATION FUND CLASS A	0.00	0.45	0.00	0.45	0.0	0.00
11/15/2016	WOLF, AADRA	RYDEX TRANSPORTATION FUND CLASS A	0.00	0.45	0.00	0.45	0.0	0.00
12/14/2016	WOLF, XANDER	RYDEX TRANSPORTATION FUND CLASS A	0.00	0.46	0.00	0.46	0.0	0.00
12/14/2016	WOLF, AADRA	RYDEX TRANSPORTATION FUND CLASS A	0.00	0.46	0.00	0.46	0.0	0.00
* MUTUAL FUND 12B1 TRAILS SUBTOTAL *			\$0.00	\$2,099.04	\$0.00	\$2,099.04		\$0.00
*** DIRECT TRANSACTIONS TOTAL ***			\$1,340.00	\$2,122.49	\$0.00	\$2,122.49		\$0.00

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BROKER COMMISSION TOTALS

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

Please Retain for Your Records
THERE WILL BE NO CHECK THIS PERIOD

Balance Forward	\$0.00
Year-to-date Gross	\$2,451.68
Year-to-date Earnings	\$0.00