

**COMMISSION STATEMENT****November 30, 2017**

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: INTERVAL FUNDS</u>								
11/06/2017	RANG, JAMES	BR TOTAL INC & REAL ESTATE FUND C	0.00	235.00	0.00	235.00	95.0	223.25
11/14/2017	ORTAGO, PAULA	BR TOTAL INC & REAL ESTATE FUND C	0.00	35.55	0.00	35.55	95.0	33.77
11/14/2017	MCKENZIE TRUST, ROBERT & DONNABR	TOTAL INC & REAL ESTATE FUND C	0.00	108.28	0.00	108.28	95.0	102.87
11/14/2017	MERRITT REVOCABLE TRUST, KATHYBR	TOTAL INC & REAL ESTATE FUND C	0.00	42.35	0.00	42.35	95.0	40.23
11/14/2017	KOPCZYK TRUST, LAWRENCE & PATRBR	TOTAL INC & REAL ESTATE FUND C	0.00	68.84	0.00	68.84	95.0	65.40
11/14/2017	MODRYCKI, MARGUERITE	BR TOTAL INC & REAL ESTATE FUND C	0.00	6.45	0.00	6.45	95.0	6.13
11/14/2017	MODRYCKI, DONALD	BR TOTAL INC & REAL ESTATE FUND C	0.00	7.85	0.00	7.85	95.0	7.46
11/14/2017	MODRYCKI TRUST, DONALD	BR TOTAL INC & REAL ESTATE FUND C	0.00	36.65	0.00	36.65	95.0	34.82
10/31/2017	CFGROUP, VARIOUS	GRIFFIN INST ACCESS CREDIT FD CL F	0.00	1,138.85	0.00	1,138.85	95.0	1,081.91
10/31/2017	ANDERSON TRUST, JUDITH	GRIFFIN INST ACCESS CREDIT FD CL F	0.00	161.29	0.00	161.29	95.0	153.23
10/31/2017	DEMAN, KENNETH	GRIFFIN INST ACCESS CREDIT FD CL F	0.00	44.35	0.00	44.35	95.0	42.13
10/31/2017	KEELER, DAVID	GRIFFIN INST ACCESS CREDIT FD CL F	0.00	21.99	0.00	21.99	95.0	20.89
10/31/2017	BUSZEK, PAUL	GRIFFIN INST ACCESS CREDIT FD CL F	0.00	21.76	0.00	21.76	95.0	20.67
10/31/2017	WETZEL, WILLIAM	GRIFFIN INST ACCESS CREDIT FD CL F	0.00	8.61	0.00	8.61	95.0	8.18
10/31/2017	ELLIOT, JAMES	GRIFFIN INST ACCESS CREDIT FD CL F	0.00	82.69	0.00	82.69	95.0	78.56
10/31/2017	ELLIOT, PATRICIA	GRIFFIN INST ACCESS CREDIT FD CL F	0.00	55.79	0.00	55.79	95.0	53.00
10/31/2017	JOUPPI, SHARON	GRIFFIN INST ACCESS CREDIT FD CL F	0.00	46.36	0.00	46.36	95.0	44.04
10/31/2017	JOUPPI, SHARON	GRIFFIN INST ACCESS CREDIT FD CL F	0.00	20.75	0.00	20.75	95.0	19.71
10/31/2017	FEWLESS, SCOTT	GRIFFIN INST ACCESS CREDIT FD CL F	0.00	12.95	0.00	12.95	95.0	12.30
10/31/2017	BARTOI, JOHN	GRIFFIN INST ACCESS CREDIT FD CL F	0.00	71.73	0.00	71.73	95.0	68.14
10/31/2017	MERRITT REVOCABLE TRUST, KATHY	GRIFFIN INST ACCESS CREDIT FD CL F	0.00	41.96	0.00	41.96	95.0	39.86
10/31/2017	KOPCZYK TRUST, LAWRENCE & PATR	GRIFFIN INST ACCESS CREDIT FD CL F	0.00	64.83	0.00	64.83	95.0	61.59
10/31/2017	THOMSON, DOUGLAS	GRIFFIN INST ACCESS CREDIT FD CL F	0.00	86.60	0.00	86.60	95.0	82.27
10/31/2017	MODRYCKI TRUST, MARGUERTIE	GRIFFIN INST ACCESS CREDIT FD CL F	0.00	65.67	0.00	65.67	95.0	62.39
10/31/2017	JACKSON, JOHN	GRIFFIN INST ACCESS CREDIT FD CL F	0.00	59.60	0.00	59.60	95.0	56.62
10/31/2017	AMMAN, KATHLEEN	GRIFFIN INST ACCESS CREDIT FD CL F	0.00	16.96	0.00	16.96	95.0	16.11

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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: INTERVAL FUNDS</u>								
10/31/2017	BAUMGART, ROY MARK	GRIFFIN INST ACCESS CREDIT FD CL F	0.00	25.53	0.00	25.53	95.0	24.25
10/31/2017	SMITH, MARTHA	GRIFFIN INST ACCESS CREDIT FD CL F	0.00	62.37	0.00	62.37	95.0	59.25
10/31/2017	SPEARY, LISA	GRIFFIN INST ACCESS CREDIT FD CL F	0.00	42.41	0.00	42.41	95.0	40.29
10/31/2017	VOGEL, KEITH	GRIFFIN INST ACCESS CREDIT FD CL F	0.00	99.11	0.00	99.11	95.0	94.15
10/31/2017	STRAITH LIV TRUST, JAMES	GRIFFIN INST ACCESS CREDIT FD CL F	0.00	42.15	0.00	42.15	95.0	40.04
10/31/2017	WILMAN, ANN ELAINE	GRIFFIN INST ACCESS CREDIT FD CL F	0.00	23.05	0.00	23.05	95.0	21.90
10/31/2017	GRUSH, ERNEST	GRIFFIN INST ACCESS CREDIT FD CL F	0.00	84.83	0.00	84.83	95.0	80.59
10/31/2017	ETHIER, WILLIAM	GRIFFIN INST ACCESS CREDIT FD CL F	0.00	39.03	0.00	39.03	95.0	37.08
10/31/2017	SMITH REV TRUST #2, CHARLES	GRIFFIN INST ACCESS CREDIT FD CL F	0.00	31.29	0.00	31.29	95.0	29.73
10/31/2017	MCKENZIE TRUST, ROBERT & DONNAGRIFFIN	INST ACCESS CREDIT FD CL F	0.00	100.12	0.00	100.12	95.0	95.11
10/31/2017	STAHL, CURTIS	GRIFFIN INST ACCESS CREDIT FD CL F	0.00	22.53	0.00	22.53	95.0	21.40
10/31/2017	BERNARDI TRUST, DONALD &	GRIFFIN INST ACCESS CREDIT FD CL F	0.00	41.76	0.00	41.76	95.0	39.67
10/31/2017	ORTAGO, PAULA	GRIFFIN INST ACCESS CREDIT FD CL F	0.00	35.48	0.00	35.48	95.0	33.71
10/31/2017	KOSANKE, CHARLES W	GRIFFIN INST ACCESS CREDIT FD CL F	0.00	21.41	0.00	21.41	95.0	20.34
10/31/2017	DINKA, JOHN	GRIFFIN INST ACCESS CREDIT FD CL F	0.00	95.59	0.00	95.59	95.0	90.81
10/31/2017	DINKA, CATHERINE	GRIFFIN INST ACCESS CREDIT FD CL F	0.00	89.83	0.00	89.83	95.0	85.34
10/31/2017	BELLINGE, GEORGE	GRIFFIN INST ACCESS CREDIT FD CL F	0.00	72.04	0.00	72.04	95.0	68.44
10/31/2017	KNIGHT TRUST, SHARON	GRIFFIN INST ACCESS CREDIT FD CL F	0.00	8.80	0.00	8.80	95.0	8.36
10/31/2017	EQUITY TRUST CO	GRIFFIN INST ACCESS CREDIT FD CL F	0.00	35.97	0.00	35.97	95.0	34.17
* INTERVAL FUNDS SUBTOTAL *			\$0.00	\$3,537.01	\$0.00	\$3,537.01		\$3,360.16
<u>PRODUCT CATEGORY: 529 PLANS</u>								
11/06/2017	BOWEN, ED	AM FUNDS CAPITAL WORLD GRTH & INC 5	50.00	2.13	0.00	2.13	95.0	2.02
11/06/2017	BOWEN, ED	AM FUNDS GROWTH FUND OF AMERICA 529	50.00	2.13	0.00	2.13	95.0	2.02
11/02/2017	NIZIO, MARGARET	BLK MOD 10-12 AGE BASED C	50.00	0.50	0.00	0.50	95.0	0.48
11/02/2017	NIZIO, EDMUND	BLK MOD 10-12 AGE BASED C	50.00	0.50	0.00	0.50	95.0	0.48
11/01/2017	KUCHAREK, PAUL	BLK MOD 13-16 AGE BASED A	50.00	1.88	0.00	1.88	95.0	1.79
* 529 PLANS SUBTOTAL *			\$250.00	\$7.14	\$0.00	\$7.14		\$6.79
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
11/08/2017	CERIMELE, NICHOLAS	AM FUNDS AMERICAN BALANCED A	60.00	2.55	0.00	2.55	95.0	2.42
11/17/2017	HOOTNER-JONES, ANN	AM FUNDS AMERICAN MUTUAL C	100.00	1.00	0.00	1.00	95.0	0.95
11/17/2017	HOOTNER-JONES, ANN	AM FUNDS AMERICAN MUTUAL C	100.00	1.00	0.00	1.00	95.0	0.95
11/17/2017	HOOTNER-JONES, ANN	AM FUNDS AMERICAN MUTUAL C	100.00	1.00	0.00	1.00	95.0	0.95

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<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
11/03/2017	SOBIESKI, JOYCE	AM FUNDS GROWTH FUND OF AMERICA C	37.50	0.38	0.00	0.38	95.0	0.36
11/15/2017	WONCH, ELIZABETH	AM FUNDS ICA A	200.00	10.00	0.00	10.00	95.0	9.50
11/10/2017	HAWK, CYNTHIA	AM FUNDS NEW PERSPECTIVE A	100.00	5.00	0.00	5.00	95.0	4.75
11/03/2017	SOBIESKI, JOYCE	AM FUNDS WASHINGTON MUTUAL INVESTOR	37.50	0.38	0.00	0.38	95.0	0.36
11/10/2017	IVEZAJ, GYSTE	AM FUNDS WASHINGTON MUTUAL INVESTOR	50.00	1.88	0.00	1.88	95.0	1.79
11/15/2017	KEMP, JEREMY	AM FUNDS WASHINGTON MUTUAL INVESTOR	50.00	2.13	0.00	2.13	95.0	2.02
11/15/2017	BEHNKE, DANIEL	AM FUNDS WASHINGTON MUTUAL INVESTOR	50.00	2.50	0.00	2.50	95.0	2.38
11/15/2017	BEHNKE, MARK	AM FUNDS WASHINGTON MUTUAL INVESTOR	100.00	5.00	0.00	5.00	95.0	4.75
/ /	KUCHAREK, PAUL	BLK MOD 17+ AGE BASED A	0.00	1.88	0.00	1.88	95.0	1.79
11/01/2017	PARTALIS, CHRISTINE	DAVIS NEW YORK VENTURE A	125.00	5.00	0.00	5.00	95.0	4.75
11/15/2017	ROBINETTE, JANET	DAVIS NEW YORK VENTURE A	50.00	2.00	0.00	2.00	95.0	1.90
11/15/2017	MORICI, MICHELLE	DAVIS NEW YORK VENTURE B	50.00	2.00	0.00	2.00	95.0	1.90
11/15/2017	GARLAND, DAWN	DAVIS NEW YORK VENTURE B	30.00	1.20	0.00	1.20	95.0	1.14
11/01/2017	HOFER, KATHLEEN	FEDERATED BOND A	0.00	1.67	0.00	1.67	95.0	1.59
11/01/2017	ELLIOT, PATRICIA	FEDERATED EQUITY INCOME A	0.00	11.02	0.00	11.02	95.0	10.47
11/01/2017	KING, VICTORIA	FEDERATED KAUFMANN FUND A	0.00	9.86	0.00	9.86	95.0	9.37
11/01/2017	ELLIOT, JAMES	FEDERATED KAUFMANN FUND-C	0.00	10.55	0.00	10.55	95.0	10.02
11/01/2017	ELLIOT, JAMES	FEDERATED KAUFMANN FUND-C	0.00	31.64	0.00	31.64	95.0	30.06
11/01/2017	FINCH, BEVERLY	FEDERATED SVCS CORP	0.00	0.33	0.00	0.33	95.0	0.31
11/01/2017	HEGEL, SUSAN	FEDERATED US GOV SEC A	0.00	2.46	0.00	2.46	95.0	2.34
11/09/2017	TYSZKIEWICZ, KURT	FRANKLIN GROWTH C	100.00	1.00	0.00	1.00	95.0	0.95
11/06/2017	BERGLUND, KRIS	INVESCO AMERICAN FRANCHISE A	50.00	2.50	0.00	2.50	95.0	2.38
11/13/2017	HICKS, MELISSA	OPPENHEIMER CAPITAL APPRECIATION C	37.50	0.38	0.00	0.38	95.0	0.36
11/13/2017	HICKS, MELISSA	OPPENHEIMER CAPITAL APPRECIATION C	37.50	0.38	0.00	0.38	95.0	0.36
11/13/2017	DINKA, JOHN	OPPENHEIMER CAPITAL APPRECIATION C	347.50	3.48	0.00	3.48	95.0	3.31
11/13/2017	DINKA, JOHN	OPPENHEIMER CAPITAL APPRECIATION C	150.00	1.50	0.00	1.50	95.0	1.43
11/13/2017	SCHULTZ, DEBRA	OPPENHEIMER CAPITAL APPRECIATION C	220.00	2.20	0.00	2.20	95.0	2.09
11/13/2017	SCHULTZ, DEBRA	OPPENHEIMER CAPITAL APPRECIATION C	69.09	0.69	0.00	0.69	95.0	0.66
11/13/2017	SCHULTZ, DEBRA	OPPENHEIMER DEVELOPING MARKETS C	110.00	1.10	0.00	1.10	95.0	1.05
11/13/2017	SCHULTZ, DEBRA	OPPENHEIMER DEVELOPING MARKETS C	34.55	0.35	0.00	0.35	95.0	0.33
11/13/2017	DINKA, CATHERINE	OPPENHEIMER GLOBAL OPPORTUNITIES C	136.88	1.37	0.00	1.37	95.0	1.30
11/13/2017	DINKA, CATHERINE	OPPENHEIMER GLOBAL OPPORTUNITIES C	37.50	0.38	0.00	0.38	95.0	0.36
11/13/2017	DINKA, JOHN	OPPENHEIMER GLOBAL OPPORTUNITIES C	173.75	1.74	0.00	1.74	95.0	1.65

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<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
11/13/2017	DINKA, JOHN	OPPENHEIMER GLOBAL OPPORTUNITIES C	75.00	0.75	0.00	0.75	95.0	0.71
11/13/2017	SCHULTZ, DEBRA	OPPENHEIMER GLOBAL OPPORTUNITIES C	220.00	2.20	0.00	2.20	95.0	2.09
11/13/2017	SCHULTZ, DEBRA	OPPENHEIMER GLOBAL OPPORTUNITIES C	69.09	0.69	0.00	0.69	95.0	0.66
11/13/2017	HICKS, MELISSA	OPPENHEIMER MAIN ST SELECT C	37.50	0.38	0.00	0.38	95.0	0.36
11/13/2017	HICKS, MELISSA	OPPENHEIMER MAIN ST SELECT C	37.50	0.38	0.00	0.38	95.0	0.36
11/13/2017	DINKA, CATHERINE	OPPENHEIMER MAIN ST SELECT C	410.63	4.11	0.00	4.11	95.0	3.90
11/13/2017	DINKA, CATHERINE	OPPENHEIMER MAIN ST SELECT C	112.50	1.13	0.00	1.13	95.0	1.07
11/13/2017	DINKA, CATHERINE	OPPENHEIMER MAIN ST SMALL & MID CAP	410.61	4.11	0.00	4.11	95.0	3.90
11/13/2017	DINKA, CATHERINE	OPPENHEIMER MAIN ST SMALL & MID CAP	112.50	1.13	0.00	1.13	95.0	1.07
11/13/2017	DINKA, CATHERINE	OPPENHEIMER MAIN STREET C	410.63	4.11	0.00	4.11	95.0	3.90
11/13/2017	DINKA, CATHERINE	OPPENHEIMER MAIN STREET C	112.50	1.13	0.00	1.13	95.0	1.07
11/15/2017	BARRY, MEGAN	OPPENHEIMER MAIN STREET C	50.00	0.50	0.00	0.50	95.0	0.48
11/13/2017	SMOLAREK, CHERYL	OPPENHEIMER PTF SERIES EQUITY INVES	225.00	2.25	0.00	2.25	95.0	2.14
11/13/2017	SMOLAREK, CHERYL	OPPENHEIMER PTF SERIES EQUITY INVES	225.00	2.25	0.00	2.25	95.0	2.14
11/13/2017	TERPSTRA, SANDRA	OPPENHEIMER QUEST OPP VALUE C	900.00	9.00	0.00	9.00	95.0	8.55
11/13/2017	TERPSTRA, SANDRA	OPPENHEIMER QUEST OPP VALUE C	130.32	1.30	0.00	1.30	95.0	1.24
11/13/2017	TORRICE, PAULA	OPPENHEIMER QUEST OPP VALUE C	25.00	0.25	0.00	0.25	95.0	0.24
11/13/2017	TORRICE, PAULA	OPPENHEIMER QUEST OPP VALUE C	25.00	0.25	0.00	0.25	95.0	0.24
11/13/2017	DEREY, DENISE	OPPENHEIMER SMALL MID CAP VALUE C	120.00	1.20	0.00	1.20	95.0	1.14
11/13/2017	DEREY, DENISE	OPPENHEIMER SMALL MID CAP VALUE C	120.00	1.20	0.00	1.20	95.0	1.14
11/13/2017	DINKA, JOHN	OPPENHEIMER VALUE C	347.50	3.48	0.00	3.48	95.0	3.31
11/13/2017	DINKA, JOHN	OPPENHEIMER VALUE C	150.00	1.50	0.00	1.50	95.0	1.43
11/06/2017	LOPICCOLO, CATHERINE	TRANSAMERICA AA GROWTH C	128.38	1.28	0.00	1.28	95.0	1.22
11/15/2017	TOBEY, TIMOTHY	TRANSAMERICA AA GROWTH C	100.00	1.00	0.00	1.00	95.0	0.95
11/15/2017	WEYCKER, ROBERT	TRANSAMERICA MULTI-MANAGED BAL C	300.00	3.00	0.00	3.00	95.0	2.85
11/16/2017	EICHENLAUB, TRACEY	TRANSAMERICA MULTI-MANAGED BAL C	450.00	4.50	0.00	4.50	95.0	4.28
* MUTUAL FUNDS SUBTOTAL *			\$8,048.93	\$182.58	\$0.00	\$182.58		\$173.49
<u>PRODUCT CATEGORY: VARIABLE ANNUITIES</u>								
10/04/2017	SCHROETER, RICHARD	TRANSAMERICA EXTRA	37,616.93	31.35	0.00	31.35	95.0	29.78
10/14/2017	GRUSH, ERNEST	TRANSAMERICA LANDMARK	150,425.90	125.35	0.00	125.35	95.0	119.08
10/30/2017	MADSEN, JOYCE	TRANSAMERICA LANDMARK	4,795.89	4.00	0.00	4.00	95.0	3.80
* VARIABLE ANNUITIES SUBTOTAL *			\$192,838.72	\$160.70	\$0.00	\$160.70		\$152.66

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<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: VARIABLE UNIVERSAL LIFE</u>								
11/06/2017	DINKA, JOHN	PAC LIFE VUL	0.00	50.00	0.00	50.00	95.0	47.50
		* VARIABLE UNIVERSAL LIFE SUBTOTAL *	\$0.00	\$50.00	\$0.00	\$50.00		\$47.50
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
10/31/2017	GALLAS, ANN	BLACKROCK 19452P473	0.00	3.66	0.00	3.66	95.0	3.48
10/31/2017	GALLAS, JAMES L & ANN M	BLACKROCK 19452P473	0.00	7.51	0.00	7.51	95.0	7.13
10/31/2017	BURKE, KIMBERLY	BLACKROCK FUND 19452P594	0.00	2.58	0.00	2.58	95.0	2.45
10/31/2017	BURKE, KIMBERLY	BLACKROCK FUND 19452P594	0.00	7.74	0.00	7.74	95.0	7.35
10/31/2017	BURKE, KIMBERLY	BLACKROCK FUND 19452P594	0.00	2.14	0.00	2.14	95.0	2.03
10/31/2017	BURKE, KIMBERLY	BLACKROCK FUND 19452P594	0.00	6.41	0.00	6.41	95.0	6.09
10/31/2017	BURKE, KIMBERLY	BLACKROCK FUND 19452P610	0.00	6.20	0.00	6.20	95.0	5.89
10/31/2017	BURKE, KIMBERLY	BLACKROCK FUND 19452P610	0.00	2.11	0.00	2.11	95.0	2.00
10/31/2017	BURKE, KIMBERLY	BLACKROCK FUND 19452P628	0.00	6.45	0.00	6.45	95.0	6.13
10/31/2017	BURKE, KIMBERLY	BLACKROCK FUND 19452P628	0.00	2.15	0.00	2.15	95.0	2.04
10/31/2017	BURKE, KIMBERLY	BLACKROCK FUND 19452P636	0.00	6.56	0.00	6.56	95.0	6.23
10/31/2017	BAKER, JEAN-ANNE	BLK AGG 10-12 AGE BASED A	0.00	1.86	0.00	1.86	95.0	1.77
10/31/2017	BAKER, JEAN-ANNE	BLK AGG 10-12 AGE BASED A	0.00	0.83	0.00	0.83	95.0	0.79
10/31/2017	MERRITT, GREGORY	BLK AGG 10-12 AGE BASED A	0.00	4.91	0.00	4.91	95.0	4.66
10/31/2017	YASCH, SANDY	BLK AGG 10-12 AGE BASED A	0.00	0.65	0.00	0.65	95.0	0.62
10/31/2017	YASCH, KEN	BLK AGG 13-16 AGE BASED A	0.00	0.62	0.00	0.62	95.0	0.59
10/31/2017	WILLIT	BLK AGG GROWTH A	0.00	2.12	0.00	2.12	95.0	2.01
10/31/2017	BAKER, JEAN-ANNE	BLK COLLEGE ADVANTAGE 529 PLAN	0.00	0.13	0.00	0.13	95.0	0.12
10/31/2017	BAKER, JEAN-ANNE	BLK COLLEGE ADVANTAGE 529 PLAN	0.00	0.04	0.00	0.04	95.0	0.04
10/31/2017	KING, DAVID	BLK EQUITY DIVIDEND C	0.00	0.17	0.00	0.17	95.0	0.16
10/31/2017	KING, DAVID	BLK EQUITY DIVIDEND C	0.00	0.52	0.00	0.52	95.0	0.49
10/31/2017	WETZEL, DIANNE	BLK MOD 0-5 AGE BASED C	0.00	2.86	0.00	2.86	95.0	2.72
10/31/2017	BUSZEK, RICHARD	BLK MOD 0-5 AGE BASED C	0.00	1.93	0.00	1.93	95.0	1.83
10/31/2017	BUSZEK, RICHARD	BLK MOD 0-5 AGE BASED C	0.00	0.64	0.00	0.64	95.0	0.61
10/31/2017	BAKER, JEAN-ANNE	BLK MOD 0-5 AGE BASED C	0.00	0.26	0.00	0.26	95.0	0.25
10/31/2017	BAKER, JEAN-ANNE	BLK MOD 0-5 AGE BASED C	0.00	0.09	0.00	0.09	95.0	0.09
10/31/2017	WETZEL, DIANNE	BLK MOD 0-5 AGE BASED C	0.00	2.63	0.00	2.63	95.0	2.50
10/31/2017	WETZEL, DIANNE	BLK MOD 0-5 AGE BASED C	0.00	0.88	0.00	0.88	95.0	0.84
10/31/2017	WETZEL, DIANNE	BLK MOD 0-5 AGE BASED C	0.00	0.95	0.00	0.95	95.0	0.90
10/31/2017	NIZIO, MARGARET	BLK MOD 10-12 AGE BASED C	0.00	7.83	0.00	7.83	95.0	7.44

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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>								
10/31/2017	NIZIO, EDMUND	BLK MOD 10-12 AGE BASED C	0.00	7.83	0.00	7.83	95.0	7.44
10/31/2017	NIZIO, EDMUND	BLK MOD 10-12 AGE BASED C	0.00	2.61	0.00	2.61	95.0	2.48
10/31/2017	MOELLER, RICHARD	BLK MOD 10-12 AGE BASED C	0.00	0.46	0.00	0.46	95.0	0.44
10/31/2017	MOELLER, RICHARD	BLK MOD 10-12 AGE BASED C	0.00	0.15	0.00	0.15	95.0	0.14
10/31/2017	NIZIO, MARGARET	BLK MOD 10-12 AGE BASED C	0.00	2.61	0.00	2.61	95.0	2.48
10/31/2017	NIK, YASCH	BLK MOD 13-16 AGE BASED A	0.00	0.57	0.00	0.57	95.0	0.54
10/31/2017	MERRITT, GREGORY	BLK MOD 13-16 AGE BASED A	0.00	2.16	0.00	2.16	95.0	2.05
10/31/2017	COOPER, LISA	BLK MOD 13-16 AGE BASED A	0.00	3.03	0.00	3.03	95.0	2.88
10/31/2017	COOPER, LISA	BLK MOD 13-16 AGE BASED A	0.00	3.39	0.00	3.39	95.0	3.22
10/31/2017	HOOTNER-JONES, ANN	BLK MOD 13-16 AGE BASED A	0.00	3.46	0.00	3.46	95.0	3.29
10/31/2017	HOOTNER-JONES, ANN	BLK MOD 13-16 AGE BASED A	0.00	5.23	0.00	5.23	95.0	4.97
10/31/2017	HOOTNER-JONES, ANN	BLK MOD 13-16 AGE BASED A	0.00	3.46	0.00	3.46	95.0	3.29
10/31/2017	KUCHAREK, PAUL	BLK MOD 13-16 AGE BASED A	0.00	2.46	0.00	2.46	95.0	2.34
10/31/2017	MOELLER, RICHARD	BLK MOD 13-16 AGE BASED C	0.00	0.59	0.00	0.59	95.0	0.56
10/31/2017	MOELLER, RICHARD	BLK MOD 13-16 AGE BASED C	0.00	0.20	0.00	0.20	95.0	0.19
10/31/2017	COOPER, LISA	BLK MOD 13-16 AGE BASED C	0.00	2.03	0.00	2.03	95.0	1.93
10/31/2017	TRYNAN, SHELLY	BLK MOD 13-16 AGE BASED C	0.00	1.50	0.00	1.50	95.0	1.43
10/31/2017	COOPER, LISA	BLK MOD 13-16 AGE BASED C	0.00	1.84	0.00	1.84	95.0	1.75
10/31/2017	COOPER, LISA	BLK MOD 13-16 AGE BASED C	0.00	0.61	0.00	0.61	95.0	0.58
10/31/2017	COOPER, LISA	BLK MOD 13-16 AGE BASED C	0.00	0.68	0.00	0.68	95.0	0.65
10/31/2017	TRYNAN, SHELLY	BLK MOD 13-16 AGE BASED C	0.00	0.50	0.00	0.50	95.0	0.48
10/31/2017	KUCHAREK, PAUL	BLK MOD 17+ AGE BASED A	0.00	4.39	0.00	4.39	95.0	4.17
10/31/2017	MUENCH, DANIEL	BLK MOD 17+ AGE BASED A	0.00	0.91	0.00	0.91	95.0	0.86
10/31/2017	MUENCH, DANIEL	BLK MOD 17+ AGE BASED A	0.00	2.45	0.00	2.45	95.0	2.33
10/31/2017	KUCHAREK, PAUL	BLK MOD 17+ AGE BASED A	0.00	2.27	0.00	2.27	95.0	2.16
10/31/2017	KUCHAREK, PAUL	BLK MOD 17+ AGE BASED A	0.00	4.01	0.00	4.01	95.0	3.81
10/31/2017	MERRITT, GREGORY	BLK MOD 17+ AGE BASED A	0.00	0.40	0.00	0.40	95.0	0.38
10/31/2017	TRYNAN, SHELLY	BLK MOD 17+ AGE BASED C	0.00	2.88	0.00	2.88	95.0	2.74
10/31/2017	TRYNAN, SHELLY	BLK MOD 17+ AGE BASED C	0.00	0.96	0.00	0.96	95.0	0.91
10/31/2017	MERRITT, GREGORY	BLK MOD 6-9 AGE BASED A	0.00	4.54	0.00	4.54	95.0	4.31
10/31/2017	CFGROUP, VARIOUS	BLK MOD 6-9 AGE BASED C	0.00	3.71	0.00	3.71	95.0	3.52
10/31/2017	CFGROUP, VARIOUS	BLK MOD 6-9 AGE BASED C	0.00	1.24	0.00	1.24	95.0	1.18
10/31/2017	COOPER, LISA	BLK MOD 6-9 AGE BASED C	0.00	2.33	0.00	2.33	95.0	2.21

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<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
10/31/2017	COOPER, LISA	BLK MOD 6-9 AGE BASED C	0.00	7.00	0.00	7.00	95.0	6.65
10/31/2017	BUSZEK, RICHARD	BLK MOD 6-9 AGE BASED C	0.00	3.42	0.00	3.42	95.0	3.25
10/31/2017	MOELLER, RICHARD	BLK MOD 6-9 AGE BASED C	0.00	0.13	0.00	0.13	95.0	0.12
10/31/2017	BUSZEK, RICHARD	BLK MOD 6-9 AGE BASED C	0.00	1.14	0.00	1.14	95.0	1.08
10/31/2017	BUSZEK, RICHARD	BLK MOD 6-9 AGE BASED C	0.00	1.14	0.00	1.14	95.0	1.08
10/31/2017	BUSZEK, RICHARD	BLK MOD 6-9 AGE BASED C	0.00	3.43	0.00	3.43	95.0	3.26
10/31/2017	MOELLER, RICHARD	BLK MOD 6-9 AGE BASED C	0.00	0.39	0.00	0.39	95.0	0.37
11/14/2017	LAI, MICHAEL	JH FINANCIAL INDUSTRIES A	0.00	1.26	0.00	1.26	95.0	1.20
11/14/2017	MALINAK, FRANCES	JH FINANCIAL INDUSTRIES A	0.00	7.58	0.00	7.58	95.0	7.20
11/14/2017	BOHACEK, STEVE	JH LARGE CAP EQUITY A	0.00	6.05	0.00	6.05	95.0	5.75
11/14/2017	RACK, ROBERT	JH LARGE CAP EQUITY A	0.00	6.06	0.00	6.06	95.0	5.76
11/14/2017	ENGLEBERT, JAMES	JH REGIONAL BANK A	0.00	5.06	0.00	5.06	95.0	4.81
11/14/2017	HELTSLEY, MARTHA	JH REGIONAL BANK A	0.00	1.96	0.00	1.96	95.0	1.86
11/14/2017	BOZELKA, KEVIN	JH REGIONAL BANK A	0.00	2.01	0.00	2.01	95.0	1.91
11/14/2017	JAHNKE, DENNIS	JH REGIONAL BANK A	0.00	4.74	0.00	4.74	95.0	4.50
11/14/2017	MIKLEVICH, MICHAEL	JH REGIONAL BANK A	0.00	7.07	0.00	7.07	95.0	6.72
11/14/2017	EIS (MINOR), MARGO	JH STRATEGIC GROWTH A	0.00	0.47	0.00	0.47	95.0	0.45
11/14/2017	MIKLEVICH, MICHAEL	JH STRATEGIC GROWTH A	0.00	0.53	0.00	0.53	95.0	0.50
11/14/2017	EIS (MINOR), AUSTIN	JH STRATEGIC GROWTH A	0.00	0.75	0.00	0.75	95.0	0.71
11/14/2017	EIS (MINOR), STEFANIE	JH STRATEGIC GROWTH A	0.00	0.75	0.00	0.75	95.0	0.71
11/14/2017	EIS, AUSTIN	JN DISCIPLINED VALUE INT'L A	0.00	1.72	0.00	1.72	95.0	1.63
11/14/2017	EIS, STEFANIE	JN DISCIPLINED VALUE INT'L A	0.00	1.72	0.00	1.72	95.0	1.63
11/03/2017	BUSSELL REV LV TRUST, SHARON	WELLS FARGO 100% TREASURY MMKT-A	0.00	7.39	0.00	7.39	95.0	7.02
11/03/2017	THOMAS, HENRY	WELLS FARGO INCOME PLUS A	0.00	3.37	0.00	3.37	95.0	3.20
11/03/2017	THOMAS, SYBIL	WELLS FARGO INCOME PLUS A	0.00	2.68	0.00	2.68	95.0	2.55
11/03/2017	TOTTEFF, JESSIE	WELLS FARGO INCOME PLUS A	0.00	3.43	0.00	3.43	95.0	3.26
11/03/2017	SPEAROT, ALAN	WELLS FARGO INCOME PLUS A	0.00	0.91	0.00	0.91	95.0	0.86
11/03/2017	SPEAROT, DOUGLAS	WELLS FARGO INCOME PLUS A	0.00	0.91	0.00	0.91	95.0	0.86
11/03/2017	DAMIANO, RUTH	WELLS FARGO INTL BOND A	0.00	6.64	0.00	6.64	95.0	6.31
11/03/2017	GUTMAN, KENNETH	WELLS FARGO INTL BOND A	0.00	2.16	0.00	2.16	95.0	2.05
11/03/2017	GUTMAN, MATHEW	WELLS FARGO INTL BOND A	0.00	2.16	0.00	2.16	95.0	2.05
11/03/2017	JAGGER, ALBERT	WELLS FARGO INTL BOND A	0.00	27.31	0.00	27.31	95.0	25.94
11/03/2017	BUSSELL REV LIV TRST, GEROGE &	WELLS FARGO MONEY MKT A	0.00	28.23	0.00	28.23	95.0	26.82

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<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
11/03/2017	STEBBINS, DAVID	WELLS FARGO OPP A	0.00	0.65	0.00	0.65	95.0	0.62
11/03/2017	BASILE, NINO	WELLS FARGO OPP A	0.00	0.96	0.00	0.96	95.0	0.91
11/03/2017	DUDLEY, CHERYL	WELLS FARGO OPP A	0.00	1.18	0.00	1.18	95.0	1.12
11/03/2017	BASILE, ANNA	WELLS FARGO OPP A	0.00	0.83	0.00	0.83	95.0	0.79
11/03/2017	CODDING, CRAIG	WELLS FARGO PREMIER LG COMP GRWTH A	0.00	3.48	0.00	3.48	95.0	3.31
11/03/2017	KISH, VIVIAN	WELLS FARGO STRATEGIC MUNI A	0.00	0.99	0.00	0.99	95.0	0.94
11/03/2017	ROEHRIG, RITA	WELLS FARGO STRATEGIC MUNI A	0.00	2.74	0.00	2.74	95.0	2.60
11/03/2017	JAGGER, ALBERT	WELLS FARGO STRATEGIC MUNI A	0.00	25.33	0.00	25.33	95.0	24.06
11/03/2017	PER, MARIANNE	WELLS FARGO STRATEGIC MUNI A	0.00	0.18	0.00	0.18	95.0	0.17
11/03/2017	TSEREGOUNIS, SPYROS	WELLS FARGO STRATEGIC MUNI A	0.00	5.30	0.00	5.30	95.0	5.04
11/03/2017	ALEXOPOULOS, PAUL	WELLS FARGO STRATEGIC MUNI A	0.00	5.81	0.00	5.81	95.0	5.52
11/03/2017	REBNER, WALDEMAR	WELLS FARGO STRATEGIC MUNI A	0.00	9.40	0.00	9.40	95.0	8.93
11/03/2017	SPEAROT, REBECCA	WELLS FARGO STRATEGIC MUNI A	0.00	1.68	0.00	1.68	95.0	1.60
11/03/2017	CLEMAK, CHARLES	WELLS FARGO STRATEGIC MUNI A	0.00	28.42	0.00	28.42	95.0	27.00
11/03/2017	MUGLIA, DOMINIC	WELLS FARGO STRATEGIC MUNI A	0.00	37.69	0.00	37.69	95.0	35.81
11/03/2017	MCLUCAS, ROBERT	WELLS FARGO STRATEGIC MUNI A	0.00	55.33	0.00	55.33	95.0	52.56
11/03/2017	KATEHI, PISTI	WELLS FARGO TOTAL RETURN BOND A	0.00	1.16	0.00	1.16	95.0	1.10
11/03/2017	TSEREGOUNIS, SPYROS	WELLS FARGO TOTAL RETURN BOND A	0.00	1.10	0.00	1.10	95.0	1.05
11/03/2017	SNYDER, SHIRLEY	WELLS FARGO TOTAL RETURN BOND A	0.00	0.60	0.00	0.60	95.0	0.57
11/03/2017	BAYS, MARVIN	WELLS FARGO UTILITY AND TELECOM A	0.00	11.69	0.00	11.69	95.0	11.11
* MUTUAL FUND 12B1 TRAILS SUBTOTAL *			\$0.00	\$502.98	\$0.00	\$502.98		\$477.84
*** DIRECT TRANSACTIONS TOTAL ***			\$201,137.65	\$4,440.41	\$0.00	\$4,440.41		\$4,218.44

SPLIT TRANSACTIONS**BROKER: MARK KOSANKE #3**

11/07/2017	MCCLAIN, DOROTHY	GENWORTH CHOICE 03 (UNBUN GUAR 1.5)	97,525.36	81.27	0.00	81.27	95.0	77.21
11/07/2017	EMBACH, KEVIN	GENWORTH CHOICE VA	79,420.36	66.18	0.00	66.18	95.0	62.87
11/07/2017	EMBACH, JAMES	GENWORTH CHOICE VA	79,420.37	66.18	0.00	66.18	95.0	62.87
11/07/2017	ZACK, MAUREEN	GENWORTH CHOICE VA	79,420.37	66.18	0.00	66.18	95.0	62.87
11/07/2017	HARTOUNIAN, HAGOB	GENWORTH CHOICE VA	11,557.05	9.63	0.00	9.63	95.0	9.15
11/07/2017	BYERS, SHARRON	GENWORTH COMMONWEALTH VA 1994 (NON-	107,917.07	17.99	0.00	17.99	95.0	17.09
11/28/2017	STEFFES, MARTIN	JNL REWARD 10 YR TERM	32.61	0.16	0.00	0.16	95.0	0.15

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<u>SPLIT TRANSACTIONS</u>								
<u>BROKER: MARK KOSANKE #3</u>								
11/03/2017	RIMKUS, MARILYN	WELLS FARGO ENTERPRISE A	0.00	4.48	0.00	4.48	95.0	4.26
11/03/2017	ALEXANDER, JEAN	WELLS FARGO STRATEGIC MUNI A	0.00	0.91	0.00	0.91	95.0	0.86
11/03/2017	EMMER, ILENE	WELLS FARGO TOTAL RETURN BOND A	0.00	0.18	0.00	0.18	95.0	0.17
11/03/2017	DANIELS, KATHLEEN	WELLS FARGO TOTAL RETURN BOND A	0.00	3.03	0.00	3.03	95.0	2.88
11/03/2017	SMOLBOSKI, BARBARA	WELLS FARGO TOTAL RETURN BOND A	0.00	0.23	0.00	0.23	95.0	0.22
* MARK KOSANKE SUBTOTAL *			\$455,293.19	\$316.42	\$0.00	\$316.42		\$300.60
*** SPLIT TRANSACTIONS TOTAL ***			\$455,293.19	\$316.42	\$0.00	\$316.42		\$300.60
<u>OVERRIDE TRANSACTIONS</u>								
<u>BROKER: FRANK DUNN #7</u>								
11/08/2017	LABANCA, FRANCISCO	COTTONWOOD RESIDENTIAL 2016 PREFR'D	95,000.00	6,650.00	0.00	6,650.00	90.0	332.50
10/31/2017	BRENT, MARY	GRIFFIN INST ACCESS CREDIT FD CL F	0.00	10.07	0.00	10.07	90.0	0.50
10/31/2017	SCARLATO, MARY	GRIFFIN INST ACCESS CREDIT FD CL F	0.00	10.09	0.00	10.09	90.0	0.50
* FRANK DUNN SUBTOTAL *			\$95,000.00	\$6,670.16	\$0.00	\$6,670.16		\$333.50
<u>BROKER: THOMAS SCHNEIDER #30</u>								
/ /	D&D TRAILER HAULING INC	PROFUNDS ULTRA SMALLCAP SVC	0.00	0.06	0.00	0.06	0.0	0.06
/ /	GREENE, DAVID	PROFUNDS ULTRA SMALLCAP SVC	0.00	0.06	0.00	0.06	0.0	0.06
/ /	D&D TRAILER HAULING INC	PROFUNDS ULTRA SMALLCAP SVC	0.00	0.17	0.00	0.17	0.0	0.16
/ /	GREENE, DAVID	PROFUNDS ULTRA SMALLCAP SVC	0.00	0.17	0.00	0.17	0.0	0.16
/ /	D&D TRAILER HAULING INC	PROFUNDS ULTRASHORT SMALLCAP SVC	0.00	0.01	0.00	0.01	0.0	0.01
/ /	GREENE, DAVID	PROFUNDS ULTRASHORT SMALLCAP SVC	0.00	0.01	0.00	0.01	0.0	0.01
/ /	D&D TRAILER HAULING INC	PROFUNDS ULTRASHORT SMALLCAP SVC	0.00	0.04	0.00	0.04	0.0	0.04
/ /	GREENE, DAVID	PROFUNDS ULTRASHORT SMALLCAP SVC	0.00	0.04	0.00	0.04	0.0	0.04
* THOMAS SCHNEIDER SUBTOTAL *			\$0.00	\$0.56	\$0.00	\$0.56		\$0.54
*** OVERRIDE TRANSACTIONS TOTAL ***			\$95,000.00	\$6,670.72	\$0.00	\$6,670.72		\$334.04

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BROKER COMMISSION TOTALS

Broker Transactions	\$4,218.44
Split Transactions	\$300.60
Override Transactions	\$334.04
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	\$4,853.08
Year-to-date Gross	\$399,641.60
Year-to-date Earnings	\$385,916.53