



Concorde Investment Services, LLC
COMMISSION STATEMENT
 January 31, 2017

01/27/2017
 Page No. 1

ACCOUNT HOUSE
 1120 E. LONG LAKE ROAD
 SUITE 207
 TROY, MI 48085-

BROKER #: G999
 BRANCH: FOXTROT SAMPLE

DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>BROKER TRANSACTIONS</u>								
<u>PRODUCT CATEGORY:</u>								
01/23/2017	LACHANCE, LINDA	CARTER VALIDUS MC REIT II CLASS T	1.00	0.00	0.00	0.00	0.0	0.00
		* SUBTOTAL *	\$1.00	\$0.00	\$0.00	\$0.00		\$0.00
<u>PRODUCT CATEGORY: NON-TRADED BDC</u>								
01/11/2017	CONN, NANCY	FS INVESTMENT CORP IV CLASS T	13,675.00	478.62	0.00	478.62	100.0	478.62
		* NON-TRADED BDC SUBTOTAL *	\$13,675.00	\$478.62	\$0.00	\$478.62		\$478.62
<u>PRODUCT CATEGORY: INTERVAL FUNDS</u>								
01/10/2017	CONCORDE, VARIOUS	GRIFFIN INST ACCESS R E FUND C	-30,019.71	0.00	0.00	0.00	100.0	0.00
01/10/2017	CONCORDE, VARIOUS	GRIFFIN INST ACCESS R E FUND C	29,719.51	0.00	0.00	0.00	100.0	0.00
01/11/2017	CONCORDE, VARIOUS	GRIFFIN INST ACCESS R E FUND C	99,007.09	0.00	0.00	0.00	100.0	0.00
01/11/2017	CONCORDE, VARIOUS	GRIFFIN INST ACCESS R E FUND C	-100,007.16	0.00	0.00	0.00	100.0	0.00
01/13/2017	CONCORDE, VARIOUS	GRIFFIN INST ACCESS R E FUND C	49,522.37	0.00	0.00	0.00	100.0	0.00
01/13/2017	CONCORDE, VARIOUS	GRIFFIN INST ACCESS R E FUND C	-50,022.60	0.00	0.00	0.00	100.0	0.00
01/17/2017	CONCORDE, VARIOUS	GRIFFIN INST ACCESS R E FUND C	49,500.00	0.00	0.00	0.00	100.0	0.00
01/17/2017	CONCORDE, VARIOUS	GRIFFIN INST ACCESS R E FUND C	-50,000.00	0.00	0.00	0.00	100.0	0.00
01/19/2017	CONCORDE, VARIOUS	GRIFFIN INST ACCESS R E FUND C	36,651.53	0.00	0.00	0.00	100.0	0.00
01/19/2017	CONCORDE, VARIOUS	GRIFFIN INST ACCESS R E FUND C	-37,996.70	0.00	0.00	0.00	100.0	0.00
01/19/2017	CONCORDE, VARIOUS	GRIFFIN INST ACCESS R E FUND C	-37,021.75	0.00	0.00	0.00	100.0	0.00
01/19/2017	CONCORDE, VARIOUS	GRIFFIN INST ACCESS R E FUND C	37,616.73	0.00	0.00	0.00	100.0	0.00
01/25/2017	CONCORDE, VARIOUS	GRIFFIN INST ACCESS R E FUND C	-15,004.53	0.00	0.00	0.00	100.0	0.00
01/25/2017	CONCORDE, VARIOUS	GRIFFIN INST ACCESS R E FUND C	14,854.48	0.00	0.00	0.00	100.0	0.00
12/31/2016	HERNDON, TIMOTHY	TOTAL INCOME & REAL ESTATE FUND A	0.00	1.05	0.00	1.05	100.0	1.05
12/31/2016	TWEED, VARIOUS	TOTAL INCOME & REAL ESTATE FUND A	0.00	20.59	0.00	20.59	100.0	20.59
		* INTERVAL FUNDS SUBTOTAL *	\$-3,200.74	\$21.64	\$0.00	\$21.64		\$21.64

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>BROKER TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: FIXED INDEX ANNUITIES</u>								
01/23/2017	SMITH, LANCEL	NORTH AMERICAN FIA	-5,123.80	-179.33	0.00	-179.33	100.0	-179.33
		* FIXED INDEX ANNUITIES SUBTOTAL *	\$-5,123.80	\$-179.33	\$0.00	\$-179.33		\$-179.33
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
01/17/2017	CONCORDE, VARIOUS	AM CENT EQUITY INCOME	-806.68	0.00	0.00	0.00	100.0	0.00
01/17/2017	CONCORDE, VARIOUS	AM CENT EQUITY INCOME	766.35	0.00	0.00	0.00	100.0	0.00
01/17/2017	LARA, DYLAN	AM FUNDS 2035 TARGET DATE-A	50.00	2.50	0.00	2.50	100.0	2.50
01/17/2017	LARA, DEREK	AM FUNDS 2035 TARGET DATE-A	50.00	2.50	0.00	2.50	100.0	2.50
01/12/2017	ESSARY, BRADLEY	AM FUNDS AMERICAN MUTUAL A	115.00	4.31	0.00	4.31	100.0	4.31
01/12/2017	ANSON, MOLLY	AM FUNDS AMERICAN MUTUAL A	54.00	2.03	0.00	2.03	100.0	2.03
01/13/2017	TORNOW, MARGARET	AM FUNDS AMERICAN MUTUAL A	150.00	1.80	0.00	1.80	100.0	1.80
01/13/2017	HOOTON, KELLY	AM FUNDS AMERICAN MUTUAL A	12.50	0.25	0.00	0.25	100.0	0.25
01/10/2017	BODO, DAVID	AM FUNDS CAPITAL INCOME BUILDER A	75.00	3.19	0.00	3.19	100.0	3.19
01/13/2017	SEMRAU, SHELLY	AM FUNDS CAPITAL INCOME BUILDER A	30.00	1.28	0.00	1.28	100.0	1.28
01/18/2017	CONCORDE, VARIOUS	AM FUNDS CAPITAL INCOME BUILDER A	308.75	0.00	0.00	0.00	100.0	0.00
01/18/2017	CONCORDE, VARIOUS	AM FUNDS CAPITAL INCOME BUILDER A	-325.00	0.00	0.00	0.00	100.0	0.00
01/12/2017	KOGELSCHATZ, KAREN	AM FUNDS CAPITAL WORLD GRTH & INC 5	100.00	2.75	0.00	2.75	100.0	2.75
01/12/2017	KOGELSCHATZ, KAREN	AM FUNDS CAPITAL WORLD GRTH & INC 5	100.00	2.75	0.00	2.75	100.0	2.75
01/10/2017	BODO, DAVID	AM FUNDS CAPITAL WORLD GRTH & INC A	75.00	3.19	0.00	3.19	100.0	3.19
01/12/2017	ESSARY, BRADLEY	AM FUNDS CAPITAL WORLD GRTH & INC A	115.00	4.31	0.00	4.31	100.0	4.31
01/13/2017	TORNOW, MARGARET	AM FUNDS CAPITAL WORLD GRTH & INC A	150.00	1.80	0.00	1.80	100.0	1.80
01/17/2017	SINGER, MICHELLE	AM FUNDS CAPITAL WORLD GRTH & INC A	50.00	1.38	0.00	1.38	100.0	1.38
01/17/2017	TYRANSKI, KELLY	AM FUNDS CAPITAL WORLD GRTH & INC A	16.50	0.83	0.00	0.83	100.0	0.83
01/17/2017	MAJOR, SAUDIA	AM FUNDS CAPITAL WORLD GRTH & INC A	50.00	2.50	0.00	2.50	100.0	2.50
01/13/2017	HOOTON, KELLY	AM FUNDS EUROPACIFIC GROWTH FUND A	12.50	0.25	0.00	0.25	100.0	0.25
01/17/2017	SINGER, MICHELLE	AM FUNDS EUROPACIFIC GROWTH FUND A	50.00	1.38	0.00	1.38	100.0	1.38
01/13/2017	HOOTON, KELLY	AM FUNDS FUNDAMENTAL INVESTORS A	12.50	0.25	0.00	0.25	100.0	0.25
01/10/2017	GREEN, WILLIAM	AM FUNDS GROWTH AND INCOME A	250.00	12.50	0.00	12.50	100.0	12.50
01/20/2017	HERNANDEZ, HECTOR	AM FUNDS GROWTH AND INCOME A	50.00	2.50	0.00	2.50	100.0	2.50
01/17/2017	THOMPSON, DOUGLAS	AM FUNDS GROWTH FUND OF AMERICA 529	50.00	2.50	0.00	2.50	100.0	2.50
01/09/2017	ENGEL, KATHERINE	AM FUNDS GROWTH FUND OF AMERICA A	114.58	5.73	0.00	5.73	100.0	5.73
01/10/2017	BODO, DAVID	AM FUNDS GROWTH FUND OF AMERICA A	50.00	2.13	0.00	2.13	100.0	2.13
01/12/2017	ESSARY, BRADLEY	AM FUNDS GROWTH FUND OF AMERICA A	115.00	4.31	0.00	4.31	100.0	4.31
01/13/2017	TORNOW, MARGARET	AM FUNDS GROWTH FUND OF AMERICA A	150.00	1.80	0.00	1.80	100.0	1.80

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<u>BROKER TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
01/13/2017	SEMRAU, SHELLY	AM FUNDS GROWTH FUND OF AMERICA A	30.00	1.28	0.00	1.28	100.0	1.28
01/17/2017	CONCORDE, VARIOUS	AM FUNDS GROWTH FUND OF AMERICA A	-137.82	0.00	0.00	0.00	100.0	0.00
01/17/2017	CONCORDE, VARIOUS	AM FUNDS GROWTH FUND OF AMERICA A	130.93	0.00	0.00	0.00	100.0	0.00
01/17/2017	HAMM, ROBERT	AM FUNDS GROWTH FUND OF AMERICA A	300.00	12.75	0.00	12.75	100.0	12.75
01/17/2017	HENRY, WYATT	AM FUNDS GROWTH FUND OF AMERICA A	50.00	2.50	0.00	2.50	100.0	2.50
01/17/2017	TYRANSKI, KELLY	AM FUNDS GROWTH FUND OF AMERICA A	17.00	0.85	0.00	0.85	100.0	0.85
01/17/2017	JOHNSTON, BARBARA	AM FUNDS GROWTH FUND OF AMERICA A	100.00	4.25	0.00	4.25	100.0	4.25
01/17/2017	THOMPSON, DOUGLAS	AM FUNDS GROWTH FUND OF AMERICA A	114.58	5.73	0.00	5.73	100.0	5.73
01/13/2017	TORNOW, MARGARET	AM FUNDS ICA A	150.00	1.80	0.00	1.80	100.0	1.80
01/13/2017	SEMRAU, SHELLY	AM FUNDS INTL GROWTH AND INCOME A	30.00	1.28	0.00	1.28	100.0	1.28
01/12/2017	ESSARY, BRADLEY	AM FUNDS NEW PERSPECTIVE A	115.00	4.31	0.00	4.31	100.0	4.31
01/12/2017	ANSON, MOLLY	AM FUNDS NEW PERSPECTIVE A	54.00	2.03	0.00	2.03	100.0	2.03
01/13/2017	HOOTON, KELLY	AM FUNDS NEW PERSPECTIVE A	12.50	0.25	0.00	0.25	100.0	0.25
01/17/2017	TYRANSKI, KELLY	AM FUNDS NEW PERSPECTIVE A	16.50	0.83	0.00	0.83	100.0	0.83
01/13/2017	SEMRAU, SHELLY	AM FUNDS NEW WORLD A	30.00	1.28	0.00	1.28	100.0	1.28
01/17/2017	BUGGS, MICHELLE	AM FUNDS NEW WORLD A	50.00	2.50	0.00	2.50	100.0	2.50
01/13/2017	TORNOW, MARGARET	AM FUNDS WASHINGTON MUTUAL INVESTOR	150.00	1.80	0.00	1.80	100.0	1.80
01/13/2017	SEMRAU, SHELLY	AM FUNDS WASHINGTON MUTUAL INVESTOR	30.00	1.28	0.00	1.28	100.0	1.28
01/18/2017	CONCORDE, VARIOUS	AM FUNDS WASHINGTON MUTUAL INVESTOR	-696.96	0.00	0.00	0.00	100.0	0.00
01/18/2017	CONCORDE, VARIOUS	AM FUNDS WASHINGTON MUTUAL INVESTOR	667.34	0.00	0.00	0.00	100.0	0.00
01/17/2017	CONCORDE, VARIOUS	AMERICAN CENTURY STRATEGIC ALLOC AG	966.24	0.00	0.00	0.00	100.0	0.00
01/17/2017	CONCORDE, VARIOUS	AMERICAN CENTURY STRATEGIC ALLOC AG	-1,006.50	0.00	0.00	0.00	100.0	0.00
01/04/2017	BOYLE, WILLIAM	CALVERT SHORT DURATION INCOME FUND	0.00	64.73	0.00	64.73	100.0	64.73
01/20/2017	CONCORDE, VARIOUS	CATALYST/MILLBURN HEDGE STRATEGY FU	13,320.90	0.00	0.00	0.00	100.0	0.00
01/20/2017	CONCORDE, VARIOUS	CATALYST/MILLBURN HEDGE STRATEGY FU	-14,022.00	0.00	0.00	0.00	100.0	0.00
01/03/2017	TSEREGOUNIS, SPYROS	DAVIS GOVERNMENT BOND A	0.00	19.20	0.00	19.20	100.0	19.20
01/03/2017	KATEHI, PISTI	DAVIS GOVERNMENT BOND A	0.00	8.22	0.00	8.22	100.0	8.22
01/03/2017	WERNER, DOROTHY	DAVIS GOVERNMENT BOND A	0.00	35.75	0.00	35.75	100.0	35.75
01/03/2017	LEWIS, JOAN	DAVIS GOVERNMENT BOND A	0.00	1.46	0.00	1.46	100.0	1.46
01/03/2017	KNOCH JR, WALTER	DAVIS GOVERNMENT MONEY MARKET A	0.00	0.00	0.00	0.00	100.0	0.00
01/03/2017	OLWEEAN UGMA-MI, SARA	DAVIS GOVERNMENT MONEY MARKET B	0.00	0.00	0.00	0.00	100.0	0.00
01/03/2017	KNOCH JR, WALTER	DAVIS NEW YORK VENTURE A	0.00	144.95	0.00	144.95	100.0	144.95
01/03/2017	COCKRILL, JUDITH	DAVIS NEW YORK VENTURE A	0.00	26.82	0.00	26.82	100.0	26.82

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<u>BROKER TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
01/03/2017	POLANT, LOUIS	DAVIS NEW YORK VENTURE A	0.00	19.11	0.00	19.11	100.0	19.11
01/03/2017	GARCIA, ADELA	DAVIS NEW YORK VENTURE A	0.00	24.38	0.00	24.38	100.0	24.38
01/03/2017	TSEREGOUNIS, SPYROS	DAVIS OPPORTUNITY A	0.00	21.11	0.00	21.11	100.0	21.11
01/17/2017	PEARSON, PAMELA	FRANKLIN BIOTECHNOLOGY DISCOVERY A	85.00	4.25	0.00	4.25	100.0	4.25
01/10/2017	ZAKRZEWSKI, ANIA	FRANKLIN GROWTH A	50.00	2.50	0.00	2.50	100.0	2.50
01/17/2017	KALANQUIN, THOMAS	FRANKLIN GROWTH A	89.64	3.36	0.00	3.36	100.0	3.36
01/17/2017	KALANQUIN, THOMAS	FRANKLIN HIGH INCOME A	89.64	3.59	0.00	3.59	100.0	3.59
01/17/2017	KALANQUIN, THOMAS	FRANKLIN INCOME A	89.64	3.59	0.00	3.59	100.0	3.59
01/10/2017	ZAKRZEWSKI, ANIA	FRANKLIN NATURAL RESOURCES A	50.00	2.50	0.00	2.50	100.0	2.50
01/17/2017	FLOWERS, AMY	FRANKLIN NATURAL RESOURCES A	50.00	2.50	0.00	2.50	100.0	2.50
01/17/2017	KALANQUIN, THOMAS	FRANKLIN NATURAL RESOURCES A	91.80	3.44	0.00	3.44	100.0	3.44
01/17/2017	FLOWERS, AMY	FRANKLIN RISING DIVIDENDS A	50.00	2.50	0.00	2.50	100.0	2.50
01/17/2017	KALANQUIN, THOMAS	FT MUTUAL EUROPEAN FUND A	89.64	3.36	0.00	3.36	100.0	3.36
01/17/2017	CONCORDE, VARIOUS	HARTFORD CAPITAL APPRECIATION C	-206.57	0.00	0.00	0.00	100.0	0.00
01/17/2017	CONCORDE, VARIOUS	HARTFORD CAPITAL APPRECIATION C	204.50	0.00	0.00	0.00	100.0	0.00
01/26/2017	CONCORDE, VARIOUS	MAINSTAY CUSHING MLP PREMIER FUND C	20,000.00	0.00	0.00	0.00	100.0	0.00
01/26/2017	CONCORDE, VARIOUS	MAINSTAY CUSHING MLP PREMIER FUND C	19,050.00	0.00	0.00	0.00	100.0	0.00
01/26/2017	CONCORDE, VARIOUS	MAINSTAY CUSHING MLP PREMIER FUND C	-10,000.00	0.00	0.00	0.00	100.0	0.00
01/26/2017	CONCORDE, VARIOUS	MAINSTAY CUSHING MLP PREMIER FUND C	-10,000.00	0.00	0.00	0.00	100.0	0.00
01/26/2017	CONCORDE, VARIOUS	MAINSTAY CUSHING MLP PREMIER FUND C	14,287.50	0.00	0.00	0.00	100.0	0.00
01/26/2017	CONCORDE, VARIOUS	MAINSTAY CUSHING MLP PREMIER FUND C	-5,000.00	0.00	0.00	0.00	100.0	0.00
01/26/2017	CONCORDE, VARIOUS	MAINSTAY CUSHING MLP PREMIER FUND C	-20,000.00	0.00	0.00	0.00	100.0	0.00
01/26/2017	CONCORDE, VARIOUS	MAINSTAY CUSHING MLP PREMIER FUND C	9,525.00	0.00	0.00	0.00	100.0	0.00
01/26/2017	CONCORDE, VARIOUS	MAINSTAY CUSHING MLP PREMIER FUND C	5,000.00	0.00	0.00	0.00	100.0	0.00
01/26/2017	CONCORDE, VARIOUS	MAINSTAY CUSHING MLP PREMIER FUND C	3,000.00	0.00	0.00	0.00	100.0	0.00
01/26/2017	CONCORDE, VARIOUS	MAINSTAY CUSHING MLP PREMIER FUND C	19,050.00	0.00	0.00	0.00	100.0	0.00
01/26/2017	CONCORDE, VARIOUS	MAINSTAY CUSHING MLP PREMIER FUND C	10,000.00	0.00	0.00	0.00	100.0	0.00
01/26/2017	CONCORDE, VARIOUS	MAINSTAY CUSHING MLP PREMIER FUND C	23,812.50	0.00	0.00	0.00	100.0	0.00
01/26/2017	CONCORDE, VARIOUS	MAINSTAY CUSHING MLP PREMIER FUND C	-20,000.00	0.00	0.00	0.00	100.0	0.00
01/26/2017	CONCORDE, VARIOUS	MAINSTAY CUSHING MLP PREMIER FUND C	-20,000.00	0.00	0.00	0.00	100.0	0.00
01/26/2017	CONCORDE, VARIOUS	MAINSTAY CUSHING MLP PREMIER FUND C	-25,000.00	0.00	0.00	0.00	100.0	0.00
01/26/2017	CONCORDE, VARIOUS	MAINSTAY CUSHING MLP PREMIER FUND C	-3,000.00	0.00	0.00	0.00	100.0	0.00
01/26/2017	CONCORDE, VARIOUS	MAINSTAY CUSHING MLP PREMIER FUND C	-15,000.00	0.00	0.00	0.00	100.0	0.00

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<u>BROKER TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
01/03/2017	RADDEN, JACOB	MFS AGGRESS GROWTH ALLOCATION 529C	0.00	25.10	0.00	25.10	100.0	25.10
/ /	LAMBERT, JOANNE	OPPENHEIMER CAPITAL APPRECIATION A	0.00	2.66	0.00	2.66	100.0	2.66
01/03/2017	RAMIN, DONNA	OPPENHEIMER CAPITAL APPRECIATION A	30.00	1.20	0.00	1.20	100.0	1.20
01/03/2017	MATOUSEK, LAURA	OPPENHEIMER CAPITAL APPRECIATION A	100.00	4.75	0.00	4.75	100.0	4.75
01/03/2017	YODZIO, JESSICA	OPPENHEIMER CAPITAL APPRECIATION A	54.45	2.59	0.00	2.59	100.0	2.59
01/13/2017	LAMBERT, JOANNE	OPPENHEIMER CAPITAL APPRECIATION A	56.00	2.66	0.00	2.66	100.0	2.66
01/13/2017	RAMIN, DONNA	OPPENHEIMER CAPITAL APPRECIATION A	30.00	1.20	0.00	1.20	100.0	1.20
01/13/2017	MATOUSEK, LAURA	OPPENHEIMER CAPITAL APPRECIATION A	100.00	4.75	0.00	4.75	100.0	4.75
01/03/2017	RAMIN, DONNA	OPPENHEIMER DEVELOPING MARKETS A	60.00	2.40	0.00	2.40	100.0	2.40
01/03/2017	YODZIO, JESSICA	OPPENHEIMER DEVELOPING MARKETS A	56.10	2.66	0.00	2.66	100.0	2.66
01/13/2017	RAMIN, DONNA	OPPENHEIMER DEVELOPING MARKETS A	60.00	2.40	0.00	2.40	100.0	2.40
01/03/2017	LAMBERT, JOANNE	OPPENHEIMER DISCOVERY A	14.00	0.67	0.00	0.67	100.0	0.67
01/03/2017	RAMIN, DONNA	OPPENHEIMER DISCOVERY A	30.00	1.20	0.00	1.20	100.0	1.20
01/13/2017	LAMBERT, JOANNE	OPPENHEIMER DISCOVERY A	14.00	0.67	0.00	0.67	100.0	0.67
01/13/2017	RAMIN, DONNA	OPPENHEIMER DISCOVERY A	30.00	1.20	0.00	1.20	100.0	1.20
01/03/2017	YODZIO, JESSICA	OPPENHEIMER EQUITY A	54.45	2.59	0.00	2.59	100.0	2.59
01/03/2017	LAMBERT, JOANNE	OPPENHEIMER GLOBAL OPPORTUNITIES A	28.00	1.33	0.00	1.33	100.0	1.33
01/03/2017	RAMIN, DONNA	OPPENHEIMER GLOBAL OPPORTUNITIES A	30.00	1.20	0.00	1.20	100.0	1.20
01/13/2017	LAMBERT, JOANNE	OPPENHEIMER GLOBAL OPPORTUNITIES A	28.00	1.33	0.00	1.33	100.0	1.33
01/13/2017	RAMIN, DONNA	OPPENHEIMER GLOBAL OPPORTUNITIES A	30.00	1.20	0.00	1.20	100.0	1.20
01/12/2017	RAMIN, DONNA	OPPENHEIMER RISING DIVIDENDS A	75.00	3.00	0.00	3.00	100.0	3.00
01/03/2017	LAMBERT, JOANNE	OPPENHEIMER SMALL & MIDCAP GROWTH A	28.00	1.33	0.00	1.33	100.0	1.33
01/13/2017	LAMBERT, JOANNE	OPPENHEIMER SMALL & MIDCAP GROWTH A	28.00	1.33	0.00	1.33	100.0	1.33
01/03/2017	LAMBERT, JOANNE	OPPENHEIMER VALUE A	14.00	0.67	0.00	0.67	100.0	0.67
01/13/2017	LAMBERT, JOANNE	OPPENHEIMER VALUE A	14.00	0.67	0.00	0.67	100.0	0.67
01/17/2017	CONCORDE, VARIOUS	PUTNAM ASSET ALLOC GROWTH A	47.50	0.00	0.00	0.00	100.0	0.00
01/17/2017	CONCORDE, VARIOUS	PUTNAM ASSET ALLOC GROWTH A	-50.00	0.00	0.00	0.00	100.0	0.00
01/17/2017	CONCORDE, VARIOUS	PUTNAM CAPITAL SPECTRUM C	-150.00	0.00	0.00	0.00	100.0	0.00
01/17/2017	CONCORDE, VARIOUS	PUTNAM CAPITAL SPECTRUM C	148.50	0.00	0.00	0.00	100.0	0.00
01/17/2017	CONCORDE, VARIOUS	PUTNAM EQUITY SPECTRUM C	99.00	0.00	0.00	0.00	100.0	0.00
01/17/2017	CONCORDE, VARIOUS	PUTNAM EQUITY SPECTRUM C	-100.00	0.00	0.00	0.00	100.0	0.00
01/17/2017	CONCORDE, VARIOUS	PUTNAM EQUITY SPECTRUM C	148.50	0.00	0.00	0.00	100.0	0.00
01/17/2017	CONCORDE, VARIOUS	PUTNAM EQUITY SPECTRUM C	-150.00	0.00	0.00	0.00	100.0	0.00

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>BROKER TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
01/17/2017	KALANQUIN, THOMAS	TEMPLETON GROWTH A	89.64	3.36	0.00	3.36	100.0	3.36
* MUTUAL FUNDS SUBTOTAL *			\$-31.86	\$586.88	\$0.00	\$586.88		\$586.88
<u>PRODUCT CATEGORY: STOCKS</u>								
01/12/2017	CONCORDE, VARIOUS	APPLE HOSPITALITY REIT INC COM NEW	-31,167.64	0.00	1.00	-1.00	100.0	-1.00
01/12/2017	CONCORDE, VARIOUS	APPLE HOSPITALITY REIT INC COM NEW	-18,036.90	0.00	1.00	-1.00	100.0	-1.00
01/12/2017	CONCORDE, VARIOUS	APPLE HOSPITALITY REIT INC COM NEW	49,204.58	0.00	0.00	0.00	100.0	0.00
01/26/2017	CONCORDE, VARIOUS	AVON PRODS INC COM	-11,316.00	0.00	0.00	0.00	100.0	0.00
01/26/2017	CONCORDE, VARIOUS	AVON PRODS INC COM	6,222.15	0.00	1.00	-1.00	100.0	-1.00
01/26/2017	CONCORDE, VARIOUS	AVON PRODS INC COM	5,093.91	0.00	1.00	-1.00	100.0	-1.00
01/18/2017	CONCORDE, VARIOUS	BB & T CORP COM	-72,805.92	0.00	1.00	-1.00	100.0	-1.00
01/18/2017	CONCORDE, VARIOUS	BB & T CORP COM	-18,200.04	0.00	1.00	-1.00	100.0	-1.00
01/18/2017	CONCORDE, VARIOUS	BB & T CORP COM	91,006.00	0.00	0.00	0.00	100.0	0.00
01/23/2017	CONCORDE, VARIOUS	BLACKROCK RES & COMMODITIES STRATEG	-4,315.60	0.00	1.00	-1.00	100.0	-1.00
01/23/2017	CONCORDE, VARIOUS	BLACKROCK RES & COMMODITIES STRATEG	-8,735.58	0.00	1.00	-1.00	100.0	-1.00
01/23/2017	CONCORDE, VARIOUS	BLACKROCK RES & COMMODITIES STRATEG	13,051.13	0.00	0.00	0.00	100.0	0.00
01/23/2017	CONCORDE, VARIOUS	BOINGO WIRELESS INC COM	-1,194.50	0.00	1.00	-1.00	100.0	-1.00
01/23/2017	CONCORDE, VARIOUS	BOINGO WIRELESS INC COM	-22,686.19	0.00	1.00	-1.00	100.0	-1.00
01/23/2017	CONCORDE, VARIOUS	BOINGO WIRELESS INC COM	44,373.36	0.00	0.00	0.00	100.0	0.00
01/23/2017	CONCORDE, VARIOUS	BOINGO WIRELESS INC COM	-1,201.50	0.00	1.00	-1.00	100.0	-1.00
01/23/2017	CONCORDE, VARIOUS	BOINGO WIRELESS INC COM	-1,201.50	0.00	1.00	-1.00	100.0	-1.00
01/23/2017	CONCORDE, VARIOUS	BOINGO WIRELESS INC COM	-600.51	0.00	1.00	-1.00	100.0	-1.00
01/23/2017	CONCORDE, VARIOUS	BOINGO WIRELESS INC COM	-1,164.98	0.00	1.00	-1.00	100.0	-1.00
01/23/2017	CONCORDE, VARIOUS	BOINGO WIRELESS INC COM	-2,858.40	0.00	1.00	-1.00	100.0	-1.00
01/23/2017	CONCORDE, VARIOUS	BOINGO WIRELESS INC COM	-1,201.01	0.00	1.00	-1.00	100.0	-1.00
01/23/2017	CONCORDE, VARIOUS	BOINGO WIRELESS INC COM	-912.77	0.00	1.00	-1.00	100.0	-1.00
01/23/2017	CONCORDE, VARIOUS	BOINGO WIRELESS INC COM	-1,201.01	0.00	1.00	-1.00	100.0	-1.00
01/23/2017	CONCORDE, VARIOUS	BOINGO WIRELESS INC COM	-48.04	0.00	1.00	-1.00	100.0	-1.00
01/23/2017	CONCORDE, VARIOUS	BOINGO WIRELESS INC COM	-1,201.01	0.00	1.00	-1.00	100.0	-1.00
01/23/2017	CONCORDE, VARIOUS	BOINGO WIRELESS INC COM	-3,446.90	0.00	1.00	-1.00	100.0	-1.00
01/23/2017	CONCORDE, VARIOUS	BOINGO WIRELESS INC COM	-2,402.02	0.00	1.00	-1.00	100.0	-1.00
01/23/2017	CONCORDE, VARIOUS	BOINGO WIRELESS INC COM	-1,200.00	0.00	1.00	-1.00	100.0	-1.00
01/23/2017	CONCORDE, VARIOUS	BOINGO WIRELESS INC COM	-1,200.00	0.00	1.00	-1.00	100.0	-1.00
01/23/2017	CONCORDE, VARIOUS	BOINGO WIRELESS INC COM	-1,788.00	0.00	1.00	-1.00	100.0	-1.00

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>BROKER TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: STOCKS</u>								
01/23/2017	CONCORDE, VARIOUS	BOINGO WIRELESS INC COM	-2,472.00	0.00	1.00	-1.00	100.0	-1.00
01/23/2017	CONCORDE, VARIOUS	BOINGO WIRELESS INC COM	-3,432.00	0.00	1.00	-1.00	100.0	-1.00
01/23/2017	CONCORDE, VARIOUS	BOINGO WIRELESS INC COM	-16,841.79	0.00	1.00	-1.00	100.0	-1.00
01/23/2017	CONCORDE, VARIOUS	BOINGO WIRELESS INC COM	23,880.60	0.00	0.00	0.00	100.0	0.00
01/23/2017	CONCORDE, VARIOUS	CATCHMARK TIMBER TR INC CL A	-3,445.31	0.00	1.00	-1.00	100.0	-1.00
01/23/2017	CONCORDE, VARIOUS	CATCHMARK TIMBER TR INC CL A	-3,153.00	0.00	1.00	-1.00	100.0	-1.00
01/23/2017	CONCORDE, VARIOUS	CATCHMARK TIMBER TR INC CL A	6,598.33	0.00	0.00	0.00	100.0	0.00
01/12/2017	CONCORDE, VARIOUS	CISCO SYSTEMS INC	3,251.47	0.00	1.00	-1.00	100.0	-1.00
01/12/2017	CONCORDE, VARIOUS	CISCO SYSTEMS INC	26,578.53	0.00	1.00	-1.00	100.0	-1.00
01/12/2017	CONCORDE, VARIOUS	CISCO SYSTEMS INC	-29,830.00	0.00	0.00	0.00	100.0	0.00
01/18/2017	CONCORDE, VARIOUS	COLONY NORTHSTAR INC CL A COM	-1,382.50	0.00	1.00	-1.00	100.0	-1.00
01/18/2017	CONCORDE, VARIOUS	COLONY NORTHSTAR INC CL A COM	-940.10	0.00	1.00	-1.00	100.0	-1.00
01/18/2017	CONCORDE, VARIOUS	COLONY NORTHSTAR INC CL A COM	-1,824.90	0.00	1.00	-1.00	100.0	-1.00
01/18/2017	CONCORDE, VARIOUS	COLONY NORTHSTAR INC CL A COM	-1,382.00	0.00	1.00	-1.00	100.0	-1.00
01/18/2017	CONCORDE, VARIOUS	COLONY NORTHSTAR INC CL A COM	-1,382.00	0.00	1.00	-1.00	100.0	-1.00
01/18/2017	CONCORDE, VARIOUS	COLONY NORTHSTAR INC CL A COM	-2,073.75	0.00	1.00	-1.00	100.0	-1.00
01/18/2017	CONCORDE, VARIOUS	COLONY NORTHSTAR INC CL A COM	-1,382.00	0.00	1.00	-1.00	100.0	-1.00
01/18/2017	CONCORDE, VARIOUS	COLONY NORTHSTAR INC CL A COM	-1,382.00	0.00	1.00	-1.00	100.0	-1.00
01/18/2017	CONCORDE, VARIOUS	COLONY NORTHSTAR INC CL A COM	-4,146.00	0.00	1.00	-1.00	100.0	-1.00
01/18/2017	CONCORDE, VARIOUS	COLONY NORTHSTAR INC CL A COM	-1,382.00	0.00	1.00	-1.00	100.0	-1.00
01/18/2017	CONCORDE, VARIOUS	COLONY NORTHSTAR INC CL A COM	-691.25	0.00	1.00	-1.00	100.0	-1.00
01/18/2017	CONCORDE, VARIOUS	COLONY NORTHSTAR INC CL A COM	-1,382.00	0.00	1.00	-1.00	100.0	-1.00
01/18/2017	CONCORDE, VARIOUS	COLONY NORTHSTAR INC CL A COM	-1,382.00	0.00	1.00	-1.00	100.0	-1.00
01/18/2017	CONCORDE, VARIOUS	COLONY NORTHSTAR INC CL A COM	-1,382.00	0.00	1.00	-1.00	100.0	-1.00
01/18/2017	CONCORDE, VARIOUS	COLONY NORTHSTAR INC CL A COM	-1,382.00	0.00	1.00	-1.00	100.0	-1.00
01/18/2017	CONCORDE, VARIOUS	COLONY NORTHSTAR INC CL A COM	-1,119.42	0.00	1.00	-1.00	100.0	-1.00
01/18/2017	CONCORDE, VARIOUS	COLONY NORTHSTAR INC CL A COM	-1,382.00	0.00	1.00	-1.00	100.0	-1.00
01/18/2017	CONCORDE, VARIOUS	COLONY NORTHSTAR INC CL A COM	-1,382.00	0.00	1.00	-1.00	100.0	-1.00
01/18/2017	CONCORDE, VARIOUS	COLONY NORTHSTAR INC CL A COM	-1,505.29	0.00	1.00	-1.00	100.0	-1.00
01/18/2017	CONCORDE, VARIOUS	COLONY NORTHSTAR INC CL A COM	-262.58	0.00	1.00	-1.00	100.0	-1.00
01/18/2017	CONCORDE, VARIOUS	COLONY NORTHSTAR INC CL A COM	-1,381.00	0.00	1.00	-1.00	100.0	-1.00
01/18/2017	CONCORDE, VARIOUS	COLONY NORTHSTAR INC CL A COM	-1,381.00	0.00	1.00	-1.00	100.0	-1.00
01/18/2017	CONCORDE, VARIOUS	COLONY NORTHSTAR INC CL A COM	-1,505.29	0.00	1.00	-1.00	100.0	-1.00
01/18/2017	CONCORDE, VARIOUS	COLONY NORTHSTAR INC CL A COM	-151.91	0.00	1.00	-1.00	100.0	-1.00

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>BROKER TRANSACTIONS</u>								
PRODUCT CATEGORY: STOCKS								
01/18/2017	CONCORDE, VARIOUS	COLONY NORTHSTAR INC CL A COM	-1,382.00	0.00	1.00	-1.00	100.0	-1.00
01/18/2017	CONCORDE, VARIOUS	COLONY NORTHSTAR INC CL A COM	-1,382.00	0.00	1.00	-1.00	100.0	-1.00
01/18/2017	CONCORDE, VARIOUS	COLONY NORTHSTAR INC CL A COM	-1,671.01	0.00	1.00	-1.00	100.0	-1.00
01/18/2017	CONCORDE, VARIOUS	COLONY NORTHSTAR INC CL A COM	-1,463.86	0.00	1.00	-1.00	100.0	-1.00
01/18/2017	CONCORDE, VARIOUS	COLONY NORTHSTAR INC CL A COM	-1,382.00	0.00	1.00	-1.00	100.0	-1.00
01/18/2017	CONCORDE, VARIOUS	COLONY NORTHSTAR INC CL A COM	-26,241.28	0.00	1.00	-1.00	100.0	-1.00
01/18/2017	CONCORDE, VARIOUS	COLONY NORTHSTAR INC CL A COM	-49,720.32	0.00	1.00	-1.00	100.0	-1.00
01/18/2017	CONCORDE, VARIOUS	COLONY NORTHSTAR INC CL A COM	115,427.28	0.00	0.00	0.00	100.0	0.00
01/23/2017	CONCORDE, VARIOUS	COLONY NORTHSTAR INC CL A COM	-6,935.05	0.00	1.00	-1.00	100.0	-1.00
01/23/2017	CONCORDE, VARIOUS	COLONY NORTHSTAR INC CL A COM	-208.05	0.00	1.00	-1.00	100.0	-1.00
01/23/2017	CONCORDE, VARIOUS	COLONY NORTHSTAR INC CL A COM	-1,387.00	0.00	1.00	-1.00	100.0	-1.00
01/23/2017	CONCORDE, VARIOUS	COLONY NORTHSTAR INC CL A COM	-1,387.00	0.00	1.00	-1.00	100.0	-1.00
01/23/2017	CONCORDE, VARIOUS	COLONY NORTHSTAR INC CL A COM	-1,387.00	0.00	1.00	-1.00	100.0	-1.00
01/23/2017	CONCORDE, VARIOUS	COLONY NORTHSTAR INC CL A COM	-3,009.79	0.00	1.00	-1.00	100.0	-1.00
01/23/2017	CONCORDE, VARIOUS	COLONY NORTHSTAR INC CL A COM	-929.29	0.00	1.00	-1.00	100.0	-1.00
01/23/2017	CONCORDE, VARIOUS	COLONY NORTHSTAR INC CL A COM	15,243.13	0.00	0.00	0.00	100.0	0.00
01/24/2017	CONCORDE, VARIOUS	COLONY NORTHSTAR INC CL A COM	3,018.96	0.00	0.00	0.00	100.0	0.00
01/24/2017	CONCORDE, VARIOUS	COLONY NORTHSTAR INC CL A COM	-1,444.50	0.00	1.00	-1.00	100.0	-1.00
01/24/2017	CONCORDE, VARIOUS	COLONY NORTHSTAR INC CL A COM	-129.96	0.00	1.00	-1.00	100.0	-1.00
01/24/2017	CONCORDE, VARIOUS	COLONY NORTHSTAR INC CL A COM	-1,444.50	0.00	1.00	-1.00	100.0	-1.00
01/19/2017	CONCORDE, VARIOUS	COLUMBIA ETF TR CORE BD ETF	-1,023.93	0.00	1.00	-1.00	100.0	-1.00
01/19/2017	CONCORDE, VARIOUS	COLUMBIA ETF TR CORE BD ETF	-4,095.74	0.00	1.00	-1.00	100.0	-1.00
01/19/2017	CONCORDE, VARIOUS	COLUMBIA ETF TR CORE BD ETF	-153.56	0.00	1.00	-1.00	100.0	-1.00
01/19/2017	CONCORDE, VARIOUS	COLUMBIA ETF TR CORE BD ETF	-153.56	0.00	1.00	-1.00	100.0	-1.00
01/19/2017	CONCORDE, VARIOUS	COLUMBIA ETF TR CORE BD ETF	-153.62	0.00	1.00	-1.00	100.0	-1.00
01/19/2017	CONCORDE, VARIOUS	COLUMBIA ETF TR CORE BD ETF	-153.56	0.00	1.00	-1.00	100.0	-1.00
01/19/2017	CONCORDE, VARIOUS	COLUMBIA ETF TR CORE BD ETF	-102.37	0.00	1.00	-1.00	100.0	-1.00
01/19/2017	CONCORDE, VARIOUS	COLUMBIA ETF TR CORE BD ETF	-102.37	0.00	1.00	-1.00	100.0	-1.00
01/19/2017	CONCORDE, VARIOUS	COLUMBIA ETF TR CORE BD ETF	-102.37	0.00	1.00	-1.00	100.0	-1.00
01/19/2017	CONCORDE, VARIOUS	COLUMBIA ETF TR CORE BD ETF	-102.41	0.00	1.00	-1.00	100.0	-1.00
01/19/2017	CONCORDE, VARIOUS	COLUMBIA ETF TR CORE BD ETF	16,103.90	0.00	0.00	0.00	100.0	0.00
01/19/2017	CONCORDE, VARIOUS	COLUMBIA ETF TR CORE BD ETF	6,143.50	0.00	0.00	0.00	100.0	0.00
01/19/2017	CONCORDE, VARIOUS	COLUMBIA ETF TR CORE BD ETF	-5,111.00	0.00	1.00	-1.00	100.0	-1.00

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<u>BROKER TRANSACTIONS</u>								
PRODUCT CATEGORY: STOCKS								
01/19/2017	CONCORDE, VARIOUS	COLUMBIA ETF TR CORE BD ETF	-5,110.20	0.00	1.00	-1.00	100.0	-1.00
01/19/2017	CONCORDE, VARIOUS	COLUMBIA ETF TR CORE BD ETF	-766.50	0.00	1.00	-1.00	100.0	-1.00
01/19/2017	CONCORDE, VARIOUS	COLUMBIA ETF TR CORE BD ETF	-5,116.21	0.00	1.00	-1.00	100.0	-1.00
01/23/2017	CONCORDE, VARIOUS	DIREXION SHS ETF TR DIREXION DAILY	9,486.00	0.00	1.00	-1.00	100.0	-1.00
01/23/2017	CONCORDE, VARIOUS	DIREXION SHS ETF TR DIREXION DAILY	9,486.00	0.00	1.00	-1.00	100.0	-1.00
01/23/2017	CONCORDE, VARIOUS	DIREXION SHS ETF TR DIREXION DAILY	-18,972.00	0.00	0.00	0.00	100.0	0.00
01/19/2017	CONCORDE, VARIOUS	DRYSHIPS INC COM PAR \$0.01 NEW ISIN	100.50	0.00	1.00	-1.00	100.0	-1.00
01/19/2017	CONCORDE, VARIOUS	DRYSHIPS INC COM PAR \$0.01 NEW ISIN	100.50	0.00	1.00	-1.00	100.0	-1.00
01/19/2017	CONCORDE, VARIOUS	DRYSHIPS INC COM PAR \$0.01 NEW ISIN	-201.00	0.00	0.00	0.00	100.0	0.00
01/23/2017	CONCORDE, VARIOUS	FRANKLIN UNIVERSAL TRUST SHS BEN IN	-2,728.00	0.00	1.00	-1.00	100.0	-1.00
01/23/2017	CONCORDE, VARIOUS	FRANKLIN UNIVERSAL TRUST SHS BEN IN	-10,896.48	0.00	1.00	-1.00	100.0	-1.00
01/23/2017	CONCORDE, VARIOUS	FRANKLIN UNIVERSAL TRUST SHS BEN IN	13,624.40	0.00	0.00	0.00	100.0	0.00
01/12/2017	CONCORDE, VARIOUS	IRON MTN INC NEW COM	3,362.90	0.00	1.00	-1.00	100.0	-1.00
01/12/2017	CONCORDE, VARIOUS	IRON MTN INC NEW COM	3,362.79	0.00	1.00	-1.00	100.0	-1.00
01/12/2017	CONCORDE, VARIOUS	IRON MTN INC NEW COM	3,026.52	0.00	1.00	-1.00	100.0	-1.00
01/12/2017	CONCORDE, VARIOUS	IRON MTN INC NEW COM	6,725.58	0.00	1.00	-1.00	100.0	-1.00
01/12/2017	CONCORDE, VARIOUS	IRON MTN INC NEW COM	3,362.79	0.00	1.00	-1.00	100.0	-1.00
01/12/2017	CONCORDE, VARIOUS	IRON MTN INC NEW COM	2,690.25	0.00	1.00	-1.00	100.0	-1.00
01/12/2017	CONCORDE, VARIOUS	IRON MTN INC NEW COM	-22,530.83	0.00	0.00	0.00	100.0	0.00
01/19/2017	CONCORDE, VARIOUS	IRON MTN INC NEW COM	-8,796.97	0.00	0.00	0.00	100.0	0.00
01/19/2017	CONCORDE, VARIOUS	IRON MTN INC NEW COM	3,384.00	0.00	1.00	-1.00	100.0	-1.00
01/19/2017	CONCORDE, VARIOUS	IRON MTN INC NEW COM	2,029.98	0.00	1.00	-1.00	100.0	-1.00
01/19/2017	CONCORDE, VARIOUS	IRON MTN INC NEW COM	3,383.00	0.00	1.00	-1.00	100.0	-1.00
01/25/2017	CONCORDE, VARIOUS	ISHARES SILVER TR ISHARES	-1,607.50	0.00	1.00	-1.00	100.0	-1.00
01/25/2017	CONCORDE, VARIOUS	ISHARES SILVER TR ISHARES	-208.98	0.00	1.00	-1.00	100.0	-1.00
01/25/2017	CONCORDE, VARIOUS	ISHARES SILVER TR ISHARES	1,816.48	0.00	0.00	0.00	100.0	0.00
01/19/2017	CONCORDE, VARIOUS	NEW YORK REIT INC COM	85,890.97	0.00	0.00	0.00	100.0	0.00
01/19/2017	CONCORDE, VARIOUS	NEW YORK REIT INC COM	-61,866.63	0.00	1.00	-1.00	100.0	-1.00
01/19/2017	CONCORDE, VARIOUS	NEW YORK REIT INC COM	-24,024.61	0.00	1.00	-1.00	100.0	-1.00
01/19/2017	CONCORDE, VARIOUS	NEW YORK REIT INC COM	-982.50	0.00	1.00	-1.00	100.0	-1.00
01/19/2017	CONCORDE, VARIOUS	NEW YORK REIT INC COM	-982.50	0.00	1.00	-1.00	100.0	-1.00
01/19/2017	CONCORDE, VARIOUS	NEW YORK REIT INC COM	-982.50	0.00	1.00	-1.00	100.0	-1.00
01/19/2017	CONCORDE, VARIOUS	NEW YORK REIT INC COM	-982.50	0.00	1.00	-1.00	100.0	-1.00

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>BROKER TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: STOCKS</u>								
01/19/2017	CONCORDE, VARIOUS	NEW YORK REIT INC COM	-982.50	0.00	1.00	-1.00	100.0	-1.00
01/19/2017	CONCORDE, VARIOUS	NEW YORK REIT INC COM	-982.50	0.00	1.00	-1.00	100.0	-1.00
01/19/2017	CONCORDE, VARIOUS	NEW YORK REIT INC COM	-982.50	0.00	1.00	-1.00	100.0	-1.00
01/19/2017	CONCORDE, VARIOUS	NEW YORK REIT INC COM	-982.00	0.00	1.00	-1.00	100.0	-1.00
01/19/2017	CONCORDE, VARIOUS	NEW YORK REIT INC COM	-982.00	0.00	1.00	-1.00	100.0	-1.00
01/19/2017	CONCORDE, VARIOUS	NEW YORK REIT INC COM	-982.50	0.00	1.00	-1.00	100.0	-1.00
01/19/2017	CONCORDE, VARIOUS	NEW YORK REIT INC COM	-982.00	0.00	1.00	-1.00	100.0	-1.00
01/19/2017	CONCORDE, VARIOUS	NEW YORK REIT INC COM	-982.00	0.00	1.00	-1.00	100.0	-1.00
01/19/2017	CONCORDE, VARIOUS	NEW YORK REIT INC COM	-982.00	0.00	1.00	-1.00	100.0	-1.00
01/19/2017	CONCORDE, VARIOUS	NEW YORK REIT INC COM	-1,964.00	0.00	1.00	-1.00	100.0	-1.00
01/19/2017	CONCORDE, VARIOUS	NEW YORK REIT INC COM	-982.00	0.00	1.00	-1.00	100.0	-1.00
01/19/2017	CONCORDE, VARIOUS	NEW YORK REIT INC COM	-982.00	0.00	1.00	-1.00	100.0	-1.00
01/19/2017	CONCORDE, VARIOUS	NEW YORK REIT INC COM	-982.00	0.00	1.00	-1.00	100.0	-1.00
01/19/2017	CONCORDE, VARIOUS	NEW YORK REIT INC COM	-982.00	0.00	1.00	-1.00	100.0	-1.00
01/19/2017	CONCORDE, VARIOUS	NEW YORK REIT INC COM	-982.00	0.00	1.00	-1.00	100.0	-1.00
01/19/2017	CONCORDE, VARIOUS	NEW YORK REIT INC COM	-7,856.08	0.00	1.00	-1.00	100.0	-1.00
01/19/2017	CONCORDE, VARIOUS	NEW YORK REIT INC COM	-32,196.52	0.00	1.00	-1.00	100.0	-1.00
01/19/2017	CONCORDE, VARIOUS	NEW YORK REIT INC COM	-25,075.57	0.00	1.00	-1.00	100.0	-1.00
01/19/2017	CONCORDE, VARIOUS	NEW YORK REIT INC COM	-66,776.68	0.00	1.00	-1.00	100.0	-1.00
01/19/2017	CONCORDE, VARIOUS	NEW YORK REIT INC COM	58,714.72	0.00	0.00	0.00	100.0	0.00
01/19/2017	CONCORDE, VARIOUS	NEW YORK REIT INC COM	91,852.07	0.00	0.00	0.00	100.0	0.00
01/20/2017	CONCORDE, VARIOUS	NORTHERN DYNASTY MINERALS LTD	-1,338.70	0.00	0.00	0.00	100.0	0.00
01/20/2017	CONCORDE, VARIOUS	NORTHERN DYNASTY MINERALS LTD	267.50	0.00	1.00	-1.00	100.0	-1.00
01/20/2017	CONCORDE, VARIOUS	NORTHERN DYNASTY MINERALS LTD	1,071.20	0.00	1.00	-1.00	100.0	-1.00
01/17/2017	CONCORDE, VARIOUS	POWERSHARES DB COMMODITY INDEX TRAC	1,595.50	0.00	1.00	-1.00	100.0	-1.00
01/17/2017	CONCORDE, VARIOUS	POWERSHARES DB COMMODITY INDEX TRAC	1,435.95	0.00	1.00	-1.00	100.0	-1.00
01/17/2017	CONCORDE, VARIOUS	POWERSHARES DB COMMODITY INDEX TRAC	-3,031.45	0.00	0.00	0.00	100.0	0.00
01/19/2017	CONCORDE, VARIOUS	POWERSHARES DWA CONSUMER STAPLES MO	-543.35	0.00	1.00	-1.00	100.0	-1.00
01/19/2017	CONCORDE, VARIOUS	POWERSHARES DWA CONSUMER STAPLES MO	-5,434.00	0.00	1.00	-1.00	100.0	-1.00
01/19/2017	CONCORDE, VARIOUS	POWERSHARES DWA CONSUMER STAPLES MO	5,977.35	0.00	0.00	0.00	100.0	0.00
01/19/2017	CONCORDE, VARIOUS	SPDR SER TR S&P BIOTECH ETF	15,912.50	0.00	0.00	0.00	100.0	0.00
01/19/2017	CONCORDE, VARIOUS	SPDR SER TR S&P BIOTECH ETF	-6,365.00	0.00	1.00	-1.00	100.0	-1.00
01/19/2017	CONCORDE, VARIOUS	SPDR SER TR S&P BIOTECH ETF	-6,365.00	0.00	1.00	-1.00	100.0	-1.00
01/19/2017	CONCORDE, VARIOUS	SPDR SER TR S&P BIOTECH ETF	-3,182.50	0.00	1.00	-1.00	100.0	-1.00

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<u>BROKER TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: STOCKS</u>								
01/20/2017	CONCORDE, VARIOUS	SPROTT PHYSICAL SILVER TR TR UNIT I	1,301.76	0.00	1.00	-1.00	100.0	-1.00
01/20/2017	CONCORDE, VARIOUS	SPROTT PHYSICAL SILVER TR TR UNIT I	5,206.40	0.00	1.00	-1.00	100.0	-1.00
01/20/2017	CONCORDE, VARIOUS	SPROTT PHYSICAL SILVER TR TR UNIT I	-6,508.20	0.00	0.00	0.00	100.0	0.00
01/18/2017	CONCORDE, VARIOUS	SUNOCO LOGISTICS PARTNERS LP COM UN	7,190.01	0.00	1.00	-1.00	100.0	-1.00
01/18/2017	CONCORDE, VARIOUS	SUNOCO LOGISTICS PARTNERS LP COM UN	4,313.97	0.00	1.00	-1.00	100.0	-1.00
01/18/2017	CONCORDE, VARIOUS	SUNOCO LOGISTICS PARTNERS LP COM UN	-11,503.97	0.00	0.00	0.00	100.0	0.00
01/11/2017	CONCORDE, VARIOUS	TIER REIT INC COM NEW	-3,588.00	0.00	1.00	-1.00	100.0	-1.00
01/11/2017	CONCORDE, VARIOUS	TIER REIT INC COM NEW	-89.70	0.00	1.00	-1.00	100.0	-1.00
01/11/2017	CONCORDE, VARIOUS	TIER REIT INC COM NEW	-1,794.00	0.00	1.00	-1.00	100.0	-1.00
01/11/2017	CONCORDE, VARIOUS	TIER REIT INC COM NEW	-1,703.35	0.00	1.00	-1.00	100.0	-1.00
01/11/2017	CONCORDE, VARIOUS	TIER REIT INC COM NEW	-10,762.20	0.00	1.00	-1.00	100.0	-1.00
01/11/2017	CONCORDE, VARIOUS	TIER REIT INC COM NEW	17,937.30	0.00	0.00	0.00	100.0	0.00
01/23/2017	CONCORDE, VARIOUS	WESTERN ASSET / CLAYMORE INFLATION	-4,524.00	0.00	1.00	-1.00	100.0	-1.00
01/23/2017	CONCORDE, VARIOUS	WESTERN ASSET / CLAYMORE INFLATION	-12,441.00	0.00	1.00	-1.00	100.0	-1.00
01/23/2017	CONCORDE, VARIOUS	WESTERN ASSET / CLAYMORE INFLATION	-1,131.50	0.00	1.00	-1.00	100.0	-1.00
01/23/2017	CONCORDE, VARIOUS	WESTERN ASSET / CLAYMORE INFLATION	-1,131.50	0.00	1.00	-1.00	100.0	-1.00
01/23/2017	CONCORDE, VARIOUS	WESTERN ASSET / CLAYMORE INFLATION	-1,131.50	0.00	1.00	-1.00	100.0	-1.00
01/23/2017	CONCORDE, VARIOUS	WESTERN ASSET / CLAYMORE INFLATION	-11,310.00	0.00	1.00	-1.00	100.0	-1.00
01/23/2017	CONCORDE, VARIOUS	WESTERN ASSET / CLAYMORE INFLATION	-2,262.16	0.00	1.00	-1.00	100.0	-1.00
01/23/2017	CONCORDE, VARIOUS	WESTERN ASSET / CLAYMORE INFLATION	33,931.80	0.00	0.00	0.00	100.0	0.00
* STOCKS SUBTOTAL *			\$-0.53	\$0.00	\$152.00	\$-152.00		\$-152.00
<u>PRODUCT CATEGORY: VARIABLE ANNUITIES</u>								
01/10/2017	LASALLE, BARBARA	GENWORTH CHOICE VA	342,071.91	285.06	0.00	285.06	100.0	285.06
01/10/2017	CICHEWICZ, RICHARD	GENWORTH CHOICE VA	36,564.89	30.47	0.00	30.47	100.0	30.47
01/10/2017	REEDY, DAVID	GENWORTH CHOICE VA	21,230.90	17.69	0.00	17.69	100.0	17.69
01/10/2017	GEORGE, CAROLE	GENWORTH CHOICE VA	140,268.81	116.89	0.00	116.89	100.0	116.89
01/10/2017	GARBOWSKI, CHRISTOPHER	GENWORTH CHOICE VA	28,697.35	23.91	0.00	23.91	100.0	23.91
01/10/2017	PUDIL, HSIU CHIN	GENWORTH COMMONWEALTH VA 1994 (NON-	605.89	0.10	0.00	0.10	100.0	0.10
01/10/2017	MACIEJEWSKI, ROBERT	GENWORTH COMMONWEALTH VA 1994 (NON-	24,190.20	4.03	0.00	4.03	100.0	4.03
12/16/2016	HORIBA, MASATAKE	GENWORTH INS	164,588.74	34.29	0.00	34.29	100.0	34.29
01/17/2017	FORMELLA, ANNETTE	GENWORTH INS	25.00	0.25	0.00	0.25	100.0	0.25
01/17/2017	FORMELLA, DAVID	GENWORTH INS	35.00	0.35	0.00	0.35	100.0	0.35
03/30/2012	WIENER, ELAINE	HARTFORD LEADERS ILA	0.00	-29.71	0.00	-29.71	100.0	-29.71

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<u>BROKER TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: VARIABLE ANNUITIES</u>								
06/29/2012	WIENER, ELAINE	HARTFORD LEADERS ILA	0.00	-28.71	0.00	-28.71	100.0	-28.71
09/28/2012	WIENER, ELAINE	HARTFORD LEADERS ILA	0.00	-30.03	0.00	-30.03	100.0	-30.03
12/31/2012	WIENER, ELAINE	HARTFORD LEADERS ILA	0.00	-30.53	0.00	-30.53	100.0	-30.53
03/28/2013	WIENER, ELAINE	HARTFORD LEADERS ILA	0.00	-31.91	0.00	-31.91	100.0	-31.91
06/28/2013	WIENER, ELAINE	HARTFORD LEADERS ILA	0.00	-31.62	0.00	-31.62	100.0	-31.62
09/30/2013	WIENER, ELAINE	HARTFORD LEADERS ILA	0.00	-33.44	0.00	-33.44	100.0	-33.44
12/31/2013	WIENER, ELAINE	HARTFORD LEADERS ILA	0.00	-35.29	0.00	-35.29	100.0	-35.29
03/31/2014	WIENER, ELAINE	HARTFORD LEADERS ILA	0.00	-35.74	0.00	-35.74	100.0	-35.74
06/30/2014	WIENER, ELAINE	HARTFORD LEADERS ILA	0.00	-36.85	0.00	-36.85	100.0	-36.85
09/30/2014	WIENER, ELAINE	HARTFORD LEADERS ILA	0.00	-36.36	0.00	-36.36	100.0	-36.36
12/31/2014	WIENER, ELAINE	HARTFORD LEADERS ILA	0.00	-36.73	0.00	-36.73	100.0	-36.73
03/31/2015	WIENER, ELAINE	HARTFORD LEADERS ILA	0.00	-35.57	0.00	-35.57	100.0	-35.57
09/30/2015	WIENER, ELAINE	HARTFORD LEADERS ILA	0.00	-35.17	0.00	-35.17	100.0	-35.17
12/31/2015	WIENER, ELAINE	HARTFORD LEADERS ILA	0.00	-36.44	0.00	-36.44	100.0	-36.44
03/31/2016	WIENER, ELAINE	HARTFORD LEADERS ILA	0.00	-36.55	0.00	-36.55	100.0	-36.55
06/30/2016	WIENER, ELAINE	HARTFORD LEADERS ILA	0.00	-37.23	0.00	-37.23	100.0	-37.23
09/30/2016	WIENER, ELAINE	HARTFORD LEADERS ILA	0.00	-38.70	0.00	-38.70	100.0	-38.70
12/30/2016	WIENER, ELAINE	HARTFORD LEADERS ILA	0.00	-38.84	0.00	-38.84	100.0	-38.84
01/14/2017	RIVERS, BETH	NWL BEST OF AMERICA FPVUL	51.00	0.51	0.00	0.51	100.0	0.51
01/14/2017	WEBB, CONSTANCE	NWL BEST OF AMERICA FPVUL	57.00	0.57	0.00	0.57	100.0	0.57
* VARIABLE ANNUITIES SUBTOTAL *			\$758,386.69	\$-141.30	\$0.00	\$-141.30		\$-141.30
<u>PRODUCT CATEGORY: LIFE INSURANCE</u>								
01/03/2017	KENNARD, DEAN	PAC LIFE VUL	223.83	4.48	0.00	4.48	100.0	4.48
* LIFE INSURANCE SUBTOTAL *			\$223.83	\$4.48	\$0.00	\$4.48		\$4.48
<u>PRODUCT CATEGORY: UNIT INVESTMENT TRUSTS</u>								
01/26/2017	CONCORDE, VARIOUS	FT UNIT 6365 GLOBAL EQTY INC	31,150.40	0.00	17.50	-17.50	100.0	-17.50
01/26/2017	CONCORDE, VARIOUS	FT UNIT 6365 GLOBAL EQTY INC	-31,998.28	0.00	17.50	-17.50	100.0	-17.50
01/26/2017	CONCORDE, VARIOUS	FT UNIT 6365 GLOBAL EQUITY INCOME C	-6,897.91	0.00	17.50	-17.50	100.0	-17.50
01/26/2017	CONCORDE, VARIOUS	FT UNIT 6365 GLOBAL EQUITY INCOME C	-7,392.12	0.00	17.50	-17.50	100.0	-17.50
01/26/2017	CONCORDE, VARIOUS	FT UNIT 6365 GLOBAL EQUITY INCOME C	7,177.77	0.00	17.50	-17.50	100.0	-17.50
01/26/2017	CONCORDE, VARIOUS	FT UNIT 6365 GLOBAL EQUITY INCOME C	-6,193.39	0.00	17.50	-17.50	100.0	-17.50
01/26/2017	CONCORDE, VARIOUS	FT UNIT 6365 GLOBAL EQUITY INCOME C	43,800.47	0.00	17.50	-17.50	100.0	-17.50

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<u>BROKER TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: UNIT INVESTMENT TRUSTS</u>								
01/26/2017	CONCORDE, VARIOUS	FT UNIT 6365 GLOBAL EQUITY INCOME C	6,697.89	0.00	17.50	-17.50	100.0	-17.50
01/26/2017	CONCORDE, VARIOUS	FT UNIT 6365 GLOBAL EQUITY INCOME C	-44,992.66	0.00	17.50	-17.50	100.0	-17.50
01/26/2017	CONCORDE, VARIOUS	FT UNIT 6365 GLOBAL EQUITY INCOME C	6,013.81	0.00	17.50	-17.50	100.0	-17.50
01/26/2017	CONCORDE, VARIOUS	FT UNIT 6391 DIVID & INCOME PLUS CL	-31,999.38	0.00	17.50	-17.50	100.0	-17.50
01/26/2017	CONCORDE, VARIOUS	FT UNIT 6391 DIVID & INCOME PLUS CL	31,220.10	0.00	17.50	-17.50	100.0	-17.50
01/26/2017	CONCORDE, VARIOUS	FT UNIT 6403 MLP	-6,191.57	0.00	17.50	-17.50	100.0	-17.50
01/26/2017	CONCORDE, VARIOUS	FT UNIT 6403 MLP	-6,892.70	0.00	17.50	-17.50	100.0	-17.50
01/26/2017	CONCORDE, VARIOUS	FT UNIT 6403 MLP	-26,434.60	0.00	17.50	-17.50	100.0	-17.50
01/26/2017	CONCORDE, VARIOUS	FT UNIT 6403 MLP	7,185.10	0.00	17.50	-17.50	100.0	-17.50
01/26/2017	CONCORDE, VARIOUS	FT UNIT 6403 MLP	6,012.02	0.00	17.50	-17.50	100.0	-17.50
01/26/2017	CONCORDE, VARIOUS	FT UNIT 6403 MLP	6,692.82	0.00	17.50	-17.50	100.0	-17.50
01/26/2017	CONCORDE, VARIOUS	FT UNIT 6403 MLP	-18,558.93	0.00	17.50	-17.50	100.0	-17.50
01/26/2017	CONCORDE, VARIOUS	FT UNIT 6403 MLP	25,866.23	0.00	17.50	-17.50	100.0	-17.50
01/26/2017	CONCORDE, VARIOUS	FT UNIT 6403 MLP	-7,399.68	0.00	17.50	-17.50	100.0	-17.50
01/26/2017	CONCORDE, VARIOUS	FT UNIT 6403 MLP	18,067.13	0.00	17.50	-17.50	100.0	-17.50
01/26/2017	CONCORDE, VARIOUS	FT UNIT 6403 MLP CLOSED END PORT 14	-31,996.67	0.00	17.50	-17.50	100.0	-17.50
01/26/2017	CONCORDE, VARIOUS	FT UNIT 6403 MLP CLOSED END PORT 14	31,148.78	0.00	17.50	-17.50	100.0	-17.50
01/26/2017	CONCORDE, VARIOUS	FT UNIT 6450 EQUITY	19,902.67	0.00	17.50	-17.50	100.0	-17.50
01/26/2017	CONCORDE, VARIOUS	FT UNIT 6450 EQUITY	-20,497.12	0.00	17.50	-17.50	100.0	-17.50
01/26/2017	CONCORDE, VARIOUS	FT UNIT 6450 EQUITY	43,802.79	0.00	17.50	-17.50	100.0	-17.50
01/26/2017	CONCORDE, VARIOUS	FT UNIT 6450 EQUITY	-44,995.16	0.00	17.50	-17.50	100.0	-17.50
01/26/2017	CONCORDE, VARIOUS	FT UNIT 6450 EQUITY CLOSED END PORT	-31,992.72	0.00	17.50	-17.50	100.0	-17.50
01/26/2017	CONCORDE, VARIOUS	FT UNIT 6450 EQUITY CLOSED END PORT	31,144.91	0.00	17.50	-17.50	100.0	-17.50
01/26/2017	CONCORDE, VARIOUS	FT UNII 6391 DVID & INC PLUS	43,898.15	0.00	17.50	-17.50	100.0	-17.50
01/26/2017	CONCORDE, VARIOUS	FT UNII 6391 DVID & INC PLUS	-44,993.89	0.00	17.50	-17.50	100.0	-17.50
01/26/2017	CONCORDE, VARIOUS	FT UNII 6391 DVID & INC PLUS	19,962.06	0.00	17.50	-17.50	100.0	-17.50
01/26/2017	CONCORDE, VARIOUS	FT UNII 6391 DVID & INC PLUS	-20,509.18	0.00	17.50	-17.50	100.0	-17.50
* UNIT INVESTMENT TRUSTS SUBTOTAL *			\$-10,192.86	\$0.00	\$595.00	\$-595.00		\$-595.00
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
01/21/2017	TRAIL HAULING, DD	PROFUNDS	0.00	0.14	0.00	0.14	100.0	0.14
01/21/2017	HUFFMAN, JUSTINE	PROFUNDS	0.00	15.38	0.00	15.38	100.0	15.38
12/30/2016	TWEED, VARIOUS	SARATOGA/JAMES FUND TRAILS	0.00	2.28	0.00	2.28	100.0	2.28
12/30/2017	RENEE TRUST (NEWTON), BEVERLY	SARATOGA/JAMES FUND TRAILS	0.00	0.34	0.00	0.34	100.0	0.34

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<u>BROKER TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
01/03/2017	ESSARY, BRADLEY	UNION BANK AND TRUST	0.00	0.22	0.00	0.22	100.0	0.22
* MUTUAL FUND 12B1 TRAILS SUBTOTAL *			\$0.00	\$18.36	\$0.00	\$18.36		\$18.36
<u>PRODUCT CATEGORY: VARIABLE ANNUITY 12B1 TRAILS</u>								
01/20/2017	LUND, VARIOUS	ING RELIASTAR	0.00	139.50	0.00	139.50	100.0	139.50
01/13/2017	LUND, VARIOUS	ING RELIASTAR	0.00	257.86	0.00	257.86	100.0	257.86
01/17/2017	MCGINNIS, JAMES	ING LANDMARK	0.00	220.87	0.00	220.87	100.0	220.87
01/18/2017	VETERE, VICTORIA	ING PREMIUM PLUS	0.00	1.00	0.00	1.00	100.0	1.00
01/18/2017	BUCKEYE, JOAN	ING PREMIUM PLUS 2005	0.00	22.37	0.00	22.37	100.0	22.37
01/17/2017	RICHARDSON, CALVIN	LINCOLN BENEFIT LIFE	0.00	2.26	0.00	2.26	100.0	2.26
12/31/2016	GOODING, VARIOUS	MUTUAL OF OMAHA INS CO	0.00	11.74	0.00	11.74	100.0	11.74
01/17/2017	DUFOUR, TERENCE	PAC LIFE INNOVATIVE SELECT	0.00	54.93	0.00	54.93	100.0	54.93
01/17/2017	DUFOUR, DEBORAH	PAC LIFE INNOVATIVE SELECT	0.00	61.25	0.00	61.25	100.0	61.25
* VARIABLE ANNUITY 12B1 TRAILS SUBTOTAL *			\$0.00	\$771.78	\$0.00	\$771.78		\$771.78
*** BROKER TRANSACTIONS TOTAL ***			\$753,736.73	\$1,561.13	\$747.00	\$814.13		\$814.13

OVERRIDE TRANSACTIONS**BROKER: ACCOUNT HOUSE #1**

01/17/2017	LARA, DYLAN	AM FUNDS 2035 TARGET DATE-A	50.00	2.50	0.00	2.50	100.0	2.50
01/17/2017	LARA, DEREK	AM FUNDS 2035 TARGET DATE-A	50.00	2.50	0.00	2.50	100.0	2.50
01/12/2017	ESSARY, BRADLEY	AM FUNDS AMERICAN MUTUAL A	115.00	4.31	0.00	4.31	100.0	4.31
01/10/2017	BODO, DAVID	AM FUNDS CAPITAL INCOME BUILDER A	75.00	3.19	0.00	3.19	100.0	3.19
01/10/2017	BODO, DAVID	AM FUNDS CAPITAL WORLD GRTH & INC A	75.00	3.19	0.00	3.19	100.0	3.19
01/12/2017	ESSARY, BRADLEY	AM FUNDS CAPITAL WORLD GRTH & INC A	115.00	4.31	0.00	4.31	100.0	4.31
01/10/2017	GREEN, WILLIAM	AM FUNDS GROWTH AND INCOME A	250.00	12.50	0.00	12.50	100.0	12.50
01/20/2017	HERNANDEZ, HECTOR	AM FUNDS GROWTH AND INCOME A	50.00	2.50	0.00	2.50	100.0	2.50
01/10/2017	BODO, DAVID	AM FUNDS GROWTH FUND OF AMERICA A	50.00	2.13	0.00	2.13	100.0	2.13
01/12/2017	ESSARY, BRADLEY	AM FUNDS GROWTH FUND OF AMERICA A	115.00	4.31	0.00	4.31	100.0	4.31
01/17/2017	HAMM, ROBERT	AM FUNDS GROWTH FUND OF AMERICA A	300.00	12.75	0.00	12.75	100.0	12.75
01/17/2017	HENRY, WYATT	AM FUNDS GROWTH FUND OF AMERICA A	50.00	2.50	0.00	2.50	100.0	2.50
01/12/2017	ESSARY, BRADLEY	AM FUNDS NEW PERSPECTIVE A	115.00	4.31	0.00	4.31	100.0	4.31
* ACCOUNT HOUSE SUBTOTAL *			\$1,410.00	\$61.00	\$0.00	\$61.00		\$61.00

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u> OVERRIDE TRANSACTIONS </u>								
<u>BROKER: ANTHONY GUGLIELME #8</u>								
01/17/2017	BRANDUZZI, DOMENIC	AM FUNDS EUROPACIFIC GROWTH FUND A	100.00	4.25	0.00	4.25	0.0	4.25
01/17/2017	BRANDUZZI, DOMENIC	AM FUNDS GROWTH FUND OF AMERICA A	100.00	4.25	0.00	4.25	0.0	4.25
01/10/2017	SIKORA, JANET	PAC LIFE INNOVATIVE SELECT	0.00	293.73	0.00	293.73	0.0	293.73
01/12/2017	DURZO, ROSINA	PAC LIFE INNOVATIVE SELECT	0.00	80.13	0.00	80.13	0.0	80.13
01/19/2017	CALA, MARGHERITA	PAC LIFE PACIFIC CHOICE	0.00	12.59	0.00	12.59	0.0	12.59
* ANTHONY GUGLIELME SUBTOTAL *			\$200.00	\$394.95	\$0.00	\$394.95		\$394.95
<u>BROKER: MATT BRANSTETTER #10</u>								
01/17/2017	BENNETT, MARLA	AM FUNDS WASHINGTON MUTUAL INVESTOR	100.00	3.75	0.00	3.75	80.0	3.75
* MATT BRANSTETTER SUBTOTAL *			\$100.00	\$3.75	\$0.00	\$3.75		\$3.75
<u>BROKER: DANIEL WOLF #11</u>								
01/01/2017	SAVELA, RONALD	INVESCO ENERGY FUND A	0.00	0.99	0.00	0.99	0.0	0.99
01/24/2017	CARIGNAN, NANCY	MML CM LIFE VUL	46,714.81	5.84	0.00	5.84	0.0	5.84
* DANIEL WOLF SUBTOTAL *			\$46,714.81	\$6.83	\$0.00	\$6.83		\$6.83
<u>BROKER: EDWARD MCMANUS #25</u>								
01/04/2017	PETREE, GREGORY	PRINCIPAL FUNDS CAPITAL APPRECIATIO	0.00	8.14	0.00	8.14	0.0	8.14
12/27/2016	THOMAS, ROSEMARIE	PRINCIPAL FUNDS CONSERVATIVE GROWTH	150.00	7.13	0.00	7.13	0.0	7.13
12/27/2016	THOMAS, ROSEMARIE	PRINCIPAL FUNDS CONSERVATIVE GROWTH	150.00	7.13	0.00	7.13	0.0	7.13
01/04/2017	SPENCER FAMILY TRUST	PRINCIPAL FUNDS CONSERVATIVE GROWTH	0.00	0.53	0.00	0.53	0.0	0.53
01/04/2017	MILLICAN, KENNETH	PRINCIPAL FUNDS CONSERVATIVE GROWTH	0.00	0.04	0.00	0.04	0.0	0.04
01/04/2017	THOMAS, ROSEMARIE	PRINCIPAL FUNDS CONSERVATIVE GROWTH	0.00	10.12	0.00	10.12	0.0	10.12
01/10/2017	THOMAS, ROSEMARIE	PRINCIPAL FUNDS CONSERVATIVE GROWTH	187.50	8.91	0.00	8.91	0.0	8.91
01/10/2017	THOMAS, ROSEMARIE	PRINCIPAL FUNDS CONSERVATIVE GROWTH	187.50	8.91	0.00	8.91	0.0	8.91
01/04/2017	LIGON, NANCY	PRINCIPAL FUNDS GLOBAL DIVERSIFIED	0.00	14.08	0.00	14.08	0.0	14.08
01/04/2017	MILLICAN, KENNETH	PRINCIPAL FUNDS STRATEGIC GROWTH A	0.00	0.04	0.00	0.04	0.0	0.04
01/04/2017	JONES, SHERRY	PRINCIPAL FUNDS STRATEGIC GROWTH A	0.00	0.91	0.00	0.91	0.0	0.91
01/03/2017	COLVARD, DAVID	PUTNAM EUROPE EQUITY A	0.00	0.22	0.00	0.22	0.0	0.22
01/03/2017	COLVARD, DAVID	PUTNAM GLOBAL EQUITY A	0.00	0.04	0.00	0.04	0.0	0.04
01/03/2017	KELSEY, RONALD	PUTNAM GROWTH & INCOME A	0.00	0.04	0.00	0.04	0.0	0.04
01/03/2017	COLVARD, DAVID	PUTNAM INTERNATIONAL EQUITY-A	0.00	0.14	0.00	0.14	0.0	0.14
01/03/2017	COLVARD, DAVID	PUTNAM MULTI CAP GROWTH A	0.00	0.38	0.00	0.38	0.0	0.38
* EDWARD MCMANUS SUBTOTAL *			\$675.00	\$66.76	\$0.00	\$66.76		\$66.76

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<u> OVERRIDE TRANSACTIONS </u>								
<u>BROKER: ERIC HORNYAK #29</u>								
/ /	CROSSFIRE GROUP Q3AM	AM CENTURY HERITAGE	0.00	0.32	0.00	0.32	0.0	0.32
12/31/2016	MARSHALL, ANGELA	BLK MODERATE PTF A	0.00	0.97	0.00	0.97	0.0	0.97
12/31/2016	MARSHALL, ANGELA	BLK MODERATE PTF A	0.00	0.98	0.00	0.98	0.0	0.98
01/05/2017	BLINKE, RONALD	MAINSTAY HIGH YIELD CORP BOND A	0.00	68.75	0.00	68.75	0.0	68.75
* ERIC HORNYAK SUBTOTAL *			\$0.00	\$71.02	\$0.00	\$71.02		\$71.02
<u>BROKER: THOMAS SCHNEIDER #30</u>								
01/20/2017	NAGEOTTE, NIKOLAUS	AM FUNDS CAPITAL WORLD GRTH & INC A	100.00	5.00	0.00	5.00	0.0	5.00
01/05/2017	SHIELDS, GERALD	COLUMBIA SELIGMAN COMM AND INFO A	0.00	3.79	0.00	3.79	0.0	3.79
01/05/2017	FALKIEWICZ, DAVID	COLUMBIA SMALL CAP VALUE I A	0.00	5.69	0.00	5.69	0.0	5.69
01/01/2017	HAUMESSER, WILLIAM	INVESCO GROWTH AND INCOME A	0.00	14.53	0.00	14.53	0.0	14.53
01/03/2017	BLACKBURN, GLORIA	MFS AGGRESSIVE GROWTH ALLOCATION A	0.00	1.62	0.00	1.62	0.0	1.62
01/03/2017	CHIDSEY, DARRYL	MFS AGGRESSIVE GROWTH ALLOCATION C	0.00	10.62	0.00	10.62	0.0	10.62
01/03/2017	MARVIN, SAMANTHA	MFS CORE EQUITY A	0.00	1.06	0.00	1.06	0.0	1.06
01/03/2017	AUMAN, ABBY G M	MFS CORE EQUITY A	0.00	1.08	0.00	1.08	0.0	1.08
01/03/2017	MELLERT, BETH	MFS CORE EQUITY C	0.00	11.34	0.00	11.34	0.0	11.34
01/03/2017	BLACKBURN, W ALLEN	MFS CORE EQUITY C	0.00	5.31	0.00	5.31	0.0	5.31
01/03/2017	AUMAN, ABBY G M	MFS GLOBAL GROWTH A	0.00	1.26	0.00	1.26	0.0	1.26
01/03/2017	BONFIGLIO, DANIEL	MFS GROWTH A	0.00	7.41	0.00	7.41	0.0	7.41
01/03/2017	WRIGHT, JAMES	MFS GROWTH A	0.00	1.22	0.00	1.22	0.0	1.22
01/03/2017	O'CONNOR, CYNTHIA	MFS GROWTH A	0.00	2.80	0.00	2.80	0.0	2.80
01/03/2017	MARVIN, SAMANTHA	MFS GROWTH A	0.00	1.94	0.00	1.94	0.0	1.94
01/03/2017	AUMAN, ABBY G M	MFS GROWTH A	0.00	1.93	0.00	1.93	0.0	1.93
01/03/2017	MELLERT, BETH	MFS GROWTH C	0.00	9.84	0.00	9.84	0.0	9.84
01/03/2017	BLACKBURN, W ALLEN	MFS GROWTH C	0.00	4.39	0.00	4.39	0.0	4.39
01/03/2017	WEIDRICK, RUSSELL	MFS GROWTH C	0.00	8.42	0.00	8.42	0.0	8.42
01/03/2017	PASEK, KEVIN	MFS MASS INVESTORS GROWTH STOCK A	0.00	3.19	0.00	3.19	0.0	3.19
01/03/2017	PASEK, CHRISTINE	MFS MASS INVESTORS GROWTH STOCK A	0.00	1.18	0.00	1.18	0.0	1.18
01/03/2017	PASEK, CHRISTINE	MFS MASS INVESTORS GROWTH STOCK A	0.00	10.47	0.00	10.47	0.0	10.47
01/03/2017	MELLERT, BETH	MFS MASS INVESTORS GROWTH STOCK C	0.00	11.60	0.00	11.60	0.0	11.60
01/03/2017	BLACKBURN, W ALLEN	MFS MASS INVESTORS GROWTH STOCK C	0.00	5.20	0.00	5.20	0.0	5.20
01/03/2017	MELLERT, BETH	MFS MIDCAP GROWTH C	0.00	7.96	0.00	7.96	0.0	7.96
01/03/2017	BLACKBURN, W ALLEN	MFS MIDCAP GROWTH C	0.00	3.52	0.00	3.52	0.0	3.52
01/03/2017	KUSNERAK, SYLVIA	MFS MODERATE ALLOCATION A	0.00	22.98	0.00	22.98	0.0	22.98

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<u> OVERRIDE TRANSACTIONS </u>								
<u>BROKER: THOMAS SCHNEIDER #30</u>								
01/03/2017	WEIDRICK, RUSSELL	MFS NEW DISCOVERY C	0.00	8.83	0.00	8.83	0.0	8.83
01/03/2017	WRIGHT, JAMES	MFS RESEARCH A	0.00	2.55	0.00	2.55	0.0	2.55
01/03/2017	MARVIN, SAMANTHA	MFS RESEARCH INTL A	0.00	1.11	0.00	1.11	0.0	1.11
01/03/2017	MELLERT, BETH	MFS RESEARCH INTL C	0.00	12.30	0.00	12.30	0.0	12.30
01/03/2017	BLACKBURN, W ALLEN	MFS RESEARCH INTL C	0.00	5.89	0.00	5.89	0.0	5.89
/ /	D&D TRAILER HAULING INC	PROFUNDS ULTRA SMALLCAP SVC	0.00	0.03	0.00	0.03	0.0	0.03
/ /	GREENE, DAVID	PROFUNDS ULTRA SMALLCAP SVC	0.00	0.03	0.00	0.03	0.0	0.03
/ /	GREENE, DAVID	PROFUNDS ULTRA SMALLCAP SVC	0.00	0.09	0.00	0.09	0.0	0.09
/ /	D&D TRAILER HAULING INC	PROFUNDS ULTRASHORT SMALLCAP SVC	0.00	0.02	0.00	0.02	0.0	0.02
/ /	GREENE, DAVID	PROFUNDS ULTRASHORT SMALLCAP SVC	0.00	0.02	0.00	0.02	0.0	0.02
/ /	GREENE, DAVID	PROFUNDS ULTRASHORT SMALLCAP SVC	0.00	0.05	0.00	0.05	0.0	0.05
01/03/2017	SONDLES HOLMAN, KAREN	PUTNAM GLOBAL HEALTH CARE A	0.00	18.58	0.00	18.58	0.0	18.58
01/03/2017	O'CONNOR, TIMOTHY	PUTNAM GROWTH & INCOME A	0.00	3.01	0.00	3.01	0.0	3.01
01/03/2017	O'CONNOR, TIMOTHY	PUTNAM GROWTH & INCOME A	0.00	0.70	0.00	0.70	0.0	0.70
01/03/2017	O'CONNOR, TIMOTHY	PUTNAM GROWTH & INCOME B	0.00	4.95	0.00	4.95	0.0	4.95
01/03/2017	O'CONNOR, TIMOTHY	PUTNAM GROWTH & INCOME B	0.00	2.81	0.00	2.81	0.0	2.81
01/03/2017	O'CONNOR, TIMOTHY	PUTNAM INTERNATIONAL GROWTH-A	0.00	2.06	0.00	2.06	0.0	2.06
01/03/2017	O'CONNOR, TIMOTHY	PUTNAM INTERNATIONAL GROWTH-A	0.00	2.42	0.00	2.42	0.0	2.42
01/03/2017	JOHNSON, DANIEL	PUTNAM INTERNATIONAL GROWTH-A	0.00	3.10	0.00	3.10	0.0	3.10
01/03/2017	MILLER, BRADLEY	PUTNAM INTERNATIONAL GROWTH-A	0.00	0.61	0.00	0.61	0.0	0.61
01/03/2017	MILLER, BRIANNA	PUTNAM INTERNATIONAL GROWTH-A	0.00	0.09	0.00	0.09	0.0	0.09
01/03/2017	MILLER, SARAH	PUTNAM INTERNATIONAL GROWTH-A	0.00	0.61	0.00	0.61	0.0	0.61
01/03/2017	MILLER, BRADLEY	PUTNAM INVESTORS A	0.00	0.63	0.00	0.63	0.0	0.63
01/03/2017	MILLER, BRIANNA	PUTNAM INVESTORS A	0.00	0.09	0.00	0.09	0.0	0.09
01/03/2017	MILLER, SARAH	PUTNAM INVESTORS A	0.00	0.63	0.00	0.63	0.0	0.63
01/03/2017	O'CONNOR, TIMOTHY	PUTNAM MULTI CAP GROWTH A	0.00	7.33	0.00	7.33	0.0	7.33
01/03/2017	O'CONNOR, TIMOTHY	PUTNAM MULTI CAP GROWTH A	0.00	2.20	0.00	2.20	0.0	2.20
01/03/2017	O'CONNOR, TIMOTHY	PUTNAM MULTI CAP GROWTH A	0.00	2.67	0.00	2.67	0.0	2.67
01/03/2017	O'CONNOR, TIMOTHY	PUTNAM MULTI CAP GROWTH A	0.00	5.59	0.00	5.59	0.0	5.59
01/03/2017	LOWE, SARAH	PUTNAM MULTI CAP GROWTH A	0.00	0.44	0.00	0.44	0.0	0.44
01/03/2017	EAST, DENISE	PUTNAM MULTI CAP GROWTH A	0.00	0.90	0.00	0.90	0.0	0.90
01/03/2017	JOHNSON, DANIEL	PUTNAM MULTI CAP GROWTH A	0.00	3.63	0.00	3.63	0.0	3.63
01/03/2017	BABIN, WILLIAM	PUTNAM MULTI CAP GROWTH A	0.00	46.01	0.00	46.01	0.0	46.01

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<u> OVERRIDE TRANSACTIONS </u>								
<u> BROKER: THOMAS SCHNEIDER #30 </u>								
01/03/2017	LOWE, EMILY	PUTNAM MULTI CAP GROWTH A	0.00	0.12	0.00	0.12	0.0	0.12
01/03/2017	O'CONNOR, TIMOTHY	PUTNAM MULTI-CAP GROWTH B	0.00	4.99	0.00	4.99	0.0	4.99
01/03/2017	O'CONNOR, TIMOTHY	PUTNAM MULTI-CAP GROWTH B	0.00	2.95	0.00	2.95	0.0	2.95
* THOMAS SCHNEIDER SUBTOTAL *			\$100.00	\$313.39	\$0.00	\$313.39		\$313.39
<u> BROKER: THOMAS BOAKS #33 </u>								
01/05/2017	HAYES, REBECCA	ALGER CAPITAL APPRECIATION A	0.00	0.15	0.00	0.15	0.0	0.15
01/05/2017	MARTIN, DAVID	ALGER CAPITAL APPRECIATION A	0.00	0.33	0.00	0.33	0.0	0.33
01/05/2017	HAYES, REBECCA	ALGER GROWTH & INCOME A	0.00	0.13	0.00	0.13	0.0	0.13
01/05/2017	HAYES, REBECCA	ALGER LARGECAP GROWTH A	0.00	0.07	0.00	0.07	0.0	0.07
01/05/2017	MARTIN, DAVID	ALGER LARGECAP GROWTH A	0.00	0.15	0.00	0.15	0.0	0.15
01/05/2017	HAYES, REBECCA	ALGER MIDCAP GROWTH A	0.00	0.11	0.00	0.11	0.0	0.11
01/05/2017	MARTIN, DAVID	ALGER MIDCAP GROWTH A	0.00	0.05	0.00	0.05	0.0	0.05
01/05/2017	MARTIN, DAVID	ALGER SMALLCAP GROWTH A	0.00	0.19	0.00	0.19	0.0	0.19
/ /	WITT-AMANS	BLK GLOBAL ALLOCATION A	0.00	0.31	0.00	0.31	0.0	0.31
12/31/2016	SKIBA, TODD	BLK GLOBAL ALLOCATION A	0.00	5.89	0.00	5.89	0.0	5.89
12/31/2016	PITTE, JOELA	BLK GLOBAL ALLOCATION A	0.00	2.00	0.00	2.00	0.0	2.00
01/03/2017	BOAKS, CHRISTOPHER	DAVIS NEW YORK VENTURE A	0.00	0.39	0.00	0.39	0.0	0.39
12/30/2016	JACKSON, MATTHEW	DAVIS NEW YORK VENTURE C	30.00	0.30	0.00	0.30	0.0	0.30
01/03/2017	JACKSON, MATTHEW	DAVIS NEW YORK VENTURE C	0.00	23.05	0.00	23.05	0.0	23.05
01/03/2017	KANDT, TRACY	DAVIS NEW YORK VENTURE C	0.00	78.28	0.00	78.28	0.0	78.28
01/03/2017	BURESS, KELLY	DAVIS NEW YORK VENTURE C	0.00	5.39	0.00	5.39	0.0	5.39
01/03/2017	HEAD, JOHN	DAVIS NEW YORK VENTURE C	0.00	6.73	0.00	6.73	0.0	6.73
01/11/2017	BORDERS, BARBARA	DWS STRATEGIC GOVERNMENT SECURITIES	0.00	2.19	0.00	2.19	0.0	2.19
01/01/2017	ROSS JT TEN, LAWRENCE	INVESCO US GOVT A	0.00	5.38	0.00	5.38	0.0	5.38
* THOMAS BOAKS SUBTOTAL *			\$30.00	\$131.09	\$0.00	\$131.09		\$131.09
<u> BROKER: TIMOTHY BROWN #36 </u>								
01/10/2017	HAWK, CYNTHIA	AM FUNDS NEW PERSPECTIVE A	100.00	5.00	0.00	5.00	0.0	5.00
01/01/2017	JOHNSON, DANIEL	INVESCO AMERICAN FRANCHISE A	0.00	0.28	0.00	0.28	0.0	0.28
01/01/2017	MEWHINNEY, BARBARA	INVESCO CHARTER FUND A	0.00	7.02	0.00	7.02	0.0	7.02
01/01/2017	JOHNSON, DANIEL	INVESCO GBL SMALL & MID CAP GROWTH	0.00	0.62	0.00	0.62	0.0	0.62
01/01/2017	JOHNSON, DANIEL	INVESCO TECHNOLOGY A	0.00	0.35	0.00	0.35	0.0	0.35
/ /	APPLEBY, SCOTT	PROFUNDS ULTRANASDAQ 100 SVC	0.00	1.89	0.00	1.89	0.0	1.89

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<u> OVERRIDE TRANSACTIONS </u>								
<u>BROKER: TIMOTHY BROWN #36</u>								
/ /	APPLEBY, SCOTT	PROFUNDS ULTRANASDAQ 100 SVC	0.00	5.66	0.00	5.66	0.0	5.66
01/04/2017	CODDING, CRAIG	WELLS FARGO PREMIER LG COMP GRWTH A	0.00	2.76	0.00	2.76	0.0	2.76
* TIMOTHY BROWN SUBTOTAL *			\$100.00	\$23.58	\$0.00	\$23.58		\$23.58
<u>BROKER: BRUCE BAXTER #38</u>								
01/03/2017	BROWN, IAN	MFS AGGRESSIVE GROWTH ALLOCATION A	0.00	12.74	0.00	12.74	0.0	12.74
01/03/2017	BAXTER-SAVAGE, MEGAN	MFS AGGRESSIVE GROWTH ALLOCATION C	0.00	37.46	0.00	37.46	0.0	37.46
01/03/2017	BRENNEMAN, W JOHN	MFS GROWTH A	0.00	5.69	0.00	5.69	0.0	5.69
01/03/2017	WARTHMAN, JODY	MFS GROWTH A	0.00	0.73	0.00	0.73	0.0	0.73
01/03/2017	BAXTER, RYAN	MFS GROWTH ALLOCATION A	0.00	5.30	0.00	5.30	0.0	5.30
01/03/2017	BAXTER, SARAH	MFS GROWTH ALLOCATION A	0.00	5.02	0.00	5.02	0.0	5.02
/ /	DENNIS, MARK	PROFUNDS ULTRA SMALLCAP SVC	0.00	0.01	0.00	0.01	0.0	0.01
/ /	GOLSCH, LORI	PROFUNDS ULTRA SMALLCAP SVC	0.00	0.02	0.00	0.02	0.0	0.02
/ /	GEIGER, JACQUELYN	PROFUNDS ULTRA SMALLCAP SVC	0.00	0.07	0.00	0.07	0.0	0.07
/ /	DENNIS, MARK	PROFUNDS ULTRA SMALLCAP SVC	0.00	0.04	0.00	0.04	0.0	0.04
/ /	BAXTER, MEGAN	PROFUNDS ULTRA SMALLCAP SVC	0.00	0.01	0.00	0.01	0.0	0.01
/ /	GOLSCH, LORI	PROFUNDS ULTRA SMALLCAP SVC	0.00	0.07	0.00	0.07	0.0	0.07
/ /	GEIGER, JACQUELYN	PROFUNDS ULTRA SMALLCAP SVC	0.00	0.22	0.00	0.22	0.0	0.22
/ /	HUFFMAN, JUSTIN	PROFUNDS ULTRANASDAQ 100 SVC	0.00	5.13	0.00	5.13	0.0	5.13
/ /	DENNIS, MARK	PROFUNDS ULTRASHORT SMALLCAP SVC	0.00	0.01	0.00	0.01	0.0	0.01
/ /	GOLSCH, LORI	PROFUNDS ULTRASHORT SMALLCAP SVC	0.00	0.02	0.00	0.02	0.0	0.02
/ /	GEIGER, JACQUELYN	PROFUNDS ULTRASHORT SMALLCAP SVC	0.00	0.05	0.00	0.05	0.0	0.05
/ /	DENNIS, MARK	PROFUNDS ULTRASHORT SMALLCAP SVC	0.00	0.03	0.00	0.03	0.0	0.03
/ /	BAXTER, MEGAN	PROFUNDS ULTRASHORT SMALLCAP SVC	0.00	0.01	0.00	0.01	0.0	0.01
/ /	GOLSCH, LORI	PROFUNDS ULTRASHORT SMALLCAP SVC	0.00	0.05	0.00	0.05	0.0	0.05
/ /	GEIGER, JACQUELYN	PROFUNDS ULTRASHORT SMALLCAP SVC	0.00	0.14	0.00	0.14	0.0	0.14
* BRUCE BAXTER SUBTOTAL *			\$0.00	\$72.82	\$0.00	\$72.82		\$72.82
<u>BROKER: MELANIE DICENSO #43</u>								
01/11/2017	DYKE PUBLIC SCHOOLS 68800, VANDWS	DEUTSCHE CASH INVESTMENT TRUST-	0.00	0.86	0.00	0.86	0.0	0.86
01/11/2017	VANDERKHOVE, HANNAH	DWS DEUTSCHE EQUITY DIVIDEND FUND-A	0.00	0.43	0.00	0.43	0.0	0.43
01/11/2017	NASH, SUZANNE	DWS GLOBAL INCOME BUILDER A	0.00	0.05	0.00	0.05	0.0	0.05
01/09/2017	PETERSON, MARY	FRANKLIN INCOME A	49.95	2.00	0.00	2.00	0.0	2.00
01/04/2017	DAYTON, ROBERT	PIONEER FUND A	0.00	0.75	0.00	0.75	0.0	0.75

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<u> OVERRIDE TRANSACTIONS </u>								
<u>BROKER: MELANIE DICENSO #43</u>								
01/03/2017	JOSEPH, CATHERINE	PUTNAM EUROPE EQUITY A	0.00	0.08	0.00	0.08	0.0	0.08
01/03/2017	JOSEPH, CATHERINE	PUTNAM GROWTH OPP A	0.00	0.23	0.00	0.23	0.0	0.23
01/03/2017	JOSEPH, CATHERINE	PUTNAM INTERNATIONAL EQUITY-A	0.00	0.13	0.00	0.13	0.0	0.13
01/03/2017	WRIGHT, ANGELA	PUTNAM MULTI CAP GROWTH A	0.00	17.15	0.00	17.15	0.0	17.15
01/03/2017	JOSEPH, CATHERINE	PUTNAM MULTI CAP GROWTH A	0.00	0.05	0.00	0.05	0.0	0.05
01/03/2017	WRIGHT, ANGELA	PUTNAM MULTI-CAP VALUE A	0.00	3.69	0.00	3.69	0.0	3.69
01/03/2017	JOSEPH, CATHERINE	PUTNAM VOYAGER A	0.00	0.06	0.00	0.06	0.0	0.06
01/09/2017	PETERSON, MARY	TEMPLETON GROWTH A	49.95	2.50	0.00	2.50	0.0	2.50
* MELANIE DICENSO SUBTOTAL *			\$99.90	\$27.98	\$0.00	\$27.98		\$27.98
<u>BROKER: JOHN BEAN #45</u>								
01/04/2017	TOTZKE, LARRY	CALVERT INCOME FUND CLASS A	0.00	3.79	0.00	3.79	0.0	3.79
01/06/2017	GOOD HOPE LUTHERAN	PIMCO LOW DURATION CLASS A	0.00	18.40	0.00	18.40	0.0	18.40
01/06/2017	STUMP, DAVID	PIMCO TOTAL RETURN D	0.00	1.36	0.00	1.36	0.0	1.36
01/06/2017	HENRY, REBECCA	PIMCO TOTAL RETURN D	0.00	1.22	0.00	1.22	0.0	1.22
* JOHN BEAN SUBTOTAL *			\$0.00	\$24.77	\$0.00	\$24.77		\$24.77
<u>BROKER: ROBERT (RUSTY) TWEED #58</u>								
01/05/2017	ENGSTROM, COLEMAN	COLUMBIA ACORN INT'L A	0.00	2.09	0.00	2.09	0.0	2.09
01/05/2017	PANTON, GARY T & DEBORA	COLUMBIA CALIFORNIA TAX-EXEMPT FUND	0.00	0.84	0.00	0.84	0.0	0.84
01/05/2017	UMBRELLO, ALBERT	COLUMBIA LARGE CAP GROWTH A	0.00	5.66	0.00	5.66	0.0	5.66
01/05/2017	UMBRELLO, ALBERT	COLUMBIA SELIGMAN COMM AND INFO A	0.00	4.49	0.00	4.49	0.0	4.49
01/01/2017	DESIANO, ELIZABETH	INVESCO AMERICAN FRANCHISE A	0.00	5.06	0.00	5.06	0.0	5.06
01/01/2017	DESIANO, ELIZABETH	INVESCO CHARTER FUND A	0.00	5.40	0.00	5.40	0.0	5.40
01/01/2017	MCCUTCHAN, BARBARA	INVESCO MONEY MARKET C	0.00	0.18	0.00	0.18	0.0	0.18
01/01/2017	MCCUTCHAN, BARBARA	INVESCO SMALL CAP EQUITY FUND	0.00	15.67	0.00	15.67	0.0	15.67
01/01/2017	DESIANO, ELIZABETH	INVESCO VALUE OPP A	0.00	4.90	0.00	4.90	0.0	4.90
01/17/2017	VAN DE BRAKE, MARY	JH FINANCIAL INDUSTRIES A	0.00	2.03	0.00	2.03	0.0	2.03
01/17/2017	VAN DE BRAKE, ARTHUR	JH FINANCIAL INDUSTRIES A	0.00	2.02	0.00	2.02	0.0	2.02
01/17/2017	PANTON, GARY	JH GOVERNMENT INCOME A	0.00	1.09	0.00	1.09	0.0	1.09
01/17/2017	PANTON, GARY	JH GOVERNMENT INCOME A	0.00	1.78	0.00	1.78	0.0	1.78
01/17/2017	FURUKAWA, CLARA	JH STRATEGIC GROWTH A	0.00	1.71	0.00	1.71	0.0	1.71
01/04/2017	MYERS, BARBARA	PIONEER EQUITY INCOME A	0.00	3.34	0.00	3.34	0.0	3.34
01/04/2017	MYERS, BARBARA	PIONEER MID CAP VALUE A	0.00	1.07	0.00	1.07	0.0	1.07

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<u> OVERRIDE TRANSACTIONS </u>								
<u> BROKER: ROBERT (RUSTY) TWEED #58 </u>								
01/20/2017	PETRIE, RODNEY	VERTICAL CAPITAL INCOME FUND A	-8,623.02	30.00	22.00	8.00	0.0	8.00
		* ROBERT (RUSTY) TWEED SUBTOTAL *	\$-8,623.02	\$87.33	\$22.00	\$65.33		\$65.33
<u> BROKER: JIM LUND #60 </u>								
01/17/2017	BARBOUR, ELEANOR	FA 529 PORT 2016 C	200.00	10.00	0.00	10.00	0.0	10.00
01/17/2017	HERNANDEZ, MICHELLE	FA 529 PORT 2025 A	50.00	2.50	0.00	2.50	0.0	2.50
01/17/2017	HERNANDEZ, MICHELLE	FA 529 PORT 2025 A	50.00	2.50	0.00	2.50	0.0	2.50
01/17/2017	HERNANDEZ, MICHELLE	FA 529 PORT 2025 A	50.00	2.50	0.00	2.50	0.0	2.50
01/17/2017	WURMLINGER, MARTIN	FRANKLIN INCOME A	100.00	4.00	0.00	4.00	0.0	4.00
01/20/2017	RUBLY, WILLIAM	FRANKLIN INCOME A	100,000.00	1,600.00	0.00	1,600.00	0.0	1,600.00
01/11/2017	RAMIREZ, MYRNA	FT FOUNDING FUNDS ALLOC A	650.00	18.20	0.00	18.20	0.0	18.20
01/18/2017	CRAIG, JAMIE	FT MODERATE ALLOCATION FUND C	120.00	1.20	0.00	1.20	0.0	1.20
01/06/2017	YUGE, SEAN	OPPENHEIMER PORT SERIES ACTIVE ALLO	200.00	9.50	0.00	9.50	0.0	9.50
01/10/2017	CIESLIK, CHAD	OPPENHEIMER QUEST OPP VALUE A	247.50	11.76	0.00	11.76	0.0	11.76
01/10/2017	CIESLIK, CHAD	OPPENHEIMER SMALL MID CAP VALUE A	82.50	3.92	0.00	3.92	0.0	3.92
		* JIM LUND SUBTOTAL *	\$101,750.00	\$1,666.08	\$0.00	\$1,666.08		\$1,666.08
<u> BROKER: JAMES PANOS #61 </u>								
/ /	FITZGIBBON, EDMUND	FA 529 DIVERSIFIED INTL PORT C	0.00	0.70	0.00	0.70	0.0	0.70
01/17/2017	FITZGIBBON, EDMUND	FA 529 EQUITY GROWTH PORT C	70.00	0.70	0.00	0.70	0.0	0.70
01/17/2017	FITZGIBBON, EDMUND	FA 529 EQUITY GROWTH PORT C	70.00	0.70	0.00	0.70	0.0	0.70
01/17/2017	ALEXANDER, DOUGLAS	FA 529 PORT 2016 C	900.00	24.75	0.00	24.75	0.0	24.75
01/17/2017	MACUCH, PAUL	FA 529 PORT 2016 C	50.00	0.50	0.00	0.50	0.0	0.50
01/17/2017	ALEXANDER, DOUGLAS	FA 529 PORT 2019 A	800.00	22.00	0.00	22.00	0.0	22.00
01/17/2017	MACUCH, PAUL	FA 529 PORT 2019 C	50.00	0.50	0.00	0.50	0.0	0.50
01/17/2017	DORAN, PATRICK	FA 529 PORT 2019 C	50.00	0.50	0.00	0.50	0.0	0.50
01/17/2017	LORA, MARCOS	FA 529 PORT 2022 C	150.00	1.50	0.00	1.50	0.0	1.50
01/17/2017	LORA, CATALINA	FA 529 PORT 2022 C	150.00	1.50	0.00	1.50	0.0	1.50
01/17/2017	DORAN, PATRICK	FA 529 PORT 2022 C	50.00	0.50	0.00	0.50	0.0	0.50
01/17/2017	MACUCH, PAUL	FA 529 PORT 2022 C	50.00	0.50	0.00	0.50	0.0	0.50
01/17/2017	MACUCH, PAUL	FA 529 PORT 2022 C	50.00	0.50	0.00	0.50	0.0	0.50
01/17/2017	MACUCH, PAUL	FA 529 PORT 2022 C	50.00	0.50	0.00	0.50	0.0	0.50
01/17/2017	LORA, ROLANDO	FA 529 PORT 2022 C	150.00	1.50	0.00	1.50	0.0	1.50
01/17/2017	MACUCH, PAUL	FA 529 PORT 2028 C	50.00	0.50	0.00	0.50	0.0	0.50

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<u> OVERRIDE TRANSACTIONS </u>								
<u>BROKER: JAMES PANOS #61</u>								
01/03/2017	BROPHY, VIRGINIA	METLIFE SERIES L	166,651.11	416.63	0.00	416.63	0.0	416.63
01/03/2017	BROPHY, CHARLES	METLIFE SERIES L	345,160.36	862.90	0.00	862.90	0.0	862.90
01/03/2017	KAVANAUGH, MARJORIE	METLIFE SERIES L	64,460.12	161.15	0.00	161.15	0.0	161.15
01/03/2017	MONAGHAN, THOMAS	METLIFE SERIES L	143,357.05	358.39	0.00	358.39	0.0	358.39
01/03/2017	VITUKEVICH, MICHAEL	METLIFE SERIES L	152,043.45	380.11	0.00	380.11	0.0	380.11
01/03/2017	YFANTOPULOS, GEORGE	METLIFE SERIES L	224,182.55	560.46	0.00	560.46	0.0	560.46
01/03/2017	KAVANAUGH, MARJORIE	METLIFE SERIES L	88,859.30	222.15	0.00	222.15	0.0	222.15
01/03/2017	CHIARELLA, LAWRENCE	METLIFE SERIES L	288,600.85	721.50	0.00	721.50	0.0	721.50
* JAMES PANOS SUBTOTAL *			\$1,476,004.79	\$3,740.64	\$0.00	\$3,740.64		\$3,740.64
<u>BROKER: RENE CASTRO #92</u>								
01/11/2017	PIRIO, PAUL	ING PREMIUM PLUS	0.00	84.36	0.00	84.36	0.0	84.36
01/17/2017	BUSTOS, ARMANDO	JH HIGH YIELD A	0.00	2.34	0.00	2.34	0.0	2.34
01/17/2017	BUSTOS, ARMANDO	JH STRATEGIC INCOME A	0.00	9.18	0.00	9.18	0.0	9.18
* RENE CASTRO SUBTOTAL *			\$0.00	\$95.88	\$0.00	\$95.88		\$95.88
<u>BROKER: DANIEL COLLINS #106</u>								
01/10/2017	PLUTSCHAK, ERNEST	GENWORTH COMMONWEALTH VA 1994 (NON-	5,151.64	0.86	0.00	0.86	0.0	0.86
01/10/2017	PLUTSCHAK, ERNEST	GENWORTH COMMONWEALTH VA 1994 (NON-	67,495.25	11.25	0.00	11.25	0.0	11.25
01/17/2017	EVANSUSA, DENISE	JH FINANCIAL INDUSTRIES A	0.00	1.38	0.00	1.38	0.0	1.38
01/17/2017	EVANSUSA, DENISE	JH FINANCIAL INDUSTRIES B	0.00	0.31	0.00	0.31	0.0	0.31
01/17/2017	EVANSUSA, DENISE	JH LARGE CAP EQUITY A	0.00	2.31	0.00	2.31	0.0	2.31
01/17/2017	EVANSUSA, DENISE	JH LARGE CAP EQUITY B	0.00	0.23	0.00	0.23	0.0	0.23
01/17/2017	EVANSUSA, DENISE	JH NEW OPPORTUNITIES A	0.00	1.87	0.00	1.87	0.0	1.87
01/17/2017	EVANSUSA, DENISE	JH STRATEGIC GROWTH A	0.00	1.73	0.00	1.73	0.0	1.73
01/03/2017	COOPER, CHARLES	METLIFE SERIES L	42,435.74	106.09	0.00	106.09	0.0	106.09
01/03/2017	WILLIAMS, JESSIE	METLIFE SERIES L	210,608.13	526.52	0.00	526.52	0.0	526.52
01/03/2017	DAUBERT, D	METLIFE SERIES L	18,602.08	46.51	0.00	46.51	0.0	46.51
01/03/2017	PETITT, WILLIAM	METLIFE SERIES L	31,514.83	78.79	0.00	78.79	0.0	78.79
* DANIEL COLLINS SUBTOTAL *			\$375,807.67	\$777.85	\$0.00	\$777.85		\$777.85
<u>BROKER: G118 GRECO #110</u>								
01/20/2017	GARZA, NATHAN	AM FUNDS GROWTH FUND OF AMERICA 529	50.00	2.50	0.00	2.50	0.0	2.50
01/20/2017	GARZA, NATHAN	AM FUNDS NEW PERSPECTIVE 529A	50.00	2.50	0.00	2.50	0.0	2.50
* G118 GRECO SUBTOTAL *			\$100.00	\$5.00	\$0.00	\$5.00		\$5.00

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<u> OVERRIDE TRANSACTIONS </u>								
<u>BROKER: JAMES KOESTER #117</u>								
/ /	WINBERRY, LARRY	JH 529 LIFESTYLE GROWTH A	0.00	4.25	0.00	4.25	0.0	4.25
01/17/2017	HAMILTON, LAWRENCE	JH 529 PORT 2021-2024 A	250.00	10.63	0.00	10.63	0.0	10.63
01/17/2017	HAMILTON, LAWRENCE	JH 529 PORT 2025-2028 A	250.00	10.63	0.00	10.63	0.0	10.63
12/31/2016	ROCHESTER HILLS, PUBLIC	PRINCIPAL LIFE	0.00	1,681.33	0.00	1,681.33	0.0	1,681.33
* JAMES KOESTER SUBTOTAL *			\$500.00	\$1,706.84	\$0.00	\$1,706.84		\$1,706.84
<u>BROKER: ERNEST DALE ANDERSON #119</u>								
01/04/2017	VAN BAAL, RUDOLF	AGI BEST STYLES INTRNTL EQ PORT MI-	0.00	1.29	0.00	1.29	0.0	1.29
01/04/2017	VAN BAAL, RUDOLF	AGI BEST STYLES INTRNTL EQ PORT MI-	0.00	0.26	0.00	0.26	0.0	0.26
01/04/2017	VAN BAAL, RUDOLF	AGI BEST STYLES INTRNTL EQ PORT MI-	0.00	0.20	0.00	0.20	0.0	0.20
01/04/2017	VAN BAAL, RUDOLF	AGI BEST STYLES US EQUITY PORT MI-A	0.00	1.41	0.00	1.41	0.0	1.41
01/04/2017	VAN BAAL, RUDOLF	AGI BEST STYLES US EQUITY PORT MI-A	0.00	0.36	0.00	0.36	0.0	0.36
01/04/2017	VAN BAAL, RUDOLF	AGI BEST STYLES US EQUITY PORT MI-A	0.00	0.22	0.00	0.22	0.0	0.22
01/04/2017	VAN BAAL, RUDOLF	MI 529 ADV ALLIANZGI INC & GRWTH MI	0.00	1.38	0.00	1.38	0.0	1.38
01/04/2017	VAN BAAL, RUDOLF	MI 529 ADV TIAA-CREF SM-CAP BLEND I	0.00	1.49	0.00	1.49	0.0	1.49
01/04/2017	VAN BAAL, RUDOLF	MI 529 ADV TIAA-CREF SM-CAP BLEND I	0.00	0.34	0.00	0.34	0.0	0.34
01/04/2017	VAN BAAL, RUDOLF	MI 529 ADV TIAA-CREF SM-CAP BLEND I	0.00	0.23	0.00	0.23	0.0	0.23
01/04/2017	VAN BAAL, RUDOLF	MI 529 ADVISOR TIAA-CREF S&P 500 IN	0.00	1.46	0.00	1.46	0.0	1.46
01/04/2017	VAN BAAL, RUDOLF	MI 529 ADVISOR TIAA-CREF S&P 500 IN	0.00	0.37	0.00	0.37	0.0	0.37
01/04/2017	VAN BAAL, RUDOLF	MI 529 ADVISOR TIAA-CREF S&P 500 IN	0.00	0.29	0.00	0.29	0.0	0.29
* ERNEST DALE ANDERSON SUBTOTAL *			\$0.00	\$9.30	\$0.00	\$9.30		\$9.30
<u>BROKER: JAY MCCLELLAN #120</u>								
01/05/2017	CRABTREE, ASHTYN	COLUMBIA STRATEGIC INVESTOR A	0.00	2.58	0.00	2.58	90.0	2.58
01/01/2017	SCHWARTZ JT TEN, BARBARA	INVESCO AMERICAN FRANCHISE A	0.00	17.67	0.00	17.67	90.0	17.67
01/01/2017	DICKEY, CYNTHIA	INVESCO CHARTER FUND A	0.00	5.09	0.00	5.09	90.0	5.09
01/01/2017	ZEHRINGER, SHARON	INVESCO DEVELOPING MARKETS A	0.00	18.92	0.00	18.92	90.0	18.92
01/01/2017	ZEHRINGER, JAMES	INVESCO DEVELOPING MARKETS A	0.00	16.93	0.00	16.93	90.0	16.93
01/01/2017	ZEHRINGER, SHARON	INVESCO DEVELOPING MARKETS A	0.00	15.28	0.00	15.28	90.0	15.28
01/01/2017	ZEHRINGER, CJAMES	INVESCO DEVELOPING MARKETS A	0.00	15.34	0.00	15.34	90.0	15.34
01/01/2017	ZEHRINGER, JAMES	INVESCO DEVELOPING MARKETS A	0.00	1.02	0.00	1.02	90.0	1.02
01/01/2017	PETKERVICH TRUST, MARY	INVESCO MIDCAP GROWTH A	0.00	9.50	0.00	9.50	90.0	9.50
01/01/2017	PETKERVICH TRUST, MARY	INVESCO SMALL CAP GROWTH FUND-INV C	0.00	1.78	0.00	1.78	90.0	1.78
01/01/2017	ZEHRINGER TRUST	INVESCO TECHNOLOGY A	0.00	0.52	0.00	0.52	90.0	0.52

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<u> OVERRIDE TRANSACTIONS </u>								
<u>BROKER: JAY MCCLELLAN #120</u>								
01/09/2017	CRABTREE, GARY	METLIFE	7,058.74	1.47	0.00	1.47	90.0	1.47
01/09/2017	CRABTREE, GARY	METLIFE	8,108.30	1.69	0.00	1.69	90.0	1.69
01/09/2017	CRABTREE, GARY	METLIFE	6,316.63	1.31	0.00	1.31	90.0	1.31
01/09/2017	CRABTREE, GARY	METLIFE	11,063.55	2.30	0.00	2.30	90.0	2.30
01/09/2017	CRABTREE, GARY	METLIFE	34,324.13	7.14	0.00	7.14	90.0	7.14
01/09/2017	CRABTREE, GARY	METLIFE	5,866.12	1.22	0.00	1.22	90.0	1.22
01/04/2017	PHILLIPS JT TEN, PATRICIA	PIONEER BOND FUND - INTERMEDIATE C	0.00	14.35	0.00	14.35	90.0	14.35
01/04/2017	CURTIS, VIRGINIA	PIONEER BOND FUND A	0.00	2.21	0.00	2.21	90.0	2.21
01/04/2017	BOWDEN, KATHY	PIONEER BOND FUND A	0.00	0.83	0.00	0.83	90.0	0.83
01/04/2017	PEACOCK, RICHARD	PIONEER BOND FUND A	0.00	4.83	0.00	4.83	90.0	4.83
01/04/2017	DEXTER, ROCHELLE	PIONEER BOND FUND A	0.00	3.59	0.00	3.59	90.0	3.59
01/04/2017	FOUGHT, PAUL	PIONEER BOND FUND A	0.00	4.66	0.00	4.66	90.0	4.66
01/04/2017	CURTIS, VIRGINIA	PIONEER BOND FUND A	0.00	10.77	0.00	10.77	90.0	10.77
01/04/2017	CURTIS, VIRGINIA	PIONEER BOND FUND A	0.00	25.03	0.00	25.03	90.0	25.03
01/04/2017	SCHWARTZ, JERRY	PIONEER BOND FUND A	0.00	3.21	0.00	3.21	90.0	3.21
01/04/2017	WEHRKAMP, KENNETH	PIONEER BOND FUND A	0.00	3.39	0.00	3.39	90.0	3.39
01/04/2017	COPPERSMITH, MIRANDA	PIONEER BOND FUND A	0.00	2.54	0.00	2.54	90.0	2.54
01/04/2017	CAMP, LINDA	PIONEER BOND FUND A	0.00	4.71	0.00	4.71	90.0	4.71
01/04/2017	WOOD, MARLENE	PIONEER BOND FUND A	0.00	5.29	0.00	5.29	90.0	5.29
01/04/2017	ZEHRINGER, JAMES	PIONEER BOND FUND A	0.00	1.36	0.00	1.36	90.0	1.36
01/04/2017	FORTKAMP TRUST, LAVERN & MARY	PIONEER BOND FUND A	0.00	19.78	0.00	19.78	90.0	19.78
01/04/2017	BEANY, MICHELLE	PIONEER BOND FUND A	0.00	2.80	0.00	2.80	90.0	2.80
01/04/2017	BOWDEN, KATHY	PIONEER CLASSIC BALANCED FUND A	0.00	3.15	0.00	3.15	90.0	3.15
01/04/2017	WEHRKAMP, REBECCA	PIONEER CLASSIC BALANCED FUND A	0.00	4.61	0.00	4.61	90.0	4.61
01/04/2017	MATHENEY, DONNA	PIONEER CLASSIC BALANCED FUND A	0.00	4.47	0.00	4.47	90.0	4.47
01/04/2017	ARMSTRONG, TODD	PIONEER CLASSIC BALANCED FUND A	0.00	4.36	0.00	4.36	90.0	4.36
01/04/2017	WEHRKAMP, KENNETH	PIONEER CLASSIC BALANCED FUND A	0.00	4.74	0.00	4.74	90.0	4.74
01/04/2017	KEY, LARRY	PIONEER CLASSIC BALANCED FUND A	0.00	1.63	0.00	1.63	90.0	1.63
01/04/2017	PRICE, JOYCE	PIONEER CLASSIC BALANCED FUND A	0.00	3.70	0.00	3.70	90.0	3.70
01/04/2017	FORTKAMP TRUST, LAVERN & MARY	PIONEER CLASSIC BALANCED FUND A	0.00	9.48	0.00	9.48	90.0	9.48
01/04/2017	PEACOCK, RICHARD	PIONEER CULLEN VALUE FUND A	0.00	6.84	0.00	6.84	90.0	6.84
01/04/2017	WEHRKAMP, REBECCA	PIONEER CULLEN VALUE FUND A	0.00	3.91	0.00	3.91	90.0	3.91
01/04/2017	FOUGHT, PAUL	PIONEER CULLEN VALUE FUND A	0.00	2.78	0.00	2.78	90.0	2.78

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u> OVERRIDE TRANSACTIONS </u>								
<u>BROKER: JAY MCCLELLAN #120</u>								
01/04/2017	MINIX, DEBORAH	PIONEER CULLEN VALUE FUND A	0.00	10.14	0.00	10.14	90.0	10.14
01/04/2017	BROWN, EMILY	PIONEER CULLEN VALUE FUND A	0.00	4.30	0.00	4.30	90.0	4.30
01/04/2017	RATLIFF, DONNA	PIONEER CULLEN VALUE FUND A	0.00	4.74	0.00	4.74	90.0	4.74
01/04/2017	WEHRKAMP, KENNETH	PIONEER CULLEN VALUE FUND A	0.00	2.02	0.00	2.02	90.0	2.02
01/04/2017	COPPERSMITH, MIRANDA	PIONEER CULLEN VALUE FUND A	0.00	2.68	0.00	2.68	90.0	2.68
01/04/2017	ZEHRINGER, JAMES	PIONEER CULLEN VALUE FUND A	0.00	8.22	0.00	8.22	90.0	8.22
01/04/2017	MATHENEY, DONNA	PIONEER EMERGING MARKETS A	0.00	0.56	0.00	0.56	90.0	0.56
01/04/2017	MCCABE TRUST, DANNY	PIONEER EMERGING MARKETS A	0.00	0.03	0.00	0.03	90.0	0.03
01/04/2017	SHORT, DAWN	PIONEER EMERGING MARKETS A	0.00	6.77	0.00	6.77	90.0	6.77
01/04/2017	BROWN, EMILY	PIONEER EMERGING MARKETS A	0.00	2.50	0.00	2.50	90.0	2.50
01/04/2017	ARMSTRONG, TODD	PIONEER EMERGING MARKETS A	0.00	1.78	0.00	1.78	90.0	1.78
01/04/2017	RATLIFF, DONNA	PIONEER EMERGING MARKETS A	0.00	0.59	0.00	0.59	90.0	0.59
01/04/2017	COPPERSMITH, MIRANDA	PIONEER EMERGING MARKETS A	0.00	0.53	0.00	0.53	90.0	0.53
01/04/2017	KEY, LARRY	PIONEER EMERGING MARKETS A	0.00	2.51	0.00	2.51	90.0	2.51
01/04/2017	MINIX, DEBORAH	PIONEER EMERGING MARKETS A	0.00	1.18	0.00	1.18	90.0	1.18
01/04/2017	THOMPSON REYNOLDS JT TEN,	PIONEER EMERGING MARKETS A	0.00	1.57	0.00	1.57	90.0	1.57
01/04/2017	ZUO, YUNWU	PIONEER EMERGING MARKETS A	0.00	3.25	0.00	3.25	90.0	3.25
01/04/2017	MCCLELLAN, JAY	PIONEER EMERGING MARKETS A	0.00	3.69	0.00	3.69	90.0	3.69
01/04/2017	STARNES, EDDIE	PIONEER EQUITY INCOME A	0.00	0.35	0.00	0.35	90.0	0.35
01/04/2017	ZEHRINGER, SHARON	PIONEER EQUITY INCOME A	0.00	5.97	0.00	5.97	90.0	5.97
01/04/2017	ZEHRINGER, JAMES	PIONEER EQUITY INCOME A	0.00	5.04	0.00	5.04	90.0	5.04
01/04/2017	JONES, JACQUELINE	PIONEER EQUITY INCOME A	0.00	2.28	0.00	2.28	90.0	2.28
01/04/2017	MILLER, MYRNA	PIONEER FLOATING RATE A	0.00	11.51	0.00	11.51	90.0	11.51
01/04/2017	SHORT, DAWN	PIONEER FLOATING RATE A	0.00	32.53	0.00	32.53	90.0	32.53
01/04/2017	MCCABE VA/UTMA, ELIZABETH	PIONEER FUND A	0.00	1.38	0.00	1.38	90.0	1.38
01/04/2017	WATKINS OH/UTMA, ALEXI	PIONEER FUND A	0.00	1.42	0.00	1.42	90.0	1.42
01/04/2017	FOUGHT, PAUL	PIONEER FUND A	0.00	5.32	0.00	5.32	90.0	5.32
01/04/2017	HUTTON JT TEN, JANET	PIONEER FUND A	0.00	5.88	0.00	5.88	90.0	5.88
01/04/2017	MINIX, DEBORAH	PIONEER FUND A	0.00	1.51	0.00	1.51	90.0	1.51
01/04/2017	CURTIS, RAY	PIONEER FUND A	0.00	2.78	0.00	2.78	90.0	2.78
01/04/2017	BROWN, EMILY	PIONEER FUND A	0.00	15.00	0.00	15.00	90.0	15.00
01/04/2017	SCHWARTZ, JERRY	PIONEER FUND A	0.00	1.14	0.00	1.14	90.0	1.14
01/04/2017	JONES, JACQUELINE	PIONEER FUND A	0.00	1.59	0.00	1.59	90.0	1.59

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<u> OVERRIDE TRANSACTIONS </u>								
<u> BROKER: JAY MCCLELLAN #120 </u>								
01/04/2017	FORTKAMP TRUST, LAVERN & MARY	PIIONEER FUND A	0.00	6.38	0.00	6.38	90.0	6.38
01/04/2017	RUSH, KAREN	PIIONEER FUND A	0.00	11.25	0.00	11.25	90.0	11.25
01/04/2017	BEANY, MICHELLE	PIIONEER FUND A	0.00	3.34	0.00	3.34	90.0	3.34
01/04/2017	CRABTREE, GARY	PIIONEER FUND C	0.00	8.67	0.00	8.67	90.0	8.67
01/04/2017	GREGONCZA, RONALD	PIIONEER FUND C	0.00	25.68	0.00	25.68	90.0	25.68
01/04/2017	ARMSTRONG, TODD	PIIONEER FUNDAMENTAL GROWTH A	0.00	2.61	0.00	2.61	90.0	2.61
01/04/2017	COPPERSMITH, MIRANDA	PIIONEER FUNDAMENTAL GROWTH A	0.00	1.83	0.00	1.83	90.0	1.83
01/04/2017	THOMPSON REYNOLDS JT TEN,	PIIONEER FUNDAMENTAL GROWTH A	0.00	6.82	0.00	6.82	90.0	6.82
01/04/2017	CAMP, LINDA	PIIONEER FUNDAMENTAL GROWTH A	0.00	4.18	0.00	4.18	90.0	4.18
01/04/2017	PEACOCK, RICHARD	PIIONEER GLOBAL EQUITY A	0.00	2.74	0.00	2.74	90.0	2.74
01/04/2017	ARMSTRONG, TODD	PIIONEER GLOBAL EQUITY A	0.00	2.24	0.00	2.24	90.0	2.24
01/04/2017	RATLIFF, DONNA	PIIONEER GLOBAL EQUITY A	0.00	1.14	0.00	1.14	90.0	1.14
01/04/2017	MINIX, DEBORAH	PIIONEER GLOBAL EQUITY A	0.00	1.26	0.00	1.26	90.0	1.26
01/04/2017	WOOD, MARLENE	PIIONEER GLOBAL EQUITY A	0.00	1.83	0.00	1.83	90.0	1.83
01/04/2017	PEACOCK, RICHARD	PIIONEER GLOBAL HIGH YIELD A	0.00	3.89	0.00	3.89	90.0	3.89
01/04/2017	MINIX, DEBORAH	PIIONEER GLOBAL HIGH YIELD A	0.00	1.90	0.00	1.90	90.0	1.90
01/04/2017	MATHENEY, DONNA	PIIONEER GLOBAL HIGH YIELD A	0.00	1.20	0.00	1.20	90.0	1.20
01/04/2017	HUTTON JT TEN, JANET	PIIONEER GLOBAL HIGH YIELD A	0.00	2.00	0.00	2.00	90.0	2.00
01/04/2017	RATLIFF, DONNA	PIIONEER GLOBAL HIGH YIELD A	0.00	0.95	0.00	0.95	90.0	0.95
01/04/2017	COPPERSMITH, MIRANDA	PIIONEER GLOBAL HIGH YIELD A	0.00	2.86	0.00	2.86	90.0	2.86
01/04/2017	MAYBERRY, JEFFREY	PIIONEER GLOBAL HIGH YIELD A	0.00	2.15	0.00	2.15	90.0	2.15
01/04/2017	ZEHRINGER, JAMES	PIIONEER GLOBAL HIGH YIELD A	0.00	1.00	0.00	1.00	90.0	1.00
01/04/2017	PHILLIPS JT TEN, PATRICIA	PIIONEER GLOBAL HIGH YIELD C	0.00	5.70	0.00	5.70	90.0	5.70
01/04/2017	HOWARD, GALE	PIIONEER GROWTH OPPORTUNITIES A	0.00	39.43	0.00	39.43	90.0	39.43
01/04/2017	KULBACK, ANDREW	PIIONEER GROWTH OPPORTUNITIES A	0.00	15.62	0.00	15.62	90.0	15.62
01/04/2017	PRICE, JOYCE	PIIONEER GROWTH OPPORTUNITIES A	0.00	5.15	0.00	5.15	90.0	5.15
01/04/2017	SHROYER, RALPH	PIIONEER GROWTH OPPORTUNITIES A	0.00	5.22	0.00	5.22	90.0	5.22
01/04/2017	WONDERLY, MEGAN	PIIONEER GROWTH OPPORTUNITIES A	0.00	0.96	0.00	0.96	90.0	0.96
01/04/2017	MONG, TRACY	PIIONEER GROWTH OPPORTUNITIES A	0.00	3.81	0.00	3.81	90.0	3.81
01/04/2017	WEHRKAMP, KENNETH	PIIONEER HIGH INCOME MUNICIPAL A	0.00	1.68	0.00	1.68	90.0	1.68
01/04/2017	CURTIS, VIRGINIA	PIIONEER HIGH YIELD A	0.00	1.20	0.00	1.20	90.0	1.20
01/04/2017	HOWARD, GALE	PIIONEER HIGH YIELD A	0.00	8.11	0.00	8.11	90.0	8.11
01/04/2017	MONG, PATTY	PIIONEER HIGH YIELD A	0.00	1.46	0.00	1.46	90.0	1.46

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<u> OVERRIDE TRANSACTIONS </u>								
<u>BROKER: JAY MCCLELLAN #120</u>								
01/04/2017	WEHRKAMP, REBECCA	PIONEER HIGH YIELD A	0.00	6.05	0.00	6.05	90.0	6.05
01/04/2017	STARNES, EDDIE	PIONEER HIGH YIELD A	0.00	1.34	0.00	1.34	90.0	1.34
01/04/2017	MATTHIEU, PAUL	PIONEER HIGH YIELD A	0.00	0.98	0.00	0.98	90.0	0.98
01/04/2017	CURTIS, VIRGINIA	PIONEER HIGH YIELD A	0.00	1.87	0.00	1.87	90.0	1.87
01/04/2017	CURTIS, VIRGINIA	PIONEER HIGH YIELD A	0.00	1.89	0.00	1.89	90.0	1.89
01/04/2017	KULBACK, ANDREW	PIONEER HIGH YIELD A	0.00	12.36	0.00	12.36	90.0	12.36
01/04/2017	WEHRKAMP, KENNETH	PIONEER HIGH YIELD A	0.00	2.24	0.00	2.24	90.0	2.24
01/04/2017	CAMP, LINDA	PIONEER HIGH YIELD A	0.00	1.07	0.00	1.07	90.0	1.07
01/04/2017	SHROYER, RALPH	PIONEER HIGH YIELD A	0.00	40.03	0.00	40.03	90.0	40.03
01/04/2017	SHROYER, RALPH	PIONEER HIGH YIELD A	0.00	4.11	0.00	4.11	90.0	4.11
01/04/2017	JONES, JACQUELINE	PIONEER HIGH YIELD A	0.00	1.79	0.00	1.79	90.0	1.79
01/04/2017	FORTKAMP TRUST, LAVERN & MARY	PIONEER HIGH YIELD A	0.00	5.48	0.00	5.48	90.0	5.48
01/04/2017	BEANY, MICHELLE	PIONEER HIGH YIELD A	0.00	1.61	0.00	1.61	90.0	1.61
01/04/2017	MONG, TRACY	PIONEER HIGH YIELD A	0.00	2.99	0.00	2.99	90.0	2.99
01/04/2017	O'NEAL, KELLY	PIONEER IBBOTSON MODERATE ALLOC A	0.00	0.59	0.00	0.59	90.0	0.59
01/04/2017	HOWARD, GALE	PIONEER INDEPENDENCE A	0.00	54.74	0.00	54.74	90.0	54.74
01/04/2017	KULBACK, ANDREW	PIONEER INDEPENDENCE A	0.00	21.68	0.00	21.68	90.0	21.68
01/04/2017	PRICE, JOYCE	PIONEER INDEPENDENCE A	0.00	7.66	0.00	7.66	90.0	7.66
01/04/2017	ZEHRINGER, SHARON	PIONEER INDEPENDENCE A	0.00	1.63	0.00	1.63	90.0	1.63
01/04/2017	SHROYER, RALPH	PIONEER INDEPENDENCE A	0.00	7.30	0.00	7.30	90.0	7.30
01/04/2017	DICKEY, CYNTHIA	PIONEER INDEPENDENCE A	0.00	3.92	0.00	3.92	90.0	3.92
01/04/2017	MONG, TRACY	PIONEER INDEPENDENCE A	0.00	5.26	0.00	5.26	90.0	5.26
01/04/2017	ARMSTRONG, TODD	PIONEER INTERNATIONAL VALUE A	0.00	2.11	0.00	2.11	90.0	2.11
01/04/2017	THOMPSON REYNOLDS JT TEN,	PIONEER INTERNATIONAL VALUE A	0.00	3.41	0.00	3.41	90.0	3.41
01/04/2017	FOUGHT, PAUL	PIONEER MID CAP VALUE A	0.00	2.21	0.00	2.21	90.0	2.21
01/04/2017	ZEHRINGER, JAMES	PIONEER MID CAP VALUE A	0.00	3.07	0.00	3.07	90.0	3.07
01/04/2017	ARMSTRONG, TODD	PIONEER MULTI ASSET ULTRASHORT INCO	0.00	1.21	0.00	1.21	90.0	1.21
01/04/2017	ARMSTRONG, TODD	PIONEER MULTI ASSET ULTRASHORT INCO	0.00	2.53	0.00	2.53	90.0	2.53
01/04/2017	DEAN, DUANE	PIONEER MULTI ASSET ULTRASHORT INCO	0.00	1.57	0.00	1.57	90.0	1.57
01/04/2017	ZUO, YUNWU	PIONEER MULTI ASSET ULTRASHORT INCO	0.00	3.93	0.00	3.93	90.0	3.93
01/04/2017	SHROYER, DOROTHY	PIONEER MULTI-ASSET INC FUND A	0.00	9.44	0.00	9.44	90.0	9.44
01/04/2017	BOWDEN, KATHY	PIONEER MULTI-ASSET REAL RETURN A	0.00	3.60	0.00	3.60	90.0	3.60
01/04/2017	PEACOCK, RICHARD	PIONEER MULTI-ASSET REAL RETURN A	0.00	2.38	0.00	2.38	90.0	2.38

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<u> OVERRIDE TRANSACTIONS </u>								
<u>BROKER: JAY MCCLELLAN #120</u>								
01/04/2017	HOLTMAN, MICHAEL	PIONEER MULTI-ASSET REAL RETURN A	0.00	4.85	0.00	4.85	90.0	4.85
01/04/2017	FOUGHT, PAUL	PIONEER MULTI-ASSET REAL RETURN A	0.00	3.81	0.00	3.81	90.0	3.81
01/04/2017	MATTHIEU, PAUL	PIONEER MULTI-ASSET REAL RETURN A	0.00	13.05	0.00	13.05	90.0	13.05
01/04/2017	SHORT, DAWN	PIONEER MULTI-ASSET REAL RETURN A	0.00	35.60	0.00	35.60	90.0	35.60
01/04/2017	BROWN, EMILY	PIONEER MULTI-ASSET REAL RETURN A	0.00	6.98	0.00	6.98	90.0	6.98
01/04/2017	COOVER, GARY	PIONEER MULTI-ASSET REAL RETURN A	0.00	0.71	0.00	0.71	90.0	0.71
01/04/2017	ARMSTRONG, TODD	PIONEER MULTI-ASSET REAL RETURN A	0.00	4.04	0.00	4.04	90.0	4.04
01/04/2017	WEHRKAMP, KENNETH	PIONEER MULTI-ASSET REAL RETURN A	0.00	4.34	0.00	4.34	90.0	4.34
01/04/2017	MAYBERRY, JEFFREY	PIONEER MULTI-ASSET REAL RETURN A	0.00	5.05	0.00	5.05	90.0	5.05
01/04/2017	KEY, LARRY	PIONEER MULTI-ASSET REAL RETURN A	0.00	2.95	0.00	2.95	90.0	2.95
01/04/2017	PRICE, JOYCE	PIONEER MULTI-ASSET REAL RETURN A	0.00	3.72	0.00	3.72	90.0	3.72
01/04/2017	MINIX, DEBORAH	PIONEER MULTI-ASSET REAL RETURN A	0.00	1.24	0.00	1.24	90.0	1.24
01/04/2017	WOOD, MARLENE	PIONEER MULTI-ASSET REAL RETURN A	0.00	10.57	0.00	10.57	90.0	10.57
01/04/2017	SHROYER, DOROTHY	PIONEER MULTI-ASSET REAL RETURN A	0.00	10.25	0.00	10.25	90.0	10.25
01/04/2017	FORTKAMP TRUST, LAVERN & MARY	PIONEER MULTI-ASSET REAL RETURN A	0.00	8.68	0.00	8.68	90.0	8.68
01/04/2017	ZHAO, WENJUN	PIONEER MULTI-ASSET REAL RETURN A	0.00	0.77	0.00	0.77	90.0	0.77
01/04/2017	ZUO, YUNWU	PIONEER MULTI-ASSET REAL RETURN A	0.00	9.86	0.00	9.86	90.0	9.86
01/04/2017	BOWDEN, KATHY	PIONEER REAL ESTATE SHARES A	0.00	4.53	0.00	4.53	90.0	4.53
01/04/2017	PEACOCK, RICHARD	PIONEER REAL ESTATE SHARES A	0.00	1.50	0.00	1.50	90.0	1.50
01/04/2017	WEHRKAMP, REBECCA	PIONEER REAL ESTATE SHARES A	0.00	3.54	0.00	3.54	90.0	3.54
01/04/2017	DEXTER, ROCHELLE	PIONEER REAL ESTATE SHARES A	0.00	2.71	0.00	2.71	90.0	2.71
01/04/2017	SHORT, DAWN	PIONEER REAL ESTATE SHARES A	0.00	5.37	0.00	5.37	90.0	5.37
01/04/2017	BROWN, EMILY	PIONEER REAL ESTATE SHARES A	0.00	4.22	0.00	4.22	90.0	4.22
01/04/2017	ARMSTRONG, TODD	PIONEER REAL ESTATE SHARES A	0.00	2.61	0.00	2.61	90.0	2.61
01/04/2017	WEHRKAMP, KENNETH	PIONEER REAL ESTATE SHARES A	0.00	3.54	0.00	3.54	90.0	3.54
01/04/2017	COPPERSMITH, MIRANDA	PIONEER REAL ESTATE SHARES A	0.00	3.18	0.00	3.18	90.0	3.18
01/04/2017	JONES, JACQUELINE	PIONEER REAL ESTATE SHARES A	0.00	1.44	0.00	1.44	90.0	1.44
01/04/2017	BEANY, MICHELLE	PIONEER REAL ESTATE SHARES A	0.00	4.23	0.00	4.23	90.0	4.23
01/04/2017	SHORT, DAWN	PIONEER SHORT TERM INC A	0.00	5.19	0.00	5.19	90.0	5.19
01/04/2017	BROWN, EMILY	PIONEER SHORT TERM INC A	0.00	5.25	0.00	5.25	90.0	5.25
01/04/2017	PHILLIPS JT TEN, PATRICIA	PIONEER SHORT TERM INCOME FUND C	0.00	18.19	0.00	18.19	90.0	18.19
01/04/2017	O'NEAL, DEAN	PIONEER SOLUTIONS-GROWTH FUND A	0.00	0.60	0.00	0.60	90.0	0.60
01/04/2017	BOWDEN, GERALD	PIONEER STRATEGIC INCOME A	0.00	3.54	0.00	3.54	90.0	3.54

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u> OVERRIDE TRANSACTIONS </u>								
<u>BROKER: JAY MCCLELLAN #120</u>								
01/04/2017	FOUGHT, PAUL	PIONEER STRATEGIC INCOME A	0.00	2.24	0.00	2.24	90.0	2.24
01/04/2017	GRAHAM, RANDALL	PIONEER STRATEGIC INCOME A	0.00	43.27	0.00	43.27	90.0	43.27
12/31/2016	SEEBACH, ROGER	RESOURCE R E DIVERSIFIED INC FUND A	0.00	2.72	0.00	2.72	90.0	2.72
12/31/2016	MATTHIEU, PAUL	RESOURCE R E DIVERSIFIED INC FUND A	0.00	4.28	0.00	4.28	90.0	4.28
* JAY MCCLELLAN SUBTOTAL *			\$72,737.47	\$1,084.47	\$0.00	\$1,084.47		\$1,084.47
<u>BROKER: CHARLIE ARRINGTON #174</u>								
01/01/2017	MURASZENSKI, LAWRENCE	INVESCO AMERICAN VALUE A	0.00	9.01	0.00	9.01	0.0	9.01
01/01/2017	MATHEIS LIV TRUST, BERNICE	INVESCO ENERGY FUND A	0.00	2.73	0.00	2.73	0.0	2.73
01/01/2017	HORTON, DONNA	INVESCO ENERGY FUND A	0.00	2.23	0.00	2.23	0.0	2.23
01/01/2017	MURASZENSKI, LAWRENCE	INVESCO ENERGY FUND A	0.00	6.06	0.00	6.06	0.0	6.06
01/01/2017	MURASZENSKI, LAWRENCE	INVESCO INTERNATIONAL ALLOCATION A	0.00	3.28	0.00	3.28	0.0	3.28
01/01/2017	MURASZENSKI, LAWRENCE	INVESCO INTERNATIONAL TOTAL RETURN	0.00	3.02	0.00	3.02	0.0	3.02
01/01/2017	NTC	INVESCO MUNICIPAL INCOME FUND A	0.00	22.50	0.00	22.50	0.0	22.50
01/01/2017	NTC	INVESCO SHORT TERM BOND A	0.00	7.13	0.00	7.13	0.0	7.13
01/01/2017	MURASZENSKI, LAWRENCE	INVESCO US GOVT A	0.00	9.08	0.00	9.08	0.0	9.08
01/05/2017	WRIGHT, GREGG	MAINSTAY CUSHING ROYALTY ENERGY INC	0.00	4.66	0.00	4.66	0.0	4.66
01/03/2017	LILLYROOT, ROSALIE	METLIFE USA SERIES VA	20,141.08	50.35	0.00	50.35	0.0	50.35
* CHARLIE ARRINGTON SUBTOTAL *			\$20,141.08	\$120.05	\$0.00	\$120.05		\$120.05
<u>BROKER: BRUCE CARNICK #175</u>								
01/03/2017	VANGORDER, MARY	DAVIS NEW YORK VENTURE A	0.00	78.22	0.00	78.22	0.0	78.22
01/03/2017	WOLAK, LORRAINE	DAVIS NEW YORK VENTURE A	0.00	43.60	0.00	43.60	0.0	43.60
* BRUCE CARNICK SUBTOTAL *			\$0.00	\$121.82	\$0.00	\$121.82		\$121.82
<u>BROKER: MICHELE BOYER #189</u>								
12/31/2016	MEDIGER, KYLE	GRIFFIN CAPITAL ESST'L ASSET II T	0.00	30.16	0.00	30.16	0.0	30.16
12/31/2016	RADA, JENNIFER	GRIFFIN CAPITAL ESST'L ASSET II T	0.00	45.25	0.00	45.25	0.0	45.25
01/01/2017	BARTELS, CHRIS	INVESCO ALL CAP MARKET NEUTRAL FD -	0.00	7.26	0.00	7.26	0.0	7.26
01/01/2017	HAWKINS, DAMON	INVESCO AMERICAN FRANCHISE A	0.00	2.90	0.00	2.90	0.0	2.90
01/01/2017	NOEL, ANTHONY	INVESCO AMERICAN FRANCHISE A	0.00	2.11	0.00	2.11	0.0	2.11
01/01/2017	HALLER, CRISSY	INVESCO AMERICAN FRANCHISE C	0.00	24.13	0.00	24.13	0.0	24.13
01/01/2017	CRONK, THOMAS	INVESCO AMERICAN FRANCHISE C	0.00	12.48	0.00	12.48	0.0	12.48
01/01/2017	BACON, KALVIN	INVESCO ASIA PACIFIC GROWTH C	0.00	5.43	0.00	5.43	0.0	5.43
01/01/2017	KINNEY, JUSTIN	INVESCO BALANCED RISK RTRMNT 2050 A	0.00	7.94	0.00	7.94	0.0	7.94

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<u> OVERRIDE TRANSACTIONS </u>								
<u>BROKER: MICHELE BOYER #189</u>								
01/01/2017	KINNEY, THOMAS	INVESCO CASH RESERVE SHARES	0.00	0.63	0.00	0.63	0.0	0.63
01/01/2017	HAWKINS, DAMON	INVESCO CASH RESERVE SHARES	0.00	0.07	0.00	0.07	0.0	0.07
01/01/2017	NOEL, ANTHONY	INVESCO CASH RESERVE SHARES	0.00	0.03	0.00	0.03	0.0	0.03
01/01/2017	HALLER, CRISSY	INVESCO CHARTER FUND C	0.00	22.32	0.00	22.32	0.0	22.32
01/01/2017	HAWKINS, DAMON	INVESCO COMSTOCK A	0.00	2.96	0.00	2.96	0.0	2.96
01/01/2017	NOEL, ANTHONY	INVESCO COMSTOCK A	0.00	2.18	0.00	2.18	0.0	2.18
01/01/2017	BACON, KALVIN	INVESCO CORE PLUS BOND FUND CL C	0.00	5.28	0.00	5.28	0.0	5.28
01/01/2017	COPPERNOLL, CRAIG	INVESCO CORE PLUS BOND FUND CL C	0.00	41.91	0.00	41.91	0.0	41.91
01/01/2017	HAWKINS, DAMON	INVESCO DEVELOPING MARKETS A	0.00	1.73	0.00	1.73	0.0	1.73
01/01/2017	HAWKINS, DAMON	INVESCO ENERGY FUND A	0.00	1.61	0.00	1.61	0.0	1.61
01/01/2017	BACON, KALVIN	INVESCO ENERGY FUND CLASS C	0.00	4.27	0.00	4.27	0.0	4.27
01/01/2017	EVERY, CHARLES	INVESCO EQUITY AND INCOME C	0.00	149.12	0.00	149.12	0.0	149.12
01/01/2017	MILTON, KEVIN	INVESCO EQUITY AND INCOME C	0.00	277.32	0.00	277.32	0.0	277.32
01/01/2017	NOEL, ANTHONY	INVESCO GLOBAL GROWTH A	0.00	1.90	0.00	1.90	0.0	1.90
01/01/2017	BACON, KALVIN	INVESCO GLOBAL HEALTH CARE C	0.00	6.16	0.00	6.16	0.0	6.16
01/01/2017	BARTELS, CHRIS	INVESCO GLOBAL INFRASTRUCTURE C	0.00	3.19	0.00	3.19	0.0	3.19
01/01/2017	COPPERNOLL, CRAIG	INVESCO GLOBAL REAL ESTATE C	0.00	31.37	0.00	31.37	0.0	31.37
01/01/2017	BACON, KALVIN	INVESCO GOLD & PRECOUIS METALS C	0.00	4.97	0.00	4.97	0.0	4.97
01/01/2017	COPPERNOLL, CRAIG	INVESCO GROWTH AND INCOME C	0.00	45.54	0.00	45.54	0.0	45.54
01/01/2017	HAWKINS, DAMON	INVESCO HIGH YIELD FUND A	0.00	3.71	0.00	3.71	0.0	3.71
01/01/2017	NOEL, ANTHONY	INVESCO HIGH YIELD FUND A	0.00	1.22	0.00	1.22	0.0	1.22
01/01/2017	COPPERNOLL, CRAIG	INVESCO INTERNATIONAL GROWTH C	0.00	27.50	0.00	27.50	0.0	27.50
01/01/2017	BARTELS, CHRIS	INVESCO LONG/SHORT EQUITY FUND - CL	0.00	7.14	0.00	7.14	0.0	7.14
01/01/2017	BARTELS, CHRIS	INVESCO LOW VOLATILITY EMERG MKTS -	0.00	3.06	0.00	3.06	0.0	3.06
01/01/2017	NOEL, ANTHONY	INVESCO MIDCAP CORE EQUITY A	0.00	1.29	0.00	1.29	0.0	1.29
01/01/2017	COPPERNOLL, CRAIG	INVESCO MIDCAP CORE EQUITY C	0.00	30.90	0.00	30.90	0.0	30.90
01/01/2017	BARTELS, CHRIS	INVESCO MLP FUND - CLASS C	0.00	5.69	0.00	5.69	0.0	5.69
01/01/2017	KINNEY, THOMAS	INVESCO MONEY MARKET C	0.00	0.65	0.00	0.65	0.0	0.65
01/01/2017	BARTELS, CHRIS	INVESCO MONEY MARKET C	0.00	0.09	0.00	0.09	0.0	0.09
01/01/2017	KINNEY, THOMAS	INVESCO MONEY MARKET FUND CLASS B	0.00	0.29	0.00	0.29	0.0	0.29
01/01/2017	BACON, KALVIN	INVESCO REAL ESTATE FUND CL C	0.00	6.50	0.00	6.50	0.0	6.50
01/01/2017	COPPERNOLL, CRAIG	INVESCO SMALL CAP EQUITY FUND	0.00	30.43	0.00	30.43	0.0	30.43
01/01/2017	BARTELS, CHRIS	INVESCO STRATEGIC INCOME FUND - CL	0.00	1.83	0.00	1.83	0.0	1.83

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<u> OVERRIDE TRANSACTIONS </u>								
<u> BROKER: MICHELE BOYER #189 </u>								
01/01/2017	HAWKINS, DAMON	INVESCO STRUCTURED CORE A	0.00	2.63	0.00	2.63	0.0	2.63
01/01/2017	HAWKINS, DAMON	INVESCO SUMMIT FUND A	0.00	4.42	0.00	4.42	0.0	4.42
01/01/2017	HAWKINS, DAMON	INVESCO TECHNOLOGY A	0.00	2.54	0.00	2.54	0.0	2.54
01/01/2017	NOEL, ANTHONY	INVESCO TECHNOLOGY A	0.00	2.09	0.00	2.09	0.0	2.09
01/01/2017	HAWKINS, DAMON	INVESCO UTILITIES A	0.00	2.71	0.00	2.71	0.0	2.71
01/01/2017	NOEL, ANTHONY	INVESCO UTILITIES A	0.00	2.22	0.00	2.22	0.0	2.22
01/06/2017	ROFFEY, TASHA	PIMCO COMMODITY REAL RETURN STRATEG	0.00	3.79	0.00	3.79	0.0	3.79
01/06/2017	ROFFEY, TASHA	PIMCO TOTAL RETURN A	0.00	8.31	0.00	8.31	0.0	8.31
* MICHELE BOYER SUBTOTAL *			\$0.00	\$889.23	\$0.00	\$889.23		\$889.23
<u> BROKER: MICHAEL PALMISANO #196 </u>								
01/01/2017	STEGER, GENE	INVESCO AMER VAL 00143M828	0.00	7.85	0.00	7.85	0.0	7.85
01/01/2017	STEGER, GENE	INVESCO DIVERSIFIED DIVIDEND FD-CL	0.00	8.90	0.00	8.90	0.0	8.90
01/01/2017	STEGER, GENE	INVESCO EQUITY AND INCOME C	0.00	8.76	0.00	8.76	0.0	8.76
01/01/2017	STEGER, GENE	INVESCO REAL ESTATE FUND CL C	0.00	2.02	0.00	2.02	0.0	2.02
01/01/2017	STEGER, GENE	INVESCO TECHNOLOGY C	0.00	6.20	0.00	6.20	0.0	6.20
01/01/2017	STEGER, GENE	INVESCO VALUE OPPORTUNITIES FUND CL	0.00	8.14	0.00	8.14	0.0	8.14
01/03/2017	PLAN	PUTNAM GROWTH OPP A	0.00	12.71	0.00	12.71	0.0	12.71
01/03/2017	PLAN	PUTNAM VOYAGER A	0.00	3.52	0.00	3.52	0.0	3.52
* MICHAEL PALMISANO SUBTOTAL *			\$0.00	\$58.10	\$0.00	\$58.10		\$58.10
<u> BROKER: MICHELE/BRIAN BOYER/BOOTS #216 </u>								
01/01/2017	EMERSON, JAMES	INVESCO AMERICAN FRANCHISE C	0.00	357.54	0.00	357.54	0.0	357.54
01/01/2017	EMERSON, JAMES	INVESCO CHARTER FUND C	0.00	154.62	0.00	154.62	0.0	154.62
* MICHELE/BRIAN BOYER/BOOTS SUBTOTAL *			\$0.00	\$512.16	\$0.00	\$512.16		\$512.16
<u> BROKER: MEREDITH MCCUTCHEN #221 </u>								
01/05/2017	TALBERT, ANN	COLUMBIA LARGE CAP GROWTH C	0.00	7.34	0.00	7.34	0.0	7.34
01/05/2017	TALBERT, ANN	COLUMBIA MIDCAP GROWTH FUND-C	0.00	6.94	0.00	6.94	0.0	6.94
01/06/2017	AGEE, SAMUEL	PIMCO REAL RETURN C	0.00	0.63	0.00	0.63	0.0	0.63
01/06/2017	AGEE, SAMUEL	PIMCO REAL RETURN C	0.00	1.13	0.00	1.13	0.0	1.13
01/04/2017	KINSEY, MARY	PIONEER FUND A	0.00	2.02	0.00	2.02	0.0	2.02
01/04/2017	HAMMONS, LEO	PIONEER FUND A	0.00	6.21	0.00	6.21	0.0	6.21
01/04/2017	KINSEY, MARY	PIONEER HIGH YIELD A	0.00	2.11	0.00	2.11	0.0	2.11
* MEREDITH MCCUTCHEN SUBTOTAL *			\$0.00	\$26.38	\$0.00	\$26.38		\$26.38

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<u>VERRIDE TRANSACTIONS</u>								
<u>BROKER: RICHARD CROUCH #242</u>								
12/31/2016	OSTENDORF TRUST, CAROLYN	TOTAL INCOME & REAL ESTATE FUND A	0.00	10.11	0.00	10.11	0.0	10.11
		* RICHARD CROUCH SUBTOTAL *	\$0.00	\$10.11	\$0.00	\$10.11		\$10.11
		*** OVERRIDE TRANSACTIONS TOTAL ***	\$2,087,847.70	\$12,109.18	\$22.00	\$12,087.18		\$12,087.18

BROKER COMMISSION TOTALS

Broker Transactions	\$814.13
Split Transactions	\$0.00
Override Transactions	\$12,087.18
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	\$12,901.31
Year-to-date Gross	\$10,642.23
Year-to-date Earnings	\$25,193.53

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