

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

STAN, W121 WEBB  
300 N. Main Street  
Suite 309  
Wichita, KS 67202

BROKER #: W121  
BRANCH: STAN WEBB

DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<b><u>DIRECT TRANSACTIONS</u></b>								
<b><u>PRODUCT CATEGORY: 529 PLANS</u></b>								
02/15/2018	WOLFF, KRISTA	AGGRESSIVE PORTFOLIO A	100.00	5.00	0.00	5.00	92.0	4.60
02/15/2018	WOLFF, KRISTA	AGGRESSIVE PORTFOLIO A	100.00	5.00	0.00	5.00	92.0	4.60
02/15/2018	WOLFF, KRISTA	AGGRESSIVE PORTFOLIO A	100.00	5.00	0.00	5.00	92.0	4.60
02/12/2018	BELL, BRAYDEN	AM FUNDS CAPITAL INCOME BUILDER 529	50.00	2.13	0.00	2.13	92.0	1.96
02/12/2018	BELL, BRAYDEN	AM FUNDS CAPITAL INCOME BUILDER 529	50.00	2.13	0.00	2.13	92.0	1.96
<b>* 529 PLANS SUBTOTAL *</b>			<b>\$400.00</b>	<b>\$19.26</b>	<b>\$0.00</b>	<b>\$19.26</b>		<b>\$17.72</b>
<b><u>PRODUCT CATEGORY: MUTUAL FUNDS</u></b>								
02/12/2018	MILLER, WARREN	AM FUNDS AMCAP A	100.00	3.75	0.00	3.75	92.0	3.45
02/12/2018	BELL, CONNOR	AM FUNDS AMERICAN BALANCED A	50.00	2.13	0.00	2.13	92.0	1.96
02/06/2018	HENDERSON, SUSAN	AM FUNDS CAPITAL INCOME BUILDER A	25.00	0.94	0.00	0.94	92.0	0.86
02/06/2018	HENDERSON, SUSAN	AM FUNDS CAPITAL INCOME BUILDER A	25.00	0.94	0.00	0.94	92.0	0.86
02/12/2018	MILLER, WARREN	AM FUNDS GROWTH FUND OF AMERICA A	50.00	1.88	0.00	1.88	92.0	1.73
02/15/2018	THOMAS, ERIN	AM FUNDS INCOME FUND OF AMERICA A	100.00	5.00	0.00	5.00	92.0	4.60
02/15/2018	THOMAS, IAN	AM FUNDS INCOME FUND OF AMERICA A	100.00	5.00	0.00	5.00	92.0	4.60
02/16/2018	MCGUIRE, RICKY	AM FUNDS WASHINGTON MUTUAL INVESTOR	100.00	5.00	0.00	5.00	92.0	4.60
02/15/2018	HAYES, BEN	FIDELITY EQUITY GROWTH T	150.00	3.75	0.00	3.75	92.0	3.45
02/15/2018	BELL, BRAYDEN	FRANKLIN GROWTH A	50.00	1.88	0.00	1.88	92.0	1.73
02/15/2018	BELL, JASON	INVESCO STRUCTURED CORE A	50.00	2.50	0.00	2.50	92.0	2.30
02/01/2018	HAMPTON, ANDRE	PIONEER BOND FUND A	75.00	3.00	0.00	3.00	92.0	2.76
02/15/2018	HAMPTON, ANDRE	PIONEER BOND FUND A	75.00	3.00	0.00	3.00	92.0	2.76
02/05/2018	MCADAM, JEANNETTE	TRANSAMERICA AA MOD GROWTH A	300.00	8.25	0.00	8.25	92.0	7.59
<b>* MUTUAL FUNDS SUBTOTAL *</b>			<b>\$1,250.00</b>	<b>\$47.02</b>	<b>\$0.00</b>	<b>\$47.02</b>		<b>\$43.25</b>
<b><u>PRODUCT CATEGORY: VARIABLE ANNUITIES</u></b>								
01/31/2018	ARVANITIS, MICHELLE	JNL PERSPECTIVE II 05/05	-28,134.00	-23.44	0.00	-23.44	92.0	-21.56
01/03/2018	OTTAWAY, SANDRA	TRANSAMERICA FREEDOM	2,012.18	1.68	0.00	1.68	92.0	1.55

NOTES: \* - Indicates adjustment is not included in 1099 Earnings

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

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

DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<b><u>DIRECT TRANSACTIONS</u></b>								
<b><u>PRODUCT CATEGORY: VARIABLE ANNUITIES</u></b>								
01/04/2018	OTTAWAY, SANDRA	TRANSAMERICA FREEDOM	7,300.44	6.08	0.00	6.08	92.0	5.59
01/24/2018	HOSS, JODENE	TRANSAMERICA PRINCIPIUM	274,078.75	114.20	0.00	114.20	92.0	105.06
<b>* VARIABLE ANNUITIES SUBTOTAL *</b>			<b>\$255,257.37</b>	<b>\$98.52</b>	<b>\$0.00</b>	<b>\$98.52</b>		<b>\$90.64</b>
<b><u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u></b>								
02/08/2016	RUBENTHALER, RANDALL	ALLIANCEBERNSTEIN BALANCED SHARES A	0.00	3.58	0.00	3.58	92.0	3.29
03/09/2016	RUBENTHALER, RANDALL	ALLIANCEBERNSTEIN BALANCED SHARES A	0.00	3.29	0.00	3.29	92.0	3.03
04/18/2016	RUBENTHALER, RANDALL	ALLIANCEBERNSTEIN BALANCED SHARES A	0.00	3.61	0.00	3.61	92.0	3.32
05/11/2016	RUBENTHALER, RANDALL	ALLIANCEBERNSTEIN BALANCED SHARES A	0.00	3.55	0.00	3.55	92.0	3.27
06/10/2016	RUBENTHALER, RANDALL	ALLIANCEBERNSTEIN BALANCED SHARES A	0.00	3.69	0.00	3.69	92.0	3.39
07/18/2016	RUBENTHALER, RANDALL	ALLIANCEBERNSTEIN BALANCED SHARES A	0.00	3.62	0.00	3.62	92.0	3.33
08/08/2016	RUBENTHALER, RANDALL	ALLIANCEBERNSTEIN BALANCED SHARES A	0.00	3.88	0.00	3.88	92.0	3.57
09/12/2016	RUBENTHALER, RANDALL	ALLIANCEBERNSTEIN BALANCED SHARES A	0.00	3.93	0.00	3.93	92.0	3.62
10/20/2016	RUBENTHALER, RANDALL	ALLIANCEBERNSTEIN BALANCED SHARES A	0.00	3.78	0.00	3.78	92.0	3.48
11/11/2016	RUBENTHALER, RANDALL	ALLIANCEBERNSTEIN BALANCED SHARES A	0.00	3.90	0.00	3.90	92.0	3.59
12/12/2016	RUBENTHALER, RANDALL	ALLIANCEBERNSTEIN BALANCED SHARES A	0.00	3.73	0.00	3.73	92.0	3.43
02/08/2016	GALLARDO, KAREN	ALLIANCEBERNSTEIN EQUITY INCOME A	0.00	2.09	0.00	2.09	92.0	1.92
03/09/2016	GALLARDO, KAREN	ALLIANCEBERNSTEIN EQUITY INCOME A	0.00	1.97	0.00	1.97	92.0	1.81
04/18/2016	GALLARDO, KAREN	ALLIANCEBERNSTEIN EQUITY INCOME A	0.00	2.23	0.00	2.23	92.0	2.05
05/11/2016	GALLARDO, KAREN	ALLIANCEBERNSTEIN EQUITY INCOME A	0.00	2.20	0.00	2.20	92.0	2.02
06/10/2016	GALLARDO, KAREN	ALLIANCEBERNSTEIN EQUITY INCOME A	0.00	2.26	0.00	2.26	92.0	2.08
07/18/2016	GALLARDO, KAREN	ALLIANCEBERNSTEIN EQUITY INCOME A	0.00	2.22	0.00	2.22	92.0	2.04
08/08/2016	GALLARDO, KAREN	ALLIANCEBERNSTEIN EQUITY INCOME A	0.00	2.37	0.00	2.37	92.0	2.18
09/12/2016	GALLARDO, KAREN	ALLIANCEBERNSTEIN EQUITY INCOME A	0.00	2.38	0.00	2.38	92.0	2.19
10/20/2016	GALLARDO, KAREN	ALLIANCEBERNSTEIN EQUITY INCOME A	0.00	2.29	0.00	2.29	92.0	2.11
11/11/2016	GALLARDO, KAREN	ALLIANCEBERNSTEIN EQUITY INCOME A	0.00	2.34	0.00	2.34	92.0	2.15
12/12/2016	GALLARDO, KAREN	ALLIANCEBERNSTEIN EQUITY INCOME A	0.00	2.29	0.00	2.29	92.0	2.11
02/08/2016	KONECNY, BETTE J LUTES-	ALLIANCEBERNSTEIN GL THEMATIC GROWT	0.00	0.23	0.00	0.23	92.0	0.21
03/09/2016	KONECNY, BETTE J LUTES-	ALLIANCEBERNSTEIN GL THEMATIC GROWT	0.00	0.21	0.00	0.21	92.0	0.19
04/18/2016	KONECNY, BETTE J LUTES-	ALLIANCEBERNSTEIN GL THEMATIC GROWT	0.00	0.24	0.00	0.24	92.0	0.22
05/11/2016	KONECNY, BETTE J LUTES-	ALLIANCEBERNSTEIN GL THEMATIC GROWT	0.00	0.24	0.00	0.24	92.0	0.22
06/10/2016	KONECNY, BETTE J LUTES-	ALLIANCEBERNSTEIN GL THEMATIC GROWT	0.00	0.24	0.00	0.24	92.0	0.22
07/18/2016	KONECNY, BETTE J LUTES-	ALLIANCEBERNSTEIN GL THEMATIC GROWT	0.00	0.24	0.00	0.24	92.0	0.22
08/08/2016	KONECNY, BETTE J LUTES-	ALLIANCEBERNSTEIN GL THEMATIC GROWT	0.00	0.26	0.00	0.26	92.0	0.24

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<b><u>DIRECT TRANSACTIONS</u></b>								
<b><u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u></b>								
09/12/2016	KONECNY, BETTE J LUTES-	ALLIANCEBERNSTEIN GL THEMATIC GROWT	0.00	0.27	0.00	0.27	92.0	0.25
10/20/2016	KONECNY, BETTE J LUTES-	ALLIANCEBERNSTEIN GL THEMATIC GROWT	0.00	0.26	0.00	0.26	92.0	0.24
11/11/2016	KONECNY, BETTE J LUTES-	ALLIANCEBERNSTEIN GL THEMATIC GROWT	0.00	0.27	0.00	0.27	92.0	0.25
12/12/2016	KONECNY, BETTE J LUTES-	ALLIANCEBERNSTEIN GL THEMATIC GROWT	0.00	0.25	0.00	0.25	92.0	0.23
02/08/2016	KONECNY, BETTE J LUTES-	ALLIANCEBERNSTEIN SMALL/MID CAP VAL	0.00	0.34	0.00	0.34	92.0	0.31
03/09/2016	KONECNY, BETTE J LUTES-	ALLIANCEBERNSTEIN SMALL/MID CAP VAL	0.00	0.31	0.00	0.31	92.0	0.29
04/18/2016	KONECNY, BETTE J LUTES-	ALLIANCEBERNSTEIN SMALL/MID CAP VAL	0.00	0.37	0.00	0.37	92.0	0.34
05/11/2016	KONECNY, BETTE J LUTES-	ALLIANCEBERNSTEIN SMALL/MID CAP VAL	0.00	0.37	0.00	0.37	92.0	0.34
06/10/2016	KONECNY, BETTE J LUTES-	ALLIANCEBERNSTEIN SMALL/MID CAP VAL	0.00	0.38	0.00	0.38	92.0	0.35
07/18/2016	KONECNY, BETTE J LUTES-	ALLIANCEBERNSTEIN SMALL/MID CAP VAL	0.00	0.37	0.00	0.37	92.0	0.34
08/08/2016	KONECNY, BETTE J LUTES-	ALLIANCEBERNSTEIN SMALL/MID CAP VAL	0.00	0.39	0.00	0.39	92.0	0.36
09/12/2016	KONECNY, BETTE J LUTES-	ALLIANCEBERNSTEIN SMALL/MID CAP VAL	0.00	0.40	0.00	0.40	92.0	0.37
10/20/2016	KONECNY, BETTE J LUTES-	ALLIANCEBERNSTEIN SMALL/MID CAP VAL	0.00	0.39	0.00	0.39	92.0	0.36
11/11/2016	KONECNY, BETTE J LUTES-	ALLIANCEBERNSTEIN SMALL/MID CAP VAL	0.00	0.41	0.00	0.41	92.0	0.38
12/12/2016	KONECNY, BETTE J LUTES-	ALLIANCEBERNSTEIN SMALL/MID CAP VAL	0.00	0.41	0.00	0.41	92.0	0.38
02/22/2016	PRACHT, MARK	ALLIANZ NFJ DIVIDEND VALUE FUND CLA	0.00	5.22	0.00	5.22	92.0	4.80
03/21/2016	PRACHT, MARK	ALLIANZ NFJ DIVIDEND VALUE FUND CLA	0.00	4.89	0.00	4.89	92.0	4.50
04/21/2016	PRACHT, MARK	ALLIANZ NFJ DIVIDEND VALUE FUND CLA	0.00	5.62	0.00	5.62	92.0	5.17
05/24/2016	PRACHT, MARK	ALLIANZ NFJ DIVIDEND VALUE FUND CLA	0.00	5.56	0.00	5.56	92.0	5.12
06/21/2016	PRACHT, MARK	ALLIANZ NFJ DIVIDEND VALUE FUND CLA	0.00	5.72	0.00	5.72	92.0	5.26
07/21/2016	PRACHT, MARK	ALLIANZ NFJ DIVIDEND VALUE FUND CLA	0.00	5.55	0.00	5.55	92.0	5.11
08/22/2016	PRACHT, MARK	ALLIANZ NFJ DIVIDEND VALUE FUND CLA	0.00	5.89	0.00	5.89	92.0	5.42
09/21/2016	PRACHT, MARK	ALLIANZ NFJ DIVIDEND VALUE FUND CLA	0.00	5.92	0.00	5.92	92.0	5.45
10/21/2016	PRACHT, MARK	ALLIANZ NFJ DIVIDEND VALUE FUND CLA	0.00	5.69	0.00	5.69	92.0	5.23
11/21/2016	PRACHT, MARK	ALLIANZ NFJ DIVIDEND VALUE FUND CLA	0.00	5.86	0.00	5.86	92.0	5.39
12/14/2016	PRACHT, MARK	ALLIANZ NFJ DIVIDEND VALUE FUND CLA	0.00	5.87	0.00	5.87	92.0	5.40
02/22/2016	PRACHT, MARK	ALLIANZ NFJ LARGE CAP VALUE A	0.00	1.75	0.00	1.75	92.0	1.61
03/21/2016	PRACHT, MARK	ALLIANZ NFJ LARGE CAP VALUE A	0.00	1.61	0.00	1.61	92.0	1.48
04/21/2016	PRACHT, MARK	ALLIANZ NFJ LARGE CAP VALUE A	0.00	1.83	0.00	1.83	92.0	1.68
05/24/2016	PRACHT, MARK	ALLIANZ NFJ LARGE CAP VALUE A	0.00	1.82	0.00	1.82	92.0	1.67
06/21/2016	PRACHT, MARK	ALLIANZ NFJ LARGE CAP VALUE A	0.00	1.88	0.00	1.88	92.0	1.73
07/21/2016	PRACHT, MARK	ALLIANZ NFJ LARGE CAP VALUE A	0.00	1.83	0.00	1.83	92.0	1.68
08/22/2016	PRACHT, MARK	ALLIANZ NFJ LARGE CAP VALUE A	0.00	1.94	0.00	1.94	92.0	1.78

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<b><u>DIRECT TRANSACTIONS</u></b>								
<b><u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u></b>								
09/21/2016	PRACHT, MARK	ALLIANZ NFJ LARGE CAP VALUE A	0.00	1.95	0.00	1.95	92.0	1.79
10/21/2016	PRACHT, MARK	ALLIANZ NFJ LARGE CAP VALUE A	0.00	1.88	0.00	1.88	92.0	1.73
11/21/2016	PRACHT, MARK	ALLIANZ NFJ LARGE CAP VALUE A	0.00	1.94	0.00	1.94	92.0	1.78
12/14/2016	PRACHT, MARK	ALLIANZ NFJ LARGE CAP VALUE A	0.00	1.94	0.00	1.94	92.0	1.78
02/16/2016	PRACHT, MARK	AM FUNDS AMERICAN BALANCED A	0.00	3.72	0.00	3.72	92.0	3.42
03/15/2016	PRACHT, MARK	AM FUNDS AMERICAN BALANCED A	0.00	3.47	0.00	3.47	92.0	3.19
04/20/2016	PRACHT, MARK	AM FUNDS AMERICAN BALANCED A	0.00	3.86	0.00	3.86	92.0	3.55
05/16/2016	PRACHT, MARK	AM FUNDS AMERICAN BALANCED A	0.00	3.82	0.00	3.82	92.0	3.51
06/15/2016	PRACHT, MARK	AM FUNDS AMERICAN BALANCED A	0.00	3.95	0.00	3.95	92.0	3.63
07/18/2016	PRACHT, MARK	AM FUNDS AMERICAN BALANCED A	0.00	3.86	0.00	3.86	92.0	3.55
08/15/2016	PRACHT, MARK	AM FUNDS AMERICAN BALANCED A	0.00	4.08	0.00	4.08	92.0	3.75
09/16/2016	PRACHT, MARK	AM FUNDS AMERICAN BALANCED A	0.00	4.10	0.00	4.10	92.0	3.77
10/17/2016	PRACHT, MARK	AM FUNDS AMERICAN BALANCED A	0.00	3.95	0.00	3.95	92.0	3.63
11/18/2016	PRACHT, MARK	AM FUNDS AMERICAN BALANCED A	0.00	4.08	0.00	4.08	92.0	3.75
12/15/2016	PRACHT, MARK	AM FUNDS AMERICAN BALANCED A	0.00	3.96	0.00	3.96	92.0	3.64
02/16/2016	RUBENTHALER, RANDALL	AM FUNDS CAPITAL INCOME BUILDER A	0.00	3.72	0.00	3.72	92.0	3.42
02/16/2016	KONECNY, MARK	AM FUNDS CAPITAL INCOME BUILDER A	0.00	4.69	0.00	4.69	92.0	4.31
02/16/2016	ROTHS, BARBARA	AM FUNDS CAPITAL INCOME BUILDER A	0.00	1.48	0.00	1.48	92.0	1.36
02/16/2016	HOUSTON, SAMUEL	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.60	0.00	0.60	92.0	0.55
03/15/2016	RUBENTHALER, RANDALL	AM FUNDS CAPITAL INCOME BUILDER A	0.00	3.51	0.00	3.51	92.0	3.23
03/15/2016	KONECNY, MARK	AM FUNDS CAPITAL INCOME BUILDER A	0.00	4.42	0.00	4.42	92.0	4.07
03/15/2016	ROTHS, BARBARA	AM FUNDS CAPITAL INCOME BUILDER A	0.00	1.40	0.00	1.40	92.0	1.29
03/15/2016	HOUSTON, SAMUEL	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.57	0.00	0.57	92.0	0.52
04/20/2016	RUBENTHALER, RANDALL	AM FUNDS CAPITAL INCOME BUILDER A	0.00	3.93	0.00	3.93	92.0	3.62
04/20/2016	KONECNY, MARK	AM FUNDS CAPITAL INCOME BUILDER A	0.00	4.95	0.00	4.95	92.0	4.55
04/20/2016	ROTHS, BARBARA	AM FUNDS CAPITAL INCOME BUILDER A	0.00	1.56	0.00	1.56	92.0	1.44
04/20/2016	HOUSTON, SAMUEL	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.64	0.00	0.64	92.0	0.59
05/16/2016	RUBENTHALER, RANDALL	AM FUNDS CAPITAL INCOME BUILDER A	0.00	3.88	0.00	3.88	92.0	3.57
05/16/2016	KONECNY, MARK	AM FUNDS CAPITAL INCOME BUILDER A	0.00	4.89	0.00	4.89	92.0	4.50
05/16/2016	ROTHS, BARBARA	AM FUNDS CAPITAL INCOME BUILDER A	0.00	1.54	0.00	1.54	92.0	1.42
05/16/2016	HOUSTON, SAMUEL	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.63	0.00	0.63	92.0	0.58
06/15/2016	RUBENTHALER, RANDALL	AM FUNDS CAPITAL INCOME BUILDER A	0.00	4.01	0.00	4.01	92.0	3.69
06/15/2016	KONECNY, MARK	AM FUNDS CAPITAL INCOME BUILDER A	0.00	5.06	0.00	5.06	92.0	4.66

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<b><u>DIRECT TRANSACTIONS</u></b>								
<b><u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u></b>								
06/15/2016	ROTHS, BARBARA	AM FUNDS CAPITAL INCOME BUILDER A	0.00	1.59	0.00	1.59	92.0	1.46
06/15/2016	HOUSTON, SAMUEL	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.65	0.00	0.65	92.0	0.60
07/18/2016	RUBENTHALER, RANDALL	AM FUNDS CAPITAL INCOME BUILDER A	0.00	3.92	0.00	3.92	92.0	3.61
07/18/2016	KONECNY, MARK	AM FUNDS CAPITAL INCOME BUILDER A	0.00	4.94	0.00	4.94	92.0	4.54
07/18/2016	ROTHS, BARBARA	AM FUNDS CAPITAL INCOME BUILDER A	0.00	1.56	0.00	1.56	92.0	1.44
07/18/2016	HOUSTON, SAMUEL	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.64	0.00	0.64	92.0	0.59
08/15/2016	RUBENTHALER, RANDALL	AM FUNDS CAPITAL INCOME BUILDER A	0.00	4.16	0.00	4.16	92.0	3.83
08/15/2016	KONECNY, MARK	AM FUNDS CAPITAL INCOME BUILDER A	0.00	5.24	0.00	5.24	92.0	4.82
08/15/2016	ROTHS, BARBARA	AM FUNDS CAPITAL INCOME BUILDER A	0.00	1.65	0.00	1.65	92.0	1.52
08/15/2016	HOUSTON, SAMUEL	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.68	0.00	0.68	92.0	0.63
09/16/2016	RUBENTHALER, RANDALL	AM FUNDS CAPITAL INCOME BUILDER A	0.00	4.18	0.00	4.18	92.0	3.85
09/16/2016	KONECNY, MARK	AM FUNDS CAPITAL INCOME BUILDER A	0.00	5.26	0.00	5.26	92.0	4.84
09/16/2016	ROTHS, BARBARA	AM FUNDS CAPITAL INCOME BUILDER A	0.00	1.66	0.00	1.66	92.0	1.53
09/16/2016	HOUSTON, SAMUEL	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.68	0.00	0.68	92.0	0.63
10/17/2016	RUBENTHALER, RANDALL	AM FUNDS CAPITAL INCOME BUILDER A	0.00	4.02	0.00	4.02	92.0	3.70
10/17/2016	KONECNY, MARK	AM FUNDS CAPITAL INCOME BUILDER A	0.00	5.07	0.00	5.07	92.0	4.66
10/17/2016	ROTHS, BARBARA	AM FUNDS CAPITAL INCOME BUILDER A	0.00	1.60	0.00	1.60	92.0	1.47
10/17/2016	HOUSTON, SAMUEL	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.65	0.00	0.65	92.0	0.60
11/18/2016	RUBENTHALER, RANDALL	AM FUNDS CAPITAL INCOME BUILDER A	0.00	4.09	0.00	4.09	92.0	3.76
11/18/2016	KONECNY, MARK	AM FUNDS CAPITAL INCOME BUILDER A	0.00	5.15	0.00	5.15	92.0	4.74
11/18/2016	ROTHS, BARBARA	AM FUNDS CAPITAL INCOME BUILDER A	0.00	1.63	0.00	1.63	92.0	1.50
11/18/2016	HOUSTON, SAMUEL	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.66	0.00	0.66	92.0	0.61
12/15/2016	RUBENTHALER, RANDALL	AM FUNDS CAPITAL INCOME BUILDER A	0.00	3.88	0.00	3.88	92.0	3.57
12/15/2016	KONECNY, MARK	AM FUNDS CAPITAL INCOME BUILDER A	0.00	4.89	0.00	4.89	92.0	4.50
12/15/2016	ROTHS, BARBARA	AM FUNDS CAPITAL INCOME BUILDER A	0.00	1.54	0.00	1.54	92.0	1.42
12/15/2016	HOUSTON, SAMUEL	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.63	0.00	0.63	92.0	0.58
02/16/2016	KONECNY, MARK	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	2.95	0.00	2.95	92.0	2.71
03/15/2016	KONECNY, MARK	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	2.71	0.00	2.71	92.0	2.49
04/20/2016	KONECNY, MARK	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	3.08	0.00	3.08	92.0	2.83
05/16/2016	KONECNY, MARK	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	3.06	0.00	3.06	92.0	2.82
06/15/2016	KONECNY, MARK	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	3.14	0.00	3.14	92.0	2.89
07/18/2016	KONECNY, MARK	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	3.06	0.00	3.06	92.0	2.82
08/15/2016	KONECNY, MARK	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	3.24	0.00	3.24	92.0	2.98

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<b><u>DIRECT TRANSACTIONS</u></b>								
<b><u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u></b>								
09/16/2016	KONECNY, MARK	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	3.32	0.00	3.32	92.0	3.05
10/17/2016	KONECNY, MARK	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	3.22	0.00	3.22	92.0	2.96
11/18/2016	KONECNY, MARK	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	3.29	0.00	3.29	92.0	3.03
12/15/2016	KONECNY, MARK	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	3.14	0.00	3.14	92.0	2.89
02/16/2016	KONECNY, MARK	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	1.64	0.00	1.64	92.0	1.51
03/15/2016	KONECNY, MARK	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	1.51	0.00	1.51	92.0	1.39
04/20/2016	KONECNY, MARK	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	1.72	0.00	1.72	92.0	1.58
05/16/2016	KONECNY, MARK	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	1.71	0.00	1.71	92.0	1.57
06/15/2016	KONECNY, MARK	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	1.78	0.00	1.78	92.0	1.64
07/18/2016	KONECNY, MARK	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	1.74	0.00	1.74	92.0	1.60
08/15/2016	KONECNY, MARK	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	1.84	0.00	1.84	92.0	1.69
09/16/2016	KONECNY, MARK	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	1.88	0.00	1.88	92.0	1.73
10/17/2016	KONECNY, MARK	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	1.80	0.00	1.80	92.0	1.66
11/18/2016	KONECNY, MARK	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	1.87	0.00	1.87	92.0	1.72
12/15/2016	KONECNY, MARK	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	1.84	0.00	1.84	92.0	1.69
02/16/2016	KONECNY, MARK	AM FUNDS GROWTH FUND OF AMERICA A	0.00	2.63	0.00	2.63	92.0	2.42
02/16/2016	PRACHT, MARK	AM FUNDS GROWTH FUND OF AMERICA A	0.00	6.49	0.00	6.49	92.0	5.97
03/15/2016	KONECNY, MARK	AM FUNDS GROWTH FUND OF AMERICA A	0.00	2.38	0.00	2.38	92.0	2.19
03/15/2016	PRACHT, MARK	AM FUNDS GROWTH FUND OF AMERICA A	0.00	5.86	0.00	5.86	92.0	5.39
04/20/2016	KONECNY, MARK	AM FUNDS GROWTH FUND OF AMERICA A	0.00	2.71	0.00	2.71	92.0	2.49
04/20/2016	PRACHT, MARK	AM FUNDS GROWTH FUND OF AMERICA A	0.00	6.67	0.00	6.67	92.0	6.14
05/16/2016	KONECNY, MARK	AM FUNDS GROWTH FUND OF AMERICA A	0.00	2.71	0.00	2.71	92.0	2.49
05/16/2016	PRACHT, MARK	AM FUNDS GROWTH FUND OF AMERICA A	0.00	6.67	0.00	6.67	92.0	6.14
06/15/2016	KONECNY, MARK	AM FUNDS GROWTH FUND OF AMERICA A	0.00	2.80	0.00	2.80	92.0	2.58
06/15/2016	PRACHT, MARK	AM FUNDS GROWTH FUND OF AMERICA A	0.00	6.90	0.00	6.90	92.0	6.35
07/18/2016	KONECNY, MARK	AM FUNDS GROWTH FUND OF AMERICA A	0.00	2.75	0.00	2.75	92.0	2.53
07/18/2016	PRACHT, MARK	AM FUNDS GROWTH FUND OF AMERICA A	0.00	6.78	0.00	6.78	92.0	6.24
08/15/2016	KONECNY, MARK	AM FUNDS GROWTH FUND OF AMERICA A	0.00	2.92	0.00	2.92	92.0	2.69
08/15/2016	PRACHT, MARK	AM FUNDS GROWTH FUND OF AMERICA A	0.00	7.18	0.00	7.18	92.0	6.61
09/16/2016	KONECNY, MARK	AM FUNDS GROWTH FUND OF AMERICA A	0.00	2.99	0.00	2.99	92.0	2.75
09/16/2016	PRACHT, MARK	AM FUNDS GROWTH FUND OF AMERICA A	0.00	7.37	0.00	7.37	92.0	6.78
10/17/2016	KONECNY, MARK	AM FUNDS GROWTH FUND OF AMERICA A	0.00	2.89	0.00	2.89	92.0	2.66
10/17/2016	PRACHT, MARK	AM FUNDS GROWTH FUND OF AMERICA A	0.00	7.11	0.00	7.11	92.0	6.54

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<b><u>DIRECT TRANSACTIONS</u></b>								
<b><u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u></b>								
11/18/2016	KONECNY, MARK	AM FUNDS GROWTH FUND OF AMERICA A	0.00	3.00	0.00	3.00	92.0	2.76
11/18/2016	PRACHT, MARK	AM FUNDS GROWTH FUND OF AMERICA A	0.00	7.39	0.00	7.39	92.0	6.80
12/15/2016	KONECNY, MARK	AM FUNDS GROWTH FUND OF AMERICA A	0.00	2.91	0.00	2.91	92.0	2.68
12/15/2016	PRACHT, MARK	AM FUNDS GROWTH FUND OF AMERICA A	0.00	7.16	0.00	7.16	92.0	6.59
02/16/2016	RUBENTHALER, RANDALL	AM FUNDS ICA A	0.00	2.86	0.00	2.86	92.0	2.63
02/16/2016	KONECNY, MARK	AM FUNDS ICA A	0.00	4.71	0.00	4.71	92.0	4.33
02/16/2016	ROTHS, GLEN	AM FUNDS ICA A	0.00	0.62	0.00	0.62	92.0	0.57
02/16/2016	ROTHS, BARBARA	AM FUNDS ICA A	0.00	0.47	0.00	0.47	92.0	0.43
03/15/2016	RUBENTHALER, RANDALL	AM FUNDS ICA A	0.00	2.68	0.00	2.68	92.0	2.47
03/15/2016	KONECNY, MARK	AM FUNDS ICA A	0.00	4.42	0.00	4.42	92.0	4.07
03/15/2016	ROTHS, GLEN	AM FUNDS ICA A	0.00	0.58	0.00	0.58	92.0	0.53
03/15/2016	ROTHS, BARBARA	AM FUNDS ICA A	0.00	0.44	0.00	0.44	92.0	0.40
04/20/2016	RUBENTHALER, RANDALL	AM FUNDS ICA A	0.00	3.05	0.00	3.05	92.0	2.81
04/20/2016	KONECNY, MARK	AM FUNDS ICA A	0.00	5.03	0.00	5.03	92.0	4.63
04/20/2016	ROTHS, GLEN	AM FUNDS ICA A	0.00	0.66	0.00	0.66	92.0	0.61
04/20/2016	ROTHS, BARBARA	AM FUNDS ICA A	0.00	0.50	0.00	0.50	92.0	0.46
05/16/2016	RUBENTHALER, RANDALL	AM FUNDS ICA A	0.00	3.05	0.00	3.05	92.0	2.81
05/16/2016	KONECNY, MARK	AM FUNDS ICA A	0.00	5.03	0.00	5.03	92.0	4.63
05/16/2016	ROTHS, GLEN	AM FUNDS ICA A	0.00	0.66	0.00	0.66	92.0	0.61
05/16/2016	ROTHS, BARBARA	AM FUNDS ICA A	0.00	0.50	0.00	0.50	92.0	0.46
06/15/2016	RUBENTHALER, RANDALL	AM FUNDS ICA A	0.00	3.15	0.00	3.15	92.0	2.90
06/15/2016	KONECNY, MARK	AM FUNDS ICA A	0.00	5.19	0.00	5.19	92.0	4.77
06/15/2016	ROTHS, GLEN	AM FUNDS ICA A	0.00	0.68	0.00	0.68	92.0	0.63
06/15/2016	ROTHS, BARBARA	AM FUNDS ICA A	0.00	0.51	0.00	0.51	92.0	0.47
07/18/2016	RUBENTHALER, RANDALL	AM FUNDS ICA A	0.00	3.09	0.00	3.09	92.0	2.84
07/18/2016	KONECNY, MARK	AM FUNDS ICA A	0.00	5.09	0.00	5.09	92.0	4.68
07/18/2016	ROTHS, GLEN	AM FUNDS ICA A	0.00	0.67	0.00	0.67	92.0	0.62
07/18/2016	ROTHS, BARBARA	AM FUNDS ICA A	0.00	0.50	0.00	0.50	92.0	0.46
08/15/2016	RUBENTHALER, RANDALL	AM FUNDS ICA A	0.00	3.29	0.00	3.29	92.0	3.03
08/15/2016	KONECNY, MARK	AM FUNDS ICA A	0.00	5.43	0.00	5.43	92.0	5.00
08/15/2016	ROTHS, GLEN	AM FUNDS ICA A	0.00	0.71	0.00	0.71	92.0	0.65
08/15/2016	ROTHS, BARBARA	AM FUNDS ICA A	0.00	0.54	0.00	0.54	92.0	0.50
09/16/2016	RUBENTHALER, RANDALL	AM FUNDS ICA A	0.00	3.35	0.00	3.35	92.0	3.08

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<b><u>DIRECT TRANSACTIONS</u></b>								
<b><u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u></b>								
09/16/2016	KONECNY, MARK	AM FUNDS ICA A	0.00	5.52	0.00	5.52	92.0	5.08
09/16/2016	ROTHS, GLEN	AM FUNDS ICA A	0.00	0.73	0.00	0.73	92.0	0.67
09/16/2016	ROTHS, BARBARA	AM FUNDS ICA A	0.00	0.54	0.00	0.54	92.0	0.50
10/17/2016	RUBENTHALER, RANDALL	AM FUNDS ICA A	0.00	3.21	0.00	3.21	92.0	2.95
10/17/2016	KONECNY, MARK	AM FUNDS ICA A	0.00	5.29	0.00	5.29	92.0	4.87
10/17/2016	ROTHS, GLEN	AM FUNDS ICA A	0.00	0.70	0.00	0.70	92.0	0.64
10/17/2016	ROTHS, BARBARA	AM FUNDS ICA A	0.00	0.52	0.00	0.52	92.0	0.48
11/18/2016	RUBENTHALER, RANDALL	AM FUNDS ICA A	0.00	3.31	0.00	3.31	92.0	3.05
11/18/2016	KONECNY, MARK	AM FUNDS ICA A	0.00	5.46	0.00	5.46	92.0	5.02
11/18/2016	ROTHS, GLEN	AM FUNDS ICA A	0.00	0.72	0.00	0.72	92.0	0.66
11/18/2016	ROTHS, BARBARA	AM FUNDS ICA A	0.00	0.54	0.00	0.54	92.0	0.50
12/15/2016	RUBENTHALER, RANDALL	AM FUNDS ICA A	0.00	3.23	0.00	3.23	92.0	2.97
12/15/2016	KONECNY, MARK	AM FUNDS ICA A	0.00	5.33	0.00	5.33	92.0	4.90
12/15/2016	ROTHS, GLEN	AM FUNDS ICA A	0.00	0.70	0.00	0.70	92.0	0.64
12/15/2016	ROTHS, BARBARA	AM FUNDS ICA A	0.00	0.53	0.00	0.53	92.0	0.49
02/16/2016	PRACHT, MARK	AM FUNDS NEW PERSPECTIVE A	0.00	5.93	0.00	5.93	92.0	5.46
03/15/2016	PRACHT, MARK	AM FUNDS NEW PERSPECTIVE A	0.00	5.35	0.00	5.35	92.0	4.92
04/20/2016	PRACHT, MARK	AM FUNDS NEW PERSPECTIVE A	0.00	6.09	0.00	6.09	92.0	5.60
05/16/2016	PRACHT, MARK	AM FUNDS NEW PERSPECTIVE A	0.00	6.06	0.00	6.06	92.0	5.58
06/15/2016	PRACHT, MARK	AM FUNDS NEW PERSPECTIVE A	0.00	6.21	0.00	6.21	92.0	5.71
07/18/2016	PRACHT, MARK	AM FUNDS NEW PERSPECTIVE A	0.00	6.03	0.00	6.03	92.0	5.55
08/15/2016	PRACHT, MARK	AM FUNDS NEW PERSPECTIVE A	0.00	6.40	0.00	6.40	92.0	5.89
09/16/2016	PRACHT, MARK	AM FUNDS NEW PERSPECTIVE A	0.00	6.55	0.00	6.55	92.0	6.03
10/17/2016	PRACHT, MARK	AM FUNDS NEW PERSPECTIVE A	0.00	6.34	0.00	6.34	92.0	5.83
11/18/2016	PRACHT, MARK	AM FUNDS NEW PERSPECTIVE A	0.00	6.51	0.00	6.51	92.0	5.99
12/15/2016	PRACHT, MARK	AM FUNDS NEW PERSPECTIVE A	0.00	6.19	0.00	6.19	92.0	5.69
02/16/2016	RUBENTHALER, RANDALL	AM FUNDS SMALLCAP WORLD A	0.00	3.88	0.00	3.88	92.0	3.57
03/15/2016	RUBENTHALER, RANDALL	AM FUNDS SMALLCAP WORLD A	0.00	3.47	0.00	3.47	92.0	3.19
04/20/2016	RUBENTHALER, RANDALL	AM FUNDS SMALLCAP WORLD A	0.00	3.99	0.00	3.99	92.0	3.67
05/16/2016	RUBENTHALER, RANDALL	AM FUNDS SMALLCAP WORLD A	0.00	4.02	0.00	4.02	92.0	3.70
06/15/2016	RUBENTHALER, RANDALL	AM FUNDS SMALLCAP WORLD A	0.00	4.13	0.00	4.13	92.0	3.80
07/18/2016	RUBENTHALER, RANDALL	AM FUNDS SMALLCAP WORLD A	0.00	4.08	0.00	4.08	92.0	3.75
08/15/2016	RUBENTHALER, RANDALL	AM FUNDS SMALLCAP WORLD A	0.00	4.31	0.00	4.31	92.0	3.97

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<b><u>DIRECT TRANSACTIONS</u></b>								
<b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</b>								
09/16/2016	RUBENTHALER, RANDALL	AM FUNDS SMALLCAP WORLD A	0.00	4.47	0.00	4.47	92.0	4.11
10/17/2016	RUBENTHALER, RANDALL	AM FUNDS SMALLCAP WORLD A	0.00	4.36	0.00	4.36	92.0	4.01
11/18/2016	RUBENTHALER, RANDALL	AM FUNDS SMALLCAP WORLD A	0.00	4.49	0.00	4.49	92.0	4.13
12/15/2016	RUBENTHALER, RANDALL	AM FUNDS SMALLCAP WORLD A	0.00	4.27	0.00	4.27	92.0	3.93
02/16/2016	PRACHT, MARK	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	4.51	0.00	4.51	92.0	4.15
03/15/2016	PRACHT, MARK	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	4.22	0.00	4.22	92.0	3.88
04/20/2016	PRACHT, MARK	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	4.78	0.00	4.78	92.0	4.40
05/16/2016	PRACHT, MARK	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	4.74	0.00	4.74	92.0	4.36
06/15/2016	PRACHT, MARK	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	4.90	0.00	4.90	92.0	4.51
07/18/2016	PRACHT, MARK	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	4.81	0.00	4.81	92.0	4.43
08/15/2016	PRACHT, MARK	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	5.11	0.00	5.11	92.0	4.70
09/16/2016	PRACHT, MARK	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	5.16	0.00	5.16	92.0	4.75
10/17/2016	PRACHT, MARK	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	4.94	0.00	4.94	92.0	4.54
11/18/2016	PRACHT, MARK	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	5.09	0.00	5.09	92.0	4.68
12/15/2016	PRACHT, MARK	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	5.03	0.00	5.03	92.0	4.63
04/11/2016	PRACHT, MARK	BURNHAM FINANCIAL INDUSTRIES FUND C	0.00	13.50	0.00	13.50	92.0	12.42
07/13/2016	PRACHT, MARK	BURNHAM FINANCIAL INDUSTRIES FUND C	0.00	13.89	0.00	13.89	92.0	12.78
02/12/2016	BATT-CAMPBELL, LEEANN	COLUMBIA ACORN C	0.00	3.58	0.00	3.58	92.0	3.29
03/14/2016	BATT-CAMPBELL, LEEANN	COLUMBIA ACORN C	0.00	3.20	0.00	3.20	92.0	2.94
04/15/2016	BATT-CAMPBELL, LEEANN	COLUMBIA ACORN C	0.00	3.68	0.00	3.68	92.0	3.39
05/24/2016	BATT-CAMPBELL, LEEANN	COLUMBIA ACORN C	0.00	3.70	0.00	3.70	92.0	3.40
06/14/2016	BATT-CAMPBELL, LEEANN	COLUMBIA ACORN C	0.00	3.82	0.00	3.82	92.0	3.51
07/20/2016	BATT-CAMPBELL, LEEANN	COLUMBIA ACORN C	0.00	3.49	0.00	3.49	92.0	3.21
08/17/2016	BATT-CAMPBELL, LEEANN	COLUMBIA ACORN C	0.00	3.58	0.00	3.58	92.0	3.29
09/16/2016	BATT-CAMPBELL, LEEANN	COLUMBIA ACORN C	0.00	3.69	0.00	3.69	92.0	3.39
10/14/2016	BATT-CAMPBELL, LEEANN	COLUMBIA ACORN C	0.00	3.56	0.00	3.56	92.0	3.28
11/15/2016	BATT-CAMPBELL, LEEANN	COLUMBIA ACORN C	0.00	3.64	0.00	3.64	92.0	3.35
12/15/2016	BATT-CAMPBELL, LEEANN	COLUMBIA ACORN C	0.00	3.61	0.00	3.61	92.0	3.32
02/12/2016	PRACHT, MARK	FIDELITY ADV VALUE STRATEGIES A	0.00	10.16	0.00	10.16	92.0	9.35
03/17/2016	PRACHT, MARK	FIDELITY ADV VALUE STRATEGIES A	0.00	9.13	0.00	9.13	92.0	8.40
04/19/2016	PRACHT, MARK	FIDELITY ADV VALUE STRATEGIES A	0.00	10.65	0.00	10.65	92.0	9.80
05/24/2016	PRACHT, MARK	FIDELITY ADV VALUE STRATEGIES A	0.00	10.67	0.00	10.67	92.0	9.82
06/15/2016	PRACHT, MARK	FIDELITY ADV VALUE STRATEGIES A	0.00	11.17	0.00	11.17	92.0	10.28

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<b><u>DIRECT TRANSACTIONS</u></b>								
<b><u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u></b>								
07/19/2016	PRACHT, MARK	FIDELITY ADV VALUE STRATEGIES A	0.00	10.86	0.00	10.86	92.0	9.99
08/16/2016	PRACHT, MARK	FIDELITY ADV VALUE STRATEGIES A	0.00	11.41	0.00	11.41	92.0	10.50
09/19/2016	PRACHT, MARK	FIDELITY ADV VALUE STRATEGIES A	0.00	11.62	0.00	11.62	92.0	10.69
10/19/2016	PRACHT, MARK	FIDELITY ADV VALUE STRATEGIES A	0.00	11.25	0.00	11.25	92.0	10.35
11/18/2016	PRACHT, MARK	FIDELITY ADV VALUE STRATEGIES A	0.00	11.42	0.00	11.42	92.0	10.51
12/16/2016	PRACHT, MARK	FIDELITY ADV VALUE STRATEGIES A	0.00	11.23	0.00	11.23	92.0	10.33
02/16/2016	KONECNY, BETTE J LUTES-	FRANKLIN BIOTECHNOLOGY DISCOVERY A	0.00	0.09	0.00	0.09	92.0	0.08
03/16/2016	KONECNY, BETTE J LUTES-	FRANKLIN BIOTECHNOLOGY DISCOVERY A	0.00	0.07	0.00	0.07	92.0	0.06
04/15/2016	KONECNY, BETTE J LUTES-	FRANKLIN BIOTECHNOLOGY DISCOVERY A	0.00	0.08	0.00	0.08	92.0	0.07
05/13/2016	KONECNY, BETTE J LUTES-	FRANKLIN BIOTECHNOLOGY DISCOVERY A	0.00	0.08	0.00	0.08	92.0	0.07
06/14/2016	KONECNY, BETTE J LUTES-	FRANKLIN BIOTECHNOLOGY DISCOVERY A	0.00	0.08	0.00	0.08	92.0	0.07
07/14/2016	KONECNY, BETTE J LUTES-	FRANKLIN BIOTECHNOLOGY DISCOVERY A	0.00	0.08	0.00	0.08	92.0	0.07
08/15/2016	KONECNY, BETTE J LUTES-	FRANKLIN BIOTECHNOLOGY DISCOVERY A	0.00	0.08	0.00	0.08	92.0	0.07
09/14/2016	KONECNY, BETTE J LUTES-	FRANKLIN BIOTECHNOLOGY DISCOVERY A	0.00	0.09	0.00	0.09	92.0	0.08
10/18/2016	KONECNY, BETTE J LUTES-	FRANKLIN BIOTECHNOLOGY DISCOVERY A	0.00	0.09	0.00	0.09	92.0	0.08
11/15/2016	KONECNY, BETTE J LUTES-	FRANKLIN BIOTECHNOLOGY DISCOVERY A	0.00	0.09	0.00	0.09	92.0	0.08
12/16/2016	KONECNY, BETTE J LUTES-	FRANKLIN BIOTECHNOLOGY DISCOVERY A	0.00	0.09	0.00	0.09	92.0	0.08
02/16/2016	RUBENTHALER, RANDALL	FRANKLIN INCOME A	0.00	4.12	0.00	4.12	92.0	3.79
03/16/2016	RUBENTHALER, RANDALL	FRANKLIN INCOME A	0.00	3.83	0.00	3.83	92.0	3.52
04/15/2016	RUBENTHALER, RANDALL	FRANKLIN INCOME A	0.00	4.35	0.00	4.35	92.0	4.00
05/13/2016	RUBENTHALER, RANDALL	FRANKLIN INCOME A	0.00	4.32	0.00	4.32	92.0	3.97
06/14/2016	RUBENTHALER, RANDALL	FRANKLIN INCOME A	0.00	4.50	0.00	4.50	92.0	4.14
07/14/2016	RUBENTHALER, RANDALL	FRANKLIN INCOME A	0.00	4.41	0.00	4.41	92.0	4.06
08/15/2016	RUBENTHALER, RANDALL	FRANKLIN INCOME A	0.00	4.70	0.00	4.70	92.0	4.32
09/14/2016	RUBENTHALER, RANDALL	FRANKLIN INCOME A	0.00	4.76	0.00	4.76	92.0	4.38
10/18/2016	RUBENTHALER, RANDALL	FRANKLIN INCOME A	0.00	4.61	0.00	4.61	92.0	4.24
11/15/2016	RUBENTHALER, RANDALL	FRANKLIN INCOME A	0.00	4.81	0.00	4.81	92.0	4.43
12/16/2016	RUBENTHALER, RANDALL	FRANKLIN INCOME A	0.00	4.64	0.00	4.64	92.0	4.27
02/16/2016	KONECNY, BETTE J LUTES-	FRANKLIN MUTUAL SHARES A	0.00	0.53	0.00	0.53	92.0	0.49
03/16/2016	KONECNY, BETTE J LUTES-	FRANKLIN MUTUAL SHARES A	0.00	0.49	0.00	0.49	92.0	0.45
04/15/2016	KONECNY, BETTE J LUTES-	FRANKLIN MUTUAL SHARES A	0.00	0.56	0.00	0.56	92.0	0.52
05/13/2016	KONECNY, BETTE J LUTES-	FRANKLIN MUTUAL SHARES A	0.00	0.55	0.00	0.55	92.0	0.51
06/14/2016	KONECNY, BETTE J LUTES-	FRANKLIN MUTUAL SHARES A	0.00	0.57	0.00	0.57	92.0	0.52

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<b><u>DIRECT TRANSACTIONS</u></b>								
<b><u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u></b>								
07/14/2016	KONECNY, BETTE J LUTES-	FRANKLIN MUTUAL SHARES A	0.00	0.56	0.00	0.56	92.0	0.52
08/15/2016	KONECNY, BETTE J LUTES-	FRANKLIN MUTUAL SHARES A	0.00	0.59	0.00	0.59	92.0	0.54
09/14/2016	KONECNY, BETTE J LUTES-	FRANKLIN MUTUAL SHARES A	0.00	0.61	0.00	0.61	92.0	0.56
10/18/2016	KONECNY, BETTE J LUTES-	FRANKLIN MUTUAL SHARES A	0.00	0.59	0.00	0.59	92.0	0.54
11/15/2016	KONECNY, BETTE J LUTES-	FRANKLIN MUTUAL SHARES A	0.00	0.61	0.00	0.61	92.0	0.56
12/16/2016	KONECNY, BETTE J LUTES-	FRANKLIN MUTUAL SHARES A	0.00	0.60	0.00	0.60	92.0	0.55
02/16/2016	HATJE, ROBERT	FRANKLIN UTILITIES A	0.00	3.53	0.00	3.53	92.0	3.25
03/16/2016	HATJE, ROBERT	FRANKLIN UTILITIES A	0.00	3.50	0.00	3.50	92.0	3.22
04/15/2016	HATJE, ROBERT	FRANKLIN UTILITIES A	0.00	3.93	0.00	3.93	92.0	3.62
05/13/2016	HATJE, ROBERT	FRANKLIN UTILITIES A	0.00	3.86	0.00	3.86	92.0	3.55
06/14/2016	HATJE, ROBERT	FRANKLIN UTILITIES A	0.00	4.03	0.00	4.03	92.0	3.71
07/14/2016	HATJE, ROBERT	FRANKLIN UTILITIES A	0.00	4.06	0.00	4.06	92.0	3.74
08/15/2016	HATJE, ROBERT	FRANKLIN UTILITIES A	0.00	4.35	0.00	4.35	92.0	4.00
09/14/2016	HATJE, ROBERT	FRANKLIN UTILITIES A	0.00	4.21	0.00	4.21	92.0	3.87
10/18/2016	HATJE, ROBERT	FRANKLIN UTILITIES A	0.00	4.06	0.00	4.06	92.0	3.74
11/15/2016	HATJE, ROBERT	FRANKLIN UTILITIES A	0.00	4.08	0.00	4.08	92.0	3.75
12/16/2016	HATJE, ROBERT	FRANKLIN UTILITIES A	0.00	3.89	0.00	3.89	92.0	3.58
02/16/2016	BATT-CAMPBELL, LEEANN	FT MUTUAL SHARES FUND C	0.00	5.31	0.00	5.31	92.0	4.89
03/16/2016	BATT-CAMPBELL, LEEANN	FT MUTUAL SHARES FUND C	0.00	4.87	0.00	4.87	92.0	4.48
04/15/2016	BATT-CAMPBELL, LEEANN	FT MUTUAL SHARES FUND C	0.00	5.54	0.00	5.54	92.0	5.10
05/13/2016	BATT-CAMPBELL, LEEANN	FT MUTUAL SHARES FUND C	0.00	5.49	0.00	5.49	92.0	5.05
06/14/2016	BATT-CAMPBELL, LEEANN	FT MUTUAL SHARES FUND C	0.00	5.68	0.00	5.68	92.0	5.23
07/14/2016	BATT-CAMPBELL, LEEANN	FT MUTUAL SHARES FUND C	0.00	5.54	0.00	5.54	92.0	5.10
08/15/2016	BATT-CAMPBELL, LEEANN	FT MUTUAL SHARES FUND C	0.00	5.90	0.00	5.90	92.0	5.43
09/14/2016	BATT-CAMPBELL, LEEANN	FT MUTUAL SHARES FUND C	0.00	6.02	0.00	6.02	92.0	5.54
10/18/2016	BATT-CAMPBELL, LEEANN	FT MUTUAL SHARES FUND C	0.00	5.85	0.00	5.85	92.0	5.38
11/15/2016	BATT-CAMPBELL, LEEANN	FT MUTUAL SHARES FUND C	0.00	6.06	0.00	6.06	92.0	5.58
12/16/2016	BATT-CAMPBELL, LEEANN	FT MUTUAL SHARES FUND C	0.00	5.95	0.00	5.95	92.0	5.47
02/16/2016	BATT-CAMPBELL, LEEANN	GOLDMAN SACHS MID- CAP VALUE FD CLA	0.00	4.55	0.00	4.55	92.0	4.19
03/16/2016	BATT-CAMPBELL, LEEANN	GOLDMAN SACHS MID- CAP VALUE FD CLA	0.00	4.13	0.00	4.13	92.0	3.80
04/18/2016	BATT-CAMPBELL, LEEANN	GOLDMAN SACHS MID- CAP VALUE FD CLA	0.00	4.78	0.00	4.78	92.0	4.40
05/12/2016	BATT-CAMPBELL, LEEANN	GOLDMAN SACHS MID- CAP VALUE FD CLA	0.00	4.76	0.00	4.76	92.0	4.38
06/20/2016	BATT-CAMPBELL, LEEANN	GOLDMAN SACHS MID- CAP VALUE FD CLA	0.00	4.98	0.00	4.98	92.0	4.58

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<b><u>DIRECT TRANSACTIONS</u></b>								
<b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</b>								
07/15/2016	BATT-CAMPBELL, LEEANN	GOLDMAN SACHS MID- CAP VALUE FD CLA	0.00	4.90	0.00	4.90	92.0	4.51
08/17/2016	BATT-CAMPBELL, LEEANN	GOLDMAN SACHS MID- CAP VALUE FD CLA	0.00	5.19	0.00	5.19	92.0	4.77
09/21/2016	BATT-CAMPBELL, LEEANN	GOLDMAN SACHS MID- CAP VALUE FD CLA	0.00	5.25	0.00	5.25	92.0	4.83
10/17/2016	BATT-CAMPBELL, LEEANN	GOLDMAN SACHS MID- CAP VALUE FD CLA	0.00	5.03	0.00	5.03	92.0	4.63
11/21/2016	BATT-CAMPBELL, LEEANN	GOLDMAN SACHS MID- CAP VALUE FD CLA	0.00	5.18	0.00	5.18	92.0	4.77
12/15/2016	BATT-CAMPBELL, LEEANN	GOLDMAN SACHS MID- CAP VALUE FD CLA	0.00	5.16	0.00	5.16	92.0	4.75
/ /	RANCILIO, KENNETH	GUGGENHEIM DOW 2X STRATEGY A	0.00	6.60	0.00	6.60	92.0	6.07
/ /	FAIRLEY, MIKE	GUGGENHEIM TOTAL RETURN BOND - A	0.00	4.12	0.00	4.12	92.0	3.79
/ /	WALMANN, JEFFREY	GUGGENHEIM US LONG SHORT MOMENTUM A	0.00	0.60	0.00	0.60	92.0	0.55
04/14/2016	KONECNY, MARK	INVESCO BALANCED RISK ALLOCATION A	0.00	20.80	0.00	20.80	92.0	19.14
04/14/2016	CROSS, DIANE	INVESCO BALANCED RISK ALLOCATION A	0.00	8.32	0.00	8.32	92.0	7.65
04/14/2016	HUCKINS, VERNON	INVESCO BALANCED RISK ALLOCATION A	0.00	8.30	0.00	8.30	92.0	7.64
04/14/2016	HOUSTON, CAMMY	INVESCO BALANCED RISK ALLOCATION A	0.00	10.81	0.00	10.81	92.0	9.95
04/14/2016	ROTHS, GLEN	INVESCO BALANCED RISK ALLOCATION A	0.00	3.32	0.00	3.32	92.0	3.05
04/14/2016	PRACHT, MARK	INVESCO BALANCED RISK ALLOCATION A	0.00	6.57	0.00	6.57	92.0	6.04
07/19/2016	KONECNY, MARK	INVESCO BALANCED RISK ALLOCATION A	0.00	22.03	0.00	22.03	92.0	20.27
07/19/2016	CROSS, DIANE	INVESCO BALANCED RISK ALLOCATION A	0.00	8.81	0.00	8.81	92.0	8.11
07/19/2016	HUCKINS, VERNON	INVESCO BALANCED RISK ALLOCATION A	0.00	8.79	0.00	8.79	92.0	8.09
07/19/2016	HOUSTON, CAMMY	INVESCO BALANCED RISK ALLOCATION A	0.00	11.45	0.00	11.45	92.0	10.53
07/19/2016	ROTHS, GLEN	INVESCO BALANCED RISK ALLOCATION A	0.00	3.52	0.00	3.52	92.0	3.24
07/19/2016	PRACHT, MARK	INVESCO BALANCED RISK ALLOCATION A	0.00	6.96	0.00	6.96	92.0	6.40
10/17/2016	KONECNY, MARK	INVESCO BALANCED RISK ALLOCATION A	0.00	23.52	0.00	23.52	92.0	21.64
10/17/2016	CROSS, DIANE	INVESCO BALANCED RISK ALLOCATION A	0.00	9.41	0.00	9.41	92.0	8.66
10/17/2016	HUCKINS, VERNON	INVESCO BALANCED RISK ALLOCATION A	0.00	9.38	0.00	9.38	92.0	8.63
10/17/2016	HOUSTON, CAMMY	INVESCO BALANCED RISK ALLOCATION A	0.00	12.23	0.00	12.23	92.0	11.25
10/17/2016	ROTHS, GLEN	INVESCO BALANCED RISK ALLOCATION A	0.00	3.75	0.00	3.75	92.0	3.45
10/17/2016	PRACHT, MARK	INVESCO BALANCED RISK ALLOCATION A	0.00	7.43	0.00	7.43	92.0	6.84
04/14/2016	KONECNY, MARK	INVESCO CHARTER FUND A	0.00	30.23	0.00	30.23	92.0	27.81
04/14/2016	CROSS, DIANE	INVESCO CHARTER FUND A	0.00	14.56	0.00	14.56	92.0	13.40
04/14/2016	HOUSTON, CAMMY	INVESCO CHARTER FUND A	0.00	20.08	0.00	20.08	92.0	18.47
04/14/2016	ROTHS, GLEN	INVESCO CHARTER FUND A	0.00	2.68	0.00	2.68	92.0	2.47
04/14/2016	GREENING, CHRISTOPHER	INVESCO CHARTER FUND A	0.00	5.33	0.00	5.33	92.0	4.90
04/14/2016	HOUSTON, SAMUEL	INVESCO CHARTER FUND A	0.00	2.75	0.00	2.75	92.0	2.53

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<b><u>DIRECT TRANSACTIONS</u></b>								
<b><u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u></b>								
04/14/2016	RAY SR TRUST, LAWRENCE & NETT	INVESCO CHARTER FUND A	0.00	12.19	0.00	12.19	92.0	11.21
04/14/2016	CLARK, TERENCE	INVESCO CHARTER FUND A	0.00	6.52	0.00	6.52	92.0	6.00
07/19/2016	KONECNY, MARK	INVESCO CHARTER FUND A	0.00	32.38	0.00	32.38	92.0	29.79
07/19/2016	CROSS, DIANE	INVESCO CHARTER FUND A	0.00	15.60	0.00	15.60	92.0	14.35
07/19/2016	HOUSTON, CAMMY	INVESCO CHARTER FUND A	0.00	21.50	0.00	21.50	92.0	19.78
07/19/2016	ROTHS, GLEN	INVESCO CHARTER FUND A	0.00	2.87	0.00	2.87	92.0	2.64
07/19/2016	GREENING, CHRISTOPHER	INVESCO CHARTER FUND A	0.00	5.71	0.00	5.71	92.0	5.25
07/19/2016	HOUSTON, SAMUEL	INVESCO CHARTER FUND A	0.00	2.94	0.00	2.94	92.0	2.70
07/19/2016	RAY SR TRUST, LAWRENCE & NETT	INVESCO CHARTER FUND A	0.00	13.05	0.00	13.05	92.0	12.01
07/19/2016	CLARK, TERENCE	INVESCO CHARTER FUND A	0.00	6.99	0.00	6.99	92.0	6.43
10/17/2016	KONECNY, MARK	INVESCO CHARTER FUND A	0.00	34.26	0.00	34.26	92.0	31.52
10/17/2016	CROSS, DIANE	INVESCO CHARTER FUND A	0.00	16.50	0.00	16.50	92.0	15.18
10/17/2016	HOUSTON, CAMMY	INVESCO CHARTER FUND A	0.00	22.75	0.00	22.75	92.0	20.93
10/17/2016	ROTHS, GLEN	INVESCO CHARTER FUND A	0.00	3.04	0.00	3.04	92.0	2.80
10/17/2016	GREENING, CHRISTOPHER	INVESCO CHARTER FUND A	0.00	6.04	0.00	6.04	92.0	5.56
10/17/2016	HOUSTON, SAMUEL	INVESCO CHARTER FUND A	0.00	3.11	0.00	3.11	92.0	2.86
10/17/2016	RAY SR TRUST, LAWRENCE & NETT	INVESCO CHARTER FUND A	0.00	13.81	0.00	13.81	92.0	12.71
10/17/2016	CLARK, TERENCE	INVESCO CHARTER FUND A	0.00	7.39	0.00	7.39	92.0	6.80
04/14/2016	GREENING, PATRICIA	INVESCO DEVELOPING MARKETS A	0.00	0.94	0.00	0.94	92.0	0.86
07/19/2016	GREENING, PATRICIA	INVESCO DEVELOPING MARKETS A	0.00	1.07	0.00	1.07	92.0	0.98
10/17/2016	GREENING, PATRICIA	INVESCO DEVELOPING MARKETS A	0.00	1.19	0.00	1.19	92.0	1.09
04/14/2016	PRACHT, MARK	INVESCO HIGH YIELD FUND A	0.00	6.52	0.00	6.52	92.0	6.00
07/19/2016	PRACHT, MARK	INVESCO HIGH YIELD FUND A	0.00	6.89	0.00	6.89	92.0	6.34
10/17/2016	PRACHT, MARK	INVESCO HIGH YIELD FUND A	0.00	7.25	0.00	7.25	92.0	6.67
04/14/2016	HOUSTON, CAMMY	INVESCO REAL ESTATE A	0.00	4.55	0.00	4.55	92.0	4.19
07/19/2016	HOUSTON, CAMMY	INVESCO REAL ESTATE A	0.00	4.93	0.00	4.93	92.0	4.54
10/17/2016	HOUSTON, CAMMY	INVESCO REAL ESTATE A	0.00	5.32	0.00	5.32	92.0	4.89
02/19/2016	MCADAM, DANIEL	JP MORGAN INVESTOR CONSERVATIVE GRO	0.00	22.02	0.00	22.02	92.0	20.26
03/17/2016	MCADAM, DANIEL	JP MORGAN INVESTOR CONSERVATIVE GRO	0.00	20.46	0.00	20.46	92.0	18.82
04/25/2016	MCADAM, DANIEL	JP MORGAN INVESTOR CONSERVATIVE GRO	0.00	22.47	0.00	22.47	92.0	20.67
05/16/2016	MCADAM, DANIEL	JP MORGAN INVESTOR CONSERVATIVE GRO	0.00	22.07	0.00	22.07	92.0	20.30
06/20/2016	MCADAM, DANIEL	JP MORGAN INVESTOR CONSERVATIVE GRO	0.00	22.80	0.00	22.80	92.0	20.98
07/25/2016	MCADAM, DANIEL	JP MORGAN INVESTOR CONSERVATIVE GRO	0.00	22.19	0.00	22.19	92.0	20.41

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<b><u>DIRECT TRANSACTIONS</u></b>								
<b><u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u></b>								
08/15/2016	MCADAM, DANIEL	JP MORGAN INVESTOR CONSERVATIVE GRO	0.00	23.24	0.00	23.24	92.0	21.38
09/15/2016	MCADAM, DANIEL	JP MORGAN INVESTOR CONSERVATIVE GRO	0.00	23.45	0.00	23.45	92.0	21.57
10/14/2016	MCADAM, DANIEL	JP MORGAN INVESTOR CONSERVATIVE GRO	0.00	22.66	0.00	22.66	92.0	20.85
11/21/2016	MCADAM, DANIEL	JP MORGAN INVESTOR CONSERVATIVE GRO	0.00	23.39	0.00	23.39	92.0	21.52
12/16/2016	MCADAM, DANIEL	JP MORGAN INVESTOR CONSERVATIVE GRO	0.00	22.52	0.00	22.52	92.0	20.72
04/12/2016	RUBENTHALER, RANDALL	KANSAS MUNICIPAL FUND	0.00	11.88	0.00	11.88	92.0	10.93
07/13/2016	RUBENTHALER, RANDALL	KANSAS MUNICIPAL FUND	0.00	11.98	0.00	11.98	92.0	11.02
10/11/2016	RUBENTHALER, RANDALL	KANSAS MUNICIPAL FUND	0.00	12.13	0.00	12.13	92.0	11.16
02/14/2018	MULLINIX, JANICE	LORD ABBETT AFFILIATED A	0.00	77.59	0.00	77.59	92.0	71.38
02/22/2016	KONECNY, BETTE J LUTES-	LORD ABBETT MID CAP STOCK A	0.00	1.80	0.00	1.80	92.0	1.66
03/22/2016	KONECNY, BETTE J LUTES-	LORD ABBETT MID CAP STOCK A	0.00	1.64	0.00	1.64	92.0	1.51
04/21/2016	KONECNY, BETTE J LUTES-	LORD ABBETT MID CAP STOCK A	0.00	1.91	0.00	1.91	92.0	1.76
05/23/2016	KONECNY, BETTE J LUTES-	LORD ABBETT MID CAP STOCK A	0.00	1.91	0.00	1.91	92.0	1.76
06/21/2016	KONECNY, BETTE J LUTES-	LORD ABBETT MID CAP STOCK A	0.00	2.01	0.00	2.01	92.0	1.85
07/21/2016	KONECNY, BETTE J LUTES-	LORD ABBETT MID CAP STOCK A	0.00	1.97	0.00	1.97	92.0	1.81
08/22/2016	KONECNY, BETTE J LUTES-	LORD ABBETT MID CAP STOCK A	0.00	2.07	0.00	2.07	92.0	1.90
09/21/2016	KONECNY, BETTE J LUTES-	LORD ABBETT MID CAP STOCK A	0.00	2.11	0.00	2.11	92.0	1.94
10/20/2016	KONECNY, BETTE J LUTES-	LORD ABBETT MID CAP STOCK A	0.00	2.03	0.00	2.03	92.0	1.87
11/21/2016	KONECNY, BETTE J LUTES-	LORD ABBETT MID CAP STOCK A	0.00	2.10	0.00	2.10	92.0	1.93
12/21/2016	KONECNY, BETTE J LUTES-	LORD ABBETT MID CAP STOCK A	0.00	2.08	0.00	2.08	92.0	1.91
02/08/2016	MCADAM, DANIEL	MFS GOVERNMENT SECURITIES A	0.00	0.47	0.00	0.47	92.0	0.43
03/14/2016	MCADAM, DANIEL	MFS GOVERNMENT SECURITIES A	0.00	0.45	0.00	0.45	92.0	0.41
04/15/2016	MCADAM, DANIEL	MFS GOVERNMENT SECURITIES A	0.00	0.48	0.00	0.48	92.0	0.44
05/17/2016	MCADAM, DANIEL	MFS GOVERNMENT SECURITIES A	0.00	0.46	0.00	0.46	92.0	0.42
06/16/2016	MCADAM, DANIEL	MFS GOVERNMENT SECURITIES A	0.00	0.48	0.00	0.48	92.0	0.44
07/20/2016	MCADAM, DANIEL	MFS GOVERNMENT SECURITIES A	0.00	0.47	0.00	0.47	92.0	0.43
08/16/2016	MCADAM, DANIEL	MFS GOVERNMENT SECURITIES A	0.00	0.49	0.00	0.49	92.0	0.45
09/15/2016	MCADAM, DANIEL	MFS GOVERNMENT SECURITIES A	0.00	0.49	0.00	0.49	92.0	0.45
10/20/2016	MCADAM, DANIEL	MFS GOVERNMENT SECURITIES A	0.00	0.47	0.00	0.47	92.0	0.43
11/14/2016	MCADAM, DANIEL	MFS GOVERNMENT SECURITIES A	0.00	0.48	0.00	0.48	92.0	0.44
12/19/2016	MCADAM, DANIEL	MFS GOVERNMENT SECURITIES A	0.00	0.46	0.00	0.46	92.0	0.42
02/08/2016	BATT-CAMPBELL, LEEANN	MFS VALUE C	0.00	6.93	0.00	6.93	92.0	6.38
03/14/2016	BATT-CAMPBELL, LEEANN	MFS VALUE C	0.00	6.49	0.00	6.49	92.0	5.97

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

DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<b><u>DIRECT TRANSACTIONS</u></b>								
<b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</b>								
04/15/2016	BATT-CAMPBELL, LEEANN	MFS VALUE C	0.00	7.35	0.00	7.35	92.0	6.76
05/17/2016	BATT-CAMPBELL, LEEANN	MFS VALUE C	0.00	7.32	0.00	7.32	92.0	6.73
06/16/2016	BATT-CAMPBELL, LEEANN	MFS VALUE C	0.00	7.65	0.00	7.65	92.0	7.04
07/20/2016	BATT-CAMPBELL, LEEANN	MFS VALUE C	0.00	7.45	0.00	7.45	92.0	6.85
08/16/2016	BATT-CAMPBELL, LEEANN	MFS VALUE C	0.00	7.92	0.00	7.92	92.0	7.29
09/15/2016	BATT-CAMPBELL, LEEANN	MFS VALUE C	0.00	8.03	0.00	8.03	92.0	7.39
10/20/2016	BATT-CAMPBELL, LEEANN	MFS VALUE C	0.00	7.67	0.00	7.67	92.0	7.06
11/14/2016	BATT-CAMPBELL, LEEANN	MFS VALUE C	0.00	7.83	0.00	7.83	92.0	7.20
12/19/2016	BATT-CAMPBELL, LEEANN	MFS VALUE C	0.00	7.75	0.00	7.75	92.0	7.13
02/22/2016	PRACHT, MARK	PIMCO TOTAL RETURN A	0.00	6.18	0.00	6.18	92.0	5.69
03/11/2016	PRACHT, MARK	PIMCO TOTAL RETURN A	0.00	5.78	0.00	5.78	92.0	5.32
04/20/2016	PRACHT, MARK	PIMCO TOTAL RETURN A	0.00	6.21	0.00	6.21	92.0	5.71
05/18/2016	PRACHT, MARK	PIMCO TOTAL RETURN A	0.00	6.08	0.00	6.08	92.0	5.59
06/16/2016	PRACHT, MARK	PIMCO TOTAL RETURN A	0.00	6.30	0.00	6.30	92.0	5.80
07/15/2016	PRACHT, MARK	PIMCO TOTAL RETURN A	0.00	6.14	0.00	6.14	92.0	5.65
08/12/2016	PRACHT, MARK	PIMCO TOTAL RETURN A	0.00	6.44	0.00	6.44	92.0	5.92
09/15/2016	PRACHT, MARK	PIMCO TOTAL RETURN A	0.00	6.43	0.00	6.43	92.0	5.92
10/21/2016	PRACHT, MARK	PIMCO TOTAL RETURN A	0.00	6.23	0.00	6.23	92.0	5.73
11/18/2016	PRACHT, MARK	PIMCO TOTAL RETURN A	0.00	6.43	0.00	6.43	92.0	5.92
12/14/2016	PRACHT, MARK	PIMCO TOTAL RETURN A	0.00	6.12	0.00	6.12	92.0	5.63
02/11/2016	MCADAM, DANIEL	PRUDENTIAL SHORT- TERM CORPORATE BO	0.00	1.00	0.00	1.00	92.0	0.92
03/10/2016	MCADAM, DANIEL	PRUDENTIAL SHORT- TERM CORPORATE BO	0.00	0.93	0.00	0.93	92.0	0.86
04/15/2016	MCADAM, DANIEL	PRUDENTIAL SHORT- TERM CORPORATE BO	0.00	1.00	0.00	1.00	92.0	0.92
05/11/2016	MCADAM, DANIEL	PRUDENTIAL SHORT- TERM CORPORATE BO	0.00	0.98	0.00	0.98	92.0	0.90
06/10/2016	MCADAM, DANIEL	PRUDENTIAL SHORT- TERM CORPORATE BO	0.00	1.02	0.00	1.02	92.0	0.94
07/12/2016	MCADAM, DANIEL	PRUDENTIAL SHORT- TERM CORPORATE BO	0.00	0.99	0.00	0.99	92.0	0.91
08/10/2016	MCADAM, DANIEL	PRUDENTIAL SHORT- TERM CORPORATE BO	0.00	1.03	0.00	1.03	92.0	0.95
09/12/2016	MCADAM, DANIEL	PRUDENTIAL SHORT- TERM CORPORATE BO	0.00	1.03	0.00	1.03	92.0	0.95
10/11/2016	MCADAM, DANIEL	PRUDENTIAL SHORT- TERM CORPORATE BO	0.00	1.00	0.00	1.00	92.0	0.92
11/11/2016	MCADAM, DANIEL	PRUDENTIAL SHORT- TERM CORPORATE BO	0.00	1.03	0.00	1.03	92.0	0.95
12/12/2016	MCADAM, DANIEL	PRUDENTIAL SHORT- TERM CORPORATE BO	0.00	0.99	0.00	0.99	92.0	0.91
02/11/2016	MCADAM, DANIEL	PRUDENTIAL TOTAL RETURN BOND CL A	0.00	1.16	0.00	1.16	92.0	1.07
03/10/2016	MCADAM, DANIEL	PRUDENTIAL TOTAL RETURN BOND CL A	0.00	1.09	0.00	1.09	92.0	1.00

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<b><u>DIRECT TRANSACTIONS</u></b>								
<b><u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u></b>								
04/15/2016	MCADAM, DANIEL	PRUDENTIAL TOTAL RETURN BOND CL A	0.00	1.18	0.00	1.18	92.0	1.09
05/11/2016	MCADAM, DANIEL	PRUDENTIAL TOTAL RETURN BOND CL A	0.00	1.16	0.00	1.16	92.0	1.07
06/10/2016	MCADAM, DANIEL	PRUDENTIAL TOTAL RETURN BOND CL A	0.00	1.20	0.00	1.20	92.0	1.10
07/12/2016	MCADAM, DANIEL	PRUDENTIAL TOTAL RETURN BOND CL A	0.00	1.18	0.00	1.18	92.0	1.09
08/10/2016	MCADAM, DANIEL	PRUDENTIAL TOTAL RETURN BOND CL A	0.00	1.24	0.00	1.24	92.0	1.14
09/12/2016	MCADAM, DANIEL	PRUDENTIAL TOTAL RETURN BOND CL A	0.00	1.24	0.00	1.24	92.0	1.14
10/11/2016	MCADAM, DANIEL	PRUDENTIAL TOTAL RETURN BOND CL A	0.00	1.20	0.00	1.20	92.0	1.10
11/11/2016	MCADAM, DANIEL	PRUDENTIAL TOTAL RETURN BOND CL A	0.00	1.24	0.00	1.24	92.0	1.14
12/12/2016	MCADAM, DANIEL	PRUDENTIAL TOTAL RETURN BOND CL A	0.00	1.17	0.00	1.17	92.0	1.08
10/14/2016	PRACHT, MARK	RMB MENDON FINANCIAL LNG/SHRT FUND	0.00	14.18	0.00	14.18	92.0	13.05
/ /	FRANZ, PJ	RYDEX ALPHA OPPORTUNITY A	0.00	0.56	0.00	0.56	92.0	0.52
/ /	THOMAS, MARY	RYDEX GUGG COMMODITIES STRATEGY A	0.00	0.24	0.00	0.24	92.0	0.22
/ /	LAWRENCE POLICE	RYDEX GUGG INVESTMENT GRADE BOND A	0.00	5.66	0.00	5.66	92.0	5.21
/ /	RANCILIO, KENNETH	RYDEX GUGG MANAGED FUTURES STRATEGY	0.00	1.37	0.00	1.37	92.0	1.26
/ /	THOMAS, MARY	RYDEX GUGG MANAGED FUTURES STRATEGY	0.00	0.13	0.00	0.13	92.0	0.12
/ /	RANCILIO, KENNETH	RYDEX GUGG S&P 500 PURE GROWTH A	0.00	3.33	0.00	3.33	92.0	3.06
/ /	LAWRENCE POLICE	RYDEX GUGG STYLEPLUS LARGE CORE A	0.00	10.15	0.00	10.15	92.0	9.34
/ /	ROGERS, D	RYDEX GUGG U.S. LONG SHORT MOMENTUM	0.00	26.72	0.00	26.72	92.0	24.58
/ /	WALMANN, JEFFREY	RYDEX MULTI HEDGE STRATEGIES A	0.00	0.46	0.00	0.46	92.0	0.42
02/09/2018	ERKER REV TRUST, LAWRENCE &	SUNAMERICA SENIOR FLOATING RATE CL	0.00	42.15	0.00	42.15	92.0	38.78
02/16/2016	RUBENTHALER, RANDALL	TEMPLETON GROWTH A	0.00	4.70	0.00	4.70	92.0	4.32
03/16/2016	RUBENTHALER, RANDALL	TEMPLETON GROWTH A	0.00	4.25	0.00	4.25	92.0	3.91
04/15/2016	RUBENTHALER, RANDALL	TEMPLETON GROWTH A	0.00	4.94	0.00	4.94	92.0	4.54
05/13/2016	RUBENTHALER, RANDALL	TEMPLETON GROWTH A	0.00	4.91	0.00	4.91	92.0	4.52
06/14/2016	RUBENTHALER, RANDALL	TEMPLETON GROWTH A	0.00	4.98	0.00	4.98	92.0	4.58
07/14/2016	RUBENTHALER, RANDALL	TEMPLETON GROWTH A	0.00	4.82	0.00	4.82	92.0	4.43
08/15/2016	RUBENTHALER, RANDALL	TEMPLETON GROWTH A	0.00	5.04	0.00	5.04	92.0	4.64
09/14/2016	RUBENTHALER, RANDALL	TEMPLETON GROWTH A	0.00	5.22	0.00	5.22	92.0	4.80
10/18/2016	RUBENTHALER, RANDALL	TEMPLETON GROWTH A	0.00	5.12	0.00	5.12	92.0	4.71
11/15/2016	RUBENTHALER, RANDALL	TEMPLETON GROWTH A	0.00	5.30	0.00	5.30	92.0	4.88
12/16/2016	RUBENTHALER, RANDALL	TEMPLETON GROWTH A	0.00	5.13	0.00	5.13	92.0	4.72
<b>* MUTUAL FUND 12B1 TRAILS SUBTOTAL *</b>			<b>\$0.00</b>	<b>\$2,411.03</b>	<b>\$0.00</b>	<b>\$2,411.03</b>		<b>\$2,218.15</b>
<b>*** DIRECT TRANSACTIONS TOTAL ***</b>			<b>\$256,907.37</b>	<b>\$2,575.83</b>	<b>\$0.00</b>	<b>\$2,575.83</b>		<b>\$2,369.76</b>

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**BROKER COMMISSION TOTALS**

Broker Transactions	\$2,369.76
Split Transactions	\$0.00
Override Transactions	\$0.00
Adjustments	\$0.00
Payroll Draw	\$0.00
Base Salary	\$0.00
Prior Period Balance	\$0.00
FINRA Assessment	\$0.00
SIPC Assessment	\$0.00

Check Amount	\$2,369.76
Year-to-date Gross	\$14,773.04
Year-to-date Earnings	\$13,591.25