



Concorde Investment Services, LLC

04/17/2018

Page No. 1

COMMISSION STATEMENT

April 15, 2018

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

BROKER #: 101
BRANCH: CONCORDE FINANCIAL G

DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: 529 PLANS</u>								
04/02/2018	SAWYER, ALONZO	AM FUNDS GROWTH FUND OF AMERICA 529	50.00	1.88	0.00	1.88	95.0	1.79
04/02/2018	SAWYER, ALONZO	AM FUNDS GROWTH FUND OF AMERICA 529	50.00	1.88	0.00	1.88	95.0	1.79
04/02/2018	SAWYER, ALONZO	AM FUNDS GROWTH FUND OF AMERICA 529	50.00	1.88	0.00	1.88	95.0	1.79
03/29/2018	MOELLER, RICHARD	BLACK ROCK 67776G527	50.00	0.50	0.00	0.50	95.0	0.48
03/29/2018	CFGROUP, VARIOUS	BLACK ROCK 67776G527	50.00	0.50	0.00	0.50	95.0	0.48
03/26/2018	WETZEL, DIANNE	BLACK ROCK 67776G543	50.00	0.50	0.00	0.50	95.0	0.48
03/29/2018	WETZEL, DIANNE	BLACK ROCK 67776G543	50.00	0.50	0.00	0.50	95.0	0.48
03/29/2018	MOELLER, RICHARD	BLACKROCK 67776G493	50.00	0.50	0.00	0.50	95.0	0.48
03/16/2018	KUCHAREK, PAUL	BLACKROCK 67776G469	50.00	1.75	0.00	1.75	95.0	1.66
03/16/2018	KUCHAREK, PAUL	BLACKROCK 67776G469	50.00	1.75	0.00	1.75	95.0	1.66
03/29/2018	MOELLER, RICHARD	BLACKROCK 67776G477	50.00	0.50	0.00	0.50	95.0	0.48
* 529 PLANS SUBTOTAL *			\$550.00	\$12.14	\$0.00	\$12.14		\$11.57
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
03/20/2018	BRADEN, TERRI	ALLIANCEBERNSTEIN GROWTH B	50.00	2.00	0.00	2.00	95.0	1.90
04/06/2018	GARDNER, THERESA	AM FUNDS 2015 TARGET DATE A	37.50	1.59	0.00	1.59	95.0	1.51
04/06/2018	GARDNER, THERESA	AM FUNDS 2015 TARGET DATE A	403.84	17.16	0.00	17.16	95.0	16.30
04/06/2018	GARDNER, THERESA	AM FUNDS 2015 TARGET DATE A	37.50	1.59	0.00	1.59	95.0	1.51
04/06/2018	GARDNER, THERESA	AM FUNDS 2035 TARGET DATE-A	37.50	1.59	0.00	1.59	95.0	1.51
04/06/2018	GARDNER, THERESA	AM FUNDS 2035 TARGET DATE-A	403.84	17.16	0.00	17.16	95.0	16.30
04/06/2018	GARDNER, THERESA	AM FUNDS 2035 TARGET DATE-A	37.50	1.59	0.00	1.59	95.0	1.51
03/26/2018	SILVERSTEIN, MICHAEL	AM FUNDS AMCAP A	50.00	2.13	0.00	2.13	95.0	2.02
04/06/2018	GARDNER, THERESA	AM FUNDS AMERICAN BALANCED A	22.50	0.96	0.00	0.96	95.0	0.91
04/06/2018	GARDNER, THERESA	AM FUNDS AMERICAN BALANCED A	242.30	10.30	0.00	10.30	95.0	9.79
04/06/2018	GARDNER, THERESA	AM FUNDS AMERICAN BALANCED A	22.50	0.96	0.00	0.96	95.0	0.91
04/06/2018	GARDNER, THERESA	AM FUNDS AMERICAN MUTUAL A	22.50	0.96	0.00	0.96	95.0	0.91
04/06/2018	GARDNER, THERESA	AM FUNDS AMERICAN MUTUAL A	242.29	10.30	0.00	10.30	95.0	9.79

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

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<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
04/06/2018	GARDNER, THERESA	AM FUNDS AMERICAN MUTUAL A	22.50	0.96	0.00	0.96	95.0	0.91
03/26/2018	KAWALA, CHRISTINA	AM FUNDS AMERICAN MUTUAL C	25,959.37	259.59	0.00	259.59	95.0	246.61
04/02/2018	GINGELL, PAUL	AM FUNDS CAPITAL WORLD GRTH & INC A	860.00	17.20	0.00	17.20	95.0	16.34
04/02/2018	ALVEY, SHERRIE	AM FUNDS CAPITAL WORLD GRTH & INC A	250.00	5.00	0.00	5.00	95.0	4.75
04/02/2018	GINGELL, PAUL	AM FUNDS EUROPACIFIC GROWTH FUND A	650.00	13.00	0.00	13.00	95.0	12.35
03/28/2018	KOLESNIKOW, AMY	AM FUNDS GROWTH FUND OF AMERICA A	2,750.00	103.13	0.00	103.13	95.0	97.97
04/02/2018	GINGELL, PAUL	AM FUNDS GROWTH FUND OF AMERICA A	1,000.00	20.00	0.00	20.00	95.0	19.00
04/02/2018	ALVEY, SHERRIE	AM FUNDS GROWTH FUND OF AMERICA A	250.00	5.00	0.00	5.00	95.0	4.75
04/02/2018	BAILEY, STEVEN	AM FUNDS GROWTH FUND OF AMERICA A	50.00	2.50	0.00	2.50	95.0	2.38
04/03/2018	KEMP, JEREMY	AM FUNDS GROWTH FUND OF AMERICA A	50.00	2.13	0.00	2.13	95.0	2.02
04/06/2018	STRUNCK, TED	AM FUNDS GROWTH FUND OF AMERICA A	33.00	0.66	0.00	0.66	95.0	0.63
04/06/2018	STRUNCK, TED	AM FUNDS GROWTH FUND OF AMERICA A	33.00	0.66	0.00	0.66	95.0	0.63
03/26/2018	SOBIESKI, JOYCE	AM FUNDS GROWTH FUND OF AMERICA C	37.50	0.38	0.00	0.38	95.0	0.36
04/02/2018	ROMESBURG, AMBER	AM FUNDS GROWTH FUND OF AMERICA C	100.00	1.00	0.00	1.00	95.0	0.95
04/06/2018	GOUGEON, MEGAN	AM FUNDS GROWTH FUND OF AMERICA C	60.00	0.60	0.00	0.60	95.0	0.57
04/06/2018	GOUGEON, MEGAN	AM FUNDS GROWTH FUND OF AMERICA C	1,522.00	15.22	0.00	15.22	95.0	14.46
04/06/2018	GOUGEON, MEGAN	AM FUNDS GROWTH FUND OF AMERICA C	60.00	0.60	0.00	0.60	95.0	0.57
03/28/2018	KOLESNIKOW, AMY	AM FUNDS ICA A	2,750.00	103.13	0.00	103.13	95.0	97.97
03/29/2018	WONCH, ELIZABETH	AM FUNDS ICA A	200.00	10.00	0.00	10.00	95.0	9.50
04/02/2018	GINGELL, PAUL	AM FUNDS ICA A	1,000.00	20.00	0.00	20.00	95.0	19.00
04/02/2018	ALVEY, SHERRIE	AM FUNDS ICA A	250.00	5.00	0.00	5.00	95.0	4.75
04/02/2018	BAILEY, STEVEN	AM FUNDS ICA A	50.00	2.50	0.00	2.50	95.0	2.38
04/02/2018	MCLAUGHLIN, TRACY	AM FUNDS ICA A	150.00	6.38	0.00	6.38	95.0	6.06
04/06/2018	GARDNER, THERESA	AM FUNDS MORTGAGE A	15.00	0.45	0.00	0.45	95.0	0.43
04/06/2018	GARDNER, THERESA	AM FUNDS MORTGAGE A	161.54	4.85	0.00	4.85	95.0	4.61
04/06/2018	GARDNER, THERESA	AM FUNDS MORTGAGE A	15.00	0.45	0.00	0.45	95.0	0.43
04/02/2018	GINGELL, PAUL	AM FUNDS NEW PERSPECTIVE A	650.00	13.00	0.00	13.00	95.0	12.35
04/06/2018	STRUNCK, TED	AM FUNDS NEW PERSPECTIVE A	33.00	0.66	0.00	0.66	95.0	0.63
04/06/2018	STRUNCK, TED	AM FUNDS NEW PERSPECTIVE A	33.00	0.66	0.00	0.66	95.0	0.63
04/02/2018	MOWINSKI, VINCENZO	AM FUNDS NEW WORLD C	100.00	1.00	0.00	1.00	95.0	0.95
04/02/2018	MOWINSKI, SERGIO	AM FUNDS NEW WORLD C	100.00	1.00	0.00	1.00	95.0	0.95
04/02/2018	ALVEY, SHERRIE	AM FUNDS SMALLCAP WORLD A	250.00	5.00	0.00	5.00	95.0	4.75
04/06/2018	GARDNER, THERESA	AM FUNDS SMALLCAP WORLD A	15.00	0.64	0.00	0.64	95.0	0.61

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<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
04/06/2018	GARDNER, THERESA	AM FUNDS SMALLCAP WORLD A	161.54	6.87	0.00	6.87	95.0	6.53
04/06/2018	GARDNER, THERESA	AM FUNDS SMALLCAP WORLD A	15.00	0.64	0.00	0.64	95.0	0.61
03/26/2018	SOBIESKI, JOYCE	AM FUNDS WASHINGTON MUTUAL INVESTOR	37.50	0.38	0.00	0.38	95.0	0.36
04/06/2018	STRUNCK, TED	AM FUNDS WASHINGTON MUTUAL INVESTOR	34.00	0.68	0.00	0.68	95.0	0.65
04/06/2018	STRUNCK, TED	AM FUNDS WASHINGTON MUTUAL INVESTOR	34.00	0.68	0.00	0.68	95.0	0.65
03/28/2018	RITTER, WILLIAM	DAVIS NEW YORK VENTURE B	25.00	1.00	0.00	1.00	95.0	0.95
03/29/2018	PISTOLESI, VAUGHN	DAVIS NEW YORK VENTURE B	200.00	8.00	0.00	8.00	95.0	7.60
03/29/2018	PISTOLESI, MORGAN	DAVIS NEW YORK VENTURE B	100.00	4.00	0.00	4.00	95.0	3.80
/ /	BESS, JAMES	FIDELITY EQUITY GROWTH A	0.00	250.00	0.00	250.00	95.0	237.50
03/23/2018	TYSZKIEWICZ, KURT	FRANKLIN GROWTH C	100.00	1.00	0.00	1.00	95.0	0.95
03/19/2018	HOOTNER-JONES, ANN	GLOBAL ALLOCATION FUND	100.00	3.75	0.00	3.75	95.0	3.56
03/19/2018	HOOTNER-JONES, ANN	GLOBAL ALLOCATION FUND	100.00	3.75	0.00	3.75	95.0	3.56
03/19/2018	HOOTNER-JONES, ANN	GLOBAL ALLOCATION FUND	100.00	3.75	0.00	3.75	95.0	3.56
03/26/2018	DAIZA, PHILLIP	INVESCO CHARTER FUND C	50.00	0.50	0.00	0.50	95.0	0.48
03/20/2018	KRAYDICH, KELLIE	OPPENHEIMER CAPITAL APPRECIATION A	50.00	2.38	0.00	2.38	95.0	2.26
03/20/2018	KRAYDICH, KELLIE	OPPENHEIMER CAPITAL APPRECIATION A	27.02	1.28	0.00	1.28	95.0	1.22
03/19/2018	HICKS, MELISSA	OPPENHEIMER CAPITAL APPRECIATION C	25.00	0.25	0.00	0.25	95.0	0.24
03/19/2018	HICKS, MELISSA	OPPENHEIMER CAPITAL APPRECIATION C	25.00	0.25	0.00	0.25	95.0	0.24
03/19/2018	HICKS, MELISSA	OPPENHEIMER CAPITAL APPRECIATION C	25.00	0.25	0.00	0.25	95.0	0.24
03/19/2018	HICKS, MELISSA	OPPENHEIMER CAPITAL APPRECIATION C	25.00	0.25	0.00	0.25	95.0	0.24
03/19/2018	DITRI, ANN	OPPENHEIMER CAPITAL APPRECIATION C	204.28	2.04	0.00	2.04	95.0	1.94
03/19/2018	DITRI, ANN	OPPENHEIMER CAPITAL APPRECIATION C	36.72	0.37	0.00	0.37	95.0	0.35
03/19/2018	SCHULTZ, DEBRA	OPPENHEIMER CAPITAL APPRECIATION C	200.00	2.00	0.00	2.00	95.0	1.90
03/19/2018	SCHULTZ, DEBRA	OPPENHEIMER CAPITAL APPRECIATION C	47.69	0.48	0.00	0.48	95.0	0.46
03/19/2018	SCHULTZ, DEBRA	OPPENHEIMER CAPITAL APPRECIATION C	200.00	2.00	0.00	2.00	95.0	1.90
03/19/2018	SCHULTZ, DEBRA	OPPENHEIMER CAPITAL APPRECIATION C	47.69	0.48	0.00	0.48	95.0	0.46
03/19/2018	BAKER, STEVEN	OPPENHEIMER CAPITAL APPRECIATION C	60.12	0.60	0.00	0.60	95.0	0.57
03/19/2018	BAKER, STEVEN	OPPENHEIMER CAPITAL APPRECIATION C	28.57	0.29	0.00	0.29	95.0	0.28
03/20/2018	RENTROP, GARRETT	OPPENHEIMER CAPITAL APPRECIATION C	32.30	0.32	0.00	0.32	95.0	0.30
03/20/2018	RENTROP, GARRETT	OPPENHEIMER CAPITAL APPRECIATION C	32.30	0.32	0.00	0.32	95.0	0.30
03/20/2018	BAKER, STEVEN	OPPENHEIMER CAPITAL APPRECIATION C	7.50	0.08	0.00	0.08	95.0	0.08
03/20/2018	KRAYDICH, KELLIE	OPPENHEIMER CAPITAL INCOME A	50.00	2.38	0.00	2.38	95.0	2.26
03/20/2018	KRAYDICH, KELLIE	OPPENHEIMER CAPITAL INCOME A	27.02	1.28	0.00	1.28	95.0	1.22

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<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
03/19/2018	SCHULTZ, DEBRA	OPPENHEIMER DEVELOPING MARKETS C	100.00	1.00	0.00	1.00	95.0	0.95
03/19/2018	SCHULTZ, DEBRA	OPPENHEIMER DEVELOPING MARKETS C	23.84	0.24	0.00	0.24	95.0	0.23
03/19/2018	SCHULTZ, DEBRA	OPPENHEIMER DEVELOPING MARKETS C	100.00	1.00	0.00	1.00	95.0	0.95
03/19/2018	SCHULTZ, DEBRA	OPPENHEIMER DEVELOPING MARKETS C	23.84	0.24	0.00	0.24	95.0	0.23
03/19/2018	DITRI, ANN	OPPENHEIMER GLOBAL C	198.26	1.98	0.00	1.98	95.0	1.88
03/19/2018	DITRI, ANN	OPPENHEIMER GLOBAL C	35.64	0.36	0.00	0.36	95.0	0.34
03/19/2018	MCCOLLEY, SHEA	OPPENHEIMER GLOBAL OPPORTUNITIES C	7.50	0.08	0.00	0.08	95.0	0.08
03/19/2018	MCCOLLEY, SHEA	OPPENHEIMER GLOBAL OPPORTUNITIES C	8.59	0.09	0.00	0.09	95.0	0.09
03/19/2018	SCHULTZ, DEBRA	OPPENHEIMER GLOBAL OPPORTUNITIES C	200.00	2.00	0.00	2.00	95.0	1.90
03/19/2018	SCHULTZ, DEBRA	OPPENHEIMER GLOBAL OPPORTUNITIES C	47.69	0.48	0.00	0.48	95.0	0.46
03/19/2018	SCHULTZ, DEBRA	OPPENHEIMER GLOBAL OPPORTUNITIES C	200.00	2.00	0.00	2.00	95.0	1.90
03/19/2018	SCHULTZ, DEBRA	OPPENHEIMER GLOBAL OPPORTUNITIES C	47.69	0.48	0.00	0.48	95.0	0.46
03/20/2018	RENTROP, GARRETT	OPPENHEIMER GLOBAL OPPORTUNITIES C	32.30	0.32	0.00	0.32	95.0	0.30
03/20/2018	RENTROP, GARRETT	OPPENHEIMER GLOBAL OPPORTUNITIES C	32.30	0.32	0.00	0.32	95.0	0.30
03/20/2018	RENTROP, GARRETT	OPPENHEIMER GLOBAL STRATEGIC INC C	32.30	0.32	0.00	0.32	95.0	0.30
03/20/2018	RENTROP, GARRETT	OPPENHEIMER GLOBAL STRATEGIC INC C	32.30	0.32	0.00	0.32	95.0	0.30
03/19/2018	BAKER, STEVEN	OPPENHEIMER INTL BOND C	60.10	0.60	0.00	0.60	95.0	0.57
03/19/2018	BAKER, STEVEN	OPPENHEIMER INTL BOND C	28.58	0.29	0.00	0.29	95.0	0.28
03/20/2018	BAKER, STEVEN	OPPENHEIMER INTL BOND C	7.50	0.08	0.00	0.08	95.0	0.08
03/19/2018	BAKER, STEVEN	OPPENHEIMER INTL DIVERSIFIED C	60.12	0.60	0.00	0.60	95.0	0.57
03/19/2018	BAKER, STEVEN	OPPENHEIMER INTL DIVERSIFIED C	28.57	0.29	0.00	0.29	95.0	0.28
03/20/2018	BAKER, STEVEN	OPPENHEIMER INTL DIVERSIFIED C	7.50	0.08	0.00	0.08	95.0	0.08
03/20/2018	KRAYDICH, KELLIE	OPPENHEIMER INTL SMALL CO A	50.00	2.38	0.00	2.38	95.0	2.26
03/20/2018	KRAYDICH, KELLIE	OPPENHEIMER INTL SMALL CO A	27.00	1.28	0.00	1.28	95.0	1.22
03/19/2018	HICKS, MELISSA	OPPENHEIMER MAIN ST SELECT C	25.00	0.25	0.00	0.25	95.0	0.24
03/19/2018	HICKS, MELISSA	OPPENHEIMER MAIN ST SELECT C	25.00	0.25	0.00	0.25	95.0	0.24
03/19/2018	HICKS, MELISSA	OPPENHEIMER MAIN ST SELECT C	25.00	0.25	0.00	0.25	95.0	0.24
03/19/2018	HICKS, MELISSA	OPPENHEIMER MAIN ST SELECT C	25.00	0.25	0.00	0.25	95.0	0.24
03/20/2018	RENTROP, GARRETT	OPPENHEIMER MAIN ST SMALL & MID CAP	32.32	0.32	0.00	0.32	95.0	0.30
03/20/2018	RENTROP, GARRETT	OPPENHEIMER MAIN ST SMALL & MID CAP	32.32	0.32	0.00	0.32	95.0	0.30
03/19/2018	MCCOLLEY, SHEA	OPPENHEIMER MAIN STREET C	7.50	0.08	0.00	0.08	95.0	0.08
03/19/2018	MCCOLLEY, SHEA	OPPENHEIMER MAIN STREET C	8.59	0.09	0.00	0.09	95.0	0.09
03/19/2018	SMOLAREK, CHERYL	OPPENHEIMER PTF SERIES EQUITY INVES	150.00	1.50	0.00	1.50	95.0	1.43

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<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
03/19/2018	SMOLAREK, CHERYL	OPPENHEIMER PTF SERIES EQUITY INVES	150.00	1.50	0.00	1.50	95.0	1.43
03/19/2018	SMOLAREK, CHERYL	OPPENHEIMER PTF SERIES EQUITY INVES	125.24	1.25	0.00	1.25	95.0	1.19
03/19/2018	SMOLAREK, CHERYL	OPPENHEIMER PTF SERIES EQUITY INVES	125.24	1.25	0.00	1.25	95.0	1.19
03/20/2018	RENTROP, GARRETT	OPPENHEIMER QUEST BALANCED C	32.30	0.32	0.00	0.32	95.0	0.30
03/20/2018	RENTROP, GARRETT	OPPENHEIMER QUEST BALANCED C	32.30	0.32	0.00	0.32	95.0	0.30
03/19/2018	MCCOLLEY, SHEA	OPPENHEIMER QUEST OPP VALUE C	17.18	0.17	0.00	0.17	95.0	0.16
03/19/2018	MCCOLLEY, SHEA	OPPENHEIMER QUEST OPP VALUE C	15.00	0.15	0.00	0.15	95.0	0.14
03/19/2018	TERPSTRA, SANDRA	OPPENHEIMER QUEST OPP VALUE C	600.00	6.00	0.00	6.00	95.0	5.70
03/19/2018	TERPSTRA, SANDRA	OPPENHEIMER QUEST OPP VALUE C	600.00	6.00	0.00	6.00	95.0	5.70
03/19/2018	TERPSTRA, SANDRA	OPPENHEIMER QUEST OPP VALUE C	96.23	0.96	0.00	0.96	95.0	0.91
03/19/2018	TERPSTRA, SANDRA	OPPENHEIMER QUEST OPP VALUE C	96.23	0.96	0.00	0.96	95.0	0.91
03/19/2018	TORRICE, PAULA	OPPENHEIMER QUEST OPP VALUE C	50.00	0.50	0.00	0.50	95.0	0.48
03/19/2018	TORRICE, PAULA	OPPENHEIMER QUEST OPP VALUE C	50.00	0.50	0.00	0.50	95.0	0.48
03/19/2018	BAKER, STEVEN	OPPENHEIMER QUEST OPP VALUE C	60.12	0.60	0.00	0.60	95.0	0.57
03/19/2018	BAKER, STEVEN	OPPENHEIMER QUEST OPP VALUE C	28.57	0.29	0.00	0.29	95.0	0.28
03/20/2018	BAKER, STEVEN	OPPENHEIMER QUEST OPP VALUE C	7.50	0.08	0.00	0.08	95.0	0.08
03/19/2018	DEREY, DENISE	OPPENHEIMER SMALL MID CAP VALUE C	80.00	0.80	0.00	0.80	95.0	0.76
03/19/2018	DEREY, DENISE	OPPENHEIMER SMALL MID CAP VALUE C	80.00	0.80	0.00	0.80	95.0	0.76
03/19/2018	DEREY, DENISE	OPPENHEIMER SMALL MID CAP VALUE C	80.00	0.80	0.00	0.80	95.0	0.76
03/19/2018	DEREY, DENISE	OPPENHEIMER SMALL MID CAP VALUE C	80.00	0.80	0.00	0.80	95.0	0.76
03/19/2018	DITRI, ANN	OPPENHEIMER VALUE C	198.26	1.98	0.00	1.98	95.0	1.88
03/19/2018	DITRI, ANN	OPPENHEIMER VALUE C	35.64	0.36	0.00	0.36	95.0	0.34
03/19/2018	GRAMMATICO, DENNIS	TRANSAMERICA SHORT-TERM BOND C	3,500.00	35.00	0.00	35.00	95.0	33.25
03/19/2018	GRAMMATICO, SHARON	TRANSAMERICA SHORT-TERM BOND C	3,500.00	35.00	0.00	35.00	95.0	33.25
* MUTUAL FUNDS SUBTOTAL *			\$54,640.09	\$1,109.47	\$0.00	\$1,109.47		\$1,054.09
<u>PRODUCT CATEGORY: VARIABLE ANNUITIES</u>								
03/31/2018	BERTRAND, C JERRY	JNL ELITE ACCESS	56,498.30	30.60	0.00	30.60	95.0	29.07
03/31/2018	MELTZER, CLARENCE	JNL PERSPECTIVE ADVANTAGE	24,974.98	20.81	0.00	20.81	95.0	19.77
03/31/2018	COVYEAU, FREDERICK J & B	JNL PERSPECTIVE II	100,472.19	41.86	0.00	41.86	95.0	39.77
03/31/2018	JEANNETTE, JUSTIN	JNL PERSPECTIVE II 05/05	511.69	0.43	0.00	0.43	95.0	0.41
03/31/2018	KOSCIELSKI, RONALD	JNL PERSPECTIVE II 05/05	29,213.01	12.17	0.00	12.17	95.0	11.56
03/31/2018	MAGGARD, LORETTA	JNL PERSPECTIVE II 05/05	45,524.84	18.97	0.00	18.97	95.0	18.02
03/31/2018	RANG, MARILYN	JNL PERSPECTIVE II 05/05	72,551.81	30.23	0.00	30.23	95.0	28.72

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>DIRECT TRANSACTIONS</u>								
PRODUCT CATEGORY: VARIABLE ANNUITIES								
03/31/2018	MCDONALD, GLENN	JNL PERSPECTIVE II 05/05	172,738.39	71.97	0.00	71.97	95.0	68.37
03/31/2018	KEELER, SUSAN	JNL PERSPECTIVE II 05/05	127,502.87	53.13	0.00	53.13	95.0	50.47
03/31/2018	PIROZZO, PETER	JNL PERSPECTIVE L	55,356.65	59.97	0.00	59.97	95.0	56.97
03/31/2018	LEGGE, GERALD	JNL PERSPECTIVE L	304,973.86	330.39	0.00	330.39	95.0	313.87
03/31/2018	DIEM, LINDA	JOHN HANCOCK VENTURE	668.51	0.14	0.00	0.14	95.0	0.13
03/31/2018	TYMCZY, MARY JANE	JOHN HANCOCK VENTURE	7,833.86	1.63	0.00	1.63	95.0	1.55
03/31/2018	DANIEL, SABRINA	JOHN HANCOCK VENTURE	301.52	0.06	0.00	0.06	95.0	0.06
03/31/2018	WEHLER, MARY ANN	PRU AS ADVISOR PLAN - 1993	41,309.83	25.82	0.00	25.82	95.0	24.53
03/31/2018	O'CONNOR, FRANCIS	PRU AS ADVISOR PLAN - 1993	13,431.75	8.39	0.00	8.39	95.0	7.97
03/31/2018	HILDEBRAND, CHRISTINE	PRU AS ADVISOR PLAN - 1993	20,371.63	12.73	0.00	12.73	95.0	12.09
03/31/2018	MIKLEVICH, MICHAEL	PRU AS ADVISOR PLAN - 1993	81,645.44	51.03	0.00	51.03	95.0	48.48
03/31/2018	CAVERLY, KEVIN	PRU AS ADVISOR PLAN II - 1996	4,522.19	2.83	0.00	2.83	95.0	2.69
03/31/2018	AVOURIS, TIMOTHY	PRU AS ADVISOR PLAN II - 1996	63,263.78	39.54	0.00	39.54	95.0	37.56
03/31/2018	HATHAWAY, DEBORAH	PRU AS ADVISOR PLAN II - 1996	3,359.41	2.10	0.00	2.10	95.0	2.00
03/31/2018	HAZARD, JOHN	PRU AS APEX II	94,348.89	58.97	0.00	58.97	95.0	56.02
03/31/2018	HAZARD, JOHN	PRU AS APEX II	94,348.89	235.87	0.00	235.87	95.0	224.08
03/31/2018	POLENYCHKO, SHIRLEY	PRU AS APEX II	15,581.72	9.74	0.00	9.74	95.0	9.25
03/31/2018	POLENYCHKO, SHIRLEY	PRU AS APEX II	15,581.72	38.95	0.00	38.95	95.0	37.00
03/31/2018	YANIS, ROSANN	PRU AS LIFEVEST II	46,076.95	86.39	0.00	86.39	95.0	82.07
03/31/2018	YANIS, ROSANN	PRU AS LIFEVEST II	46,076.95	28.80	0.00	28.80	95.0	27.36
03/31/2018	MERRITT, MARY LOU	PRU AS LIFEVEST II	115,172.78	215.95	0.00	215.95	95.0	205.15
03/31/2018	MERRITT, MARY LOU	PRU AS LIFEVEST II	115,172.78	71.98	0.00	71.98	95.0	68.38
03/31/2018	LOURIA, PHYLLIS	PRU AS LIFEVEST II	39,743.24	74.52	0.00	74.52	95.0	70.79
03/31/2018	LOURIA, PHYLLIS	PRU AS LIFEVEST II	39,743.24	24.84	0.00	24.84	95.0	23.60
03/31/2018	WETZEL, WILLIAM	PRU AS LIFEVEST II	33,784.27	63.35	0.00	63.35	95.0	60.18
03/31/2018	WETZEL, WILLIAM	PRU AS LIFEVEST II	33,784.27	21.12	0.00	21.12	95.0	20.06
03/31/2018	BLANKENSHIP, JANET	PRU AS LIFEVEST II	244,916.96	459.22	0.00	459.22	95.0	436.26
03/31/2018	BLANKENSHIP, JANET	PRU AS LIFEVEST II	244,916.96	153.07	0.00	153.07	95.0	145.42
03/31/2018	HOVIS, BARBARA	PRU AS LIFEVEST II	11,182.31	20.97	0.00	20.97	95.0	19.92
03/31/2018	HOVIS, BARBARA	PRU AS LIFEVEST II	11,182.31	6.99	0.00	6.99	95.0	6.64
03/31/2018	SOBIESKI, JOYCE	PRU AS LIFEVEST II	19,180.52	35.96	0.00	35.96	95.0	34.16
03/31/2018	SOBIESKI, JOYCE	PRU AS LIFEVEST II	19,180.52	11.99	0.00	11.99	95.0	11.39
03/31/2018	SARKISIAN, NORAY	PRU AS LIFEVEST II	69,148.17	129.65	0.00	129.65	95.0	123.17

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: VARIABLE ANNUITIES</u>								
03/31/2018	SARKISIAN, NORAY	PRU AS LIFEVEST II	69,148.17	43.22	0.00	43.22	95.0	41.06
03/31/2018	THOMSON, DOUGLAS	PRU AS XTRA CREDIT SIX	64,462.11	40.29	0.00	40.29	95.0	38.28
03/31/2018	THOMSON, DOUGLAS	PRU AS XTRA CREDIT SIX	64,462.11	40.29	0.00	40.29	95.0	38.28
03/31/2018	CHEUNG, EDWARD	PRU AS XTRA CREDIT SIX	337,041.92	210.65	0.00	210.65	95.0	200.12
03/31/2018	CHEUNG, EDWARD	PRU AS XTRA CREDIT SIX	337,041.92	210.65	0.00	210.65	95.0	200.12
03/31/2018	KAWALA, CHRISTINA	PRU AS XTRA CREDIT SIX	133,623.58	83.51	0.00	83.51	95.0	79.33
03/31/2018	KAWALA, CHRISTINA	PRU AS XTRA CREDIT SIX	133,623.58	83.51	0.00	83.51	95.0	79.33
03/31/2018	AMMAN, KATHLEEN	PRU AS XTRA CREDIT SIX	87,723.26	54.83	0.00	54.83	95.0	52.09
03/31/2018	AMMAN, KATHLEEN	PRU AS XTRA CREDIT SIX	87,723.26	54.83	0.00	54.83	95.0	52.09
03/31/2018	BAKER, GENE	PRU AS XTRA CREDIT SIX	223,944.98	139.97	0.00	139.97	95.0	132.97
03/31/2018	BAKER, GENE	PRU AS XTRA CREDIT SIX	223,944.98	139.97	0.00	139.97	95.0	132.97
03/31/2018	SIMONY, JOAN	PRU AS XTRA CREDIT SIX	149,709.02	93.57	0.00	93.57	95.0	88.89
03/31/2018	SIMONY, JOAN	PRU AS XTRA CREDIT SIX	149,709.02	93.57	0.00	93.57	95.0	88.89
03/31/2018	TAMM, JAMES	PRU AS XTRA CREDIT SIX	9,647.40	6.03	0.00	6.03	95.0	5.73
03/31/2018	TAMM, JAMES	PRU AS XTRA CREDIT SIX	9,647.40	6.03	0.00	6.03	95.0	5.73
03/31/2018	RIOS-DORIA, H	PRU AS XTRA CREDIT SIX	58,869.88	36.79	0.00	36.79	95.0	34.95
03/31/2018	RIOS-DORIA, H	PRU AS XTRA CREDIT SIX	58,869.88	36.79	0.00	36.79	95.0	34.95
03/31/2018	HOOTNER-JONES, ANN	PRU AS XTRA CREDIT SIX	161,653.43	101.03	0.00	101.03	95.0	95.98
03/31/2018	HOOTNER-JONES, ANN	PRU AS XTRA CREDIT SIX	161,653.43	101.03	0.00	101.03	95.0	95.98
03/31/2018	DALTON, GRACE	PRU AS XTRA CREDIT SIX	83,095.14	51.93	0.00	51.93	95.0	49.33
03/31/2018	DALTON, GRACE	PRU AS XTRA CREDIT SIX	83,095.14	51.93	0.00	51.93	95.0	49.33
03/31/2018	JEFFRIES, BARBARA	PRU AS XTRA CREDIT SIX	188,980.45	118.11	0.00	118.11	95.0	112.20
03/31/2018	JEFFRIES, BARBARA	PRU AS XTRA CREDIT SIX	188,980.45	118.11	0.00	118.11	95.0	112.20
03/31/2018	KOZIKOWSKI, TERRY	PRU AS XTRA CREDIT SIX	125,497.67	78.44	0.00	78.44	95.0	74.52
03/31/2018	KOZIKOWSKI, TERRY	PRU AS XTRA CREDIT SIX	125,497.67	78.44	0.00	78.44	95.0	74.52
03/31/2018	BELLINGER, VICKIE	PRU AS XTRA CREDIT SIX	387,332.38	242.08	0.00	242.08	95.0	229.98
03/31/2018	BELLINGER, VICKIE	PRU AS XTRA CREDIT SIX	387,332.38	242.08	0.00	242.08	95.0	229.98
03/31/2018	VOGEL, KEITH	PRU AS XTRA CREDIT SIX	23,123.43	14.45	0.00	14.45	95.0	13.73
03/31/2018	VOGEL, KEITH	PRU AS XTRA CREDIT SIX	23,123.43	14.45	0.00	14.45	95.0	13.73
03/31/2018	BUSZEK, PAUL	PRU AS XTRA CREDIT SIX	32,129.28	20.08	0.00	20.08	95.0	19.08
03/31/2018	BUSZEK, PAUL	PRU AS XTRA CREDIT SIX	32,129.28	20.08	0.00	20.08	95.0	19.08
03/31/2018	MCDONALD, CRAIG	PRU AS XTRA CREDIT SIX	22,838.10	14.27	0.00	14.27	95.0	13.56
03/31/2018	MCDONALD, CRAIG	PRU AS XTRA CREDIT SIX	22,838.10	14.27	0.00	14.27	95.0	13.56

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: VARIABLE ANNUITIES</u>								
03/31/2018	MCDONALD, VICKI	PRU AS XTRA CREDIT SIX	27,739.81	17.34	0.00	17.34	95.0	16.47
03/31/2018	MCDONALD, VICKI	PRU AS XTRA CREDIT SIX	27,739.81	17.34	0.00	17.34	95.0	16.47
03/31/2018	O'CONNOR, FRANCIS	PRU AS XTRA CREDIT SIX	29,772.13	18.61	0.00	18.61	95.0	17.68
03/31/2018	O'CONNOR, FRANCIS	PRU AS XTRA CREDIT SIX	29,772.13	18.61	0.00	18.61	95.0	17.68
03/31/2018	KEELER, SUSAN	PRU PREMIER RETIREMENT B	137,257.94	85.79	0.00	85.79	95.0	81.50
03/31/2018	MURPHY, PHILIP	PRU PREMIER RETIREMENT B	98,010.43	61.26	0.00	61.26	95.0	58.20
03/31/2018	POLANCE, BARBARA	PRU PREMIER RETIREMENT B	285,883.57	178.68	0.00	178.68	95.0	169.75
03/31/2018	WILLS, KELLEY	PRU PREMIER RETIREMENT B	160,783.13	100.49	0.00	100.49	95.0	95.47
03/31/2018	PARKE, WALTER	PRU PREMIER RETIREMENT B	112,057.93	70.04	0.00	70.04	95.0	66.54
03/31/2018	ANDERSON, JUDITH	PRU PREMIER RETIREMENT B	179,230.76	112.02	0.00	112.02	95.0	106.42
03/31/2018	GRAMMATICO, DENNIS	PRU PREMIER RETIREMENT B	694,449.82	434.03	0.00	434.03	95.0	412.33
03/31/2018	HANSEN, SUSAN	PRU PREMIER RETIREMENT B	248,984.39	155.62	0.00	155.62	95.0	147.84
03/31/2018	GEISLER, JUDY	PRU PREMIER RETIREMENT B	12,906.08	8.07	0.00	8.07	95.0	7.67
03/31/2018	MULRATH, JOHN	PRU PREMIER RETIREMENT L	165,467.55	413.67	0.00	413.67	95.0	392.99
03/31/2018	NICOLOSI, ROSE	PRU PREMIER RETIREMENT L	504,862.94	1,262.16	0.00	1,262.16	95.0	1,199.05
03/31/2018	WAGNER II, HARRY	PRU PREMIER RETIREMENT L	387,215.53	968.04	0.00	968.04	95.0	919.64
03/31/2018	WAGNER, SHARON	PRU PREMIER RETIREMENT L	389,449.98	973.62	0.00	973.62	95.0	924.94
03/31/2018	SCHROETER, MARY KAY	PRU PREMIER RETIREMENT L	173,965.52	434.91	0.00	434.91	95.0	413.16
03/31/2018	SPEARY, LISA	PRU PREMIER RETIREMENT L	104,174.65	260.44	0.00	260.44	95.0	247.42
03/31/2018	RAONA, GARY	PRU PREMIER RETIREMENT L	10,840.89	27.10	0.00	27.10	95.0	25.75
03/31/2018	DEMAN, KENNETH	PRU PREMIER RETIREMENT X	94,819.06	59.26	0.00	59.26	95.0	56.30
03/31/2018	KNIGHT, SHARON	PRU PREMIER RETIREMENT X	103,185.84	64.49	0.00	64.49	95.0	61.27
03/31/2018	HENRY, JACQUELINE	PRU PREMIER RETIREMENT X	69,767.68	43.60	0.00	43.60	95.0	41.42
03/31/2018	OLSON, MELINDA	PRU PREMIER RETIREMENT X	141,680.17	88.55	0.00	88.55	95.0	84.12
03/31/2018	TYNAN, SHELLEY	PRU PREMIER RETIREMENT X	91,472.41	57.17	0.00	57.17	95.0	54.31
03/31/2018	VOGEL, KEITH	PRU PREMIER RETIREMENT X	118,639.80	74.15	0.00	74.15	95.0	70.44
03/31/2018	DUNK, KATHLEEN	PRU PREMIER RETIREMENT X	42,723.99	26.70	0.00	26.70	95.0	25.37
03/31/2018	JOHNSON, RODNEY	PRU PREMIER RETIREMENT X	211,215.54	132.01	0.00	132.01	95.0	125.41
03/31/2018	FEWLESS, SCOTT	PRU PREMIER RETIREMENT X	21,228.33	13.27	0.00	13.27	95.0	12.61
03/31/2018	RANG, JAMES	PRU XTRA CREDIT EIGHT	101,647.09	127.06	0.00	127.06	95.0	120.71
03/31/2018	RANG, JAMES	PRU XTRA CREDIT EIGHT	101,647.09	63.53	0.00	63.53	95.0	60.35
03/31/2018	NACHAZEL, THOMAS	PRU XTRA CREDIT EIGHT	49,814.41	62.27	0.00	62.27	95.0	59.16
03/31/2018	NACHAZEL, THOMAS	PRU XTRA CREDIT EIGHT	49,814.41	31.13	0.00	31.13	95.0	29.57

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<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: VARIABLE ANNUITIES</u>								
03/31/2018	RYAN, JACK	PRU XTRA CREDIT EIGHT	59,311.94	74.14	0.00	74.14	95.0	70.43
03/31/2018	RYAN, JACK	PRU XTRA CREDIT EIGHT	59,311.94	37.07	0.00	37.07	95.0	35.22
03/04/2018	SCHROETER, RICHARD	TRANSAMERICA EXTRA	39,486.74	32.91	0.00	32.91	95.0	31.26
03/14/2018	GRUSH, ERNEST	TRANSAMERICA LANDMARK	157,497.66	131.25	0.00	131.25	95.0	124.69
03/30/2018	MADSEN, JOYCE	TRANSAMERICA LANDMARK	4,921.14	4.10	0.00	4.10	95.0	3.90
* VARIABLE ANNUITIES SUBTOTAL *			\$12,083,392.42	\$11,958.91	\$0.00	\$11,958.91		\$11,361.01
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
02/28/2018	COOPER, LISA	BLACK ROCK 67776G527	0.00	2.19	0.00	2.19	95.0	2.08
02/28/2018	COOPER, LISA	BLACK ROCK 67776G527	0.00	6.56	0.00	6.56	95.0	6.23
02/28/2018	CFGROUP, VARIOUS	BLACK ROCK 67776G527	0.00	1.20	0.00	1.20	95.0	1.14
02/28/2018	CFGROUP, VARIOUS	BLACK ROCK 67776G527	0.00	3.61	0.00	3.61	95.0	3.43
02/28/2018	BUSZEK, RICHARD	BLACK ROCK 67776G527	0.00	1.07	0.00	1.07	95.0	1.02
02/28/2018	MOELLER, RICHARD	BLACK ROCK 67776G527	0.00	0.17	0.00	0.17	95.0	0.16
02/28/2018	BUSZEK, RICHARD	BLACK ROCK 67776G527	0.00	3.19	0.00	3.19	95.0	3.03
02/28/2018	BUSZEK, RICHARD	BLACK ROCK 67776G527	0.00	1.06	0.00	1.06	95.0	1.01
02/28/2018	BUSZEK, RICHARD	BLACK ROCK 67776G527	0.00	3.20	0.00	3.20	95.0	3.04
02/28/2018	MOELLER, RICHARD	BLACK ROCK 67776G527	0.00	0.50	0.00	0.50	95.0	0.48
02/28/2018	WETZEL, DIANNE	BLACK ROCK 67776G543	0.00	2.83	0.00	2.83	95.0	2.69
02/28/2018	WETZEL, DIANNE	BLACK ROCK 67776G543	0.00	0.94	0.00	0.94	95.0	0.89
02/28/2018	WETZEL, DIANNE	BLACK ROCK 67776G543	0.00	0.87	0.00	0.87	95.0	0.83
02/28/2018	WETZEL, DIANNE	BLACK ROCK 67776G543	0.00	2.60	0.00	2.60	95.0	2.47
02/28/2018	BUSZEK, RICHARD	BLACK ROCK 67776G543	0.00	1.80	0.00	1.80	95.0	1.71
02/28/2018	BAKER, JEAN-ANNE	BLACK ROCK 67776G543	0.00	0.29	0.00	0.29	95.0	0.28
02/28/2018	BUSZEK, RICHARD	BLACK ROCK 67776G543	0.00	0.60	0.00	0.60	95.0	0.57
02/28/2018	BAKER, JEAN-ANNE	BLACK ROCK 67776G543	0.00	0.10	0.00	0.10	95.0	0.10
02/28/2018	NIZIO, MARGARET	BLACKROCK 67776G493	0.00	7.32	0.00	7.32	95.0	6.95
02/28/2018	NIZIO, EDMUND	BLACKROCK 67776G493	0.00	7.32	0.00	7.32	95.0	6.95
02/28/2018	NIZIO, EDMUND	BLACKROCK 67776G493	0.00	2.44	0.00	2.44	95.0	2.32
02/28/2018	BAKER, JEAN-ANNE	BLACKROCK 67776G493	0.00	0.12	0.00	0.12	95.0	0.11
02/28/2018	BAKER, JEAN-ANNE	BLACKROCK 67776G493	0.00	0.04	0.00	0.04	95.0	0.04
02/28/2018	NIZIO, MARGARET	BLACKROCK 67776G493	0.00	2.44	0.00	2.44	95.0	2.32
02/28/2018	MOELLER, RICHARD	BLACKROCK 67776G493	0.00	0.18	0.00	0.18	95.0	0.17
02/28/2018	MOELLER, RICHARD	BLACKROCK 67776G493	0.00	0.55	0.00	0.55	95.0	0.52

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<u>DIRECT TRANSACTIONS</u>								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS								
02/28/2018	GALLAS, JAMES L & ANN M	BLACKROCK 19452P473	0.00	6.79	0.00	6.79	95.0	6.45
02/28/2018	MUENCH, DANIEL	BLACKROCK 67776G469	0.00	0.72	0.00	0.72	95.0	0.68
02/28/2018	MERRITT, GREGORY	BLACKROCK 67776G469	0.00	0.36	0.00	0.36	95.0	0.34
02/28/2018	BURKE, KIMBERLY	BLACKROCK 67776G469	0.00	5.54	0.00	5.54	95.0	5.26
02/28/2018	BURKE, KIMBERLY	BLACKROCK 67776G469	0.00	1.34	0.00	1.34	95.0	1.27
02/28/2018	KUCHAREK, PAUL	BLACKROCK 67776G469	0.00	4.05	0.00	4.05	95.0	3.85
02/28/2018	KUCHAREK, PAUL	BLACKROCK 67776G469	0.00	1.91	0.00	1.91	95.0	1.81
02/28/2018	KUCHAREK, PAUL	BLACKROCK 67776G469	0.00	3.68	0.00	3.68	95.0	3.50
02/28/2018	MUENCH, DANIEL	BLACKROCK 67776G469	0.00	2.24	0.00	2.24	95.0	2.13
02/28/2018	BURKE, KIMBERLY	BLACKROCK 67776G477	0.00	5.84	0.00	5.84	95.0	5.55
02/28/2018	BURKE, KIMBERLY	BLACKROCK 67776G477	0.00	1.95	0.00	1.95	95.0	1.85
02/28/2018	TRYNAN, SHELLY	BLACKROCK 67776G477	0.00	1.35	0.00	1.35	95.0	1.28
02/28/2018	TRYNAN, SHELLY	BLACKROCK 67776G477	0.00	0.45	0.00	0.45	95.0	0.43
02/28/2018	MOELLER, RICHARD	BLACKROCK 67776G477	0.00	0.63	0.00	0.63	95.0	0.60
02/28/2018	MOELLER, RICHARD	BLACKROCK 67776G477	0.00	0.21	0.00	0.21	95.0	0.20
02/28/2018	COOPER, LISA	BLACKROCK 67776G477	0.00	0.56	0.00	0.56	95.0	0.53
02/28/2018	COOPER, LISA	BLACKROCK 67776G477	0.00	1.67	0.00	1.67	95.0	1.59
02/28/2018	COOPER, LISA	BLACKROCK 67776G477	0.00	0.61	0.00	0.61	95.0	0.58
02/28/2018	COOPER, LISA	BLACKROCK 67776G477	0.00	1.84	0.00	1.84	95.0	1.75
02/28/2018	BAKER, JEAN-ANNE	BLACKROCK 67776G519	0.00	1.76	0.00	1.76	95.0	1.67
02/28/2018	MERRITT, GREGORY	BLACKROCK 67776G519	0.00	4.66	0.00	4.66	95.0	4.43
02/28/2018	YASCH, SANDY	BLACKROCK 67776G519	0.00	0.60	0.00	0.60	95.0	0.57
02/28/2018	BAKER, JEAN-ANNE	BLACKROCK 67776G519	0.00	0.81	0.00	0.81	95.0	0.77
02/28/2018	MERRITT, GREGORY	BLACKROCK 67776G535	0.00	4.43	0.00	4.43	95.0	4.21
02/28/2018	TRYNAN, SHELLY	BLACKROCK ENROLMENT CLASS C	0.00	2.61	0.00	2.61	95.0	2.48
02/28/2018	BURKE, KIMBERLY	BLACKROCK ENROLMENT CLASS C	0.00	7.05	0.00	7.05	95.0	6.70
02/28/2018	BURKE, KIMBERLY	BLACKROCK ENROLMENT CLASS C	0.00	2.35	0.00	2.35	95.0	2.23
02/28/2018	BURKE, KIMBERLY	BLACKROCK ENROLMENT CLASS C	0.00	1.94	0.00	1.94	95.0	1.84
02/28/2018	BURKE, KIMBERLY	BLACKROCK ENROLMENT CLASS C	0.00	5.83	0.00	5.83	95.0	5.54
02/28/2018	TRYNAN, SHELLY	BLACKROCK ENROLMENT CLASS C	0.00	0.87	0.00	0.87	95.0	0.83
02/28/2018	WILLIT	BLK AGG GROWTH A	0.00	1.84	0.00	1.84	95.0	1.75
02/28/2018	KING, DAVID	BLK EQUITY DIVIDEND C	0.00	0.47	0.00	0.47	95.0	0.45
02/28/2018	KING, DAVID	BLK EQUITY DIVIDEND C	0.00	0.16	0.00	0.16	95.0	0.15

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>DIRECT TRANSACTIONS</u>								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS								
03/31/2018	JOHNSON, VARIOUS	DREYFUS	29,702.58	6.31	0.00	6.31	95.0	5.99
03/31/2018	CFGROUP, VARIOUS	DREYFUS	59,850.17	12.71	0.00	12.71	95.0	12.07
03/31/2018	CFGROUP, VARIOUS	DREYFUS	7,769.68	1.65	0.00	1.65	95.0	1.57
03/31/2018	CFGROUP, VARIOUS	DREYFUS	7,770.69	1.65	0.00	1.65	95.0	1.57
03/31/2018	CFGROUP, VARIOUS	DREYFUS	337,355.26	71.63	0.00	71.63	95.0	68.05
/ /	BLEIL, STEPHEN	FIDELITY ADV GOLD	0.00	0.07	0.00	0.07	95.0	0.07
/ /	ROCCA, JACQUELYN	FIDELITY ADV GROWTH OPP	0.00	0.62	0.00	0.62	95.0	0.59
/ /	ROCCA, ALEX	FIDELITY ADV GROWTH OPP	0.00	0.76	0.00	0.76	95.0	0.72
/ /	ROCCA, AARON	FIDELITY ADV GROWTH OPP	0.00	0.76	0.00	0.76	95.0	0.72
/ /	MCQUEENEY, JULIE	FIDELITY ADV GROWTH OPP	0.00	1.22	0.00	1.22	95.0	1.16
/ /	FELIS-ROSS, CAROL	FIDELITY ADV GROWTH OPP	0.00	0.11	0.00	0.11	95.0	0.10
/ /	SCALISE, CYNTHIA	FIDELITY ADV GROWTH OPP	0.00	1.43	0.00	1.43	95.0	1.36
/ /	DUDZIK, ELZBIETA	FIDELITY ADV GROWTH OPP	0.00	27.65	0.00	27.65	95.0	26.27
/ /	VIVIANO, JASON	FIDELITY ADV GROWTH OPP A	0.00	2.04	0.00	2.04	95.0	1.94
/ /	MCCALPIN, ROBERT JOHN	FIDELITY ADV HEALTH CARE T	0.00	14.15	0.00	14.15	95.0	13.44
/ /	MCCALPIN, ROBERT JOHN	FIDELITY ADV LARGE CAP	0.00	10.06	0.00	10.06	95.0	9.56
/ /	HERWARTH, CHARLES	FIDELITY ADV LARGE CAP A	0.00	2.01	0.00	2.01	95.0	1.91
/ /	FELIS-ROSS, CAROL	FIDELITY ADV MORTGAGE SECURITIES T	0.00	0.12	0.00	0.12	95.0	0.11
/ /	SCALISE, CYNTHIA	FIDELITY ADV MORTGAGE SECURITIES T	0.00	1.62	0.00	1.62	95.0	1.54
/ /	HERWARTH, CHARLES	FIDELITY ADV STOCK SELECTOR ALLCAP	0.00	2.30	0.00	2.30	95.0	2.19
/ /	DUDZIK, ELZBIETA	FIDELITY BALANCED T	0.00	21.21	0.00	21.21	95.0	20.15
/ /	ROCCA, JACQUELYN	FIDELITY EMERGING MARKETS	0.00	0.10	0.00	0.10	95.0	0.10
/ /	ROCCA, ALEX	FIDELITY EMERGING MARKETS	0.00	0.08	0.00	0.08	95.0	0.08
/ /	ROCCA, AARON	FIDELITY EMERGING MARKETS	0.00	0.08	0.00	0.08	95.0	0.08
/ /	DUDZIK, ELZBIETA	FIDELITY EMERGING MARKETS	0.00	3.43	0.00	3.43	95.0	3.26
/ /	ROCCA, JACQUELYN	FIDELITY EMERGING MKTS T	0.00	0.31	0.00	0.31	95.0	0.29
/ /	ROCCA, ALEX	FIDELITY EMERGING MKTS T	0.00	0.19	0.00	0.19	95.0	0.18
/ /	ROCCA, AARON	FIDELITY EMERGING MKTS T	0.00	0.19	0.00	0.19	95.0	0.18
/ /	DUDZIK, ELZBIETA	FIDELITY EMERGING MKTS T	0.00	7.75	0.00	7.75	95.0	7.36
/ /	HERWARTH, CHARLES	FIDELITY EQUITY GROWTH A	0.00	2.09	0.00	2.09	95.0	1.99
/ /	BESS, JAMES	FIDELITY EQUITY GROWTH A	0.00	3.27	0.00	3.27	95.0	3.11
/ /	ZOBOSKI, JAYNE	FIDELITY EQUITY INCOME A	0.00	3.70	0.00	3.70	95.0	3.52
/ /	FRINTNER, SEAN EDWARD	FIDELITY EQUITY INCOME A	0.00	1.29	0.00	1.29	95.0	1.23

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<u>DIRECT TRANSACTIONS</u>								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS								
/ /	KULBACK, WILLIAM	FIDELITY GOV'T MMKT DAILY MONEY C	0.00	11.83	0.00	11.83	95.0	11.24
/ /	ZERILLI, ROSA	FIDELITY GOV'T MMKT DAILY MONEY C	0.00	3.44	0.00	3.44	95.0	3.27
/ /	HERWARTH, CHARLES	FIDELITY TECHNOLOGY A	0.00	1.74	0.00	1.74	95.0	1.65
/ /	ROHLOFF, SHARON	FIDELITY TECHNOLOGY A	0.00	0.73	0.00	0.73	95.0	0.69
/ /	BEARD, LATOYA	FIDELITY TECHNOLOGY A	0.00	0.03	0.00	0.03	95.0	0.03
/ /	KRAUSE, BARBARA	FIRST INVESTORS MULTI STATE INSD TA	0.00	96.29	0.00	96.29	95.0	91.48
02/28/2018	BURKE, KIMBERLY	GLOBAL ALLOCATION FUND	0.00	5.96	0.00	5.96	95.0	5.66
02/28/2018	YASCH, KEN	GLOBAL ALLOCATION FUND	0.00	0.56	0.00	0.56	95.0	0.53
02/28/2018	COOPER, LISA	GLOBAL ALLOCATION FUND	0.00	2.76	0.00	2.76	95.0	2.62
02/28/2018	MERRITT, GREGORY	GLOBAL ALLOCATION FUND	0.00	1.96	0.00	1.96	95.0	1.86
02/28/2018	NIK, YASCH	GLOBAL ALLOCATION FUND	0.00	0.52	0.00	0.52	95.0	0.49
02/28/2018	COOPER, LISA	GLOBAL ALLOCATION FUND	0.00	3.08	0.00	3.08	95.0	2.93
02/28/2018	HOOTNER-JONES, ANN	GLOBAL ALLOCATION FUND	0.00	3.15	0.00	3.15	95.0	2.99
02/28/2018	HOOTNER-JONES, ANN	GLOBAL ALLOCATION FUND	0.00	4.77	0.00	4.77	95.0	4.53
02/28/2018	HOOTNER-JONES, ANN	GLOBAL ALLOCATION FUND	0.00	3.15	0.00	3.15	95.0	2.99
02/28/2018	KUCHAREK, PAUL	GLOBAL ALLOCATION FUND	0.00	2.28	0.00	2.28	95.0	2.17
03/19/2018	WAGNER II TRUST, HARRY	GRIFFIN INST'L ACCESS R E FUND C	0.00	83.56	0.00	83.56	95.0	79.38
03/19/2018	WAGNER II TRUST, HARRY	GRIFFIN INST'L ACCESS R E FUND C	0.00	250.69	0.00	250.69	95.0	238.16
03/19/2018	FARRAR TRUST, CHARLES & KAREN	GRIFFIN INST'L ACCESS R E FUND C	0.00	5.86	0.00	5.86	95.0	5.57
03/19/2018	FARRAR TRUST, CHARLES & KAREN	GRIFFIN INST'L ACCESS R E FUND C	0.00	17.58	0.00	17.58	95.0	16.70
03/19/2018	ANDERSON, ARTHUR	GRIFFIN INST'L ACCESS R E FUND C	0.00	10.20	0.00	10.20	95.0	9.69
03/19/2018	ANDERSON, ARTHUR	GRIFFIN INST'L ACCESS R E FUND C	0.00	30.61	0.00	30.61	95.0	29.08
/ /	ROCCA, HELEN	HARTFORD CAPITAL APPRECIATION A	0.00	0.70	0.00	0.70	95.0	0.67
/ /	HARTMAN, GREGORY	HARTFORD CAPITAL APPRECIATION A	0.00	2.21	0.00	2.21	95.0	2.10
/ /	GARON-NOWACZYK TRUST, KIM	HARTFORD CAPITAL APPRECIATION C	0.00	5.83	0.00	5.83	95.0	5.54
/ /	COLE, JAMES WILLIAM	HARTFORD DIVIDEND & GROWTH C	0.00	13.93	0.00	13.93	95.0	13.23
/ /	HARTMAN, GREGORY	HARTFORD HEALTHCARE A	0.00	0.87	0.00	0.87	95.0	0.83
/ /	RUFFINO, ERNESTINE	HARTFORD HEALTHCARE A	0.00	19.30	0.00	19.30	95.0	18.34
/ /	GARON-NOWACZYK TRUST, KIM	HARTFORD HEALTHCARE C	0.00	5.30	0.00	5.30	95.0	5.04
/ /	HARTMAN, GREGORY	HARTFORD MIDCAP A	0.00	2.38	0.00	2.38	95.0	2.26
/ /	GARON-NOWACZYK TRUST, KIM	HARTFORD MIDCAP C	0.00	5.28	0.00	5.28	95.0	5.02
/ /	HARTMAN, GREGORY	HARTFORD MIDCAP VALUE A	0.00	0.01	0.00	0.01	95.0	0.01
/ /	HARTMAN, GREGORY	HARTFORD SCHRDRS US SM MD CAP OPP-A	0.00	1.37	0.00	1.37	95.0	1.30

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<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
/ /	HARTMAN, GREGORY	HARTFORD SMALLCAP GROWTH A	0.00	4.43	0.00	4.43	95.0	4.21
/ /	HARTMAN, GREGORY	HARTFUND EQUITY INCIME FUND A	0.00	2.00	0.00	2.00	95.0	1.90
04/01/2018	BLACKBURN, GLORIA	MFS AGGRESSIVE GROWTH ALLOCATION A	0.00	1.99	0.00	1.99	95.0	1.89
04/01/2018	CHIDSEY, DARRYL	MFS AGGRESSIVE GROWTH ALLOCATION C	0.00	13.05	0.00	13.05	95.0	12.40
04/01/2018	MARVIN, SAMANTHA	MFS CORE EQUITY A	0.00	1.34	0.00	1.34	95.0	1.27
04/01/2018	AUMAN, ABBY G M	MFS CORE EQUITY A	0.00	1.37	0.00	1.37	95.0	1.30
04/01/2018	MELLERT, BETH	MFS CORE EQUITY C	0.00	14.40	0.00	14.40	95.0	13.68
04/01/2018	BLACKBURN, W ALLEN	MFS CORE EQUITY C	0.00	6.71	0.00	6.71	95.0	6.37
04/01/2018	MUNTEANU, RADU	MFS EMERGING MARKETS EQUITY A	0.00	15.10	0.00	15.10	95.0	14.35
04/01/2018	AUMAN, ABBY G M	MFS GLOBAL GROWTH A	0.00	1.65	0.00	1.65	95.0	1.57
04/01/2018	HOWARD, ANNE	MFS GROWTH A	0.00	13.74	0.00	13.74	95.0	13.05
04/01/2018	WRIGHT, JAMES	MFS GROWTH A	0.00	1.64	0.00	1.64	95.0	1.56
04/01/2018	O'CONNOR, CYNTHIA	MFS GROWTH A	0.00	3.77	0.00	3.77	95.0	3.58
04/01/2018	MARVIN, SAMANTHA	MFS GROWTH A	0.00	2.63	0.00	2.63	95.0	2.50
04/01/2018	AUMAN, ABBY G M	MFS GROWTH A	0.00	2.60	0.00	2.60	95.0	2.47
04/01/2018	RITTER, KYLE	MFS GROWTH A	0.00	1.73	0.00	1.73	95.0	1.64
04/01/2018	MELLERT, BETH	MFS GROWTH C	0.00	13.22	0.00	13.22	95.0	12.56
04/01/2018	BLACKBURN, W ALLEN	MFS GROWTH C	0.00	5.87	0.00	5.87	95.0	5.58
04/01/2018	WEIDRICK, RUSSELL	MFS GROWTH C	0.00	11.24	0.00	11.24	95.0	10.68
04/01/2018	LLOYD, HEATHER	MFS HIGH INCOME A	0.00	1.66	0.00	1.66	95.0	1.58
04/01/2018	PASEK, KEVIN	MFS MASS INVESTORS GROWTH STOCK A	0.00	4.14	0.00	4.14	95.0	3.93
04/01/2018	PASEK, CHRISTINE	MFS MASS INVESTORS GROWTH STOCK A	0.00	1.53	0.00	1.53	95.0	1.45
04/01/2018	PASEK, CHRISTINE	MFS MASS INVESTORS GROWTH STOCK A	0.00	13.67	0.00	13.67	95.0	12.99
04/01/2018	CHESNEY TRUST, CHRISTINE	MFS MASS INVESTORS GROWTH STOCK A	0.00	1.11	0.00	1.11	95.0	1.05
04/01/2018	MELLERT, BETH	MFS MASS INVESTORS GROWTH STOCK C	0.00	15.02	0.00	15.02	95.0	14.27
04/01/2018	BLACKBURN, W ALLEN	MFS MASS INVESTORS GROWTH STOCK C	0.00	6.70	0.00	6.70	95.0	6.37
04/01/2018	RITTER, KYLE	MFS MASS INVESTORS TRUST A	0.00	1.36	0.00	1.36	95.0	1.29
04/01/2018	MELLERT, BETH	MFS MIDCAP GROWTH C	0.00	10.28	0.00	10.28	95.0	9.77
04/01/2018	BLACKBURN, W ALLEN	MFS MIDCAP GROWTH C	0.00	4.51	0.00	4.51	95.0	4.28
04/01/2018	KUSNERAK, SYLVIA	MFS MODERATE ALLOCATION A	0.00	19.53	0.00	19.53	95.0	18.55
04/01/2018	ENDRESS, ROBERT	MFS MUNICIPAL INCOME A	0.00	12.87	0.00	12.87	95.0	12.23
04/01/2018	WEIDRICK, RUSSELL	MFS NEW DISCOVERY C	0.00	11.30	0.00	11.30	95.0	10.74
04/01/2018	HOWARD, ANNE	MFS RESEARCH A	0.00	12.44	0.00	12.44	95.0	11.82

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<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
04/01/2018	LAI, DOROTHY	MFS RESEARCH A	0.00	12.23	0.00	12.23	95.0	11.62
04/01/2018	WRIGHT, JAMES	MFS RESEARCH A	0.00	3.20	0.00	3.20	95.0	3.04
04/01/2018	ZYREK, THOMAS	MFS RESEARCH A	0.00	9.02	0.00	9.02	95.0	8.57
04/01/2018	ENDRESS, ROBERT	MFS RESEARCH A	0.00	51.38	0.00	51.38	95.0	48.81
04/01/2018	RITTER, KYLE	MFS RESEARCH A	0.00	0.69	0.00	0.69	95.0	0.66
04/01/2018	MARVIN, SAMANTHA	MFS RESEARCH INTL A	0.00	1.40	0.00	1.40	95.0	1.33
04/01/2018	MELLERT, BETH	MFS RESEARCH INTL C	0.00	15.50	0.00	15.50	95.0	14.73
04/01/2018	BLACKBURN, W ALLEN	MFS RESEARCH INTL C	0.00	7.40	0.00	7.40	95.0	7.03
04/01/2018	MELLIS, STEVEN	MFS TOTAL RETURN A	0.00	5.01	0.00	5.01	95.0	4.76
04/01/2018	SARKISIAN, NORAY	MFS TOTAL RETURN A	0.00	16.35	0.00	16.35	95.0	15.53
04/01/2018	KING, VICTORIA	MFS TOTAL RETURN A	0.00	51.40	0.00	51.40	95.0	48.83
04/01/2018	MELLIS, STEVEN	MFS VALUE A	0.00	6.34	0.00	6.34	95.0	6.02
/ /	KOSANKE, LORI	OPPENHEIMER CAPITAL APPRECIATION A	0.00	5.23	0.00	5.23	95.0	4.97
/ /	HOLT, DEBBIE	OPPENHEIMER CAPITAL APPRECIATION A	0.00	72.56	0.00	72.56	95.0	68.93
/ /	KRAYDICH, KELLIE	OPPENHEIMER CAPITAL APPRECIATION A	0.00	0.84	0.00	0.84	95.0	0.80
/ /	TRINH, CHRISTINE	OPPENHEIMER CAPITAL APPRECIATION A	0.00	2.89	0.00	2.89	95.0	2.75
/ /	LEPPEK, JUDITH	OPPENHEIMER CAPITAL APPRECIATION A	0.00	16.89	0.00	16.89	95.0	16.05
/ /	KEECH, SCOTT	OPPENHEIMER CAPITAL APPRECIATION A	0.00	10.51	0.00	10.51	95.0	9.98
/ /	KOSANKE, MARK	OPPENHEIMER CAPITAL APPRECIATION A	0.00	7.47	0.00	7.47	95.0	7.10
/ /	SOLDAN, JULIE	OPPENHEIMER CAPITAL APPRECIATION A	0.00	15.26	0.00	15.26	95.0	14.50
/ /	WATKINS, KATHRYN	OPPENHEIMER CAPITAL APPRECIATION A	0.00	7.08	0.00	7.08	95.0	6.73
/ /	RUFFIN, JOHN	OPPENHEIMER CAPITAL APPRECIATION A	0.00	15.57	0.00	15.57	95.0	14.79
/ /	NEUER-MIHALAK, LORIE	OPPENHEIMER CAPITAL APPRECIATION A	0.00	4.21	0.00	4.21	95.0	4.00
/ /	CAPWELL, MARK	OPPENHEIMER CAPITAL APPRECIATION A	0.00	13.07	0.00	13.07	95.0	12.42
/ /	TAKACS, RYAN	OPPENHEIMER CAPITAL APPRECIATION A	0.00	4.79	0.00	4.79	95.0	4.55
/ /	HICKS, MELISSA	OPPENHEIMER CAPITAL APPRECIATION A	0.00	0.10	0.00	0.10	95.0	0.10
/ /	BUTLER, SANDRA	OPPENHEIMER CAPITAL APPRECIATION A	0.00	0.02	0.00	0.02	95.0	0.02
/ /	BAKER, STEVEN	OPPENHEIMER CAPITAL APPRECIATION A	0.00	1.31	0.00	1.31	95.0	1.24
/ /	JOUPPI, SHARON	OPPENHEIMER CAPITAL APPRECIATION A	0.00	18.54	0.00	18.54	95.0	17.61
/ /	HICKS, MELISSA	OPPENHEIMER CAPITAL APPRECIATION B	0.00	0.04	0.00	0.04	95.0	0.04
/ /	BAKER, STEVEN	OPPENHEIMER CAPITAL APPRECIATION B	0.00	0.36	0.00	0.36	95.0	0.34
/ /	GALLAS, MICHAEL	OPPENHEIMER CAPITAL APPRECIATION C	0.00	15.15	0.00	15.15	95.0	14.39
/ /	RENTROP, GARRETT	OPPENHEIMER CAPITAL APPRECIATION C	0.00	24.69	0.00	24.69	95.0	23.46

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>DIRECT TRANSACTIONS</u>								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS								
/ /	DITRI, ANN	OPPENHEIMER CAPITAL APPRECIATION C	0.00	9.64	0.00	9.64	95.0	9.16
/ /	DINKA, JOHN	OPPENHEIMER CAPITAL APPRECIATION C	0.00	130.01	0.00	130.01	95.0	123.51
/ /	HICKS, MELISSA	OPPENHEIMER CAPITAL APPRECIATION C	0.00	5.46	0.00	5.46	95.0	5.19
/ /	BAKER, STEVEN	OPPENHEIMER CAPITAL APPRECIATION C	0.00	23.63	0.00	23.63	95.0	22.45
/ /	HENRY, JACQUELINE	OPPENHEIMER CAPITAL APPRECIATION C	0.00	5.26	0.00	5.26	95.0	5.00
/ /	KOGUT, MONICA	OPPENHEIMER CAPITAL APPRECIATION C	0.00	3.53	0.00	3.53	95.0	3.35
/ /	ELIAS, JANICE	OPPENHEIMER CAPITAL APPRECIATION C	0.00	0.09	0.00	0.09	95.0	0.09
/ /	HOWEY, JESSICA	OPPENHEIMER CAPITAL APPRECIATION C	0.00	0.41	0.00	0.41	95.0	0.39
/ /	KRAYDICH, KELLIE	OPPENHEIMER CAPITAL INCOME A	0.00	0.79	0.00	0.79	95.0	0.75
/ /	LEPPEK, JUDITH	OPPENHEIMER CAPITAL INCOME A	0.00	11.55	0.00	11.55	95.0	10.97
/ /	BOYD, SONYA	OPPENHEIMER DISCOVERY A	0.00	0.99	0.00	0.99	95.0	0.94
/ /	KEECH, SCOTT	OPPENHEIMER DISCOVERY A	0.00	4.27	0.00	4.27	95.0	4.06
/ /	KOLDERMAN, ETHAN	OPPENHEIMER DISCOVERY A	0.00	4.70	0.00	4.70	95.0	4.47
/ /	KOLDERMAN, NATHAN	OPPENHEIMER DISCOVERY A	0.00	5.37	0.00	5.37	95.0	5.10
/ /	LABAZA, LYNN	OPPENHEIMER DISCOVERY A	0.00	5.73	0.00	5.73	95.0	5.44
/ /	LABAZA, JOHN	OPPENHEIMER DISCOVERY A	0.00	5.73	0.00	5.73	95.0	5.44
/ /	KOSANKE, MARK	OPPENHEIMER DISCOVERY A	0.00	7.05	0.00	7.05	95.0	6.70
/ /	LABAZA, LYNN	OPPENHEIMER DISCOVERY C	0.00	94.38	0.00	94.38	95.0	89.66
/ /	LABAZA, JOHN	OPPENHEIMER DISCOVERY C	0.00	94.38	0.00	94.38	95.0	89.66
/ /	DAMORE, MONICA	OPPENHEIMER DISCOVERY C	0.00	44.51	0.00	44.51	95.0	42.28
/ /	KOSANKE, LORI	OPPENHEIMER EQUITY INCOME A	0.00	4.97	0.00	4.97	95.0	4.72
/ /	POOLEY, TATIANA	OPPENHEIMER EQUITY INCOME A	0.00	0.04	0.00	0.04	95.0	0.04
/ /	GOLD, LORNE	OPPENHEIMER EQUITY INCOME A	0.00	5.46	0.00	5.46	95.0	5.19
/ /	KOGUT, MONICA	OPPENHEIMER EQUITY INCOME C	0.00	3.09	0.00	3.09	95.0	2.94
/ /	HOWEY, JESSICA	OPPENHEIMER EQUITY INCOME C	0.00	0.48	0.00	0.48	95.0	0.46
/ /	SMOLAREK, CHERYL	OPPENHEIMER EQUITY INVESTOR B	0.00	0.93	0.00	0.93	95.0	0.88
/ /	PURCELL, JOSHUA	OPPENHEIMER GLOBAL A	0.00	0.65	0.00	0.65	95.0	0.62
/ /	ROSENBERG, MARCY	OPPENHEIMER GLOBAL A	0.00	16.75	0.00	16.75	95.0	15.91
/ /	GOLD, LORNE	OPPENHEIMER GLOBAL A	0.00	8.10	0.00	8.10	95.0	7.70
/ /	STIRSMAN, MATTHEW	OPPENHEIMER GLOBAL A	0.00	23.62	0.00	23.62	95.0	22.44
/ /	TAKACS, RYAN	OPPENHEIMER GLOBAL A	0.00	4.99	0.00	4.99	95.0	4.74
/ /	CRANDALL, MEGAN	OPPENHEIMER GLOBAL ALLOCATION A	0.00	0.09	0.00	0.09	95.0	0.09
/ /	MAYNARD, JULIE	OPPENHEIMER GLOBAL ALLOCATION A	0.00	2.15	0.00	2.15	95.0	2.04

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
/ /	SOLDAN, JULIE	OPPENHEIMER GLOBAL ALLOCATION A	0.00	10.37	0.00	10.37	95.0	9.85
/ /	MICHAELS, CHRISTINA	OPPENHEIMER GLOBAL ALLOCATION A	0.00	4.14	0.00	4.14	95.0	3.93
/ /	DITRI, ANN	OPPENHEIMER GLOBAL C	0.00	9.53	0.00	9.53	95.0	9.05
/ /	HENRY, JACQUELINE	OPPENHEIMER GLOBAL C	0.00	5.16	0.00	5.16	95.0	4.90
/ /	KOSANKE, LORI	OPPENHEIMER GLOBAL OPPORTUNITIES A	0.00	3.71	0.00	3.71	95.0	3.52
/ /	KOSANKE, MARK	OPPENHEIMER GLOBAL OPPORTUNITIES A	0.00	9.01	0.00	9.01	95.0	8.56
/ /	MIKLEVICH, MICHAEL	OPPENHEIMER GLOBAL OPPORTUNITIES A	0.00	25.66	0.00	25.66	95.0	24.38
/ /	MAYNARD, JULIE	OPPENHEIMER GLOBAL OPPORTUNITIES A	0.00	4.19	0.00	4.19	95.0	3.98
/ /	ZYREK, DARLENE	OPPENHEIMER GLOBAL OPPORTUNITIES A	0.00	67.25	0.00	67.25	95.0	63.89
/ /	MERRITT, MARY LOU	OPPENHEIMER GLOBAL OPPORTUNITIES A	0.00	21.81	0.00	21.81	95.0	20.72
/ /	MCCOLLEY, SHEA	OPPENHEIMER GLOBAL OPPORTUNITIES A	0.00	0.27	0.00	0.27	95.0	0.26
/ /	DINKA, CATHERINE	OPPENHEIMER GLOBAL OPPORTUNITIES A	0.00	5.26	0.00	5.26	95.0	5.00
/ /	TRINH, CHRISTINE	OPPENHEIMER GLOBAL OPPORTUNITIES A	0.00	3.75	0.00	3.75	95.0	3.56
/ /	FERRARI, JACQUELINE	OPPENHEIMER GLOBAL OPPORTUNITIES A	0.00	7.66	0.00	7.66	95.0	7.28
/ /	NEUER-MIHALAK, LORIE	OPPENHEIMER GLOBAL OPPORTUNITIES A	0.00	9.98	0.00	9.98	95.0	9.48
/ /	CAPWELL, MARK	OPPENHEIMER GLOBAL OPPORTUNITIES A	0.00	22.56	0.00	22.56	95.0	21.43
/ /	DEW, DESIREE	OPPENHEIMER GLOBAL OPPORTUNITIES A	0.00	22.57	0.00	22.57	95.0	21.44
/ /	SCHULTZ, DEBRA	OPPENHEIMER GLOBAL OPPORTUNITIES A	0.00	22.38	0.00	22.38	95.0	21.26
/ /	TRBOVICH, HEATHER	OPPENHEIMER GLOBAL OPPORTUNITIES A	0.00	2.07	0.00	2.07	95.0	1.97
/ /	HOWEY, JESSICA	OPPENHEIMER GLOBAL OPPORTUNITIES A	0.00	0.98	0.00	0.98	95.0	0.93
/ /	SMITH, ASHLEY	OPPENHEIMER GLOBAL OPPORTUNITIES A	0.00	0.41	0.00	0.41	95.0	0.39
/ /	TRBOVICH, NICK	OPPENHEIMER GLOBAL OPPORTUNITIES A	0.00	3.14	0.00	3.14	95.0	2.98
/ /	TRBOVICH, MARY	OPPENHEIMER GLOBAL OPPORTUNITIES A	0.00	2.62	0.00	2.62	95.0	2.49
/ /	DINKA, CATHERINE	OPPENHEIMER GLOBAL OPPORTUNITIES B	0.00	0.02	0.00	0.02	95.0	0.02
/ /	DEW, DESIREE	OPPENHEIMER GLOBAL OPPORTUNITIES B	0.00	0.08	0.00	0.08	95.0	0.08
/ /	NEED, GREGORY	OPPENHEIMER GLOBAL OPPORTUNITIES C	0.00	26.56	0.00	26.56	95.0	25.23
/ /	GALLAS, MICHAEL	OPPENHEIMER GLOBAL OPPORTUNITIES C	0.00	4.43	0.00	4.43	95.0	4.21
/ /	RENTROP, GARRETT	OPPENHEIMER GLOBAL OPPORTUNITIES C	0.00	33.91	0.00	33.91	95.0	32.21
/ /	MCCOLLEY, SHEA	OPPENHEIMER GLOBAL OPPORTUNITIES C	0.00	1.29	0.00	1.29	95.0	1.23
/ /	DINKA, CATHERINE	OPPENHEIMER GLOBAL OPPORTUNITIES C	0.00	42.36	0.00	42.36	95.0	40.24
/ /	DINKA, JOHN	OPPENHEIMER GLOBAL OPPORTUNITIES C	0.00	89.57	0.00	89.57	95.0	85.09
/ /	SCHULTZ, DEBRA	OPPENHEIMER GLOBAL OPPORTUNITIES C	0.00	56.55	0.00	56.55	95.0	53.72
/ /	DAMORE, MONICA	OPPENHEIMER GLOBAL OPPORTUNITIES C	0.00	50.56	0.00	50.56	95.0	48.03

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
/ /	BOYD, SONYA	OPPENHEIMER GLOBAL STRATEGIC INC A	0.00	0.56	0.00	0.56	95.0	0.53
/ /	TATUM, PATICIA	OPPENHEIMER GLOBAL STRATEGIC INC A	0.00	1.12	0.00	1.12	95.0	1.06
/ /	CRANDALL, MEGAN	OPPENHEIMER GLOBAL STRATEGIC INC A	0.00	0.34	0.00	0.34	95.0	0.32
/ /	GOLD, LORNE	OPPENHEIMER GLOBAL STRATEGIC INC A	0.00	0.78	0.00	0.78	95.0	0.74
/ /	MICHAELS, CHRISTINA	OPPENHEIMER GLOBAL STRATEGIC INC A	0.00	4.72	0.00	4.72	95.0	4.48
/ /	RENTROP, GARRETT	OPPENHEIMER GLOBAL STRATEGIC INC C	0.00	16.26	0.00	16.26	95.0	15.45
/ /	HENRY, JACQUELINE	OPPENHEIMER GLOBAL STRATEGIC INC C	0.00	3.89	0.00	3.89	95.0	3.70
/ /	HENRY, JACQUELINE	OPPENHEIMER GOLD & SPECIAL MINERALS	0.00	3.30	0.00	3.30	95.0	3.14
/ /	GOLD, LORNE	OPPENHEIMER INTL BOND A	0.00	1.46	0.00	1.46	95.0	1.39
/ /	BAKER, STEVEN	OPPENHEIMER INTL BOND A	0.00	0.64	0.00	0.64	95.0	0.61
/ /	BAKER, STEVEN	OPPENHEIMER INTL BOND B	0.00	0.22	0.00	0.22	95.0	0.21
/ /	BAKER, STEVEN	OPPENHEIMER INTL BOND C	0.00	17.97	0.00	17.97	95.0	17.07
/ /	HALSEY, DEBRA	OPPENHEIMER INTL BOND C	0.00	4.02	0.00	4.02	95.0	3.82
/ /	BAKER, STEVEN	OPPENHEIMER INTL DIVERSIFIED A	0.00	0.98	0.00	0.98	95.0	0.93
/ /	BAKER, STEVEN	OPPENHEIMER INTL DIVERSIFIED B	0.00	0.39	0.00	0.39	95.0	0.37
/ /	BAKER, STEVEN	OPPENHEIMER INTL DIVERSIFIED C	0.00	22.10	0.00	22.10	95.0	21.00
/ /	GOLD, LORNE	OPPENHEIMER INTL GROWTH A	0.00	1.71	0.00	1.71	95.0	1.62
/ /	MUNTEANU, RADU	OPPENHEIMER INTL GROWTH A	0.00	1.19	0.00	1.19	95.0	1.13
/ /	CAPWELL, MARK	OPPENHEIMER INTL GROWTH A	0.00	2.21	0.00	2.21	95.0	2.10
/ /	NEED, GREGORY	OPPENHEIMER INTL GROWTH C	0.00	27.64	0.00	27.64	95.0	26.26
/ /	OWENS, JEAN	OPPENHEIMER INTL SMALL CO A	0.00	0.94	0.00	0.94	95.0	0.89
/ /	KRAYDICH, KELLIE	OPPENHEIMER INTL SMALL CO A	0.00	0.95	0.00	0.95	95.0	0.90
/ /	LEPPEK, JUDITH	OPPENHEIMER INTL SMALL CO A	0.00	23.13	0.00	23.13	95.0	21.97
/ /	DAMORE, MONICA	OPPENHEIMER INTL SMALL CO C	0.00	41.41	0.00	41.41	95.0	39.34
/ /	DEREY, DENISE	OPPENHEIMER MAIN ST SELECT C	0.00	0.24	0.00	0.24	95.0	0.23
/ /	DINKA, CATHERINE	OPPENHEIMER MAIN ST SELECT C	0.00	83.96	0.00	83.96	95.0	79.76
/ /	HICKS, MELISSA	OPPENHEIMER MAIN ST SELECT C	0.00	6.69	0.00	6.69	95.0	6.36
/ /	HOWEY, JESSICA	OPPENHEIMER MAIN ST SELECT C	0.00	0.55	0.00	0.55	95.0	0.52
/ /	NEED, GREGORY	OPPENHEIMER MAIN ST SMALL & MID CAP	0.00	17.85	0.00	17.85	95.0	16.96
/ /	RENTROP, GARRETT	OPPENHEIMER MAIN ST SMALL & MID CAP	0.00	23.32	0.00	23.32	95.0	22.15
/ /	DINKA, CATHERINE	OPPENHEIMER MAIN ST SMALL & MID CAP	0.00	84.43	0.00	84.43	95.0	80.21
/ /	HENRY, JACQUELINE	OPPENHEIMER MAIN ST SMALL & MID CAP	0.00	4.77	0.00	4.77	95.0	4.53
/ /	KOSANKE, LORI	OPPENHEIMER MAIN STREET A	0.00	2.89	0.00	2.89	95.0	2.75

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
/ /	TATUM, PATICIA	OPPENHEIMER MAIN STREET A	0.00	0.59	0.00	0.59	95.0	0.56
/ /	BARRY, MEGAN	OPPENHEIMER MAIN STREET A	0.00	7.18	0.00	7.18	95.0	6.82
/ /	BOYD, SONYA	OPPENHEIMER MAIN STREET A	0.00	1.15	0.00	1.15	95.0	1.09
/ /	VISAN, JAMES	OPPENHEIMER MAIN STREET A	0.00	0.27	0.00	0.27	95.0	0.26
/ /	CRANDALL, MEGAN	OPPENHEIMER MAIN STREET A	0.00	1.17	0.00	1.17	95.0	1.11
/ /	POOLEY, TATIANA	OPPENHEIMER MAIN STREET A	0.00	0.04	0.00	0.04	95.0	0.04
/ /	DINKA, CATHERINE	OPPENHEIMER MAIN STREET A	0.00	11.41	0.00	11.41	95.0	10.84
/ /	GOLD, LORNE	OPPENHEIMER MAIN STREET A	0.00	12.12	0.00	12.12	95.0	11.51
/ /	KOSANKE, MARK	OPPENHEIMER MAIN STREET A	0.00	0.72	0.00	0.72	95.0	0.68
/ /	MAYNARD, JULIE	OPPENHEIMER MAIN STREET A	0.00	2.31	0.00	2.31	95.0	2.19
/ /	MCDONALD, VICKI	OPPENHEIMER MAIN STREET A	0.00	9.47	0.00	9.47	95.0	9.00
/ /	PALAZZOLO, GABRIELLA	OPPENHEIMER MAIN STREET A	0.00	7.65	0.00	7.65	95.0	7.27
/ /	BUTLER, SANDRA	OPPENHEIMER MAIN STREET A	0.00	0.12	0.00	0.12	95.0	0.11
/ /	JOUPPI, SHARON	OPPENHEIMER MAIN STREET A	0.00	14.84	0.00	14.84	95.0	14.10
/ /	COWAN, KEVIN	OPPENHEIMER MAIN STREET A	0.00	0.70	0.00	0.70	95.0	0.67
/ /	TRBOVICH, HEATHER	OPPENHEIMER MAIN STREET A	0.00	1.58	0.00	1.58	95.0	1.50
/ /	HOWEY, JESSICA	OPPENHEIMER MAIN STREET A	0.00	0.76	0.00	0.76	95.0	0.72
/ /	SMITH, ASHLEY	OPPENHEIMER MAIN STREET A	0.00	0.34	0.00	0.34	95.0	0.32
/ /	TRBOVICH, NICK	OPPENHEIMER MAIN STREET A	0.00	2.84	0.00	2.84	95.0	2.70
/ /	TRBOVICH, MARY	OPPENHEIMER MAIN STREET A	0.00	2.37	0.00	2.37	95.0	2.25
/ /	BUSZEK, RICHARD	OPPENHEIMER MAIN STREET A	0.00	11.12	0.00	11.12	95.0	10.56
/ /	BARRY, MEGAN	OPPENHEIMER MAIN STREET B	0.00	0.14	0.00	0.14	95.0	0.13
/ /	DINKA, CATHERINE	OPPENHEIMER MAIN STREET B	0.00	0.05	0.00	0.05	95.0	0.05
/ /	BARRY, MEGAN	OPPENHEIMER MAIN STREET C	0.00	10.04	0.00	10.04	95.0	9.54
/ /	NEED, GREGORY	OPPENHEIMER MAIN STREET C	0.00	37.64	0.00	37.64	95.0	35.76
/ /	DINKA, CATHERINE	OPPENHEIMER MAIN STREET C	0.00	84.25	0.00	84.25	95.0	80.04
/ /	GRIFFIN, JAMES	OPPENHEIMER MAIN STREET C	0.00	0.44	0.00	0.44	95.0	0.42
/ /	GRIFFIN, ALAN	OPPENHEIMER MAIN STREET C	0.00	14.26	0.00	14.26	95.0	13.55
/ /	GALLAS, MICHAEL	OPPENHEIMER MAIN STREET C	0.00	16.28	0.00	16.28	95.0	15.47
/ /	MCCOLLEY, SHEA	OPPENHEIMER MAIN STREET C	0.00	2.49	0.00	2.49	95.0	2.37
/ /	HENRY, JACQUELINE	OPPENHEIMER MAIN STREET C	0.00	6.93	0.00	6.93	95.0	6.58
/ /	KOGUT, MONICA	OPPENHEIMER MAIN STREET C	0.00	3.63	0.00	3.63	95.0	3.45
/ /	KOSANKE, LORI	OPPENHEIMER MAIN STREET OPP A	0.00	5.06	0.00	5.06	95.0	4.81

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>DIRECT TRANSACTIONS</u>								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS								
/ /	CAPWELL, MARK	OPPENHEIMER MAIN STREET OPP A	0.00	13.80	0.00	13.80	95.0	13.11
/ /	TAKACS, RYAN	OPPENHEIMER MAIN STREET OPP A	0.00	4.65	0.00	4.65	95.0	4.42
/ /	HICKS, MELISSA	OPPENHEIMER MAIN STREET OPP A	0.00	0.11	0.00	0.11	95.0	0.10
/ /	HICKS, MELISSA	OPPENHEIMER MAIN STREET OPP B	0.00	0.11	0.00	0.11	95.0	0.10
/ /	SOLDAN, JULIE	OPPENHEIMER MAIN STREET SMALLCAP A	0.00	16.36	0.00	16.36	95.0	15.54
/ /	DITRI, ANN	OPPENHEIMER MAIN STREET SMALLCAP A	0.00	2.42	0.00	2.42	95.0	2.30
/ /	MICHAELS, CHRISTINA	OPPENHEIMER MAIN STREET SMALLCAP A	0.00	6.15	0.00	6.15	95.0	5.84
/ /	GOLD, LORNE	OPPENHEIMER MAIN STREET SMALLCAP A	0.00	8.49	0.00	8.49	95.0	8.07
/ /	DINKA, CATHERINE	OPPENHEIMER MAIN STREET SMALLCAP A	0.00	12.24	0.00	12.24	95.0	11.63
/ /	CAPWELL, MARK	OPPENHEIMER MAIN STREET SMALLCAP A	0.00	11.95	0.00	11.95	95.0	11.35
/ /	DINKA, CATHERINE	OPPENHEIMER MAIN STREET SMALLCAP B	0.00	0.05	0.00	0.05	95.0	0.05
/ /	SMOLAREK, CHERYL	OPPENHEIMER PORTFOLIO SERIES EQ INV	0.00	12.16	0.00	12.16	95.0	11.55
/ /	CZARNECKI, THERESA	OPPENHEIMER PORTFOLIO SERIRES: MOD	0.00	22.48	0.00	22.48	95.0	21.36
/ /	SMOLAREK, CHERYL	OPPENHEIMER PTF SERIES EQUITY INVES	0.00	36.96	0.00	36.96	95.0	35.11
/ /	RENTROP, GARRETT	OPPENHEIMER QUEST BALANCED C	0.00	19.18	0.00	19.18	95.0	18.22
/ /	HENRY, JACQUELINE	OPPENHEIMER QUEST BALANCED C	0.00	4.24	0.00	4.24	95.0	4.03
/ /	MICHAELS, CHRISTINA	OPPENHEIMER QUEST INT'L VALUE A	0.00	4.00	0.00	4.00	95.0	3.80
/ /	TRINH, CHRISTINE	OPPENHEIMER QUEST INT'L VALUE A	0.00	1.68	0.00	1.68	95.0	1.60
/ /	LEPPEK, JUDITH	OPPENHEIMER QUEST INT'L VALUE A	0.00	13.26	0.00	13.26	95.0	12.60
/ /	TERPSTRA, SANDRA	OPPENHEIMER QUEST OPP VALUE A	0.00	50.05	0.00	50.05	95.0	47.55
/ /	BAKER, STEVEN	OPPENHEIMER QUEST OPP VALUE A	0.00	0.67	0.00	0.67	95.0	0.64
/ /	TERPSTRA, SANDRA	OPPENHEIMER QUEST OPP VALUE B	0.00	2.12	0.00	2.12	95.0	2.01
/ /	BAKER, STEVEN	OPPENHEIMER QUEST OPP VALUE B	0.00	0.26	0.00	0.26	95.0	0.25
/ /	MCCOLLEY, SHEA	OPPENHEIMER QUEST OPP VALUE C	0.00	3.92	0.00	3.92	95.0	3.72
/ /	TERPSTRA, SANDRA	OPPENHEIMER QUEST OPP VALUE C	0.00	107.45	0.00	107.45	95.0	102.08
/ /	BAKER, STEVEN	OPPENHEIMER QUEST OPP VALUE C	0.00	17.11	0.00	17.11	95.0	16.25
/ /	KOSANKE, LORI	OPPENHEIMER REAL ESTATE A	0.00	2.61	0.00	2.61	95.0	2.48
/ /	TRBOVICH, HEATHER	OPPENHEIMER REAL ESTATE A	0.00	1.31	0.00	1.31	95.0	1.24
/ /	HOWEY, JESSICA	OPPENHEIMER REAL ESTATE A	0.00	0.65	0.00	0.65	95.0	0.62
/ /	KOSANKE, MARK	OPPENHEIMER REAL ESTATE A	0.00	2.59	0.00	2.59	95.0	2.46
/ /	SMITH, ASHLEY	OPPENHEIMER REAL ESTATE A	0.00	0.30	0.00	0.30	95.0	0.29
/ /	TRBOVICH, NICK	OPPENHEIMER REAL ESTATE A	0.00	2.72	0.00	2.72	95.0	2.58
/ /	TRBOVICH, MARY	OPPENHEIMER REAL ESTATE A	0.00	2.27	0.00	2.27	95.0	2.16

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
/ /	KOSANKE, LORI	OPPENHEIMER RISING DIVIDENDS A	0.00	4.90	0.00	4.90	95.0	4.66
/ /	POOLEY, TATIANA	OPPENHEIMER RISING DIVIDENDS A	0.00	0.04	0.00	0.04	95.0	0.04
/ /	NEED, GREGORY	OPPENHEIMER RISING DIVIDENDS C	0.00	24.49	0.00	24.49	95.0	23.27
/ /	GALLAS, MICHAEL	OPPENHEIMER RISING DIVIDENDS C	0.00	11.91	0.00	11.91	95.0	11.31
/ /	HENRY, JACQUELINE	OPPENHEIMER RISING DIVIDENDS C	0.00	4.75	0.00	4.75	95.0	4.51
/ /	KOGUT, MONICA	OPPENHEIMER RISING DIVIDENDS C	0.00	3.38	0.00	3.38	95.0	3.21
/ /	HOWEY, JESSICA	OPPENHEIMER RISING DIVIDENDS C	0.00	0.53	0.00	0.53	95.0	0.50
/ /	CAPWELL, MARK	OPPENHEIMER SELECT VALUE A	0.00	4.13	0.00	4.13	95.0	3.92
/ /	NEED, GREGORY	OPPENHEIMER SELECT VALUE C	0.00	24.57	0.00	24.57	95.0	23.34
/ /	LABAZA, LYNN	OPPENHEIMER SMALL & MIDCAP GROWTH A	0.00	5.65	0.00	5.65	95.0	5.37
/ /	LABAZA, JOHN	OPPENHEIMER SMALL & MIDCAP GROWTH A	0.00	5.65	0.00	5.65	95.0	5.37
/ /	WOUDSTRA, KAREN	OPPENHEIMER SMALL & MIDCAP GROWTH C	0.00	4.15	0.00	4.15	95.0	3.94
/ /	LABAZA, LYNN	OPPENHEIMER SMALL & MIDCAP GROWTH C	0.00	95.23	0.00	95.23	95.0	90.47
/ /	LABAZA, JOHN	OPPENHEIMER SMALL & MIDCAP GROWTH C	0.00	95.23	0.00	95.23	95.0	90.47
/ /	BOYD, SONYA	OPPENHEIMER SMALL MID CAP VALUE A	0.00	1.48	0.00	1.48	95.0	1.41
/ /	DEREY, DENISE	OPPENHEIMER SMALL MID CAP VALUE C	0.00	78.02	0.00	78.02	95.0	74.12
/ /	CARMODY, WILLIAM	OPPENHEIMER US GOVT TRUST C	0.00	39.71	0.00	39.71	95.0	37.72
/ /	KOSANKE, LORI	OPPENHEIMER VALUE A	0.00	2.89	0.00	2.89	95.0	2.75
/ /	MICHAELS, CHRISTINA	OPPENHEIMER VALUE A	0.00	5.57	0.00	5.57	95.0	5.29
/ /	GOLD, LORNE	OPPENHEIMER VALUE A	0.00	9.50	0.00	9.50	95.0	9.03
/ /	DINKA, JOHN	OPPENHEIMER VALUE A	0.00	15.93	0.00	15.93	95.0	15.13
/ /	TAKACS, RYAN	OPPENHEIMER VALUE A	0.00	4.39	0.00	4.39	95.0	4.17
/ /	TRBOVICH, HEATHER	OPPENHEIMER VALUE A	0.00	1.61	0.00	1.61	95.0	1.53
/ /	HOWEY, JESSICA	OPPENHEIMER VALUE A	0.00	0.77	0.00	0.77	95.0	0.73
/ /	SMITH, ASHLEY	OPPENHEIMER VALUE A	0.00	0.34	0.00	0.34	95.0	0.32
/ /	TRBOVICH, NICK	OPPENHEIMER VALUE A	0.00	2.90	0.00	2.90	95.0	2.76
/ /	TRBOVICH, MARY	OPPENHEIMER VALUE A	0.00	2.43	0.00	2.43	95.0	2.31
/ /	DINKA, JOHN	OPPENHEIMER VALUE B	0.00	0.41	0.00	0.41	95.0	0.39
/ /	DITRI, ANN	OPPENHEIMER VALUE C	0.00	8.51	0.00	8.51	95.0	8.08
/ /	DINKA, JOHN	OPPENHEIMER VALUE C	0.00	123.25	0.00	123.25	95.0	117.09
04/03/2018	RASP, LINDA	PIONEER AMT FREE MUNICIPAL A	0.00	83.80	0.00	83.80	95.0	79.61
04/03/2018	RASP, EVELYN	PIONEER AMT FREE MUNICIPAL A	0.00	19.90	0.00	19.90	95.0	18.91
04/02/2018	RAJKOVICH, TONI	PUTNAM ASSET ALLOC GROWTH A	0.00	1.37	0.00	1.37	95.0	1.30

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<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
04/02/2018	BEDORE, CHARLES	PUTNAM CAPITAL OPPORTUNITIES A	0.00	2.47	0.00	2.47	95.0	2.35
04/02/2018	ALLEGRIANA, JULIE	PUTNAM CAPITAL OPPORTUNITIES A	0.00	3.07	0.00	3.07	95.0	2.92
04/02/2018	SZOCINSKI, CASIMER	PUTNAM DIVERSIFIED INCOME A	0.00	10.55	0.00	10.55	95.0	10.02
04/02/2018	MEHLER, BENE	PUTNAM EQUITY INCOME A	0.00	6.53	0.00	6.53	95.0	6.20
04/02/2018	LORI RUTH THOMASSY, BENE	PUTNAM EQUITY INCOME A	0.00	7.93	0.00	7.93	95.0	7.53
04/02/2018	SCULLY, DOROTHY	PUTNAM EQUITY INCOME A	0.00	43.43	0.00	43.43	95.0	41.26
04/02/2018	BOGLE, DAVID	PUTNAM EQUITY INCOME A	0.00	0.99	0.00	0.99	95.0	0.94
04/02/2018	BARNETT, MARK	PUTNAM EQUITY INCOME A	0.00	1.33	0.00	1.33	95.0	1.26
04/02/2018	GUTMAN, THERESE ANNE	PUTNAM EQUITY INCOME A	0.00	12.48	0.00	12.48	95.0	11.86
04/02/2018	JAKUBOWSKI, LORRAINE	PUTNAM EQUITY INCOME A	0.00	92.30	0.00	92.30	95.0	87.69
04/02/2018	O'CONNOR, TIMOTHY	PUTNAM EQUITY INCOME A	0.00	5.10	0.00	5.10	95.0	4.85
04/02/2018	KELSEY, RONALD	PUTNAM EQUITY INCOME A	0.00	0.02	0.00	0.02	95.0	0.02
04/02/2018	SZOCINSKI, CASIMER	PUTNAM EQUITY INCOME A	0.00	15.79	0.00	15.79	95.0	15.00
04/02/2018	JENDRUSINA, ROGER	PUTNAM EQUITY INCOME A	0.00	82.96	0.00	82.96	95.0	78.81
04/02/2018	CATES, CALVIN	PUTNAM EQUITY INCOME A	0.00	0.36	0.00	0.36	95.0	0.34
04/02/2018	RANCOURT, RICHARD	PUTNAM EQUITY INCOME A	0.00	13.36	0.00	13.36	95.0	12.69
04/02/2018	RUSHLOW, LAWRENCE	PUTNAM EQUITY INCOME A	0.00	29.61	0.00	29.61	95.0	28.13
04/02/2018	KING, DAVID	PUTNAM EQUITY INCOME A	0.00	7.13	0.00	7.13	95.0	6.77
04/02/2018	O'CONNOR, TIMOTHY	PUTNAM EQUITY INCOME B	0.00	4.81	0.00	4.81	95.0	4.57
04/02/2018	CAMERON, KATHRYN	PUTNAM GEORGE PUTNAM BALANCED A	0.00	10.45	0.00	10.45	95.0	9.93
04/02/2018	SELLECK, GREGORY	PUTNAM GEORGE PUTNAM BALANCED A	0.00	0.20	0.00	0.20	95.0	0.19
04/02/2018	SCULLY, DOROTHY	PUTNAM GLOBAL EQUITY A	0.00	24.10	0.00	24.10	95.0	22.90
04/02/2018	JOHNSON, ABEN MARTIN	PUTNAM GLOBAL EQUITY A	0.00	9.89	0.00	9.89	95.0	9.40
04/02/2018	WILLISON, VICTORIA	PUTNAM GLOBAL EQUITY A	0.00	6.05	0.00	6.05	95.0	5.75
04/02/2018	SONDLES HOLMAN, KAREN	PUTNAM GLOBAL HEALTH CARE A	0.00	21.63	0.00	21.63	95.0	20.55
04/02/2018	KEELER, MARSHA	PUTNAM GLOBAL HEALTH CARE A	0.00	14.97	0.00	14.97	95.0	14.22
04/02/2018	TUCKER, LINDA	PUTNAM GLOBAL HEALTH CARE A	0.00	0.80	0.00	0.80	95.0	0.76
04/02/2018	DEMERJIAN, CARL	PUTNAM GLOBAL HEALTH CARE A	0.00	2.14	0.00	2.14	95.0	2.03
04/02/2018	SCULLY, DOROTHY	PUTNAM GROWTH OPP A	0.00	28.11	0.00	28.11	95.0	26.70
04/02/2018	BLAIR, PATRICIA	PUTNAM GROWTH OPP A	0.00	11.05	0.00	11.05	95.0	10.50
04/02/2018	VERSTRAETE, GEORGE	PUTNAM GROWTH OPP A	0.00	14.90	0.00	14.90	95.0	14.16
04/02/2018	ELLWOOD, JOHN	PUTNAM GROWTH OPP A	0.00	0.42	0.00	0.42	95.0	0.40
04/02/2018	BUCHANAN, JAMIE	PUTNAM GROWTH OPP A	0.00	11.47	0.00	11.47	95.0	10.90

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<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
04/02/2018	KACIR, EVA	PUTNAM GROWTH OPP A	0.00	9.75	0.00	9.75	95.0	9.26
04/02/2018	KOSANKE, JOHN	PUTNAM GROWTH OPP A	0.00	10.87	0.00	10.87	95.0	10.33
04/02/2018	KOSANKE, JOHN	PUTNAM GROWTH OPP A	0.00	10.18	0.00	10.18	95.0	9.67
04/02/2018	BRADLEY, SARAH	PUTNAM GROWTH OPP A	0.00	6.10	0.00	6.10	95.0	5.80
04/02/2018	PROKROPOWICZ, EMILY	PUTNAM GROWTH OPP A	0.00	1.46	0.00	1.46	95.0	1.39
04/02/2018	CARLSON, TYLER	PUTNAM GROWTH OPP A	0.00	0.62	0.00	0.62	95.0	0.59
04/02/2018	CARNAHAN, BRUCE	PUTNAM GROWTH OPP A	0.00	5.85	0.00	5.85	95.0	5.56
04/02/2018	LAI, JOHN	PUTNAM GROWTH OPP A	0.00	3.60	0.00	3.60	95.0	3.42
04/02/2018	LAI, ANGIE	PUTNAM GROWTH OPP A	0.00	3.60	0.00	3.60	95.0	3.42
04/02/2018	BUTLER, PAUL	PUTNAM GROWTH OPP A	0.00	10.13	0.00	10.13	95.0	9.62
04/02/2018	BUTLER, PAUL	PUTNAM GROWTH OPP A	0.00	7.95	0.00	7.95	95.0	7.55
04/02/2018	BUTLER, KATHLEEN	PUTNAM GROWTH OPP A	0.00	3.12	0.00	3.12	95.0	2.96
04/02/2018	BUTLER, KATHLEEN	PUTNAM GROWTH OPP A	0.00	10.64	0.00	10.64	95.0	10.11
04/02/2018	TUCKER, LINDA	PUTNAM GROWTH OPP A	0.00	3.66	0.00	3.66	95.0	3.48
04/02/2018	WEAVER, RONALD	PUTNAM GROWTH OPP A	0.00	8.23	0.00	8.23	95.0	7.82
04/02/2018	ALLEGRIANA, JULIE	PUTNAM GROWTH OPP A	0.00	3.02	0.00	3.02	95.0	2.87
04/02/2018	KOSANKE, JOHN	PUTNAM GROWTH OPPORTUNITIES B	0.00	1.38	0.00	1.38	95.0	1.31
04/02/2018	KOSANKE, JOHN	PUTNAM GROWTH OPPORTUNITIES B	0.00	7.76	0.00	7.76	95.0	7.37
04/02/2018	BRADLEY, SARAH	PUTNAM GROWTH OPPORTUNITIES B	0.00	0.03	0.00	0.03	95.0	0.03
04/02/2018	MEHLER, BENE	PUTNAM HIGH YIELD ADVANTAGE A	0.00	4.58	0.00	4.58	95.0	4.35
04/02/2018	LORI RUTH THOMASSY, BENE	PUTNAM HIGH YIELD ADVANTAGE A	0.00	5.51	0.00	5.51	95.0	5.23
04/02/2018	SCULLY, DOROTHY	PUTNAM HIGH YIELD ADVANTAGE A	0.00	23.65	0.00	23.65	95.0	22.47
04/02/2018	MASTALSKI, JOLEEN	PUTNAM HIGH YIELD ADVANTAGE A	0.00	25.58	0.00	25.58	95.0	24.30
04/02/2018	BAKEWELL, RALPH	PUTNAM HIGH YIELD ADVANTAGE A	0.00	28.18	0.00	28.18	95.0	26.77
04/02/2018	BARR, BETTY	PUTNAM HIGH YIELD ADVANTAGE A	0.00	2.20	0.00	2.20	95.0	2.09
04/02/2018	DEGRANDCHAMP, PAUL	PUTNAM HIGH YIELD ADVANTAGE A	0.00	0.23	0.00	0.23	95.0	0.22
04/02/2018	MASTALSKI, JOLEEN	PUTNAM HIGH YIELD ADVANTAGE A	0.00	7.26	0.00	7.26	95.0	6.90
04/02/2018	MASTALSKI, JOLEEN	PUTNAM HIGH YIELD ADVANTAGE A	0.00	4.11	0.00	4.11	95.0	3.90
04/02/2018	BARR, BETTY	PUTNAM HIGH YIELD ADVANTAGE A	0.00	6.02	0.00	6.02	95.0	5.72
04/02/2018	KIVELA, BERNICE	PUTNAM HIGH YIELD ADVANTAGE A	0.00	9.18	0.00	9.18	95.0	8.72
04/02/2018	RUSHLOW, JEAN	PUTNAM HIGH YIELD ADVANTAGE A	0.00	8.61	0.00	8.61	95.0	8.18
04/02/2018	MANNING, JOHN	PUTNAM HIGH YIELD ADVANTAGE A	0.00	66.11	0.00	66.11	95.0	62.80
04/02/2018	KRAUSE, BARBARA	PUTNAM HIGH YIELD ADVANTAGE A	0.00	109.73	0.00	109.73	95.0	104.24

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<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
04/02/2018	CIAGLO, BETTY	PUTNAM HIGH YIELD ADVANTAGE A	0.00	7.91	0.00	7.91	95.0	7.51
04/02/2018	WEBB, TODD	PUTNAM INCOME A	0.00	0.07	0.00	0.07	95.0	0.07
04/02/2018	RUSHLOW, JEAN	PUTNAM INTERNATIONAL EQUITY-A	0.00	3.64	0.00	3.64	95.0	3.46
04/02/2018	RUSHLOW, LAWRENCE	PUTNAM INTERNATIONAL EQUITY-A	0.00	3.82	0.00	3.82	95.0	3.63
04/02/2018	O'CONNOR, TIMOTHY	PUTNAM INTERNATIONAL GROWTH-A	0.00	2.74	0.00	2.74	95.0	2.60
04/02/2018	JOHNSON, DANIEL	PUTNAM INTERNATIONAL GROWTH-A	0.00	4.13	0.00	4.13	95.0	3.92
04/02/2018	WEAVER, RONALD	PUTNAM INTERNATIONAL GROWTH-A	0.00	7.74	0.00	7.74	95.0	7.35
04/02/2018	MILLER, BRADLEY	PUTNAM INTERNATIONAL GROWTH-A	0.00	0.81	0.00	0.81	95.0	0.77
04/02/2018	MILLER, BRIANNA	PUTNAM INTERNATIONAL GROWTH-A	0.00	0.12	0.00	0.12	95.0	0.11
04/02/2018	MILLER, SARAH	PUTNAM INTERNATIONAL GROWTH-A	0.00	0.81	0.00	0.81	95.0	0.77
04/02/2018	BEDORE, CHARLES	PUTNAM INTERNATIONAL GROWTH-A	0.00	1.72	0.00	1.72	95.0	1.63
04/02/2018	SCULLY, DOROTHY	PUTNAM INTERNATIONAL VALUE-A	0.00	22.24	0.00	22.24	95.0	21.13
04/02/2018	SCULLY, DOROTHY	PUTNAM INTL CAPITAL OPPS-A	0.00	55.26	0.00	55.26	95.0	52.50
04/02/2018	BEDORE, CHARLES	PUTNAM INTL CAPITAL OPPS-A	0.00	2.80	0.00	2.80	95.0	2.66
04/02/2018	WONCH, LIZ	PUTNAM INVESTORS A	0.00	4.60	0.00	4.60	95.0	4.37
04/02/2018	MILLER, BRADLEY	PUTNAM INVESTORS A	0.00	0.81	0.00	0.81	95.0	0.77
04/02/2018	MILLER, BRIANNA	PUTNAM INVESTORS A	0.00	0.12	0.00	0.12	95.0	0.11
04/02/2018	MILLER, SARAH	PUTNAM INVESTORS A	0.00	0.81	0.00	0.81	95.0	0.77
04/02/2018	WONCH, LIZ	PUTNAM INVESTORS B	0.00	2.42	0.00	2.42	95.0	2.30
04/02/2018	TUCKER, LINDA	PUTNAM MULTI CAP GROWTH A	0.00	2.29	0.00	2.29	95.0	2.18
04/02/2018	JAKUBOWSKI, LORRAINE	PUTNAM MULTI CAP GROWTH A	0.00	33.47	0.00	33.47	95.0	31.80
04/02/2018	O'CONNOR, TIMOTHY	PUTNAM MULTI CAP GROWTH A	0.00	11.59	0.00	11.59	95.0	11.01
04/02/2018	O'CONNOR, TIMOTHY	PUTNAM MULTI CAP GROWTH A	0.00	2.95	0.00	2.95	95.0	2.80
04/02/2018	KACIR, EVA	PUTNAM MULTI CAP GROWTH A	0.00	15.91	0.00	15.91	95.0	15.11
04/02/2018	STEWART, DAVID	PUTNAM MULTI CAP GROWTH A	0.00	32.87	0.00	32.87	95.0	31.23
04/02/2018	STEWART, ANN	PUTNAM MULTI CAP GROWTH A	0.00	18.91	0.00	18.91	95.0	17.96
04/02/2018	LOWE, SARAH	PUTNAM MULTI CAP GROWTH A	0.00	0.56	0.00	0.56	95.0	0.53
04/02/2018	EAST, DENISE	PUTNAM MULTI CAP GROWTH A	0.00	1.17	0.00	1.17	95.0	1.11
04/02/2018	SZOCINSKI, CASIMER	PUTNAM MULTI CAP GROWTH A	0.00	11.89	0.00	11.89	95.0	11.30
04/02/2018	SZOCINSKI, BILLIE	PUTNAM MULTI CAP GROWTH A	0.00	11.48	0.00	11.48	95.0	10.91
04/02/2018	JENDRUSINA, ROGER	PUTNAM MULTI CAP GROWTH A	0.00	54.94	0.00	54.94	95.0	52.19
04/02/2018	RANCOURT, RICHARD	PUTNAM MULTI CAP GROWTH A	0.00	13.57	0.00	13.57	95.0	12.89
04/02/2018	RANCOURT, RICHARD	PUTNAM MULTI CAP GROWTH A	0.00	7.55	0.00	7.55	95.0	7.17

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
04/02/2018	JOHNSON, DANIEL	PUTNAM MULTI CAP GROWTH A	0.00	4.86	0.00	4.86	95.0	4.62
04/02/2018	BABIN, WILLIAM	PUTNAM MULTI CAP GROWTH A	0.00	61.83	0.00	61.83	95.0	58.74
04/02/2018	LOWE, EMILY	PUTNAM MULTI CAP GROWTH A	0.00	0.14	0.00	0.14	95.0	0.13
04/02/2018	TUCKER, LINDA	PUTNAM MULTI CAP GROWTH A	0.00	1.61	0.00	1.61	95.0	1.53
04/02/2018	HARRISON, EDWARD	PUTNAM MULTI CAP GROWTH A	0.00	0.70	0.00	0.70	95.0	0.67
04/02/2018	DEMERJIAN, CARL	PUTNAM MULTI CAP GROWTH A	0.00	1.09	0.00	1.09	95.0	1.04
04/02/2018	JOUPPI, JEFFREY	PUTNAM MULTI CAP GROWTH A	0.00	5.49	0.00	5.49	95.0	5.22
04/02/2018	WEAVER, RONALD	PUTNAM MULTI CAP GROWTH A	0.00	4.49	0.00	4.49	95.0	4.27
04/02/2018	WEAVER, RONALD	PUTNAM MULTI CAP GROWTH A	0.00	2.14	0.00	2.14	95.0	2.03
04/02/2018	BEDORE, CHARLES	PUTNAM MULTI CAP GROWTH A	0.00	19.82	0.00	19.82	95.0	18.83
04/02/2018	PLAN, CONVERSION	PUTNAM MULTI CAP GROWTH A	0.00	1.42	0.00	1.42	95.0	1.35
04/02/2018	MIKLEVICH TRUST	PUTNAM MULTI CAP GROWTH A	0.00	32.16	0.00	32.16	95.0	30.55
04/02/2018	O'CONNOR, TIMOTHY	PUTNAM MULTI-CAP GROWTH B	0.00	5.12	0.00	5.12	95.0	4.86
04/02/2018	MOUSSA, PATRICK	PUTNAM MULTI-CAP GROWTH B	0.00	1.72	0.00	1.72	95.0	1.63
04/02/2018	TUCKER, LINDA	PUTNAM RESEARCH A	0.00	1.66	0.00	1.66	95.0	1.58
04/02/2018	ALLEGRIANA, JULIE	PUTNAM RETIREMENT READY 746859602	0.00	2.50	0.00	2.50	95.0	2.38
04/02/2018	VIVIANO, SAM	PUTNAM TAX-FREE HIGH YIELD-A	0.00	5.30	0.00	5.30	95.0	5.04
04/02/2018	KRAUSE, BARBARA	PUTNAM TAX-FREE HIGH YIELD-A	0.00	113.71	0.00	113.71	95.0	108.02
04/03/2018	PETERSON, ALEXA	TRANSAMERICA AA CONSERVATIVE C	0.00	34.48	0.00	34.48	95.0	32.76
04/03/2018	PETERSON, TREY	TRANSAMERICA AA CONSERVATIVE C	0.00	34.48	0.00	34.48	95.0	32.76
04/03/2018	KING, ALEXANDER	TRANSAMERICA AA GROWTH A	0.00	9.31	0.00	9.31	95.0	8.84
04/03/2018	MOORE, MICHELLE	TRANSAMERICA AA GROWTH A	0.00	13.66	0.00	13.66	95.0	12.98
04/03/2018	KUCHAREK, MARK	TRANSAMERICA AA GROWTH A	0.00	28.11	0.00	28.11	95.0	26.70
04/03/2018	HESTER, RICHARD	TRANSAMERICA AA GROWTH A	0.00	0.64	0.00	0.64	95.0	0.61
04/03/2018	SOLDAN, JULIE	TRANSAMERICA AA GROWTH A	0.00	11.08	0.00	11.08	95.0	10.53
04/03/2018	KING, NATHAN	TRANSAMERICA AA GROWTH A	0.00	4.06	0.00	4.06	95.0	3.86
04/03/2018	RYAN, JONATHON	TRANSAMERICA AA GROWTH A	0.00	9.18	0.00	9.18	95.0	8.72
04/03/2018	MALAVOLTI, KURT	TRANSAMERICA AA GROWTH A	0.00	11.92	0.00	11.92	95.0	11.32
04/03/2018	KUCHAREK, MARK	TRANSAMERICA AA GROWTH B	0.00	8.03	0.00	8.03	95.0	7.63
04/03/2018	HESTER, RICHARD	TRANSAMERICA AA GROWTH B	0.00	0.59	0.00	0.59	95.0	0.56
04/03/2018	RICE, STEPHANIE	TRANSAMERICA AA GROWTH C	0.00	5.14	0.00	5.14	95.0	4.88
04/03/2018	KUCHAREK, MARK	TRANSAMERICA AA GROWTH C	0.00	6.67	0.00	6.67	95.0	6.34
04/03/2018	SULLIVAN, MICHAEL	TRANSAMERICA AA GROWTH C	0.00	21.74	0.00	21.74	95.0	20.65

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<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
04/03/2018	MAYNARD, TRAVIS	TRANSAMERICA AA GROWTH C	0.00	1.78	0.00	1.78	95.0	1.69
04/03/2018	DUMOND, PHYLLIS	TRANSAMERICA AA GROWTH C	0.00	10.39	0.00	10.39	95.0	9.87
04/03/2018	COOPER, LISA	TRANSAMERICA AA GROWTH C	0.00	0.48	0.00	0.48	95.0	0.46
04/03/2018	WEBSTER, BRIAN	TRANSAMERICA AA GROWTH C	0.00	1.04	0.00	1.04	95.0	0.99
04/03/2018	JOUPPI, JEFFREY	TRANSAMERICA AA GROWTH C	0.00	90.03	0.00	90.03	95.0	85.53
04/03/2018	COMAN, RONALD	TRANSAMERICA AA GROWTH C	0.00	21.34	0.00	21.34	95.0	20.27
04/03/2018	PALAZZOLO, SALATORE	TRANSAMERICA AA GROWTH C	0.00	12.65	0.00	12.65	95.0	12.02
04/03/2018	BARTOI, MIKAELA	TRANSAMERICA AA GROWTH C	0.00	4.25	0.00	4.25	95.0	4.04
04/03/2018	ROWAN, CHRISTINE	TRANSAMERICA AA GROWTH C	0.00	28.93	0.00	28.93	95.0	27.48
04/03/2018	KUCHAREK, NORMA	TRANSAMERICA AA GROWTH C	0.00	9.46	0.00	9.46	95.0	8.99
04/03/2018	OLSEN, MARTHA	TRANSAMERICA AA GROWTH C	0.00	10.85	0.00	10.85	95.0	10.31
04/03/2018	HESSLER, GARY	TRANSAMERICA AA GROWTH C	0.00	40.91	0.00	40.91	95.0	38.86
04/03/2018	BLANKENSHIP, JANET	TRANSAMERICA AA GROWTH C	0.00	12.35	0.00	12.35	95.0	11.73
04/03/2018	RONDO, DENISE	TRANSAMERICA AA GROWTH C	0.00	12.85	0.00	12.85	95.0	12.21
04/03/2018	PALAZZOLO, ANNA	TRANSAMERICA AA GROWTH C	0.00	21.00	0.00	21.00	95.0	19.95
04/03/2018	LINDOW, RONALD	TRANSAMERICA AA GROWTH C	0.00	1.58	0.00	1.58	95.0	1.50
04/03/2018	WILMAN, ANN	TRANSAMERICA AA GROWTH C	0.00	60.88	0.00	60.88	95.0	57.84
04/03/2018	KUCHAREK, MARK	TRANSAMERICA AA GROWTH C	0.00	39.35	0.00	39.35	95.0	37.38
04/03/2018	LOPICCOLO, CATHERINE	TRANSAMERICA AA GROWTH C	0.00	43.26	0.00	43.26	95.0	41.10
04/03/2018	DUMOND, PHYLLIS	TRANSAMERICA AA GROWTH C	0.00	23.38	0.00	23.38	95.0	22.21
04/03/2018	RIOS-DORIA, H. WALTER	TRANSAMERICA AA GROWTH C	0.00	50.96	0.00	50.96	95.0	48.41
04/03/2018	WETZEL, TIFFANY	TRANSAMERICA AA GROWTH C	0.00	13.92	0.00	13.92	95.0	13.22
04/03/2018	KEELER, DAVID	TRANSAMERICA AA GROWTH C	0.00	51.40	0.00	51.40	95.0	48.83
04/03/2018	HILDEBRAND, JOSEPH	TRANSAMERICA AA GROWTH C	0.00	28.72	0.00	28.72	95.0	27.28
04/03/2018	DEHEM, GARY	TRANSAMERICA AA GROWTH C	0.00	40.44	0.00	40.44	95.0	38.42
04/03/2018	LINDOW, RICHARD	TRANSAMERICA AA GROWTH C	0.00	24.77	0.00	24.77	95.0	23.53
04/03/2018	MULDOON, SHEILA	TRANSAMERICA AA GROWTH C	0.00	25.37	0.00	25.37	95.0	24.10
04/03/2018	KUCHAREK, SARAH	TRANSAMERICA AA GROWTH C	0.00	5.12	0.00	5.12	95.0	4.86
04/03/2018	HECKER, GENE	TRANSAMERICA AA GROWTH C	0.00	7.17	0.00	7.17	95.0	6.81
04/03/2018	WATERS, SALLY	TRANSAMERICA AA GROWTH C	0.00	13.91	0.00	13.91	95.0	13.21
04/03/2018	WATERS, WILLIAM	TRANSAMERICA AA GROWTH C	0.00	5.39	0.00	5.39	95.0	5.12
04/03/2018	TOBEY, TIMOTHY	TRANSAMERICA AA GROWTH C	0.00	14.45	0.00	14.45	95.0	13.73
04/03/2018	FARRAR, CHARLES	TRANSAMERICA AA GROWTH C	0.00	6.64	0.00	6.64	95.0	6.31

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<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
04/03/2018	BUSZEK, PAUL	TRANSAMERICA AA GROWTH C	0.00	1.29	0.00	1.29	95.0	1.23
04/03/2018	HOOTNER-JONES, ANN	TRANSAMERICA AA GROWTH C	0.00	8.06	0.00	8.06	95.0	7.66
04/03/2018	PALAZZOLO, SALVATORE	TRANSAMERICA AA GROWTH C	0.00	14.86	0.00	14.86	95.0	14.12
04/03/2018	BASTIN, TIFFANY	TRANSAMERICA AA GROWTH C	0.00	4.77	0.00	4.77	95.0	4.53
04/03/2018	RICE, STEPHANIE	TRANSAMERICA AA GROWTH C	0.00	4.83	0.00	4.83	95.0	4.59
04/03/2018	ROWAN, CHRISTINE	TRANSAMERICA AA GROWTH C	0.00	10.51	0.00	10.51	95.0	9.98
04/03/2018	MERRITT TRUST, LEO	TRANSAMERICA AA MOD GROWTH A	0.00	50.50	0.00	50.50	95.0	47.98
04/03/2018	KOLLINGER, ROBERT	TRANSAMERICA AA MOD GROWTH C	0.00	0.96	0.00	0.96	95.0	0.91
04/03/2018	BELLINGER, VICKIE	TRANSAMERICA AA MOD GROWTH C	0.00	34.35	0.00	34.35	95.0	32.63
04/03/2018	BELLINGER, GEORGE	TRANSAMERICA AA MOD GROWTH C	0.00	27.73	0.00	27.73	95.0	26.34
04/03/2018	POLENYCHKO, SHIRLEY	TRANSAMERICA AA MOD GROWTH C	0.00	9.54	0.00	9.54	95.0	9.06
04/03/2018	AUGUSTYN, PATRICIA	TRANSAMERICA AA MOD GROWTH C	0.00	11.72	0.00	11.72	95.0	11.13
04/03/2018	BLANKENSHIP, JANET	TRANSAMERICA AA MOD GROWTH C	0.00	214.76	0.00	214.76	95.0	204.02
04/03/2018	KOLLINGER, CINDY	TRANSAMERICA AA MOD GROWTH C	0.00	9.81	0.00	9.81	95.0	9.32
04/03/2018	KEELER, DAVID	TRANSAMERICA AA MOD GROWTH C	0.00	22.51	0.00	22.51	95.0	21.38
04/03/2018	TYSZKIEWICZ, KURT	TRANSAMERICA AA MOD GROWTH C	0.00	24.52	0.00	24.52	95.0	23.29
04/03/2018	KUCHAREK, MARCIA	TRANSAMERICA AA MOD GROWTH C	0.00	12.14	0.00	12.14	95.0	11.53
04/03/2018	MCGUIRE, MARY	TRANSAMERICA AA MOD GROWTH C	0.00	16.43	0.00	16.43	95.0	15.61
04/03/2018	LEHMAN, JEFFREY	TRANSAMERICA AA MOD GROWTH C	0.00	0.10	0.00	0.10	95.0	0.10
04/03/2018	HENRY, JACQUELINE	TRANSAMERICA AA MOD GROWTH C	0.00	26.38	0.00	26.38	95.0	25.06
04/03/2018	O'CONNOR, FRANCIS	TRANSAMERICA AA MOD GROWTH C	0.00	59.85	0.00	59.85	95.0	56.86
04/03/2018	BAKER, JEAN-ANNE	TRANSAMERICA AA MOD GROWTH C	0.00	39.49	0.00	39.49	95.0	37.52
04/03/2018	KOSANKE, BARBARA	TRANSAMERICA AA MOD GROWTH C	0.00	33.27	0.00	33.27	95.0	31.61
04/03/2018	DEW, DESIREE	TRANSAMERICA AA MOD GROWTH C	0.00	45.86	0.00	45.86	95.0	43.57
04/03/2018	CYRULEWSKI TRUST, LOIS	TRANSAMERICA AA MOD GROWTH C	0.00	12.22	0.00	12.22	95.0	11.61
04/03/2018	NIZIO, EDMUND	TRANSAMERICA AA MOD GROWTH C	0.00	3.70	0.00	3.70	95.0	3.52
04/03/2018	PALAZZOLO, SALATORE	TRANSAMERICA AA MOD GROWTH C	0.00	10.05	0.00	10.05	95.0	9.55
04/03/2018	KOSANKE, CHARLES W	TRANSAMERICA AA MOD GROWTH C	0.00	16.72	0.00	16.72	95.0	15.88
04/03/2018	MERRITT, MARY LOU	TRANSAMERICA AA MOD GROWTH C	0.00	117.81	0.00	117.81	95.0	111.92
04/03/2018	GROBAR TRUST, MARVIN & MARY	TRANSAMERICA AA MOD GROWTH C	0.00	58.09	0.00	58.09	95.0	55.19
04/03/2018	OLSEN, MARTHA	TRANSAMERICA AA MOD GROWTH C	0.00	10.18	0.00	10.18	95.0	9.67
04/03/2018	SARKISIAN, NORAY	TRANSAMERICA AA MOD GROWTH C	0.00	10.43	0.00	10.43	95.0	9.91
04/03/2018	SARKISIAN, NORAY	TRANSAMERICA AA MOD GROWTH C	0.00	5.27	0.00	5.27	95.0	5.01

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<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
04/03/2018	CARLSON, PATRICIA	TRANSAMERICA AA MOD GROWTH C	0.00	2.80	0.00	2.80	95.0	2.66
04/03/2018	RIOS-DORIA, H. WALTER	TRANSAMERICA AA MOD GROWTH C	0.00	46.04	0.00	46.04	95.0	43.74
04/03/2018	RYAN, VICKI	TRANSAMERICA AA MOD GROWTH C	0.00	3.61	0.00	3.61	95.0	3.43
04/03/2018	BARTOI, MIKAELA	TRANSAMERICA AA MOD GROWTH C	0.00	157.39	0.00	157.39	95.0	149.52
04/03/2018	BUTLER, SANDRA	TRANSAMERICA AA MOD GROWTH C	0.00	56.15	0.00	56.15	95.0	53.34
04/03/2018	KANAKRI, JOSEPH	TRANSAMERICA AA MOD GROWTH C	0.00	2.18	0.00	2.18	95.0	2.07
04/03/2018	KANAKRI, MARIA	TRANSAMERICA AA MOD GROWTH C	0.00	3.42	0.00	3.42	95.0	3.25
04/03/2018	BUSZEK, PAUL	TRANSAMERICA AA MOD GROWTH C	0.00	13.42	0.00	13.42	95.0	12.75
04/03/2018	LAWRENCE, PEGGY	TRANSAMERICA AA MOD GROWTH C	0.00	13.60	0.00	13.60	95.0	12.92
04/03/2018	BERDESKI, AUDREY	TRANSAMERICA AA MOD GROWTH C	0.00	5.70	0.00	5.70	95.0	5.42
04/03/2018	KAWALA, CHRISTINA	TRANSAMERICA AA MOD GROWTH C	0.00	116.60	0.00	116.60	95.0	110.77
04/03/2018	DUMOND, PHYLLIS	TRANSAMERICA AA MODERATE A	0.00	11.37	0.00	11.37	95.0	10.80
04/03/2018	MIJAL, SHARON	TRANSAMERICA AA MODERATE A	0.00	13.43	0.00	13.43	95.0	12.76
04/03/2018	SARKISIAN, NORAY	TRANSAMERICA AA MODERATE C	0.00	28.80	0.00	28.80	95.0	27.36
04/03/2018	SARKISIAN, NORAY	TRANSAMERICA AA MODERATE C	0.00	0.79	0.00	0.79	95.0	0.75
04/03/2018	MOORE, LOUIS	TRANSAMERICA AA MODERATE C	0.00	88.23	0.00	88.23	95.0	83.82
04/03/2018	BARTOI, JOHN	TRANSAMERICA AA MODERATE C	0.00	3.89	0.00	3.89	95.0	3.70
04/03/2018	MANOLATOS, STEVE	TRANSAMERICA AA MODERATE C	0.00	7.95	0.00	7.95	95.0	7.55
04/03/2018	MADIGAN, JOHN	TRANSAMERICA CAPITAL GROWTH A	0.00	0.73	0.00	0.73	95.0	0.69
04/03/2018	BACHTELL, JAMES	TRANSAMERICA DIVERSIFIED EQUITY A	0.00	20.36	0.00	20.36	95.0	19.34
04/03/2018	BOYER, KENNETH	TRANSAMERICA DIVERSIFIED EQUITY A	0.00	15.43	0.00	15.43	95.0	14.66
04/03/2018	CHATTULANI, DIANA	TRANSAMERICA DIVERSIFIED EQUITY A	0.00	10.28	0.00	10.28	95.0	9.77
04/03/2018	HORTON, RICHARD	TRANSAMERICA DIVERSIFIED EQUITY A	0.00	7.01	0.00	7.01	95.0	6.66
04/03/2018	WONCH, ELIZABETH	TRANSAMERICA DIVERSIFIED EQUITY A	0.00	1.08	0.00	1.08	95.0	1.03
04/03/2018	WILLIAMS, DAVID	TRANSAMERICA DIVERSIFIED EQUITY A	0.00	2.58	0.00	2.58	95.0	2.45
04/03/2018	WILLIAMS, DAVID	TRANSAMERICA DIVERSIFIED EQUITY A	0.00	9.14	0.00	9.14	95.0	8.68
04/03/2018	HILDEBRAND, JOSEPH	TRANSAMERICA MULTI MGR ALT STRATEGI	0.00	10.00	0.00	10.00	95.0	9.50
04/03/2018	DOYLE, CHRISTINE	TRANSAMERICA MULTI MGR ALT STRATEGI	0.00	1.30	0.00	1.30	95.0	1.24
04/03/2018	COOPER, IAN	TRANSAMERICA MULTI MGR INTL A	0.00	5.20	0.00	5.20	95.0	4.94
04/03/2018	PALAZZOLO, SALATORE	TRANSAMERICA MULTI MGR INTL C	0.00	0.35	0.00	0.35	95.0	0.33
04/03/2018	BARTOI, JOHN	TRANSAMERICA MULTI MGR INTL C	0.00	13.48	0.00	13.48	95.0	12.81
04/03/2018	BARTOI, MIKAELA	TRANSAMERICA MULTI MGR INTL C	0.00	9.45	0.00	9.45	95.0	8.98
04/03/2018	FARRAR, CHARLES	TRANSAMERICA MULTI MGR INTL C	0.00	36.38	0.00	36.38	95.0	34.56

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<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
04/03/2018	WILMAN, ANN	TRANSAMERICA MULTI MGR INTL C	0.00	26.28	0.00	26.28	95.0	24.97
04/03/2018	KUCHAREK, MARK	TRANSAMERICA MULTI MGR INTL C	0.00	11.03	0.00	11.03	95.0	10.48
04/03/2018	DUMOND, PHYLLIS	TRANSAMERICA MULTI MGR INTL C	0.00	5.32	0.00	5.32	95.0	5.05
04/03/2018	KEELER, DAVID	TRANSAMERICA MULTI MGR INTL C	0.00	14.75	0.00	14.75	95.0	14.01
04/03/2018	HILDEBRAND, JOSEPH	TRANSAMERICA MULTI MGR INTL C	0.00	12.78	0.00	12.78	95.0	12.14
04/03/2018	DEHEM, GARY	TRANSAMERICA MULTI MGR INTL C	0.00	15.52	0.00	15.52	95.0	14.74
04/03/2018	MERRITT, GREGORY	TRANSAMERICA MULTI-MANAGED BAL A	0.00	6.36	0.00	6.36	95.0	6.04
04/03/2018	KOGUT, MONICA	TRANSAMERICA MULTI-MANAGED BAL A	0.00	3.22	0.00	3.22	95.0	3.06
04/03/2018	WAGNER, MALLORY	TRANSAMERICA MULTI-MANAGED BAL C	0.00	3.10	0.00	3.10	95.0	2.95
04/03/2018	EVANS, SANDRA	TRANSAMERICA MULTI-MANAGED BAL C	0.00	6.48	0.00	6.48	95.0	6.16
04/03/2018	EVANS, ROBERT	TRANSAMERICA MULTI-MANAGED BAL C	0.00	7.77	0.00	7.77	95.0	7.38
04/03/2018	GRECH, ROSALIE	TRANSAMERICA MULTI-MANAGED BAL C	0.00	35.70	0.00	35.70	95.0	33.92
04/03/2018	CANNON TRUST, HENRY & BARBARA	TRANSAMERICA MULTI-MANAGED BAL C	0.00	115.46	0.00	115.46	95.0	109.69
04/03/2018	WEYCKER, AARON	TRANSAMERICA MULTI-MANAGED BAL C	0.00	45.68	0.00	45.68	95.0	43.40
04/03/2018	WEYCKER, AARON	TRANSAMERICA MULTI-MANAGED BAL C	0.00	7.19	0.00	7.19	95.0	6.83
04/03/2018	DOUTSAS, MADELYN	TRANSAMERICA MULTI-MANAGED BAL C	0.00	3.05	0.00	3.05	95.0	2.90
04/03/2018	HOOTNER-JONES, ANN	TRANSAMERICA MULTI-MANAGED BAL C	0.00	2.83	0.00	2.83	95.0	2.69
04/03/2018	WEYCKER, ROBERT	TRANSAMERICA MULTI-MANAGED BAL C	0.00	16.64	0.00	16.64	95.0	15.81
04/03/2018	RICHARDSON, SHANE	TRANSAMERICA MULTI-MANAGED BAL C	0.00	1.26	0.00	1.26	95.0	1.20
04/03/2018	MAGGARD, LORETTA	TRANSAMERICA MULTI-MANAGED BAL C	0.00	12.74	0.00	12.74	95.0	12.10
04/03/2018	KAWALA, CHRISTINA	TRANSAMERICA MULTI-MANAGED BAL C	0.00	17.79	0.00	17.79	95.0	16.90
04/03/2018	EICHENLAUB, TRACEY	TRANSAMERICA MULTI-MANAGED BAL C	0.00	40.60	0.00	40.60	95.0	38.57
04/03/2018	BELLINGER, VICKIE	TRANSAMERICA MULTI-MANAGED BAL C	0.00	47.72	0.00	47.72	95.0	45.33
04/03/2018	OLSEN, MARTHA	TRANSAMERICA MULTI-MANAGED BAL C	0.00	10.96	0.00	10.96	95.0	10.41
04/03/2018	MOORE, SUSAN ANN PRIES	TRANSAMERICA MULTI-MANAGED BAL C	0.00	104.04	0.00	104.04	95.0	98.84
04/03/2018	YOUNG, RICK	TRANSAMERICA MULTI-MANAGED BAL C	0.00	139.62	0.00	139.62	95.0	132.64
04/03/2018	DINKA, CATHERINE	TRANSAMERICA MULTI-MANAGED BAL C	0.00	79.07	0.00	79.07	95.0	75.12
04/03/2018	PARKE, DEBORAH	TRANSAMERICA MULTI-MANAGED BAL C	0.00	16.62	0.00	16.62	95.0	15.79
04/03/2018	SMITH, MARTHA	TRANSAMERICA MULTI-MANAGED BAL C	0.00	104.94	0.00	104.94	95.0	99.69
04/03/2018	FARRAR, KAREN	TRANSAMERICA MULTI-MANAGED BAL C	0.00	45.21	0.00	45.21	95.0	42.95
04/03/2018	EICHENLAUB, TRACEY	TRANSAMERICA MULTI-MANAGED BAL C	0.00	21.57	0.00	21.57	95.0	20.49
04/03/2018	ROLLINGS, DEBORAH	TRANSAMERICA MULTI-MANAGED BAL C	0.00	30.30	0.00	30.30	95.0	28.79
04/03/2018	DOUTSAS, ALEXANDER	TRANSAMERICA MULTI-MANAGED BAL C	0.00	6.44	0.00	6.44	95.0	6.12

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
04/03/2018	GRAMMATICO, DENNIS	TRANSAMERICA SHORT-TERM BOND C	0.00	9.23	0.00	9.23	95.0	8.77
04/03/2018	GRAMMATICO, SHARON	TRANSAMERICA SHORT-TERM BOND C	0.00	9.23	0.00	9.23	95.0	8.77
04/03/2018	SARKISIAN, NORAY	TRANSAMERICA SHORT-TERM BOND C	0.00	37.82	0.00	37.82	95.0	35.93
04/03/2018	MERRITT, MARY LOU	TRANSAMERICA SHORT-TERM BOND C	0.00	22.66	0.00	22.66	95.0	21.53
04/03/2018	O'CONNOR, FRANCIS	TRANSAMERICA SHORT-TERM BOND C	0.00	62.45	0.00	62.45	95.0	59.33
04/03/2018	EVANS, SANDRA	TRANSAMERICA TACTICAL INCOME C	0.00	4.74	0.00	4.74	95.0	4.50
04/03/2018	EVANS, ROBERT	TRANSAMERICA TACTICAL INCOME C	0.00	5.68	0.00	5.68	95.0	5.40
04/03/2018	PIZZO, ROSOLINO	TRANSAMERICA WMC DIV EQUITY C	0.00	2.00	0.00	2.00	95.0	1.90
* MUTUAL FUND 12B1 TRAILS SUBTOTAL *			\$442,448.38	\$9,690.40	\$0.00	\$9,690.40		\$9,206.09
<u>PRODUCT CATEGORY: VARIABLE ANNUITY 12B1 TRAILS</u>								
03/29/2018	BYERS, SHARRON	GENWORTH TRAILS	111,880.15	18.65	0.00	18.65	95.0	17.72
03/29/2018	EMBACH, KEVIN	GENWORTH TRAILS	82,979.09	69.15	0.00	69.15	95.0	65.69
03/29/2018	EMBACH, JAMES	GENWORTH TRAILS	82,979.10	69.15	0.00	69.15	95.0	65.69
03/29/2018	ZACK, MAUREEN	GENWORTH TRAILS	82,979.10	69.15	0.00	69.15	95.0	65.69
03/29/2018	HARTOUNIAN, HAGOB	GENWORTH TRAILS	11,889.62	9.91	0.00	9.91	95.0	9.41
03/29/2018	MCCLAIN, DOROTHY	GENWORTH TRAILS	100,305.38	83.59	0.00	83.59	95.0	79.41
03/22/2018	GREGORY, RICHARD	ING PREMIUM PLUS	7,924.39	14.86	0.00	14.86	95.0	14.12
03/31/2018	MORELLI, MARY	LINCOLN BENEFIT TRAIL RENEWALS	256,912.26	160.57	0.00	160.57	95.0	152.54
03/31/2018	BAYLE, SUSAN	LINCOLN BENEFIT TRAIL RENEWALS	5,866.57	3.67	0.00	3.67	95.0	3.49
* VARIABLE ANNUITY 12B1 TRAILS SUBTOTAL *			\$743,715.66	\$498.70	\$0.00	\$498.70		\$473.76
*** DIRECT TRANSACTIONS TOTAL ***			\$13,324,746.55	\$23,269.62	\$0.00	\$23,269.62		\$22,106.52

SPLIT TRANSACTIONS**BROKER: MARK, 103 KOSANKE #3**

03/09/2018	MARCOLA, THADDEUS	ALLIANCEBERNSTEIN LARGE CAP GROWTH	0.00	0.39	0.00	0.39	95.0	0.37
03/29/2018	ABULNAR, FRANK	ALLIANZ ALTERITY OPTIONS	62,653.86	78.32	0.00	78.32	95.0	74.40
03/29/2018	FORKIN, JOHN	ALLIANZ HIGH FIVE BONUS	190,031.33	237.54	0.00	237.54	95.0	225.66
03/29/2018	ROCCA, MARIA	ALLIANZ REWARDS TRADITIONAL	16,558.14	20.70	0.00	20.70	95.0	19.67
03/29/2018	LOPICCOLO, ARLENE	ALLIANZ VALUEMARK II	51,590.20	32.24	0.00	32.24	95.0	30.63
03/29/2018	LEVERETT, MONA	ALLIANZ VALUEMARK II	59,068.42	36.92	0.00	36.92	95.0	35.07
03/29/2018	SCAGLIONE, DIANA	ALLIANZ VALUEMARK III	100,044.25	62.53	0.00	62.53	95.0	59.40
03/29/2018	KRACHENFELS, EUGENE	ALLIANZ VISION BASIC	13,459.52	16.82	0.00	16.82	95.0	15.98

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>SPLIT TRANSACTIONS</u>								
<u>BROKER: MARK, 103 KOSANKE #3</u>								
03/09/2018	CAUL, MARTINA	AM FUNDS AMERICAN BALANCED A	0.00	0.20	0.00	0.20	95.0	0.19
03/09/2018	GOOSSENS, LORI	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	2.51	0.00	2.51	95.0	2.38
03/09/2018	CAUL, MARTINA	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.18	0.00	0.18	95.0	0.17
03/09/2018	CAUL, MARTINA	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.48	0.00	0.48	95.0	0.46
03/09/2018	SCULLY, DOROTHY	AM FUNDS ICA A	0.00	12.20	0.00	12.20	95.0	11.59
03/09/2018	DENNIS, STEVEN	AM FUNDS SMALLCAP WORLD A	0.00	6.49	0.00	6.49	95.0	6.17
03/09/2018	MCCALL, JEFFREY	AM FUNDS SMALLCAP WORLD A	0.00	1.23	0.00	1.23	95.0	1.17
03/09/2018	DENNIS, STEVEN	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	5.22	0.00	5.22	95.0	4.96
03/09/2018	MILLER, JOSEPH	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	1.57	0.00	1.57	95.0	1.49
03/09/2018	MILLER, JOSEPH	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	1.57	0.00	1.57	95.0	1.49
03/09/2018	NICOLOSI, ROSE	COLUMBIA SELIGMAN COMM AND INFO A	0.00	2.45	0.00	2.45	95.0	2.33
03/09/2018	DENNIS, STEVEN	DAVIS NEW YORK VENTURE A	0.00	16.36	0.00	16.36	95.0	15.54
03/09/2018	KNOCH JR, WALTER	DAVIS NEW YORK VENTURE A	0.00	10.17	0.00	10.17	95.0	9.66
03/22/2018	HENKEL, JAMES	DWS DEUTSCHE HIGH INCOME FUND A	3,500.00	0.00	0.00	0.00	95.0	0.00
03/09/2018	ADAMS, ERIK	FEDERATED HIGH INCOME BOND FUND INC	0.00	0.68	0.00	0.68	95.0	0.65
03/09/2018	ADAMS, ERIK	FEDERATED MARKET OPPORTUNITY A	0.00	2.25	0.00	2.25	95.0	2.14
03/09/2018	GARCIA-SANTOS, VICKY	FIRST EAGLE GLOBAL FUND CL A	0.00	6.88	0.00	6.88	95.0	6.54
03/31/2018	KRASS, DELORES	JNL PERSPECTIVE REWARDS	14,923.65	3.10	0.00	3.10	95.0	2.95
03/31/2018	PRITCHETT, EARL	NATIONWIDE MARKETFLEX	29,791.00	18.62	0.00	18.62	95.0	17.69
03/09/2018	ADAMS, TONJA	PUTNAM INTERNATIONAL VALUE-A	0.00	0.26	0.00	0.26	95.0	0.25
03/09/2018	UTTERBACK, EDWARD	RETAIL PPTYS AMER INC CL A	8,240.19	22.00	14.00	8.00	95.0	7.60
03/09/2018	UTTERBACK, JANIS	RETAIL PPTYS AMER INC CL A	10,179.39	22.00	14.00	8.00	95.0	7.60
04/03/2018	MOORE, LOUIS	TRANSAMERICA AA MODERATE C	0.00	29.97	0.00	29.97	95.0	28.47
03/27/2018	HOSKIN, JOHN	VICTORY CAPITAL MANAGEMENT	0.00	0.69	0.00	0.69	95.0	0.66
03/27/2018	MARCOLA, ERIKA	VICTORY CAPITAL MANAGEMENT	0.00	1.11	0.00	1.11	95.0	1.05
* MARK, 103 KOSANKE SUBTOTAL *			\$560,039.95	\$653.65	\$28.00	\$625.65		\$594.38
<u>BROKER: J117-PETE/JOAN JOHNSON/FLAM #19</u>								
/ /	PRICOPIO, VANESSA	JH 529 COLLEGE PORT A	0.00	2.22	0.00	2.22	95.0	2.11
* J117-PETE/JOAN JOHNSON/FLAM SUBTOTAL *			\$0.00	\$2.22	\$0.00	\$2.22		\$2.11
<u>BROKER: GROUP, B119 FLAM/BUSSELL #32</u>								
03/31/2018	M, OSIP	DELAWARE VALUE A	0.00	1.32	0.00	1.32	95.0	1.25
* GROUP, B119 FLAM/BUSSELL SUBTOTAL *			\$0.00	\$1.32	\$0.00	\$1.32		\$1.25

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>SPLIT TRANSACTIONS</u>								
<u>BROKER: PETER JOHNSON #63</u>								
03/29/2018	SUCHYTA, MARY LEE	ALLIANZ VALUEMARK III	430,166.06	268.85	0.00	268.85	95.0	255.41
03/31/2018	ROSS, DAVID	DELAWARE HIGH YIELD OPP A	0.00	25.88	0.00	25.88	95.0	24.59
03/31/2018	KAPELN, J	DELAWARE TAX FREE USA A	0.00	9.20	0.00	9.20	95.0	8.74
03/31/2018	PAPPAS, LARRY	DELAWARE VALUE A	0.00	35.62	0.00	35.62	95.0	33.84
03/31/2018	PAPPAS, JANE	DELAWARE VALUE A	0.00	7.12	0.00	7.12	95.0	6.76
* PETER JOHNSON SUBTOTAL *			\$430,166.06	\$346.67	\$0.00	\$346.67		\$329.34
*** SPLIT TRANSACTIONS TOTAL ***			\$990,206.01	\$1,003.86	\$28.00	\$975.86		\$927.08

VERRIDE TRANSACTIONS

<u>BROKER: ALEX KOWALSKI #17</u>								
04/06/2018	WEDEPOHL, WARREN	INLAND COLORADO MF PF IV DST	101,460.28	6,087.62	0.00	6,087.62	85.0	304.38
04/06/2018	MEDALLION PROPERTIES	INLAND NATIONAL MF PF III DST	131,098.45	7,865.91	0.00	7,865.91	85.0	393.30
* ALEX KOWALSKI SUBTOTAL *			\$232,558.73	\$13,953.53	\$0.00	\$13,953.53		\$697.68
<u>BROKER: THOMAS SCHNEIDER #30</u>								
04/02/2018	STOLL, HEATHER	AM FUNDS CAPITAL WORLD GRTH & INC A	75.00	3.19	0.00	3.19	0.0	3.03
04/02/2018	O'CONNOR, TIMOTHY	PUTNAM EQUITY INCOME A	0.00	0.32	0.00	0.32	0.0	0.30
04/02/2018	O'CONNOR, TIMOTHY	PUTNAM EQUITY INCOME B	0.00	1.39	0.00	1.39	0.0	1.32
04/02/2018	O'CONNOR, TIMOTHY	PUTNAM INTERNATIONAL GROWTH-A	0.00	3.23	0.00	3.23	0.0	3.07
04/02/2018	O'CONNOR, TIMOTHY	PUTNAM MULTI CAP GROWTH A	0.00	3.58	0.00	3.58	0.0	3.40
04/02/2018	O'CONNOR, TIMOTHY	PUTNAM MULTI CAP GROWTH A	0.00	3.07	0.00	3.07	0.0	2.92
04/02/2018	O'CONNOR, TIMOTHY	PUTNAM MULTI-CAP GROWTH B	0.00	1.60	0.00	1.60	0.0	1.52
03/28/2018	SCHECK, VICTORIA	SBL ADVISOR PROGRAM	14,591.34	3.04	0.00	3.04	0.0	2.89
03/28/2018	KELLER, MICHELLE	SBL ADVISOR PROGRAM	28,511.75	5.93	0.00	5.93	0.0	5.63
03/28/2018	YOUNG, MARCIA	SBL ADVISOR PROGRAM	24,988.26	5.20	0.00	5.20	0.0	4.94
03/28/2018	DEFRANCESCO, MARY	SBL ADVISORDESIGNS VA	7,572.95	1.57	0.00	1.57	0.0	1.49
03/28/2018	GREGORY, CAROL	SBL ADVISORDESIGNS VA	20,016.02	4.17	0.00	4.17	0.0	3.96
03/28/2018	HAWK, GLENN	SBL ADVISORDESIGNS VA	5,805.05	1.20	0.00	1.20	0.0	1.14
03/28/2018	MCCRANN, JAMES	SBL ADVISORDESIGNS VA	6,114.29	1.27	0.00	1.27	0.0	1.21
03/28/2018	BAKER, MARILYN	SBL ADVISORDESIGNS VA	6,430.80	1.34	0.00	1.34	0.0	1.27
03/28/2018	DEFRANCESCO, STEVEN	SBL ADVISORDESIGNS VA	8,046.89	1.67	0.00	1.67	0.0	1.59
03/28/2018	BAKER, MARILYN	SBL ADVISORDESIGNS VA	6,931.70	1.44	0.00	1.44	0.0	1.37
03/28/2018	KUBAN, JOANNE	SBL ADVISORDESIGNS VA	20,778.50	4.33	0.00	4.33	0.0	4.11

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<u> OVERRIDE TRANSACTIONS </u>								
<u>BROKER: THOMAS SCHNEIDER #30</u>								
03/28/2018	HAWK, DUANE	SBL ADVISORDESIGNS VA	3,292.83	0.69	0.00	0.69	0.0	0.66
03/28/2018	HAWK, MARYBELLE	SBL ADVISORDESIGNS VA	7,816.06	1.63	0.00	1.63	0.0	1.55
03/28/2018	FULTON, JOHN	SBL ADVISORDESIGNS VA	8,208.38	1.71	0.00	1.71	0.0	1.62
03/28/2018	GREGORY, RICHARD	SBL ADVISORDESIGNS VA	8,511.86	1.78	0.00	1.78	0.0	1.69
03/28/2018	HAWK, DUANE	SBL ADVISORDESIGNS VA	3,654.49	0.76	0.00	0.76	0.0	0.72
03/28/2018	HAWK, MARYBELLE	SBL ADVISORDESIGNS VA	7,599.19	1.59	0.00	1.59	0.0	1.51
03/28/2018	BABIN, WILLIAM	SBL ADVISORDESIGNS VA	131,082.52	27.31	0.00	27.31	0.0	25.94
03/28/2018	HARTONG, DEAN	SBL ADVISORDESIGNS VA	10,640.57	2.22	0.00	2.22	0.0	2.11
03/28/2018	LITTRELL, REX	SBL ADVISORDESIGNS VA	6,673.43	1.39	0.00	1.39	0.0	1.32
* THOMAS SCHNEIDER SUBTOTAL *			\$337,341.88	\$86.62	\$0.00	\$86.62		\$82.28
*** OVERRIDE TRANSACTIONS TOTAL ***			\$569,900.61	\$14,040.15	\$0.00	\$14,040.15		\$779.96

ADJUSTMENTS

04/15/2018	*EO INS: MONTHLY - HEATHER	0.00						-300.00
04/15/2018	*TECHNOLOGY: MONTHLY - HEATHER	0.00						-275.00
*** ADJUSTMENTS TOTAL ***			\$0.00	\$0.00	\$0.00	\$0.00		\$-575.00

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BROKER COMMISSION TOTALS

Broker Transactions	\$22,106.52
Split Transactions	\$927.08
Override Transactions	\$779.96
Adjustments	\$-575.00
Payroll Draw	\$0.00
Base Salary	\$0.00
Prior Period Balance	\$0.00
FINRA Assessment	\$0.00
SIPC Assessment	\$0.00

Check Amount	\$23,238.56
Year-to-date Gross	\$119,683.29
Year-to-date Earnings	\$119,786.32