



Concorde Investment Services, LLC
COMMISSION STATEMENT
February 28, 2017

03/06/2017
 Page No. 1

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

BROKER #: G999
 BRANCH: FOXTROT SAMPLE

DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>BROKER TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: REIT</u>								
01/31/2017	LACHANCE, LINDA	CARTER VALIDUS MC REIT II CLASS T	0.00	12.29	0.00	12.29	100.0	12.29
		* REIT SUBTOTAL *	\$0.00	\$12.29	\$0.00	\$12.29		\$12.29
<u>PRODUCT CATEGORY: INTERVAL FUNDS</u>								
01/30/2017	HERNDON, TIMOTHY	TOTAL INCOME & REAL ESTATE FUND A	0.00	1.05	0.00	1.05	100.0	1.05
01/30/2017	MCGINNIS TRUST	TOTAL INCOME & REAL ESTATE FUND A	0.00	6.82	0.00	6.82	100.0	6.82
01/30/2017	EQUITY TRUST CO	TOTAL INCOME & REAL ESTATE FUND A	0.00	2.40	0.00	2.40	100.0	2.40
01/30/2017	CICONE, SISENANDA	TOTAL INCOME & REAL ESTATE FUND A	0.00	1.35	0.00	1.35	100.0	1.35
		* INTERVAL FUNDS SUBTOTAL *	\$0.00	\$11.62	\$0.00	\$11.62		\$11.62
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
02/15/2017	LARA, DYLAN	AM FUNDS 2035 TARGET DATE-A	50.00	2.50	0.00	2.50	100.0	2.50
02/15/2017	LARA, DEREK	AM FUNDS 2035 TARGET DATE-A	50.00	2.50	0.00	2.50	100.0	2.50
02/06/2017	SAGGAR, VADEESH	AM FUNDS AMERICAN BALANCED A	50.00	2.50	0.00	2.50	100.0	2.50
02/13/2017	ESSARY, BRADLEY	AM FUNDS AMERICAN MUTUAL A	115.00	4.31	0.00	4.31	100.0	4.31
02/06/2017	COX, DEBORAH	AM FUNDS CAPITAL INCOME BUILDER A	75.00	3.75	0.00	3.75	100.0	3.75
02/10/2017	BODO, DAVID	AM FUNDS CAPITAL INCOME BUILDER A	75.00	3.19	0.00	3.19	100.0	3.19
02/10/2017	BODO, DAVID	AM FUNDS CAPITAL WORLD GRTH & INC A	75.00	3.19	0.00	3.19	100.0	3.19
02/13/2017	ESSARY, BRADLEY	AM FUNDS CAPITAL WORLD GRTH & INC A	115.00	4.31	0.00	4.31	100.0	4.31
02/10/2017	GREEN, WILLIAM	AM FUNDS GROWTH AND INCOME A	250.00	12.50	0.00	12.50	100.0	12.50
02/06/2017	HO, PAULINA	AM FUNDS GROWTH AND INCOME C	200.00	2.00	0.00	2.00	100.0	2.00
02/10/2017	BODO, DAVID	AM FUNDS GROWTH FUND OF AMERICA A	50.00	2.13	0.00	2.13	100.0	2.13
02/13/2017	ESSARY, BRADLEY	AM FUNDS GROWTH FUND OF AMERICA A	115.00	4.31	0.00	4.31	100.0	4.31
02/15/2017	HAMM, ROBERT	AM FUNDS GROWTH FUND OF AMERICA A	300.00	12.75	0.00	12.75	100.0	12.75
02/15/2017	HENRY, WYATT	AM FUNDS GROWTH FUND OF AMERICA A	50.00	2.50	0.00	2.50	100.0	2.50
02/06/2017	HO, PAULINA	AM FUNDS INCOME PORTFOLIO C	200.00	2.00	0.00	2.00	100.0	2.00
02/06/2017	AGUILAR, JOSE	AM FUNDS NEW ECONOMY 529A	50.00	2.50	0.00	2.50	100.0	2.50

NOTES: * - Indicates adjustment is not included in 1099 Earnings
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 ^Date - Split Trade - full Investment Amount & Gross Commission displayed

DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>BROKER TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
02/13/2017	ESSARY, BRADLEY	AM FUNDS NEW PERSPECTIVE A	115.00	4.31	0.00	4.31	100.0	4.31
02/14/2017	CONCORDE, VARIOUS	AM FUNDS NEW PERSPECTIVE A	-200.00	0.00	0.00	0.00	100.0	0.00
02/14/2017	CONCORDE, VARIOUS	AM FUNDS NEW PERSPECTIVE A	190.00	0.00	0.00	0.00	100.0	0.00
02/06/2017	SAGGAR, VADEESH	AM FUNDS SMALLCAP WORLD A	100.00	5.00	0.00	5.00	100.0	5.00
02/06/2017	COX, DEBORAH	AM FUNDS SMALLCAP WORLD A	75.00	3.75	0.00	3.75	100.0	3.75
02/06/2017	KERN, KATHERINE	AM FUNDS WASHINGTON MUTUAL INVESTOR	100.00	5.00	0.00	5.00	100.0	5.00
02/15/2017	CONCORDE, VARIOUS	AMERICAN CENTURY STRATEGIC ALLOC AG	-1,000.64	0.00	0.00	0.00	100.0	0.00
02/15/2017	CONCORDE, VARIOUS	AMERICAN CENTURY STRATEGIC ALLOC AG	960.61	0.00	0.00	0.00	100.0	0.00
02/16/2017	CONCORDE, VARIOUS	AMERICAN FUNDS COLLEGE 2033 FUND-52	-1,994.00	0.00	0.00	0.00	100.0	0.00
02/16/2017	CONCORDE, VARIOUS	AMERICAN FUNDS COLLEGE 2033 FUND-52	1,924.21	0.00	0.00	0.00	100.0	0.00
02/14/2017	CONCORDE, VARIOUS	CATALYST/MILLBURN HEDGE STRATEGY FU	-18,014.54	0.00	0.00	0.00	100.0	0.00
02/14/2017	CONCORDE, VARIOUS	CATALYST/MILLBURN HEDGE STRATEGY FU	17,113.81	0.00	0.00	0.00	100.0	0.00
02/17/2017	CONCORDE, VARIOUS	CATALYST/MILLBURN HEDGE STRATEGY FU	-23,030.44	0.00	0.00	0.00	100.0	0.00
02/17/2017	CONCORDE, VARIOUS	CATALYST/MILLBURN HEDGE STRATEGY FU	21,878.92	0.00	0.00	0.00	100.0	0.00
02/21/2017	CONCORDE, VARIOUS	CATALYST/MILLBURN HEDGE STRATEGY FU	18,536.74	0.00	0.00	0.00	100.0	0.00
02/21/2017	CONCORDE, VARIOUS	CATALYST/MILLBURN HEDGE STRATEGY FU	-19,512.36	0.00	0.00	0.00	100.0	0.00
02/21/2017	CONCORDE, VARIOUS	CATALYST/MILLBURN HEDGE STRATEGY FU	-36,525.60	0.00	0.00	0.00	100.0	0.00
02/21/2017	CONCORDE, VARIOUS	CATALYST/MILLBURN HEDGE STRATEGY FU	34,699.32	0.00	0.00	0.00	100.0	0.00
02/22/2017	CONCORDE, VARIOUS	CATALYST/MILLBURN HEDGE STRATEGY FU	-43,509.05	0.00	0.00	0.00	100.0	0.00
02/22/2017	CONCORDE, VARIOUS	CATALYST/MILLBURN HEDGE STRATEGY FU	41,333.60	0.00	0.00	0.00	100.0	0.00
02/15/2017	CONCORDE, VARIOUS	HARTFORD CAPITAL APPRECIATION C	213.58	0.00	0.00	0.00	100.0	0.00
02/15/2017	CONCORDE, VARIOUS	HARTFORD CAPITAL APPRECIATION C	-215.74	0.00	0.00	0.00	100.0	0.00
02/15/2017	CONCORDE, VARIOUS	MAINSTAY CUSHING MLP PREMIER FUND C	19,050.00	0.00	0.00	0.00	100.0	0.00
02/15/2017	CONCORDE, VARIOUS	MAINSTAY CUSHING MLP PREMIER FUND C	-20,000.00	0.00	0.00	0.00	100.0	0.00
02/14/2017	CONCORDE, VARIOUS	PUTNAM ASSET ALLOC GROWTH A	-50.00	0.00	0.00	0.00	100.0	0.00
02/14/2017	CONCORDE, VARIOUS	PUTNAM ASSET ALLOC GROWTH A	47.50	0.00	0.00	0.00	100.0	0.00
02/17/2017	CONCORDE, VARIOUS	PUTNAM CAPITAL SPECTRUM C	148.50	0.00	0.00	0.00	100.0	0.00
02/17/2017	CONCORDE, VARIOUS	PUTNAM CAPITAL SPECTRUM C	-150.00	0.00	0.00	0.00	100.0	0.00
02/15/2017	CONCORDE, VARIOUS	PUTNAM EQUITY SPECTRUM C	99.00	0.00	0.00	0.00	100.0	0.00
02/15/2017	CONCORDE, VARIOUS	PUTNAM EQUITY SPECTRUM C	-100.00	0.00	0.00	0.00	100.0	0.00
02/17/2017	CONCORDE, VARIOUS	PUTNAM EQUITY SPECTRUM C	-150.00	0.00	0.00	0.00	100.0	0.00
02/17/2017	CONCORDE, VARIOUS	PUTNAM EQUITY SPECTRUM C	148.50	0.00	0.00	0.00	100.0	0.00
* MUTUAL FUNDS SUBTOTAL *			\$-5,898.08	\$85.00	\$0.00	\$85.00		\$85.00

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>BROKER TRANSACTIONS</u>								
PRODUCT CATEGORY: STOCKS								
02/21/2017	CONCORDE, VARIOUS	APTEVO THERAPEUTICS INC COM	-4,254.20	0.00	0.00	0.00	100.0	0.00
02/21/2017	CONCORDE, VARIOUS	APTEVO THERAPEUTICS INC COM	211.99	0.00	1.00	-1.00	100.0	-1.00
02/21/2017	CONCORDE, VARIOUS	APTEVO THERAPEUTICS INC COM	211.60	0.00	1.00	-1.00	100.0	-1.00
02/21/2017	CONCORDE, VARIOUS	APTEVO THERAPEUTICS INC COM	211.99	0.00	1.00	-1.00	100.0	-1.00
02/21/2017	CONCORDE, VARIOUS	APTEVO THERAPEUTICS INC COM	211.99	0.00	1.00	-1.00	100.0	-1.00
02/21/2017	CONCORDE, VARIOUS	APTEVO THERAPEUTICS INC COM	423.98	0.00	1.00	-1.00	100.0	-1.00
02/21/2017	CONCORDE, VARIOUS	APTEVO THERAPEUTICS INC COM	153.36	0.00	1.00	-1.00	100.0	-1.00
02/21/2017	CONCORDE, VARIOUS	APTEVO THERAPEUTICS INC COM	847.96	0.00	1.00	-1.00	100.0	-1.00
02/21/2017	CONCORDE, VARIOUS	APTEVO THERAPEUTICS INC COM	211.99	0.00	1.00	-1.00	100.0	-1.00
02/21/2017	CONCORDE, VARIOUS	APTEVO THERAPEUTICS INC COM	1,769.27	0.00	1.00	-1.00	100.0	-1.00
02/22/2017	CONCORDE, VARIOUS	BLACKSTONE GROUP L P COM UNIT REPST	4,960.91	0.00	0.00	0.00	100.0	0.00
02/22/2017	CONCORDE, VARIOUS	BLACKSTONE GROUP L P COM UNIT REPST	-213.05	0.00	1.00	-1.00	100.0	-1.00
02/22/2017	CONCORDE, VARIOUS	BLACKSTONE GROUP L P COM UNIT REPST	-3,043.50	0.00	1.00	-1.00	100.0	-1.00
02/22/2017	CONCORDE, VARIOUS	BLACKSTONE GROUP L P COM UNIT REPST	-243.48	0.00	1.00	-1.00	100.0	-1.00
02/22/2017	CONCORDE, VARIOUS	BLACKSTONE GROUP L P COM UNIT REPST	-243.48	0.00	1.00	-1.00	100.0	-1.00
02/22/2017	CONCORDE, VARIOUS	BLACKSTONE GROUP L P COM UNIT REPST	-365.22	0.00	1.00	-1.00	100.0	-1.00
02/22/2017	CONCORDE, VARIOUS	BLACKSTONE GROUP L P COM UNIT REPST	-426.09	0.00	1.00	-1.00	100.0	-1.00
02/22/2017	CONCORDE, VARIOUS	BLACKSTONE GROUP L P COM UNIT REPST	-426.09	0.00	1.00	-1.00	100.0	-1.00
02/21/2017	CONCORDE, VARIOUS	CERECOR INC COM	410.20	0.00	1.00	-1.00	100.0	-1.00
02/21/2017	CONCORDE, VARIOUS	CERECOR INC COM	328.16	0.00	1.00	-1.00	100.0	-1.00
02/21/2017	CONCORDE, VARIOUS	CERECOR INC COM	2,490.00	0.00	1.00	-1.00	100.0	-1.00
02/21/2017	CONCORDE, VARIOUS	CERECOR INC COM	82.04	0.00	1.00	-1.00	100.0	-1.00
02/21/2017	CONCORDE, VARIOUS	CERECOR INC COM	-3,310.40	0.00	0.00	0.00	100.0	0.00
02/23/2017	CONCORDE, VARIOUS	CLAYMORE EXCHANGE-TRADED FD TR GUGG	-49,979.39	0.00	0.00	0.00	100.0	0.00
02/23/2017	CONCORDE, VARIOUS	CLAYMORE EXCHANGE-TRADED FD TR GUGG	5,162.00	0.00	1.00	-1.00	100.0	-1.00
02/23/2017	CONCORDE, VARIOUS	CLAYMORE EXCHANGE-TRADED FD TR GUGG	18,074.00	0.00	1.00	-1.00	100.0	-1.00
02/23/2017	CONCORDE, VARIOUS	CLAYMORE EXCHANGE-TRADED FD TR GUGG	26,743.30	0.00	1.00	-1.00	100.0	-1.00
02/14/2017	CONCORDE, VARIOUS	COLONY NORTHSTAR INC CL A COM	15,884.29	0.00	0.00	0.00	100.0	0.00
02/14/2017	CONCORDE, VARIOUS	COLONY NORTHSTAR INC CL A COM	-1,445.50	0.00	1.00	-1.00	100.0	-1.00
02/14/2017	CONCORDE, VARIOUS	COLONY NORTHSTAR INC CL A COM	-2,414.82	0.00	1.00	-1.00	100.0	-1.00
02/14/2017	CONCORDE, VARIOUS	COLONY NORTHSTAR INC CL A COM	-462.72	0.00	1.00	-1.00	100.0	-1.00
02/14/2017	CONCORDE, VARIOUS	COLONY NORTHSTAR INC CL A COM	-1,445.50	0.00	1.00	-1.00	100.0	-1.00
02/14/2017	CONCORDE, VARIOUS	COLONY NORTHSTAR INC CL A COM	-4,335.00	0.00	1.00	-1.00	100.0	-1.00

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<u>BROKER TRANSACTIONS</u>								
PRODUCT CATEGORY: STOCKS								
02/14/2017	CONCORDE, VARIOUS	COLONY NORTHSTAR INC CL A COM	-1,445.20	0.00	1.00	-1.00	100.0	-1.00
02/14/2017	CONCORDE, VARIOUS	COLONY NORTHSTAR INC CL A COM	-1,445.20	0.00	1.00	-1.00	100.0	-1.00
02/14/2017	CONCORDE, VARIOUS	COLONY NORTHSTAR INC CL A COM	-1,445.20	0.00	1.00	-1.00	100.0	-1.00
02/14/2017	CONCORDE, VARIOUS	COLONY NORTHSTAR INC CL A COM	-1,445.20	0.00	1.00	-1.00	100.0	-1.00
02/21/2017	CONCORDE, VARIOUS	CUSHING RENAISSANCE FD COM	-41,017.24	0.00	0.00	0.00	100.0	0.00
02/21/2017	CONCORDE, VARIOUS	CUSHING RENAISSANCE FD COM	149.52	0.00	1.00	-1.00	100.0	-1.00
02/21/2017	CONCORDE, VARIOUS	CUSHING RENAISSANCE FD COM	1,864.40	0.00	1.00	-1.00	100.0	-1.00
02/21/2017	CONCORDE, VARIOUS	CUSHING RENAISSANCE FD COM	14,915.20	0.00	1.00	-1.00	100.0	-1.00
02/21/2017	CONCORDE, VARIOUS	CUSHING RENAISSANCE FD COM	12,976.22	0.00	1.00	-1.00	100.0	-1.00
02/21/2017	CONCORDE, VARIOUS	CUSHING RENAISSANCE FD COM	11,111.82	0.00	1.00	-1.00	100.0	-1.00
02/21/2017	CONCORDE, VARIOUS	DOUBLELINE INCOME SOLUTIONS FD COM	2,455.86	0.00	1.00	-1.00	100.0	-1.00
02/21/2017	CONCORDE, VARIOUS	DOUBLELINE INCOME SOLUTIONS FD COM	19,686.36	0.00	1.00	-1.00	100.0	-1.00
02/21/2017	CONCORDE, VARIOUS	DOUBLELINE INCOME SOLUTIONS FD COM	-22,142.23	0.00	0.00	0.00	100.0	0.00
02/21/2017	CONCORDE, VARIOUS	ETF MANAGERS TR PUREFUNDS ISE JR SI	-8,472.35	0.00	0.00	0.00	100.0	0.00
02/21/2017	CONCORDE, VARIOUS	ETF MANAGERS TR PUREFUNDS ISE JR SI	1,513.00	0.00	1.00	-1.00	100.0	-1.00
02/21/2017	CONCORDE, VARIOUS	ETF MANAGERS TR PUREFUNDS ISE JR SI	378.23	0.00	1.00	-1.00	100.0	-1.00
02/21/2017	CONCORDE, VARIOUS	ETF MANAGERS TR PUREFUNDS ISE JR SI	5,068.22	0.00	1.00	-1.00	100.0	-1.00
02/21/2017	CONCORDE, VARIOUS	ETF MANAGERS TR PUREFUNDS ISE JR SI	1,512.90	0.00	1.00	-1.00	100.0	-1.00
02/21/2017	CONCORDE, VARIOUS	FS INVT CORP COM	19,080.00	0.00	0.00	0.00	100.0	0.00
02/21/2017	CONCORDE, VARIOUS	FS INVT CORP COM	-1,060.00	0.00	1.00	-1.00	100.0	-1.00
02/21/2017	CONCORDE, VARIOUS	FS INVT CORP COM	-10,600.00	0.00	1.00	-1.00	100.0	-1.00
02/21/2017	CONCORDE, VARIOUS	FS INVT CORP COM	-1,060.00	0.00	1.00	-1.00	100.0	-1.00
02/21/2017	CONCORDE, VARIOUS	FS INVT CORP COM	-1,060.00	0.00	1.00	-1.00	100.0	-1.00
02/21/2017	CONCORDE, VARIOUS	FS INVT CORP COM	-5,300.00	0.00	1.00	-1.00	100.0	-1.00
02/23/2017	CONCORDE, VARIOUS	ISHARES TR BARCLAYS 1-3 YR TREAS BD	-4,651.90	0.00	1.00	-1.00	100.0	-1.00
02/23/2017	CONCORDE, VARIOUS	ISHARES TR BARCLAYS 1-3 YR TREAS BD	-3,637.03	0.00	1.00	-1.00	100.0	-1.00
02/23/2017	CONCORDE, VARIOUS	ISHARES TR BARCLAYS 1-3 YR TREAS BD	8,288.93	0.00	0.00	0.00	100.0	0.00
02/15/2017	CONCORDE, VARIOUS	NEW YORK REIT INC COM	-1,996.02	0.00	1.00	-1.00	100.0	-1.00
02/15/2017	CONCORDE, VARIOUS	NEW YORK REIT INC COM	-4,392.74	0.00	1.00	-1.00	100.0	-1.00
02/15/2017	CONCORDE, VARIOUS	NEW YORK REIT INC COM	6,388.74	0.00	0.00	0.00	100.0	0.00
02/21/2017	CONCORDE, VARIOUS	NEW YORK REIT INC COM	-9,910.90	0.00	1.00	-1.00	100.0	-1.00
02/21/2017	CONCORDE, VARIOUS	NEW YORK REIT INC COM	-7,880.04	0.00	1.00	-1.00	100.0	-1.00
02/21/2017	CONCORDE, VARIOUS	NEW YORK REIT INC COM	17,790.96	0.00	0.00	0.00	100.0	0.00

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<u>BROKER TRANSACTIONS</u>								
PRODUCT CATEGORY: STOCKS								
02/22/2017	CONCORDE, VARIOUS	NEW YORK REIT INC COM	-990.13	0.00	1.00	-1.00	100.0	-1.00
02/22/2017	CONCORDE, VARIOUS	NEW YORK REIT INC COM	-4,060.44	0.00	1.00	-1.00	100.0	-1.00
02/22/2017	CONCORDE, VARIOUS	NEW YORK REIT INC COM	5,050.58	0.00	0.00	0.00	100.0	0.00
02/22/2017	CONCORDE, VARIOUS	NEW YORK REIT INC COM	23,369.19	0.00	0.00	0.00	100.0	0.00
02/22/2017	CONCORDE, VARIOUS	NEW YORK REIT INC COM	-990.06	0.00	1.00	-1.00	100.0	-1.00
02/22/2017	CONCORDE, VARIOUS	NEW YORK REIT INC COM	-940.58	0.00	1.00	-1.00	100.0	-1.00
02/22/2017	CONCORDE, VARIOUS	NEW YORK REIT INC COM	-990.08	0.00	1.00	-1.00	100.0	-1.00
02/22/2017	CONCORDE, VARIOUS	NEW YORK REIT INC COM	-990.08	0.00	1.00	-1.00	100.0	-1.00
02/22/2017	CONCORDE, VARIOUS	NEW YORK REIT INC COM	-990.07	0.00	1.00	-1.00	100.0	-1.00
02/22/2017	CONCORDE, VARIOUS	NEW YORK REIT INC COM	-3,831.61	0.00	1.00	-1.00	100.0	-1.00
02/22/2017	CONCORDE, VARIOUS	NEW YORK REIT INC COM	-990.08	0.00	1.00	-1.00	100.0	-1.00
02/22/2017	CONCORDE, VARIOUS	NEW YORK REIT INC COM	-1,168.28	0.00	1.00	-1.00	100.0	-1.00
02/22/2017	CONCORDE, VARIOUS	NEW YORK REIT INC COM	-12,478.41	0.00	1.00	-1.00	100.0	-1.00
02/21/2017	CONCORDE, VARIOUS	OLD NATL BANCORP IND COM	-112.20	0.00	1.00	-1.00	100.0	-1.00
02/21/2017	CONCORDE, VARIOUS	OLD NATL BANCORP IND COM	-18,594.46	0.00	1.00	-1.00	100.0	-1.00
02/21/2017	CONCORDE, VARIOUS	OLD NATL BANCORP IND COM	18,706.70	0.00	0.00	0.00	100.0	0.00
02/21/2017	CONCORDE, VARIOUS	POWER SOLUTIONS INTL INC COM NEW	1,614.30	0.00	1.00	-1.00	100.0	-1.00
02/21/2017	CONCORDE, VARIOUS	POWER SOLUTIONS INTL INC COM NEW	2,415.83	0.00	1.00	-1.00	100.0	-1.00
02/21/2017	CONCORDE, VARIOUS	POWER SOLUTIONS INTL INC COM NEW	-4,030.13	0.00	0.00	0.00	100.0	0.00
02/21/2017	CONCORDE, VARIOUS	SPDR BLACKSTONE / GSO SENIOR LOAN E	-20,176.24	0.00	1.00	-1.00	100.0	-1.00
02/21/2017	CONCORDE, VARIOUS	SPDR BLACKSTONE / GSO SENIOR LOAN E	-14,241.03	0.00	1.00	-1.00	100.0	-1.00
02/21/2017	CONCORDE, VARIOUS	SPDR BLACKSTONE / GSO SENIOR LOAN E	34,417.27	0.00	0.00	0.00	100.0	0.00
02/21/2017	CONCORDE, VARIOUS	TAHOE RES INC COM ISIN#CA8738681037	873.50	0.00	1.00	-1.00	100.0	-1.00
02/21/2017	CONCORDE, VARIOUS	TAHOE RES INC COM ISIN#CA8738681037	3,494.60	0.00	1.00	-1.00	100.0	-1.00
02/21/2017	CONCORDE, VARIOUS	TAHOE RES INC COM ISIN#CA8738681037	-4,368.10	0.00	0.00	0.00	100.0	0.00
02/21/2017	CONCORDE, VARIOUS	TIVO CORP COM	3,960.00	0.00	1.00	-1.00	100.0	-1.00
02/21/2017	CONCORDE, VARIOUS	TIVO CORP COM	1,980.00	0.00	1.00	-1.00	100.0	-1.00
02/21/2017	CONCORDE, VARIOUS	TIVO CORP COM	13,849.50	0.00	1.00	-1.00	100.0	-1.00
02/21/2017	CONCORDE, VARIOUS	TIVO CORP COM	-19,789.50	0.00	0.00	0.00	100.0	0.00
* STOCKS SUBTOTAL *			\$-0.31	\$0.00	\$76.00	\$-76.00		\$-76.00

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>BROKER TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: BONDS</u>								
02/22/2017	CONCORDE, VARIOUS	LOS ANGELES CALIF UNI SCH DIST RFDG	24,287.25	0.00	15.00	-15.00	100.0	-15.00
02/22/2017	CONCORDE, VARIOUS	LOS ANGELES CALIF UNI SCH DIST RFDG	-24,412.25	0.00	18.00	-18.00	100.0	-18.00
02/15/2017	CONCORDE, VARIOUS	SUGAR LAND TEX CTFS OBLIG 3.000% 02	19,068.60	0.00	15.00	-15.00	100.0	-15.00
02/15/2017	CONCORDE, VARIOUS	SUGAR LAND TEX CTFS OBLIG 3.000% 02	-19,168.60	0.00	18.00	-18.00	100.0	-18.00
* BONDS SUBTOTAL *			\$-225.00	\$0.00	\$66.00	\$-66.00		\$-66.00
<u>PRODUCT CATEGORY: VARIABLE ANNUITIES</u>								
02/07/2017	LASALLE, BARBARA	GENWORTH CHOICE VA	342,613.24	285.51	0.00	285.51	100.0	285.51
02/07/2017	REEDY, DAVID	GENWORTH CHOICE VA	21,690.30	18.08	0.00	18.08	100.0	18.08
02/07/2017	CICHEWICZ, RICHARD	GENWORTH CHOICE VA	37,680.65	31.40	0.00	31.40	100.0	31.40
02/07/2017	GEORGE, CAROLE	GENWORTH CHOICE VA	142,977.78	119.15	0.00	119.15	100.0	119.15
02/07/2017	GARBOWSKI, CHRISTOPHER	GENWORTH CHOICE VA	29,476.67	24.56	0.00	24.56	100.0	24.56
02/07/2017	PUDIL, HSIU CHIN	GENWORTH COMMONWEALTH VA 1994 (NON-	607.91	0.10	0.00	0.10	100.0	0.10
02/07/2017	MACIEJEWSKI, ROBERT	GENWORTH COMMONWEALTH VA 1994 (NON-	24,688.68	4.11	0.00	4.11	100.0	4.11
01/17/2017	HORIBA, MASATAKE	GENWORTH INS	162,509.12	33.86	0.00	33.86	100.0	33.86
02/15/2017	FORMELLA, ANNETTE	GENWORTH INS	25.00	0.25	0.00	0.25	100.0	0.25
02/15/2017	FORMELLA, DAVID	GENWORTH INS	35.00	0.35	0.00	0.35	100.0	0.35
02/14/2017	RIVERS, BETH	NWL BEST OF AMERICA FPVUL	51.00	0.51	0.00	0.51	100.0	0.51
02/14/2017	WEBB, CONSTANCE	NWL BEST OF AMERICA FPVUL	57.00	0.57	0.00	0.57	100.0	0.57
02/10/2017	RAYNUSH, MARTHA	OHIO NATL ONCORE PREMIER	32,607.65	81.52	0.00	81.52	100.0	81.52
01/02/2017	MCALLISTER, JEAN	TRANSAMERICA EXTRA	93,292.70	77.74	0.00	77.74	100.0	77.74
01/04/2017	BELTRAN, RANDOLPH	TRANSAMERICA EXTRA	111,458.53	92.88	0.00	92.88	100.0	92.88
01/27/2017	LEONARD, NITA	TRANSAMERICA EXTRA	48,362.41	40.30	0.00	40.30	100.0	40.30
01/12/2017	WILLIAMS, JESSIE	TRANSAMERICA LIBERTY	68,472.74	57.06	0.00	57.06	100.0	57.06
01/13/2017	MOORE, WILLIAM	TRANSAMERICA LIBERTY	9,401.56	7.83	0.00	7.83	100.0	7.83
01/28/2017	NIEMI TRUST, HARRY	TRANSAMERICA LIBERTY	42,745.71	35.62	0.00	35.62	100.0	35.62
01/24/2017	MORRISON, BARRETT	TRANSAMERICA PRINCIPIUM	73,764.54	61.47	0.00	61.47	100.0	61.47
* VARIABLE ANNUITIES SUBTOTAL *			\$1,242,518.19	\$972.87	\$0.00	\$972.87		\$972.87
<u>PRODUCT CATEGORY: LIFE INSURANCE</u>								
02/10/2017	LUND, VARIOUS	ING RELIASTAR LIFE	0.00	619.97	0.00	619.97	100.0	619.97
02/17/2017	LUND, VARIOUS	ING RELIASTAR LIFE	0.00	140.00	0.00	140.00	100.0	140.00
02/08/2017	ADAMS, VARIOUS	LBL TRAILS	0.00	8.00	0.00	8.00	100.0	8.00
02/17/2017	ADAMS, VARIOUS	LBL TRAILS	0.00	1.09	0.00	1.09	100.0	1.09

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<u>BROKER TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: LIFE INSURANCE</u>								
02/09/2017	PAI, YOGISH & ANITA	PAC LIFE VUL	700.00	14.00	0.00	14.00	100.0	14.00
02/10/2017	GOVE, VARIOUS	PAC LIFE VUL	0.00	1.75	0.00	1.75	100.0	1.75
02/17/2017	GOVE, VARIOUS	PAC LIFE VUL	0.00	17.42	0.00	17.42	100.0	17.42
* LIFE INSURANCE SUBTOTAL *			\$700.00	\$802.23	\$0.00	\$802.23		\$802.23
<u>PRODUCT CATEGORY: UNIT INVESTMENT TRUSTS</u>								
02/16/2017	CONCORDE, VARIOUS	FT UNIT 6391 DIVID & INCOME PLUS CL	-24,989.64	0.00	17.50	-17.50	100.0	-17.50
02/16/2017	CONCORDE, VARIOUS	FT UNIT 6391 DIVID & INCOME PLUS CL	24,277.46	0.00	17.50	-17.50	100.0	-17.50
02/16/2017	CONCORDE, VARIOUS	FT UNIT 6391 DIVID & INCOME PLUS CL	17,041.01	0.00	17.50	-17.50	100.0	-17.50
02/16/2017	CONCORDE, VARIOUS	FT UNIT 6391 DIVID & INCOME PLUS CL	-17,499.93	0.00	17.50	-17.50	100.0	-17.50
02/15/2017	CONCORDE, VARIOUS	FT UNIT 6403 MLP CLOSED END PORT 14	17,431.19	0.00	17.50	-17.50	100.0	-17.50
02/15/2017	CONCORDE, VARIOUS	FT UNIT 6403 MLP CLOSED END PORT 14	-17,998.20	0.00	17.50	-17.50	100.0	-17.50
02/16/2017	CONCORDE, VARIOUS	FT UNIT 6403 MLP CLOSED END PORT 14	-14,990.48	0.00	17.50	-17.50	100.0	-17.50
02/16/2017	CONCORDE, VARIOUS	FT UNIT 6403 MLP CLOSED END PORT 14	-7,996.04	0.00	17.50	-17.50	100.0	-17.50
02/16/2017	CONCORDE, VARIOUS	FT UNIT 6403 MLP CLOSED END PORT 14	7,744.14	0.00	17.50	-17.50	100.0	-17.50
02/16/2017	CONCORDE, VARIOUS	FT UNIT 6403 MLP CLOSED END PORT 14	14,555.74	0.00	17.50	-17.50	100.0	-17.50
02/16/2017	CONCORDE, VARIOUS	FT UNIT 6403 MLP CLOSED END PORT 14	-7,996.04	0.00	17.50	-17.50	100.0	-17.50
02/16/2017	CONCORDE, VARIOUS	FT UNIT 6403 MLP CLOSED END PORT 14	7,744.14	0.00	17.50	-17.50	100.0	-17.50
02/16/2017	CONCORDE, VARIOUS	FT UNIT 6403 MLP CLOSED END PORT 14	14,524.24	0.00	17.50	-17.50	100.0	-17.50
02/16/2017	CONCORDE, VARIOUS	FT UNIT 6403 MLP CLOSED END PORT 14	7,744.14	0.00	17.50	-17.50	100.0	-17.50
02/16/2017	CONCORDE, VARIOUS	FT UNIT 6403 MLP CLOSED END PORT 14	-19,995.58	0.00	17.50	-17.50	100.0	-17.50
02/16/2017	CONCORDE, VARIOUS	FT UNIT 6403 MLP CLOSED END PORT 14	-7,996.04	0.00	17.50	-17.50	100.0	-17.50
02/16/2017	CONCORDE, VARIOUS	FT UNIT 6403 MLP CLOSED END PORT 14	3,866.77	0.00	17.50	-17.50	100.0	-17.50
02/16/2017	CONCORDE, VARIOUS	FT UNIT 6403 MLP CLOSED END PORT 14	-14,996.68	0.00	17.50	-17.50	100.0	-17.50
02/16/2017	CONCORDE, VARIOUS	FT UNIT 6403 MLP CLOSED END PORT 14	19,365.65	0.00	17.50	-17.50	100.0	-17.50
02/16/2017	CONCORDE, VARIOUS	FT UNIT 6403 MLP CLOSED END PORT 14	16,992.29	0.00	17.50	-17.50	100.0	-17.50
02/16/2017	CONCORDE, VARIOUS	FT UNIT 6403 MLP CLOSED END PORT 14	-17,499.80	0.00	17.50	-17.50	100.0	-17.50
02/16/2017	CONCORDE, VARIOUS	FT UNIT 6403 MLP CLOSED END PORT 14	-3,992.55	0.00	17.50	-17.50	100.0	-17.50
* UNIT INVESTMENT TRUSTS SUBTOTAL *			\$-4,664.21	\$0.00	\$385.00	\$-385.00		\$-385.00
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
02/08/2017	LUND, VARIOUS	FIDELITY ADVISOR TRAILS	0.00	0.47	0.00	0.47	100.0	0.47
02/08/2017	PANOS, VARIOUS	FIDELITY ADVISOR TRAILS	0.00	43.48	0.00	43.48	100.0	43.48
02/08/2017	TWEED, VARIOUS	SARATOGA/JAMES FUND TRAILS	0.00	2.38	0.00	2.38	100.0	2.38

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<u>BROKER TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
02/08/2017	RENEE TRUST (NEWTON), BEVERLY	SARATOGA/JAMES FUND TRAILS	0.00	0.34	0.00	0.34	100.0	0.34
* MUTUAL FUND 12B1 TRAILS SUBTOTAL *			\$0.00	\$46.67	\$0.00	\$46.67		\$46.67
<u>PRODUCT CATEGORY: VARIABLE ANNUITY 12B1 TRAILS</u>								
02/17/2017	GRIBBLE, MARGARET	ING LANDMARK	0.00	12.51	0.00	12.51	100.0	12.51
01/31/2017	GOODING, VARIOUS	MUTUAL OF OMAHA INS CO	0.00	12.07	0.00	12.07	100.0	12.07
* VARIABLE ANNUITY 12B1 TRAILS SUBTOTAL *			\$0.00	\$24.58	\$0.00	\$24.58		\$24.58
*** BROKER TRANSACTIONS TOTAL ***			\$1,232,430.59	\$1,955.26	\$527.00	\$1,428.26		\$1,428.26

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

02/15/2017	LARA, DYLAN	AM FUNDS 2035 TARGET DATE-A	50.00	2.50	0.00	2.50	100.0	2.50
02/15/2017	LARA, DEREK	AM FUNDS 2035 TARGET DATE-A	50.00	2.50	0.00	2.50	100.0	2.50
02/06/2017	SAGGAR, VADEESH	AM FUNDS AMERICAN BALANCED A	50.00	2.50	0.00	2.50	100.0	2.50
02/13/2017	ESSARY, BRADLEY	AM FUNDS AMERICAN MUTUAL A	115.00	4.31	0.00	4.31	100.0	4.31
02/06/2017	COX, DEBORAH	AM FUNDS CAPITAL INCOME BUILDER A	75.00	3.75	0.00	3.75	100.0	3.75
02/10/2017	BODO, DAVID	AM FUNDS CAPITAL INCOME BUILDER A	75.00	3.19	0.00	3.19	100.0	3.19
02/10/2017	BODO, DAVID	AM FUNDS CAPITAL WORLD GRTH & INC A	75.00	3.19	0.00	3.19	100.0	3.19
02/13/2017	ESSARY, BRADLEY	AM FUNDS CAPITAL WORLD GRTH & INC A	115.00	4.31	0.00	4.31	100.0	4.31
02/10/2017	GREEN, WILLIAM	AM FUNDS GROWTH AND INCOME A	250.00	12.50	0.00	12.50	100.0	12.50
02/06/2017	HO, PAULINA	AM FUNDS GROWTH AND INCOME C	200.00	2.00	0.00	2.00	100.0	2.00
02/10/2017	BODO, DAVID	AM FUNDS GROWTH FUND OF AMERICA A	50.00	2.13	0.00	2.13	100.0	2.13
02/13/2017	ESSARY, BRADLEY	AM FUNDS GROWTH FUND OF AMERICA A	115.00	4.31	0.00	4.31	100.0	4.31
02/15/2017	HAMM, ROBERT	AM FUNDS GROWTH FUND OF AMERICA A	300.00	12.75	0.00	12.75	100.0	12.75
02/15/2017	HENRY, WYATT	AM FUNDS GROWTH FUND OF AMERICA A	50.00	2.50	0.00	2.50	100.0	2.50
02/06/2017	HO, PAULINA	AM FUNDS INCOME PORTFOLIO C	200.00	2.00	0.00	2.00	100.0	2.00
02/06/2017	AGUILAR, JOSE	AM FUNDS NEW ECONOMY 529A	50.00	2.50	0.00	2.50	100.0	2.50
02/13/2017	ESSARY, BRADLEY	AM FUNDS NEW PERSPECTIVE A	115.00	4.31	0.00	4.31	100.0	4.31
02/06/2017	SAGGAR, VADEESH	AM FUNDS SMALLCAP WORLD A	100.00	5.00	0.00	5.00	100.0	5.00
02/06/2017	COX, DEBORAH	AM FUNDS SMALLCAP WORLD A	75.00	3.75	0.00	3.75	100.0	3.75
* ACCOUNT HOUSE SUBTOTAL *			\$2,110.00	\$80.00	\$0.00	\$80.00		\$80.00

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<u> OVERRIDE TRANSACTIONS </u>								
<u>BROKER: ANTHONY GUGLIELME #8</u>								
02/15/2017	BRANDUZZI, DOMENIC	AM FUNDS EUROPACIFIC GROWTH FUND A	100.00	4.25	0.00	4.25	0.0	4.25
02/15/2017	BRANDUZZI, DOMENIC	AM FUNDS GROWTH FUND OF AMERICA A	100.00	4.25	0.00	4.25	0.0	4.25
02/10/2017	MENDICINO, JOSEPH	PAC LIFE INNOVATIVE SELECT	0.00	7.32	0.00	7.32	0.0	7.32
* ANTHONY GUGLIELME SUBTOTAL *			\$200.00	\$15.82	\$0.00	\$15.82		\$15.82
<u>BROKER: MATT BRANSTETTER #10</u>								
02/15/2017	BENNETT, MARLA	AM FUNDS WASHINGTON MUTUAL INVESTOR	100.00	3.75	0.00	3.75	80.0	3.75
* MATT BRANSTETTER SUBTOTAL *			\$100.00	\$3.75	\$0.00	\$3.75		\$3.75
<u>BROKER: EDWARD MCMANUS #25</u>								
02/14/2017	SUSSDORFF, VICKI	AM GEN POLARIS CHOICE IV	42,805.98	107.01	0.00	107.01	0.0	107.01
02/02/2017	PETREE, GREGORY	PRINCIPAL FUNDS CAPITAL APPRECIATIO	0.00	8.30	0.00	8.30	0.0	8.30
02/02/2017	SPENCER FAMILY TRUST	PRINCIPAL FUNDS CONSERVATIVE GROWTH	0.00	0.54	0.00	0.54	0.0	0.54
02/02/2017	THOMAS, ROSEMARIE	PRINCIPAL FUNDS CONSERVATIVE GROWTH	0.00	10.40	0.00	10.40	0.0	10.40
02/02/2017	LIGON, NANCY	PRINCIPAL FUNDS GLOBAL DIVERSIFIED	0.00	14.37	0.00	14.37	0.0	14.37
02/02/2017	MILlicAN, KENNETH	PRINCIPAL FUNDS STRATEGIC GROWTH A	0.00	0.01	0.00	0.01	0.0	0.01
02/02/2017	JONES, SHERRY	PRINCIPAL FUNDS STRATEGIC GROWTH A	0.00	0.93	0.00	0.93	0.0	0.93
* EDWARD MCMANUS SUBTOTAL *			\$42,805.98	\$141.56	\$0.00	\$141.56		\$141.56
<u>BROKER: ERIC HORNYAK #29</u>								
02/13/2017	TANDESKI, MICHAEL	AM FUNDS 2025 TARGET DATE-A	646.00	24.23	0.00	24.23	0.0	24.23
02/13/2017	TANDESKI, MICHAEL	AM FUNDS 2025 TARGET DATE-A	275.00	10.31	0.00	10.31	0.0	10.31
02/13/2017	TANDESKI, NANCY	AM FUNDS 2025 TARGET DATE-A	646.00	24.23	0.00	24.23	0.0	24.23
02/13/2017	TANDESKI, NANCY	AM FUNDS 2025 TARGET DATE-A	120.00	4.50	0.00	4.50	0.0	4.50
02/13/2017	TANDESKI, JOSHUA	AM FUNDS 2045 TARGET DATE-A	167.00	6.26	0.00	6.26	0.0	6.26
02/13/2017	TANDESKI, JOSHUA	AM FUNDS 2045 TARGET DATE-A	100.00	3.75	0.00	3.75	0.0	3.75
01/31/2017	MARSHALL, ANGELA	BLK MODERATE PTF A	0.00	0.98	0.00	0.98	0.0	0.98
01/31/2017	MARSHALL, ANGELA	BLK MODERATE PTF A	0.00	0.99	0.00	0.99	0.0	0.99
* ERIC HORNYAK SUBTOTAL *			\$1,954.00	\$75.25	\$0.00	\$75.25		\$75.25
<u>BROKER: THOMAS SCHNEIDER #30</u>								
02/15/2017	CERIMELE, NICHOLAS	AM FUNDS AMERICAN BALANCED A	60.00	3.00	0.00	3.00	0.0	3.00
02/15/2017	STOLL, BENJAMIN	AM FUNDS CAPITAL WORLD GRTH & INC 5	50.00	2.13	0.00	2.13	0.0	2.13
/ /	D&D TRAILER HAULING INC	PROFUNDS ULTRA SMALLCAP SVC	0.00	0.01	0.00	0.01	0.0	0.01
/ /	GREENE, DAVID	PROFUNDS ULTRA SMALLCAP SVC	0.00	0.01	0.00	0.01	0.0	0.01

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<u> OVERRIDE TRANSACTIONS </u>								
<u> BROKER: THOMAS SCHNEIDER #30 </u>								
/ /	GREENE, DAVID	PROFUNDS ULTRA SMALLCAP SVC	0.00	0.02	0.00	0.02	0.0	0.02
/ /	D&D TRAILER HAULING INC	PROFUNDS ULTRASHORT NASDAQ 100 SVC	0.00	0.06	0.00	0.06	0.0	0.06
/ /	GREENE, DAVID	PROFUNDS ULTRASHORT NASDAQ 100 SVC	0.00	0.06	0.00	0.06	0.0	0.06
/ /	GREENE, DAVID	PROFUNDS ULTRASHORT NASDAQ 100 SVC	0.00	0.19	0.00	0.19	0.0	0.19
/ /	D&D TRAILER HAULING INC	PROFUNDS ULTRASHORT SMALLCAP SVC	0.00	0.02	0.00	0.02	0.0	0.02
/ /	GREENE, DAVID	PROFUNDS ULTRASHORT SMALLCAP SVC	0.00	0.02	0.00	0.02	0.0	0.02
/ /	GREENE, DAVID	PROFUNDS ULTRASHORT SMALLCAP SVC	0.00	0.07	0.00	0.07	0.0	0.07
* THOMAS SCHNEIDER SUBTOTAL *			\$110.00	\$5.59	\$0.00	\$5.59		\$5.59
<u> BROKER: THOMAS BOAKS #33 </u>								
/ /	PITTE, JOELA	BLK GLOBAL ALLOCATION A	0.00	2.03	0.00	2.03	0.0	2.03
01/31/2017	WITT-AMANS	BLK GLOBAL ALLOCATION A	0.00	0.31	0.00	0.31	0.0	0.31
01/31/2017	SKIBA, TODD	BLK GLOBAL ALLOCATION A	0.00	5.98	0.00	5.98	0.0	5.98
02/16/2017	POHL, JEANNETTE	OHIO NATL ONCORE FLEX	22,654.93	56.64	0.00	56.64	0.0	56.64
* THOMAS BOAKS SUBTOTAL *			\$22,654.93	\$64.96	\$0.00	\$64.96		\$64.96
<u> BROKER: TIMOTHY BROWN #36 </u>								
02/10/2017	HAWK, CYNTHIA	AM FUNDS NEW PERSPECTIVE A	100.00	5.00	0.00	5.00	0.0	5.00
/ /	APPLEBY, SCOTT	PROFUNDS ULTRANASDAQ 100 SVC	0.00	2.02	0.00	2.02	0.0	2.02
/ /	APPLEBY, SCOTT	PROFUNDS ULTRANASDAQ 100 SVC	0.00	6.05	0.00	6.05	0.0	6.05
02/07/2017	CODDING, CRAIG	WELLS FARGO PREMIER LG COMP GRWTH A	0.00	2.84	0.00	2.84	0.0	2.84
* TIMOTHY BROWN SUBTOTAL *			\$100.00	\$15.91	\$0.00	\$15.91		\$15.91
<u> BROKER: BRUCE BAXTER #38 </u>								
02/01/2017	RIEGEL, DAVID	ING ACCESS	0.00	0.02	0.00	0.02	0.0	0.02
02/15/2017	LAMBERT, JOHN DOUGLAS	ING ACCESS	0.00	103.82	0.00	103.82	0.0	103.82
/ /	GEIGER, JACQUELYN	PROFUNDS ULTRA SMALLCAP SVC	0.00	0.01	0.00	0.01	0.0	0.01
/ /	DENNIS, MARK	PROFUNDS ULTRA SMALLCAP SVC	0.00	0.01	0.00	0.01	0.0	0.01
/ /	GOLSCH, LORI	PROFUNDS ULTRA SMALLCAP SVC	0.00	0.01	0.00	0.01	0.0	0.01
/ /	GEIGER, JACQUELYN	PROFUNDS ULTRA SMALLCAP SVC	0.00	0.04	0.00	0.04	0.0	0.04
/ /	HUFFMAN, JUSTIN	PROFUNDS ULTRANASDAQ 100 SVC	0.00	5.48	0.00	5.48	0.0	5.48
/ /	DENNIS, MARK	PROFUNDS ULTRASHORT NASDAQ 100 SVC	0.00	0.03	0.00	0.03	0.0	0.03
/ /	BAXTER, MEGAN	PROFUNDS ULTRASHORT NASDAQ 100 SVC	0.00	0.01	0.00	0.01	0.0	0.01
/ /	GOLSCH, LORI	PROFUNDS ULTRASHORT NASDAQ 100 SVC	0.00	0.05	0.00	0.05	0.0	0.05
/ /	GEIGER, JACQUELYN	PROFUNDS ULTRASHORT NASDAQ 100 SVC	0.00	0.16	0.00	0.16	0.0	0.16

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<u> OVERRIDE TRANSACTIONS </u>								
<u> BROKER: BRUCE BAXTER #38 </u>								
/ /	DENNIS, MARK	PROFUNDS ULTRASHORT NASDAQ 100 SVC	0.00	0.09	0.00	0.09	0.0	0.09
/ /	BAXTER, MEGAN	PROFUNDS ULTRASHORT NASDAQ 100 SVC	0.00	0.04	0.00	0.04	0.0	0.04
/ /	GOLSCH, LORI	PROFUNDS ULTRASHORT NASDAQ 100 SVC	0.00	0.16	0.00	0.16	0.0	0.16
/ /	GEIGER, JACQUELYN	PROFUNDS ULTRASHORT NASDAQ 100 SVC	0.00	0.48	0.00	0.48	0.0	0.48
/ /	DENNIS, MARK	PROFUNDS ULTRASHORT SMALLCAP SVC	0.00	0.01	0.00	0.01	0.0	0.01
/ /	GOLSCH, LORI	PROFUNDS ULTRASHORT SMALLCAP SVC	0.00	0.02	0.00	0.02	0.0	0.02
/ /	GEIGER, JACQUELYN	PROFUNDS ULTRASHORT SMALLCAP SVC	0.00	0.06	0.00	0.06	0.0	0.06
/ /	DENNIS, MARK	PROFUNDS ULTRASHORT SMALLCAP SVC	0.00	0.03	0.00	0.03	0.0	0.03
/ /	BAXTER, MEGAN	PROFUNDS ULTRASHORT SMALLCAP SVC	0.00	0.01	0.00	0.01	0.0	0.01
/ /	GOLSCH, LORI	PROFUNDS ULTRASHORT SMALLCAP SVC	0.00	0.06	0.00	0.06	0.0	0.06
/ /	GEIGER, JACQUELYN	PROFUNDS ULTRASHORT SMALLCAP SVC	0.00	0.18	0.00	0.18	0.0	0.18
* BRUCE BAXTER SUBTOTAL *			\$0.00	\$110.78	\$0.00	\$110.78		\$110.78
<u> BROKER: MELANIE DICENSO #43 </u>								
02/06/2017	PETERSON, MARY	FRANKLIN INCOME A	49.95	2.00	0.00	2.00	0.0	2.00
02/06/2017	PETERSON, MARY	TEMPLETON GROWTH A	49.95	2.50	0.00	2.50	0.0	2.50
* MELANIE DICENSO SUBTOTAL *			\$99.90	\$4.50	\$0.00	\$4.50		\$4.50
<u> BROKER: ROBERT (RUSTY) TWEED #58 </u>								
02/14/2017	VAN DE BRAKE, MARY	JH FINANCIAL INDUSTRIES A	0.00	2.06	0.00	2.06	0.0	2.06
02/14/2017	VAN DE BRAKE, ARTHUR	JH FINANCIAL INDUSTRIES A	0.00	2.04	0.00	2.04	0.0	2.04
02/14/2017	PANTON, GARY	JH GOVERNMENT INCOME A	0.00	1.10	0.00	1.10	0.0	1.10
02/14/2017	PANTON, GARY	JH GOVERNMENT INCOME A	0.00	1.80	0.00	1.80	0.0	1.80
02/14/2017	FURUKAWA, CLARA	JH STRATEGIC GROWTH A	0.00	1.76	0.00	1.76	0.0	1.76
* ROBERT (RUSTY) TWEED SUBTOTAL *			\$0.00	\$8.76	\$0.00	\$8.76		\$8.76
<u> BROKER: JIM LUND #60 </u>								
02/15/2017	BARBOUR, ELEANOR	FA 529 PORT 2016 C	200.00	10.00	0.00	10.00	0.0	10.00
02/06/2017	STEINER, DANIEL	FA 529 PORT 2025 A	100.00	5.00	0.00	5.00	0.0	5.00
02/06/2017	STEINER, DANIEL	FA 529 PORT 2025 A	100.00	5.00	0.00	5.00	0.0	5.00
02/06/2017	HERNANDEZ, MARIA	FA 529 PORT 2025 A	200.00	10.00	0.00	10.00	0.0	10.00
02/15/2017	HERNANDEZ, MICHELLE	FA 529 PORT 2025 A	50.00	2.50	0.00	2.50	0.0	2.50
02/15/2017	HERNANDEZ, MICHELLE	FA 529 PORT 2025 A	50.00	2.50	0.00	2.50	0.0	2.50
02/15/2017	HERNANDEZ, MICHELLE	FA 529 PORT 2025 A	50.00	2.50	0.00	2.50	0.0	2.50
/ /	BRYAN, TRICIA	FA 529 PORT 2028 A	0.00	6.00	0.00	6.00	0.0	6.00

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<u> OVERRIDE TRANSACTIONS </u>								
<u> BROKER: JIM LUND #60 </u>								
02/06/2017	THOMPSON, LESLIE	FRANKLIN INCOME A	100.00	4.00	0.00	4.00	0.0	4.00
02/15/2017	WURMLINGER, MARTIN	FRANKLIN INCOME A	100.00	4.00	0.00	4.00	0.0	4.00
02/06/2017	PRESTON, JANEAN	FRANKLIN INCOME C	400.00	4.00	0.00	4.00	0.0	4.00
02/09/2017	RAMIREZ, MYRNA	FT FOUNDING FUNDS ALLOC A	650.00	18.20	0.00	18.20	0.0	18.20
02/17/2017	CRAIG, JAMIE	FT MODERATE ALLOCATION FUND C	120.00	1.20	0.00	1.20	0.0	1.20
02/08/2017	YUGE, SEAN	OPPENHEIMER PORT SERIES ACTIVE ALLO	200.00	9.50	0.00	9.50	0.0	9.50
02/14/2017	CIESLIK, CHAD	OPPENHEIMER QUEST OPP VALUE A	247.50	11.76	0.00	11.76	0.0	11.76
02/14/2017	CIESLIK, CHAD	OPPENHEIMER SMALL MID CAP VALUE A	82.50	3.92	0.00	3.92	0.0	3.92
* JIM LUND SUBTOTAL *			\$2,650.00	\$100.08	\$0.00	\$100.08		\$100.08
<u> BROKER: JAMES PANOS #61 </u>								
02/15/2017	FITZGIBBON, EDMUND	FA 529 DIVERSIFIED INTL PORT C	70.00	0.70	0.00	0.70	0.0	0.70
02/15/2017	FITZGIBBON, EDMUND	FA 529 EQUITY GROWTH PORT C	70.00	0.70	0.00	0.70	0.0	0.70
02/15/2017	FITZGIBBON, EDMUND	FA 529 EQUITY GROWTH PORT C	70.00	0.70	0.00	0.70	0.0	0.70
02/15/2017	MACUCH, PAUL	FA 529 PORT 2016 C	50.00	0.50	0.00	0.50	0.0	0.50
02/15/2017	MACUCH, PAUL	FA 529 PORT 2019 C	50.00	0.50	0.00	0.50	0.0	0.50
02/15/2017	DORAN, PATRICK	FA 529 PORT 2019 C	50.00	0.50	0.00	0.50	0.0	0.50
02/15/2017	LORA, MARCOS	FA 529 PORT 2022 C	150.00	1.50	0.00	1.50	0.0	1.50
02/15/2017	LORA, CATALINA	FA 529 PORT 2022 C	150.00	1.50	0.00	1.50	0.0	1.50
02/15/2017	DORAN, PATRICK	FA 529 PORT 2022 C	50.00	0.50	0.00	0.50	0.0	0.50
02/15/2017	MACUCH, PAUL	FA 529 PORT 2022 C	50.00	0.50	0.00	0.50	0.0	0.50
02/15/2017	MACUCH, PAUL	FA 529 PORT 2022 C	50.00	0.50	0.00	0.50	0.0	0.50
02/15/2017	MACUCH, PAUL	FA 529 PORT 2022 C	50.00	0.50	0.00	0.50	0.0	0.50
02/15/2017	LORA, ROLANDO	FA 529 PORT 2022 C	150.00	1.50	0.00	1.50	0.0	1.50
02/15/2017	MACUCH, PAUL	FA 529 PORT 2028 C	50.00	0.50	0.00	0.50	0.0	0.50
* JAMES PANOS SUBTOTAL *			\$1,060.00	\$10.60	\$0.00	\$10.60		\$10.60
<u> BROKER: RENE CASTRO #92 </u>								
02/14/2017	BUSTOS, ARMANDO	JH HIGH YIELD A	0.00	2.37	0.00	2.37	0.0	2.37
02/14/2017	BUSTOS, ARMANDO	JH STRATEGIC INCOME A	0.00	9.24	0.00	9.24	0.0	9.24
* RENE CASTRO SUBTOTAL *			\$0.00	\$11.61	\$0.00	\$11.61		\$11.61

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<u> OVERRIDE TRANSACTIONS </u>								
<u>BROKER: DANIEL COLLINS #106</u>								
02/07/2017	PLUTSCHAK, ERNEST	GENWORTH COMMONWEALTH VA 1994 (NON-	5,416.90	0.90	0.00	0.90	0.0	0.90
02/07/2017	PLUTSCHAK, ERNEST	GENWORTH COMMONWEALTH VA 1994 (NON-	67,986.69	11.33	0.00	11.33	0.0	11.33
02/14/2017	EVANSUSA, DENISE	JH FINANCIAL INDUSTRIES A	0.00	1.43	0.00	1.43	0.0	1.43
02/14/2017	EVANSUSA, DENISE	JH FINANCIAL INDUSTRIES B	0.00	0.28	0.00	0.28	0.0	0.28
02/14/2017	EVANSUSA, DENISE	JH LARGE CAP EQUITY A	0.00	2.38	0.00	2.38	0.0	2.38
02/14/2017	EVANSUSA, DENISE	JH LARGE CAP EQUITY B	0.00	0.21	0.00	0.21	0.0	0.21
02/14/2017	EVANSUSA, DENISE	JH NEW OPPORTUNITIES A	0.00	1.87	0.00	1.87	0.0	1.87
02/14/2017	EVANSUSA, DENISE	JH STRATEGIC GROWTH A	0.00	1.77	0.00	1.77	0.0	1.77
* DANIEL COLLINS SUBTOTAL *			\$73,403.59	\$20.17	\$0.00	\$20.17		\$20.17
<u>BROKER: JAMES KOESTER #117</u>								
02/15/2017	HAMILTON, LAWRENCE	JH 529 PORT 2021-2024 A	250.00	10.63	0.00	10.63	0.0	10.63
/ /	HAMILTON, LAWRENCE	JH 529 PORT 2025-2028 A	0.00	10.63	0.00	10.63	0.0	10.63
02/07/2017	WINBERRY, LARRY	JOHN HANCOCK FREEDOM 529	0.00	0.64	0.00	0.64	0.0	0.64
* JAMES KOESTER SUBTOTAL *			\$250.00	\$21.90	\$0.00	\$21.90		\$21.90
<u>BROKER: ERNEST DALE ANDERSON #119</u>								
02/06/2017	VAN BAAL, RUDOLF	AGI BEST STYLES INTRNTL EQ PORT MI-	300.00	11.25	0.00	11.25	0.0	11.25
02/06/2017	VAN BAAL, RUDOLF	AGI BEST STYLES INTRNTL EQ PORT MI-	250.00	9.38	0.00	9.38	0.0	9.38
02/06/2017	VAN BAAL, RUDOLF	AGI BEST STYLES US EQUITY PORT MI-A	300.00	11.25	0.00	11.25	0.0	11.25
02/06/2017	VAN BAAL, RUDOLF	AGI BEST STYLES US EQUITY PORT MI-A	250.00	9.38	0.00	9.38	0.0	9.38
02/06/2017	VAN BAAL, RUDOLF	MI 529 ADV ALLIANZGI INC & GRWTH MI	300.00	11.25	0.00	11.25	0.0	11.25
02/06/2017	VAN BAAL, RUDOLF	MI 529 ADV ALLIANZGI INC & GRWTH MI	500.00	18.75	0.00	18.75	0.0	18.75
02/06/2017	VAN BAAL, RUDOLF	MI 529 ADV ALLIANZGI INC & GRWTH MI	500.00	18.75	0.00	18.75	0.0	18.75
02/06/2017	VAN BAAL, RUDOLF	MI 529 ADV TIAA-CREF SM-CAP BLEND I	300.00	11.25	0.00	11.25	0.0	11.25
02/06/2017	VAN BAAL, RUDOLF	MI 529 ADV TIAA-CREF SM-CAP BLEND I	250.00	9.38	0.00	9.38	0.0	9.38
02/06/2017	VAN BAAL, RUDOLF	MI 529 ADVISOR TIAA-CREF S&P 500 IN	300.00	11.25	0.00	11.25	0.0	11.25
02/06/2017	VAN BAAL, RUDOLF	MI 529 ADVISOR TIAA-CREF S&P 500 IN	250.00	9.38	0.00	9.38	0.0	9.38
* ERNEST DALE ANDERSON SUBTOTAL *			\$3,500.00	\$131.27	\$0.00	\$131.27		\$131.27
<u>BROKER: MICHELE BOYER #189</u>								
02/06/2017	BARTELS, CHRIS	INVESCO ALL CAP MARKET NEUTRAL FD -	34.10	0.34	0.00	0.34	0.0	0.34
02/13/2017	BARTELS, CHRIS	INVESCO ALL CAP MARKET NEUTRAL FD -	24.24	0.24	0.00	0.24	0.0	0.24
02/06/2017	HAWKINS, DAMON	INVESCO AMERICAN FRANCHISE A	43.18	0.76	0.00	0.76	0.0	0.76
02/06/2017	HAWKINS, DAMON	INVESCO AMERICAN FRANCHISE A	12.96	0.23	0.00	0.23	0.0	0.23

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<u> OVERRIDE TRANSACTIONS </u>								
<u>BROKER: MICHELE BOYER #189</u>								
02/06/2017	NOEL, ANTHONY	INVESCO AMERICAN FRANCHISE A	22.50	0.39	0.00	0.39	0.0	0.39
02/06/2017	NOEL, ANTHONY	INVESCO AMERICAN FRANCHISE A	22.50	0.39	0.00	0.39	0.0	0.39
02/13/2017	HAWKINS, DAMON	INVESCO AMERICAN FRANCHISE A	37.95	0.66	0.00	0.66	0.0	0.66
02/13/2017	HAWKINS, DAMON	INVESCO AMERICAN FRANCHISE A	11.39	0.20	0.00	0.20	0.0	0.20
02/13/2017	NOEL, ANTHONY	INVESCO AMERICAN FRANCHISE A	18.00	0.32	0.00	0.32	0.0	0.32
02/13/2017	NOEL, ANTHONY	INVESCO AMERICAN FRANCHISE A	18.00	0.32	0.00	0.32	0.0	0.32
02/06/2017	HALLER, CRISSY	INVESCO AMERICAN FRANCHISE C	27.45	0.27	0.00	0.27	0.0	0.27
02/06/2017	HALLER, CRISSY	INVESCO AMERICAN FRANCHISE C	27.45	0.27	0.00	0.27	0.0	0.27
02/06/2017	EMERSON, JAMES	INVESCO AMERICAN FRANCHISE C	548.02	5.48	0.00	5.48	0.0	5.48
02/06/2017	EMERSON, JAMES	INVESCO AMERICAN FRANCHISE C	164.40	1.64	0.00	1.64	0.0	1.64
02/06/2017	CRONK, THOMAS	INVESCO AMERICAN FRANCHISE C	195.00	1.95	0.00	1.95	0.0	1.95
02/06/2017	CRONK, THOMAS	INVESCO AMERICAN FRANCHISE C	195.00	1.95	0.00	1.95	0.0	1.95
02/13/2017	HALLER, CRISSY	INVESCO AMERICAN FRANCHISE C	23.40	0.23	0.00	0.23	0.0	0.23
02/13/2017	HALLER, CRISSY	INVESCO AMERICAN FRANCHISE C	23.40	0.23	0.00	0.23	0.0	0.23
02/13/2017	EMERSON, JAMES	INVESCO AMERICAN FRANCHISE C	405.72	4.06	0.00	4.06	0.0	4.06
02/13/2017	EMERSON, JAMES	INVESCO AMERICAN FRANCHISE C	121.72	1.22	0.00	1.22	0.0	1.22
02/13/2017	CRONK, THOMAS	INVESCO AMERICAN FRANCHISE C	156.00	1.56	0.00	1.56	0.0	1.56
02/13/2017	CRONK, THOMAS	INVESCO AMERICAN FRANCHISE C	156.00	1.56	0.00	1.56	0.0	1.56
02/06/2017	BACON, KALVIN	INVESCO ASIA PACIFIC GROWTH C	52.30	0.52	0.00	0.52	0.0	0.52
02/06/2017	BACON, KALVIN	INVESCO ASIA PACIFIC GROWTH C	52.30	0.52	0.00	0.52	0.0	0.52
02/13/2017	BACON, KALVIN	INVESCO ASIA PACIFIC GROWTH C	39.15	0.39	0.00	0.39	0.0	0.39
02/13/2017	BACON, KALVIN	INVESCO ASIA PACIFIC GROWTH C	39.15	0.39	0.00	0.39	0.0	0.39
02/06/2017	KINNEY, JUSTIN	INVESCO BALANCED RISK RTRMNT 2050 A	135.00	2.36	0.00	2.36	0.0	2.36
02/06/2017	KINNEY, JUSTIN	INVESCO BALANCED RISK RTRMNT 2050 A	135.00	2.36	0.00	2.36	0.0	2.36
02/13/2017	KINNEY, JUSTIN	INVESCO BALANCED RISK RTRMNT 2050 A	108.00	1.89	0.00	1.89	0.0	1.89
02/13/2017	KINNEY, JUSTIN	INVESCO BALANCED RISK RTRMNT 2050 A	108.00	1.89	0.00	1.89	0.0	1.89
02/06/2017	HALLER, CRISSY	INVESCO CHARTER FUND C	27.46	0.27	0.00	0.27	0.0	0.27
02/06/2017	HALLER, CRISSY	INVESCO CHARTER FUND C	27.46	0.27	0.00	0.27	0.0	0.27
02/06/2017	EMERSON, JAMES	INVESCO CHARTER FUND C	234.86	2.35	0.00	2.35	0.0	2.35
02/06/2017	EMERSON, JAMES	INVESCO CHARTER FUND C	70.46	0.70	0.00	0.70	0.0	0.70
02/13/2017	HALLER, CRISSY	INVESCO CHARTER FUND C	23.40	0.23	0.00	0.23	0.0	0.23
02/13/2017	HALLER, CRISSY	INVESCO CHARTER FUND C	23.40	0.23	0.00	0.23	0.0	0.23
02/13/2017	EMERSON, JAMES	INVESCO CHARTER FUND C	173.88	1.74	0.00	1.74	0.0	1.74

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<u> OVERRIDE TRANSACTIONS </u>								
<u>BROKER: MICHELE BOYER #189</u>								
02/13/2017	EMERSON, JAMES	INVESCO CHARTER FUND C	52.16	0.52	0.00	0.52	0.0	0.52
02/06/2017	HAWKINS, DAMON	INVESCO COMSTOCK A	43.21	0.76	0.00	0.76	0.0	0.76
02/06/2017	HAWKINS, DAMON	INVESCO COMSTOCK A	12.95	0.23	0.00	0.23	0.0	0.23
02/06/2017	NOEL, ANTHONY	INVESCO COMSTOCK A	22.50	0.39	0.00	0.39	0.0	0.39
02/06/2017	NOEL, ANTHONY	INVESCO COMSTOCK A	22.50	0.39	0.00	0.39	0.0	0.39
02/13/2017	HAWKINS, DAMON	INVESCO COMSTOCK A	37.92	0.66	0.00	0.66	0.0	0.66
02/13/2017	HAWKINS, DAMON	INVESCO COMSTOCK A	11.36	0.20	0.00	0.20	0.0	0.20
02/13/2017	NOEL, ANTHONY	INVESCO COMSTOCK A	18.00	0.32	0.00	0.32	0.0	0.32
02/13/2017	NOEL, ANTHONY	INVESCO COMSTOCK A	18.00	0.32	0.00	0.32	0.0	0.32
02/06/2017	BACON, KALVIN	INVESCO CORE PLUS BOND FUND CL C	52.28	0.52	0.00	0.52	0.0	0.52
02/06/2017	BACON, KALVIN	INVESCO CORE PLUS BOND FUND CL C	52.28	0.52	0.00	0.52	0.0	0.52
02/06/2017	COPPERNOLL, CRAIG	INVESCO CORE PLUS BOND FUND CL C	61.56	0.62	0.00	0.62	0.0	0.62
02/06/2017	COPPERNOLL, CRAIG	INVESCO CORE PLUS BOND FUND CL C	30.78	0.31	0.00	0.31	0.0	0.31
02/13/2017	BACON, KALVIN	INVESCO CORE PLUS BOND FUND CL C	39.15	0.39	0.00	0.39	0.0	0.39
02/13/2017	BACON, KALVIN	INVESCO CORE PLUS BOND FUND CL C	39.15	0.39	0.00	0.39	0.0	0.39
02/13/2017	COPPERNOLL, CRAIG	INVESCO CORE PLUS BOND FUND CL C	50.70	0.51	0.00	0.51	0.0	0.51
02/13/2017	COPPERNOLL, CRAIG	INVESCO CORE PLUS BOND FUND CL C	25.35	0.25	0.00	0.25	0.0	0.25
02/06/2017	HAWKINS, DAMON	INVESCO DEVELOPING MARKETS A	34.55	0.60	0.00	0.60	0.0	0.60
02/06/2017	HAWKINS, DAMON	INVESCO DEVELOPING MARKETS A	10.36	0.18	0.00	0.18	0.0	0.18
02/13/2017	HAWKINS, DAMON	INVESCO DEVELOPING MARKETS A	30.36	0.53	0.00	0.53	0.0	0.53
02/13/2017	HAWKINS, DAMON	INVESCO DEVELOPING MARKETS A	9.11	0.16	0.00	0.16	0.0	0.16
02/06/2017	HAWKINS, DAMON	INVESCO ENERGY FUND A	38.86	0.68	0.00	0.68	0.0	0.68
02/06/2017	HAWKINS, DAMON	INVESCO ENERGY FUND A	11.66	0.20	0.00	0.20	0.0	0.20
02/13/2017	HAWKINS, DAMON	INVESCO ENERGY FUND A	34.16	0.60	0.00	0.60	0.0	0.60
02/13/2017	HAWKINS, DAMON	INVESCO ENERGY FUND A	10.25	0.18	0.00	0.18	0.0	0.18
02/06/2017	BACON, KALVIN	INVESCO ENERGY FUND CLASS C	55.57	0.56	0.00	0.56	0.0	0.56
02/06/2017	BACON, KALVIN	INVESCO ENERGY FUND CLASS C	55.57	0.56	0.00	0.56	0.0	0.56
02/13/2017	BACON, KALVIN	INVESCO ENERGY FUND CLASS C	41.59	0.42	0.00	0.42	0.0	0.42
02/13/2017	BACON, KALVIN	INVESCO ENERGY FUND CLASS C	41.59	0.42	0.00	0.42	0.0	0.42
02/06/2017	MILTON, KEVIN	INVESCO EQUITY AND INCOME C	232.27	2.32	0.00	2.32	0.0	2.32
02/06/2017	MILTON, KEVIN	INVESCO EQUITY AND INCOME C	232.27	2.32	0.00	2.32	0.0	2.32
02/13/2017	MILTON, KEVIN	INVESCO EQUITY AND INCOME C	209.66	2.10	0.00	2.10	0.0	2.10
02/13/2017	MILTON, KEVIN	INVESCO EQUITY AND INCOME C	209.66	2.10	0.00	2.10	0.0	2.10

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>VERRIDE TRANSACTIONS</u>								
<u>BROKER: MICHELE BOYER #189</u>								
02/06/2017	NOEL, ANTHONY	INVESCO GLOBAL GROWTH A	22.50	0.39	0.00	0.39	0.0	0.39
02/06/2017	NOEL, ANTHONY	INVESCO GLOBAL GROWTH A	22.50	0.39	0.00	0.39	0.0	0.39
02/13/2017	NOEL, ANTHONY	INVESCO GLOBAL GROWTH A	18.00	0.32	0.00	0.32	0.0	0.32
02/13/2017	NOEL, ANTHONY	INVESCO GLOBAL GROWTH A	18.00	0.32	0.00	0.32	0.0	0.32
02/06/2017	BACON, KALVIN	INVESCO GLOBAL HEALTH CARE C	55.57	0.56	0.00	0.56	0.0	0.56
02/06/2017	BACON, KALVIN	INVESCO GLOBAL HEALTH CARE C	55.57	0.56	0.00	0.56	0.0	0.56
02/13/2017	BACON, KALVIN	INVESCO GLOBAL HEALTH CARE C	41.59	0.42	0.00	0.42	0.0	0.42
02/13/2017	BACON, KALVIN	INVESCO GLOBAL HEALTH CARE C	41.59	0.42	0.00	0.42	0.0	0.42
02/06/2017	BARTELS, CHRIS	INVESCO GLOBAL INFRASTRUCTURE C	17.05	0.17	0.00	0.17	0.0	0.17
02/13/2017	BARTELS, CHRIS	INVESCO GLOBAL INFRASTRUCTURE C	12.11	0.12	0.00	0.12	0.0	0.12
02/06/2017	COPPERNOLL, CRAIG	INVESCO GLOBAL REAL ESTATE C	46.17	0.46	0.00	0.46	0.0	0.46
02/06/2017	COPPERNOLL, CRAIG	INVESCO GLOBAL REAL ESTATE C	23.09	0.23	0.00	0.23	0.0	0.23
02/13/2017	COPPERNOLL, CRAIG	INVESCO GLOBAL REAL ESTATE C	38.03	0.38	0.00	0.38	0.0	0.38
02/13/2017	COPPERNOLL, CRAIG	INVESCO GLOBAL REAL ESTATE C	19.01	0.19	0.00	0.19	0.0	0.19
02/06/2017	BACON, KALVIN	INVESCO GOLD & PRECOUIS METALS C	55.57	0.56	0.00	0.56	0.0	0.56
02/06/2017	BACON, KALVIN	INVESCO GOLD & PRECOUIS METALS C	55.57	0.56	0.00	0.56	0.0	0.56
02/13/2017	BACON, KALVIN	INVESCO GOLD & PRECOUIS METALS C	41.59	0.42	0.00	0.42	0.0	0.42
02/13/2017	BACON, KALVIN	INVESCO GOLD & PRECOUIS METALS C	41.59	0.42	0.00	0.42	0.0	0.42
02/06/2017	COPPERNOLL, CRAIG	INVESCO GROWTH AND INCOME C	61.57	0.62	0.00	0.62	0.0	0.62
02/06/2017	COPPERNOLL, CRAIG	INVESCO GROWTH AND INCOME C	30.76	0.31	0.00	0.31	0.0	0.31
02/13/2017	COPPERNOLL, CRAIG	INVESCO GROWTH AND INCOME C	50.70	0.51	0.00	0.51	0.0	0.51
02/13/2017	COPPERNOLL, CRAIG	INVESCO GROWTH AND INCOME C	25.37	0.25	0.00	0.25	0.0	0.25
02/06/2017	HAWKINS, DAMON	INVESCO HIGH YIELD FUND A	64.77	1.13	0.00	1.13	0.0	1.13
02/06/2017	HAWKINS, DAMON	INVESCO HIGH YIELD FUND A	19.43	0.34	0.00	0.34	0.0	0.34
02/06/2017	NOEL, ANTHONY	INVESCO HIGH YIELD FUND A	15.00	0.26	0.00	0.26	0.0	0.26
02/06/2017	NOEL, ANTHONY	INVESCO HIGH YIELD FUND A	15.00	0.26	0.00	0.26	0.0	0.26
02/13/2017	HAWKINS, DAMON	INVESCO HIGH YIELD FUND A	56.93	1.00	0.00	1.00	0.0	1.00
02/13/2017	HAWKINS, DAMON	INVESCO HIGH YIELD FUND A	17.08	0.30	0.00	0.30	0.0	0.30
02/13/2017	NOEL, ANTHONY	INVESCO HIGH YIELD FUND A	12.00	0.21	0.00	0.21	0.0	0.21
02/13/2017	NOEL, ANTHONY	INVESCO HIGH YIELD FUND A	12.00	0.21	0.00	0.21	0.0	0.21
02/06/2017	COPPERNOLL, CRAIG	INVESCO INTERNATIONAL GROWTH C	46.17	0.46	0.00	0.46	0.0	0.46
02/06/2017	COPPERNOLL, CRAIG	INVESCO INTERNATIONAL GROWTH C	23.09	0.23	0.00	0.23	0.0	0.23
02/13/2017	COPPERNOLL, CRAIG	INVESCO INTERNATIONAL GROWTH C	38.03	0.38	0.00	0.38	0.0	0.38

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>VERRIDE TRANSACTIONS</u>								
BROKER: MICHELE BOYER #189								
02/13/2017	COPPERNOLL, CRAIG	INVESCO INTERNATIONAL GROWTH C	19.01	0.19	0.00	0.19	0.0	0.19
02/06/2017	BARTELS, CHRIS	INVESCO LONG/SHORT EQUITY FUND - CL	34.10	0.34	0.00	0.34	0.0	0.34
02/13/2017	BARTELS, CHRIS	INVESCO LONG/SHORT EQUITY FUND - CL	24.24	0.24	0.00	0.24	0.0	0.24
02/06/2017	BARTELS, CHRIS	INVESCO LOW VOLATILITY EMERG MKTS -	51.15	0.51	0.00	0.51	0.0	0.51
02/13/2017	BARTELS, CHRIS	INVESCO LOW VOLATILITY EMERG MKTS -	36.35	0.36	0.00	0.36	0.0	0.36
02/06/2017	NOEL, ANTHONY	INVESCO MIDCAP CORE EQUITY A	15.00	0.26	0.00	0.26	0.0	0.26
02/06/2017	NOEL, ANTHONY	INVESCO MIDCAP CORE EQUITY A	15.00	0.26	0.00	0.26	0.0	0.26
02/13/2017	NOEL, ANTHONY	INVESCO MIDCAP CORE EQUITY A	12.00	0.21	0.00	0.21	0.0	0.21
02/13/2017	NOEL, ANTHONY	INVESCO MIDCAP CORE EQUITY A	12.00	0.21	0.00	0.21	0.0	0.21
02/06/2017	COPPERNOLL, CRAIG	INVESCO MIDCAP CORE EQUITY C	46.17	0.46	0.00	0.46	0.0	0.46
02/06/2017	COPPERNOLL, CRAIG	INVESCO MIDCAP CORE EQUITY C	23.09	0.23	0.00	0.23	0.0	0.23
02/13/2017	COPPERNOLL, CRAIG	INVESCO MIDCAP CORE EQUITY C	38.03	0.38	0.00	0.38	0.0	0.38
02/13/2017	COPPERNOLL, CRAIG	INVESCO MIDCAP CORE EQUITY C	19.01	0.19	0.00	0.19	0.0	0.19
02/06/2017	BARTELS, CHRIS	INVESCO MLP FUND - CLASS C	34.10	0.34	0.00	0.34	0.0	0.34
02/13/2017	BARTELS, CHRIS	INVESCO MLP FUND - CLASS C	24.24	0.24	0.00	0.24	0.0	0.24
02/06/2017	KINNEY, THOMAS	INVESCO MONEY MARKET C	165.00	1.65	0.00	1.65	0.0	1.65
02/06/2017	KINNEY, THOMAS	INVESCO MONEY MARKET C	165.00	1.65	0.00	1.65	0.0	1.65
02/13/2017	KINNEY, THOMAS	INVESCO MONEY MARKET C	132.00	1.32	0.00	1.32	0.0	1.32
02/13/2017	KINNEY, THOMAS	INVESCO MONEY MARKET C	132.00	1.32	0.00	1.32	0.0	1.32
02/06/2017	BACON, KALVIN	INVESCO REAL ESTATE FUND CL C	55.57	0.56	0.00	0.56	0.0	0.56
02/06/2017	BACON, KALVIN	INVESCO REAL ESTATE FUND CL C	55.57	0.56	0.00	0.56	0.0	0.56
02/13/2017	BACON, KALVIN	INVESCO REAL ESTATE FUND CL C	41.59	0.42	0.00	0.42	0.0	0.42
02/13/2017	BACON, KALVIN	INVESCO REAL ESTATE FUND CL C	41.59	0.42	0.00	0.42	0.0	0.42
02/06/2017	COPPERNOLL, CRAIG	INVESCO SMALL CAP EQUITY FUND	46.17	0.46	0.00	0.46	0.0	0.46
02/06/2017	COPPERNOLL, CRAIG	INVESCO SMALL CAP EQUITY FUND	23.09	0.23	0.00	0.23	0.0	0.23
02/13/2017	COPPERNOLL, CRAIG	INVESCO SMALL CAP EQUITY FUND	38.03	0.38	0.00	0.38	0.0	0.38
02/13/2017	COPPERNOLL, CRAIG	INVESCO SMALL CAP EQUITY FUND	19.01	0.19	0.00	0.19	0.0	0.19
02/06/2017	HAWKINS, DAMON	INVESCO STRUCTURED CORE A	43.18	0.76	0.00	0.76	0.0	0.76
02/06/2017	HAWKINS, DAMON	INVESCO STRUCTURED CORE A	12.96	0.23	0.00	0.23	0.0	0.23
02/13/2017	HAWKINS, DAMON	INVESCO STRUCTURED CORE A	37.95	0.66	0.00	0.66	0.0	0.66
02/13/2017	HAWKINS, DAMON	INVESCO STRUCTURED CORE A	11.39	0.20	0.00	0.20	0.0	0.20
02/06/2017	HAWKINS, DAMON	INVESCO SUMMIT FUND A	64.77	1.13	0.00	1.13	0.0	1.13
02/06/2017	HAWKINS, DAMON	INVESCO SUMMIT FUND A	19.43	0.34	0.00	0.34	0.0	0.34

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<u> OVERRIDE TRANSACTIONS </u>								
<u>BROKER: MICHELE BOYER #189</u>								
02/13/2017	HAWKINS, DAMON	INVESCO SUMMIT FUND A	56.93	1.00	0.00	1.00	0.0	1.00
02/13/2017	HAWKINS, DAMON	INVESCO SUMMIT FUND A	17.08	0.30	0.00	0.30	0.0	0.30
02/06/2017	HAWKINS, DAMON	INVESCO TECHNOLOGY A	38.86	0.68	0.00	0.68	0.0	0.68
02/06/2017	HAWKINS, DAMON	INVESCO TECHNOLOGY A	11.66	0.20	0.00	0.20	0.0	0.20
02/06/2017	NOEL, ANTHONY	INVESCO TECHNOLOGY A	22.50	0.39	0.00	0.39	0.0	0.39
02/06/2017	NOEL, ANTHONY	INVESCO TECHNOLOGY A	22.50	0.39	0.00	0.39	0.0	0.39
02/13/2017	HAWKINS, DAMON	INVESCO TECHNOLOGY A	34.16	0.60	0.00	0.60	0.0	0.60
02/13/2017	HAWKINS, DAMON	INVESCO TECHNOLOGY A	10.25	0.18	0.00	0.18	0.0	0.18
02/13/2017	NOEL, ANTHONY	INVESCO TECHNOLOGY A	18.00	0.32	0.00	0.32	0.0	0.32
02/13/2017	NOEL, ANTHONY	INVESCO TECHNOLOGY A	18.00	0.32	0.00	0.32	0.0	0.32
02/06/2017	HAWKINS, DAMON	INVESCO UTILITIES A	38.86	0.68	0.00	0.68	0.0	0.68
02/06/2017	HAWKINS, DAMON	INVESCO UTILITIES A	11.66	0.20	0.00	0.20	0.0	0.20
02/06/2017	NOEL, ANTHONY	INVESCO UTILITIES A	22.50	0.39	0.00	0.39	0.0	0.39
02/06/2017	NOEL, ANTHONY	INVESCO UTILITIES A	22.50	0.39	0.00	0.39	0.0	0.39
02/13/2017	HAWKINS, DAMON	INVESCO UTILITIES A	34.16	0.60	0.00	0.60	0.0	0.60
02/13/2017	HAWKINS, DAMON	INVESCO UTILITIES A	10.25	0.18	0.00	0.18	0.0	0.18
02/13/2017	NOEL, ANTHONY	INVESCO UTILITIES A	18.00	0.32	0.00	0.32	0.0	0.32
02/13/2017	NOEL, ANTHONY	INVESCO UTILITIES A	18.00	0.32	0.00	0.32	0.0	0.32
* MICHELE BOYER SUBTOTAL *			\$8,432.20	\$99.33	\$0.00	\$99.33		\$99.33
<u>BROKER: THOMAS JAHNCKE #193</u>								
12/31/2016	GLOVER, NANCY	DUNHAM & ASSOCIATES	0.00	199.31	0.00	199.31	0.0	199.31
* THOMAS JAHNCKE SUBTOTAL *			\$0.00	\$199.31	\$0.00	\$199.31		\$199.31
<u>BROKER: MEREDITH MCCUTCHEN #221</u>								
02/14/2017	TO DST TOD RULES, SUBJECT	LORD ABBETT SHORT DURATION INCOME A	0.00	9.85	0.00	9.85	0.0	9.85
02/15/2017	HAMMONS, LEO	PIONEER FUND A	50.00	2.50	0.00	2.50	0.0	2.50
* MEREDITH MCCUTCHEN SUBTOTAL *			\$50.00	\$12.35	\$0.00	\$12.35		\$12.35
<u>BROKER: GARRETT MILLS #306</u>								
02/22/2017	TAGGART ESTATE, RAYMOND	APPLE INC COM	-6,977.83	1,535.12	22.50	1,512.62	0.0	1,512.62
02/22/2017	TAGGART ESTATE, RAYMOND	BLACKSTONE GROUP L P COM UNIT REPST	-4,960.91	22.00	22.50	-0.50	0.0	-0.50
02/22/2017	TAGGART ESTATE, RAYMOND	CAMBREX CORP	-4,099.59	22.00	22.50	-0.50	0.0	-0.50
02/22/2017	TAGGART ESTATE, RAYMOND	CATERPILLAR INC	-5,101.72	22.00	22.50	-0.50	0.0	-0.50
02/22/2017	TAGGART ESTATE, RAYMOND	COGNIZANT TECHNOLOGY SOLUTIONS CORP	-5,870.20	22.00	22.50	-0.50	0.0	-0.50

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<u> OVERRIDE TRANSACTIONS </u>								
<u>BROKER: GARRETT MILLS #306</u>								
02/22/2017	TAGGART ESTATE, RAYMOND	DELTA AIRLINES INC COM NEW	-7,600.65	22.00	22.50	-0.50	0.0	-0.50
02/22/2017	TAGGART ESTATE, RAYMOND	PJT PARTNERS INC CL A COM	-111.09	22.00	22.50	-0.50	0.0	-0.50
02/22/2017	TAGGART ESTATE, RAYMOND	SPECTRA ENERGY PARTNERS LP COM	-4,780.85	22.00	22.50	-0.50	0.0	-0.50
02/22/2017	TAGGART ESTATE, RAYMOND	TARO PHARMACEUTICAL INDS LTD ORD SH	-4,023.95	22.00	22.50	-0.50	0.0	-0.50
* GARRETT MILLS SUBTOTAL *			\$-43,526.79	\$1,711.12	\$202.50	\$1,508.62		\$1,508.62
*** OVERRIDE TRANSACTIONS TOTAL ***			\$115,953.81	\$2,844.62	\$202.50	\$2,642.12		\$2,642.12

BROKER COMMISSION TOTALS

Broker Transactions	\$1,428.26
Split Transactions	\$0.00
Override Transactions	\$2,642.12
Adjustments	\$0.00
Payroll Draw	\$0.00
Base Salary	\$0.00
Prior Period Balance	\$0.00
FINRA Assessment	\$0.00
SIPC Assessment	\$0.00

Check Amount	\$4,070.38
Year-to-date Gross	\$15,133.19
Year-to-date Earnings	\$38,207.30

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