



Concorde Investment Services, LLC  
**COMMISSION STATEMENT**  
**April 15, 2017**

04/12/2017  
 Page No. 1

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
<b><u>BROKER TRANSACTIONS</u></b>								
<b><u>PRODUCT CATEGORY: INTERVAL FUNDS</u></b>								
09/27/2016	EQUITY TRUST CO	GRIFFIN INST'L ACCESS R E FUND C	42,554.43	425.54	0.00	425.54	95.0	404.26
		* INTERVAL FUNDS SUBTOTAL *	\$42,554.43	\$425.54	\$0.00	\$425.54		\$404.26
<b><u>PRODUCT CATEGORY: MUTUAL FUNDS</u></b>								
04/03/2017	HAINES, JILL	ALLIANCEBERNSTEIN CORE OPPORTUNITIE	0.00	5.58	0.00	5.58	95.0	5.30
04/03/2017	GEORGE, RONALD	ALLIANCEBERNSTEIN GL THEMATIC GROWT	0.00	1.28	0.00	1.28	95.0	1.22
04/03/2017	PINKOS, CHRISTINE	ALLIANCEBERNSTEIN GL THEMATIC GROWT	0.00	0.04	0.00	0.04	95.0	0.04
04/03/2017	HAINES, JILL	ALLIANCEBERNSTEIN GL THEMATIC GROWT	0.00	26.17	0.00	26.17	95.0	24.86
04/03/2017	SEBLANI, MUSTAPHA	ALLIANCEBERNSTEIN GL THEMATIC GROWT	0.00	16.71	0.00	16.71	95.0	15.87
04/03/2017	FLANNERY, CHRISTIAN	ALLIANCEBERNSTEIN GL THEMATIC GROWT	0.00	1.27	0.00	1.27	95.0	1.21
04/03/2017	KIEFHABER, JEAN	ALLIANCEBERNSTEIN GLOBAL BOND A	0.00	5.53	0.00	5.53	95.0	5.25
04/03/2017	BRADEN, TERRI	ALLIANCEBERNSTEIN GROWTH A	0.00	10.94	0.00	10.94	95.0	10.39
04/03/2017	HARTOUNIAN, HAGOB BEN	ALLIANCEBERNSTEIN GROWTH AND INC C	0.00	5.71	0.00	5.71	95.0	5.42
03/20/2017	BRADEN, TERRI	ALLIANCEBERNSTEIN GROWTH B	50.00	2.00	0.00	2.00	95.0	1.90
04/03/2017	BRADEN, TERRI	ALLIANCEBERNSTEIN GROWTH B	0.00	5.24	0.00	5.24	95.0	4.98
04/03/2017	MOILANEN, STEPHEN	ALLIANCEBERNSTEIN HIGH INCOME A	0.00	2.16	0.00	2.16	95.0	2.05
04/03/2017	HAINES, JILL	ALLIANCEBERNSTEIN INTL VALUE C	0.00	3.25	0.00	3.25	95.0	3.09
04/03/2017	GEORGE, RONALD	ALLIANCEBERNSTEIN LARGE CAP GROWTH	0.00	1.58	0.00	1.58	95.0	1.50
04/03/2017	HAINES, JILL	ALLIANCEBERNSTEIN LARGE-CAP GROWTH	0.00	48.29	0.00	48.29	95.0	45.88
04/03/2017	SEBLANI, MUSTAPHA	ALLIANCEBERNSTEIN LARGE-CAP GROWTH	0.00	22.32	0.00	22.32	95.0	21.20
04/03/2017	HARTOUNIAN, HAGOB BEN	ALLIANCEBERNSTEIN SMALL CAP GROWTH	0.00	5.51	0.00	5.51	95.0	5.23
04/03/2017	HAINES, JILL	ALLIANCEBERNSTEIN SMALL/MID CAP VAL	0.00	7.28	0.00	7.28	95.0	6.92
04/03/2017	OPALESKI, SCOTT	ALLIANCEBERNSTEIN SMALL/MID-CAP GRW	0.00	0.93	0.00	0.93	95.0	0.88
04/03/2017	KING, MACKENZIE	ALLIANCEBERNSTEIN SMALL/MID-CAP GRW	0.00	1.11	0.00	1.11	95.0	1.05
04/03/2017	LYNN GOODRICH JT TEN, CHERIL	ALLIANCEBERNSTEIN SMALL/MID-CAP GRW	0.00	0.86	0.00	0.86	95.0	0.82
04/03/2017	KING, RITA	ALLIANCEBERNSTEIN SMALL/MID-CAP GRW	0.00	1.06	0.00	1.06	95.0	1.01
04/03/2017	KING, COURTNEY	ALLIANCEBERNSTEIN SMALL/MID-CAP GRW	0.00	1.09	0.00	1.09	95.0	1.04

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

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<b><u>BROKER TRANSACTIONS</u></b>								
<b><u>PRODUCT CATEGORY: MUTUAL FUNDS</u></b>								
04/03/2017	HAINES, JILL	ALLIANCEBERNSTEIN VALUE FUND C	0.00	3.89	0.00	3.89	95.0	3.70
03/27/2017	SILVERSTEIN, MICHAEL	AM FUNDS AMCAP A	50.00	2.13	0.00	2.13	95.0	2.02
03/29/2017	CERIMELE, NICHOLAS	AM FUNDS AMERICAN BALANCED A	120.00	6.00	0.00	6.00	95.0	5.70
03/27/2017	SMITH, ASHLEY	AM FUNDS AMERICAN MUTUAL A	527.85	26.39	0.00	26.39	95.0	25.07
03/27/2017	BUTT, DENNIS	AM FUNDS CAPITAL INCOME BUILDER A	28.00	1.40	0.00	1.40	95.0	1.33
03/27/2017	BUTT, DENNIS	AM FUNDS CAPITAL INCOME BUILDER A	28.00	1.40	0.00	1.40	95.0	1.33
03/27/2017	LUMETTA II, SALVATORE	AM FUNDS CAPITAL WORLD BOND 529A	100.00	2.75	0.00	2.75	95.0	2.61
03/27/2017	LUMETTA II, SALVATORE	AM FUNDS CAPITAL WORLD BOND 529A	100.00	2.75	0.00	2.75	95.0	2.61
03/27/2017	LUMETTA, AMY	AM FUNDS CAPITAL WORLD BOND A	100.00	2.75	0.00	2.75	95.0	2.61
04/06/2017	BOWEN, ED	AM FUNDS CAPITAL WORLD GRTH & INC 5	50.00	2.13	0.00	2.13	95.0	2.02
^03/29/2017	GINGELL, PAUL	AM FUNDS CAPITAL WORLD GRTH & INC A	900.00	18.00	0.00	18.00	95.0	0.00
04/03/2017	STOLL, HEATHER	AM FUNDS CAPITAL WORLD GRTH & INC A	75.00	3.19	0.00	3.19	95.0	3.03
04/03/2017	SAWYER, ALONZO	AM FUNDS GROWTH FUND OF AMERICA 529	50.00	2.13	0.00	2.13	95.0	2.02
04/03/2017	SAWYER, ALONZO	AM FUNDS GROWTH FUND OF AMERICA 529	50.00	2.13	0.00	2.13	95.0	2.02
04/03/2017	SAWYER, ALONZO	AM FUNDS GROWTH FUND OF AMERICA 529	50.00	2.13	0.00	2.13	95.0	2.02
04/06/2017	BOWEN, ED	AM FUNDS GROWTH FUND OF AMERICA 529	50.00	2.13	0.00	2.13	95.0	2.02
^03/29/2017	GINGELL, PAUL	AM FUNDS GROWTH FUND OF AMERICA A	800.00	16.00	0.00	16.00	95.0	0.00
04/03/2017	BAILEY, STEVEN	AM FUNDS GROWTH FUND OF AMERICA A	50.00	2.50	0.00	2.50	95.0	2.38
04/03/2017	KEMP, JEREMY	AM FUNDS GROWTH FUND OF AMERICA A	50.00	2.13	0.00	2.13	95.0	2.02
04/07/2017	SOBIESKI, JOYCE	AM FUNDS GROWTH FUND OF AMERICA C	37.50	0.38	0.00	0.38	95.0	0.36
^03/29/2017	GINGELL, PAUL	AM FUNDS ICA A	1,160.00	23.20	0.00	23.20	95.0	0.00
03/31/2017	WONCH, ELIZABETH	AM FUNDS ICA A	200.00	10.00	0.00	10.00	95.0	9.50
04/03/2017	BAILEY, STEVEN	AM FUNDS ICA A	50.00	2.50	0.00	2.50	95.0	2.38
^04/03/2017	MCLAUGHLIN, TRACY	AM FUNDS ICA A	150.00	7.50	0.00	7.50	95.0	0.00
^03/29/2017	GINGELL, PAUL	AM FUNDS NEW PERSPECTIVE A	800.00	16.00	0.00	16.00	95.0	0.00
03/27/2017	BUTT, DENNIS	AM FUNDS NEW WORLD A	84.00	4.20	0.00	4.20	95.0	3.99
03/27/2017	BUTT, DENNIS	AM FUNDS NEW WORLD A	84.00	4.20	0.00	4.20	95.0	3.99
04/07/2017	SOBIESKI, JOYCE	AM FUNDS WASHINGTON MUTUAL INVESTOR	37.50	0.38	0.00	0.38	95.0	0.36
03/27/2017	WETZEL, DIANNE	BLK MOD 0-5 AGE BASED C	50.00	0.50	0.00	0.50	95.0	0.48
03/30/2017	WETZEL, DIANNE	BLK MOD 0-5 AGE BASED C	50.00	0.50	0.00	0.50	95.0	0.48
03/30/2017	CFGROUP, VARIOUS	BLK MOD 0-5 AGE BASED C	50.00	0.50	0.00	0.50	95.0	0.48
03/16/2017	HOOTNER-JONES, ANN	BLK MOD 10-12 AGE BASED A	100.00	3.75	0.00	3.75	95.0	3.56
03/16/2017	HOOTNER-JONES, ANN	BLK MOD 10-12 AGE BASED A	100.00	3.75	0.00	3.75	95.0	3.56

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<b><u>BROKER TRANSACTIONS</u></b>								
<b><u>PRODUCT CATEGORY: MUTUAL FUNDS</u></b>								
03/30/2017	MOELLER, RICHARD	BLK MOD 10-12 AGE BASED C	50.00	0.50	0.00	0.50	95.0	0.48
03/16/2017	HOOTNER-JONES, ANN	BLK MOD 13-16 AGE BASED A	100.00	3.75	0.00	3.75	95.0	3.56
03/30/2017	MOELLER, RICHARD	BLK MOD 6-9 AGE BASED C	50.00	0.50	0.00	0.50	95.0	0.48
03/30/2017	MOELLER, RICHARD	BLK MOD 6-9 AGE BASED C	50.00	0.50	0.00	0.50	95.0	0.48
03/28/2017	RITTER, WILLIAM	DAVIS NEW YORK VENTURE B	25.00	1.00	0.00	1.00	95.0	0.95
03/29/2017	PISTOLESI, VAUGHN	DAVIS NEW YORK VENTURE B	200.00	8.00	0.00	8.00	95.0	7.60
03/29/2017	PISTOLESI, MORGAN	DAVIS NEW YORK VENTURE B	100.00	4.00	0.00	4.00	95.0	3.80
/ /	BLEIL, STEPHEN	FIDELITY ADV GOLD	0.00	0.09	0.00	0.09	95.0	0.09
/ /	ROCCA, JACQUELYN	FIDELITY ADV GROWTH OPP	0.00	0.47	0.00	0.47	95.0	0.45
/ /	ROCCA, ALEX	FIDELITY ADV GROWTH OPP	0.00	0.58	0.00	0.58	95.0	0.55
/ /	ROCCA, AARON	FIDELITY ADV GROWTH OPP	0.00	0.58	0.00	0.58	95.0	0.55
/ /	MCQUEENEY, JULIE	FIDELITY ADV GROWTH OPP	0.00	0.94	0.00	0.94	95.0	0.89
/ /	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	1.10	0.00	1.10	95.0	1.05
/ /	DUDZIK, ELZBIETA	FIDELITY ADV GROWTH OPP	0.00	22.84	0.00	22.84	95.0	21.70
/ /	KULBACK, WILLIAM	FIDELITY ADV GROWTH OPP A	0.00	3.52	0.00	3.52	95.0	3.34
/ /	VIVIANO, JASON	FIDELITY ADV GROWTH OPP A	0.00	1.57	0.00	1.57	95.0	1.49
/ /	MCCALPIN, ROBERT JOHN	FIDELITY ADV HEALTH CARE T	0.00	12.01	0.00	12.01	95.0	11.41
/ /	MCCALPIN, ROBERT JOHN	FIDELITY ADV LARGE CAP	0.00	9.01	0.00	9.01	95.0	8.56
/ /	KULBACK, WILLIAM	FIDELITY ADV LARGE CAP A	0.00	5.07	0.00	5.07	95.0	4.82
/ /	HERWARTH, CHARLES	FIDELITY ADV LARGE CAP A	0.00	1.79	0.00	1.79	95.0	1.70
/ /	FELIS-ROSS, CAROL	FIDELITY ADV MORTGAGE SECURITIES T	0.00	0.16	0.00	0.16	95.0	0.15
/ /	SCALISE, CYNTHIA	FIDELITY ADV MORTGAGE SECURITIES T	0.00	1.62	0.00	1.62	95.0	1.54
/ /	KULBACK, WILLIAM	FIDELITY ADV STOCK SELECTOR ALLCAP	0.00	3.80	0.00	3.80	95.0	3.61
/ /	HERWARTH, CHARLES	FIDELITY ADV STOCK SELECTOR ALLCAP	0.00	1.93	0.00	1.93	95.0	1.83
/ /	DUDZIK, ELZBIETA	FIDELITY BALANCED T	0.00	20.20	0.00	20.20	95.0	19.19
/ /	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	3.48	0.00	3.48	95.0	3.31
/ /	ROCCA, JACQUELYN	FIDELITY EMERGING MKTS T	0.00	0.23	0.00	0.23	95.0	0.22
/ /	ROCCA, ALEX	FIDELITY EMERGING MKTS T	0.00	0.14	0.00	0.14	95.0	0.13
/ /	ROCCA, AARON	FIDELITY EMERGING MKTS T	0.00	0.14	0.00	0.14	95.0	0.13

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<b><u>BROKER TRANSACTIONS</u></b>								
<b><u>PRODUCT CATEGORY: MUTUAL FUNDS</u></b>								
/ /	DUDZIK, ELZBIETA	FIDELITY EMERGING MKTS T	0.00	5.80	0.00	5.80	95.0	5.51
/ /	KULBACK, WILLIAM	FIDELITY EQUITY GROWTH A	0.00	4.53	0.00	4.53	95.0	4.30
/ /	HERWARTH, CHARLES	FIDELITY EQUITY GROWTH A	0.00	1.62	0.00	1.62	95.0	1.54
/ /	BESS, JAMES	FIDELITY EQUITY GROWTH A	0.00	2.47	0.00	2.47	95.0	2.35
/ /	ZOBOSKI, JAYNE	FIDELITY EQUITY INCOME A	0.00	3.47	0.00	3.47	95.0	3.30
/ /	FRINTNER, SEAN EDWARD	FIDELITY EQUITY INCOME A	0.00	1.21	0.00	1.21	95.0	1.15
/ /	ZERILLI, ROSA	FIDELITY GROWTH & INCOME A	0.00	1.46	0.00	1.46	95.0	1.39
/ /	HERWARTH, CHARLES	FIDELITY TECHNOLOGY A	0.00	1.23	0.00	1.23	95.0	1.17
/ /	ZERILLI, ROSA	FIDELITY TECHNOLOGY A	0.00	1.48	0.00	1.48	95.0	1.41
/ /	ROHLOFF, SHARON	FIDELITY TECHNOLOGY A	0.00	0.52	0.00	0.52	95.0	0.49
/ /	BEARD, LATOYA	FIDELITY TECHNOLOGY A	0.00	0.02	0.00	0.02	95.0	0.02
/ /	KRAUSE, BARBARA	FIRST INVESTORS MULTI STATE INSD TA	0.00	98.39	0.00	98.39	95.0	93.47
03/24/2017	TYSZKIEWICZ, KURT	FRANKLIN GROWTH C	100.00	1.00	0.00	1.00	95.0	0.95
/ /	BERDESKI, AUDREY	GUGGENHEIM NASDAQ 100-H	0.00	1.21	0.00	1.21	95.0	1.15
/ /	KANAKRI, JOSEPH	GUGGENHEIM NASDAQ 100-H	0.00	0.55	0.00	0.55	95.0	0.52
/ /	WAGNER, SHARON	GUGGENHEIM NASDAQ 100-H	0.00	0.40	0.00	0.40	95.0	0.38
/ /	OVERMYER, SUSAN	HARTFORD CAPITAL APP II A	0.00	7.64	0.00	7.64	95.0	7.26
/ /	ROCCA, HELEN	HARTFORD CAPITAL APPRECIATION A	0.00	0.61	0.00	0.61	95.0	0.58
/ /	HARTMAN, GREGORY	HARTFORD CAPITAL APPRECIATION A	0.00	0.82	0.00	0.82	95.0	0.78
/ /	GARON-NOWACZYK TRUST, KIM	HARTFORD CAPITAL APPRECIATION C	0.00	5.10	0.00	5.10	95.0	4.85
/ /	OVERMYER, SUSAN	HARTFORD DIVIDEND & GROWTH A	0.00	22.20	0.00	22.20	95.0	21.09
/ /	COLE, JAMES WILLIAM	HARTFORD DIVIDEND & GROWTH C	0.00	12.61	0.00	12.61	95.0	11.98
/ /	HARTMAN, GREGORY	HARTFORD HEALTHCARE A	0.00	0.78	0.00	0.78	95.0	0.74
/ /	OVERMYER, SUSAN	HARTFORD HEALTHCARE A	0.00	38.42	0.00	38.42	95.0	36.50
/ /	RUFFINO, ERNESTINE	HARTFORD HEALTHCARE A	0.00	19.91	0.00	19.91	95.0	18.91
/ /	GARON-NOWACZYK TRUST, KIM	HARTFORD HEALTHCARE C	0.00	4.79	0.00	4.79	95.0	4.55
/ /	HARTMAN, GREGORY	HARTFORD MIDCAP A	0.00	1.94	0.00	1.94	95.0	1.84
/ /	OVERMYER, SUSAN	HARTFORD MIDCAP A	0.00	24.20	0.00	24.20	95.0	22.99
/ /	GARON-NOWACZYK TRUST, KIM	HARTFORD MIDCAP C	0.00	4.33	0.00	4.33	95.0	4.11
/ /	HARTMAN, GREGORY	HARTFORD MIDCAP VALUE A	0.00	1.14	0.00	1.14	95.0	1.08
/ /	HARTMAN, GREGORY	HARTFORD SCHRDRS US SM MD CAP OPP-A	0.00	1.25	0.00	1.25	95.0	1.19
/ /	HARTMAN, GREGORY	HARTFORD SMALLCAP GROWTH A	0.00	3.72	0.00	3.72	95.0	3.53
/ /	HARTMAN, GREGORY	HARTFUND EQUITY INCIME FUND A	0.00	1.83	0.00	1.83	95.0	1.74

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<b><u>BROKER TRANSACTIONS</u></b>								
<b><u>PRODUCT CATEGORY: MUTUAL FUNDS</u></b>								
04/01/2017	SABOL, NICHOLAS	INVESCO AMERICAN FRANCHISE A	0.00	3.28	0.00	3.28	95.0	3.12
04/01/2017	WATSON, WILLIAM	INVESCO AMERICAN FRANCHISE A	0.00	11.80	0.00	11.80	95.0	11.21
04/01/2017	HENDERSON JT TEN, CAROLYN	INVESCO AMERICAN FRANCHISE A	0.00	2.34	0.00	2.34	95.0	2.22
04/01/2017	SABOL, MAXWELLA	INVESCO AMERICAN FRANCHISE A	0.00	12.73	0.00	12.73	95.0	12.09
04/01/2017	PELC TOD ACCOUNT, RODERICK	INVESCO AMERICAN FRANCHISE A	0.00	0.56	0.00	0.56	95.0	0.53
04/01/2017	DANDRON, JAY	INVESCO AMERICAN FRANCHISE A	0.00	5.06	0.00	5.06	95.0	4.81
04/01/2017	MOYER-GUSE, EMILY	INVESCO AMERICAN FRANCHISE A	0.00	5.51	0.00	5.51	95.0	5.23
04/01/2017	VANDAELE, JENNIFER	INVESCO AMERICAN FRANCHISE A	0.00	0.78	0.00	0.78	95.0	0.74
04/01/2017	VAN DAELE, JILLIAN	INVESCO AMERICAN FRANCHISE A	0.00	0.32	0.00	0.32	95.0	0.30
04/01/2017	VAN DAELE, JANE	INVESCO AMERICAN FRANCHISE A	0.00	0.13	0.00	0.13	95.0	0.12
04/01/2017	GRUBER, ALYSSA	INVESCO AMERICAN FRANCHISE A	0.00	0.38	0.00	0.38	95.0	0.36
04/01/2017	SCHROETER, RICHARD	INVESCO AMERICAN FRANCHISE A	0.00	0.83	0.00	0.83	95.0	0.79
04/01/2017	SALLEY, MATTHEW	INVESCO AMERICAN FRANCHISE A	0.00	0.38	0.00	0.38	95.0	0.36
04/01/2017	SALLEY, TERENCE	INVESCO AMERICAN FRANCHISE A	0.00	0.24	0.00	0.24	95.0	0.23
04/01/2017	ELBERT UTMA/MI, NICHOLAS	INVESCO AMERICAN FRANCHISE A	0.00	0.42	0.00	0.42	95.0	0.40
04/01/2017	MCINTYRE, SCOTT	INVESCO AMERICAN FRANCHISE A	0.00	0.15	0.00	0.15	95.0	0.14
04/01/2017	NOWACKI, MICHAEL	INVESCO AMERICAN FRANCHISE A	0.00	1.05	0.00	1.05	95.0	1.00
04/01/2017	WILLIAMS, PAUL	INVESCO AMERICAN FRANCHISE A	0.00	1.53	0.00	1.53	95.0	1.45
04/01/2017	SCHROETER, MARY	INVESCO AMERICAN FRANCHISE A	0.00	0.83	0.00	0.83	95.0	0.79
04/01/2017	MCINTYRE, SCOTT	INVESCO AMERICAN FRANCHISE A	0.00	0.12	0.00	0.12	95.0	0.11
04/01/2017	BUTLER, PAUL	INVESCO AMERICAN FRANCHISE A	0.00	1.45	0.00	1.45	95.0	1.38
04/01/2017	GILLESPIE, SCOTT	INVESCO AMERICAN FRANCHISE A	0.00	0.14	0.00	0.14	95.0	0.13
04/01/2017	HUNTER UGMA/MI, NICOLE	INVESCO AMERICAN FRANCHISE A	0.00	1.59	0.00	1.59	95.0	1.51
04/01/2017	KOWAL UGMA/MI, ALEXANDER	INVESCO AMERICAN FRANCHISE A	0.00	10.22	0.00	10.22	95.0	9.71
04/01/2017	MARSH/SEP, GARY	INVESCO AMERICAN FRANCHISE A	0.00	7.76	0.00	7.76	95.0	7.37
04/01/2017	JOHNSON, DANIEL	INVESCO AMERICAN FRANCHISE A	0.00	0.29	0.00	0.29	95.0	0.28
04/01/2017	O'BRIEN, AMY	INVESCO AMERICAN FRANCHISE A	0.00	3.69	0.00	3.69	95.0	3.51
04/01/2017	RUSSEL O'BRIEN UGMA/MI, JOHN	INVESCO AMERICAN FRANCHISE A	0.00	0.09	0.00	0.09	95.0	0.09
04/01/2017	JARZEBOSKI, DIANE	INVESCO AMERICAN FRANCHISE A	0.00	1.85	0.00	1.85	95.0	1.76
04/01/2017	BERGLUND, KRIS	INVESCO AMERICAN FRANCHISE A	0.00	1.87	0.00	1.87	95.0	1.78
04/05/2017	BERGLUND, KRIS	INVESCO AMERICAN FRANCHISE A	50.00	2.50	0.00	2.50	95.0	2.38
04/01/2017	KOWAL UGMA/MI, ALEXANDER	INVESCO AMERICAN FRANCHISE FUND CL-	0.00	6.08	0.00	6.08	95.0	5.78
04/01/2017	SALLEY, TERENCE	INVESCO ASIA PACIFIC GROWTH A	0.00	0.56	0.00	0.56	95.0	0.53

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<b><u>BROKER TRANSACTIONS</u></b>								
<b><u>PRODUCT CATEGORY: MUTUAL FUNDS</u></b>								
04/01/2017	MCINTYRE, SCOTT	INVESCO ASIA PACIFIC GROWTH A	0.00	0.05	0.00	0.05	95.0	0.05
04/01/2017	ELBERT UTMA/MI, NATHANIEL	INVESCO ASIA PACIFIC GROWTH A	0.00	1.17	0.00	1.17	95.0	1.11
04/01/2017	PRZYBYLOWICZ, NORBERT	INVESCO ASIA PACIFIC GROWTH A	0.00	4.03	0.00	4.03	95.0	3.83
04/01/2017	HARRINGTON, KAY	INVESCO ASIA PACIFIC GROWTH A	0.00	3.97	0.00	3.97	95.0	3.77
04/01/2017	WOLAK SEP, SHARON	INVESCO ASIA PACIFIC GROWTH A	0.00	2.50	0.00	2.50	95.0	2.38
04/01/2017	SHEARIN, APRIL	INVESCO CHARTER FUND A	0.00	11.98	0.00	11.98	95.0	11.38
04/01/2017	PITRAGO, ALEX	INVESCO CHARTER FUND A	0.00	5.79	0.00	5.79	95.0	5.50
04/01/2017	KRENGEL, KATHERINE	INVESCO CHARTER FUND A	0.00	4.33	0.00	4.33	95.0	4.11
04/01/2017	NEIKO SFERRO UTMA/FL, DOMINIC	INVESCO CHARTER FUND A	0.00	11.49	0.00	11.49	95.0	10.92
04/01/2017	DANDRON, JAY	INVESCO CHARTER FUND A	0.00	17.59	0.00	17.59	95.0	16.71
04/01/2017	RAYMOND O'CONNOR UGMA/MI,	INVESCO CHARTER FUND A	0.00	2.13	0.00	2.13	95.0	2.02
04/01/2017	CRONENWETT, JULIE	INVESCO CHARTER FUND A	0.00	2.07	0.00	2.07	95.0	1.97
04/01/2017	SHERMAN, SCOTT	INVESCO CHARTER FUND A	0.00	2.72	0.00	2.72	95.0	2.58
04/01/2017	SMYTH, DAVID	INVESCO CHARTER FUND A	0.00	6.65	0.00	6.65	95.0	6.32
04/01/2017	SALLEY, TERENCE	INVESCO CHARTER FUND A	0.00	0.14	0.00	0.14	95.0	0.13
04/01/2017	ROCK ST PIERRE UGMA/MI,	INVESCO CHARTER FUND A	0.00	0.16	0.00	0.16	95.0	0.15
04/01/2017	JACKOVIAK, GLORIA	INVESCO CHARTER FUND A	0.00	0.02	0.00	0.02	95.0	0.02
04/01/2017	DAIZA, PHILLIP	INVESCO CHARTER FUND A	0.00	11.35	0.00	11.35	95.0	10.78
04/01/2017	MCINTYRE, SCOTT	INVESCO CHARTER FUND A	0.00	0.04	0.00	0.04	95.0	0.04
04/01/2017	ANN GERMAIN UGMA/MI, ALISON	INVESCO CHARTER FUND A	0.00	3.97	0.00	3.97	95.0	3.77
04/01/2017	WILLIAMS, PAUL	INVESCO CHARTER FUND A	0.00	0.75	0.00	0.75	95.0	0.71
04/01/2017	SALLEY UGMA/MI, NATHAN	INVESCO CHARTER FUND A	0.00	1.48	0.00	1.48	95.0	1.41
04/01/2017	LECIK, TONIA	INVESCO CHARTER FUND A	0.00	0.12	0.00	0.12	95.0	0.11
04/01/2017	MEWHINNEY, BARBARA	INVESCO CHARTER FUND A	0.00	7.17	0.00	7.17	95.0	6.81
04/01/2017	SANGMEISTER, GINA	INVESCO CHARTER FUND A	0.00	0.67	0.00	0.67	95.0	0.64
04/01/2017	WEAVER, TAMMY	INVESCO CHARTER FUND A	0.00	6.42	0.00	6.42	95.0	6.10
04/01/2017	BUCKINGHAM MIN, GEORGE	INVESCO CHARTER FUND A	0.00	0.13	0.00	0.13	95.0	0.12
04/01/2017	O'BRIEN, AMY	INVESCO CHARTER FUND A	0.00	5.45	0.00	5.45	95.0	5.18
04/01/2017	RUSSEL O'BRIEN UGMA/MI, JOHN	INVESCO CHARTER FUND A	0.00	0.01	0.00	0.01	95.0	0.01
04/01/2017	JOSEPH SUCHER UGMA/MI, ADAM	INVESCO CHARTER FUND A	0.00	1.37	0.00	1.37	95.0	1.30
04/01/2017	DAIZA, PHILLIP	INVESCO CHARTER FUND B	0.00	1.35	0.00	1.35	95.0	1.28
03/27/2017	DAIZA, PHILLIP	INVESCO CHARTER FUND C	50.00	0.50	0.00	0.50	95.0	0.48
04/01/2017	DAIZA, PHILLIP	INVESCO CHARTER FUND C	0.00	10.03	0.00	10.03	95.0	9.53

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<b><u>BROKER TRANSACTIONS</u></b>								
<b>PRODUCT CATEGORY: MUTUAL FUNDS</b>								
04/01/2017	HENDERSON JT TEN, CAROLYN	INVESCO CONVERTIBLE SECURITIES A	0.00	2.37	0.00	2.37	95.0	2.25
04/01/2017	HENDERSON, OSCAR	INVESCO CONVERTIBLE SECURITIES A	0.00	17.52	0.00	17.52	95.0	16.64
04/01/2017	PELC TOD ACCOUNT, RODERICK	INVESCO CORPORATE BOND A	0.00	1.53	0.00	1.53	95.0	1.45
04/01/2017	VAN DAELE, JACOB	INVESCO DEVELOPING MARKETS A	0.00	0.56	0.00	0.56	95.0	0.53
04/01/2017	MUNTEANU, DACIA	INVESCO DEVELOPING MARKETS A	0.00	8.91	0.00	8.91	95.0	8.46
04/01/2017	PITRAGO, ALEX	INVESCO DEVELOPING MARKETS A	0.00	1.64	0.00	1.64	95.0	1.56
04/01/2017	MCINTYRE, SCOTT	INVESCO DEVELOPING MARKETS A	0.00	0.04	0.00	0.04	95.0	0.04
04/01/2017	MCINTYRE, SCOTT	INVESCO EUROPEAN GROWTH FUND A	0.00	0.05	0.00	0.05	95.0	0.05
04/01/2017	SOUTHWORTH, STEPHANIE	INVESCO EUROPEAN GROWTH FUND A	0.00	0.38	0.00	0.38	95.0	0.36
04/01/2017	LEE, LESLIE	INVESCO EUROPEAN GROWTH FUND A	0.00	1.09	0.00	1.09	95.0	1.04
04/01/2017	WASHINGTON, PAULA	INVESCO EUROPEAN GROWTH FUND A	0.00	2.59	0.00	2.59	95.0	2.46
04/01/2017	VANDAELE, JENNIFER	INVESCO EUROPEAN SMALL COMPANY A	0.00	0.62	0.00	0.62	95.0	0.59
04/01/2017	VAN DAELE, JILLIAN	INVESCO EUROPEAN SMALL COMPANY A	0.00	0.97	0.00	0.97	95.0	0.92
04/01/2017	VAN DAELE UGMA/MI, JANE	INVESCO GBL SMALL & MID CAP GROWTH	0.00	0.92	0.00	0.92	95.0	0.87
04/01/2017	VAN DAELE, JENNA	INVESCO GBL SMALL & MID CAP GROWTH	0.00	0.57	0.00	0.57	95.0	0.54
04/01/2017	ELBERT UTMA/MI, NICHOLAS	INVESCO GBL SMALL & MID CAP GROWTH	0.00	0.57	0.00	0.57	95.0	0.54
04/01/2017	FISHER, NATHAN	INVESCO GBL SMALL & MID CAP GROWTH	0.00	6.47	0.00	6.47	95.0	6.15
04/01/2017	JOHNSON, DANIEL	INVESCO GBL SMALL & MID CAP GROWTH	0.00	0.63	0.00	0.63	95.0	0.60
04/01/2017	PELC TOD ACCOUNT, RODERICK	INVESCO GLOBAL GROWTH A	0.00	1.17	0.00	1.17	95.0	1.11
04/01/2017	VANDAELE, JENNIFER	INVESCO GLOBAL HEALTH CARE A	0.00	0.52	0.00	0.52	95.0	0.49
04/01/2017	VAN DAELE, JANE	INVESCO GLOBAL HEALTH CARE A	0.00	0.41	0.00	0.41	95.0	0.39
04/01/2017	HARRINGTON, KAY	INVESCO GLOBAL HEALTH CARE A	0.00	2.48	0.00	2.48	95.0	2.36
04/01/2017	HAUMESSER, WILLIAM	INVESCO GROWTH AND INCOME A	0.00	14.62	0.00	14.62	95.0	13.89
04/01/2017	MANKO, MARGARET	INVESCO HIGH YIELD FUND A	0.00	5.63	0.00	5.63	95.0	5.35
04/01/2017	COOPER, BENNETT	INVESCO MIDCAP GROWTH A	0.00	1.52	0.00	1.52	95.0	1.44
04/01/2017	COOPER, MADISON	INVESCO MIDCAP GROWTH A	0.00	1.86	0.00	1.86	95.0	1.77
04/01/2017	SCHROETER, RICHARD	INVESCO MIDCAP GROWTH A	0.00	0.92	0.00	0.92	95.0	0.87
04/01/2017	PALAZZOLO UTMA/MI, JULIA	INVESCO MIDCAP GROWTH A	0.00	1.64	0.00	1.64	95.0	1.56
04/01/2017	ELBERT UTMA/MI, NATHANIEL	INVESCO MIDCAP GROWTH A	0.00	0.77	0.00	0.77	95.0	0.73
04/01/2017	SCHROETER, MARY	INVESCO MIDCAP GROWTH A	0.00	0.92	0.00	0.92	95.0	0.87
04/01/2017	DUDZIK, ELZBIETA	INVESCO SENIOR LOAN FUND IB	0.00	32.82	0.00	32.82	95.0	31.18
04/01/2017	CEBALT, THOMAS	INVESCO SMALL CAP EQUITY A	0.00	0.06	0.00	0.06	95.0	0.06
04/01/2017	PELC TOD ACCOUNT, RODERICK	INVESCO TECHNOLOGY A	0.00	1.05	0.00	1.05	95.0	1.00

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<b><u>BROKER TRANSACTIONS</u></b>								
<b><u>PRODUCT CATEGORY: MUTUAL FUNDS</u></b>								
04/01/2017	VAN DAELE, JACOB	INVESCO TECHNOLOGY A	0.00	0.25	0.00	0.25	95.0	0.24
04/01/2017	CRONENWETT, JULIE	INVESCO TECHNOLOGY A	0.00	0.29	0.00	0.29	95.0	0.28
04/01/2017	WILSON, GARRETT	INVESCO TECHNOLOGY A	0.00	9.02	0.00	9.02	95.0	8.57
04/01/2017	ELBERT UTMA/MI, NICHOLAS	INVESCO TECHNOLOGY A	0.00	0.10	0.00	0.10	95.0	0.10
04/01/2017	SEMKE, DEANNA	INVESCO TECHNOLOGY A	0.00	0.15	0.00	0.15	95.0	0.14
04/01/2017	ELBERT UTMA/MI, NATHANIEL	INVESCO TECHNOLOGY A	0.00	0.10	0.00	0.10	95.0	0.10
04/01/2017	JOHNSON, DANIEL	INVESCO TECHNOLOGY A	0.00	0.37	0.00	0.37	95.0	0.35
04/01/2017	NIXON, NORMA	INVESCO TECHNOLOGY A	0.00	3.30	0.00	3.30	95.0	3.14
04/01/2017	CELANI TRUST, VINCENZO	INVESCO US GOVT A	0.00	7.94	0.00	7.94	95.0	7.54
04/01/2017	MOORE, FRED	INVESCO US GOVT A	0.00	36.25	0.00	36.25	95.0	34.44
04/01/2017	WATSON, WILLIAM	INVESCO US GOVT A	0.00	4.92	0.00	4.92	95.0	4.67
04/01/2017	OBIE, THOMAS	INVESCO US GOVT A	0.00	17.52	0.00	17.52	95.0	16.64
04/01/2017	BLACKBURN, GLORIA	MFS AGGRESSIVE GROWTH ALLOCATION A	0.00	1.66	0.00	1.66	95.0	1.58
04/01/2017	CHIDSEY, DARRYL	MFS AGGRESSIVE GROWTH ALLOCATION C	0.00	10.92	0.00	10.92	95.0	10.37
04/01/2017	MARVIN, SAMANTHA	MFS CORE EQUITY A	0.00	1.11	0.00	1.11	95.0	1.05
04/01/2017	AUMAN, ABBY G M	MFS CORE EQUITY A	0.00	1.13	0.00	1.13	95.0	1.07
04/01/2017	MELLERT, BETH	MFS CORE EQUITY C	0.00	11.91	0.00	11.91	95.0	11.31
04/01/2017	BLACKBURN, W ALLEN	MFS CORE EQUITY C	0.00	5.56	0.00	5.56	95.0	5.28
04/01/2017	MUNTEANU, RADU	MFS EMERGING MARKETS EQUITY A	0.00	11.24	0.00	11.24	95.0	10.68
04/01/2017	AUMAN, ABBY G M	MFS GLOBAL GROWTH A	0.00	1.30	0.00	1.30	95.0	1.24
04/01/2017	BONFIGLIO, DANIEL	MFS GROWTH A	0.00	3.33	0.00	3.33	95.0	3.16
04/01/2017	HOWARD, ANNE	MFS GROWTH A	0.00	10.52	0.00	10.52	95.0	9.99
04/01/2017	WRIGHT, JAMES	MFS GROWTH A	0.00	1.26	0.00	1.26	95.0	1.20
04/01/2017	O'CONNOR, CYNTHIA	MFS GROWTH A	0.00	2.90	0.00	2.90	95.0	2.76
04/01/2017	MARVIN, SAMANTHA	MFS GROWTH A	0.00	2.02	0.00	2.02	95.0	1.92
04/01/2017	AUMAN, ABBY G M	MFS GROWTH A	0.00	2.00	0.00	2.00	95.0	1.90
04/01/2017	RITTER, KYLE	MFS GROWTH A	0.00	1.86	0.00	1.86	95.0	1.77
04/01/2017	MELLERT, BETH	MFS GROWTH C	0.00	10.20	0.00	10.20	95.0	9.69
04/01/2017	BLACKBURN, W ALLEN	MFS GROWTH C	0.00	4.54	0.00	4.54	95.0	4.31
04/01/2017	WEIDRICK, RUSSELL	MFS GROWTH C	0.00	8.70	0.00	8.70	95.0	8.27
04/01/2017	LLOYD, HEATHER	MFS HIGH INCOME A	0.00	1.59	0.00	1.59	95.0	1.51
04/01/2017	PASEK, KEVIN	MFS MASS INVESTORS GROWTH STOCK A	0.00	3.31	0.00	3.31	95.0	3.14
04/01/2017	OEHMKE, ALEXANDER	MFS MASS INVESTORS GROWTH STOCK A	0.00	3.54	0.00	3.54	95.0	3.36

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<b><u>BROKER TRANSACTIONS</u></b>								
<b><u>PRODUCT CATEGORY: MUTUAL FUNDS</u></b>								
04/01/2017	PASEK, CHRISTINE	MFS MASS INVESTORS GROWTH STOCK A	0.00	1.23	0.00	1.23	95.0	1.17
04/01/2017	PASEK, CHRISTINE	MFS MASS INVESTORS GROWTH STOCK A	0.00	10.89	0.00	10.89	95.0	10.35
04/01/2017	CHESNEY TRUST, CHRISTINE	MFS MASS INVESTORS GROWTH STOCK A	0.00	0.88	0.00	0.88	95.0	0.84
04/01/2017	MELLERT, BETH	MFS MASS INVESTORS GROWTH STOCK C	0.00	12.05	0.00	12.05	95.0	11.45
04/01/2017	BLACKBURN, W ALLEN	MFS MASS INVESTORS GROWTH STOCK C	0.00	5.39	0.00	5.39	95.0	5.12
04/01/2017	RITTER, KYLE	MFS MASS INVESTORS TRUST A	0.00	3.12	0.00	3.12	95.0	2.96
04/01/2017	MELLERT, BETH	MFS MIDCAP GROWTH C	0.00	8.18	0.00	8.18	95.0	7.77
04/01/2017	BLACKBURN, W ALLEN	MFS MIDCAP GROWTH C	0.00	3.60	0.00	3.60	95.0	3.42
04/01/2017	KUSNERAK, SYLVIA	MFS MODERATE ALLOCATION A	0.00	23.22	0.00	23.22	95.0	22.06
04/01/2017	ENDRESS, ROBERT	MFS MUNICIPAL INCOME A	0.00	12.81	0.00	12.81	95.0	12.17
04/01/2017	WEIDRICK, RUSSELL	MFS NEW DISCOVERY C	0.00	9.13	0.00	9.13	95.0	8.67
04/01/2017	HOWARD, ANNE	MFS RESEARCH A	0.00	10.31	0.00	10.31	95.0	9.79
04/01/2017	LAI, DOROTHY	MFS RESEARCH A	0.00	10.51	0.00	10.51	95.0	9.98
04/01/2017	WRIGHT, JAMES	MFS RESEARCH A	0.00	2.66	0.00	2.66	95.0	2.53
04/01/2017	ZYREK, THOMAS	MFS RESEARCH A	0.00	7.48	0.00	7.48	95.0	7.11
04/01/2017	ENDRESS, ROBERT	MFS RESEARCH A	0.00	46.29	0.00	46.29	95.0	43.98
04/01/2017	RITTER, KYLE	MFS RESEARCH A	0.00	2.27	0.00	2.27	95.0	2.16
04/01/2017	MARVIN, SAMANTHA	MFS RESEARCH INTL A	0.00	1.13	0.00	1.13	95.0	1.07
04/01/2017	MELLERT, BETH	MFS RESEARCH INTL C	0.00	12.57	0.00	12.57	95.0	11.94
04/01/2017	BLACKBURN, W ALLEN	MFS RESEARCH INTL C	0.00	6.01	0.00	6.01	95.0	5.71
04/01/2017	DUPNACK, JESSICA	MFS TOTAL RETURN A	0.00	2.31	0.00	2.31	95.0	2.19
04/01/2017	MELLIS, STEVEN	MFS TOTAL RETURN A	0.00	4.58	0.00	4.58	95.0	4.35
04/01/2017	SARKISIAN, NORAY	MFS TOTAL RETURN A	0.00	16.58	0.00	16.58	95.0	15.75
04/01/2017	KING, VICTORIA	MFS TOTAL RETURN A	0.00	46.84	0.00	46.84	95.0	44.50
04/01/2017	DUPNACK, JESSICA	MFS TOTAL RETURN B	0.00	3.75	0.00	3.75	95.0	3.56
04/01/2017	MELLIS, STEVEN	MFS VALUE A	0.00	5.54	0.00	5.54	95.0	5.26
/ /	KOSANKE, LORI	OPPENHEIMER CAPITAL APPRECIATION A	0.00	4.26	0.00	4.26	95.0	4.05
/ /	HOLT, DEBBIE	OPPENHEIMER CAPITAL APPRECIATION A	0.00	59.03	0.00	59.03	95.0	56.08
/ /	POOLEY, TATIANA	OPPENHEIMER CAPITAL APPRECIATION A	0.00	0.02	0.00	0.02	95.0	0.02
/ /	KRAYDICH, KELLIE	OPPENHEIMER CAPITAL APPRECIATION A	0.00	0.16	0.00	0.16	95.0	0.15
/ /	TRINH, CHRISTINE	OPPENHEIMER CAPITAL APPRECIATION A	0.00	2.35	0.00	2.35	95.0	2.23
/ /	LEPPEK, JUDITH	OPPENHEIMER CAPITAL APPRECIATION A	0.00	13.28	0.00	13.28	95.0	12.62
/ /	KEECH, SCOTT	OPPENHEIMER CAPITAL APPRECIATION A	0.00	8.55	0.00	8.55	95.0	8.12

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<b><u>BROKER TRANSACTIONS</u></b>								
<b><u>PRODUCT CATEGORY: MUTUAL FUNDS</u></b>								
/ /	KOSANKE, MARK	OPPENHEIMER CAPITAL APPRECIATION A	0.00	4.55	0.00	4.55	95.0	4.32
/ /	MAYNARD, JULIE	OPPENHEIMER CAPITAL APPRECIATION A	0.00	12.82	0.00	12.82	95.0	12.18
/ /	SOLDAN, JULIE	OPPENHEIMER CAPITAL APPRECIATION A	0.00	12.42	0.00	12.42	95.0	11.80
/ /	WATKINS, KATHRYN	OPPENHEIMER CAPITAL APPRECIATION A	0.00	6.79	0.00	6.79	95.0	6.45
/ /	RUFFIN, JOHN	OPPENHEIMER CAPITAL APPRECIATION A	0.00	12.68	0.00	12.68	95.0	12.05
/ /	NEUER-MIHALAK, LORIE	OPPENHEIMER CAPITAL APPRECIATION A	0.00	3.44	0.00	3.44	95.0	3.27
/ /	CAPWELL, MARK	OPPENHEIMER CAPITAL APPRECIATION A	0.00	10.63	0.00	10.63	95.0	10.10
/ /	SCHULTZ, DEBRA	OPPENHEIMER CAPITAL APPRECIATION A	0.00	18.42	0.00	18.42	95.0	17.50
/ /	TAKACS, RYAN	OPPENHEIMER CAPITAL APPRECIATION A	0.00	3.90	0.00	3.90	95.0	3.71
/ /	HICKS, MELISSA	OPPENHEIMER CAPITAL APPRECIATION A	0.00	0.17	0.00	0.17	95.0	0.16
/ /	BUTLER, SANDRA	OPPENHEIMER CAPITAL APPRECIATION A	0.00	0.03	0.00	0.03	95.0	0.03
/ /	JOUPPI, SHARON	OPPENHEIMER CAPITAL APPRECIATION A	0.00	15.09	0.00	15.09	95.0	14.34
/ /	WATKINS, KATHRYN	OPPENHEIMER CAPITAL APPRECIATION B	0.00	0.19	0.00	0.19	95.0	0.18
/ /	SCHULTZ, DEBRA	OPPENHEIMER CAPITAL APPRECIATION B	0.00	2.73	0.00	2.73	95.0	2.59
/ /	HICKS, MELISSA	OPPENHEIMER CAPITAL APPRECIATION B	0.00	0.05	0.00	0.05	95.0	0.05
/ /	BAKER, STEVEN	OPPENHEIMER CAPITAL APPRECIATION B	0.00	1.37	0.00	1.37	95.0	1.30
/ /	GALLAS, MICHAEL	OPPENHEIMER CAPITAL APPRECIATION C	0.00	12.42	0.00	12.42	95.0	11.80
/ /	RENTROP, GARRETT	OPPENHEIMER CAPITAL APPRECIATION C	0.00	17.89	0.00	17.89	95.0	17.00
/ /	DITRI, ANN	OPPENHEIMER CAPITAL APPRECIATION C	0.00	11.91	0.00	11.91	95.0	11.31
/ /	DINKA, JOHN	OPPENHEIMER CAPITAL APPRECIATION C	0.00	77.15	0.00	77.15	95.0	73.29
/ /	SCHULTZ, DEBRA	OPPENHEIMER CAPITAL APPRECIATION C	0.00	25.59	0.00	25.59	95.0	24.31
/ /	HICKS, MELISSA	OPPENHEIMER CAPITAL APPRECIATION C	0.00	5.65	0.00	5.65	95.0	5.37
/ /	BAKER, STEVEN	OPPENHEIMER CAPITAL APPRECIATION C	0.00	15.86	0.00	15.86	95.0	15.07
/ /	HENRY, JACQUELINE	OPPENHEIMER CAPITAL APPRECIATION C	0.00	4.32	0.00	4.32	95.0	4.10
/ /	JOHNSTON, HEATHER	OPPENHEIMER CAPITAL APPRECIATION C	0.00	3.04	0.00	3.04	95.0	2.89
/ /	KOGUT, MONICA	OPPENHEIMER CAPITAL APPRECIATION C	0.00	2.80	0.00	2.80	95.0	2.66
/ /	HOWEY, JESSICA	OPPENHEIMER CAPITAL APPRECIATION C	0.00	0.26	0.00	0.26	95.0	0.25
03/27/2017	DITRI, ANN	OPPENHEIMER CAPITAL APPRECIATION C	204.00	2.04	0.00	2.04	95.0	1.94
03/27/2017	DITRI, ANN	OPPENHEIMER CAPITAL APPRECIATION C	32.64	0.33	0.00	0.33	95.0	0.31
03/27/2017	BAKER, STEVEN	OPPENHEIMER CAPITAL APPRECIATION C	55.60	0.56	0.00	0.56	95.0	0.53
03/27/2017	BAKER, STEVEN	OPPENHEIMER CAPITAL APPRECIATION C	33.36	0.33	0.00	0.33	95.0	0.31
/ /	KRAYDICH, KELLIE	OPPENHEIMER CAPITAL INCOME A	0.00	0.19	0.00	0.19	95.0	0.18
/ /	LEPPEK, JUDITH	OPPENHEIMER CAPITAL INCOME A	0.00	10.48	0.00	10.48	95.0	9.96

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

DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<b><u>BROKER TRANSACTIONS</u></b>								
<b><u>PRODUCT CATEGORY: MUTUAL FUNDS</u></b>								
/ /	SCHULTZ, DEBRA	OPPENHEIMER DEVELOPING MARKETS A	0.00	8.71	0.00	8.71	95.0	8.27
/ /	SCHULTZ, DEBRA	OPPENHEIMER DEVELOPING MARKETS B	0.00	0.85	0.00	0.85	95.0	0.81
/ /	DAMORE, MONICA	OPPENHEIMER DEVELOPING MARKETS C	0.00	1.93	0.00	1.93	95.0	1.83
/ /	SCHULTZ, DEBRA	OPPENHEIMER DEVELOPING MARKETS C	0.00	9.90	0.00	9.90	95.0	9.41
/ /	BOYD, SONYA	OPPENHEIMER DISCOVERY A	0.00	0.78	0.00	0.78	95.0	0.74
/ /	KEECH, SCOTT	OPPENHEIMER DISCOVERY A	0.00	3.37	0.00	3.37	95.0	3.20
/ /	KOLDERMAN, ETHAN	OPPENHEIMER DISCOVERY A	0.00	3.69	0.00	3.69	95.0	3.51
/ /	KOLDERMAN, NATHAN	OPPENHEIMER DISCOVERY A	0.00	4.22	0.00	4.22	95.0	4.01
/ /	LABAZA, LYNN	OPPENHEIMER DISCOVERY A	0.00	4.50	0.00	4.50	95.0	4.28
/ /	LABAZA, JOHN	OPPENHEIMER DISCOVERY A	0.00	4.50	0.00	4.50	95.0	4.28
/ /	KOSANKE, MARK	OPPENHEIMER DISCOVERY A	0.00	4.01	0.00	4.01	95.0	3.81
/ /	DAMORE, MONICA	OPPENHEIMER DISCOVERY C	0.00	8.47	0.00	8.47	95.0	8.05
/ /	LABAZA, LYNN	OPPENHEIMER DISCOVERY C	0.00	53.98	0.00	53.98	95.0	51.28
/ /	LABAZA, JOHN	OPPENHEIMER DISCOVERY C	0.00	53.98	0.00	53.98	95.0	51.28
/ /	TATUM, PATICIA	OPPENHEIMER EQUITY A	0.00	0.44	0.00	0.44	95.0	0.42
/ /	DINKA, CATHERINE	OPPENHEIMER EQUITY A	0.00	4.01	0.00	4.01	95.0	3.81
/ /	GOLD, LORNE	OPPENHEIMER EQUITY A	0.00	8.75	0.00	8.75	95.0	8.31
/ /	KOSANKE, MARK	OPPENHEIMER EQUITY A	0.00	2.36	0.00	2.36	95.0	2.24
/ /	DINKA, CATHERINE	OPPENHEIMER EQUITY B	0.00	4.28	0.00	4.28	95.0	4.07
/ /	NEED, GREGORY	OPPENHEIMER EQUITY C	0.00	27.38	0.00	27.38	95.0	26.01
/ /	DINKA, CATHERINE	OPPENHEIMER EQUITY C	0.00	49.18	0.00	49.18	95.0	46.72
/ /	KOSANKE, LORI	OPPENHEIMER EQUITY INCOME A	0.00	4.51	0.00	4.51	95.0	4.28
/ /	POOLEY, TATIANA	OPPENHEIMER EQUITY INCOME A	0.00	0.03	0.00	0.03	95.0	0.03
/ /	GOLD, LORNE	OPPENHEIMER EQUITY INCOME A	0.00	4.96	0.00	4.96	95.0	4.71
/ /	DAMORE, MONICA	OPPENHEIMER EQUITY INCOME C	0.00	11.12	0.00	11.12	95.0	10.56
/ /	JOHNSTON, HEATHER	OPPENHEIMER EQUITY INCOME C	0.00	2.98	0.00	2.98	95.0	2.83
/ /	KOGUT, MONICA	OPPENHEIMER EQUITY INCOME C	0.00	2.79	0.00	2.79	95.0	2.65
/ /	HOWEY, JESSICA	OPPENHEIMER EQUITY INCOME C	0.00	0.28	0.00	0.28	95.0	0.27
/ /	SMOLAREK, CHERYL	OPPENHEIMER EQUITY INVESTOR B	0.00	2.80	0.00	2.80	95.0	2.66
/ /	PURCELL, JOSHUA	OPPENHEIMER GLOBAL A	0.00	0.50	0.00	0.50	95.0	0.48
/ /	ROSENBERG, MARCY	OPPENHEIMER GLOBAL A	0.00	12.68	0.00	12.68	95.0	12.05
/ /	GOLD, LORNE	OPPENHEIMER GLOBAL A	0.00	6.12	0.00	6.12	95.0	5.81
/ /	STIRSMAN, MATTHEW	OPPENHEIMER GLOBAL A	0.00	17.86	0.00	17.86	95.0	16.97

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<b><u>BROKER TRANSACTIONS</u></b>								
<b><u>PRODUCT CATEGORY: MUTUAL FUNDS</u></b>								
/ /	TAKACS, RYAN	OPPENHEIMER GLOBAL A	0.00	3.77	0.00	3.77	95.0	3.58
/ /	CRANDALL, MEGAN	OPPENHEIMER GLOBAL ALLOCATION A	0.00	0.10	0.00	0.10	95.0	0.10
/ /	MAYNARD, JULIE	OPPENHEIMER GLOBAL ALLOCATION A	0.00	10.02	0.00	10.02	95.0	9.52
/ /	SOLDAN, JULIE	OPPENHEIMER GLOBAL ALLOCATION A	0.00	9.22	0.00	9.22	95.0	8.76
/ /	MICHAELS, CHRISTINA	OPPENHEIMER GLOBAL ALLOCATION A	0.00	3.68	0.00	3.68	95.0	3.50
/ /	DITRI, ANN	OPPENHEIMER GLOBAL C	0.00	11.42	0.00	11.42	95.0	10.85
/ /	HENRY, JACQUELINE	OPPENHEIMER GLOBAL C	0.00	3.93	0.00	3.93	95.0	3.73
03/27/2017	DITRI, ANN	OPPENHEIMER GLOBAL C	198.00	1.98	0.00	1.98	95.0	1.88
03/27/2017	DITRI, ANN	OPPENHEIMER GLOBAL C	31.68	0.32	0.00	0.32	95.0	0.30
/ /	KOSANKE, MARK	OPPENHEIMER GLOBAL OPPORTUNITIES A	0.00	4.45	0.00	4.45	95.0	4.23
/ /	MIKLEVICH, MICHAEL	OPPENHEIMER GLOBAL OPPORTUNITIES A	0.00	16.74	0.00	16.74	95.0	15.90
/ /	MAYNARD, JULIE	OPPENHEIMER GLOBAL OPPORTUNITIES A	0.00	14.10	0.00	14.10	95.0	13.40
/ /	ZYREK, DARLENE	OPPENHEIMER GLOBAL OPPORTUNITIES A	0.00	43.87	0.00	43.87	95.0	41.68
/ /	MERRITT, MARY LOU	OPPENHEIMER GLOBAL OPPORTUNITIES A	0.00	14.23	0.00	14.23	95.0	13.52
/ /	MCCOLLEY, SHEA	OPPENHEIMER GLOBAL OPPORTUNITIES A	0.00	8.69	0.00	8.69	95.0	8.26
/ /	DINKA, CATHERINE	OPPENHEIMER GLOBAL OPPORTUNITIES A	0.00	1.66	0.00	1.66	95.0	1.58
/ /	TRINH, CHRISTINE	OPPENHEIMER GLOBAL OPPORTUNITIES A	0.00	2.45	0.00	2.45	95.0	2.33
/ /	FERRARI, JACQUELINE	OPPENHEIMER GLOBAL OPPORTUNITIES A	0.00	5.01	0.00	5.01	95.0	4.76
/ /	NEUER-MIHALAK, LORIE	OPPENHEIMER GLOBAL OPPORTUNITIES A	0.00	6.51	0.00	6.51	95.0	6.18
/ /	CAPWELL, MARK	OPPENHEIMER GLOBAL OPPORTUNITIES A	0.00	14.72	0.00	14.72	95.0	13.98
/ /	DEW, DESIREE	OPPENHEIMER GLOBAL OPPORTUNITIES A	0.00	14.37	0.00	14.37	95.0	13.65
/ /	SCHULTZ, DEBRA	OPPENHEIMER GLOBAL OPPORTUNITIES A	0.00	24.45	0.00	24.45	95.0	23.23
/ /	TRBOVICH, HEATHER	OPPENHEIMER GLOBAL OPPORTUNITIES A	0.00	0.80	0.00	0.80	95.0	0.76
/ /	HOWEY, JESSICA	OPPENHEIMER GLOBAL OPPORTUNITIES A	0.00	0.37	0.00	0.37	95.0	0.35
/ /	SMITH, ASHLEY	OPPENHEIMER GLOBAL OPPORTUNITIES A	0.00	0.04	0.00	0.04	95.0	0.04
/ /	KOSANKE, LORI	OPPENHEIMER GLOBAL OPPORTUNITIES A	0.00	0.97	0.00	0.97	95.0	0.92
/ /	MCCOLLEY, SHEA	OPPENHEIMER GLOBAL OPPORTUNITIES B	0.00	0.34	0.00	0.34	95.0	0.32
/ /	DINKA, CATHERINE	OPPENHEIMER GLOBAL OPPORTUNITIES B	0.00	1.79	0.00	1.79	95.0	1.70
/ /	DEW, DESIREE	OPPENHEIMER GLOBAL OPPORTUNITIES B	0.00	0.41	0.00	0.41	95.0	0.39
/ /	SCHULTZ, DEBRA	OPPENHEIMER GLOBAL OPPORTUNITIES B	0.00	2.91	0.00	2.91	95.0	2.76
/ /	NEED, GREGORY	OPPENHEIMER GLOBAL OPPORTUNITIES C	0.00	17.46	0.00	17.46	95.0	16.59
/ /	GALLAS, MICHAEL	OPPENHEIMER GLOBAL OPPORTUNITIES C	0.00	2.96	0.00	2.96	95.0	2.81
/ /	RENTROP, GARRETT	OPPENHEIMER GLOBAL OPPORTUNITIES C	0.00	19.81	0.00	19.81	95.0	18.82

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<b><u>BROKER TRANSACTIONS</u></b>								
<b><u>PRODUCT CATEGORY: MUTUAL FUNDS</u></b>								
/ /	MCCOLLEY, SHEA	OPPENHEIMER GLOBAL OPPORTUNITIES C	0.00	4.02	0.00	4.02	95.0	3.82
/ /	DINKA, CATHERINE	OPPENHEIMER GLOBAL OPPORTUNITIES C	0.00	22.89	0.00	22.89	95.0	21.75
/ /	DINKA, JOHN	OPPENHEIMER GLOBAL OPPORTUNITIES C	0.00	43.02	0.00	43.02	95.0	40.87
/ /	DAMORE, MONICA	OPPENHEIMER GLOBAL OPPORTUNITIES C	0.00	15.72	0.00	15.72	95.0	14.93
/ /	SCHULTZ, DEBRA	OPPENHEIMER GLOBAL OPPORTUNITIES C	0.00	29.77	0.00	29.77	95.0	28.28
03/27/2017	MCCOLLEY, SHEA	OPPENHEIMER GLOBAL OPPORTUNITIES C	30.00	0.30	0.00	0.30	95.0	0.29
03/27/2017	MCCOLLEY, SHEA	OPPENHEIMER GLOBAL OPPORTUNITIES C	30.00	0.30	0.00	0.30	95.0	0.29
/ /	BOYD, SONYA	OPPENHEIMER GLOBAL STRATEGIC INC A	0.00	0.55	0.00	0.55	95.0	0.52
/ /	TATUM, PATICIA	OPPENHEIMER GLOBAL STRATEGIC INC A	0.00	1.07	0.00	1.07	95.0	1.02
/ /	CRANDALL, MEGAN	OPPENHEIMER GLOBAL STRATEGIC INC A	0.00	0.32	0.00	0.32	95.0	0.30
/ /	GOLD, LORNE	OPPENHEIMER GLOBAL STRATEGIC INC A	0.00	0.74	0.00	0.74	95.0	0.70
/ /	MICHAELS, CHRISTINA	OPPENHEIMER GLOBAL STRATEGIC INC A	0.00	4.52	0.00	4.52	95.0	4.29
/ /	RENTROP, GARRETT	OPPENHEIMER GLOBAL STRATEGIC INC C	0.00	13.49	0.00	13.49	95.0	12.82
/ /	HENRY, JACQUELINE	OPPENHEIMER GLOBAL STRATEGIC INC C	0.00	3.75	0.00	3.75	95.0	3.56
/ /	HENRY, JACQUELINE	OPPENHEIMER GOLD & SPECIAL MINERALS	0.00	3.47	0.00	3.47	95.0	3.30
/ /	GOLD, LORNE	OPPENHEIMER INTL BOND A	0.00	1.31	0.00	1.31	95.0	1.24
/ /	BAKER, STEVEN	OPPENHEIMER INTL BOND B	0.00	0.79	0.00	0.79	95.0	0.75
/ /	DAMORE, MONICA	OPPENHEIMER INTL BOND C	0.00	8.59	0.00	8.59	95.0	8.16
/ /	BAKER, STEVEN	OPPENHEIMER INTL BOND C	0.00	13.03	0.00	13.03	95.0	12.38
/ /	HALSEY, DEBRA	OPPENHEIMER INTL BOND C	0.00	3.70	0.00	3.70	95.0	3.52
03/27/2017	BAKER, STEVEN	OPPENHEIMER INTL BOND C	55.59	0.56	0.00	0.56	95.0	0.53
03/27/2017	BAKER, STEVEN	OPPENHEIMER INTL BOND C	33.35	0.33	0.00	0.33	95.0	0.31
/ /	BAKER, STEVEN	OPPENHEIMER INTL DIVERSIFIED B	0.00	1.07	0.00	1.07	95.0	1.02
/ /	DAMORE, MONICA	OPPENHEIMER INTL DIVERSIFIED C	0.00	4.39	0.00	4.39	95.0	4.17
/ /	BAKER, STEVEN	OPPENHEIMER INTL DIVERSIFIED C	0.00	13.82	0.00	13.82	95.0	13.13
03/27/2017	BAKER, STEVEN	OPPENHEIMER INTL DIVERSIFIED C	55.60	0.56	0.00	0.56	95.0	0.53
03/27/2017	BAKER, STEVEN	OPPENHEIMER INTL DIVERSIFIED C	33.36	0.33	0.00	0.33	95.0	0.31
/ /	GOLD, LORNE	OPPENHEIMER INTL GROWTH A	0.00	1.37	0.00	1.37	95.0	1.30
/ /	MUNTEANU, RADU	OPPENHEIMER INTL GROWTH A	0.00	0.95	0.00	0.95	95.0	0.90
/ /	CAPWELL, MARK	OPPENHEIMER INTL GROWTH A	0.00	1.77	0.00	1.77	95.0	1.68
/ /	NEED, GREGORY	OPPENHEIMER INTL GROWTH C	0.00	22.31	0.00	22.31	95.0	21.19
/ /	OWENS, JEAN	OPPENHEIMER INTL SMALL CO A	0.00	3.63	0.00	3.63	95.0	3.45
/ /	KRAYDICH, KELLIE	OPPENHEIMER INTL SMALL CO A	0.00	0.21	0.00	0.21	95.0	0.20

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<b><u>BROKER TRANSACTIONS</u></b>								
<b><u>PRODUCT CATEGORY: MUTUAL FUNDS</u></b>								
/ /	LEPPEK, JUDITH	OPPENHEIMER INTL SMALL CO A	0.00	16.65	0.00	16.65	95.0	15.82
/ /	DEREY, DENISE	OPPENHEIMER MAIN ST SELECT C	0.00	0.25	0.00	0.25	95.0	0.24
/ /	DINKA, CATHERINE	OPPENHEIMER MAIN ST SELECT C	0.00	59.64	0.00	59.64	95.0	56.66
/ /	HICKS, MELISSA	OPPENHEIMER MAIN ST SELECT C	0.00	5.40	0.00	5.40	95.0	5.13
/ /	HOWEY, JESSICA	OPPENHEIMER MAIN ST SELECT C	0.00	0.33	0.00	0.33	95.0	0.31
/ /	NEED, GREGORY	OPPENHEIMER MAIN ST SMALL & MID CAP	0.00	16.11	0.00	16.11	95.0	15.30
/ /	RENTROP, GARRETT	OPPENHEIMER MAIN ST SMALL & MID CAP	0.00	18.66	0.00	18.66	95.0	17.73
/ /	DINKA, CATHERINE	OPPENHEIMER MAIN ST SMALL & MID CAP	0.00	61.79	0.00	61.79	95.0	58.70
/ /	DAMORE, MONICA	OPPENHEIMER MAIN ST SMALL & MID CAP	0.00	11.42	0.00	11.42	95.0	10.85
/ /	HENRY, JACQUELINE	OPPENHEIMER MAIN ST SMALL & MID CAP	0.00	4.30	0.00	4.30	95.0	4.09
/ /	BARRY, MEGAN	OPPENHEIMER MAIN STREET A	0.00	5.68	0.00	5.68	95.0	5.40
/ /	BOYD, SONYA	OPPENHEIMER MAIN STREET A	0.00	1.02	0.00	1.02	95.0	0.97
/ /	VISAN, JAMES	OPPENHEIMER MAIN STREET A	0.00	0.24	0.00	0.24	95.0	0.23
/ /	CRANDALL, MEGAN	OPPENHEIMER MAIN STREET A	0.00	1.03	0.00	1.03	95.0	0.98
/ /	POOLEY, TATIANA	OPPENHEIMER MAIN STREET A	0.00	0.03	0.00	0.03	95.0	0.03
/ /	KOSANKE, MARK	OPPENHEIMER MAIN STREET A	0.00	4.40	0.00	4.40	95.0	4.18
/ /	MAYNARD, JULIE	OPPENHEIMER MAIN STREET A	0.00	10.00	0.00	10.00	95.0	9.50
/ /	MCDONALD, VICKI	OPPENHEIMER MAIN STREET A	0.00	8.39	0.00	8.39	95.0	7.97
/ /	PALAZZOLO, GABRIELLA	OPPENHEIMER MAIN STREET A	0.00	6.74	0.00	6.74	95.0	6.40
/ /	PALAZZOLO, JUSTINA	OPPENHEIMER MAIN STREET A	0.00	1.01	0.00	1.01	95.0	0.96
/ /	BUTLER, SANDRA	OPPENHEIMER MAIN STREET A	0.00	0.10	0.00	0.10	95.0	0.10
/ /	MCCOLLEY, SHEA	OPPENHEIMER MAIN STREET A	0.00	4.96	0.00	4.96	95.0	4.71
/ /	JOUPPI, SHARON	OPPENHEIMER MAIN STREET A	0.00	13.07	0.00	13.07	95.0	12.42
/ /	COWAN, KEVIN	OPPENHEIMER MAIN STREET A	0.00	0.62	0.00	0.62	95.0	0.59
/ /	TRBOVICH, HEATHER	OPPENHEIMER MAIN STREET A	0.00	0.78	0.00	0.78	95.0	0.74
/ /	HOWEY, JESSICA	OPPENHEIMER MAIN STREET A	0.00	0.36	0.00	0.36	95.0	0.34
/ /	SMITH, ASHLEY	OPPENHEIMER MAIN STREET A	0.00	0.03	0.00	0.03	95.0	0.03
/ /	KOSANKE, LORI	OPPENHEIMER MAIN STREET A	0.00	0.95	0.00	0.95	95.0	0.90
/ /	TATUM, PATICIA	OPPENHEIMER MAIN STREET A	0.00	0.10	0.00	0.10	95.0	0.10
/ /	DINKA, CATHERINE	OPPENHEIMER MAIN STREET A	0.00	0.89	0.00	0.89	95.0	0.85
/ /	GOLD, LORNE	OPPENHEIMER MAIN STREET A	0.00	1.93	0.00	1.93	95.0	1.83
/ /	BUSZEK, RICHARD	OPPENHEIMER MAIN STREET A	0.00	9.80	0.00	9.80	95.0	9.31
/ /	BARRY, MEGAN	OPPENHEIMER MAIN STREET B	0.00	0.77	0.00	0.77	95.0	0.73

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<b><u>BROKER TRANSACTIONS</u></b>								
<b><u>PRODUCT CATEGORY: MUTUAL FUNDS</u></b>								
/ /	MCCOLLEY, SHEA	OPPENHEIMER MAIN STREET B	0.00	0.36	0.00	0.36	95.0	0.34
/ /	DINKA, CATHERINE	OPPENHEIMER MAIN STREET B	0.00	0.94	0.00	0.94	95.0	0.89
/ /	BARRY, MEGAN	OPPENHEIMER MAIN STREET C	0.00	7.31	0.00	7.31	95.0	6.94
/ /	GRIFFIN, JAMES	OPPENHEIMER MAIN STREET C	0.00	0.39	0.00	0.39	95.0	0.37
/ /	GRIFFIN, ALAN	OPPENHEIMER MAIN STREET C	0.00	12.66	0.00	12.66	95.0	12.03
/ /	GALLAS, MICHAEL	OPPENHEIMER MAIN STREET C	0.00	14.45	0.00	14.45	95.0	13.73
/ /	MCCOLLEY, SHEA	OPPENHEIMER MAIN STREET C	0.00	4.10	0.00	4.10	95.0	3.90
/ /	HENRY, JACQUELINE	OPPENHEIMER MAIN STREET C	0.00	6.15	0.00	6.15	95.0	5.84
/ /	JOHNSTON, HEATHER	OPPENHEIMER MAIN STREET C	0.00	3.31	0.00	3.31	95.0	3.14
/ /	KOGUT, MONICA	OPPENHEIMER MAIN STREET C	0.00	3.13	0.00	3.13	95.0	2.97
/ /	NEED, GREGORY	OPPENHEIMER MAIN STREET C	0.00	6.04	0.00	6.04	95.0	5.74
/ /	DINKA, CATHERINE	OPPENHEIMER MAIN STREET C	0.00	11.20	0.00	11.20	95.0	10.64
03/27/2017	MCCOLLEY, SHEA	OPPENHEIMER MAIN STREET C	30.00	0.30	0.00	0.30	95.0	0.29
03/27/2017	MCCOLLEY, SHEA	OPPENHEIMER MAIN STREET C	30.00	0.30	0.00	0.30	95.0	0.29
/ /	KOSANKE, LORI	OPPENHEIMER MAIN STREET OPP A	0.00	4.42	0.00	4.42	95.0	4.20
/ /	CAPWELL, MARK	OPPENHEIMER MAIN STREET OPP A	0.00	12.05	0.00	12.05	95.0	11.45
/ /	TAKACS, RYAN	OPPENHEIMER MAIN STREET OPP A	0.00	4.06	0.00	4.06	95.0	3.86
/ /	HICKS, MELISSA	OPPENHEIMER MAIN STREET OPP A	0.00	0.10	0.00	0.10	95.0	0.10
/ /	HICKS, MELISSA	OPPENHEIMER MAIN STREET OPP B	0.00	0.10	0.00	0.10	95.0	0.10
/ /	SOLDAN, JULIE	OPPENHEIMER MAIN STREET SMALLCAP A	0.00	14.66	0.00	14.66	95.0	13.93
/ /	DITRI, ANN	OPPENHEIMER MAIN STREET SMALLCAP A	0.00	2.17	0.00	2.17	95.0	2.06
/ /	MICHAELS, CHRISTINA	OPPENHEIMER MAIN STREET SMALLCAP A	0.00	5.51	0.00	5.51	95.0	5.23
/ /	GOLD, LORNE	OPPENHEIMER MAIN STREET SMALLCAP A	0.00	7.60	0.00	7.60	95.0	7.22
/ /	DINKA, CATHERINE	OPPENHEIMER MAIN STREET SMALLCAP A	0.00	5.30	0.00	5.30	95.0	5.04
/ /	CAPWELL, MARK	OPPENHEIMER MAIN STREET SMALLCAP A	0.00	10.71	0.00	10.71	95.0	10.17
/ /	DINKA, CATHERINE	OPPENHEIMER MAIN STREET SMALLCAP B	0.00	5.74	0.00	5.74	95.0	5.45
/ /	SMOLAREK, CHERYL	OPPENHEIMER PORTFOLIO SERIES EQ INV	0.00	7.95	0.00	7.95	95.0	7.55
/ /	CZARNECKI, THERESA	OPPENHEIMER PORTFOLIO SERIRES: MOD	0.00	13.18	0.00	13.18	95.0	12.52
/ /	SMOLAREK, CHERYL	OPPENHEIMER PTF SERIES EQUITY INVES	0.00	25.75	0.00	25.75	95.0	24.46
/ /	MICHAELS, CHRISTINA	OPPENHEIMER QUEST INT'L VALUE A	0.00	3.17	0.00	3.17	95.0	3.01
/ /	TRINH, CHRISTINE	OPPENHEIMER QUEST INT'L VALUE A	0.00	1.34	0.00	1.34	95.0	1.27
/ /	LEPPEK, JUDITH	OPPENHEIMER QUEST INT'L VALUE A	0.00	10.04	0.00	10.04	95.0	9.54
/ /	MCCOLLEY, SHEA	OPPENHEIMER QUEST OPP VALUE A	0.00	6.70	0.00	6.70	95.0	6.37

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<b><u>BROKER TRANSACTIONS</u></b>								
<b><u>PRODUCT CATEGORY: MUTUAL FUNDS</u></b>								
/ /	TERPSTRA, SANDRA	OPPENHEIMER QUEST OPP VALUE A	0.00	43.51	0.00	43.51	95.0	41.33
/ /	MCCOLLEY, SHEA	OPPENHEIMER QUEST OPP VALUE B	0.00	0.43	0.00	0.43	95.0	0.41
/ /	TERPSTRA, SANDRA	OPPENHEIMER QUEST OPP VALUE B	0.00	7.72	0.00	7.72	95.0	7.33
/ /	BAKER, STEVEN	OPPENHEIMER QUEST OPP VALUE B	0.00	0.93	0.00	0.93	95.0	0.88
/ /	MCCOLLEY, SHEA	OPPENHEIMER QUEST OPP VALUE C	0.00	6.49	0.00	6.49	95.0	6.17
/ /	TERPSTRA, SANDRA	OPPENHEIMER QUEST OPP VALUE C	0.00	83.74	0.00	83.74	95.0	79.55
/ /	BAKER, STEVEN	OPPENHEIMER QUEST OPP VALUE C	0.00	13.63	0.00	13.63	95.0	12.95
03/27/2017	MCCOLLEY, SHEA	OPPENHEIMER QUEST OPP VALUE C	60.00	0.60	0.00	0.60	95.0	0.57
03/27/2017	MCCOLLEY, SHEA	OPPENHEIMER QUEST OPP VALUE C	60.00	0.60	0.00	0.60	95.0	0.57
03/27/2017	BAKER, STEVEN	OPPENHEIMER QUEST OPP VALUE C	55.60	0.56	0.00	0.56	95.0	0.53
03/27/2017	BAKER, STEVEN	OPPENHEIMER QUEST OPP VALUE C	33.36	0.33	0.00	0.33	95.0	0.31
/ /	TRBOVICH, HEATHER	OPPENHEIMER REAL ESTATE A	0.00	0.70	0.00	0.70	95.0	0.67
/ /	HOWEY, JESSICA	OPPENHEIMER REAL ESTATE A	0.00	0.33	0.00	0.33	95.0	0.31
/ /	SMITH, ASHLEY	OPPENHEIMER REAL ESTATE A	0.00	0.03	0.00	0.03	95.0	0.03
/ /	KOSANKE, LORI	OPPENHEIMER REAL ESTATE A	0.00	0.94	0.00	0.94	95.0	0.89
/ /	KOSANKE, MARK	OPPENHEIMER REAL ESTATE A	0.00	0.93	0.00	0.93	95.0	0.88
/ /	KOSANKE, LORI	OPPENHEIMER RISING DIVIDENDS A	0.00	4.26	0.00	4.26	95.0	4.05
/ /	POOLEY, TATIANA	OPPENHEIMER RISING DIVIDENDS A	0.00	0.03	0.00	0.03	95.0	0.03
/ /	NEED, GREGORY	OPPENHEIMER RISING DIVIDENDS C	0.00	21.46	0.00	21.46	95.0	20.39
/ /	GALLAS, MICHAEL	OPPENHEIMER RISING DIVIDENDS C	0.00	10.44	0.00	10.44	95.0	9.92
/ /	DAMORE, MONICA	OPPENHEIMER RISING DIVIDENDS C	0.00	7.21	0.00	7.21	95.0	6.85
/ /	HENRY, JACQUELINE	OPPENHEIMER RISING DIVIDENDS C	0.00	4.16	0.00	4.16	95.0	3.95
/ /	JOHNSTON, HEATHER	OPPENHEIMER RISING DIVIDENDS C	0.00	3.04	0.00	3.04	95.0	2.89
/ /	KOGUT, MONICA	OPPENHEIMER RISING DIVIDENDS C	0.00	2.87	0.00	2.87	95.0	2.73
/ /	HOWEY, JESSICA	OPPENHEIMER RISING DIVIDENDS C	0.00	0.32	0.00	0.32	95.0	0.30
/ /	CAPWELL, MARK	OPPENHEIMER SELECT VALUE A	0.00	3.69	0.00	3.69	95.0	3.51
/ /	NEED, GREGORY	OPPENHEIMER SELECT VALUE C	0.00	22.07	0.00	22.07	95.0	20.97
/ /	LABAZA, LYNN	OPPENHEIMER SMALL & MIDCAP GROWTH A	0.00	4.51	0.00	4.51	95.0	4.28
/ /	LABAZA, JOHN	OPPENHEIMER SMALL & MIDCAP GROWTH A	0.00	4.51	0.00	4.51	95.0	4.28
/ /	LABAZA, LYNN	OPPENHEIMER SMALL & MIDCAP GROWTH C	0.00	56.22	0.00	56.22	95.0	53.41
/ /	LABAZA, JOHN	OPPENHEIMER SMALL & MIDCAP GROWTH C	0.00	56.22	0.00	56.22	95.0	53.41
/ /	BOYD, SONYA	OPPENHEIMER SMALL MID CAP VALUE A	0.00	1.35	0.00	1.35	95.0	1.28
/ /	DEREY, DENISE	OPPENHEIMER SMALL MID CAP VALUE C	0.00	67.87	0.00	67.87	95.0	64.48

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<b><u>BROKER TRANSACTIONS</u></b>								
<b><u>PRODUCT CATEGORY: MUTUAL FUNDS</u></b>								
/ /	CARMODY, WILLIAM	OPPENHEIMER US GOVT TRUST C	0.00	40.71	0.00	40.71	95.0	38.67
/ /	MICHAELS, CHRISTINA	OPPENHEIMER VALUE A	0.00	4.90	0.00	4.90	95.0	4.66
/ /	GOLD, LORNE	OPPENHEIMER VALUE A	0.00	8.35	0.00	8.35	95.0	7.93
/ /	DINKA, JOHN	OPPENHEIMER VALUE A	0.00	6.47	0.00	6.47	95.0	6.15
/ /	TAKACS, RYAN	OPPENHEIMER VALUE A	0.00	3.87	0.00	3.87	95.0	3.68
/ /	TRBOVICH, HEATHER	OPPENHEIMER VALUE A	0.00	0.79	0.00	0.79	95.0	0.75
/ /	HOWEY, JESSICA	OPPENHEIMER VALUE A	0.00	0.36	0.00	0.36	95.0	0.34
/ /	SMITH, ASHLEY	OPPENHEIMER VALUE A	0.00	0.03	0.00	0.03	95.0	0.03
/ /	KOSANKE, LORI	OPPENHEIMER VALUE A	0.00	0.94	0.00	0.94	95.0	0.89
/ /	DINKA, JOHN	OPPENHEIMER VALUE B	0.00	7.92	0.00	7.92	95.0	7.52
/ /	DEREY, DENISE	OPPENHEIMER VALUE C	0.00	0.02	0.00	0.02	95.0	0.02
/ /	DITRI, ANN	OPPENHEIMER VALUE C	0.00	12.13	0.00	12.13	95.0	11.52
/ /	DINKA, JOHN	OPPENHEIMER VALUE C	0.00	78.78	0.00	78.78	95.0	74.84
/ /	DAMORE, MONICA	OPPENHEIMER VALUE C	0.00	5.06	0.00	5.06	95.0	4.81
03/27/2017	DITRI, ANN	OPPENHEIMER VALUE C	198.00	1.98	0.00	1.98	95.0	1.88
03/27/2017	DITRI, ANN	OPPENHEIMER VALUE C	31.68	0.32	0.00	0.32	95.0	0.30
/ /	RENTROP, GARRETT	OPPENHEIMIER QUEST BALANCED C	0.00	14.91	0.00	14.91	95.0	14.16
/ /	HENRY, JACQUELINE	OPPENHEIMIER QUEST BALANCED C	0.00	3.80	0.00	3.80	95.0	3.61
04/03/2017	RAJKOVICH, TONI	PUTNAM ASSET ALLOC GROWTH A	0.00	1.20	0.00	1.20	95.0	1.14
04/03/2017	BEDORE, CHARLES	PUTNAM CAPITAL OPPORTUNITIES A	0.00	2.28	0.00	2.28	95.0	2.17
04/03/2017	ALLEGRIANA, JULIE	PUTNAM CAPITAL OPPORTUNITIES A	0.00	2.83	0.00	2.83	95.0	2.69
04/03/2017	SZOCINSKI, CASIMER	PUTNAM DIVERSIFIED INCOME A	0.00	9.92	0.00	9.92	95.0	9.42
04/03/2017	JAKUBOWSKI, LORRAINE	PUTNAM EQUITY INCOME A	0.00	10.11	0.00	10.11	95.0	9.60
04/03/2017	RUSHLOW, LAWRENCE	PUTNAM EQUITY INCOME A	0.00	26.42	0.00	26.42	95.0	25.10
04/03/2017	KING, DAVID	PUTNAM EQUITY INCOME A	0.00	6.17	0.00	6.17	95.0	5.86
04/03/2017	CAMERON, KATHRYN	PUTNAM GEORGE PUTNAM BALANCED A	0.00	11.75	0.00	11.75	95.0	11.16
04/03/2017	SELLECK, GREGORY	PUTNAM GEORGE PUTNAM BALANCED A	0.00	0.18	0.00	0.18	95.0	0.17
04/03/2017	SCULLY, DOROTHY	PUTNAM GLOBAL EQUITY A	0.00	19.34	0.00	19.34	95.0	18.37
04/03/2017	JOHNSON, ABEN MARTIN	PUTNAM GLOBAL EQUITY A	0.00	7.94	0.00	7.94	95.0	7.54
04/03/2017	WILLISON, VICTORIA	PUTNAM GLOBAL EQUITY A	0.00	4.88	0.00	4.88	95.0	4.64
04/03/2017	SONDLES HOLMAN, KAREN	PUTNAM GLOBAL HEALTH CARE A	0.00	19.21	0.00	19.21	95.0	18.25
04/03/2017	MORRISON, JOY KUNKLER-	PUTNAM GLOBAL HEALTH CARE A	0.00	4.72	0.00	4.72	95.0	4.48
04/03/2017	KEELER, MARSHA	PUTNAM GLOBAL HEALTH CARE A	0.00	13.38	0.00	13.38	95.0	12.71

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<b><u>BROKER TRANSACTIONS</u></b>								
<b><u>PRODUCT CATEGORY: MUTUAL FUNDS</u></b>								
04/03/2017	TUCKER, LINDA	PUTNAM GLOBAL HEALTH CARE A	0.00	0.74	0.00	0.74	95.0	0.70
04/03/2017	DEMERJIAN, CARL	PUTNAM GLOBAL HEALTH CARE A	0.00	1.94	0.00	1.94	95.0	1.84
04/03/2017	MEHLER, BENE	PUTNAM GROWTH & INCOME A	0.00	5.96	0.00	5.96	95.0	5.66
04/03/2017	LORI RUTH THOMASSY, BENE	PUTNAM GROWTH & INCOME A	0.00	7.09	0.00	7.09	95.0	6.74
04/03/2017	SCULLY, DOROTHY	PUTNAM GROWTH & INCOME A	0.00	37.30	0.00	37.30	95.0	35.44
04/03/2017	BOGLE, DAVID	PUTNAM GROWTH & INCOME A	0.00	0.85	0.00	0.85	95.0	0.81
04/03/2017	BARNETT, MARK	PUTNAM GROWTH & INCOME A	0.00	1.14	0.00	1.14	95.0	1.08
04/03/2017	GUTMAN, THERESE ANNE	PUTNAM GROWTH & INCOME A	0.00	10.72	0.00	10.72	95.0	10.18
04/03/2017	JAKUBOWSKI, LORRAINE	PUTNAM GROWTH & INCOME A	0.00	69.01	0.00	69.01	95.0	65.56
04/03/2017	O'CONNOR, TIMOTHY	PUTNAM GROWTH & INCOME A	0.00	3.47	0.00	3.47	95.0	3.30
04/03/2017	KELSEY, RONALD	PUTNAM GROWTH & INCOME A	0.00	0.04	0.00	0.04	95.0	0.04
04/03/2017	SZOCINSKI, CASIMER	PUTNAM GROWTH & INCOME A	0.00	13.56	0.00	13.56	95.0	12.88
04/03/2017	JENDRUSINA, ROGER	PUTNAM GROWTH & INCOME A	0.00	71.25	0.00	71.25	95.0	67.69
04/03/2017	CATES, CALVIN	PUTNAM GROWTH & INCOME A	0.00	0.33	0.00	0.33	95.0	0.31
04/03/2017	RANCOURT, RICHARD	PUTNAM GROWTH & INCOME A	0.00	11.50	0.00	11.50	95.0	10.93
04/03/2017	HOSKIN, LAUREN	PUTNAM GROWTH & INCOME A	0.00	0.10	0.00	0.10	95.0	0.10
03/29/2017	O'CONNOR, TIMOTHY	PUTNAM GROWTH & INCOME B	50.00	2.00	0.00	2.00	95.0	1.90
04/03/2017	O'CONNOR, TIMOTHY	PUTNAM GROWTH & INCOME B	0.00	5.04	0.00	5.04	95.0	4.79
04/03/2017	HOSKIN, LAUREN	PUTNAM GROWTH & INCOME B	0.00	0.01	0.00	0.01	95.0	0.01
04/03/2017	SCULLY, DOROTHY	PUTNAM GROWTH OPP A	0.00	26.08	0.00	26.08	95.0	24.78
04/03/2017	BLAIR, PATRICIA	PUTNAM GROWTH OPP A	0.00	8.55	0.00	8.55	95.0	8.12
04/03/2017	VERSTRAETE, GEORGE	PUTNAM GROWTH OPP A	0.00	11.50	0.00	11.50	95.0	10.93
04/03/2017	ELLWOOD, JOHN	PUTNAM GROWTH OPP A	0.00	0.33	0.00	0.33	95.0	0.31
04/03/2017	BUCHANAN, JAMIE	PUTNAM GROWTH OPP A	0.00	8.85	0.00	8.85	95.0	8.41
04/03/2017	MORRISON, JOY KUNKLER-	PUTNAM GROWTH OPP A	0.00	2.71	0.00	2.71	95.0	2.57
04/03/2017	KACIR, EVA	PUTNAM GROWTH OPP A	0.00	7.52	0.00	7.52	95.0	7.14
04/03/2017	KOSANKE, JOHN	PUTNAM GROWTH OPP A	0.00	7.58	0.00	7.58	95.0	7.20
04/03/2017	KOSANKE, JOHN	PUTNAM GROWTH OPP A	0.00	7.09	0.00	7.09	95.0	6.74
04/03/2017	BRADLEY, SARAH	PUTNAM GROWTH OPP A	0.00	3.93	0.00	3.93	95.0	3.73
04/03/2017	PROKROPOWICZ, EMILY	PUTNAM GROWTH OPP A	0.00	1.13	0.00	1.13	95.0	1.07
04/03/2017	CARLSON, TYLER	PUTNAM GROWTH OPP A	0.00	0.48	0.00	0.48	95.0	0.46
04/03/2017	CARNAHAN, BRUCE	PUTNAM GROWTH OPP A	0.00	4.54	0.00	4.54	95.0	4.31
04/03/2017	MIKLEVICH, MICHAEL	PUTNAM GROWTH OPP A	0.00	4.72	0.00	4.72	95.0	4.48

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<b><u>BROKER TRANSACTIONS</u></b>								
<b><u>PRODUCT CATEGORY: MUTUAL FUNDS</u></b>								
04/03/2017	LAI, JOHN	PUTNAM GROWTH OPP A	0.00	2.78	0.00	2.78	95.0	2.64
04/03/2017	LAI, ANGIE	PUTNAM GROWTH OPP A	0.00	2.78	0.00	2.78	95.0	2.64
04/03/2017	POKROPOWICZ, MEGAN	PUTNAM GROWTH OPP A	0.00	0.90	0.00	0.90	95.0	0.86
04/03/2017	BUTLER, PAUL	PUTNAM GROWTH OPP A	0.00	7.84	0.00	7.84	95.0	7.45
04/03/2017	BUTLER, PAUL	PUTNAM GROWTH OPP A	0.00	6.13	0.00	6.13	95.0	5.82
04/03/2017	BUTLER, KATHLEEN	PUTNAM GROWTH OPP A	0.00	2.41	0.00	2.41	95.0	2.29
04/03/2017	BUTLER, KATHLEEN	PUTNAM GROWTH OPP A	0.00	8.23	0.00	8.23	95.0	7.82
04/03/2017	TUCKER, LINDA	PUTNAM GROWTH OPP A	0.00	2.82	0.00	2.82	95.0	2.68
04/03/2017	WEAVER, RONALD	PUTNAM GROWTH OPP A	0.00	6.35	0.00	6.35	95.0	6.03
04/03/2017	ALLEGRIANA, JULIE	PUTNAM GROWTH OPP A	0.00	2.36	0.00	2.36	95.0	2.24
04/03/2017	KOSANKE, JOHN	PUTNAM GROWTH OPPORTUNITIES B	0.00	1.90	0.00	1.90	95.0	1.81
04/03/2017	KOSANKE, JOHN	PUTNAM GROWTH OPPORTUNITIES B	0.00	6.73	0.00	6.73	95.0	6.39
04/03/2017	BRADLEY, SARAH	PUTNAM GROWTH OPPORTUNITIES B	0.00	0.81	0.00	0.81	95.0	0.77
04/03/2017	MEHLER, BENE	PUTNAM HIGH YIELD ADVANTAGE A	0.00	4.61	0.00	4.61	95.0	4.38
04/03/2017	LORI RUTH THOMASSY, BENE	PUTNAM HIGH YIELD ADVANTAGE A	0.00	5.44	0.00	5.44	95.0	5.17
04/03/2017	SCULLY, DOROTHY	PUTNAM HIGH YIELD TRUST A	0.00	27.27	0.00	27.27	95.0	25.91
04/03/2017	MASTALSKI, JOLEEN	PUTNAM HIGH YIELD TRUST A	0.00	23.84	0.00	23.84	95.0	22.65
04/03/2017	BAKEWELL, RALPH	PUTNAM HIGH YIELD TRUST A	0.00	27.51	0.00	27.51	95.0	26.13
04/03/2017	BARR, BETTY	PUTNAM HIGH YIELD TRUST A	0.00	2.32	0.00	2.32	95.0	2.20
04/03/2017	DEGRANDCHAMP, PAUL	PUTNAM HIGH YIELD TRUST A	0.00	0.21	0.00	0.21	95.0	0.20
04/03/2017	MASTALSKI, JOLEEN	PUTNAM HIGH YIELD TRUST A	0.00	7.35	0.00	7.35	95.0	6.98
04/03/2017	MASTALSKI, JOLEEN	PUTNAM HIGH YIELD TRUST A	0.00	4.15	0.00	4.15	95.0	3.94
04/03/2017	BARR, BETTY	PUTNAM HIGH YIELD TRUST A	0.00	5.54	0.00	5.54	95.0	5.26
04/03/2017	KIVELA, BERNICE	PUTNAM HIGH YIELD TRUST A	0.00	8.71	0.00	8.71	95.0	8.27
04/03/2017	RUSHLOW, JEAN	PUTNAM HIGH YIELD TRUST A	0.00	8.53	0.00	8.53	95.0	8.10
04/03/2017	MANNING, JOHN	PUTNAM HIGH YIELD TRUST A	0.00	62.74	0.00	62.74	95.0	59.60
04/03/2017	KRAUSE, BARBARA	PUTNAM HIGH YIELD TRUST A	0.00	110.69	0.00	110.69	95.0	105.16
04/03/2017	CIAGLO, BETTY	PUTNAM HIGH YIELD TRUST A	0.00	7.77	0.00	7.77	95.0	7.38
04/03/2017	WEBB, TODD	PUTNAM INCOME A	0.00	0.10	0.00	0.10	95.0	0.10
04/03/2017	RUSHLOW, JEAN	PUTNAM INTERNATIONAL EQUITY-A	0.00	3.04	0.00	3.04	95.0	2.89
04/03/2017	RUSHLOW, LAWRENCE	PUTNAM INTERNATIONAL EQUITY-A	0.00	3.18	0.00	3.18	95.0	3.02
04/03/2017	O'CONNOR, TIMOTHY	PUTNAM INTERNATIONAL GROWTH-A	0.00	2.08	0.00	2.08	95.0	1.98
04/03/2017	MORRISON, JOY KUNKLER-	PUTNAM INTERNATIONAL GROWTH-A	0.00	1.92	0.00	1.92	95.0	1.82

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<b><u>BROKER TRANSACTIONS</u></b>								
<b><u>PRODUCT CATEGORY: MUTUAL FUNDS</u></b>								
04/03/2017	JOHNSON, DANIEL	PUTNAM INTERNATIONAL GROWTH-A	0.00	3.13	0.00	3.13	95.0	2.97
04/03/2017	WEAVER, RONALD	PUTNAM INTERNATIONAL GROWTH-A	0.00	5.87	0.00	5.87	95.0	5.58
04/03/2017	MILLER, BRADLEY	PUTNAM INTERNATIONAL GROWTH-A	0.00	0.61	0.00	0.61	95.0	0.58
04/03/2017	MILLER, BRIANNA	PUTNAM INTERNATIONAL GROWTH-A	0.00	0.09	0.00	0.09	95.0	0.09
04/03/2017	MILLER, SARAH	PUTNAM INTERNATIONAL GROWTH-A	0.00	0.61	0.00	0.61	95.0	0.58
04/03/2017	BEDORE, CHARLES	PUTNAM INTERNATIONAL GROWTH-A	0.00	1.30	0.00	1.30	95.0	1.24
04/03/2017	SCULLY, DOROTHY	PUTNAM INTERNATIONAL VALUE-A	0.00	18.40	0.00	18.40	95.0	17.48
04/03/2017	SCULLY, DOROTHY	PUTNAM INTL CAPITAL OPPS-A	0.00	42.99	0.00	42.99	95.0	40.84
04/03/2017	BEDORE, CHARLES	PUTNAM INTL CAPITAL OPPS-A	0.00	2.18	0.00	2.18	95.0	2.07
04/03/2017	MORRISON, JOY KUNKLER-	PUTNAM INVESTORS A	0.00	2.65	0.00	2.65	95.0	2.52
04/03/2017	HOSKIN, LAUREN	PUTNAM INVESTORS A	0.00	0.05	0.00	0.05	95.0	0.05
04/03/2017	WONCH, LIZ	PUTNAM INVESTORS A	0.00	3.04	0.00	3.04	95.0	2.89
04/03/2017	MILLER, BRADLEY	PUTNAM INVESTORS A	0.00	0.67	0.00	0.67	95.0	0.64
04/03/2017	MILLER, BRIANNA	PUTNAM INVESTORS A	0.00	0.10	0.00	0.10	95.0	0.10
04/03/2017	MILLER, SARAH	PUTNAM INVESTORS A	0.00	0.67	0.00	0.67	95.0	0.64
04/03/2017	WONCH, LIZ	PUTNAM INVESTORS B	0.00	2.47	0.00	2.47	95.0	2.35
04/03/2017	TUCKER, LINDA	PUTNAM MULTI CAP GROWTH A	0.00	1.80	0.00	1.80	95.0	1.71
04/03/2017	JAKUBOWSKI, LORRAINE	PUTNAM MULTI CAP GROWTH A	0.00	26.29	0.00	26.29	95.0	24.98
04/03/2017	O'CONNOR, TIMOTHY	PUTNAM MULTI CAP GROWTH A	0.00	8.07	0.00	8.07	95.0	7.67
04/03/2017	O'CONNOR, TIMOTHY	PUTNAM MULTI CAP GROWTH A	0.00	2.32	0.00	2.32	95.0	2.20
04/03/2017	MORRISON, JOY KUNKLER-	PUTNAM MULTI CAP GROWTH A	0.00	0.99	0.00	0.99	95.0	0.94
04/03/2017	KACIR, EVA	PUTNAM MULTI CAP GROWTH A	0.00	12.50	0.00	12.50	95.0	11.88
04/03/2017	STEWART, DAVID	PUTNAM MULTI CAP GROWTH A	0.00	28.63	0.00	28.63	95.0	27.20
04/03/2017	STEWART, ANN	PUTNAM MULTI CAP GROWTH A	0.00	16.48	0.00	16.48	95.0	15.66
04/03/2017	LINDROS, FILOMENA	PUTNAM MULTI CAP GROWTH A	0.00	2.95	0.00	2.95	95.0	2.80
04/03/2017	LOWE, SARAH	PUTNAM MULTI CAP GROWTH A	0.00	0.46	0.00	0.46	95.0	0.44
04/03/2017	EAST, DENISE	PUTNAM MULTI CAP GROWTH A	0.00	0.95	0.00	0.95	95.0	0.90
04/03/2017	SZOCINSKI, CASIMER	PUTNAM MULTI CAP GROWTH A	0.00	9.34	0.00	9.34	95.0	8.87
04/03/2017	SZOCINSKI, BILLIE	PUTNAM MULTI CAP GROWTH A	0.00	9.02	0.00	9.02	95.0	8.57
04/03/2017	JENDRUSINA, ROGER	PUTNAM MULTI CAP GROWTH A	0.00	43.16	0.00	43.16	95.0	41.00
04/03/2017	MIKLEVICH, MICHAEL	PUTNAM MULTI CAP GROWTH A	0.00	30.59	0.00	30.59	95.0	29.06
04/03/2017	RANCOURT, RICHARD	PUTNAM MULTI CAP GROWTH A	0.00	10.66	0.00	10.66	95.0	10.13
04/03/2017	RANCOURT, RICHARD	PUTNAM MULTI CAP GROWTH A	0.00	5.95	0.00	5.95	95.0	5.65

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<b><u>BROKER TRANSACTIONS</u></b>								
<b><u>PRODUCT CATEGORY: MUTUAL FUNDS</u></b>								
04/03/2017	JOHNSON, DANIEL	PUTNAM MULTI CAP GROWTH A	0.00	3.84	0.00	3.84	95.0	3.65
04/03/2017	BABIN, WILLIAM	PUTNAM MULTI CAP GROWTH A	0.00	48.57	0.00	48.57	95.0	46.14
04/03/2017	LOWE, EMILY	PUTNAM MULTI CAP GROWTH A	0.00	0.13	0.00	0.13	95.0	0.12
04/03/2017	TUCKER, LINDA	PUTNAM MULTI CAP GROWTH A	0.00	1.27	0.00	1.27	95.0	1.21
04/03/2017	HARRISON, EDWARD	PUTNAM MULTI CAP GROWTH A	0.00	0.55	0.00	0.55	95.0	0.52
04/03/2017	DEMERJIAN, CARL	PUTNAM MULTI CAP GROWTH A	0.00	0.86	0.00	0.86	95.0	0.82
04/03/2017	JOUPPI, JEFFREY	PUTNAM MULTI CAP GROWTH A	0.00	4.33	0.00	4.33	95.0	4.11
04/03/2017	WEAVER, RONALD	PUTNAM MULTI CAP GROWTH A	0.00	3.55	0.00	3.55	95.0	3.37
04/03/2017	WEAVER, RONALD	PUTNAM MULTI CAP GROWTH A	0.00	1.68	0.00	1.68	95.0	1.60
04/03/2017	BEDORE, CHARLES	PUTNAM MULTI CAP GROWTH A	0.00	15.57	0.00	15.57	95.0	14.79
04/03/2017	PLAN, CONVERSION	PUTNAM MULTI CAP GROWTH A	0.00	1.14	0.00	1.14	95.0	1.08
03/29/2017	O'CONNOR, TIMOTHY	PUTNAM MULTI-CAP GROWTH B	50.00	2.00	0.00	2.00	95.0	1.90
04/03/2017	O'CONNOR, TIMOTHY	PUTNAM MULTI-CAP GROWTH B	0.00	5.03	0.00	5.03	95.0	4.78
04/03/2017	MOUSSA, PATRICK	PUTNAM MULTI-CAP GROWTH B	0.00	1.38	0.00	1.38	95.0	1.31
04/03/2017	TUCKER, LINDA	PUTNAM RESEARCH A	0.00	1.38	0.00	1.38	95.0	1.31
04/03/2017	ALLEGRIANA, JULIE	PUTNAM RETIREMENT READY 746859602	0.00	2.17	0.00	2.17	95.0	2.06
04/03/2017	VIVIANO, SAM	PUTNAM TAX-FREE HIGH YIELD-A	0.00	4.99	0.00	4.99	95.0	4.74
04/03/2017	KRAUSE, BARBARA	PUTNAM TAX-FREE HIGH YIELD-A	0.00	111.45	0.00	111.45	95.0	105.88
/ /	BERDESKI, AUDREY	RYDEX GUGG S&P 500 H	0.00	1.38	0.00	1.38	95.0	1.31
/ /	KANAKRI, JOSEPH	RYDEX GUGG S&P 500 H	0.00	0.63	0.00	0.63	95.0	0.60
/ /	WAGNER, SHARON	RYDEX GUGG S&P 500 H	0.00	0.45	0.00	0.45	95.0	0.43
/ /	BERDESKI, AUDREY	RYDEXGUGGENHEIM INVERSE NASDAQ 100	0.00	0.34	0.00	0.34	95.0	0.32
/ /	KANAKRI, JOSEPH	RYDEXGUGGENHEIM INVERSE NASDAQ 100	0.00	0.16	0.00	0.16	95.0	0.15
/ /	WAGNER, SHARON	RYDEXGUGGENHEIM INVERSE NASDAQ 100	0.00	0.11	0.00	0.11	95.0	0.10
04/04/2017	PETERSON, ALEXA	TRANSAMERICA AA CONSERVATIVE C	0.00	33.17	0.00	33.17	95.0	31.51
04/04/2017	PETERSON, TREY	TRANSAMERICA AA CONSERVATIVE C	0.00	33.17	0.00	33.17	95.0	31.51
04/04/2017	KING, ALEXANDER	TRANSAMERICA AA GROWTH A	0.00	7.88	0.00	7.88	95.0	7.49
04/04/2017	MOORE, MICHELLE	TRANSAMERICA AA GROWTH A	0.00	11.58	0.00	11.58	95.0	11.00
04/04/2017	KUCHAREK, MARK	TRANSAMERICA AA GROWTH A	0.00	19.39	0.00	19.39	95.0	18.42
04/04/2017	HESTER, RICHARD	TRANSAMERICA AA GROWTH A	0.00	5.46	0.00	5.46	95.0	5.19
04/04/2017	SOLDAN, JULIE	TRANSAMERICA AA GROWTH A	0.00	9.39	0.00	9.39	95.0	8.92
04/04/2017	RYAN, KIMBERLY	TRANSAMERICA AA GROWTH A	0.00	3.36	0.00	3.36	95.0	3.19
04/04/2017	KING, NATHAN	TRANSAMERICA AA GROWTH A	0.00	3.44	0.00	3.44	95.0	3.27

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<b><u>PRODUCT CATEGORY: MUTUAL FUNDS</u></b>								
04/04/2017	RYAN, JONATHON	TRANSAMERICA AA GROWTH A	0.00	8.40	0.00	8.40	95.0	7.98
04/04/2017	MALAVOLTI, KURT	TRANSAMERICA AA GROWTH A	0.00	10.10	0.00	10.10	95.0	9.60
04/04/2017	KUCHAREK, MARK	TRANSAMERICA AA GROWTH B	0.00	11.18	0.00	11.18	95.0	10.62
04/04/2017	HESTER, RICHARD	TRANSAMERICA AA GROWTH B	0.00	3.11	0.00	3.11	95.0	2.95
03/28/2017	MAYNARD, TRAVIS	TRANSAMERICA AA GROWTH C	600.00	6.00	0.00	6.00	95.0	5.70
03/28/2017	KUCHAREK, NORMA	TRANSAMERICA AA GROWTH C	50.00	0.50	0.00	0.50	95.0	0.48
04/04/2017	RICE, STEPHANIE	TRANSAMERICA AA GROWTH C	0.00	4.64	0.00	4.64	95.0	4.41
04/04/2017	TAMM, JAMES	TRANSAMERICA AA GROWTH C	0.00	2.54	0.00	2.54	95.0	2.41
04/04/2017	KUCHAREK, MARK	TRANSAMERICA AA GROWTH C	0.00	4.70	0.00	4.70	95.0	4.47
04/04/2017	HESTER, RICHARD	TRANSAMERICA AA GROWTH C	0.00	15.61	0.00	15.61	95.0	14.83
04/04/2017	SULLIVAN, MICHAEL	TRANSAMERICA AA GROWTH C	0.00	19.63	0.00	19.63	95.0	18.65
04/04/2017	MAYNARD, TRAVIS	TRANSAMERICA AA GROWTH C	0.00	1.55	0.00	1.55	95.0	1.47
04/04/2017	DUMOND, PHYLLIS	TRANSAMERICA AA GROWTH C	0.00	9.37	0.00	9.37	95.0	8.90
04/04/2017	COOPER, LISA	TRANSAMERICA AA GROWTH C	0.00	0.44	0.00	0.44	95.0	0.42
04/04/2017	WEBSTER, BRIAN	TRANSAMERICA AA GROWTH C	0.00	0.95	0.00	0.95	95.0	0.90
04/04/2017	JOUPPI, JEFFREY	TRANSAMERICA AA GROWTH C	0.00	81.21	0.00	81.21	95.0	77.15
04/04/2017	SCALF, MARSHA	TRANSAMERICA AA GROWTH C	0.00	32.66	0.00	32.66	95.0	31.03
04/04/2017	COMAN, RONALD	TRANSAMERICA AA GROWTH C	0.00	19.26	0.00	19.26	95.0	18.30
04/04/2017	PALAZZOLO, SALATORE	TRANSAMERICA AA GROWTH C	0.00	11.41	0.00	11.41	95.0	10.84
04/04/2017	BARTOI, MIKAELA	TRANSAMERICA AA GROWTH C	0.00	3.84	0.00	3.84	95.0	3.65
04/04/2017	ROWAN, CHRISTINE	TRANSAMERICA AA GROWTH C	0.00	26.11	0.00	26.11	95.0	24.80
04/04/2017	KUCHAREK, NORMA	TRANSAMERICA AA GROWTH C	0.00	8.03	0.00	8.03	95.0	7.63
04/04/2017	NEIRINCK, DONNA	TRANSAMERICA AA GROWTH C	0.00	16.37	0.00	16.37	95.0	15.55
04/04/2017	OLSEN, MARTHA	TRANSAMERICA AA GROWTH C	0.00	9.80	0.00	9.80	95.0	9.31
04/04/2017	HESSLER, GARY	TRANSAMERICA AA GROWTH C	0.00	38.28	0.00	38.28	95.0	36.37
04/04/2017	BLANKENSHIP, JANET	TRANSAMERICA AA GROWTH C	0.00	11.15	0.00	11.15	95.0	10.59
04/04/2017	RONDO, DENISE	TRANSAMERICA AA GROWTH C	0.00	11.60	0.00	11.60	95.0	11.02
04/04/2017	PALAZZOLO, ANNA	TRANSAMERICA AA GROWTH C	0.00	17.91	0.00	17.91	95.0	17.01
04/04/2017	LINDOW, RONALD	TRANSAMERICA AA GROWTH C	0.00	1.43	0.00	1.43	95.0	1.36
04/04/2017	WILMAN, ANN	TRANSAMERICA AA GROWTH C	0.00	54.92	0.00	54.92	95.0	52.17
04/04/2017	KUCHAREK, MARK	TRANSAMERICA AA GROWTH C	0.00	35.50	0.00	35.50	95.0	33.73
04/04/2017	LOPICCOLO, CATHERINE	TRANSAMERICA AA GROWTH C	0.00	37.74	0.00	37.74	95.0	35.85
04/04/2017	WATKINS, KATHRYN	TRANSAMERICA AA GROWTH C	0.00	7.75	0.00	7.75	95.0	7.36

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<b><u>BROKER TRANSACTIONS</u></b>								
<b><u>PRODUCT CATEGORY: MUTUAL FUNDS</u></b>								
04/04/2017	DUMOND, PHYLLIS	TRANSAMERICA AA GROWTH C	0.00	21.09	0.00	21.09	95.0	20.04
04/04/2017	RIOS-DORIA, H. WALTER	TRANSAMERICA AA GROWTH C	0.00	45.97	0.00	45.97	95.0	43.67
04/04/2017	WATKINS, KATHRYN	TRANSAMERICA AA GROWTH C	0.00	5.47	0.00	5.47	95.0	5.20
04/04/2017	WETZEL, TIFFANY	TRANSAMERICA AA GROWTH C	0.00	12.57	0.00	12.57	95.0	11.94
04/04/2017	KEELER, DAVID	TRANSAMERICA AA GROWTH C	0.00	46.37	0.00	46.37	95.0	44.05
04/04/2017	HILDEBRAND, JOSEPH	TRANSAMERICA AA GROWTH C	0.00	25.91	0.00	25.91	95.0	24.61
04/04/2017	DEHEM, GARY	TRANSAMERICA AA GROWTH C	0.00	36.48	0.00	36.48	95.0	34.66
04/04/2017	LINDOW, RICHARD	TRANSAMERICA AA GROWTH C	0.00	22.35	0.00	22.35	95.0	21.23
04/04/2017	MULDOON, SHEILA	TRANSAMERICA AA GROWTH C	0.00	22.89	0.00	22.89	95.0	21.75
04/04/2017	KUCHAREK, SARAH	TRANSAMERICA AA GROWTH C	0.00	4.62	0.00	4.62	95.0	4.39
04/04/2017	HECKER, GENE	TRANSAMERICA AA GROWTH C	0.00	9.12	0.00	9.12	95.0	8.66
04/04/2017	WATERS, SALLY	TRANSAMERICA AA GROWTH C	0.00	12.56	0.00	12.56	95.0	11.93
04/04/2017	WATERS, WILLIAM	TRANSAMERICA AA GROWTH C	0.00	4.87	0.00	4.87	95.0	4.63
04/04/2017	TOBEY, TIMOTHY	TRANSAMERICA AA GROWTH C	0.00	12.07	0.00	12.07	95.0	11.47
04/04/2017	FARRAR, CHARLES	TRANSAMERICA AA GROWTH C	0.00	13.01	0.00	13.01	95.0	12.36
04/04/2017	BUSZEK, PAUL	TRANSAMERICA AA GROWTH C	0.00	3.06	0.00	3.06	95.0	2.91
04/04/2017	PALAZZOLO, SALVATORE	TRANSAMERICA AA GROWTH C	0.00	13.41	0.00	13.41	95.0	12.74
04/04/2017	BASTIN, TIFFANY	TRANSAMERICA AA GROWTH C	0.00	1.59	0.00	1.59	95.0	1.51
04/04/2017	RICE, STEPHANIE	TRANSAMERICA AA GROWTH C	0.00	1.82	0.00	1.82	95.0	1.73
04/04/2017	KAWALA, CHRISTINA	TRANSAMERICA AA GROWTH C	0.00	44.45	0.00	44.45	95.0	42.23
04/07/2017	LOPICCOLO, CATHERINE	TRANSAMERICA AA GROWTH C	128.38	1.28	0.00	1.28	95.0	1.22
04/04/2017	KUCHAREK, PAUL	TRANSAMERICA AA MOD GROWTH A	0.00	37.70	0.00	37.70	95.0	35.82
04/04/2017	MERRITT TRUST, LEO	TRANSAMERICA AA MOD GROWTH A	0.00	44.36	0.00	44.36	95.0	42.14
04/04/2017	KUCHAREK, PAUL	TRANSAMERICA AA MOD GROWTH B	0.00	10.03	0.00	10.03	95.0	9.53
04/04/2017	KOLLINGER, ROBERT	TRANSAMERICA AA MOD GROWTH C	0.00	0.89	0.00	0.89	95.0	0.85
04/04/2017	HOVIS, MARJORIE	TRANSAMERICA AA MOD GROWTH C	0.00	3.47	0.00	3.47	95.0	3.30
04/04/2017	BELLINGER, VICKIE	TRANSAMERICA AA MOD GROWTH C	0.00	34.32	0.00	34.32	95.0	32.60
04/04/2017	BELLINGER, GEORGE	TRANSAMERICA AA MOD GROWTH C	0.00	27.63	0.00	27.63	95.0	26.25
04/04/2017	POLENYCHKO, SHIRLEY	TRANSAMERICA AA MOD GROWTH C	0.00	8.88	0.00	8.88	95.0	8.44
04/04/2017	AUGUSTYN, PATRICIA	TRANSAMERICA AA MOD GROWTH C	0.00	11.32	0.00	11.32	95.0	10.75
04/04/2017	BLANKENSHIP, JANET	TRANSAMERICA AA MOD GROWTH C	0.00	199.80	0.00	199.80	95.0	189.81
04/04/2017	KOLLINGER, CINDY	TRANSAMERICA AA MOD GROWTH C	0.00	9.14	0.00	9.14	95.0	8.68
04/04/2017	KEELER, DAVID	TRANSAMERICA AA MOD GROWTH C	0.00	20.95	0.00	20.95	95.0	19.90

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<b><u>BROKER TRANSACTIONS</u></b>								
<b><u>PRODUCT CATEGORY: MUTUAL FUNDS</u></b>								
04/04/2017	TYSZKIEWICZ, KURT	TRANSAMERICA AA MOD GROWTH C	0.00	22.82	0.00	22.82	95.0	21.68
04/04/2017	KUCHAREK, MARCIA	TRANSAMERICA AA MOD GROWTH C	0.00	11.84	0.00	11.84	95.0	11.25
04/04/2017	MCGUIRE, MARY	TRANSAMERICA AA MOD GROWTH C	0.00	15.30	0.00	15.30	95.0	14.54
04/04/2017	LEHMAN, JEFFREY	TRANSAMERICA AA MOD GROWTH C	0.00	0.11	0.00	0.11	95.0	0.10
04/04/2017	HENRY, JACQUELINE	TRANSAMERICA AA MOD GROWTH C	0.00	29.67	0.00	29.67	95.0	28.19
04/04/2017	O'CONNOR, FRANCIS	TRANSAMERICA AA MOD GROWTH C	0.00	52.58	0.00	52.58	95.0	49.95
04/04/2017	SEISSER, JAMES	TRANSAMERICA AA MOD GROWTH C	0.00	5.48	0.00	5.48	95.0	5.21
04/04/2017	BAKER, JEAN-ANNE	TRANSAMERICA AA MOD GROWTH C	0.00	36.75	0.00	36.75	95.0	34.91
04/04/2017	KOSANKE, BARBARA	TRANSAMERICA AA MOD GROWTH C	0.00	30.96	0.00	30.96	95.0	29.41
04/04/2017	DEW, DESIREE	TRANSAMERICA AA MOD GROWTH C	0.00	42.67	0.00	42.67	95.0	40.54
04/04/2017	FRANKS, JACQUELINE	TRANSAMERICA AA MOD GROWTH C	0.00	3.82	0.00	3.82	95.0	3.63
04/04/2017	MODRYCKI, DONALD	TRANSAMERICA AA MOD GROWTH C	0.00	7.32	0.00	7.32	95.0	6.95
04/04/2017	CYRULEWSKI TRUST, LOIS	TRANSAMERICA AA MOD GROWTH C	0.00	11.78	0.00	11.78	95.0	11.19
04/04/2017	NIZIO, EDMUND	TRANSAMERICA AA MOD GROWTH C	0.00	3.45	0.00	3.45	95.0	3.28
04/04/2017	PALAZZOLO, SALATORE	TRANSAMERICA AA MOD GROWTH C	0.00	9.35	0.00	9.35	95.0	8.88
04/04/2017	KOSANKE, CHARLES W	TRANSAMERICA AA MOD GROWTH C	0.00	15.94	0.00	15.94	95.0	15.14
04/04/2017	MERRITT, MARY LOU	TRANSAMERICA AA MOD GROWTH C	0.00	111.32	0.00	111.32	95.0	105.75
04/04/2017	GROBAR TRUST, MARVIN & MARY	TRANSAMERICA AA MOD GROWTH C	0.00	3.55	0.00	3.55	95.0	3.37
04/04/2017	OLSEN, MARTHA	TRANSAMERICA AA MOD GROWTH C	0.00	9.47	0.00	9.47	95.0	9.00
04/04/2017	SARKISIAN, NORAY	TRANSAMERICA AA MOD GROWTH C	0.00	9.70	0.00	9.70	95.0	9.22
04/04/2017	SARKISIAN, NORAY	TRANSAMERICA AA MOD GROWTH C	0.00	4.90	0.00	4.90	95.0	4.66
04/04/2017	CARLSON, PATRICIA	TRANSAMERICA AA MOD GROWTH C	0.00	2.62	0.00	2.62	95.0	2.49
04/04/2017	RIOS-DORIA, H. WALTER	TRANSAMERICA AA MOD GROWTH C	0.00	42.83	0.00	42.83	95.0	40.69
04/04/2017	RYAN, VICKI	TRANSAMERICA AA MOD GROWTH C	0.00	3.37	0.00	3.37	95.0	3.20
04/04/2017	RYAN, KAREN	TRANSAMERICA AA MOD GROWTH C	0.00	3.35	0.00	3.35	95.0	3.18
04/04/2017	TYSZKIEWICZ TRUST, RONALD &	TRANSAMERICA AA MOD GROWTH C	0.00	3.92	0.00	3.92	95.0	3.72
04/04/2017	THOMAS, DEBORAH	TRANSAMERICA AA MOD GROWTH C	0.00	9.32	0.00	9.32	95.0	8.85
04/04/2017	BARTOI, MIKAELA	TRANSAMERICA AA MOD GROWTH C	0.00	146.43	0.00	146.43	95.0	139.11
04/04/2017	BUTLER, SANDRA	TRANSAMERICA AA MOD GROWTH C	0.00	52.23	0.00	52.23	95.0	49.62
04/04/2017	KANAKRI, JOSEPH	TRANSAMERICA AA MOD GROWTH C	0.00	2.03	0.00	2.03	95.0	1.93
04/04/2017	KANAKRI, MARIA	TRANSAMERICA AA MOD GROWTH C	0.00	3.19	0.00	3.19	95.0	3.03
04/04/2017	BUSZEK, PAUL	TRANSAMERICA AA MOD GROWTH C	0.00	25.16	0.00	25.16	95.0	23.90
04/04/2017	KAWALA, CHRISTINA	TRANSAMERICA AA MOD GROWTH C	0.00	46.13	0.00	46.13	95.0	43.82

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<b><u>BROKER TRANSACTIONS</u></b>								
<b>PRODUCT CATEGORY: MUTUAL FUNDS</b>								
04/04/2017	KAWALA, CHRISTINA	TRANSAMERICA AA MOD GROWTH C	0.00	108.47	0.00	108.47	95.0	103.05
04/04/2017	DUMOND, PHYLLIS	TRANSAMERICA AA MODERATE A	0.00	10.28	0.00	10.28	95.0	9.77
04/04/2017	MIJAL, SHARON	TRANSAMERICA AA MODERATE A	0.00	12.61	0.00	12.61	95.0	11.98
04/04/2017	SARKISIAN, NORAY	TRANSAMERICA AA MODERATE C	0.00	22.03	0.00	22.03	95.0	20.93
04/04/2017	SIMONY, JOAN	TRANSAMERICA AA MODERATE C	0.00	68.44	0.00	68.44	95.0	65.02
04/04/2017	SARKISIAN, NORAY	TRANSAMERICA AA MODERATE C	0.00	0.75	0.00	0.75	95.0	0.71
04/04/2017	MOORE, LOUIS	TRANSAMERICA AA MODERATE C	0.00	83.62	0.00	83.62	95.0	79.44
04/04/2017	MADIGAN, JOHN	TRANSAMERICA CAPITAL GROWTH A	0.00	0.53	0.00	0.53	95.0	0.50
04/04/2017	BACHTELL, JAMES	TRANSAMERICA DIVERSIFIED EQUITY A	0.00	16.01	0.00	16.01	95.0	15.21
04/04/2017	BOYER, KENNETH	TRANSAMERICA DIVERSIFIED EQUITY A	0.00	12.13	0.00	12.13	95.0	11.52
04/04/2017	CHATTULANI, DIANA	TRANSAMERICA DIVERSIFIED EQUITY A	0.00	8.09	0.00	8.09	95.0	7.69
04/04/2017	HORTON, RICHARD	TRANSAMERICA DIVERSIFIED EQUITY A	0.00	5.51	0.00	5.51	95.0	5.23
04/04/2017	WONCH, ELIZABETH	TRANSAMERICA DIVERSIFIED EQUITY A	0.00	0.86	0.00	0.86	95.0	0.82
04/04/2017	WILLIAMS, DAVID	TRANSAMERICA DIVERSIFIED EQUITY A	0.00	2.03	0.00	2.03	95.0	1.93
04/04/2017	WILLIAMS, DAVID	TRANSAMERICA DIVERSIFIED EQUITY A	0.00	7.19	0.00	7.19	95.0	6.83
04/04/2017	DOYLE, CHRISTINE	TRANSAMERICA MULTI MGR ALT STRATEGI	0.00	1.25	0.00	1.25	95.0	1.19
04/04/2017	HILDEBRAND, JOSEPH	TRANSAMERICA MULTI MGR ALT STRATEGI	0.00	9.71	0.00	9.71	95.0	9.22
04/04/2017	COOPER, IAN	TRANSAMERICA MULTI MGR INTL A	0.00	4.25	0.00	4.25	95.0	4.04
04/04/2017	PALAZZOLO, SALATORE	TRANSAMERICA MULTI MGR INTL C	0.00	0.30	0.00	0.30	95.0	0.29
04/04/2017	BARTOI, JOHN	TRANSAMERICA MULTI MGR INTL C	0.00	11.56	0.00	11.56	95.0	10.98
04/04/2017	BARTOI, MIKAELA	TRANSAMERICA MULTI MGR INTL C	0.00	8.11	0.00	8.11	95.0	7.70
04/04/2017	FARRAR, CHARLES	TRANSAMERICA MULTI MGR INTL C	0.00	31.19	0.00	31.19	95.0	29.63
04/04/2017	WILMAN, ANN	TRANSAMERICA MULTI MGR INTL C	0.00	22.53	0.00	22.53	95.0	21.40
04/04/2017	KUCHAREK, MARK	TRANSAMERICA MULTI MGR INTL C	0.00	9.46	0.00	9.46	95.0	8.99
04/04/2017	DUMOND, PHYLLIS	TRANSAMERICA MULTI MGR INTL C	0.00	4.56	0.00	4.56	95.0	4.33
04/04/2017	KEELER, DAVID	TRANSAMERICA MULTI MGR INTL C	0.00	12.64	0.00	12.64	95.0	12.01
04/04/2017	HILDEBRAND, JOSEPH	TRANSAMERICA MULTI MGR INTL C	0.00	10.95	0.00	10.95	95.0	10.40
04/04/2017	DEHEM, GARY	TRANSAMERICA MULTI MGR INTL C	0.00	13.31	0.00	13.31	95.0	12.64
04/04/2017	KAWALA, CHRISTINA	TRANSAMERICA MULTI MGR INTL C	0.00	12.79	0.00	12.79	95.0	12.15
04/04/2017	MERRITT, GREGORY	TRANSAMERICA MULTI-MANAGED BAL A	0.00	11.19	0.00	11.19	95.0	10.63
04/04/2017	KOGUT, MONICA	TRANSAMERICA MULTI-MANAGED BAL A	0.00	2.20	0.00	2.20	95.0	2.09
04/04/2017	ALLEN, BRADLEY	TRANSAMERICA MULTI-MANAGED BAL C	0.00	30.40	0.00	30.40	95.0	28.88
04/04/2017	WAGNER, MALLORY	TRANSAMERICA MULTI-MANAGED BAL C	0.00	2.92	0.00	2.92	95.0	2.77

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<b><u>BROKER TRANSACTIONS</u></b>								
<b><u>PRODUCT CATEGORY: MUTUAL FUNDS</u></b>								
04/04/2017	EVANS, SANDRA	TRANSAMERICA MULTI-MANAGED BAL C	0.00	6.12	0.00	6.12	95.0	5.81
04/04/2017	EVANS, ROBERT	TRANSAMERICA MULTI-MANAGED BAL C	0.00	7.34	0.00	7.34	95.0	6.97
04/04/2017	GRECH, ROSALIE	TRANSAMERICA MULTI-MANAGED BAL C	0.00	30.97	0.00	30.97	95.0	29.42
04/04/2017	CANNON TRUST, HENRY & BARBARA	TRANSAMERICA MULTI-MANAGED BAL C	0.00	108.86	0.00	108.86	95.0	103.42
04/04/2017	WEYCKER, AARON	TRANSAMERICA MULTI-MANAGED BAL C	0.00	40.78	0.00	40.78	95.0	38.74
04/04/2017	WEYCKER, AARON	TRANSAMERICA MULTI-MANAGED BAL C	0.00	6.80	0.00	6.80	95.0	6.46
04/04/2017	DOUTSAS, MADELYN	TRANSAMERICA MULTI-MANAGED BAL C	0.00	3.00	0.00	3.00	95.0	2.85
04/04/2017	HOOTNER-JONES, ANN	TRANSAMERICA MULTI-MANAGED BAL C	0.00	2.68	0.00	2.68	95.0	2.55
04/04/2017	ORTAGO, PAULA	TRANSAMERICA MULTI-MANAGED BAL C	0.00	10.24	0.00	10.24	95.0	9.73
04/04/2017	WEYCKER, ROBERT	TRANSAMERICA MULTI-MANAGED BAL C	0.00	11.04	0.00	11.04	95.0	10.49
04/04/2017	RICHARDSON, SHANE	TRANSAMERICA MULTI-MANAGED BAL C	0.00	1.19	0.00	1.19	95.0	1.13
04/04/2017	MAGGARD, LORETTA	TRANSAMERICA MULTI-MANAGED BAL C	0.00	12.98	0.00	12.98	95.0	12.33
04/04/2017	KAWALA, CHRISTINA	TRANSAMERICA MULTI-MANAGED BAL C	0.00	16.77	0.00	16.77	95.0	15.93
04/04/2017	EICHENLAUB, TRACEY	TRANSAMERICA MULTI-MANAGED BAL C	0.00	34.03	0.00	34.03	95.0	32.33
04/04/2017	BELLINGER, VICKIE	TRANSAMERICA MULTI-MANAGED BAL C	0.00	4.84	0.00	4.84	95.0	4.60
04/04/2017	OLSEN, MARTHA	TRANSAMERICA MULTI-MANAGED BAL C	0.00	10.34	0.00	10.34	95.0	9.82
04/04/2017	JOHNSON, DONNA	TRANSAMERICA MULTI-MANAGED BAL C	0.00	2.87	0.00	2.87	95.0	2.73
04/04/2017	MOORE, SUSAN ANN PRIES	TRANSAMERICA MULTI-MANAGED BAL C	0.00	62.41	0.00	62.41	95.0	59.29
04/04/2017	YOUNG, RICK	TRANSAMERICA MULTI-MANAGED BAL C	0.00	131.66	0.00	131.66	95.0	125.08
04/04/2017	JOHNSON, DONNA	TRANSAMERICA MULTI-MANAGED BAL C	0.00	25.27	0.00	25.27	95.0	24.01
04/04/2017	DINKA, CATHERINE	TRANSAMERICA MULTI-MANAGED BAL C	0.00	76.86	0.00	76.86	95.0	73.02
04/04/2017	PARKE, DEBORAH	TRANSAMERICA MULTI-MANAGED BAL C	0.00	1.68	0.00	1.68	95.0	1.60
04/04/2017	SMITH, MARTHA	TRANSAMERICA MULTI-MANAGED BAL C	0.00	98.94	0.00	98.94	95.0	93.99
04/04/2017	FARRAR, KAREN	TRANSAMERICA MULTI-MANAGED BAL C	0.00	42.62	0.00	42.62	95.0	40.49
04/04/2017	EICHENLAUB, TRACEY	TRANSAMERICA MULTI-MANAGED BAL C	0.00	20.34	0.00	20.34	95.0	19.32
04/04/2017	ROLLINGS, DEBORAH	TRANSAMERICA MULTI-MANAGED BAL C	0.00	28.57	0.00	28.57	95.0	27.14
04/04/2017	ALLEN, BRADLEY	TRANSAMERICA MULTI-MANAGED BAL C	0.00	28.57	0.00	28.57	95.0	27.14
04/04/2017	DOUTSAS, MADELYN	TRANSAMERICA MULTI-MANAGED BAL C	0.00	21.44	0.00	21.44	95.0	20.37
04/04/2017	DOUTSAS, ALEXANDER	TRANSAMERICA MULTI-MANAGED BAL C	0.00	6.35	0.00	6.35	95.0	6.03
04/04/2017	CROSSFIRE GROUP Q3AM	TRANSAMERICA SHORT-TERM BOND A	0.00	0.75	0.00	0.75	95.0	0.71
04/04/2017	GRAMMATICO, DENNIS	TRANSAMERICA SHORT-TERM BOND C	0.00	7.24	0.00	7.24	95.0	6.88
04/04/2017	GRAMMATICO, SHARON	TRANSAMERICA SHORT-TERM BOND C	0.00	7.25	0.00	7.25	95.0	6.89
04/04/2017	SARKISIAN, NORAY	TRANSAMERICA SHORT-TERM BOND C	0.00	29.78	0.00	29.78	95.0	28.29

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<b><u>BROKER TRANSACTIONS</u></b>								
<b><u>PRODUCT CATEGORY: MUTUAL FUNDS</u></b>								
04/04/2017	MERRITT, MARY LOU	TRANSAMERICA SHORT-TERM BOND C	0.00	22.53	0.00	22.53	95.0	21.40
04/04/2017	O'CONNOR, FRANCIS	TRANSAMERICA SHORT-TERM BOND C	0.00	64.86	0.00	64.86	95.0	61.62
04/04/2017	CHRONOWSKI, THEODORA	TRANSAMERICA SHORT-TERM BOND C	0.00	15.41	0.00	15.41	95.0	14.64
04/04/2017	HOOTNER-JONES, ANN	TRANSAMERICA SHORT-TERM BOND C	0.00	8.10	0.00	8.10	95.0	7.70
04/04/2017	RYAN, JACK	TRANSAMERICA SHORT-TERM BOND C	0.00	8.66	0.00	8.66	95.0	8.23
04/04/2017	RYAN, KAREN	TRANSAMERICA SHORT-TERM BOND C	0.00	8.31	0.00	8.31	95.0	7.89
04/04/2017	KNIGHT, SHARON	TRANSAMERICA SMALL/MID CAP VALUE C	0.00	11.96	0.00	11.96	95.0	11.36
04/04/2017	EVANS, SANDRA	TRANSAMERICA TACTICAL INCOME C	0.00	4.71	0.00	4.71	95.0	4.47
04/04/2017	EVANS, ROBERT	TRANSAMERICA TACTICAL INCOME C	0.00	5.64	0.00	5.64	95.0	5.36
04/04/2017	KAWALA, CHRISTINA	TRANSAMERICA TACTICAL INCOME C	0.00	3.14	0.00	3.14	95.0	2.98
04/04/2017	PIZZO, ROSOLINO	TRANSAMERICA WMC DIV EQUITY C	0.00	1.88	0.00	1.88	95.0	1.79
<b>* MUTUAL FUNDS SUBTOTAL *</b>			<b>\$9,127.05</b>	<b>\$8,984.75</b>	<b>\$0.00</b>	<b>\$8,984.75</b>		<b>\$8,458.94</b>
<b><u>PRODUCT CATEGORY: VARIABLE ANNUITIES</u></b>								
03/31/2017	BERTRAND, C JERRY	JNL ELITE ACCESS	58,137.68	24.22	0.00	24.22	95.0	23.01
03/31/2017	MELTZER, CLARENCE	JNL PERSPECTIVE ADVANTAGE	22,193.13	18.49	0.00	18.49	95.0	17.57
03/31/2017	COVYEAU, FREDERICK J & B	JNL PERSPECTIVE II	92,555.43	38.56	0.00	38.56	95.0	36.63
03/31/2017	JEANNETTE, JUSTIN	JNL PERSPECTIVE II 05/05	487.72	0.41	0.00	0.41	95.0	0.39
03/31/2017	KOSCIELSKI, RONALD	JNL PERSPECTIVE II 05/05	26,114.09	10.88	0.00	10.88	95.0	10.34
03/31/2017	CROSS, LINDA	JNL PERSPECTIVE II 05/05	5,742.77	2.39	0.00	2.39	95.0	2.27
03/31/2017	MAGGARD, LORETTA	JNL PERSPECTIVE II 05/05	43,959.97	18.32	0.00	18.32	95.0	17.40
03/31/2017	RANG, MARILYN	JNL PERSPECTIVE II 05/05	72,144.45	30.06	0.00	30.06	95.0	28.56
03/31/2017	MCDONALD, GLENN	JNL PERSPECTIVE II 05/05	171,786.50	71.58	0.00	71.58	95.0	68.00
03/31/2017	KEELER, SUSAN	JNL PERSPECTIVE II 05/05	125,147.40	52.14	0.00	52.14	95.0	49.53
03/31/2017	PIROZZO, PETER	JNL PERSPECTIVE L	49,555.83	53.69	0.00	53.69	95.0	51.01
03/31/2017	DIEM, LINDA	JOHN HANCOCK VENTURE	588.27	0.12	0.00	0.12	95.0	0.11
03/31/2017	SCERBAK, EILEEN	JOHN HANCOCK VENTURE	44,854.91	9.34	0.00	9.34	95.0	8.87
03/31/2017	TYMCZY, MARY JANE	JOHN HANCOCK VENTURE	6,832.36	1.42	0.00	1.42	95.0	1.35
03/31/2017	DANIEL, SABRINA	JOHN HANCOCK VENTURE	296.39	0.06	0.00	0.06	95.0	0.06
03/31/2017	MIKLEVICH, JOYTHUN	JOHN HANCOCK VENTURE	81,399.82	16.96	0.00	16.96	95.0	16.11
04/01/2017	ZUPP, ELEANOR	NATIONWIDE BOA FUTURE II 32	19,613.16	49.03	0.00	49.03	95.0	46.58
03/31/2017	MIKLEVICH, MICHAEL	PRU AS ADVISOR PLAN - 1993	63,945.42	39.97	0.00	39.97	95.0	37.97
03/31/2017	O'CONNOR, FRANCIS	PRU AS ADVISOR PLAN - 1993	12,079.56	7.55	0.00	7.55	95.0	7.17
03/31/2017	HILDEBRAND, JOSEPH	PRU AS ADVISOR PLAN - 1993	19,158.96	11.97	0.00	11.97	95.0	11.37

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<b><u>BROKER TRANSACTIONS</u></b>								
<b><u>PRODUCT CATEGORY: VARIABLE ANNUITIES</u></b>								
03/31/2017	WEHLER, MARY ANN	PRU AS ADVISOR PLAN - 1993	41,220.66	25.76	0.00	25.76	95.0	24.47
03/31/2017	AVOURIS, TIMOTHY	PRU AS ADVISOR PLAN II - 1996	50,466.64	31.54	0.00	31.54	95.0	29.96
03/31/2017	CAVERLY, KEVIN	PRU AS ADVISOR PLAN II - 1996	3,637.98	2.27	0.00	2.27	95.0	2.16
03/31/2017	HATHAWAY, DEBORAH	PRU AS ADVISOR PLAN II - 1996	2,770.59	1.73	0.00	1.73	95.0	1.64
03/31/2017	POLENYCHKO, SHIRLEY	PRU AS APEX II	15,882.33	39.71	0.00	39.71	95.0	37.72
03/31/2017	POLENYCHKO, SHIRLEY	PRU AS APEX II	15,882.33	9.93	0.00	9.93	95.0	9.43
03/31/2017	HAZARD, JOHN	PRU AS APEX II	86,539.29	216.35	0.00	216.35	95.0	205.53
03/31/2017	HAZARD, JOHN	PRU AS APEX II	86,539.29	54.09	0.00	54.09	95.0	51.39
03/31/2017	SOBIESKI, JOYCE	PRU AS LIFEVEST II	19,412.64	12.13	0.00	12.13	95.0	11.52
03/31/2017	SOBIESKI, JOYCE	PRU AS LIFEVEST II	19,412.64	36.40	0.00	36.40	95.0	34.58
03/31/2017	YANIS, ROSANN	PRU AS LIFEVEST II	43,939.02	27.46	0.00	27.46	95.0	26.09
03/31/2017	YANIS, ROSANN	PRU AS LIFEVEST II	43,939.02	82.39	0.00	82.39	95.0	78.27
03/31/2017	ELLIOT, JAMES	PRU AS LIFEVEST II	215,183.11	134.49	0.00	134.49	95.0	127.77
03/31/2017	ELLIOT, JAMES	PRU AS LIFEVEST II	215,183.11	403.47	0.00	403.47	95.0	383.30
03/31/2017	WETZEL, WILLIAM	PRU AS LIFEVEST II	32,559.54	20.35	0.00	20.35	95.0	19.33
03/31/2017	WETZEL, WILLIAM	PRU AS LIFEVEST II	32,559.54	61.05	0.00	61.05	95.0	58.00
03/31/2017	HOVIS, BARBARA	PRU AS LIFEVEST II	11,580.58	7.24	0.00	7.24	95.0	6.88
03/31/2017	HOVIS, BARBARA	PRU AS LIFEVEST II	11,580.58	21.71	0.00	21.71	95.0	20.62
03/31/2017	BLANKENSHIP, JANET	PRU AS LIFEVEST II	215,155.55	134.47	0.00	134.47	95.0	127.75
03/31/2017	BLANKENSHIP, JANET	PRU AS LIFEVEST II	215,155.55	403.42	0.00	403.42	95.0	383.25
03/31/2017	LOURIA, PHYLLIS	PRU AS LIFEVEST II	37,772.38	23.61	0.00	23.61	95.0	22.43
03/31/2017	LOURIA, PHYLLIS	PRU AS LIFEVEST II	37,772.38	70.82	0.00	70.82	95.0	67.28
03/31/2017	MERRITT, MARY LOU	PRU AS LIFEVEST II	111,217.36	69.51	0.00	69.51	95.0	66.03
03/31/2017	MERRITT, MARY LOU	PRU AS LIFEVEST II	111,217.36	208.53	0.00	208.53	95.0	198.10
03/31/2017	SARKISIAN, NORAY	PRU AS LIFEVEST II	66,343.27	41.46	0.00	41.46	95.0	39.39
03/31/2017	SARKISIAN, NORAY	PRU AS LIFEVEST II	66,343.27	124.39	0.00	124.39	95.0	118.17
03/31/2017	JOUPPI, SHARON	PRU AS LIFEVEST II	227,902.16	142.44	0.00	142.44	95.0	135.32
03/31/2017	JOUPPI, SHARON	PRU AS LIFEVEST II	227,902.16	427.32	0.00	427.32	95.0	405.95
03/31/2017	KOZIKOWSKI, TERRY	PRU AS XTRA CREDIT SIX	120,561.02	75.35	0.00	75.35	95.0	71.58
03/31/2017	KOZIKOWSKI, TERRY	PRU AS XTRA CREDIT SIX	120,561.02	75.35	0.00	75.35	95.0	71.58
03/31/2017	JEFFRIES, BARBARA	PRU AS XTRA CREDIT SIX	173,533.12	108.46	0.00	108.46	95.0	103.04
03/31/2017	JEFFRIES, BARBARA	PRU AS XTRA CREDIT SIX	173,533.12	108.46	0.00	108.46	95.0	103.04
03/31/2017	DALTON, GRACE	PRU AS XTRA CREDIT SIX	86,929.91	54.33	0.00	54.33	95.0	51.61

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<b><u>BROKER TRANSACTIONS</u></b>								
<b><u>PRODUCT CATEGORY: VARIABLE ANNUITIES</u></b>								
03/31/2017	DALTON, GRACE	PRU AS XTRA CREDIT SIX	86,929.91	54.33	0.00	54.33	95.0	51.61
03/31/2017	HOOTNER-JONES, ANN	PRU AS XTRA CREDIT SIX	145,308.63	90.82	0.00	90.82	95.0	86.28
03/31/2017	HOOTNER-JONES, ANN	PRU AS XTRA CREDIT SIX	145,308.63	90.82	0.00	90.82	95.0	86.28
03/31/2017	BELLINGER, VICKIE	PRU AS XTRA CREDIT SIX	348,609.29	217.88	0.00	217.88	95.0	206.99
03/31/2017	BELLINGER, VICKIE	PRU AS XTRA CREDIT SIX	348,609.29	217.88	0.00	217.88	95.0	206.99
03/31/2017	VOGEL, KEITH	PRU AS XTRA CREDIT SIX	35,048.80	21.91	0.00	21.91	95.0	20.81
03/31/2017	VOGEL, KEITH	PRU AS XTRA CREDIT SIX	35,048.80	21.91	0.00	21.91	95.0	20.81
03/31/2017	BAUMGART, ROY MARK	PRU AS XTRA CREDIT SIX	153,425.01	95.89	0.00	95.89	95.0	91.10
03/31/2017	BAUMGART, ROY MARK	PRU AS XTRA CREDIT SIX	153,425.01	95.89	0.00	95.89	95.0	91.10
03/31/2017	MCDONALD, VICKI	PRU AS XTRA CREDIT SIX	26,460.85	16.54	0.00	16.54	95.0	15.71
03/31/2017	MCDONALD, VICKI	PRU AS XTRA CREDIT SIX	26,460.85	16.54	0.00	16.54	95.0	15.71
03/31/2017	MCDONALD, CRAIG	PRU AS XTRA CREDIT SIX	21,676.42	13.55	0.00	13.55	95.0	12.87
03/31/2017	MCDONALD, CRAIG	PRU AS XTRA CREDIT SIX	21,676.42	13.55	0.00	13.55	95.0	12.87
03/31/2017	O'CONNOR, FRANCIS	PRU AS XTRA CREDIT SIX	25,769.17	16.11	0.00	16.11	95.0	15.30
03/31/2017	O'CONNOR, FRANCIS	PRU AS XTRA CREDIT SIX	25,769.17	16.11	0.00	16.11	95.0	15.30
03/31/2017	RIOS-DORIA, H	PRU AS XTRA CREDIT SIX	57,835.07	36.15	0.00	36.15	95.0	34.34
03/31/2017	RIOS-DORIA, H	PRU AS XTRA CREDIT SIX	57,835.07	36.15	0.00	36.15	95.0	34.34
03/31/2017	BUSZEK, PAUL	PRU AS XTRA CREDIT SIX	30,522.89	19.08	0.00	19.08	95.0	18.13
03/31/2017	BUSZEK, PAUL	PRU AS XTRA CREDIT SIX	30,522.89	19.08	0.00	19.08	95.0	18.13
03/31/2017	TAMM, JAMES	PRU AS XTRA CREDIT SIX	10,415.13	6.51	0.00	6.51	95.0	6.18
03/31/2017	TAMM, JAMES	PRU AS XTRA CREDIT SIX	10,415.13	6.51	0.00	6.51	95.0	6.18
03/31/2017	BAKER, GENE	PRU AS XTRA CREDIT SIX	215,717.96	134.82	0.00	134.82	95.0	128.08
03/31/2017	BAKER, GENE	PRU AS XTRA CREDIT SIX	215,717.96	134.82	0.00	134.82	95.0	128.08
03/31/2017	CHEUNG, EDWARD	PRU AS XTRA CREDIT SIX	306,049.27	191.28	0.00	191.28	95.0	181.72
03/31/2017	CHEUNG, EDWARD	PRU AS XTRA CREDIT SIX	306,049.27	191.28	0.00	191.28	95.0	181.72
03/31/2017	KAWALA, CHRISTINA	PRU AS XTRA CREDIT SIX	121,557.25	75.97	0.00	75.97	95.0	72.17
03/31/2017	KAWALA, CHRISTINA	PRU AS XTRA CREDIT SIX	121,557.25	75.97	0.00	75.97	95.0	72.17
03/31/2017	THOMSON, DOUGLAS	PRU AS XTRA CREDIT SIX	58,564.64	36.60	0.00	36.60	95.0	34.77
03/31/2017	THOMSON, DOUGLAS	PRU AS XTRA CREDIT SIX	58,564.64	36.60	0.00	36.60	95.0	34.77
03/31/2017	AMMAN, KATHLEEN	PRU AS XTRA CREDIT SIX	84,823.31	53.01	0.00	53.01	95.0	50.36
03/31/2017	AMMAN, KATHLEEN	PRU AS XTRA CREDIT SIX	84,823.31	53.01	0.00	53.01	95.0	50.36
03/31/2017	SIMONY, JOAN	PRU AS XTRA CREDIT SIX	136,030.25	85.02	0.00	85.02	95.0	80.77
03/31/2017	SIMONY, JOAN	PRU AS XTRA CREDIT SIX	136,030.25	85.02	0.00	85.02	95.0	80.77

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<b><u>BROKER TRANSACTIONS</u></b>								
<b><u>PRODUCT CATEGORY: VARIABLE ANNUITIES</u></b>								
03/31/2017	GEISLER, JUDY	PRU PREMIER RETIREMENT B	19,080.04	11.93	0.00	11.93	95.0	11.33
03/31/2017	WILLS, KELLEY	PRU PREMIER RETIREMENT B	145,376.83	90.86	0.00	90.86	95.0	86.32
03/31/2017	PARKE, WALTER	PRU PREMIER RETIREMENT B	105,163.98	65.73	0.00	65.73	95.0	62.44
03/31/2017	KEELER, SUSAN	PRU PREMIER RETIREMENT B	128,926.57	80.58	0.00	80.58	95.0	76.55
03/31/2017	MURPHY, PHILIP	PRU PREMIER RETIREMENT B	88,661.57	55.41	0.00	55.41	95.0	52.64
03/31/2017	POLANCE, BARBARA	PRU PREMIER RETIREMENT B	256,472.26	160.30	0.00	160.30	95.0	152.29
03/31/2017	HANSEN, SUSAN	PRU PREMIER RETIREMENT B	223,239.73	139.52	0.00	139.52	95.0	132.54
03/31/2017	GRAMMATICO, DENNIS	PRU PREMIER RETIREMENT B	631,884.28	394.93	0.00	394.93	95.0	375.18
03/31/2017	ANDERSON, JUDITH	PRU PREMIER RETIREMENT B	170,473.46	106.55	0.00	106.55	95.0	101.22
03/31/2017	SPEARY, LISA	PRU PREMIER RETIREMENT L	93,842.84	234.61	0.00	234.61	95.0	222.88
03/31/2017	RAONA, GARY	PRU PREMIER RETIREMENT L	9,754.21	24.39	0.00	24.39	95.0	23.17
03/31/2017	SCHROETER, MARY KAY	PRU PREMIER RETIREMENT L	157,771.62	394.43	0.00	394.43	95.0	374.71
03/31/2017	NICOLOSI, ROSE	PRU PREMIER RETIREMENT L	480,599.34	1,201.50	0.00	1,201.50	95.0	1,141.43
03/31/2017	MULRATH, JOHN	PRU PREMIER RETIREMENT L	150,094.48	375.24	0.00	375.24	95.0	356.48
03/31/2017	WAGNER, SHARON	PRU PREMIER RETIREMENT L	352,855.83	882.14	0.00	882.14	95.0	838.03
03/31/2017	WAGNER II, HARRY	PRU PREMIER RETIREMENT L	350,783.72	876.96	0.00	876.96	95.0	833.11
03/31/2017	OLSON, MELINDA	PRU PREMIER RETIREMENT X	128,500.29	80.31	0.00	80.31	95.0	76.29
03/31/2017	HENRY, JACQUELINE	PRU PREMIER RETIREMENT X	63,064.13	39.42	0.00	39.42	95.0	37.45
03/31/2017	DUNK, KATHLEEN	PRU PREMIER RETIREMENT X	38,634.12	24.15	0.00	24.15	95.0	22.94
03/31/2017	VOGEL, KEITH	PRU PREMIER RETIREMENT X	114,007.28	71.25	0.00	71.25	95.0	67.69
03/31/2017	TYNAN, SHELLEY	PRU PREMIER RETIREMENT X	82,570.03	51.61	0.00	51.61	95.0	49.03
03/31/2017	DEMAN, KENNETH	PRU PREMIER RETIREMENT X	85,732.30	53.58	0.00	53.58	95.0	50.90
03/31/2017	KNIGHT, SHARON	PRU PREMIER RETIREMENT X	93,276.66	58.30	0.00	58.30	95.0	55.39
03/31/2017	JOHNSON, RODNEY	PRU PREMIER RETIREMENT X	190,827.88	119.27	0.00	119.27	95.0	113.31
03/31/2017	FEWLESS, SCOTT	PRU PREMIER RETIREMENT X	19,394.74	12.12	0.00	12.12	95.0	11.51
03/31/2017	RANG, JAMES	PRU XTRA CREDIT EIGHT	98,187.60	61.37	0.00	61.37	95.0	58.30
03/31/2017	RANG, JAMES	PRU XTRA CREDIT EIGHT	98,187.60	122.73	0.00	122.73	95.0	116.59
03/31/2017	RYAN, JACK	PRU XTRA CREDIT EIGHT	56,915.09	35.57	0.00	35.57	95.0	33.79
03/31/2017	RYAN, JACK	PRU XTRA CREDIT EIGHT	56,915.09	71.14	0.00	71.14	95.0	67.58
03/31/2017	NACHAZEL, THOMAS	PRU XTRA CREDIT EIGHT	45,059.80	28.16	0.00	28.16	95.0	26.75
03/31/2017	NACHAZEL, THOMAS	PRU XTRA CREDIT EIGHT	45,059.80	56.32	0.00	56.32	95.0	53.50
03/04/2017	SCHROETER, RICHARD	TRANSAMERICA EXTRA	34,812.20	29.01	0.00	29.01	95.0	27.56
03/14/2017	GRUSH, ERNEST	TRANSAMERICA LANDMARK	138,078.49	115.07	0.00	115.07	95.0	109.32

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<b><u>BROKER TRANSACTIONS</u></b>								
<b><u>PRODUCT CATEGORY: VARIABLE ANNUITIES</u></b>								
03/30/2017	MADSEN, JOYCE	TRANSAMERICA LANDMARK	4,553.07	3.79	0.00	3.79	95.0	3.60
* VARIABLE ANNUITIES SUBTOTAL *			\$12,258,097.06	\$12,118.01	\$0.00	\$12,118.01		\$11,512.07
<b><u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u></b>								
03/31/2017	CFGROUP, VARIOUS	DREYFUS	0.00	80.36	0.00	80.36	95.0	76.34
03/31/2017	CFGROUP, VARIOUS	DREYFUS	0.00	14.41	0.00	14.41	95.0	13.69
02/28/2017	CFGROUP, VARIOUS	VOYA TRAILS	0.00	3.15	0.00	3.15	95.0	2.99
* MUTUAL FUND 12B1 TRAILS SUBTOTAL *			\$0.00	\$97.92	\$0.00	\$97.92		\$93.02
<b><u>PRODUCT CATEGORY: VARIABLE ANNUITY 12B1 TRAILS</u></b>								
03/31/2017	MORELLI, MARY	LFG TRAILS	0.00	139.19	0.00	139.19	95.0	132.23
03/31/2017	BAYLE, SUSAN	LFG TRAILS	0.00	15.22	0.00	15.22	95.0	14.46
04/05/2017	WEYCKER, EDWARD	ING PREMIUM PLUS	0.00	15.60	0.00	15.60	95.0	14.82
04/05/2017	WEYCKER, EDWARD	ING PREMIUM PLUS	0.00	15.60	0.00	15.60	95.0	14.82
* VARIABLE ANNUITY 12B1 TRAILS SUBTOTAL *			\$0.00	\$185.61	\$0.00	\$185.61		\$176.33
*** BROKER TRANSACTIONS TOTAL ***			\$12,309,778.54	\$21,811.83	\$0.00	\$21,811.83		\$20,644.62
<b><u>SPLIT TRANSACTIONS</u></b>								
<b><u>BROKER: MARK KOSANKE #3</u></b>								
03/01/2017	GONGOL, MARK	ADVANCED MICRO DEVICES INC COM	293.95	22.00	14.00	8.00	95.0	7.60
03/01/2017	GONGOL, MARK	ADVANCED MICRO DEVICES INC COM	19,171.10	450.00	14.00	436.00	95.0	414.20
03/10/2017	MARCOLA, THADDEUS	ALLIANCEBERNSTEIN LARGE CAP GROWTH	0.00	0.31	0.00	0.31	95.0	0.29
03/31/2017	ABULNAR, FRANK	ALLIANZ ALTERITY OPTIONS	78,710.98	98.39	0.00	98.39	95.0	93.47
03/31/2017	FORKIN, JOHN	ALLIANZ HIGH FIVE BONUS	181,580.64	226.98	0.00	226.98	95.0	215.63
03/31/2017	ROCCA, MARIA	ALLIANZ REWARDS TRADITIONAL	16,555.76	20.69	0.00	20.69	95.0	19.66
03/31/2017	LOPICCOLO, ARLENE	ALLIANZ VALUEMARK II	48,135.08	30.08	0.00	30.08	95.0	28.58
03/31/2017	LEVERETT, MONA	ALLIANZ VALUEMARK II	57,386.71	35.87	0.00	35.87	95.0	34.08
03/31/2017	SCAGLIONE, DIANA	ALLIANZ VALUEMARK III	106,074.29	66.30	0.00	66.30	95.0	62.99
03/31/2017	KRACHENFELS, EUGENE	ALLIANZ VISION BASIC	13,822.73	17.28	0.00	17.28	95.0	16.42
03/10/2017	CAUL, MARTINA	AM FUNDS AMERICAN BALANCED A	0.00	0.18	0.00	0.18	95.0	0.17
03/10/2017	CAUL, MARTINA	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.15	0.00	0.15	95.0	0.14
03/10/2017	GOOSSENS, LORI	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	2.06	0.00	2.06	95.0	1.96
03/10/2017	CAUL, MARTINA	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.39	0.00	0.39	95.0	0.37

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<b><u>SPLIT TRANSACTIONS</u></b>								
<b>BROKER: MARK KOSANKE #3</b>								
03/10/2017	RUTT, MARY LOU	AM FUNDS ICA A	0.00	1.56	0.00	1.56	95.0	1.48
03/10/2017	SCULLY, DOROTHY	AM FUNDS ICA A	0.00	10.40	0.00	10.40	95.0	9.88
03/10/2017	MCCALL, JEFFREY	AM FUNDS SMALLCAP WORLD A	0.00	1.01	0.00	1.01	95.0	0.96
03/10/2017	DENNIS, STEVEN	AM FUNDS SMALLCAP WORLD A	0.00	5.35	0.00	5.35	95.0	5.08
03/10/2017	MILLER, JOSEPH	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	1.33	0.00	1.33	95.0	1.26
03/10/2017	MILLER, JOSEPH	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	1.33	0.00	1.33	95.0	1.26
03/10/2017	DENNIS, STEVEN	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	4.44	0.00	4.44	95.0	4.22
03/10/2017	NICOLOSI, ROSE	COLUMBIA SELIGMAN COMM AND INFO A	0.00	1.97	0.00	1.97	95.0	1.87
03/10/2017	DENNIS, STEVEN	DAVIS NEW YORK VENTURE A	0.00	13.68	0.00	13.68	95.0	13.00
03/10/2017	KNOCH JR, WALTER	DAVIS NEW YORK VENTURE A	0.00	8.50	0.00	8.50	95.0	8.08
03/10/2017	HENKEL, JAMES	DREYFUS HIGH YIELD A	0.00	0.55	0.00	0.55	95.0	0.52
03/10/2017	WERNER, DOROTHY	DREYFUS HIGH YIELD A	0.00	2.13	0.00	2.13	95.0	2.02
03/10/2017	HENKEL, JAMES	EATON VANCE HIGH INCOME OPPORTUNITI	0.00	0.77	0.00	0.77	95.0	0.73
03/10/2017	ADAMS, ERIK	FEDERATED HIGH INCOME BOND FUND INC	0.00	0.69	0.00	0.69	95.0	0.66
03/10/2017	ADAMS, ERIK	FEDERATED MARKET OPPORTUNITY A	0.00	2.14	0.00	2.14	95.0	2.03
02/28/2017	GONGOL, MARK	FRONTIER COMMUNICATIONS CORP COM	18,944.00	392.00	14.00	378.00	95.0	359.10
03/10/2017	MERTZ, LESLIE	FT FOUNDING FDS ALLOC C	0.00	3.55	0.00	3.55	95.0	3.37
04/04/2017	MCCLAIN, DOROTHY	GENWORTH CHOICE 03 (UNBUN GUAR 1.5)	90,044.63	75.04	0.00	75.04	95.0	71.29
04/04/2017	EMBACH, KEVIN	GENWORTH CHOICE VA	71,602.10	59.67	0.00	59.67	95.0	56.69
04/04/2017	EMBACH, JAMES	GENWORTH CHOICE VA	71,602.11	59.67	0.00	59.67	95.0	56.69
04/04/2017	ZACK, MAUREEN	GENWORTH CHOICE VA	71,602.11	59.67	0.00	59.67	95.0	56.69
04/04/2017	HARTOUNIAN, HAGOB	GENWORTH CHOICE VA	10,810.42	9.01	0.00	9.01	95.0	8.56
04/04/2017	SCHMIDT, MARION	GENWORTH CHOICE VA	17,666.02	14.72	0.00	14.72	95.0	13.98
04/04/2017	BYERS, SHARRON	GENWORTH COMMONWEALTH VA 1994 (NON-	96,218.85	16.04	0.00	16.04	95.0	15.24
03/31/2017	KRASS, DELORES	JNL PERSPECTIVE REWARDS	17,182.83	3.58	0.00	3.58	95.0	3.40
03/10/2017	ALEXOPOULOS, PAUL	LORD ABBETT BOND DEBENTURE A	0.00	3.20	0.00	3.20	95.0	3.04
03/31/2017	PRITCHETT, EARL	NATIONWIDE MARKETFLEX	43,694.38	27.31	0.00	27.31	95.0	25.94
03/31/2017	MOSIER, JOHN	NATIONWIDE MARKETFLEX	172.24	0.11	0.00	0.11	95.0	0.10
04/06/2017	MOSIER, JOHN	NATIONWIDE MARKETFLEX	200.00	4.00	0.00	4.00	95.0	3.80
03/10/2017	BROUSE, SARAH	OPPENHEIMER PORT SERIES ACTIVE ALLO	0.00	0.63	0.00	0.63	95.0	0.60
03/10/2017	ADAMS, TONJA	PUTNAM INTERNATIONAL VALUE-A	0.00	0.22	0.00	0.22	95.0	0.21
03/23/2017	PUTZ, MARILYN	RETAIL PPTYS AMER INC CL A	75,099.88	50.00	14.00	36.00	95.0	34.20
03/23/2017	MCGUIRE, JOHN	TIER REIT INC COM	9,180.30	425.00	14.00	411.00	95.0	390.45

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<b><u>SPLIT TRANSACTIONS</u></b>								
<b><u>BROKER: MARK KOSANKE #3</u></b>								
03/28/2017	HOSKIN, JOHN	VICTORY CAPITAL MANAGEMENT	0.00	0.57	0.00	0.57	95.0	0.54
03/28/2017	MARCOLA, ERIKA	VICTORY CAPITAL MANAGEMENT	0.00	0.91	0.00	0.91	95.0	0.86
03/10/2017	WERNER, DOROTHY	WELLS FARGO INCOME PLUS A	0.00	1.94	0.00	1.94	95.0	1.84
* MARK KOSANKE SUBTOTAL *			\$1,115,751.11	\$2,233.37	\$70.00	\$2,163.37		\$2,055.20
<b><u>BROKER: 101 CFGROUP/KOSANKE #9</u></b>								
03/29/2017	GINGELL, PAUL	AM FUNDS CAPITAL WORLD GRTH & INC A	900.00	18.00	0.00	18.00	95.0	17.10
03/29/2017	GINGELL, PAUL	AM FUNDS GROWTH FUND OF AMERICA A	800.00	16.00	0.00	16.00	95.0	15.20
03/29/2017	GINGELL, PAUL	AM FUNDS ICA A	1,160.00	23.20	0.00	23.20	95.0	22.04
04/03/2017	MCLAUGHLIN, TRACY	AM FUNDS ICA A	150.00	7.50	0.00	7.50	95.0	7.13
03/29/2017	GINGELL, PAUL	AM FUNDS NEW PERSPECTIVE A	800.00	16.00	0.00	16.00	95.0	15.20
* 101 CFGROUP/KOSANKE SUBTOTAL *			\$3,810.00	\$80.70	\$0.00	\$80.70		\$76.67
<b><u>BROKER: J117-PETE/JOAN JOHNSON/FLAM #19</u></b>								
/ /	PRICOPIO, VANESSA	JH 529 COLLEGE PORT A	0.00	2.51	0.00	2.51	95.0	2.38
* J117-PETE/JOAN JOHNSON/FLAM SUBTOTAL *			\$0.00	\$2.51	\$0.00	\$2.51		\$2.38
<b><u>BROKER: GROUP FLAM/BUSSELL #32</u></b>								
03/31/2017	M, OSIP	DELAWARE VALUE A	0.00	1.32	0.00	1.32	95.0	1.25
* GROUP FLAM/BUSSELL SUBTOTAL *			\$0.00	\$1.32	\$0.00	\$1.32		\$1.25
<b><u>BROKER: PETER JOHNSON #63</u></b>								
03/31/2017	SUCHYTA, MARY LEE	ALLIANZ VALUEMARK III	400,859.10	250.54	0.00	250.54	95.0	238.01
03/31/2017	ROSS, DAVID	DELAWARE HIGH YIELD OPP A	0.00	26.43	0.00	26.43	95.0	25.11
03/31/2017	KAPELN, J	DELAWARE TAX FREE USA A	0.00	8.81	0.00	8.81	95.0	8.37
03/31/2017	PAPPAS, LARRY	DELAWARE VALUE A	0.00	33.91	0.00	33.91	95.0	32.21
03/31/2017	PAPPAS, JANE	DELAWARE VALUE A	0.00	6.49	0.00	6.49	95.0	6.17
* PETER JOHNSON SUBTOTAL *			\$400,859.10	\$326.18	\$0.00	\$326.18		\$309.87
*** SPLIT TRANSACTIONS TOTAL ***			\$1,520,420.21	\$2,644.08	\$70.00	\$2,574.08		\$2,445.37

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<b><u> OVERRIDE TRANSACTIONS </u></b>								
<b><u>BROKER: 101 CFGROUP/KOSANKE #9</u></b>								
03/29/2017	CERIMELE, NICHOLAS	AM FUNDS AMERICAN BALANCED A	120.00	6.00	0.00	6.00	95.0	6.00
04/03/2017	STOLL, HEATHER	AM FUNDS CAPITAL WORLD GRTH & INC A	75.00	3.19	0.00	3.19	95.0	3.19
03/29/2017	O'CONNOR, TIMOTHY	PUTNAM GROWTH & INCOME B	50.00	2.00	0.00	2.00	95.0	2.00
03/29/2017	O'CONNOR, TIMOTHY	PUTNAM MULTI-CAP GROWTH B	50.00	2.00	0.00	2.00	95.0	2.00
* 101 CFGROUP/KOSANKE SUBTOTAL *			\$295.00	\$13.19	\$0.00	\$13.19		\$13.19
<b><u>BROKER: THOMAS SCHNEIDER #30</u></b>								
04/03/2017	O'CONNOR, TIMOTHY	PUTNAM GROWTH & INCOME A	0.00	0.32	0.00	0.32	0.0	0.32
04/03/2017	O'CONNOR, TIMOTHY	PUTNAM GROWTH & INCOME B	0.00	1.26	0.00	1.26	0.0	1.26
04/03/2017	O'CONNOR, TIMOTHY	PUTNAM INTERNATIONAL GROWTH-A	0.00	2.45	0.00	2.45	0.0	2.45
04/03/2017	O'CONNOR, TIMOTHY	PUTNAM MULTI CAP GROWTH A	0.00	2.82	0.00	2.82	0.0	2.82
04/03/2017	O'CONNOR, TIMOTHY	PUTNAM MULTI CAP GROWTH A	0.00	2.52	0.00	2.52	0.0	2.52
04/03/2017	O'CONNOR, TIMOTHY	PUTNAM MULTI-CAP GROWTH B	0.00	1.32	0.00	1.32	0.0	1.32
03/30/2017	SCHECK, VICTORIA	SBL ADVISOR PROGRAM	13,223.29	2.75	0.00	2.75	0.0	2.75
03/30/2017	KELLER, MICHELLE	SBL ADVISOR PROGRAM	26,527.14	5.52	0.00	5.52	0.0	5.52
03/30/2017	YOUNG, MARCIA	SBL ADVISOR PROGRAM	23,253.03	4.84	0.00	4.84	0.0	4.84
03/30/2017	HAWK, DUANE	SBL ADVISORDESIGNS VA	3,688.83	0.76	0.00	0.76	0.0	0.76
03/30/2017	DEFRANCESCO, STEVEN	SBL ADVISORDESIGNS VA	7,639.53	1.59	0.00	1.59	0.0	1.59
03/30/2017	FULTON, JOHN	SBL ADVISORDESIGNS VA	8,288.94	1.73	0.00	1.73	0.0	1.73
03/30/2017	BAKER, MARILYN	SBL ADVISORDESIGNS VA	6,202.54	1.30	0.00	1.30	0.0	1.30
03/30/2017	HARTONG, DEAN	SBL ADVISORDESIGNS VA	12,552.15	2.62	0.00	2.62	0.0	2.62
03/30/2017	BABIN, WILLIAM	SBL ADVISORDESIGNS VA	131,238.75	27.35	0.00	27.35	0.0	27.35
03/30/2017	LITTRELL, REX	SBL ADVISORDESIGNS VA	6,806.82	1.42	0.00	1.42	0.0	1.42
03/30/2017	MELLERT, ELLEN	SBL ADVISORDESIGNS VA	3,793.59	3.16	0.00	3.16	0.0	3.16
03/30/2017	HAWK, GLENN	SBL ADVISORDESIGNS VA	5,876.91	1.22	0.00	1.22	0.0	1.22
03/30/2017	GREGORY, CAROL	SBL ADVISORDESIGNS VA	38,477.96	8.02	0.00	8.02	0.0	8.02
03/30/2017	HAWK, MARYBELLE	SBL ADVISORDESIGNS VA	7,684.26	1.60	0.00	1.60	0.0	1.60
03/30/2017	DEFRANCESCO, MARY	SBL ADVISORDESIGNS VA	8,139.51	1.69	0.00	1.69	0.0	1.69
03/30/2017	MCCRANN, JAMES	SBL ADVISORDESIGNS VA	5,945.34	1.24	0.00	1.24	0.0	1.24
03/30/2017	KUBAN, JOANNE	SBL ADVISORDESIGNS VA	21,803.26	4.54	0.00	4.54	0.0	4.54
03/30/2017	BAKER, MARILYN	SBL ADVISORDESIGNS VA	6,715.33	1.40	0.00	1.40	0.0	1.40
03/30/2017	GREGORY, RICHARD	SBL ADVISORDESIGNS VA	7,981.03	1.66	0.00	1.66	0.0	1.66
03/30/2017	HAWK, MARYBELLE	SBL ADVISORDESIGNS VA	7,902.71	1.65	0.00	1.65	0.0	1.65
03/30/2017	HAWK, DUANE	SBL ADVISORDESIGNS VA	3,328.02	0.70	0.00	0.70	0.0	0.70

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<b><u>ADJUSTMENTS</u></b>								
		* THOMAS SCHNEIDER SUBTOTAL *	\$357,068.94	\$87.45	\$0.00	\$87.45		\$87.45
		*** OVERRIDE TRANSACTIONS TOTAL ***	\$357,363.94	\$100.64	\$0.00	\$100.64		\$100.64

**ADJUSTMENTS**

04/15/2017		*FINRA: S7 CANCEL/NO SHOW FEE	0.00					-305.00
		*** ADJUSTMENTS TOTAL ***	\$0.00	\$0.00	\$0.00	\$0.00		\$-305.00

**BROKER COMMISSION TOTALS**

Broker Transactions	\$20,644.62
Split Transactions	\$2,445.37
Override Transactions	\$100.64
Adjustments	\$-305.00
Payroll Draw	\$0.00
Base Salary	\$0.00
Prior Period Balance	\$0.00
FINRA Assessment	\$0.00
SIPC Assessment	\$0.00

Check Amount	\$22,885.63
Year-to-date Gross	\$92,094.99
Year-to-date Earnings	\$90,123.26

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