



Concorde Investment Services, LLC
COMMISSION STATEMENT
 April 15, 2017

04/12/2017
 Page No. 1

MATT BRANSTETTER
 PO Box 250
 111 S. Main Street
 Noble, OK 73068

BROKER #: B116
 BRANCH: BRAEVEST

DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	RATE	NET COMMISSION	CLEARING CHARGE	BROKER COMMISSION
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BROKER TRANSACTIONS

PRODUCT CATEGORY: MUTUAL FUNDS

03/27/2017	EVERETT, BRIAN	AM FUNDS AMERICAN BALANCED C	50.00	0.50	80.0	0.40	0.00	0.40
04/05/2017	FOX, JERALDINE	AM FUNDS CAPITAL INCOME BUILDER C	120.00	1.20	80.0	0.96	0.00	0.96
04/03/2017	LAWTON, WHITNEY	AM FUNDS NEW ECONOMY A	250.00	12.50	80.0	10.00	0.00	10.00
04/03/2017	LUCAS, BRIAN	AM FUNDS NEW ECONOMY A	100.00	5.00	80.0	4.00	0.00	4.00
/ /	MICHENER, DAVID	GUGGENHEIM DOW 2X STRATEGY A	0.00	0.47	80.0	0.38	0.00	0.38
/ /	WHITETREE, THOMAS	GUGGENHEIM DOW 2X STRATEGY A	0.00	0.13	80.0	0.10	0.00	0.10
/ /	CASTLE, DAVID	GUGGENHEIM DOW 2X STRATEGY A	0.00	0.23	80.0	0.18	0.00	0.18
/ /	HUFFMAN, KRISTOPHER	GUGGENHEIM DOW 2X STRATEGY A	0.00	0.84	80.0	0.67	0.00	0.67
/ /	LIVELY, ELIZABETH	GUGGENHEIM DOW 2X STRATEGY A	0.00	0.20	80.0	0.16	0.00	0.16
/ /	LIVELY, DUSTIN	GUGGENHEIM DOW 2X STRATEGY A	0.00	0.20	80.0	0.16	0.00	0.16
/ /	HUNTER, TIMOTHY	GUGGENHEIM DOW 2X STRATEGY A	0.00	0.18	80.0	0.14	0.00	0.14
/ /	PUCKETT, CHERI	GUGGENHEIM DOW 2X STRATEGY A	0.00	0.24	80.0	0.19	0.00	0.19
/ /	HARRALD, DONALD	GUGGENHEIM DOW 2X STRATEGY A	0.00	0.10	80.0	0.08	0.00	0.08
/ /	SALLEE, MARY	GUGGENHEIM DOW 2X STRATEGY A	0.00	0.32	80.0	0.26	0.00	0.26
/ /	TREADWAY, PAMELA	GUGGENHEIM WEAKENING DOLLAR 2X	0.00	0.06	80.0	0.05	0.00	0.05
/ /	TREADWAY, TOMMY	GUGGENHEIM WEAKENING DOLLAR 2X	0.00	0.10	80.0	0.08	0.00	0.08
/ /	DOWNING, JOHN	GUGGENHEIM WEAKENING DOLLAR 2X	0.00	0.20	80.0	0.16	0.00	0.16
/ /	ACOSTA, JF	GUGGENHEIM WEAKENING DOLLAR 2X	0.00	0.02	80.0	0.02	0.00	0.02
/ /	MELTON, JOY	GUGGENHEIM WEAKENING DOLLAR 2X	0.00	0.04	80.0	0.03	0.00	0.03
/ /	BENSON, KARLA	GUGGENHEIM WEAKENING DOLLAR 2X	0.00	0.01	80.0	0.01	0.00	0.01
/ /	DESHIELDS, JAMES	GUGGENHEIM WEAKENING DOLLAR 2X	0.00	0.02	80.0	0.02	0.00	0.02
/ /	POORE, NANCY	GUGGENHEIM WEAKENING DOLLAR 2X	0.00	0.05	80.0	0.04	0.00	0.04
/ /	MCFERRON, LINDA	GUGGENHEIM WEAKENING DOLLAR 2X	0.00	0.06	80.0	0.05	0.00	0.05
/ /	VOCI, ROBERTO	GUGGENHEIM WEAKENING DOLLAR 2X	0.00	0.14	80.0	0.11	0.00	0.11
/ /	WILLIAMS, JACKIE	GUGGENHEIM WEAKENING DOLLAR 2X	0.00	0.19	80.0	0.15	0.00	0.15
/ /	POTTER, G	GUGGENHEIM WEAKENING DOLLAR 2X	0.00	0.02	80.0	0.02	0.00	0.02

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

DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	RATE	NET COMMISSION	CLEARING CHARGE	BROKER COMMISSION
<u>BROKER TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
/ /	POTTER, RK	GUGGENHEIM WEAKENING DOLLAR 2X	0.00	0.02	80.0	0.02	0.00	0.02
/ /	RICK, JOSEPH	GUGGENHEIM WEAKENING DOLLAR 2X	0.00	0.01	80.0	0.01	0.00	0.01
/ /	BACON, RICHARD	GUGGENHEIM WEAKENING DOLLAR 2X	0.00	0.05	80.0	0.04	0.00	0.04
/ /	ARRINGTON, NANCY	GUGGENHEIM WEAKENING DOLLAR 2X	0.00	0.01	80.0	0.01	0.00	0.01
/ /	HOLMAN, KENLEE	GUGGENHEIM WEAKENING DOLLAR 2X	0.00	0.01	80.0	0.01	0.00	0.01
/ /	HOLMAN, MEEGAN	GUGGENHEIM WEAKENING DOLLAR 2X	0.00	0.03	80.0	0.02	0.00	0.02
/ /	BACON-HILL, MICHELE	GUGGENHEIM WEAKENING DOLLAR 2X	0.00	0.01	80.0	0.01	0.00	0.01
/ /	WHITETREE, THOMAS	GUGGENHEIM WEAKENING DOLLAR 2X	0.00	0.01	80.0	0.01	0.00	0.01
/ /	CASTLE, DAVID	GUGGENHEIM WEAKENING DOLLAR 2X	0.00	0.01	80.0	0.01	0.00	0.01
/ /	HUFFMAN, KRISTOPHER	GUGGENHEIM WEAKENING DOLLAR 2X	0.00	0.05	80.0	0.04	0.00	0.04
/ /	LIVELY, ELIZABETH	GUGGENHEIM WEAKENING DOLLAR 2X	0.00	0.01	80.0	0.01	0.00	0.01
/ /	LIVELY, DUSTIN	GUGGENHEIM WEAKENING DOLLAR 2X	0.00	0.01	80.0	0.01	0.00	0.01
/ /	HUNTER, TIMOTHY	GUGGENHEIM WEAKENING DOLLAR 2X	0.00	0.01	80.0	0.01	0.00	0.01
/ /	PUCKETT, CHERI	GUGGENHEIM WEAKENING DOLLAR 2X	0.00	0.01	80.0	0.01	0.00	0.01
/ /	HARRALD, DONALD	GUGGENHEIM WEAKENING DOLLAR 2X	0.00	0.01	80.0	0.01	0.00	0.01
/ /	SALLEE, MARY	GUGGENHEIM WEAKENING DOLLAR 2X	0.00	0.02	80.0	0.02	0.00	0.02
04/01/2017	MCKINNEY, E KIM	INVESCO AMERICAN FRANCHISE A	0.00	4.36	80.0	3.49	0.00	3.49
04/01/2017	WHITE, JOANNE	INVESCO AMERICAN FRANCHISE A	0.00	6.28	80.0	5.02	0.00	5.02
04/01/2017	CRETSINGER, DON	INVESCO AMERICAN FRANCHISE A	0.00	4.69	80.0	3.75	0.00	3.75
04/01/2017	MCFERRON, LINDA	INVESCO ENDEAVOR FUND A	0.00	0.90	80.0	0.72	0.00	0.72
04/01/2017	MCKINNEY, E KIM	INVESCO HIGH YIELD FUND A	0.00	0.56	80.0	0.45	0.00	0.45
04/01/2017	MCKINNEY, E KIM	INVESCO INTERNATIONAL GROWTH A	0.00	1.85	80.0	1.48	0.00	1.48
04/01/2017	MCFERRON, LINDA	INVESCO SMALL COMPANIES FD -A	0.00	0.04	80.0	0.03	0.00	0.03
04/01/2017	MCFERRON, LINDA	INVESCO SUMMIT FUND A	0.00	0.20	80.0	0.16	0.00	0.16
04/01/2017	MCFERRON, LINDA	INVESCO TECHNOLOGY A	0.00	0.23	80.0	0.18	0.00	0.18
04/01/2017	MCFERRON, LINDA	INVESCO VALUE OPP A	0.00	0.80	80.0	0.64	0.00	0.64
04/03/2017	LLTD INVESTMENTS LLC	PUTNAM ABSOLUTE RETURN 100-A	0.00	0.40	80.0	0.32	0.00	0.32
04/03/2017	LLTD INVESTMENTS LLC	PUTNAM ABSOLUTE RETURN 300-A	0.00	0.40	80.0	0.32	0.00	0.32
04/03/2017	LLTD INVESTMENTS LLC	PUTNAM ABSOLUTE RETURN 500-A	0.00	0.58	80.0	0.46	0.00	0.46
04/03/2017	LLTD INVESTMENTS LLC	PUTNAM ABSOLUTE RETURN 700-A	0.00	0.54	80.0	0.43	0.00	0.43
03/27/2017	MORIELS, FELICIA	PUTNAM AMERICAN GOVT INCOME-M	100.00	3.00	80.0	2.40	0.00	2.40
04/03/2017	MORIELS, FELICIA	PUTNAM AMERICAN GOVT INCOME-M	0.00	0.80	80.0	0.64	0.00	0.64
04/03/2017	NEWTON, GEORGE	PUTNAM EQUITY INCOME A	0.00	7.45	80.0	5.96	0.00	5.96

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<u>BROKER TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
04/03/2017	ALLGIRE, ERNESTINE	PUTNAM EQUITY INCOME A	0.00	0.12	80.0	0.10	0.00	0.10
04/03/2017	CASTLE, DAVID	PUTNAM EQUITY SPECTRUM A	0.00	1.37	80.0	1.10	0.00	1.10
04/03/2017	TREADWAY, TOMMY	PUTNAM EQUITY SPECTRUM A	0.00	3.36	80.0	2.69	0.00	2.69
04/03/2017	FAIRLESS, BENJAMIN	PUTNAM EQUITY SPECTRUM A	0.00	3.79	80.0	3.03	0.00	3.03
04/03/2017	YOSS, JAY	PUTNAM EQUITY SPECTRUM A	0.00	2.52	80.0	2.02	0.00	2.02
04/03/2017	HIPP, DEBRA	PUTNAM EQUITY SPECTRUM A	0.00	0.59	80.0	0.47	0.00	0.47
04/03/2017	HIPP, RONALD	PUTNAM EQUITY SPECTRUM A	0.00	1.88	80.0	1.50	0.00	1.50
04/03/2017	DOWDY, LINDA	PUTNAM EQUITY SPECTRUM A	0.00	0.53	80.0	0.42	0.00	0.42
04/03/2017	DOWNING, JOHN	PUTNAM EQUITY SPECTRUM A	0.00	1.55	80.0	1.24	0.00	1.24
04/03/2017	GREGORY, MANDY	PUTNAM EQUITY SPECTRUM A	0.00	1.65	80.0	1.32	0.00	1.32
04/03/2017	MOORE, TONI	PUTNAM EQUITY SPECTRUM A	0.00	0.69	80.0	0.55	0.00	0.55
04/03/2017	MICHENER, DAVID	PUTNAM EQUITY SPECTRUM A	0.00	0.92	80.0	0.74	0.00	0.74
04/03/2017	HOUSE, CONNIE	PUTNAM EQUITY SPECTRUM A	0.00	1.28	80.0	1.02	0.00	1.02
04/03/2017	GREGORY, ERIC	PUTNAM EQUITY SPECTRUM A	0.00	0.74	80.0	0.59	0.00	0.59
04/03/2017	MELTON, JOY	PUTNAM EQUITY SPECTRUM A	0.00	0.79	80.0	0.63	0.00	0.63
04/03/2017	HIPP, DEBRA	PUTNAM EQUITY SPECTRUM B	0.00	0.98	80.0	0.78	0.00	0.78
04/03/2017	CASTLE, DAVID	PUTNAM EQUITY SPECTRUM B	0.00	1.09	80.0	0.87	0.00	0.87
04/03/2017	DOWDY, JIMMIE	PUTNAM EQUITY SPECTRUM C	0.00	5.13	80.0	4.10	0.00	4.10
04/03/2017	SMIT, CONRAD	PUTNAM EQUITY SPECTRUM C	0.00	7.26	80.0	5.81	0.00	5.81
04/03/2017	POORE, NANCY	PUTNAM EQUITY SPECTRUM C	0.00	2.44	80.0	1.95	0.00	1.95
04/03/2017	BACON-HILL, MICHELE	PUTNAM EUROPE EQUITY A	0.00	0.96	80.0	0.77	0.00	0.77
04/03/2017	BACON-HILL, MICHELE	PUTNAM GLOBAL CONSUMER A	0.00	1.28	80.0	1.02	0.00	1.02
04/03/2017	CASTLE, DAVID	PUTNAM GLOBAL FINANCIALS A	0.00	1.48	80.0	1.18	0.00	1.18
04/03/2017	TREADWAY, TOMMY	PUTNAM GLOBAL FINANCIALS A	0.00	3.26	80.0	2.61	0.00	2.61
04/03/2017	FAIRLESS, BENJAMIN	PUTNAM GLOBAL FINANCIALS A	0.00	3.82	80.0	3.06	0.00	3.06
04/03/2017	YOSS, JAY	PUTNAM GLOBAL FINANCIALS A	0.00	2.38	80.0	1.90	0.00	1.90
04/03/2017	HIPP, DEBRA	PUTNAM GLOBAL FINANCIALS A	0.00	1.20	80.0	0.96	0.00	0.96
04/03/2017	DOWDY, JIMMIE	PUTNAM GLOBAL FINANCIALS A	0.00	1.26	80.0	1.01	0.00	1.01
04/03/2017	MOORE, TONI	PUTNAM GLOBAL FINANCIALS A	0.00	1.09	80.0	0.87	0.00	0.87
04/03/2017	MICHENER, DAVID	PUTNAM GLOBAL FINANCIALS A	0.00	0.58	80.0	0.46	0.00	0.46
04/03/2017	HOUSE, CONNIE	PUTNAM GLOBAL FINANCIALS A	0.00	1.63	80.0	1.30	0.00	1.30
04/03/2017	MELTON, JOY	PUTNAM GLOBAL FINANCIALS A	0.00	1.16	80.0	0.93	0.00	0.93
04/03/2017	HIPP, RONALD	PUTNAM GLOBAL FINANCIALS B	0.00	2.39	80.0	1.91	0.00	1.91

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<u>BROKER TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
04/03/2017	CASTLE, DAVID	PUTNAM GLOBAL FINANCIALS B	0.00	1.35	80.0	1.08	0.00	1.08
04/03/2017	DOWNING, JOHN	PUTNAM GLOBAL FINANCIALS M	0.00	8.85	80.0	7.08	0.00	7.08
04/03/2017	BACON-HILL, MICHELE	PUTNAM GLOBAL NAT RESOURCES-A	0.00	0.53	80.0	0.42	0.00	0.42
04/03/2017	CASTLE, DAVID	PUTNAM GLOBAL TECH A	0.00	2.10	80.0	1.68	0.00	1.68
04/03/2017	TREADWAY, TOMMY	PUTNAM GLOBAL TECH A	0.00	3.49	80.0	2.79	0.00	2.79
04/03/2017	FAIRLESS, BENJAMIN	PUTNAM GLOBAL TECH A	0.00	3.92	80.0	3.14	0.00	3.14
04/03/2017	YOSS, JAY	PUTNAM GLOBAL TECH A	0.00	2.60	80.0	2.08	0.00	2.08
04/03/2017	KING, REPAULA	PUTNAM GROWTH OPP A	0.00	0.84	80.0	0.67	0.00	0.67
04/03/2017	KING, REPAULA	PUTNAM GROWTH OPP A	0.00	0.84	80.0	0.67	0.00	0.67
04/03/2017	BACON-HILL, MICHELE	PUTNAM GROWTH OPP A	0.00	0.98	80.0	0.78	0.00	0.78
04/03/2017	HERNDON, JAMES	PUTNAM GROWTH OPP A	0.00	0.78	80.0	0.62	0.00	0.62
03/20/2017	TAYLOR, CATHERINE	PUTNAM GROWTH OPP C	146.98	1.47	80.0	1.18	0.00	1.18
03/20/2017	CAMPBELL, CHANDLER	PUTNAM GROWTH OPP C	25.00	0.25	80.0	0.20	0.00	0.20
03/20/2017	CAMPBELL, CHANDLER	PUTNAM GROWTH OPP C	-25.00	-0.25	80.0	-0.20	0.00	-0.20
04/03/2017	UNIF TRANSFER TO M/A, U/OK	PUTNAM GROWTH OPP C	0.00	0.42	80.0	0.34	0.00	0.34
04/03/2017	HYER, LISA	PUTNAM GROWTH OPP C	0.00	4.99	80.0	3.99	0.00	3.99
04/03/2017	NEWTON, GEORGE	PUTNAM HIGH YIELD ADVANTAGE A	0.00	4.64	80.0	3.71	0.00	3.71
04/03/2017	BRANCH, MARY	PUTNAM INCOME A	0.00	0.02	80.0	0.02	0.00	0.02
04/03/2017	BACON-HILL, MICHELE	PUTNAM INTL CAPITAL OPPS-A	0.00	1.45	80.0	1.16	0.00	1.16
04/03/2017	NEWTON, MAX	PUTNAM INTL CAPITAL OPPS-A	0.00	0.28	80.0	0.22	0.00	0.22
04/03/2017	COLE, CHRISTOPHER	PUTNAM INTL CAPITAL OPPS-A	0.00	0.03	80.0	0.02	0.00	0.02
04/03/2017	BRANSTETTER, MATT	PUTNAM INTL CAPITAL OPPS-A	0.00	0.25	80.0	0.20	0.00	0.20
04/03/2017	CASTLE, DAVID	PUTNAM INTL CAPITAL OPPS-B	0.00	0.43	80.0	0.34	0.00	0.34
03/20/2017	MYERS, AMANDA	PUTNAM INTL CAPITAL OPPS-C	100.00	1.00	80.0	0.80	0.00	0.80
03/20/2017	HYER, LISA	PUTNAM INTL CAPITAL OPPS-C	25.00	0.25	80.0	0.20	0.00	0.20
03/27/2017	DOCTORMAN, SHANA	PUTNAM INTL CAPITAL OPPS-C	25.00	0.25	80.0	0.20	0.00	0.20
03/27/2017	DOCTORMAN, SHANA	PUTNAM INTL CAPITAL OPPS-C	25.00	0.25	80.0	0.20	0.00	0.20
03/27/2017	DOCTORMAN, SHANA	PUTNAM INTL CAPITAL OPPS-C	25.00	0.25	80.0	0.20	0.00	0.20
03/27/2017	DOCTORMAN, SHANA	PUTNAM INTL CAPITAL OPPS-C	25.00	0.25	80.0	0.20	0.00	0.20
03/27/2017	DOCTORMAN, EDGE	PUTNAM INTL CAPITAL OPPS-C	25.00	0.25	80.0	0.20	0.00	0.20
03/27/2017	DOCTORMAN, AIMES	PUTNAM INTL CAPITAL OPPS-C	25.00	0.25	80.0	0.20	0.00	0.20
04/03/2017	WALL-POLLAN, LEAH	PUTNAM INTL CAPITAL OPPS-C	0.00	0.26	80.0	0.21	0.00	0.21
04/03/2017	MYERS, JON	PUTNAM INTL CAPITAL OPPS-C	0.00	36.88	80.0	29.50	0.00	29.50

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<u>BROKER TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
04/03/2017	MYERS, AMANDA	PUTNAM INTL CAPITAL OPPS-C	0.00	43.08	80.0	34.46	0.00	34.46
04/03/2017	DOCTORMAN, SHANA	PUTNAM INTL CAPITAL OPPS-C	0.00	3.55	80.0	2.84	0.00	2.84
04/03/2017	DOCTORMAN, SHANA	PUTNAM INTL CAPITAL OPPS-C	0.00	3.49	80.0	2.79	0.00	2.79
04/03/2017	DOCTORMAN, EDGE	PUTNAM INTL CAPITAL OPPS-C	0.00	0.94	80.0	0.75	0.00	0.75
04/03/2017	DOCTORMAN, AIMES	PUTNAM INTL CAPITAL OPPS-C	0.00	0.94	80.0	0.75	0.00	0.75
04/03/2017	DOCTORMAN, SHANA	PUTNAM INTL CAPITAL OPPS-C	0.00	6.37	80.0	5.10	0.00	5.10
04/03/2017	DOCTORMAN, SHANA	PUTNAM INTL CAPITAL OPPS-C	0.00	6.37	80.0	5.10	0.00	5.10
04/03/2017	NOBLE PUBLIC SCHOOLS,	PUTNAM INTL CAPITAL OPPS-C	0.00	0.37	80.0	0.30	0.00	0.30
04/03/2017	HYER, LISA	PUTNAM INTL CAPITAL OPPS-C	0.00	2.40	80.0	1.92	0.00	1.92
04/03/2017	HYER, LISA	PUTNAM INTL CAPITAL OPPS-C	0.00	0.82	80.0	0.66	0.00	0.66
04/03/2017	HYER, LISA	PUTNAM INTL CAPITAL OPPS-C	0.00	0.24	80.0	0.19	0.00	0.19
04/03/2017	MORIELS, FELICIA	PUTNAM INTL CAPITAL OPPS-M	0.00	0.01	80.0	0.01	0.00	0.01
04/03/2017	COLE, CHRISTOPHER	PUTNAM INTL CAPITAL OPPS-M	0.00	0.31	80.0	0.25	0.00	0.25
04/03/2017	DOWNING, JOHN	PUTNAM MONEY MARKET M	0.00	0.02	80.0	0.02	0.00	0.02
04/03/2017	HUFFMAN, KRISTOPHER	PUTNAM MONEY MARKET M	0.00	0.10	80.0	0.08	0.00	0.08
04/03/2017	SIMPSON, CHRIS	PUTNAM MONEY MARKET M	0.00	0.02	80.0	0.02	0.00	0.02
04/03/2017	LLTD INVESTMENTS LLC	PUTNAM MULTI CAP GROWTH A	0.00	0.40	80.0	0.32	0.00	0.32
04/03/2017	CASTLE, DAVID	PUTNAM MULTI CAP GROWTH A	0.00	0.51	80.0	0.41	0.00	0.41
04/03/2017	TREADWAY, TOMMY	PUTNAM MULTI CAP GROWTH A	0.00	0.85	80.0	0.68	0.00	0.68
04/03/2017	FAIRLESS, BENJAMIN	PUTNAM MULTI CAP GROWTH A	0.00	0.92	80.0	0.74	0.00	0.74
04/03/2017	YOSS, JAY	PUTNAM MULTI CAP GROWTH A	0.00	0.61	80.0	0.49	0.00	0.49
04/03/2017	HIPP, DEBRA	PUTNAM MULTI CAP GROWTH A	0.00	0.46	80.0	0.37	0.00	0.37
04/03/2017	HIPP, RONALD	PUTNAM MULTI CAP GROWTH A	0.00	0.60	80.0	0.48	0.00	0.48
04/03/2017	DOWNING, JOHN	PUTNAM MULTI CAP GROWTH A	0.00	0.60	80.0	0.48	0.00	0.48
04/03/2017	MOORE, TONI	PUTNAM MULTI CAP GROWTH A	0.00	0.33	80.0	0.26	0.00	0.26
04/03/2017	BRANCH, MARY	PUTNAM MULTI CAP GROWTH A	0.00	0.76	80.0	0.61	0.00	0.61
04/03/2017	GREGORY, ERIC	PUTNAM MULTI CAP GROWTH A	0.00	0.29	80.0	0.23	0.00	0.23
04/03/2017	MELTON, JOY	PUTNAM MULTI CAP GROWTH A	0.00	0.29	80.0	0.23	0.00	0.23
04/03/2017	CASTLE, DAVID	PUTNAM MULTI-CAP GROWTH B	0.00	0.58	80.0	0.46	0.00	0.46
04/03/2017	GERHARDT, LEE	PUTNAM MULTI-CAP GROWTH C	0.00	34.83	80.0	27.86	0.00	27.86
04/03/2017	DOWDY, JIMMIE	PUTNAM MULTI-CAP GROWTH C	0.00	1.37	80.0	1.10	0.00	1.10
04/03/2017	BRANCH, MARY	PUTNAM MULTI-CAP GROWTH C	0.00	1.77	80.0	1.42	0.00	1.42
04/03/2017	POORE, NANCY	PUTNAM MULTI-CAP GROWTH C	0.00	0.75	80.0	0.60	0.00	0.60

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	RATE	NET COMMISSION	CLEARING CHARGE	BROKER COMMISSION
<u>BROKER TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
04/03/2017	DOWNING, JOHN	PUTNAM MULTI-CAP GROWTH M	0.00	0.42	80.0	0.34	0.00	0.34
04/03/2017	MCFERRON, LARRY	PUTNAM MULTI-CAP GROWTH M	0.00	1.47	80.0	1.18	0.00	1.18
04/03/2017	HUFFMAN, KRISTOPHER	PUTNAM MULTI-CAP GROWTH M	0.00	0.74	80.0	0.59	0.00	0.59
04/03/2017	STANFORD, DAVID	PUTNAM MULTI-CAP GROWTH M	0.00	2.63	80.0	2.10	0.00	2.10
04/03/2017	BRANSTETTER, MATT	PUTNAM SHORT DURATION INCOME A	0.00	0.10	80.0	0.08	0.00	0.08
04/03/2017	STANFORD, DAVID	PUTNAM SHORT DURATION INCOME A	0.00	0.54	80.0	0.43	0.00	0.43
04/03/2017	RIPLEY, ANTHONY	PUTNAM SMALL CAP GROWTH-A	0.00	0.03	80.0	0.02	0.00	0.02
03/20/2017	POORE, NANCY	PUTNAM SMALL CAP GROWTH-C	40.00	0.40	80.0	0.32	0.00	0.32
04/03/2017	SNYDER, LESTER	PUTNAM SMALL CAP GROWTH-C	0.00	49.51	80.0	39.61	0.00	39.61
04/03/2017	VANDERBURG, JENNY	PUTNAM SMALL CAP GROWTH-C	0.00	2.95	80.0	2.36	0.00	2.36
04/03/2017	BRANCH, MARY	PUTNAM SMALL CAP GROWTH-C	0.00	0.65	80.0	0.52	0.00	0.52
04/03/2017	POORE, NANCY	PUTNAM SMALL CAP GROWTH-C	0.00	0.13	80.0	0.10	0.00	0.10
04/03/2017	HYER, LISA	PUTNAM SMALL CAP GROWTH-C	0.00	0.50	80.0	0.40	0.00	0.40
04/03/2017	CASTLE, DAVID	PUTNAM SMALL CAP VALUE A	0.00	1.61	80.0	1.29	0.00	1.29
04/03/2017	TREADWAY, TOMMY	PUTNAM SMALL CAP VALUE A	0.00	2.68	80.0	2.14	0.00	2.14
04/03/2017	FAIRLESS, BENJAMIN	PUTNAM SMALL CAP VALUE A	0.00	2.90	80.0	2.32	0.00	2.32
04/03/2017	YOSS, JAY	PUTNAM SMALL CAP VALUE A	0.00	1.92	80.0	1.54	0.00	1.54
04/03/2017	HIPP, DEBRA	PUTNAM SMALL CAP VALUE A	0.00	1.45	80.0	1.16	0.00	1.16
04/03/2017	HIPP, RONALD	PUTNAM SMALL CAP VALUE A	0.00	1.89	80.0	1.51	0.00	1.51
04/03/2017	DOWNING, JOHN	PUTNAM SMALL CAP VALUE A	0.00	1.85	80.0	1.48	0.00	1.48
04/03/2017	MOORE, TONI	PUTNAM SMALL CAP VALUE A	0.00	1.04	80.0	0.83	0.00	0.83
04/03/2017	MICHENER, DAVID	PUTNAM SMALL CAP VALUE A	0.00	1.53	80.0	1.22	0.00	1.22
04/03/2017	HOUSE, CONNIE	PUTNAM SMALL CAP VALUE A	0.00	1.78	80.0	1.42	0.00	1.42
04/03/2017	GREGORY, ERIC	PUTNAM SMALL CAP VALUE A	0.00	0.92	80.0	0.74	0.00	0.74
04/03/2017	MELTON, JOY	PUTNAM SMALL CAP VALUE A	0.00	0.90	80.0	0.72	0.00	0.72
04/03/2017	CASTLE, DAVID	PUTNAM SMALL CAP VALUE B	0.00	1.54	80.0	1.23	0.00	1.23
04/03/2017	GREGORY, ERIC	PUTNAM SMALL CAP VALUE B	0.00	0.59	80.0	0.47	0.00	0.47
04/03/2017	DOWDY, JIMMIE	PUTNAM SMALL CAP VALUE C	0.00	4.29	80.0	3.43	0.00	3.43
04/03/2017	CANFIELD, LORI	PUTNAM SMALL CAP VALUE C	0.00	4.33	80.0	3.46	0.00	3.46
04/03/2017	POORE, NANCY	PUTNAM SMALL CAP VALUE C	0.00	2.08	80.0	1.66	0.00	1.66
/ /	MICHENER, DAVID	RYDEX BIOTECHNOLOGY A	0.00	0.16	80.0	0.13	0.00	0.13
/ /	WHITETREE, THOMAS	RYDEX BIOTECHNOLOGY A	0.00	0.03	80.0	0.02	0.00	0.02
/ /	CASTLE, DAVID	RYDEX BIOTECHNOLOGY A	0.00	0.06	80.0	0.05	0.00	0.05

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	RATE	NET COMMISSION	CLEARING CHARGE	BROKER COMMISSION
<u>BROKER TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
/ /	HUFFMAN, KRISTOPHER	RYDEX BIOTECHNOLOGY A	0.00	0.22	80.0	0.18	0.00	0.18
/ /	LIVELY, ELIZABETH	RYDEX BIOTECHNOLOGY A	0.00	0.05	80.0	0.04	0.00	0.04
/ /	LIVELY, DUSTIN	RYDEX BIOTECHNOLOGY A	0.00	0.05	80.0	0.04	0.00	0.04
/ /	HUNTER, TIMOTHY	RYDEX BIOTECHNOLOGY A	0.00	0.04	80.0	0.03	0.00	0.03
/ /	PUCKETT, CHERI	RYDEX BIOTECHNOLOGY A	0.00	0.06	80.0	0.05	0.00	0.05
/ /	HARRALD, DONALD	RYDEX BIOTECHNOLOGY A	0.00	0.02	80.0	0.02	0.00	0.02
/ /	SALLEE, MARY	RYDEX BIOTECHNOLOGY A	0.00	0.08	80.0	0.06	0.00	0.06
/ /	ROLLINS, LISA	RYDEX BIOTECHNOLOGY C	0.00	0.01	80.0	0.01	0.00	0.01
/ /	TREADWAY, PAMELA	RYDEX BIOTECHNOLOGY C	0.00	0.24	80.0	0.19	0.00	0.19
/ /	TREADWAY, TOMMY	RYDEX BIOTECHNOLOGY C	0.00	0.42	80.0	0.34	0.00	0.34
/ /	DOWNING, JOHN	RYDEX BIOTECHNOLOGY C	0.00	0.85	80.0	0.68	0.00	0.68
/ /	ACOSTA, JF	RYDEX BIOTECHNOLOGY C	0.00	0.07	80.0	0.06	0.00	0.06
/ /	MELTON, JOY	RYDEX BIOTECHNOLOGY C	0.00	0.16	80.0	0.13	0.00	0.13
/ /	BENSON, KARLA	RYDEX BIOTECHNOLOGY C	0.00	0.06	80.0	0.05	0.00	0.05
/ /	DESHIELDS, JAMES	RYDEX BIOTECHNOLOGY C	0.00	0.09	80.0	0.07	0.00	0.07
/ /	POORE, NANCY	RYDEX BIOTECHNOLOGY C	0.00	0.21	80.0	0.17	0.00	0.17
/ /	MCFERRON, LINDA	RYDEX BIOTECHNOLOGY C	0.00	0.26	80.0	0.21	0.00	0.21
/ /	VOCI, ROBERTO	RYDEX BIOTECHNOLOGY C	0.00	0.58	80.0	0.46	0.00	0.46
/ /	WILLIAMS, JACKIE	RYDEX BIOTECHNOLOGY C	0.00	0.74	80.0	0.59	0.00	0.59
/ /	WRIGHT, MARK	RYDEX BIOTECHNOLOGY C	0.00	0.01	80.0	0.01	0.00	0.01
/ /	POTTER, G	RYDEX BIOTECHNOLOGY C	0.00	0.08	80.0	0.06	0.00	0.06
/ /	POTTER, RK	RYDEX BIOTECHNOLOGY C	0.00	0.08	80.0	0.06	0.00	0.06
/ /	RICK, JOSEPH	RYDEX BIOTECHNOLOGY C	0.00	0.03	80.0	0.02	0.00	0.02
/ /	BACON, RICHARD	RYDEX BIOTECHNOLOGY C	0.00	0.22	80.0	0.18	0.00	0.18
/ /	ARRINGTON, NANCY	RYDEX BIOTECHNOLOGY C	0.00	0.04	80.0	0.03	0.00	0.03
/ /	HOLMAN, KENLEE	RYDEX BIOTECHNOLOGY C	0.00	0.05	80.0	0.04	0.00	0.04
/ /	HOLMAN, MEEGAN	RYDEX BIOTECHNOLOGY C	0.00	0.15	80.0	0.12	0.00	0.12
/ /	ROLLINS, LISA	RYDEX DOW 2X STRATEGY C	0.00	0.05	80.0	0.04	0.00	0.04
/ /	TREADWAY, PAMELA	RYDEX DOW 2X STRATEGY C	0.00	0.94	80.0	0.75	0.00	0.75
/ /	TREADWAY, TOMMY	RYDEX DOW 2X STRATEGY C	0.00	1.66	80.0	1.33	0.00	1.33
/ /	MORIELS, FELICIA	RYDEX DOW 2X STRATEGY C	0.00	0.01	80.0	0.01	0.00	0.01
/ /	DOWNING, JOHN	RYDEX DOW 2X STRATEGY C	0.00	3.34	80.0	2.67	0.00	2.67
/ /	ACOSTA, JF	RYDEX DOW 2X STRATEGY C	0.00	0.29	80.0	0.23	0.00	0.23

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<u>BROKER TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
/ /	MELTON, JOY	RYDEX DOW 2X STRATEGY C	0.00	0.62	80.0	0.50	0.00	0.50
/ /	BENSON, KARLA	RYDEX DOW 2X STRATEGY C	0.00	0.23	80.0	0.18	0.00	0.18
/ /	DESHIELDS, JAMES	RYDEX DOW 2X STRATEGY C	0.00	0.34	80.0	0.27	0.00	0.27
/ /	POORE, NANCY	RYDEX DOW 2X STRATEGY C	0.00	0.82	80.0	0.66	0.00	0.66
/ /	MCFERRON, LINDA	RYDEX DOW 2X STRATEGY C	0.00	1.00	80.0	0.80	0.00	0.80
/ /	VOCI, ROBERTO	RYDEX DOW 2X STRATEGY C	0.00	2.25	80.0	1.80	0.00	1.80
/ /	WILLIAMS, JACKIE	RYDEX DOW 2X STRATEGY C	0.00	3.17	80.0	2.54	0.00	2.54
/ /	WRIGHT, MARK	RYDEX DOW 2X STRATEGY C	0.00	0.04	80.0	0.03	0.00	0.03
/ /	POTTER, G	RYDEX DOW 2X STRATEGY C	0.00	0.31	80.0	0.25	0.00	0.25
/ /	POTTER, RK	RYDEX DOW 2X STRATEGY C	0.00	0.30	80.0	0.24	0.00	0.24
/ /	RICK, JOSEPH	RYDEX DOW 2X STRATEGY C	0.00	0.10	80.0	0.08	0.00	0.08
/ /	BACON, RICHARD	RYDEX DOW 2X STRATEGY C	0.00	0.87	80.0	0.70	0.00	0.70
/ /	ARRINGTON, NANCY	RYDEX DOW 2X STRATEGY C	0.00	0.16	80.0	0.13	0.00	0.13
/ /	HOLMAN, KENLEE	RYDEX DOW 2X STRATEGY C	0.00	0.18	80.0	0.14	0.00	0.14
/ /	HOLMAN, MEEGAN	RYDEX DOW 2X STRATEGY C	0.00	0.57	80.0	0.46	0.00	0.46
/ /	WHITETREE, THOMAS	RYDEX EUROPE 1.25X DTGY - A	0.00	0.03	80.0	0.02	0.00	0.02
/ /	CASTLE, DAVID	RYDEX EUROPE 1.25X DTGY - A	0.00	0.06	80.0	0.05	0.00	0.05
/ /	HUFFMAN, KRISTOPHER	RYDEX EUROPE 1.25X DTGY - A	0.00	0.22	80.0	0.18	0.00	0.18
/ /	LIVELY, ELIZABETH	RYDEX EUROPE 1.25X DTGY - A	0.00	0.05	80.0	0.04	0.00	0.04
/ /	LIVELY, DUSTIN	RYDEX EUROPE 1.25X DTGY - A	0.00	0.05	80.0	0.04	0.00	0.04
/ /	HUNTER, TIMOTHY	RYDEX EUROPE 1.25X DTGY - A	0.00	0.05	80.0	0.04	0.00	0.04
/ /	PUCKETT, CHERI	RYDEX EUROPE 1.25X DTGY - A	0.00	0.06	80.0	0.05	0.00	0.05
/ /	HARRALD, DONALD	RYDEX EUROPE 1.25X DTGY - A	0.00	0.03	80.0	0.02	0.00	0.02
/ /	SALLEE, MARY	RYDEX EUROPE 1.25X DTGY - A	0.00	0.08	80.0	0.06	0.00	0.06
/ /	ROLLINS, LISA	RYDEX EUROPE 1.25X STRATEGY C	0.00	0.01	80.0	0.01	0.00	0.01
/ /	TREADWAY, PAMELA	RYDEX EUROPE 1.25X STRATEGY C	0.00	0.24	80.0	0.19	0.00	0.19
/ /	TREADWAY, TOMMY	RYDEX EUROPE 1.25X STRATEGY C	0.00	0.43	80.0	0.34	0.00	0.34
/ /	DOWNING, JOHN	RYDEX EUROPE 1.25X STRATEGY C	0.00	0.88	80.0	0.70	0.00	0.70
/ /	ACOSTA, JF	RYDEX EUROPE 1.25X STRATEGY C	0.00	0.08	80.0	0.06	0.00	0.06
/ /	MELTON, JOY	RYDEX EUROPE 1.25X STRATEGY C	0.00	0.16	80.0	0.13	0.00	0.13
/ /	BENSON, KARLA	RYDEX EUROPE 1.25X STRATEGY C	0.00	0.06	80.0	0.05	0.00	0.05
/ /	DESHIELDS, JAMES	RYDEX EUROPE 1.25X STRATEGY C	0.00	0.09	80.0	0.07	0.00	0.07
/ /	POORE, NANCY	RYDEX EUROPE 1.25X STRATEGY C	0.00	0.21	80.0	0.17	0.00	0.17

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<u>BROKER TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
/ /	MCFERRON, LINDA	RYDEX EUROPE 1.25X STRATEGY C	0.00	0.26	80.0	0.21	0.00	0.21
/ /	VOCI, ROBERTO	RYDEX EUROPE 1.25X STRATEGY C	0.00	0.59	80.0	0.47	0.00	0.47
/ /	WILLIAMS, JACKIE	RYDEX EUROPE 1.25X STRATEGY C	0.00	0.77	80.0	0.62	0.00	0.62
/ /	WRIGHT, MARK	RYDEX EUROPE 1.25X STRATEGY C	0.00	0.01	80.0	0.01	0.00	0.01
/ /	POTTER, G	RYDEX EUROPE 1.25X STRATEGY C	0.00	0.08	80.0	0.06	0.00	0.06
/ /	POTTER, RK	RYDEX EUROPE 1.25X STRATEGY C	0.00	0.08	80.0	0.06	0.00	0.06
/ /	RICK, JOSEPH	RYDEX EUROPE 1.25X STRATEGY C	0.00	0.03	80.0	0.02	0.00	0.02
/ /	BACON, RICHARD	RYDEX EUROPE 1.25X STRATEGY C	0.00	0.22	80.0	0.18	0.00	0.18
/ /	ARRINGTON, NANCY	RYDEX EUROPE 1.25X STRATEGY C	0.00	0.04	80.0	0.03	0.00	0.03
/ /	HOLMAN, KENLEE	RYDEX EUROPE 1.25X STRATEGY C	0.00	0.05	80.0	0.04	0.00	0.04
/ /	HOLMAN, MEEGAN	RYDEX EUROPE 1.25X STRATEGY C	0.00	0.15	80.0	0.12	0.00	0.12
/ /	BACON-HILL, MICHELE	RYDEX EUROPE 1.25X STRATEGY C	0.00	0.01	80.0	0.01	0.00	0.01
/ /	CASTLE, DAVID	RYDEX GUGG EMG MKTS 2X STRATEGY A	0.00	0.01	80.0	0.01	0.00	0.01
/ /	HUFFMAN, KRISTOPHER	RYDEX GUGG EMG MKTS 2X STRATEGY A	0.00	0.03	80.0	0.02	0.00	0.02
/ /	LIVELY, ELIZABETH	RYDEX GUGG EMG MKTS 2X STRATEGY A	0.00	0.01	80.0	0.01	0.00	0.01
/ /	LIVELY, DUSTIN	RYDEX GUGG EMG MKTS 2X STRATEGY A	0.00	0.01	80.0	0.01	0.00	0.01
/ /	HUNTER, TIMOTHY	RYDEX GUGG EMG MKTS 2X STRATEGY A	0.00	0.01	80.0	0.01	0.00	0.01
/ /	PUCKETT, CHERI	RYDEX GUGG EMG MKTS 2X STRATEGY A	0.00	0.01	80.0	0.01	0.00	0.01
/ /	SALLEE, MARY	RYDEX GUGG EMG MKTS 2X STRATEGY A	0.00	0.01	80.0	0.01	0.00	0.01
/ /	TREADWAY, PAMELA	RYDEX GUGG EMG MKTS 2X STRATEGY C	0.00	0.03	80.0	0.02	0.00	0.02
/ /	TREADWAY, TOMMY	RYDEX GUGG EMG MKTS 2X STRATEGY C	0.00	0.06	80.0	0.05	0.00	0.05
/ /	DOWNING, JOHN	RYDEX GUGG EMG MKTS 2X STRATEGY C	0.00	0.12	80.0	0.10	0.00	0.10
/ /	ACOSTA, JF	RYDEX GUGG EMG MKTS 2X STRATEGY C	0.00	0.01	80.0	0.01	0.00	0.01
/ /	MELTON, JOY	RYDEX GUGG EMG MKTS 2X STRATEGY C	0.00	0.02	80.0	0.02	0.00	0.02
/ /	BENSON, KARLA	RYDEX GUGG EMG MKTS 2X STRATEGY C	0.00	0.01	80.0	0.01	0.00	0.01
/ /	DESHIELDS, JAMES	RYDEX GUGG EMG MKTS 2X STRATEGY C	0.00	0.01	80.0	0.01	0.00	0.01
/ /	POORE, NANCY	RYDEX GUGG EMG MKTS 2X STRATEGY C	0.00	0.03	80.0	0.02	0.00	0.02
/ /	MCFERRON, LINDA	RYDEX GUGG EMG MKTS 2X STRATEGY C	0.00	0.04	80.0	0.03	0.00	0.03
/ /	VOCI, ROBERTO	RYDEX GUGG EMG MKTS 2X STRATEGY C	0.00	0.08	80.0	0.06	0.00	0.06
/ /	WILLIAMS, JACKIE	RYDEX GUGG EMG MKTS 2X STRATEGY C	0.00	0.11	80.0	0.09	0.00	0.09
/ /	POTTER, G	RYDEX GUGG EMG MKTS 2X STRATEGY C	0.00	0.01	80.0	0.01	0.00	0.01
/ /	POTTER, RK	RYDEX GUGG EMG MKTS 2X STRATEGY C	0.00	0.01	80.0	0.01	0.00	0.01
/ /	BACON, RICHARD	RYDEX GUGG EMG MKTS 2X STRATEGY C	0.00	0.03	80.0	0.02	0.00	0.02

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<u>BROKER TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
/ /	ARRINGTON, NANCY	RYDEX GUGG EMG MKTS 2X STRATEGY C	0.00	0.01	80.0	0.01	0.00	0.01
/ /	HOLMAN, KENLEE	RYDEX GUGG EMG MKTS 2X STRATEGY C	0.00	0.01	80.0	0.01	0.00	0.01
/ /	HOLMAN, MEEGAN	RYDEX GUGG EMG MKTS 2X STRATEGY C	0.00	0.02	80.0	0.02	0.00	0.02
/ /	BACON-HILL, MICHELE	RYDEX GUGG EMG MKTS 2X STRATEGY C	0.00	0.01	80.0	0.01	0.00	0.01
/ /	ROLLINS, LISA	RYDEX GUGG NASDAQ 100 2X STRATEGY	0.00	0.09	80.0	0.07	0.00	0.07
/ /	TREADWAY, PAMELA	RYDEX GUGG NASDAQ 100 2X STRATEGY	0.00	1.49	80.0	1.19	0.00	1.19
/ /	TREADWAY, TOMMY	RYDEX GUGG NASDAQ 100 2X STRATEGY	0.00	2.88	80.0	2.30	0.00	2.30
/ /	MORIELS, FELICIA	RYDEX GUGG NASDAQ 100 2X STRATEGY	0.00	0.01	80.0	0.01	0.00	0.01
/ /	DOWNING, JOHN	RYDEX GUGG NASDAQ 100 2X STRATEGY	0.00	5.96	80.0	4.77	0.00	4.77
/ /	ACOSTA, JF	RYDEX GUGG NASDAQ 100 2X STRATEGY	0.00	0.51	80.0	0.41	0.00	0.41
/ /	MELTON, JOY	RYDEX GUGG NASDAQ 100 2X STRATEGY	0.00	1.06	80.0	0.85	0.00	0.85
/ /	BENSON, KARLA	RYDEX GUGG NASDAQ 100 2X STRATEGY	0.00	0.41	80.0	0.33	0.00	0.33
/ /	DESHIELDS, JAMES	RYDEX GUGG NASDAQ 100 2X STRATEGY	0.00	0.49	80.0	0.39	0.00	0.39
/ /	POORE, NANCY	RYDEX GUGG NASDAQ 100 2X STRATEGY	0.00	1.21	80.0	0.97	0.00	0.97
/ /	MCFERRON, LINDA	RYDEX GUGG NASDAQ 100 2X STRATEGY	0.00	1.79	80.0	1.43	0.00	1.43
/ /	VOCI, ROBERTO	RYDEX GUGG NASDAQ 100 2X STRATEGY	0.00	3.96	80.0	3.17	0.00	3.17
/ /	WILLIAMS, JACKIE	RYDEX GUGG NASDAQ 100 2X STRATEGY	0.00	5.66	80.0	4.53	0.00	4.53
/ /	WRIGHT, MARK	RYDEX GUGG NASDAQ 100 2X STRATEGY	0.00	0.07	80.0	0.06	0.00	0.06
/ /	POTTER, G	RYDEX GUGG NASDAQ 100 2X STRATEGY	0.00	0.54	80.0	0.43	0.00	0.43
/ /	POTTER, RK	RYDEX GUGG NASDAQ 100 2X STRATEGY	0.00	0.52	80.0	0.42	0.00	0.42
/ /	RICK, JOSEPH	RYDEX GUGG NASDAQ 100 2X STRATEGY	0.00	0.10	80.0	0.08	0.00	0.08
/ /	BACON, RICHARD	RYDEX GUGG NASDAQ 100 2X STRATEGY	0.00	1.54	80.0	1.23	0.00	1.23
/ /	ARRINGTON, NANCY	RYDEX GUGG NASDAQ 100 2X STRATEGY	0.00	0.21	80.0	0.17	0.00	0.17
/ /	HOLMAN, KENLEE	RYDEX GUGG NASDAQ 100 2X STRATEGY	0.00	0.31	80.0	0.25	0.00	0.25
/ /	HOLMAN, MEEGAN	RYDEX GUGG NASDAQ 100 2X STRATEGY	0.00	1.02	80.0	0.82	0.00	0.82
/ /	BACON-HILL, MICHELE	RYDEX GUGG NASDAQ 100 2X STRATEGY	0.00	0.03	80.0	0.02	0.00	0.02
/ /	MICHENER, DAVID	RYDEX GUGG VELOCITY 100 A	0.00	0.57	80.0	0.46	0.00	0.46
/ /	WHITETREE, THOMAS	RYDEX GUGG VELOCITY 100 A	0.00	0.22	80.0	0.18	0.00	0.18
/ /	CASTLE, DAVID	RYDEX GUGG VELOCITY 100 A	0.00	0.41	80.0	0.33	0.00	0.33
/ /	HUFFMAN, KRISTOPHER	RYDEX GUGG VELOCITY 100 A	0.00	1.55	80.0	1.24	0.00	1.24
/ /	LIVELY, ELIZABETH	RYDEX GUGG VELOCITY 100 A	0.00	0.34	80.0	0.27	0.00	0.27
/ /	LIVELY, DUSTIN	RYDEX GUGG VELOCITY 100 A	0.00	0.35	80.0	0.28	0.00	0.28
/ /	HUNTER, TIMOTHY	RYDEX GUGG VELOCITY 100 A	0.00	0.32	80.0	0.26	0.00	0.26

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

DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	RATE	NET COMMISSION	CLEARING CHARGE	BROKER COMMISSION
<u>BROKER TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
/ /	PUCKETT, CHERI	RYDEX GUGG VELOCITY 100 A	0.00	0.40	80.0	0.32	0.00	0.32
/ /	DOBELBOWER, JORGE LARRY	RYDEX GUGG VELOCITY 100 A	0.00	0.01	80.0	0.01	0.00	0.01
/ /	HARRALD, DONALD	RYDEX GUGG VELOCITY 100 A	0.00	0.16	80.0	0.13	0.00	0.13
/ /	SALLEE, MARY	RYDEX GUGG VELOCITY 100 A	0.00	0.57	80.0	0.46	0.00	0.46
/ /	KINNEY, ERICK	RYDEX GUGGENHEIM NASDAQ-100-A	0.00	0.23	80.0	0.18	0.00	0.18
/ /	MICHENER, DAVID	RYDEX HEALTH CARE-A	0.00	0.16	80.0	0.13	0.00	0.13
/ /	WHITETREE, THOMAS	RYDEX HEALTH CARE-A	0.00	0.03	80.0	0.02	0.00	0.02
/ /	CASTLE, DAVID	RYDEX HEALTH CARE-A	0.00	0.05	80.0	0.04	0.00	0.04
/ /	HUFFMAN, KRISTOPHER	RYDEX HEALTH CARE-A	0.00	0.18	80.0	0.14	0.00	0.14
/ /	LIVELY, ELIZABETH	RYDEX HEALTH CARE-A	0.00	0.04	80.0	0.03	0.00	0.03
/ /	LIVELY, DUSTIN	RYDEX HEALTH CARE-A	0.00	0.04	80.0	0.03	0.00	0.03
/ /	HUNTER, TIMOTHY	RYDEX HEALTH CARE-A	0.00	0.04	80.0	0.03	0.00	0.03
/ /	PUCKETT, CHERI	RYDEX HEALTH CARE-A	0.00	0.05	80.0	0.04	0.00	0.04
/ /	HARRALD, DONALD	RYDEX HEALTH CARE-A	0.00	0.02	80.0	0.02	0.00	0.02
/ /	SALLEE, MARY	RYDEX HEALTH CARE-A	0.00	0.07	80.0	0.06	0.00	0.06
/ /	ROLLINS, LISA	RYDEX HEALTH CARE-C	0.00	0.01	80.0	0.01	0.00	0.01
/ /	TREADWAY, PAMELA	RYDEX HEALTH CARE-C	0.00	0.20	80.0	0.16	0.00	0.16
/ /	TREADWAY, TOMMY	RYDEX HEALTH CARE-C	0.00	0.35	80.0	0.28	0.00	0.28
/ /	DOWNING, JOHN	RYDEX HEALTH CARE-C	0.00	0.71	80.0	0.57	0.00	0.57
/ /	ACOSTA, JF	RYDEX HEALTH CARE-C	0.00	0.06	80.0	0.05	0.00	0.05
/ /	MELTON, JOY	RYDEX HEALTH CARE-C	0.00	0.13	80.0	0.10	0.00	0.10
/ /	BENSON, KARLA	RYDEX HEALTH CARE-C	0.00	0.05	80.0	0.04	0.00	0.04
/ /	DESHIELDS, JAMES	RYDEX HEALTH CARE-C	0.00	0.07	80.0	0.06	0.00	0.06
/ /	POORE, NANCY	RYDEX HEALTH CARE-C	0.00	0.18	80.0	0.14	0.00	0.14
/ /	MCFERRON, LINDA	RYDEX HEALTH CARE-C	0.00	0.21	80.0	0.17	0.00	0.17
/ /	VOCI, ROBERTO	RYDEX HEALTH CARE-C	0.00	0.48	80.0	0.38	0.00	0.38
/ /	WILLIAMS, JACKIE	RYDEX HEALTH CARE-C	0.00	0.61	80.0	0.49	0.00	0.49
/ /	WRIGHT, MARK	RYDEX HEALTH CARE-C	0.00	0.01	80.0	0.01	0.00	0.01
/ /	POTTER, G	RYDEX HEALTH CARE-C	0.00	0.07	80.0	0.06	0.00	0.06
/ /	POTTER, RK	RYDEX HEALTH CARE-C	0.00	0.06	80.0	0.05	0.00	0.05
/ /	RICK, JOSEPH	RYDEX HEALTH CARE-C	0.00	0.02	80.0	0.02	0.00	0.02
/ /	BACON, RICHARD	RYDEX HEALTH CARE-C	0.00	0.18	80.0	0.14	0.00	0.14
/ /	ARRINGTON, NANCY	RYDEX HEALTH CARE-C	0.00	0.03	80.0	0.02	0.00	0.02

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	RATE	NET COMMISSION	CLEARING CHARGE	BROKER COMMISSION
<u>BROKER TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
/ /	HOLMAN, KENLEE	RYDEX HEALTH CARE-C	0.00	0.04	80.0	0.03	0.00	0.03
/ /	HOLMAN, MEEGAN	RYDEX HEALTH CARE-C	0.00	0.12	80.0	0.10	0.00	0.10
/ /	TREADWAY, PAMELA	RYDEX INVERSE DYNAMIC DOW C	0.00	0.02	80.0	0.02	0.00	0.02
/ /	TREADWAY, TOMMY	RYDEX INVERSE DYNAMIC DOW C	0.00	0.04	80.0	0.03	0.00	0.03
/ /	DOWNING, JOHN	RYDEX INVERSE DYNAMIC DOW C	0.00	0.08	80.0	0.06	0.00	0.06
/ /	ACOSTA, JF	RYDEX INVERSE DYNAMIC DOW C	0.00	0.01	80.0	0.01	0.00	0.01
/ /	MELTON, JOY	RYDEX INVERSE DYNAMIC DOW C	0.00	0.02	80.0	0.02	0.00	0.02
/ /	BENSON, KARLA	RYDEX INVERSE DYNAMIC DOW C	0.00	0.01	80.0	0.01	0.00	0.01
/ /	DESHIELDS, JAMES	RYDEX INVERSE DYNAMIC DOW C	0.00	0.01	80.0	0.01	0.00	0.01
/ /	POORE, NANCY	RYDEX INVERSE DYNAMIC DOW C	0.00	0.02	80.0	0.02	0.00	0.02
/ /	MCFERRON, LINDA	RYDEX INVERSE DYNAMIC DOW C	0.00	0.02	80.0	0.02	0.00	0.02
/ /	VOCI, ROBERTO	RYDEX INVERSE DYNAMIC DOW C	0.00	0.06	80.0	0.05	0.00	0.05
/ /	WILLIAMS, JACKIE	RYDEX INVERSE DYNAMIC DOW C	0.00	0.08	80.0	0.06	0.00	0.06
/ /	POTTER, G	RYDEX INVERSE DYNAMIC DOW C	0.00	0.01	80.0	0.01	0.00	0.01
/ /	POTTER, RK	RYDEX INVERSE DYNAMIC DOW C	0.00	0.01	80.0	0.01	0.00	0.01
/ /	BACON, RICHARD	RYDEX INVERSE DYNAMIC DOW C	0.00	0.02	80.0	0.02	0.00	0.02
/ /	HOLMAN, MEEGAN	RYDEX INVERSE DYNAMIC DOW C	0.00	0.01	80.0	0.01	0.00	0.01
/ /	CASTLE, DAVID	RYDEX INVERSE RUSSELL 2000 2X	0.00	0.01	80.0	0.01	0.00	0.01
/ /	HUFFMAN, KRISTOPHER	RYDEX INVERSE RUSSELL 2000 2X	0.00	0.02	80.0	0.02	0.00	0.02
/ /	PUCKETT, CHERI	RYDEX INVERSE RUSSELL 2000 2X	0.00	0.01	80.0	0.01	0.00	0.01
/ /	SALLEE, MARY	RYDEX INVERSE RUSSELL 2000 2X	0.00	0.01	80.0	0.01	0.00	0.01
* MUTUAL FUNDS SUBTOTAL *			\$1,081.98	\$473.91		\$379.18	\$0.00	\$379.18
<u>PRODUCT CATEGORY: STOCKS</u>								
04/06/2017	ACOSTA, ANNA	DIREXION SHS ETF TR DAILY	-7,300.00	49.00	80.0	39.20	22.50	16.70
04/04/2017	STANFORD, DAVID	DIREXION SHS ETF TR DIREXION DAILY	2,200.52	49.00	80.0	39.20	22.50	16.70
04/04/2017	ACOSTA, ANNA	DIREXION SHS ETF TR DIREXION DAILY	6,602.34	49.00	80.0	39.20	22.50	16.70
* STOCKS SUBTOTAL *			\$1,502.86	\$147.00		\$117.60	\$67.50	\$50.10
<u>PRODUCT CATEGORY: VARIABLE ANNUITIES</u>								
03/31/2017	BRANSTETTER, ERIK	JNL ELITE ACCESS	5,570.49	1.16	80.0	0.93	0.00	0.93
03/31/2017	BRANSTETTER, ERIK	JNL ELITE ACCESS	2,025.30	0.42	80.0	0.34	0.00	0.34
03/31/2017	CASTLE, DAVID	JNL ELITE ACCESS	2,493.25	0.52	80.0	0.42	0.00	0.42
03/31/2017	FIRST TRUST OF ONAGA	JNL ELITE ACCESS	2,718.36	0.57	80.0	0.46	0.00	0.46

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	RATE	NET COMMISSION	CLEARING CHARGE	BROKER COMMISSION
<u>BROKER TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: VARIABLE ANNUITIES</u>								
03/31/2017	PYLE JR, JUSTIN	JNL ELITE ACCESS	27,437.53	5.72	80.0	4.58	0.00	4.58
03/31/2017	ALEXANDER, SUSAN	JNL PERSPECTIVE II 04/14	8,835.33	1.84	80.0	1.47	0.00	1.47
03/31/2017	RAY, RANDY	JNL PERSPECTIVE II 04/14	25,993.31	10.83	80.0	8.66	0.00	8.66
03/31/2017	WILLIAMS, JACKIE	JNL PERSPECTIVE II 05/05	44,946.70	9.36	80.0	7.49	0.00	7.49
03/31/2017	WILLIAMS, JACKIE	JNL PERSPECTIVE II 05/05	7,894.62	6.58	80.0	5.26	0.00	5.26
03/31/2017	BRANSTETTER, TRACY	JNL PERSPECTIVE II 05/05	1,338.40	0.28	80.0	0.22	0.00	0.22
03/31/2017	HIPP, RONALD	JNL PERSPECTIVE II 05/05	9,469.14	1.97	80.0	1.58	0.00	1.58
03/31/2017	HOBBS, DONALD	JNL PERSPECTIVE II 05/05	7,921.68	1.65	80.0	1.32	0.00	1.32
03/31/2017	MCKIBBEN, SUSAN	JNL PERSPECTIVE II 05/05	81,466.14	16.97	80.0	13.58	0.00	13.58
03/31/2017	MANSFIELD, CORDELIA	JNL PERSPECTIVE L	61,013.76	66.10	80.0	52.88	0.00	52.88
03/31/2017	MCFERRON, LINDA	JNL PERSPECTIVE L	15,829.59	17.15	80.0	13.72	0.00	13.72
03/31/2017	WOODS III, JOHN	JNL PERSPECTIVE L	30,118.54	25.10	80.0	20.08	0.00	20.08
03/31/2017	WOODS III, JOHN	JNL PERSPECTIVE L	10,756.62	11.65	80.0	9.32	0.00	9.32
03/31/2017	DOWDY, LINDA	JNL PERSPECTIVE L	34,498.22	28.75	80.0	23.00	0.00	23.00
03/31/2017	DOWDY, LINDA	JNL PERSPECTIVE L	12,931.81	14.01	80.0	11.21	0.00	11.21
03/31/2017	RICK, JOSEPH	JNL PERSPECTIVE L	9,124.39	7.60	80.0	6.08	0.00	6.08
03/31/2017	RICK, JOSEPH	JNL PERSPECTIVE L	11,849.85	12.84	80.0	10.27	0.00	10.27
03/31/2017	WILLIAMS, HARRY	JNL PERSPECTIVE L	6,790.94	5.66	80.0	4.53	0.00	4.53
03/31/2017	WILLIAMS, HARRY	JNL PERSPECTIVE L	11,318.24	12.26	80.0	9.81	0.00	9.81
03/31/2017	BRISCOE, TOMMIE	JNL PERSPECTIVE L	10,725.60	8.94	80.0	7.15	0.00	7.15
03/31/2017	BRISCOE, TOMMIE	JNL PERSPECTIVE L	9,805.93	10.62	80.0	8.50	0.00	8.50
03/31/2017	WILSON, TIM	JNL PERSPECTIVE L	23,212.98	19.34	80.0	15.47	0.00	15.47
03/31/2017	WILSON, TIM	JNL PERSPECTIVE L	9,538.45	10.33	80.0	8.26	0.00	8.26
03/31/2017	HERNDON, RONALD	JNL PERSPECTIVE L	16,386.58	13.66	80.0	10.93	0.00	10.93
03/31/2017	HERNDON, RONALD	JNL PERSPECTIVE L	9,661.08	10.47	80.0	8.38	0.00	8.38
03/31/2017	CANFIELD, OWEN	JNL PERSPECTIVE L	45,821.34	38.18	80.0	30.54	0.00	30.54
03/31/2017	CANFIELD, OWEN	JNL PERSPECTIVE L	10,170.94	11.02	80.0	8.82	0.00	8.82
03/31/2017	MOORE, TONI	JNL PERSPECTIVE L	107,229.49	89.36	80.0	71.49	0.00	71.49
03/31/2017	MOORE, TONI	JNL PERSPECTIVE L	107,229.49	116.17	80.0	92.94	0.00	92.94
03/31/2017	MICHENER, DAVID	JNL PERSPECTIVE L	261,030.44	217.53	80.0	174.02	0.00	174.02
03/31/2017	LEMMOND, MARY	JNL PERSPECTIVE L	19,554.82	16.30	80.0	13.04	0.00	13.04
03/31/2017	BRANSTETTER, LINDA	JNL PERSPECTIVE L	2,369.28	1.97	80.0	1.58	0.00	1.58
03/31/2017	BRANSTETTER, TODD	JNL PERSPECTIVE L	12,550.06	10.46	80.0	8.37	0.00	8.37

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<u>BROKER TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: VARIABLE ANNUITIES</u>								
03/31/2017	MCFERRON, LARRY	JNL PERSPECTIVE L	19,258.06	16.05	80.0	12.84	0.00	12.84
03/31/2017	MANSFIELD, PHILLIP	JNL PERSPECTIVE L	48,162.59	40.14	80.0	32.11	0.00	32.11
03/31/2017	POORE, NANCY	JNL PERSPECTIVE L	46,645.52	38.87	80.0	31.10	0.00	31.10
03/31/2017	HUFFMAN, KRISTOPHER	JNL PERSPECTIVE L	55,372.30	46.14	80.0	36.91	0.00	36.91
03/31/2017	CASTLE, DAVID	JNL PERSPECTIVE L	111,759.97	93.13	80.0	74.50	0.00	74.50
03/31/2017	FARIS, THERESA ANN	JNL PERSPECTIVE L	33,351.65	27.79	80.0	22.23	0.00	22.23
03/31/2017	DOBELBOWER, JORGE LARRY	JNL PERSPECTIVE L	93,592.92	77.99	80.0	62.39	0.00	62.39
03/31/2017	MCKIDDY, BOBBY	JNL PERSPECTIVE L	19,582.49	16.32	80.0	13.06	0.00	13.06
03/31/2017	TREADWAY, PAMELA	JNL PERSPECTIVE L	39,630.70	33.03	80.0	26.42	0.00	26.42
03/31/2017	ACOSTA, ANNA	JNL PERSPECTIVE L	6,476.62	5.40	80.0	4.32	0.00	4.32
03/31/2017	STANFORD, DAVID	JOHN HANCOCK VENTURE	9,328.10	1.94	80.0	1.55	0.00	1.55
04/01/2017	POWERS, MIKE	NATIONWIDE BOA VISION GROUP 01	426.33	0.27	80.0	0.22	0.00	0.22
04/01/2017	WILSON, TIM	NATIONWIDE BOA VISION GROUP 01	3,572.84	2.23	80.0	1.78	0.00	1.78
04/01/2017	POWERS, MIKE	NATIONWIDE MARKETFLEX BB	582.11	1.46	80.0	1.17	0.00	1.17
04/01/2017	WILSON, TIM	NATIONWIDE MARKETFLEX BB	7,571.56	18.93	80.0	15.14	0.00	15.14
04/01/2017	BACON, RICHARD	NATIONWIDE MARKETFLEX BB	13,280.31	8.30	80.0	6.64	0.00	6.64
04/03/2017	STINSON, BRADLEY	PAC LIFE INNOVATIVE SELECT	0.00	5.00	80.0	4.00	0.00	4.00
04/03/2017	MADEWELL, DOUGLAS	PAC LIFE INNOVATIVE SELECT	0.00	4.12	80.0	3.30	0.00	3.30
04/03/2017	HOWARD, JOSEPH	PAC LIFE PACIFIC CHOICE	0.00	2.79	80.0	2.23	0.00	2.23
03/30/2017	JUDKINS, TIFFANY	PAC LIFE VALUE	0.00	46.96	80.0	37.57	0.00	37.57
04/03/2017	COLWELL, JEREMY	PAC LIFE VALUE	0.00	10.56	80.0	8.45	0.00	8.45
04/03/2017	PROCTOR, CHAD	PAC LIFE VALUE	0.00	7.04	80.0	5.63	0.00	5.63
04/03/2017	CRETSINGER, DON	PAC LIFE VALUE	0.00	11.01	80.0	8.81	0.00	8.81
04/03/2017	WHITE, JOANNE	PAC LIFE VALUE	0.00	8.45	80.0	6.76	0.00	6.76
04/03/2017	FISHER, SARA	PAC LIFE VALUE	0.00	8.40	80.0	6.72	0.00	6.72
04/04/2017	ROLLINS, LISA	PAC LIFE VALUE	0.00	45.04	80.0	36.03	0.00	36.03
04/06/2017	ROSENFELT, PHYLIS	PAC LIFE VALUE	0.00	5.41	80.0	4.33	0.00	4.33
03/31/2017	BRANCH, MARY	PRU AS LIFEVEST	29,796.22	55.87	80.0	44.70	0.00	44.70
03/31/2017	BRANCH, MARY	PRU AS LIFEVEST	29,796.22	18.62	80.0	14.90	0.00	14.90
* VARIABLE ANNUITIES SUBTOTAL *			\$1,645,815.20	\$1,490.60		\$1,192.51	\$0.00	\$1,192.51

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	RATE	NET COMMISSION	CLEARING CHARGE	BROKER COMMISSION
<u>BROKER TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
03/31/2017	BRANSTETTER, VARIOUS	PACIFIC LIFE FUNDS	0.00	464.90	80.0	371.92	0.00	371.92
		* MUTUAL FUND 12B1 TRAILS SUBTOTAL *	\$0.00	\$464.90		\$371.92	\$0.00	\$371.92
		*** BROKER TRANSACTIONS TOTAL ***	\$1,648,400.04	\$2,576.41		\$2,061.21	\$67.50	\$1,993.71

ADJUSTMENTS

04/15/2017		*E & O INSURANCE: CURRENT MONTH	0.00					-300.00
04/15/2017		*MARKETING LIBRARY: MARKETING	0.00					-20.00
04/15/2017		*MISC: LAWTON BOOK BUYOUT	0.00					-852.01
04/15/2017		*PERSHING: ETF PROSPECTUS	0.00					-1.55
04/15/2017		*TECHNOLOGY: CURRENT MONTH TECH	0.00					-275.00
		*** ADJUSTMENTS TOTAL ***	\$0.00	\$0.00		\$-1,448.56	\$0.00	\$-1,448.56

BROKER COMMISSION TOTALS

Broker Transactions	\$1,993.71
Split Transactions	\$0.00
Override Transactions	\$0.00
Adjustments	\$-1,448.56
Payroll Draw	\$0.00
Base Salary	\$0.00
Prior Period Balance	\$0.00
FINRA Assessment	\$0.00
SIPC Assessment	\$0.00

Check Amount	\$545.15
Year-to-date Gross	\$19,818.99
Year-to-date Earnings	\$15,248.14

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