

## DAIN Monthly Non-Trade Billing

01/20/2017

DATE	BROKER ID	TRAN.CODE	DESCRIPTION	ACCOUNT	UNITS	RATE/OCCUR	AMOUNT	EXCEPTION
01/01/2017	V01	DEUNB	Unbundled Quarterly Fees	75501391	0.000000	0.00000	-75.00	BROKER NOT FOUND
01/01/2017	V01	DEUNB	Unbundled Quarterly Fees	75501727	0.000000	0.00000	-288.95	BROKER NOT FOUND
01/01/2017	V01	DEUNB	Unbundled Quarterly Fees	75501733	0.000000	0.00000	-156.16	BROKER NOT FOUND
01/01/2017	V01	DEUNB	Unbundled Quarterly Fees	75501769	0.000000	0.00000	-101.37	BROKER NOT FOUND
01/01/2017	V01	DEUNB	Unbundled Quarterly Fees	75501772	0.000000	0.00000	-100.00	BROKER NOT FOUND
01/01/2017	V01	DEUNB	Unbundled Quarterly Fees	75501773	0.000000	0.00000	-174.17	BROKER NOT FOUND
01/01/2017	V01	DEUNB	Unbundled Quarterly Fees	75501774	0.000000	0.00000	-227.60	BROKER NOT FOUND
01/01/2017	V01	DEUNB	Unbundled Quarterly Fees	75501776	0.000000	0.00000	-75.00	BROKER NOT FOUND
01/01/2017	V01	DEUNB	Unbundled Quarterly Fees	75501777	0.000000	0.00000	-248.04	BROKER NOT FOUND
01/01/2017	V01	DEUNB	Unbundled Quarterly Fees	75501778	0.000000	0.00000	-469.33	BROKER NOT FOUND
01/01/2017	V01	DEUNB	Unbundled Quarterly Fees	75501779	0.000000	0.00000	-193.34	BROKER NOT FOUND
01/01/2017	V01	DEUNB	Unbundled Quarterly Fees	75501780	0.000000	0.00000	-108.73	BROKER NOT FOUND
01/01/2017	V01	DEUNB	Unbundled Quarterly Fees	75501781	0.000000	0.00000	-75.00	BROKER NOT FOUND
01/01/2017	V01	DEUNB	Unbundled Quarterly Fees	75501782	0.000000	0.00000	-100.00	BROKER NOT FOUND
01/01/2017	V01	DEUNB	Unbundled Quarterly Fees	75501783	0.000000	0.00000	-741.20	BROKER NOT FOUND
01/01/2017	V01	DEUNB	Unbundled Quarterly Fees	75501784	0.000000	0.00000	-316.52	BROKER NOT FOUND
01/01/2017	V01	DEUNB	Unbundled Quarterly Fees	75501790	0.000000	0.00000	-247.93	BROKER NOT FOUND
01/01/2017	V01	DEUNB	Unbundled Quarterly Fees	75501791	0.000000	0.00000	-286.07	BROKER NOT FOUND
01/01/2017	V01	DEUNB	Unbundled Quarterly Fees	75501793	0.000000	0.00000	-102.87	BROKER NOT FOUND
01/01/2017	V01	DEUNB	Unbundled Quarterly Fees	75501794	0.000000	0.00000	-200.81	BROKER NOT FOUND
01/01/2017	V01	DEUNB	Unbundled Quarterly Fees	75501805	0.000000	0.00000	-188.79	BROKER NOT FOUND
01/01/2017	V01	DEUNB	Unbundled Quarterly Fees	75501807	0.000000	0.00000	-389.50	BROKER NOT FOUND
01/01/2017	V01	DEUNB	Unbundled Quarterly Fees	75501808	0.000000	0.00000	-184.84	BROKER NOT FOUND
01/01/2017	V01	DEUNB	Unbundled Quarterly Fees	75501817	0.000000	0.00000	-870.20	BROKER NOT FOUND
01/01/2017	V01	DEUNB	Unbundled Quarterly Fees	75501818	0.000000	0.00000	-263.03	BROKER NOT FOUND
01/01/2017	V01	DEUNB	Unbundled Quarterly Fees	75501820	0.000000	0.00000	-76.00	BROKER NOT FOUND
01/01/2017	V01	DEUNB	Unbundled Quarterly Fees	75501822	0.000000	0.00000	-203.80	BROKER NOT FOUND
01/01/2017	V01	DEUNB	Unbundled Quarterly Fees	75501857	0.000000	0.00000	-100.00	BROKER NOT FOUND
01/01/2017	V01	DEUNB	Unbundled Quarterly Fees	75501858	0.000000	0.00000	-457.94	BROKER NOT FOUND
01/01/2017	V01	DEUNB	Unbundled Quarterly Fees	75501859	0.000000	0.00000	-112.07	BROKER NOT FOUND
01/01/2017	V01	DEUNB	Unbundled Quarterly Fees	75501860	0.000000	0.00000	-245.08	BROKER NOT FOUND
01/01/2017	V01	DEUNB	Unbundled Quarterly Fees	75501861	0.000000	0.00000	-219.84	BROKER NOT FOUND
01/01/2017	V01	DEUNB	Unbundled Quarterly Fees	75501862	0.000000	0.00000	-75.00	BROKER NOT FOUND
01/01/2017	V01	DEUNB	Unbundled Quarterly Fees	75501866	0.000000	0.00000	-330.51	BROKER NOT FOUND
01/01/2017	V01	DEUNB	Unbundled Quarterly Fees	75501870	0.000000	0.00000	-122.69	BROKER NOT FOUND
01/01/2017	V01	DEUNB	Unbundled Quarterly Fees	75501883	0.000000	0.00000	-166.92	BROKER NOT FOUND
01/01/2017	V01	DEUNB	Unbundled Quarterly Fees	75501884	0.000000	0.00000	-320.62	BROKER NOT FOUND
01/01/2017	V01	DEUNB	Unbundled Quarterly Fees	75501888	0.000000	0.00000	-100.00	BROKER NOT FOUND
01/01/2017	V01	DEUNB	Unbundled Quarterly Fees	75501889	0.000000	0.00000	-136.02	BROKER NOT FOUND
01/01/2017	V01	DEUNB	Unbundled Quarterly Fees	75501890	0.000000	0.00000	-413.53	BROKER NOT FOUND
01/01/2017	V01	DEUNB	Unbundled Quarterly Fees	75501914	0.000000	0.00000	-204.00	BROKER NOT FOUND
01/01/2017	V01	DEUNB	Unbundled Quarterly Fees	75501925	0.000000	0.00000	-75.00	BROKER NOT FOUND
01/01/2017	V01	DEUNB	Unbundled Quarterly Fees	75501926	0.000000	0.00000	-101.69	BROKER NOT FOUND
01/01/2017	V01	DEUNB	Unbundled Quarterly Fees	75501946	0.000000	0.00000	-203.88	BROKER NOT FOUND

## DAIN Monthly Non-Trade Billing

01/20/2017

DATE	BROKER ID	TRAN.CODE	DESCRIPTION	ACCOUNT	UNITS	RATE/OCCUR	AMOUNT	EXCEPTION
01/01/2017	V01	DEUNB	Unbundled Quarterly Fees	75501952	0.000000	0.00000	-75.00	BROKER NOT FOUND
01/01/2017	V01	DEUNB	Unbundled Quarterly Fees	75501953	0.000000	0.00000	-146.85	BROKER NOT FOUND
01/01/2017	V01	DEUNB	Unbundled Quarterly Fees	75501954	0.000000	0.00000	-75.00	BROKER NOT FOUND
01/01/2017	V01	DEUNB	Unbundled Quarterly Fees	75501960	0.000000	0.00000	-764.44	BROKER NOT FOUND
01/25/2017	V01	DEUNC	Unbundled New Account_Terminat	75502088	0.000000	0.00000	-63.29	BROKER NOT FOUND
01/01/2017	V03	DEUNB	Unbundled Quarterly Fees	75501739	0.000000	0.00000	-129.11	BROKER NOT FOUND
01/01/2017	V03	DEUNB	Unbundled Quarterly Fees	75501744	0.000000	0.00000	-115.99	BROKER NOT FOUND
01/01/2017	V03	DEUNB	Unbundled Quarterly Fees	75501751	0.000000	0.00000	-75.00	BROKER NOT FOUND
01/01/2017	V03	DEUNB	Unbundled Quarterly Fees	75501824	0.000000	0.00000	-75.00	BROKER NOT FOUND
01/01/2017	V03	DEUNB	Unbundled Quarterly Fees	75501828	0.000000	0.00000	-75.00	BROKER NOT FOUND
01/01/2017	V03	DEUNB	Unbundled Quarterly Fees	75501829	0.000000	0.00000	-75.00	BROKER NOT FOUND
01/01/2017	V03	DEUNB	Unbundled Quarterly Fees	75501830	0.000000	0.00000	-75.00	BROKER NOT FOUND
01/01/2017	V03	DEUNB	Unbundled Quarterly Fees	75501832	0.000000	0.00000	-75.00	BROKER NOT FOUND
01/01/2017	V03	DEUNB	Unbundled Quarterly Fees	75501833	0.000000	0.00000	-119.28	BROKER NOT FOUND
01/01/2017	V03	DEUNB	Unbundled Quarterly Fees	75501834	0.000000	0.00000	-96.85	BROKER NOT FOUND
01/01/2017	V03	DEUNB	Unbundled Quarterly Fees	75501835	0.000000	0.00000	-75.00	BROKER NOT FOUND
01/01/2017	V03	DEUNB	Unbundled Quarterly Fees	75501836	0.000000	0.00000	-78.44	BROKER NOT FOUND
01/01/2017	V03	DEUNB	Unbundled Quarterly Fees	75501837	0.000000	0.00000	-161.64	BROKER NOT FOUND
01/01/2017	V03	DEUNB	Unbundled Quarterly Fees	75501868	0.000000	0.00000	-157.05	BROKER NOT FOUND
01/01/2017	V03	DEUNB	Unbundled Quarterly Fees	75501869	0.000000	0.00000	-75.00	BROKER NOT FOUND
01/01/2017	V03	DEUNB	Unbundled Quarterly Fees	75501879	0.000000	0.00000	-156.06	BROKER NOT FOUND
01/01/2017	V05	DEUNB	Unbundled Quarterly Fees	75501796	0.000000	0.00000	-75.00	BROKER NOT FOUND
01/01/2017	V05	DEUNB	Unbundled Quarterly Fees	75501797	0.000000	0.00000	-75.00	BROKER NOT FOUND
01/01/2017	V05	DEUNB	Unbundled Quarterly Fees	75501799	0.000000	0.00000	-75.00	BROKER NOT FOUND
01/01/2017	V05	DEUNB	Unbundled Quarterly Fees	75501801	0.000000	0.00000	-75.00	BROKER NOT FOUND
01/01/2017	V05	DEUNB	Unbundled Quarterly Fees	75501802	0.000000	0.00000	-75.00	BROKER NOT FOUND
01/01/2017	V05	DEUNB	Unbundled Quarterly Fees	75501813	0.000000	0.00000	-75.00	BROKER NOT FOUND
01/01/2017	V05	DEUNB	Unbundled Quarterly Fees	75501873	0.000000	0.00000	-75.00	BROKER NOT FOUND
01/01/2017	V05	DEUNB	Unbundled Quarterly Fees	75501875	0.000000	0.00000	-75.00	BROKER NOT FOUND
01/01/2017	V05	DEUNB	Unbundled Quarterly Fees	75501877	0.000000	0.00000	-224.71	BROKER NOT FOUND
01/01/2017	V05	DEUNB	Unbundled Quarterly Fees	75501878	0.000000	0.00000	-75.00	BROKER NOT FOUND
01/01/2017	V05	DEUNB	Unbundled Quarterly Fees	75501907	0.000000	0.00000	-75.00	BROKER NOT FOUND
01/01/2017	V05	DEUNB	Unbundled Quarterly Fees	75501922	0.000000	0.00000	-75.00	BROKER NOT FOUND
01/01/2017	V05	DEUNB	Unbundled Quarterly Fees	75501924	0.000000	0.00000	-75.00	BROKER NOT FOUND
01/01/2017	V05	DEUNB	Unbundled Quarterly Fees	75501937	0.000000	0.00000	-75.00	BROKER NOT FOUND
01/01/2017	V05	DEUNB	Unbundled Quarterly Fees	75501944	0.000000	0.00000	-75.00	BROKER NOT FOUND
01/01/2017	V05	DEUNB	Unbundled Quarterly Fees	75502025	0.000000	0.00000	-75.00	BROKER NOT FOUND
01/06/2017	V05	DEUNC	Unbundled New Account_Terminat	75501813	0.000000	0.00000	-70.83	BROKER NOT FOUND
01/03/2017	V05	DEUNC	Unbundled New Account_Terminat	75501813	0.000000	0.00000	73.33	BROKER NOT FOUND
01/01/2017	V22	DEUNB	Unbundled Quarterly Fees	75501737	0.000000	0.00000	-75.00	BROKER NOT FOUND
01/01/2017	V22	DEUNB	Unbundled Quarterly Fees	75501740	0.000000	0.00000	-173.76	BROKER NOT FOUND
01/01/2017	V22	DEUNB	Unbundled Quarterly Fees	75501741	0.000000	0.00000	-75.00	BROKER NOT FOUND
01/01/2017	V22	DEUNB	Unbundled Quarterly Fees	75501742	0.000000	0.00000	-75.00	BROKER NOT FOUND
01/01/2017	V22	DEUNB	Unbundled Quarterly Fees	75501749	0.000000	0.00000	-75.00	BROKER NOT FOUND

**MONTHLY NON-TRADE FILE EXCEPTION REPORT*****DAIN Monthly Non-Trade Billing*****01/20/2017**

DATE	BROKER ID	TRAN.CODE	DESCRIPTION	ACCOUNT	UNITS	RATE/OCCUR	AMOUNT	EXCEPTION
01/01/2017	V22	DEUNB	Unbundled Quarterly Fees	75501752	0.000000	0.00000	-75.00	BROKER NOT FOUND
01/01/2017	V22	DEUNB	Unbundled Quarterly Fees	75501754	0.000000	0.00000	-75.00	BROKER NOT FOUND
01/01/2017	V22	DEUNB	Unbundled Quarterly Fees	75501755	0.000000	0.00000	-75.00	BROKER NOT FOUND
01/01/2017	V22	DEUNB	Unbundled Quarterly Fees	75501757	0.000000	0.00000	-75.00	BROKER NOT FOUND
01/01/2017	V22	DEUNB	Unbundled Quarterly Fees	75502018	0.000000	0.00000	-75.00	BROKER NOT FOUND
01/01/2017	V22	DEUNB	Unbundled Quarterly Fees	75502019	0.000000	0.00000	-75.00	BROKER NOT FOUND
01/01/2017	W03	DEUNB	Unbundled Quarterly Fees	75501413	0.000000	0.00000	-75.00	BROKER NOT FOUND
01/04/2017	000	MWWOD	Write-Off Debit Balance	75599750	0.000000	0.00000	-2.00	BROKER NOT FOUND
01/31/2017	ZZQ	DETLA	Trade Over Limit Fees - Adviso	75500455	0.000000	0.00000	-24.00	BROKER NOT FOUND
<b>TOTAL EXCEPTIONS:</b>		<b>97</b>					<b>TOTALS:</b>	<b>\$-14,960.01</b>