

MONTHLY TRADE FILE EXCEPTION REPORT

DAIN Monthly Trade Billing File

01/27/2017

DATE	INTERNAL BROKER # NAME	DAIN SEC.#	CUSIP #	*INVESTMENT	CLEARING#	CLIENT#	INVEST AMOUNT/ COMMISSION	EXCEPTION
01/26/2017	P75 AP7 - BEHRENS, WILLIAM		92646A294	**VICTORY PORTFOLIOS MUNDER	75501535		0.00 0.40	CUSIP NOT FOUND
01/11/2017	T01 AT0 - TOMARAS, THANASI		74441P106	**PRUDENTIAL FINANCIAL	75501569		0.00 15.42	CUSIP NOT FOUND
01/11/2017	T01 AT0 - TOMARAS, THANASI		74441L808	**PRUDENTIAL JENNISON EQUITY	75501569		0.00 30.16	CUSIP NOT FOUND
01/11/2017	T01 AT0 - TOMARAS, THANASI		74441N101	**PRUDENTIAL JENNISON SMALL	75501569		0.00 34.36	CUSIP NOT FOUND
01/11/2017	T01 AT0 - TOMARAS, THANASI		74441L105	**PRUDENTIAL QMA MID CAP VALUE	75501569		0.00 35.99	CUSIP NOT FOUND
01/11/2017	T01 AT0 - TOMARAS, THANASI		74441L808	**PRUDENTIAL JENNISON EQUITY	75501705		0.00 2.83	CUSIP NOT FOUND
01/01/2017	T02 - LAWRENCE, CHARLES			*	75501981		0.00 990.22	CUSIP NOT FOUND
01/01/2017	T02 - LAWRENCE, CHARLES			*	75501988		0.00 241.01	CUSIP NOT FOUND
01/01/2017	T02 - LAWRENCE, CHARLES			*	75501989		0.00 3,160.11	CUSIP NOT FOUND
01/01/2017	T02 - LAWRENCE, CHARLES			*	75501990		0.00 142.28	CUSIP NOT FOUND
01/01/2017	T02 - LAWRENCE, CHARLES			*	75501991		0.00 2,517.00	CUSIP NOT FOUND
01/11/2017	T02 AT0 - LAWRENCE, CHARLES		40168W616	**GUGGENHEIM FDS TR	75501992		0.00 31.71	CUSIP NOT FOUND
01/01/2017	T02 - LAWRENCE, CHARLES			*	75501992		0.00 1,113.20	CUSIP NOT FOUND
01/01/2017	T02 - LAWRENCE, CHARLES			*	75502008		0.00 570.34	CUSIP NOT FOUND

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01/01/2017	T02 - LAWRENCE, CHARLES			*	75502010		0.00 542.68	CUSIP NOT FOUND
01/01/2017	T02 - LAWRENCE, CHARLES			*	75502011		0.00 252.26	CUSIP NOT FOUND
01/01/2017	T02 - LAWRENCE, CHARLES			*	75502012		0.00 2,438.43	CUSIP NOT FOUND
01/01/2017	T02 - LAWRENCE, CHARLES			*	75502013		0.00 366.27	CUSIP NOT FOUND
01/01/2017	T02 - LAWRENCE, CHARLES			*	75502014		0.00 343.24	CUSIP NOT FOUND
01/01/2017	T02 - LAWRENCE, CHARLES			*	75502021		0.00 246.44	CUSIP NOT FOUND
01/11/2017	T02 AT0 - LAWRENCE, CHARLES		52468C307	**CLEARBRIDGE AGGRESSIVE	75502023		0.00 8.95	CUSIP NOT FOUND
01/11/2017	T02 AT0 - LAWRENCE, CHARLES		25156A866	**DEUTSCHE GLOBAL	75502023		0.00 34.89	CUSIP NOT FOUND
01/01/2017	T02 - LAWRENCE, CHARLES			*	75502035		0.00 182.86	CUSIP NOT FOUND
01/01/2017	T02 - LAWRENCE, CHARLES			*	75502036		0.00 325.88	CUSIP NOT FOUND
01/01/2017	T02 - LAWRENCE, CHARLES			*	75502041		0.00 719.21	CUSIP NOT FOUND
01/01/2017	T02 - LAWRENCE, CHARLES			*	75502043		0.00 1,210.07	CUSIP NOT FOUND
01/01/2017	T02 - LAWRENCE, CHARLES			*	75502044		0.00 981.71	CUSIP NOT FOUND
01/01/2017	T02 - LAWRENCE, CHARLES			*	75502060		0.00 178.00	CUSIP NOT FOUND

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01/01/2017	T02 - LAWRENCE, CHARLES			*	75502061		0.00 134.81	CUSIP NOT FOUND
01/19/2017	T02 AT0 - LAWRENCE, CHARLES		317612810	**ALPS ALERIAN MLP	75502070		0.00 5.72	CUSIP NOT FOUND
01/19/2017	T02 AT0 - LAWRENCE, CHARLES		317612810	**ALPS ALERIAN MLP	75502070		0.00 17.16	CUSIP NOT FOUND
01/19/2017	T02 AT0 - LAWRENCE, CHARLES		317609634	**ALPS RED ROCKS LISTED	75502070		0.00 7.31	CUSIP NOT FOUND
01/19/2017	T02 AT0 - LAWRENCE, CHARLES		317609634	**ALPS RED ROCKS LISTED	75502070		0.00 21.94	CUSIP NOT FOUND
01/19/2017	T02 AT0 - LAWRENCE, CHARLES		317612810	**ALPS ALERIAN MLP	75502071		0.00 1.43	CUSIP NOT FOUND
01/19/2017	T02 AT0 - LAWRENCE, CHARLES		317612810	**ALPS ALERIAN MLP	75502071		0.00 4.28	CUSIP NOT FOUND
01/19/2017	T02 AT0 - LAWRENCE, CHARLES		317609634	**ALPS RED ROCKS LISTED	75502071		0.00 1.82	CUSIP NOT FOUND
01/19/2017	T02 AT0 - LAWRENCE, CHARLES		317609634	**ALPS RED ROCKS LISTED	75502071		0.00 5.47	CUSIP NOT FOUND
01/11/2017	T02 AT0 - LAWRENCE, CHARLES		018642736	**AB HIGH INCOME MUNICIPAL	75502073		0.00 512.68	CUSIP NOT FOUND
01/19/2017	T02 AT0 - LAWRENCE, CHARLES		317612810	**ALPS ALERIAN MLP	75502073		0.00 19.82	CUSIP NOT FOUND
01/19/2017	T02 AT0 - LAWRENCE, CHARLES		317612810	**ALPS ALERIAN MLP	75502073		0.00 59.45	CUSIP NOT FOUND
01/19/2017	T02 AT0 - LAWRENCE, CHARLES		317609634	**ALPS RED ROCKS LISTED	75502073		0.00 27.14	CUSIP NOT FOUND
01/19/2017	T02 AT0 - LAWRENCE, CHARLES		317609634	**ALPS RED ROCKS LISTED	75502073		0.00 81.42	CUSIP NOT FOUND

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DATE	INTERNAL BROKER # NAME	DAIN SEC.#	CUSIP #	*INVESTMENT	CLEARING#	CLIENT#	INVEST AMOUNT/ COMMISSION	EXCEPTION
01/01/2017	V01 - OLMSTEAD, VAN DREGGE			*	75501391		0.00 551.00	CUSIP NOT FOUND
01/11/2017	V01 AV0 - OLMSTEAD, VAN DREGGE		92828R628	**VIRTUS MULTI SECTOR SHORT	75501393		0.00 53.76	CUSIP NOT FOUND
01/11/2017	V01 AV0 - OLMSTEAD, VAN DREGGE		92828R180	**VIRTUS MULTI ASSET TREND	75501461		0.00 6.59	CUSIP NOT FOUND
01/11/2017	V01 AV0 - OLMSTEAD, VAN DREGGE		92828R446	**VIRTUS GLOBAL OPPORTUNITIES	75501462		0.00 3.29	CUSIP NOT FOUND
01/11/2017	V01 AV0 - OLMSTEAD, VAN DREGGE		92828R446	**VIRTUS GLOBAL OPPORTUNITIES	75501463		0.00 2.02	CUSIP NOT FOUND
01/11/2017	V01 AV0 - OLMSTEAD, VAN DREGGE		92828R628	**VIRTUS MULTI SECTOR SHORT	75501474		0.00 50.00	CUSIP NOT FOUND
01/11/2017	V01 AV0 - OLMSTEAD, VAN DREGGE		92828R255	**VIRTUS EQUITY TREND FUND	75501498		0.00 9.56	CUSIP NOT FOUND
01/11/2017	V01 AV0 - OLMSTEAD, VAN DREGGE		92828R446	**VIRTUS GLOBAL OPPORTUNITIES	75501498		0.00 13.79	CUSIP NOT FOUND
01/11/2017	V01 AV0 - OLMSTEAD, VAN DREGGE		92828R180	**VIRTUS MULTI ASSET TREND	75501498		0.00 2.87	CUSIP NOT FOUND
01/11/2017	V01 AV0 - OLMSTEAD, VAN DREGGE		92828R446	**VIRTUS GLOBAL OPPORTUNITIES	75501499		0.00 11.37	CUSIP NOT FOUND
01/11/2017	V01 AV0 - OLMSTEAD, VAN DREGGE		92828R180	**VIRTUS MULTI ASSET TREND	75501499		0.00 6.56	CUSIP NOT FOUND
01/11/2017	V01 AV0 - OLMSTEAD, VAN DREGGE		92828R628	**VIRTUS MULTI SECTOR SHORT	75501499		0.00 6.06	CUSIP NOT FOUND
01/11/2017	V01 AV0 - OLMSTEAD, VAN DREGGE		92828R446	**VIRTUS GLOBAL OPPORTUNITIES	75501502		0.00 0.38	CUSIP NOT FOUND
01/11/2017	V01 AV0 - OLMSTEAD, VAN DREGGE		92828R255	**VIRTUS EQUITY TREND FUND	75501610		0.00 11.33	CUSIP NOT FOUND

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01/11/2017	V01 AV0 - OLMSTEAD, VAN DREGGE		92828R255	**VIRTUS EQUITY TREND FUND	75501611		0.00 3.78	CUSIP NOT FOUND
01/11/2017	V01 AV0 - OLMSTEAD, VAN DREGGE		92828R255	**VIRTUS EQUITY TREND FUND	75501612		0.00 9.06	CUSIP NOT FOUND
01/11/2017	V01 AV0 - OLMSTEAD, VAN DREGGE		92828R255	**VIRTUS EQUITY TREND FUND	75501613		0.00 3.02	CUSIP NOT FOUND
01/11/2017	V01 AV0 - OLMSTEAD, VAN DREGGE		92828R255	**VIRTUS EQUITY TREND FUND	75501614		0.00 22.64	CUSIP NOT FOUND
01/11/2017	V01 AV0 - OLMSTEAD, VAN DREGGE		92828R628	**VIRTUS MULTI SECTOR SHORT	75501726		0.00 74.27	CUSIP NOT FOUND
01/01/2017	V01 - OLMSTEAD, VAN DREGGE			*	75501726		0.00 0.00	CUSIP NOT FOUND
01/01/2017	V01 - OLMSTEAD, VAN DREGGE			*	75501727		0.00 1,444.75	CUSIP NOT FOUND
01/11/2017	V01 AV0 - OLMSTEAD, VAN DREGGE		92828R255	**VIRTUS EQUITY TREND FUND	75501729		0.00 11.13	CUSIP NOT FOUND
01/11/2017	V01 AV0 - OLMSTEAD, VAN DREGGE		92828R628	**VIRTUS MULTI SECTOR SHORT	75501729		0.00 18.91	CUSIP NOT FOUND
01/01/2017	V01 - OLMSTEAD, VAN DREGGE			*	75501733		0.00 780.78	CUSIP NOT FOUND
01/01/2017	V01 - OLMSTEAD, VAN DREGGE			*	75501769		0.00 506.87	CUSIP NOT FOUND
01/01/2017	V01 - OLMSTEAD, VAN DREGGE			*	75501772		0.00 269.08	CUSIP NOT FOUND
01/01/2017	V01 - OLMSTEAD, VAN DREGGE			*	75501773		0.00 870.83	CUSIP NOT FOUND
01/01/2017	V01 - OLMSTEAD, VAN DREGGE			*	75501774		0.00 1,137.99	CUSIP NOT FOUND

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01/11/2017	V01 AV0 - OLMSTEAD, VAN DREGGE		92828R255	**VIRTUS EQUITY TREND FUND	75501775		0.00 14.82	CUSIP NOT FOUND
01/06/2017	V01 AV0 - OLMSTEAD, VAN DREGGE	V004711	92828R446	**VIRTUS GLOBAL OPPORTUNITIES	75501776		1,650.00 0.00	CUSIP NOT FOUND
01/11/2017	V01 AV0 - OLMSTEAD, VAN DREGGE		92828R446	**VIRTUS GLOBAL OPPORTUNITIES	75501776		0.00 26.55	CUSIP NOT FOUND
01/11/2017	V01 AV0 - OLMSTEAD, VAN DREGGE		92828R644	**VIRTUS MULTI SECTOR SHORT	75501776		0.00 3.90	CUSIP NOT FOUND
01/01/2017	V01 - OLMSTEAD, VAN DREGGE			*	75501776		0.00 162.86	CUSIP NOT FOUND
01/01/2017	V01 - OLMSTEAD, VAN DREGGE			*	75501777		0.00 1,239.86	CUSIP NOT FOUND
01/01/2017	V01 - OLMSTEAD, VAN DREGGE			*	75501778		0.00 2,290.97	CUSIP NOT FOUND
01/01/2017	V01 - OLMSTEAD, VAN DREGGE			*	75501779		0.00 966.69	CUSIP NOT FOUND
01/01/2017	V01 - OLMSTEAD, VAN DREGGE			*	75501780		0.00 543.63	CUSIP NOT FOUND
01/01/2017	V01 - OLMSTEAD, VAN DREGGE			*	75501781		0.00 194.26	CUSIP NOT FOUND
01/01/2017	V01 - OLMSTEAD, VAN DREGGE			*	75501782		0.00 395.77	CUSIP NOT FOUND
01/01/2017	V01 - OLMSTEAD, VAN DREGGE			*	75501783		0.00 3,488.40	CUSIP NOT FOUND
01/01/2017	V01 - OLMSTEAD, VAN DREGGE			*	75501784		0.00 1,565.10	CUSIP NOT FOUND
01/11/2017	V01 AV0 - OLMSTEAD, VAN DREGGE		92828R420	**VIRTUS GLOBAL OPPORTUNITIES	75501787		0.00 50.85	CUSIP NOT FOUND

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01/01/2017	V01 - OLMSTEAD, VAN DREGGE			*	75501790		0.00 1,239.31	CUSIP NOT FOUND
01/01/2017	V01 - OLMSTEAD, VAN DREGGE			*	75501791		0.00 1,420.50	CUSIP NOT FOUND
01/11/2017	V01 AV0 - OLMSTEAD, VAN DREGGE		92828R628	**VIRTUS MULTI SECTOR SHORT	75501792		0.00 5.23	CUSIP NOT FOUND
01/01/2017	V01 - OLMSTEAD, VAN DREGGE			*	75501793		0.00 514.33	CUSIP NOT FOUND
01/01/2017	V01 - OLMSTEAD, VAN DREGGE			*	75501794		0.00 1,004.05	CUSIP NOT FOUND
01/01/2017	V01 - OLMSTEAD, VAN DREGGE			*	75501805		0.00 943.93	CUSIP NOT FOUND
01/11/2017	V01 AV0 - OLMSTEAD, VAN DREGGE		92828R172	**VIRTUS MULTI ASSET TREND	75501806		0.00 133.67	CUSIP NOT FOUND
01/01/2017	V01 - OLMSTEAD, VAN DREGGE			*	75501807		0.00 1,911.75	CUSIP NOT FOUND
01/01/2017	V01 - OLMSTEAD, VAN DREGGE			*	75501808		0.00 924.19	CUSIP NOT FOUND
01/11/2017	V01 AV0 - OLMSTEAD, VAN DREGGE		92828R446	**VIRTUS GLOBAL OPPORTUNITIES	75501809		0.00 65.10	CUSIP NOT FOUND
01/01/2017	V01 - OLMSTEAD, VAN DREGGE			*	75501817		0.00 4,428.08	CUSIP NOT FOUND
01/01/2017	V01 - OLMSTEAD, VAN DREGGE			*	75501818		0.00 2,878.34	CUSIP NOT FOUND
01/11/2017	V01 AV0 - OLMSTEAD, VAN DREGGE		92828R255	**VIRTUS EQUITY TREND FUND	75501819		0.00 53.48	CUSIP NOT FOUND
01/11/2017	V01 AV0 - OLMSTEAD, VAN DREGGE		92828R446	**VIRTUS GLOBAL OPPORTUNITIES	75501819		0.00 133.76	CUSIP NOT FOUND

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01/11/2017	V01 AV0 - OLMSTEAD, VAN DREGGE		92828R644	**VIRTUS MULTI SECTOR SHORT	75501819		0.00 68.20	CUSIP NOT FOUND
01/01/2017	V01 - OLMSTEAD, VAN DREGGE			*	75501820		0.00 841.48	CUSIP NOT FOUND
01/01/2017	V01 - OLMSTEAD, VAN DREGGE			*	75501822		0.00 1,018.98	CUSIP NOT FOUND
01/11/2017	V01 AV0 - OLMSTEAD, VAN DREGGE		92828R255	**VIRTUS EQUITY TREND FUND	75501831		0.00 18.47	CUSIP NOT FOUND
01/11/2017	V01 AV0 - OLMSTEAD, VAN DREGGE		92828R180	**VIRTUS MULTI ASSET TREND	75501831		0.00 6.52	CUSIP NOT FOUND
01/11/2017	V01 AV0 - OLMSTEAD, VAN DREGGE		25158T608	**DEUTSCHE MANAGED MUNICIPAL	75501842		0.00 32.09	CUSIP NOT FOUND
01/11/2017	V01 AV0 - OLMSTEAD, VAN DREGGE		40168W574	**GUGGENHEIM FDS TR	75501842		0.00 8.95	CUSIP NOT FOUND
01/11/2017	V01 AV0 - OLMSTEAD, VAN DREGGE		92828R255	**VIRTUS EQUITY TREND FUND	75501842		0.00 18.43	CUSIP NOT FOUND
01/11/2017	V01 AV0 - OLMSTEAD, VAN DREGGE		92828R180	**VIRTUS MULTI ASSET TREND	75501842		0.00 25.92	CUSIP NOT FOUND
01/11/2017	V01 AV0 - OLMSTEAD, VAN DREGGE		92828R255	**VIRTUS EQUITY TREND FUND	75501844		0.00 6.73	CUSIP NOT FOUND
01/01/2017	V01 - OLMSTEAD, VAN DREGGE			*	75501857		0.00 299.77	CUSIP NOT FOUND
01/01/2017	V01 - OLMSTEAD, VAN DREGGE			*	75501858		0.00 2,236.84	CUSIP NOT FOUND
01/01/2017	V01 - OLMSTEAD, VAN DREGGE			*	75501859		0.00 560.35	CUSIP NOT FOUND
01/01/2017	V01 - OLMSTEAD, VAN DREGGE			*	75501860		0.00 1,225.40	CUSIP NOT FOUND

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01/01/2017	V01 - OLMSTEAD, VAN DREGGE			*	75501861		0.00 1,099.18	CUSIP NOT FOUND
01/11/2017	V01 AV0 - OLMSTEAD, VAN DREGGE		92828R446	**VIRTUS GLOBAL OPPORTUNITIES	75501862		0.00 21.09	CUSIP NOT FOUND
01/01/2017	V01 - OLMSTEAD, VAN DREGGE			*	75501862		0.00 307.05	CUSIP NOT FOUND
01/11/2017	V01 AV0 - OLMSTEAD, VAN DREGGE		92828R255	**VIRTUS EQUITY TREND FUND	75501863		0.00 26.34	CUSIP NOT FOUND
01/11/2017	V01 AV0 - OLMSTEAD, VAN DREGGE		92828R255	**VIRTUS EQUITY TREND FUND	75501864		0.00 5.92	CUSIP NOT FOUND
01/01/2017	V01 - OLMSTEAD, VAN DREGGE			*	75501866		0.00 1,594.58	CUSIP NOT FOUND
01/01/2017	V01 - OLMSTEAD, VAN DREGGE			*	75501870		0.00 613.46	CUSIP NOT FOUND
01/11/2017	V01 AV0 - OLMSTEAD, VAN DREGGE		92828R180	**VIRTUS MULTI ASSET TREND	75501871		0.00 16.88	CUSIP NOT FOUND
01/11/2017	V01 AV0 - OLMSTEAD, VAN DREGGE		92828R255	**VIRTUS EQUITY TREND FUND	75501872		0.00 9.68	CUSIP NOT FOUND
01/11/2017	V01 AV0 - OLMSTEAD, VAN DREGGE		92828R255	**VIRTUS EQUITY TREND FUND	75501880		0.00 1.84	CUSIP NOT FOUND
01/11/2017	V01 AV0 - OLMSTEAD, VAN DREGGE		92828R255	**VIRTUS EQUITY TREND FUND	75501882		0.00 17.80	CUSIP NOT FOUND
01/01/2017	V01 - OLMSTEAD, VAN DREGGE			*	75501883		0.00 834.59	CUSIP NOT FOUND
01/01/2017	V01 - OLMSTEAD, VAN DREGGE			*	75501884		0.00 1,584.59	CUSIP NOT FOUND
01/11/2017	V01 AV0 - OLMSTEAD, VAN DREGGE		92828R859	**VIRTUS FOREIGN OPPORTUNITIES	75501885		0.00 3.14	CUSIP NOT FOUND

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01/18/2017	V01 AV0 - OLMSTEAD, VAN DREGGE		487300501	**KEELEY SMALL CAP VALUE FD	75501885		0.00 1.96	CUSIP NOT FOUND
01/11/2017	V01 AV0 - OLMSTEAD, VAN DREGGE		92828R180	**VIRTUS MULTI ASSET TREND	75501886		0.00 28.73	CUSIP NOT FOUND
01/01/2017	V01 - OLMSTEAD, VAN DREGGE			*	75501888		0.00 491.38	CUSIP NOT FOUND
01/01/2017	V01 - OLMSTEAD, VAN DREGGE			*	75501889		0.00 680.10	CUSIP NOT FOUND
01/01/2017	V01 - OLMSTEAD, VAN DREGGE			*	75501890		0.00 2,025.91	CUSIP NOT FOUND
01/11/2017	V01 AV0 - OLMSTEAD, VAN DREGGE		92828R446	**VIRTUS GLOBAL OPPORTUNITIES	75501891		0.00 28.89	CUSIP NOT FOUND
01/11/2017	V01 AV0 - OLMSTEAD, VAN DREGGE		92828R446	**VIRTUS GLOBAL OPPORTUNITIES	75501892		0.00 11.19	CUSIP NOT FOUND
01/11/2017	V01 AV0 - OLMSTEAD, VAN DREGGE		92828R255	**VIRTUS EQUITY TREND FUND	75501893		0.00 6.15	CUSIP NOT FOUND
01/11/2017	V01 AV0 - OLMSTEAD, VAN DREGGE		92828R420	**VIRTUS GLOBAL OPPORTUNITIES	75501910		0.00 1.49	CUSIP NOT FOUND
01/11/2017	V01 AV0 - OLMSTEAD, VAN DREGGE		92828R172	**VIRTUS MULTI ASSET TREND	75501910		0.00 11.08	CUSIP NOT FOUND
01/11/2017	V01 AV0 - OLMSTEAD, VAN DREGGE		92828R420	**VIRTUS GLOBAL OPPORTUNITIES	75501911		0.00 1.36	CUSIP NOT FOUND
01/11/2017	V01 AV0 - OLMSTEAD, VAN DREGGE		92828R172	**VIRTUS MULTI ASSET TREND	75501911		0.00 11.22	CUSIP NOT FOUND
01/01/2017	V01 - OLMSTEAD, VAN DREGGE			*	75501914		0.00 1,020.01	CUSIP NOT FOUND
01/11/2017	V01 AV0 - OLMSTEAD, VAN DREGGE		92828R446	**VIRTUS GLOBAL OPPORTUNITIES	75501915		0.00 23.01	CUSIP NOT FOUND

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01/01/2017	V01 - OLMSTEAD, VAN DREGGE			*	75501925		0.00 244.64	CUSIP NOT FOUND
01/11/2017	V01 AV0 - OLMSTEAD, VAN DREGGE		92828R255	**VIRTUS EQUITY TREND FUND	75501926		0.00 81.95	CUSIP NOT FOUND
01/01/2017	V01 - OLMSTEAD, VAN DREGGE			*	75501926		0.00 880.43	CUSIP NOT FOUND
01/11/2017	V01 AV0 - OLMSTEAD, VAN DREGGE		92828R255	**VIRTUS EQUITY TREND FUND	75501928		0.00 14.02	CUSIP NOT FOUND
01/11/2017	V01 AV0 - OLMSTEAD, VAN DREGGE		92828R446	**VIRTUS GLOBAL OPPORTUNITIES	75501928		0.00 10.64	CUSIP NOT FOUND
01/20/2017	V01 AV0 - OLMSTEAD, VAN DREGGE		494613854	**KINETICS PARADIGM FUND	75501935		0.00 1.06	CUSIP NOT FOUND
01/11/2017	V01 AV0 - OLMSTEAD, VAN DREGGE		92828R255	**VIRTUS EQUITY TREND FUND	75501938		0.00 7.30	CUSIP NOT FOUND
01/11/2017	V01 AV0 - OLMSTEAD, VAN DREGGE		92828R180	**VIRTUS MULTI ASSET TREND	75501938		0.00 28.15	CUSIP NOT FOUND
01/11/2017	V01 AV0 - OLMSTEAD, VAN DREGGE		92828R180	**VIRTUS MULTI ASSET TREND	75501939		0.00 4.16	CUSIP NOT FOUND
01/11/2017	V01 AV0 - OLMSTEAD, VAN DREGGE		92828R255	**VIRTUS EQUITY TREND FUND	75501940		0.00 18.25	CUSIP NOT FOUND
01/11/2017	V01 AV0 - OLMSTEAD, VAN DREGGE		92828R180	**VIRTUS MULTI ASSET TREND	75501940		0.00 12.86	CUSIP NOT FOUND
01/11/2017	V01 AV0 - OLMSTEAD, VAN DREGGE		92828R255	**VIRTUS EQUITY TREND FUND	75501941		0.00 6.41	CUSIP NOT FOUND
01/11/2017	V01 AV0 - OLMSTEAD, VAN DREGGE		92828R255	**VIRTUS EQUITY TREND FUND	75501943		0.00 11.33	CUSIP NOT FOUND
01/01/2017	V01 - OLMSTEAD, VAN DREGGE			*	75501946		0.00 1,019.41	CUSIP NOT FOUND

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01/01/2017	V01 - OLMSTEAD, VAN DREGGE			*	75501952		0.00 297.85	CUSIP NOT FOUND
01/01/2017	V01 - OLMSTEAD, VAN DREGGE			*	75501953		0.00 722.20	CUSIP NOT FOUND
01/01/2017	V01 - OLMSTEAD, VAN DREGGE			*	75501954		0.00 216.96	CUSIP NOT FOUND
01/11/2017	V01 AV0 - OLMSTEAD, VAN DREGGE		40168W574	**GUGGENHEIM FDS TR	75501955		0.00 2.68	CUSIP NOT FOUND
01/11/2017	V01 AV0 - OLMSTEAD, VAN DREGGE		92828R628	**VIRTUS MULTI SECTOR SHORT	75501955		0.00 14.07	CUSIP NOT FOUND
01/11/2017	V01 AV0 - OLMSTEAD, VAN DREGGE		92828R255	**VIRTUS EQUITY TREND FUND	75501956		0.00 14.83	CUSIP NOT FOUND
01/11/2017	V01 AV0 - OLMSTEAD, VAN DREGGE		92828R180	**VIRTUS MULTI ASSET TREND	75501957		0.00 3.33	CUSIP NOT FOUND
01/01/2017	V01 - OLMSTEAD, VAN DREGGE			*	75501960		0.00 3,575.56	CUSIP NOT FOUND
01/11/2017	V01 AV0 - OLMSTEAD, VAN DREGGE		92828R446	**VIRTUS GLOBAL OPPORTUNITIES	75501997		0.00 0.38	CUSIP NOT FOUND
01/11/2017	V01 AV0 - OLMSTEAD, VAN DREGGE		92828R172	**VIRTUS MULTI ASSET TREND	75502039		0.00 160.64	CUSIP NOT FOUND
01/11/2017	V01 AV0 - OLMSTEAD, VAN DREGGE		92828R255	**VIRTUS EQUITY TREND FUND	75502053		0.00 0.41	CUSIP NOT FOUND
01/25/2017	V01 - OLMSTEAD, VAN DREGGE			*	75502088		0.00 700.68	CUSIP NOT FOUND
01/11/2017	V03 AV0 - GINSBURG, JANICE		40168W749	**GUGGENHEIM FDS TR	75501483		0.00 8.38	CUSIP NOT FOUND
01/10/2017	V03 AV0 - GINSBURG, JANICE	G002435	40168W749	**GUGGENHEIM FDS TR	75501483		500.00 0.00	CUSIP NOT FOUND

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01/11/2017	V03 AV0 - GINSBURG, JANICE		74441K305	**PRUDENTIAL JENNISON NATURAL	75501622		0.00 12.33	CUSIP NOT FOUND
01/11/2017	V03 AV0 - GINSBURG, JANICE		362401309	**GABELLI SRI FUND	75501624		0.00 10.46	CUSIP NOT FOUND
01/13/2017	V03 AV0 - GINSBURG, JANICE		45070A503	**IVA FIDUCIARY TR	75501624		0.00 29.07	CUSIP NOT FOUND
01/26/2017	V03 AV0 - GINSBURG, JANICE		92646A294	**VICTORY PORTFOLIOS MUNDER	75501627		0.00 0.93	CUSIP NOT FOUND
01/13/2017	V03 AV0 - GINSBURG, JANICE		45070A503	**IVA FIDUCIARY TR	75501628		0.00 116.01	CUSIP NOT FOUND
01/13/2017	V03 AV0 - GINSBURG, JANICE		45070A503	**IVA FIDUCIARY TR	75501631		0.00 56.25	CUSIP NOT FOUND
01/11/2017	V03 AV0 - GINSBURG, JANICE		425067881	**HENDERSON GLOBAL FDS	75501633		0.00 25.91	CUSIP NOT FOUND
01/11/2017	V03 AV0 - GINSBURG, JANICE		74441K305	**PRUDENTIAL JENNISON NATURAL	75501634		0.00 11.35	CUSIP NOT FOUND
01/26/2017	V03 AV0 - GINSBURG, JANICE		92647Q835	**VICTORY PORTFOLIOS	75501635		0.00 5.11	CUSIP NOT FOUND
01/11/2017	V03 AV0 - GINSBURG, JANICE		74441K305	**PRUDENTIAL JENNISON NATURAL	75501638		0.00 9.08	CUSIP NOT FOUND
01/13/2017	V03 AV0 - GINSBURG, JANICE		45070A503	**IVA FIDUCIARY TR	75501643		0.00 17.51	CUSIP NOT FOUND
01/13/2017	V03 AV0 - GINSBURG, JANICE		45070A503	**IVA FIDUCIARY TR	75501645		0.00 20.08	CUSIP NOT FOUND
01/11/2017	V03 AV0 - GINSBURG, JANICE		74440G305	**PRUDENTIAL JENNISON 20/20	75501660		0.00 12.14	CUSIP NOT FOUND
01/11/2017	V03 AV0 - GINSBURG, JANICE		74441K305	**PRUDENTIAL JENNISON NATURAL	75501660		0.00 6.98	CUSIP NOT FOUND

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01/11/2017	V03 AV0 - GINSBURG, JANICE		74441U303	**PRUDENTIAL NATIONAL MUNI	75501660		0.00 10.02	CUSIP NOT FOUND
01/13/2017	V03 AV0 - GINSBURG, JANICE		45070A503	**IVA FIDUCIARY TR	75501660		0.00 63.28	CUSIP NOT FOUND
01/26/2017	V03 AV0 - GINSBURG, JANICE		92647K879	**VICTORY PORTFOLIOS	75501660		0.00 1.81	CUSIP NOT FOUND
01/01/2017	V03 - GINSBURG, JANICE			*	75501739		0.00 507.23	CUSIP NOT FOUND
01/01/2017	V03 - GINSBURG, JANICE			*	75501744		0.00 0.00	CUSIP NOT FOUND
01/01/2017	V03 - GINSBURG, JANICE			*	75501744		0.00 0.00	CUSIP NOT FOUND
01/01/2017	V03 - GINSBURG, JANICE			*	75501744		0.00 911.32	CUSIP NOT FOUND
01/01/2017	V03 - GINSBURG, JANICE			*	75501751		0.00 190.96	CUSIP NOT FOUND
01/01/2017	V03 - GINSBURG, JANICE			*	75501824		0.00 349.31	CUSIP NOT FOUND
01/11/2017	V03 AV0 - GINSBURG, JANICE		40168W707	**GUGGENHEIM FDS TR	75501825		0.00 2.01	CUSIP NOT FOUND
01/11/2017	V03 AV0 - GINSBURG, JANICE		74440G107	**PRUDENTIAL JENNISON 20/20	75501825		0.00 0.77	CUSIP NOT FOUND
01/01/2017	V03 - GINSBURG, JANICE			*	75501828		0.00 179.50	CUSIP NOT FOUND
01/01/2017	V03 - GINSBURG, JANICE			*	75501829		0.00 139.27	CUSIP NOT FOUND
01/01/2017	V03 - GINSBURG, JANICE			*	75501830		0.00 277.06	CUSIP NOT FOUND

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01/01/2017	V03 - GINSBURG, JANICE			*	75501832		0.00 305.14	CUSIP NOT FOUND
01/01/2017	V03 - GINSBURG, JANICE			*	75501833		0.00 852.02	CUSIP NOT FOUND
01/01/2017	V03 - GINSBURG, JANICE			*	75501834		0.00 691.76	CUSIP NOT FOUND
01/01/2017	V03 - GINSBURG, JANICE			*	75501835		0.00 79.44	CUSIP NOT FOUND
01/01/2017	V03 - GINSBURG, JANICE			*	75501836		0.00 560.28	CUSIP NOT FOUND
01/01/2017	V03 - GINSBURG, JANICE			*	75501837		0.00 1,154.55	CUSIP NOT FOUND
01/01/2017	V03 - GINSBURG, JANICE			*	75501868		0.00 1,121.76	CUSIP NOT FOUND
01/01/2017	V03 - GINSBURG, JANICE			*	75501869		0.00 235.89	CUSIP NOT FOUND
01/01/2017	V03 - GINSBURG, JANICE			*	75501879		0.00 1,114.75	CUSIP NOT FOUND
01/13/2017	V03 AV0 - GINSBURG, JANICE		45070A503	**IVA FIDUCIARY TR	75501894		0.00 42.94	CUSIP NOT FOUND
01/11/2017	V03 AV0 - GINSBURG, JANICE		744336108	**PRUDENTIAL GLOBAL REAL	75501897		0.00 1.95	CUSIP NOT FOUND
01/11/2017	V03 AV0 - GINSBURG, JANICE		74441P502	**PRUDENTIAL JENNISON HEALTH	75501897		0.00 4.05	CUSIP NOT FOUND
01/11/2017	V03 AV0 - GINSBURG, JANICE		74441K107	**PRUDENTIAL JENNISON NATURAL	75501897		0.00 1.31	CUSIP NOT FOUND
01/11/2017	V03 AV0 - GINSBURG, JANICE		74441P858	**PRUDENTIAL JENNISON UTILITY	75501897		0.00 5.20	CUSIP NOT FOUND

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01/11/2017	V03 AV0 - GINSBURG, JANICE		74440G107	**PRUDENTIAL JENNISON 20/20	75501899		0.00 3.95	CUSIP NOT FOUND
01/13/2017	V03 AV0 - GINSBURG, JANICE		45070A503	**IVA FIDUCIARY TR	75501899		0.00 50.72	CUSIP NOT FOUND
01/11/2017	V03 AV0 - GINSBURG, JANICE		425067840	**HENDERSON INTERNATIONAL	75501902		0.00 2.99	CUSIP NOT FOUND
01/26/2017	V03 AV0 - GINSBURG, JANICE		92647Q843	**VICTORY PORTFOLIOS	75501902		0.00 0.73	CUSIP NOT FOUND
01/11/2017	V03 AV0 - GINSBURG, JANICE		40168W749	**GUGGENHEIM FDS TR	75501903		0.00 4.36	CUSIP NOT FOUND
01/13/2017	V03 AV0 - GINSBURG, JANICE		45070A503	**IVA FIDUCIARY TR	75501905		0.00 43.94	CUSIP NOT FOUND
01/11/2017	V03 AV0 - GINSBURG, JANICE		40168W749	**GUGGENHEIM FDS TR	75501965		0.00 5.52	CUSIP NOT FOUND
01/11/2017	V03 AV0 - GINSBURG, JANICE		40168W707	**GUGGENHEIM FDS TR	75501995		0.00 1.51	CUSIP NOT FOUND
01/11/2017	V03 AV0 - GINSBURG, JANICE		74440G107	**PRUDENTIAL JENNISON 20/20	75502085		0.00 1.35	CUSIP NOT FOUND
01/26/2017	V03 AV0 - GINSBURG, JANICE		92646A294	**VICTORY PORTFOLIOS MUNDER	75502085		0.00 0.75	CUSIP NOT FOUND
01/01/2017	V05 - MOSS, STEPHEN			*	75501796		0.00 168.87	CUSIP NOT FOUND
01/01/2017	V05 - MOSS, STEPHEN			*	75501797		0.00 107.81	CUSIP NOT FOUND
01/01/2017	V05 - MOSS, STEPHEN			*	75501799		0.00 118.03	CUSIP NOT FOUND
01/19/2017	V05 AV0 - MOSS, STEPHEN		742935109	**PROFESSIONALLY MANAGED PORTF	75501799		0.00 0.12	CUSIP NOT FOUND
01/01/2017	V05 - MOSS, STEPHEN			*	75501801		0.00 279.46	CUSIP NOT FOUND
01/01/2017	V05 - MOSS, STEPHEN			*	75501802		0.00 218.47	CUSIP NOT FOUND

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01/01/2017	V05 - MOSS, STEPHEN			*	75501873		0.00 366.93	CUSIP NOT FOUND
01/01/2017	V05 - MOSS, STEPHEN			*	75501875		0.00 542.42	CUSIP NOT FOUND
01/01/2017	V05 - MOSS, STEPHEN			*	75501877		0.00 1,765.57	CUSIP NOT FOUND
01/26/2017	V05 AV0 - MOSS, STEPHEN		92646A294	**VICTORY PORTFOLIOS MUNDER	75501877		0.00 0.97	CUSIP NOT FOUND
01/01/2017	V05 - MOSS, STEPHEN			*	75501878		0.00 179.74	CUSIP NOT FOUND
01/01/2017	V05 - MOSS, STEPHEN			*	75501907		0.00 327.80	CUSIP NOT FOUND
01/01/2017	V05 - MOSS, STEPHEN			*	75501922		0.00 234.72	CUSIP NOT FOUND
01/01/2017	V05 - MOSS, STEPHEN			*	75501924		0.00 304.37	CUSIP NOT FOUND
01/01/2017	V05 - MOSS, STEPHEN			*	75501937		0.00 194.74	CUSIP NOT FOUND
01/01/2017	V05 - MOSS, STEPHEN			*	75501944		0.00 241.88	CUSIP NOT FOUND
01/11/2017	V05 AV0 - MOSS, STEPHEN		36239T202	**GABELLI EQUITY SERIES FUNDS	75502016		0.00 0.44	CUSIP NOT FOUND
01/11/2017	V05 AV0 - MOSS, STEPHEN		36239T202	**GABELLI EQUITY SERIES FUNDS	75502017		0.00 0.44	CUSIP NOT FOUND
01/11/2017	V05 AV0 - MOSS, STEPHEN		36239T202	**GABELLI EQUITY SERIES FUNDS	75502025		0.00 2.21	CUSIP NOT FOUND
01/01/2017	V05 - MOSS, STEPHEN			*	75502025		0.00 385.37	CUSIP NOT FOUND
01/11/2017	V22 AV2 - CIAVARELLA, LOUIS		92828R586	**VIRTUS REAL ESTATE SEC FDS	75501549		0.00 3.86	CUSIP NOT FOUND
01/11/2017	V22 AV2 - CIAVARELLA, LOUIS		92828N510	**VIRTUS STRATEGIC GROWTH FUND	75501549		0.00 3.98	CUSIP NOT FOUND
01/11/2017	V22 AV2 - CIAVARELLA, LOUIS		315918441	**FIDELITYADVISOR SER VII	75501674		0.00 3.18	CUSIP NOT FOUND
01/11/2017	V22 AV2 - CIAVARELLA, LOUIS		92828R248	**VIRTUS EQUITY TREND FUND	75501675		0.00 1.18	CUSIP NOT FOUND
01/11/2017	V22 AV2 - CIAVARELLA, LOUIS		52468E105	**CLEARBRIDGE APPRECIATION	75501682		0.00 4.77	CUSIP NOT FOUND

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01/11/2017	V22 AV2 - CIAVARELLA, LOUIS		52469H826	**CLEARBRIDGE LARGE CAP GROWTH	75501682		0.00 4.19	CUSIP NOT FOUND
01/11/2017	V22 AV2 - CIAVARELLA, LOUIS		36464V104	**GAMCO GROWTH FD INC	75501689		0.00 1.57	CUSIP NOT FOUND
01/11/2017	V22 AV2 - CIAVARELLA, LOUIS		74440Y306	**PRUDENTIAL HIGH YIELD FUND	75501691		0.00 2.54	CUSIP NOT FOUND
01/11/2017	V22 AV2 - CIAVARELLA, LOUIS		92828W379	**VIRTUS OPPORTUNITIES TR	75501691		0.00 7.86	CUSIP NOT FOUND
01/11/2017	V22 AV2 - CIAVARELLA, LOUIS		36239T855	**GABELLI SMALL CAP GROWTH	75501693		0.00 0.02	CUSIP NOT FOUND
01/11/2017	V22 AV2 - CIAVARELLA, LOUIS		36240E400	**GABELLI UTILITIES FUND	75501693		0.00 0.38	CUSIP NOT FOUND
01/01/2017	V22 - CIAVARELLA, LOUIS			*	75501737		0.00 308.53	CUSIP NOT FOUND
01/11/2017	V22 AV2 - CIAVARELLA, LOUIS		36240E400	**GABELLI UTILITIES FUND	75501738		0.00 0.89	CUSIP NOT FOUND
01/01/2017	V22 - CIAVARELLA, LOUIS			*	75501740		0.00 1,550.22	CUSIP NOT FOUND
01/01/2017	V22 - CIAVARELLA, LOUIS			*	75501741		0.00 662.44	CUSIP NOT FOUND
01/01/2017	V22 - CIAVARELLA, LOUIS			*	75501742		0.00 72.94	CUSIP NOT FOUND
01/11/2017	V22 AV2 - CIAVARELLA, LOUIS		92828R412	**VIRTUS OPPORTUNITIES TR	75501746		0.00 0.67	CUSIP NOT FOUND
01/11/2017	V22 AV2 - CIAVARELLA, LOUIS		92828N510	**VIRTUS STRATEGIC GROWTH FUND	75501746		0.00 0.64	CUSIP NOT FOUND
01/01/2017	V22 - CIAVARELLA, LOUIS			*	75501749		0.00 228.33	CUSIP NOT FOUND

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01/01/2017	V22 - CIAVARELLA, LOUIS			*	75501752		0.00 40.75	CUSIP NOT FOUND
01/01/2017	V22 - CIAVARELLA, LOUIS			*	75501754		0.00 105.60	CUSIP NOT FOUND
01/01/2017	V22 - CIAVARELLA, LOUIS			*	75501755		0.00 662.73	CUSIP NOT FOUND
01/11/2017	V22 AV2 - CIAVARELLA, LOUIS		52468C109	**CLEARBRIDGE AGGRESSIVE	75501756		0.00 0.54	CUSIP NOT FOUND
01/11/2017	V22 AV2 - CIAVARELLA, LOUIS		52469H636	**CLEARBRIDGE DIVIDEND	75501756		0.00 1.11	CUSIP NOT FOUND
01/11/2017	V22 AV2 - CIAVARELLA, LOUIS		36240E103	**GABELLI UTILS FD	75501757		0.00 0.27	CUSIP NOT FOUND
01/01/2017	V22 - CIAVARELLA, LOUIS			*	75501757		0.00 135.99	CUSIP NOT FOUND
01/11/2017	V22 AV2 - CIAVARELLA, LOUIS		36240E400	**GABELLI UTILITIES FUND	75501764		0.00 1.85	CUSIP NOT FOUND
01/11/2017	V22 AV2 - CIAVARELLA, LOUIS		425067824	**HENDERSON INTERNATIONAL	75501976		0.00 22.55	CUSIP NOT FOUND
01/01/2017	V22 - CIAVARELLA, LOUIS			*	75502018		0.00 152.04	CUSIP NOT FOUND
01/01/2017	V22 - CIAVARELLA, LOUIS			*	75502019		0.00 105.34	CUSIP NOT FOUND
01/01/2017	W03 - BEHRENS, WILLIAM			*	75501413		0.00 0.11	CUSIP NOT FOUND
01/11/2017	W03 AW0 - BEHRENS, WILLIAM		92913K884	**VOYA SER FD INC MIDCAP	75501492		0.00 2.70	CUSIP NOT FOUND
01/13/2017	W10 AW1 - BARLOTTA, MICHAEL		45070A107	**IVA FIDUCIARY TR	75501426		0.00 3.04	CUSIP NOT FOUND

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01/01/2017	W15 - DIPENICE, WILLIAM			*	75502048		0.00 231.38	CUSIP NOT FOUND
01/01/2017	W15 - DIPENICE, WILLIAM			*	75502049		0.00 355.07	CUSIP NOT FOUND
01/01/2017	W15 - DIPENICE, WILLIAM			*	75502050		0.00 223.28	CUSIP NOT FOUND
01/01/2017	W15 - DIPENICE, WILLIAM			*	75502051		0.00 532.76	CUSIP NOT FOUND
01/01/2017	W15 - DIPENICE, WILLIAM			*	75502052		0.00 79.97	CUSIP NOT FOUND
01/01/2017	W15 - DIPENICE, WILLIAM			*	75502083		0.00 214.51	CUSIP NOT FOUND
01/11/2017	IS1 AIS - SULLIVAN, IRENE		425067303	**HENDERSON GLOBAL TECHNOLOGY	75500756		0.00 77.40	CUSIP NOT FOUND
01/11/2017	IS1 AIS - SULLIVAN, IRENE		88166L686	**TETON WESTWOOD MIGHTY MITES	75500756		0.00 42.31	CUSIP NOT FOUND
01/23/2017	IS1 AIS - SULLIVAN, IRENE		317609238	**FINANCIAL INVS TR	75500756		0.00 24.64	CUSIP NOT FOUND
01/23/2017	IS1 AIS - SULLIVAN, IRENE		317609238	**FINANCIAL INVS TR	75500756		0.00 73.93	CUSIP NOT FOUND
01/26/2017	IS1 AIS - SULLIVAN, IRENE		92647K606	**VICTORY PORTFOLIOS	75500848		0.00 1.25	CUSIP NOT FOUND
01/26/2017	IS1 AIS - SULLIVAN, IRENE		92646A294	**VICTORY PORTFOLIOS MUNDER	75500848		0.00 1.80	CUSIP NOT FOUND
01/11/2017	IS1 AIS - SULLIVAN, IRENE		25159L596	**DEUTSCHE HEALTH AND WELLNESS	75501041		0.00 59.85	CUSIP NOT FOUND
01/11/2017	IS1 AIS - SULLIVAN, IRENE		88166L686	**TETON WESTWOOD MIGHTY MITES	75501074		0.00 7.12	CUSIP NOT FOUND

MONTHLY TRADE FILE EXCEPTION REPORT

DAIN Monthly Trade Billing File

01/27/2017

DATE	INTERNAL BROKER # NAME	DAIN SEC.#	CUSIP #	*INVESTMENT	CLEARING#	CLIENT#	INVEST AMOUNT/ COMMISSION	EXCEPTION
01/26/2017	IS1 AIS - SULLIVAN, IRENE		92646A294	**VICTORY PORTFOLIOS MUNDER	75501079		0.00 0.20	CUSIP NOT FOUND
01/11/2017	IS1 AIS - SULLIVAN, IRENE		425067303	**HENDERSON GLOBAL TECHNOLOGY	75501088		0.00 50.07	CUSIP NOT FOUND
01/11/2017	IS1 AIS - SULLIVAN, IRENE		88166L686	**TETON WESTWOOD MIGHTY MITES	75501088		0.00 22.20	CUSIP NOT FOUND
01/23/2017	IS1 AIS - SULLIVAN, IRENE		317609238	**FINANCIAL INVS TR	75501088		0.00 16.81	CUSIP NOT FOUND
01/23/2017	IS1 AIS - SULLIVAN, IRENE		317609238	**FINANCIAL INVS TR	75501088		0.00 50.42	CUSIP NOT FOUND
01/26/2017	IS1 AIS - SULLIVAN, IRENE		92646A294	**VICTORY PORTFOLIOS MUNDER	75501088		0.00 4.02	CUSIP NOT FOUND
01/18/2017	K1H AK1 - HAMILTON, CHRISTOPHER		803431741	**SARATOGA HEALTH AND	75500743		0.00 0.77	CUSIP NOT FOUND
01/26/2017	K1H AK1 - HAMILTON, CHRISTOPHER		92646A294	**VICTORY PORTFOLIOS MUNDER	75500749		0.00 0.83	CUSIP NOT FOUND
01/26/2017	K1H AK1 - HAMILTON, CHRISTOPHER		92646A294	**VICTORY PORTFOLIOS MUNDER	75500765		0.00 0.70	CUSIP NOT FOUND
01/26/2017	K1H AK1 - HAMILTON, CHRISTOPHER		92646A294	**VICTORY PORTFOLIOS MUNDER	75500779		0.00 0.68	CUSIP NOT FOUND
01/17/2017	K1H AK1 - HAMILTON, CHRISTOPHER		422359109	**HEARTLAND VALUE FUND INC	75500796		0.00 123.31	CUSIP NOT FOUND
01/26/2017	K1H AK1 - HAMILTON, CHRISTOPHER		92646A294	**VICTORY PORTFOLIOS MUNDER	75500801		0.00 0.11	CUSIP NOT FOUND
01/11/2017	K1H AK1 - HAMILTON, CHRISTOPHER		92828N874	**VIRTUS ENHANCED CORE EQUITY	75500826		0.00 14.31	CUSIP NOT FOUND
01/11/2017	K1H AK1 - HAMILTON, CHRISTOPHER		92913K405	**VOYA EQUITY TR	75500826		0.00 4.65	CUSIP NOT FOUND

MONTHLY TRADE FILE EXCEPTION REPORT

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01/27/2017

DATE	INTERNAL BROKER # NAME	DAIN SEC.#	CUSIP #	*INVESTMENT	CLEARING#	CLIENT#	INVEST AMOUNT/ COMMISSION	EXCEPTION
01/18/2017	K1H AK1 - HAMILTON, CHRISTOPHER		803431741	**SARATOGA HEALTH AND	75500885		0.00 0.22	CUSIP NOT FOUND
01/26/2017	K1H AK1 - HAMILTON, CHRISTOPHER		92646A294	**VICTORY PORTFOLIOS MUNDER	75500885		0.00 0.48	CUSIP NOT FOUND
01/17/2017	K1H AK1 - HAMILTON, CHRISTOPHER		422359109	**HEARTLAND VALUE FUND INC	75500886		0.00 12.56	CUSIP NOT FOUND
01/18/2017	K1H AK1 - HAMILTON, CHRISTOPHER		803431741	**SARATOGA HEALTH AND	75500942		0.00 7.13	CUSIP NOT FOUND
01/26/2017	K1H AK1 - HAMILTON, CHRISTOPHER		92646A294	**VICTORY PORTFOLIOS MUNDER	75500942		0.00 4.68	CUSIP NOT FOUND
01/11/2017	K1H AK1 - HAMILTON, CHRISTOPHER		25159G100	**DEUTSCHE LARGE CAP VALUE	75500965		0.00 0.63	CUSIP NOT FOUND
01/26/2017	K1H AK1 - HAMILTON, CHRISTOPHER		92647K879	**VICTORY PORTFOLIOS	75501087		0.00 29.40	CUSIP NOT FOUND
01/24/2017	VS1 AVS - SHAMILOV, VICTOR		191912104	**COHEN & STEERS REAL ESTATE	75500961		0.00 5.85	CUSIP NOT FOUND
01/24/2017	VS1 AVS - SHAMILOV, VICTOR		191912104	**COHEN & STEERS REAL ESTATE	75501177		0.00 7.73	CUSIP NOT FOUND
01/26/2017	LST ALS - Z-ESCHEATMENT, LOST		92646A294	**VICTORY PORTFOLIOS MUNDER	75501148		0.00 0.05	CUSIP NOT FOUND
01/01/2017	P76 - HACKEL, ROBERT			*	75501322		0.00 2,090.24	CUSIP NOT FOUND
01/01/2017	P76 - HACKEL, ROBERT			*	75501761		0.00 1,480.53	CUSIP NOT FOUND
01/11/2017	P7F AP7 - HACKEL, HENRY		25159L562	**DEUTSCHE SCIENCE AND	75500245		0.00 3.55	CUSIP NOT FOUND
01/11/2017	P82 AP8 - SHARTSIS, JAY		52470J308	**CLEARBRIDGE LARGE CAP VALUE	75501786		0.00 41.09	CUSIP NOT FOUND
01/11/2017	CLO ACL - Z-ACCOUNT, CLOSED		74440G107	**PRUDENTIAL JENNISON 20/20	75501641		0.00 0.32	CUSIP NOT FOUND

MONTHLY TRADE FILE EXCEPTION REPORT**DAIN Monthly Trade Billing File****01/27/2017**

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01/26/2017	CLO ACL - Z-ACCOUNT, CLOSED		92646A294	**VICTORY PORTFOLIOS MUNDER	75501641		0.00 0.17	CUSIP NOT FOUND
01/11/2017	CLO ACL - Z-ACCOUNT, CLOSED		92828R255	**VIRTUS EQUITY TREND FUND	75502075		0.00 0.88	CUSIP NOT FOUND

TOTAL EXCEPTIONS: 318

TOTALS INVEST AMOUNT: \$2,150.00

COMMISSION: \$99,688.41

*Investment - Security description provided by DAIN file