



Concorde Investment Services, LLC

08/14/2018

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COMMISSION STATEMENT

August 15, 2018

JEFFREY, K119 KAUFMAN
801 Gray Oak Drive

BROKER #: K119
BRANCH: JEFFREY KAUFMAN

Columbia, MO 65201

DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
07/25/2018	ZELLMER, AMY	AM FUNDS 2040 TARGET DATE-A	145.20	1.45	0.00	1.45	90.0	1.31
07/25/2018	ZELLMER, AMY	AM FUNDS 2040 TARGET DATE-A	87.12	0.87	0.00	0.87	90.0	0.78
07/25/2018	NOWLIN, STACEY	AM FUNDS 2040 TARGET DATE-A	41.59	0.42	0.00	0.42	90.0	0.38
07/25/2018	NOWLIN, STACEY	AM FUNDS 2040 TARGET DATE-A	41.59	0.42	0.00	0.42	90.0	0.38
07/25/2018	CRANE, MISTY	AM FUNDS 2045 TARGET DATE-A	36.69	0.37	0.00	0.37	90.0	0.33
07/25/2018	CRANE, MISTY	AM FUNDS 2045 TARGET DATE-A	36.69	0.37	0.00	0.37	90.0	0.33
07/25/2018	PATTY, MINDI	AM FUNDS 2045 TARGET DATE-A	16.50	0.17	0.00	0.17	90.0	0.15
07/25/2018	PATTY, MINDI	AM FUNDS 2045 TARGET DATE-A	16.50	0.17	0.00	0.17	90.0	0.15
07/25/2018	WESTBROOK, AMANDA	AM FUNDS 2055 TARGET DATE-A	44.44	0.44	0.00	0.44	90.0	0.40
07/25/2018	WESTBROOK, AMANDA	AM FUNDS 2055 TARGET DATE-A	44.44	0.44	0.00	0.44	90.0	0.40
07/24/2018	GRIMSHAW, ROBERT	AM FUNDS AMERICAN BALANCED A	4,552.31	125.19	0.00	125.19	90.0	112.67
07/25/2018	WHEAT, KATHLEEN	AM FUNDS AMERICAN BALANCED A	316.92	3.17	0.00	3.17	90.0	2.85
07/25/2018	WHEAT, KATHLEEN	AM FUNDS AMERICAN BALANCED A	135.82	1.36	0.00	1.36	90.0	1.22
07/25/2018	WIBBENMEYER, BRITTANY	AM FUNDS AMERICAN BALANCED A	87.94	0.88	0.00	0.88	90.0	0.79
07/25/2018	WIBBENMEYER, BRITTANY	AM FUNDS AMERICAN BALANCED A	87.94	0.88	0.00	0.88	90.0	0.79
08/01/2018	HOLTKAMP, MARIGENE	AM FUNDS AMERICAN BALANCED A	52.00	0.62	0.00	0.62	90.0	0.56
08/01/2018	HOLTKAMP, MARIGENE	AM FUNDS AMERICAN BALANCED A	8.63	0.10	0.00	0.10	90.0	0.09
08/01/2018	HOLTKAMP, MARIGENE	AM FUNDS AMERICAN HIGH-INC MUNI BON	52.00	0.62	0.00	0.62	90.0	0.56
08/01/2018	HOLTKAMP, MARIGENE	AM FUNDS AMERICAN HIGH-INC MUNI BON	8.63	0.10	0.00	0.10	90.0	0.09
07/25/2018	CLASSENS, KRYSTA	AM FUNDS AMERICAN MUTUAL A	24.72	0.25	0.00	0.25	90.0	0.23
07/25/2018	CLASSENS, KRYSTA	AM FUNDS AMERICAN MUTUAL A	65.92	0.66	0.00	0.66	90.0	0.59
07/25/2018	MANGUS, DANIEL	AM FUNDS BALANCED PORT A	213.38	2.13	0.00	2.13	90.0	1.92
07/25/2018	MANGUS, DANIEL	AM FUNDS BALANCED PORT A	213.38	2.13	0.00	2.13	90.0	1.92
07/25/2018	GODAR, LOUISE	AM FUNDS BALANCED PORT A	48.99	0.49	0.00	0.49	90.0	0.44
07/25/2018	GODAR, LOUISE	AM FUNDS BALANCED PORT A	48.99	0.49	0.00	0.49	90.0	0.44
07/24/2018	GRIMSHAW, ROBERT	AM FUNDS BOND FUND OF AMERICA A	4,552.31	125.19	0.00	125.19	90.0	112.67

NOTES: * - Indicates adjustment is not included in 1099 Earnings

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

DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
07/25/2018	GRIFFIN, AMANDA	AM FUNDS BOND FUND OF AMERICA A	20.07	0.20	0.00	0.20	90.0	0.18
07/25/2018	GRIFFIN, AMANDA	AM FUNDS BOND FUND OF AMERICA A	40.14	0.40	0.00	0.40	90.0	0.36
07/23/2018	CROWLEY, MICHA	AM FUNDS EUROPACIFIC GROWTH FUND A	188.46	3.02	0.00	3.02	90.0	2.72
07/25/2018	CLASSENS, KRYSTA	AM FUNDS EUROPACIFIC GROWTH FUND A	49.44	0.49	0.00	0.49	90.0	0.44
07/25/2018	CLASSENS, KRYSTA	AM FUNDS EUROPACIFIC GROWTH FUND A	18.54	0.19	0.00	0.19	90.0	0.17
08/01/2018	REDDICK, RYAN	AM FUNDS EUROPACIFIC GROWTH FUND A	62.50	1.72	0.00	1.72	90.0	1.55
07/24/2018	GRIMSHAW, ROBERT	AM FUNDS GLOBAL BALANCED A	4,552.32	125.19	0.00	125.19	90.0	112.67
07/25/2018	BIETSCH, MATTHEW	AM FUNDS GROWTH AND INCOME A	85.50	0.86	0.00	0.86	90.0	0.77
07/25/2018	BIETSCH, MATTHEW	AM FUNDS GROWTH AND INCOME A	85.50	0.86	0.00	0.86	90.0	0.77
07/25/2018	AHERN, OLIVIA	AM FUNDS GROWTH AND INCOME A	123.74	1.24	0.00	1.24	90.0	1.12
07/25/2018	AHERN, OLIVIA	AM FUNDS GROWTH AND INCOME A	123.74	1.24	0.00	1.24	90.0	1.12
07/23/2018	CROWLEY, MICHA	AM FUNDS GROWTH FUND OF AMERICA A	376.92	6.03	0.00	6.03	90.0	5.43
07/23/2018	TAYLOR, BRANDY	AM FUNDS GROWTH FUND OF AMERICA A	14,377.98	230.05	0.00	230.05	90.0	207.05
07/24/2018	GRIMSHAW, ROBERT	AM FUNDS GROWTH FUND OF AMERICA A	4,552.31	125.19	0.00	125.19	90.0	112.67
07/25/2018	GRIFFIN, AMANDA	AM FUNDS GROWTH FUND OF AMERICA A	40.13	0.40	0.00	0.40	90.0	0.36
07/25/2018	GRIFFIN, AMANDA	AM FUNDS GROWTH FUND OF AMERICA A	80.27	0.80	0.00	0.80	90.0	0.72
07/25/2018	STALEY, JOSELYN	AM FUNDS GROWTH FUND OF AMERICA A	55.80	0.56	0.00	0.56	90.0	0.50
07/25/2018	STALEY, JOSELYN	AM FUNDS GROWTH FUND OF AMERICA A	15.22	0.15	0.00	0.15	90.0	0.14
07/25/2018	CLASSENS, KRYSTA	AM FUNDS GROWTH FUND OF AMERICA A	49.44	0.49	0.00	0.49	90.0	0.44
07/25/2018	CLASSENS, KRYSTA	AM FUNDS GROWTH FUND OF AMERICA A	18.54	0.19	0.00	0.19	90.0	0.17
07/25/2018	GATTORNA, MICHAEL	AM FUNDS GROWTH FUND OF AMERICA A	30.76	0.31	0.00	0.31	90.0	0.28
07/25/2018	GATTORNA, MICHAEL	AM FUNDS GROWTH FUND OF AMERICA A	30.76	0.31	0.00	0.31	90.0	0.28
07/25/2018	MULLENIX, AMANDA	AM FUNDS GROWTH FUND OF AMERICA A	67.50	0.68	0.00	0.68	90.0	0.61
07/25/2018	MULLENIX, AMANDA	AM FUNDS GROWTH FUND OF AMERICA A	67.50	0.68	0.00	0.68	90.0	0.61
07/25/2018	KISER, ANDREA	AM FUNDS GROWTH FUND OF AMERICA A	61.07	0.61	0.00	0.61	90.0	0.55
07/25/2018	KISER, ANDREA	AM FUNDS GROWTH FUND OF AMERICA A	61.07	0.61	0.00	0.61	90.0	0.55
07/31/2018	KAUFMAN, ADAM	AM FUNDS GROWTH FUND OF AMERICA A	37.50	1.88	0.00	1.88	90.0	1.69
07/31/2018	KAUFMAN, ADAM	AM FUNDS GROWTH FUND OF AMERICA A	37.50	1.88	0.00	1.88	90.0	1.69
07/31/2018	THOMAS, VIRGIL	AM FUNDS GROWTH FUND OF AMERICA A	29.76	1.49	0.00	1.49	90.0	1.34
07/31/2018	THOMAS, VIRGIL	AM FUNDS GROWTH FUND OF AMERICA A	22.32	1.12	0.00	1.12	90.0	1.01
08/01/2018	REDDICK, RYAN	AM FUNDS GROWTH FUND OF AMERICA A	62.50	1.72	0.00	1.72	90.0	1.55
08/01/2018	BAUER, MATTHEW	AM FUNDS GROWTH FUND OF AMERICA A	57.03	2.14	0.00	2.14	90.0	1.93
08/01/2018	SUMMERS, AARON	AM FUNDS GROWTH FUND OF AMERICA A	48.64	1.82	0.00	1.82	90.0	1.64

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<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
08/01/2018	EICHHOLZ, JARED	AM FUNDS GROWTH FUND OF AMERICA A	138.96	5.21	0.00	5.21	90.0	4.69
08/01/2018	JOHNSON, MARK	AM FUNDS GROWTH FUND OF AMERICA A	180.00	6.75	0.00	6.75	90.0	6.08
08/01/2018	HOLTKAMP, MARIGENE	AM FUNDS GROWTH FUND OF AMERICA A	52.00	0.62	0.00	0.62	90.0	0.56
08/01/2018	HOLTKAMP, MARIGENE	AM FUNDS GROWTH FUND OF AMERICA A	8.63	0.10	0.00	0.10	90.0	0.09
08/01/2018	EULTGEN, VICKI	AM FUNDS GROWTH FUND OF AMERICA A	105.00	1.26	0.00	1.26	90.0	1.13
08/01/2018	EULTGEN, VICKI	AM FUNDS GROWTH FUND OF AMERICA A	52.64	0.63	0.00	0.63	90.0	0.57
08/01/2018	TURNER, JOSHUA	AM FUNDS GROWTH FUND OF AMERICA A	31.98	0.38	0.00	0.38	90.0	0.34
08/01/2018	TURNER, JOSHUA	AM FUNDS GROWTH FUND OF AMERICA A	31.98	0.38	0.00	0.38	90.0	0.34
08/01/2018	MURPHY, MELISSA	AM FUNDS GROWTH FUND OF AMERICA A	260.25	3.12	0.00	3.12	90.0	2.81
08/01/2018	MURPHY, MELISSA	AM FUNDS GROWTH FUND OF AMERICA A	41.25	0.50	0.00	0.50	90.0	0.45
08/01/2018	MURPHY, MICHAEL	AM FUNDS GROWTH FUND OF AMERICA A	82.50	0.99	0.00	0.99	90.0	0.89
08/01/2018	MURPHY, MICHAEL	AM FUNDS GROWTH FUND OF AMERICA A	645.83	7.75	0.00	7.75	90.0	6.98
08/01/2018	VICTOR, THOMAS	AM FUNDS GROWTH FUND OF AMERICA A	28.28	0.34	0.00	0.34	90.0	0.31
08/01/2018	VICTOR, THOMAS	AM FUNDS GROWTH FUND OF AMERICA A	28.28	0.34	0.00	0.34	90.0	0.31
08/01/2018	TURNER, COREY	AM FUNDS GROWTH FUND OF AMERICA A	260.25	3.12	0.00	3.12	90.0	2.81
08/01/2018	TURNER, COREY	AM FUNDS GROWTH FUND OF AMERICA A	41.25	0.50	0.00	0.50	90.0	0.45
08/01/2018	RYAN, MATTHEW	AM FUNDS GROWTH FUND OF AMERICA A	67.50	0.81	0.00	0.81	90.0	0.73
08/01/2018	RYAN, MATTHEW	AM FUNDS GROWTH FUND OF AMERICA A	67.50	0.81	0.00	0.81	90.0	0.73
08/01/2018	JONES, MICHAEL	AM FUNDS GROWTH FUND OF AMERICA A	50.87	1.91	0.00	1.91	90.0	1.72
08/01/2018	MCKEAGE, NICHOLAS	AM FUNDS GROWTH FUND OF AMERICA A	49.73	1.86	0.00	1.86	90.0	1.67
08/01/2018	HOLTKAMP, MARIGENE	AM FUNDS GROWTH PORT A	52.00	0.62	0.00	0.62	90.0	0.56
08/01/2018	HOLTKAMP, MARIGENE	AM FUNDS GROWTH PORT A	8.61	0.10	0.00	0.10	90.0	0.09
07/25/2018	OPPLAND, ZACHARY	AM FUNDS ICA A	244.80	2.45	0.00	2.45	90.0	2.21
07/25/2018	OPPLAND, ZACHARY	AM FUNDS ICA A	61.20	0.61	0.00	0.61	90.0	0.55
08/01/2018	WINFREY, LARRY	AM FUNDS ICA A	120.00	4.50	0.00	4.50	90.0	4.05
08/01/2018	BAUER, MATTHEW	AM FUNDS ICA A	55.36	2.08	0.00	2.08	90.0	1.87
08/01/2018	SUMMERS, AARON	AM FUNDS ICA A	48.63	1.82	0.00	1.82	90.0	1.64
08/01/2018	EICHHOLZ, JARED	AM FUNDS ICA A	138.96	5.21	0.00	5.21	90.0	4.69
08/01/2018	EULTGEN, VICKI	AM FUNDS ICA A	105.00	1.26	0.00	1.26	90.0	1.13
08/01/2018	EULTGEN, VICKI	AM FUNDS ICA A	52.64	0.63	0.00	0.63	90.0	0.57
08/01/2018	MURPHY, MELISSA	AM FUNDS ICA A	208.20	2.50	0.00	2.50	90.0	2.25
08/01/2018	MURPHY, MELISSA	AM FUNDS ICA A	33.00	0.40	0.00	0.40	90.0	0.36
08/01/2018	RIDGWAY, BENJAMIN	AM FUNDS ICA A	99.16	1.19	0.00	1.19	90.0	1.07

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<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
08/01/2018	RIDGWAY, BENJAMIN	AM FUNDS ICA A	99.16	1.19	0.00	1.19	90.0	1.07
08/01/2018	SUTTON, CHRISTOPHER	AM FUNDS ICA A	86.03	1.03	0.00	1.03	90.0	0.93
08/01/2018	SUTTON, CHRISTOPHER	AM FUNDS ICA A	112.00	1.34	0.00	1.34	90.0	1.21
08/01/2018	MCKEAGE, NICHOLAS	AM FUNDS ICA A	49.73	1.86	0.00	1.86	90.0	1.67
07/25/2018	REEDY, REBECCA	AM FUNDS INCOME PORTFOLIO A	38.40	0.38	0.00	0.38	90.0	0.34
07/25/2018	REEDY, REBECCA	AM FUNDS INCOME PORTFOLIO A	38.40	0.38	0.00	0.38	90.0	0.34
08/01/2018	HOLTKAMP, MARIGENE	AM FUNDS INTL GROWTH AND INCOME A	52.00	0.62	0.00	0.62	90.0	0.56
08/01/2018	HOLTKAMP, MARIGENE	AM FUNDS INTL GROWTH AND INCOME A	8.63	0.10	0.00	0.10	90.0	0.09
08/01/2018	MURPHY, MELISSA	AM FUNDS INTL GROWTH AND INCOME A	208.20	2.50	0.00	2.50	90.0	2.25
08/01/2018	MURPHY, MELISSA	AM FUNDS INTL GROWTH AND INCOME A	33.00	0.40	0.00	0.40	90.0	0.36
07/23/2018	CROWLEY, MICHA	AM FUNDS NEW ECONOMY A	188.46	3.02	0.00	3.02	90.0	2.72
07/25/2018	STALEY, JOSELYN	AM FUNDS NEW ECONOMY A	54.16	0.54	0.00	0.54	90.0	0.49
07/25/2018	STALEY, JOSELYN	AM FUNDS NEW ECONOMY A	14.77	0.15	0.00	0.15	90.0	0.14
07/25/2018	NIELSEN, BRENDA	AM FUNDS NEW ECONOMY A	69.23	0.69	0.00	0.69	90.0	0.62
07/25/2018	NIELSEN, BRENDA	AM FUNDS NEW ECONOMY A	41.54	0.42	0.00	0.42	90.0	0.38
08/01/2018	REDDICK, RYAN	AM FUNDS NEW ECONOMY A	62.50	1.72	0.00	1.72	90.0	1.55
08/01/2018	BAUER, MATTHEW	AM FUNDS NEW ECONOMY A	55.35	2.08	0.00	2.08	90.0	1.87
08/01/2018	ROBINETT, CHARISSA	AM FUNDS NEW ECONOMY A	66.74	0.80	0.00	0.80	90.0	0.72
08/01/2018	ROBINETT, CHARISSA	AM FUNDS NEW ECONOMY A	66.74	0.80	0.00	0.80	90.0	0.72
08/01/2018	SUTTON, CHRISTOPHER	AM FUNDS NEW ECONOMY A	36.87	0.44	0.00	0.44	90.0	0.40
08/01/2018	SUTTON, CHRISTOPHER	AM FUNDS NEW ECONOMY A	48.00	0.58	0.00	0.58	90.0	0.52
07/25/2018	GRIFFIN, AMANDA	AM FUNDS NEW PERSPECTIVE A	80.27	0.80	0.00	0.80	90.0	0.72
07/25/2018	GRIFFIN, AMANDA	AM FUNDS NEW PERSPECTIVE A	40.13	0.40	0.00	0.40	90.0	0.36
07/25/2018	STALEY, JOSELYN	AM FUNDS NEW PERSPECTIVE A	14.77	0.15	0.00	0.15	90.0	0.14
07/25/2018	STALEY, JOSELYN	AM FUNDS NEW PERSPECTIVE A	54.16	0.54	0.00	0.54	90.0	0.49
07/25/2018	GATTORNA, MICHAEL	AM FUNDS NEW PERSPECTIVE A	29.86	0.30	0.00	0.30	90.0	0.27
07/25/2018	GATTORNA, MICHAEL	AM FUNDS NEW PERSPECTIVE A	29.86	0.30	0.00	0.30	90.0	0.27
08/01/2018	EULTGEN, VICKI	AM FUNDS NEW PERSPECTIVE A	70.00	0.84	0.00	0.84	90.0	0.76
08/01/2018	EULTGEN, VICKI	AM FUNDS NEW PERSPECTIVE A	35.10	0.42	0.00	0.42	90.0	0.38
08/01/2018	TURNER, JOSHUA	AM FUNDS NEW PERSPECTIVE A	31.98	0.38	0.00	0.38	90.0	0.34
08/01/2018	TURNER, JOSHUA	AM FUNDS NEW PERSPECTIVE A	31.98	0.38	0.00	0.38	90.0	0.34
08/01/2018	MURPHY, MELISSA	AM FUNDS NEW PERSPECTIVE A	208.20	2.50	0.00	2.50	90.0	2.25
08/01/2018	MURPHY, MELISSA	AM FUNDS NEW PERSPECTIVE A	33.00	0.40	0.00	0.40	90.0	0.36

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<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
08/01/2018	ROBINETT, CHARISSA	AM FUNDS NEW PERSPECTIVE A	66.75	0.80	0.00	0.80	90.0	0.72
08/01/2018	ROBINETT, CHARISSA	AM FUNDS NEW PERSPECTIVE A	66.75	0.80	0.00	0.80	90.0	0.72
08/01/2018	VICTOR, THOMAS	AM FUNDS NEW PERSPECTIVE A	28.28	0.34	0.00	0.34	90.0	0.31
08/01/2018	VICTOR, THOMAS	AM FUNDS NEW PERSPECTIVE A	28.28	0.34	0.00	0.34	90.0	0.31
08/01/2018	TURNER, COREY	AM FUNDS NEW PERSPECTIVE A	260.25	3.12	0.00	3.12	90.0	2.81
08/01/2018	TURNER, COREY	AM FUNDS NEW PERSPECTIVE A	41.25	0.50	0.00	0.50	90.0	0.45
08/01/2018	JONES, MICHAEL	AM FUNDS NEW PERSPECTIVE A	50.87	1.91	0.00	1.91	90.0	1.72
07/23/2018	CROWLEY, MICHA	AM FUNDS NEW WORLD A	188.46	3.02	0.00	3.02	90.0	2.72
07/25/2018	GATTORNA, MICHAEL	AM FUNDS NEW WORLD A	29.86	0.30	0.00	0.30	90.0	0.27
07/25/2018	GATTORNA, MICHAEL	AM FUNDS NEW WORLD A	29.86	0.30	0.00	0.30	90.0	0.27
08/01/2018	HOLTKAMP, MARIGENE	AM FUNDS NEW WORLD A	260.00	3.12	0.00	3.12	90.0	2.81
08/01/2018	HOLTKAMP, MARIGENE	AM FUNDS NEW WORLD A	43.14	0.52	0.00	0.52	90.0	0.47
08/01/2018	EULTGEN, VICKI	AM FUNDS NEW WORLD A	35.00	0.42	0.00	0.42	90.0	0.38
08/01/2018	EULTGEN, VICKI	AM FUNDS NEW WORLD A	17.55	0.21	0.00	0.21	90.0	0.19
08/01/2018	TURNER, JOSHUA	AM FUNDS NEW WORLD A	31.98	0.38	0.00	0.38	90.0	0.34
08/01/2018	TURNER, JOSHUA	AM FUNDS NEW WORLD A	31.98	0.38	0.00	0.38	90.0	0.34
08/01/2018	MURPHY, MELISSA	AM FUNDS NEW WORLD A	52.05	0.62	0.00	0.62	90.0	0.56
08/01/2018	MURPHY, MELISSA	AM FUNDS NEW WORLD A	8.25	0.10	0.00	0.10	90.0	0.09
08/01/2018	MURPHY, MICHAEL	AM FUNDS NEW WORLD A	82.50	0.99	0.00	0.99	90.0	0.89
08/01/2018	MURPHY, MICHAEL	AM FUNDS NEW WORLD A	645.83	7.75	0.00	7.75	90.0	6.98
08/01/2018	VICTOR, THOMAS	AM FUNDS NEW WORLD A	28.27	0.34	0.00	0.34	90.0	0.31
08/01/2018	VICTOR, THOMAS	AM FUNDS NEW WORLD A	28.27	0.34	0.00	0.34	90.0	0.31
08/01/2018	TURNER, COREY	AM FUNDS NEW WORLD A	260.25	3.12	0.00	3.12	90.0	2.81
08/01/2018	TURNER, COREY	AM FUNDS NEW WORLD A	41.25	0.50	0.00	0.50	90.0	0.45
08/01/2018	RYAN, MATTHEW	AM FUNDS NEW WORLD A	67.50	0.81	0.00	0.81	90.0	0.73
08/01/2018	RYAN, MATTHEW	AM FUNDS NEW WORLD A	67.50	0.81	0.00	0.81	90.0	0.73
07/25/2018	REDDICK, RYAN	AM FUNDS SMALLCAP WORLD A	153.03	1.53	0.00	1.53	90.0	1.38
07/25/2018	REDDICK, RYAN	AM FUNDS SMALLCAP WORLD A	153.03	1.53	0.00	1.53	90.0	1.38
08/01/2018	REDDICK, RYAN	AM FUNDS SMALLCAP WORLD A	62.50	1.72	0.00	1.72	90.0	1.55
08/01/2018	EULTGEN, VICKI	AM FUNDS SMALLCAP WORLD A	17.55	0.21	0.00	0.21	90.0	0.19
08/01/2018	EULTGEN, VICKI	AM FUNDS SMALLCAP WORLD A	35.00	0.42	0.00	0.42	90.0	0.38
08/01/2018	TURNER, JOSHUA	AM FUNDS SMALLCAP WORLD A	31.98	0.38	0.00	0.38	90.0	0.34
08/01/2018	TURNER, JOSHUA	AM FUNDS SMALLCAP WORLD A	31.98	0.38	0.00	0.38	90.0	0.34

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
08/01/2018	MURPHY, MELISSA	AM FUNDS SMALLCAP WORLD A	104.10	1.25	0.00	1.25	90.0	1.13
08/01/2018	MURPHY, MELISSA	AM FUNDS SMALLCAP WORLD A	16.50	0.20	0.00	0.20	90.0	0.18
08/01/2018	VICTOR, THOMAS	AM FUNDS SMALLCAP WORLD A	28.28	0.34	0.00	0.34	90.0	0.31
08/01/2018	VICTOR, THOMAS	AM FUNDS SMALLCAP WORLD A	28.28	0.34	0.00	0.34	90.0	0.31
08/01/2018	TURNER, COREY	AM FUNDS SMALLCAP WORLD A	260.25	3.12	0.00	3.12	90.0	2.81
08/01/2018	TURNER, COREY	AM FUNDS SMALLCAP WORLD A	41.25	0.50	0.00	0.50	90.0	0.45
07/25/2018	GRIFFIN, AMANDA	AM FUNDS WASHINGTON MUTUAL INVESTOR	33.45	0.33	0.00	0.33	90.0	0.30
07/25/2018	GRIFFIN, AMANDA	AM FUNDS WASHINGTON MUTUAL INVESTOR	66.89	0.67	0.00	0.67	90.0	0.60
08/01/2018	TOMPKINS, ERIKA	AM FUNDS WASHINGTON MUTUAL INVESTOR	282.52	3.39	0.00	3.39	90.0	3.05
08/01/2018	TOMPKINS, ERIKA	AM FUNDS WASHINGTON MUTUAL INVESTOR	169.51	2.03	0.00	2.03	90.0	1.83
* MUTUAL FUNDS SUBTOTAL *			\$46,060.60	\$923.28	\$0.00	\$923.28		\$831.07
<u>PRODUCT CATEGORY: VARIABLE UNIVERSAL LIFE</u>								
07/23/2018	JONES, KAREN	PAC LIFE VUL	50.00	1.50	0.00	1.50	90.0	1.35
07/23/2018	MCNERNEY, ALYSSA	PAC LIFE VUL	7,721.62	15.44	0.00	15.44	90.0	13.90
07/23/2018	MCNERNEY, DYLAN	PAC LIFE VUL	6,851.30	13.70	0.00	13.70	90.0	12.33
07/23/2018	ELLIOTT, MITCHELL	PAC LIFE VUL	100.00	3.00	0.00	3.00	90.0	2.70
07/24/2018	KING, CALEB	PAC LIFE VUL	50.00	0.60	0.00	0.60	90.0	0.54
07/25/2018	JONES, KENNETH	PAC LIFE VUL	60.00	1.20	0.00	1.20	90.0	1.08
07/25/2018	ADAMS, GREGORY	PAC LIFE VUL	150.00	3.00	0.00	3.00	90.0	2.70
07/25/2018	ADAMS, ASHLEY	PAC LIFE VUL	100.00	2.00	0.00	2.00	90.0	1.80
07/25/2018	GRIFFIN, AMANDA	PAC LIFE VUL	68.07	1.36	0.00	1.36	90.0	1.22
07/25/2018	GRIFFIN, AMANDA	PAC LIFE VUL	37.85	0.76	0.00	0.76	90.0	0.68
07/25/2018	ADAMS, JAXON	PAC LIFE VUL	50.00	1.00	0.00	1.00	90.0	0.90
08/01/2018	KAUFMAN, KIMBERLY	PAC LIFE VUL	75.00	1.50	0.00	1.50	90.0	1.35
08/01/2018	REDDICK, RYAN	PAC LIFE VUL	50.00	1.00	0.00	1.00	90.0	0.90
08/02/2018	KAUFMAN, JEFFREY	PAC LIFE VUL	200.00	4.00	0.00	4.00	90.0	3.60
08/02/2018	KAUFMAN, COOPER	PAC LIFE VUL	50.00	1.00	0.00	1.00	90.0	0.90
08/02/2018	KAUFMAN, ELLIE	PAC LIFE VUL	50.00	1.00	0.00	1.00	90.0	0.90
08/02/2018	STALEY, MICHAELA	PAC LIFE VUL	50.00	1.00	0.00	1.00	90.0	0.90
08/02/2018	ROBINSON, PHYLILS	PAC LIFE VUL	150.00	3.00	0.00	3.00	90.0	2.70
08/02/2018	REDDICK, CRYSTAL	PAC LIFE VUL	20.23	0.61	0.00	0.61	90.0	0.55
08/02/2018	REDDICK, CRYSTAL	PAC LIFE VUL	29.77	0.89	0.00	0.89	90.0	0.80
08/02/2018	STALEY, JOSELYN	PAC LIFE VUL	150.00	3.00	0.00	3.00	90.0	2.70

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<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: VARIABLE UNIVERSAL LIFE</u>								
08/02/2018	MCNERNEY, DAVID	PAC LIFE VUL	1,000.00	20.00	0.00	20.00	90.0	18.00
08/02/2018	MCNERNEY, SUSAN	PAC LIFE VUL	1,000.00	30.00	0.00	30.00	90.0	27.00
08/02/2018	MCNERNEY, ALYSSA	PAC LIFE VUL	150.00	4.50	0.00	4.50	90.0	4.05
08/02/2018	MCNERNEY, DYLAN	PAC LIFE VUL	69.52	2.09	0.00	2.09	90.0	1.88
08/02/2018	MCNERNEY, DYLAN	PAC LIFE VUL	80.48	2.41	0.00	2.41	90.0	2.17
08/03/2018	GUIER, GREGORY	PAC LIFE VUL	185.00	1.85	0.00	1.85	90.0	1.67
* VARIABLE UNIVERSAL LIFE SUBTOTAL *			\$18,548.84	\$121.41	\$0.00	\$121.41		\$109.27
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
/ /	KAUFMAN, JEFFREY	FIDELITY ADV CANADA	0.00	0.03	0.00	0.03	90.0	0.03
/ /	KAUFMAN, JEFFREY	FIDELITY ADV EMERGING EMEA	0.00	0.03	0.00	0.03	90.0	0.03
/ /	KAUFMAN, JEFFREY	FIDELITY ADV ENERGY CL M	0.00	0.03	0.00	0.03	90.0	0.03
/ /	KAUFMAN, JEFFREY	FIDELITY ADV GLOBAL CAP APP T	0.00	0.08	0.00	0.08	90.0	0.07
/ /	KAUFMAN, JEFFREY	FIDELITY ADV GLOBAL COMMODITY STK	0.00	0.03	0.00	0.03	90.0	0.03
/ /	KAUFMAN, JEFFREY	FIDELITY ADV GOLD	0.00	0.02	0.00	0.02	90.0	0.02
/ /	WILMSMEYER, CHRISTA	FIDELITY ADV GOLD C	0.00	0.63	0.00	0.63	90.0	0.57
/ /	GRIFFITH, CHERYL	FIDELITY ADV GOVERNMENT INC	0.00	0.11	0.00	0.11	90.0	0.10
/ /	HALL, ELLEN	FIDELITY ADV GROWTH OPP	0.00	13.57	0.00	13.57	90.0	12.21
/ /	ELLIOTT, TIMOTHY	FIDELITY ADV GROWTH OPP	0.00	1.63	0.00	1.63	90.0	1.47
/ /	KAUFMAN, JEFFREY	FIDELITY ADV GROWTH OPP	0.00	0.33	0.00	0.33	90.0	0.30
/ /	GRIFFITH, CHERYL	FIDELITY ADV INTL SM CAP CL T	0.00	4.94	0.00	4.94	90.0	4.45
/ /	GRIFFITH, CHERYL	FIDELITY ADV LARGE CAP	0.00	7.55	0.00	7.55	90.0	6.80
/ /	WILMSMEYER, CHRISTA	FIDELITY ADV LEVERAGED CO STOCK C	0.00	9.12	0.00	9.12	90.0	8.21
/ /	HALL, ELLEN	FIDELITY ADV LEVERAGED CO STOCK-CL	0.00	3.11	0.00	3.11	90.0	2.80
/ /	WILMSMEYER, CHRISTA	FIDELITY ADV MATERIALS C	0.00	4.86	0.00	4.86	90.0	4.37
/ /	GRIFFITH, CHERYL	FIDELITY ADV OVERSEAS	0.00	1.29	0.00	1.29	90.0	1.16
08/01/2018	GRIFFITH, CHERYL	FIDELITY ADV SMALL CAP	0.00	1.39	0.00	1.39	90.0	1.25
/ /	KAUFMAN, JEFFREY	FIDELITY ADV SMALL CAP GROWTH C	0.00	0.03	0.00	0.03	90.0	0.03
/ /	GRIFFITH, CHERYL	FIDELITY ADV STOCK SELECTOR ALL CAP	0.00	12.57	0.00	12.57	90.0	11.31
/ /	KAUFMAN, JEFFREY	FIDELITY ADV STOCK SELECTOR ALL CAP	0.00	0.08	0.00	0.08	90.0	0.07
/ /	WILMSMEYER, CHRISTA	FIDELITY ADV UTILITIES C	0.00	10.62	0.00	10.62	90.0	9.56
/ /	GRIFFITH, CHERYL	FIDELITY ADVISOR EVENT DRIVEN OPPS	0.00	2.92	0.00	2.92	90.0	2.63
/ /	KAUFMAN, JEFFREY	FIDELITY ADVISOR EVENT DRIVEN OPPS	0.00	0.06	0.00	0.06	90.0	0.05
/ /	KAUFMAN, JEFFREY	FIDELITY ADVISOR MATERIALS FUND-CLA	0.00	0.04	0.00	0.04	90.0	0.04

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<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
/ /	WILSMEYER, CHRISTA	FIDELITY ADVISORS 31618H424	0.00	6.49	0.00	6.49	90.0	5.84
/ /	HALL, ELLEN	FIDELITY ADVISORS 31618H440	0.00	1.37	0.00	1.37	90.0	1.23
/ /	GRIFFITH, CHERYL	FIDELITY BALANCED T	0.00	0.61	0.00	0.61	90.0	0.55
/ /	GRIFFITH, CHERYL	FIDELITY BALANCED T	0.00	16.17	0.00	16.17	90.0	14.55
08/01/2018	HALL, ELLEN	FIDELITY COMM EQUIPMENT T	0.00	2.03	0.00	2.03	90.0	1.83
/ /	GRIFFITH, CHERYL	FIDELITY EQUITY VALUE	0.00	10.60	0.00	10.60	90.0	9.54
/ /	KAUFMAN, JEFFREY	FIDELITY FINANCIAL SERVICES T	0.00	0.03	0.00	0.03	90.0	0.03
/ /	KAUFMAN, JEFFREY	FIDELITY MIDCAP C	0.00	0.02	0.00	0.02	90.0	0.02
/ /	GRIFFITH, CHERYL	FIDELITY MIDCAP T	0.00	10.31	0.00	10.31	90.0	9.28
/ /	KAUFMAN, JEFFREY	FIDLEITY ADV INTL REAL ESTATE	0.00	0.03	0.00	0.03	90.0	0.03
/ /	GRIFFITH, CHERYL	FIDLEITY ADVISOR LATIN AMERICA FUND	0.00	2.48	0.00	2.48	90.0	2.23
/ /	KAUFMAN, JEFFREY	FIDLEITY ADVISOR LATIN AMERICA FUND	0.00	0.06	0.00	0.06	90.0	0.05
* MUTUAL FUND 12B1 TRAILS SUBTOTAL *			\$0.00	\$125.27	\$0.00	\$125.27		\$112.77

PRODUCT CATEGORY: VARIABLE ANNUITY 12B1 TRAILS

07/28/2018	MCBRIDE, VIRGINIA CAROLY	ING RELIASTAR	10,694.71	33.42	0.00	33.42	90.0	30.08
07/31/2018	PAGE, BRIAN	JNL ELITE ACCESS W/ LIQUIDITY	0.00	10.40	0.00	10.40	90.0	9.36
07/31/2018	ANDING, MARY DIANE	JNL PERSPECTIVE II 04/14	0.00	42.33	0.00	42.33	90.0	38.10
07/31/2018	STEWART, SHEILA	JNL PERSPECTIVE II 04/14	0.00	107.32	0.00	107.32	90.0	96.59
07/31/2018	DEAN GUIER INC	JNL PERSPECTIVE II 04/14	0.00	83.97	0.00	83.97	90.0	75.57
07/31/2018	GUIER, CARROL	JNL PERSPECTIVE II 04/14	0.00	10.98	0.00	10.98	90.0	9.88
07/31/2018	CALLIS, CHARLES	JNL PERSPECTIVE II 05/05	0.00	12.54	0.00	12.54	90.0	11.29
07/31/2018	OWEN, ERNEST	JNL PERSPECTIVE II 05/05	0.00	60.17	0.00	60.17	90.0	54.15
07/31/2018	OSSMAN, ED	JNL PERSPECTIVE II 05/05	0.00	25.27	0.00	25.27	90.0	22.74
07/31/2018	OSSMAN, EDWARD	JNL PERSPECTIVE II 05/05	0.00	12.11	0.00	12.11	90.0	10.90
07/31/2018	OSSMAN, EDWARD	JNL PERSPECTIVE II 05/05	0.00	67.39	0.00	67.39	90.0	60.65
07/31/2018	MARK, RICHARD GEORGE	JNL PERSPECTIVE II 05/05	0.00	41.11	0.00	41.11	90.0	37.00
07/31/2018	LANGE, ARLEN	JNL PERSPECTIVE II 05/05	0.00	51.74	0.00	51.74	90.0	46.57
07/31/2018	MCBRIDE, KENNETH	JNL PERSPECTIVE II 05/05	0.00	115.98	0.00	115.98	90.0	104.38
07/31/2018	ANDING, MARY DIANE	JNL PERSPECTIVE II 05/05	0.00	93.49	0.00	93.49	90.0	84.14
07/19/2018	DEUSCHLE, RONNIE	PAC LIFE PACIFIC CHOICE	0.00	7,000.00	0.00	7,000.00	90.0	6,300.00
07/16/2018	YOUNG, MARY ELIZABETH	PAC LIFE PORTFOLIOS	0.00	19.53	0.00	19.53	90.0	17.58
07/25/2018	SWAIN, DOROLENE	PAC LIFE VALUE	0.00	35.91	0.00	35.91	90.0	32.32
07/30/2018	BENNETT, MILDRED	SBL ADVISORDESIGNS VA	0.00	89.75	0.00	89.75	90.0	80.78

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<u>DIRECT TRANSACTIONS</u>								
PRODUCT CATEGORY: VARIABLE ANNUITY 12B1 TRAILS								
07/30/2018	KLANG, MARCHEA	SBL ADVISORDESIGNS VA	0.00	78.17	0.00	78.17	90.0	70.35
07/30/2018	KLANG, MARCHEA	SBL ADVISORDESIGNS VA	0.00	89.79	0.00	89.79	90.0	80.81
07/30/2018	DOWNS, JAMES	SBL ADVISORDESIGNS VA	0.00	32.50	0.00	32.50	90.0	29.25
07/30/2018	SCOFIELD, ROBERT	SBL ADVISORDESIGNS VA	0.00	9.33	0.00	9.33	90.0	8.40
07/30/2018	ANDERSON, CHERRI	SBL ADVISORDESIGNS VA	0.00	22.89	0.00	22.89	90.0	20.60
07/30/2018	LEE, HOWARD	SBL SECUREDESIGNS VA	0.00	56.72	0.00	56.72	90.0	51.05
* VARIABLE ANNUITY 12B1 TRAILS SUBTOTAL *			\$10,694.71	\$8,202.81	\$0.00	\$8,202.81		\$7,382.54
*** DIRECT TRANSACTIONS TOTAL ***			\$75,304.15	\$9,372.77	\$0.00	\$9,372.77		\$8,435.65

SPLIT TRANSACTIONS**BROKER: JEFF/JASON, K148 KAUFMAN/KEMBLE #10**

07/27/2018	BAILEY, WILLIAM	AM FUNDS AMERICAN BALANCED 529C	1,000.00	5.50	0.00	5.50	90.0	4.95
07/27/2018	BAILEY, WILLIAM	AM FUNDS GROWTH FUND OF AMERICA 529	500.00	2.75	0.00	2.75	90.0	2.48
* JEFF/JASON, K148 KAUFMAN/KEMBLE SUBTOTAL *			\$1,500.00	\$8.25	\$0.00	\$8.25		\$7.43

BROKER: JEFF/JASON, K148 KAUFMAN/KEMBLE #349

07/25/2018	WAHLIG, KACEY	AM FUNDS AMERICAN BALANCED A	29.58	0.16	0.00	0.16	90.0	0.14
07/25/2018	WAHLIG, KACEY	AM FUNDS AMERICAN BALANCED A	29.58	0.16	0.00	0.16	90.0	0.14
07/27/2018	BAILEY, NELDA	AM FUNDS AMERICAN BALANCED A	14,500.00	219.31	0.00	219.31	90.0	197.38
08/01/2018	SWEET, LYNNE	AM FUNDS AMERICAN BALANCED A	2,000.00	41.25	0.00	41.25	90.0	37.13
07/23/2018	HAUSER, JOHN	AM FUNDS AMERICAN BALANCED C	1,000.00	5.50	0.00	5.50	90.0	4.95
07/25/2018	LUKIC, MIROSLAV	AM FUNDS EUROPACIFIC GROWTH FUND A	28.27	0.15	0.00	0.15	90.0	0.14
07/25/2018	LUKIC, MIROSLAV	AM FUNDS EUROPACIFIC GROWTH FUND A	28.28	0.15	0.00	0.15	90.0	0.14
07/25/2018	SKELTON, SARAH	AM FUNDS EUROPACIFIC GROWTH FUND A	76.39	0.42	0.00	0.42	90.0	0.38
07/25/2018	SKELTON, SARAH	AM FUNDS EUROPACIFIC GROWTH FUND A	76.39	0.42	0.00	0.42	90.0	0.38
07/23/2018	GUIER, BETHANY	AM FUNDS GROWTH FUND OF AMERICA A	50.00	1.37	0.00	1.37	90.0	1.23
07/25/2018	MCKENZIE, JADA	AM FUNDS GROWTH FUND OF AMERICA A	46.44	0.25	0.00	0.25	90.0	0.23
07/25/2018	MCKENZIE, JADA	AM FUNDS GROWTH FUND OF AMERICA A	46.44	0.25	0.00	0.25	90.0	0.23
07/25/2018	CARSON, MATTHEW	AM FUNDS GROWTH FUND OF AMERICA A	60.00	0.33	0.00	0.33	90.0	0.30
07/25/2018	CARSON, MATTHEW	AM FUNDS GROWTH FUND OF AMERICA A	60.00	0.33	0.00	0.33	90.0	0.30
07/25/2018	EISELE, HAMILTON	AM FUNDS GROWTH FUND OF AMERICA A	24.00	0.13	0.00	0.13	90.0	0.12
07/25/2018	EISELE, HAMILTON	AM FUNDS GROWTH FUND OF AMERICA A	18.00	0.10	0.00	0.10	90.0	0.09
07/25/2018	DOOLEY, BRUCE	AM FUNDS GROWTH FUND OF AMERICA A	71.88	0.40	0.00	0.40	90.0	0.36

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<u>SPLIT TRANSACTIONS</u>								
<u>BROKER: JEFF/JASON, K148 KAUFMAN/KEMBLE #349</u>								
07/25/2018	DOOLEY, BRUCE	AM FUNDS GROWTH FUND OF AMERICA A	71.88	0.40	0.00	0.40	90.0	0.36
07/25/2018	BONHAM, NICOLE	AM FUNDS GROWTH FUND OF AMERICA A	11.70	0.07	0.00	0.07	90.0	0.06
07/25/2018	BONHAM, NICOLE	AM FUNDS GROWTH FUND OF AMERICA A	11.70	0.07	0.00	0.07	90.0	0.06
07/25/2018	LUKIC, MIROSLAV	AM FUNDS GROWTH FUND OF AMERICA A	29.13	0.16	0.00	0.16	90.0	0.14
07/25/2018	LUKIC, MIROSLAV	AM FUNDS GROWTH FUND OF AMERICA A	29.13	0.16	0.00	0.16	90.0	0.14
07/25/2018	BOEDECKER, SUZANNE	AM FUNDS GROWTH FUND OF AMERICA A	56.31	0.31	0.00	0.31	90.0	0.28
07/25/2018	BOEDECKER, SUZANNE	AM FUNDS GROWTH FUND OF AMERICA A	56.31	0.31	0.00	0.31	90.0	0.28
07/25/2018	WILBANKS, DAVID	AM FUNDS GROWTH FUND OF AMERICA A	44.06	0.24	0.00	0.24	90.0	0.22
07/25/2018	WILBANKS, DAVID	AM FUNDS GROWTH FUND OF AMERICA A	44.06	0.24	0.00	0.24	90.0	0.22
07/25/2018	CATALANO, SHELBY	AM FUNDS GROWTH FUND OF AMERICA A	27.29	0.15	0.00	0.15	90.0	0.14
07/25/2018	CATALANO, SHELBY	AM FUNDS GROWTH FUND OF AMERICA A	27.29	0.15	0.00	0.15	90.0	0.14
07/25/2018	SHIELDS, DANA	AM FUNDS GROWTH FUND OF AMERICA A	63.16	0.35	0.00	0.35	90.0	0.32
07/25/2018	SHIELDS, DANA	AM FUNDS GROWTH FUND OF AMERICA A	27.07	0.15	0.00	0.15	90.0	0.14
07/25/2018	PINTOR, SARAH	AM FUNDS GROWTH FUND OF AMERICA A	5.99	0.03	0.00	0.03	90.0	0.03
07/25/2018	PINTOR, SARAH	AM FUNDS GROWTH FUND OF AMERICA A	5.99	0.03	0.00	0.03	90.0	0.03
07/25/2018	PANHORST, ELIZABETH	AM FUNDS GROWTH FUND OF AMERICA A	49.28	0.27	0.00	0.27	90.0	0.24
07/25/2018	PANHORST, ELIZABETH	AM FUNDS GROWTH FUND OF AMERICA A	49.28	0.27	0.00	0.27	90.0	0.24
07/25/2018	ASBURY, CANAAN	AM FUNDS GROWTH FUND OF AMERICA A	65.95	0.36	0.00	0.36	90.0	0.32
07/25/2018	ASBURY, CANAAN	AM FUNDS GROWTH FUND OF AMERICA A	65.95	0.36	0.00	0.36	90.0	0.32
07/25/2018	DOWNES, JANICE	AM FUNDS GROWTH FUND OF AMERICA A	43.20	0.24	0.00	0.24	90.0	0.22
07/25/2018	DOWNES, JANICE	AM FUNDS GROWTH FUND OF AMERICA A	43.20	0.24	0.00	0.24	90.0	0.22
07/25/2018	DIXON, CAITLIN	AM FUNDS GROWTH FUND OF AMERICA A	31.20	0.17	0.00	0.17	90.0	0.15
07/25/2018	DIXON, CAITLIN	AM FUNDS GROWTH FUND OF AMERICA A	31.20	0.17	0.00	0.17	90.0	0.15
07/25/2018	JOHNSON, CHADRIC	AM FUNDS GROWTH FUND OF AMERICA A	40.32	0.22	0.00	0.22	90.0	0.20
07/25/2018	JOHNSON, CHADRIC	AM FUNDS GROWTH FUND OF AMERICA A	40.32	0.22	0.00	0.22	90.0	0.20
07/25/2018	WHEAT, BRYAN	AM FUNDS GROWTH FUND OF AMERICA A	229.00	6.30	0.00	6.30	90.0	5.67
07/30/2018	BROWN, CODY	AM FUNDS GROWTH FUND OF AMERICA A	100.00	2.75	0.00	2.75	90.0	2.48
07/31/2018	GUTIERREZ, GRISELDA	AM FUNDS GROWTH FUND OF AMERICA A	2.17	0.06	0.00	0.06	90.0	0.05
07/31/2018	GUTIERREZ, GRISELDA	AM FUNDS GROWTH FUND OF AMERICA A	2.17	0.06	0.00	0.06	90.0	0.05
08/01/2018	BARTLETT, STEVEN	AM FUNDS GROWTH FUND OF AMERICA A	87.39	0.58	0.00	0.58	90.0	0.52
08/01/2018	BARTLETT, STEVEN	AM FUNDS GROWTH FUND OF AMERICA A	52.44	0.35	0.00	0.35	90.0	0.32
08/01/2018	MORIARITY, COREY	AM FUNDS GROWTH FUND OF AMERICA A	113.50	0.75	0.00	0.75	90.0	0.68
08/01/2018	MORIARITY, COREY	AM FUNDS GROWTH FUND OF AMERICA A	113.50	0.75	0.00	0.75	90.0	0.68

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>SPLIT TRANSACTIONS</u>								
<u>BROKER: JEFF/JASON, K148 KAUFMAN/KEMBLE #349</u>								
08/01/2018	ALLEY, KAMERON	AM FUNDS GROWTH FUND OF AMERICA A	93.62	0.62	0.00	0.62	90.0	0.56
08/01/2018	ALLEY, KAMERON	AM FUNDS GROWTH FUND OF AMERICA A	93.62	0.62	0.00	0.62	90.0	0.56
07/25/2018	CULLEY, TRACY	AM FUNDS GROWTH PORT A	203.93	1.12	0.00	1.12	90.0	1.01
07/25/2018	CULLEY, TRACY	AM FUNDS GROWTH PORT A	61.18	0.34	0.00	0.34	90.0	0.31
07/23/2018	GUIER, BETHANY	AM FUNDS ICA A	50.00	1.37	0.00	1.37	90.0	1.23
07/25/2018	ZELLMER, RIANNON	AM FUNDS ICA A	23.12	0.13	0.00	0.13	90.0	0.12
07/25/2018	ZELLMER, RIANNON	AM FUNDS ICA A	23.12	0.13	0.00	0.13	90.0	0.12
07/25/2018	WAHLIG, KACEY	AM FUNDS ICA A	29.59	0.16	0.00	0.16	90.0	0.14
07/25/2018	WAHLIG, KACEY	AM FUNDS ICA A	29.59	0.16	0.00	0.16	90.0	0.14
07/25/2018	HELMANDOLLAR, OLIVIA	AM FUNDS ICA A	19.10	0.10	0.00	0.10	90.0	0.09
07/25/2018	HELMANDOLLAR, OLIVIA	AM FUNDS ICA A	19.10	0.10	0.00	0.10	90.0	0.09
08/01/2018	HAGUE, VICTORIA	AM FUNDS ICA A	1,033.33	6.82	0.00	6.82	90.0	6.14
08/01/2018	HAGUE, VICTORIA	AM FUNDS ICA A	75.12	0.49	0.00	0.49	90.0	0.44
07/25/2018	POLSON, CHRISTOPHER	AM FUNDS NEW ECONOMY A	48.16	0.26	0.00	0.26	90.0	0.23
07/25/2018	POLSON, CHRISTOPHER	AM FUNDS NEW ECONOMY A	48.16	0.26	0.00	0.26	90.0	0.23
07/25/2018	MCNERNEY, DAVID	AM FUNDS NEW PERSPECTIVE A	312.85	1.72	0.00	1.72	90.0	1.55
07/25/2018	MCNERNEY, DAVID	AM FUNDS NEW PERSPECTIVE A	123.00	0.68	0.00	0.68	90.0	0.61
08/01/2018	LEHMAN, COLBY	AM FUNDS NEW PERSPECTIVE A	50.00	1.37	0.00	1.37	90.0	1.23
07/25/2018	EISELE, HAMILTON	AM FUNDS NEW WORLD A	24.00	0.13	0.00	0.13	90.0	0.12
07/25/2018	EISELE, HAMILTON	AM FUNDS NEW WORLD A	18.00	0.10	0.00	0.10	90.0	0.09
07/25/2018	STIDHAM, AUSTIN	AM FUNDS NEW WORLD A	79.29	0.43	0.00	0.43	90.0	0.39
07/25/2018	STIDHAM, AUSTIN	AM FUNDS NEW WORLD A	47.58	0.26	0.00	0.26	90.0	0.23
07/25/2018	HELMANDOLLAR, OLIVIA	AM FUNDS SMALLCAP WORLD A	19.10	0.10	0.00	0.10	90.0	0.09
07/25/2018	HELMANDOLLAR, OLIVIA	AM FUNDS SMALLCAP WORLD A	19.10	0.10	0.00	0.10	90.0	0.09
07/25/2018	LUKIC, MIROSLAV	AM FUNDS SMALLCAP WORLD A	28.28	0.15	0.00	0.15	90.0	0.14
07/25/2018	LUKIC, MIROSLAV	AM FUNDS SMALLCAP WORLD A	28.27	0.15	0.00	0.15	90.0	0.14
08/01/2018	HAGUE, VICTORIA	AM FUNDS SMALLCAP WORLD A	258.33	1.70	0.00	1.70	90.0	1.53
08/01/2018	HAGUE, VICTORIA	AM FUNDS SMALLCAP WORLD A	18.78	0.13	0.00	0.13	90.0	0.12
08/01/2018	BARTLETT, STEVEN	AM FUNDS SMALLCAP WORLD A	87.40	0.58	0.00	0.58	90.0	0.52
08/01/2018	BARTLETT, STEVEN	AM FUNDS SMALLCAP WORLD A	52.43	0.35	0.00	0.35	90.0	0.32
07/20/2018	CARSON, SEDEL	PAC LIFE VUL	55.00	0.30	0.00	0.30	90.0	0.27
07/20/2018	CARSON, MATTHEW	PAC LIFE VUL	7.57	0.04	0.00	0.04	90.0	0.04
07/30/2018	CARSON, MATTHEW	PAC LIFE VUL	142.43	8.23	0.00	8.23	90.0	7.41

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>SPLIT TRANSACTIONS</u>								
<u>BROKER: JEFF/JASON, K148 KAUFMAN/KEMBLE #349</u>								
07/30/2018	CARSON, SEDEL	PAC LIFE VUL	55.00	0.30	0.00	0.30	90.0	0.27
07/30/2018	CARSON, MATTHEW	PAC LIFE VUL	7.57	0.04	0.00	0.04	90.0	0.04
07/30/2018	CARSON, MATTHEW	PAC LIFE VUL	142.43	8.23	0.00	8.23	90.0	7.41
08/02/2018	MCNERNEY, DASAN	PAC LIFE VUL	200.00	3.30	0.00	3.30	90.0	2.97
* JEFF/JASON, K148 KAUFMAN/KEMBLE SUBTOTAL *			\$23,443.54	\$328.69	\$0.00	\$328.69		\$295.90
*** SPLIT TRANSACTIONS TOTAL ***			\$24,943.54	\$336.94	\$0.00	\$336.94		\$303.33

<u> OVERRIDE TRANSACTIONS</u>								
<u>BROKER: K146-JASON KEMBLE #348</u>								
07/24/2018	DANIELS, CLINTON	AM FUNDS GROWTH FUND OF AMERICA A	100.00	4.25	0.00	4.25	90.0	1.70
07/24/2018	DANIELS, AMY	AM FUNDS GROWTH FUND OF AMERICA A	50.00	2.13	0.00	2.13	90.0	0.85
07/24/2018	DANIELS, AMY	AM FUNDS NEW PERSPECTIVE A	50.00	2.13	0.00	2.13	90.0	0.85
07/24/2018	DANIELS, CLINTON	AM FUNDS SMALLCAP WORLD A	100.00	4.25	0.00	4.25	90.0	1.70
08/01/2018	NASHAN, SUSAN	RTMT INCOME PORTFOLIO CONSERVATIVE-	100.00	1.00	0.00	1.00	90.0	0.40
* K146-JASON KEMBLE SUBTOTAL *			\$400.00	\$13.76	\$0.00	\$13.76		\$5.50
*** OVERRIDE TRANSACTIONS TOTAL ***			\$400.00	\$13.76	\$0.00	\$13.76		\$5.50

<u>ADJUSTMENTS</u>								
08/15/2018		*E & O INSURANCE: CURRENT MONTH INS	0.00					-300.00
08/15/2018		*MARKETING PRO: PRO USER	0.00					-45.00
08/15/2018		*MISC: K. BOSMAN OUTSTANDING FEES	0.00					-1,684.12
08/15/2018		*MISC: TROY BERGERON BALANCE	0.00					-243.69
		PAYMENT PER K. KAUFMAN						
08/15/2018		*TECHNOLOGY: ADMIN - KIM KAUFMAN	0.00					-100.00
08/15/2018		*TECHNOLOGY: CURRENT MONTH TECH	0.00					-275.00
08/15/2018		*TERMINATION FEE: TERMINATION FEE	0.00					-100.00
*** ADJUSTMENTS TOTAL ***			\$0.00	\$0.00	\$0.00	\$0.00		\$-2,747.81

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BROKER COMMISSION TOTALS

Broker Transactions	\$8,435.65
Split Transactions	\$303.33
Override Transactions	\$5.50
Adjustments	\$-2,747.81
Payroll Draw	\$0.00
Base Salary	\$0.00
Prior Period Balance	\$0.00
FINRA Assessment	\$0.00
SIPC Assessment	\$0.00

Check Amount	\$5,996.67
Year-to-date Gross	\$116,764.09
Year-to-date Earnings	\$111,368.92