



Concorde Investment Services, LLC

12/15/2017

Page No. 1

**COMMISSION STATEMENT****December 15, 2017**

101 CFGROUP/KOSANKE  
1120 E. Long Lake Road  
Suite 250  
Troy, MI 48085

**BROKER #: 101**  
**BRANCH: CONCORDE FINANCIAL G**

DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<b><u>DIRECT TRANSACTIONS</u></b>								
<b><u>PRODUCT CATEGORY: PRIVATE PLACEMENT</u></b>								
11/22/2017	KOSANKE TRUST, MARK	BIRKDALE LANDING HOLDINGS LLC	89,000.00	0.00	0.00	0.00	95.0	0.00
11/22/2017	DINKA, JOHN	BIRKDALE LANDING HOLDINGS LLC	95,700.00	6,699.00	0.00	6,699.00	95.0	6,364.05
11/22/2017	SKOWRONSKI, RAYMOND	BIRKDALE LANDING HOLDINGS LLC	95,700.00	6,699.00	0.00	6,699.00	95.0	6,364.05
12/04/2017	ETHIER, TRUBY	GPB WASTE MANAGEMENT LP	50,000.00	3,500.00	0.00	3,500.00	95.0	3,325.00
<b>* PRIVATE PLACEMENT SUBTOTAL *</b>			<b>\$330,400.00</b>	<b>\$16,898.00</b>	<b>\$0.00</b>	<b>\$16,898.00</b>		<b>\$16,053.10</b>
<b><u>PRODUCT CATEGORY: 529 PLANS</u></b>								
11/24/2017	SILVERSTEIN, MICHAEL	AM FUNDS CAPITAL WORLD GRTH & INC 5	50.00	2.13	0.00	2.13	95.0	2.02
11/27/2017	WETZEL, DIANNE	BLK MOD 0-5 AGE BASED C	50.00	0.50	0.00	0.50	95.0	0.48
11/30/2017	WETZEL, DIANNE	BLK MOD 0-5 AGE BASED C	50.00	0.50	0.00	0.50	95.0	0.48
11/30/2017	MOELLER, RICHARD	BLK MOD 10-12 AGE BASED C	50.00	0.50	0.00	0.50	95.0	0.48
<b>* 529 PLANS SUBTOTAL *</b>			<b>\$200.00</b>	<b>\$3.63</b>	<b>\$0.00</b>	<b>\$3.63</b>		<b>\$3.46</b>
<b><u>PRODUCT CATEGORY: MUTUAL FUNDS</u></b>								
11/20/2017	BRADEN, TERRI	ALLIANCEBERNSTEIN GROWTH B	50.00	2.00	0.00	2.00	95.0	1.90
12/08/2017	GARDNER, THERESA	AM FUNDS 2015 TARGET DATE A	37.50	1.88	0.00	1.88	95.0	1.79
12/08/2017	GARDNER, THERESA	AM FUNDS 2015 TARGET DATE A	37.50	1.88	0.00	1.88	95.0	1.79
12/08/2017	GARDNER, THERESA	AM FUNDS 2015 TARGET DATE A	37.50	1.88	0.00	1.88	95.0	1.79
12/08/2017	GARDNER, THERESA	AM FUNDS 2015 TARGET DATE A	37.50	1.88	0.00	1.88	95.0	1.79
12/08/2017	GARDNER, THERESA	AM FUNDS 2035 TARGET DATE-A	37.50	1.88	0.00	1.88	95.0	1.79
12/08/2017	GARDNER, THERESA	AM FUNDS 2035 TARGET DATE-A	37.50	1.88	0.00	1.88	95.0	1.79
12/08/2017	GARDNER, THERESA	AM FUNDS 2035 TARGET DATE-A	37.50	1.88	0.00	1.88	95.0	1.79
12/08/2017	GARDNER, THERESA	AM FUNDS 2035 TARGET DATE-A	37.50	1.88	0.00	1.88	95.0	1.79
11/22/2017	CERIMELE, NICHOLAS	AM FUNDS AMERICAN BALANCED A	60.00	2.55	0.00	2.55	95.0	2.42
12/06/2017	CERIMELE, NICHOLAS	AM FUNDS AMERICAN BALANCED A	60.00	2.55	0.00	2.55	95.0	2.42
12/08/2017	GARDNER, THERESA	AM FUNDS AMERICAN BALANCED A	22.50	1.13	0.00	1.13	95.0	1.07
12/08/2017	GARDNER, THERESA	AM FUNDS AMERICAN BALANCED A	22.50	1.13	0.00	1.13	95.0	1.07

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

\*\* - Indicates adjustment is not included in Totals or Commissions

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

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<b><u>DIRECT TRANSACTIONS</u></b>								
<b><u>PRODUCT CATEGORY: MUTUAL FUNDS</u></b>								
12/08/2017	GARDNER, THERESA	AM FUNDS AMERICAN BALANCED A	22.50	1.13	0.00	1.13	95.0	1.07
12/08/2017	GARDNER, THERESA	AM FUNDS AMERICAN BALANCED A	22.50	1.13	0.00	1.13	95.0	1.07
12/08/2017	GARDNER, THERESA	AM FUNDS AMERICAN MUTUAL A	22.50	1.13	0.00	1.13	95.0	1.07
12/08/2017	GARDNER, THERESA	AM FUNDS AMERICAN MUTUAL A	22.50	1.13	0.00	1.13	95.0	1.07
12/08/2017	GARDNER, THERESA	AM FUNDS AMERICAN MUTUAL A	22.50	1.13	0.00	1.13	95.0	1.07
12/08/2017	GARDNER, THERESA	AM FUNDS AMERICAN MUTUAL A	22.50	1.13	0.00	1.13	95.0	1.07
11/22/2017	CHALKEY, MICHAEL	AM FUNDS CAPITAL INCOME BUILDER A	13.83	0.52	0.00	0.52	95.0	0.49
11/22/2017	CHALKEY, MICHAEL	AM FUNDS CAPITAL INCOME BUILDER A	16.59	0.62	0.00	0.62	95.0	0.59
11/22/2017	BUTT, DENNIS	AM FUNDS CAPITAL INCOME BUILDER A	28.00	1.40	0.00	1.40	95.0	1.33
11/22/2017	BUTT, DENNIS	AM FUNDS CAPITAL INCOME BUILDER A	28.00	1.40	0.00	1.40	95.0	1.33
11/20/2017	GINGELL, PAUL	AM FUNDS CAPITAL WORLD GRTH & INC A	200.00	4.00	0.00	4.00	95.0	3.80
11/20/2017	ALVEY, SHERRIE	AM FUNDS CAPITAL WORLD GRTH & INC A	62.50	1.25	0.00	1.25	95.0	1.19
11/20/2017	NAGEOTTE, NIKOLAUS	AM FUNDS CAPITAL WORLD GRTH & INC A	100.00	5.00	0.00	5.00	95.0	4.75
12/04/2017	ALVEY, SHERRIE	AM FUNDS CAPITAL WORLD GRTH & INC A	62.50	1.25	0.00	1.25	95.0	1.19
11/20/2017	GINGELL, PAUL	AM FUNDS EUROPACIFIC GROWTH FUND A	200.00	4.00	0.00	4.00	95.0	3.80
11/20/2017	ALVEY, SHERRIE	AM FUNDS GROWTH FUND OF AMERICA A	62.50	1.25	0.00	1.25	95.0	1.19
12/04/2017	ALVEY, SHERRIE	AM FUNDS GROWTH FUND OF AMERICA A	62.50	1.25	0.00	1.25	95.0	1.19
12/04/2017	KEMP, JEREMY	AM FUNDS GROWTH FUND OF AMERICA A	50.00	2.13	0.00	2.13	95.0	2.02
12/08/2017	STRUNCK, TED	AM FUNDS GROWTH FUND OF AMERICA A	33.00	0.66	0.00	0.66	95.0	0.63
12/08/2017	STRUNCK, TED	AM FUNDS GROWTH FUND OF AMERICA A	33.00	0.66	0.00	0.66	95.0	0.63
12/08/2017	STRUNCK, TED	AM FUNDS GROWTH FUND OF AMERICA A	33.00	0.66	0.00	0.66	95.0	0.63
12/08/2017	STRUNCK, TED	AM FUNDS GROWTH FUND OF AMERICA A	33.00	0.66	0.00	0.66	95.0	0.63
11/20/2017	SOBIESKI, JOYCE	AM FUNDS GROWTH FUND OF AMERICA C	37.50	0.38	0.00	0.38	95.0	0.36
12/04/2017	SOBIESKI, JOYCE	AM FUNDS GROWTH FUND OF AMERICA C	37.50	0.38	0.00	0.38	95.0	0.36
12/08/2017	GOUGEON, MEGAN	AM FUNDS GROWTH FUND OF AMERICA C	35.00	0.35	0.00	0.35	95.0	0.33
12/08/2017	GOUGEON, MEGAN	AM FUNDS GROWTH FUND OF AMERICA C	35.00	0.35	0.00	0.35	95.0	0.33
12/08/2017	GOUGEON, MEGAN	AM FUNDS GROWTH FUND OF AMERICA C	35.00	0.35	0.00	0.35	95.0	0.33
12/08/2017	GOUGEON, MEGAN	AM FUNDS GROWTH FUND OF AMERICA C	35.00	0.35	0.00	0.35	95.0	0.33
11/20/2017	GINGELL, PAUL	AM FUNDS ICA A	600.00	12.00	0.00	12.00	95.0	11.40
11/20/2017	ALVEY, SHERRIE	AM FUNDS ICA A	62.50	1.25	0.00	1.25	95.0	1.19
12/04/2017	ALVEY, SHERRIE	AM FUNDS ICA A	62.50	1.25	0.00	1.25	95.0	1.19
12/04/2017	MCLAUGHLIN, TRACY	AM FUNDS ICA A	150.00	7.50	0.00	7.50	95.0	7.13
12/08/2017	GARDNER, THERESA	AM FUNDS MORTGAGE A	15.00	0.45	0.00	0.45	95.0	0.43

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<b><u>DIRECT TRANSACTIONS</u></b>								
<b><u>PRODUCT CATEGORY: MUTUAL FUNDS</u></b>								
12/08/2017	GARDNER, THERESA	AM FUNDS MORTGAGE A	15.00	0.45	0.00	0.45	95.0	0.43
12/08/2017	GARDNER, THERESA	AM FUNDS MORTGAGE A	15.00	0.45	0.00	0.45	95.0	0.43
12/08/2017	GARDNER, THERESA	AM FUNDS MORTGAGE A	15.00	0.45	0.00	0.45	95.0	0.43
11/20/2017	GINGELL, PAUL	AM FUNDS NEW PERSPECTIVE A	200.00	4.00	0.00	4.00	95.0	3.80
12/08/2017	STRUNCK, TED	AM FUNDS NEW PERSPECTIVE A	33.00	0.66	0.00	0.66	95.0	0.63
12/08/2017	STRUNCK, TED	AM FUNDS NEW PERSPECTIVE A	33.00	0.66	0.00	0.66	95.0	0.63
12/08/2017	STRUNCK, TED	AM FUNDS NEW PERSPECTIVE A	33.00	0.66	0.00	0.66	95.0	0.63
12/08/2017	STRUNCK, TED	AM FUNDS NEW PERSPECTIVE A	33.00	0.66	0.00	0.66	95.0	0.63
11/22/2017	CHALKEY, MICHAEL	AM FUNDS NEW WORLD A	41.50	1.56	0.00	1.56	95.0	1.48
11/22/2017	CHALKEY, MICHAEL	AM FUNDS NEW WORLD A	16.60	0.62	0.00	0.62	95.0	0.59
11/22/2017	BUTT, DENNIS	AM FUNDS NEW WORLD A	84.00	4.20	0.00	4.20	95.0	3.99
11/22/2017	BUTT, DENNIS	AM FUNDS NEW WORLD A	84.00	4.20	0.00	4.20	95.0	3.99
11/20/2017	ALVEY, SHERRIE	AM FUNDS SMALLCAP WORLD A	62.50	1.25	0.00	1.25	95.0	1.19
12/04/2017	ALVEY, SHERRIE	AM FUNDS SMALLCAP WORLD A	62.50	1.25	0.00	1.25	95.0	1.19
12/08/2017	GARDNER, THERESA	AM FUNDS SMALLCAP WORLD A	15.00	0.75	0.00	0.75	95.0	0.71
12/08/2017	GARDNER, THERESA	AM FUNDS SMALLCAP WORLD A	15.00	0.75	0.00	0.75	95.0	0.71
12/08/2017	GARDNER, THERESA	AM FUNDS SMALLCAP WORLD A	15.00	0.75	0.00	0.75	95.0	0.71
12/08/2017	GARDNER, THERESA	AM FUNDS SMALLCAP WORLD A	15.00	0.75	0.00	0.75	95.0	0.71
11/20/2017	SOBIESKI, JOYCE	AM FUNDS WASHINGTON MUTUAL INVESTOR	37.50	0.38	0.00	0.38	95.0	0.36
12/04/2017	GEORGOULIS, ELEANNA	AM FUNDS WASHINGTON MUTUAL INVESTOR	400.00	20.00	0.00	20.00	95.0	19.00
12/04/2017	GEORGOULIS, ANDREANNA	AM FUNDS WASHINGTON MUTUAL INVESTOR	400.00	20.00	0.00	20.00	95.0	19.00
12/04/2017	SOBIESKI, JOYCE	AM FUNDS WASHINGTON MUTUAL INVESTOR	37.50	0.38	0.00	0.38	95.0	0.36
12/08/2017	STRUNCK, TED	AM FUNDS WASHINGTON MUTUAL INVESTOR	34.00	0.68	0.00	0.68	95.0	0.65
12/08/2017	STRUNCK, TED	AM FUNDS WASHINGTON MUTUAL INVESTOR	34.00	0.68	0.00	0.68	95.0	0.65
12/08/2017	STRUNCK, TED	AM FUNDS WASHINGTON MUTUAL INVESTOR	34.00	0.68	0.00	0.68	95.0	0.65
12/08/2017	STRUNCK, TED	AM FUNDS WASHINGTON MUTUAL INVESTOR	34.00	0.68	0.00	0.68	95.0	0.65
11/30/2017	MOELLER, RICHARD	BLK MOD 13-16 AGE BASED C	50.00	0.50	0.00	0.50	95.0	0.48
11/30/2017	MOELLER, RICHARD	BLK MOD 6-9 AGE BASED C	50.00	0.50	0.00	0.50	95.0	0.48
11/30/2017	CFGROUP, VARIOUS	BLK MOD 6-9 AGE BASED C	50.00	0.50	0.00	0.50	95.0	0.48
11/30/2017	CFGROUP, VARIOUS	DREYFUS	0.00	14.11	0.00	14.11	95.0	13.40
11/30/2017	JOHNSON, VARIOUS	DREYFUS	0.00	6.16	0.00	6.16	95.0	5.85
11/30/2017	FLAM, VARIOUS	DREYFUS	0.00	72.49	0.00	72.49	95.0	68.87
11/22/2017	TYSZKIEWICZ, KURT	FRANKLIN GROWTH C	100.00	1.00	0.00	1.00	95.0	0.95

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<b><u>DIRECT TRANSACTIONS</u></b>								
<b><u>PRODUCT CATEGORY: MUTUAL FUNDS</u></b>								
11/21/2017	KRAYDICH, KELLIE	OPPENHEIMER CAPITAL APPRECIATION A	50.00	2.38	0.00	2.38	95.0	2.26
11/21/2017	KRAYDICH, KELLIE	OPPENHEIMER CAPITAL APPRECIATION A	27.02	1.28	0.00	1.28	95.0	1.22
11/21/2017	RENTROP, GARRETT	OPPENHEIMER CAPITAL APPRECIATION C	32.30	0.32	0.00	0.32	95.0	0.30
11/21/2017	RENTROP, GARRETT	OPPENHEIMER CAPITAL APPRECIATION C	32.30	0.32	0.00	0.32	95.0	0.30
11/27/2017	ELIAS, JANICE	OPPENHEIMER CAPITAL APPRECIATION C	31.78	0.32	0.00	0.32	95.0	0.30
11/27/2017	ELIAS, JANICE	OPPENHEIMER CAPITAL APPRECIATION C	19.07	0.19	0.00	0.19	95.0	0.18
11/27/2017	DITRI, ANN	OPPENHEIMER CAPITAL APPRECIATION C	204.00	2.04	0.00	2.04	95.0	1.94
11/27/2017	DITRI, ANN	OPPENHEIMER CAPITAL APPRECIATION C	36.72	0.37	0.00	0.37	95.0	0.35
11/27/2017	BAKER, STEVEN	OPPENHEIMER CAPITAL APPRECIATION C	65.69	0.66	0.00	0.66	95.0	0.63
11/27/2017	BAKER, STEVEN	OPPENHEIMER CAPITAL APPRECIATION C	39.42	0.39	0.00	0.39	95.0	0.37
11/21/2017	KRAYDICH, KELLIE	OPPENHEIMER CAPITAL INCOME A	50.00	2.38	0.00	2.38	95.0	2.26
11/21/2017	KRAYDICH, KELLIE	OPPENHEIMER CAPITAL INCOME A	27.02	1.28	0.00	1.28	95.0	1.22
11/27/2017	DAMORE, MONICA	OPPENHEIMER DISCOVERY C	253.53	2.54	0.00	2.54	95.0	2.41
11/27/2017	DAMORE, MONICA	OPPENHEIMER DISCOVERY C	44.74	0.45	0.00	0.45	95.0	0.43
11/27/2017	ELIAS, JANICE	OPPENHEIMER GLOBAL C	30.85	0.31	0.00	0.31	95.0	0.29
11/27/2017	ELIAS, JANICE	OPPENHEIMER GLOBAL C	18.51	0.19	0.00	0.19	95.0	0.18
11/27/2017	DITRI, ANN	OPPENHEIMER GLOBAL C	198.00	1.98	0.00	1.98	95.0	1.88
11/27/2017	DITRI, ANN	OPPENHEIMER GLOBAL C	35.64	0.36	0.00	0.36	95.0	0.34
11/21/2017	RENTROP, GARRETT	OPPENHEIMER GLOBAL OPPORTUNITIES C	32.30	0.32	0.00	0.32	95.0	0.30
11/21/2017	RENTROP, GARRETT	OPPENHEIMER GLOBAL OPPORTUNITIES C	32.30	0.32	0.00	0.32	95.0	0.30
11/27/2017	DAMORE, MONICA	OPPENHEIMER GLOBAL OPPORTUNITIES C	253.53	2.54	0.00	2.54	95.0	2.41
11/27/2017	DAMORE, MONICA	OPPENHEIMER GLOBAL OPPORTUNITIES C	44.74	0.45	0.00	0.45	95.0	0.43
11/27/2017	MCCOLLEY, SHEA	OPPENHEIMER GLOBAL OPPORTUNITIES C	30.00	0.30	0.00	0.30	95.0	0.29
11/27/2017	MCCOLLEY, SHEA	OPPENHEIMER GLOBAL OPPORTUNITIES C	27.18	0.27	0.00	0.27	95.0	0.26
11/21/2017	RENTROP, GARRETT	OPPENHEIMER GLOBAL STRATEGIC INC C	32.30	0.32	0.00	0.32	95.0	0.30
11/21/2017	RENTROP, GARRETT	OPPENHEIMER GLOBAL STRATEGIC INC C	32.30	0.32	0.00	0.32	95.0	0.30
11/27/2017	BAKER, STEVEN	OPPENHEIMER INTL BOND C	65.68	0.66	0.00	0.66	95.0	0.63
11/27/2017	BAKER, STEVEN	OPPENHEIMER INTL BOND C	39.41	0.39	0.00	0.39	95.0	0.37
11/27/2017	BAKER, STEVEN	OPPENHEIMER INTL DIVERSIFIED C	65.69	0.66	0.00	0.66	95.0	0.63
11/27/2017	BAKER, STEVEN	OPPENHEIMER INTL DIVERSIFIED C	39.42	0.39	0.00	0.39	95.0	0.37
11/21/2017	KRAYDICH, KELLIE	OPPENHEIMER INTL SMALL CO A	50.00	2.38	0.00	2.38	95.0	2.26
11/21/2017	KRAYDICH, KELLIE	OPPENHEIMER INTL SMALL CO A	27.00	1.28	0.00	1.28	95.0	1.22
11/27/2017	DAMORE, MONICA	OPPENHEIMER INTL SMALL CO C	261.20	2.61	0.00	2.61	95.0	2.48

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<b><u>DIRECT TRANSACTIONS</u></b>								
<b><u>PRODUCT CATEGORY: MUTUAL FUNDS</u></b>								
11/27/2017	DAMORE, MONICA	OPPENHEIMER INTL SMALL CO C	46.10	0.46	0.00	0.46	95.0	0.44
11/27/2017	ELIAS, JANICE	OPPENHEIMER MAIN ST SELECT C	30.85	0.31	0.00	0.31	95.0	0.29
11/27/2017	ELIAS, JANICE	OPPENHEIMER MAIN ST SELECT C	18.51	0.19	0.00	0.19	95.0	0.18
11/21/2017	RENTROP, GARRETT	OPPENHEIMER MAIN ST SMALL & MID CAP	32.32	0.32	0.00	0.32	95.0	0.30
11/21/2017	RENTROP, GARRETT	OPPENHEIMER MAIN ST SMALL & MID CAP	32.32	0.32	0.00	0.32	95.0	0.30
11/27/2017	MCCOLLEY, SHEA	OPPENHEIMER MAIN STREET C	30.00	0.30	0.00	0.30	95.0	0.29
11/27/2017	MCCOLLEY, SHEA	OPPENHEIMER MAIN STREET C	27.18	0.27	0.00	0.27	95.0	0.26
11/27/2017	MCCOLLEY, SHEA	OPPENHEIMER QUEST OPP VALUE C	60.00	0.60	0.00	0.60	95.0	0.57
11/27/2017	MCCOLLEY, SHEA	OPPENHEIMER QUEST OPP VALUE C	54.35	0.54	0.00	0.54	95.0	0.51
11/27/2017	BAKER, STEVEN	OPPENHEIMER QUEST OPP VALUE C	65.69	0.66	0.00	0.66	95.0	0.63
11/27/2017	BAKER, STEVEN	OPPENHEIMER QUEST OPP VALUE C	39.42	0.39	0.00	0.39	95.0	0.37
11/27/2017	WOUDSTRA, KAREN	OPPENHEIMER SMALL & MIDCAP GROWTH C	100.00	1.00	0.00	1.00	95.0	0.95
11/27/2017	WOUDSTRA, KAREN	OPPENHEIMER SMALL & MIDCAP GROWTH C	68.02	0.68	0.00	0.68	95.0	0.65
11/27/2017	DITRI, ANN	OPPENHEIMER VALUE C	198.00	1.98	0.00	1.98	95.0	1.88
11/27/2017	DITRI, ANN	OPPENHEIMER VALUE C	35.64	0.36	0.00	0.36	95.0	0.34
11/21/2017	RENTROP, GARRETT	OPPENHEIMIER QUEST BALANCED C	32.30	0.32	0.00	0.32	95.0	0.30
11/21/2017	RENTROP, GARRETT	OPPENHEIMIER QUEST BALANCED C	32.30	0.32	0.00	0.32	95.0	0.30
12/01/2017	WONCH, LIZ	PUTNAM INVESTORS A	50.00	2.50	0.00	2.50	95.0	2.38
<b>* MUTUAL FUNDS SUBTOTAL *</b>			<b>\$8,005.16</b>	<b>\$287.80</b>	<b>\$0.00</b>	<b>\$287.80</b>		<b>\$273.45</b>

**PRODUCT CATEGORY: VARIABLE ANNUITIES**

11/30/2017	BERTRAND, C JERRY	JNL ELITE ACCESS	58,284.36	31.57	0.00	31.57	95.0	29.99
11/30/2017	MELTZER, CLARENCE	JNL PERSPECTIVE ADVANTAGE	25,070.46	20.89	0.00	20.89	95.0	19.85
11/30/2017	COVYEAU, FREDERICK J & B	JNL PERSPECTIVE II	103,056.83	42.94	0.00	42.94	95.0	40.79
11/30/2017	JEANNETTE, JUSTIN	JNL PERSPECTIVE II 05/05	512.00	0.43	0.00	0.43	95.0	0.41
11/30/2017	KOSCIELSKI, RONALD	JNL PERSPECTIVE II 05/05	29,250.25	12.19	0.00	12.19	95.0	11.58
11/30/2017	CROSS, LINDA	JNL PERSPECTIVE II 05/05	6,361.01	2.65	0.00	2.65	95.0	2.52
11/30/2017	MAGGARD, LORETTA	JNL PERSPECTIVE II 05/05	46,890.25	19.54	0.00	19.54	95.0	18.56
11/30/2017	RANG, MARILYN	JNL PERSPECTIVE II 05/05	74,881.41	31.20	0.00	31.20	95.0	29.64
11/30/2017	MCDONALD, GLENN	JNL PERSPECTIVE II 05/05	178,956.78	74.57	0.00	74.57	95.0	70.84
11/30/2017	KEELER, SUSAN	JNL PERSPECTIVE II 05/05	131,047.23	54.60	0.00	54.60	95.0	51.87
11/30/2017	PIROZZO, PETER	JNL PERSPECTIVE L	55,634.96	60.27	0.00	60.27	95.0	57.26
11/30/2017	LEGGE, GERALD	JNL PERSPECTIVE L	310,323.78	336.18	0.00	336.18	95.0	319.37
11/30/2017	DIEM, LINDA	JOHN HANCOCK VENTURE	677.03	0.14	0.00	0.14	95.0	0.13

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<b><u>DIRECT TRANSACTIONS</u></b>								
<b><u>PRODUCT CATEGORY: VARIABLE ANNUITIES</u></b>								
11/30/2017	SCERBAK, EILEEN	JOHN HANCOCK VENTURE	50,404.13	10.50	0.00	10.50	95.0	9.98
11/30/2017	TYMCZY, MARY JANE	JOHN HANCOCK VENTURE	7,738.47	1.61	0.00	1.61	95.0	1.53
11/30/2017	DANIEL, SABRINA	JOHN HANCOCK VENTURE	302.24	0.06	0.00	0.06	95.0	0.06
11/04/2017	SCHROETER, RICHARD	TRANSAMERICA EXTRA	38,402.24	32.00	0.00	32.00	95.0	30.40
11/14/2017	GRUSH, ERNEST	TRANSAMERICA LANDMARK	151,932.77	126.61	0.00	126.61	95.0	120.28
11/30/2017	MADSEN, JOYCE	TRANSAMERICA LANDMARK	4,870.87	4.06	0.00	4.06	95.0	3.86
<b>* VARIABLE ANNUITIES SUBTOTAL *</b>			<b>\$1,274,597.07</b>	<b>\$862.01</b>	<b>\$0.00</b>	<b>\$862.01</b>		<b>\$818.92</b>
<b><u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u></b>								
12/01/2017	HOLLAND, JENNIFER	AM FUNDS 2015 TARGET DATE A	0.00	4.37	0.00	4.37	95.0	4.15
12/01/2017	GARDNER, THERESA	AM FUNDS 2015 TARGET DATE A	0.00	2.52	0.00	2.52	95.0	2.39
12/01/2017	GARDNER, THERESA	AM FUNDS 2035 TARGET DATE-A	0.00	2.73	0.00	2.73	95.0	2.59
12/01/2017	BROSHEAR, KARA	AM FUNDS 2040 TARGET DATE-A	0.00	0.91	0.00	0.91	95.0	0.86
12/01/2017	HIGGINS, JAMES	AM FUNDS AMCAP 529A	0.00	15.42	0.00	15.42	95.0	14.65
12/01/2017	BOWEN, ED	AM FUNDS AMCAP 529A	0.00	0.97	0.00	0.97	95.0	0.92
12/01/2017	EVANGELISTA, JACQUELINE	AM FUNDS AMCAP A	0.00	12.36	0.00	12.36	95.0	11.74
12/01/2017	KELLEY, GAYLE	AM FUNDS AMCAP A	0.00	17.32	0.00	17.32	95.0	16.45
12/01/2017	HOFFMAN, BARBARA	AM FUNDS AMCAP A	0.00	15.25	0.00	15.25	95.0	14.49
12/01/2017	PHILLIPS, RANDALL	AM FUNDS AMCAP A	0.00	14.97	0.00	14.97	95.0	14.22
12/01/2017	SILVERSTEIN, MICHAEL	AM FUNDS AMCAP A	0.00	8.97	0.00	8.97	95.0	8.52
12/01/2017	PARDEE, LORRAINE	AM FUNDS AMCAP A	0.00	2.12	0.00	2.12	95.0	2.01
12/01/2017	JONES, GERALD	AM FUNDS AMCAP A	0.00	1.39	0.00	1.39	95.0	1.32
12/01/2017	ALVEY, CODY	AM FUNDS AMCAP A	0.00	0.25	0.00	0.25	95.0	0.24
12/01/2017	SIMMONDS, JOSHUA	AM FUNDS AMCAP A	0.00	3.61	0.00	3.61	95.0	3.43
12/01/2017	STILLWELL, ERIK	AM FUNDS AMCAP A	0.00	1.44	0.00	1.44	95.0	1.37
12/01/2017	BLAYLOCK, JENNIFER	AM FUNDS AMCAP A	0.00	0.62	0.00	0.62	95.0	0.59
12/01/2017	GINGELL, JANET	AM FUNDS AMCAP A	0.00	42.95	0.00	42.95	95.0	40.80
12/01/2017	ARMSTRONG, ROBERT	AM FUNDS AMERICAN BALANCED 529A	0.00	1.21	0.00	1.21	95.0	1.15
12/01/2017	BOWEN, ED	AM FUNDS AMERICAN BALANCED 529A	0.00	0.26	0.00	0.26	95.0	0.25
12/01/2017	SMITH, H DENNIS	AM FUNDS AMERICAN BALANCED A	0.00	4.38	0.00	4.38	95.0	4.16
12/01/2017	FINK, JENNIFER	AM FUNDS AMERICAN BALANCED A	0.00	16.36	0.00	16.36	95.0	15.54
12/01/2017	BRINDLE, ALAN	AM FUNDS AMERICAN BALANCED A	0.00	51.07	0.00	51.07	95.0	48.52
12/01/2017	BALAEV, ALEXANDER	AM FUNDS AMERICAN BALANCED A	0.00	1.26	0.00	1.26	95.0	1.20
12/01/2017	HELD, JEFFREY	AM FUNDS AMERICAN BALANCED A	0.00	8.83	0.00	8.83	95.0	8.39

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<b><u>DIRECT TRANSACTIONS</u></b>								
<b><u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u></b>								
12/01/2017	SHALDA, ROSE	AM FUNDS AMERICAN BALANCED A	0.00	8.37	0.00	8.37	95.0	7.95
12/01/2017	BUSTER, RICKY	AM FUNDS AMERICAN BALANCED A	0.00	10.73	0.00	10.73	95.0	10.19
12/01/2017	BRINDLE, ALAN	AM FUNDS AMERICAN BALANCED A	0.00	13.87	0.00	13.87	95.0	13.18
12/01/2017	NICOLOSI, ROSE	AM FUNDS AMERICAN BALANCED A	0.00	21.98	0.00	21.98	95.0	20.88
12/01/2017	GRIFFIN, SHEILA	AM FUNDS AMERICAN BALANCED A	0.00	8.44	0.00	8.44	95.0	8.02
12/01/2017	MOELLER, STEVE	AM FUNDS AMERICAN BALANCED A	0.00	0.26	0.00	0.26	95.0	0.25
12/01/2017	RAYMER, SUZANNE	AM FUNDS AMERICAN BALANCED A	0.00	10.66	0.00	10.66	95.0	10.13
12/01/2017	GREGORY, CAROL	AM FUNDS AMERICAN BALANCED A	0.00	7.37	0.00	7.37	95.0	7.00
12/01/2017	BABIN, WILLIAM	AM FUNDS AMERICAN BALANCED A	0.00	7.25	0.00	7.25	95.0	6.89
12/01/2017	TREINEN, MATT	AM FUNDS AMERICAN BALANCED A	0.00	1.95	0.00	1.95	95.0	1.85
12/01/2017	VELAYUDHAN, NALINI	AM FUNDS AMERICAN BALANCED A	0.00	2.45	0.00	2.45	95.0	2.33
12/01/2017	OMELIANOFF, MICHAEL	AM FUNDS AMERICAN BALANCED A	0.00	2.22	0.00	2.22	95.0	2.11
12/01/2017	GARDNER, THERESA	AM FUNDS AMERICAN BALANCED A	0.00	1.62	0.00	1.62	95.0	1.54
12/01/2017	CERIMELE, NICHOLAS	AM FUNDS AMERICAN BALANCED A	0.00	14.54	0.00	14.54	95.0	13.81
12/01/2017	CYRULEWSKI, JIM	AM FUNDS AMERICAN BALANCED C	0.00	13.87	0.00	13.87	95.0	13.18
12/01/2017	BLANKENSHIP, JANET	AM FUNDS AMERICAN BALANCED C	0.00	22.84	0.00	22.84	95.0	21.70
12/01/2017	KEELER, DAVID	AM FUNDS AMERICAN BALANCED C	0.00	143.15	0.00	143.15	95.0	135.99
12/01/2017	KOSANKE, MARK	AM FUNDS AMERICAN BALANCED C	0.00	29.28	0.00	29.28	95.0	27.82
12/01/2017	KISH, VIVIAN	AM FUNDS AMERICAN HIGH-INC MUNI BON	0.00	98.38	0.00	98.38	95.0	93.46
12/01/2017	NICOLOSI, ROSE	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	6.10	0.00	6.10	95.0	5.80
12/01/2017	GRIFFIN, SHEILA	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	14.18	0.00	14.18	95.0	13.47
12/01/2017	GREGORY, CAROL	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	1.57	0.00	1.57	95.0	1.49
12/01/2017	FINK, MARGARET	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	27.90	0.00	27.90	95.0	26.51
12/01/2017	ILICH, NORMA	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	7.43	0.00	7.43	95.0	7.06
12/01/2017	KRAUSE, BARBARA	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	79.33	0.00	79.33	95.0	75.36
12/01/2017	SKOWRONSKI, GABRIELLA	AM FUNDS AMERICAN MUTUAL 529A	0.00	3.34	0.00	3.34	95.0	3.17
12/01/2017	MATAR, ROBERTG	AM FUNDS AMERICAN MUTUAL 529A	0.00	7.76	0.00	7.76	95.0	7.37
12/01/2017	SKOWRONSKI, GABRIELLA	AM FUNDS AMERICAN MUTUAL 529A	0.00	1.01	0.00	1.01	95.0	0.96
12/01/2017	BERNARDI, MARGARET	AM FUNDS AMERICAN MUTUAL A	0.00	13.63	0.00	13.63	95.0	12.95
12/01/2017	GRAVES, ANNE	AM FUNDS AMERICAN MUTUAL A	0.00	67.20	0.00	67.20	95.0	63.84
12/01/2017	BALAEV, ALEXANDER	AM FUNDS AMERICAN MUTUAL A	0.00	0.74	0.00	0.74	95.0	0.70
12/01/2017	HAVLIK, BRIAN	AM FUNDS AMERICAN MUTUAL A	0.00	0.01	0.00	0.01	95.0	0.01
12/01/2017	FELTY, MICHAEL	AM FUNDS AMERICAN MUTUAL A	0.00	0.01	0.00	0.01	95.0	0.01

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<b><u>DIRECT TRANSACTIONS</u></b>								
<b><u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u></b>								
12/01/2017	WOJTKOWSKI, ROBERT	AM FUNDS AMERICAN MUTUAL A	0.00	4.81	0.00	4.81	95.0	4.57
12/01/2017	FULTON, JOHN	AM FUNDS AMERICAN MUTUAL A	0.00	10.73	0.00	10.73	95.0	10.19
12/01/2017	BABIN, WILLIAM	AM FUNDS AMERICAN MUTUAL A	0.00	8.18	0.00	8.18	95.0	7.77
12/01/2017	LISIECKI, MARGARET	AM FUNDS AMERICAN MUTUAL A	0.00	30.29	0.00	30.29	95.0	28.78
12/01/2017	MCKEE, DUANE	AM FUNDS AMERICAN MUTUAL A	0.00	5.49	0.00	5.49	95.0	5.22
12/01/2017	ROGERS, THOMAS	AM FUNDS AMERICAN MUTUAL A	0.00	10.17	0.00	10.17	95.0	9.66
12/01/2017	GARDNER, THERESA	AM FUNDS AMERICAN MUTUAL A	0.00	1.64	0.00	1.64	95.0	1.56
12/01/2017	SCHECK, VICTORIA	AM FUNDS AMERICAN MUTUAL A	0.00	9.42	0.00	9.42	95.0	8.95
12/01/2017	BUSARSKY, KATHLEEN	AM FUNDS AMERICAN MUTUAL A	0.00	367.25	0.00	367.25	95.0	348.89
12/01/2017	KEBA, STEPHEN	AM FUNDS AMERICAN MUTUAL A	0.00	17.01	0.00	17.01	95.0	16.16
12/01/2017	MCKEE, DUANE	AM FUNDS AMERICAN MUTUAL C	0.00	0.33	0.00	0.33	95.0	0.31
12/01/2017	GURKE/BENE, NIKOLE	AM FUNDS AMERICAN MUTUAL C	0.00	19.83	0.00	19.83	95.0	18.84
12/01/2017	WILSON, KAYLEE	AM FUNDS BOND FUND OF AMERICA 529A	0.00	0.80	0.00	0.80	95.0	0.76
12/01/2017	WILSON, KAYLEE	AM FUNDS BOND FUND OF AMERICA 529A	0.00	0.81	0.00	0.81	95.0	0.77
12/01/2017	ARMSTRONG, ROBERT	AM FUNDS BOND FUND OF AMERICA 529A	0.00	0.59	0.00	0.59	95.0	0.56
12/01/2017	BOWEN, ED	AM FUNDS BOND FUND OF AMERICA 529A	0.00	0.88	0.00	0.88	95.0	0.84
12/01/2017	HIGGINS, JAMES	AM FUNDS BOND FUND OF AMERICA 529A	0.00	5.28	0.00	5.28	95.0	5.02
12/01/2017	GRAHAM, STANLEY	AM FUNDS BOND FUND OF AMERICA A	0.00	0.02	0.00	0.02	95.0	0.02
12/01/2017	BERNARDI, MARGARET	AM FUNDS BOND FUND OF AMERICA A	0.00	2.26	0.00	2.26	95.0	2.15
12/01/2017	FINK, MARGARET	AM FUNDS BOND FUND OF AMERICA A	0.00	47.12	0.00	47.12	95.0	44.76
12/01/2017	MANNING, ELSIE	AM FUNDS BOND FUND OF AMERICA A	0.00	14.31	0.00	14.31	95.0	13.59
12/01/2017	BUSTER, RICKY	AM FUNDS BOND FUND OF AMERICA A	0.00	9.35	0.00	9.35	95.0	8.88
12/01/2017	JAMES, RODNEY	AM FUNDS BOND FUND OF AMERICA A	0.00	0.12	0.00	0.12	95.0	0.11
12/01/2017	RILEY, ROBERT	AM FUNDS BOND FUND OF AMERICA A	0.00	1.06	0.00	1.06	95.0	1.01
12/01/2017	SALES, THOMAS	AM FUNDS BOND FUND OF AMERICA A	0.00	4.16	0.00	4.16	95.0	3.95
12/01/2017	CYRULEWSKI, JIM	AM FUNDS BOND FUND OF AMERICA C	0.00	9.05	0.00	9.05	95.0	8.60
12/01/2017	FROMM, MARY	AM FUNDS CAPITAL INCOME BUILDER 529	0.00	1.73	0.00	1.73	95.0	1.64
12/01/2017	FROMM, MARY	AM FUNDS CAPITAL INCOME BUILDER 529	0.00	1.65	0.00	1.65	95.0	1.57
12/01/2017	LUMETTA, PAUL	AM FUNDS CAPITAL INCOME BUILDER 529	0.00	3.05	0.00	3.05	95.0	2.90
12/01/2017	VARTABEDIAN, LISA	AM FUNDS CAPITAL INCOME BUILDER 529	0.00	5.65	0.00	5.65	95.0	5.37
12/01/2017	VARTABEDIAN, LISA	AM FUNDS CAPITAL INCOME BUILDER 529	0.00	9.89	0.00	9.89	95.0	9.40
12/01/2017	BARNETT, RICHARD	AM FUNDS CAPITAL INCOME BUILDER 529	0.00	0.18	0.00	0.18	95.0	0.17
12/01/2017	LUMETTA, PAUL	AM FUNDS CAPITAL INCOME BUILDER 529	0.00	0.43	0.00	0.43	95.0	0.41

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<b><u>DIRECT TRANSACTIONS</u></b>								
<b><u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u></b>								
12/01/2017	FROMM, MARY	AM FUNDS CAPITAL INCOME BUILDER 529	0.00	0.84	0.00	0.84	95.0	0.80
12/01/2017	LONG, SARAH	AM FUNDS CAPITAL INCOME BUILDER 529	0.00	0.13	0.00	0.13	95.0	0.12
12/01/2017	VARTABEDIAN, LISA	AM FUNDS CAPITAL INCOME BUILDER 529	0.00	76.69	0.00	76.69	95.0	72.86
12/01/2017	VARTABEDIAN, LISA	AM FUNDS CAPITAL INCOME BUILDER 529	0.00	91.10	0.00	91.10	95.0	86.55
12/01/2017	FROMM, MARY	AM FUNDS CAPITAL INCOME BUILDER 529	0.00	1.31	0.00	1.31	95.0	1.24
12/01/2017	HOLLAND, JENNIFER	AM FUNDS CAPITAL INCOME BUILDER A	0.00	3.51	0.00	3.51	95.0	3.33
12/01/2017	BALAEV, ALEXANDER	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.85	0.00	0.85	95.0	0.81
12/01/2017	HELD, JEFFREY	AM FUNDS CAPITAL INCOME BUILDER A	0.00	8.52	0.00	8.52	95.0	8.09
12/01/2017	BUSTER, RICKY	AM FUNDS CAPITAL INCOME BUILDER A	0.00	5.30	0.00	5.30	95.0	5.04
12/01/2017	FROMM, JULIE	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.52	0.00	0.52	95.0	0.49
12/01/2017	NICOLOSI, ROSE	AM FUNDS CAPITAL INCOME BUILDER A	0.00	13.67	0.00	13.67	95.0	12.99
12/01/2017	GRECH, ANDREW	AM FUNDS CAPITAL INCOME BUILDER A	0.00	14.28	0.00	14.28	95.0	13.57
12/01/2017	IMUS, ARLEEN	AM FUNDS CAPITAL INCOME BUILDER A	0.00	2.99	0.00	2.99	95.0	2.84
12/01/2017	GREGORY, CAROL	AM FUNDS CAPITAL INCOME BUILDER A	0.00	5.74	0.00	5.74	95.0	5.45
12/01/2017	MUSAL, NANCY	AM FUNDS CAPITAL INCOME BUILDER A	0.00	2.77	0.00	2.77	95.0	2.63
12/01/2017	BABIN, WILLIAM	AM FUNDS CAPITAL INCOME BUILDER A	0.00	5.34	0.00	5.34	95.0	5.07
12/01/2017	TREINEN, MATT	AM FUNDS CAPITAL INCOME BUILDER A	0.00	1.87	0.00	1.87	95.0	1.78
12/01/2017	VELAYUDHAN, NALINI	AM FUNDS CAPITAL INCOME BUILDER A	0.00	1.44	0.00	1.44	95.0	1.37
12/01/2017	CHALKEY, MICHAEL	AM FUNDS CAPITAL INCOME BUILDER A	0.00	7.89	0.00	7.89	95.0	7.50
12/01/2017	BUTT, DENNIS	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.54	0.00	0.54	95.0	0.51
12/01/2017	MARTIN, ELENA MARIE	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.47	0.00	0.47	95.0	0.45
12/01/2017	MARTIN, ANDREW	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.47	0.00	0.47	95.0	0.45
12/01/2017	MARTIN, ISABELLA	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.47	0.00	0.47	95.0	0.45
12/01/2017	MEDAUGH, JOSEPH	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.47	0.00	0.47	95.0	0.45
12/01/2017	MEDAUGH, MATTHEW	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.47	0.00	0.47	95.0	0.45
12/01/2017	STEBBINS, JANE	AM FUNDS CAPITAL INCOME BUILDER A	0.00	2.87	0.00	2.87	95.0	2.73
12/01/2017	KRAUSE, LAURA	AM FUNDS CAPITAL INCOME BUILDER A	0.00	24.43	0.00	24.43	95.0	23.21
12/01/2017	KRAUSE, LAURA	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.28	0.00	0.28	95.0	0.27
12/01/2017	SALES, THOMAS	AM FUNDS CAPITAL INCOME BUILDER A	0.00	6.81	0.00	6.81	95.0	6.47
12/01/2017	JONES, NEVA	AM FUNDS CAPITAL INCOME BUILDER A	0.00	5.63	0.00	5.63	95.0	5.35
12/01/2017	SCHECK, VICTORIA	AM FUNDS CAPITAL INCOME BUILDER A	0.00	16.43	0.00	16.43	95.0	15.61
12/01/2017	KEBA, STEPHEN	AM FUNDS CAPITAL INCOME BUILDER A	0.00	15.19	0.00	15.19	95.0	14.43
12/01/2017	WEST TRUST, NORA	AM FUNDS CAPITAL INCOME BUILDER A	0.00	4.59	0.00	4.59	95.0	4.36

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<b><u>DIRECT TRANSACTIONS</u></b>								
<b><u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u></b>								
12/01/2017	WHITEFOOT, BEVERLY	AM FUNDS CAPITAL INCOME BUILDER C	0.00	20.93	0.00	20.93	95.0	19.88
12/01/2017	KNIGHT, SHARON	AM FUNDS CAPITAL INCOME BUILDER C	0.00	38.64	0.00	38.64	95.0	36.71
12/01/2017	JOHNSON, RODNEY	AM FUNDS CAPITAL INCOME BUILDER C	0.00	2.13	0.00	2.13	95.0	2.02
12/01/2017	JOHNSON, RODNEY	AM FUNDS CAPITAL INCOME BUILDER C	0.00	2.13	0.00	2.13	95.0	2.02
12/01/2017	MERREN, DANELL	AM FUNDS CAPITAL INCOME BUILDER C	0.00	40.57	0.00	40.57	95.0	38.54
12/01/2017	ROGERS, DONNA	AM FUNDS CAPITAL INCOME BUILDER C	0.00	40.42	0.00	40.42	95.0	38.40
12/01/2017	LONG, SARAH	AM FUNDS CAPITAL WORLD BOND 529A	0.00	0.01	0.00	0.01	95.0	0.01
12/01/2017	ADAMS, JACKSON	AM FUNDS CAPITAL WORLD BOND 529A	0.00	0.22	0.00	0.22	95.0	0.21
12/01/2017	BLANKENSHIP, JANET	AM FUNDS CAPITAL WORLD BOND C	0.00	13.71	0.00	13.71	95.0	13.02
12/01/2017	KEELER, DAVID	AM FUNDS CAPITAL WORLD BOND C	0.00	86.37	0.00	86.37	95.0	82.05
12/01/2017	HIGGINS, JAMES	AM FUNDS CAPITAL WORLD GRTH & INC 5	0.00	11.85	0.00	11.85	95.0	11.26
12/01/2017	STOLL, BENJAMIN	AM FUNDS CAPITAL WORLD GRTH & INC 5	0.00	5.08	0.00	5.08	95.0	4.83
12/01/2017	SCHLEICH, SIERRA	AM FUNDS CAPITAL WORLD GRTH & INC 5	0.00	0.29	0.00	0.29	95.0	0.28
12/01/2017	LUMETTA, PAUL	AM FUNDS CAPITAL WORLD GRTH & INC 5	0.00	3.64	0.00	3.64	95.0	3.46
12/01/2017	GALINETTI, JULIA	AM FUNDS CAPITAL WORLD GRTH & INC 5	0.00	0.01	0.00	0.01	95.0	0.01
12/01/2017	SILVERSTEIN, MICHAEL	AM FUNDS CAPITAL WORLD GRTH & INC 5	0.00	10.99	0.00	10.99	95.0	10.44
12/01/2017	SIMMONDS, JOSHUA	AM FUNDS CAPITAL WORLD GRTH & INC 5	0.00	1.66	0.00	1.66	95.0	1.58
12/01/2017	BOWEN, ED	AM FUNDS CAPITAL WORLD GRTH & INC 5	0.00	5.00	0.00	5.00	95.0	4.75
12/01/2017	SAWYER, ALONZO	AM FUNDS CAPITAL WORLD GRTH & INC 5	0.00	0.81	0.00	0.81	95.0	0.77
12/01/2017	HIGGINS, JAMES	AM FUNDS CAPITAL WORLD GRTH & INC 5	0.00	7.73	0.00	7.73	95.0	7.34
12/01/2017	NICOLOSI, ROSE	AM FUNDS CAPITAL WORLD GRTH & INC 5	0.00	21.93	0.00	21.93	95.0	20.83
12/01/2017	NICOLOSI, ROSE	AM FUNDS CAPITAL WORLD GRTH & INC 5	0.00	21.60	0.00	21.60	95.0	20.52
12/01/2017	VAN DAELE, DAVID	AM FUNDS CAPITAL WORLD GRTH & INC 5	0.00	5.12	0.00	5.12	95.0	4.86
12/01/2017	ALEX, ADELINE	AM FUNDS CAPITAL WORLD GRTH & INC 5	0.00	9.83	0.00	9.83	95.0	9.34
12/01/2017	SAWYER, ALONZO	AM FUNDS CAPITAL WORLD GRTH & INC 5	0.00	0.81	0.00	0.81	95.0	0.77
12/01/2017	SAWYER, ALONZO	AM FUNDS CAPITAL WORLD GRTH & INC 5	0.00	0.81	0.00	0.81	95.0	0.77
12/01/2017	NICOLOSI, ROSE	AM FUNDS CAPITAL WORLD GRTH & INC 5	0.00	21.60	0.00	21.60	95.0	20.52
12/01/2017	ADAMS, JACKSON	AM FUNDS CAPITAL WORLD GRTH & INC 5	0.00	2.33	0.00	2.33	95.0	2.21
12/01/2017	GREENE, LUCIA	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	60.80	0.00	60.80	95.0	57.76
12/01/2017	ODELL, JEFFREY	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	26.31	0.00	26.31	95.0	24.99
12/01/2017	SWEENEY, EILEEN	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	177.20	0.00	177.20	95.0	168.34
12/01/2017	SWEENEY, EILEEN	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	24.45	0.00	24.45	95.0	23.23
12/01/2017	GINGELL, PAUL	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	29.00	0.00	29.00	95.0	27.55

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<b><u>DIRECT TRANSACTIONS</u></b>								
<b><u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u></b>								
12/01/2017	GREENE, GREG	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	7.07	0.00	7.07	95.0	6.72
12/01/2017	GREENE, DAVID	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	107.19	0.00	107.19	95.0	101.83
12/01/2017	ALVEY, SHERRIE	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.92	0.00	0.92	95.0	0.87
12/01/2017	MILLER, CHARLENE	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.46	0.00	0.46	95.0	0.44
12/01/2017	WALKER TRUST, SUE	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	8.06	0.00	8.06	95.0	7.66
12/01/2017	VARTABEDIAN, ROBERT	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	34.24	0.00	34.24	95.0	32.53
12/01/2017	ZOGRAFOS TRUST, REGINA	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	27.84	0.00	27.84	95.0	26.45
12/01/2017	SCHRITZ, BRYAN	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	36.67	0.00	36.67	95.0	34.84
12/01/2017	BYERS, HERBERT	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	16.19	0.00	16.19	95.0	15.38
12/01/2017	STOLL, HEATHER	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	13.71	0.00	13.71	95.0	13.02
12/01/2017	SCHLEICH, DAVID	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	16.67	0.00	16.67	95.0	15.84
12/01/2017	GORSEK, JOHN	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	10.05	0.00	10.05	95.0	9.55
12/01/2017	MERKLE, PAUL	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	13.80	0.00	13.80	95.0	13.11
12/01/2017	CHARLES, JOEL	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	1.58	0.00	1.58	95.0	1.50
12/01/2017	FOX UBER, ROBERT	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	71.59	0.00	71.59	95.0	68.01
12/01/2017	BYERS, HERBERT	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	10.50	0.00	10.50	95.0	9.98
12/01/2017	GRECH, ANDREW	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	15.40	0.00	15.40	95.0	14.63
12/01/2017	IMUS, ARLEEN	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	84.71	0.00	84.71	95.0	80.47
12/01/2017	JONES, MEREK	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	1.61	0.00	1.61	95.0	1.53
12/01/2017	MANSOUR, EVA	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	14.14	0.00	14.14	95.0	13.43
12/01/2017	NANAS, DAVID	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	4.67	0.00	4.67	95.0	4.44
12/01/2017	STILLWELL, LYNNE	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.70	0.00	0.70	95.0	0.67
12/01/2017	ZOGRAFOS, REGINA	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	4.60	0.00	4.60	95.0	4.37
12/01/2017	DELISLE, JAMES	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.73	0.00	0.73	95.0	0.69
12/01/2017	WALKER TRUST, SUE	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	7.20	0.00	7.20	95.0	6.84
12/01/2017	WALKER TRUST, SUE	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	7.20	0.00	7.20	95.0	6.84
12/01/2017	WALKER TRUST, SUE	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	7.20	0.00	7.20	95.0	6.84
12/01/2017	BOZA, VICTOR	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	1.40	0.00	1.40	95.0	1.33
12/01/2017	DILL, JAKOB	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.19	0.00	0.19	95.0	0.18
12/01/2017	PARDEE, CRAIG	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	22.99	0.00	22.99	95.0	21.84
12/01/2017	SIMMONDS, JOSHUA	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	2.53	0.00	2.53	95.0	2.40
12/01/2017	SIMMONDS, JOSHUA	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	2.86	0.00	2.86	95.0	2.72
12/01/2017	STILLWELL, ERIK	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	1.47	0.00	1.47	95.0	1.40

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<b><u>DIRECT TRANSACTIONS</u></b>								
<b><u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u></b>								
12/01/2017	TSANGANOS, OURANIA	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	6.87	0.00	6.87	95.0	6.53
12/01/2017	TSANGANOS, NICHOLAOS	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	8.45	0.00	8.45	95.0	8.03
12/01/2017	TSANGANOS, CHRISTOPHER	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	5.62	0.00	5.62	95.0	5.34
12/01/2017	GAULKE, DONNA	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.92	0.00	0.92	95.0	0.87
12/01/2017	KARGULA, CURT	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	3.47	0.00	3.47	95.0	3.30
12/01/2017	GALL, REBECCA	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	4.07	0.00	4.07	95.0	3.87
12/01/2017	DEFRANCESCO, STEVEN	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	1.35	0.00	1.35	95.0	1.28
12/01/2017	BLAYLOCK, JENNIFER	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.29	0.00	0.29	95.0	0.28
12/01/2017	BUTTY, NANCY	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	23.34	0.00	23.34	95.0	22.17
12/01/2017	TSANGANOS, OURANIA	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	4.22	0.00	4.22	95.0	4.01
12/01/2017	TSANGANOS, NICHOLAOS	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	4.22	0.00	4.22	95.0	4.01
12/01/2017	GREGORY, CAROL	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	6.32	0.00	6.32	95.0	6.00
12/01/2017	TSANGANOS, LABRENE	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	11.85	0.00	11.85	95.0	11.26
12/01/2017	TSANGANOS, LABRENE	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	7.33	0.00	7.33	95.0	6.96
12/01/2017	CHASSE, JENNIFER	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	5.64	0.00	5.64	95.0	5.36
12/01/2017	BROWNING, RYAN	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.25	0.00	0.25	95.0	0.24
12/01/2017	MUSAL, NANCY	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	3.04	0.00	3.04	95.0	2.89
12/01/2017	BABIN, WILLIAM	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	6.58	0.00	6.58	95.0	6.25
12/01/2017	CARSON, JESSICA	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.26	0.00	0.26	95.0	0.25
12/01/2017	TSOUKALAS, IOANNIS	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.49	0.00	0.49	95.0	0.47
12/01/2017	HIGEL, STEVEN	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.17	0.00	0.17	95.0	0.16
12/01/2017	SHEPHERD, JOE	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.02	0.00	0.02	95.0	0.02
12/01/2017	GIBSON, KATHLEEN	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	1.73	0.00	1.73	95.0	1.64
12/01/2017	CARSON, JESSICA	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.93	0.00	0.93	95.0	0.88
12/01/2017	BENDER, SHARON	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.39	0.00	0.39	95.0	0.37
12/01/2017	HABERMAN, IAN	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	16.84	0.00	16.84	95.0	16.00
12/01/2017	PER, ELIZABETH	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.13	0.00	0.13	95.0	0.12
12/01/2017	OMELIANOFF, MICHAEL	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	3.49	0.00	3.49	95.0	3.32
12/01/2017	JORDAN, KIMBERLY	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	11.07	0.00	11.07	95.0	10.52
12/01/2017	NAGEOTTE, NIKOLAUS	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	9.89	0.00	9.89	95.0	9.40
12/01/2017	MCKEE, DUANE	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	7.51	0.00	7.51	95.0	7.13
12/01/2017	TSANGANOS, LABRENE	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	13.14	0.00	13.14	95.0	12.48
12/01/2017	TSANGANOS, LEONIDAS	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	7.37	0.00	7.37	95.0	7.00

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<b><u>DIRECT TRANSACTIONS</u></b>								
<b><u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u></b>								
12/01/2017	SLAYBAUGH, YVONNE	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	22.59	0.00	22.59	95.0	21.46
12/01/2017	THOMPSON, PATRICIA	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	25.88	0.00	25.88	95.0	24.59
12/01/2017	RILEY, ROBERT	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	3.20	0.00	3.20	95.0	3.04
12/01/2017	DELISLE/AUTH PER, JAMES	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	1.03	0.00	1.03	95.0	0.98
12/01/2017	SCHRITZ, AMANDA	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	10.71	0.00	10.71	95.0	10.17
12/01/2017	SCHRITZ, BRYAN	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	10.71	0.00	10.71	95.0	10.17
12/01/2017	SIEDLAK, TERRY	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	11.91	0.00	11.91	95.0	11.31
12/01/2017	SIEDLAK, LESLIE	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	2.00	0.00	2.00	95.0	1.90
12/01/2017	KRAUSE, MICHAEL	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	8.00	0.00	8.00	95.0	7.60
12/01/2017	KRAUSE, LAURA	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	28.07	0.00	28.07	95.0	26.67
12/01/2017	SCHUBA, LAWRENCE	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.47	0.00	0.47	95.0	0.45
12/01/2017	KRAUSE, LAURA	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.33	0.00	0.33	95.0	0.31
12/01/2017	SALES, THOMAS	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	8.00	0.00	8.00	95.0	7.60
12/01/2017	HAWK, MARYBELLE	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	37.40	0.00	37.40	95.0	35.53
12/01/2017	WARNER, KRISTA	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.18	0.00	0.18	95.0	0.17
12/01/2017	FISK, MARY	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	6.15	0.00	6.15	95.0	5.84
12/01/2017	KRAUSE, BARBARA	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	147.77	0.00	147.77	95.0	140.38
12/01/2017	LEDFORD, JAMIE	AM FUNDS CAPITAL WORLD GRTH & INC C	0.00	42.11	0.00	42.11	95.0	40.00
12/01/2017	WATKINS, MARK	AM FUNDS CAPITAL WORLD GRTH & INC C	0.00	80.19	0.00	80.19	95.0	76.18
12/01/2017	CYRULEWSKI, JIM	AM FUNDS CAPITAL WORLD GRTH & INC C	0.00	11.27	0.00	11.27	95.0	10.71
12/01/2017	BLANKENSHIP, JANET	AM FUNDS CAPITAL WORLD GRTH & INC C	0.00	32.93	0.00	32.93	95.0	31.28
12/01/2017	KEELER, DAVID	AM FUNDS CAPITAL WORLD GRTH & INC C	0.00	208.41	0.00	208.41	95.0	197.99
12/01/2017	KOSANKE, MARK	AM FUNDS CAPITAL WORLD GRTH & INC C	0.00	43.31	0.00	43.31	95.0	41.14
12/01/2017	MCKEE, DUANE	AM FUNDS CAPITAL WORLD GRTH & INC C	0.00	3.93	0.00	3.93	95.0	3.73
12/01/2017	VINING, KRISTOPHER	AM FUNDS CAPITAL WORLD GRTH & INC C	0.00	1.12	0.00	1.12	95.0	1.06
12/01/2017	MICHON, ERIK	AM FUNDS EUROPACIFIC GROWTH FUND 52	0.00	1.25	0.00	1.25	95.0	1.19
12/01/2017	SIMMONDS, JOSHUA	AM FUNDS EUROPACIFIC GROWTH FUND 52	0.00	1.44	0.00	1.44	95.0	1.37
12/01/2017	LUMETTA, PAUL	AM FUNDS EUROPACIFIC GROWTH FUND 52	0.00	0.53	0.00	0.53	95.0	0.50
12/01/2017	RICHARDS, COLE	AM FUNDS EUROPACIFIC GROWTH FUND 52	0.00	0.56	0.00	0.56	95.0	0.53
12/01/2017	VAN DAELE, DAVID	AM FUNDS EUROPACIFIC GROWTH FUND 52	0.00	4.71	0.00	4.71	95.0	4.47
12/01/2017	HOFFMAN, BARBARA	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	15.19	0.00	15.19	95.0	14.43
12/01/2017	GINGELL, PAUL	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	0.56	0.00	0.56	95.0	0.53
12/01/2017	MARGERUM, JOHN	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	0.92	0.00	0.92	95.0	0.87

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<b><u>DIRECT TRANSACTIONS</u></b>								
<b><u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u></b>								
12/01/2017	ALVEY, SHERRIE	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	0.58	0.00	0.58	95.0	0.55
12/01/2017	WALKER TRUST, SUE	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	6.34	0.00	6.34	95.0	6.02
12/01/2017	PARDEE, LORRAINE	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	1.61	0.00	1.61	95.0	1.53
12/01/2017	WASHINGTON, ANGELA	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	0.17	0.00	0.17	95.0	0.16
12/01/2017	TAYLOR, GORDON	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	0.86	0.00	0.86	95.0	0.82
12/01/2017	MACKENZIE-TAYLOR, DEBORAH	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	0.86	0.00	0.86	95.0	0.82
12/01/2017	MACKENZIE-TAYLOR, DEBORAH	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	1.81	0.00	1.81	95.0	1.72
12/01/2017	TAYLOR, ALLAN	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	1.81	0.00	1.81	95.0	1.72
12/01/2017	JONES, GERALD	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	1.24	0.00	1.24	95.0	1.18
12/01/2017	ALVEY, CODY	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	5.38	0.00	5.38	95.0	5.11
12/01/2017	ALVEY, BRETT	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	7.88	0.00	7.88	95.0	7.49
12/01/2017	KENDZIERSKI, JENNIE	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	1.25	0.00	1.25	95.0	1.19
12/01/2017	GRECH, ANDREW	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	13.82	0.00	13.82	95.0	13.13
12/01/2017	NANAS, DAVID	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	0.96	0.00	0.96	95.0	0.91
12/01/2017	STILLWELL, LYNNE	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	0.85	0.00	0.85	95.0	0.81
12/01/2017	DELISLE, JAMES	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	0.67	0.00	0.67	95.0	0.64
12/01/2017	SIMMONDS, JOSHUA	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	2.24	0.00	2.24	95.0	2.13
12/01/2017	SIMMONDS, ASHLEIGH	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	2.06	0.00	2.06	95.0	1.96
12/01/2017	SIMMONDS, JOSHUA	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	2.56	0.00	2.56	95.0	2.43
12/01/2017	STILLWELL, ERIK	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	0.39	0.00	0.39	95.0	0.37
12/01/2017	TSANGANOS, OURANIA	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	4.60	0.00	4.60	95.0	4.37
12/01/2017	TSANGANOS, NICHOLAOS	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	6.05	0.00	6.05	95.0	5.75
12/01/2017	TSANGANOS, CHRISTOPHER	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	5.22	0.00	5.22	95.0	4.96
12/01/2017	KARGULA, CURT	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	2.07	0.00	2.07	95.0	1.97
12/01/2017	BLAYLOCK, JENNIFER	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	0.26	0.00	0.26	95.0	0.25
12/01/2017	BUTTY, NANCY	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	18.37	0.00	18.37	95.0	17.45
12/01/2017	TSANGANOS, OURANIA	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	3.79	0.00	3.79	95.0	3.60
12/01/2017	TSANGANOS, NICHOLAOS	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	3.79	0.00	3.79	95.0	3.60
12/01/2017	GINGELL, JANET	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	74.13	0.00	74.13	95.0	70.42
12/01/2017	TSANGANOS, LABRENE	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	10.65	0.00	10.65	95.0	10.12
12/01/2017	TSANGANOS, LABRENE	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	6.69	0.00	6.69	95.0	6.36
12/01/2017	CARSON, JESSICA	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	0.21	0.00	0.21	95.0	0.20
12/01/2017	TSOUKALAS, IOANNIS	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	0.44	0.00	0.44	95.0	0.42

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<b><u>DIRECT TRANSACTIONS</u></b>								
<b><u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u></b>								
12/01/2017	CARSON, JESSICA	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	1.57	0.00	1.57	95.0	1.49
12/01/2017	BENDER, SHARON	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	0.25	0.00	0.25	95.0	0.24
12/01/2017	PER, ELIZABETH	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	0.11	0.00	0.11	95.0	0.10
12/01/2017	NATHAN, SANDRA	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	1.07	0.00	1.07	95.0	1.02
12/01/2017	DILL, MADELINE	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	0.24	0.00	0.24	95.0	0.23
12/01/2017	TSANGANOS, LABRENE	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	18.70	0.00	18.70	95.0	17.77
12/01/2017	TSANGANOS, LEONIDAS	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	21.38	0.00	21.38	95.0	20.31
12/01/2017	RILEY, ROBERT	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	1.58	0.00	1.58	95.0	1.50
12/01/2017	DELISLE/AUTH PER, JAMES	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	0.98	0.00	0.98	95.0	0.93
12/01/2017	KRAUSE, LAURA	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	24.23	0.00	24.23	95.0	23.02
12/01/2017	KRAUSE, LAURA	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	0.30	0.00	0.30	95.0	0.29
12/01/2017	HINDS, RUSSELL	AM FUNDS EUROPACIFIC GROWTH FUND C	0.00	3.74	0.00	3.74	95.0	3.55
12/01/2017	BOWEN, ED	AM FUNDS FUNDAMENTAL INVESTORS 529A	0.00	1.12	0.00	1.12	95.0	1.06
12/01/2017	HIGGINS, JAMES	AM FUNDS FUNDAMENTAL INVESTORS 529A	0.00	9.73	0.00	9.73	95.0	9.24
12/01/2017	ADAMS, JACKSON	AM FUNDS FUNDAMENTAL INVESTORS 529A	0.00	1.63	0.00	1.63	95.0	1.55
12/01/2017	HOLT, DEBBIE	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	67.25	0.00	67.25	95.0	63.89
12/01/2017	MAKI-DRAGER, CHRISTINE	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	1.45	0.00	1.45	95.0	1.38
12/01/2017	MIELKE, DAVID	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	50.30	0.00	50.30	95.0	47.79
12/01/2017	HAMER, ANN	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	1.19	0.00	1.19	95.0	1.13
12/01/2017	BURGESS, WILLIAM	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	3.32	0.00	3.32	95.0	3.15
12/01/2017	ZECH, DONALD	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	13.37	0.00	13.37	95.0	12.70
12/01/2017	JONES, GERALD	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	1.88	0.00	1.88	95.0	1.79
12/01/2017	SIMON, JUDITH	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	0.55	0.00	0.55	95.0	0.52
12/01/2017	SCHRITZ, BRYAN	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	19.67	0.00	19.67	95.0	18.69
12/01/2017	TSANGANOS, OURANIA	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	8.35	0.00	8.35	95.0	7.93
12/01/2017	TSANGANOS, NICHOLAOS	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	10.25	0.00	10.25	95.0	9.74
12/01/2017	TSANGANOS, CHRISTOPHER	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	3.12	0.00	3.12	95.0	2.96
12/01/2017	KARGULA, CURT	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	2.80	0.00	2.80	95.0	2.66
12/01/2017	TSANGANOS, OURANIA	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	4.83	0.00	4.83	95.0	4.59
12/01/2017	TSANGANOS, NICHOLAOS	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	4.83	0.00	4.83	95.0	4.59
12/01/2017	GREGORY, CAROL	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	7.77	0.00	7.77	95.0	7.38
12/01/2017	TSANGANOS, LABRENE	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	13.66	0.00	13.66	95.0	12.98
12/01/2017	TSANGANOS, LABRENE	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	8.82	0.00	8.82	95.0	8.38

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<b><u>DIRECT TRANSACTIONS</u></b>								
<b><u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u></b>								
12/01/2017	TSOUKALAS, IOANNIS	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	0.63	0.00	0.63	95.0	0.60
12/01/2017	TSANGANOS, LABRENE	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	25.47	0.00	25.47	95.0	24.20
12/01/2017	TSANGANOS, LEONIDAS	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	27.96	0.00	27.96	95.0	26.56
12/01/2017	SALES, THOMAS	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	13.19	0.00	13.19	95.0	12.53
12/01/2017	KOSANKE, MARK	AM FUNDS FUNDAMENTAL INVESTORS C	0.00	216.80	0.00	216.80	95.0	205.96
12/01/2017	WHITEFOOT, BEVERLY	AM FUNDS FUNDAMENTAL INVESTORS C	0.00	23.69	0.00	23.69	95.0	22.51
12/01/2017	VINING, KRISTOPHER	AM FUNDS FUNDAMENTAL INVESTORS-F1	0.00	2.39	0.00	2.39	95.0	2.27
12/01/2017	WALKER, SUE	AM FUNDS GLOBAL BALANCED A	0.00	21.60	0.00	21.60	95.0	20.52
12/01/2017	KACZOR, CHRISTOPHER	AM FUNDS GLOBAL BALANCED A	0.00	1.16	0.00	1.16	95.0	1.10
12/01/2017	KACZOR, LISA	AM FUNDS GLOBAL BALANCED A	0.00	9.92	0.00	9.92	95.0	9.42
12/01/2017	KACZOR, CHRISTOPHER	AM FUNDS GLOBAL BALANCED A	0.00	1.29	0.00	1.29	95.0	1.23
12/01/2017	KELLY, SCOTT	AM FUNDS GLOBAL BALANCED A	0.00	1.75	0.00	1.75	95.0	1.66
12/01/2017	LUMETTA, PAUL	AM FUNDS GROWTH FUND OF AMERICA 529	0.00	0.77	0.00	0.77	95.0	0.73
12/01/2017	WILSON, KAYLEE	AM FUNDS GROWTH FUND OF AMERICA 529	0.00	2.28	0.00	2.28	95.0	2.17
12/01/2017	WILSON, KAYLEE	AM FUNDS GROWTH FUND OF AMERICA 529	0.00	2.33	0.00	2.33	95.0	2.21
12/01/2017	KAPFHAMER, SCOTT	AM FUNDS GROWTH FUND OF AMERICA 529	0.00	13.93	0.00	13.93	95.0	13.23
12/01/2017	KAPFHAMER, SCOTT	AM FUNDS GROWTH FUND OF AMERICA 529	0.00	10.17	0.00	10.17	95.0	9.66
12/01/2017	LUMETTA, PAUL	AM FUNDS GROWTH FUND OF AMERICA 529	0.00	4.24	0.00	4.24	95.0	4.03
12/01/2017	BARNETT, RICHARD	AM FUNDS GROWTH FUND OF AMERICA 529	0.00	0.31	0.00	0.31	95.0	0.29
12/01/2017	BARNETT, RICHARD	AM FUNDS GROWTH FUND OF AMERICA 529	0.00	0.27	0.00	0.27	95.0	0.26
12/01/2017	BARNETT, RICHARD	AM FUNDS GROWTH FUND OF AMERICA 529	0.00	0.81	0.00	0.81	95.0	0.77
12/01/2017	GALINETTI, JULIA	AM FUNDS GROWTH FUND OF AMERICA 529	0.00	0.01	0.00	0.01	95.0	0.01
12/01/2017	BOWEN, ED	AM FUNDS GROWTH FUND OF AMERICA 529	0.00	8.23	0.00	8.23	95.0	7.82
12/01/2017	SAWYER, ALONZO	AM FUNDS GROWTH FUND OF AMERICA 529	0.00	8.26	0.00	8.26	95.0	7.85
12/01/2017	HIGGINS, JAMES	AM FUNDS GROWTH FUND OF AMERICA 529	0.00	10.00	0.00	10.00	95.0	9.50
12/01/2017	RICHARDS, COLE	AM FUNDS GROWTH FUND OF AMERICA 529	0.00	0.59	0.00	0.59	95.0	0.56
12/01/2017	KOUZA, SOPHIA	AM FUNDS GROWTH FUND OF AMERICA 529	0.00	5.86	0.00	5.86	95.0	5.57
12/01/2017	SAWYER, ALONZO	AM FUNDS GROWTH FUND OF AMERICA 529	0.00	4.30	0.00	4.30	95.0	4.09
12/01/2017	SAWYER, ALONZO	AM FUNDS GROWTH FUND OF AMERICA 529	0.00	6.92	0.00	6.92	95.0	6.57
12/01/2017	FOLLETT, JACOB	AM FUNDS GROWTH FUND OF AMERICA 529	0.00	1.23	0.00	1.23	95.0	1.17
12/01/2017	FOLLETT, JACOB	AM FUNDS GROWTH FUND OF AMERICA 529	0.00	1.53	0.00	1.53	95.0	1.45
12/01/2017	ADAMS, JACKSON	AM FUNDS GROWTH FUND OF AMERICA 529	0.00	1.38	0.00	1.38	95.0	1.31
12/01/2017	GREENE, LUCIA	AM FUNDS GROWTH FUND OF AMERICA A	0.00	40.46	0.00	40.46	95.0	38.44

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<b><u>DIRECT TRANSACTIONS</u></b>								
<b><u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u></b>								
12/01/2017	BRINKER/BENE, TIMOTHY	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.24	0.00	0.24	95.0	0.23
12/01/2017	MAKI, CHRISTINE	AM FUNDS GROWTH FUND OF AMERICA A	0.00	2.87	0.00	2.87	95.0	2.73
12/01/2017	HOLT, DEBBIE	AM FUNDS GROWTH FUND OF AMERICA A	0.00	73.64	0.00	73.64	95.0	69.96
12/01/2017	HOLLAND, JENNIFER	AM FUNDS GROWTH FUND OF AMERICA A	0.00	4.31	0.00	4.31	95.0	4.09
12/01/2017	GINGELL, PAUL	AM FUNDS GROWTH FUND OF AMERICA A	0.00	53.05	0.00	53.05	95.0	50.40
12/01/2017	ALVEY, SHERRIE	AM FUNDS GROWTH FUND OF AMERICA A	0.00	1.08	0.00	1.08	95.0	1.03
12/01/2017	VOGLER, BRIAN	AM FUNDS GROWTH FUND OF AMERICA A	0.00	3.54	0.00	3.54	95.0	3.36
12/01/2017	MAKI-DRAGER, CHRISTINE	AM FUNDS GROWTH FUND OF AMERICA A	0.00	3.35	0.00	3.35	95.0	3.18
12/01/2017	MIELKE, DAVID	AM FUNDS GROWTH FUND OF AMERICA A	0.00	36.94	0.00	36.94	95.0	35.09
12/01/2017	PARDEE, LORRAINE	AM FUNDS GROWTH FUND OF AMERICA A	0.00	2.73	0.00	2.73	95.0	2.59
12/01/2017	KOLESNIKOW, AMY	AM FUNDS GROWTH FUND OF AMERICA A	0.00	19.24	0.00	19.24	95.0	18.28
12/01/2017	VOGLER, JAKOB	AM FUNDS GROWTH FUND OF AMERICA A	0.00	5.07	0.00	5.07	95.0	4.82
12/01/2017	VOGLER, JAKOB	AM FUNDS GROWTH FUND OF AMERICA A	0.00	5.61	0.00	5.61	95.0	5.33
12/01/2017	BRAINER, ASHLEY	AM FUNDS GROWTH FUND OF AMERICA A	0.00	1.42	0.00	1.42	95.0	1.35
12/01/2017	BRINKER, SARAH	AM FUNDS GROWTH FUND OF AMERICA A	0.00	1.42	0.00	1.42	95.0	1.35
12/01/2017	BRINKER, AMANDA	AM FUNDS GROWTH FUND OF AMERICA A	0.00	1.42	0.00	1.42	95.0	1.35
12/01/2017	URBANIAK, LORAIN	AM FUNDS GROWTH FUND OF AMERICA A	0.00	28.51	0.00	28.51	95.0	27.08
12/01/2017	GILLETTE, BETTYANN	AM FUNDS GROWTH FUND OF AMERICA A	0.00	2.39	0.00	2.39	95.0	2.27
12/01/2017	NICOLOSI, ROSE	AM FUNDS GROWTH FUND OF AMERICA A	0.00	12.58	0.00	12.58	95.0	11.95
12/01/2017	REDDEN, TODD	AM FUNDS GROWTH FUND OF AMERICA A	0.00	25.96	0.00	25.96	95.0	24.66
12/01/2017	SHIELDS, E PATRICIA	AM FUNDS GROWTH FUND OF AMERICA A	0.00	5.73	0.00	5.73	95.0	5.44
12/01/2017	DAUGHERTY, RIA	AM FUNDS GROWTH FUND OF AMERICA A	0.00	1.56	0.00	1.56	95.0	1.48
12/01/2017	GRANE/, ROBERT	AM FUNDS GROWTH FUND OF AMERICA A	0.00	1.47	0.00	1.47	95.0	1.40
12/01/2017	GRANE, ROBERT	AM FUNDS GROWTH FUND OF AMERICA A	0.00	1.98	0.00	1.98	95.0	1.88
12/01/2017	VOGLER, GRACE	AM FUNDS GROWTH FUND OF AMERICA A	0.00	8.11	0.00	8.11	95.0	7.70
12/01/2017	LAQUE, AMANDA	AM FUNDS GROWTH FUND OF AMERICA A	0.00	3.54	0.00	3.54	95.0	3.36
12/01/2017	MERKLE, WILLIAM	AM FUNDS GROWTH FUND OF AMERICA A	0.00	1.52	0.00	1.52	95.0	1.44
12/01/2017	MERKLE, JACK	AM FUNDS GROWTH FUND OF AMERICA A	0.00	1.52	0.00	1.52	95.0	1.44
12/01/2017	SHALDA, ROSE	AM FUNDS GROWTH FUND OF AMERICA A	0.00	30.29	0.00	30.29	95.0	28.78
12/01/2017	MILLER-TAMM/AUTH PER, MARY	AM FUNDS GROWTH FUND OF AMERICA A	0.00	8.78	0.00	8.78	95.0	8.34
12/01/2017	PARTNERSHIP, CARLSON	AM FUNDS GROWTH FUND OF AMERICA A	0.00	6.25	0.00	6.25	95.0	5.94
12/01/2017	GIVENS, SCOTT	AM FUNDS GROWTH FUND OF AMERICA A	0.00	116.73	0.00	116.73	95.0	110.89
12/01/2017	WALKER TRUST, SUE	AM FUNDS GROWTH FUND OF AMERICA A	0.00	4.84	0.00	4.84	95.0	4.60

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<b><u>DIRECT TRANSACTIONS</u></b>								
<b><u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u></b>								
12/01/2017	VANDERMEER, BRYON	AM FUNDS GROWTH FUND OF AMERICA A	0.00	39.64	0.00	39.64	95.0	37.66
12/01/2017	SIMON, JUDITH	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.23	0.00	0.23	95.0	0.22
12/01/2017	VOGLER, ALEX	AM FUNDS GROWTH FUND OF AMERICA A	0.00	7.74	0.00	7.74	95.0	7.35
12/01/2017	VOGLER, ALEX	AM FUNDS GROWTH FUND OF AMERICA A	0.00	2.74	0.00	2.74	95.0	2.60
12/01/2017	NIKOLLAU, RIA	AM FUNDS GROWTH FUND OF AMERICA A	0.00	19.42	0.00	19.42	95.0	18.45
12/01/2017	STRUNCK, TED	AM FUNDS GROWTH FUND OF AMERICA A	0.00	33.47	0.00	33.47	95.0	31.80
12/01/2017	BAILEY, STEVEN	AM FUNDS GROWTH FUND OF AMERICA A	0.00	3.55	0.00	3.55	95.0	3.37
12/01/2017	SCHRITZ, BRYAN	AM FUNDS GROWTH FUND OF AMERICA A	0.00	68.21	0.00	68.21	95.0	64.80
12/01/2017	VOGLER, BREN	AM FUNDS GROWTH FUND OF AMERICA A	0.00	10.79	0.00	10.79	95.0	10.25
12/01/2017	KUCHAREK, PAUL	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.88	0.00	0.88	95.0	0.84
12/01/2017	VOGLER, KYLE	AM FUNDS GROWTH FUND OF AMERICA A	0.00	8.91	0.00	8.91	95.0	8.46
12/01/2017	STRAYVE, MICHAEL	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.21	0.00	0.21	95.0	0.20
12/01/2017	RIETH, HOLLY	AM FUNDS GROWTH FUND OF AMERICA A	0.00	1.63	0.00	1.63	95.0	1.55
12/01/2017	STARKEY, RENEE	AM FUNDS GROWTH FUND OF AMERICA A	0.00	3.53	0.00	3.53	95.0	3.35
12/01/2017	SCHLEICH, DAVID	AM FUNDS GROWTH FUND OF AMERICA A	0.00	44.87	0.00	44.87	95.0	42.63
12/01/2017	ALVEY, BRETT	AM FUNDS GROWTH FUND OF AMERICA A	0.00	2.65	0.00	2.65	95.0	2.52
12/01/2017	GEE, JACKSON	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.84	0.00	0.84	95.0	0.80
12/01/2017	GEE, LOGAN	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.91	0.00	0.91	95.0	0.86
12/01/2017	RYAN, JOHN	AM FUNDS GROWTH FUND OF AMERICA A	0.00	2.55	0.00	2.55	95.0	2.42
12/01/2017	VOGLER, SUZANNE	AM FUNDS GROWTH FUND OF AMERICA A	0.00	7.06	0.00	7.06	95.0	6.71
12/01/2017	VOGLER, ANNA RENEE	AM FUNDS GROWTH FUND OF AMERICA A	0.00	7.06	0.00	7.06	95.0	6.71
12/01/2017	BOZA, VICTOR	AM FUNDS GROWTH FUND OF AMERICA A	0.00	1.42	0.00	1.42	95.0	1.35
12/01/2017	PARDEE, CRAIG	AM FUNDS GROWTH FUND OF AMERICA A	0.00	29.49	0.00	29.49	95.0	28.02
12/01/2017	TSANGANOS, OURANIA	AM FUNDS GROWTH FUND OF AMERICA A	0.00	6.52	0.00	6.52	95.0	6.19
12/01/2017	TSANGANOS, NICHOLAOS	AM FUNDS GROWTH FUND OF AMERICA A	0.00	8.43	0.00	8.43	95.0	8.01
12/01/2017	TSANGANOS, CHRISTOPHER	AM FUNDS GROWTH FUND OF AMERICA A	0.00	7.06	0.00	7.06	95.0	6.71
12/01/2017	GAULKE, DONNA	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.96	0.00	0.96	95.0	0.91
12/01/2017	RACHEL, JOHN	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.65	0.00	0.65	95.0	0.62
12/01/2017	TSANGANOS, OURANIA	AM FUNDS GROWTH FUND OF AMERICA A	0.00	5.39	0.00	5.39	95.0	5.12
12/01/2017	TSANGANOS, NICHOLAOS	AM FUNDS GROWTH FUND OF AMERICA A	0.00	5.39	0.00	5.39	95.0	5.12
12/01/2017	TSANGANOS, LABRENE	AM FUNDS GROWTH FUND OF AMERICA A	0.00	15.19	0.00	15.19	95.0	14.43
12/01/2017	TSANGANOS, LABRENE	AM FUNDS GROWTH FUND OF AMERICA A	0.00	9.03	0.00	9.03	95.0	8.58
12/01/2017	BROWNING, RYAN	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.19	0.00	0.19	95.0	0.18

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<b><u>DIRECT TRANSACTIONS</u></b>								
<b><u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u></b>								
12/01/2017	MUSAL, NANCY	AM FUNDS GROWTH FUND OF AMERICA A	0.00	4.53	0.00	4.53	95.0	4.30
12/01/2017	BABIN, WILLIAM	AM FUNDS GROWTH FUND OF AMERICA A	0.00	8.53	0.00	8.53	95.0	8.10
12/01/2017	TSOUKALAS, IOANNIS	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.49	0.00	0.49	95.0	0.47
12/01/2017	BENNETT, AMANDA	AM FUNDS GROWTH FUND OF AMERICA A	0.00	1.00	0.00	1.00	95.0	0.95
12/01/2017	CARSON, JESSICA	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.86	0.00	0.86	95.0	0.82
12/01/2017	MARBLEY, SHEILA	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.20	0.00	0.20	95.0	0.19
12/01/2017	NATHAN, SANDRA	AM FUNDS GROWTH FUND OF AMERICA A	0.00	1.44	0.00	1.44	95.0	1.37
12/01/2017	TSANGANOS, LABRENE	AM FUNDS GROWTH FUND OF AMERICA A	0.00	16.88	0.00	16.88	95.0	16.04
12/01/2017	TSANGANOS, LEONIDAS	AM FUNDS GROWTH FUND OF AMERICA A	0.00	9.08	0.00	9.08	95.0	8.63
12/01/2017	KRAUSE, LAURA	AM FUNDS GROWTH FUND OF AMERICA A	0.00	36.68	0.00	36.68	95.0	34.85
12/01/2017	KRAUSE, LAURA	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.34	0.00	0.34	95.0	0.32
12/01/2017	ROTH, DANNY	AM FUNDS GROWTH FUND OF AMERICA A	0.00	17.40	0.00	17.40	95.0	16.53
12/01/2017	SALES, THOMAS	AM FUNDS GROWTH FUND OF AMERICA A	0.00	16.93	0.00	16.93	95.0	16.08
12/01/2017	SCHMITT, KEITH	AM FUNDS GROWTH FUND OF AMERICA A	0.00	9.51	0.00	9.51	95.0	9.03
12/01/2017	SCHECK, VICTORIA	AM FUNDS GROWTH FUND OF AMERICA A	0.00	19.35	0.00	19.35	95.0	18.38
12/01/2017	SCHNEIDER, RYAN	AM FUNDS GROWTH FUND OF AMERICA A	0.00	33.35	0.00	33.35	95.0	31.68
12/01/2017	SHAW, TERRY	AM FUNDS GROWTH FUND OF AMERICA A	0.00	6.62	0.00	6.62	95.0	6.29
12/01/2017	TROGAN/BENE, CHRISTINA	AM FUNDS GROWTH FUND OF AMERICA A	0.00	79.25	0.00	79.25	95.0	75.29
12/01/2017	LOVEDAY, JUDITH	AM FUNDS GROWTH FUND OF AMERICA A	0.00	4.34	0.00	4.34	95.0	4.12
12/01/2017	MI/TOD	AM FUNDS GROWTH FUND OF AMERICA A	0.00	7.98	0.00	7.98	95.0	7.58
12/01/2017	SOBIESKI, JOYCE	AM FUNDS GROWTH FUND OF AMERICA C	0.00	45.11	0.00	45.11	95.0	42.85
12/01/2017	PRICOPIO, MARIO	AM FUNDS GROWTH FUND OF AMERICA C	0.00	13.99	0.00	13.99	95.0	13.29
12/01/2017	PETERSON, ALEXA	AM FUNDS GROWTH FUND OF AMERICA C	0.00	1.18	0.00	1.18	95.0	1.12
12/01/2017	PETERSON, TREY	AM FUNDS GROWTH FUND OF AMERICA C	0.00	1.17	0.00	1.17	95.0	1.11
12/01/2017	CYRULEWSKI, JIM	AM FUNDS GROWTH FUND OF AMERICA C	0.00	14.78	0.00	14.78	95.0	14.04
12/01/2017	BLANKENSHIP, JANET	AM FUNDS GROWTH FUND OF AMERICA C	0.00	30.59	0.00	30.59	95.0	29.06
12/01/2017	KEELER, DAVID	AM FUNDS GROWTH FUND OF AMERICA C	0.00	195.86	0.00	195.86	95.0	186.07
12/01/2017	KOSANKE, MARK	AM FUNDS GROWTH FUND OF AMERICA C	0.00	56.75	0.00	56.75	95.0	53.91
12/01/2017	KOSANKE, MARK	AM FUNDS GROWTH FUND OF AMERICA C	0.00	249.42	0.00	249.42	95.0	236.95
12/01/2017	WHITEFOOT, BEVERLY	AM FUNDS GROWTH FUND OF AMERICA C	0.00	18.09	0.00	18.09	95.0	17.19
12/01/2017	WAGNER, MATTHEW	AM FUNDS GROWTH FUND OF AMERICA C	0.00	5.95	0.00	5.95	95.0	5.65
12/01/2017	WOJDYNSKI, ROSE	AM FUNDS GROWTH FUND OF AMERICA C	0.00	22.50	0.00	22.50	95.0	21.38
12/01/2017	MCKENZIE, DONNA	AM FUNDS GROWTH FUND OF AMERICA C	0.00	89.64	0.00	89.64	95.0	85.16

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<b><u>DIRECT TRANSACTIONS</u></b>								
<b><u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u></b>								
12/01/2017	MCKENZIE, ROBERT	AM FUNDS GROWTH FUND OF AMERICA C	0.00	73.45	0.00	73.45	95.0	69.78
12/01/2017	GOUGEON, MEGAN	AM FUNDS GROWTH FUND OF AMERICA C	0.00	6.63	0.00	6.63	95.0	6.30
12/01/2017	VINING, KRISTOPHER	AM FUNDS GROWTH FUND OF AMERICA F1	0.00	2.10	0.00	2.10	95.0	2.00
12/01/2017	SOBIESKI, JOYCE	AM FUNDS GROWTH FUND OF AMERICA F1	0.00	5.20	0.00	5.20	95.0	4.94
12/01/2017	PRICOPIO, MARIO	AM FUNDS GROWTH FUND OF AMERICA F1	0.00	0.07	0.00	0.07	95.0	0.07
12/01/2017	BOWEN, ED	AM FUNDS HIGH INCOME TRUST 529A	0.00	0.28	0.00	0.28	95.0	0.27
12/01/2017	MARCOLA, ETHAN	AM FUNDS ICA 529A	0.00	0.98	0.00	0.98	95.0	0.93
12/01/2017	BOWEN, ED	AM FUNDS ICA 529A	0.00	0.67	0.00	0.67	95.0	0.64
12/01/2017	MIHELICH, DARLENE	AM FUNDS ICA 529A	0.00	5.33	0.00	5.33	95.0	5.06
12/01/2017	NICOLOSI, ROSE	AM FUNDS ICA 529A	0.00	24.89	0.00	24.89	95.0	23.65
12/01/2017	NICOLOSI, ROSE	AM FUNDS ICA 529A	0.00	24.77	0.00	24.77	95.0	23.53
12/01/2017	LONG, SARAH	AM FUNDS ICA 529A	0.00	0.53	0.00	0.53	95.0	0.50
12/01/2017	NICOLOSI, ROSE	AM FUNDS ICA 529A	0.00	24.76	0.00	24.76	95.0	23.52
12/01/2017	MCVAY, JOHN	AM FUNDS ICA A	0.00	15.13	0.00	15.13	95.0	14.37
12/01/2017	BREIDENSTEIN, CHARLES	AM FUNDS ICA A	0.00	35.33	0.00	35.33	95.0	33.56
12/01/2017	MARQUARDSEN, HOLGER	AM FUNDS ICA A	0.00	76.51	0.00	76.51	95.0	72.68
12/01/2017	MARQUARDSEN, ANNA	AM FUNDS ICA A	0.00	58.03	0.00	58.03	95.0	55.13
12/01/2017	SEMENIK, EMILY	AM FUNDS ICA A	0.00	183.89	0.00	183.89	95.0	174.70
12/01/2017	BODNAR, NANCY	AM FUNDS ICA A	0.00	12.42	0.00	12.42	95.0	11.80
12/01/2017	DROGELL, DAVID	AM FUNDS ICA A	0.00	15.67	0.00	15.67	95.0	14.89
12/01/2017	BORKHOLDER, STEVEN	AM FUNDS ICA A	0.00	16.35	0.00	16.35	95.0	15.53
12/01/2017	MORELLI, MARY	AM FUNDS ICA A	0.00	64.21	0.00	64.21	95.0	61.00
12/01/2017	HOFFMAN, BARBARA	AM FUNDS ICA A	0.00	46.25	0.00	46.25	95.0	43.94
12/01/2017	YOUNG, SUSAN	AM FUNDS ICA A	0.00	0.62	0.00	0.62	95.0	0.59
12/01/2017	SPEICHER, JANET	AM FUNDS ICA A	0.00	11.97	0.00	11.97	95.0	11.37
12/01/2017	MILLER, JANE	AM FUNDS ICA A	0.00	0.59	0.00	0.59	95.0	0.56
12/01/2017	JENERETTE, ANGULNETTE	AM FUNDS ICA A	0.00	1.54	0.00	1.54	95.0	1.46
12/01/2017	CLOTHIER /SAR-SEP, JAMES	AM FUNDS ICA A	0.00	0.29	0.00	0.29	95.0	0.28
12/01/2017	BAKEWELL, RALPH	AM FUNDS ICA A	0.00	67.66	0.00	67.66	95.0	64.28
12/01/2017	HOLLAND, JENNIFER	AM FUNDS ICA A	0.00	2.42	0.00	2.42	95.0	2.30
12/01/2017	HIMELHOCH, SETH	AM FUNDS ICA A	0.00	1.39	0.00	1.39	95.0	1.32
12/01/2017	GRENADIER, KAREN	AM FUNDS ICA A	0.00	31.31	0.00	31.31	95.0	29.74
12/01/2017	REETZ, TIMOTHY	AM FUNDS ICA A	0.00	0.49	0.00	0.49	95.0	0.47

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<b><u>DIRECT TRANSACTIONS</u></b>								
<b><u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u></b>								
12/01/2017	GINGELL, PAUL	AM FUNDS ICA A	0.00	41.59	0.00	41.59	95.0	39.51
12/01/2017	CAVANAUGH, CAROL	AM FUNDS ICA A	0.00	3.72	0.00	3.72	95.0	3.53
12/01/2017	MIHELICH, JOHN	AM FUNDS ICA A	0.00	8.22	0.00	8.22	95.0	7.81
12/01/2017	NOONAN, PATRICIA	AM FUNDS ICA A	0.00	3.92	0.00	3.92	95.0	3.72
12/01/2017	FINK, MARGARET	AM FUNDS ICA A	0.00	112.23	0.00	112.23	95.0	106.62
12/01/2017	RAMOS/DEC'D, RENEE	AM FUNDS ICA A	0.00	3.82	0.00	3.82	95.0	3.63
12/01/2017	SIEDLAK, PATRICIA	AM FUNDS ICA A	0.00	14.52	0.00	14.52	95.0	13.79
12/01/2017	KRAUSE, MICHAEL	AM FUNDS ICA A	0.00	11.11	0.00	11.11	95.0	10.55
12/01/2017	KRAUSE, MICHAEL	AM FUNDS ICA A	0.00	5.94	0.00	5.94	95.0	5.64
12/01/2017	SIEDLAK JT TEN, TERRY	AM FUNDS ICA A	0.00	14.07	0.00	14.07	95.0	13.37
12/01/2017	ALVEY, SHERRIE	AM FUNDS ICA A	0.00	1.42	0.00	1.42	95.0	1.35
12/01/2017	KING, PETER	AM FUNDS ICA A	0.00	4.92	0.00	4.92	95.0	4.67
12/01/2017	KING, CRYSTAL	AM FUNDS ICA A	0.00	4.80	0.00	4.80	95.0	4.56
12/01/2017	GEORGES, ELIZABETH	AM FUNDS ICA A	0.00	21.99	0.00	21.99	95.0	20.89
12/01/2017	PAVLINA, MICHAEL	AM FUNDS ICA A	0.00	0.10	0.00	0.10	95.0	0.10
12/01/2017	ABEL, JEFFREY	AM FUNDS ICA A	0.00	0.40	0.00	0.40	95.0	0.38
12/01/2017	DROGELL, LINDA	AM FUNDS ICA A	0.00	12.12	0.00	12.12	95.0	11.51
12/01/2017	GREENE, DAVID	AM FUNDS ICA A	0.00	23.36	0.00	23.36	95.0	22.19
12/01/2017	PASEK, CHRISTINE	AM FUNDS ICA A	0.00	4.32	0.00	4.32	95.0	4.10
12/01/2017	PASEK, KEVIN	AM FUNDS ICA A	0.00	4.32	0.00	4.32	95.0	4.10
12/01/2017	BACHTELL, JAMES	AM FUNDS ICA A	0.00	27.00	0.00	27.00	95.0	25.65
12/01/2017	MIHELICH, DARLENE	AM FUNDS ICA A	0.00	21.28	0.00	21.28	95.0	20.22
12/01/2017	DZIATCZAK, LISA	AM FUNDS ICA A	0.00	2.81	0.00	2.81	95.0	2.67
12/01/2017	KRAUSE, MICHAEL	AM FUNDS ICA A	0.00	2.24	0.00	2.24	95.0	2.13
12/01/2017	KOLESNIKOW, AMY	AM FUNDS ICA A	0.00	23.35	0.00	23.35	95.0	22.18
12/01/2017	CAVANAUGH, CAROL	AM FUNDS ICA A	0.00	2.25	0.00	2.25	95.0	2.14
12/01/2017	NIEKEMP, KATHY	AM FUNDS ICA A	0.00	2.20	0.00	2.20	95.0	2.09
12/01/2017	DUNCAN, LEANNE	AM FUNDS ICA A	0.00	4.00	0.00	4.00	95.0	3.80
12/01/2017	NIEHAUS, MARK	AM FUNDS ICA A	0.00	7.58	0.00	7.58	95.0	7.20
12/01/2017	GERSPACHER, BRIANA	AM FUNDS ICA A	0.00	1.90	0.00	1.90	95.0	1.81
12/01/2017	KNOTT, PAUL	AM FUNDS ICA A	0.00	12.26	0.00	12.26	95.0	11.65
12/01/2017	LONGACRE, BRENDEN	AM FUNDS ICA A	0.00	0.67	0.00	0.67	95.0	0.64
12/01/2017	BALAEV, ALEXANDER	AM FUNDS ICA A	0.00	0.44	0.00	0.44	95.0	0.42

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<b><u>DIRECT TRANSACTIONS</u></b>								
<b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</b>								
12/01/2017	MARKOVITZ, EDWARD	AM FUNDS ICA A	0.00	0.96	0.00	0.96	95.0	0.91
12/01/2017	SZOCINSKI, CASIMER	AM FUNDS ICA A	0.00	8.40	0.00	8.40	95.0	7.98
12/01/2017	LEWIS, MARK	AM FUNDS ICA A	0.00	3.27	0.00	3.27	95.0	3.11
12/01/2017	LAREAU, ALEXANDER	AM FUNDS ICA A	0.00	0.92	0.00	0.92	95.0	0.87
12/01/2017	JOHNSON, ALBERT	AM FUNDS ICA A	0.00	0.88	0.00	0.88	95.0	0.84
12/01/2017	HAVLIK, BRIAN	AM FUNDS ICA A	0.00	0.06	0.00	0.06	95.0	0.06
12/01/2017	VOLAKAKIS, VEGA	AM FUNDS ICA A	0.00	9.04	0.00	9.04	95.0	8.59
12/01/2017	BAILEY, STEVEN	AM FUNDS ICA A	0.00	3.27	0.00	3.27	95.0	3.11
12/01/2017	CAVANAUGH, COLLIN	AM FUNDS ICA A	0.00	1.74	0.00	1.74	95.0	1.65
12/01/2017	BUTLER, KATHLEEN	AM FUNDS ICA A	0.00	4.15	0.00	4.15	95.0	3.94
12/01/2017	BURTZLAFF, MATTHEW	AM FUNDS ICA A	0.00	78.20	0.00	78.20	95.0	74.29
12/01/2017	MCLAUGHLIN, TRACY	AM FUNDS ICA A	0.00	13.63	0.00	13.63	95.0	12.95
12/01/2017	KRAUSE, EVELYN	AM FUNDS ICA A	0.00	105.58	0.00	105.58	95.0	100.30
12/01/2017	KUCHAREK, PAUL	AM FUNDS ICA A	0.00	0.72	0.00	0.72	95.0	0.68
12/01/2017	STRAYVE, MICHAEL	AM FUNDS ICA A	0.00	0.37	0.00	0.37	95.0	0.35
12/01/2017	VOLAKAKIS, LOGAN	AM FUNDS ICA A	0.00	7.62	0.00	7.62	95.0	7.24
12/01/2017	SULLIVAN, ZACHARY	AM FUNDS ICA A	0.00	2.31	0.00	2.31	95.0	2.19
12/01/2017	KNOTT, MARY	AM FUNDS ICA A	0.00	0.83	0.00	0.83	95.0	0.79
12/01/2017	GORSEK, JOHN	AM FUNDS ICA A	0.00	9.83	0.00	9.83	95.0	9.34
12/01/2017	IMBRIGOTTA, MICHAEL	AM FUNDS ICA A	0.00	34.59	0.00	34.59	95.0	32.86
12/01/2017	KENDZIERSKI, JENNIE	AM FUNDS ICA A	0.00	1.73	0.00	1.73	95.0	1.64
12/01/2017	MC GEE, MICHAEL	AM FUNDS ICA A	0.00	0.97	0.00	0.97	95.0	0.92
12/01/2017	FULTON, JOHN	AM FUNDS ICA A	0.00	11.44	0.00	11.44	95.0	10.87
12/01/2017	JAMES, RODNEY	AM FUNDS ICA A	0.00	0.04	0.00	0.04	95.0	0.04
12/01/2017	OLSON, ERIC	AM FUNDS ICA A	0.00	3.84	0.00	3.84	95.0	3.65
12/01/2017	DEFRANCESCO, STEVEN	AM FUNDS ICA A	0.00	0.66	0.00	0.66	95.0	0.63
12/01/2017	NICOLOSI TRUST, ROSE	AM FUNDS ICA A	0.00	283.79	0.00	283.79	95.0	269.60
12/01/2017	MUSAL, NANCY	AM FUNDS ICA A	0.00	3.44	0.00	3.44	95.0	3.27
12/01/2017	BABIN, WILLIAM	AM FUNDS ICA A	0.00	7.64	0.00	7.64	95.0	7.26
12/01/2017	FINK, MARGARET	AM FUNDS ICA A	0.00	127.84	0.00	127.84	95.0	121.45
12/01/2017	STAMPER, JANET	AM FUNDS ICA A	0.00	76.60	0.00	76.60	95.0	72.77
12/01/2017	CARSON, JESSICA	AM FUNDS ICA A	0.00	0.57	0.00	0.57	95.0	0.54
12/01/2017	RIGGERT, ANDREW	AM FUNDS ICA A	0.00	5.00	0.00	5.00	95.0	4.75

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<b><u>DIRECT TRANSACTIONS</u></b>								
<b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</b>								
12/01/2017	TSANGANOS, LEONIDAS	AM FUNDS ICA A	0.00	21.47	0.00	21.47	95.0	20.40
12/01/2017	PERSIC, ERNST	AM FUNDS ICA A	0.00	8.13	0.00	8.13	95.0	7.72
12/01/2017	KOSANKE, MARK	AM FUNDS ICA A	0.00	6.51	0.00	6.51	95.0	6.18
12/01/2017	BULLOCK, RAYMOND	AM FUNDS ICA A	0.00	178.45	0.00	178.45	95.0	169.53
12/01/2017	SIEDLAK, LESLIE	AM FUNDS ICA A	0.00	10.49	0.00	10.49	95.0	9.97
12/01/2017	WONCH, ELIZABETH	AM FUNDS ICA A	0.00	1.30	0.00	1.30	95.0	1.24
12/01/2017	LINDEN, MARGARET	AM FUNDS ICA A	0.00	5.67	0.00	5.67	95.0	5.39
12/01/2017	BURTZLAFF, MATTHEW	AM FUNDS ICA A	0.00	6.17	0.00	6.17	95.0	5.86
12/01/2017	KALINOWSKI, BARBARA	AM FUNDS ICA A	0.00	3.09	0.00	3.09	95.0	2.94
12/01/2017	GIVENS, DEBRA	AM FUNDS ICA A	0.00	4.54	0.00	4.54	95.0	4.31
12/01/2017	BAXTER, COLE	AM FUNDS ICA A	0.00	6.49	0.00	6.49	95.0	6.17
12/01/2017	WAUGH, ERIN	AM FUNDS ICA A	0.00	0.98	0.00	0.98	95.0	0.93
12/01/2017	MACK JR, SAMUEL	AM FUNDS ICA A	0.00	1.56	0.00	1.56	95.0	1.48
12/01/2017	ANDERSON, AMY	AM FUNDS ICA A	0.00	1.27	0.00	1.27	95.0	1.21
12/01/2017	KEBA, STEPHEN	AM FUNDS ICA A	0.00	2.42	0.00	2.42	95.0	2.30
12/01/2017	WEST TRUST, NORA	AM FUNDS ICA A	0.00	5.37	0.00	5.37	95.0	5.10
12/01/2017	KRAUSE, BARBARA	AM FUNDS ICA A	0.00	490.30	0.00	490.30	95.0	465.79
12/01/2017	LOVEDAY, JUDITH	AM FUNDS ICA A	0.00	4.23	0.00	4.23	95.0	4.02
12/01/2017	CHERRY, JACOB	AM FUNDS ICA C	0.00	2.09	0.00	2.09	95.0	1.99
12/01/2017	PRICOPIO, VANESSA	AM FUNDS ICA C	0.00	5.06	0.00	5.06	95.0	4.81
12/01/2017	KAWALA, CHRISTINA	AM FUNDS ICA C	0.00	3.83	0.00	3.83	95.0	3.64
12/01/2017	NACHAZEL, MARY	AM FUNDS ICA C	0.00	47.56	0.00	47.56	95.0	45.18
12/01/2017	MAYNARD, JULIE	AM FUNDS ICA C	0.00	11.91	0.00	11.91	95.0	11.31
12/01/2017	JORDAN, TRAVIS	AM FUNDS ICA F1	0.00	3.65	0.00	3.65	95.0	3.47
12/01/2017	CHERRY, JACOB	AM FUNDS ICA F1	0.00	0.34	0.00	0.34	95.0	0.32
12/01/2017	LONGACRE, BROOKLYNN	AM FUNDS ICA F1	0.00	0.70	0.00	0.70	95.0	0.67
12/01/2017	YAGIELA, CODY	AM FUNDS ICA F1	0.00	1.52	0.00	1.52	95.0	1.44
12/01/2017	LONGACRE, JAXON	AM FUNDS ICA F1	0.00	1.08	0.00	1.08	95.0	1.03
12/01/2017	YAGIELA, LOGAN	AM FUNDS ICA F1	0.00	1.47	0.00	1.47	95.0	1.40
12/01/2017	PRICOPIO, VANESSA	AM FUNDS ICA F1	0.00	0.17	0.00	0.17	95.0	0.16
12/01/2017	BODNAR, NANCY	AM FUNDS INCOME FUND OF AMERICA A	0.00	6.27	0.00	6.27	95.0	5.96
12/01/2017	MORELLI, MARY	AM FUNDS INCOME FUND OF AMERICA A	0.00	54.75	0.00	54.75	95.0	52.01
12/01/2017	WELCH, TIMOTHY	AM FUNDS INCOME FUND OF AMERICA A	0.00	4.95	0.00	4.95	95.0	4.70

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

DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<b><u>DIRECT TRANSACTIONS</u></b>								
<b><u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u></b>								
12/01/2017	ARCE, MICHAEL	AM FUNDS INCOME FUND OF AMERICA A	0.00	53.49	0.00	53.49	95.0	50.82
12/01/2017	ZOGRAFOS TRUST, REGINA	AM FUNDS INCOME FUND OF AMERICA A	0.00	13.45	0.00	13.45	95.0	12.78
12/01/2017	BALAEV, ALEXANDER	AM FUNDS INCOME FUND OF AMERICA A	0.00	0.88	0.00	0.88	95.0	0.84
12/01/2017	ESSE, DAVID	AM FUNDS INCOME FUND OF AMERICA A	0.00	1.92	0.00	1.92	95.0	1.82
12/01/2017	ESSE, ANGELINE	AM FUNDS INCOME FUND OF AMERICA A	0.00	1.92	0.00	1.92	95.0	1.82
12/01/2017	ZERVAS, HELEN	AM FUNDS INCOME FUND OF AMERICA A	0.00	18.93	0.00	18.93	95.0	17.98
12/01/2017	NICOLOSI, ROSE	AM FUNDS INCOME FUND OF AMERICA A	0.00	7.35	0.00	7.35	95.0	6.98
12/01/2017	MANKO, MARGARET	AM FUNDS INCOME FUND OF AMERICA A	0.00	4.23	0.00	4.23	95.0	4.02
12/01/2017	DEFRANCESCO, STEVEN	AM FUNDS INCOME FUND OF AMERICA A	0.00	1.29	0.00	1.29	95.0	1.23
12/01/2017	MUSAL, NANCY	AM FUNDS INCOME FUND OF AMERICA A	0.00	3.14	0.00	3.14	95.0	2.98
12/01/2017	SMITH, MARTHA	AM FUNDS INCOME FUND OF AMERICA A	0.00	71.76	0.00	71.76	95.0	68.17
12/01/2017	OLSON, MELINDA	AM FUNDS INCOME FUND OF AMERICA A	0.00	5.49	0.00	5.49	95.0	5.22
12/01/2017	JONES, NEVA	AM FUNDS INCOME FUND OF AMERICA A	0.00	5.69	0.00	5.69	95.0	5.41
12/01/2017	SCHECK, VICTORIA	AM FUNDS INCOME FUND OF AMERICA A	0.00	17.98	0.00	17.98	95.0	17.08
12/01/2017	KEBA, STEPHEN	AM FUNDS INCOME FUND OF AMERICA A	0.00	15.67	0.00	15.67	95.0	14.89
12/01/2017	KOSANKE, MARK	AM FUNDS INCOME FUND OF AMERICA C	0.00	95.87	0.00	95.87	95.0	91.08
12/01/2017	WHITEFOOT, BEVERLY	AM FUNDS INCOME FUND OF AMERICA C	0.00	18.58	0.00	18.58	95.0	17.65
12/01/2017	MAGGARD, LORETTA	AM FUNDS INCOME FUND OF AMERICA C	0.00	79.77	0.00	79.77	95.0	75.78
12/01/2017	MAYNARD, JULIE	AM FUNDS INCOME FUND OF AMERICA C	0.00	9.86	0.00	9.86	95.0	9.37
12/01/2017	NACHAZEL, THOMAS	AM FUNDS INCOME FUND OF AMERICA C	0.00	59.96	0.00	59.96	95.0	56.96
12/01/2017	HAYES, DORIS	AM FUNDS INCOME FUND OF AMERICA F-1	0.00	7.35	0.00	7.35	95.0	6.98
12/01/2017	VARTABEDIAN, LISA	AM FUNDS INCOME FUND OF AMERICA-529	0.00	3.03	0.00	3.03	95.0	2.88
12/01/2017	VARTABEDIAN, LISA	AM FUNDS INCOME FUND OF AMERICA-529	0.00	3.30	0.00	3.30	95.0	3.14
12/01/2017	GALINETTI, JULIA	AM FUNDS INCOME FUND OF AMERICA-529	0.00	0.01	0.00	0.01	95.0	0.01
12/01/2017	ADAMS, JACKSON	AM FUNDS INCOME FUND OF AMERICA-529	0.00	2.57	0.00	2.57	95.0	2.44
12/01/2017	MATAR, ROBERTG	AM FUNDS INTERMEDIATE BOND FUND OF	0.00	4.02	0.00	4.02	95.0	3.82
12/01/2017	DUNN, CATHERINE	AM FUNDS INTERMEDIATE BOND FUND OF	0.00	17.08	0.00	17.08	95.0	16.23
12/01/2017	MARCOLA, ETHAN	AM FUNDS INTERMEDIATE BOND FUND OF	0.00	0.46	0.00	0.46	95.0	0.44
12/01/2017	HIGGINS, JAMES	AM FUNDS INTERMEDIATE BOND FUND OF	0.00	6.72	0.00	6.72	95.0	6.38
12/01/2017	NICKOLOPOULOS, HAILEY	AM FUNDS INTERMEDIATE BOND FUND OF	0.00	0.21	0.00	0.21	95.0	0.20
12/01/2017	SMITH, H DENNIS	AM FUNDS INTL GROWTH AND INCOME A	0.00	2.69	0.00	2.69	95.0	2.56
12/01/2017	RILEY, ROBERT	AM FUNDS INTL GROWTH AND INCOME A	0.00	4.10	0.00	4.10	95.0	3.90
12/01/2017	LIONAS, MARIKA	AM FUNDS INTL GROWTH AND INCOME A	0.00	2.49	0.00	2.49	95.0	2.37

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<b><u>DIRECT TRANSACTIONS</u></b>								
<b><u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u></b>								
12/01/2017	GARDNER, THERESA	AM FUNDS MORTGAGE A	0.00	0.94	0.00	0.94	95.0	0.89
12/01/2017	MICHON, ERIK	AM FUNDS NEW ECONOMY 529A	0.00	1.41	0.00	1.41	95.0	1.34
12/01/2017	RICHARDS, COLE	AM FUNDS NEW ECONOMY 529A	0.00	0.66	0.00	0.66	95.0	0.63
12/01/2017	FOLLETT, JACOB	AM FUNDS NEW ECONOMY 529A	0.00	1.23	0.00	1.23	95.0	1.17
12/01/2017	FOLLETT, JACOB	AM FUNDS NEW ECONOMY 529A	0.00	1.54	0.00	1.54	95.0	1.46
12/01/2017	LINDERMAN, JEAN	AM FUNDS NEW ECONOMY A	0.00	2.07	0.00	2.07	95.0	1.97
12/01/2017	HOFFMAN, BARBARA	AM FUNDS NEW ECONOMY A	0.00	35.47	0.00	35.47	95.0	33.70
12/01/2017	ERMAN, NOLAKAY	AM FUNDS NEW ECONOMY A	0.00	50.85	0.00	50.85	95.0	48.31
12/01/2017	PHILLIPS, RANDALL	AM FUNDS NEW ECONOMY A	0.00	14.47	0.00	14.47	95.0	13.75
12/01/2017	SABOOL, NICHOLAS	AM FUNDS NEW ECONOMY A	0.00	12.19	0.00	12.19	95.0	11.58
12/01/2017	MIELKE, DAVID	AM FUNDS NEW ECONOMY A	0.00	40.08	0.00	40.08	95.0	38.08
12/01/2017	SAMMONS, DAVID	AM FUNDS NEW ECONOMY A	0.00	0.18	0.00	0.18	95.0	0.17
12/01/2017	GERSPACHER, BRIANA	AM FUNDS NEW ECONOMY A	0.00	8.63	0.00	8.63	95.0	8.20
12/01/2017	CHAMPION, STEPHANIE	AM FUNDS NEW ECONOMY A	0.00	6.49	0.00	6.49	95.0	6.17
12/01/2017	JONES, GERALD	AM FUNDS NEW ECONOMY A	0.00	1.27	0.00	1.27	95.0	1.21
12/01/2017	SHALDA, ROSE	AM FUNDS NEW ECONOMY A	0.00	15.52	0.00	15.52	95.0	14.74
12/01/2017	KENDZIERSKI, JENNIE	AM FUNDS NEW ECONOMY A	0.00	1.72	0.00	1.72	95.0	1.63
12/01/2017	DELISLE, JAMES	AM FUNDS NEW ECONOMY A	0.00	0.78	0.00	0.78	95.0	0.74
12/01/2017	SIMMONDS, JOSHUA	AM FUNDS NEW ECONOMY A	0.00	3.30	0.00	3.30	95.0	3.14
12/01/2017	NATHAN, SANDRA	AM FUNDS NEW ECONOMY A	0.00	1.87	0.00	1.87	95.0	1.78
12/01/2017	SCHMITT, KEITH	AM FUNDS NEW ECONOMY A	0.00	5.73	0.00	5.73	95.0	5.44
12/01/2017	SCHNEIDER, RYAN	AM FUNDS NEW ECONOMY A	0.00	32.69	0.00	32.69	95.0	31.06
12/01/2017	PRICOPIO, MARIO	AM FUNDS NEW ECONOMY C	0.00	19.24	0.00	19.24	95.0	18.28
12/01/2017	MERREN, MICHAEL	AM FUNDS NEW ECONOMY C	0.00	39.24	0.00	39.24	95.0	37.28
12/01/2017	PRICOPIO, MARIO	AM FUNDS NEW ECONOMY FUND	0.00	0.10	0.00	0.10	95.0	0.10
12/01/2017	RUF, ANDREW	AM FUNDS NEW PERSPECTIVE 529A	0.00	5.43	0.00	5.43	95.0	5.16
12/01/2017	BARNETT, RICHARD	AM FUNDS NEW PERSPECTIVE 529A	0.00	0.24	0.00	0.24	95.0	0.23
12/01/2017	BARNETT, RICHARD	AM FUNDS NEW PERSPECTIVE 529A	0.00	0.21	0.00	0.21	95.0	0.20
12/01/2017	BARNETT, RICHARD	AM FUNDS NEW PERSPECTIVE 529A	0.00	0.96	0.00	0.96	95.0	0.91
12/01/2017	BOWEN, ED	AM FUNDS NEW PERSPECTIVE 529A	0.00	1.44	0.00	1.44	95.0	1.37
12/01/2017	ADAMS, JACKSON	AM FUNDS NEW PERSPECTIVE 529A	0.00	0.39	0.00	0.39	95.0	0.37
12/01/2017	HOFFMAN, BARBARA	AM FUNDS NEW PERSPECTIVE A	0.00	13.53	0.00	13.53	95.0	12.85
12/01/2017	HOLT, DEBBIE	AM FUNDS NEW PERSPECTIVE A	0.00	35.13	0.00	35.13	95.0	33.37

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<b><u>DIRECT TRANSACTIONS</u></b>								
<b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</b>								
12/01/2017	FARKASH /SEP, NICHOLAS	AM FUNDS NEW PERSPECTIVE A	0.00	6.73	0.00	6.73	95.0	6.39
12/01/2017	GINGELL, PAUL	AM FUNDS NEW PERSPECTIVE A	0.00	23.88	0.00	23.88	95.0	22.69
12/01/2017	HAWK, CYNTHIA	AM FUNDS NEW PERSPECTIVE A	0.00	0.28	0.00	0.28	95.0	0.27
12/01/2017	HAWK, CYNTHIA	AM FUNDS NEW PERSPECTIVE A	0.00	2.68	0.00	2.68	95.0	2.55
12/01/2017	SILVERSTEIN, MICHAEL	AM FUNDS NEW PERSPECTIVE A	0.00	8.58	0.00	8.58	95.0	8.15
12/01/2017	MAKI-DRAGER, CHRISTINE	AM FUNDS NEW PERSPECTIVE A	0.00	4.45	0.00	4.45	95.0	4.23
12/01/2017	MIELKE, DAVID	AM FUNDS NEW PERSPECTIVE A	0.00	35.92	0.00	35.92	95.0	34.12
12/01/2017	BOZELKA, KEVIN	AM FUNDS NEW PERSPECTIVE A	0.00	2.26	0.00	2.26	95.0	2.15
12/01/2017	MACKENZIE-TAYLOR, DEBORAH	AM FUNDS NEW PERSPECTIVE A	0.00	1.99	0.00	1.99	95.0	1.89
12/01/2017	TAYLOR, ALLAN	AM FUNDS NEW PERSPECTIVE A	0.00	1.99	0.00	1.99	95.0	1.89
12/01/2017	KRUSAC, CHRISTINA	AM FUNDS NEW PERSPECTIVE A	0.00	3.64	0.00	3.64	95.0	3.46
12/01/2017	VARTABEDIAN, LISA	AM FUNDS NEW PERSPECTIVE A	0.00	47.57	0.00	47.57	95.0	45.19
12/01/2017	SHALDA, ROSE	AM FUNDS NEW PERSPECTIVE A	0.00	17.88	0.00	17.88	95.0	16.99
12/01/2017	VANDERMEER, BRYON	AM FUNDS NEW PERSPECTIVE A	0.00	17.67	0.00	17.67	95.0	16.79
12/01/2017	STRUNCK, TED	AM FUNDS NEW PERSPECTIVE A	0.00	31.73	0.00	31.73	95.0	30.14
12/01/2017	BAILEY, STEVEN	AM FUNDS NEW PERSPECTIVE A	0.00	0.24	0.00	0.24	95.0	0.23
12/01/2017	GRECH, ANDREW	AM FUNDS NEW PERSPECTIVE A	0.00	17.26	0.00	17.26	95.0	16.40
12/01/2017	FULTON, JOHN	AM FUNDS NEW PERSPECTIVE A	0.00	6.29	0.00	6.29	95.0	5.98
12/01/2017	CISSELL, JOHN	AM FUNDS NEW PERSPECTIVE A	0.00	39.74	0.00	39.74	95.0	37.75
12/01/2017	CISSELL, PATRICIA	AM FUNDS NEW PERSPECTIVE A	0.00	39.74	0.00	39.74	95.0	37.75
12/01/2017	JAMES, RODNEY	AM FUNDS NEW PERSPECTIVE A	0.00	0.20	0.00	0.20	95.0	0.19
12/01/2017	OLSON, ERIC	AM FUNDS NEW PERSPECTIVE A	0.00	4.14	0.00	4.14	95.0	3.93
12/01/2017	SIMMONDS, JOSHUA	AM FUNDS NEW PERSPECTIVE A	0.00	3.41	0.00	3.41	95.0	3.24
12/01/2017	RACHEL, JOHN	AM FUNDS NEW PERSPECTIVE A	0.00	1.37	0.00	1.37	95.0	1.30
12/01/2017	MUSAL, NANCY	AM FUNDS NEW PERSPECTIVE A	0.00	3.67	0.00	3.67	95.0	3.49
12/01/2017	HABERMAN, IAN	AM FUNDS NEW PERSPECTIVE A	0.00	21.61	0.00	21.61	95.0	20.53
12/01/2017	DELISLE/AUTH PER, JAMES	AM FUNDS NEW PERSPECTIVE A	0.00	1.21	0.00	1.21	95.0	1.15
12/01/2017	SCHUBA, LAWRENCE	AM FUNDS NEW PERSPECTIVE A	0.00	1.52	0.00	1.52	95.0	1.44
12/01/2017	DOUTSAS, FREIDA	AM FUNDS NEW PERSPECTIVE A	0.00	31.94	0.00	31.94	95.0	30.34
12/01/2017	HINDS, RUSSELL	AM FUNDS NEW PERSPECTIVE C	0.00	4.48	0.00	4.48	95.0	4.26
12/01/2017	VINING, KRISTOPHER	AM FUNDS NEW PERSPECTIVE F-1	0.00	0.55	0.00	0.55	95.0	0.52
12/01/2017	FROMM, MARY	AM FUNDS NEW WORLD 529A	0.00	1.60	0.00	1.60	95.0	1.52
12/01/2017	FROMM, MARY	AM FUNDS NEW WORLD 529A	0.00	1.53	0.00	1.53	95.0	1.45

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<b><u>DIRECT TRANSACTIONS</u></b>								
<b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</b>								
12/01/2017	VARTABEDIAN, LISA	AM FUNDS NEW WORLD 529A	0.00	4.48	0.00	4.48	95.0	4.26
12/01/2017	VARTABEDIAN, LISA	AM FUNDS NEW WORLD 529A	0.00	9.39	0.00	9.39	95.0	8.92
12/01/2017	NICOLOSI, ROSE	AM FUNDS NEW WORLD 529A	0.00	20.56	0.00	20.56	95.0	19.53
12/01/2017	NICOLOSI, ROSE	AM FUNDS NEW WORLD 529A	0.00	20.32	0.00	20.32	95.0	19.30
12/01/2017	RICHARDS, COLE	AM FUNDS NEW WORLD 529A	0.00	0.50	0.00	0.50	95.0	0.48
12/01/2017	KOUZA, SOPHIA	AM FUNDS NEW WORLD 529A	0.00	10.89	0.00	10.89	95.0	10.35
12/01/2017	FROMM, MARY	AM FUNDS NEW WORLD 529A	0.00	0.73	0.00	0.73	95.0	0.69
12/01/2017	KOUZA, SOPHIA	AM FUNDS NEW WORLD 529A	0.00	10.01	0.00	10.01	95.0	9.51
12/01/2017	BOLOGNA, ADAM	AM FUNDS NEW WORLD 529A	0.00	0.76	0.00	0.76	95.0	0.72
12/01/2017	LONG, SARAH	AM FUNDS NEW WORLD 529A	0.00	0.29	0.00	0.29	95.0	0.28
12/01/2017	NICOLOSI, ROSE	AM FUNDS NEW WORLD 529A	0.00	20.32	0.00	20.32	95.0	19.30
12/01/2017	VARTABEDIAN, LISA	AM FUNDS NEW WORLD 529C	0.00	74.28	0.00	74.28	95.0	70.57
12/01/2017	VARTABEDIAN, LISA	AM FUNDS NEW WORLD 529C	0.00	79.84	0.00	79.84	95.0	75.85
12/01/2017	FROMM, MARY	AM FUNDS NEW WORLD 529C	0.00	1.30	0.00	1.30	95.0	1.24
12/01/2017	BAKER, BEVERLY	AM FUNDS NEW WORLD A	0.00	0.31	0.00	0.31	95.0	0.29
12/01/2017	MERKLE, PAUL	AM FUNDS NEW WORLD A	0.00	9.68	0.00	9.68	95.0	9.20
12/01/2017	WALKER TRUST, SUE	AM FUNDS NEW WORLD A	0.00	6.64	0.00	6.64	95.0	6.31
12/01/2017	HAVLIK, BRIAN	AM FUNDS NEW WORLD A	0.00	0.12	0.00	0.12	95.0	0.11
12/01/2017	BUSTER, RICKY	AM FUNDS NEW WORLD A	0.00	6.12	0.00	6.12	95.0	5.81
12/01/2017	IMUS, ARLEEN	AM FUNDS NEW WORLD A	0.00	10.45	0.00	10.45	95.0	9.93
12/01/2017	KINGSBURY, RONALD	AM FUNDS NEW WORLD A	0.00	0.79	0.00	0.79	95.0	0.75
12/01/2017	NEEDHAM, DOUG	AM FUNDS NEW WORLD A	0.00	0.18	0.00	0.18	95.0	0.17
12/01/2017	PARDEE, CRAIG	AM FUNDS NEW WORLD A	0.00	9.72	0.00	9.72	95.0	9.23
12/01/2017	OLSON, ERIC	AM FUNDS NEW WORLD A	0.00	3.41	0.00	3.41	95.0	3.24
12/01/2017	SIMMONDS, ASHLEIGH	AM FUNDS NEW WORLD A	0.00	1.65	0.00	1.65	95.0	1.57
12/01/2017	SIMMONDS, JOSHUA	AM FUNDS NEW WORLD A	0.00	3.93	0.00	3.93	95.0	3.73
12/01/2017	TSANGANOS, OURANIA	AM FUNDS NEW WORLD A	0.00	4.46	0.00	4.46	95.0	4.24
12/01/2017	TSANGANOS, NICHOLAOS	AM FUNDS NEW WORLD A	0.00	5.76	0.00	5.76	95.0	5.47
12/01/2017	TSANGANOS, CHRISTOPHER	AM FUNDS NEW WORLD A	0.00	5.33	0.00	5.33	95.0	5.06
12/01/2017	KARGULA, CURT	AM FUNDS NEW WORLD A	0.00	2.07	0.00	2.07	95.0	1.97
12/01/2017	TSANGANOS, OURANIA	AM FUNDS NEW WORLD A	0.00	3.90	0.00	3.90	95.0	3.71
12/01/2017	TSANGANOS, NICHOLAOS	AM FUNDS NEW WORLD A	0.00	3.90	0.00	3.90	95.0	3.71
12/01/2017	TSANGANOS, LABRENE	AM FUNDS NEW WORLD A	0.00	10.93	0.00	10.93	95.0	10.38

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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
<b><u>DIRECT TRANSACTIONS</u></b>								
<b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</b>								
12/01/2017	TSANGANOS, LABRENE	AM FUNDS NEW WORLD A	0.00	6.28	0.00	6.28	95.0	5.97
12/01/2017	MUSAL, NANCY	AM FUNDS NEW WORLD A	0.00	2.81	0.00	2.81	95.0	2.67
12/01/2017	PLUMB, KYLE	AM FUNDS NEW WORLD A	0.00	0.41	0.00	0.41	95.0	0.39
12/01/2017	TSOUKALAS, IOANNIS	AM FUNDS NEW WORLD A	0.00	0.44	0.00	0.44	95.0	0.42
12/01/2017	CHALKEY, MICHAEL	AM FUNDS NEW WORLD A	0.00	23.04	0.00	23.04	95.0	21.89
12/01/2017	BUTT, DENNIS	AM FUNDS NEW WORLD A	0.00	0.31	0.00	0.31	95.0	0.29
12/01/2017	SHEPHERD, JOE	AM FUNDS NEW WORLD A	0.00	0.01	0.00	0.01	95.0	0.01
12/01/2017	CARSON, JESSICA	AM FUNDS NEW WORLD A	0.00	0.67	0.00	0.67	95.0	0.64
12/01/2017	MARTIN, ELENA MARIE	AM FUNDS NEW WORLD A	0.00	0.41	0.00	0.41	95.0	0.39
12/01/2017	MARTIN, ANDREW	AM FUNDS NEW WORLD A	0.00	0.41	0.00	0.41	95.0	0.39
12/01/2017	MARTIN, ISABELLA	AM FUNDS NEW WORLD A	0.00	0.41	0.00	0.41	95.0	0.39
12/01/2017	MEDAUGH, JOSEPH	AM FUNDS NEW WORLD A	0.00	0.41	0.00	0.41	95.0	0.39
12/01/2017	MEDAUGH, MATTHEW	AM FUNDS NEW WORLD A	0.00	0.41	0.00	0.41	95.0	0.39
12/01/2017	BENDER, SHARON	AM FUNDS NEW WORLD A	0.00	0.31	0.00	0.31	95.0	0.29
12/01/2017	PER, ELIZABETH	AM FUNDS NEW WORLD A	0.00	0.10	0.00	0.10	95.0	0.10
12/01/2017	NATHAN, SANDRA	AM FUNDS NEW WORLD A	0.00	0.98	0.00	0.98	95.0	0.93
12/01/2017	COX, MICHAEL	AM FUNDS NEW WORLD A	0.00	2.82	0.00	2.82	95.0	2.68
12/01/2017	TSANGANOS, LABRENE	AM FUNDS NEW WORLD A	0.00	18.49	0.00	18.49	95.0	17.57
12/01/2017	TSANGANOS, LEONIDAS	AM FUNDS NEW WORLD A	0.00	20.60	0.00	20.60	95.0	19.57
12/01/2017	MATAR, ROBERTG	AM FUNDS NEW WORLD A	0.00	6.60	0.00	6.60	95.0	6.27
12/01/2017	DELISLE/AUTH PER, JAMES	AM FUNDS NEW WORLD A	0.00	0.94	0.00	0.94	95.0	0.89
12/01/2017	SANDERS, GARY	AM FUNDS NEW WORLD A	0.00	1.18	0.00	1.18	95.0	1.12
12/01/2017	PRICOPIO, MARIO	AM FUNDS NEW WORLD C	0.00	8.02	0.00	8.02	95.0	7.62
12/01/2017	MOWINSKI, VINCENZO	AM FUNDS NEW WORLD C	0.00	6.86	0.00	6.86	95.0	6.52
12/01/2017	MOWINSKI, SERGIO	AM FUNDS NEW WORLD C	0.00	6.27	0.00	6.27	95.0	5.96
12/01/2017	PRICOPIO, MARIO	AM FUNDS NEW WORLD FUND F1	0.00	0.06	0.00	0.06	95.0	0.06
12/01/2017	MURPHY, PHILIP	AM FUNDS SHORT TERM BND FUND OF AM	0.00	9.40	0.00	9.40	95.0	8.93
12/01/2017	LONG, SARAH	AM FUNDS SHORT TERM BND FUND OF AM	0.00	0.30	0.00	0.30	95.0	0.29
12/01/2017	GINGELL, PAUL	AM FUNDS SMALLCAP WORLD A	0.00	12.44	0.00	12.44	95.0	11.82
12/01/2017	ALVEY, SHERRIE	AM FUNDS SMALLCAP WORLD A	0.00	0.93	0.00	0.93	95.0	0.88
12/01/2017	MERKLE, PAUL	AM FUNDS SMALLCAP WORLD A	0.00	8.34	0.00	8.34	95.0	7.92
12/01/2017	JONES, GERALD	AM FUNDS SMALLCAP WORLD A	0.00	1.20	0.00	1.20	95.0	1.14
12/01/2017	HAVLIK, BRIAN	AM FUNDS SMALLCAP WORLD A	0.00	0.07	0.00	0.07	95.0	0.07

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<b><u>DIRECT TRANSACTIONS</u></b>								
<b><u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u></b>								
12/01/2017	ALVEY, CODY	AM FUNDS SMALLCAP WORLD A	0.00	0.47	0.00	0.47	95.0	0.45
12/01/2017	KENDZIERSKI, JENNIE	AM FUNDS SMALLCAP WORLD A	0.00	1.53	0.00	1.53	95.0	1.45
12/01/2017	GRECH, ANDREW	AM FUNDS SMALLCAP WORLD A	0.00	27.55	0.00	27.55	95.0	26.17
12/01/2017	GRECH, ANDREW	AM FUNDS SMALLCAP WORLD A	0.00	1.49	0.00	1.49	95.0	1.42
12/01/2017	GRECH, ANDREW	AM FUNDS SMALLCAP WORLD A	0.00	4.20	0.00	4.20	95.0	3.99
12/01/2017	JONES, MEREK	AM FUNDS SMALLCAP WORLD A	0.00	2.01	0.00	2.01	95.0	1.91
12/01/2017	STILLWELL, LYNNE	AM FUNDS SMALLCAP WORLD A	0.00	0.52	0.00	0.52	95.0	0.49
12/01/2017	DELISLE, JAMES	AM FUNDS SMALLCAP WORLD A	0.00	0.83	0.00	0.83	95.0	0.79
12/01/2017	OLSON, ERIC	AM FUNDS SMALLCAP WORLD A	0.00	3.79	0.00	3.79	95.0	3.60
12/01/2017	SIMMONDS, JOSHUA	AM FUNDS SMALLCAP WORLD A	0.00	2.82	0.00	2.82	95.0	2.68
12/01/2017	STILLWELL, ERIK	AM FUNDS SMALLCAP WORLD A	0.00	0.36	0.00	0.36	95.0	0.34
12/01/2017	KARGULA, CURT	AM FUNDS SMALLCAP WORLD A	0.00	2.70	0.00	2.70	95.0	2.57
12/01/2017	CARSON, JESSICA	AM FUNDS SMALLCAP WORLD A	0.00	0.31	0.00	0.31	95.0	0.29
12/01/2017	SHEPHERD, JOE	AM FUNDS SMALLCAP WORLD A	0.00	0.01	0.00	0.01	95.0	0.01
12/01/2017	BENDER, SHARON	AM FUNDS SMALLCAP WORLD A	0.00	0.44	0.00	0.44	95.0	0.42
12/01/2017	PERSIC, ERNST	AM FUNDS SMALLCAP WORLD A	0.00	9.80	0.00	9.80	95.0	9.31
12/01/2017	GARDNER, THERESA	AM FUNDS SMALLCAP WORLD A	0.00	1.12	0.00	1.12	95.0	1.06
12/01/2017	MCCAFFERTY, COLLEEN	AM FUNDS U.S. GOVERNMENT SECURITIES	0.00	12.42	0.00	12.42	95.0	11.80
12/01/2017	FINK, JENNIFER	AM FUNDS U.S. GOVERNMENT SECURITIES	0.00	1.25	0.00	1.25	95.0	1.19
12/01/2017	SHEPHERD, JOE	AM FUNDS U.S. GOVERNMENT SECURITIES	0.00	0.03	0.00	0.03	95.0	0.03
12/01/2017	JANSEN, ANTHONY	AM FUNDS U.S. GOVERNMENT SECURITIES	0.00	33.29	0.00	33.29	95.0	31.63
12/01/2017	KOSANKE, MARK	AM FUNDS U.S. GOVERNMENT SECURITIES	0.00	9.36	0.00	9.36	95.0	8.89
12/01/2017	KOSANKE, MARK	AM FUNDS U.S. GOVERNMENT SECURITIES	0.00	13.23	0.00	13.23	95.0	12.57
12/01/2017	WHITEFOOT, BEVERLY	AM FUNDS U.S. GOVERNMENT SECURITIES	0.00	11.31	0.00	11.31	95.0	10.74
12/01/2017	GALLO, ANTHONY	AM FUNDS U.S. GOVERNMENT SECURITIES	0.00	167.22	0.00	167.22	95.0	158.86
12/01/2017	HENTKOWSKI, ARTHUR	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	3.11	0.00	3.11	95.0	2.95
12/01/2017	BUXBAUM, DEBORA	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	90.69	0.00	90.69	95.0	86.16
12/01/2017	MUSSILL, KATHARINE	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	114.11	0.00	114.11	95.0	108.40
12/01/2017	GREENE, LUCIA	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	136.28	0.00	136.28	95.0	129.47
12/01/2017	HIRSCHHORN, LAURA	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	16.26	0.00	16.26	95.0	15.45
12/01/2017	MERROW / SAR SEP, DARREN	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	1.85	0.00	1.85	95.0	1.76
12/01/2017	MERROW, DARREN	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.20	0.00	0.20	95.0	0.19
12/01/2017	MARVIN, PATRICIA	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	41.16	0.00	41.16	95.0	39.10

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<b><u>DIRECT TRANSACTIONS</u></b>								
<b><u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u></b>								
12/01/2017	IVEZAJ, GYSTE	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	36.60	0.00	36.60	95.0	34.77
12/01/2017	ODELL, JEFFREY	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	26.40	0.00	26.40	95.0	25.08
12/01/2017	O'DELL, ANN	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	8.62	0.00	8.62	95.0	8.19
12/01/2017	HOLLAND, JENNIFER	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	3.52	0.00	3.52	95.0	3.34
12/01/2017	SWEENEY, EILEEN	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	184.46	0.00	184.46	95.0	175.24
12/01/2017	SWEENEY, EILEEN	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	304.13	0.00	304.13	95.0	288.92
12/01/2017	BALINSKI, BARB	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.85	0.00	0.85	95.0	0.81
12/01/2017	REETZ, LINDA	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	4.11	0.00	4.11	95.0	3.90
12/01/2017	NOONAN, PATRICIA	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	6.28	0.00	6.28	95.0	5.97
12/01/2017	JOHNSON, GREGORY	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	14.43	0.00	14.43	95.0	13.71
12/01/2017	WATTERS, JEANNE	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	14.66	0.00	14.66	95.0	13.93
12/01/2017	GREENE, GREG	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	10.36	0.00	10.36	95.0	9.84
12/01/2017	GREENE, DAVID	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	84.49	0.00	84.49	95.0	80.27
12/01/2017	MACINA, MARK	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	6.08	0.00	6.08	95.0	5.78
12/01/2017	DAY, JOYCE	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	5.11	0.00	5.11	95.0	4.85
12/01/2017	DOMBROWSKI, MARK	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	23.10	0.00	23.10	95.0	21.95
12/01/2017	JOHNSTON, LAUREN	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	4.37	0.00	4.37	95.0	4.15
12/01/2017	JOHNSTON, KELLIE	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	4.85	0.00	4.85	95.0	4.61
12/01/2017	BONDS, SALLY	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	53.93	0.00	53.93	95.0	51.23
12/01/2017	TRU-LINE METAL PRODUCTS C	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	6.19	0.00	6.19	95.0	5.88
12/01/2017	LEWIS, BARBARA	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	2.37	0.00	2.37	95.0	2.25
12/01/2017	FARINO, ALEXANDER	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	6.34	0.00	6.34	95.0	6.02
12/01/2017	POUPORE, ISABELLE	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	15.15	0.00	15.15	95.0	14.39
12/01/2017	IRONS, DENNIS	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	7.75	0.00	7.75	95.0	7.36
12/01/2017	CORNEY, JENNIFER	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	9.96	0.00	9.96	95.0	9.46
12/01/2017	CHASSE, JENNIFER	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	6.80	0.00	6.80	95.0	6.46
12/01/2017	CELLI, MICHAEL	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.30	0.00	0.30	95.0	0.29
12/01/2017	DAVIS, JAMES	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	2.16	0.00	2.16	95.0	2.05
12/01/2017	ESKOVITZ, KENNETH	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.38	0.00	0.38	95.0	0.36
12/01/2017	FOLEY, KAREN	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	20.28	0.00	20.28	95.0	19.27
12/01/2017	ALEXOPOULOS, ALEX	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	10.17	0.00	10.17	95.0	9.66
12/01/2017	ALEXOPOULOS, ALEX	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	10.17	0.00	10.17	95.0	9.66
12/01/2017	KNOTT, PAUL	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	6.91	0.00	6.91	95.0	6.56

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<b><u>DIRECT TRANSACTIONS</u></b>								
<b><u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u></b>								
12/01/2017	BERTOLINI, LEO	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	1.31	0.00	1.31	95.0	1.24
12/01/2017	LEWIS, JAMES	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	3.92	0.00	3.92	95.0	3.72
12/01/2017	REETZ, CHARLIE	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.56	0.00	0.56	95.0	0.53
12/01/2017	MILLER, JOSEPH	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	15.30	0.00	15.30	95.0	14.54
12/01/2017	ESSE, DAVID	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	1.62	0.00	1.62	95.0	1.54
12/01/2017	ESSE, ANGELINE	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	2.87	0.00	2.87	95.0	2.73
12/01/2017	STRUNCK, TED	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	31.70	0.00	31.70	95.0	30.12
12/01/2017	NIEMETTA, NINA	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.02	0.00	0.02	95.0	0.02
12/01/2017	BYRD, KATHRYN	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	40.51	0.00	40.51	95.0	38.48
12/01/2017	KARAOUZAS, OURANIA	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	8.66	0.00	8.66	95.0	8.23
12/01/2017	VESCOSKY, ANTOINETTE	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.25	0.00	0.25	95.0	0.24
12/01/2017	BUSTER, RICKY	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	22.81	0.00	22.81	95.0	21.67
12/01/2017	KISH, VIVIAN	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	48.02	0.00	48.02	95.0	45.62
12/01/2017	ZERVAS, HELEN	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	16.26	0.00	16.26	95.0	15.45
12/01/2017	BEHNKE, DANIEL	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	13.91	0.00	13.91	95.0	13.21
12/01/2017	ANASTASIOU, DESPINA	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	19.23	0.00	19.23	95.0	18.27
12/01/2017	NICOLOSI, ROSE	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	16.61	0.00	16.61	95.0	15.78
12/01/2017	SKOWRONSKI, MICHAEL	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	1.95	0.00	1.95	95.0	1.85
12/01/2017	GRIFFIN, SHEILA	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	8.97	0.00	8.97	95.0	8.52
12/01/2017	SKOWRONSKI, LUISA	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	1.63	0.00	1.63	95.0	1.55
12/01/2017	STRAYVE, MICHAEL	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.18	0.00	0.18	95.0	0.17
12/01/2017	GORSEK, JOHN	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	9.23	0.00	9.23	95.0	8.77
12/01/2017	BEHNKE, MARK	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.60	0.00	0.60	95.0	0.57
12/01/2017	GRECH, ANDREW	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	5.30	0.00	5.30	95.0	5.04
12/01/2017	GRECH, ANDREW	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	15.77	0.00	15.77	95.0	14.98
12/01/2017	FULTON, JOHN	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	6.52	0.00	6.52	95.0	6.19
12/01/2017	WATTERS, JEANNE	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	7.96	0.00	7.96	95.0	7.56
12/01/2017	CISSELL, JOHN	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	275.08	0.00	275.08	95.0	261.33
12/01/2017	CISSELL, PATRICIA	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	275.08	0.00	275.08	95.0	261.33
12/01/2017	TSANGANOS, CHRISTOPHER	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	3.55	0.00	3.55	95.0	3.37
12/01/2017	BODE, SHELBBIA	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	22.22	0.00	22.22	95.0	21.11
12/01/2017	LEWIS, BARBARA	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	1.53	0.00	1.53	95.0	1.45
12/01/2017	BENNETT, AMANDA	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.93	0.00	0.93	95.0	0.88

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<b><u>DIRECT TRANSACTIONS</u></b>								
<b><u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u></b>								
12/01/2017	PRICE, PATRICIA	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	1.91	0.00	1.91	95.0	1.81
12/01/2017	HABERMAN, IAN	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	18.31	0.00	18.31	95.0	17.39
12/01/2017	RILEY, ROBERT	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.37	0.00	0.37	95.0	0.35
12/01/2017	LIONAS, MARIKA	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	1.33	0.00	1.33	95.0	1.26
12/01/2017	GEORGOULIS, ELEANNA	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	3.12	0.00	3.12	95.0	2.96
12/01/2017	GEORGOULIS, ANDREANNA	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	2.95	0.00	2.95	95.0	2.80
12/01/2017	BUSARSKY, KATHLEEN	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	26.95	0.00	26.95	95.0	25.60
12/01/2017	ULJAJ, JOSEPH	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	21.87	0.00	21.87	95.0	20.78
12/01/2017	WEST TRUST, NORA	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	6.41	0.00	6.41	95.0	6.09
12/01/2017	ISRAEL, RONALD	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	77.39	0.00	77.39	95.0	73.52
12/01/2017	MERRITT, MARY LOU	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	59.54	0.00	59.54	95.0	56.56
12/01/2017	SOBIESKI, JOYCE	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	44.00	0.00	44.00	95.0	41.80
12/01/2017	SOBIESKI, JOYCE	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	4.29	0.00	4.29	95.0	4.08
12/01/2017	LUMETTA, PAUL	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.70	0.00	0.70	95.0	0.67
12/01/2017	KAPFHAMER, SCOTT	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	12.36	0.00	12.36	95.0	11.74
12/01/2017	KAPFHAMER, SCOTT	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	9.15	0.00	9.15	95.0	8.69
12/01/2017	HIGGINS, JAMES	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	14.64	0.00	14.64	95.0	13.91
12/01/2017	NICKOLOPOULOS, HAILEY	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	3.58	0.00	3.58	95.0	3.40
12/01/2017	SKOWRONSKI, GABRIELLA	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	3.38	0.00	3.38	95.0	3.21
12/01/2017	LUMETTA, PAUL	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	3.60	0.00	3.60	95.0	3.42
12/01/2017	BARNETT, RICHARD	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.22	0.00	0.22	95.0	0.21
12/01/2017	BARNETT, RICHARD	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.19	0.00	0.19	95.0	0.18
12/01/2017	SAWYER, ALONZO	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.97	0.00	0.97	95.0	0.92
12/01/2017	SKOWRONSKI, GABRIELLA	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	1.02	0.00	1.02	95.0	0.97
12/01/2017	SAWYER, ALONZO	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.97	0.00	0.97	95.0	0.92
12/01/2017	SAWYER, ALONZO	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.97	0.00	0.97	95.0	0.92
12/01/2017	FOLLETT, JACOB	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	1.15	0.00	1.15	95.0	1.09
12/01/2017	FOLLETT, JACOB	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	1.43	0.00	1.43	95.0	1.36
12/01/2017	LOVEDAY, JUDITH	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	5.13	0.00	5.13	95.0	4.87
12/01/2017	POLANT, LOUIS	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	40.40	0.00	40.40	95.0	38.38
12/01/2017	VINING, KRISTOPHER	AMERICAN FUND SMALLCAP WORKD FUND-F	0.00	2.73	0.00	2.73	95.0	2.59
12/01/2017	HAYES, DORIS	AMERICAN FUNDS BALANCED FUNDS F-1	0.00	7.43	0.00	7.43	95.0	7.06
12/01/2017	HEGEL, SUSAN	AMERICAN FUNDS CORPORATE BOND FD A	0.00	31.52	0.00	31.52	95.0	29.94

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<b><u>DIRECT TRANSACTIONS</u></b>								
<b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</b>								
11/16/2017	WAGNER II TRUST, HARRY	GRIFFIN INST'L ACCESS R E FUND C	0.00	92.01	0.00	92.01	95.0	87.41
11/16/2017	WAGNER II TRUST, HARRY	GRIFFIN INST'L ACCESS R E FUND C	0.00	276.03	0.00	276.03	95.0	262.23
11/16/2017	FARRAR TRUST, CHARLES & KAREN	GRIFFIN INST'L ACCESS R E FUND C	0.00	44.93	0.00	44.93	95.0	42.68
11/16/2017	FARRAR TRUST, CHARLES & KAREN	GRIFFIN INST'L ACCESS R E FUND C	0.00	134.80	0.00	134.80	95.0	128.06
11/16/2017	ANDERSON, ARTHUR	GRIFFIN INST'L ACCESS R E FUND C	0.00	11.23	0.00	11.23	95.0	10.67
11/16/2017	ANDERSON, ARTHUR	GRIFFIN INST'L ACCESS R E FUND C	0.00	33.70	0.00	33.70	95.0	32.02
/ /	OVERMYER, SUSAN	HARTFORD CAPITAL APP II A	0.00	8.22	0.00	8.22	95.0	7.81
/ /	ROCCA, HELEN	HARTFORD CAPITAL APPRECIATION A	0.00	0.64	0.00	0.64	95.0	0.61
/ /	HARTMAN, GREGORY	HARTFORD CAPITAL APPRECIATION A	0.00	0.87	0.00	0.87	95.0	0.83
/ /	GARON-NOWACZYK TRUST, KIM	HARTFORD CAPITAL APPRECIATION C	0.00	5.37	0.00	5.37	95.0	5.10
/ /	OVERMYER, SUSAN	HARTFORD DIVIDEND & GROWTH A	0.00	23.34	0.00	23.34	95.0	22.17
/ /	COLE, JAMES WILLIAM	HARTFORD DIVIDEND & GROWTH C	0.00	13.17	0.00	13.17	95.0	12.51
/ /	HARTMAN, GREGORY	HARTFORD HEALTHCARE A	0.00	0.80	0.00	0.80	95.0	0.76
/ /	OVERMYER, SUSAN	HARTFORD HEALTHCARE A	0.00	39.41	0.00	39.41	95.0	37.44
/ /	RUFFINO, ERNESTINE	HARTFORD HEALTHCARE A	0.00	18.92	0.00	18.92	95.0	17.97
/ /	GARON-NOWACZYK TRUST, KIM	HARTFORD HEALTHCARE C	0.00	4.88	0.00	4.88	95.0	4.64
/ /	HARTMAN, GREGORY	HARTFORD MIDCAP A	0.00	2.12	0.00	2.12	95.0	2.01
/ /	OVERMYER, SUSAN	HARTFORD MIDCAP A	0.00	26.51	0.00	26.51	95.0	25.18
/ /	GARON-NOWACZYK TRUST, KIM	HARTFORD MIDCAP C	0.00	4.72	0.00	4.72	95.0	4.48
/ /	HARTMAN, GREGORY	HARTFORD MIDCAP VALUE A	0.00	1.17	0.00	1.17	95.0	1.11
/ /	HARTMAN, GREGORY	HARTFORD SCHRDRS US SM MD CAP OPP-A	0.00	1.30	0.00	1.30	95.0	1.24
/ /	HARTMAN, GREGORY	HARTFORD SMALLCAP GROWTH A	0.00	4.00	0.00	4.00	95.0	3.80
/ /	HARTMAN, GREGORY	HARTFUND EQUITY INCIME FUND A	0.00	1.92	0.00	1.92	95.0	1.82
11/14/2017	MANZO, JOHN	LORD ABBETT AFFILIATED A	0.00	216.72	0.00	216.72	95.0	205.88
11/14/2017	FREAR, BARBARA	LORD ABBETT AFFILIATED A	0.00	17.43	0.00	17.43	95.0	16.56
11/14/2017	MINOLETTI, JANE	LORD ABBETT AFFILIATED A	0.00	56.53	0.00	56.53	95.0	53.70
12/04/2017	PETERSON, ALEXA	TRANSAMERICA AA CONSERVATIVE C	0.00	33.70	0.00	33.70	95.0	32.02
12/04/2017	PETERSON, TREY	TRANSAMERICA AA CONSERVATIVE C	0.00	33.70	0.00	33.70	95.0	32.02
12/04/2017	RICE, STEPHANIE	TRANSAMERICA AA GROWTH C	0.00	4.94	0.00	4.94	95.0	4.69
12/04/2017	KUCHAREK, MARK	TRANSAMERICA AA GROWTH C	0.00	6.07	0.00	6.07	95.0	5.77
12/04/2017	SULLIVAN, MICHAEL	TRANSAMERICA AA GROWTH C	0.00	20.93	0.00	20.93	95.0	19.88
12/04/2017	MAYNARD, TRAVIS	TRANSAMERICA AA GROWTH C	0.00	1.65	0.00	1.65	95.0	1.57
12/04/2017	DUMOND, PHYLLIS	TRANSAMERICA AA GROWTH C	0.00	9.99	0.00	9.99	95.0	9.49

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<b><u>DIRECT TRANSACTIONS</u></b>								
<b><u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u></b>								
12/04/2017	COOPER, LISA	TRANSAMERICA AA GROWTH C	0.00	0.47	0.00	0.47	95.0	0.45
12/04/2017	WEBSTER, BRIAN	TRANSAMERICA AA GROWTH C	0.00	1.01	0.00	1.01	95.0	0.96
12/04/2017	JOUPPI, JEFFREY	TRANSAMERICA AA GROWTH C	0.00	86.61	0.00	86.61	95.0	82.28
12/04/2017	COMAN, RONALD	TRANSAMERICA AA GROWTH C	0.00	20.54	0.00	20.54	95.0	19.51
12/04/2017	PALAZZOLO, SALATORE	TRANSAMERICA AA GROWTH C	0.00	12.17	0.00	12.17	95.0	11.56
12/04/2017	BARTOI, MIKAELA	TRANSAMERICA AA GROWTH C	0.00	4.10	0.00	4.10	95.0	3.90
12/04/2017	ROWAN, CHRISTINE	TRANSAMERICA AA GROWTH C	0.00	27.84	0.00	27.84	95.0	26.45
12/04/2017	KUCHAREK, NORMA	TRANSAMERICA AA GROWTH C	0.00	8.93	0.00	8.93	95.0	8.48
12/04/2017	OLSEN, MARTHA	TRANSAMERICA AA GROWTH C	0.00	10.45	0.00	10.45	95.0	9.93
12/04/2017	HESSLER, GARY	TRANSAMERICA AA GROWTH C	0.00	39.24	0.00	39.24	95.0	37.28
12/04/2017	BLANKENSHIP, JANET	TRANSAMERICA AA GROWTH C	0.00	11.89	0.00	11.89	95.0	11.30
12/04/2017	RONDO, DENISE	TRANSAMERICA AA GROWTH C	0.00	12.37	0.00	12.37	95.0	11.75
12/04/2017	PALAZZOLO, ANNA	TRANSAMERICA AA GROWTH C	0.00	19.10	0.00	19.10	95.0	18.15
12/04/2017	LINDOW, RONALD	TRANSAMERICA AA GROWTH C	0.00	1.53	0.00	1.53	95.0	1.45
12/04/2017	WILMAN, ANN	TRANSAMERICA AA GROWTH C	0.00	58.57	0.00	58.57	95.0	55.64
12/04/2017	KUCHAREK, MARK	TRANSAMERICA AA GROWTH C	0.00	37.85	0.00	37.85	95.0	35.96
12/04/2017	LOPICCOLO, CATHERINE	TRANSAMERICA AA GROWTH C	0.00	41.18	0.00	41.18	95.0	39.12
12/04/2017	DUMOND, PHYLLIS	TRANSAMERICA AA GROWTH C	0.00	22.49	0.00	22.49	95.0	21.37
12/04/2017	RIOS-DORIA, H. WALTER	TRANSAMERICA AA GROWTH C	0.00	49.02	0.00	49.02	95.0	46.57
12/04/2017	WETZEL, TIFFANY	TRANSAMERICA AA GROWTH C	0.00	13.40	0.00	13.40	95.0	12.73
12/04/2017	KEELER, DAVID	TRANSAMERICA AA GROWTH C	0.00	49.45	0.00	49.45	95.0	46.98
12/04/2017	HILDEBRAND, JOSEPH	TRANSAMERICA AA GROWTH C	0.00	27.63	0.00	27.63	95.0	26.25
12/04/2017	DEHEM, GARY	TRANSAMERICA AA GROWTH C	0.00	38.90	0.00	38.90	95.0	36.96
12/04/2017	LINDOW, RICHARD	TRANSAMERICA AA GROWTH C	0.00	23.83	0.00	23.83	95.0	22.64
12/04/2017	MULDOON, SHEILA	TRANSAMERICA AA GROWTH C	0.00	24.41	0.00	24.41	95.0	23.19
12/04/2017	KUCHAREK, SARAH	TRANSAMERICA AA GROWTH C	0.00	4.93	0.00	4.93	95.0	4.68
12/04/2017	HECKER, GENE	TRANSAMERICA AA GROWTH C	0.00	7.66	0.00	7.66	95.0	7.28
12/04/2017	WATERS, SALLY	TRANSAMERICA AA GROWTH C	0.00	13.40	0.00	13.40	95.0	12.73
12/04/2017	WATERS, WILLIAM	TRANSAMERICA AA GROWTH C	0.00	5.20	0.00	5.20	95.0	4.94
12/04/2017	TOBEY, TIMOTHY	TRANSAMERICA AA GROWTH C	0.00	13.57	0.00	13.57	95.0	12.89
12/04/2017	FARRAR, CHARLES	TRANSAMERICA AA GROWTH C	0.00	8.37	0.00	8.37	95.0	7.95
12/04/2017	BUSZEK, PAUL	TRANSAMERICA AA GROWTH C	0.00	1.09	0.00	1.09	95.0	1.04
12/04/2017	HOOTNER-JONES, ANN	TRANSAMERICA AA GROWTH C	0.00	8.31	0.00	8.31	95.0	7.89

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<b><u>DIRECT TRANSACTIONS</u></b>								
<b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</b>								
12/04/2017	PALAZZOLO, SALVATORE	TRANSAMERICA AA GROWTH C	0.00	14.30	0.00	14.30	95.0	13.59
12/04/2017	BASTIN, TIFFANY	TRANSAMERICA AA GROWTH C	0.00	3.75	0.00	3.75	95.0	3.56
12/04/2017	RICE, STEPHANIE	TRANSAMERICA AA GROWTH C	0.00	3.80	0.00	3.80	95.0	3.61
12/04/2017	KOLLINGER, ROBERT	TRANSAMERICA AA MOD GROWTH C	0.00	0.93	0.00	0.93	95.0	0.88
12/04/2017	HOVIS, MARJORIE	TRANSAMERICA AA MOD GROWTH C	0.00	3.62	0.00	3.62	95.0	3.44
12/04/2017	BELLINGER, VICKIE	TRANSAMERICA AA MOD GROWTH C	0.00	34.12	0.00	34.12	95.0	32.41
12/04/2017	BELLINGER, GEORGE	TRANSAMERICA AA MOD GROWTH C	0.00	27.52	0.00	27.52	95.0	26.14
12/04/2017	POLENYCHKO, SHIRLEY	TRANSAMERICA AA MOD GROWTH C	0.00	9.28	0.00	9.28	95.0	8.82
12/04/2017	AUGUSTYN, PATRICIA	TRANSAMERICA AA MOD GROWTH C	0.00	11.39	0.00	11.39	95.0	10.82
12/04/2017	BLANKENSHIP, JANET	TRANSAMERICA AA MOD GROWTH C	0.00	208.90	0.00	208.90	95.0	198.46
12/04/2017	KOLLINGER, CINDY	TRANSAMERICA AA MOD GROWTH C	0.00	9.55	0.00	9.55	95.0	9.07
12/04/2017	KEELER, DAVID	TRANSAMERICA AA MOD GROWTH C	0.00	21.91	0.00	21.91	95.0	20.81
12/04/2017	TYSZKIEWICZ, KURT	TRANSAMERICA AA MOD GROWTH C	0.00	23.86	0.00	23.86	95.0	22.67
12/04/2017	KUCHAREK, MARCIA	TRANSAMERICA AA MOD GROWTH C	0.00	11.78	0.00	11.78	95.0	11.19
12/04/2017	MCGUIRE, MARY	TRANSAMERICA AA MOD GROWTH C	0.00	16.00	0.00	16.00	95.0	15.20
12/04/2017	LEHMAN, JEFFREY	TRANSAMERICA AA MOD GROWTH C	0.00	0.11	0.00	0.11	95.0	0.10
12/04/2017	HENRY, JACQUELINE	TRANSAMERICA AA MOD GROWTH C	0.00	25.35	0.00	25.35	95.0	24.08
12/04/2017	O'CONNOR, FRANCIS	TRANSAMERICA AA MOD GROWTH C	0.00	54.98	0.00	54.98	95.0	52.23
12/04/2017	BAKER, JEAN-ANNE	TRANSAMERICA AA MOD GROWTH C	0.00	38.42	0.00	38.42	95.0	36.50
12/04/2017	KOSANKE, BARBARA	TRANSAMERICA AA MOD GROWTH C	0.00	32.37	0.00	32.37	95.0	30.75
12/04/2017	DEW, DESIREE	TRANSAMERICA AA MOD GROWTH C	0.00	44.61	0.00	44.61	95.0	42.38
12/04/2017	CYRULEWSKI TRUST, LOIS	TRANSAMERICA AA MOD GROWTH C	0.00	11.87	0.00	11.87	95.0	11.28
12/04/2017	NIZIO, EDMUND	TRANSAMERICA AA MOD GROWTH C	0.00	3.61	0.00	3.61	95.0	3.43
12/04/2017	PALAZZOLO, SALATORE	TRANSAMERICA AA MOD GROWTH C	0.00	9.77	0.00	9.77	95.0	9.28
12/04/2017	KOSANKE, CHARLES W	TRANSAMERICA AA MOD GROWTH C	0.00	16.66	0.00	16.66	95.0	15.83
12/04/2017	MERRITT, MARY LOU	TRANSAMERICA AA MOD GROWTH C	0.00	114.44	0.00	114.44	95.0	108.72
12/04/2017	GROBAR TRUST, MARVIN & MARY	TRANSAMERICA AA MOD GROWTH C	0.00	58.52	0.00	58.52	95.0	55.59
12/04/2017	OLSEN, MARTHA	TRANSAMERICA AA MOD GROWTH C	0.00	9.90	0.00	9.90	95.0	9.41
12/04/2017	SARKISIAN, NORAY	TRANSAMERICA AA MOD GROWTH C	0.00	10.15	0.00	10.15	95.0	9.64
12/04/2017	SARKISIAN, NORAY	TRANSAMERICA AA MOD GROWTH C	0.00	5.12	0.00	5.12	95.0	4.86
12/04/2017	CARLSON, PATRICIA	TRANSAMERICA AA MOD GROWTH C	0.00	2.73	0.00	2.73	95.0	2.59
12/04/2017	RIOS-DORIA, H. WALTER	TRANSAMERICA AA MOD GROWTH C	0.00	44.78	0.00	44.78	95.0	42.54
12/04/2017	RYAN, VICKI	TRANSAMERICA AA MOD GROWTH C	0.00	3.52	0.00	3.52	95.0	3.34

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<b><u>DIRECT TRANSACTIONS</u></b>								
<b><u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u></b>								
12/04/2017	RYAN, KAREN	TRANSAMERICA AA MOD GROWTH C	0.00	2.14	0.00	2.14	95.0	2.03
12/04/2017	BARTOI, MIKAELA	TRANSAMERICA AA MOD GROWTH C	0.00	153.09	0.00	153.09	95.0	145.44
12/04/2017	BUTLER, SANDRA	TRANSAMERICA AA MOD GROWTH C	0.00	54.61	0.00	54.61	95.0	51.88
12/04/2017	KANAKRI, JOSEPH	TRANSAMERICA AA MOD GROWTH C	0.00	2.13	0.00	2.13	95.0	2.02
12/04/2017	KANAKRI, MARIA	TRANSAMERICA AA MOD GROWTH C	0.00	3.33	0.00	3.33	95.0	3.16
12/04/2017	BUSZEK, PAUL	TRANSAMERICA AA MOD GROWTH C	0.00	18.44	0.00	18.44	95.0	17.52
12/04/2017	LAWRENCE, PEGGY	TRANSAMERICA AA MOD GROWTH C	0.00	13.24	0.00	13.24	95.0	12.58
12/04/2017	BERDESKI, AUDREY	TRANSAMERICA AA MOD GROWTH C	0.00	5.55	0.00	5.55	95.0	5.27
12/04/2017	KAWALA, CHRISTINA	TRANSAMERICA AA MOD GROWTH C	0.00	113.41	0.00	113.41	95.0	107.74
12/04/2017	SARKISIAN, NORAY	TRANSAMERICA AA MODERATE C	0.00	18.61	0.00	18.61	95.0	17.68
12/04/2017	SARKISIAN, NORAY	TRANSAMERICA AA MODERATE C	0.00	0.77	0.00	0.77	95.0	0.73
12/04/2017	MOORE, LOUIS	TRANSAMERICA AA MODERATE C	0.00	86.17	0.00	86.17	95.0	81.86
12/04/2017	BARTOI, JOHN	TRANSAMERICA AA MODERATE C	0.00	2.82	0.00	2.82	95.0	2.68
12/04/2017	MANOLATOS, STEVE	TRANSAMERICA AA MODERATE C	0.00	7.78	0.00	7.78	95.0	7.39
12/04/2017	HILDEBRAND, JOSEPH	TRANSAMERICA MULTI MGR ALT STRATEGI	0.00	9.61	0.00	9.61	95.0	9.13
12/04/2017	PALAZZOLO, SALATORE	TRANSAMERICA MULTI MGR INTL C	0.00	0.33	0.00	0.33	95.0	0.31
12/04/2017	BARTOI, JOHN	TRANSAMERICA MULTI MGR INTL C	0.00	12.83	0.00	12.83	95.0	12.19
12/04/2017	BARTOI, MIKAELA	TRANSAMERICA MULTI MGR INTL C	0.00	9.00	0.00	9.00	95.0	8.55
12/04/2017	FARRAR, CHARLES	TRANSAMERICA MULTI MGR INTL C	0.00	34.62	0.00	34.62	95.0	32.89
12/04/2017	WILMAN, ANN	TRANSAMERICA MULTI MGR INTL C	0.00	25.00	0.00	25.00	95.0	23.75
12/04/2017	KUCHAREK, MARK	TRANSAMERICA MULTI MGR INTL C	0.00	10.49	0.00	10.49	95.0	9.97
12/04/2017	DUMOND, PHYLLIS	TRANSAMERICA MULTI MGR INTL C	0.00	5.06	0.00	5.06	95.0	4.81
12/04/2017	KEELER, DAVID	TRANSAMERICA MULTI MGR INTL C	0.00	14.03	0.00	14.03	95.0	13.33
12/04/2017	HILDEBRAND, JOSEPH	TRANSAMERICA MULTI MGR INTL C	0.00	12.16	0.00	12.16	95.0	11.55
12/04/2017	DEHEM, GARY	TRANSAMERICA MULTI MGR INTL C	0.00	14.77	0.00	14.77	95.0	14.03
12/04/2017	ALLEN, BRADLEY	TRANSAMERICA MULTI-MANAGED BAL C	0.00	21.85	0.00	21.85	95.0	20.76
12/04/2017	WAGNER, MALLORY	TRANSAMERICA MULTI-MANAGED BAL C	0.00	3.01	0.00	3.01	95.0	2.86
12/04/2017	EVANS, SANDRA	TRANSAMERICA MULTI-MANAGED BAL C	0.00	6.30	0.00	6.30	95.0	5.99
12/04/2017	EVANS, ROBERT	TRANSAMERICA MULTI-MANAGED BAL C	0.00	7.56	0.00	7.56	95.0	7.18
12/04/2017	GRECH, ROSALIE	TRANSAMERICA MULTI-MANAGED BAL C	0.00	28.33	0.00	28.33	95.0	26.91
12/04/2017	CANNON TRUST, HENRY & BARBARA	TRANSAMERICA MULTI-MANAGED BAL C	0.00	112.14	0.00	112.14	95.0	106.53
12/04/2017	WEYCKER, AARON	TRANSAMERICA MULTI-MANAGED BAL C	0.00	44.24	0.00	44.24	95.0	42.03
12/04/2017	WEYCKER, AARON	TRANSAMERICA MULTI-MANAGED BAL C	0.00	7.00	0.00	7.00	95.0	6.65

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<b><u>DIRECT TRANSACTIONS</u></b>								
<b><u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u></b>								
12/04/2017	DOUTSAS, MADELYN	TRANSAMERICA MULTI-MANAGED BAL C	0.00	2.97	0.00	2.97	95.0	2.82
12/04/2017	HOOTNER-JONES, ANN	TRANSAMERICA MULTI-MANAGED BAL C	0.00	2.76	0.00	2.76	95.0	2.62
12/04/2017	WEYCKER, ROBERT	TRANSAMERICA MULTI-MANAGED BAL C	0.00	14.08	0.00	14.08	95.0	13.38
12/04/2017	RICHARDSON, SHANE	TRANSAMERICA MULTI-MANAGED BAL C	0.00	1.22	0.00	1.22	95.0	1.16
12/04/2017	MAGGARD, LORETTA	TRANSAMERICA MULTI-MANAGED BAL C	0.00	12.69	0.00	12.69	95.0	12.06
12/04/2017	KAWALA, CHRISTINA	TRANSAMERICA MULTI-MANAGED BAL C	0.00	17.28	0.00	17.28	95.0	16.42
12/04/2017	EICHENLAUB, TRACEY	TRANSAMERICA MULTI-MANAGED BAL C	0.00	38.01	0.00	38.01	95.0	36.11
12/04/2017	BELLINGER, VICKIE	TRANSAMERICA MULTI-MANAGED BAL C	0.00	44.50	0.00	44.50	95.0	42.28
12/04/2017	OLSEN, MARTHA	TRANSAMERICA MULTI-MANAGED BAL C	0.00	10.65	0.00	10.65	95.0	10.12
12/04/2017	MOORE, SUSAN ANN PRIES	TRANSAMERICA MULTI-MANAGED BAL C	0.00	101.05	0.00	101.05	95.0	96.00
12/04/2017	YOUNG, RICK	TRANSAMERICA MULTI-MANAGED BAL C	0.00	135.61	0.00	135.61	95.0	128.83
12/04/2017	DINKA, CATHERINE	TRANSAMERICA MULTI-MANAGED BAL C	0.00	76.78	0.00	76.78	95.0	72.94
12/04/2017	PARKE, DEBORAH	TRANSAMERICA MULTI-MANAGED BAL C	0.00	16.13	0.00	16.13	95.0	15.32
12/04/2017	SMITH, MARTHA	TRANSAMERICA MULTI-MANAGED BAL C	0.00	101.91	0.00	101.91	95.0	96.81
12/04/2017	FARRAR, KAREN	TRANSAMERICA MULTI-MANAGED BAL C	0.00	43.90	0.00	43.90	95.0	41.71
12/04/2017	EICHENLAUB, TRACEY	TRANSAMERICA MULTI-MANAGED BAL C	0.00	20.95	0.00	20.95	95.0	19.90
12/04/2017	ROLLINGS, DEBORAH	TRANSAMERICA MULTI-MANAGED BAL C	0.00	29.43	0.00	29.43	95.0	27.96
12/04/2017	ALLEN, BRADLEY	TRANSAMERICA MULTI-MANAGED BAL C	0.00	20.55	0.00	20.55	95.0	19.52
12/04/2017	DOUTSAS, ALEXANDER	TRANSAMERICA MULTI-MANAGED BAL C	0.00	6.27	0.00	6.27	95.0	5.96
12/04/2017	GRAMMATICO, DENNIS	TRANSAMERICA SHORT-TERM BOND C	0.00	7.09	0.00	7.09	95.0	6.74
12/04/2017	GRAMMATICO, SHARON	TRANSAMERICA SHORT-TERM BOND C	0.00	7.09	0.00	7.09	95.0	6.74
12/04/2017	SARKISIAN, NORAY	TRANSAMERICA SHORT-TERM BOND C	0.00	26.84	0.00	26.84	95.0	25.50
12/04/2017	MERRITT, MARY LOU	TRANSAMERICA SHORT-TERM BOND C	0.00	22.04	0.00	22.04	95.0	20.94
12/04/2017	O'CONNOR, FRANCIS	TRANSAMERICA SHORT-TERM BOND C	0.00	60.75	0.00	60.75	95.0	57.71
12/04/2017	RYAN, JACK	TRANSAMERICA SHORT-TERM BOND C	0.00	8.48	0.00	8.48	95.0	8.06
12/04/2017	RYAN, KAREN	TRANSAMERICA SHORT-TERM BOND C	0.00	8.13	0.00	8.13	95.0	7.72
12/04/2017	EVANS, SANDRA	TRANSAMERICA TACTICAL INCOME C	0.00	4.66	0.00	4.66	95.0	4.43
12/04/2017	EVANS, ROBERT	TRANSAMERICA TACTICAL INCOME C	0.00	5.58	0.00	5.58	95.0	5.30
12/04/2017	KAWALA, CHRISTINA	TRANSAMERICA TACTICAL INCOME C	0.00	3.11	0.00	3.11	95.0	2.95
12/04/2017	PIZZO, ROSOLINO	TRANSAMERICA WMC DIV EQUITY C	0.00	1.97	0.00	1.97	95.0	1.87
10/31/2017	CFGROUP, VARIOUS	VOYA TRAILS	0.00	3.69	0.00	3.69	95.0	3.51
<b>* MUTUAL FUND 12B1 TRAILS SUBTOTAL *</b>			<b>\$0.00</b>	<b>\$18,895.84</b>	<b>\$0.00</b>	<b>\$18,895.84</b>		<b>\$17,951.28</b>
<b>*** DIRECT TRANSACTIONS TOTAL ***</b>			<b>\$1,613,202.23</b>	<b>\$36,947.28</b>	<b>\$0.00</b>	<b>\$36,947.28</b>		<b>\$35,100.21</b>

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<b><u>SPLIT TRANSACTIONS</u></b>								
<b><u>BROKER: MARK KOSANKE #3</u></b>								
11/09/2017	MARCOLA, THADDEUS	ALLIANCEBERNSTEIN LARGE CAP GROWTH	0.00	0.40	0.00	0.40	95.0	0.38
11/01/2017	ANASTASIOU, MICHAEL	ALPHA PRO TECH LTD	2,052.50	41.00	14.00	27.00	95.0	25.65
11/09/2017	CAUL, MARTINA	AM FUNDS AMERICAN BALANCED A	0.00	0.22	0.00	0.22	95.0	0.21
11/09/2017	GOOSSENS, LORI	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	2.61	0.00	2.61	95.0	2.48
11/09/2017	CAUL, MARTINA	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.19	0.00	0.19	95.0	0.18
11/09/2017	CAUL, MARTINA	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.48	0.00	0.48	95.0	0.46
11/09/2017	SCULLY, DOROTHY	AM FUNDS ICA A	0.00	12.61	0.00	12.61	95.0	11.98
11/09/2017	DENNIS, STEVEN	AM FUNDS SMALLCAP WORLD A	0.00	6.81	0.00	6.81	95.0	6.47
11/09/2017	MCCALL, JEFFREY	AM FUNDS SMALLCAP WORLD A	0.00	1.29	0.00	1.29	95.0	1.23
11/09/2017	DENNIS, STEVEN	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	5.44	0.00	5.44	95.0	5.17
11/09/2017	MILLER, JOSEPH	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	1.63	0.00	1.63	95.0	1.55
11/09/2017	MILLER, JOSEPH	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	1.63	0.00	1.63	95.0	1.55
11/09/2017	NICOLOSI, ROSE	COLUMBIA SELIGMAN COMM AND INFO A	0.00	2.62	0.00	2.62	95.0	2.49
11/09/2017	DENNIS, STEVEN	DAVIS NEW YORK VENTURE A	0.00	16.88	0.00	16.88	95.0	16.04
11/09/2017	KNOCH JR, WALTER	DAVIS NEW YORK VENTURE A	0.00	10.49	0.00	10.49	95.0	9.97
11/09/2017	HENKEL, JAMES	DREYFUS HIGH YIELD A	0.00	0.58	0.00	0.58	95.0	0.55
11/22/2017	HENKEL, JAMES	DWS DEUTSCHE HIGH INCOME FUND A	3,000.00	0.00	0.00	0.00	95.0	0.00
11/09/2017	ADAMS, ERIK	FEDERATED HIGH INCOME BOND FUND INC	0.00	0.77	0.00	0.77	95.0	0.73
11/09/2017	ADAMS, ERIK	FEDERATED MARKET OPPORTUNITY A	0.00	2.39	0.00	2.39	95.0	2.27
11/09/2017	GARCIA-SANTOS, VICKY	FIRST EAGLE GLOBAL FUND CL A	0.00	7.43	0.00	7.43	95.0	7.06
11/09/2017	MILLARD, KEITH	FORD MOTOR CO DEL COM PAR	4,786.00	95.00	14.00	81.00	95.0	76.95
11/30/2017	KRASS, DELORES	JNL PERSPECTIVE REWARDS	15,474.71	3.22	0.00	3.22	95.0	3.06
11/09/2017	BROUSE, SARAH	OPPENHEIMER PORT SERIES ACTIVE ALLO	0.00	0.78	0.00	0.78	95.0	0.74
11/09/2017	ADAMS, TONJA	PUTNAM INTERNATIONAL VALUE-A	0.00	0.28	0.00	0.28	95.0	0.27
11/09/2017	MILLARD, KEITH	TATA MOTORS LTD SPONSORED ADR	3,285.34	65.00	14.00	51.00	95.0	48.45
12/04/2017	MOORE, LOUIS	TRANSAMERICA AA MODERATE C	0.00	29.28	0.00	29.28	95.0	27.82
11/24/2017	HOSKIN, JOHN	VICTORY CAPITAL MANAGEMENT	0.00	0.71	0.00	0.71	95.0	0.67
11/24/2017	MARCOLA, ERIKA	VICTORY CAPITAL MANAGEMENT	0.00	1.15	0.00	1.15	95.0	1.09
<b>* MARK KOSANKE SUBTOTAL *</b>			<b>\$28,598.55</b>	<b>\$310.89</b>	<b>\$42.00</b>	<b>\$268.89</b>		<b>\$255.47</b>
<b><u>BROKER: J117-PETE/JOAN JOHNSON/FLAM #19</u></b>								
/ /	PRICOPIO, VANESSA	JH 529 COLLEGE PORT A	0.00	2.48	0.00	2.48	95.0	2.36
<b>* J117-PETE/JOAN JOHNSON/FLAM SUBTOTAL *</b>			<b>\$0.00</b>	<b>\$2.48</b>	<b>\$0.00</b>	<b>\$2.48</b>		<b>\$2.36</b>

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<b><u>SPLIT TRANSACTIONS</u></b>								
<b><u>BROKER: GROUP FLAM/BUSSELL #32</u></b>								
11/30/2017	M, OSIP	DELAWARE VALUE A	0.00	1.34	0.00	1.34	95.0	1.27
* GROUP FLAM/BUSSELL SUBTOTAL *			\$0.00	\$1.34	\$0.00	\$1.34		\$1.27
<b><u>BROKER: PETER JOHNSON #63</u></b>								
11/30/2017	ROSS, DAVID	DELAWARE HIGH YIELD OPP A	0.00	25.83	0.00	25.83	95.0	24.54
11/30/2017	KAPELN, J	DELAWARE TAX FREE USA A	0.00	8.93	0.00	8.93	95.0	8.48
11/30/2017	PAPPAS, JANE	DELAWARE VALUE A	0.00	6.57	0.00	6.57	95.0	6.24
11/30/2017	PAPPAS, LARRY	DELAWARE VALUE A	0.00	33.38	0.00	33.38	95.0	31.71
* PETER JOHNSON SUBTOTAL *			\$0.00	\$74.71	\$0.00	\$74.71		\$70.97
*** SPLIT TRANSACTIONS TOTAL ***			\$28,598.55	\$389.42	\$42.00	\$347.42		\$330.07
<b><u>VERRIDE TRANSACTIONS</u></b>								
<b><u>BROKER: FRANK DUNN #7</u></b>								
10/24/2017	MCNICOL, JAMES	WAVELAND RESOURCE PARTNERS IV	25,000.00	1,750.00	0.00	1,750.00	90.0	87.50
* FRANK DUNN SUBTOTAL *			\$25,000.00	\$1,750.00	\$0.00	\$1,750.00		\$87.50
<b><u>BROKER: THOMAS SCHNEIDER #30</u></b>								
11/29/2017	SCHECK, VICTORIA	SBL ADVISOR PROGRAM	14,611.61	3.04	0.00	3.04	0.0	2.89
11/29/2017	KELLER, MICHELLE	SBL ADVISOR PROGRAM	28,697.49	5.97	0.00	5.97	0.0	5.67
11/29/2017	YOUNG, MARCIA	SBL ADVISOR PROGRAM	25,151.01	5.24	0.00	5.24	0.0	4.98
11/29/2017	DEFRANCESCO, MARY	SBL ADVISORDESIGNS VA	8,077.18	1.68	0.00	1.68	0.0	1.60
11/29/2017	DEFRANCESCO, STEVEN	SBL ADVISORDESIGNS VA	8,145.37	1.71	0.00	1.71	0.0	1.62
11/29/2017	KUBAN, JOANNE	SBL ADVISORDESIGNS VA	21,551.50	4.49	0.00	4.49	0.0	4.27
11/29/2017	HAWK, DUANE	SBL ADVISORDESIGNS VA	3,700.31	0.77	0.00	0.77	0.0	0.73
11/29/2017	HAWK, MARYBELLE	SBL ADVISORDESIGNS VA	7,890.52	1.64	0.00	1.64	0.0	1.56
11/29/2017	LITTRELL, REX	SBL ADVISORDESIGNS VA	6,708.93	1.40	0.00	1.40	0.0	1.33
11/29/2017	BABIN, WILLIAM	SBL ADVISORDESIGNS VA	135,692.13	28.25	0.00	28.25	0.0	26.84
11/29/2017	HAWK, DUANE	SBL ADVISORDESIGNS VA	3,333.47	0.69	0.00	0.69	0.0	0.66
11/29/2017	HARTONG, DEAN	SBL ADVISORDESIGNS VA	13,207.99	2.74	0.00	2.74	0.0	2.60
11/29/2017	FULTON, JOHN	SBL ADVISORDESIGNS VA	8,575.28	1.79	0.00	1.79	0.0	1.70
11/29/2017	MCCRANN, JAMES	SBL ADVISORDESIGNS VA	6,310.44	1.31	0.00	1.31	0.0	1.24
11/29/2017	HAWK, GLENN	SBL ADVISORDESIGNS VA	5,860.37	1.23	0.00	1.23	0.0	1.17
11/29/2017	BAKER, MARILYN	SBL ADVISORDESIGNS VA	7,023.95	1.46	0.00	1.46	0.0	1.39

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<b><u> OVERRIDE TRANSACTIONS </u></b>								
<b><u>BROKER: THOMAS SCHNEIDER #30</u></b>								
11/29/2017	GREGORY, CAROL	SBL ADVISORDESIGNS VA	26,172.57	5.45	0.00	5.45	0.0	5.18
11/29/2017	GREGORY, RICHARD	SBL ADVISORDESIGNS VA	8,764.68	1.82	0.00	1.82	0.0	1.73
11/29/2017	HAWK, MARYBELLE	SBL ADVISORDESIGNS VA	7,671.58	1.59	0.00	1.59	0.0	1.51
11/29/2017	BAKER, MARILYN	SBL ADVISORDESIGNS VA	6,517.67	1.37	0.00	1.37	0.0	1.30
* THOMAS SCHNEIDER SUBTOTAL *			<b>\$353,664.05</b>	<b>\$73.64</b>	<b>\$0.00</b>	<b>\$73.64</b>		<b>\$69.97</b>
*** OVERRIDE TRANSACTIONS TOTAL ***			<b>\$378,664.05</b>	<b>\$1,823.64</b>	<b>\$0.00</b>	<b>\$1,823.64</b>		<b>\$157.47</b>

**ADJUSTMENTS**

12/15/2017	*RBC: OUTGOING ACCT FEE 7A502740	0.00						-50.00
*** ADJUSTMENTS TOTAL ***			<b>\$0.00</b>	<b>\$0.00</b>	<b>\$0.00</b>	<b>\$0.00</b>		<b>\$-50.00</b>

**BROKER COMMISSION TOTALS**

Broker Transactions	\$35,100.21
Split Transactions	\$330.07
Override Transactions	\$157.47
Adjustments	\$-50.00
Payroll Draw	\$0.00
Base Salary	\$0.00
Prior Period Balance	\$0.00
FINRA Assessment	\$0.00
SIPC Assessment	\$0.00

Check Amount	<b>\$35,537.75</b>
Year-to-date Gross	<b>\$436,978.30</b>
Year-to-date Earnings	<b>\$421,504.28</b>

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