



Concorde Investment Services, LLC

03/14/2017
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COMMISSION STATEMENT

March 15, 2017

JEFFREY KAUFMAN
801 Gray Oak Drive

BROKER #: K119
BRANCH: JEFFREY KAUFMAN

Columbia, MO 65201

DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>BROKER TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
02/22/2017	WRAY, JOANN	AM FUNDS 2030 TARGET DATE-A	957.58	9.58	0.00	9.58	90.0	8.62
02/22/2017	WRAY, JOANN	AM FUNDS 2030 TARGET DATE-A	2,461.52	24.62	0.00	24.62	90.0	22.16
03/01/2017	WRAY, JOANN	AM FUNDS 2030 TARGET DATE-A	0.00	54.15	0.00	54.15	90.0	48.74
02/22/2017	ZELLMER, AMY	AM FUNDS 2040 TARGET DATE-A	176.47	1.76	0.00	1.76	90.0	1.58
02/22/2017	ZELLMER, AMY	AM FUNDS 2040 TARGET DATE-A	176.47	1.76	0.00	1.76	90.0	1.58
02/22/2017	NOWLIN, STACEY	AM FUNDS 2040 TARGET DATE-A	81.88	0.82	0.00	0.82	90.0	0.74
02/22/2017	NOWLIN, STACEY	AM FUNDS 2040 TARGET DATE-A	81.88	0.82	0.00	0.82	90.0	0.74
02/22/2017	MCKENZIE, JADA	AM FUNDS 2040 TARGET DATE-A	77.00	0.77	0.00	0.77	90.0	0.69
02/22/2017	MCKENZIE, JADA	AM FUNDS 2040 TARGET DATE-A	102.68	1.03	0.00	1.03	90.0	0.93
03/01/2017	ZELLMER, AMY	AM FUNDS 2040 TARGET DATE-A	0.00	0.01	0.00	0.01	90.0	0.01
03/01/2017	NOWLIN, STACEY	AM FUNDS 2040 TARGET DATE-A	0.00	1.84	0.00	1.84	90.0	1.66
02/22/2017	HILL, KALIA	AM FUNDS 2045 TARGET DATE-A	108.62	1.09	0.00	1.09	90.0	0.98
02/22/2017	HILL, KALIA	AM FUNDS 2045 TARGET DATE-A	108.62	1.09	0.00	1.09	90.0	0.98
02/22/2017	CRANE, MISTY	AM FUNDS 2045 TARGET DATE-A	54.50	0.55	0.00	0.55	90.0	0.50
02/22/2017	CRANE, MISTY	AM FUNDS 2045 TARGET DATE-A	54.50	0.55	0.00	0.55	90.0	0.50
02/22/2017	PATTY, MINDI	AM FUNDS 2045 TARGET DATE-A	33.00	0.33	0.00	0.33	90.0	0.30
02/22/2017	PATTY, MINDI	AM FUNDS 2045 TARGET DATE-A	33.00	0.33	0.00	0.33	90.0	0.30
03/01/2017	HILL, KALIA	AM FUNDS 2045 TARGET DATE-A	0.00	3.36	0.00	3.36	90.0	3.02
03/01/2017	CRANE, MISTY	AM FUNDS 2045 TARGET DATE-A	0.00	0.91	0.00	0.91	90.0	0.82
03/01/2017	TAYLOR, LOIS	AM FUNDS 2045 TARGET DATE-A	0.00	8.60	0.00	8.60	90.0	7.74
03/01/2017	PATTY, MINDI	AM FUNDS 2045 TARGET DATE-A	0.00	0.02	0.00	0.02	90.0	0.02
03/01/2017	CATO, ANDREW	AM FUNDS 2050 TARGET DATE-A	0.00	1.10	0.00	1.10	90.0	0.99
02/22/2017	WESTBROOK, AMANDA	AM FUNDS 2055 TARGET DATE-A	44.22	0.44	0.00	0.44	90.0	0.40
02/22/2017	WESTBROOK, AMANDA	AM FUNDS 2055 TARGET DATE-A	44.22	0.44	0.00	0.44	90.0	0.40
02/22/2017	CARSON, MATTHEW	AM FUNDS 2055 TARGET DATE-A	87.67	0.88	0.00	0.88	90.0	0.79
02/22/2017	CARSON, MATTHEW	AM FUNDS 2055 TARGET DATE-A	87.67	0.88	0.00	0.88	90.0	0.79

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

DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>BROKER TRANSACTIONS</u>								
PRODUCT CATEGORY: MUTUAL FUNDS								
03/01/2017	WESTBROOK, AMANDA	AM FUNDS 2055 TARGET DATE-A	0.00	0.92	0.00	0.92	90.0	0.83
03/01/2017	CARSON, MATTHEW	AM FUNDS 2055 TARGET DATE-A	0.00	0.15	0.00	0.15	90.0	0.14
03/01/2017	ANDING, MARY DIANE	AM FUNDS AMCAP A	0.00	36.47	0.00	36.47	90.0	32.82
03/01/2017	REDDICK, RYAN	AM FUNDS AMERICAN BALANCED 529A	0.00	3.95	0.00	3.95	90.0	3.56
03/01/2017	PATTISON, CHRISTINE	AM FUNDS AMERICAN BALANCED 529C	0.00	3.48	0.00	3.48	90.0	3.13
02/22/2017	PATTISON, CHRISTINE	AM FUNDS AMERICAN BALANCED A	611.74	6.12	0.00	6.12	90.0	5.51
02/22/2017	PATTISON, CHRISTINE	AM FUNDS AMERICAN BALANCED A	2,039.17	20.39	0.00	20.39	90.0	18.35
02/22/2017	WHEAT, KATHLEEN	AM FUNDS AMERICAN BALANCED A	179.91	1.80	0.00	1.80	90.0	1.62
02/22/2017	WHEAT, KATHLEEN	AM FUNDS AMERICAN BALANCED A	419.78	4.20	0.00	4.20	90.0	3.78
02/22/2017	WIBBENMEYER, BRITTANY	AM FUNDS AMERICAN BALANCED A	100.70	1.01	0.00	1.01	90.0	0.91
02/22/2017	WIBBENMEYER, BRITTANY	AM FUNDS AMERICAN BALANCED A	100.70	1.01	0.00	1.01	90.0	0.91
03/01/2017	MEDLEY, LISA	AM FUNDS AMERICAN BALANCED A	20.63	0.21	0.00	0.21	90.0	0.19
03/01/2017	MEDLEY, LISA	AM FUNDS AMERICAN BALANCED A	20.63	0.21	0.00	0.21	90.0	0.19
03/01/2017	HOSTETTER MO/TOD, VICKI	AM FUNDS AMERICAN BALANCED A	0.00	7.03	0.00	7.03	90.0	6.33
03/01/2017	ANDING, MARY DIANE	AM FUNDS AMERICAN BALANCED A	0.00	180.97	0.00	180.97	90.0	162.87
03/01/2017	REDDICK, RYAN	AM FUNDS AMERICAN BALANCED A	0.00	0.18	0.00	0.18	90.0	0.16
03/01/2017	GUIER, CARROL	AM FUNDS AMERICAN BALANCED A	0.00	100.08	0.00	100.08	90.0	90.07
03/01/2017	PRATER, RAMONA	AM FUNDS AMERICAN BALANCED A	0.00	0.18	0.00	0.18	90.0	0.16
03/01/2017	DEAN GUIER INC	AM FUNDS AMERICAN BALANCED A	0.00	487.15	0.00	487.15	90.0	438.44
03/01/2017	NOWLIN, STACEY	AM FUNDS AMERICAN BALANCED A	0.00	3.86	0.00	3.86	90.0	3.47
03/01/2017	PATTISON, CHRISTINE	AM FUNDS AMERICAN BALANCED A	0.00	47.05	0.00	47.05	90.0	42.35
03/01/2017	WHEAT, KATHLEEN	AM FUNDS AMERICAN BALANCED A	0.00	23.86	0.00	23.86	90.0	21.47
03/01/2017	KEMBLE, CARA	AM FUNDS AMERICAN BALANCED A	0.00	0.10	0.00	0.10	90.0	0.09
03/01/2017	OSSMAN, ED	AM FUNDS AMERICAN BALANCED A	0.00	83.92	0.00	83.92	90.0	75.53
03/01/2017	FRIEDERICH, JOHN	AM FUNDS AMERICAN BALANCED A	0.00	34.41	0.00	34.41	90.0	30.97
03/01/2017	CALLIS, ANNIS	AM FUNDS AMERICAN BALANCED A	0.00	25.23	0.00	25.23	90.0	22.71
03/01/2017	ALLEN, MICHELLE	AM FUNDS AMERICAN BALANCED A	0.00	3.86	0.00	3.86	90.0	3.47
03/01/2017	GUIER, GREGORY	AM FUNDS AMERICAN BALANCED A	0.00	41.73	0.00	41.73	90.0	37.56
03/01/2017	KILEY, TERRANCE	AM FUNDS AMERICAN BALANCED A	0.00	1.46	0.00	1.46	90.0	1.31
03/01/2017	OWEN, ERNEST	AM FUNDS AMERICAN BALANCED A	0.00	4.74	0.00	4.74	90.0	4.27
03/01/2017	GRIFFITH, CHERYL	AM FUNDS AMERICAN BALANCED A	0.00	33.53	0.00	33.53	90.0	30.18
03/01/2017	GRIFFITH, CHERYL	AM FUNDS AMERICAN BALANCED A	0.00	5.96	0.00	5.96	90.0	5.36
03/01/2017	GRIFFIN, AMANDA	AM FUNDS AMERICAN BALANCED A	0.00	0.75	0.00	0.75	90.0	0.68

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<u>BROKER TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
03/01/2017	GRIFFIN, SHAWN	AM FUNDS AMERICAN BALANCED A	0.00	2.94	0.00	2.94	90.0	2.65
03/01/2017	BLODGETT, TAMMY	AM FUNDS AMERICAN BALANCED A	0.00	10.77	0.00	10.77	90.0	9.69
03/01/2017	JOHNSON, RYAN	AM FUNDS AMERICAN BALANCED A	0.00	0.24	0.00	0.24	90.0	0.22
03/01/2017	BAUER, MATTHEW	AM FUNDS AMERICAN BALANCED A	0.00	0.16	0.00	0.16	90.0	0.14
03/01/2017	SCHAUMBURG, JEFFREY	AM FUNDS AMERICAN BALANCED A	0.00	7.66	0.00	7.66	90.0	6.89
03/01/2017	HALL, ELLEN	AM FUNDS AMERICAN BALANCED A	0.00	49.43	0.00	49.43	90.0	44.49
03/01/2017	GRIMSHAW, ROBERT	AM FUNDS AMERICAN BALANCED A	0.00	32.10	0.00	32.10	90.0	28.89
03/01/2017	DOWNS, SUZANNE	AM FUNDS AMERICAN BALANCED A	0.00	11.90	0.00	11.90	90.0	10.71
03/01/2017	MILES, JACK	AM FUNDS AMERICAN BALANCED A	0.00	9.37	0.00	9.37	90.0	8.43
03/01/2017	HALL, HAROLD	AM FUNDS AMERICAN BALANCED A	0.00	19.52	0.00	19.52	90.0	17.57
03/01/2017	WILMSMEYER, CHRISTA	AM FUNDS AMERICAN BALANCED A	0.00	3.85	0.00	3.85	90.0	3.47
03/01/2017	BARROW, KAREN	AM FUNDS AMERICAN BALANCED A	0.00	16.53	0.00	16.53	90.0	14.88
03/01/2017	JENNINGS, MARY	AM FUNDS AMERICAN BALANCED A	0.00	76.11	0.00	76.11	90.0	68.50
03/01/2017	SAUSAMAN, URSULA	AM FUNDS AMERICAN BALANCED A	0.00	9.83	0.00	9.83	90.0	8.85
03/01/2017	WIBBENMEYER, BRITTANY	AM FUNDS AMERICAN BALANCED A	0.00	0.22	0.00	0.22	90.0	0.20
03/01/2017	JORDENING, LYNN	AM FUNDS AMERICAN BALANCED A	0.00	33.50	0.00	33.50	90.0	30.15
03/01/2017	JORDENING TRUST, PAUL	AM FUNDS AMERICAN BALANCED A	0.00	28.34	0.00	28.34	90.0	25.51
03/01/2017	GUSTAFSON, KENNETH	AM FUNDS AMERICAN BALANCED A	0.00	1.25	0.00	1.25	90.0	1.13
03/01/2017	FANGMAN, ROGER	AM FUNDS AMERICAN BALANCED A	0.00	6.95	0.00	6.95	90.0	6.26
03/01/2017	STEWART, SHEILA	AM FUNDS AMERICAN BALANCED A	0.00	11.88	0.00	11.88	90.0	10.69
03/01/2017	DEUSCHLE, KIMBERLY	AM FUNDS AMERICAN BALANCED A	0.00	11.57	0.00	11.57	90.0	10.41
03/01/2017	BLISS, REBECCA	AM FUNDS AMERICAN BALANCED A	0.00	13.53	0.00	13.53	90.0	12.18
03/01/2017	LEMON, GLEE	AM FUNDS AMERICAN BALANCED A	0.00	2.32	0.00	2.32	90.0	2.09
03/01/2017	DEBRA, PRICE	AM FUNDS AMERICAN BALANCED A	0.00	17.39	0.00	17.39	90.0	15.65
03/01/2017	THOMAS, DAVID	AM FUNDS AMERICAN BALANCED A	0.00	9.63	0.00	9.63	90.0	8.67
03/01/2017	THOMAS, DAVID	AM FUNDS AMERICAN BALANCED A	0.00	11.56	0.00	11.56	90.0	10.40
03/01/2017	TURNER, GARY	AM FUNDS AMERICAN BALANCED A	0.00	8.15	0.00	8.15	90.0	7.34
03/01/2017	MEDLEY, LISA	AM FUNDS AMERICAN BALANCED A	0.00	0.04	0.00	0.04	90.0	0.04
03/01/2017	ELDER, RONALD	AM FUNDS AMERICAN BALANCED A	0.00	13.85	0.00	13.85	90.0	12.47
03/01/2017	ANDREWS, SAMUEL	AM FUNDS AMERICAN BALANCED A	0.00	7.77	0.00	7.77	90.0	6.99
03/01/2017	TURNER, GARY	AM FUNDS AMERICAN BALANCED A	0.00	52.86	0.00	52.86	90.0	47.57
03/01/2017	HILDEBRAND, TERRANCE	AM FUNDS AMERICAN BALANCED A	0.00	8.26	0.00	8.26	90.0	7.43
03/01/2017	STEVENSON, DAVID	AM FUNDS AMERICAN BALANCED A	0.00	0.73	0.00	0.73	90.0	0.66

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<u>BROKER TRANSACTIONS</u>								
PRODUCT CATEGORY: MUTUAL FUNDS								
03/01/2017	ROBINETT, CHARISSA	AM FUNDS AMERICAN BALANCED A	0.00	0.15	0.00	0.15	90.0	0.14
03/01/2017	MOODY, SHARON	AM FUNDS AMERICAN BALANCED A	0.00	2.54	0.00	2.54	90.0	2.29
03/01/2017	SCOGGINS, CLAIRE	AM FUNDS AMERICAN BALANCED A	0.00	29.53	0.00	29.53	90.0	26.58
03/01/2017	ELDRIDGE, DEE	AM FUNDS AMERICAN BALANCED A	0.00	38.26	0.00	38.26	90.0	34.43
03/01/2017	DEAN, CARROLL	AM FUNDS AMERICAN BALANCED C	0.00	62.22	0.00	62.22	90.0	56.00
03/01/2017	WILMSMEYER, CHRISTA	AM FUNDS AMERICAN BALANCED C	0.00	148.23	0.00	148.23	90.0	133.41
02/22/2017	PATTISON, CHRISTINE	AM FUNDS AMERICAN MUTUAL A	131.09	1.31	0.00	1.31	90.0	1.18
02/22/2017	PATTISON, CHRISTINE	AM FUNDS AMERICAN MUTUAL A	436.96	4.37	0.00	4.37	90.0	3.93
02/22/2017	CLASSENS, KRYSTA	AM FUNDS AMERICAN MUTUAL A	47.46	0.47	0.00	0.47	90.0	0.42
02/22/2017	CLASSENS, KRYSTA	AM FUNDS AMERICAN MUTUAL A	126.56	1.27	0.00	1.27	90.0	1.14
03/01/2017	PATTISON, CHRISTINE	AM FUNDS AMERICAN MUTUAL A	0.00	2.90	0.00	2.90	90.0	2.61
03/01/2017	CLASSENS, KRYSTA	AM FUNDS AMERICAN MUTUAL A	0.00	7.89	0.00	7.89	90.0	7.10
03/01/2017	MCNERNEY, DAN	AM FUNDS AMERICAN MUTUAL A	0.00	22.55	0.00	22.55	90.0	20.30
02/22/2017	MANGUS, DANIEL	AM FUNDS BALANCED PORT A	439.99	4.40	0.00	4.40	90.0	3.96
02/22/2017	MANGUS, DANIEL	AM FUNDS BALANCED PORT A	439.99	4.40	0.00	4.40	90.0	3.96
02/22/2017	KEATON, LINDSY	AM FUNDS BALANCED PORT A	69.22	0.69	0.00	0.69	90.0	0.62
02/22/2017	KEATON, LINDSY	AM FUNDS BALANCED PORT A	69.22	0.69	0.00	0.69	90.0	0.62
02/22/2017	GODAR, LOUISE	AM FUNDS BALANCED PORT A	71.33	0.71	0.00	0.71	90.0	0.64
02/22/2017	GODAR, LOUISE	AM FUNDS BALANCED PORT A	71.33	0.71	0.00	0.71	90.0	0.64
03/01/2017	MANGUS, DANIEL	AM FUNDS BALANCED PORT A	0.00	4.60	0.00	4.60	90.0	4.14
03/01/2017	GODAR, LOUISE	AM FUNDS BALANCED PORT A	0.00	0.78	0.00	0.78	90.0	0.70
03/01/2017	SMITH, KELLI	AM FUNDS BALANCED PORT A	0.00	0.93	0.00	0.93	90.0	0.84
03/01/2017	DANIELS, SCIPIO	AM FUNDS BALANCED PORT A	0.00	0.10	0.00	0.10	90.0	0.09
02/22/2017	GRIFFIN, AMANDA	AM FUNDS BOND FUND OF AMERICA A	31.30	0.31	0.00	0.31	90.0	0.28
02/22/2017	GRIFFIN, AMANDA	AM FUNDS BOND FUND OF AMERICA A	31.30	0.31	0.00	0.31	90.0	0.28
03/01/2017	GRIFFIN, AMANDA	AM FUNDS BOND FUND OF AMERICA A	0.00	0.63	0.00	0.63	90.0	0.57
03/01/2017	GUIER, GREGORY	AM FUNDS BOND FUND OF AMERICA A	0.00	34.01	0.00	34.01	90.0	30.61
03/01/2017	GRIMSHAW, ROBERT	AM FUNDS BOND FUND OF AMERICA A	0.00	28.30	0.00	28.30	90.0	25.47
03/01/2017	DOWNS, SUZANNE	AM FUNDS BOND FUND OF AMERICA A	0.00	10.54	0.00	10.54	90.0	9.49
03/01/2017	FANGMAN, ROGER	AM FUNDS BOND FUND OF AMERICA A	0.00	4.05	0.00	4.05	90.0	3.65
03/01/2017	ELDRIDGE, DEE	AM FUNDS CAPITAL INCOME BUILDER A	0.00	19.35	0.00	19.35	90.0	17.42
02/22/2017	PATTISON, CHRISTINE	AM FUNDS CAPITAL WORLD GRTH & INC A	131.09	1.31	0.00	1.31	90.0	1.18
02/22/2017	PATTISON, CHRISTINE	AM FUNDS CAPITAL WORLD GRTH & INC A	436.97	4.37	0.00	4.37	90.0	3.93

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<u>BROKER TRANSACTIONS</u>								
PRODUCT CATEGORY: MUTUAL FUNDS								
03/01/2017	PATTISON, CHRISTINE	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	2.46	0.00	2.46	90.0	2.21
03/01/2017	OSSMAN, ED	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	10.04	0.00	10.04	90.0	9.04
03/01/2017	FRIEDERICH, JOHN	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	4.73	0.00	4.73	90.0	4.26
03/01/2017	MCNERNEY, DAN	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	14.90	0.00	14.90	90.0	13.41
03/01/2017	CALLIS, ANNIS	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	5.46	0.00	5.46	90.0	4.91
03/01/2017	JORDENING, LYNN	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	63.06	0.00	63.06	90.0	56.75
03/01/2017	WILMSMEYER, CHRISTA	AM FUNDS CAPITAL WORLD GRTH & INC C	0.00	19.43	0.00	19.43	90.0	17.49
02/21/2017	CROWLEY, MICHA	AM FUNDS EUROPACIFIC GROWTH FUND A	184.62	3.69	0.00	3.69	90.0	3.32
02/22/2017	CLASSENS, KRYSTA	AM FUNDS EUROPACIFIC GROWTH FUND A	35.60	0.36	0.00	0.36	90.0	0.32
02/22/2017	CLASSENS, KRYSTA	AM FUNDS EUROPACIFIC GROWTH FUND A	94.93	0.95	0.00	0.95	90.0	0.86
03/01/2017	REDDICK, RYAN	AM FUNDS EUROPACIFIC GROWTH FUND A	62.50	1.72	0.00	1.72	90.0	1.55
03/01/2017	HOSTETTER MO/TOD, VICKI	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	4.21	0.00	4.21	90.0	3.79
03/01/2017	STALEY, JOSELYN	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	2.51	0.00	2.51	90.0	2.26
03/01/2017	ANDING, MARY DIANE	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	32.67	0.00	32.67	90.0	29.40
03/01/2017	REDDICK, RYAN	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	6.41	0.00	6.41	90.0	5.77
03/01/2017	GUIER, CARROL	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	1.51	0.00	1.51	90.0	1.36
03/01/2017	GUIER, PAULA	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	2.17	0.00	2.17	90.0	1.95
03/01/2017	SEYER, MARY	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	5.21	0.00	5.21	90.0	4.69
03/01/2017	MIDDLETON, M	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	0.13	0.00	0.13	90.0	0.12
03/01/2017	CLASSENS, KRYSTA	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	4.48	0.00	4.48	90.0	4.03
03/01/2017	MCNERNEY, DAN	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	9.14	0.00	9.14	90.0	8.23
03/01/2017	GRIFFITH, CHERYL	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	2.03	0.00	2.03	90.0	1.83
03/01/2017	KAUFMAN, JEFFREY	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	2.03	0.00	2.03	90.0	1.83
03/01/2017	GRIFFIN, SHAWN	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	4.24	0.00	4.24	90.0	3.82
03/01/2017	MANGUS, DANIEL	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	0.34	0.00	0.34	90.0	0.31
03/01/2017	CROWLEY, MICHA	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	19.73	0.00	19.73	90.0	17.76
03/01/2017	STALEY, JOSELYN	AM FUNDS EUROPACIFIC GROWTH FUND C	0.00	7.13	0.00	7.13	90.0	6.42
03/01/2017	ELDRIDGE, DEE	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	26.59	0.00	26.59	90.0	23.93
03/01/2017	REDDICK, RYAN	AM FUNDS GLOBAL BALANCED 529A	0.00	3.46	0.00	3.46	90.0	3.11
03/01/2017	ANDING, MARY DIANE	AM FUNDS GLOBAL BALANCED A	0.00	70.47	0.00	70.47	90.0	63.42
03/01/2017	SEYER, MARY	AM FUNDS GLOBAL BALANCED A	0.00	13.18	0.00	13.18	90.0	11.86
03/01/2017	KEMBLE, CARA	AM FUNDS GLOBAL BALANCED A	0.00	0.09	0.00	0.09	90.0	0.08
03/01/2017	GUIER, GRACIE	AM FUNDS GLOBAL BALANCED A	0.00	0.36	0.00	0.36	90.0	0.32

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>BROKER TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
03/01/2017	CROWLEY, MICHA	AM FUNDS GLOBAL BALANCED A	0.00	12.03	0.00	12.03	90.0	10.83
03/01/2017	HALL, ELLEN	AM FUNDS GLOBAL BALANCED A	0.00	15.58	0.00	15.58	90.0	14.02
03/01/2017	GRIMSHAW, ROBERT	AM FUNDS GLOBAL BALANCED A	0.00	28.00	0.00	28.00	90.0	25.20
03/01/2017	MILES, JACK	AM FUNDS GLOBAL BALANCED A	0.00	8.17	0.00	8.17	90.0	7.35
03/01/2017	HALL, HAROLD	AM FUNDS GLOBAL BALANCED A	0.00	17.09	0.00	17.09	90.0	15.38
03/01/2017	SAUSAMAN, URSULA	AM FUNDS GLOBAL BALANCED A	0.00	9.12	0.00	9.12	90.0	8.21
03/01/2017	JORDENING, POLLY	AM FUNDS GLOBAL BALANCED A	0.00	62.39	0.00	62.39	90.0	56.15
03/01/2017	JORDENING TRUST, PAUL	AM FUNDS GLOBAL BALANCED A	0.00	27.21	0.00	27.21	90.0	24.49
03/01/2017	STEWART, SHEILA	AM FUNDS GLOBAL BALANCED A	0.00	11.48	0.00	11.48	90.0	10.33
03/01/2017	DEUSCHLE, KIMBERLY	AM FUNDS GLOBAL BALANCED A	0.00	11.19	0.00	11.19	90.0	10.07
03/01/2017	ROBINETT, CHARISSA	AM FUNDS GLOBAL BALANCED A	0.00	0.15	0.00	0.15	90.0	0.14
02/22/2017	MCNERNEY, DAN	AM FUNDS GROWTH AND INCOME A	642.00	6.42	0.00	6.42	90.0	5.78
02/22/2017	MCNERNEY, DAN	AM FUNDS GROWTH AND INCOME A	1,894.32	18.94	0.00	18.94	90.0	17.05
02/22/2017	BROCKSMITH, RACHEL	AM FUNDS GROWTH AND INCOME A	121.92	1.22	0.00	1.22	90.0	1.10
02/22/2017	BROCKSMITH, RACHEL	AM FUNDS GROWTH AND INCOME A	121.92	1.22	0.00	1.22	90.0	1.10
02/22/2017	AHERN, OLIVIA	AM FUNDS GROWTH AND INCOME A	94.79	0.95	0.00	0.95	90.0	0.86
02/22/2017	AHERN, OLIVIA	AM FUNDS GROWTH AND INCOME A	94.79	0.95	0.00	0.95	90.0	0.86
03/01/2017	MCNERNEY, DAN	AM FUNDS GROWTH AND INCOME A	0.00	26.41	0.00	26.41	90.0	23.77
03/01/2017	BROCKSMITH, RACHEL	AM FUNDS GROWTH AND INCOME A	0.00	6.13	0.00	6.13	90.0	5.52
03/01/2017	BIETSCH, MATTHEW	AM FUNDS GROWTH AND INCOME A	0.00	0.20	0.00	0.20	90.0	0.18
03/01/2017	AHERN, OLIVIA	AM FUNDS GROWTH AND INCOME A	0.00	0.22	0.00	0.22	90.0	0.20
03/01/2017	ANDING, MARY DIANE	AM FUNDS GROWTH FUND OF AMERICA 529	0.00	1.93	0.00	1.93	90.0	1.74
03/01/2017	ANDING, MARY DIANE	AM FUNDS GROWTH FUND OF AMERICA 529	0.00	5.26	0.00	5.26	90.0	4.73
03/01/2017	PRATER, RAMONA	AM FUNDS GROWTH FUND OF AMERICA 529	0.00	1.82	0.00	1.82	90.0	1.64
03/01/2017	REDDICK, RYAN	AM FUNDS GROWTH FUND OF AMERICA 529	0.00	4.41	0.00	4.41	90.0	3.97
03/01/2017	ANDING, MARY DIANE	AM FUNDS GROWTH FUND OF AMERICA 529	0.00	0.69	0.00	0.69	90.0	0.62
03/01/2017	ANDING, MARY DIANE	AM FUNDS GROWTH FUND OF AMERICA 529	0.00	0.69	0.00	0.69	90.0	0.62
03/01/2017	ANDING, MARY DIANE	AM FUNDS GROWTH FUND OF AMERICA 529	0.00	0.69	0.00	0.69	90.0	0.62
02/21/2017	DELEON, JISEFREDO	AM FUNDS GROWTH FUND OF AMERICA A	49.73	2.49	0.00	2.49	90.0	2.24
02/21/2017	DELEON, JISEFREDO	AM FUNDS GROWTH FUND OF AMERICA A	50.00	2.50	0.00	2.50	90.0	2.25
02/21/2017	DELEON, JISEFREDO	AM FUNDS GROWTH FUND OF AMERICA A	49.73	2.49	0.00	2.49	90.0	2.24
02/21/2017	DELEON, JISEFREDO	AM FUNDS GROWTH FUND OF AMERICA A	50.00	2.50	0.00	2.50	90.0	2.25
02/21/2017	CROWLEY, MICHA	AM FUNDS GROWTH FUND OF AMERICA A	369.23	7.38	0.00	7.38	90.0	6.64

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<u>BROKER TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
02/22/2017	GRIFFIN, AMANDA	AM FUNDS GROWTH FUND OF AMERICA A	62.61	0.63	0.00	0.63	90.0	0.57
02/22/2017	GRIFFIN, AMANDA	AM FUNDS GROWTH FUND OF AMERICA A	62.61	0.63	0.00	0.63	90.0	0.57
02/22/2017	STALEY, JOSELYN	AM FUNDS GROWTH FUND OF AMERICA A	29.84	0.30	0.00	0.30	90.0	0.27
02/22/2017	STALEY, JOSELYN	AM FUNDS GROWTH FUND OF AMERICA A	89.50	0.90	0.00	0.90	90.0	0.81
02/22/2017	CLASSENS, KRYSTA	AM FUNDS GROWTH FUND OF AMERICA A	35.60	0.36	0.00	0.36	90.0	0.32
02/22/2017	CLASSENS, KRYSTA	AM FUNDS GROWTH FUND OF AMERICA A	94.93	0.95	0.00	0.95	90.0	0.86
02/22/2017	COOK, GREG	AM FUNDS GROWTH FUND OF AMERICA A	25.67	0.26	0.00	0.26	90.0	0.23
02/22/2017	COOK, GREG	AM FUNDS GROWTH FUND OF AMERICA A	25.68	0.26	0.00	0.26	90.0	0.23
02/22/2017	GATTORNA, MICHAEL	AM FUNDS GROWTH FUND OF AMERICA A	75.62	0.76	0.00	0.76	90.0	0.68
02/22/2017	GATTORNA, MICHAEL	AM FUNDS GROWTH FUND OF AMERICA A	75.62	0.76	0.00	0.76	90.0	0.68
02/22/2017	MULLENIX, AMANDA	AM FUNDS GROWTH FUND OF AMERICA A	120.68	1.21	0.00	1.21	90.0	1.09
02/22/2017	MULLENIX, AMANDA	AM FUNDS GROWTH FUND OF AMERICA A	120.68	1.21	0.00	1.21	90.0	1.09
02/22/2017	DAVIDSON, DANIELLE	AM FUNDS GROWTH FUND OF AMERICA A	38.03	0.38	0.00	0.38	90.0	0.34
02/22/2017	DAVIDSON, DANIELLE	AM FUNDS GROWTH FUND OF AMERICA A	38.03	0.38	0.00	0.38	90.0	0.34
02/22/2017	KISER, ANDREA	AM FUNDS GROWTH FUND OF AMERICA A	87.16	0.87	0.00	0.87	90.0	0.78
02/22/2017	KISER, ANDREA	AM FUNDS GROWTH FUND OF AMERICA A	87.16	0.87	0.00	0.87	90.0	0.78
02/27/2017	MARK, CHRISTOPHER	AM FUNDS GROWTH FUND OF AMERICA A	458.32	22.92	0.00	22.92	90.0	20.63
03/01/2017	REDDICK, RYAN	AM FUNDS GROWTH FUND OF AMERICA A	62.50	1.72	0.00	1.72	90.0	1.55
03/01/2017	BAUER, MATTHEW	AM FUNDS GROWTH FUND OF AMERICA A	59.72	2.24	0.00	2.24	90.0	2.02
03/01/2017	SUMMERS, AARON	AM FUNDS GROWTH FUND OF AMERICA A	54.39	2.04	0.00	2.04	90.0	1.84
03/01/2017	EICHHOLZ, JARED	AM FUNDS GROWTH FUND OF AMERICA A	123.26	4.62	0.00	4.62	90.0	4.16
03/01/2017	JOHNSON, MARK	AM FUNDS GROWTH FUND OF AMERICA A	180.00	6.75	0.00	6.75	90.0	6.08
03/01/2017	EULTGEN, VICKI	AM FUNDS GROWTH FUND OF AMERICA A	17.15	0.17	0.00	0.17	90.0	0.15
03/01/2017	EULTGEN, VICKI	AM FUNDS GROWTH FUND OF AMERICA A	37.50	0.38	0.00	0.38	90.0	0.34
03/01/2017	TURNER, JOSH	AM FUNDS GROWTH FUND OF AMERICA A	12.32	0.12	0.00	0.12	90.0	0.11
03/01/2017	TURNER, JOSH	AM FUNDS GROWTH FUND OF AMERICA A	12.31	0.12	0.00	0.12	90.0	0.11
03/01/2017	MURPHY, MELISSA	AM FUNDS GROWTH FUND OF AMERICA A	20.63	0.21	0.00	0.21	90.0	0.19
03/01/2017	MURPHY, MELISSA	AM FUNDS GROWTH FUND OF AMERICA A	130.13	1.30	0.00	1.30	90.0	1.17
03/01/2017	MURPHY, MICHAEL	AM FUNDS GROWTH FUND OF AMERICA A	41.25	0.41	0.00	0.41	90.0	0.37
03/01/2017	MURPHY, MICHAEL	AM FUNDS GROWTH FUND OF AMERICA A	260.25	2.60	0.00	2.60	90.0	2.34
03/01/2017	VICTOR, THOMAS	AM FUNDS GROWTH FUND OF AMERICA A	12.54	0.13	0.00	0.13	90.0	0.12
03/01/2017	VICTOR, THOMAS	AM FUNDS GROWTH FUND OF AMERICA A	12.54	0.13	0.00	0.13	90.0	0.12
03/01/2017	TURNER, COREY	AM FUNDS GROWTH FUND OF AMERICA A	20.63	0.21	0.00	0.21	90.0	0.19

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<u>BROKER TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
03/01/2017	TURNER, COREY	AM FUNDS GROWTH FUND OF AMERICA A	130.11	1.30	0.00	1.30	90.0	1.17
03/01/2017	RYAN, MATTHEW	AM FUNDS GROWTH FUND OF AMERICA A	33.75	0.34	0.00	0.34	90.0	0.31
03/01/2017	RYAN, MATTHEW	AM FUNDS GROWTH FUND OF AMERICA A	33.75	0.34	0.00	0.34	90.0	0.31
03/01/2017	UNZICKER, WILLIAM	AM FUNDS GROWTH FUND OF AMERICA A	42.45	0.42	0.00	0.42	90.0	0.38
03/01/2017	UNZICKER, WILLIAM	AM FUNDS GROWTH FUND OF AMERICA A	42.45	0.42	0.00	0.42	90.0	0.38
03/01/2017	GUIER, CLINT	AM FUNDS GROWTH FUND OF AMERICA A	0.00	60.38	0.00	60.38	90.0	54.34
03/01/2017	REDDICK, RYAN	AM FUNDS GROWTH FUND OF AMERICA A	0.00	24.13	0.00	24.13	90.0	21.72
03/01/2017	GUIER, CARROL	AM FUNDS GROWTH FUND OF AMERICA A	0.00	2.25	0.00	2.25	90.0	2.03
03/01/2017	GUIER, PAULA	AM FUNDS GROWTH FUND OF AMERICA A	0.00	3.07	0.00	3.07	90.0	2.76
03/01/2017	STALEY, JOSELYN	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.69	0.00	0.69	90.0	0.62
03/01/2017	GUIER, JENNIFER	AM FUNDS GROWTH FUND OF AMERICA A	0.00	48.73	0.00	48.73	90.0	43.86
03/01/2017	REDDICK, RYAN	AM FUNDS GROWTH FUND OF AMERICA A	0.00	5.81	0.00	5.81	90.0	5.23
03/01/2017	GRIFFIN, AMANDA	AM FUNDS GROWTH FUND OF AMERICA A	0.00	6.62	0.00	6.62	90.0	5.96
03/01/2017	NOWLIN, STACEY	AM FUNDS GROWTH FUND OF AMERICA A	0.00	3.78	0.00	3.78	90.0	3.40
03/01/2017	PATTISON, CHRISTINE	AM FUNDS GROWTH FUND OF AMERICA A	0.00	18.85	0.00	18.85	90.0	16.97
03/01/2017	SEYER, MARY	AM FUNDS GROWTH FUND OF AMERICA A	0.00	14.40	0.00	14.40	90.0	12.96
03/01/2017	STALEY, JOSELYN	AM FUNDS GROWTH FUND OF AMERICA A	0.00	4.84	0.00	4.84	90.0	4.36
03/01/2017	MIDDLETON, M	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.14	0.00	0.14	90.0	0.13
03/01/2017	CLASSENS, KRYSTA	AM FUNDS GROWTH FUND OF AMERICA A	0.00	6.24	0.00	6.24	90.0	5.62
03/01/2017	WHEAT, KATHLEEN	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.37	0.00	0.37	90.0	0.33
03/01/2017	KEMBLE, CARA	AM FUNDS GROWTH FUND OF AMERICA A	0.00	2.36	0.00	2.36	90.0	2.12
03/01/2017	CALLIS, EMILY	AM FUNDS GROWTH FUND OF AMERICA A	0.00	5.10	0.00	5.10	90.0	4.59
03/01/2017	CALLIS, CHAD	AM FUNDS GROWTH FUND OF AMERICA A	0.00	4.44	0.00	4.44	90.0	4.00
03/01/2017	MCNERNEY, DAN	AM FUNDS GROWTH FUND OF AMERICA A	0.00	13.60	0.00	13.60	90.0	12.24
03/01/2017	CRANE, MISTY	AM FUNDS GROWTH FUND OF AMERICA A	0.00	4.24	0.00	4.24	90.0	3.82
03/01/2017	GUIER, GREGORY	AM FUNDS GROWTH FUND OF AMERICA A	0.00	15.09	0.00	15.09	90.0	13.58
03/01/2017	TWEHOUS, NOLAN	AM FUNDS GROWTH FUND OF AMERICA A	0.00	4.44	0.00	4.44	90.0	4.00
03/01/2017	KILEY, TERRANCE	AM FUNDS GROWTH FUND OF AMERICA A	0.00	1.56	0.00	1.56	90.0	1.40
03/01/2017	GUIER, GRACIE	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.38	0.00	0.38	90.0	0.34
03/01/2017	GRIFFITH, CHERYL	AM FUNDS GROWTH FUND OF AMERICA A	0.00	6.80	0.00	6.80	90.0	6.12
03/01/2017	KAUFMAN, JEFFREY	AM FUNDS GROWTH FUND OF AMERICA A	0.00	6.80	0.00	6.80	90.0	6.12
03/01/2017	CROWLEY, MICHA	AM FUNDS GROWTH FUND OF AMERICA A	0.00	16.85	0.00	16.85	90.0	15.17
03/01/2017	GRIFFIN, AMANDA	AM FUNDS GROWTH FUND OF AMERICA A	0.00	3.96	0.00	3.96	90.0	3.56

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<u>BROKER TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
03/01/2017	GRIFFIN, SHAWN	AM FUNDS GROWTH FUND OF AMERICA A	0.00	10.99	0.00	10.99	90.0	9.89
03/01/2017	TAYLOR, LOIS	AM FUNDS GROWTH FUND OF AMERICA A	0.00	18.72	0.00	18.72	90.0	16.85
03/01/2017	BLODGETT, TAMMY	AM FUNDS GROWTH FUND OF AMERICA A	0.00	1.39	0.00	1.39	90.0	1.25
03/01/2017	JOHNSON, RYAN	AM FUNDS GROWTH FUND OF AMERICA A	0.00	3.28	0.00	3.28	90.0	2.95
03/01/2017	BAUER, MATTHEW	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.28	0.00	0.28	90.0	0.25
03/01/2017	SUMMERS, AARON	AM FUNDS GROWTH FUND OF AMERICA A	0.00	2.65	0.00	2.65	90.0	2.39
03/01/2017	EICHHOLZ, JARED	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.95	0.00	0.95	90.0	0.86
03/01/2017	SCHAUMBURG, JEFFREY	AM FUNDS GROWTH FUND OF AMERICA A	0.00	8.87	0.00	8.87	90.0	7.98
03/01/2017	MANGUS, DANIEL	AM FUNDS GROWTH FUND OF AMERICA A	0.00	1.10	0.00	1.10	90.0	0.99
03/01/2017	KAUFMAN, KIMBERLY	AM FUNDS GROWTH FUND OF AMERICA A	0.00	19.55	0.00	19.55	90.0	17.60
03/01/2017	KAUFMAN, JEFFREY	AM FUNDS GROWTH FUND OF AMERICA A	0.00	19.87	0.00	19.87	90.0	17.88
03/01/2017	MARK, CHRISTOPHER	AM FUNDS GROWTH FUND OF AMERICA A	0.00	3.46	0.00	3.46	90.0	3.11
03/01/2017	BIETSCH, MATTHEW	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.56	0.00	0.56	90.0	0.50
03/01/2017	AHERN, OLIVIA	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.66	0.00	0.66	90.0	0.59
03/01/2017	GRIMSHAW, ROBERT	AM FUNDS GROWTH FUND OF AMERICA A	0.00	34.14	0.00	34.14	90.0	30.73
03/01/2017	KAUFMAN, ADAM	AM FUNDS GROWTH FUND OF AMERICA A	0.00	3.78	0.00	3.78	90.0	3.40
03/01/2017	DELEON, JISEFREDO	AM FUNDS GROWTH FUND OF AMERICA A	0.00	2.05	0.00	2.05	90.0	1.85
03/01/2017	WILMSMEYER, CHRISTA	AM FUNDS GROWTH FUND OF AMERICA A	0.00	7.21	0.00	7.21	90.0	6.49
03/01/2017	CROWLEY, MICHA	AM FUNDS GROWTH FUND OF AMERICA A	0.00	83.02	0.00	83.02	90.0	74.72
03/01/2017	THOMAS, VIRGIL	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.87	0.00	0.87	90.0	0.78
03/01/2017	MCKENZIE, JADA	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.21	0.00	0.21	90.0	0.19
03/01/2017	CARSON, MATTHEW	AM FUNDS GROWTH FUND OF AMERICA A	0.00	1.02	0.00	1.02	90.0	0.92
03/01/2017	SAUSAMAN, URSULA	AM FUNDS GROWTH FUND OF AMERICA A	0.00	6.22	0.00	6.22	90.0	5.60
03/01/2017	WIBBENMEYER, BRITTANY	AM FUNDS GROWTH FUND OF AMERICA A	0.00	1.28	0.00	1.28	90.0	1.15
03/01/2017	JORDENING, LYNN	AM FUNDS GROWTH FUND OF AMERICA A	0.00	35.88	0.00	35.88	90.0	32.29
03/01/2017	FANGMAN, ROGER	AM FUNDS GROWTH FUND OF AMERICA A	0.00	3.10	0.00	3.10	90.0	2.79
03/01/2017	DEUSCHLE, KIMBERLY	AM FUNDS GROWTH FUND OF AMERICA A	0.00	5.87	0.00	5.87	90.0	5.28
03/01/2017	COOK, GREG	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.01	0.00	0.01	90.0	0.01
03/01/2017	GATTORNA, MICHAEL	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.05	0.00	0.05	90.0	0.05
03/01/2017	MULLENIX, AMANDA	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.09	0.00	0.09	90.0	0.08
03/01/2017	DAVIDSON, DANIELLE	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.03	0.00	0.03	90.0	0.03
03/01/2017	KISER, ANDREA	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.06	0.00	0.06	90.0	0.05
03/01/2017	BURKHARDT, MORGAN	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.05	0.00	0.05	90.0	0.05

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<u>BROKER TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
03/01/2017	EULTGEN, VICKI	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.06	0.00	0.06	90.0	0.05
03/01/2017	TURNER, JOSH	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.02	0.00	0.02	90.0	0.02
03/01/2017	MURPHY, MELISSA	AM FUNDS GROWTH FUND OF AMERICA A	0.00	1.26	0.00	1.26	90.0	1.13
03/01/2017	MURPHY, MICHAEL	AM FUNDS GROWTH FUND OF AMERICA A	0.00	2.08	0.00	2.08	90.0	1.87
03/01/2017	VICTOR, THOMAS	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.03	0.00	0.03	90.0	0.03
03/01/2017	TURNER, COREY	AM FUNDS GROWTH FUND OF AMERICA A	0.00	1.00	0.00	1.00	90.0	0.90
03/01/2017	RYAN, MATTHEW	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.25	0.00	0.25	90.0	0.23
03/01/2017	TURNER, GARY	AM FUNDS GROWTH FUND OF AMERICA A	0.00	31.41	0.00	31.41	90.0	28.27
03/01/2017	UNZICKER, WILLIAM	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.02	0.00	0.02	90.0	0.02
03/01/2017	ROBINETT, CHARISSA	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.16	0.00	0.16	90.0	0.14
03/01/2017	ELDRIDGE, DEE	AM FUNDS GROWTH FUND OF AMERICA A	0.00	8.39	0.00	8.39	90.0	7.55
03/03/2017	DELEON, JISEFREDO	AM FUNDS GROWTH FUND OF AMERICA A	50.00	2.50	0.00	2.50	90.0	2.25
03/03/2017	DELEON, JISEFREDO	AM FUNDS GROWTH FUND OF AMERICA A	49.73	2.49	0.00	2.49	90.0	2.24
03/01/2017	STALEY, JOSELYN	AM FUNDS GROWTH FUND OF AMERICA C	0.00	1.32	0.00	1.32	90.0	1.19
03/01/2017	KAUFMAN, COOPER	AM FUNDS GROWTH FUND OF AMERICA C	0.00	3.42	0.00	3.42	90.0	3.08
03/01/2017	WILMSMEYER, CHRISTA	AM FUNDS GROWTH FUND OF AMERICA C	0.00	21.44	0.00	21.44	90.0	19.30
03/01/2017	ELLIOT, MITCHELL	AM FUNDS GROWTH FUND OF AMERICA C	0.00	1.76	0.00	1.76	90.0	1.58
03/01/2017	ELLIOT, MITCHELL	AM FUNDS GROWTH FUND OF AMERICA F1	0.00	0.58	0.00	0.58	90.0	0.52
03/01/2017	DUNCAN, CHRISTOPHER	AM FUNDS GROWTH PORT A	0.00	1.57	0.00	1.57	90.0	1.41
03/01/2017	REDDICK, RYAN	AM FUNDS ICA 529A	0.00	4.33	0.00	4.33	90.0	3.90
02/22/2017	DILLON, EMMA	AM FUNDS ICA A	23.49	0.23	0.00	0.23	90.0	0.21
02/22/2017	DILLON, EMMA	AM FUNDS ICA A	31.32	0.31	0.00	0.31	90.0	0.28
02/22/2017	OPPLAND, ZACHARY	AM FUNDS ICA A	39.60	0.40	0.00	0.40	90.0	0.36
02/22/2017	OPPLAND, ZACHARY	AM FUNDS ICA A	118.80	1.19	0.00	1.19	90.0	1.07
03/01/2017	WINFREY, LARRY	AM FUNDS ICA A	200.00	7.50	0.00	7.50	90.0	6.75
03/01/2017	BAUER, MATTHEW	AM FUNDS ICA A	57.97	2.17	0.00	2.17	90.0	1.95
03/01/2017	SUMMERS, AARON	AM FUNDS ICA A	54.39	2.04	0.00	2.04	90.0	1.84
03/01/2017	EICHHOLZ, JARED	AM FUNDS ICA A	123.27	4.62	0.00	4.62	90.0	4.16
03/01/2017	EULTGEN, VICKI	AM FUNDS ICA A	17.15	0.17	0.00	0.17	90.0	0.15
03/01/2017	EULTGEN, VICKI	AM FUNDS ICA A	37.50	0.38	0.00	0.38	90.0	0.34
03/01/2017	MURPHY, MELISSA	AM FUNDS ICA A	16.50	0.17	0.00	0.17	90.0	0.15
03/01/2017	MURPHY, MELISSA	AM FUNDS ICA A	104.10	1.04	0.00	1.04	90.0	0.94
03/01/2017	RIDGWAY, BENJAMIN	AM FUNDS ICA A	25.00	0.25	0.00	0.25	90.0	0.23

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>BROKER TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
03/01/2017	RIDGWAY, BENJAMIN	AM FUNDS ICA A	25.00	0.25	0.00	0.25	90.0	0.23
03/01/2017	SUTTON, CHRISTOPHER	AM FUNDS ICA A	38.21	0.38	0.00	0.38	90.0	0.34
03/01/2017	SUTTON, CHRISTOPHER	AM FUNDS ICA A	56.00	0.56	0.00	0.56	90.0	0.50
03/01/2017	ELMORE, STUART	AM FUNDS ICA A	43.50	0.44	0.00	0.44	90.0	0.40
03/01/2017	ELMORE, STUART	AM FUNDS ICA A	43.50	0.44	0.00	0.44	90.0	0.40
03/01/2017	MEDLEY, LISA	AM FUNDS ICA A	20.62	0.21	0.00	0.21	90.0	0.19
03/01/2017	MEDLEY, LISA	AM FUNDS ICA A	20.62	0.21	0.00	0.21	90.0	0.19
03/01/2017	HOSTETTER MO/TOD, VICKI	AM FUNDS ICA A	0.00	15.17	0.00	15.17	90.0	13.65
03/01/2017	PECK, THOMAS	AM FUNDS ICA A	0.00	4.33	0.00	4.33	90.0	3.90
03/01/2017	GUIER, CARROL	AM FUNDS ICA A	0.00	2.02	0.00	2.02	90.0	1.82
03/01/2017	GUIER, PAULA	AM FUNDS ICA A	0.00	2.86	0.00	2.86	90.0	2.57
03/01/2017	NOWLIN, STACEY	AM FUNDS ICA A	0.00	2.73	0.00	2.73	90.0	2.46
03/01/2017	PATTISON, CHRISTINE	AM FUNDS ICA A	0.00	28.62	0.00	28.62	90.0	25.76
03/01/2017	CRANE, MISTY	AM FUNDS ICA A	0.00	0.97	0.00	0.97	90.0	0.87
03/01/2017	JOE L KAUFMAN INC	AM FUNDS ICA A	0.00	77.53	0.00	77.53	90.0	69.78
03/01/2017	TWEHOUS, NOLAN	AM FUNDS ICA A	0.00	2.55	0.00	2.55	90.0	2.30
03/01/2017	WINFREY, LARRY	AM FUNDS ICA A	0.00	8.11	0.00	8.11	90.0	7.30
03/01/2017	BAUER, MATTHEW	AM FUNDS ICA A	0.00	0.31	0.00	0.31	90.0	0.28
03/01/2017	SUMMERS, AARON	AM FUNDS ICA A	0.00	2.60	0.00	2.60	90.0	2.34
03/01/2017	EICHHOLZ, JARED	AM FUNDS ICA A	0.00	0.84	0.00	0.84	90.0	0.76
03/01/2017	WINFREY, LARRY	AM FUNDS ICA A	0.00	1.72	0.00	1.72	90.0	1.55
03/01/2017	SAUSAMAN, URSULA	AM FUNDS ICA A	0.00	12.10	0.00	12.10	90.0	10.89
03/01/2017	DEUSCHLE, KIMBERLY	AM FUNDS ICA A	0.00	12.11	0.00	12.11	90.0	10.90
03/01/2017	DILLON, EMMA	AM FUNDS ICA A	0.00	0.02	0.00	0.02	90.0	0.02
03/01/2017	OPPLAND, ZACHARY	AM FUNDS ICA A	0.00	0.06	0.00	0.06	90.0	0.05
03/01/2017	EULTGEN, VICKI	AM FUNDS ICA A	0.00	0.05	0.00	0.05	90.0	0.05
03/01/2017	MURPHY, MELISSA	AM FUNDS ICA A	0.00	1.14	0.00	1.14	90.0	1.03
03/01/2017	PETERSON, BAILY	AM FUNDS ICA A	0.00	0.04	0.00	0.04	90.0	0.04
03/01/2017	RIDGWAY, BENJAMIN	AM FUNDS ICA A	0.00	0.04	0.00	0.04	90.0	0.04
03/01/2017	TURNER, GARY	AM FUNDS ICA A	0.00	8.98	0.00	8.98	90.0	8.08
03/01/2017	SUTTON, CHRISTOPHER	AM FUNDS ICA A	0.00	8.46	0.00	8.46	90.0	7.61
03/01/2017	ELMORE, STUART	AM FUNDS ICA A	0.00	0.07	0.00	0.07	90.0	0.06
03/01/2017	MEDLEY, LISA	AM FUNDS ICA A	0.00	0.04	0.00	0.04	90.0	0.04

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>BROKER TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
03/01/2017	HILDABRAND, ALVENA	AM FUNDS ICA A	0.00	7.50	0.00	7.50	90.0	6.75
03/01/2017	PRATER, RAMONA	AM FUNDS INCOME FUND OF AMERICA A	0.00	0.17	0.00	0.17	90.0	0.15
03/01/2017	OSSMAN, ED	AM FUNDS INCOME FUND OF AMERICA A	0.00	87.39	0.00	87.39	90.0	78.65
03/01/2017	FRIEDERICH, JOHN	AM FUNDS INCOME FUND OF AMERICA A	0.00	30.18	0.00	30.18	90.0	27.16
03/01/2017	OWEN, ERNEST	AM FUNDS INCOME FUND OF AMERICA A	0.00	4.36	0.00	4.36	90.0	3.92
03/01/2017	JORDENING, POLLY	AM FUNDS INCOME FUND OF AMERICA A	0.00	98.72	0.00	98.72	90.0	88.85
03/01/2017	BLISS, REBECCA	AM FUNDS INCOME FUND OF AMERICA A	0.00	6.48	0.00	6.48	90.0	5.83
03/01/2017	WILMSMEYER, CHRISTA	AM FUNDS INCOME FUND OF AMERICA C	0.00	18.46	0.00	18.46	90.0	16.61
03/01/2017	ANDING, MARY DIANE	AM FUNDS INCOME FUND OF AMERICA F-1	0.00	3.35	0.00	3.35	90.0	3.02
03/01/2017	ANDING, MARY DIANE	AM FUNDS INCOME FUND OF AMERICA-529	0.00	1.65	0.00	1.65	90.0	1.49
02/22/2017	REEDY, REBECCA	AM FUNDS INCOME PORTFOLIO A	74.40	0.74	0.00	0.74	90.0	0.67
02/22/2017	REEDY, REBECCA	AM FUNDS INCOME PORTFOLIO A	74.40	0.74	0.00	0.74	90.0	0.67
03/01/2017	MURPHY, MELISSA	AM FUNDS INTL GROWTH AND INCOME A	16.50	0.17	0.00	0.17	90.0	0.15
03/01/2017	MURPHY, MELISSA	AM FUNDS INTL GROWTH AND INCOME A	104.09	1.04	0.00	1.04	90.0	0.94
03/01/2017	OWEN, ERNEST	AM FUNDS INTL GROWTH AND INCOME A	0.00	3.16	0.00	3.16	90.0	2.84
03/01/2017	MURPHY, MELISSA	AM FUNDS INTL GROWTH AND INCOME A	0.00	0.93	0.00	0.93	90.0	0.84
02/21/2017	CROWLEY, MICHA	AM FUNDS NEW ECONOMY A	184.61	3.69	0.00	3.69	90.0	3.32
02/22/2017	STALEY, JOSELYN	AM FUNDS NEW ECONOMY A	28.95	0.29	0.00	0.29	90.0	0.26
02/22/2017	STALEY, JOSELYN	AM FUNDS NEW ECONOMY A	86.87	0.87	0.00	0.87	90.0	0.78
02/22/2017	NIELSEN, BRENDA	AM FUNDS NEW ECONOMY A	63.70	0.64	0.00	0.64	90.0	0.58
02/22/2017	NIELSEN, BRENDA	AM FUNDS NEW ECONOMY A	106.16	1.06	0.00	1.06	90.0	0.95
03/01/2017	REDDICK, RYAN	AM FUNDS NEW ECONOMY A	62.50	1.72	0.00	1.72	90.0	1.55
03/01/2017	BAUER, MATTHEW	AM FUNDS NEW ECONOMY A	57.97	2.17	0.00	2.17	90.0	1.95
03/01/2017	ROBINETT, CHARISSA	AM FUNDS NEW ECONOMY A	20.62	0.21	0.00	0.21	90.0	0.19
03/01/2017	ROBINETT, CHARISSA	AM FUNDS NEW ECONOMY A	20.62	0.21	0.00	0.21	90.0	0.19
03/01/2017	SUTTON, CHRISTOPHER	AM FUNDS NEW ECONOMY A	16.37	0.16	0.00	0.16	90.0	0.14
03/01/2017	SUTTON, CHRISTOPHER	AM FUNDS NEW ECONOMY A	24.00	0.24	0.00	0.24	90.0	0.22
03/01/2017	ANDING, MARY DIANE	AM FUNDS NEW ECONOMY A	0.00	37.27	0.00	37.27	90.0	33.54
03/01/2017	REDDICK, RYAN	AM FUNDS NEW ECONOMY A	0.00	3.06	0.00	3.06	90.0	2.75
03/01/2017	GUIER, CARROL	AM FUNDS NEW ECONOMY A	0.00	2.32	0.00	2.32	90.0	2.09
03/01/2017	GUIER, PAULA	AM FUNDS NEW ECONOMY A	0.00	3.04	0.00	3.04	90.0	2.74
03/01/2017	GRIFFIN, AMANDA	AM FUNDS NEW ECONOMY A	0.00	2.91	0.00	2.91	90.0	2.62
03/01/2017	PATTISON, CHRISTINE	AM FUNDS NEW ECONOMY A	0.00	8.56	0.00	8.56	90.0	7.70

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<u>BROKER TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
03/01/2017	SEYER, MARY	AM FUNDS NEW ECONOMY A	0.00	8.23	0.00	8.23	90.0	7.41
03/01/2017	STALEY, JOSELYN	AM FUNDS NEW ECONOMY A	0.00	4.65	0.00	4.65	90.0	4.19
03/01/2017	GUIER, GREGORY	AM FUNDS NEW ECONOMY A	0.00	15.15	0.00	15.15	90.0	13.64
03/01/2017	TWEHOUS, NOLAN	AM FUNDS NEW ECONOMY A	0.00	1.35	0.00	1.35	90.0	1.22
03/01/2017	GUIER, GRACIE	AM FUNDS NEW ECONOMY A	0.00	0.24	0.00	0.24	90.0	0.22
03/01/2017	KAUFMAN, JEFFREY	AM FUNDS NEW ECONOMY A	0.00	8.33	0.00	8.33	90.0	7.50
03/01/2017	BAUER, MATTHEW	AM FUNDS NEW ECONOMY A	0.00	0.09	0.00	0.09	90.0	0.08
03/01/2017	MANGUS, DANIEL	AM FUNDS NEW ECONOMY A	0.00	1.10	0.00	1.10	90.0	0.99
03/01/2017	MARK, CHRISTOPHER	AM FUNDS NEW ECONOMY A	0.00	0.40	0.00	0.40	90.0	0.36
03/01/2017	AHERN, OLIVIA	AM FUNDS NEW ECONOMY A	0.00	1.13	0.00	1.13	90.0	1.02
03/01/2017	CROWLEY, MICHA	AM FUNDS NEW ECONOMY A	0.00	54.98	0.00	54.98	90.0	49.48
03/01/2017	CARSON, MATTHEW	AM FUNDS NEW ECONOMY A	0.00	0.01	0.00	0.01	90.0	0.01
03/01/2017	JORDENING, POLLY	AM FUNDS NEW ECONOMY A	0.00	33.01	0.00	33.01	90.0	29.71
03/01/2017	GUIER, CLINT	AM FUNDS NEW ECONOMY A	0.00	4.05	0.00	4.05	90.0	3.65
03/01/2017	NIELSEN, BRENDA	AM FUNDS NEW ECONOMY A	0.00	0.03	0.00	0.03	90.0	0.03
03/01/2017	BURKHARDT, MORGAN	AM FUNDS NEW ECONOMY A	0.00	0.05	0.00	0.05	90.0	0.05
03/01/2017	ROBINETT, CHARISSA	AM FUNDS NEW ECONOMY A	0.00	0.04	0.00	0.04	90.0	0.04
03/01/2017	TURNER, GARY	AM FUNDS NEW ECONOMY A	0.00	6.65	0.00	6.65	90.0	5.99
03/01/2017	SUTTON, CHRISTOPHER	AM FUNDS NEW ECONOMY A	0.00	2.45	0.00	2.45	90.0	2.21
03/01/2017	ROBINETT, CHARISSA	AM FUNDS NEW ECONOMY A	0.00	0.16	0.00	0.16	90.0	0.14
02/22/2017	GRIFFIN, AMANDA	AM FUNDS NEW PERSPECTIVE A	62.61	0.63	0.00	0.63	90.0	0.57
02/22/2017	GRIFFIN, AMANDA	AM FUNDS NEW PERSPECTIVE A	62.61	0.63	0.00	0.63	90.0	0.57
02/22/2017	STALEY, JOSELYN	AM FUNDS NEW PERSPECTIVE A	28.95	0.29	0.00	0.29	90.0	0.26
02/22/2017	STALEY, JOSELYN	AM FUNDS NEW PERSPECTIVE A	86.87	0.87	0.00	0.87	90.0	0.78
02/22/2017	COOK, GREG	AM FUNDS NEW PERSPECTIVE A	25.67	0.26	0.00	0.26	90.0	0.23
02/22/2017	COOK, GREG	AM FUNDS NEW PERSPECTIVE A	25.67	0.26	0.00	0.26	90.0	0.23
02/22/2017	GATTORNA, MICHAEL	AM FUNDS NEW PERSPECTIVE A	73.39	0.73	0.00	0.73	90.0	0.66
02/22/2017	GATTORNA, MICHAEL	AM FUNDS NEW PERSPECTIVE A	73.39	0.73	0.00	0.73	90.0	0.66
02/22/2017	STAES, SAMUEL	AM FUNDS NEW PERSPECTIVE A	33.60	0.34	0.00	0.34	90.0	0.31
02/22/2017	STAES, SAMUEL	AM FUNDS NEW PERSPECTIVE A	67.20	0.67	0.00	0.67	90.0	0.60
03/01/2017	EULTGEN, VICKI	AM FUNDS NEW PERSPECTIVE A	11.42	0.11	0.00	0.11	90.0	0.10
03/01/2017	EULTGEN, VICKI	AM FUNDS NEW PERSPECTIVE A	25.00	0.25	0.00	0.25	90.0	0.23
03/01/2017	TURNER, JOSH	AM FUNDS NEW PERSPECTIVE A	12.32	0.12	0.00	0.12	90.0	0.11

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<u>BROKER TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
03/01/2017	TURNER, JOSH	AM FUNDS NEW PERSPECTIVE A	12.31	0.12	0.00	0.12	90.0	0.11
03/01/2017	MURPHY, MELISSA	AM FUNDS NEW PERSPECTIVE A	16.49	0.16	0.00	0.16	90.0	0.14
03/01/2017	MURPHY, MELISSA	AM FUNDS NEW PERSPECTIVE A	104.10	1.04	0.00	1.04	90.0	0.94
03/01/2017	ROBINETT, CHARISSA	AM FUNDS NEW PERSPECTIVE A	20.63	0.21	0.00	0.21	90.0	0.19
03/01/2017	ROBINETT, CHARISSA	AM FUNDS NEW PERSPECTIVE A	20.63	0.21	0.00	0.21	90.0	0.19
03/01/2017	VICTOR, THOMAS	AM FUNDS NEW PERSPECTIVE A	12.54	0.13	0.00	0.13	90.0	0.12
03/01/2017	VICTOR, THOMAS	AM FUNDS NEW PERSPECTIVE A	12.54	0.13	0.00	0.13	90.0	0.12
03/01/2017	TURNER, COREY	AM FUNDS NEW PERSPECTIVE A	20.63	0.21	0.00	0.21	90.0	0.19
03/01/2017	TURNER, COREY	AM FUNDS NEW PERSPECTIVE A	130.13	1.30	0.00	1.30	90.0	1.17
03/01/2017	ANDING, MARY DIANE	AM FUNDS NEW PERSPECTIVE A	0.00	79.95	0.00	79.95	90.0	71.96
03/01/2017	REDDICK, RYAN	AM FUNDS NEW PERSPECTIVE A	0.00	5.30	0.00	5.30	90.0	4.77
03/01/2017	GRIFFIN, AMANDA	AM FUNDS NEW PERSPECTIVE A	0.00	4.50	0.00	4.50	90.0	4.05
03/01/2017	SEYER, MARY	AM FUNDS NEW PERSPECTIVE A	0.00	8.09	0.00	8.09	90.0	7.28
03/01/2017	STALEY, JOSELYN	AM FUNDS NEW PERSPECTIVE A	0.00	4.12	0.00	4.12	90.0	3.71
03/01/2017	MIDDLETON, M	AM FUNDS NEW PERSPECTIVE A	0.00	0.15	0.00	0.15	90.0	0.14
03/01/2017	MCNERNEY, DAN	AM FUNDS NEW PERSPECTIVE A	0.00	10.29	0.00	10.29	90.0	9.26
03/01/2017	KAUFMAN, JEFFREY	AM FUNDS NEW PERSPECTIVE A	0.00	8.34	0.00	8.34	90.0	7.51
03/01/2017	DEUSCHLE, KIMBERLY	AM FUNDS NEW PERSPECTIVE A	0.00	10.91	0.00	10.91	90.0	9.82
03/01/2017	COOK, GREG	AM FUNDS NEW PERSPECTIVE A	0.00	0.01	0.00	0.01	90.0	0.01
03/01/2017	GATTORNA, MICHAEL	AM FUNDS NEW PERSPECTIVE A	0.00	0.05	0.00	0.05	90.0	0.05
03/01/2017	STAES, SAMUEL	AM FUNDS NEW PERSPECTIVE A	0.00	0.01	0.00	0.01	90.0	0.01
03/01/2017	EULTGEN, VICKI	AM FUNDS NEW PERSPECTIVE A	0.00	0.04	0.00	0.04	90.0	0.04
03/01/2017	TURNER, JOSH	AM FUNDS NEW PERSPECTIVE A	0.00	0.03	0.00	0.03	90.0	0.03
03/01/2017	MURPHY, MELISSA	AM FUNDS NEW PERSPECTIVE A	0.00	1.08	0.00	1.08	90.0	0.97
03/01/2017	ROBINETT, CHARISSA	AM FUNDS NEW PERSPECTIVE A	0.00	0.04	0.00	0.04	90.0	0.04
03/01/2017	VICTOR, THOMAS	AM FUNDS NEW PERSPECTIVE A	0.00	0.03	0.00	0.03	90.0	0.03
03/01/2017	TURNER, COREY	AM FUNDS NEW PERSPECTIVE A	0.00	0.94	0.00	0.94	90.0	0.85
03/01/2017	TURNER, GARY	AM FUNDS NEW PERSPECTIVE A	0.00	6.45	0.00	6.45	90.0	5.81
03/01/2017	TURNER, GARY	AM FUNDS NEW PERSPECTIVE A	0.00	9.73	0.00	9.73	90.0	8.76
03/01/2017	KAUFMAN, COOPER	AM FUNDS NEW PERSPECTIVE C	0.00	0.28	0.00	0.28	90.0	0.25
03/01/2017	ELLIOT, MITCHELL	AM FUNDS NEW PERSPECTIVE C	0.00	1.59	0.00	1.59	90.0	1.43
03/01/2017	ELLIOT, MITCHELL	AM FUNDS NEW PERSPECTIVE F-1	0.00	0.53	0.00	0.53	90.0	0.48
03/01/2017	REDDICK, RYAN	AM FUNDS NEW WORLD 529A	0.00	3.08	0.00	3.08	90.0	2.77

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>BROKER TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
02/21/2017	CROWLEY, MICHA	AM FUNDS NEW WORLD A	184.62	3.69	0.00	3.69	90.0	3.32
02/22/2017	GATTORNA, MICHAEL	AM FUNDS NEW WORLD A	73.39	0.73	0.00	0.73	90.0	0.66
02/22/2017	GATTORNA, MICHAEL	AM FUNDS NEW WORLD A	73.39	0.73	0.00	0.73	90.0	0.66
03/01/2017	EULTGEN, VICKI	AM FUNDS NEW WORLD A	5.72	0.06	0.00	0.06	90.0	0.05
03/01/2017	EULTGEN, VICKI	AM FUNDS NEW WORLD A	12.50	0.13	0.00	0.13	90.0	0.12
03/01/2017	TURNER, JOSH	AM FUNDS NEW WORLD A	12.32	0.12	0.00	0.12	90.0	0.11
03/01/2017	TURNER, JOSH	AM FUNDS NEW WORLD A	12.32	0.12	0.00	0.12	90.0	0.11
03/01/2017	MURPHY, MELISSA	AM FUNDS NEW WORLD A	4.13	0.04	0.00	0.04	90.0	0.04
03/01/2017	MURPHY, MELISSA	AM FUNDS NEW WORLD A	26.03	0.26	0.00	0.26	90.0	0.23
03/01/2017	MURPHY, MICHAEL	AM FUNDS NEW WORLD A	41.25	0.41	0.00	0.41	90.0	0.37
03/01/2017	MURPHY, MICHAEL	AM FUNDS NEW WORLD A	260.25	2.60	0.00	2.60	90.0	2.34
03/01/2017	VICTOR, THOMAS	AM FUNDS NEW WORLD A	12.52	0.13	0.00	0.13	90.0	0.12
03/01/2017	VICTOR, THOMAS	AM FUNDS NEW WORLD A	12.52	0.13	0.00	0.13	90.0	0.12
03/01/2017	TURNER, COREY	AM FUNDS NEW WORLD A	20.63	0.21	0.00	0.21	90.0	0.19
03/01/2017	TURNER, COREY	AM FUNDS NEW WORLD A	130.13	1.30	0.00	1.30	90.0	1.17
03/01/2017	RYAN, MATTHEW	AM FUNDS NEW WORLD A	33.75	0.34	0.00	0.34	90.0	0.31
03/01/2017	RYAN, MATTHEW	AM FUNDS NEW WORLD A	33.75	0.34	0.00	0.34	90.0	0.31
03/01/2017	GUIER, CARROL	AM FUNDS NEW WORLD A	0.00	1.62	0.00	1.62	90.0	1.46
03/01/2017	GUIER, PAULA	AM FUNDS NEW WORLD A	0.00	2.26	0.00	2.26	90.0	2.03
03/01/2017	SEYER, MARY	AM FUNDS NEW WORLD A	0.00	5.52	0.00	5.52	90.0	4.97
03/01/2017	KEMBLE, CARA	AM FUNDS NEW WORLD A	0.00	1.92	0.00	1.92	90.0	1.73
03/01/2017	OSSMAN, ED	AM FUNDS NEW WORLD A	0.00	5.04	0.00	5.04	90.0	4.54
03/01/2017	FRIEDERICH, JOHN	AM FUNDS NEW WORLD A	0.00	3.58	0.00	3.58	90.0	3.22
03/01/2017	TWEHOUS, NOLAN	AM FUNDS NEW WORLD A	0.00	1.00	0.00	1.00	90.0	0.90
03/01/2017	KAUFMAN, JEFFREY	AM FUNDS NEW WORLD A	0.00	7.08	0.00	7.08	90.0	6.37
03/01/2017	GRIFFITH, CHERYL	AM FUNDS NEW WORLD A	0.00	1.93	0.00	1.93	90.0	1.74
03/01/2017	KAUFMAN, JEFFREY	AM FUNDS NEW WORLD A	0.00	1.93	0.00	1.93	90.0	1.74
03/01/2017	GUIER, CASH	AM FUNDS NEW WORLD A	0.00	0.74	0.00	0.74	90.0	0.67
03/01/2017	JOHNSON, RYAN	AM FUNDS NEW WORLD A	0.00	2.37	0.00	2.37	90.0	2.13
03/01/2017	CROWLEY, MICHA	AM FUNDS NEW WORLD A	0.00	33.36	0.00	33.36	90.0	30.02
03/01/2017	MCKENZIE, JADA	AM FUNDS NEW WORLD A	0.00	0.81	0.00	0.81	90.0	0.73
03/01/2017	SAUSAMAN, URSULA	AM FUNDS NEW WORLD A	0.00	1.77	0.00	1.77	90.0	1.59
03/01/2017	DEUSCHLE, KIMBERLY	AM FUNDS NEW WORLD A	0.00	2.78	0.00	2.78	90.0	2.50

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>BROKER TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
03/01/2017	GATTORNA, MICHAEL	AM FUNDS NEW WORLD A	0.00	0.05	0.00	0.05	90.0	0.05
03/01/2017	EULTGEN, VICKI	AM FUNDS NEW WORLD A	0.00	0.02	0.00	0.02	90.0	0.02
03/01/2017	TURNER, JOSH	AM FUNDS NEW WORLD A	0.00	0.03	0.00	0.03	90.0	0.03
03/01/2017	MURPHY, MELISSA	AM FUNDS NEW WORLD A	0.00	0.47	0.00	0.47	90.0	0.42
03/01/2017	MURPHY, MICHAEL	AM FUNDS NEW WORLD A	0.00	2.09	0.00	2.09	90.0	1.88
03/01/2017	VICTOR, THOMAS	AM FUNDS NEW WORLD A	0.00	0.03	0.00	0.03	90.0	0.03
03/01/2017	TURNER, COREY	AM FUNDS NEW WORLD A	0.00	0.95	0.00	0.95	90.0	0.86
03/01/2017	RYAN, MATTHEW	AM FUNDS NEW WORLD A	0.00	0.25	0.00	0.25	90.0	0.23
03/01/2017	TURNER, GARY	AM FUNDS NEW WORLD A	0.00	4.96	0.00	4.96	90.0	4.46
03/01/2017	KAUFMAN, ELLIE	AM FUNDS NEW WORLD C	0.00	0.95	0.00	0.95	90.0	0.86
03/01/2017	KAUFMAN, COOPER	AM FUNDS NEW WORLD C	0.00	1.18	0.00	1.18	90.0	1.06
03/01/2017	ELLIOT, MITCHELL	AM FUNDS NEW WORLD C	0.00	1.19	0.00	1.19	90.0	1.07
03/01/2017	ELLIOT, MITCHELL	AM FUNDS NEW WORLD FUND F1	0.00	0.41	0.00	0.41	90.0	0.37
03/01/2017	MCCAMPBELL, MERYL	AM FUNDS PRESERVATION PORT A	0.00	4.05	0.00	4.05	90.0	3.65
02/22/2017	REDDICK, RYAN	AM FUNDS SMALLCAP WORLD A	117.24	1.17	0.00	1.17	90.0	1.05
02/22/2017	REDDICK, RYAN	AM FUNDS SMALLCAP WORLD A	117.24	1.17	0.00	1.17	90.0	1.05
02/22/2017	SEYER, MARY	AM FUNDS SMALLCAP WORLD A	137.39	1.37	0.00	1.37	90.0	1.23
02/22/2017	SEYER, MARY	AM FUNDS SMALLCAP WORLD A	457.97	4.58	0.00	4.58	90.0	4.12
02/22/2017	COOK, GREG	AM FUNDS SMALLCAP WORLD A	34.24	0.34	0.00	0.34	90.0	0.31
02/22/2017	COOK, GREG	AM FUNDS SMALLCAP WORLD A	34.23	0.34	0.00	0.34	90.0	0.31
02/22/2017	DAVIDSON, DANIELLE	AM FUNDS SMALLCAP WORLD A	38.03	0.38	0.00	0.38	90.0	0.34
02/22/2017	DAVIDSON, DANIELLE	AM FUNDS SMALLCAP WORLD A	38.03	0.38	0.00	0.38	90.0	0.34
02/22/2017	STAES, SAMUEL	AM FUNDS SMALLCAP WORLD A	33.60	0.34	0.00	0.34	90.0	0.31
02/22/2017	STAES, SAMUEL	AM FUNDS SMALLCAP WORLD A	67.20	0.67	0.00	0.67	90.0	0.60
03/01/2017	REDDICK, RYAN	AM FUNDS SMALLCAP WORLD A	62.50	1.72	0.00	1.72	90.0	1.55
03/01/2017	EULTGEN, VICKI	AM FUNDS SMALLCAP WORLD A	5.72	0.06	0.00	0.06	90.0	0.05
03/01/2017	EULTGEN, VICKI	AM FUNDS SMALLCAP WORLD A	12.50	0.13	0.00	0.13	90.0	0.12
03/01/2017	TURNER, JOSH	AM FUNDS SMALLCAP WORLD A	12.32	0.12	0.00	0.12	90.0	0.11
03/01/2017	TURNER, JOSH	AM FUNDS SMALLCAP WORLD A	12.32	0.12	0.00	0.12	90.0	0.11
03/01/2017	MURPHY, MELISSA	AM FUNDS SMALLCAP WORLD A	8.25	0.08	0.00	0.08	90.0	0.07
03/01/2017	MURPHY, MELISSA	AM FUNDS SMALLCAP WORLD A	52.05	0.52	0.00	0.52	90.0	0.47
03/01/2017	VICTOR, THOMAS	AM FUNDS SMALLCAP WORLD A	12.54	0.13	0.00	0.13	90.0	0.12
03/01/2017	VICTOR, THOMAS	AM FUNDS SMALLCAP WORLD A	12.54	0.13	0.00	0.13	90.0	0.12

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<u>BROKER TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
03/01/2017	TURNER, COREY	AM FUNDS SMALLCAP WORLD A	20.61	0.21	0.00	0.21	90.0	0.19
03/01/2017	TURNER, COREY	AM FUNDS SMALLCAP WORLD A	130.13	1.30	0.00	1.30	90.0	1.17
03/01/2017	HOSTETTER MO/TOD, VICKI	AM FUNDS SMALLCAP WORLD A	0.00	3.49	0.00	3.49	90.0	3.14
03/01/2017	ANDING, MARY DIANE	AM FUNDS SMALLCAP WORLD A	0.00	35.09	0.00	35.09	90.0	31.58
03/01/2017	REDDICK, RYAN	AM FUNDS SMALLCAP WORLD A	0.00	6.38	0.00	6.38	90.0	5.74
03/01/2017	REDDICK, RYAN	AM FUNDS SMALLCAP WORLD A	0.00	5.92	0.00	5.92	90.0	5.33
03/01/2017	ZELLMER, AMY	AM FUNDS SMALLCAP WORLD A	0.00	0.02	0.00	0.02	90.0	0.02
03/01/2017	GRIFFIN, AMANDA	AM FUNDS SMALLCAP WORLD A	0.00	2.19	0.00	2.19	90.0	1.97
03/01/2017	PATTISON, CHRISTINE	AM FUNDS SMALLCAP WORLD A	0.00	11.63	0.00	11.63	90.0	10.47
03/01/2017	SEYER, MARY	AM FUNDS SMALLCAP WORLD A	0.00	0.19	0.00	0.19	90.0	0.17
03/01/2017	MIDDLETON, M	AM FUNDS SMALLCAP WORLD A	0.00	0.14	0.00	0.14	90.0	0.13
03/01/2017	WHEAT, KATHLEEN	AM FUNDS SMALLCAP WORLD A	0.00	0.54	0.00	0.54	90.0	0.49
03/01/2017	KEMBLE, CARA	AM FUNDS SMALLCAP WORLD A	0.00	1.93	0.00	1.93	90.0	1.74
03/01/2017	OSSMAN, ED	AM FUNDS SMALLCAP WORLD A	0.00	5.64	0.00	5.64	90.0	5.08
03/01/2017	FRIEDERICH, JOHN	AM FUNDS SMALLCAP WORLD A	0.00	4.61	0.00	4.61	90.0	4.15
03/01/2017	MCNERNEY, DAN	AM FUNDS SMALLCAP WORLD A	0.00	14.91	0.00	14.91	90.0	13.42
03/01/2017	GUIER, GREGORY	AM FUNDS SMALLCAP WORLD A	0.00	15.04	0.00	15.04	90.0	13.54
03/01/2017	KAUFMAN, JEFFREY	AM FUNDS SMALLCAP WORLD A	0.00	8.90	0.00	8.90	90.0	8.01
03/01/2017	KAUFMAN, JEFFREY	AM FUNDS SMALLCAP WORLD A	0.00	2.35	0.00	2.35	90.0	2.12
03/01/2017	GRIFFIN, SHAWN	AM FUNDS SMALLCAP WORLD A	0.00	2.58	0.00	2.58	90.0	2.32
03/01/2017	GUIER, KNOX	AM FUNDS SMALLCAP WORLD A	0.00	0.60	0.00	0.60	90.0	0.54
03/01/2017	MARK, CHRISTOPHER	AM FUNDS SMALLCAP WORLD A	0.00	3.32	0.00	3.32	90.0	2.99
03/01/2017	BIETSCH, MATTHEW	AM FUNDS SMALLCAP WORLD A	0.00	0.61	0.00	0.61	90.0	0.55
03/01/2017	AHERN, OLIVIA	AM FUNDS SMALLCAP WORLD A	0.00	1.13	0.00	1.13	90.0	1.02
03/01/2017	MCKENZIE, JADA	AM FUNDS SMALLCAP WORLD A	0.00	0.02	0.00	0.02	90.0	0.02
03/01/2017	WIBBENMEYER, BRITTANY	AM FUNDS SMALLCAP WORLD A	0.00	0.05	0.00	0.05	90.0	0.05
03/01/2017	DEUSCHLE, KIMBERLY	AM FUNDS SMALLCAP WORLD A	0.00	2.85	0.00	2.85	90.0	2.57
03/01/2017	COOK, GREG	AM FUNDS SMALLCAP WORLD A	0.00	0.02	0.00	0.02	90.0	0.02
03/01/2017	DAVIDSON, DANIELLE	AM FUNDS SMALLCAP WORLD A	0.00	0.03	0.00	0.03	90.0	0.03
03/01/2017	STAES, SAMUEL	AM FUNDS SMALLCAP WORLD A	0.00	0.02	0.00	0.02	90.0	0.02
03/01/2017	EULTGEN, VICKI	AM FUNDS SMALLCAP WORLD A	0.00	0.02	0.00	0.02	90.0	0.02
03/01/2017	TURNER, JOSH	AM FUNDS SMALLCAP WORLD A	0.00	0.03	0.00	0.03	90.0	0.03
03/01/2017	MURPHY, MELISSA	AM FUNDS SMALLCAP WORLD A	0.00	0.69	0.00	0.69	90.0	0.62

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<u>BROKER TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
03/01/2017	MURPHY, MICHAEL	AM FUNDS SMALLCAP WORLD A	0.00	1.35	0.00	1.35	90.0	1.22
03/01/2017	PETERSON, BAILY	AM FUNDS SMALLCAP WORLD A	0.00	0.04	0.00	0.04	90.0	0.04
03/01/2017	VICTOR, THOMAS	AM FUNDS SMALLCAP WORLD A	0.00	0.03	0.00	0.03	90.0	0.03
03/01/2017	TURNER, COREY	AM FUNDS SMALLCAP WORLD A	0.00	1.00	0.00	1.00	90.0	0.90
03/01/2017	TURNER, GARY	AM FUNDS SMALLCAP WORLD A	0.00	6.88	0.00	6.88	90.0	6.19
03/01/2017	RYAN, MATTHEW	AM FUNDS SMALLCAP WORLD A	0.00	0.04	0.00	0.04	90.0	0.04
03/01/2017	SUTTON, CHRISTOPHER	AM FUNDS SMALLCAP WORLD A	0.00	2.83	0.00	2.83	90.0	2.55
03/01/2017	TOMPKINS, ERIKA	AM FUNDS SMALLCAP WORLD A	0.00	0.06	0.00	0.06	90.0	0.05
03/01/2017	ELLIOTT, MITCHELL	AM FUNDS SMALLCAP WORLD A	0.00	0.08	0.00	0.08	90.0	0.07
03/01/2017	KAUFMAN, COOPER	AM FUNDS SMALLCAP WORLD C	0.00	2.54	0.00	2.54	90.0	2.29
03/01/2017	HOLTKAMP, MARIGENE	AM FUNDS U.S. GOVERNMENT SECURITIES	34.88	0.35	0.00	0.35	90.0	0.32
03/01/2017	HOLTKAMP, MARIGENE	AM FUNDS U.S. GOVERNMENT SECURITIES	187.50	1.88	0.00	1.88	90.0	1.69
03/01/2017	OGLESBY, WILLIAM	AM FUNDS U.S. GOVERNMENT SECURITIES	0.00	62.36	0.00	62.36	90.0	56.12
03/01/2017	HOLTKAMP, MARIGENE	AM FUNDS U.S. GOVERNMENT SECURITIES	0.00	0.16	0.00	0.16	90.0	0.14
03/01/2017	STEVENSON, DAVID	AM FUNDS U.S. GOVERNMENT SECURITIES	0.00	2.44	0.00	2.44	90.0	2.20
03/01/2017	HALL, JULIE	AM FUNDS U.S. GOVERNMENT SECURITIES	0.00	5.30	0.00	5.30	90.0	4.77
03/01/2017	ANDING, MARY DIANE	AM FUNDS U.S. GOVERNMENT SECURITIES	0.00	4.76	0.00	4.76	90.0	4.28
02/22/2017	GRIFFIN, AMANDA	AM FUNDS WASHINGTON MUTUAL INVESTOR	52.17	0.52	0.00	0.52	90.0	0.47
02/22/2017	GRIFFIN, AMANDA	AM FUNDS WASHINGTON MUTUAL INVESTOR	52.17	0.52	0.00	0.52	90.0	0.47
03/01/2017	TOMPKINS, ERIKA	AM FUNDS WASHINGTON MUTUAL INVESTOR	41.25	0.41	0.00	0.41	90.0	0.37
03/01/2017	TOMPKINS, ERIKA	AM FUNDS WASHINGTON MUTUAL INVESTOR	68.75	0.69	0.00	0.69	90.0	0.62
03/01/2017	GRIFFIN, AMANDA	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	1.53	0.00	1.53	90.0	1.38
03/01/2017	MCNERNEY, DAN	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	20.42	0.00	20.42	90.0	18.38
03/01/2017	TOMPKINS, ERIKA	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.23	0.00	0.23	90.0	0.21
03/01/2017	DUNCAN, CHRISTOPHER	AMERICAN FUND GLOBAL GROWTH PORTFOL	0.00	1.51	0.00	1.51	90.0	1.36
03/01/2017	ANDING, MARY DIANE	AMERICAN FUNDS BALANCED FUNDS F-1	0.00	3.30	0.00	3.30	90.0	2.97
03/01/2017	DEAN, CARROLL	AMERICAN FUNDS BALANCED FUNDS F-1	0.00	3.14	0.00	3.14	90.0	2.83
03/01/2017	TURNER, GARY	AMERICAN FUNDS DEVELOPING WORLD GRO	0.00	6.66	0.00	6.66	90.0	5.99
/ /	KAUFMAN, JEFFREY	FIDELITY ADV CANADA	0.00	0.78	0.00	0.78	90.0	0.70
/ /	KAUFMAN, JEFFREY	FIDELITY ADV EMERGING EMEA	0.00	0.78	0.00	0.78	90.0	0.70
/ /	CROWLEY, MICHA	FIDELITY ADV EVENT DRIVEN OPPTS	0.00	1.41	0.00	1.41	90.0	1.27
/ /	KAUFMAN, JEFFREY	FIDELITY ADV GLOBAL CAP APP T	0.00	1.74	0.00	1.74	90.0	1.57
/ /	KAUFMAN, JEFFREY	FIDELITY ADV GLOBAL COMMODITY STK	0.00	0.77	0.00	0.77	90.0	0.69

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<u>BROKER TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
/ /	CROWLEY, MICHA	FIDELITY ADV GLOBAL COMMODITY STOCK	0.00	0.91	0.00	0.91	90.0	0.82
/ /	ANDING, MARY DIANE	FIDELITY ADV GLOBAL COMMODITY STOCK	0.00	6.87	0.00	6.87	90.0	6.18
/ /	KAUFMAN, JEFFREY	FIDELITY ADV GOLD	0.00	0.82	0.00	0.82	90.0	0.74
/ /	ANDING, MARY DIANE	FIDELITY ADV GOLD C	0.00	7.18	0.00	7.18	90.0	6.46
/ /	WILMSMEYER, CHRISTA	FIDELITY ADV GOLD C	0.00	0.69	0.00	0.69	90.0	0.62
/ /	GRIFFITH, CHERYL	FIDELITY ADV GOVERNMENT INC	0.00	0.10	0.00	0.10	90.0	0.09
/ /	HALL, ELLEN	FIDELITY ADV GROWTH OPP	0.00	8.13	0.00	8.13	90.0	7.32
/ /	ELLIOTT, TIMOTHY	FIDELITY ADV GROWTH OPP	0.00	0.98	0.00	0.98	90.0	0.88
/ /	KAUFMAN, JEFFREY	FIDELITY ADV GROWTH OPP	0.00	6.29	0.00	6.29	90.0	5.66
/ /	ANDING, MARY DIANE	FIDELITY ADV HEALTH CARE C	0.00	12.91	0.00	12.91	90.0	11.62
/ /	RICHARDSON, BOBBY	FIDELITY ADV HEALTH CARE T	0.00	2.14	0.00	2.14	90.0	1.93
/ /	ANDING, MARY DIANE	FIDELITY ADV INFLATION PROTECTED BD	0.00	37.14	0.00	37.14	90.0	33.43
/ /	CROWLEY, MICHA	FIDELITY ADV INT'L REAL ESTATE C	0.00	1.26	0.00	1.26	90.0	1.13
/ /	ANDING, MARY DIANE	FIDELITY ADV INT'L REAL ESTATE C	0.00	16.89	0.00	16.89	90.0	15.20
/ /	CROWLEY, MICHA	FIDELITY ADV INTERNATIONAL GROWTH C	0.00	3.32	0.00	3.32	90.0	2.99
/ /	GRIFFITH, CHERYL	FIDELITY ADV INTL SM CAP CL T	0.00	3.66	0.00	3.66	90.0	3.29
/ /	RICHARDSON, BOBBY	FIDELITY ADV INTL SM CAP CL T	0.00	1.04	0.00	1.04	90.0	0.94
/ /	GRIFFITH, CHERYL	FIDELITY ADV LARGE CAP	0.00	5.37	0.00	5.37	90.0	4.83
/ /	WILMSMEYER, CHRISTA	FIDELITY ADV LEVERAGED CO STOCK C	0.00	7.24	0.00	7.24	90.0	6.52
/ /	HALL, ELLEN	FIDELITY ADV LEVERAGED CO STOCK-CL	0.00	2.46	0.00	2.46	90.0	2.21
/ /	RICHARDSON, BOBBY	FIDELITY ADV LEVERAGED CO STOCK-CL	0.00	12.64	0.00	12.64	90.0	11.38
/ /	WILMSMEYER, CHRISTA	FIDELITY ADV MATERIALS C	0.00	3.92	0.00	3.92	90.0	3.53
/ /	GRIFFITH, CHERYL	FIDELITY ADV OVERSEAS	0.00	0.95	0.00	0.95	90.0	0.86
/ /	CROWLEY, MICHA	FIDELITY ADV REAL ESTATE C	0.00	2.52	0.00	2.52	90.0	2.27
/ /	ANDING, MARY DIANE	FIDELITY ADV REAL ESTATE C	0.00	49.13	0.00	49.13	90.0	44.22
/ /	RICHARDSON, BOBBY	FIDELITY ADV REAL ESTATE-CL T	0.00	5.65	0.00	5.65	90.0	5.09
/ /	GRIFFITH, CHERYL	FIDELITY ADV SMALL CAP	0.00	1.09	0.00	1.09	90.0	0.98
/ /	KAUFMAN, JEFFREY	FIDELITY ADV SMALL CAP GROWTH C	0.00	0.56	0.00	0.56	90.0	0.50
/ /	CROWLEY, MICHA	FIDELITY ADV SMALL CAP GROWTH C	0.00	4.66	0.00	4.66	90.0	4.19
/ /	GRIFFITH, CHERYL	FIDELITY ADV STOCK SELECTOR ALL CAP	0.00	9.05	0.00	9.05	90.0	8.15
/ /	KAUFMAN, JEFFREY	FIDELITY ADV STOCK SELECTOR ALL CAP	0.00	1.93	0.00	1.93	90.0	1.74
/ /	ANDING, MARY DIANE	FIDELITY ADV STRATEGIC REAL RETURN	0.00	37.20	0.00	37.20	90.0	33.48
/ /	RICHARDSON, BOBBY	FIDELITY ADV TELECOMMUNICATIONS-CL	0.00	2.82	0.00	2.82	90.0	2.54

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>BROKER TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
/ /	ANDING, MARY DIANE	FIDELITY ADV UTILITIES C	0.00	51.71	0.00	51.71	90.0	46.54
/ /	WILMSMEYER, CHRISTA	FIDELITY ADV UTILITIES C	0.00	7.95	0.00	7.95	90.0	7.16
/ /	RICHARDSON, BOBBY	FIDELITY ADV UTILITIES-CL T	0.00	1.13	0.00	1.13	90.0	1.02
/ /	RICHARDSON, BOBBY	FIDELITY ADV VALUE LENDERS-CL T	0.00	2.31	0.00	2.31	90.0	2.08
/ /	GRIFFITH, CHERYL	FIDELITY ADVISOR EVENT DRIVEN OPPS	0.00	65.00	0.00	65.00	90.0	58.50
/ /	GRIFFITH, CHERYL	FIDELITY ADVISOR EVENT DRIVEN OPPS	0.00	0.22	0.00	0.22	90.0	0.20
/ /	KAUFMAN, JEFFREY	FIDELITY ADVISOR EVENT DRIVEN OPPS	0.00	0.82	0.00	0.82	90.0	0.74
/ /	KAUFMAN, JEFFREY	FIDELITY ADVISOR MATERIALS FUND-CLA	0.00	0.93	0.00	0.93	90.0	0.84
/ /	WILMSMEYER, CHRISTA	FIDELITY ADVISORS 31618H424	0.00	4.86	0.00	4.86	90.0	4.37
/ /	HALL, ELLEN	FIDELITY ADVISORS 31618H440	0.00	1.02	0.00	1.02	90.0	0.92
/ /	GRIFFITH, CHERYL	FIDELITY BALANCED T	0.00	0.47	0.00	0.47	90.0	0.42
/ /	GRIFFITH, CHERYL	FIDELITY BALANCED T	0.00	12.52	0.00	12.52	90.0	11.27
/ /	ANDING, MARY DIANE	FIDELITY CANADA C	0.00	8.24	0.00	8.24	90.0	7.42
/ /	RICHARDSON, BOBBY	FIDELITY COMM EQUIPMENT T	0.00	4.93	0.00	4.93	90.0	4.44
03/01/2017	HALL, ELLEN	FIDELITY COMM EQUIPMENT T	0.00	1.50	0.00	1.50	90.0	1.35
/ /	ANDING, MARY DIANE	FIDELITY EMERGING EMEA C	0.00	7.94	0.00	7.94	90.0	7.15
/ /	RICHARDSON, BOBBY	FIDELITY EMERGING MKTS T	0.00	2.18	0.00	2.18	90.0	1.96
/ /	CROWLEY, MICHA	FIDELITY ENERGY C	0.00	0.90	0.00	0.90	90.0	0.81
/ /	ANDING, MARY DIANE	FIDELITY ENERGY C	0.00	7.26	0.00	7.26	90.0	6.53
/ /	RICHARDSON, BOBBY	FIDELITY ENERGY T	0.00	2.61	0.00	2.61	90.0	2.35
/ /	KAUFMAN, JEFFREY	FIDELITY ENERGY T	0.00	0.76	0.00	0.76	90.0	0.68
/ /	GRIFFITH, CHERYL	FIDELITY EQUITY VALUE	0.00	8.83	0.00	8.83	90.0	7.95
/ /	CROWLEY, MICHA	FIDELITY FINANCIAL SERVICES C	0.00	2.68	0.00	2.68	90.0	2.41
/ /	ANDING, MARY DIANE	FIDELITY FINANCIAL SERVICES C	0.00	10.91	0.00	10.91	90.0	9.82
/ /	RICHARDSON, BOBBY	FIDELITY FINANCIAL SERVICES T	0.00	0.69	0.00	0.69	90.0	0.62
/ /	KAUFMAN, JEFFREY	FIDELITY FINANCIAL SERVICES T	0.00	0.78	0.00	0.78	90.0	0.70
/ /	KAUFMAN, JEFFREY	FIDELITY HIGH INCOME T	0.00	0.60	0.00	0.60	90.0	0.54
/ /	CROWLEY, MICHA	FIDELITY LATIN AMERICA C	0.00	1.32	0.00	1.32	90.0	1.19
/ /	ANDING, MARY DIANE	FIDELITY LATIN AMERICA C	0.00	5.20	0.00	5.20	90.0	4.68
/ /	KAUFMAN, JEFFREY	FIDELITY MIDCAP C	0.00	0.44	0.00	0.44	90.0	0.40
/ /	GRIFFITH, CHERYL	FIDELITY MIDCAP T	0.00	7.68	0.00	7.68	90.0	6.91
/ /	CROWLEY, MICHA	FIDELITY STOCK SELECTOR ALLCAP C	0.00	6.95	0.00	6.95	90.0	6.26
/ /	ANDING, MARY DIANE	FIDELITY STRATEGIC DIV & INCOME C	0.00	49.91	0.00	49.91	90.0	44.92

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>BROKER TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
/ /	KAUFMAN, JEFFREY	FIDLEITY ADV INTL REAL ESTATE	0.00	0.79	0.00	0.79	90.0	0.71
/ /	GRIFFITH, CHERYL	FIDLEITY ADVISOR LATIN AMERICA FUND	0.00	0.22	0.00	0.22	90.0	0.20
/ /	KAUFMAN, JEFFREY	FIDLEITY ADVISOR LATIN AMERICA FUND	0.00	1.36	0.00	1.36	90.0	1.22
02/24/2017	GRIFFITH, CHERYL	FIDLEITY ADVISOR LATIN AMERICA FUND	3,250.00	65.00	0.00	65.00	90.0	58.50
/ /	RICHARDSON, BOBBY	FIDLEITY ADVISOR JAPAN-CL T	0.00	0.64	0.00	0.64	90.0	0.58
/ /	MCS DESIGN TEAM	HARTFORD BALANCED C	0.00	14.19	0.00	14.19	90.0	12.77
02/02/2017	MCS DESIGN TEAM	HARTFORD BALANCED C	0.00	15.38	0.00	15.38	90.0	13.84
/ /	MCS DESIGN TEAM	HARTFORD DIVIDEND & GROWTH C	0.00	15.54	0.00	15.54	90.0	13.99
02/02/2017	MCS DESIGN TEAM	HARTFORD DIVIDEND & GROWTH C	0.00	16.87	0.00	16.87	90.0	15.18
* MUTUAL FUNDS SUBTOTAL *			\$26,711.34	\$5,476.58	\$0.00	\$5,476.58		\$4,929.43

PRODUCT CATEGORY: VARIABLE ANNUITIES

02/28/2017	PAGE, BRIAN	JNL ELITE ACCESS W/ LIQUIDITY	11,739.64	9.78	0.00	9.78	90.0	8.80
02/28/2017	ANDING, MARY DIANE	JNL PERSPECTIVE II 04/14	114,020.85	47.51	0.00	47.51	90.0	42.76
02/28/2017	STEWART, SHEILA	JNL PERSPECTIVE II 04/14	231,854.69	96.61	0.00	96.61	90.0	86.95
02/28/2017	DEAN GUIER INC	JNL PERSPECTIVE II 04/14	188,344.70	78.48	0.00	78.48	90.0	70.63
02/28/2017	GUIER, CARROL	JNL PERSPECTIVE II 04/14	22,380.89	9.33	0.00	9.33	90.0	8.40
02/28/2017	ANDING, MARY DIANE	JNL PERSPECTIVE II 05/05	72,067.47	30.03	0.00	30.03	90.0	27.03
02/28/2017	CALLIS, CHARLES	JNL PERSPECTIVE II 05/05	27,326.29	11.39	0.00	11.39	90.0	10.25
02/28/2017	OWEN, ERNEST	JNL PERSPECTIVE II 05/05	143,257.08	59.69	0.00	59.69	90.0	53.72
02/28/2017	OSSMAN, ED	JNL PERSPECTIVE II 05/05	55,167.04	22.99	0.00	22.99	90.0	20.69
02/28/2017	OSSMAN, EDWARD	JNL PERSPECTIVE II 05/05	25,545.90	10.64	0.00	10.64	90.0	9.58
02/28/2017	OSSMAN, EDWARD	JNL PERSPECTIVE II 05/05	148,676.20	61.95	0.00	61.95	90.0	55.76
02/28/2017	MARK, RICHARD GEORGE	JNL PERSPECTIVE II 05/05	88,196.46	36.75	0.00	36.75	90.0	33.08
02/28/2017	LANGE, ARLEN	JNL PERSPECTIVE II 05/05	123,166.31	51.32	0.00	51.32	90.0	46.19
02/28/2017	MCBRIDE, KENNETH	JNL PERSPECTIVE II 05/05	300,302.07	125.13	0.00	125.13	90.0	112.62
02/28/2017	ANDING, MARY DIANE	JNL PERSPECTIVE II 05/05	259,666.95	108.19	0.00	108.19	90.0	97.37
02/27/2017	KLANG, MARCHEA	SBL ADVISORDESIGNS VA	94,691.90	78.91	0.00	78.91	90.0	71.02
02/27/2017	KLANG, MARCHEA	SBL ADVISORDESIGNS VA	108,591.61	90.50	0.00	90.50	90.0	81.45
02/27/2017	DOWNS, JAMES	SBL ADVISORDESIGNS VA	38,366.11	31.97	0.00	31.97	90.0	28.77
02/27/2017	SCOFIELD, ROBERT	SBL ADVISORDESIGNS VA	10,822.92	9.02	0.00	9.02	90.0	8.12
02/27/2017	BENNETT, MILDRED	SBL ADVISORDESIGNS VA	92,392.67	76.99	0.00	76.99	90.0	69.29
02/27/2017	ANDERSON, CHERRI	SBL ADVISORDESIGNS VA	27,629.76	23.02	0.00	23.02	90.0	20.72
02/27/2017	LEE, HOWARD	SBL SECUREDESIGNS VA	245,686.86	51.18	0.00	51.18	90.0	46.06

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<u>BROKER TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: LIFE INSURANCE</u>								
* VARIABLE ANNUITIES SUBTOTAL *			\$2,429,894.37	\$1,121.38	\$0.00	\$1,121.38		\$1,009.26
<u>PRODUCT CATEGORY: LIFE INSURANCE</u>								
02/21/2017	HALL, ELLEN	PAC LIFE VUL	50.00	1.00	0.00	1.00	90.0	0.90
02/21/2017	GRIFFITH, CHERYL	PAC LIFE VUL	50.00	1.00	0.00	1.00	90.0	0.90
02/21/2017	GRIFFITH, CHERYL	PAC LIFE VUL	2,494.55	4.99	0.00	4.99	90.0	4.49
02/21/2017	PATTISON, CHRISTINE	PAC LIFE VUL	200.00	6.00	0.00	6.00	90.0	5.40
02/21/2017	GAMM, SKYLAR	PAC LIFE VUL	7.37	7.37	0.00	7.37	90.0	6.63
02/21/2017	GAMM, SKYLAR	PAC LIFE VUL	417.63	104.41	0.00	104.41	90.0	93.97
02/22/2017	ELLIOTT, MITCHELL	PAC LIFE VUL	100.00	3.00	0.00	3.00	90.0	2.70
02/23/2017	JONES, KAREN	PAC LIFE VUL	50.00	1.50	0.00	1.50	90.0	1.35
02/24/2017	KING, CALEB	PAC LIFE VUL	50.00	0.60	0.00	0.60	90.0	0.54
02/27/2017	JONES, KENNETH	PAC LIFE VUL	60.00	1.20	0.00	1.20	90.0	1.08
02/27/2017	ADAMS, GREGORY	PAC LIFE VUL	150.00	3.00	0.00	3.00	90.0	2.70
02/27/2017	ADAMS, ASHLEY	PAC LIFE VUL	100.00	2.00	0.00	2.00	90.0	1.80
02/27/2017	GRIFFIN, AMANDA	PAC LIFE VUL	37.85	0.76	0.00	0.76	90.0	0.68
02/27/2017	GRIFFIN, AMANDA	PAC LIFE VUL	68.07	68.07	0.00	68.07	90.0	61.26
02/27/2017	ADAMS, JAXON	PAC LIFE VUL	50.00	1.00	0.00	1.00	90.0	0.90
03/01/2017	KAUFMAN, KIMBERLY	PAC LIFE VUL	75.00	1.50	0.00	1.50	90.0	1.35
03/01/2017	REDDICK, RYAN	PAC LIFE VUL	50.00	1.00	0.00	1.00	90.0	0.90
03/02/2017	KAUFMAN, JEFFREY	PAC LIFE VUL	200.00	4.00	0.00	4.00	90.0	3.60
03/02/2017	KAUFMAN, COOPER	PAC LIFE VUL	50.00	1.00	0.00	1.00	90.0	0.90
03/02/2017	KAUFMAN, ELLIE	PAC LIFE VUL	50.00	1.00	0.00	1.00	90.0	0.90
03/02/2017	ROBINSON, PHYLILS	PAC LIFE VUL	150.00	3.00	0.00	3.00	90.0	2.70
03/02/2017	REDDICK, CRYSTAL	PAC LIFE VUL	50.00	1.50	0.00	1.50	90.0	1.35
03/02/2017	STALEY, JOSELYN	PAC LIFE VUL	150.00	3.00	0.00	3.00	90.0	2.70
03/02/2017	MCNERNEY, SUSAN	PAC LIFE VUL	1,000.00	30.00	0.00	30.00	90.0	27.00
03/02/2017	MCNERNEY, DASAN	PAC LIFE VUL	200.00	6.00	0.00	6.00	90.0	5.40
03/02/2017	MCNERNEY, ALYSSA	PAC LIFE VUL	150.00	4.50	0.00	4.50	90.0	4.05
03/02/2017	MCNERNEY, DYLAN	PAC LIFE VUL	150.00	4.50	0.00	4.50	90.0	4.05
03/02/2017	STALEY, MICHAELA	PAC LIFE VUL	50.00	1.00	0.00	1.00	90.0	0.90
03/03/2017	GUIER, GREGORY	PAC LIFE VUL	185.00	1.85	0.00	1.85	90.0	1.67
* LIFE INSURANCE SUBTOTAL *			\$6,395.47	\$269.75	\$0.00	\$269.75		\$242.77

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>BROKER TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: VARIABLE ANNUITY 12B1 TRAILS</u>								
02/14/2017	DOWNS, JAMES	GUARDIAN LIFE INS TRAILS	0.00	51.34	0.00	51.34	90.0	46.21
* VARIABLE ANNUITY 12B1 TRAILS SUBTOTAL *			\$0.00	\$51.34	\$0.00	\$51.34		\$46.21
*** BROKER TRANSACTIONS TOTAL ***			\$2,463,001.18	\$6,919.05	\$0.00	\$6,919.05		\$6,227.67

SPLIT TRANSACTIONS**BROKER: JEFF/JASON KAUFMAN/KEMBLE #349**

03/02/2017	SUMNER, CASEY	AM FUNDS 2045 TARGET DATE-A	1,041.67	24.35	0.00	24.35	90.0	21.92
03/02/2017	SUMNER, CASEY	AM FUNDS 2045 TARGET DATE-A	33.84	0.79	0.00	0.79	90.0	0.71
02/22/2017	WAHLIG, KACEY	AM FUNDS AMERICAN BALANCED A	40.16	0.22	0.00	0.22	90.0	0.20
02/22/2017	WAHLIG, KACEY	AM FUNDS AMERICAN BALANCED A	40.16	0.22	0.00	0.22	90.0	0.20
02/22/2017	WAMPLER, JESSICA	AM FUNDS AMERICAN BALANCED A	19.91	0.11	0.00	0.11	90.0	0.10
02/22/2017	WAMPLER, JESSICA	AM FUNDS AMERICAN BALANCED A	19.91	0.11	0.00	0.11	90.0	0.10
02/27/2017	MO/TOD	AM FUNDS AMERICAN BALANCED A	300,000.00	2,640.00	0.00	2,640.00	90.0	2,376.00
02/21/2017	UNTIL AGE 21, MO/UTMA	AM FUNDS GROWTH FUND OF AMERICA A	50.00	1.37	0.00	1.37	90.0	1.23
02/22/2017	EISELE, HAMILTON	AM FUNDS GROWTH FUND OF AMERICA A	34.20	0.19	0.00	0.19	90.0	0.17
02/22/2017	EISELE, HAMILTON	AM FUNDS GROWTH FUND OF AMERICA A	45.60	0.25	0.00	0.25	90.0	0.23
02/22/2017	MAIDA, KAILEY	AM FUNDS GROWTH FUND OF AMERICA A	11.58	0.07	0.00	0.07	90.0	0.06
02/22/2017	MAIDA, KAILEY	AM FUNDS GROWTH FUND OF AMERICA A	20.00	0.11	0.00	0.11	90.0	0.10
02/22/2017	MCWARD, MATTHEW	AM FUNDS GROWTH FUND OF AMERICA A	12.54	0.07	0.00	0.07	90.0	0.06
02/22/2017	MCWARD, MATTHEW	AM FUNDS GROWTH FUND OF AMERICA A	20.00	0.11	0.00	0.11	90.0	0.10
02/22/2017	DOOLEY, BRUCE	AM FUNDS GROWTH FUND OF AMERICA A	72.68	0.40	0.00	0.40	90.0	0.36
02/22/2017	DOOLEY, BRUCE	AM FUNDS GROWTH FUND OF AMERICA A	72.68	0.40	0.00	0.40	90.0	0.36
02/22/2017	BONHAM, NICOLE	AM FUNDS GROWTH FUND OF AMERICA A	22.60	0.13	0.00	0.13	90.0	0.12
02/22/2017	BONHAM, NICOLE	AM FUNDS GROWTH FUND OF AMERICA A	22.60	0.13	0.00	0.13	90.0	0.12
02/22/2017	SPEIGLE, SARAH	AM FUNDS GROWTH FUND OF AMERICA A	59.91	0.33	0.00	0.33	90.0	0.30
02/22/2017	SPEIGLE, SARAH	AM FUNDS GROWTH FUND OF AMERICA A	59.91	0.33	0.00	0.33	90.0	0.30
02/22/2017	MCMILLIAN, KATY	AM FUNDS GROWTH FUND OF AMERICA A	81.77	0.45	0.00	0.45	90.0	0.41
02/22/2017	MCMILLIAN, KATY	AM FUNDS GROWTH FUND OF AMERICA A	81.77	0.45	0.00	0.45	90.0	0.41
02/22/2017	LUKIC, MIROSLAV	AM FUNDS GROWTH FUND OF AMERICA A	50.85	0.28	0.00	0.28	90.0	0.25
02/22/2017	LUKIC, MIROSLAV	AM FUNDS GROWTH FUND OF AMERICA A	50.85	0.28	0.00	0.28	90.0	0.25
02/28/2017	BROWN, CODY	AM FUNDS GROWTH FUND OF AMERICA A	100.00	2.75	0.00	2.75	90.0	2.48
03/01/2017	BARTLETT, STEVEN	AM FUNDS GROWTH FUND OF AMERICA A	22.76	0.13	0.00	0.13	90.0	0.12

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<u>SPLIT TRANSACTIONS</u>								
<u>BROKER: JEFF/JASON KAUFMAN/KEMBLE #349</u>								
03/01/2017	BARTLETT, STEVEN	AM FUNDS GROWTH FUND OF AMERICA A	37.92	0.21	0.00	0.21	90.0	0.19
03/02/2017	SUMNER, CALEB	AM FUNDS GROWTH FUND OF AMERICA A	136.61	3.20	0.00	3.20	90.0	2.88
03/02/2017	SUMNER, CALEB	AM FUNDS GROWTH FUND OF AMERICA A	833.34	19.48	0.00	19.48	90.0	17.53
02/21/2017	UNTIL AGE 21, MO/UTMA	AM FUNDS ICA A	50.00	1.37	0.00	1.37	90.0	1.23
02/22/2017	ZELLMER, RIANNON	AM FUNDS ICA A	12.69	0.07	0.00	0.07	90.0	0.06
02/22/2017	ZELLMER, RIANNON	AM FUNDS ICA A	12.69	0.07	0.00	0.07	90.0	0.06
02/22/2017	WAHLIG, KACEY	AM FUNDS ICA A	40.17	0.22	0.00	0.22	90.0	0.20
02/22/2017	WAHLIG, KACEY	AM FUNDS ICA A	40.17	0.22	0.00	0.22	90.0	0.20
02/22/2017	HELMANDOLLAR, OLIVIA	AM FUNDS ICA A	37.08	0.20	0.00	0.20	90.0	0.18
02/22/2017	HELMANDOLLAR, OLIVIA	AM FUNDS ICA A	37.08	0.20	0.00	0.20	90.0	0.18
03/01/2017	HAGUE, VICTORIA	AM FUNDS ICA A	200.00	1.10	0.00	1.10	90.0	0.99
03/01/2017	HAGUE, VICTORIA	AM FUNDS ICA A	30.22	0.16	0.00	0.16	90.0	0.14
02/22/2017	EISELE, HAMILTON	AM FUNDS NEW WORLD A	34.20	0.19	0.00	0.19	90.0	0.17
02/22/2017	EISELE, HAMILTON	AM FUNDS NEW WORLD A	45.60	0.25	0.00	0.25	90.0	0.23
02/22/2017	WAMPLER, JESSICA	AM FUNDS SMALLCAP WORLD A	19.91	0.11	0.00	0.11	90.0	0.10
02/22/2017	WAMPLER, JESSICA	AM FUNDS SMALLCAP WORLD A	19.91	0.11	0.00	0.11	90.0	0.10
02/22/2017	HELMANDOLLAR, OLIVIA	AM FUNDS SMALLCAP WORLD A	37.08	0.20	0.00	0.20	90.0	0.18
02/22/2017	HELMANDOLLAR, OLIVIA	AM FUNDS SMALLCAP WORLD A	37.08	0.20	0.00	0.20	90.0	0.18
02/22/2017	LUKIC, MIROSLAV	AM FUNDS SMALLCAP WORLD A	50.85	0.28	0.00	0.28	90.0	0.25
02/22/2017	LUKIC, MIROSLAV	AM FUNDS SMALLCAP WORLD A	50.85	0.28	0.00	0.28	90.0	0.25
03/01/2017	HAGUE, VICTORIA	AM FUNDS SMALLCAP WORLD A	7.55	0.04	0.00	0.04	90.0	0.04
03/01/2017	HAGUE, VICTORIA	AM FUNDS SMALLCAP WORLD A	50.00	0.27	0.00	0.27	90.0	0.24
03/01/2017	BARTLETT, STEVEN	AM FUNDS SMALLCAP WORLD A	22.75	0.13	0.00	0.13	90.0	0.12
03/01/2017	BARTLETT, STEVEN	AM FUNDS SMALLCAP WORLD A	37.93	0.21	0.00	0.21	90.0	0.19
03/03/2017	DOOLEY, BRUCE	AM FUNDS SMALLCAP WORLD A	250.00	6.87	0.00	6.87	90.0	6.18
03/02/2017	SUMNER, CALEB	AM FUNDS WASHINGTON MUTUAL INVESTOR	34.15	0.80	0.00	0.80	90.0	0.72
03/02/2017	SUMNER, CALEB	AM FUNDS WASHINGTON MUTUAL INVESTOR	208.33	4.87	0.00	4.87	90.0	4.38
* JEFF/JASON KAUFMAN/KEMBLE SUBTOTAL *			\$304,462.11	\$2,715.34	\$0.00	\$2,715.34		\$2,443.83
*** SPLIT TRANSACTIONS TOTAL ***			\$304,462.11	\$2,715.34	\$0.00	\$2,715.34		\$2,443.83

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

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

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

DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u> OVERRIDE TRANSACTIONS </u>								
<u> BROKER: JASON KEMBLE #348 </u>								
02/24/2017	DANIELS, CLINTON	AM FUNDS GROWTH FUND OF AMERICA A	100.00	5.00	0.00	5.00	90.0	2.00
02/24/2017	DANIELS, CLINTON	AM FUNDS SMALLCAP WORLD A	100.00	5.00	0.00	5.00	90.0	2.00
* JASON KEMBLE SUBTOTAL *			\$200.00	\$10.00	\$0.00	\$10.00		\$4.00
*** OVERRIDE TRANSACTIONS TOTAL ***			\$200.00	\$10.00	\$0.00	\$10.00		\$4.00

ADJUSTMENTS

03/15/2017	*E & O INSURANCE: CURRENT MONTH INS	0.00						-300.00
03/15/2017	*TECHNOLOGY: ADMIN - KIM KAUFMAN	0.00						-100.00
03/15/2017	*TECHNOLOGY: CURRENT MONTH TECH	0.00						-275.00
*** ADJUSTMENTS TOTAL ***			\$0.00	\$0.00	\$0.00	\$0.00		\$-675.00

BROKER COMMISSION TOTALS

Broker Transactions	\$6,227.67
Split Transactions	\$2,443.83
Override Transactions	\$4.00
Adjustments	\$-675.00
Payroll Draw	\$0.00
Base Salary	\$0.00
Prior Period Balance	\$0.00
FINRA Assessment	\$0.00
SIPC Assessment	\$0.00

Check Amount	\$8,000.50
Year-to-date Gross	\$19,965.19
Year-to-date Earnings	\$20,618.48

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