

**COMMISSION STATEMENT****March 15, 2018**JAMES, M127 MAHER
3082 Quail Ridge CircleBROKER #: M127
BRANCH: JAMES MAHER

Rochester Hills, MI 48309-

DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: PRIVATE PLACEMENT</u>								
02/21/2018	LUJAN TRUST	GPB AUTOMOTIVE PORTFOLIO LP	50,000.00	3,500.00	0.00	3,500.00	90.0	3,150.00
		* PRIVATE PLACEMENT SUBTOTAL *	\$50,000.00	\$3,500.00	\$0.00	\$3,500.00		\$3,150.00
<u>PRODUCT CATEGORY: 529 PLANS</u>								
03/02/2018	QUSSAR, JAMES	AF CONSERVATIVE GROWTH AND INCOME-5	75.00	0.75	0.00	0.75	90.0	0.68
02/20/2018	TEREBELO, MYAH	AM FUNDS CAPITAL INCOME BUILDER 529	2,500.00	25.00	0.00	25.00	90.0	22.50
02/28/2018	WARNER, KRISTI	AM FUNDS CAPITAL INCOME BUILDER 529	50.00	0.50	0.00	0.50	90.0	0.45
02/28/2018	WARNER, KRISTI	AM FUNDS CAPITAL INCOME BUILDER 529	50.00	0.50	0.00	0.50	90.0	0.45
03/01/2018	HICKSON, MARK	AM FUNDS CAPITAL INCOME BUILDER 529	25.00	0.25	0.00	0.25	90.0	0.23
03/01/2018	MARKHAM, CLAIRE	AM FUNDS CAPITAL INCOME BUILDER 529	50.00	0.50	0.00	0.50	90.0	0.45
03/01/2018	JACK, KELLY	AM FUNDS CAPITAL INCOME BUILDER 529	25.00	0.25	0.00	0.25	90.0	0.23
03/01/2018	TEREBELO, MYAH	AM FUNDS CAPITAL INCOME BUILDER 529	62.50	0.63	0.00	0.63	90.0	0.57
03/01/2018	O'CONNOR, AARON	AM FUNDS CAPITAL WORLD GRTH & INC 5	18.75	0.19	0.00	0.19	90.0	0.17
03/01/2018	O'CONNOR, AARON	AM FUNDS CAPITAL WORLD GRTH & INC 5	18.75	0.19	0.00	0.19	90.0	0.17
03/01/2018	O'CONNOR, AARON	AM FUNDS CAPITAL WORLD GRTH & INC 5	37.50	0.38	0.00	0.38	90.0	0.34
03/01/2018	O'CONNOR, AARON	AM FUNDS EUROPACIFIC GROWTH FUND 52	18.75	0.19	0.00	0.19	90.0	0.17
03/01/2018	O'CONNOR, AARON	AM FUNDS EUROPACIFIC GROWTH FUND 52	18.75	0.19	0.00	0.19	90.0	0.17
03/01/2018	HICKSON, MARK	AM FUNDS EUROPACIFIC GROWTH FUND 52	25.00	0.25	0.00	0.25	90.0	0.23
02/20/2018	TEREBELO, MYAH	AM FUNDS GROWTH FUND OF AMERICA 529	2,500.00	25.00	0.00	25.00	90.0	22.50
03/01/2018	O'CONNOR, AARON	AM FUNDS GROWTH FUND OF AMERICA 529	18.75	0.19	0.00	0.19	90.0	0.17
03/01/2018	O'CONNOR, AARON	AM FUNDS GROWTH FUND OF AMERICA 529	18.75	0.19	0.00	0.19	90.0	0.17
03/01/2018	HICKSON, MARK	AM FUNDS GROWTH FUND OF AMERICA 529	25.00	0.25	0.00	0.25	90.0	0.23
03/01/2018	MARKHAM, CLAIRE	AM FUNDS GROWTH FUND OF AMERICA 529	50.00	0.50	0.00	0.50	90.0	0.45
03/01/2018	O'CONNOR, AARON	AM FUNDS GROWTH FUND OF AMERICA 529	37.50	0.38	0.00	0.38	90.0	0.34
03/01/2018	JACK, KELLY	AM FUNDS GROWTH FUND OF AMERICA 529	25.00	0.25	0.00	0.25	90.0	0.23
03/01/2018	TEREBELO, MYAH	AM FUNDS GROWTH FUND OF AMERICA 529	62.50	0.63	0.00	0.63	90.0	0.57
03/02/2018	QUSSAR, JAMES	AM FUNDS GROWTH FUND OF AMERICA 529	75.00	0.75	0.00	0.75	90.0	0.68

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

DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: 529 PLANS</u>								
03/01/2018	JACK, KELLY	AM FUNDS ICA 529C	25.00	0.25	0.00	0.25	90.0	0.23
03/02/2018	QUSSAR, JAMES	AM FUNDS ICA 529C	75.00	0.75	0.00	0.75	90.0	0.68
03/01/2018	HICKSON, MARK	AM FUNDS INCOME FUND OF AMERICA-529	25.00	0.25	0.00	0.25	90.0	0.23
02/20/2018	TEREBELO, MYAH	AM FUNDS WASHINGTON MUTUAL INVESTOR	2,500.00	25.00	0.00	25.00	90.0	22.50
03/01/2018	JACK, KELLY	AM FUNDS WASHINGTON MUTUAL INVESTOR	25.00	0.25	0.00	0.25	90.0	0.23
03/01/2018	TEREBELO, MYAH	AM FUNDS WASHINGTON MUTUAL INVESTOR	62.50	0.63	0.00	0.63	90.0	0.57
02/20/2018	TEREBELO, MYAH	AMCAP FUND-529C	2,500.00	25.00	0.00	25.00	90.0	22.50
03/01/2018	O'CONNOR, AARON	AMCAP FUND-529C	18.75	0.19	0.00	0.19	90.0	0.17
03/01/2018	O'CONNOR, AARON	AMCAP FUND-529C	18.75	0.19	0.00	0.19	90.0	0.17
03/01/2018	TEREBELO, MYAH	AMCAP FUND-529C	62.50	0.63	0.00	0.63	90.0	0.57
03/02/2018	QUSSAR, JAMES	GROWTH AND INCOME PORTFOLIO-529C	75.00	0.75	0.00	0.75	90.0	0.68
* 529 PLANS SUBTOTAL *			\$11,175.00	\$111.80	\$0.00	\$111.80		\$100.68
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
02/09/2018	LINDSEY, CHARLES	AM FUNDS AMCAP A	0.00	2.13	0.00	2.13	90.0	1.92
02/09/2018	MAHER, MAIGHDLIN	AM FUNDS AMCAP C	0.00	1.73	0.00	1.73	90.0	1.56
02/09/2018	SIMON, MICHAEL	AM FUNDS AMCAP C	0.00	1.78	0.00	1.78	90.0	1.60
02/09/2018	PALMER, TODD	AM FUNDS AMCAP C	0.00	26.19	0.00	26.19	90.0	23.57
02/09/2018	ALLEN, MARY	AM FUNDS AMERICAN BALANCED C	0.00	10.33	0.00	10.33	90.0	9.30
02/09/2018	TAYLOR, JAMIE	AM FUNDS AMERICAN BALANCED C	0.00	25.20	0.00	25.20	90.0	22.68
02/09/2018	PALMERI, DANIEL	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	0.40	0.00	0.40	90.0	0.36
02/09/2018	LINDSEY, CHARLES	AM FUNDS BOND FUND OF AMERICA A	0.00	2.25	0.00	2.25	90.0	2.03
02/09/2018	LINDSEY, CHARLES	AM FUNDS BOND FUND OF AMERICA A	0.00	2.92	0.00	2.92	90.0	2.63
02/09/2018	GILLESPIE, HEATHER	AM FUNDS BOND FUND OF AMERICA A	0.00	4.50	0.00	4.50	90.0	4.05
02/09/2018	LINDSEY, CHARLES	AM FUNDS CAPITAL INCOME BUILDER A	0.00	2.08	0.00	2.08	90.0	1.87
02/09/2018	LINDSEY, CHARLES	AM FUNDS CAPITAL INCOME BUILDER A	0.00	2.15	0.00	2.15	90.0	1.94
02/09/2018	MAHER, KEIRA	AM FUNDS CAPITAL INCOME BUILDER C	0.00	1.71	0.00	1.71	90.0	1.54
02/09/2018	FOSTER SP TRUST, PATRICIA	AM FUNDS CAPITAL INCOME BUILDER C	0.00	2.76	0.00	2.76	90.0	2.48
02/09/2018	NUNEZ TRUST, LYNDIA	AM FUNDS CAPITAL INCOME BUILDER C	0.00	26.15	0.00	26.15	90.0	23.54
02/09/2018	EBERHARD, DAVID	AM FUNDS CAPITAL INCOME BUILDER C	0.00	9.94	0.00	9.94	90.0	8.95
02/09/2018	HEIDLOFF, JENNIFER	AM FUNDS CAPITAL INCOME BUILDER C	0.00	3.76	0.00	3.76	90.0	3.38
02/09/2018	SIMON, MICHAEL	AM FUNDS CAPITAL INCOME BUILDER C	0.00	2.02	0.00	2.02	90.0	1.82
02/09/2018	FLEURY, DAVID	AM FUNDS CAPITAL INCOME BUILDER C	0.00	5.30	0.00	5.30	90.0	4.77
02/09/2018	RUSSO, DAVID	AM FUNDS CAPITAL INCOME BUILDER C	0.00	13.24	0.00	13.24	90.0	11.92

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<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
02/09/2018	ALLEN, MARY	AM FUNDS CAPITAL INCOME BUILDER C	0.00	10.19	0.00	10.19	90.0	9.17
02/09/2018	HEILMANN, MAUREEN	AM FUNDS CAPITAL INCOME BUILDER C	0.00	10.15	0.00	10.15	90.0	9.14
02/09/2018	KESSOR, LAURA	AM FUNDS CAPITAL INCOME BUILDER C	0.00	24.01	0.00	24.01	90.0	21.61
02/09/2018	PROKOP, STANLEY	AM FUNDS CAPITAL INCOME BUILDER C	0.00	148.51	0.00	148.51	90.0	133.66
02/09/2018	KOTT, DIANE	AM FUNDS CAPITAL INCOME BUILDER C	0.00	6.13	0.00	6.13	90.0	5.52
02/09/2018	TAYLOR, JAMIE	AM FUNDS CAPITAL INCOME BUILDER C	0.00	23.99	0.00	23.99	90.0	21.59
02/09/2018	STONE, EDWARD	AM FUNDS CAPITAL INCOME BUILDER C	0.00	12.88	0.00	12.88	90.0	11.59
02/09/2018	O'CONNOR, HOLLY	AM FUNDS CAPITAL INCOME BUILDER C	0.00	6.84	0.00	6.84	90.0	6.16
02/09/2018	O'DONNELL, JUDITH	AM FUNDS CAPITAL INCOME BUILDER C	0.00	9.44	0.00	9.44	90.0	8.50
02/09/2018	SCACCIA, KELLY	AM FUNDS CAPITAL INCOME BUILDER C	0.00	7.15	0.00	7.15	90.0	6.44
02/09/2018	HENKE, FRANK	AM FUNDS CAPITAL INCOME BUILDER C	0.00	13.21	0.00	13.21	90.0	11.89
02/09/2018	BUSSELL, JEFFREY	AM FUNDS CAPITAL INCOME BUILDER C	0.00	6.61	0.00	6.61	90.0	5.95
02/09/2018	MAHER, HENRY	AM FUNDS CAPITAL INCOME BUILDER C	0.00	39.53	0.00	39.53	90.0	35.58
02/09/2018	FRASER, SHARON	AM FUNDS CAPITAL INCOME BUILDER C	0.00	7.67	0.00	7.67	90.0	6.90
02/09/2018	PLASTIRAS, JULIANA	AM FUNDS CAPITAL INCOME BUILDER C	0.00	11.89	0.00	11.89	90.0	10.70
02/09/2018	MARKHAM, ELIZABETH	AM FUNDS CAPITAL INCOME BUILDER C	0.00	1.99	0.00	1.99	90.0	1.79
02/09/2018	RUSSO, NICHOLAS	AM FUNDS CAPITAL INCOME BUILDER C	0.00	9.78	0.00	9.78	90.0	8.80
02/14/2018	RUSSO, NICHOLAS	AM FUNDS CAPITAL INCOME BUILDER C	6,000.00	20.00	0.00	20.00	90.0	18.00
02/21/2018	HEIDLOFF, JENNIFER	AM FUNDS CAPITAL INCOME BUILDER C	100.00	20.00	0.00	20.00	90.0	18.00
02/09/2018	MARIN REV TRUST, NICHOLAS	AM FUNDS CAPITAL INCOME BUILDER F1	0.00	3.17	0.00	3.17	90.0	2.85
02/09/2018	PIZZO, MICHELE	AM FUNDS CAPITAL INCOME BUILDER F1	0.00	2.02	0.00	2.02	90.0	1.82
02/09/2018	PIZZO, REBECCA	AM FUNDS CAPITAL INCOME BUILDER F1	0.00	1.51	0.00	1.51	90.0	1.36
02/09/2018	SIMON, MICHAEL	AM FUNDS CAPITAL INCOME BUILDER F1	0.00	0.27	0.00	0.27	90.0	0.24
02/09/2018	BANNICK, ROBERT	AM FUNDS CAPITAL INCOME BUILDER F1	0.00	1.37	0.00	1.37	90.0	1.23
02/09/2018	ZANONI, CARRIE	AM FUNDS CAPITAL INCOME BUILDER F1	0.00	1.60	0.00	1.60	90.0	1.44
02/09/2018	QUEDNAU, KELLY	AM FUNDS CAPITAL INCOME BUILDER F1	0.00	9.57	0.00	9.57	90.0	8.61
02/09/2018	GUMBLETON, CARRIE	AM FUNDS CAPITAL INCOME BUILDER F1	0.00	2.84	0.00	2.84	90.0	2.56
02/09/2018	KORESKY, JOHN	AM FUNDS CAPITAL INCOME BUILDER F1	0.00	1.36	0.00	1.36	90.0	1.22
02/09/2018	VIAR, DAVID	AM FUNDS CAPITAL INCOME BUILDER F1	0.00	0.62	0.00	0.62	90.0	0.56
02/09/2018	LINDSEY, CHARLES	AM FUNDS CAPITAL WORLD BOND A	0.00	1.23	0.00	1.23	90.0	1.11
02/09/2018	PALMERI, DANIEL	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.80	0.00	0.80	90.0	0.72
02/09/2018	OLIVER, WILLIAM	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.19	0.00	0.19	90.0	0.17
02/09/2018	HOPPE, KYLE	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	2.03	0.00	2.03	90.0	1.83

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<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
02/09/2018	NUNEZ TRUST, LYNDA	AM FUNDS CAPITAL WORLD GRTH & INC C	0.00	64.31	0.00	64.31	90.0	57.88
02/09/2018	BANNICK, ROBERT	AM FUNDS CAPITAL WORLD GRTH & INC C	0.00	10.47	0.00	10.47	90.0	9.42
02/09/2018	SCHWARTZENBERGER, THOMAS	AM FUNDS CAPITAL WORLD GRTH & INC C	0.00	5.44	0.00	5.44	90.0	4.90
02/09/2018	QUEDNAU, KELLY	AM FUNDS CAPITAL WORLD GRTH & INC C	0.00	24.33	0.00	24.33	90.0	21.90
02/09/2018	LUJAN, DEBORAH	AM FUNDS CAPITAL WORLD GRTH & INC C	0.00	8.51	0.00	8.51	90.0	7.66
02/09/2018	LUJAN-LABADIE, JENNIFER	AM FUNDS CAPITAL WORLD GRTH & INC C	0.00	4.63	0.00	4.63	90.0	4.17
02/09/2018	LUJAN-LABADIE, JENNIFER	AM FUNDS CAPITAL WORLD GRTH & INC C	0.00	1.33	0.00	1.33	90.0	1.20
02/09/2018	MARKHAM, JASON	AM FUNDS CAPITAL WORLD GRTH & INC C	0.00	6.19	0.00	6.19	90.0	5.57
02/09/2018	LOUGHLIN, DENNIS	AM FUNDS CAPITAL WORLD GRTH & INC C	0.00	2.38	0.00	2.38	90.0	2.14
02/09/2018	MAHER, HENRY	AM FUNDS CAPITAL WORLD GRTH & INC C	0.00	23.97	0.00	23.97	90.0	21.57
02/09/2018	QUSSAR, JAMES	AM FUNDS CAPITAL WORLD GRTH & INC C	0.00	9.19	0.00	9.19	90.0	8.27
02/09/2018	VIAR, DAVID	AM FUNDS CAPITAL WORLD GRTH & INC C	0.00	6.04	0.00	6.04	90.0	5.44
02/09/2018	LINDSEY, CHARLES	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	0.72	0.00	0.72	90.0	0.65
02/09/2018	HOPPE, KYLE	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	1.57	0.00	1.57	90.0	1.41
02/09/2018	MAHER, KEIRA	AM FUNDS EUROPACIFIC GROWTH FUND C	0.00	1.18	0.00	1.18	90.0	1.06
02/09/2018	MAHER, MAIGHDLIN	AM FUNDS EUROPACIFIC GROWTH FUND C	0.00	1.21	0.00	1.21	90.0	1.09
02/09/2018	NUNEZ, LYNDA	AM FUNDS EUROPACIFIC GROWTH FUND C	0.00	25.29	0.00	25.29	90.0	22.76
02/09/2018	NUNEZ TRUST, LYNDA	AM FUNDS EUROPACIFIC GROWTH FUND C	0.00	58.25	0.00	58.25	90.0	52.43
02/09/2018	EBERHARD, DAVID	AM FUNDS EUROPACIFIC GROWTH FUND C	0.00	9.48	0.00	9.48	90.0	8.53
02/09/2018	SIMON, MICHAEL	AM FUNDS EUROPACIFIC GROWTH FUND C	0.00	1.12	0.00	1.12	90.0	1.01
02/09/2018	BANNICK, ROBERT	AM FUNDS EUROPACIFIC GROWTH FUND C	0.00	9.29	0.00	9.29	90.0	8.36
02/09/2018	BANNICK, KELLY	AM FUNDS EUROPACIFIC GROWTH FUND C	0.00	7.25	0.00	7.25	90.0	6.53
02/09/2018	BIONDO, MELISSA	AM FUNDS EUROPACIFIC GROWTH FUND C	0.00	8.44	0.00	8.44	90.0	7.60
02/09/2018	SCHWARTZENBERGER, THOMAS	AM FUNDS EUROPACIFIC GROWTH FUND C	0.00	4.70	0.00	4.70	90.0	4.23
02/09/2018	COLASUONNO, RALPH	AM FUNDS EUROPACIFIC GROWTH FUND C	0.00	12.89	0.00	12.89	90.0	11.60
02/09/2018	PIASCIK, SHAWN	AM FUNDS EUROPACIFIC GROWTH FUND C	0.00	31.62	0.00	31.62	90.0	28.46
02/09/2018	LUJAN, DEBORAH	AM FUNDS EUROPACIFIC GROWTH FUND C	0.00	11.34	0.00	11.34	90.0	10.21
02/09/2018	LUJAN-LABADIE, JENNIFER	AM FUNDS EUROPACIFIC GROWTH FUND C	0.00	4.89	0.00	4.89	90.0	4.40
02/09/2018	VEIT, BEVERLY	AM FUNDS EUROPACIFIC GROWTH FUND C	0.00	11.78	0.00	11.78	90.0	10.60
02/09/2018	MARKHAM, JASON	AM FUNDS EUROPACIFIC GROWTH FUND C	0.00	8.05	0.00	8.05	90.0	7.25
02/09/2018	LOUGHLIN, DENNIS	AM FUNDS EUROPACIFIC GROWTH FUND C	0.00	23.93	0.00	23.93	90.0	21.54
02/09/2018	O'DONNELL, JUDITH	AM FUNDS EUROPACIFIC GROWTH FUND C	0.00	9.41	0.00	9.41	90.0	8.47
02/09/2018	O'DONNELL, SHERYL	AM FUNDS EUROPACIFIC GROWTH FUND C	0.00	4.71	0.00	4.71	90.0	4.24

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<u>DIRECT TRANSACTIONS</u>								
PRODUCT CATEGORY: MUTUAL FUNDS								
02/09/2018	HOLMES, KAYLA	AM FUNDS EUROPACIFIC GROWTH FUND C	0.00	1.46	0.00	1.46	90.0	1.31
02/09/2018	HOLMES, JACK PATRICK	AM FUNDS EUROPACIFIC GROWTH FUND C	0.00	1.34	0.00	1.34	90.0	1.21
02/09/2018	QUSSAR, KELLY	AM FUNDS EUROPACIFIC GROWTH FUND C	0.00	6.41	0.00	6.41	90.0	5.77
02/09/2018	JAMES, THOMAS	AM FUNDS EUROPACIFIC GROWTH FUND C	0.00	10.81	0.00	10.81	90.0	9.73
02/09/2018	PALMERI, DANIEL	AM FUNDS EUROPACIFIC GROWTH FUND C	0.00	3.14	0.00	3.14	90.0	2.83
02/09/2018	MAHER, HENRY	AM FUNDS EUROPACIFIC GROWTH FUND C	0.00	38.23	0.00	38.23	90.0	34.41
02/09/2018	PAGANO, MAUREEN	AM FUNDS EUROPACIFIC GROWTH FUND C	0.00	10.84	0.00	10.84	90.0	9.76
02/09/2018	MAHER, OWEN	AM FUNDS EUROPACIFIC GROWTH FUND C	0.00	2.58	0.00	2.58	90.0	2.32
02/09/2018	DARR, CRAIG	AM FUNDS EUROPACIFIC GROWTH FUND C	0.00	12.68	0.00	12.68	90.0	11.41
02/09/2018	SIMON, MICHAEL	AM FUNDS EUROPACIFIC GROWTH FUND F1	0.00	0.22	0.00	0.22	90.0	0.20
02/09/2018	QUEDNAU, KELLY	AM FUNDS EUROPACIFIC GROWTH FUND F1	0.00	5.62	0.00	5.62	90.0	5.06
02/09/2018	KORESKY, JOHN	AM FUNDS EUROPACIFIC GROWTH FUND F1	0.00	1.20	0.00	1.20	90.0	1.08
02/09/2018	VIAR, DAVID	AM FUNDS EUROPACIFIC GROWTH FUND F1	0.00	0.47	0.00	0.47	90.0	0.42
02/07/2018	LINDSEY, CHARLES	AM FUNDS FUNDAMENTAL INVESTORS A	2,000.00	20.00	0.00	20.00	90.0	18.00
02/09/2018	LINDSEY, CHARLES	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	2.11	0.00	2.11	90.0	1.90
02/09/2018	LINDSEY, CHARLES	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	2.41	0.00	2.41	90.0	2.17
02/09/2018	HEILMANN, MAUREEN	AM FUNDS FUNDAMENTAL INVESTORS C	0.00	24.13	0.00	24.13	90.0	21.72
02/09/2018	PROKOP, STANLEY	AM FUNDS FUNDAMENTAL INVESTORS C	0.00	222.37	0.00	222.37	90.0	200.13
02/09/2018	CARROLL, EILEEN	AM FUNDS GROWTH FUND OF AMERICA A	0.00	12.95	0.00	12.95	90.0	11.66
02/09/2018	O'DONNELL, SHERYL	AM FUNDS GROWTH FUND OF AMERICA A	0.00	5.16	0.00	5.16	90.0	4.64
02/09/2018	HOLMES, KAYLA	AM FUNDS GROWTH FUND OF AMERICA A	0.00	7.09	0.00	7.09	90.0	6.38
02/09/2018	HOLMES, JACK PATRICK	AM FUNDS GROWTH FUND OF AMERICA A	0.00	5.87	0.00	5.87	90.0	5.28
02/09/2018	PALMERI, DANIEL	AM FUNDS GROWTH FUND OF AMERICA A	0.00	1.08	0.00	1.08	90.0	0.97
02/09/2018	MAHER, HENRY	AM FUNDS GROWTH FUND OF AMERICA A	0.00	14.84	0.00	14.84	90.0	13.36
02/09/2018	MAHER, KYLE	AM FUNDS GROWTH FUND OF AMERICA A	0.00	4.78	0.00	4.78	90.0	4.30
02/09/2018	MAHER, OWEN	AM FUNDS GROWTH FUND OF AMERICA A	0.00	2.27	0.00	2.27	90.0	2.04
02/09/2018	NUNEZ TRUST, LYNDIA	AM FUNDS GROWTH FUND OF AMERICA C	0.00	120.13	0.00	120.13	90.0	108.12
02/09/2018	MARKHAM, JASON	AM FUNDS GROWTH FUND OF AMERICA C	0.00	12.85	0.00	12.85	90.0	11.57
02/09/2018	HEIDLOFF, RAYMOND	AM FUNDS GROWTH FUND OF AMERICA C	0.00	4.73	0.00	4.73	90.0	4.26
02/09/2018	HICKSON, ANDREW	AM FUNDS GROWTH FUND OF AMERICA C	0.00	7.60	0.00	7.60	90.0	6.84
02/09/2018	HICKSON, ANDREW	AM FUNDS GROWTH FUND OF AMERICA C	0.00	17.93	0.00	17.93	90.0	16.14
02/09/2018	BANNICK, ROBERT	AM FUNDS GROWTH FUND OF AMERICA C	0.00	14.47	0.00	14.47	90.0	13.02
02/09/2018	SCHWARTZENBERGER, THOMAS	AM FUNDS GROWTH FUND OF AMERICA C	0.00	5.51	0.00	5.51	90.0	4.96

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
02/09/2018	COLASUONNO, RALPH	AM FUNDS GROWTH FUND OF AMERICA C	0.00	20.56	0.00	20.56	90.0	18.50
02/09/2018	PIASCIK, SHAWN	AM FUNDS GROWTH FUND OF AMERICA C	0.00	33.54	0.00	33.54	90.0	30.19
02/09/2018	LUJAN, DEBORAH	AM FUNDS GROWTH FUND OF AMERICA C	0.00	16.69	0.00	16.69	90.0	15.02
02/09/2018	LUJAN-LABADIE, JENNIFER	AM FUNDS GROWTH FUND OF AMERICA C	0.00	10.77	0.00	10.77	90.0	9.69
02/09/2018	BOLUS, ELLA	AM FUNDS GROWTH FUND OF AMERICA C	0.00	40.78	0.00	40.78	90.0	36.70
02/09/2018	HEILMANN, MAUREEN	AM FUNDS GROWTH FUND OF AMERICA C	0.00	19.04	0.00	19.04	90.0	17.14
02/09/2018	KESSOR, LAURA	AM FUNDS GROWTH FUND OF AMERICA C	0.00	28.68	0.00	28.68	90.0	25.81
02/09/2018	LOUGHLIN, DENNIS	AM FUNDS GROWTH FUND OF AMERICA C	0.00	35.06	0.00	35.06	90.0	31.55
02/09/2018	NORRIS, CHRISTOPHER	AM FUNDS GROWTH FUND OF AMERICA C	0.00	100.90	0.00	100.90	90.0	90.81
02/09/2018	EBERHARD, DAVID	AM FUNDS GROWTH FUND OF AMERICA C	0.00	14.65	0.00	14.65	90.0	13.19
02/09/2018	HENKE, FRANK	AM FUNDS GROWTH FUND OF AMERICA C	0.00	15.23	0.00	15.23	90.0	13.71
02/09/2018	QUSSAR, KELLY	AM FUNDS GROWTH FUND OF AMERICA C	0.00	10.81	0.00	10.81	90.0	9.73
02/09/2018	KOTT, DIANE	AM FUNDS GROWTH FUND OF AMERICA C	0.00	19.29	0.00	19.29	90.0	17.36
02/09/2018	PALMERI, DANIEL	AM FUNDS GROWTH FUND OF AMERICA C	0.00	4.80	0.00	4.80	90.0	4.32
02/09/2018	MAHER, HENRY	AM FUNDS GROWTH FUND OF AMERICA C	0.00	54.33	0.00	54.33	90.0	48.90
02/09/2018	JACK, KELLY	AM FUNDS GROWTH FUND OF AMERICA C	0.00	3.27	0.00	3.27	90.0	2.94
02/09/2018	GILLESPIE, HEATHER	AM FUNDS GROWTH FUND OF AMERICA C	0.00	5.51	0.00	5.51	90.0	4.96
02/09/2018	QUSSAR, JAMES	AM FUNDS GROWTH FUND OF AMERICA C	0.00	12.78	0.00	12.78	90.0	11.50
02/09/2018	DARR, CRAIG	AM FUNDS GROWTH FUND OF AMERICA C	0.00	15.62	0.00	15.62	90.0	14.06
02/09/2018	ANTHONY, NICHOLAS	AM FUNDS GROWTH FUND OF AMERICA C	0.00	5.15	0.00	5.15	90.0	4.64
02/09/2018	PLASTIRAS, JULIANA	AM FUNDS GROWTH FUND OF AMERICA C	0.00	15.32	0.00	15.32	90.0	13.79
02/09/2018	SCACCIA, DAVID	AM FUNDS GROWTH FUND OF AMERICA C	0.00	12.08	0.00	12.08	90.0	10.87
02/09/2018	HICKSON, JORDAN	AM FUNDS GROWTH FUND OF AMERICA C	0.00	20.86	0.00	20.86	90.0	18.77
02/09/2018	PALMER, TODD	AM FUNDS GROWTH FUND OF AMERICA C	0.00	30.80	0.00	30.80	90.0	27.72
02/21/2018	HEIDLOFF, RAYMOND	AM FUNDS GROWTH FUND OF AMERICA C	100.00	20.00	0.00	20.00	90.0	18.00
02/21/2018	ANTHONY, NICHOLAS	AM FUNDS GROWTH FUND OF AMERICA C	100.00	20.00	0.00	20.00	90.0	18.00
02/09/2018	MARIN REV TRUST, NICHOLAS	AM FUNDS GROWTH FUND OF AMERICA F1	0.00	5.02	0.00	5.02	90.0	4.52
02/09/2018	PIZZO, MICHELE	AM FUNDS GROWTH FUND OF AMERICA F1	0.00	1.08	0.00	1.08	90.0	0.97
02/09/2018	PIZZO, FRANCESCO	AM FUNDS GROWTH FUND OF AMERICA F1	0.00	0.19	0.00	0.19	90.0	0.17
02/09/2018	PIZZO, SALVATORE	AM FUNDS GROWTH FUND OF AMERICA F1	0.00	2.09	0.00	2.09	90.0	1.88
02/09/2018	PIZZO, SALVATORE	AM FUNDS GROWTH FUND OF AMERICA F1	0.00	2.66	0.00	2.66	90.0	2.39
02/09/2018	KNOPF, DOUGLAS	AM FUNDS GROWTH FUND OF AMERICA F1	0.00	1.67	0.00	1.67	90.0	1.50
02/09/2018	SIMON, MICHAEL	AM FUNDS GROWTH FUND OF AMERICA F1	0.00	0.80	0.00	0.80	90.0	0.72

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<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
02/09/2018	SCHWARTZENBERGER, THOMAS	AM FUNDS GROWTH FUND OF AMERICA F1	0.00	2.15	0.00	2.15	90.0	1.94
02/09/2018	FRASER, SHARON	AM FUNDS GROWTH FUND OF AMERICA F1	0.00	2.32	0.00	2.32	90.0	2.09
02/09/2018	QUEDNAU, KELLY	AM FUNDS GROWTH FUND OF AMERICA F1	0.00	28.74	0.00	28.74	90.0	25.87
02/09/2018	LUJAN-LABADIE, JENNIFER	AM FUNDS GROWTH FUND OF AMERICA F1	0.00	5.59	0.00	5.59	90.0	5.03
02/09/2018	CARLINO, AMY	AM FUNDS GROWTH FUND OF AMERICA F1	0.00	3.68	0.00	3.68	90.0	3.31
02/09/2018	GUMBLETON, CARRIE	AM FUNDS GROWTH FUND OF AMERICA F1	0.00	5.76	0.00	5.76	90.0	5.18
02/09/2018	KEYES LIV TRUST, MURIEL WATSON	AM FUNDS GROWTH FUND OF AMERICA F1	0.00	4.75	0.00	4.75	90.0	4.28
02/09/2018	JACK, KELLY	AM FUNDS GROWTH FUND OF AMERICA F1	0.00	0.79	0.00	0.79	90.0	0.71
02/09/2018	VIAR, DAVID	AM FUNDS GROWTH FUND OF AMERICA F1	0.00	3.40	0.00	3.40	90.0	3.06
02/09/2018	CARROLL, EILEEN	AM FUNDS ICA A	0.00	12.53	0.00	12.53	90.0	11.28
02/09/2018	LINDSEY, CHARLES	AM FUNDS ICA A	0.00	0.94	0.00	0.94	90.0	0.85
02/09/2018	HOPPE, KYLE	AM FUNDS ICA A	0.00	1.55	0.00	1.55	90.0	1.40
02/09/2018	STONE, JANE	AM FUNDS INCOME FUND OF AMERICA A	0.00	7.85	0.00	7.85	90.0	7.07
02/09/2018	GILLESPIE, HEATHER	AM FUNDS INCOME FUND OF AMERICA A	0.00	9.78	0.00	9.78	90.0	8.80
02/09/2018	HOPPE, KYLE	AM FUNDS INCOME FUND OF AMERICA A	0.00	1.60	0.00	1.60	90.0	1.44
02/15/2018	STONE, JANE	AM FUNDS INCOME FUND OF AMERICA A	1,400.00	20.00	0.00	20.00	90.0	18.00
02/09/2018	NUNEZ TRUST, LYNDA	AM FUNDS INCOME FUND OF AMERICA C	0.00	62.74	0.00	62.74	90.0	56.47
02/09/2018	SIMON, MICHAEL	AM FUNDS INCOME FUND OF AMERICA C	0.00	1.83	0.00	1.83	90.0	1.65
02/09/2018	SCHWARTZENBERGER, THOMAS	AM FUNDS INCOME FUND OF AMERICA C	0.00	1.76	0.00	1.76	90.0	1.58
02/09/2018	DAVIS, ALTON	AM FUNDS INCOME FUND OF AMERICA C	0.00	21.07	0.00	21.07	90.0	18.96
02/09/2018	PIASCIK, SHAWN	AM FUNDS INCOME FUND OF AMERICA C	0.00	42.14	0.00	42.14	90.0	37.93
02/09/2018	HEILMANN, MAUREEN	AM FUNDS INCOME FUND OF AMERICA C	0.00	15.31	0.00	15.31	90.0	13.78
02/09/2018	PROKOP, STANLEY	AM FUNDS INCOME FUND OF AMERICA C	0.00	150.30	0.00	150.30	90.0	135.27
02/09/2018	BELONGIE, GINGER	AM FUNDS INCOME FUND OF AMERICA C	0.00	17.78	0.00	17.78	90.0	16.00
02/09/2018	EBERHARD, DAVID	AM FUNDS INCOME FUND OF AMERICA C	0.00	8.80	0.00	8.80	90.0	7.92
02/09/2018	MAHER, HENRY	AM FUNDS INCOME FUND OF AMERICA C	0.00	42.61	0.00	42.61	90.0	38.35
02/09/2018	MAHER, HENRY	AM FUNDS INCOME FUND OF AMERICA C	0.00	23.77	0.00	23.77	90.0	21.39
02/09/2018	MAHER TRUST, MARY	AM FUNDS INCOME FUND OF AMERICA C	0.00	11.18	0.00	11.18	90.0	10.06
02/14/2018	DAVIS, ALTON	AM FUNDS INCOME FUND OF AMERICA C	1,373.40	33.73	0.00	33.73	90.0	30.36
02/09/2018	KNOPF, DOUGLAS	AM FUNDS INCOME FUND OF AMERICA F-1	0.00	0.12	0.00	0.12	90.0	0.11
02/09/2018	BANNICK, ROBERT	AM FUNDS INCOME FUND OF AMERICA F-1	0.00	1.06	0.00	1.06	90.0	0.95
02/09/2018	SCHWARTZENBERGER, THOMAS	AM FUNDS INCOME FUND OF AMERICA F-1	0.00	0.78	0.00	0.78	90.0	0.70
02/09/2018	QUEDNAU, KELLY	AM FUNDS INCOME FUND OF AMERICA F-1	0.00	7.52	0.00	7.52	90.0	6.77

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<u>DIRECT TRANSACTIONS</u>								
PRODUCT CATEGORY: MUTUAL FUNDS								
02/09/2018	GUMBLETON, CARRIE	AM FUNDS INCOME FUND OF AMERICA F-1	0.00	3.82	0.00	3.82	90.0	3.44
02/09/2018	LINDSEY, CHARLES	AM FUNDS INTERMEDIATE BOND FUND OF	0.00	0.25	0.00	0.25	90.0	0.23
02/09/2018	LINDSEY, CHARLES	AM FUNDS INTERMEDIATE BOND FUND OF	0.00	1.27	0.00	1.27	90.0	1.14
02/09/2018	SIMON, MICHAEL	AM FUNDS NEW ECONOMY C	0.00	1.93	0.00	1.93	90.0	1.74
02/09/2018	MAHER, HENRY	AM FUNDS NEW ECONOMY C	0.00	35.40	0.00	35.40	90.0	31.86
02/09/2018	GILLESPIE, HEATHER	AM FUNDS NEW PERSPECTIVE A	0.00	10.25	0.00	10.25	90.0	9.23
02/09/2018	HICKSON, ANDREW	AM FUNDS NEW WORLD C	0.00	5.86	0.00	5.86	90.0	5.27
02/09/2018	HICKSON, ANDREW	AM FUNDS SMALLCAP WORLD C	0.00	3.89	0.00	3.89	90.0	3.50
02/09/2018	HOLMES, KAYLA	AM FUNDS SMALLCAP WORLD C	0.00	1.76	0.00	1.76	90.0	1.58
02/09/2018	HOLMES, JACK PATRICK	AM FUNDS SMALLCAP WORLD C	0.00	1.70	0.00	1.70	90.0	1.53
02/09/2018	MAHER, HENRY	AM FUNDS SMALLCAP WORLD C	0.00	18.90	0.00	18.90	90.0	17.01
02/09/2018	LINDSEY, CHARLES	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	2.84	0.00	2.84	90.0	2.56
02/09/2018	LINDSEY, CHARLES	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	1.29	0.00	1.29	90.0	1.16
02/09/2018	MAHER, HENRY	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	41.88	0.00	41.88	90.0	37.69
02/21/2018	RODDY, CHRISTINE	AMERICAN CENTURY ULTRA FUND INVESTO	100.00	20.00	23.00	-3.00	90.0	-2.70
02/09/2018	PIZZO, SALVATORE	AMERICAN FUNDS BALANCED FUNDS F-1	0.00	0.90	0.00	0.90	90.0	0.81
02/09/2018	BANNICK, ROBERT	AMERICAN FUNDS BALANCED FUNDS F-1	0.00	0.99	0.00	0.99	90.0	0.89
02/09/2018	VIAR, DAVID	AMERICAN FUNDS BALANCED FUNDS F-1	0.00	2.78	0.00	2.78	90.0	2.50
02/21/2018	PIZZO, SALVATORE	AMERICAN FUNDS BALANCED FUNDS F-1	100.00	20.00	0.00	20.00	90.0	18.00
02/21/2018	SCHMID JR TRUST, EDWARD	ASPIRE US GLOBAL INV GOLD & PREC ME	100.00	20.00	23.00	-3.00	90.0	-2.70
02/09/2018	HOLMES, KAYLA	BLK BASIC VALUE	0.00	1.04	0.00	1.04	90.0	0.94
02/09/2018	MAHER, KYLE	BLK BASIC VALUE	0.00	1.86	0.00	1.86	90.0	1.67
02/09/2018	MAHER, HENRY	BLK GLOBAL ALLOCATION A	0.00	12.90	0.00	12.90	90.0	11.61
02/06/2018	MARSACK, KAREN	CATALYST MAP GLOBAL CAP APP	0.00	20.63	0.00	20.63	90.0	18.57
02/06/2018	MAHER, HENRY	CATALYST MAP GLOBAL CAP APP	0.00	43.21	0.00	43.21	90.0	38.89
02/09/2018	HICKSON, ANDREW	COLUMBIA BALANCED FUND CLASS C	0.00	16.60	0.00	16.60	90.0	14.94
02/09/2018	LUJAN-LABADIE, JENNIFER	COLUMBIA FDS SER TR II MASS SELECT	0.00	8.85	0.00	8.85	90.0	7.97
02/09/2018	KARAS, MICHAEL	COLUMBIA FDS SER TR II MASS SELECT	0.00	5.89	0.00	5.89	90.0	5.30
02/09/2018	JAMES, THOMAS	COLUMBIA FDS SER TR II MASS SELECT	0.00	12.27	0.00	12.27	90.0	11.04
02/09/2018	MAHER, HENRY	COLUMBIA FDS SER TR II MASS SELECT	0.00	49.80	0.00	49.80	90.0	44.82
02/09/2018	PAGANO, MAUREEN	COLUMBIA FDS SER TR II MASS SELECT	0.00	9.21	0.00	9.21	90.0	8.29
02/09/2018	NUNEZ TRUST, LYNDIA	COLUMBIA FDS SER TR MID CAP VALUE F	0.00	21.67	0.00	21.67	90.0	19.50
02/09/2018	JAMES, THOMAS	COLUMBIA FDS SER TR MID CAP VALUE F	0.00	9.14	0.00	9.14	90.0	8.23

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<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
02/09/2018	DARR, CRAIG	COLUMBIA FDS SER TR MID CAP VALUE F	0.00	10.31	0.00	10.31	90.0	9.28
02/09/2018	PAGANO, MAUREEN	COLUMBIA FDS SER TR MID CAP VALUE F	0.00	6.81	0.00	6.81	90.0	6.13
02/09/2018	NUNEZ TRUST, LYNDIA	COLUMBIA SER TR II MASS	0.00	25.19	0.00	25.19	90.0	22.67
02/21/2018	MOTOR CITY COMPUTER	COLUMBIA SMALLCAP CORE FUND A	15.00	0.15	0.00	0.15	90.0	0.14
02/09/2018	MAHER, HENRY	DAVIS FINANCIAL A	0.00	8.79	0.00	8.79	90.0	7.91
02/09/2018	MAHER, HENRY	DELAWARE CORPORATE BOND A	0.00	11.57	0.00	11.57	90.0	10.41
02/09/2018	MAHER, HENRY	FEDERATED WORLD INVT SER INC INTL B	0.00	6.26	0.00	6.26	90.0	5.63
02/26/2018	MAHER, HENRY	FEDERATED WORLD INVT SER INC INTL B	29,455.50	20.00	0.00	20.00	90.0	18.00
02/09/2018	MAHER, HENRY	FIRST EAGLE GLOBAL C	0.00	93.55	0.00	93.55	90.0	84.20
02/09/2018	JACK, STANLEY	FRANKLIN CORFOLIO	0.00	0.25	0.00	0.25	90.0	0.23
02/09/2018	KEYES LIV TRUST, MURIEL WATSON	FRANKLIN GOLD & PRECIOUS METALS C	0.00	3.58	0.00	3.58	90.0	3.22
02/09/2018	BUSSELL, JEFFREY	FRANKLIN GOLD & PRECIOUS METALS C	0.00	1.61	0.00	1.61	90.0	1.45
02/09/2018	QUSSAR, JAMES	FRANKLIN GOLD & PRECIOUS METALS C	0.00	2.23	0.00	2.23	90.0	2.01
02/09/2018	CANDELLA, TODD	FRANKLIN GROWTH A	0.00	0.31	0.00	0.31	90.0	0.28
02/09/2018	EBERHARD, KARIN	FRANKLIN GROWTH C	0.00	0.58	0.00	0.58	90.0	0.52
02/09/2018	HOLMES, KAYLA	FRANKLIN HIGH INCOME C	0.00	0.70	0.00	0.70	90.0	0.63
02/09/2018	HOLMES, JACK PATRICK	FRANKLIN HIGH INCOME C	0.00	0.87	0.00	0.87	90.0	0.78
02/09/2018	MAHER, HENRY	FRANKLIN HIGH INCOME C	0.00	17.42	0.00	17.42	90.0	15.68
02/09/2018	MARIN REV TRUST, NICHOLAS	FRANKLIN INCOME C	0.00	13.02	0.00	13.02	90.0	11.72
02/09/2018	PIZZO, REBECCA	FRANKLIN INCOME C	0.00	3.14	0.00	3.14	90.0	2.83
02/09/2018	NUNEZ TRUST, LYNDIA	FRANKLIN INCOME C	0.00	78.16	0.00	78.16	90.0	70.34
02/09/2018	EBERHARD, DAVID	FRANKLIN INCOME C	0.00	5.10	0.00	5.10	90.0	4.59
02/09/2018	BANNICK, ROBERT	FRANKLIN INCOME C	0.00	2.30	0.00	2.30	90.0	2.07
02/09/2018	SCHWARTZENBERGER, THOMAS	FRANKLIN INCOME C	0.00	1.04	0.00	1.04	90.0	0.94
02/09/2018	DE FIORE, LAWRENCE	FRANKLIN INCOME C	0.00	0.08	0.00	0.08	90.0	0.07
02/09/2018	DAVIS, ALTON	FRANKLIN INCOME C	0.00	3.85	0.00	3.85	90.0	3.47
02/09/2018	COLASUONNO, RALPH	FRANKLIN INCOME C	0.00	10.13	0.00	10.13	90.0	9.12
02/09/2018	PIASCIK, SHAWN	FRANKLIN INCOME C	0.00	7.82	0.00	7.82	90.0	7.04
02/09/2018	MAES, DEBRA	FRANKLIN INCOME C	0.00	8.37	0.00	8.37	90.0	7.53
02/09/2018	LUJAN, DEBORAH	FRANKLIN INCOME C	0.00	7.19	0.00	7.19	90.0	6.47
02/09/2018	MARKHAM, JASON	FRANKLIN INCOME C	0.00	4.75	0.00	4.75	90.0	4.28
02/09/2018	ALLEN, MARY	FRANKLIN INCOME C	0.00	6.73	0.00	6.73	90.0	6.06
02/09/2018	PROKOP, STANLEY	FRANKLIN INCOME C	0.00	106.45	0.00	106.45	90.0	95.81

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<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
02/09/2018	KOTT, DIANE	FRANKLIN INCOME C	0.00	7.51	0.00	7.51	90.0	6.76
02/09/2018	PALMERI, BEVERLY	FRANKLIN INCOME C	0.00	7.86	0.00	7.86	90.0	7.07
02/09/2018	JACK, STANLEY	FRANKLIN INCOME C	0.00	6.82	0.00	6.82	90.0	6.14
02/09/2018	MARSHALL, RONALD	FRANKLIN INCOME C	0.00	13.46	0.00	13.46	90.0	12.11
02/09/2018	TAYLOR, JAMIE	FRANKLIN INCOME C	0.00	15.75	0.00	15.75	90.0	14.18
02/09/2018	LOUGHLIN, DENNIS	FRANKLIN INCOME C	0.00	7.32	0.00	7.32	90.0	6.59
02/09/2018	BELONGIE, GINGER	FRANKLIN INCOME C	0.00	6.35	0.00	6.35	90.0	5.72
02/09/2018	STONE, EDWARD	FRANKLIN INCOME C	0.00	7.87	0.00	7.87	90.0	7.08
02/09/2018	O'CONNOR, HOLLY	FRANKLIN INCOME C	0.00	3.50	0.00	3.50	90.0	3.15
02/09/2018	O'DONNELL, JUDITH	FRANKLIN INCOME C	0.00	6.03	0.00	6.03	90.0	5.43
02/09/2018	FAIRLEY, JAMES	FRANKLIN INCOME C	0.00	9.74	0.00	9.74	90.0	8.77
02/09/2018	GUMBLETON, CARRIE	FRANKLIN INCOME C	0.00	9.48	0.00	9.48	90.0	8.53
02/09/2018	KEYES LIV TRUST, MURIEL WATSON	FRANKLIN INCOME C	0.00	9.06	0.00	9.06	90.0	8.15
02/09/2018	SCACCIA, KELLY	FRANKLIN INCOME C	0.00	3.22	0.00	3.22	90.0	2.90
02/09/2018	JAMES, THOMAS	FRANKLIN INCOME C	0.00	6.51	0.00	6.51	90.0	5.86
02/09/2018	DILAY, DENISE	FRANKLIN INCOME C	0.00	8.05	0.00	8.05	90.0	7.25
02/09/2018	PALMERI, PAUL	FRANKLIN INCOME C	0.00	11.29	0.00	11.29	90.0	10.16
02/09/2018	MAHER, HENRY	FRANKLIN INCOME C	0.00	14.44	0.00	14.44	90.0	13.00
02/09/2018	GILLESPIE, HEATHER	FRANKLIN INCOME C	0.00	5.70	0.00	5.70	90.0	5.13
02/09/2018	QUSSAR, JAMES	FRANKLIN INCOME C	0.00	5.33	0.00	5.33	90.0	4.80
02/09/2018	PAGANO, MAUREEN	FRANKLIN INCOME C	0.00	4.86	0.00	4.86	90.0	4.37
02/09/2018	DARR, CRAIG	FRANKLIN INCOME C	0.00	7.31	0.00	7.31	90.0	6.58
02/09/2018	HOPPE, KYLE	FRANKLIN INCOME C	0.00	8.51	0.00	8.51	90.0	7.66
02/09/2018	BJERK JR, JOHN	FRANKLIN INCOME C	0.00	6.44	0.00	6.44	90.0	5.80
02/09/2018	MAES, DEBRA	FRANKLIN INCOME C	0.00	11.24	0.00	11.24	90.0	10.12
02/09/2018	HICKSON, JORDAN	FRANKLIN INCOME C	0.00	10.35	0.00	10.35	90.0	9.32
02/09/2018	PALMER, TODD	FRANKLIN INCOME C	0.00	17.09	0.00	17.09	90.0	15.38
02/09/2018	WHEELER, WILLARD	FRANKLIN INCOME C	0.00	21.62	0.00	21.62	90.0	19.46
02/15/2018	FAIRLEY, JAMES	FRANKLIN INCOME C	200.00	20.00	0.00	20.00	90.0	18.00
02/21/2018	PIZZO, REBECCA	FRANKLIN INCOME C	100.00	20.00	0.00	20.00	90.0	18.00
02/21/2018	FAIRLEY, JAMES	FRANKLIN INCOME C	12,000.00	20.00	0.00	20.00	90.0	18.00
02/27/2018	WHEELER, WILLARD	FRANKLIN INCOME C	37,876.71	20.00	0.00	20.00	90.0	18.00
02/09/2018	NORRIS, CHRISTOPHER	FRANKLIN MI TAX FR INCOME C	0.00	33.46	0.00	33.46	90.0	30.11

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>DIRECT TRANSACTIONS</u>								
PRODUCT CATEGORY: MUTUAL FUNDS								
02/09/2018	DE FIORE, LAWRENCE	FRANKLIN MUTUAL BEACON C	0.00	0.21	0.00	0.21	90.0	0.19
02/09/2018	NORRIS, CHRISTOPHER	FRANKLIN MUTUAL GLOBAL DISCOVERY C	0.00	31.58	0.00	31.58	90.0	28.42
02/09/2018	EBERHARD, DAVID	FRANKLIN MUTUAL GLOBAL DISCOVERY C	0.00	11.37	0.00	11.37	90.0	10.23
02/09/2018	MARKHAM, JASON	FRANKLIN NATURAL RESOURCES C	0.00	4.63	0.00	4.63	90.0	4.17
02/09/2018	COLASUONNO, RALPH	FRANKLIN NATURAL RESOURCES C	0.00	6.14	0.00	6.14	90.0	5.53
02/09/2018	GUMBLETON, CARRIE	FRANKLIN NATURAL RESOURCES C	0.00	6.19	0.00	6.19	90.0	5.57
02/09/2018	PALMERI, DANIEL	FRANKLIN NATURAL RESOURCES C	0.00	1.35	0.00	1.35	90.0	1.22
02/09/2018	MAHER, KEIRA	FRANKLIN RISING DIVIDENDS A	0.00	1.61	0.00	1.61	90.0	1.45
02/09/2018	MAHER, MAIGHDLIN	FRANKLIN RISING DIVIDENDS A	0.00	2.69	0.00	2.69	90.0	2.42
02/09/2018	MARINI, ZAREFA	FRANKLIN RISING DIVIDENDS A	0.00	0.31	0.00	0.31	90.0	0.28
02/09/2018	HEILMANN, MAUREEN	FRANKLIN RISING DIVIDENDS A	0.00	1.54	0.00	1.54	90.0	1.39
02/09/2018	MARIN REV TRUST, NICHOLAS	FRANKLIN RISING DIVIDENDS C	0.00	64.45	0.00	64.45	90.0	58.01
02/09/2018	PIZZO, PIETRO	FRANKLIN RISING DIVIDENDS C	0.00	3.10	0.00	3.10	90.0	2.79
02/09/2018	PIZZO, REBECCA	FRANKLIN RISING DIVIDENDS C	0.00	8.36	0.00	8.36	90.0	7.52
02/09/2018	PIZZO, SALVATORE	FRANKLIN RISING DIVIDENDS C	0.00	5.74	0.00	5.74	90.0	5.17
02/09/2018	PIZZO, SALVATORE	FRANKLIN RISING DIVIDENDS C	0.00	2.74	0.00	2.74	90.0	2.47
02/09/2018	FOSTER SP TRUST, PATRICIA	FRANKLIN RISING DIVIDENDS C	0.00	20.49	0.00	20.49	90.0	18.44
02/09/2018	KNOPF, KATHRYN	FRANKLIN RISING DIVIDENDS C	0.00	5.38	0.00	5.38	90.0	4.84
02/09/2018	NUNEZ TRUST, LYNDIA	FRANKLIN RISING DIVIDENDS C	0.00	48.18	0.00	48.18	90.0	43.36
02/09/2018	MARKHAM, JASON	FRANKLIN RISING DIVIDENDS C	0.00	15.76	0.00	15.76	90.0	14.18
02/09/2018	MARKHAM, JASON	FRANKLIN RISING DIVIDENDS C	0.00	0.10	0.00	0.10	90.0	0.09
02/09/2018	HEIDLOFF, JENNIFER	FRANKLIN RISING DIVIDENDS C	0.00	4.95	0.00	4.95	90.0	4.46
02/09/2018	HICKSON, ANDREW	FRANKLIN RISING DIVIDENDS C	0.00	19.16	0.00	19.16	90.0	17.24
02/09/2018	HICKSON, ANDREW	FRANKLIN RISING DIVIDENDS C	0.00	29.09	0.00	29.09	90.0	26.18
02/09/2018	SIMON, MICHAEL	FRANKLIN RISING DIVIDENDS C	0.00	4.92	0.00	4.92	90.0	4.43
02/09/2018	SIMON, MICHAEL	FRANKLIN RISING DIVIDENDS C	0.00	2.73	0.00	2.73	90.0	2.46
02/09/2018	SCHWARTZENBERGER, THOMAS	FRANKLIN RISING DIVIDENDS C	0.00	17.38	0.00	17.38	90.0	15.64
02/09/2018	PALMER, TODD	FRANKLIN RISING DIVIDENDS C	0.00	3.34	0.00	3.34	90.0	3.01
02/09/2018	FLEURY, DAVID	FRANKLIN RISING DIVIDENDS C	0.00	5.67	0.00	5.67	90.0	5.10
02/09/2018	SCHOOLEY, MEGHAN	FRANKLIN RISING DIVIDENDS C	0.00	0.28	0.00	0.28	90.0	0.25
02/09/2018	DE FIORE, LAWRENCE	FRANKLIN RISING DIVIDENDS C	0.00	0.74	0.00	0.74	90.0	0.67
02/09/2018	ZETTEL, ANTHONY	FRANKLIN RISING DIVIDENDS C	0.00	0.65	0.00	0.65	90.0	0.59
02/09/2018	EBERHARD, KARIN	FRANKLIN RISING DIVIDENDS C	0.00	0.55	0.00	0.55	90.0	0.50

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<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
02/09/2018	FRASER, SHARON	FRANKLIN RISING DIVIDENDS C	0.00	26.97	0.00	26.97	90.0	24.27
02/09/2018	DAVIS, ALTON	FRANKLIN RISING DIVIDENDS C	0.00	23.43	0.00	23.43	90.0	21.09
02/09/2018	COLASUONNO, RALPH	FRANKLIN RISING DIVIDENDS C	0.00	27.61	0.00	27.61	90.0	24.85
02/09/2018	MAES, DEBRA	FRANKLIN RISING DIVIDENDS C	0.00	16.41	0.00	16.41	90.0	14.77
02/09/2018	LUJAN, DEBORAH	FRANKLIN RISING DIVIDENDS C	0.00	25.80	0.00	25.80	90.0	23.22
02/09/2018	LUJAN-LABADIE, JENNIFER	FRANKLIN RISING DIVIDENDS C	0.00	8.32	0.00	8.32	90.0	7.49
02/09/2018	LUJAN-LABADIE, JENNIFER	FRANKLIN RISING DIVIDENDS C	0.00	32.28	0.00	32.28	90.0	29.05
02/09/2018	ANTHONY, NICHOLAS	FRANKLIN RISING DIVIDENDS C	0.00	10.37	0.00	10.37	90.0	9.33
02/09/2018	BOLUS, ELLA	FRANKLIN RISING DIVIDENDS C	0.00	40.04	0.00	40.04	90.0	36.04
02/09/2018	RUSSO, DAVID	FRANKLIN RISING DIVIDENDS C	0.00	15.50	0.00	15.50	90.0	13.95
02/09/2018	ALLEN, MARY	FRANKLIN RISING DIVIDENDS C	0.00	12.82	0.00	12.82	90.0	11.54
02/09/2018	KESSOR, LAURA	FRANKLIN RISING DIVIDENDS C	0.00	26.61	0.00	26.61	90.0	23.95
02/09/2018	POUPORE, JOHN	FRANKLIN RISING DIVIDENDS C	0.00	21.22	0.00	21.22	90.0	19.10
02/09/2018	KOTT, DIANE	FRANKLIN RISING DIVIDENDS C	0.00	26.93	0.00	26.93	90.0	24.24
02/09/2018	KOTT, DIANE	FRANKLIN RISING DIVIDENDS C	0.00	7.63	0.00	7.63	90.0	6.87
02/09/2018	PALMERI, SAMUEL	FRANKLIN RISING DIVIDENDS C	0.00	17.03	0.00	17.03	90.0	15.33
02/09/2018	PALMERI, BEVERLY	FRANKLIN RISING DIVIDENDS C	0.00	18.61	0.00	18.61	90.0	16.75
02/09/2018	JACK, STANLEY	FRANKLIN RISING DIVIDENDS C	0.00	0.45	0.00	0.45	90.0	0.41
02/09/2018	TAYLOR, JAMIE	FRANKLIN RISING DIVIDENDS C	0.00	28.58	0.00	28.58	90.0	25.72
02/09/2018	TAYLOR, JAMIE	FRANKLIN RISING DIVIDENDS C	0.00	1.14	0.00	1.14	90.0	1.03
02/09/2018	LOUGHLIN, DENNIS	FRANKLIN RISING DIVIDENDS C	0.00	25.11	0.00	25.11	90.0	22.60
02/09/2018	STONE, JANE	FRANKLIN RISING DIVIDENDS C	0.00	7.40	0.00	7.40	90.0	6.66
02/09/2018	STONE, EDWARD	FRANKLIN RISING DIVIDENDS C	0.00	14.30	0.00	14.30	90.0	12.87
02/09/2018	STONE, EDWARD	FRANKLIN RISING DIVIDENDS C	0.00	7.13	0.00	7.13	90.0	6.42
02/09/2018	O'CONNOR, HOLLY	FRANKLIN RISING DIVIDENDS C	0.00	8.14	0.00	8.14	90.0	7.33
02/09/2018	O'DONNELL, JUDITH	FRANKLIN RISING DIVIDENDS C	0.00	9.08	0.00	9.08	90.0	8.17
02/09/2018	EBERHARD, DAVID	FRANKLIN RISING DIVIDENDS C	0.00	7.58	0.00	7.58	90.0	6.82
02/09/2018	BEDARD, MARY	FRANKLIN RISING DIVIDENDS C	0.00	11.99	0.00	11.99	90.0	10.79
02/09/2018	SCACCIA, KELLY	FRANKLIN RISING DIVIDENDS C	0.00	14.74	0.00	14.74	90.0	13.27
02/09/2018	HENKE, FRANK	FRANKLIN RISING DIVIDENDS C	0.00	15.85	0.00	15.85	90.0	14.27
02/09/2018	HOLMES, JACK PATRICK	FRANKLIN RISING DIVIDENDS C	0.00	2.07	0.00	2.07	90.0	1.86
02/09/2018	JAMES, THOMAS	FRANKLIN RISING DIVIDENDS C	0.00	12.57	0.00	12.57	90.0	11.31
02/09/2018	PEVOS, DEBRA	FRANKLIN RISING DIVIDENDS C	0.00	7.92	0.00	7.92	90.0	7.13

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<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
02/09/2018	PEVOS, DEBRA	FRANKLIN RISING DIVIDENDS C	0.00	13.20	0.00	13.20	90.0	11.88
02/09/2018	MCCRACKEN, ROBERT	FRANKLIN RISING DIVIDENDS C	0.00	10.73	0.00	10.73	90.0	9.66
02/09/2018	DILAY, DENISE	FRANKLIN RISING DIVIDENDS C	0.00	15.91	0.00	15.91	90.0	14.32
02/09/2018	LINDSEY, BARBARA	FRANKLIN RISING DIVIDENDS C	0.00	12.82	0.00	12.82	90.0	11.54
02/09/2018	CORNWELL, VICTORIA	FRANKLIN RISING DIVIDENDS C	0.00	12.27	0.00	12.27	90.0	11.04
02/09/2018	PALMERI, DANIEL	FRANKLIN RISING DIVIDENDS C	0.00	1.69	0.00	1.69	90.0	1.52
02/09/2018	BUSSELL, JEFFREY	FRANKLIN RISING DIVIDENDS C	0.00	2.63	0.00	2.63	90.0	2.37
02/09/2018	PALMERI, PAUL	FRANKLIN RISING DIVIDENDS C	0.00	11.30	0.00	11.30	90.0	10.17
02/09/2018	MAHER, HENRY	FRANKLIN RISING DIVIDENDS C	0.00	9.42	0.00	9.42	90.0	8.48
02/09/2018	MAHER, HENRY	FRANKLIN RISING DIVIDENDS C	0.00	66.11	0.00	66.11	90.0	59.50
02/09/2018	JACK, KELLY	FRANKLIN RISING DIVIDENDS C	0.00	9.63	0.00	9.63	90.0	8.67
02/09/2018	QUSSAR, JAMES	FRANKLIN RISING DIVIDENDS C	0.00	4.81	0.00	4.81	90.0	4.33
02/09/2018	STOKES, RICHARD	FRANKLIN RISING DIVIDENDS C	0.00	4.86	0.00	4.86	90.0	4.37
02/09/2018	MAHER TRUST, MARY	FRANKLIN RISING DIVIDENDS C	0.00	32.59	0.00	32.59	90.0	29.33
02/09/2018	PAGANO, MAUREEN	FRANKLIN RISING DIVIDENDS C	0.00	9.37	0.00	9.37	90.0	8.43
02/09/2018	MAHER, OWEN	FRANKLIN RISING DIVIDENDS C	0.00	6.07	0.00	6.07	90.0	5.46
02/09/2018	OLIVER, WILLIAM	FRANKLIN RISING DIVIDENDS C	0.00	0.40	0.00	0.40	90.0	0.36
02/09/2018	DARR, CRAIG	FRANKLIN RISING DIVIDENDS C	0.00	17.15	0.00	17.15	90.0	15.44
02/09/2018	ANTHONY, NICHOLAS	FRANKLIN RISING DIVIDENDS C	0.00	12.74	0.00	12.74	90.0	11.47
02/09/2018	BUREK, CANDACE	FRANKLIN RISING DIVIDENDS C	0.00	7.70	0.00	7.70	90.0	6.93
02/09/2018	FLEURY, DAVID	FRANKLIN RISING DIVIDENDS C	0.00	3.38	0.00	3.38	90.0	3.04
02/09/2018	HOPPE, KYLE	FRANKLIN RISING DIVIDENDS C	0.00	16.43	0.00	16.43	90.0	14.79
02/09/2018	BJERK JR, JOHN	FRANKLIN RISING DIVIDENDS C	0.00	11.48	0.00	11.48	90.0	10.33
02/09/2018	PLASTIRAS, JULIANA	FRANKLIN RISING DIVIDENDS C	0.00	14.35	0.00	14.35	90.0	12.92
02/09/2018	MARKHAM, ELIZABETH	FRANKLIN RISING DIVIDENDS C	0.00	6.20	0.00	6.20	90.0	5.58
02/09/2018	BALDWIN, JASON	FRANKLIN RISING DIVIDENDS C	0.00	9.00	0.00	9.00	90.0	8.10
02/09/2018	HICKSON, MARK	FRANKLIN RISING DIVIDENDS C	0.00	36.81	0.00	36.81	90.0	33.13
02/09/2018	BUREK, ROSANNE	FRANKLIN RISING DIVIDENDS C	0.00	23.81	0.00	23.81	90.0	21.43
02/09/2018	PALMER, ROBERT	FRANKLIN RISING DIVIDENDS C	0.00	11.87	0.00	11.87	90.0	10.68
02/09/2018	PALMER, TODD	FRANKLIN RISING DIVIDENDS C	0.00	35.76	0.00	35.76	90.0	32.18
02/09/2018	WHEELER, WILLARD	FRANKLIN RISING DIVIDENDS C	0.00	30.26	0.00	30.26	90.0	27.23
02/09/2018	RUSSO, NICHOLAS	FRANKLIN RISING DIVIDENDS C	0.00	15.75	0.00	15.75	90.0	14.18
02/14/2018	DAVIS, ALTON	FRANKLIN RISING DIVIDENDS C	3,575.40	55.75	0.00	55.75	90.0	50.18

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<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
02/15/2018	KNOPF, KATHRYN	FRANKLIN RISING DIVIDENDS C	200.00	20.00	0.00	20.00	90.0	18.00
02/15/2018	BUREK, CANDACE	FRANKLIN RISING DIVIDENDS C	200.00	20.00	0.00	20.00	90.0	18.00
02/21/2018	ANTHONY, NICHOLAS	FRANKLIN RISING DIVIDENDS C	100.00	20.00	0.00	20.00	90.0	18.00
02/21/2018	HEIDLOFF, JENNIFER	FRANKLIN RISING DIVIDENDS C	100.00	20.00	0.00	20.00	90.0	18.00
02/27/2018	WHEELER, WILLARD	FRANKLIN RISING DIVIDENDS C	34,458.62	20.00	0.00	20.00	90.0	18.00
02/09/2018	PAGANO, MAUREEN	FRANKLIN SMALL CAP VALUE C	0.00	5.62	0.00	5.62	90.0	5.06
02/09/2018	PALMER, TODD	FRANKLIN SMALL CAP VALUE C	0.00	5.74	0.00	5.74	90.0	5.17
02/09/2018	PROKOP, STANLEY	FRANKLIN STRATEGIC INCOME C	0.00	80.37	0.00	80.37	90.0	72.33
02/09/2018	DAVIS, ALTON	FRANKLIN UTILITIES C	0.00	7.29	0.00	7.29	90.0	6.56
02/09/2018	MAHER, HENRY	FRANKLIN UTILITIES C	0.00	21.70	0.00	21.70	90.0	19.53
02/09/2018	PAGANO, MAUREEN	FRANKLIN UTILITIES C	0.00	3.75	0.00	3.75	90.0	3.38
02/09/2018	O'CONNOR, AARON	FRANKLIN UTILITIES C	0.00	3.85	0.00	3.85	90.0	3.47
02/09/2018	DE FIORE, LAWRENCE	FT EQUITY INC CL C	0.00	0.59	0.00	0.59	90.0	0.53
02/09/2018	ZANONI, CARRIE	FT FOUNDING FDS ALLOC C	0.00	5.95	0.00	5.95	90.0	5.36
02/09/2018	GLINES, DAVID	FT FOUNDING FDS ALLOC C	0.00	3.20	0.00	3.20	90.0	2.88
02/09/2018	GLINES, WILBERT	FT FOUNDING FDS ALLOC C	0.00	8.98	0.00	8.98	90.0	8.08
02/21/2018	GLINES, DAVID	FT FOUNDING FDS ALLOC C	100.00	20.00	0.00	20.00	90.0	18.00
02/15/2018	CANDELLA, WENDY	INVESCO AMERICAN VALUE A	200.00	20.00	0.00	20.00	90.0	18.00
02/09/2018	MAHER, MAIGHDLIN	IVY ASSET STRATEGY FUND CLASS A	0.00	0.31	0.00	0.31	90.0	0.28
02/09/2018	HOLMES, KAYLA	IVY ASSET STRATEGY FUND CLASS A	0.00	0.33	0.00	0.33	90.0	0.30
02/09/2018	HOLMES, JACK PATRICK	IVY ASSET STRATEGY FUND CLASS A	0.00	0.37	0.00	0.37	90.0	0.33
02/09/2018	MAHER, HENRY	IVY ASSET STRATEGY FUND CLASS A	0.00	7.50	0.00	7.50	90.0	6.75
02/09/2018	MAHER, OWEN	LORD ABBETT AFFILIATED A	0.00	1.56	0.00	1.56	90.0	1.40
02/09/2018	KORESKEY, JOHN	LORD ABBETT EQUITY TR CALIBRTD LARG	0.00	30.50	0.00	30.50	90.0	27.45
02/09/2018	CANDELLA, TODD	LORD ABBETT FUNDAMENTAL EQUITY A	0.00	0.41	0.00	0.41	90.0	0.37
02/09/2018	HOLMES, KAYLA	LORD ABBETT FUNDAMENTAL EQUITY CL C	0.00	1.51	0.00	1.51	90.0	1.36
02/09/2018	NORRIS, CHRISTOPHER	LORD ABBETT INCOME FUND CL C	0.00	22.74	0.00	22.74	90.0	20.47
02/09/2018	MARIN REV TRUST, NICHOLAS	LORD ABBETT SECS TR VALUE OPPTYS FD	0.00	24.70	0.00	24.70	90.0	22.23
02/09/2018	BUSSELL, JEFFREY	LORD ABBETT SECS TR VALUE OPPTYS FD	0.00	7.05	0.00	7.05	90.0	6.35
02/09/2018	MAHER, HENRY	MAINSTAY MAP A	0.00	14.76	0.00	14.76	90.0	13.28
02/09/2018	HOLMES, JACK PATRICK	MFS RESEARCH INTL A	0.00	0.25	0.00	0.25	90.0	0.23
02/09/2018	HOLMES, JACK PATRICK	MFS SER TR I RESEARCH INTL FD CL B	0.00	0.37	0.00	0.37	90.0	0.33
02/09/2018	HOLMES, JACK PATRICK	OPPENHEIMER CAPITAL APPRECIATION A	0.00	0.44	0.00	0.44	90.0	0.40

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
02/09/2018	BUREK, ROSANNE	OPPENHEIMER ROCHESTER NATIONAL MUNI	0.00	1.86	0.00	1.86	90.0	1.67
02/21/2018	MOTOR CITY COMPUTER	PIONEER BOND FUND A	94.58	0.95	0.00	0.95	90.0	0.86
02/09/2018	MAHER, HENRY	PIONEER MID CAP VALUE A	0.00	9.07	0.00	9.07	90.0	8.16
02/09/2018	CANDELLA, TODD	PUTNAM MULTI CAP GROWTH A	0.00	0.76	0.00	0.76	90.0	0.68
02/09/2018	GILLESPIE, HEATHER	ROYCE PENNSYLVANIA MUTUAL	0.00	17.37	0.00	17.37	90.0	15.63
02/09/2018	MARINI, ZAREFA	TEMPLETON DEVELOPING MKTS A	0.00	0.09	0.00	0.09	90.0	0.08
02/09/2018	PIASCIK, SHAWN	TEMPLETON EMERGING MARKETS SMALLCAP	0.00	31.98	0.00	31.98	90.0	28.78
02/09/2018	KEYES LIV TRUST, MURIEL WATSON	TEMPLETON EMERGING MARKETS SMALLCAP	0.00	26.75	0.00	26.75	90.0	24.08
02/09/2018	PALMERI, PAUL	TEMPLETON GLOBAL BOND A	0.00	1.96	0.00	1.96	90.0	1.76
02/09/2018	MARIN REV TRUST, NICHOLAS	TEMPLETON GLOBAL BOND C	0.00	11.89	0.00	11.89	90.0	10.70
02/09/2018	NUNEZ TRUST, LYNDA	TEMPLETON GLOBAL BOND C	0.00	6.29	0.00	6.29	90.0	5.66
02/09/2018	BANNICK, ROBERT	TEMPLETON GLOBAL BOND C	0.00	6.10	0.00	6.10	90.0	5.49
02/09/2018	SCHWARTZENBERGER, THOMAS	TEMPLETON GLOBAL BOND C	0.00	1.49	0.00	1.49	90.0	1.34
02/09/2018	EBERHARD, DAVID	TEMPLETON GLOBAL BOND C	0.00	7.14	0.00	7.14	90.0	6.43
02/09/2018	GUMBLETON, CARRIE	TEMPLETON GLOBAL BOND C	0.00	5.73	0.00	5.73	90.0	5.16
02/09/2018	KEYES LIV TRUST, MURIEL WATSON	TEMPLETON GLOBAL BOND C	0.00	16.03	0.00	16.03	90.0	14.43
02/09/2018	QUSSAR, KELLY	TEMPLETON GLOBAL BOND C	0.00	3.22	0.00	3.22	90.0	2.90
02/09/2018	PIZZO, SALVATORE	TEMPLETON GROWTH C	0.00	5.78	0.00	5.78	90.0	5.20
02/09/2018	MARKHAM, JASON	TEMPLETON GROWTH C	0.00	10.92	0.00	10.92	90.0	9.83
02/09/2018	BANNICK, ROBERT	TEMPLETON GROWTH C	0.00	1.95	0.00	1.95	90.0	1.76
02/09/2018	SCHWARTZENBERGER, THOMAS	TEMPLETON GROWTH C	0.00	2.60	0.00	2.60	90.0	2.34
02/09/2018	ZANONI, CARRIE	TEMPLETON GROWTH C	0.00	5.56	0.00	5.56	90.0	5.00
02/09/2018	GUMBLETON, CARRIE	TEMPLETON GROWTH C	0.00	13.24	0.00	13.24	90.0	11.92
02/09/2018	KEYES LIV TRUST, MURIEL WATSON	TEMPLETON INCOME TR GLOBAL TOTAL RE	0.00	13.42	0.00	13.42	90.0	12.08
02/09/2018	SIMON, MICHAEL	TRANSAMERICA AA GROWTH C	0.00	2.09	0.00	2.09	90.0	1.88
02/09/2018	PIASCIK, SHAWN	TRANSAMERICA AA MOD GROWTH C	0.00	39.66	0.00	39.66	90.0	35.69
02/09/2018	LOUGHLIN, DENNIS	TRANSAMERICA AA MOD GROWTH C	0.00	13.96	0.00	13.96	90.0	12.56
02/09/2018	GUMBLETON, CARRIE	TRANSAMERICA AA MOD GROWTH C	0.00	17.44	0.00	17.44	90.0	15.70
02/09/2018	PIZZO, PIETRO	TRANSAMERICA AA MODERATE C	0.00	8.50	0.00	8.50	90.0	7.65
02/09/2018	PIZZO, MICHELE	TRANSAMERICA AA MODERATE C	0.00	0.13	0.00	0.13	90.0	0.12
02/09/2018	PIZZO, FRANCESCO	TRANSAMERICA AA MODERATE C	0.00	8.73	0.00	8.73	90.0	7.86
02/09/2018	BANNICK, ROBERT	TRANSAMERICA AA MODERATE C	0.00	8.13	0.00	8.13	90.0	7.32
02/09/2018	BELONGIE, GINGER	TRANSAMERICA AA MODERATE C	0.00	11.85	0.00	11.85	90.0	10.67

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<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
02/09/2018	O'DONNELL, JUDITH	TRANSAMERICA AA MODERATE C	0.00	8.51	0.00	8.51	90.0	7.66
02/09/2018	ROGERS, NICOLE	VOYA CORP LEADERS 100 A	0.00	2.82	0.00	2.82	90.0	2.54
02/09/2018	MAHER, HENRY	VOYA INTL VALUE EQUITY A	0.00	11.53	0.00	11.53	90.0	10.38
* MUTUAL FUNDS SUBTOTAL *			\$130,049.21	\$6,110.10	\$46.00	\$6,064.10		\$5,457.98
<u>PRODUCT CATEGORY: STOCKS</u>								
02/23/2018	DAVIS, ALTON	***NXP SEMICONDUCTORS	12,564.34	30.00	22.00	8.00	90.0	7.20
02/14/2018	DAVIS, ALTON	ALIBABA GRP SHS ADR ISIN#US01609W10	9,265.88	25.00	22.00	3.00	90.0	2.70
02/14/2018	DAVIS, ALTON	DEERE & CO	16,273.55	25.00	22.00	3.00	90.0	2.70
02/14/2018	DAVIS, ALTON	FINISAR CORP COM NEW	1,816.90	25.00	22.00	3.00	90.0	2.70
02/05/2018	HOLMES, JACK PATRICK	GENERAL ELECTRIC CO COM	1,500.00	50.00	22.00	28.00	90.0	25.20
02/14/2018	DAVIS, ALTON	JD COM INC SPONS ADR REPSTG COM CL	2,353.38	25.00	22.00	3.00	90.0	2.70
02/15/2018	DAVIS, ALTON	JD COM INC SPONS ADR REPSTG COM CL	2,381.88	25.00	22.00	3.00	90.0	2.70
02/05/2018	MAHER, HENRY	KANSAS CITY SOUTHN COM NEW	8,919.73	30.00	22.00	8.00	90.0	7.20
02/05/2018	MAHER, HENRY	LIBERTY BROADBAND CORP COM SER C	2,880.30	30.00	22.00	8.00	90.0	7.20
02/05/2018	MAHER, HENRY	LIBERTY MEDIA CORPORATION	1,140.00	30.00	22.00	8.00	90.0	7.20
02/08/2018	HOLMES, JACK PATRICK	MICROSOFT CORP COM	6,375.00	50.00	22.00	28.00	90.0	25.20
02/08/2018	HOLMES, JACK PATRICK	REALTY INCOME CORP COM	1,337.84	50.00	22.00	28.00	90.0	25.20
02/05/2018	MAHER, HENRY	ROSS STORES INC (STATE OF INC CHGD	9,911.99	30.00	22.00	8.00	90.0	7.20
02/14/2018	DAVIS, ALTON	SELECT SECTOR SPDR TR FINANCIAL	1,430.50	25.00	22.00	3.00	90.0	2.70
02/05/2018	MAHER, HENRY	SOUTHERN CO COM	4,667.61	30.00	22.00	8.00	90.0	7.20
* STOCKS SUBTOTAL *			\$82,818.90	\$480.00	\$330.00	\$150.00		\$135.00
<u>PRODUCT CATEGORY: VARIABLE ANNUITIES</u>								
03/02/2018	ATTENDANT CARE, 401K	GWL GRP ANNUITY 401K	236,744.41	136.21	0.00	136.21	90.0	122.59
03/02/2018	RACHWAL, BARTON	GWL GRP ANNUITY 401K	413,957.10	158.78	0.00	158.78	90.0	142.90
03/02/2018	GURSTEN, KOLTONOW	GWL NET ASSET VALUE 401K	8,053,776.29	1,544.56	0.00	1,544.56	90.0	1,390.10
03/02/2018	CHRISTENSEN PLLC, DAVID	GWL NET ASSET VALUE 401K	493,770.11	189.39	0.00	189.39	90.0	170.45
03/02/2018	RACHWAL PC, BARTON	GWL NET ASSET VALUE 401K	100,397.95	19.25	0.00	19.25	90.0	17.33
02/28/2018	CARROLL, EILEEN	JNL ELITE ACCESS W/ LIQUIDITY	36,233.43	30.19	0.00	30.19	90.0	27.17
02/28/2018	NUNEZ, LYNDA	JNL ELITE ACCESS W/ LIQUIDITY	125,045.35	104.20	0.00	104.20	90.0	93.78
02/28/2018	CARROLL, JEROME	JNL PERSPECTIVE II 04/14	68,788.98	14.33	0.00	14.33	90.0	12.90
02/28/2018	TREVINO, PATRICIA	JNL PERSPECTIVE II 04/14	58,801.57	12.25	0.00	12.25	90.0	11.03
02/28/2018	RACHWAL, BARTON	JNL PERSPECTIVE II 05/05	184,987.62	38.54	0.00	38.54	90.0	34.69

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<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: VARIABLE ANNUITIES</u>								
02/28/2018	MAHER, HENRY	JNL PERSPECTIVE II 05/05	108,437.01	45.18	0.00	45.18	90.0	40.66
02/28/2018	HICKSON, ANDREW	JNL PERSPECTIVE II 05/05	50,716.59	21.13	0.00	21.13	90.0	19.02
02/28/2018	VEIT, BEVERLY	JNL PERSPECTIVE L	20,026.67	16.69	0.00	16.69	90.0	15.02
02/28/2018	PALMERI, BEVERLY	JNL PERSPECTIVE L	101,949.62	84.96	0.00	84.96	90.0	76.46
02/28/2018	FRASER, SHARON	JNL PERSPECTIVE L	44,175.11	36.81	0.00	36.81	90.0	33.13
02/28/2018	TAYLOR, JAMIE	JNL PERSPECTIVE L	46,672.67	38.89	0.00	38.89	90.0	35.00
02/28/2018	FLOWERS, EDWARD	JNL PERSPECTIVE L	154,058.67	128.38	0.00	128.38	90.0	115.54
02/28/2018	STOKES, RICHARD	JNL PERSPECTIVE L	85,876.04	71.56	0.00	71.56	90.0	64.40
02/28/2018	STONE, EDWARD	JNL PERSPECTIVE L	89,600.92	74.67	0.00	74.67	90.0	67.20
02/28/2018	PALMERI, SAMUEL	JNL PERSPECTIVE L	108,383.41	90.32	0.00	90.32	90.0	81.29
02/28/2018	STEINMETZ JR, JAMES	JNL PERSPECTIVE L	45,761.26	38.13	0.00	38.13	90.0	34.32
02/28/2018	VITALE, PETER	JNL PERSPECTIVE L	143,697.57	119.75	0.00	119.75	90.0	107.78
02/28/2018	BROEREN, ANTHONY	JNL PERSPECTIVE L	197,793.51	164.83	0.00	164.83	90.0	148.35
02/28/2018	KRALIK, GEORGEANNA	JNL PERSPECTIVE L	118,060.88	98.38	0.00	98.38	90.0	88.54
02/28/2018	CORNWELL, VICTORIA	JNL PERSPECTIVE L	214,566.00	178.80	0.00	178.80	90.0	160.92
02/16/2018	LUJAN AND MARY O LUJAN, JOSEPHRU	PREMIER INVT VA C	50,000.00	625.00	0.00	625.00	90.0	562.50
* VARIABLE ANNUITIES SUBTOTAL *			\$11,352,278.74	\$4,081.18	\$0.00	\$4,081.18		\$3,673.07

PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS

03/01/2018	QUSSAR, JAMES	AF CONSERVATIVE GROWTH AND INCOME-5	0.00	4.46	0.00	4.46	90.0	4.01
03/01/2018	KALLEBERG, JUSTIN	AM FUNDS AMERICAN BALANCED C	0.00	3.21	0.00	3.21	90.0	2.89
03/01/2018	UNTIL AGE 18, MI/UTMA	AM FUNDS AMERICAN BALANCED C	0.00	4.45	0.00	4.45	90.0	4.01
03/01/2018	UNTIL AGE 18, MI/UTMA	AM FUNDS AMERICAN BALANCED C	0.00	4.45	0.00	4.45	90.0	4.01
03/01/2018	ANTHONY, NICHOLAS	AM FUNDS AMERICAN MUTUAL A	0.00	11.48	0.00	11.48	90.0	10.33
03/01/2018	ANTHONY, NICHOLAS	AM FUNDS BOND FUND OF AMERICA A	0.00	4.61	0.00	4.61	90.0	4.15
03/01/2018	BANNICK, ROBERT	AM FUNDS CAPITAL INCOME BUILDER 529	0.00	1.55	0.00	1.55	90.0	1.40
03/01/2018	BANNICK, ROBERT	AM FUNDS CAPITAL INCOME BUILDER 529	0.00	1.55	0.00	1.55	90.0	1.40
03/01/2018	SCACCIA, KELLY	AM FUNDS CAPITAL INCOME BUILDER 529	0.00	0.99	0.00	0.99	90.0	0.89
03/01/2018	CARLINO, GIANNI	AM FUNDS CAPITAL INCOME BUILDER 529	0.00	0.87	0.00	0.87	90.0	0.78
03/01/2018	CARLINO, GIANNI	AM FUNDS CAPITAL INCOME BUILDER 529	0.00	0.87	0.00	0.87	90.0	0.78
03/01/2018	LINDSEY, CHARLES	AM FUNDS CAPITAL INCOME BUILDER 529	0.00	0.62	0.00	0.62	90.0	0.56
03/01/2018	BANNICK, ROBERT	AM FUNDS CAPITAL INCOME BUILDER 529	0.00	0.77	0.00	0.77	90.0	0.69
03/01/2018	BANNICK, ROBERT	AM FUNDS CAPITAL INCOME BUILDER 529	0.00	0.77	0.00	0.77	90.0	0.69
03/01/2018	SCACCIA, KELLY	AM FUNDS CAPITAL INCOME BUILDER 529	0.00	16.16	0.00	16.16	90.0	14.54

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<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
03/01/2018	CARLINO, GIANNI	AM FUNDS CAPITAL INCOME BUILDER 529	0.00	19.60	0.00	19.60	90.0	17.64
03/01/2018	CARLINO, GIANNI	AM FUNDS CAPITAL INCOME BUILDER 529	0.00	19.60	0.00	19.60	90.0	17.64
03/01/2018	HOLMES, KAYLA	AM FUNDS CAPITAL INCOME BUILDER 529	0.00	12.03	0.00	12.03	90.0	10.83
03/01/2018	PALMER, ROBERT	AM FUNDS CAPITAL INCOME BUILDER 529	0.00	24.37	0.00	24.37	90.0	21.93
03/01/2018	MARSHALL, DEMETRIA	AM FUNDS CAPITAL INCOME BUILDER 529	0.00	14.80	0.00	14.80	90.0	13.32
03/01/2018	LUJAN-LABADIE, JENNIFER	AM FUNDS CAPITAL INCOME BUILDER 529	0.00	6.14	0.00	6.14	90.0	5.53
03/01/2018	LUJAN-LABADIE, JENNIFER	AM FUNDS CAPITAL INCOME BUILDER 529	0.00	6.14	0.00	6.14	90.0	5.53
03/01/2018	SCACCIA, KELLY	AM FUNDS CAPITAL INCOME BUILDER 529	0.00	23.48	0.00	23.48	90.0	21.13
03/01/2018	SCACCIA, KELLY	AM FUNDS CAPITAL INCOME BUILDER 529	0.00	20.97	0.00	20.97	90.0	18.87
03/01/2018	HICKSON, MARK	AM FUNDS CAPITAL INCOME BUILDER 529	0.00	19.89	0.00	19.89	90.0	17.90
03/01/2018	PEVOS, DEBRA	AM FUNDS CAPITAL INCOME BUILDER 529	0.00	1.51	0.00	1.51	90.0	1.36
03/01/2018	SIMON, MICHAEL	AM FUNDS CAPITAL INCOME BUILDER 529	0.00	6.03	0.00	6.03	90.0	5.43
03/01/2018	SIMON, MICHAEL	AM FUNDS CAPITAL INCOME BUILDER 529	0.00	6.90	0.00	6.90	90.0	6.21
03/01/2018	WARNER, KRISTI	AM FUNDS CAPITAL INCOME BUILDER 529	0.00	4.28	0.00	4.28	90.0	3.85
03/01/2018	WARNER, KRISTI	AM FUNDS CAPITAL INCOME BUILDER 529	0.00	4.28	0.00	4.28	90.0	3.85
03/01/2018	MARKHAM, CLAIRE	AM FUNDS CAPITAL INCOME BUILDER 529	0.00	5.83	0.00	5.83	90.0	5.25
03/01/2018	WITGEN, SARA	AM FUNDS CAPITAL INCOME BUILDER 529	0.00	2.92	0.00	2.92	90.0	2.63
03/01/2018	MAHER, HENRY	AM FUNDS CAPITAL INCOME BUILDER 529	0.00	7.58	0.00	7.58	90.0	6.82
03/01/2018	JACK, KELLY	AM FUNDS CAPITAL INCOME BUILDER 529	0.00	3.70	0.00	3.70	90.0	3.33
03/01/2018	PALMERI, MARIA	AM FUNDS CAPITAL INCOME BUILDER A	0.00	1.57	0.00	1.57	90.0	1.41
03/01/2018	WALSH, KIMBERLY	AM FUNDS CAPITAL INCOME BUILDER C	0.00	1.73	0.00	1.73	90.0	1.56
03/01/2018	KALLEBERG, JUSTIN	AM FUNDS CAPITAL INCOME BUILDER C	0.00	3.08	0.00	3.08	90.0	2.77
03/01/2018	UNTIL AGE 18, MI/UTMA	AM FUNDS CAPITAL INCOME BUILDER C	0.00	4.24	0.00	4.24	90.0	3.82
03/01/2018	UNTIL AGE 18, MI/UTMA	AM FUNDS CAPITAL INCOME BUILDER C	0.00	4.24	0.00	4.24	90.0	3.82
03/01/2018	WALSH, KIMBERLY	AM FUNDS CAPITAL INCOME BUILDER F1	0.00	0.42	0.00	0.42	90.0	0.38
03/01/2018	KALLEBERG, JUSTIN	AM FUNDS CAPITAL INCOME BUILDER F1	0.00	0.17	0.00	0.17	90.0	0.15
03/01/2018	SCACCIA, KELLY	AM FUNDS CAPITAL WORLD GRTH & INC 5	0.00	2.34	0.00	2.34	90.0	2.11
03/01/2018	JAMES, ANGELA	AM FUNDS CAPITAL WORLD GRTH & INC 5	0.00	1.00	0.00	1.00	90.0	0.90
03/01/2018	SCACCIA, KELLY	AM FUNDS CAPITAL WORLD GRTH & INC 5	0.00	18.27	0.00	18.27	90.0	16.44
03/01/2018	CARLINO, GIANNI	AM FUNDS CAPITAL WORLD GRTH & INC 5	0.00	21.91	0.00	21.91	90.0	19.72
03/01/2018	CARLINO, GIANNI	AM FUNDS CAPITAL WORLD GRTH & INC 5	0.00	21.91	0.00	21.91	90.0	19.72
03/01/2018	JAMES, ANGELA	AM FUNDS CAPITAL WORLD GRTH & INC 5	0.00	3.29	0.00	3.29	90.0	2.96
03/01/2018	MARSHALL, DEMETRIA	AM FUNDS CAPITAL WORLD GRTH & INC 5	0.00	16.89	0.00	16.89	90.0	15.20

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<u>DIRECT TRANSACTIONS</u>								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS								
03/01/2018	LUJAN-LABADIE, JENNIFER	AM FUNDS CAPITAL WORLD GRTH & INC 5	0.00	6.34	0.00	6.34	90.0	5.71
03/01/2018	LUJAN-LABADIE, JENNIFER	AM FUNDS CAPITAL WORLD GRTH & INC 5	0.00	6.34	0.00	6.34	90.0	5.71
03/01/2018	O'CONNOR, AARON	AM FUNDS CAPITAL WORLD GRTH & INC 5	0.00	9.90	0.00	9.90	90.0	8.91
03/01/2018	O'CONNOR, AARON	AM FUNDS CAPITAL WORLD GRTH & INC 5	0.00	9.90	0.00	9.90	90.0	8.91
03/01/2018	SCACCIA, KELLY	AM FUNDS CAPITAL WORLD GRTH & INC 5	0.00	32.99	0.00	32.99	90.0	29.69
03/01/2018	SCACCIA, KELLY	AM FUNDS CAPITAL WORLD GRTH & INC 5	0.00	24.81	0.00	24.81	90.0	22.33
03/01/2018	JAMES, ANGELA	AM FUNDS CAPITAL WORLD GRTH & INC 5	0.00	4.11	0.00	4.11	90.0	3.70
03/01/2018	JAMES, ANGELA	AM FUNDS CAPITAL WORLD GRTH & INC 5	0.00	4.11	0.00	4.11	90.0	3.70
03/01/2018	SIMON, MICHAEL	AM FUNDS CAPITAL WORLD GRTH & INC 5	0.00	6.56	0.00	6.56	90.0	5.90
03/01/2018	SIMON, MICHAEL	AM FUNDS CAPITAL WORLD GRTH & INC 5	0.00	7.51	0.00	7.51	90.0	6.76
03/01/2018	WITGEN, SARA	AM FUNDS CAPITAL WORLD GRTH & INC 5	0.00	2.86	0.00	2.86	90.0	2.57
03/01/2018	O'CONNOR, AARON	AM FUNDS CAPITAL WORLD GRTH & INC 5	0.00	0.31	0.00	0.31	90.0	0.28
03/01/2018	PALMERI, MARIA	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	1.41	0.00	1.41	90.0	1.27
03/01/2018	WALSH, KIMBERLY	AM FUNDS CAPITAL WORLD GRTH & INC C	0.00	1.88	0.00	1.88	90.0	1.69
03/01/2018	WALSH, KIMBERLY	AM FUNDS CAPITAL WORLD GRTH & INC C	0.00	0.17	0.00	0.17	90.0	0.15
03/01/2018	KALLEBERG, JUSTIN	AM FUNDS CAPITAL WORLD GRTH & INC C	0.00	0.26	0.00	0.26	90.0	0.23
03/01/2018	CARLINO, GIANNI	AM FUNDS EUROPACIFIC GROWTH FUND 52	0.00	19.70	0.00	19.70	90.0	17.73
03/01/2018	CARLINO, GIANNI	AM FUNDS EUROPACIFIC GROWTH FUND 52	0.00	19.70	0.00	19.70	90.0	17.73
03/01/2018	JAMES, ANGELA	AM FUNDS EUROPACIFIC GROWTH FUND 52	0.00	3.15	0.00	3.15	90.0	2.84
03/01/2018	PALMER, ROBERT	AM FUNDS EUROPACIFIC GROWTH FUND 52	0.00	26.50	0.00	26.50	90.0	23.85
03/01/2018	LUJAN, DEBORAH	AM FUNDS EUROPACIFIC GROWTH FUND 52	0.00	12.56	0.00	12.56	90.0	11.30
03/01/2018	MARSHALL, DEMETRIA	AM FUNDS EUROPACIFIC GROWTH FUND 52	0.00	14.34	0.00	14.34	90.0	12.91
03/01/2018	LUJAN-LABADIE, JENNIFER	AM FUNDS EUROPACIFIC GROWTH FUND 52	0.00	5.97	0.00	5.97	90.0	5.37
03/01/2018	LUJAN-LABADIE, JENNIFER	AM FUNDS EUROPACIFIC GROWTH FUND 52	0.00	5.97	0.00	5.97	90.0	5.37
03/01/2018	O'CONNOR, AARON	AM FUNDS EUROPACIFIC GROWTH FUND 52	0.00	9.20	0.00	9.20	90.0	8.28
03/01/2018	O'CONNOR, AARON	AM FUNDS EUROPACIFIC GROWTH FUND 52	0.00	9.20	0.00	9.20	90.0	8.28
03/01/2018	ANTHONY, NICHOLAS	AM FUNDS EUROPACIFIC GROWTH FUND 52	0.00	2.17	0.00	2.17	90.0	1.95
03/01/2018	ANTHONY, NICHOLAS	AM FUNDS EUROPACIFIC GROWTH FUND 52	0.00	2.17	0.00	2.17	90.0	1.95
03/01/2018	HICKSON, MARK	AM FUNDS EUROPACIFIC GROWTH FUND 52	0.00	21.30	0.00	21.30	90.0	19.17
03/01/2018	JAMES, ANGELA	AM FUNDS EUROPACIFIC GROWTH FUND 52	0.00	3.93	0.00	3.93	90.0	3.54
03/01/2018	JAMES, ANGELA	AM FUNDS EUROPACIFIC GROWTH FUND 52	0.00	3.93	0.00	3.93	90.0	3.54
03/01/2018	SIMON, MICHAEL	AM FUNDS EUROPACIFIC GROWTH FUND 52	0.00	6.54	0.00	6.54	90.0	5.89
03/01/2018	SIMON, MICHAEL	AM FUNDS EUROPACIFIC GROWTH FUND 52	0.00	7.49	0.00	7.49	90.0	6.74

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
03/01/2018	WITGEN, SARA	AM FUNDS EUROPACIFIC GROWTH FUND 52	0.00	2.62	0.00	2.62	90.0	2.36
03/01/2018	MAHER, HENRY	AM FUNDS EUROPACIFIC GROWTH FUND 52	0.00	8.49	0.00	8.49	90.0	7.64
03/01/2018	ANTHONY, NICHOLAS	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	2.88	0.00	2.88	90.0	2.59
03/01/2018	WALSH, KIMBERLY	AM FUNDS EUROPACIFIC GROWTH FUND C	0.00	1.66	0.00	1.66	90.0	1.49
03/01/2018	WALSH, KIMBERLY	AM FUNDS EUROPACIFIC GROWTH FUND F1	0.00	0.15	0.00	0.15	90.0	0.14
03/01/2018	MOTOR CITY COMPUTER	AM FUNDS EUROPACIFIC GROWTH FUND-R2	0.00	133.83	0.00	133.83	90.0	120.45
03/01/2018	BANNICK, ROBERT	AM FUNDS GROWTH FUND OF AMERICA 529	0.00	2.95	0.00	2.95	90.0	2.66
03/01/2018	BANNICK, ROBERT	AM FUNDS GROWTH FUND OF AMERICA 529	0.00	2.95	0.00	2.95	90.0	2.66
03/01/2018	SCACCIA, KELLY	AM FUNDS GROWTH FUND OF AMERICA 529	0.00	3.40	0.00	3.40	90.0	3.06
03/01/2018	CARLINO, GIANNI	AM FUNDS GROWTH FUND OF AMERICA 529	0.00	1.22	0.00	1.22	90.0	1.10
03/01/2018	CARLINO, GIANNI	AM FUNDS GROWTH FUND OF AMERICA 529	0.00	1.22	0.00	1.22	90.0	1.10
03/01/2018	LINDSEY, CHARLES	AM FUNDS GROWTH FUND OF AMERICA 529	0.00	0.68	0.00	0.68	90.0	0.61
03/01/2018	BANNICK, ROBERT	AM FUNDS GROWTH FUND OF AMERICA 529	0.00	1.40	0.00	1.40	90.0	1.26
03/01/2018	BANNICK, ROBERT	AM FUNDS GROWTH FUND OF AMERICA 529	0.00	1.40	0.00	1.40	90.0	1.26
03/01/2018	SCACCIA, KELLY	AM FUNDS GROWTH FUND OF AMERICA 529	0.00	20.77	0.00	20.77	90.0	18.69
03/01/2018	CARLINO, GIANNI	AM FUNDS GROWTH FUND OF AMERICA 529	0.00	31.49	0.00	31.49	90.0	28.34
03/01/2018	CARLINO, GIANNI	AM FUNDS GROWTH FUND OF AMERICA 529	0.00	31.49	0.00	31.49	90.0	28.34
03/01/2018	JAMES, ANGELA	AM FUNDS GROWTH FUND OF AMERICA 529	0.00	3.82	0.00	3.82	90.0	3.44
03/01/2018	LUJAN, DEBORAH	AM FUNDS GROWTH FUND OF AMERICA 529	0.00	18.43	0.00	18.43	90.0	16.59
03/01/2018	MARSHALL, DEMETRIA	AM FUNDS GROWTH FUND OF AMERICA 529	0.00	23.13	0.00	23.13	90.0	20.82
03/01/2018	LUJAN-LABADIE, JENNIFER	AM FUNDS GROWTH FUND OF AMERICA 529	0.00	40.48	0.00	40.48	90.0	36.43
03/01/2018	LUJAN-LABADIE, JENNIFER	AM FUNDS GROWTH FUND OF AMERICA 529	0.00	40.48	0.00	40.48	90.0	36.43
03/01/2018	O'CONNOR, AARON	AM FUNDS GROWTH FUND OF AMERICA 529	0.00	12.10	0.00	12.10	90.0	10.89
03/01/2018	O'CONNOR, AARON	AM FUNDS GROWTH FUND OF AMERICA 529	0.00	12.10	0.00	12.10	90.0	10.89
03/01/2018	ANTHONY, NICHOLAS	AM FUNDS GROWTH FUND OF AMERICA 529	0.00	2.85	0.00	2.85	90.0	2.57
03/01/2018	ANTHONY, NICHOLAS	AM FUNDS GROWTH FUND OF AMERICA 529	0.00	2.85	0.00	2.85	90.0	2.57
03/01/2018	SCACCIA, KELLY	AM FUNDS GROWTH FUND OF AMERICA 529	0.00	34.76	0.00	34.76	90.0	31.28
03/01/2018	SCACCIA, KELLY	AM FUNDS GROWTH FUND OF AMERICA 529	0.00	30.90	0.00	30.90	90.0	27.81
03/01/2018	HICKSON, MARK	AM FUNDS GROWTH FUND OF AMERICA 529	0.00	24.10	0.00	24.10	90.0	21.69
03/01/2018	JAMES, ANGELA	AM FUNDS GROWTH FUND OF AMERICA 529	0.00	4.73	0.00	4.73	90.0	4.26
03/01/2018	JAMES, ANGELA	AM FUNDS GROWTH FUND OF AMERICA 529	0.00	4.73	0.00	4.73	90.0	4.26
03/01/2018	PEVOS, DEBRA	AM FUNDS GROWTH FUND OF AMERICA 529	0.00	1.95	0.00	1.95	90.0	1.76
03/01/2018	SIMON, MICHAEL	AM FUNDS GROWTH FUND OF AMERICA 529	0.00	7.49	0.00	7.49	90.0	6.74

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
03/01/2018	SIMON, MICHAEL	AM FUNDS GROWTH FUND OF AMERICA 529	0.00	8.57	0.00	8.57	90.0	7.71
03/01/2018	MARKHAM, CLAIRE	AM FUNDS GROWTH FUND OF AMERICA 529	0.00	6.99	0.00	6.99	90.0	6.29
03/01/2018	WITGEN, SARA	AM FUNDS GROWTH FUND OF AMERICA 529	0.00	3.65	0.00	3.65	90.0	3.29
03/01/2018	MAHER, HENRY	AM FUNDS GROWTH FUND OF AMERICA 529	0.00	8.73	0.00	8.73	90.0	7.86
03/01/2018	O'CONNOR, AARON	AM FUNDS GROWTH FUND OF AMERICA 529	0.00	0.31	0.00	0.31	90.0	0.28
03/01/2018	JACK, KELLY	AM FUNDS GROWTH FUND OF AMERICA 529	0.00	4.13	0.00	4.13	90.0	3.72
03/01/2018	QUSSAR, JAMES	AM FUNDS GROWTH FUND OF AMERICA 529	0.00	5.16	0.00	5.16	90.0	4.64
03/01/2018	PALMERI, MARIA	AM FUNDS GROWTH FUND OF AMERICA A	0.00	1.41	0.00	1.41	90.0	1.27
03/01/2018	CARROLL, EILEEN	AM FUNDS GROWTH FUND OF AMERICA A	0.00	5.21	0.00	5.21	90.0	4.69
03/01/2018	UNTIL AGE 21, MI/UTMA	AM FUNDS GROWTH FUND OF AMERICA A	0.00	3.82	0.00	3.82	90.0	3.44
03/01/2018	UNTIL AGE 21, MI/UTMA	AM FUNDS GROWTH FUND OF AMERICA A	0.00	3.11	0.00	3.11	90.0	2.80
03/01/2018	ANTHONY, NICHOLAS	AM FUNDS GROWTH FUND OF AMERICA A	0.00	13.29	0.00	13.29	90.0	11.96
03/01/2018	WALSH, KIMBERLY	AM FUNDS GROWTH FUND OF AMERICA C	0.00	2.48	0.00	2.48	90.0	2.23
03/01/2018	WALSH, KIMBERLY	AM FUNDS GROWTH FUND OF AMERICA F1	0.00	0.50	0.00	0.50	90.0	0.45
03/01/2018	MOTOR CITY COMPUTER	AM FUNDS GROWTH FUND OF AMERICA R2	0.00	263.09	0.00	263.09	90.0	236.78
03/01/2018	BANNICK, ROBERT	AM FUNDS ICA 529A	0.00	1.88	0.00	1.88	90.0	1.69
03/01/2018	BANNICK, ROBERT	AM FUNDS ICA 529A	0.00	1.88	0.00	1.88	90.0	1.69
03/01/2018	JAMES, ANGELA	AM FUNDS ICA 529A	0.00	0.57	0.00	0.57	90.0	0.51
03/01/2018	BANNICK, ROBERT	AM FUNDS ICA 529C	0.00	0.90	0.00	0.90	90.0	0.81
03/01/2018	BANNICK, ROBERT	AM FUNDS ICA 529C	0.00	0.90	0.00	0.90	90.0	0.81
03/01/2018	JACK, KELLY	AM FUNDS ICA 529C	0.00	3.91	0.00	3.91	90.0	3.52
03/01/2018	QUSSAR, JAMES	AM FUNDS ICA 529C	0.00	4.86	0.00	4.86	90.0	4.37
03/01/2018	PALMERI, BRENT	AM FUNDS ICA A	0.00	11.32	0.00	11.32	90.0	10.19
03/01/2018	PALMERI, MARIA	AM FUNDS INCOME FUND OF AMERICA A	0.00	1.78	0.00	1.78	90.0	1.60
03/01/2018	WALSH, KIMBERLY	AM FUNDS INCOME FUND OF AMERICA F-1	0.00	0.31	0.00	0.31	90.0	0.28
03/01/2018	HICKSON, MARK	AM FUNDS INCOME FUND OF AMERICA-529	0.00	20.69	0.00	20.69	90.0	18.62
03/01/2018	WITGEN, SARA	AM FUNDS INCOME FUND OF AMERICA-529	0.00	0.37	0.00	0.37	90.0	0.33
03/01/2018	JAMES, ANGELA	AM FUNDS NEW ECONOMY 529C	0.00	3.62	0.00	3.62	90.0	3.26
03/01/2018	HOLMES, KAYLA	AM FUNDS NEW ECONOMY 529C	0.00	8.72	0.00	8.72	90.0	7.85
03/01/2018	JAMES, ANGELA	AM FUNDS NEW ECONOMY 529C	0.00	4.53	0.00	4.53	90.0	4.08
03/01/2018	JAMES, ANGELA	AM FUNDS NEW ECONOMY 529C	0.00	4.53	0.00	4.53	90.0	4.08
03/01/2018	SCACCIA, KELLY	AM FUNDS NEW PERSPECTIVE 529C	0.00	30.90	0.00	30.90	90.0	27.81
03/01/2018	SCACCIA, KELLY	AM FUNDS NEW PERSPECTIVE 529C	0.00	26.54	0.00	26.54	90.0	23.89

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>DIRECT TRANSACTIONS</u>								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS								
03/01/2018	CARLINO, GIANNI	AM FUNDS NEW WORLD 529C	0.00	17.56	0.00	17.56	90.0	15.80
03/01/2018	CARLINO, GIANNI	AM FUNDS NEW WORLD 529C	0.00	17.56	0.00	17.56	90.0	15.80
03/01/2018	ANTHONY, NICHOLAS	AM FUNDS SMALLCAP WORLD A	0.00	7.08	0.00	7.08	90.0	6.37
03/01/2018	CARROLL, EILEEN	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	4.55	0.00	4.55	90.0	4.10
03/01/2018	UNTIL AGE 21, MI/UTMA	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	2.40	0.00	2.40	90.0	2.16
03/01/2018	UNTIL AGE 21, MI/UTMA	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	2.63	0.00	2.63	90.0	2.37
03/01/2018	MAHER, HENRY	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	8.51	0.00	8.51	90.0	7.66
03/01/2018	JACK, KELLY	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	3.93	0.00	3.93	90.0	3.54
03/01/2018	O'CONNOR, AARON	AMCAP FUND-529C	0.00	11.28	0.00	11.28	90.0	10.15
03/01/2018	O'CONNOR, AARON	AMCAP FUND-529C	0.00	11.28	0.00	11.28	90.0	10.15
03/01/2018	WALSH, KIMBERLY	AMERICAN FUNDS BALANCED FUNDS F-1	0.00	0.35	0.00	0.35	90.0	0.32
03/01/2018	KALLEBERG, JUSTIN	AMERICAN FUNDS BALANCED FUNDS F-1	0.00	0.25	0.00	0.25	90.0	0.23
03/05/2018	MOTOR CITY COMPUTER	COLUMBIA SMALLCAP CORE FUND A	0.00	1.80	0.00	1.80	90.0	1.62
03/01/2018	QUSSAR, JAMES	GROWTH AND INCOME PORTFOLIO-529C	0.00	4.81	0.00	4.81	90.0	4.33
* MUTUAL FUND 12B1 TRAILS SUBTOTAL *			\$0.00	\$1,727.35	\$0.00	\$1,727.35		\$1,554.67
*** DIRECT TRANSACTIONS TOTAL ***			\$11,626,321.85	\$16,010.43	\$376.00	\$15,634.43		\$14,071.40
<u>ADJUSTMENTS</u>								
03/15/2018		*AI INSIGHT: CURRENT MONTH	0.00					-7.00
03/15/2018		*ALBRIDGE: LIGHT USER	0.00					-76.00
03/15/2018		*E & O INSURANCE: CURRENT MONTH INS	0.00					-300.00
03/15/2018		*GLOBAL RELAY: WEBSITE	0.00					-15.00
03/15/2018		*RBC: ADMIN WEALTH STATION	0.00					-25.00
03/15/2018		*RBC: CURRENT MONTH	0.00					-25.00
03/15/2018		*RBC: ORDER ENTRY	0.00					-65.00
03/15/2018		*RBC: W/O DB 7A502352	0.00					-54.33
03/15/2018		*RBC: W/O DB 7A502503	0.00					-27.75
03/15/2018		*RBC: W/O DB 7A502808	0.00					-63.52
03/15/2018		*TECHNOLOGY: ADM - ZAREFA MARINI	0.00					-130.00
03/15/2018		*TECHNOLOGY: CURRENT MONTH BASIC	0.00					-180.00
*** ADJUSTMENTS TOTAL ***			\$0.00	\$0.00	\$0.00	\$0.00		\$-968.60

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BROKER COMMISSION TOTALS

Broker Transactions	\$14,071.40
Split Transactions	\$0.00
Override Transactions	\$0.00
Adjustments	\$-968.60
Payroll Draw	\$0.00
Base Salary	\$0.00
Prior Period Balance	\$0.00
FINRA Assessment	\$0.00
SIPC Assessment	\$0.00

Check Amount	\$13,102.80
Year-to-date Gross	\$87,285.44
Year-to-date Earnings	\$78,021.60