

**COMMISSION STATEMENT****December 15, 2017**JEFFREY KAUFMAN
801 Gray Oak DriveBROKER #: K119
BRANCH: JEFFREY KAUFMAN

Columbia, MO 65201

DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
11/20/2017	ZELLMER, AMY	AM FUNDS 2040 TARGET DATE-A	91.07	0.91	0.00	0.91	90.0	0.82
11/20/2017	ZELLMER, AMY	AM FUNDS 2040 TARGET DATE-A	91.07	0.91	0.00	0.91	90.0	0.82
11/20/2017	NOWLIN, STACEY	AM FUNDS 2040 TARGET DATE-A	40.79	0.41	0.00	0.41	90.0	0.37
11/20/2017	NOWLIN, STACEY	AM FUNDS 2040 TARGET DATE-A	40.79	0.41	0.00	0.41	90.0	0.37
11/20/2017	HILL, KALIA	AM FUNDS 2045 TARGET DATE-A	52.65	0.53	0.00	0.53	90.0	0.48
11/20/2017	HILL, KALIA	AM FUNDS 2045 TARGET DATE-A	52.65	0.53	0.00	0.53	90.0	0.48
11/20/2017	CRANE, MISTY	AM FUNDS 2045 TARGET DATE-A	37.75	0.38	0.00	0.38	90.0	0.34
11/20/2017	CRANE, MISTY	AM FUNDS 2045 TARGET DATE-A	37.75	0.38	0.00	0.38	90.0	0.34
11/20/2017	PATTY, MINDI	AM FUNDS 2045 TARGET DATE-A	16.50	0.17	0.00	0.17	90.0	0.15
11/20/2017	PATTY, MINDI	AM FUNDS 2045 TARGET DATE-A	16.50	0.17	0.00	0.17	90.0	0.15
11/20/2017	WESTBROOK, AMANDA	AM FUNDS 2055 TARGET DATE-A	40.20	0.40	0.00	0.40	90.0	0.36
11/20/2017	WESTBROOK, AMANDA	AM FUNDS 2055 TARGET DATE-A	40.20	0.40	0.00	0.40	90.0	0.36
11/20/2017	WHEAT, KATHLEEN	AM FUNDS AMERICAN BALANCED A	135.88	1.36	0.00	1.36	90.0	1.22
11/20/2017	WHEAT, KATHLEEN	AM FUNDS AMERICAN BALANCED A	317.05	3.17	0.00	3.17	90.0	2.85
11/20/2017	WIBBENMEYER, BRITTANY	AM FUNDS AMERICAN BALANCED A	73.52	0.74	0.00	0.74	90.0	0.67
11/20/2017	WIBBENMEYER, BRITTANY	AM FUNDS AMERICAN BALANCED A	73.52	0.74	0.00	0.74	90.0	0.67
12/04/2017	MEDLEY, LISA	AM FUNDS AMERICAN BALANCED A	67.04	0.67	0.00	0.67	90.0	0.60
12/04/2017	MEDLEY, LISA	AM FUNDS AMERICAN BALANCED A	67.04	0.67	0.00	0.67	90.0	0.60
11/20/2017	CLASSENS, KRYSTA	AM FUNDS AMERICAN MUTUAL A	24.00	0.24	0.00	0.24	90.0	0.22
11/20/2017	CLASSENS, KRYSTA	AM FUNDS AMERICAN MUTUAL A	64.00	0.64	0.00	0.64	90.0	0.58
11/20/2017	MANGUS, DANIEL	AM FUNDS BALANCED PORT A	209.40	2.09	0.00	2.09	90.0	1.88
11/20/2017	MANGUS, DANIEL	AM FUNDS BALANCED PORT A	209.40	2.09	0.00	2.09	90.0	1.88
11/20/2017	KEATON, LINDSY	AM FUNDS BALANCED PORT A	34.61	0.35	0.00	0.35	90.0	0.32
11/20/2017	KEATON, LINDSY	AM FUNDS BALANCED PORT A	34.61	0.35	0.00	0.35	90.0	0.32
11/20/2017	GODAR, LOUISE	AM FUNDS BALANCED PORT A	52.57	0.53	0.00	0.53	90.0	0.48
11/20/2017	GODAR, LOUISE	AM FUNDS BALANCED PORT A	52.57	0.53	0.00	0.53	90.0	0.48

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

DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
11/20/2017	GRIFFIN, AMANDA	AM FUNDS BOND FUND OF AMERICA A	18.47	0.18	0.00	0.18	90.0	0.16
11/20/2017	GRIFFIN, AMANDA	AM FUNDS BOND FUND OF AMERICA A	18.47	0.18	0.00	0.18	90.0	0.16
11/20/2017	CLASSENS, KRYSTA	AM FUNDS EUROPACIFIC GROWTH FUND A	18.00	0.18	0.00	0.18	90.0	0.16
11/20/2017	CLASSENS, KRYSTA	AM FUNDS EUROPACIFIC GROWTH FUND A	48.00	0.48	0.00	0.48	90.0	0.43
12/05/2017	STALEY, JOSELYN	AM FUNDS EUROPACIFIC GROWTH FUND A	200.00	10.00	0.00	10.00	90.0	9.00
11/20/2017	BROCKSMITH, RACHEL	AM FUNDS GROWTH AND INCOME A	54.56	0.55	0.00	0.55	90.0	0.50
11/20/2017	BROCKSMITH, RACHEL	AM FUNDS GROWTH AND INCOME A	54.56	0.55	0.00	0.55	90.0	0.50
11/20/2017	BIETSCH, MATTHEW	AM FUNDS GROWTH AND INCOME A	61.90	0.62	0.00	0.62	90.0	0.56
11/20/2017	BIETSCH, MATTHEW	AM FUNDS GROWTH AND INCOME A	61.90	0.62	0.00	0.62	90.0	0.56
11/20/2017	AHERN, OLIVIA	AM FUNDS GROWTH AND INCOME A	53.58	0.54	0.00	0.54	90.0	0.49
11/20/2017	AHERN, OLIVIA	AM FUNDS GROWTH AND INCOME A	53.58	0.54	0.00	0.54	90.0	0.49
11/20/2017	GRIFFIN, AMANDA	AM FUNDS GROWTH FUND OF AMERICA A	36.94	0.37	0.00	0.37	90.0	0.33
11/20/2017	GRIFFIN, AMANDA	AM FUNDS GROWTH FUND OF AMERICA A	36.94	0.37	0.00	0.37	90.0	0.33
11/20/2017	STALEY, JOSELYN	AM FUNDS GROWTH FUND OF AMERICA A	14.91	0.15	0.00	0.15	90.0	0.14
11/20/2017	STALEY, JOSELYN	AM FUNDS GROWTH FUND OF AMERICA A	44.75	0.45	0.00	0.45	90.0	0.41
11/20/2017	CLASSENS, KRYSTA	AM FUNDS GROWTH FUND OF AMERICA A	18.00	0.18	0.00	0.18	90.0	0.16
11/20/2017	CLASSENS, KRYSTA	AM FUNDS GROWTH FUND OF AMERICA A	48.00	0.48	0.00	0.48	90.0	0.43
11/20/2017	GATTORNA, MICHAEL	AM FUNDS GROWTH FUND OF AMERICA A	30.16	0.30	0.00	0.30	90.0	0.27
11/20/2017	GATTORNA, MICHAEL	AM FUNDS GROWTH FUND OF AMERICA A	30.16	0.30	0.00	0.30	90.0	0.27
11/20/2017	MULLENIX, AMANDA	AM FUNDS GROWTH FUND OF AMERICA A	81.65	0.82	0.00	0.82	90.0	0.74
11/20/2017	MULLENIX, AMANDA	AM FUNDS GROWTH FUND OF AMERICA A	81.65	0.82	0.00	0.82	90.0	0.74
11/20/2017	KISER, ANDREA	AM FUNDS GROWTH FUND OF AMERICA A	64.25	0.64	0.00	0.64	90.0	0.58
11/20/2017	KISER, ANDREA	AM FUNDS GROWTH FUND OF AMERICA A	64.25	0.64	0.00	0.64	90.0	0.58
12/04/2017	EULTGEN, VICKI	AM FUNDS GROWTH FUND OF AMERICA A	42.34	0.42	0.00	0.42	90.0	0.38
12/04/2017	EULTGEN, VICKI	AM FUNDS GROWTH FUND OF AMERICA A	75.00	0.75	0.00	0.75	90.0	0.68
12/04/2017	TURNER, JOSH	AM FUNDS GROWTH FUND OF AMERICA A	30.26	0.30	0.00	0.30	90.0	0.27
12/04/2017	TURNER, JOSH	AM FUNDS GROWTH FUND OF AMERICA A	30.24	0.30	0.00	0.30	90.0	0.27
12/04/2017	MURPHY, MELISSA	AM FUNDS GROWTH FUND OF AMERICA A	41.25	0.41	0.00	0.41	90.0	0.37
12/04/2017	MURPHY, MELISSA	AM FUNDS GROWTH FUND OF AMERICA A	260.25	2.60	0.00	2.60	90.0	2.34
12/04/2017	MURPHY, MICHAEL	AM FUNDS GROWTH FUND OF AMERICA A	82.50	0.83	0.00	0.83	90.0	0.75
12/04/2017	MURPHY, MICHAEL	AM FUNDS GROWTH FUND OF AMERICA A	520.50	5.21	0.00	5.21	90.0	4.69
12/04/2017	VICTOR, THOMAS	AM FUNDS GROWTH FUND OF AMERICA A	27.01	0.27	0.00	0.27	90.0	0.24
12/04/2017	VICTOR, THOMAS	AM FUNDS GROWTH FUND OF AMERICA A	27.01	0.27	0.00	0.27	90.0	0.24

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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>								
12/04/2017	TURNER, COREY	AM FUNDS GROWTH FUND OF AMERICA A	41.25	0.41	0.00	0.41	90.0	0.37
12/04/2017	TURNER, COREY	AM FUNDS GROWTH FUND OF AMERICA A	260.25	2.60	0.00	2.60	90.0	2.34
12/04/2017	RYAN, MATTHEW	AM FUNDS GROWTH FUND OF AMERICA A	67.50	0.68	0.00	0.68	90.0	0.61
12/04/2017	RYAN, MATTHEW	AM FUNDS GROWTH FUND OF AMERICA A	67.50	0.68	0.00	0.68	90.0	0.61
12/04/2017	UNZICKER, WILLIAM	AM FUNDS GROWTH FUND OF AMERICA A	92.41	0.92	0.00	0.92	90.0	0.83
12/04/2017	UNZICKER, WILLIAM	AM FUNDS GROWTH FUND OF AMERICA A	92.41	0.92	0.00	0.92	90.0	0.83
12/05/2017	LEHMAN, COLBY	AM FUNDS GROWTH FUND OF AMERICA A	100.00	5.00	0.00	5.00	90.0	4.50
11/20/2017	GAMM, SKYLAR	AM FUNDS GROWTH FUND OF AMERICA C	1,000.00	10.00	0.00	10.00	90.0	9.00
11/20/2017	DILLON, EMMA	AM FUNDS ICA A	11.75	0.12	0.00	0.12	90.0	0.11
11/20/2017	DILLON, EMMA	AM FUNDS ICA A	15.66	0.16	0.00	0.16	90.0	0.14
11/20/2017	OPPLAND, ZACHARY	AM FUNDS ICA A	105.00	1.05	0.00	1.05	90.0	0.95
11/20/2017	OPPLAND, ZACHARY	AM FUNDS ICA A	420.00	4.20	0.00	4.20	90.0	3.78
12/04/2017	EULTGEN, VICKI	AM FUNDS ICA A	42.34	0.42	0.00	0.42	90.0	0.38
12/04/2017	EULTGEN, VICKI	AM FUNDS ICA A	75.00	0.75	0.00	0.75	90.0	0.68
12/04/2017	MURPHY, MELISSA	AM FUNDS ICA A	33.00	0.33	0.00	0.33	90.0	0.30
12/04/2017	MURPHY, MELISSA	AM FUNDS ICA A	208.20	2.08	0.00	2.08	90.0	1.87
12/04/2017	RIDGWAY, BENJAMIN	AM FUNDS ICA A	50.00	0.50	0.00	0.50	90.0	0.45
12/04/2017	RIDGWAY, BENJAMIN	AM FUNDS ICA A	50.00	0.50	0.00	0.50	90.0	0.45
12/04/2017	SUTTON, CHRISTOPHER	AM FUNDS ICA A	82.22	0.82	0.00	0.82	90.0	0.74
12/04/2017	SUTTON, CHRISTOPHER	AM FUNDS ICA A	112.00	1.12	0.00	1.12	90.0	1.01
12/04/2017	MEDLEY, LISA	AM FUNDS ICA A	67.04	0.67	0.00	0.67	90.0	0.60
12/04/2017	MEDLEY, LISA	AM FUNDS ICA A	67.04	0.67	0.00	0.67	90.0	0.60
11/20/2017	REEDY, REBECCA	AM FUNDS INCOME PORTFOLIO A	37.20	0.37	0.00	0.37	90.0	0.33
11/20/2017	REEDY, REBECCA	AM FUNDS INCOME PORTFOLIO A	37.20	0.37	0.00	0.37	90.0	0.33
12/04/2017	MURPHY, MELISSA	AM FUNDS INTL GROWTH AND INCOME A	33.00	0.33	0.00	0.33	90.0	0.30
12/04/2017	MURPHY, MELISSA	AM FUNDS INTL GROWTH AND INCOME A	208.20	2.08	0.00	2.08	90.0	1.87
11/20/2017	STALEY, JOSELYN	AM FUNDS NEW ECONOMY A	14.48	0.14	0.00	0.14	90.0	0.13
11/20/2017	STALEY, JOSELYN	AM FUNDS NEW ECONOMY A	43.43	0.43	0.00	0.43	90.0	0.39
11/20/2017	NIELSEN, BRENDA	AM FUNDS NEW ECONOMY A	31.85	0.32	0.00	0.32	90.0	0.29
11/20/2017	NIELSEN, BRENDA	AM FUNDS NEW ECONOMY A	53.08	0.53	0.00	0.53	90.0	0.48
12/04/2017	ROBINETT, CHARISSA	AM FUNDS NEW ECONOMY A	54.32	0.54	0.00	0.54	90.0	0.49
12/04/2017	ROBINETT, CHARISSA	AM FUNDS NEW ECONOMY A	54.32	0.54	0.00	0.54	90.0	0.49
12/04/2017	SUTTON, CHRISTOPHER	AM FUNDS NEW ECONOMY A	35.23	0.35	0.00	0.35	90.0	0.32

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<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
12/04/2017	SUTTON, CHRISTOPHER	AM FUNDS NEW ECONOMY A	48.00	0.48	0.00	0.48	90.0	0.43
11/20/2017	GAMM, SKYLAR	AM FUNDS NEW ECONOMY C	2,000.00	20.00	0.00	20.00	90.0	18.00
11/20/2017	GRIFFIN, AMANDA	AM FUNDS NEW PERSPECTIVE A	36.94	0.37	0.00	0.37	90.0	0.33
11/20/2017	GRIFFIN, AMANDA	AM FUNDS NEW PERSPECTIVE A	36.94	0.37	0.00	0.37	90.0	0.33
11/20/2017	STALEY, JOSELYN	AM FUNDS NEW PERSPECTIVE A	14.48	0.14	0.00	0.14	90.0	0.13
11/20/2017	STALEY, JOSELYN	AM FUNDS NEW PERSPECTIVE A	43.44	0.43	0.00	0.43	90.0	0.39
11/20/2017	GATTORNA, MICHAEL	AM FUNDS NEW PERSPECTIVE A	29.27	0.29	0.00	0.29	90.0	0.26
11/20/2017	GATTORNA, MICHAEL	AM FUNDS NEW PERSPECTIVE A	29.27	0.29	0.00	0.29	90.0	0.26
11/20/2017	STAES, SAMUEL	AM FUNDS NEW PERSPECTIVE A	16.80	0.17	0.00	0.17	90.0	0.15
11/20/2017	STAES, SAMUEL	AM FUNDS NEW PERSPECTIVE A	33.60	0.34	0.00	0.34	90.0	0.31
12/04/2017	EULTGEN, VICKI	AM FUNDS NEW PERSPECTIVE A	28.22	0.28	0.00	0.28	90.0	0.25
12/04/2017	EULTGEN, VICKI	AM FUNDS NEW PERSPECTIVE A	50.00	0.50	0.00	0.50	90.0	0.45
12/04/2017	TURNER, JOSH	AM FUNDS NEW PERSPECTIVE A	30.24	0.30	0.00	0.30	90.0	0.27
12/04/2017	TURNER, JOSH	AM FUNDS NEW PERSPECTIVE A	30.26	0.30	0.00	0.30	90.0	0.27
12/04/2017	MURPHY, MELISSA	AM FUNDS NEW PERSPECTIVE A	33.00	0.33	0.00	0.33	90.0	0.30
12/04/2017	MURPHY, MELISSA	AM FUNDS NEW PERSPECTIVE A	208.20	2.08	0.00	2.08	90.0	1.87
12/04/2017	ROBINETT, CHARISSA	AM FUNDS NEW PERSPECTIVE A	54.32	0.54	0.00	0.54	90.0	0.49
12/04/2017	ROBINETT, CHARISSA	AM FUNDS NEW PERSPECTIVE A	54.32	0.54	0.00	0.54	90.0	0.49
12/04/2017	VICTOR, THOMAS	AM FUNDS NEW PERSPECTIVE A	27.01	0.27	0.00	0.27	90.0	0.24
12/04/2017	VICTOR, THOMAS	AM FUNDS NEW PERSPECTIVE A	27.01	0.27	0.00	0.27	90.0	0.24
12/04/2017	TURNER, COREY	AM FUNDS NEW PERSPECTIVE A	41.25	0.41	0.00	0.41	90.0	0.37
12/04/2017	TURNER, COREY	AM FUNDS NEW PERSPECTIVE A	260.25	2.60	0.00	2.60	90.0	2.34
11/20/2017	GAMM, SKYLAR	AM FUNDS NEW PERSPECTIVE C	2,000.00	20.00	0.00	20.00	90.0	18.00
11/20/2017	GATTORNA, MICHAEL	AM FUNDS NEW WORLD A	29.27	0.29	0.00	0.29	90.0	0.26
11/20/2017	GATTORNA, MICHAEL	AM FUNDS NEW WORLD A	29.27	0.29	0.00	0.29	90.0	0.26
12/04/2017	EULTGEN, VICKI	AM FUNDS NEW WORLD A	14.11	0.14	0.00	0.14	90.0	0.13
12/04/2017	EULTGEN, VICKI	AM FUNDS NEW WORLD A	25.00	0.25	0.00	0.25	90.0	0.23
12/04/2017	TURNER, JOSH	AM FUNDS NEW WORLD A	30.26	0.30	0.00	0.30	90.0	0.27
12/04/2017	TURNER, JOSH	AM FUNDS NEW WORLD A	30.26	0.30	0.00	0.30	90.0	0.27
12/04/2017	MURPHY, MELISSA	AM FUNDS NEW WORLD A	8.25	0.08	0.00	0.08	90.0	0.07
12/04/2017	MURPHY, MELISSA	AM FUNDS NEW WORLD A	52.05	0.52	0.00	0.52	90.0	0.47
12/04/2017	MURPHY, MICHAEL	AM FUNDS NEW WORLD A	82.50	0.83	0.00	0.83	90.0	0.75
12/04/2017	MURPHY, MICHAEL	AM FUNDS NEW WORLD A	520.50	5.21	0.00	5.21	90.0	4.69

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<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
12/04/2017	VICTOR, THOMAS	AM FUNDS NEW WORLD A	27.00	0.27	0.00	0.27	90.0	0.24
12/04/2017	VICTOR, THOMAS	AM FUNDS NEW WORLD A	27.00	0.27	0.00	0.27	90.0	0.24
12/04/2017	TURNER, COREY	AM FUNDS NEW WORLD A	41.25	0.41	0.00	0.41	90.0	0.37
12/04/2017	TURNER, COREY	AM FUNDS NEW WORLD A	260.25	2.60	0.00	2.60	90.0	2.34
12/04/2017	RYAN, MATTHEW	AM FUNDS NEW WORLD A	67.50	0.68	0.00	0.68	90.0	0.61
12/04/2017	RYAN, MATTHEW	AM FUNDS NEW WORLD A	67.50	0.68	0.00	0.68	90.0	0.61
11/20/2017	GAMM, SKYLAR	AM FUNDS NEW WORLD C	2,000.00	20.00	0.00	20.00	90.0	18.00
11/20/2017	REDDICK, RYAN	AM FUNDS SMALLCAP WORLD A	53.46	0.53	0.00	0.53	90.0	0.48
11/20/2017	REDDICK, RYAN	AM FUNDS SMALLCAP WORLD A	53.46	0.53	0.00	0.53	90.0	0.48
11/20/2017	STAES, SAMUEL	AM FUNDS SMALLCAP WORLD A	16.80	0.17	0.00	0.17	90.0	0.15
11/20/2017	STAES, SAMUEL	AM FUNDS SMALLCAP WORLD A	33.60	0.34	0.00	0.34	90.0	0.31
12/04/2017	EULTGEN, VICKI	AM FUNDS SMALLCAP WORLD A	14.11	0.14	0.00	0.14	90.0	0.13
12/04/2017	EULTGEN, VICKI	AM FUNDS SMALLCAP WORLD A	25.00	0.25	0.00	0.25	90.0	0.23
12/04/2017	TURNER, JOSH	AM FUNDS SMALLCAP WORLD A	30.26	0.30	0.00	0.30	90.0	0.27
12/04/2017	TURNER, JOSH	AM FUNDS SMALLCAP WORLD A	30.26	0.30	0.00	0.30	90.0	0.27
12/04/2017	MURPHY, MELISSA	AM FUNDS SMALLCAP WORLD A	16.50	0.17	0.00	0.17	90.0	0.15
12/04/2017	MURPHY, MELISSA	AM FUNDS SMALLCAP WORLD A	104.10	1.04	0.00	1.04	90.0	0.94
12/04/2017	VICTOR, THOMAS	AM FUNDS SMALLCAP WORLD A	27.01	0.27	0.00	0.27	90.0	0.24
12/04/2017	VICTOR, THOMAS	AM FUNDS SMALLCAP WORLD A	27.01	0.27	0.00	0.27	90.0	0.24
12/04/2017	TURNER, COREY	AM FUNDS SMALLCAP WORLD A	41.25	0.41	0.00	0.41	90.0	0.37
12/04/2017	TURNER, COREY	AM FUNDS SMALLCAP WORLD A	260.25	2.60	0.00	2.60	90.0	2.34
12/04/2017	HOLTKAMP, MARIGENE	AM FUNDS U.S. GOVERNMENT SECURITIES	78.01	0.78	0.00	0.78	90.0	0.70
12/04/2017	HOLTKAMP, MARIGENE	AM FUNDS U.S. GOVERNMENT SECURITIES	375.00	3.75	0.00	3.75	90.0	3.38
11/20/2017	GRIFFIN, AMANDA	AM FUNDS WASHINGTON MUTUAL INVESTOR	30.78	0.31	0.00	0.31	90.0	0.28
11/20/2017	GRIFFIN, AMANDA	AM FUNDS WASHINGTON MUTUAL INVESTOR	30.78	0.31	0.00	0.31	90.0	0.28
12/04/2017	TOMPKINS, ERIKA	AM FUNDS WASHINGTON MUTUAL INVESTOR	103.51	1.04	0.00	1.04	90.0	0.94
12/04/2017	TOMPKINS, ERIKA	AM FUNDS WASHINGTON MUTUAL INVESTOR	172.52	1.73	0.00	1.73	90.0	1.56
* MUTUAL FUNDS SUBTOTAL *			\$17,935.51	\$191.35	\$0.00	\$191.35		\$172.32
<u>PRODUCT CATEGORY: VARIABLE ANNUITIES</u>								
11/30/2017	PAGE, BRIAN	JNL ELITE ACCESS W/ LIQUIDITY	12,654.00	10.54	0.00	10.54	90.0	9.49
11/30/2017	ANDING, MARY DIANE	JNL PERSPECTIVE II 04/14	100,265.60	41.78	0.00	41.78	90.0	37.60
11/30/2017	STEWART, SHEILA	JNL PERSPECTIVE II 04/14	253,007.01	105.42	0.00	105.42	90.0	94.88
11/30/2017	DEAN GUIER INC	JNL PERSPECTIVE II 04/14	197,919.41	82.47	0.00	82.47	90.0	74.22

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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: VARIABLE ANNUITIES</u>								
11/30/2017	GUIER, CARROL	JNL PERSPECTIVE II 04/14	24,842.86	10.35	0.00	10.35	90.0	9.32
11/30/2017	CALLIS, CHARLES	JNL PERSPECTIVE II 05/05	29,569.36	12.32	0.00	12.32	90.0	11.09
11/30/2017	OWEN, ERNEST	JNL PERSPECTIVE II 05/05	147,442.36	61.43	0.00	61.43	90.0	55.29
11/30/2017	OSSMAN, ED	JNL PERSPECTIVE II 05/05	59,821.95	24.93	0.00	24.93	90.0	22.44
11/30/2017	OSSMAN, EDWARD	JNL PERSPECTIVE II 05/05	28,213.42	11.76	0.00	11.76	90.0	10.58
11/30/2017	OSSMAN, EDWARD	JNL PERSPECTIVE II 05/05	159,711.76	66.55	0.00	66.55	90.0	59.90
11/30/2017	MARK, RICHARD GEORGE	JNL PERSPECTIVE II 05/05	96,517.69	40.22	0.00	40.22	90.0	36.20
11/30/2017	LANGE, ARLEN	JNL PERSPECTIVE II 05/05	130,574.80	54.41	0.00	54.41	90.0	48.97
11/30/2017	MCBRIDE, KENNETH	JNL PERSPECTIVE II 05/05	293,056.10	122.11	0.00	122.11	90.0	109.90
11/30/2017	ANDING, MARY DIANE	JNL PERSPECTIVE II 05/05	221,086.43	92.12	0.00	92.12	90.0	82.91
11/29/2017	SCOFIELD, ROBERT	SBL ADVISORDESIGNS VA	10,315.32	8.60	0.00	8.60	90.0	7.74
11/29/2017	BENNETT, MILDRED	SBL ADVISORDESIGNS VA	100,761.41	83.97	0.00	83.97	90.0	75.57
11/29/2017	DOWNS, JAMES	SBL ADVISORDESIGNS VA	39,224.92	32.68	0.00	32.68	90.0	29.41
11/29/2017	ANDERSON, CHERRI	SBL ADVISORDESIGNS VA	28,373.19	23.64	0.00	23.64	90.0	21.28
11/29/2017	KLANG, MARCHEA	SBL ADVISORDESIGNS VA	110,930.38	92.44	0.00	92.44	90.0	83.20
11/29/2017	KLANG, MARCHEA	SBL ADVISORDESIGNS VA	96,658.15	80.55	0.00	80.55	90.0	72.50
11/29/2017	LEE, HOWARD	SBL SECUREDESIGNS VA	264,082.72	55.02	0.00	55.02	90.0	49.52
* VARIABLE ANNUITIES SUBTOTAL *			\$2,405,028.84	\$1,113.31	\$0.00	\$1,113.31		\$1,002.01
<u>PRODUCT CATEGORY: VARIABLE UNIVERSAL LIFE</u>								
11/20/2017	HALL, ELLEN	PAC LIFE VUL	0.00	1.00	0.00	1.00	90.0	0.90
11/20/2017	GRIFFITH, CHERYL	PAC LIFE VUL	0.00	1.00	0.00	1.00	90.0	0.90
11/20/2017	PATTISON, CHRISTINE	PAC LIFE VUL	0.00	6.00	0.00	6.00	90.0	5.40
11/20/2017	GAMM, SKYLAR	PAC LIFE VUL	0.00	2.83	0.00	2.83	90.0	2.55
11/20/2017	GAMM, SKYLAR	PAC LIFE VUL	0.00	40.26	0.00	40.26	90.0	36.23
11/20/2017	GAMM, SKYLAR	PAC LIFE VUL	0.00	0.09	0.00	0.09	90.0	0.08
11/20/2017	GAMM, SKYLAR	PAC LIFE VUL	0.00	5.13	0.00	5.13	90.0	4.62
11/22/2017	ELLIOTT, MITCHELL	PAC LIFE VUL	0.00	3.00	0.00	3.00	90.0	2.70
11/24/2017	KING, CALEB	PAC LIFE VUL	0.00	0.60	0.00	0.60	90.0	0.54
11/24/2017	JONES, KAREN	PAC LIFE VUL	0.00	1.50	0.00	1.50	90.0	1.35
11/27/2017	JONES, KENNETH	PAC LIFE VUL	0.00	0.69	0.00	0.69	90.0	0.62
11/27/2017	JONES, KENNETH	PAC LIFE VUL	0.00	0.51	0.00	0.51	90.0	0.46
11/27/2017	ADAMS, GREGORY	PAC LIFE VUL	0.00	3.00	0.00	3.00	90.0	2.70
11/27/2017	ADAMS, ASHLEY	PAC LIFE VUL	0.00	2.00	0.00	2.00	90.0	1.80

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<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: VARIABLE UNIVERSAL LIFE</u>								
11/27/2017	GRIFFIN, AMANDA	PAC LIFE VUL	0.00	1.36	0.00	1.36	90.0	1.22
11/27/2017	GRIFFIN, AMANDA	PAC LIFE VUL	0.00	0.76	0.00	0.76	90.0	0.68
11/27/2017	ADAMS, JAXON	PAC LIFE VUL	0.00	1.00	0.00	1.00	90.0	0.90
12/01/2017	KAUFMAN, KIMBERLY	PAC LIFE VUL	0.00	1.50	0.00	1.50	90.0	1.35
12/01/2017	REDDICK, RYAN	PAC LIFE VUL	0.00	1.00	0.00	1.00	90.0	0.90
* VARIABLE UNIVERSAL LIFE SUBTOTAL *			\$0.00	\$73.23	\$0.00	\$73.23		\$65.90
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
12/01/2017	WRAY, JOANN	AM FUNDS 2030 TARGET DATE-A	0.00	74.64	0.00	74.64	90.0	67.18
12/01/2017	HILL, KALIA	AM FUNDS 2045 TARGET DATE-A	0.00	5.48	0.00	5.48	90.0	4.93
12/01/2017	TAYLOR, LOIS	AM FUNDS 2045 TARGET DATE-A	0.00	9.78	0.00	9.78	90.0	8.80
12/01/2017	PATTY, MINDI	AM FUNDS 2045 TARGET DATE-A	0.00	0.50	0.00	0.50	90.0	0.45
12/01/2017	CATO, ANDREW	AM FUNDS 2050 TARGET DATE-A	0.00	2.36	0.00	2.36	90.0	2.12
12/01/2017	WESTBROOK, AMANDA	AM FUNDS 2055 TARGET DATE-A	0.00	2.21	0.00	2.21	90.0	1.99
12/01/2017	REDDICK, RYAN	AM FUNDS AMERICAN BALANCED 529A	0.00	6.52	0.00	6.52	90.0	5.87
12/01/2017	PATTISON, CHRISTINE	AM FUNDS AMERICAN BALANCED 529C	0.00	3.84	0.00	3.84	90.0	3.46
12/01/2017	HOSTETTER MO/TOD, VICKI	AM FUNDS AMERICAN BALANCED A	0.00	7.80	0.00	7.80	90.0	7.02
12/01/2017	ANDING, MARY DIANE	AM FUNDS AMERICAN BALANCED A	0.00	198.46	0.00	198.46	90.0	178.61
12/01/2017	REDDICK, RYAN	AM FUNDS AMERICAN BALANCED A	0.00	0.20	0.00	0.20	90.0	0.18
12/01/2017	GUIER, CARROL	AM FUNDS AMERICAN BALANCED A	0.00	240.54	0.00	240.54	90.0	216.49
12/01/2017	PRATER, RAMONA	AM FUNDS AMERICAN BALANCED A	0.00	0.19	0.00	0.19	90.0	0.17
12/01/2017	NOWLIN, STACEY	AM FUNDS AMERICAN BALANCED A	0.00	2.40	0.00	2.40	90.0	2.16
12/01/2017	PATTISON, CHRISTINE	AM FUNDS AMERICAN BALANCED A	0.00	44.94	0.00	44.94	90.0	40.45
12/01/2017	WHEAT, KATHLEEN	AM FUNDS AMERICAN BALANCED A	0.00	10.60	0.00	10.60	90.0	9.54
12/01/2017	OSSMAN, ED	AM FUNDS AMERICAN BALANCED A	0.00	93.15	0.00	93.15	90.0	83.84
12/01/2017	FRIEDERICH, JOHN	AM FUNDS AMERICAN BALANCED A	0.00	38.20	0.00	38.20	90.0	34.38
12/01/2017	ALLEN, MICHELLE	AM FUNDS AMERICAN BALANCED A	0.00	4.29	0.00	4.29	90.0	3.86
12/01/2017	GUIER, GREGORY	AM FUNDS AMERICAN BALANCED A	0.00	26.75	0.00	26.75	90.0	24.08
12/01/2017	KILEY, TERRANCE	AM FUNDS AMERICAN BALANCED A	0.00	1.62	0.00	1.62	90.0	1.46
12/01/2017	OWEN, ERNEST	AM FUNDS AMERICAN BALANCED A	0.00	5.25	0.00	5.25	90.0	4.73
12/01/2017	GRIFFITH, CHERYL	AM FUNDS AMERICAN BALANCED A	0.00	37.05	0.00	37.05	90.0	33.35
12/01/2017	GRIFFITH, CHERYL	AM FUNDS AMERICAN BALANCED A	0.00	6.61	0.00	6.61	90.0	5.95
12/01/2017	GRIFFIN, AMANDA	AM FUNDS AMERICAN BALANCED A	0.00	0.83	0.00	0.83	90.0	0.75
12/01/2017	BLODGETT, TAMMY	AM FUNDS AMERICAN BALANCED A	0.00	11.95	0.00	11.95	90.0	10.76

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<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
12/01/2017	BAUER, MATTHEW	AM FUNDS AMERICAN BALANCED A	0.00	0.18	0.00	0.18	90.0	0.16
12/01/2017	SCHAUMBURG, JEFFREY	AM FUNDS AMERICAN BALANCED A	0.00	8.50	0.00	8.50	90.0	7.65
12/01/2017	HALL, ELLEN	AM FUNDS AMERICAN BALANCED A	0.00	48.77	0.00	48.77	90.0	43.89
12/01/2017	GRIMSHAW, ROBERT	AM FUNDS AMERICAN BALANCED A	0.00	35.63	0.00	35.63	90.0	32.07
12/01/2017	DOWNS, SUZANNE	AM FUNDS AMERICAN BALANCED A	0.00	13.21	0.00	13.21	90.0	11.89
12/01/2017	MILES, JACK	AM FUNDS AMERICAN BALANCED A	0.00	10.13	0.00	10.13	90.0	9.12
12/01/2017	HALL, HAROLD	AM FUNDS AMERICAN BALANCED A	0.00	21.67	0.00	21.67	90.0	19.50
12/01/2017	WILMSMEYER, CHRISTA	AM FUNDS AMERICAN BALANCED A	0.00	2.86	0.00	2.86	90.0	2.57
12/01/2017	BARROW, KAREN	AM FUNDS AMERICAN BALANCED A	0.00	18.35	0.00	18.35	90.0	16.52
12/01/2017	JENNINGS, MARY	AM FUNDS AMERICAN BALANCED A	0.00	84.48	0.00	84.48	90.0	76.03
12/01/2017	SAUSAMAN, URSULA	AM FUNDS AMERICAN BALANCED A	0.00	10.91	0.00	10.91	90.0	9.82
12/01/2017	JORDENING, LYNN	AM FUNDS AMERICAN BALANCED A	0.00	38.79	0.00	38.79	90.0	34.91
12/01/2017	JORDENING TRUST, PAUL	AM FUNDS AMERICAN BALANCED A	0.00	31.46	0.00	31.46	90.0	28.31
12/01/2017	GUSTAFSON, KENNETH	AM FUNDS AMERICAN BALANCED A	0.00	1.38	0.00	1.38	90.0	1.24
12/01/2017	FANGMAN, ROGER	AM FUNDS AMERICAN BALANCED A	0.00	6.68	0.00	6.68	90.0	6.01
12/01/2017	STEWART, SHEILA	AM FUNDS AMERICAN BALANCED A	0.00	6.01	0.00	6.01	90.0	5.41
12/01/2017	DEUSCHLE, KIMBERLY	AM FUNDS AMERICAN BALANCED A	0.00	12.84	0.00	12.84	90.0	11.56
12/01/2017	BLISS, REBECCA	AM FUNDS AMERICAN BALANCED A	0.00	15.02	0.00	15.02	90.0	13.52
12/01/2017	LEMON, GLEE	AM FUNDS AMERICAN BALANCED A	0.00	22.22	0.00	22.22	90.0	20.00
12/01/2017	DEBRA, PRICE	AM FUNDS AMERICAN BALANCED A	0.00	20.51	0.00	20.51	90.0	18.46
12/01/2017	THOMAS, DAVID	AM FUNDS AMERICAN BALANCED A	0.00	17.60	0.00	17.60	90.0	15.84
12/01/2017	THOMAS, DAVID	AM FUNDS AMERICAN BALANCED A	0.00	40.73	0.00	40.73	90.0	36.66
12/01/2017	TURNER, GARY	AM FUNDS AMERICAN BALANCED A	0.00	44.29	0.00	44.29	90.0	39.86
12/01/2017	MEDLEY, LISA	AM FUNDS AMERICAN BALANCED A	0.00	1.62	0.00	1.62	90.0	1.46
12/01/2017	ELDER, RONALD	AM FUNDS AMERICAN BALANCED A	0.00	192.65	0.00	192.65	90.0	173.39
12/01/2017	ANDREWS, SAMUEL	AM FUNDS AMERICAN BALANCED A	0.00	3.73	0.00	3.73	90.0	3.36
12/01/2017	TURNER, GARY	AM FUNDS AMERICAN BALANCED A	0.00	174.69	0.00	174.69	90.0	157.22
12/01/2017	HILDEBRAND, TERRANCE	AM FUNDS AMERICAN BALANCED A	0.00	38.61	0.00	38.61	90.0	34.75
12/01/2017	HILDABRAND, ALVENA	AM FUNDS AMERICAN BALANCED A	0.00	8.98	0.00	8.98	90.0	8.08
12/01/2017	STEVENSON, DAVID	AM FUNDS AMERICAN BALANCED A	0.00	25.67	0.00	25.67	90.0	23.10
12/01/2017	STEVENSON, DAVID	AM FUNDS AMERICAN BALANCED A	0.00	10.10	0.00	10.10	90.0	9.09
12/01/2017	ROBINETT, CHARISSA	AM FUNDS AMERICAN BALANCED A	0.00	7.04	0.00	7.04	90.0	6.34
12/01/2017	MOODY, SHARON	AM FUNDS AMERICAN BALANCED A	0.00	30.99	0.00	30.99	90.0	27.89

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<u>DIRECT TRANSACTIONS</u>								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS								
12/01/2017	SCOGGINS, CLAIRE	AM FUNDS AMERICAN BALANCED A	0.00	32.78	0.00	32.78	90.0	29.50
12/01/2017	RICHARDSON, MICHAEL	AM FUNDS AMERICAN BALANCED A	0.00	28.08	0.00	28.08	90.0	25.27
12/01/2017	VESTAL, SHARLEE	AM FUNDS AMERICAN BALANCED A	0.00	51.21	0.00	51.21	90.0	46.09
12/01/2017	GREEN, PATRICIA	AM FUNDS AMERICAN BALANCED A	0.00	66.11	0.00	66.11	90.0	59.50
12/01/2017	LEWIS, CAROL	AM FUNDS AMERICAN BALANCED A	0.00	23.14	0.00	23.14	90.0	20.83
12/01/2017	ELDRIDGE, DEE	AM FUNDS AMERICAN BALANCED A	0.00	75.21	0.00	75.21	90.0	67.69
12/01/2017	ELDER, RONALD	AM FUNDS AMERICAN BALANCED A	0.00	13.68	0.00	13.68	90.0	12.31
12/01/2017	CALLIS, CHARLES	AM FUNDS AMERICAN BALANCED A	0.00	28.01	0.00	28.01	90.0	25.21
12/01/2017	BOWERSOX, ZONA	AM FUNDS AMERICAN BALANCED A	0.00	40.88	0.00	40.88	90.0	36.79
12/01/2017	BOWERSOX, ROVEY	AM FUNDS AMERICAN BALANCED A	0.00	40.88	0.00	40.88	90.0	36.79
12/01/2017	MATTMANN, ROBERT	AM FUNDS AMERICAN BALANCED A	0.00	13.50	0.00	13.50	90.0	12.15
12/01/2017	CO/TOD	AM FUNDS AMERICAN BALANCED A	0.00	30.71	0.00	30.71	90.0	27.64
12/01/2017	WILMSMEYER, CHRISTA	AM FUNDS AMERICAN BALANCED C	0.00	140.95	0.00	140.95	90.0	126.86
12/01/2017	CLASSENS, KRYSTA	AM FUNDS AMERICAN MUTUAL A	0.00	10.07	0.00	10.07	90.0	9.06
12/01/2017	MCNERNEY, DAN	AM FUNDS AMERICAN MUTUAL A	0.00	25.26	0.00	25.26	90.0	22.73
12/01/2017	GODAR, LOUISE	AM FUNDS BALANCED PORT A	0.00	1.68	0.00	1.68	90.0	1.51
12/01/2017	SMITH, KELLI	AM FUNDS BALANCED PORT A	0.00	1.06	0.00	1.06	90.0	0.95
12/01/2017	DANIELS, SCIPIO	AM FUNDS BALANCED PORT A	0.00	0.11	0.00	0.11	90.0	0.10
12/01/2017	JOHNSON, STANLEY	AM FUNDS BALANCED PORT A	0.00	17.63	0.00	17.63	90.0	15.87
12/01/2017	MEDLEY, LISA	AM FUNDS BALANCED PORT A	0.00	156.21	0.00	156.21	90.0	140.59
12/01/2017	GUIER, GREGORY	AM FUNDS BOND FUND OF AMERICA A	0.00	24.94	0.00	24.94	90.0	22.45
12/01/2017	GRIMSHAW, ROBERT	AM FUNDS BOND FUND OF AMERICA A	0.00	29.54	0.00	29.54	90.0	26.59
12/01/2017	DOWNS, SUZANNE	AM FUNDS BOND FUND OF AMERICA A	0.00	11.00	0.00	11.00	90.0	9.90
12/01/2017	FANGMAN, ROGER	AM FUNDS BOND FUND OF AMERICA A	0.00	3.52	0.00	3.52	90.0	3.17
12/01/2017	ELDRIDGE, DEE	AM FUNDS CAPITAL INCOME BUILDER A	0.00	21.56	0.00	21.56	90.0	19.40
12/01/2017	OSSMAN, ED	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	11.88	0.00	11.88	90.0	10.69
12/01/2017	FRIEDERICH, JOHN	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	5.60	0.00	5.60	90.0	5.04
12/01/2017	MCNERNEY, DAN	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	17.65	0.00	17.65	90.0	15.89
12/01/2017	CALLIS, ANNIS	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	6.46	0.00	6.46	90.0	5.81
12/01/2017	JORDENING, LYNN	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	75.53	0.00	75.53	90.0	67.98
12/01/2017	WILMSMEYER, CHRISTA	AM FUNDS CAPITAL WORLD GRTH & INC C	0.00	17.10	0.00	17.10	90.0	15.39
12/01/2017	HOSTETTER MO/TOD, VICKI	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	5.28	0.00	5.28	90.0	4.75
12/01/2017	STALEY, JOSELYN	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	2.45	0.00	2.45	90.0	2.21

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<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
12/01/2017	REDDICK, RYAN	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	8.12	0.00	8.12	90.0	7.31
12/01/2017	GUIER, CARROL	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	0.70	0.00	0.70	90.0	0.63
12/01/2017	GUIER, PAULA	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	2.72	0.00	2.72	90.0	2.45
12/01/2017	SEYER, MARY	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	6.70	0.00	6.70	90.0	6.03
12/01/2017	MIDDLETON, M	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	0.17	0.00	0.17	90.0	0.15
12/01/2017	CLASSENS, KRYSTA	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	6.61	0.00	6.61	90.0	5.95
12/01/2017	MCNERNEY, DAN	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	11.47	0.00	11.47	90.0	10.32
12/01/2017	GRIFFITH, CHERYL	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	2.55	0.00	2.55	90.0	2.30
12/01/2017	KAUFMAN, JEFFREY	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	2.55	0.00	2.55	90.0	2.30
12/01/2017	GRIFFIN, SHAWN	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	7.64	0.00	7.64	90.0	6.88
12/01/2017	MANGUS, DANIEL	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	4.14	0.00	4.14	90.0	3.73
12/01/2017	CROWLEY, MICHA	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	29.15	0.00	29.15	90.0	26.24
12/01/2017	MATTMANN, ROBERT	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	0.97	0.00	0.97	90.0	0.87
12/01/2017	STALEY, JOSELYN	AM FUNDS EUROPACIFIC GROWTH FUND C	0.00	7.74	0.00	7.74	90.0	6.97
12/01/2017	STALEY, JOSELYN	AM FUNDS EUROPACIFIC GROWTH FUND F1	0.00	0.29	0.00	0.29	90.0	0.26
12/01/2017	ELDRIDGE, DEE	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	30.62	0.00	30.62	90.0	27.56
12/01/2017	REDDICK, RYAN	AM FUNDS GLOBAL BALANCED 529A	0.00	5.92	0.00	5.92	90.0	5.33
12/01/2017	SEYER, MARY	AM FUNDS GLOBAL BALANCED A	0.00	14.67	0.00	14.67	90.0	13.20
12/01/2017	CROWLEY, MICHA	AM FUNDS GLOBAL BALANCED A	0.00	8.07	0.00	8.07	90.0	7.26
12/01/2017	HALL, ELLEN	AM FUNDS GLOBAL BALANCED A	0.00	17.34	0.00	17.34	90.0	15.61
12/01/2017	GRIMSHAW, ROBERT	AM FUNDS GLOBAL BALANCED A	0.00	31.17	0.00	31.17	90.0	28.05
12/01/2017	MILES, JACK	AM FUNDS GLOBAL BALANCED A	0.00	8.86	0.00	8.86	90.0	7.97
12/01/2017	HALL, HAROLD	AM FUNDS GLOBAL BALANCED A	0.00	19.03	0.00	19.03	90.0	17.13
12/01/2017	SAUSAMAN, URSULA	AM FUNDS GLOBAL BALANCED A	0.00	10.15	0.00	10.15	90.0	9.14
12/01/2017	JORDENING, POLLY	AM FUNDS GLOBAL BALANCED A	0.00	80.15	0.00	80.15	90.0	72.14
12/01/2017	JORDENING TRUST, PAUL	AM FUNDS GLOBAL BALANCED A	0.00	30.29	0.00	30.29	90.0	27.26
12/01/2017	STEWART, SHEILA	AM FUNDS GLOBAL BALANCED A	0.00	6.07	0.00	6.07	90.0	5.46
12/01/2017	DEUSCHLE, KIMBERLY	AM FUNDS GLOBAL BALANCED A	0.00	12.46	0.00	12.46	90.0	11.21
12/01/2017	TURNER, GARY	AM FUNDS GLOBAL BALANCED A	0.00	45.53	0.00	45.53	90.0	40.98
12/01/2017	ROBINETT, CHARISSA	AM FUNDS GLOBAL BALANCED A	0.00	7.06	0.00	7.06	90.0	6.35
12/01/2017	LIGHT, LUELLA	AM FUNDS GLOBAL BALANCED A	0.00	20.45	0.00	20.45	90.0	18.41
12/01/2017	MOODY, DAVID	AM FUNDS GLOBAL BALANCED A	0.00	8.75	0.00	8.75	90.0	7.88
12/01/2017	ELDRIDGE, DEE	AM FUNDS GLOBAL BALANCED A	0.00	31.75	0.00	31.75	90.0	28.58

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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>								
12/01/2017	ELDER, RONALD	AM FUNDS GLOBAL BALANCED A	0.00	13.25	0.00	13.25	90.0	11.93
12/01/2017	MCNERNEY, DAN	AM FUNDS GROWTH AND INCOME A	0.00	46.88	0.00	46.88	90.0	42.19
12/01/2017	BROCKSMITH, RACHEL	AM FUNDS GROWTH AND INCOME A	0.00	8.81	0.00	8.81	90.0	7.93
12/01/2017	PRATER, RAMONA	AM FUNDS GROWTH FUND OF AMERICA 529	0.00	1.99	0.00	1.99	90.0	1.79
12/01/2017	REDDICK, RYAN	AM FUNDS GROWTH FUND OF AMERICA 529	0.00	7.59	0.00	7.59	90.0	6.83
12/01/2017	ANDING, MARY DIANE	AM FUNDS GROWTH FUND OF AMERICA 529	0.00	0.80	0.00	0.80	90.0	0.72
12/01/2017	ANDING, MARY DIANE	AM FUNDS GROWTH FUND OF AMERICA 529	0.00	0.80	0.00	0.80	90.0	0.72
12/01/2017	ANDING, MARY DIANE	AM FUNDS GROWTH FUND OF AMERICA 529	0.00	0.80	0.00	0.80	90.0	0.72
12/01/2017	MCNERNEY, DAN	AM FUNDS GROWTH FUND OF AMERICA 529	0.00	8.02	0.00	8.02	90.0	7.22
12/01/2017	GUIER, CLINT	AM FUNDS GROWTH FUND OF AMERICA A	0.00	75.32	0.00	75.32	90.0	67.79
12/01/2017	REDDICK, RYAN	AM FUNDS GROWTH FUND OF AMERICA A	0.00	28.41	0.00	28.41	90.0	25.57
12/01/2017	GUIER, CARROL	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.96	0.00	0.96	90.0	0.86
12/01/2017	GUIER, PAULA	AM FUNDS GROWTH FUND OF AMERICA A	0.00	3.61	0.00	3.61	90.0	3.25
12/01/2017	STALEY, JOSELYN	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.28	0.00	0.28	90.0	0.25
12/01/2017	GUIER, JENNIFER	AM FUNDS GROWTH FUND OF AMERICA A	0.00	61.64	0.00	61.64	90.0	55.48
12/01/2017	REDDICK, RYAN	AM FUNDS GROWTH FUND OF AMERICA A	0.00	6.82	0.00	6.82	90.0	6.14
12/01/2017	GRIFFIN, AMANDA	AM FUNDS GROWTH FUND OF AMERICA A	0.00	9.48	0.00	9.48	90.0	8.53
12/01/2017	NOWLIN, STACEY	AM FUNDS GROWTH FUND OF AMERICA A	0.00	2.47	0.00	2.47	90.0	2.22
12/01/2017	PATTISON, CHRISTINE	AM FUNDS GROWTH FUND OF AMERICA A	0.00	39.88	0.00	39.88	90.0	35.89
12/01/2017	SEYER, MARY	AM FUNDS GROWTH FUND OF AMERICA A	0.00	16.91	0.00	16.91	90.0	15.22
12/01/2017	STALEY, JOSELYN	AM FUNDS GROWTH FUND OF AMERICA A	0.00	6.17	0.00	6.17	90.0	5.55
12/01/2017	MIDDLETON, M	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.17	0.00	0.17	90.0	0.15
12/01/2017	CLASSENS, KRYSTA	AM FUNDS GROWTH FUND OF AMERICA A	0.00	8.32	0.00	8.32	90.0	7.49
12/01/2017	WHEAT, KATHLEEN	AM FUNDS GROWTH FUND OF AMERICA A	0.00	9.38	0.00	9.38	90.0	8.44
12/01/2017	KEMBLE, CARA	AM FUNDS GROWTH FUND OF AMERICA A	0.00	2.55	0.00	2.55	90.0	2.30
12/01/2017	CALLIS, EMILY	AM FUNDS GROWTH FUND OF AMERICA A	0.00	5.99	0.00	5.99	90.0	5.39
12/01/2017	CALLIS, CHAD	AM FUNDS GROWTH FUND OF AMERICA A	0.00	5.21	0.00	5.21	90.0	4.69
12/01/2017	MCNERNEY, DAN	AM FUNDS GROWTH FUND OF AMERICA A	0.00	15.96	0.00	15.96	90.0	14.36
12/01/2017	CRANE, MISTY	AM FUNDS GROWTH FUND OF AMERICA A	0.00	5.87	0.00	5.87	90.0	5.28
12/01/2017	GUIER, GREGORY	AM FUNDS GROWTH FUND OF AMERICA A	0.00	28.55	0.00	28.55	90.0	25.70
12/01/2017	TWEHOUS, NOLAN	AM FUNDS GROWTH FUND OF AMERICA A	0.00	5.21	0.00	5.21	90.0	4.69
12/01/2017	KILEY, TERRANCE	AM FUNDS GROWTH FUND OF AMERICA A	0.00	1.83	0.00	1.83	90.0	1.65
12/01/2017	GUIER, GRACIE	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.73	0.00	0.73	90.0	0.66

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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>								
12/01/2017	GRIFFITH, CHERYL	AM FUNDS GROWTH FUND OF AMERICA A	0.00	7.99	0.00	7.99	90.0	7.19
12/01/2017	KAUFMAN, JEFFREY	AM FUNDS GROWTH FUND OF AMERICA A	0.00	7.99	0.00	7.99	90.0	7.19
12/01/2017	CROWLEY, MICHA	AM FUNDS GROWTH FUND OF AMERICA A	0.00	11.77	0.00	11.77	90.0	10.59
12/01/2017	GRIFFIN, AMANDA	AM FUNDS GROWTH FUND OF AMERICA A	0.00	9.36	0.00	9.36	90.0	8.42
12/01/2017	GRIFFIN, SHAWN	AM FUNDS GROWTH FUND OF AMERICA A	0.00	14.36	0.00	14.36	90.0	12.92
12/01/2017	TAYLOR, LOIS	AM FUNDS GROWTH FUND OF AMERICA A	0.00	15.91	0.00	15.91	90.0	14.32
12/01/2017	BLODGETT, TAMMY	AM FUNDS GROWTH FUND OF AMERICA A	0.00	1.63	0.00	1.63	90.0	1.47
12/01/2017	JOHNSON, RYAN	AM FUNDS GROWTH FUND OF AMERICA A	0.00	2.36	0.00	2.36	90.0	2.12
12/01/2017	BAUER, MATTHEW	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.40	0.00	0.40	90.0	0.36
12/01/2017	SUMMERS, AARON	AM FUNDS GROWTH FUND OF AMERICA A	0.00	3.73	0.00	3.73	90.0	3.36
12/01/2017	EICHHOLZ, JARED	AM FUNDS GROWTH FUND OF AMERICA A	0.00	2.38	0.00	2.38	90.0	2.14
12/01/2017	SCHAUMBURG, JEFFREY	AM FUNDS GROWTH FUND OF AMERICA A	0.00	10.42	0.00	10.42	90.0	9.38
12/01/2017	MANGUS, DANIEL	AM FUNDS GROWTH FUND OF AMERICA A	0.00	3.89	0.00	3.89	90.0	3.50
12/01/2017	KAUFMAN, KIMBERLY	AM FUNDS GROWTH FUND OF AMERICA A	0.00	22.96	0.00	22.96	90.0	20.66
12/01/2017	KAUFMAN, JEFFREY	AM FUNDS GROWTH FUND OF AMERICA A	0.00	23.33	0.00	23.33	90.0	21.00
12/01/2017	MARK, CHRISTOPHER	AM FUNDS GROWTH FUND OF AMERICA A	0.00	2.80	0.00	2.80	90.0	2.52
12/01/2017	BIETSCH, MATTHEW	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.84	0.00	0.84	90.0	0.76
12/01/2017	AHERN, OLIVIA	AM FUNDS GROWTH FUND OF AMERICA A	0.00	1.44	0.00	1.44	90.0	1.30
12/01/2017	GRIMSHAW, ROBERT	AM FUNDS GROWTH FUND OF AMERICA A	0.00	40.08	0.00	40.08	90.0	36.07
12/01/2017	KAUFMAN, ADAM	AM FUNDS GROWTH FUND OF AMERICA A	0.00	5.79	0.00	5.79	90.0	5.21
12/01/2017	DELEON, JISEFREDO	AM FUNDS GROWTH FUND OF AMERICA A	0.00	1.48	0.00	1.48	90.0	1.33
12/01/2017	WILMSMEYER, CHRISTA	AM FUNDS GROWTH FUND OF AMERICA A	0.00	5.58	0.00	5.58	90.0	5.02
12/01/2017	JOHNSON, MARK	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.09	0.00	0.09	90.0	0.08
12/01/2017	CROWLEY, MICHA	AM FUNDS GROWTH FUND OF AMERICA A	0.00	106.34	0.00	106.34	90.0	95.71
12/01/2017	THOMAS, VIRGIL	AM FUNDS GROWTH FUND OF AMERICA A	0.00	1.77	0.00	1.77	90.0	1.59
12/01/2017	MCKENZIE, JADA	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.96	0.00	0.96	90.0	0.86
12/01/2017	CARSON, MATTHEW	AM FUNDS GROWTH FUND OF AMERICA A	0.00	1.59	0.00	1.59	90.0	1.43
12/01/2017	SAUSAMAN, URSULA	AM FUNDS GROWTH FUND OF AMERICA A	0.00	7.31	0.00	7.31	90.0	6.58
12/01/2017	WIBBENMEYER, BRITTANY	AM FUNDS GROWTH FUND OF AMERICA A	0.00	1.85	0.00	1.85	90.0	1.67
12/01/2017	JORDENING, LYNN	AM FUNDS GROWTH FUND OF AMERICA A	0.00	42.13	0.00	42.13	90.0	37.92
12/01/2017	FANGMAN, ROGER	AM FUNDS GROWTH FUND OF AMERICA A	0.00	3.34	0.00	3.34	90.0	3.01
12/01/2017	DEUSCHLE, KIMBERLY	AM FUNDS GROWTH FUND OF AMERICA A	0.00	6.89	0.00	6.89	90.0	6.20
12/01/2017	COOK, GREG	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.04	0.00	0.04	90.0	0.04

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<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
12/01/2017	GATTORNA, MICHAEL	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.28	0.00	0.28	90.0	0.25
12/01/2017	MULLENIX, AMANDA	AM FUNDS GROWTH FUND OF AMERICA A	0.00	1.91	0.00	1.91	90.0	1.72
12/01/2017	DAVIDSON, DANIELLE	AM FUNDS GROWTH FUND OF AMERICA A	0.00	1.08	0.00	1.08	90.0	0.97
12/01/2017	KISER, ANDREA	AM FUNDS GROWTH FUND OF AMERICA A	0.00	1.36	0.00	1.36	90.0	1.22
12/01/2017	BURKHARDT, MORGAN	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.25	0.00	0.25	90.0	0.23
12/01/2017	EULTGEN, VICKI	AM FUNDS GROWTH FUND OF AMERICA A	0.00	16.77	0.00	16.77	90.0	15.09
12/01/2017	TURNER, JOSH	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.46	0.00	0.46	90.0	0.41
12/01/2017	MURPHY, MELISSA	AM FUNDS GROWTH FUND OF AMERICA A	0.00	16.76	0.00	16.76	90.0	15.08
12/01/2017	MURPHY, MICHAEL	AM FUNDS GROWTH FUND OF AMERICA A	0.00	27.32	0.00	27.32	90.0	24.59
12/01/2017	VICTOR, THOMAS	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.42	0.00	0.42	90.0	0.38
12/01/2017	TURNER, COREY	AM FUNDS GROWTH FUND OF AMERICA A	0.00	9.11	0.00	9.11	90.0	8.20
12/01/2017	RYAN, MATTHEW	AM FUNDS GROWTH FUND OF AMERICA A	0.00	1.63	0.00	1.63	90.0	1.47
12/01/2017	TOMPKINS, ERIKA	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.96	0.00	0.96	90.0	0.86
12/01/2017	TURNER, GARY	AM FUNDS GROWTH FUND OF AMERICA A	0.00	75.29	0.00	75.29	90.0	67.76
12/01/2017	UNZICKER, WILLIAM	AM FUNDS GROWTH FUND OF AMERICA A	0.00	1.08	0.00	1.08	90.0	0.97
12/01/2017	ROBINETT, CHARISSA	AM FUNDS GROWTH FUND OF AMERICA A	0.00	7.57	0.00	7.57	90.0	6.81
12/01/2017	LEHMAN, COLBY	AM FUNDS GROWTH FUND OF AMERICA A	0.00	1.01	0.00	1.01	90.0	0.91
12/01/2017	ELLIOTT, TIMOTHY	AM FUNDS GROWTH FUND OF AMERICA A	0.00	5.01	0.00	5.01	90.0	4.51
12/01/2017	MCNERNEY, DYLAN	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.53	0.00	0.53	90.0	0.48
12/01/2017	MOODY, DAVID	AM FUNDS GROWTH FUND OF AMERICA A	0.00	7.63	0.00	7.63	90.0	6.87
12/01/2017	HELMANDOLLAR, OLIVIA	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.67	0.00	0.67	90.0	0.60
12/01/2017	GREEN, PATRICIA	AM FUNDS GROWTH FUND OF AMERICA A	0.00	18.24	0.00	18.24	90.0	16.42
12/01/2017	ELDRIDGE, DEE	AM FUNDS GROWTH FUND OF AMERICA A	0.00	9.82	0.00	9.82	90.0	8.84
12/01/2017	STALEY, JOSELYN	AM FUNDS GROWTH FUND OF AMERICA C	0.00	1.54	0.00	1.54	90.0	1.39
12/01/2017	KAUFMAN, COOPER	AM FUNDS GROWTH FUND OF AMERICA C	0.00	1.69	0.00	1.69	90.0	1.52
12/01/2017	WILMSMEYER, CHRISTA	AM FUNDS GROWTH FUND OF AMERICA C	0.00	16.66	0.00	16.66	90.0	14.99
12/01/2017	ELLIOT, MITCHELL	AM FUNDS GROWTH FUND OF AMERICA C	0.00	0.48	0.00	0.48	90.0	0.43
12/01/2017	KAUFMAN, COOPER	AM FUNDS GROWTH FUND OF AMERICA F1	0.00	0.57	0.00	0.57	90.0	0.51
12/01/2017	ELLIOT, MITCHELL	AM FUNDS GROWTH FUND OF AMERICA F1	0.00	1.08	0.00	1.08	90.0	0.97
12/01/2017	DUNCAN, CHRISTOPHER	AM FUNDS GROWTH PORT A	0.00	0.04	0.00	0.04	90.0	0.04
12/01/2017	REDDICK, RYAN	AM FUNDS ICA 529A	0.00	7.15	0.00	7.15	90.0	6.44
12/01/2017	HOSTETTER MO/TOD, VICKI	AM FUNDS ICA A	0.00	17.04	0.00	17.04	90.0	15.34
12/01/2017	PECK, THOMAS	AM FUNDS ICA A	0.00	4.86	0.00	4.86	90.0	4.37

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<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
12/01/2017	GUIER, CARROL	AM FUNDS ICA A	0.00	0.83	0.00	0.83	90.0	0.75
12/01/2017	GUIER, PAULA	AM FUNDS ICA A	0.00	3.21	0.00	3.21	90.0	2.89
12/01/2017	NOWLIN, STACEY	AM FUNDS ICA A	0.00	2.30	0.00	2.30	90.0	2.07
12/01/2017	PATTISON, CHRISTINE	AM FUNDS ICA A	0.00	37.93	0.00	37.93	90.0	34.14
12/01/2017	CRANE, MISTY	AM FUNDS ICA A	0.00	2.18	0.00	2.18	90.0	1.96
12/01/2017	JOE L KAUFMAN INC	AM FUNDS ICA A	0.00	87.12	0.00	87.12	90.0	78.41
12/01/2017	TWEHOUS, NOLAN	AM FUNDS ICA A	0.00	2.87	0.00	2.87	90.0	2.58
12/01/2017	WINFREY, LARRY	AM FUNDS ICA A	0.00	11.10	0.00	11.10	90.0	9.99
12/01/2017	BAUER, MATTHEW	AM FUNDS ICA A	0.00	0.42	0.00	0.42	90.0	0.38
12/01/2017	SUMMERS, AARON	AM FUNDS ICA A	0.00	3.53	0.00	3.53	90.0	3.18
12/01/2017	EICHHOLZ, JARED	AM FUNDS ICA A	0.00	2.16	0.00	2.16	90.0	1.94
12/01/2017	WINFREY, LARRY	AM FUNDS ICA A	0.00	1.93	0.00	1.93	90.0	1.74
12/01/2017	SAUSAMAN, URSULA	AM FUNDS ICA A	0.00	13.59	0.00	13.59	90.0	12.23
12/01/2017	DEUSCHLE, KIMBERLY	AM FUNDS ICA A	0.00	13.61	0.00	13.61	90.0	12.25
12/01/2017	DILLON, EMMA	AM FUNDS ICA A	0.00	0.41	0.00	0.41	90.0	0.37
12/01/2017	OPPLAND, ZACHARY	AM FUNDS ICA A	0.00	0.91	0.00	0.91	90.0	0.82
12/01/2017	EULTGEN, VICKI	AM FUNDS ICA A	0.00	15.95	0.00	15.95	90.0	14.36
12/01/2017	MURPHY, MELISSA	AM FUNDS ICA A	0.00	15.60	0.00	15.60	90.0	14.04
12/01/2017	PETERSON, BAILY	AM FUNDS ICA A	0.00	0.11	0.00	0.11	90.0	0.10
12/01/2017	RIDGWAY, BENJAMIN	AM FUNDS ICA A	0.00	0.73	0.00	0.73	90.0	0.66
12/01/2017	TURNER, GARY	AM FUNDS ICA A	0.00	49.13	0.00	49.13	90.0	44.22
12/01/2017	SUTTON, CHRISTOPHER	AM FUNDS ICA A	0.00	39.55	0.00	39.55	90.0	35.60
12/01/2017	ELMORE, STUART	AM FUNDS ICA A	0.00	1.13	0.00	1.13	90.0	1.02
12/01/2017	MEDLEY, LISA	AM FUNDS ICA A	0.00	1.72	0.00	1.72	90.0	1.55
12/01/2017	HILDABRAND, ALVENA	AM FUNDS ICA A	0.00	8.18	0.00	8.18	90.0	7.36
12/01/2017	ELDRIDGE, DEE	AM FUNDS ICA A	0.00	17.06	0.00	17.06	90.0	15.35
12/01/2017	PRATER, RAMONA	AM FUNDS INCOME FUND OF AMERICA A	0.00	0.18	0.00	0.18	90.0	0.16
12/01/2017	OSSMAN, ED	AM FUNDS INCOME FUND OF AMERICA A	0.00	95.91	0.00	95.91	90.0	86.32
12/01/2017	FRIEDERICH, JOHN	AM FUNDS INCOME FUND OF AMERICA A	0.00	33.12	0.00	33.12	90.0	29.81
12/01/2017	OWEN, ERNEST	AM FUNDS INCOME FUND OF AMERICA A	0.00	4.77	0.00	4.77	90.0	4.29
12/01/2017	JORDENING, POLLY	AM FUNDS INCOME FUND OF AMERICA A	0.00	119.11	0.00	119.11	90.0	107.20
12/01/2017	BLISS, REBECCA	AM FUNDS INCOME FUND OF AMERICA A	0.00	7.11	0.00	7.11	90.0	6.40
12/01/2017	WILMSMEYER, CHRISTA	AM FUNDS INCOME FUND OF AMERICA C	0.00	14.52	0.00	14.52	90.0	13.07

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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								
12/01/2017	ANDING, MARY DIANE	AM FUNDS INCOME FUND OF AMERICA-529	0.00	1.80	0.00	1.80	90.0	1.62
12/01/2017	OWEN, ERNEST	AM FUNDS INTL GROWTH AND INCOME A	0.00	3.82	0.00	3.82	90.0	3.44
12/01/2017	MURPHY, MELISSA	AM FUNDS INTL GROWTH AND INCOME A	0.00	12.87	0.00	12.87	90.0	11.58
12/01/2017	ANDING, MARY DIANE	AM FUNDS NEW ECONOMY A	0.00	47.17	0.00	47.17	90.0	42.45
12/01/2017	REDDICK, RYAN	AM FUNDS NEW ECONOMY A	0.00	7.97	0.00	7.97	90.0	7.17
12/01/2017	GUIER, CARROL	AM FUNDS NEW ECONOMY A	0.00	1.06	0.00	1.06	90.0	0.95
12/01/2017	GUIER, PAULA	AM FUNDS NEW ECONOMY A	0.00	3.85	0.00	3.85	90.0	3.47
12/01/2017	GRIFFIN, AMANDA	AM FUNDS NEW ECONOMY A	0.00	5.37	0.00	5.37	90.0	4.83
12/01/2017	PATTISON, CHRISTINE	AM FUNDS NEW ECONOMY A	0.00	17.28	0.00	17.28	90.0	15.55
12/01/2017	SEYER, MARY	AM FUNDS NEW ECONOMY A	0.00	10.41	0.00	10.41	90.0	9.37
12/01/2017	STALEY, JOSELYN	AM FUNDS NEW ECONOMY A	0.00	6.38	0.00	6.38	90.0	5.74
12/01/2017	GUIER, GREGORY	AM FUNDS NEW ECONOMY A	0.00	30.82	0.00	30.82	90.0	27.74
12/01/2017	TWEHOUS, NOLAN	AM FUNDS NEW ECONOMY A	0.00	1.70	0.00	1.70	90.0	1.53
12/01/2017	GUIER, GRACIE	AM FUNDS NEW ECONOMY A	0.00	0.71	0.00	0.71	90.0	0.64
12/01/2017	KAUFMAN, JEFFREY	AM FUNDS NEW ECONOMY A	0.00	10.50	0.00	10.50	90.0	9.45
12/01/2017	BAUER, MATTHEW	AM FUNDS NEW ECONOMY A	0.00	0.18	0.00	0.18	90.0	0.16
12/01/2017	MANGUS, DANIEL	AM FUNDS NEW ECONOMY A	0.00	4.18	0.00	4.18	90.0	3.76
12/01/2017	MARK, CHRISTOPHER	AM FUNDS NEW ECONOMY A	0.00	4.21	0.00	4.21	90.0	3.79
12/01/2017	HALL, ELLEN	AM FUNDS NEW ECONOMY A	0.00	3.14	0.00	3.14	90.0	2.83
12/01/2017	AHERN, OLIVIA	AM FUNDS NEW ECONOMY A	0.00	1.55	0.00	1.55	90.0	1.40
12/01/2017	CROWLEY, MICHA	AM FUNDS NEW ECONOMY A	0.00	74.22	0.00	74.22	90.0	66.80
12/01/2017	CARSON, MATTHEW	AM FUNDS NEW ECONOMY A	0.00	0.86	0.00	0.86	90.0	0.77
12/01/2017	JORDENING, POLLY	AM FUNDS NEW ECONOMY A	0.00	47.87	0.00	47.87	90.0	43.08
12/01/2017	GUIER, CLINT	AM FUNDS NEW ECONOMY A	0.00	15.63	0.00	15.63	90.0	14.07
12/01/2017	NIELSEN, BRENDA	AM FUNDS NEW ECONOMY A	0.00	1.12	0.00	1.12	90.0	1.01
12/01/2017	BURKHARDT, MORGAN	AM FUNDS NEW ECONOMY A	0.00	0.28	0.00	0.28	90.0	0.25
12/01/2017	ROBINETT, CHARISSA	AM FUNDS NEW ECONOMY A	0.00	0.81	0.00	0.81	90.0	0.73
12/01/2017	TURNER, GARY	AM FUNDS NEW ECONOMY A	0.00	40.40	0.00	40.40	90.0	36.36
12/01/2017	SUTTON, CHRISTOPHER	AM FUNDS NEW ECONOMY A	0.00	14.63	0.00	14.63	90.0	13.17
12/01/2017	ROBINETT, CHARISSA	AM FUNDS NEW ECONOMY A	0.00	8.18	0.00	8.18	90.0	7.36
12/01/2017	MCKENZIE, JADA	AM FUNDS NEW ECONOMY A	0.00	0.53	0.00	0.53	90.0	0.48
12/01/2017	MOODY, DAVID	AM FUNDS NEW ECONOMY A	0.00	4.02	0.00	4.02	90.0	3.62
12/01/2017	ANDING, MARY DIANE	AM FUNDS NEW PERSPECTIVE A	0.00	100.97	0.00	100.97	90.0	90.87

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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>								
12/01/2017	REDDICK, RYAN	AM FUNDS NEW PERSPECTIVE A	0.00	6.52	0.00	6.52	90.0	5.87
12/01/2017	GRIFFIN, AMANDA	AM FUNDS NEW PERSPECTIVE A	0.00	5.19	0.00	5.19	90.0	4.67
12/01/2017	SEYER, MARY	AM FUNDS NEW PERSPECTIVE A	0.00	9.97	0.00	9.97	90.0	8.97
12/01/2017	STALEY, JOSELYN	AM FUNDS NEW PERSPECTIVE A	0.00	5.54	0.00	5.54	90.0	4.99
12/01/2017	MIDDLETON, M	AM FUNDS NEW PERSPECTIVE A	0.00	0.18	0.00	0.18	90.0	0.16
12/01/2017	MCNERNEY, DAN	AM FUNDS NEW PERSPECTIVE A	0.00	12.67	0.00	12.67	90.0	11.40
12/01/2017	KAUFMAN, JEFFREY	AM FUNDS NEW PERSPECTIVE A	0.00	10.22	0.00	10.22	90.0	9.20
12/01/2017	DEUSCHLE, KIMBERLY	AM FUNDS NEW PERSPECTIVE A	0.00	13.44	0.00	13.44	90.0	12.10
12/01/2017	COOK, GREG	AM FUNDS NEW PERSPECTIVE A	0.00	0.04	0.00	0.04	90.0	0.04
12/01/2017	GATTORNA, MICHAEL	AM FUNDS NEW PERSPECTIVE A	0.00	0.27	0.00	0.27	90.0	0.24
12/01/2017	STAES, SAMUEL	AM FUNDS NEW PERSPECTIVE A	0.00	0.62	0.00	0.62	90.0	0.56
12/01/2017	EULTGEN, VICKI	AM FUNDS NEW PERSPECTIVE A	0.00	14.00	0.00	14.00	90.0	12.60
12/01/2017	TURNER, JOSH	AM FUNDS NEW PERSPECTIVE A	0.00	0.47	0.00	0.47	90.0	0.42
12/01/2017	MURPHY, MELISSA	AM FUNDS NEW PERSPECTIVE A	0.00	17.00	0.00	17.00	90.0	15.30
12/01/2017	ROBINETT, CHARISSA	AM FUNDS NEW PERSPECTIVE A	0.00	0.76	0.00	0.76	90.0	0.68
12/01/2017	VICTOR, THOMAS	AM FUNDS NEW PERSPECTIVE A	0.00	0.43	0.00	0.43	90.0	0.39
12/01/2017	TURNER, COREY	AM FUNDS NEW PERSPECTIVE A	0.00	8.96	0.00	8.96	90.0	8.06
12/01/2017	TURNER, GARY	AM FUNDS NEW PERSPECTIVE A	0.00	38.33	0.00	38.33	90.0	34.50
12/01/2017	TURNER, GARY	AM FUNDS NEW PERSPECTIVE A	0.00	21.34	0.00	21.34	90.0	19.21
12/01/2017	ELLIOTT, TIMOTHY	AM FUNDS NEW PERSPECTIVE A	0.00	4.83	0.00	4.83	90.0	4.35
12/01/2017	MOODY, DAVID	AM FUNDS NEW PERSPECTIVE A	0.00	3.84	0.00	3.84	90.0	3.46
12/01/2017	KAUFMAN, COOPER	AM FUNDS NEW PERSPECTIVE C	0.00	1.43	0.00	1.43	90.0	1.29
12/01/2017	ELLIOT, MITCHELL	AM FUNDS NEW PERSPECTIVE C	0.00	0.44	0.00	0.44	90.0	0.40
12/01/2017	ELLIOT, MITCHELL	AM FUNDS NEW PERSPECTIVE F-1	0.00	1.02	0.00	1.02	90.0	0.92
12/01/2017	REDDICK, RYAN	AM FUNDS NEW WORLD 529A	0.00	6.26	0.00	6.26	90.0	5.63
12/01/2017	GUIER, CARROL	AM FUNDS NEW WORLD A	0.00	0.75	0.00	0.75	90.0	0.68
12/01/2017	GUIER, PAULA	AM FUNDS NEW WORLD A	0.00	2.83	0.00	2.83	90.0	2.55
12/01/2017	SEYER, MARY	AM FUNDS NEW WORLD A	0.00	6.92	0.00	6.92	90.0	6.23
12/01/2017	KEMBLE, CARA	AM FUNDS NEW WORLD A	0.00	2.66	0.00	2.66	90.0	2.39
12/01/2017	OSSMAN, ED	AM FUNDS NEW WORLD A	0.00	6.31	0.00	6.31	90.0	5.68
12/01/2017	FRIEDERICH, JOHN	AM FUNDS NEW WORLD A	0.00	4.49	0.00	4.49	90.0	4.04
12/01/2017	TWEHOUS, NOLAN	AM FUNDS NEW WORLD A	0.00	1.25	0.00	1.25	90.0	1.13
12/01/2017	KAUFMAN, JEFFREY	AM FUNDS NEW WORLD A	0.00	8.83	0.00	8.83	90.0	7.95

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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>								
12/01/2017	GRIFFITH, CHERYL	AM FUNDS NEW WORLD A	0.00	2.42	0.00	2.42	90.0	2.18
12/01/2017	KAUFMAN, JEFFREY	AM FUNDS NEW WORLD A	0.00	2.42	0.00	2.42	90.0	2.18
12/01/2017	GUIER, CASH	AM FUNDS NEW WORLD A	0.00	1.14	0.00	1.14	90.0	1.03
12/01/2017	JOHNSON, RYAN	AM FUNDS NEW WORLD A	0.00	1.71	0.00	1.71	90.0	1.54
12/01/2017	MANGUS, DANIEL	AM FUNDS NEW WORLD A	0.00	0.02	0.00	0.02	90.0	0.02
12/01/2017	MARK, CHRISTOPHER	AM FUNDS NEW WORLD A	0.00	2.87	0.00	2.87	90.0	2.58
12/01/2017	AHERN, OLIVIA	AM FUNDS NEW WORLD A	0.00	1.18	0.00	1.18	90.0	1.06
12/01/2017	CROWLEY, MICHA	AM FUNDS NEW WORLD A	0.00	46.19	0.00	46.19	90.0	41.57
12/01/2017	MCKENZIE, JADA	AM FUNDS NEW WORLD A	0.00	1.01	0.00	1.01	90.0	0.91
12/01/2017	SAUSAMAN, URSULA	AM FUNDS NEW WORLD A	0.00	2.21	0.00	2.21	90.0	1.99
12/01/2017	DEUSCHLE, KIMBERLY	AM FUNDS NEW WORLD A	0.00	3.48	0.00	3.48	90.0	3.13
12/01/2017	GATTORNA, MICHAEL	AM FUNDS NEW WORLD A	0.00	0.27	0.00	0.27	90.0	0.24
12/01/2017	EULTGEN, VICKI	AM FUNDS NEW WORLD A	0.00	6.97	0.00	6.97	90.0	6.27
12/01/2017	TURNER, JOSH	AM FUNDS NEW WORLD A	0.00	0.47	0.00	0.47	90.0	0.42
12/01/2017	MURPHY, MELISSA	AM FUNDS NEW WORLD A	0.00	9.22	0.00	9.22	90.0	8.30
12/01/2017	MURPHY, MICHAEL	AM FUNDS NEW WORLD A	0.00	29.20	0.00	29.20	90.0	26.28
12/01/2017	VICTOR, THOMAS	AM FUNDS NEW WORLD A	0.00	0.43	0.00	0.43	90.0	0.39
12/01/2017	TURNER, COREY	AM FUNDS NEW WORLD A	0.00	9.14	0.00	9.14	90.0	8.23
12/01/2017	RYAN, MATTHEW	AM FUNDS NEW WORLD A	0.00	1.68	0.00	1.68	90.0	1.51
12/01/2017	TURNER, GARY	AM FUNDS NEW WORLD A	0.00	11.00	0.00	11.00	90.0	9.90
12/01/2017	MOODY, DAVID	AM FUNDS NEW WORLD A	0.00	3.80	0.00	3.80	90.0	3.42
12/01/2017	KAUFMAN, ELLIE	AM FUNDS NEW WORLD C	0.00	0.50	0.00	0.50	90.0	0.45
12/01/2017	KAUFMAN, COOPER	AM FUNDS NEW WORLD C	0.00	0.66	0.00	0.66	90.0	0.59
12/01/2017	ELLIOT, MITCHELL	AM FUNDS NEW WORLD C	0.00	0.32	0.00	0.32	90.0	0.29
12/01/2017	KAUFMAN, ELLIE	AM FUNDS NEW WORLD FUND F1	0.00	0.17	0.00	0.17	90.0	0.15
12/01/2017	KAUFMAN, COOPER	AM FUNDS NEW WORLD FUND F1	0.00	0.20	0.00	0.20	90.0	0.18
12/01/2017	ELLIOT, MITCHELL	AM FUNDS NEW WORLD FUND F1	0.00	0.81	0.00	0.81	90.0	0.73
12/01/2017	HOSTETTER MO/TOD, VICKI	AM FUNDS SMALLCAP WORLD A	0.00	4.17	0.00	4.17	90.0	3.75
12/01/2017	REDDICK, RYAN	AM FUNDS SMALLCAP WORLD A	0.00	7.70	0.00	7.70	90.0	6.93
12/01/2017	REDDICK, RYAN	AM FUNDS SMALLCAP WORLD A	0.00	9.21	0.00	9.21	90.0	8.29
12/01/2017	GRIFFIN, AMANDA	AM FUNDS SMALLCAP WORLD A	0.00	4.84	0.00	4.84	90.0	4.36
12/01/2017	PATTISON, CHRISTINE	AM FUNDS SMALLCAP WORLD A	0.00	16.38	0.00	16.38	90.0	14.74
12/01/2017	SEYER, MARY	AM FUNDS SMALLCAP WORLD A	0.00	10.33	0.00	10.33	90.0	9.30

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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>								
12/01/2017	MIDDLETON, M	AM FUNDS SMALLCAP WORLD A	0.00	0.17	0.00	0.17	90.0	0.15
12/01/2017	WHEAT, KATHLEEN	AM FUNDS SMALLCAP WORLD A	0.00	9.76	0.00	9.76	90.0	8.78
12/01/2017	KEMBLE, CARA	AM FUNDS SMALLCAP WORLD A	0.00	2.52	0.00	2.52	90.0	2.27
12/01/2017	OSSMAN, ED	AM FUNDS SMALLCAP WORLD A	0.00	6.74	0.00	6.74	90.0	6.07
12/01/2017	FRIEDERICH, JOHN	AM FUNDS SMALLCAP WORLD A	0.00	5.50	0.00	5.50	90.0	4.95
12/01/2017	MCNERNEY, DAN	AM FUNDS SMALLCAP WORLD A	0.00	17.82	0.00	17.82	90.0	16.04
12/01/2017	GUIER, GREGORY	AM FUNDS SMALLCAP WORLD A	0.00	28.92	0.00	28.92	90.0	26.03
12/01/2017	KAUFMAN, JEFFREY	AM FUNDS SMALLCAP WORLD A	0.00	10.59	0.00	10.59	90.0	9.53
12/01/2017	KAUFMAN, JEFFREY	AM FUNDS SMALLCAP WORLD A	0.00	2.81	0.00	2.81	90.0	2.53
12/01/2017	GRIFFIN, SHAWN	AM FUNDS SMALLCAP WORLD A	0.00	7.09	0.00	7.09	90.0	6.38
12/01/2017	MANGUS, DANIEL	AM FUNDS SMALLCAP WORLD A	0.00	1.72	0.00	1.72	90.0	1.55
12/01/2017	GUIER, KNOX	AM FUNDS SMALLCAP WORLD A	0.00	0.99	0.00	0.99	90.0	0.89
12/01/2017	MARK, CHRISTOPHER	AM FUNDS SMALLCAP WORLD A	0.00	2.85	0.00	2.85	90.0	2.57
12/01/2017	BIETSCH, MATTHEW	AM FUNDS SMALLCAP WORLD A	0.00	0.86	0.00	0.86	90.0	0.77
12/01/2017	AHERN, OLIVIA	AM FUNDS SMALLCAP WORLD A	0.00	1.46	0.00	1.46	90.0	1.31
12/01/2017	MCKENZIE, JADA	AM FUNDS SMALLCAP WORLD A	0.00	0.64	0.00	0.64	90.0	0.58
12/01/2017	CARSON, MATTHEW	AM FUNDS SMALLCAP WORLD A	0.00	0.50	0.00	0.50	90.0	0.45
12/01/2017	WIBBENMEYER, BRITTANY	AM FUNDS SMALLCAP WORLD A	0.00	1.52	0.00	1.52	90.0	1.37
12/01/2017	DEUSCHLE, KIMBERLY	AM FUNDS SMALLCAP WORLD A	0.00	3.40	0.00	3.40	90.0	3.06
12/01/2017	COOK, GREG	AM FUNDS SMALLCAP WORLD A	0.00	0.06	0.00	0.06	90.0	0.05
12/01/2017	OPPLAND, ZACHARY	AM FUNDS SMALLCAP WORLD A	0.00	0.49	0.00	0.49	90.0	0.44
12/01/2017	DAVIDSON, DANIELLE	AM FUNDS SMALLCAP WORLD A	0.00	1.08	0.00	1.08	90.0	0.97
12/01/2017	STAES, SAMUEL	AM FUNDS SMALLCAP WORLD A	0.00	0.63	0.00	0.63	90.0	0.57
12/01/2017	EULTGEN, VICKI	AM FUNDS SMALLCAP WORLD A	0.00	13.38	0.00	13.38	90.0	12.04
12/01/2017	TURNER, JOSH	AM FUNDS SMALLCAP WORLD A	0.00	0.47	0.00	0.47	90.0	0.42
12/01/2017	MURPHY, MELISSA	AM FUNDS SMALLCAP WORLD A	0.00	12.01	0.00	12.01	90.0	10.81
12/01/2017	MURPHY, MICHAEL	AM FUNDS SMALLCAP WORLD A	0.00	27.10	0.00	27.10	90.0	24.39
12/01/2017	PETERSON, BAILY	AM FUNDS SMALLCAP WORLD A	0.00	0.13	0.00	0.13	90.0	0.12
12/01/2017	VICTOR, THOMAS	AM FUNDS SMALLCAP WORLD A	0.00	0.43	0.00	0.43	90.0	0.39
12/01/2017	TURNER, COREY	AM FUNDS SMALLCAP WORLD A	0.00	9.20	0.00	9.20	90.0	8.28
12/01/2017	TURNER, GARY	AM FUNDS SMALLCAP WORLD A	0.00	39.58	0.00	39.58	90.0	35.62
12/01/2017	RYAN, MATTHEW	AM FUNDS SMALLCAP WORLD A	0.00	1.70	0.00	1.70	90.0	1.53
12/01/2017	SUTTON, CHRISTOPHER	AM FUNDS SMALLCAP WORLD A	0.00	14.00	0.00	14.00	90.0	12.60

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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								
12/01/2017	TOMPKINS, ERIKA	AM FUNDS SMALLCAP WORLD A	0.00	1.22	0.00	1.22	90.0	1.10
12/01/2017	ROBINETT, CHARISSA	AM FUNDS SMALLCAP WORLD A	0.00	7.66	0.00	7.66	90.0	6.89
12/01/2017	ELLIOTT, MITCHELL	AM FUNDS SMALLCAP WORLD A	0.00	0.62	0.00	0.62	90.0	0.56
12/01/2017	ELLIOTT, TIMOTHY	AM FUNDS SMALLCAP WORLD A	0.00	4.85	0.00	4.85	90.0	4.37
12/01/2017	MOODY, DAVID	AM FUNDS SMALLCAP WORLD A	0.00	3.75	0.00	3.75	90.0	3.38
12/01/2017	KAUFMAN, COOPER	AM FUNDS SMALLCAP WORLD C	0.00	1.62	0.00	1.62	90.0	1.46
12/01/2017	HOLTKAMP, MARIGENE	AM FUNDS U.S. GOVERNMENT SECURITIES	0.00	2.69	0.00	2.69	90.0	2.42
12/01/2017	STEVENSON, DAVID	AM FUNDS U.S. GOVERNMENT SECURITIES	0.00	7.29	0.00	7.29	90.0	6.56
12/01/2017	CROWLEY TRUST, ORIS	AM FUNDS U.S. GOVERNMENT SECURITIES	0.00	97.80	0.00	97.80	90.0	88.02
12/01/2017	HALL, JULIE	AM FUNDS U.S. GOVERNMENT SECURITIES	0.00	69.79	0.00	69.79	90.0	62.81
12/01/2017	MCNERNEY, DAN	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	23.10	0.00	23.10	90.0	20.79
12/01/2017	TOMPKINS, ERIKA	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	2.30	0.00	2.30	90.0	2.07
12/01/2017	DUNCAN, CHRISTOPHER	AMERICAN FUND GLOBAL GROWTH PORTFOL	0.00	0.03	0.00	0.03	90.0	0.03
12/01/2017	KAUFMAN, COOPER	AMERICAN FUND SMALLCAP WORKD FUND-F	0.00	0.35	0.00	0.35	90.0	0.32
12/01/2017	TURNER, GARY	AMERICAN FUNDS DEVELOPING WORLD GRO	0.00	38.22	0.00	38.22	90.0	34.40
/ /	MCS DESIGN TEAM	HARTFORD BALANCED C	0.00	16.41	0.00	16.41	90.0	14.77
/ /	MCS DESIGN TEAM	HARTFORD DIVIDEND & GROWTH C	0.00	18.27	0.00	18.27	90.0	16.44
* MUTUAL FUND 12B1 TRAILS SUBTOTAL *			\$0.00	\$6,432.21	\$0.00	\$6,432.21		\$5,789.16
*** DIRECT TRANSACTIONS TOTAL ***			\$2,422,964.35	\$7,810.10	\$0.00	\$7,810.10		\$7,029.39

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

11/20/2017	MCKENZIE, JADA	AM FUNDS 2040 TARGET DATE-A	69.55	0.38	0.00	0.38	90.0	0.34
11/20/2017	MCKENZIE, JADA	AM FUNDS 2040 TARGET DATE-A	69.55	0.38	0.00	0.38	90.0	0.34
12/01/2017	SUMNER, CASEY	AM FUNDS 2045 TARGET DATE-A	0.00	0.92	0.00	0.92	90.0	0.83
11/20/2017	CARSON, MATTHEW	AM FUNDS 2055 TARGET DATE-A	64.61	0.36	0.00	0.36	90.0	0.32
11/20/2017	CARSON, MATTHEW	AM FUNDS 2055 TARGET DATE-A	64.61	0.36	0.00	0.36	90.0	0.32
11/20/2017	WAHLIG, KACEY	AM FUNDS AMERICAN BALANCED A	24.39	0.13	0.00	0.13	90.0	0.12
11/20/2017	WAHLIG, KACEY	AM FUNDS AMERICAN BALANCED A	24.39	0.13	0.00	0.13	90.0	0.12
11/20/2017	THOMPSON, MARCIA	AM FUNDS AMERICAN BALANCED A	738.47	6.50	0.00	6.50	90.0	5.85
12/01/2017	THOMAS, FRANK	AM FUNDS AMERICAN BALANCED A	0.00	2.57	0.00	2.57	90.0	2.31
12/01/2017	THOMAS, DIXIE	AM FUNDS AMERICAN BALANCED A	0.00	2.57	0.00	2.57	90.0	2.31

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

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

DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>SPLIT TRANSACTIONS</u>								
<u>BROKER: JEFF/JASON KAUFMAN/KEMBLE #349</u>								
12/01/2017	LANGE, ARLEN	AM FUNDS AMERICAN BALANCED A	0.00	0.19	0.00	0.19	90.0	0.17
12/01/2017	THOMPSON, MARCIA	AM FUNDS AMERICAN BALANCED A	0.00	0.03	0.00	0.03	90.0	0.03
12/01/2017	FIEGENBAUM, KAREN	AM FUNDS AMERICAN BALANCED A	0.00	3.56	0.00	3.56	90.0	3.20
12/01/2017	FIEGENBAUM, KAREN	AM FUNDS AMERICAN BALANCED A	0.00	2.58	0.00	2.58	90.0	2.32
12/01/2017	BAILEY, JUDITH	AM FUNDS AMERICAN BALANCED A	0.00	1.28	0.00	1.28	90.0	1.15
12/01/2017	CLARK-LAIRD, BARBARA	AM FUNDS AMERICAN BALANCED A	0.00	10.04	0.00	10.04	90.0	9.04
12/01/2017	CARTER, STANLEY	AM FUNDS AMERICAN BALANCED A	0.00	16.80	0.00	16.80	90.0	15.12
12/01/2017	MO/TOD	AM FUNDS AMERICAN BALANCED A	0.00	10.15	0.00	10.15	90.0	9.14
12/01/2017	MO/TOD	AM FUNDS AMERICAN BALANCED A	0.00	0.18	0.00	0.18	90.0	0.16
12/01/2017	BAILEY, JUDITH	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	1.88	0.00	1.88	90.0	1.69
11/20/2017	EISELE, HAMILTON	AM FUNDS GROWTH FUND OF AMERICA A	17.10	0.09	0.00	0.09	90.0	0.08
11/20/2017	EISELE, HAMILTON	AM FUNDS GROWTH FUND OF AMERICA A	22.80	0.13	0.00	0.13	90.0	0.12
11/20/2017	MAIDA, KAILEY	AM FUNDS GROWTH FUND OF AMERICA A	8.40	0.04	0.00	0.04	90.0	0.04
11/20/2017	MAIDA, KAILEY	AM FUNDS GROWTH FUND OF AMERICA A	10.00	0.05	0.00	0.05	90.0	0.05
11/20/2017	DOOLEY, BRUCE	AM FUNDS GROWTH FUND OF AMERICA A	51.97	0.29	0.00	0.29	90.0	0.26
11/20/2017	DOOLEY, BRUCE	AM FUNDS GROWTH FUND OF AMERICA A	51.97	0.29	0.00	0.29	90.0	0.26
11/20/2017	BONHAM, NICOLE	AM FUNDS GROWTH FUND OF AMERICA A	11.30	0.06	0.00	0.06	90.0	0.05
11/20/2017	BONHAM, NICOLE	AM FUNDS GROWTH FUND OF AMERICA A	11.30	0.06	0.00	0.06	90.0	0.05
11/20/2017	LUKIC, MIROSLAV	AM FUNDS GROWTH FUND OF AMERICA A	64.50	0.36	0.00	0.36	90.0	0.32
11/20/2017	LUKIC, MIROSLAV	AM FUNDS GROWTH FUND OF AMERICA A	64.50	0.36	0.00	0.36	90.0	0.32
11/21/2017	UNTIL AGE 21, MO/UTMA	AM FUNDS GROWTH FUND OF AMERICA A	50.00	1.37	0.00	1.37	90.0	1.23
12/01/2017	SUMNER, CALEB	AM FUNDS GROWTH FUND OF AMERICA A	0.00	1.12	0.00	1.12	90.0	1.01
12/01/2017	JOHNSON, KASEY	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.02	0.00	0.02	90.0	0.02
12/01/2017	BROWN, CODY	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.10	0.00	0.10	90.0	0.09
12/01/2017	UNTIL AGE 21, MO/UTMA	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.04	0.00	0.04	90.0	0.04
12/01/2017	THOMPSON, TERRY	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.96	0.00	0.96	90.0	0.86
12/01/2017	MCNERNEY, DYLAN	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.08	0.00	0.08	90.0	0.07
12/01/2017	MCNERNEY, DASAN	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.08	0.00	0.08	90.0	0.07
12/01/2017	WHITE, PAYTON	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.16	0.00	0.16	90.0	0.14
12/04/2017	BARTLETT, STEVEN	AM FUNDS GROWTH FUND OF AMERICA A	80.90	0.45	0.00	0.45	90.0	0.41
12/04/2017	BARTLETT, STEVEN	AM FUNDS GROWTH FUND OF AMERICA A	48.54	0.27	0.00	0.27	90.0	0.24
12/05/2017	THOMPSON, TERRY	AM FUNDS GROWTH FUND OF AMERICA A	250.00	2.20	0.00	2.20	90.0	1.98
11/20/2017	ZELLMER, RIANNON	AM FUNDS ICA A	12.83	0.07	0.00	0.07	90.0	0.06

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>SPLIT TRANSACTIONS</u>								
<u>BROKER: JEFF/JASON KAUFMAN/KEMBLE #349</u>								
11/20/2017	ZELLMER, RIANNON	AM FUNDS ICA A	12.83	0.07	0.00	0.07	90.0	0.06
11/20/2017	WAHLIG, KACEY	AM FUNDS ICA A	24.40	0.13	0.00	0.13	90.0	0.12
11/20/2017	WAHLIG, KACEY	AM FUNDS ICA A	24.40	0.13	0.00	0.13	90.0	0.12
11/20/2017	HELMANDOLLAR, OLIVIA	AM FUNDS ICA A	17.61	0.10	0.00	0.10	90.0	0.09
11/20/2017	HELMANDOLLAR, OLIVIA	AM FUNDS ICA A	17.62	0.10	0.00	0.10	90.0	0.09
11/21/2017	UNTIL AGE 21, MO/UTMA	AM FUNDS ICA A	50.00	1.37	0.00	1.37	90.0	1.23
12/01/2017	UNTIL AGE 21, MO/UTMA	AM FUNDS ICA A	0.00	0.04	0.00	0.04	90.0	0.04
12/04/2017	HAGUE, VICTORIA	AM FUNDS ICA A	66.61	0.37	0.00	0.37	90.0	0.33
12/04/2017	HAGUE, VICTORIA	AM FUNDS ICA A	400.00	2.20	0.00	2.20	90.0	1.98
12/01/2017	CLARK-LAIRD, BARBARA	AM FUNDS INCOME FUND OF AMERICA A	0.00	3.35	0.00	3.35	90.0	3.02
12/01/2017	THOMPSON, TERRY	AM FUNDS NEW ECONOMY A	0.00	0.96	0.00	0.96	90.0	0.86
12/01/2017	WHITE, PAYTON	AM FUNDS NEW ECONOMY A	0.00	0.16	0.00	0.16	90.0	0.14
12/01/2017	MCKENZIE, JADA	AM FUNDS NEW ECONOMY A	0.00	0.01	0.00	0.01	90.0	0.01
12/05/2017	THOMPSON, TERRY	AM FUNDS NEW ECONOMY A	250.00	2.20	0.00	2.20	90.0	1.98
12/05/2017	MCKENZIE, JADA	AM FUNDS NEW ECONOMY A	60.00	1.65	0.00	1.65	90.0	1.49
11/20/2017	MCNERNEY, DAVID	AM FUNDS NEW PERSPECTIVE A	123.00	0.68	0.00	0.68	90.0	0.61
11/20/2017	MCNERNEY, DAVID	AM FUNDS NEW PERSPECTIVE A	1,000.00	5.50	0.00	5.50	90.0	4.95
12/01/2017	LEHMAN, COLBY	AM FUNDS NEW PERSPECTIVE A	0.00	0.03	0.00	0.03	90.0	0.03
12/01/2017	WHITE, PAYTON	AM FUNDS NEW PERSPECTIVE A	0.00	0.16	0.00	0.16	90.0	0.14
11/20/2017	EISELE, HAMILTON	AM FUNDS NEW WORLD A	17.10	0.09	0.00	0.09	90.0	0.08
11/20/2017	EISELE, HAMILTON	AM FUNDS NEW WORLD A	22.80	0.13	0.00	0.13	90.0	0.12
12/01/2017	THOMPSON, TERRY	AM FUNDS NEW WORLD A	0.00	0.95	0.00	0.95	90.0	0.86
12/01/2017	WHITE, PAYTON	AM FUNDS NEW WORLD A	0.00	0.16	0.00	0.16	90.0	0.14
12/05/2017	THOMPSON, TERRY	AM FUNDS NEW WORLD A	250.00	2.20	0.00	2.20	90.0	1.98
11/20/2017	HELMANDOLLAR, OLIVIA	AM FUNDS SMALLCAP WORLD A	17.62	0.10	0.00	0.10	90.0	0.09
11/20/2017	HELMANDOLLAR, OLIVIA	AM FUNDS SMALLCAP WORLD A	17.61	0.10	0.00	0.10	90.0	0.09
11/20/2017	LUKIC, MIROSLAV	AM FUNDS SMALLCAP WORLD A	64.50	0.36	0.00	0.36	90.0	0.32
11/20/2017	LUKIC, MIROSLAV	AM FUNDS SMALLCAP WORLD A	64.50	0.36	0.00	0.36	90.0	0.32
12/01/2017	LANGE, ARLEN	AM FUNDS SMALLCAP WORLD A	0.00	0.05	0.00	0.05	90.0	0.05
12/01/2017	THOMPSON, TERRY	AM FUNDS SMALLCAP WORLD A	0.00	0.95	0.00	0.95	90.0	0.86
12/01/2017	DOOLEY, BRUCE	AM FUNDS SMALLCAP WORLD A	0.00	0.04	0.00	0.04	90.0	0.04
12/04/2017	HAGUE, VICTORIA	AM FUNDS SMALLCAP WORLD A	16.65	0.09	0.00	0.09	90.0	0.08
12/04/2017	HAGUE, VICTORIA	AM FUNDS SMALLCAP WORLD A	100.00	0.55	0.00	0.55	90.0	0.50

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>SPLIT TRANSACTIONS</u>								
<u>BROKER: JEFF/JASON KAUFMAN/KEMBLE #349</u>								
12/04/2017	BARTLETT, STEVEN	AM FUNDS SMALLCAP WORLD A	48.54	0.27	0.00	0.27	90.0	0.24
12/04/2017	BARTLETT, STEVEN	AM FUNDS SMALLCAP WORLD A	80.90	0.45	0.00	0.45	90.0	0.41
12/05/2017	THOMPSON, TERRY	AM FUNDS SMALLCAP WORLD A	250.00	2.20	0.00	2.20	90.0	1.98
12/01/2017	SUMNER, CALEB	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.21	0.00	0.21	90.0	0.19
11/28/2017	CARSON, SEDEL	PAC LIFE VUL	0.00	15.12	0.00	15.12	90.0	13.61
11/28/2017	CARSON, MATTHEW	PAC LIFE VUL	0.00	2.08	0.00	2.08	90.0	1.87
11/28/2017	CARSON, MATTHEW	PAC LIFE VUL	0.00	9.79	0.00	9.79	90.0	8.81
11/28/2017	CARSON, SEDEL	PAC LIFE VUL	0.00	15.12	0.00	15.12	90.0	13.61
11/28/2017	CARSON, MATTHEW	PAC LIFE VUL	0.00	2.08	0.00	2.08	90.0	1.87
11/28/2017	CARSON, MATTHEW	PAC LIFE VUL	0.00	9.79	0.00	9.79	90.0	8.81
* JEFF/JASON KAUFMAN/KEMBLE SUBTOTAL *			\$4,808.37	\$152.09	\$0.00	\$152.09		\$136.87
*** SPLIT TRANSACTIONS TOTAL ***			\$4,808.37	\$152.09	\$0.00	\$152.09		\$136.87

ADJUSTMENTS

12/15/2017	*E & O INSURANCE: CURRENT MONTH INS	0.00						-300.00
12/15/2017	*TECHNOLOGY: ADMIN - KIM KAUFMAN	0.00						-100.00
12/15/2017	*TECHNOLOGY: CURRENT MONTH TECH	0.00						-275.00
*** ADJUSTMENTS TOTAL ***			\$0.00	\$0.00	\$0.00	\$0.00		\$-675.00

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BROKER COMMISSION TOTALS

Broker Transactions	\$7,029.39
Split Transactions	\$136.87
Override Transactions	\$0.00
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	\$6,491.26
Year-to-date Gross	\$160,326.20
Year-to-date Earnings	\$153,329.18