



Concorde Investment Services, LLC

04/17/2018

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## COMMISSION STATEMENT

April 15, 2018

JEFFREY, K119 KAUFMAN  
801 Gray Oak Drive

BROKER #: K119  
BRANCH: JEFFREY KAUFMAN

Columbia, MO 65201

| DATE   | CLIENT                | INVESTMENT                          | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|--|-----------------------|-------------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b><u>DIRECT TRANSACTIONS</u></b>            |                       |                                     |                      |                     |                    |                   |      |                      |
| <b><u>PRODUCT CATEGORY: MUTUAL FUNDS</u></b> |                       |                                     |                      |                     |                    |                   |      |                      |
| 04/05/2018                                   | WRAY, JOANN           | AM FUNDS 2030 TARGET DATE-A         | 466.46               | 4.66                | 0.00               | 4.66              | 90.0 | 4.19                 |
| 04/05/2018                                   | WRAY, JOANN           | AM FUNDS 2030 TARGET DATE-A         | 1,230.76             | 12.31               | 0.00               | 12.31             | 90.0 | 11.08                |
| 04/05/2018                                   | ZELLMER, AMY          | AM FUNDS 2040 TARGET DATE-A         | 145.17               | 1.45                | 0.00               | 1.45              | 90.0 | 1.31                 |
| 04/05/2018                                   | ZELLMER, AMY          | AM FUNDS 2040 TARGET DATE-A         | 87.10                | 0.87                | 0.00               | 0.87              | 90.0 | 0.78                 |
| 04/05/2018                                   | NOWLIN, STACEY        | AM FUNDS 2040 TARGET DATE-A         | 41.59                | 0.42                | 0.00               | 0.42              | 90.0 | 0.38                 |
| 04/05/2018                                   | NOWLIN, STACEY        | AM FUNDS 2040 TARGET DATE-A         | 41.59                | 0.42                | 0.00               | 0.42              | 90.0 | 0.38                 |
| 04/05/2018                                   | CRANE, MISTY          | AM FUNDS 2045 TARGET DATE-A         | 26.86                | 0.27                | 0.00               | 0.27              | 90.0 | 0.24                 |
| 04/05/2018                                   | CRANE, MISTY          | AM FUNDS 2045 TARGET DATE-A         | 26.86                | 0.27                | 0.00               | 0.27              | 90.0 | 0.24                 |
| 04/05/2018                                   | PATTY, MINDI          | AM FUNDS 2045 TARGET DATE-A         | 16.50                | 0.17                | 0.00               | 0.17              | 90.0 | 0.15                 |
| 04/05/2018                                   | PATTY, MINDI          | AM FUNDS 2045 TARGET DATE-A         | 16.50                | 0.17                | 0.00               | 0.17              | 90.0 | 0.15                 |
| 04/05/2018                                   | WESTBROOK, AMANDA     | AM FUNDS 2055 TARGET DATE-A         | 40.99                | 0.41                | 0.00               | 0.41              | 90.0 | 0.37                 |
| 04/05/2018                                   | WESTBROOK, AMANDA     | AM FUNDS 2055 TARGET DATE-A         | 40.99                | 0.41                | 0.00               | 0.41              | 90.0 | 0.37                 |
| 04/02/2018                                   | HOLTKAMP, MARIGENE    | AM FUNDS AMERICAN BALANCED A        | 7.79                 | 0.09                | 0.00               | 0.09              | 90.0 | 0.08                 |
| 04/02/2018                                   | HOLTKAMP, MARIGENE    | AM FUNDS AMERICAN BALANCED A        | 52.00                | 0.62                | 0.00               | 0.62              | 90.0 | 0.56                 |
| 04/05/2018                                   | KILEY, CHRISTINE      | AM FUNDS AMERICAN BALANCED A        | 296.19               | 2.96                | 0.00               | 2.96              | 90.0 | 2.66                 |
| 04/05/2018                                   | KILEY, CHRISTINE      | AM FUNDS AMERICAN BALANCED A        | 987.30               | 9.87                | 0.00               | 9.87              | 90.0 | 8.88                 |
| 04/05/2018                                   | WHEAT, KATHLEEN       | AM FUNDS AMERICAN BALANCED A        | 160.00               | 1.60                | 0.00               | 1.60              | 90.0 | 1.44                 |
| 04/05/2018                                   | WHEAT, KATHLEEN       | AM FUNDS AMERICAN BALANCED A        | 373.33               | 3.73                | 0.00               | 3.73              | 90.0 | 3.36                 |
| 04/05/2018                                   | WIBBENMEYER, BRITTANY | AM FUNDS AMERICAN BALANCED A        | 71.70                | 0.72                | 0.00               | 0.72              | 90.0 | 0.65                 |
| 04/05/2018                                   | WIBBENMEYER, BRITTANY | AM FUNDS AMERICAN BALANCED A        | 71.70                | 0.72                | 0.00               | 0.72              | 90.0 | 0.65                 |
| 04/02/2018                                   | HOLTKAMP, MARIGENE    | AM FUNDS AMERICAN HIGH-INC MUNI BON | 7.79                 | 0.09                | 0.00               | 0.09              | 90.0 | 0.08                 |
| 04/02/2018                                   | HOLTKAMP, MARIGENE    | AM FUNDS AMERICAN HIGH-INC MUNI BON | 52.00                | 0.62                | 0.00               | 0.62              | 90.0 | 0.56                 |
| 04/05/2018                                   | KILEY, CHRISTINE      | AM FUNDS AMERICAN MUTUAL A          | 63.47                | 0.63                | 0.00               | 0.63              | 90.0 | 0.57                 |
| 04/05/2018                                   | KILEY, CHRISTINE      | AM FUNDS AMERICAN MUTUAL A          | 211.57               | 2.12                | 0.00               | 2.12              | 90.0 | 1.91                 |
| 04/05/2018                                   | CLASSENS, KRYSTA      | AM FUNDS AMERICAN MUTUAL A          | 24.72                | 0.25                | 0.00               | 0.25              | 90.0 | 0.23                 |
| 04/05/2018                                   | CLASSENS, KRYSTA      | AM FUNDS AMERICAN MUTUAL A          | 65.92                | 0.66                | 0.00               | 0.66              | 90.0 | 0.59                 |

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

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

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

| DATE   | CLIENT             | INVESTMENT                          | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|--|--------------------|-------------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b><u>DIRECT TRANSACTIONS</u></b>            |                    |                                     |                      |                     |                    |                   |      |                      |
| <b><u>PRODUCT CATEGORY: MUTUAL FUNDS</u></b> |                    |                                     |                      |                     |                    |                   |      |                      |
| 04/05/2018                                   | MANGUS, DANIEL     | AM FUNDS BALANCED PORT A            | 173.66               | 1.74                | 0.00               | 1.74              | 90.0 | 1.57                 |
| 04/05/2018                                   | MANGUS, DANIEL     | AM FUNDS BALANCED PORT A            | 173.66               | 1.74                | 0.00               | 1.74              | 90.0 | 1.57                 |
| 04/05/2018                                   | GODAR, LOUISE      | AM FUNDS BALANCED PORT A            | 44.40                | 0.44                | 0.00               | 0.44              | 90.0 | 0.40                 |
| 04/05/2018                                   | GODAR, LOUISE      | AM FUNDS BALANCED PORT A            | 44.40                | 0.44                | 0.00               | 0.44              | 90.0 | 0.40                 |
| 04/05/2018                                   | GRIFFIN, AMANDA    | AM FUNDS BOND FUND OF AMERICA A     | 22.09                | 0.22                | 0.00               | 0.22              | 90.0 | 0.20                 |
| 04/05/2018                                   | GRIFFIN, AMANDA    | AM FUNDS BOND FUND OF AMERICA A     | 44.19                | 0.44                | 0.00               | 0.44              | 90.0 | 0.40                 |
| 04/05/2018                                   | KILEY, CHRISTINE   | AM FUNDS CAPITAL WORLD GRTH & INC A | 63.47                | 0.63                | 0.00               | 0.63              | 90.0 | 0.57                 |
| 04/05/2018                                   | KILEY, CHRISTINE   | AM FUNDS CAPITAL WORLD GRTH & INC A | 211.56               | 2.12                | 0.00               | 2.12              | 90.0 | 1.91                 |
| 04/02/2018                                   | REDDICK, RYAN      | AM FUNDS EUROPACIFIC GROWTH FUND A  | 62.50                | 1.72                | 0.00               | 1.72              | 90.0 | 1.55                 |
| 04/02/2018                                   | CROWLEY, MICHA     | AM FUNDS EUROPACIFIC GROWTH FUND A  | 188.46               | 3.77                | 0.00               | 3.77              | 90.0 | 3.39                 |
| 04/05/2018                                   | STALEY, JOSELYN    | AM FUNDS EUROPACIFIC GROWTH FUND A  | 200.00               | 10.00               | 0.00               | 10.00             | 90.0 | 9.00                 |
| 04/05/2018                                   | CLASSENS, KRYSTA   | AM FUNDS EUROPACIFIC GROWTH FUND A  | 18.54                | 0.19                | 0.00               | 0.19              | 90.0 | 0.17                 |
| 04/05/2018                                   | CLASSENS, KRYSTA   | AM FUNDS EUROPACIFIC GROWTH FUND A  | 49.44                | 0.49                | 0.00               | 0.49              | 90.0 | 0.44                 |
| 04/05/2018                                   | MCNERNEY, DAN      | AM FUNDS GROWTH AND INCOME A        | 321.00               | 3.21                | 0.00               | 3.21              | 90.0 | 2.89                 |
| 04/05/2018                                   | MCNERNEY, DAN      | AM FUNDS GROWTH AND INCOME A        | 947.16               | 9.47                | 0.00               | 9.47              | 90.0 | 8.52                 |
| 04/05/2018                                   | BIETSCH, MATTHEW   | AM FUNDS GROWTH AND INCOME A        | 54.97                | 0.55                | 0.00               | 0.55              | 90.0 | 0.50                 |
| 04/05/2018                                   | BIETSCH, MATTHEW   | AM FUNDS GROWTH AND INCOME A        | 54.97                | 0.55                | 0.00               | 0.55              | 90.0 | 0.50                 |
| 04/05/2018                                   | AHERN, OLIVIA      | AM FUNDS GROWTH AND INCOME A        | 58.77                | 0.59                | 0.00               | 0.59              | 90.0 | 0.53                 |
| 04/05/2018                                   | AHERN, OLIVIA      | AM FUNDS GROWTH AND INCOME A        | 58.77                | 0.59                | 0.00               | 0.59              | 90.0 | 0.53                 |
| 04/02/2018                                   | REDDICK, RYAN      | AM FUNDS GROWTH FUND OF AMERICA A   | 62.50                | 1.72                | 0.00               | 1.72              | 90.0 | 1.55                 |
| 04/02/2018                                   | CROWLEY, MICHA     | AM FUNDS GROWTH FUND OF AMERICA A   | 376.92               | 7.54                | 0.00               | 7.54              | 90.0 | 6.79                 |
| 04/02/2018                                   | HOLTKAMP, MARIGENE | AM FUNDS GROWTH FUND OF AMERICA A   | 7.79                 | 0.09                | 0.00               | 0.09              | 90.0 | 0.08                 |
| 04/02/2018                                   | HOLTKAMP, MARIGENE | AM FUNDS GROWTH FUND OF AMERICA A   | 52.00                | 0.62                | 0.00               | 0.62              | 90.0 | 0.56                 |
| 04/02/2018                                   | EULTGEN, VICKI     | AM FUNDS GROWTH FUND OF AMERICA A   | 44.91                | 0.54                | 0.00               | 0.54              | 90.0 | 0.49                 |
| 04/02/2018                                   | EULTGEN, VICKI     | AM FUNDS GROWTH FUND OF AMERICA A   | 105.00               | 1.26                | 0.00               | 1.26              | 90.0 | 1.13                 |
| 04/02/2018                                   | TURNER, JOSHUA     | AM FUNDS GROWTH FUND OF AMERICA A   | 31.86                | 0.38                | 0.00               | 0.38              | 90.0 | 0.34                 |
| 04/02/2018                                   | TURNER, JOSHUA     | AM FUNDS GROWTH FUND OF AMERICA A   | 31.84                | 0.38                | 0.00               | 0.38              | 90.0 | 0.34                 |
| 04/02/2018                                   | MURPHY, MELISSA    | AM FUNDS GROWTH FUND OF AMERICA A   | 41.25                | 0.50                | 0.00               | 0.50              | 90.0 | 0.45                 |
| 04/02/2018                                   | MURPHY, MELISSA    | AM FUNDS GROWTH FUND OF AMERICA A   | 260.25               | 3.12                | 0.00               | 3.12              | 90.0 | 2.81                 |
| 04/02/2018                                   | MURPHY, MICHAEL    | AM FUNDS GROWTH FUND OF AMERICA A   | 82.50                | 0.99                | 0.00               | 0.99              | 90.0 | 0.89                 |
| 04/02/2018                                   | MURPHY, MICHAEL    | AM FUNDS GROWTH FUND OF AMERICA A   | 645.83               | 7.75                | 0.00               | 7.75              | 90.0 | 6.98                 |
| 04/02/2018                                   | VICTOR, THOMAS     | AM FUNDS GROWTH FUND OF AMERICA A   | 27.55                | 0.33                | 0.00               | 0.33              | 90.0 | 0.30                 |
| 04/02/2018                                   | VICTOR, THOMAS     | AM FUNDS GROWTH FUND OF AMERICA A   | 27.55                | 0.33                | 0.00               | 0.33              | 90.0 | 0.30                 |

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|--|--------------------|-----------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b><u>DIRECT TRANSACTIONS</u></b>            |                    |                                   |                      |                     |                    |                   |      |                      |
| <b><u>PRODUCT CATEGORY: MUTUAL FUNDS</u></b> |                    |                                   |                      |                     |                    |                   |      |                      |
| 04/02/2018                                   | TURNER, COREY      | AM FUNDS GROWTH FUND OF AMERICA A | 41.25                | 0.50                | 0.00               | 0.50              | 90.0 | 0.45                 |
| 04/02/2018                                   | TURNER, COREY      | AM FUNDS GROWTH FUND OF AMERICA A | 260.25               | 3.12                | 0.00               | 3.12              | 90.0 | 2.81                 |
| 04/02/2018                                   | RYAN, MATTHEW      | AM FUNDS GROWTH FUND OF AMERICA A | 67.50                | 0.81                | 0.00               | 0.81              | 90.0 | 0.73                 |
| 04/02/2018                                   | RYAN, MATTHEW      | AM FUNDS GROWTH FUND OF AMERICA A | 67.50                | 0.81                | 0.00               | 0.81              | 90.0 | 0.73                 |
| 04/03/2018                                   | BAUER, MATTHEW     | AM FUNDS GROWTH FUND OF AMERICA A | 89.88                | 3.37                | 0.00               | 3.37              | 90.0 | 3.03                 |
| 04/03/2018                                   | SUMMERS, AARON     | AM FUNDS GROWTH FUND OF AMERICA A | 67.36                | 2.53                | 0.00               | 2.53              | 90.0 | 2.28                 |
| 04/03/2018                                   | EICHHOLZ, JARED    | AM FUNDS GROWTH FUND OF AMERICA A | 204.04               | 7.65                | 0.00               | 7.65              | 90.0 | 6.89                 |
| 04/03/2018                                   | KAUFMAN, ADAM      | AM FUNDS GROWTH FUND OF AMERICA A | 37.50                | 1.88                | 0.00               | 1.88              | 90.0 | 1.69                 |
| 04/03/2018                                   | KAUFMAN, ADAM      | AM FUNDS GROWTH FUND OF AMERICA A | 37.50                | 1.88                | 0.00               | 1.88              | 90.0 | 1.69                 |
| 04/03/2018                                   | JOHNSON, MARK      | AM FUNDS GROWTH FUND OF AMERICA A | 225.00               | 8.44                | 0.00               | 8.44              | 90.0 | 7.60                 |
| 04/03/2018                                   | THOMAS, VIRGIL     | AM FUNDS GROWTH FUND OF AMERICA A | 24.07                | 1.20                | 0.00               | 1.20              | 90.0 | 1.08                 |
| 04/03/2018                                   | THOMAS, VIRGIL     | AM FUNDS GROWTH FUND OF AMERICA A | 32.09                | 1.60                | 0.00               | 1.60              | 90.0 | 1.44                 |
| 04/05/2018                                   | GRIFFIN, AMANDA    | AM FUNDS GROWTH FUND OF AMERICA A | 44.19                | 0.44                | 0.00               | 0.44              | 90.0 | 0.40                 |
| 04/05/2018                                   | GRIFFIN, AMANDA    | AM FUNDS GROWTH FUND OF AMERICA A | 88.37                | 0.88                | 0.00               | 0.88              | 90.0 | 0.79                 |
| 04/05/2018                                   | STALEY, JOSELYN    | AM FUNDS GROWTH FUND OF AMERICA A | 15.22                | 0.15                | 0.00               | 0.15              | 90.0 | 0.14                 |
| 04/05/2018                                   | STALEY, JOSELYN    | AM FUNDS GROWTH FUND OF AMERICA A | 55.80                | 0.56                | 0.00               | 0.56              | 90.0 | 0.50                 |
| 04/05/2018                                   | CLASSENS, KRYSTA   | AM FUNDS GROWTH FUND OF AMERICA A | 18.54                | 0.19                | 0.00               | 0.19              | 90.0 | 0.17                 |
| 04/05/2018                                   | CLASSENS, KRYSTA   | AM FUNDS GROWTH FUND OF AMERICA A | 49.44                | 0.49                | 0.00               | 0.49              | 90.0 | 0.44                 |
| 04/05/2018                                   | MCKENZIE, JADA     | AM FUNDS GROWTH FUND OF AMERICA A | 48.12                | 0.48                | 0.00               | 0.48              | 90.0 | 0.43                 |
| 04/05/2018                                   | MCKENZIE, JADA     | AM FUNDS GROWTH FUND OF AMERICA A | 48.12                | 0.48                | 0.00               | 0.48              | 90.0 | 0.43                 |
| 04/05/2018                                   | GATTORNA, MICHAEL  | AM FUNDS GROWTH FUND OF AMERICA A | 30.76                | 0.31                | 0.00               | 0.31              | 90.0 | 0.28                 |
| 04/05/2018                                   | GATTORNA, MICHAEL  | AM FUNDS GROWTH FUND OF AMERICA A | 30.76                | 0.31                | 0.00               | 0.31              | 90.0 | 0.28                 |
| 04/05/2018                                   | MULLENIX, AMANDA   | AM FUNDS GROWTH FUND OF AMERICA A | 78.93                | 0.79                | 0.00               | 0.79              | 90.0 | 0.71                 |
| 04/05/2018                                   | MULLENIX, AMANDA   | AM FUNDS GROWTH FUND OF AMERICA A | 78.93                | 0.79                | 0.00               | 0.79              | 90.0 | 0.71                 |
| 04/05/2018                                   | KISER, ANDREA      | AM FUNDS GROWTH FUND OF AMERICA A | 46.41                | 0.46                | 0.00               | 0.46              | 90.0 | 0.41                 |
| 04/05/2018                                   | KISER, ANDREA      | AM FUNDS GROWTH FUND OF AMERICA A | 46.41                | 0.46                | 0.00               | 0.46              | 90.0 | 0.41                 |
| 04/05/2018                                   | LEHMAN, COLBY      | AM FUNDS GROWTH FUND OF AMERICA A | 100.00               | 5.00                | 0.00               | 5.00              | 90.0 | 4.50                 |
| 04/05/2018                                   | MCNERNEY, DYLAN    | AM FUNDS GROWTH FUND OF AMERICA A | 150.00               | 7.50                | 0.00               | 7.50              | 90.0 | 6.75                 |
| 04/02/2018                                   | HOLTKAMP, MARIGENE | AM FUNDS GROWTH PORT A            | 7.77                 | 0.09                | 0.00               | 0.09              | 90.0 | 0.08                 |
| 04/02/2018                                   | HOLTKAMP, MARIGENE | AM FUNDS GROWTH PORT A            | 52.00                | 0.62                | 0.00               | 0.62              | 90.0 | 0.56                 |
| 04/02/2018                                   | EULTGEN, VICKI     | AM FUNDS ICA A                    | 44.91                | 0.54                | 0.00               | 0.54              | 90.0 | 0.49                 |
| 04/02/2018                                   | EULTGEN, VICKI     | AM FUNDS ICA A                    | 105.00               | 1.26                | 0.00               | 1.26              | 90.0 | 1.13                 |
| 04/02/2018                                   | MURPHY, MELISSA    | AM FUNDS ICA A                    | 33.00                | 0.40                | 0.00               | 0.40              | 90.0 | 0.36                 |

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|--|---------------------|-----------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b><u>DIRECT TRANSACTIONS</u></b>            |                     |                                   |                      |                     |                    |                   |      |                      |
| <b><u>PRODUCT CATEGORY: MUTUAL FUNDS</u></b> |                     |                                   |                      |                     |                    |                   |      |                      |
| 04/02/2018                                   | MURPHY, MELISSA     | AM FUNDS ICA A                    | 208.20               | 2.50                | 0.00               | 2.50              | 90.0 | 2.25                 |
| 04/02/2018                                   | RIDGWAY, BENJAMIN   | AM FUNDS ICA A                    | 90.83                | 1.09                | 0.00               | 1.09              | 90.0 | 0.98                 |
| 04/02/2018                                   | RIDGWAY, BENJAMIN   | AM FUNDS ICA A                    | 90.83                | 1.09                | 0.00               | 1.09              | 90.0 | 0.98                 |
| 04/02/2018                                   | SUTTON, CHRISTOPHER | AM FUNDS ICA A                    | 86.41                | 1.04                | 0.00               | 1.04              | 90.0 | 0.94                 |
| 04/02/2018                                   | SUTTON, CHRISTOPHER | AM FUNDS ICA A                    | 112.00               | 1.34                | 0.00               | 1.34              | 90.0 | 1.21                 |
| 04/03/2018                                   | WINFREY, LARRY      | AM FUNDS ICA A                    | 250.00               | 9.38                | 0.00               | 9.38              | 90.0 | 8.44                 |
| 04/03/2018                                   | BAUER, MATTHEW      | AM FUNDS ICA A                    | 87.24                | 3.27                | 0.00               | 3.27              | 90.0 | 2.94                 |
| 04/03/2018                                   | SUMMERS, AARON      | AM FUNDS ICA A                    | 67.35                | 2.53                | 0.00               | 2.53              | 90.0 | 2.28                 |
| 04/03/2018                                   | EICHHOLZ, JARED     | AM FUNDS ICA A                    | 204.04               | 7.65                | 0.00               | 7.65              | 90.0 | 6.89                 |
| 04/05/2018                                   | OPPLAND, ZACHARY    | AM FUNDS ICA A                    | 61.20                | 0.61                | 0.00               | 0.61              | 90.0 | 0.55                 |
| 04/05/2018                                   | OPPLAND, ZACHARY    | AM FUNDS ICA A                    | 244.80               | 2.45                | 0.00               | 2.45              | 90.0 | 2.21                 |
| 04/05/2018                                   | REEDY, REBECCA      | AM FUNDS INCOME PORTFOLIO A       | 38.40                | 0.38                | 0.00               | 0.38              | 90.0 | 0.34                 |
| 04/05/2018                                   | REEDY, REBECCA      | AM FUNDS INCOME PORTFOLIO A       | 38.40                | 0.38                | 0.00               | 0.38              | 90.0 | 0.34                 |
| 04/02/2018                                   | HOLTKAMP, MARIGENE  | AM FUNDS INTL GROWTH AND INCOME A | 7.79                 | 0.09                | 0.00               | 0.09              | 90.0 | 0.08                 |
| 04/02/2018                                   | HOLTKAMP, MARIGENE  | AM FUNDS INTL GROWTH AND INCOME A | 52.00                | 0.62                | 0.00               | 0.62              | 90.0 | 0.56                 |
| 04/02/2018                                   | MURPHY, MELISSA     | AM FUNDS INTL GROWTH AND INCOME A | 33.00                | 0.40                | 0.00               | 0.40              | 90.0 | 0.36                 |
| 04/02/2018                                   | MURPHY, MELISSA     | AM FUNDS INTL GROWTH AND INCOME A | 208.20               | 2.50                | 0.00               | 2.50              | 90.0 | 2.25                 |
| 04/02/2018                                   | REDDICK, RYAN       | AM FUNDS NEW ECONOMY A            | 62.50                | 1.72                | 0.00               | 1.72              | 90.0 | 1.55                 |
| 04/02/2018                                   | CROWLEY, MICHA      | AM FUNDS NEW ECONOMY A            | 188.46               | 3.77                | 0.00               | 3.77              | 90.0 | 3.39                 |
| 04/02/2018                                   | ROBINETT, CHARISSA  | AM FUNDS NEW ECONOMY A            | 51.26                | 0.62                | 0.00               | 0.62              | 90.0 | 0.56                 |
| 04/02/2018                                   | ROBINETT, CHARISSA  | AM FUNDS NEW ECONOMY A            | 51.26                | 0.62                | 0.00               | 0.62              | 90.0 | 0.56                 |
| 04/02/2018                                   | SUTTON, CHRISTOPHER | AM FUNDS NEW ECONOMY A            | 37.03                | 0.44                | 0.00               | 0.44              | 90.0 | 0.40                 |
| 04/02/2018                                   | SUTTON, CHRISTOPHER | AM FUNDS NEW ECONOMY A            | 48.00                | 0.58                | 0.00               | 0.58              | 90.0 | 0.52                 |
| 04/03/2018                                   | BAUER, MATTHEW      | AM FUNDS NEW ECONOMY A            | 87.24                | 3.27                | 0.00               | 3.27              | 90.0 | 2.94                 |
| 04/05/2018                                   | STALEY, JOSELYN     | AM FUNDS NEW ECONOMY A            | 14.77                | 0.15                | 0.00               | 0.15              | 90.0 | 0.14                 |
| 04/05/2018                                   | STALEY, JOSELYN     | AM FUNDS NEW ECONOMY A            | 54.16                | 0.54                | 0.00               | 0.54              | 90.0 | 0.49                 |
| 04/05/2018                                   | NIELSEN, BRENDA     | AM FUNDS NEW ECONOMY A            | 69.23                | 0.69                | 0.00               | 0.69              | 90.0 | 0.62                 |
| 04/05/2018                                   | NIELSEN, BRENDA     | AM FUNDS NEW ECONOMY A            | 41.54                | 0.42                | 0.00               | 0.42              | 90.0 | 0.38                 |
| 04/02/2018                                   | EULTGEN, VICKI      | AM FUNDS NEW PERSPECTIVE A        | 29.94                | 0.36                | 0.00               | 0.36              | 90.0 | 0.32                 |
| 04/02/2018                                   | EULTGEN, VICKI      | AM FUNDS NEW PERSPECTIVE A        | 70.00                | 0.84                | 0.00               | 0.84              | 90.0 | 0.76                 |
| 04/02/2018                                   | TURNER, JOSHUA      | AM FUNDS NEW PERSPECTIVE A        | 31.84                | 0.38                | 0.00               | 0.38              | 90.0 | 0.34                 |
| 04/02/2018                                   | TURNER, JOSHUA      | AM FUNDS NEW PERSPECTIVE A        | 31.86                | 0.38                | 0.00               | 0.38              | 90.0 | 0.34                 |
| 04/02/2018                                   | MURPHY, MELISSA     | AM FUNDS NEW PERSPECTIVE A        | 33.00                | 0.40                | 0.00               | 0.40              | 90.0 | 0.36                 |

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

| DATE   | CLIENT              | INVESTMENT                 | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|--|---------------------|----------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b><u>DIRECT TRANSACTIONS</u></b>            |                     |                            |                      |                     |                    |                   |      |                      |
| <b><u>PRODUCT CATEGORY: MUTUAL FUNDS</u></b> |                     |                            |                      |                     |                    |                   |      |                      |
| 04/02/2018                                   | MURPHY, MELISSA     | AM FUNDS NEW PERSPECTIVE A | 208.20               | 2.50                | 0.00               | 2.50              | 90.0 | 2.25                 |
| 04/02/2018                                   | ROBINETT, CHARISSA  | AM FUNDS NEW PERSPECTIVE A | 51.27                | 0.62                | 0.00               | 0.62              | 90.0 | 0.56                 |
| 04/02/2018                                   | ROBINETT, CHARISSA  | AM FUNDS NEW PERSPECTIVE A | 51.27                | 0.62                | 0.00               | 0.62              | 90.0 | 0.56                 |
| 04/02/2018                                   | VICTOR, THOMAS      | AM FUNDS NEW PERSPECTIVE A | 27.55                | 0.33                | 0.00               | 0.33              | 90.0 | 0.30                 |
| 04/02/2018                                   | VICTOR, THOMAS      | AM FUNDS NEW PERSPECTIVE A | 27.55                | 0.33                | 0.00               | 0.33              | 90.0 | 0.30                 |
| 04/02/2018                                   | TURNER, COREY       | AM FUNDS NEW PERSPECTIVE A | 41.25                | 0.50                | 0.00               | 0.50              | 90.0 | 0.45                 |
| 04/02/2018                                   | TURNER, COREY       | AM FUNDS NEW PERSPECTIVE A | 260.25               | 3.12                | 0.00               | 3.12              | 90.0 | 2.81                 |
| 04/05/2018                                   | GRIFFIN, AMANDA     | AM FUNDS NEW PERSPECTIVE A | 44.19                | 0.44                | 0.00               | 0.44              | 90.0 | 0.40                 |
| 04/05/2018                                   | GRIFFIN, AMANDA     | AM FUNDS NEW PERSPECTIVE A | 88.37                | 0.88                | 0.00               | 0.88              | 90.0 | 0.79                 |
| 04/05/2018                                   | STALEY, JOSELYN     | AM FUNDS NEW PERSPECTIVE A | 14.77                | 0.15                | 0.00               | 0.15              | 90.0 | 0.14                 |
| 04/05/2018                                   | STALEY, JOSELYN     | AM FUNDS NEW PERSPECTIVE A | 54.16                | 0.54                | 0.00               | 0.54              | 90.0 | 0.49                 |
| 04/05/2018                                   | GATTORNA, MICHAEL   | AM FUNDS NEW PERSPECTIVE A | 29.86                | 0.30                | 0.00               | 0.30              | 90.0 | 0.27                 |
| 04/05/2018                                   | GATTORNA, MICHAEL   | AM FUNDS NEW PERSPECTIVE A | 29.86                | 0.30                | 0.00               | 0.30              | 90.0 | 0.27                 |
| 04/02/2018                                   | CROWLEY, MICHA      | AM FUNDS NEW WORLD A       | 188.46               | 3.77                | 0.00               | 3.77              | 90.0 | 3.39                 |
| 04/02/2018                                   | HOLTKAMP, MARIIGENE | AM FUNDS NEW WORLD A       | 38.94                | 0.47                | 0.00               | 0.47              | 90.0 | 0.42                 |
| 04/02/2018                                   | HOLTKAMP, MARIIGENE | AM FUNDS NEW WORLD A       | 260.00               | 3.12                | 0.00               | 3.12              | 90.0 | 2.81                 |
| 04/02/2018                                   | EULTGEN, VICKI      | AM FUNDS NEW WORLD A       | 14.97                | 0.18                | 0.00               | 0.18              | 90.0 | 0.16                 |
| 04/02/2018                                   | EULTGEN, VICKI      | AM FUNDS NEW WORLD A       | 35.00                | 0.42                | 0.00               | 0.42              | 90.0 | 0.38                 |
| 04/02/2018                                   | TURNER, JOSHUA      | AM FUNDS NEW WORLD A       | 31.86                | 0.38                | 0.00               | 0.38              | 90.0 | 0.34                 |
| 04/02/2018                                   | TURNER, JOSHUA      | AM FUNDS NEW WORLD A       | 31.86                | 0.38                | 0.00               | 0.38              | 90.0 | 0.34                 |
| 04/02/2018                                   | MURPHY, MELISSA     | AM FUNDS NEW WORLD A       | 8.25                 | 0.10                | 0.00               | 0.10              | 90.0 | 0.09                 |
| 04/02/2018                                   | MURPHY, MELISSA     | AM FUNDS NEW WORLD A       | 52.05                | 0.62                | 0.00               | 0.62              | 90.0 | 0.56                 |
| 04/02/2018                                   | MURPHY, MICHAEL     | AM FUNDS NEW WORLD A       | 82.50                | 0.99                | 0.00               | 0.99              | 90.0 | 0.89                 |
| 04/02/2018                                   | MURPHY, MICHAEL     | AM FUNDS NEW WORLD A       | 645.83               | 7.75                | 0.00               | 7.75              | 90.0 | 6.98                 |
| 04/02/2018                                   | VICTOR, THOMAS      | AM FUNDS NEW WORLD A       | 27.55                | 0.33                | 0.00               | 0.33              | 90.0 | 0.30                 |
| 04/02/2018                                   | VICTOR, THOMAS      | AM FUNDS NEW WORLD A       | 27.55                | 0.33                | 0.00               | 0.33              | 90.0 | 0.30                 |
| 04/02/2018                                   | TURNER, COREY       | AM FUNDS NEW WORLD A       | 41.25                | 0.50                | 0.00               | 0.50              | 90.0 | 0.45                 |
| 04/02/2018                                   | TURNER, COREY       | AM FUNDS NEW WORLD A       | 260.25               | 3.12                | 0.00               | 3.12              | 90.0 | 2.81                 |
| 04/02/2018                                   | RYAN, MATTHEW       | AM FUNDS NEW WORLD A       | 67.50                | 0.81                | 0.00               | 0.81              | 90.0 | 0.73                 |
| 04/02/2018                                   | RYAN, MATTHEW       | AM FUNDS NEW WORLD A       | 67.50                | 0.81                | 0.00               | 0.81              | 90.0 | 0.73                 |
| 04/05/2018                                   | GATTORNA, MICHAEL   | AM FUNDS NEW WORLD A       | 29.86                | 0.30                | 0.00               | 0.30              | 90.0 | 0.27                 |
| 04/05/2018                                   | GATTORNA, MICHAEL   | AM FUNDS NEW WORLD A       | 29.86                | 0.30                | 0.00               | 0.30              | 90.0 | 0.27                 |
| 04/02/2018                                   | REDDICK, RYAN       | AM FUNDS SMALLCAP WORLD A  | 62.50                | 1.72                | 0.00               | 1.72              | 90.0 | 1.55                 |

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|--|------------------|-------------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b><u>DIRECT TRANSACTIONS</u></b>            |                  |                                     |                      |                     |                    |                   |      |                      |
| <b><u>PRODUCT CATEGORY: MUTUAL FUNDS</u></b> |                  |                                     |                      |                     |                    |                   |      |                      |
| 04/02/2018                                   | EULTGEN, VICKI   | AM FUNDS SMALLCAP WORLD A           | 14.97                | 0.18                | 0.00               | 0.18              | 90.0 | 0.16                 |
| 04/02/2018                                   | EULTGEN, VICKI   | AM FUNDS SMALLCAP WORLD A           | 35.00                | 0.42                | 0.00               | 0.42              | 90.0 | 0.38                 |
| 04/02/2018                                   | TURNER, JOSHUA   | AM FUNDS SMALLCAP WORLD A           | 31.86                | 0.38                | 0.00               | 0.38              | 90.0 | 0.34                 |
| 04/02/2018                                   | TURNER, JOSHUA   | AM FUNDS SMALLCAP WORLD A           | 31.86                | 0.38                | 0.00               | 0.38              | 90.0 | 0.34                 |
| 04/02/2018                                   | MURPHY, MELISSA  | AM FUNDS SMALLCAP WORLD A           | 16.50                | 0.20                | 0.00               | 0.20              | 90.0 | 0.18                 |
| 04/02/2018                                   | MURPHY, MELISSA  | AM FUNDS SMALLCAP WORLD A           | 104.10               | 1.25                | 0.00               | 1.25              | 90.0 | 1.13                 |
| 04/02/2018                                   | VICTOR, THOMAS   | AM FUNDS SMALLCAP WORLD A           | 27.55                | 0.33                | 0.00               | 0.33              | 90.0 | 0.30                 |
| 04/02/2018                                   | VICTOR, THOMAS   | AM FUNDS SMALLCAP WORLD A           | 27.55                | 0.33                | 0.00               | 0.33              | 90.0 | 0.30                 |
| 04/02/2018                                   | TURNER, COREY    | AM FUNDS SMALLCAP WORLD A           | 41.25                | 0.50                | 0.00               | 0.50              | 90.0 | 0.45                 |
| 04/02/2018                                   | TURNER, COREY    | AM FUNDS SMALLCAP WORLD A           | 260.25               | 3.12                | 0.00               | 3.12              | 90.0 | 2.81                 |
| 04/05/2018                                   | REDDICK, RYAN    | AM FUNDS SMALLCAP WORLD A           | 34.74                | 0.35                | 0.00               | 0.35              | 90.0 | 0.32                 |
| 04/05/2018                                   | REDDICK, RYAN    | AM FUNDS SMALLCAP WORLD A           | 34.74                | 0.35                | 0.00               | 0.35              | 90.0 | 0.32                 |
| 04/02/2018                                   | TOMPKINS, ERIKA  | AM FUNDS WASHINGTON MUTUAL INVESTOR | 120.28               | 1.44                | 0.00               | 1.44              | 90.0 | 1.30                 |
| 04/02/2018                                   | TOMPKINS, ERIKA  | AM FUNDS WASHINGTON MUTUAL INVESTOR | 200.47               | 2.41                | 0.00               | 2.41              | 90.0 | 2.17                 |
| 04/05/2018                                   | GRIFFIN, AMANDA  | AM FUNDS WASHINGTON MUTUAL INVESTOR | 36.82                | 0.37                | 0.00               | 0.37              | 90.0 | 0.33                 |
| 04/05/2018                                   | GRIFFIN, AMANDA  | AM FUNDS WASHINGTON MUTUAL INVESTOR | 73.64                | 0.74                | 0.00               | 0.74              | 90.0 | 0.67                 |
| 04/04/2018                                   | GRIFFITH, CHERYL | FIDELITY ADV LARGE CAP              | 75.00                | 1.50                | 0.00               | 1.50              | 90.0 | 1.35                 |
| <b>* MUTUAL FUNDS SUBTOTAL *</b>             |                  |                                     | <b>\$18,424.68</b>   | <b>\$270.73</b>     | <b>\$0.00</b>      | <b>\$270.73</b>   |      | <b>\$243.78</b>      |

**PRODUCT CATEGORY: VARIABLE ANNUITIES**

|            |                      |                               |            |        |      |        |      |        |
|------------|----------------------|-------------------------------|------------|--------|------|--------|------|--------|
| 03/29/2018 | OGLESBY, WILLIAM     | ALLIANZ HIGH FIVE TRADITIONAL | 156,333.72 | 195.42 | 0.00 | 195.42 | 90.0 | 175.88 |
| 03/29/2018 | LEE, HOWARD          | ALLIANZ VISION                | 61,305.92  | 76.63  | 0.00 | 76.63  | 90.0 | 68.97  |
| 03/31/2018 | PAGE, BRIAN          | JNL ELITE ACCESS W/ LIQUIDITY | 12,033.82  | 10.03  | 0.00 | 10.03  | 90.0 | 9.03   |
| 03/31/2018 | ANDING, MARY DIANE   | JNL PERSPECTIVE II 04/14      | 98,899.06  | 41.21  | 0.00 | 41.21  | 90.0 | 37.09  |
| 03/31/2018 | STEWART, SHEILA      | JNL PERSPECTIVE II 04/14      | 248,473.49 | 103.53 | 0.00 | 103.53 | 90.0 | 93.18  |
| 03/31/2018 | DEAN GUIER INC       | JNL PERSPECTIVE II 04/14      | 194,268.91 | 80.95  | 0.00 | 80.95  | 90.0 | 72.86  |
| 03/31/2018 | GUIER, CARROL        | JNL PERSPECTIVE II 04/14      | 24,640.13  | 10.27  | 0.00 | 10.27  | 90.0 | 9.24   |
| 03/31/2018 | CALLIS, CHARLES      | JNL PERSPECTIVE II 05/05      | 29,164.82  | 12.15  | 0.00 | 12.15  | 90.0 | 10.94  |
| 03/31/2018 | OWEN, ERNEST         | JNL PERSPECTIVE II 05/05      | 142,410.75 | 59.34  | 0.00 | 59.34  | 90.0 | 53.41  |
| 03/31/2018 | OSSMAN, ED           | JNL PERSPECTIVE II 05/05      | 58,766.48  | 24.49  | 0.00 | 24.49  | 90.0 | 22.04  |
| 03/31/2018 | OSSMAN, EDWARD       | JNL PERSPECTIVE II 05/05      | 27,989.76  | 11.66  | 0.00 | 11.66  | 90.0 | 10.49  |
| 03/31/2018 | OSSMAN, EDWARD       | JNL PERSPECTIVE II 05/05      | 156,402.13 | 65.17  | 0.00 | 65.17  | 90.0 | 58.65  |
| 03/31/2018 | MARK, RICHARD GEORGE | JNL PERSPECTIVE II 05/05      | 95,343.42  | 39.73  | 0.00 | 39.73  | 90.0 | 35.76  |
| 03/31/2018 | LANGE, ARLEN         | JNL PERSPECTIVE II 05/05      | 123,120.07 | 51.30  | 0.00 | 51.30  | 90.0 | 46.17  |

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|---|--------------------|--------------------------|-----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b><u>DIRECT TRANSACTIONS</u></b>                       |                    |                          |                       |                     |                    |                   |      |                      |
| <b><u>PRODUCT CATEGORY: VARIABLE ANNUITIES</u></b>      |                    |                          |                       |                     |                    |                   |      |                      |
| 03/31/2018  | MCBRIDE, KENNETH   | JNL PERSPECTIVE II 05/05 | 277,051.41            | 115.44              | 0.00               | 115.44            | 90.0 | 103.90               |
| 03/31/2018  | ANDING, MARY DIANE | JNL PERSPECTIVE II 05/05 | 216,469.61            | 90.20               | 0.00               | 90.20             | 90.0 | 81.18                |
| 03/28/2018  | KLANG, MARCHEA     | SBL ADVISORDESIGNS VA    | 107,099.75            | 89.26               | 0.00               | 89.26             | 90.0 | 80.33                |
| 03/28/2018  | KLANG, MARCHEA     | SBL ADVISORDESIGNS VA    | 93,289.33             | 77.75               | 0.00               | 77.75             | 90.0 | 69.98                |
| 03/28/2018  | ANDERSON, CHERRI   | SBL ADVISORDESIGNS VA    | 26,986.58             | 22.49               | 0.00               | 22.49             | 90.0 | 20.24                |
| 03/28/2018  | BENNETT, MILDRED   | SBL ADVISORDESIGNS VA    | 99,608.74             | 83.01               | 0.00               | 83.01             | 90.0 | 74.71                |
| 03/28/2018  | DOWNS, JAMES       | SBL ADVISORDESIGNS VA    | 38,552.22             | 32.12               | 0.00               | 32.12             | 90.0 | 28.91                |
| 03/28/2018  | SCOFIELD, ROBERT   | SBL ADVISORDESIGNS VA    | 10,236.62             | 8.52                | 0.00               | 8.52              | 90.0 | 7.67                 |
| 03/28/2018  | LEE, HOWARD        | SBL SECUREDESIGNS VA     | 262,322.80            | 54.66               | 0.00               | 54.66             | 90.0 | 49.19                |
| <b>* VARIABLE ANNUITIES SUBTOTAL *</b>                  |                    |                          | <b>\$2,560,769.54</b> | <b>\$1,355.33</b>   | <b>\$0.00</b>      | <b>\$1,355.33</b> |      | <b>\$1,219.82</b>    |
| <b><u>PRODUCT CATEGORY: VARIABLE UNIVERSAL LIFE</u></b> |                    |                          |                       |                     |                    |                   |      |                      |
| 03/19/2018  | HALL, ELLEN        | PAC LIFE VUL             | 50.00                 | 1.00                | 0.00               | 1.00              | 90.0 | 0.90                 |
| 03/19/2018  | GRIFFITH, CHERYL   | PAC LIFE VUL             | 50.00                 | 1.00                | 0.00               | 1.00              | 90.0 | 0.90                 |
| 03/20/2018  | KILEY, CHRISTINE   | PAC LIFE VUL             | 200.00                | 6.00                | 0.00               | 6.00              | 90.0 | 5.40                 |
| 03/20/2018  | GAMM, SKYLAR       | PAC LIFE VUL             | 417.63                | 87.70               | 0.00               | 87.70             | 90.0 | 78.93                |
| 03/22/2018  | ELLIOTT, MITCHELL  | PAC LIFE VUL             | 26.01                 | 0.78                | 0.00               | 0.78              | 90.0 | 0.70                 |
| 03/22/2018  | ELLIOTT, MITCHELL  | PAC LIFE VUL             | 73.99                 | 2.22                | 0.00               | 2.22              | 90.0 | 2.00                 |
| 03/22/2018  | ELLIOTT, MITCHELL  | PAC LIFE VUL             | 1,218.02              | 2.44                | 0.00               | 2.44              | 90.0 | 2.20                 |
| 03/22/2018  | GAMM, SKYLAR       | PAC LIFE VUL             | 7.37                  | 0.15                | 0.00               | 0.15              | 90.0 | 0.14                 |
| 03/23/2018  | JONES, KAREN       | PAC LIFE VUL             | 50.00                 | 1.50                | 0.00               | 1.50              | 90.0 | 1.35                 |
| 03/26/2018  | KING, CALEB        | PAC LIFE VUL             | 50.00                 | 0.60                | 0.00               | 0.60              | 90.0 | 0.54                 |
| 03/26/2018  | JONES, KENNETH     | PAC LIFE VUL             | 60.00                 | 1.20                | 0.00               | 1.20              | 90.0 | 1.08                 |
| 03/26/2018  | ADAMS, GREGORY     | PAC LIFE VUL             | 150.00                | 3.00                | 0.00               | 3.00              | 90.0 | 2.70                 |
| 03/26/2018  | ADAMS, ASHLEY      | PAC LIFE VUL             | 100.00                | 2.00                | 0.00               | 2.00              | 90.0 | 1.80                 |
| 03/26/2018  | GRIFFIN, AMANDA    | PAC LIFE VUL             | 68.07                 | 1.36                | 0.00               | 1.36              | 90.0 | 1.22                 |
| 03/26/2018  | ADAMS, JAXON       | PAC LIFE VUL             | 50.00                 | 1.00                | 0.00               | 1.00              | 90.0 | 0.90                 |
| 03/26/2018  | GRIFFIN, AMANDA    | PAC LIFE VUL             | 37.85                 | 0.76                | 0.00               | 0.76              | 90.0 | 0.68                 |
| 03/26/2018  | CARSON, SEDEL      | PAC LIFE VUL             | 55.00                 | 0.55                | 0.00               | 0.55              | 90.0 | 0.50                 |
| 03/28/2018  | JONES, KAREN       | PAC LIFE VUL             | 2,970.20              | 5.94                | 0.00               | 5.94              | 90.0 | 5.35                 |
| 03/28/2018  | CARSON, MATTHEW    | PAC LIFE VUL             | 7.57                  | 0.08                | 0.00               | 0.08              | 90.0 | 0.07                 |
| 03/28/2018  | CARSON, MATTHEW    | PAC LIFE VUL             | 142.43                | 1.42                | 0.00               | 1.42              | 90.0 | 1.28                 |
| <b>* VARIABLE UNIVERSAL LIFE SUBTOTAL *</b>             |                    |                          | <b>\$5,784.14</b>     | <b>\$120.70</b>     | <b>\$0.00</b>      | <b>\$120.70</b>   |      | <b>\$108.64</b>      |

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|--|---------------------|-------------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <u>DIRECT TRANSACTIONS</u>                       |                     |                                     |                      |                     |                    |                   |      |                      |
| <u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u> |                     |                                     |                      |                     |                    |                   |      |                      |
| / /  | KAUFMAN, JEFFREY    | FIDELITY ADV CANADA                 | 0.00                 | 0.88                | 0.00               | 0.88              | 90.0 | 0.79                 |
| / /  | KAUFMAN, JEFFREY    | FIDELITY ADV EMERGING EMEA          | 0.00                 | 1.09                | 0.00               | 1.09              | 90.0 | 0.98                 |
| / /  | KAUFMAN, JEFFREY    | FIDELITY ADV ENERGY CL M            | 0.00                 | 0.79                | 0.00               | 0.79              | 90.0 | 0.71                 |
| / /  | KAUFMAN, JEFFREY    | FIDELITY ADV GLOBAL CAP APP T       | 0.00                 | 2.38                | 0.00               | 2.38              | 90.0 | 2.14                 |
| / /  | KAUFMAN, JEFFREY    | FIDELITY ADV GLOBAL COMMODITY STK   | 0.00                 | 0.94                | 0.00               | 0.94              | 90.0 | 0.85                 |
| / /  | KAUFMAN, JEFFREY    | FIDELITY ADV GOLD                   | 0.00                 | 0.76                | 0.00               | 0.76              | 90.0 | 0.68                 |
| / /  | WILMSMEYER, CHRISTA | FIDELITY ADV GOLD C                 | 0.00                 | 0.63                | 0.00               | 0.63              | 90.0 | 0.57                 |
| / /  | GRIFFITH, CHERYL    | FIDELITY ADV GOVERNMENT INC         | 0.00                 | 0.11                | 0.00               | 0.11              | 90.0 | 0.10                 |
| / /  | HALL, ELLEN         | FIDELITY ADV GROWTH OPP             | 0.00                 | 11.96               | 0.00               | 11.96             | 90.0 | 10.76                |
| / /  | ELLIOTT, TIMOTHY    | FIDELITY ADV GROWTH OPP             | 0.00                 | 1.44                | 0.00               | 1.44              | 90.0 | 1.30                 |
| / /  | KAUFMAN, JEFFREY    | FIDELITY ADV GROWTH OPP             | 0.00                 | 9.24                | 0.00               | 9.24              | 90.0 | 8.32                 |
| / /  | GRIFFITH, CHERYL    | FIDELITY ADV INTL SM CAP CL T       | 0.00                 | 5.14                | 0.00               | 5.14              | 90.0 | 4.63                 |
| / /  | GRIFFITH, CHERYL    | FIDELITY ADV LARGE CAP              | 0.00                 | 7.12                | 0.00               | 7.12              | 90.0 | 6.41                 |
| / /  | WILMSMEYER, CHRISTA | FIDELITY ADV LEVERAGED CO STOCK C   | 0.00                 | 8.79                | 0.00               | 8.79              | 90.0 | 7.91                 |
| / /  | HALL, ELLEN         | FIDELITY ADV LEVERAGED CO STOCK-CL  | 0.00                 | 2.99                | 0.00               | 2.99              | 90.0 | 2.69                 |
| / /  | WILMSMEYER, CHRISTA | FIDELITY ADV MATERIALS C            | 0.00                 | 4.91                | 0.00               | 4.91              | 90.0 | 4.42                 |
| / /  | GRIFFITH, CHERYL    | FIDELITY ADV OVERSEAS               | 0.00                 | 1.29                | 0.00               | 1.29              | 90.0 | 1.16                 |
| / /  | GRIFFITH, CHERYL    | FIDELITY ADV SMALL CAP              | 0.00                 | 1.36                | 0.00               | 1.36              | 90.0 | 1.22                 |
| / /  | KAUFMAN, JEFFREY    | FIDELITY ADV SMALL CAP GROWTH C     | 0.00                 | 0.80                | 0.00               | 0.80              | 90.0 | 0.72                 |
| / /  | GRIFFITH, CHERYL    | FIDELITY ADV STOCK SELECTOR ALL CAP | 0.00                 | 12.09               | 0.00               | 12.09             | 90.0 | 10.88                |
| / /  | KAUFMAN, JEFFREY    | FIDELITY ADV STOCK SELECTOR ALL CAP | 0.00                 | 2.58                | 0.00               | 2.58              | 90.0 | 2.32                 |
| / /  | WILMSMEYER, CHRISTA | FIDELITY ADV UTILITIES C            | 0.00                 | 9.76                | 0.00               | 9.76              | 90.0 | 8.78                 |
| / /  | GRIFFITH, CHERYL    | FIDELITY ADVISOR EVENT DRIVEN OPPS  | 0.00                 | 2.85                | 0.00               | 2.85              | 90.0 | 2.57                 |
| / /  | KAUFMAN, JEFFREY    | FIDELITY ADVISOR EVENT DRIVEN OPPS  | 0.00                 | 1.88                | 0.00               | 1.88              | 90.0 | 1.69                 |
| / /  | KAUFMAN, JEFFREY    | FIDELITY ADVISOR MATERIALS FUND-CLA | 0.00                 | 1.17                | 0.00               | 1.17              | 90.0 | 1.05                 |
| / /  | WILMSMEYER, CHRISTA | FIDELITY ADVISORS 31618H424         | 0.00                 | 6.64                | 0.00               | 6.64              | 90.0 | 5.98                 |
| / /  | HALL, ELLEN         | FIDELITY ADVISORS 31618H440         | 0.00                 | 1.39                | 0.00               | 1.39              | 90.0 | 1.25                 |
| / /  | GRIFFITH, CHERYL    | FIDELITY BALANCED T                 | 0.00                 | 0.59                | 0.00               | 0.59              | 90.0 | 0.53                 |
| / /  | GRIFFITH, CHERYL    | FIDELITY BALANCED T                 | 0.00                 | 15.62               | 0.00               | 15.62             | 90.0 | 14.06                |
| / /  | HALL, ELLEN         | FIDELITY COMM EQUIPMENT T           | 0.00                 | 1.98                | 0.00               | 1.98              | 90.0 | 1.78                 |
| / /  | GRIFFITH, CHERYL    | FIDELITY EQUITY VALUE               | 0.00                 | 10.48               | 0.00               | 10.48             | 90.0 | 9.43                 |
| / /  | KAUFMAN, JEFFREY    | FIDELITY FINANCIAL SERVICES T       | 0.00                 | 1.02                | 0.00               | 1.02              | 90.0 | 0.92                 |
| / /  | KAUFMAN, JEFFREY    | FIDELITY MIDCAP C                   | 0.00                 | 0.56                | 0.00               | 0.56              | 90.0 | 0.50                 |

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| DATE   | CLIENT           | INVESTMENT                          | INVESTMENT<br>AMOUNT  | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|--|------------------|-------------------------------------|-----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b><u>DIRECT TRANSACTIONS</u></b>                            |                  |                                     |                       |                     |                    |                   |      |                      |
| <b><u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u></b>      |                  |                                     |                       |                     |                    |                   |      |                      |
| / /  | GRIFFITH, CHERYL | FIDELITY MIDCAP T                   | 0.00                  | 9.80                | 0.00               | 9.80              | 90.0 | 8.82                 |
| / /  | KAUFMAN, JEFFREY | FIDLEITY ADV INTL REAL ESTATE       | 0.00                  | 1.05                | 0.00               | 1.05              | 90.0 | 0.95                 |
| / /  | GRIFFITH, CHERYL | FIDLEITY ADVISOR LATIN AMERICA FUND | 0.00                  | 3.06                | 0.00               | 3.06              | 90.0 | 2.75                 |
| / /  | KAUFMAN, JEFFREY | FIDLEITY ADVISOR LATIN AMERICA FUND | 0.00                  | 2.62                | 0.00               | 2.62              | 90.0 | 2.36                 |
| / /  | MCS DESIGN TEAM  | HARTFORD BALANCED C                 | 0.00                  | 17.34               | 0.00               | 17.34             | 90.0 | 15.61                |
| / /  | MCS DESIGN TEAM  | HARTFORD DIVIDEND & GROWTH C        | 0.00                  | 19.34               | 0.00               | 19.34             | 90.0 | 17.41                |
| <b>* MUTUAL FUND 12B1 TRAILS SUBTOTAL *</b>                  |                  |                                     | <b>\$0.00</b>         | <b>\$184.44</b>     | <b>\$0.00</b>      | <b>\$184.44</b>   |      | <b>\$166.00</b>      |
| <b><u>PRODUCT CATEGORY: VARIABLE ANNUITY 12B1 TRAILS</u></b> |                  |                                     |                       |                     |                    |                   |      |                      |
| 03/21/2018   | JENNINGS, MARY   | PAC LIFE PACIFIC CHOICE             | 0.00                  | 314.19              | 0.00               | 314.19            | 90.0 | 282.77               |
| 03/28/2018   | GROFF, CHRISTINE | PAC LIFE PACIFIC CHOICE             | 0.00                  | 738.88              | 0.00               | 738.88            | 90.0 | 664.99               |
| <b>* VARIABLE ANNUITY 12B1 TRAILS SUBTOTAL *</b>             |                  |                                     | <b>\$0.00</b>         | <b>\$1,053.07</b>   | <b>\$0.00</b>      | <b>\$1,053.07</b> |      | <b>\$947.76</b>      |
| <b>*** DIRECT TRANSACTIONS TOTAL ***</b>                     |                  |                                     | <b>\$2,584,978.36</b> | <b>\$2,984.27</b>   | <b>\$0.00</b>      | <b>\$2,984.27</b> |      | <b>\$2,686.00</b>    |

**SPLIT TRANSACTIONS****BROKER: JEFF/JASON, K148 KAUFMAN/KEMBLE #349**

|            |                   |                                    |           |        |      |        |      |        |
|------------|-------------------|------------------------------------|-----------|--------|------|--------|------|--------|
| 03/27/2018 | MCMILLION, CORENA | AM FUNDS AMERICAN BALANCED A       | 15,000.00 | 350.62 | 0.00 | 350.62 | 90.0 | 315.56 |
| 03/27/2018 | KILBRETH, NANCY   | AM FUNDS AMERICAN BALANCED A       | 1,000.00  | 23.37  | 0.00 | 23.37  | 90.0 | 21.03  |
| 04/05/2018 | WAHLIG, KACEY     | AM FUNDS AMERICAN BALANCED A       | 21.74     | 0.12   | 0.00 | 0.12   | 90.0 | 0.11   |
| 04/05/2018 | WAHLIG, KACEY     | AM FUNDS AMERICAN BALANCED A       | 21.74     | 0.12   | 0.00 | 0.12   | 90.0 | 0.11   |
| 04/05/2018 | LUKIC, MIROSLAV   | AM FUNDS EUROPACIFIC GROWTH FUND A | 28.28     | 0.15   | 0.00 | 0.15   | 90.0 | 0.14   |
| 04/05/2018 | LUKIC, MIROSLAV   | AM FUNDS EUROPACIFIC GROWTH FUND A | 28.27     | 0.15   | 0.00 | 0.15   | 90.0 | 0.14   |
| 04/05/2018 | SKELTON, SARAH    | AM FUNDS EUROPACIFIC GROWTH FUND A | 34.49     | 0.19   | 0.00 | 0.19   | 90.0 | 0.17   |
| 04/05/2018 | SKELTON, SARAH    | AM FUNDS EUROPACIFIC GROWTH FUND A | 34.49     | 0.19   | 0.00 | 0.19   | 90.0 | 0.17   |
| 03/26/2018 | WHEAT, BRYAN      | AM FUNDS GROWTH FUND OF AMERICA A  | 229.00    | 6.30   | 0.00 | 6.30   | 90.0 | 5.67   |
| 03/28/2018 | BROWN, CODY       | AM FUNDS GROWTH FUND OF AMERICA A  | 100.00    | 2.75   | 0.00 | 2.75   | 90.0 | 2.48   |
| 04/02/2018 | SUMNER, CALEB     | AM FUNDS GROWTH FUND OF AMERICA A  | 90.45     | 2.11   | 0.00 | 2.11   | 90.0 | 1.90   |
| 04/02/2018 | SUMNER, CALEB     | AM FUNDS GROWTH FUND OF AMERICA A  | 520.84    | 12.18  | 0.00 | 12.18  | 90.0 | 10.96  |
| 04/02/2018 | BARTLETT, STEVEN  | AM FUNDS GROWTH FUND OF AMERICA A  | 83.31     | 0.55   | 0.00 | 0.55   | 90.0 | 0.50   |
| 04/02/2018 | BARTLETT, STEVEN  | AM FUNDS GROWTH FUND OF AMERICA A  | 49.99     | 0.33   | 0.00 | 0.33   | 90.0 | 0.30   |
| 04/02/2018 | SUMNER, CASEY     | AM FUNDS GROWTH FUND OF AMERICA A  | 520.84    | 12.18  | 0.00 | 12.18  | 90.0 | 10.96  |
| 04/02/2018 | SUMNER, CASEY     | AM FUNDS GROWTH FUND OF AMERICA A  | 19.36     | 0.45   | 0.00 | 0.45   | 90.0 | 0.41   |
| 04/02/2018 | MORIARITY, COREY  | AM FUNDS GROWTH FUND OF AMERICA A  | 117.24    | 0.78   | 0.00 | 0.78   | 90.0 | 0.70   |

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| DATE   | CLIENT              | INVESTMENT                        | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|--|---------------------|-----------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b><u>SPLIT TRANSACTIONS</u></b>                           |                     |                                   |                      |                     |                    |                   |      |                      |
| <b><u>BROKER: JEFF/JASON, K148 KAUFMAN/KEMBLE #349</u></b> |                     |                                   |                      |                     |                    |                   |      |                      |
| 04/02/2018   | MORIARITY, COREY    | AM FUNDS GROWTH FUND OF AMERICA A | 117.24               | 0.78                | 0.00               | 0.78              | 90.0 | 0.70                 |
| 04/02/2018   | ALLEY, KAMERON      | AM FUNDS GROWTH FUND OF AMERICA A | 89.53                | 0.59                | 0.00               | 0.59              | 90.0 | 0.53                 |
| 04/02/2018   | ALLEY, KAMERON      | AM FUNDS GROWTH FUND OF AMERICA A | 89.53                | 0.59                | 0.00               | 0.59              | 90.0 | 0.53                 |
| 04/03/2018   | GUTIERREZ, GRISELDA | AM FUNDS GROWTH FUND OF AMERICA A | 24.77                | 0.68                | 0.00               | 0.68              | 90.0 | 0.61                 |
| 04/03/2018   | GUTIERREZ, GRISELDA | AM FUNDS GROWTH FUND OF AMERICA A | 24.77                | 0.68                | 0.00               | 0.68              | 90.0 | 0.61                 |
| 04/05/2018   | CARSON, MATTHEW     | AM FUNDS GROWTH FUND OF AMERICA A | 53.31                | 0.29                | 0.00               | 0.29              | 90.0 | 0.26                 |
| 04/05/2018   | CARSON, MATTHEW     | AM FUNDS GROWTH FUND OF AMERICA A | 53.31                | 0.29                | 0.00               | 0.29              | 90.0 | 0.26                 |
| 04/05/2018   | EISELE, HAMILTON    | AM FUNDS GROWTH FUND OF AMERICA A | 18.00                | 0.10                | 0.00               | 0.10              | 90.0 | 0.09                 |
| 04/05/2018   | EISELE, HAMILTON    | AM FUNDS GROWTH FUND OF AMERICA A | 24.00                | 0.13                | 0.00               | 0.13              | 90.0 | 0.12                 |
| 04/05/2018   | MAIDA, KAILEY       | AM FUNDS GROWTH FUND OF AMERICA A | 7.65                 | 0.04                | 0.00               | 0.04              | 90.0 | 0.04                 |
| 04/05/2018   | MAIDA, KAILEY       | AM FUNDS GROWTH FUND OF AMERICA A | 10.00                | 0.05                | 0.00               | 0.05              | 90.0 | 0.05                 |
| 04/05/2018   | DOOLEY, BRUCE       | AM FUNDS GROWTH FUND OF AMERICA A | 46.69                | 0.26                | 0.00               | 0.26              | 90.0 | 0.23                 |
| 04/05/2018   | DOOLEY, BRUCE       | AM FUNDS GROWTH FUND OF AMERICA A | 46.69                | 0.26                | 0.00               | 0.26              | 90.0 | 0.23                 |
| 04/05/2018   | BONHAM, NICOLE      | AM FUNDS GROWTH FUND OF AMERICA A | 12.13                | 0.07                | 0.00               | 0.07              | 90.0 | 0.06                 |
| 04/05/2018   | BONHAM, NICOLE      | AM FUNDS GROWTH FUND OF AMERICA A | 12.13                | 0.07                | 0.00               | 0.07              | 90.0 | 0.06                 |
| 04/05/2018   | LUKIC, MIROSLAV     | AM FUNDS GROWTH FUND OF AMERICA A | 29.13                | 0.16                | 0.00               | 0.16              | 90.0 | 0.14                 |
| 04/05/2018   | LUKIC, MIROSLAV     | AM FUNDS GROWTH FUND OF AMERICA A | 29.13                | 0.16                | 0.00               | 0.16              | 90.0 | 0.14                 |
| 04/05/2018   | CARTER, NICKOLAS    | AM FUNDS GROWTH FUND OF AMERICA A | 20.77                | 0.12                | 0.00               | 0.12              | 90.0 | 0.11                 |
| 04/05/2018   | CARTER, NICKOLAS    | AM FUNDS GROWTH FUND OF AMERICA A | 20.77                | 0.12                | 0.00               | 0.12              | 90.0 | 0.11                 |
| 04/05/2018   | BOEDECKER, SUZANNE  | AM FUNDS GROWTH FUND OF AMERICA A | 44.27                | 0.24                | 0.00               | 0.24              | 90.0 | 0.22                 |
| 04/05/2018   | BOEDECKER, SUZANNE  | AM FUNDS GROWTH FUND OF AMERICA A | 44.27                | 0.24                | 0.00               | 0.24              | 90.0 | 0.22                 |
| 04/05/2018   | BERGH, AMELIA       | AM FUNDS GROWTH FUND OF AMERICA A | 38.93                | 0.21                | 0.00               | 0.21              | 90.0 | 0.19                 |
| 04/05/2018   | BERGH, AMELIA       | AM FUNDS GROWTH FUND OF AMERICA A | 38.93                | 0.21                | 0.00               | 0.21              | 90.0 | 0.19                 |
| 04/05/2018   | WILBANKS, DAVID     | AM FUNDS GROWTH FUND OF AMERICA A | 29.38                | 0.16                | 0.00               | 0.16              | 90.0 | 0.14                 |
| 04/05/2018   | WILBANKS, DAVID     | AM FUNDS GROWTH FUND OF AMERICA A | 29.38                | 0.16                | 0.00               | 0.16              | 90.0 | 0.14                 |
| 04/05/2018   | YARICK, ABIGAIL     | AM FUNDS GROWTH FUND OF AMERICA A | 30.54                | 0.17                | 0.00               | 0.17              | 90.0 | 0.15                 |
| 04/05/2018   | YARICK, ABIGAIL     | AM FUNDS GROWTH FUND OF AMERICA A | 30.54                | 0.17                | 0.00               | 0.17              | 90.0 | 0.15                 |
| 04/05/2018   | CATALANO, SHELBY    | AM FUNDS GROWTH FUND OF AMERICA A | 39.68                | 0.22                | 0.00               | 0.22              | 90.0 | 0.20                 |
| 04/05/2018   | CATALANO, SHELBY    | AM FUNDS GROWTH FUND OF AMERICA A | 39.68                | 0.22                | 0.00               | 0.22              | 90.0 | 0.20                 |
| 04/05/2018   | SHIELDS, DANA       | AM FUNDS GROWTH FUND OF AMERICA A | 31.33                | 0.17                | 0.00               | 0.17              | 90.0 | 0.15                 |
| 04/05/2018   | SHIELDS, DANA       | AM FUNDS GROWTH FUND OF AMERICA A | 73.11                | 0.40                | 0.00               | 0.40              | 90.0 | 0.36                 |
| 04/05/2018   | PINTOR, SARAH       | AM FUNDS GROWTH FUND OF AMERICA A | 11.41                | 0.06                | 0.00               | 0.06              | 90.0 | 0.05                 |
| 04/05/2018   | PINTOR, SARAH       | AM FUNDS GROWTH FUND OF AMERICA A | 11.41                | 0.06                | 0.00               | 0.06              | 90.0 | 0.05                 |

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| DATE   | CLIENT              | INVESTMENT                        | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|--|---------------------|-----------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b><u>SPLIT TRANSACTIONS</u></b>                           |                     |                                   |                      |                     |                    |                   |      |                      |
| <b><u>BROKER: JEFF/JASON, K148 KAUFMAN/KEMBLE #349</u></b> |                     |                                   |                      |                     |                    |                   |      |                      |
| 04/05/2018   | PANHORST, ELIZABETH | AM FUNDS GROWTH FUND OF AMERICA A | 33.48                | 0.18                | 0.00               | 0.18              | 90.0 | 0.16                 |
| 04/05/2018   | PANHORST, ELIZABETH | AM FUNDS GROWTH FUND OF AMERICA A | 33.48                | 0.18                | 0.00               | 0.18              | 90.0 | 0.16                 |
| 04/05/2018   | ASBURY, CANAAN      | AM FUNDS GROWTH FUND OF AMERICA A | 46.78                | 0.26                | 0.00               | 0.26              | 90.0 | 0.23                 |
| 04/05/2018   | ASBURY, CANAAN      | AM FUNDS GROWTH FUND OF AMERICA A | 46.78                | 0.26                | 0.00               | 0.26              | 90.0 | 0.23                 |
| 04/05/2018   | DOWNES, JANICE      | AM FUNDS GROWTH FUND OF AMERICA A | 44.49                | 0.24                | 0.00               | 0.24              | 90.0 | 0.22                 |
| 04/05/2018   | DOWNES, JANICE      | AM FUNDS GROWTH FUND OF AMERICA A | 44.49                | 0.24                | 0.00               | 0.24              | 90.0 | 0.22                 |
| 04/05/2018   | HELMANDOLLAR, ARIC  | AM FUNDS GROWTH FUND OF AMERICA A | 37.82                | 0.21                | 0.00               | 0.21              | 90.0 | 0.19                 |
| 04/05/2018   | HELMANDOLLAR, ARIC  | AM FUNDS GROWTH FUND OF AMERICA A | 37.82                | 0.21                | 0.00               | 0.21              | 90.0 | 0.19                 |
| 04/05/2018   | DIXON, CAITLIN      | AM FUNDS GROWTH FUND OF AMERICA A | 31.20                | 0.17                | 0.00               | 0.17              | 90.0 | 0.15                 |
| 04/05/2018   | DIXON, CAITLIN      | AM FUNDS GROWTH FUND OF AMERICA A | 31.20                | 0.17                | 0.00               | 0.17              | 90.0 | 0.15                 |
| 04/05/2018   | JOHNSON, CHADRIC    | AM FUNDS GROWTH FUND OF AMERICA A | 36.72                | 0.20                | 0.00               | 0.20              | 90.0 | 0.18                 |
| 04/05/2018   | JOHNSON, CHADRIC    | AM FUNDS GROWTH FUND OF AMERICA A | 36.72                | 0.20                | 0.00               | 0.20              | 90.0 | 0.18                 |
| 04/05/2018   | OLIVER, ASHLEY      | AM FUNDS GROWTH FUND OF AMERICA A | 29.68                | 0.16                | 0.00               | 0.16              | 90.0 | 0.14                 |
| 04/05/2018   | OLIVER, ASHLEY      | AM FUNDS GROWTH FUND OF AMERICA A | 29.68                | 0.16                | 0.00               | 0.16              | 90.0 | 0.14                 |
| 04/05/2018   | FAGAN, CALEB        | AM FUNDS GROWTH FUND OF AMERICA A | 11.40                | 0.06                | 0.00               | 0.06              | 90.0 | 0.05                 |
| 04/05/2018   | FAGAN, CALEB        | AM FUNDS GROWTH FUND OF AMERICA A | 11.40                | 0.06                | 0.00               | 0.06              | 90.0 | 0.05                 |
| 04/05/2018   | CULLEY, TRACY       | AM FUNDS GROWTH PORT A            | 44.67                | 0.25                | 0.00               | 0.25              | 90.0 | 0.23                 |
| 04/05/2018   | CULLEY, TRACY       | AM FUNDS GROWTH PORT A            | 148.89               | 0.82                | 0.00               | 0.82              | 90.0 | 0.74                 |
| 04/02/2018   | HAGUE, VICTORIA     | AM FUNDS ICA A                    | 67.61                | 0.45                | 0.00               | 0.45              | 90.0 | 0.41                 |
| 04/02/2018   | HAGUE, VICTORIA     | AM FUNDS ICA A                    | 1,033.33             | 6.82                | 0.00               | 6.82              | 90.0 | 6.14                 |
| 04/05/2018   | ZELLMER, RIANNON    | AM FUNDS ICA A                    | 14.11                | 0.08                | 0.00               | 0.08              | 90.0 | 0.07                 |
| 04/05/2018   | ZELLMER, RIANNON    | AM FUNDS ICA A                    | 14.11                | 0.08                | 0.00               | 0.08              | 90.0 | 0.07                 |
| 04/05/2018   | WAHLIG, KACEY       | AM FUNDS ICA A                    | 21.75                | 0.12                | 0.00               | 0.12              | 90.0 | 0.11                 |
| 04/05/2018   | WAHLIG, KACEY       | AM FUNDS ICA A                    | 21.75                | 0.12                | 0.00               | 0.12              | 90.0 | 0.11                 |
| 04/02/2018   | SUMNER, CALEB       | AM FUNDS NEW ECONOMY A            | 90.45                | 2.11                | 0.00               | 2.11              | 90.0 | 1.90                 |
| 04/02/2018   | SUMNER, CALEB       | AM FUNDS NEW ECONOMY A            | 520.83               | 12.18               | 0.00               | 12.18             | 90.0 | 10.96                |
| 04/02/2018   | SUMNER, CASEY       | AM FUNDS NEW ECONOMY A            | 520.83               | 12.18               | 0.00               | 12.18             | 90.0 | 10.96                |
| 04/02/2018   | SUMNER, CASEY       | AM FUNDS NEW ECONOMY A            | 19.35                | 0.45                | 0.00               | 0.45              | 90.0 | 0.41                 |
| 04/05/2018   | MCKENZIE, JADA      | AM FUNDS NEW ECONOMY A            | 60.00                | 1.65                | 0.00               | 1.65              | 90.0 | 1.49                 |
| 04/05/2018   | POLSON, CHRISTOPHER | AM FUNDS NEW ECONOMY A            | 44.27                | 0.24                | 0.00               | 0.24              | 90.0 | 0.22                 |
| 04/05/2018   | POLSON, CHRISTOPHER | AM FUNDS NEW ECONOMY A            | 44.27                | 0.24                | 0.00               | 0.24              | 90.0 | 0.22                 |
| 04/02/2018   | LEHMAN, COLBY       | AM FUNDS NEW PERSPECTIVE A        | 50.00                | 1.37                | 0.00               | 1.37              | 90.0 | 1.23                 |
| 04/05/2018   | MCNERNEY, DAVID     | AM FUNDS NEW PERSPECTIVE A        | 123.00               | 0.68                | 0.00               | 0.68              | 90.0 | 0.61                 |

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| DATE   | CLIENT           | INVESTMENT                 | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|--|------------------|----------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b><u>SPLIT TRANSACTIONS</u></b>                           |                  |                            |                      |                     |                    |                   |      |                      |
| <b><u>BROKER: JEFF/JASON, K148 KAUFMAN/KEMBLE #349</u></b> |                  |                            |                      |                     |                    |                   |      |                      |
| 04/05/2018   | MCNERNEY, DAVID  | AM FUNDS NEW PERSPECTIVE A | 848.58               | 4.67                | 0.00               | 4.67              | 90.0 | 4.20                 |
| 04/05/2018   | AHMED, OMAR      | AM FUNDS NEW PERSPECTIVE A | 32.30                | 0.18                | 0.00               | 0.18              | 90.0 | 0.16                 |
| 04/05/2018   | AHMED, OMAR      | AM FUNDS NEW PERSPECTIVE A | 32.30                | 0.18                | 0.00               | 0.18              | 90.0 | 0.16                 |
| 04/05/2018   | EISELE, HAMILTON | AM FUNDS NEW WORLD A       | 18.00                | 0.10                | 0.00               | 0.10              | 90.0 | 0.09                 |
| 04/05/2018   | EISELE, HAMILTON | AM FUNDS NEW WORLD A       | 24.00                | 0.13                | 0.00               | 0.13              | 90.0 | 0.12                 |
| 04/05/2018   | STIDHAM, AUSTIN  | AM FUNDS NEW WORLD A       | 57.64                | 0.32                | 0.00               | 0.32              | 90.0 | 0.29                 |
| 04/05/2018   | STIDHAM, AUSTIN  | AM FUNDS NEW WORLD A       | 34.58                | 0.19                | 0.00               | 0.19              | 90.0 | 0.17                 |
| 04/02/2018   | HAGUE, VICTORIA  | AM FUNDS SMALLCAP WORLD A  | 16.90                | 0.11                | 0.00               | 0.11              | 90.0 | 0.10                 |
| 04/02/2018   | HAGUE, VICTORIA  | AM FUNDS SMALLCAP WORLD A  | 258.33               | 1.70                | 0.00               | 1.70              | 90.0 | 1.53                 |
| 04/02/2018   | BARTLETT, STEVEN | AM FUNDS SMALLCAP WORLD A  | 83.31                | 0.55                | 0.00               | 0.55              | 90.0 | 0.50                 |
| 04/02/2018   | BARTLETT, STEVEN | AM FUNDS SMALLCAP WORLD A  | 49.99                | 0.33                | 0.00               | 0.33              | 90.0 | 0.30                 |
| 04/05/2018   | LUKIC, MIROSLAV  | AM FUNDS SMALLCAP WORLD A  | 28.27                | 0.15                | 0.00               | 0.15              | 90.0 | 0.14                 |
| 04/05/2018   | LUKIC, MIROSLAV  | AM FUNDS SMALLCAP WORLD A  | 28.28                | 0.15                | 0.00               | 0.15              | 90.0 | 0.14                 |
| 03/28/2018   | CARSON, SEDEL    | PAC LIFE VUL               | 55.00                | 0.30                | 0.00               | 0.30              | 90.0 | 0.27                 |
| 03/28/2018   | CARSON, MATTHEW  | PAC LIFE VUL               | 7.57                 | 0.04                | 0.00               | 0.04              | 90.0 | 0.04                 |
| 03/28/2018   | CARSON, MATTHEW  | PAC LIFE VUL               | 142.43               | 0.78                | 0.00               | 0.78              | 90.0 | 0.70                 |
| * JEFF/JASON, K148 KAUFMAN/KEMBLE SUBTOTAL *               |                  |                            | <b>\$24,222.29</b>   | <b>\$473.35</b>     | <b>\$0.00</b>      | <b>\$473.35</b>   |      | <b>\$426.03</b>      |
| *** SPLIT TRANSACTIONS TOTAL ***                           |                  |                            | <b>\$24,222.29</b>   | <b>\$473.35</b>     | <b>\$0.00</b>      | <b>\$473.35</b>   |      | <b>\$426.03</b>      |

**VERRIDE TRANSACTIONS**

|  |                  |                                   |                 |                 |               |                 |      |                 |
|--|------------------|-----------------------------------|-----------------|-----------------|---------------|-----------------|------|-----------------|
| <b><u>BROKER: K146-JASON KEMBLE #348</u></b> |                  |                                   |                 |                 |               |                 |      |                 |
| 03/26/2018                                   | DANIELS, CLINTON | AM FUNDS GROWTH FUND OF AMERICA A | 100.00          | 4.25            | 0.00          | 4.25            | 90.0 | 1.70            |
| 03/26/2018                                   | DANIELS, AMY     | AM FUNDS GROWTH FUND OF AMERICA A | 50.00           | 2.13            | 0.00          | 2.13            | 90.0 | 0.85            |
| 03/26/2018                                   | DANIELS, AMY     | AM FUNDS NEW PERSPECTIVE A        | 50.00           | 2.13            | 0.00          | 2.13            | 90.0 | 0.85            |
| 03/26/2018                                   | DANIELS, CLINTON | AM FUNDS SMALLCAP WORLD A         | 100.00          | 4.25            | 0.00          | 4.25            | 90.0 | 1.70            |
| 03/28/2018                                   | GROFF, CHRISTINE | PAC LIFE PACIFIC CHOICE           | 0.00            | 738.88          | 0.00          | 738.88          | 90.0 | 295.55          |
| * K146-JASON KEMBLE SUBTOTAL *               |                  |                                   | <b>\$300.00</b> | <b>\$751.64</b> | <b>\$0.00</b> | <b>\$751.64</b> |      | <b>\$300.65</b> |
| *** OVERRIDE TRANSACTIONS TOTAL ***          |                  |                                   | <b>\$300.00</b> | <b>\$751.64</b> | <b>\$0.00</b> | <b>\$751.64</b> |      | <b>\$300.65</b> |

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

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

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

| DATE                      | CLIENT | INVESTMENT                                | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|---------------------------|--------|---|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b><u>ADJUSTMENTS</u></b> |        |   |                      |                     |                    |                   |      |                      |
| 04/15/2018                |        | *E & O INSURANCE: CURRENT MONTH INS       | 0.00                 |                     |                    |                   |      | -300.00              |
| 04/15/2018                |        | *FINRA: FBI FINGERPRINT - C.<br>KAUFMAN   | 0.00                 |                     |                    |                   |      | -10.00               |
| 04/15/2018                |        | *FINRA: FBI FINGERPRINT- N. BONHAM        | 0.00                 |                     |                    |                   |      | -10.00               |
| 04/15/2018                |        | *FINRA: FINRA FINGERPRINT - C.<br>KAUFMAN | 0.00                 |                     |                    |                   |      | -15.00               |
| 04/15/2018                |        | *FINRA: FINRA FINGERPRINT - N.<br>BONHAM  | 0.00                 |                     |                    |                   |      | -15.00               |
| 04/15/2018                |        | *MARKETING PRO: PRO USER                  | 0.00                 |                     |                    |                   |      | -45.00               |
| 04/15/2018                |        | *TECHNOLOGY: ADMIN - KIM KAUFMAN          | 0.00                 |                     |                    |                   |      | -100.00              |
| 04/15/2018                |        | *TECHNOLOGY: CURRENT MONTH TECH           | 0.00                 |                     |                    |                   |      | -275.00              |
| *** ADJUSTMENTS TOTAL *** |        |   | \$0.00               | \$0.00              | \$0.00             | \$0.00            |      | \$-770.00            |

**BROKER COMMISSION TOTALS**

|                       |            |
|-----------------------|------------|
| Broker Transactions   | \$2,686.00 |
| Split Transactions    | \$426.03   |
| Override Transactions | \$300.65   |
| Adjustments           | \$-770.00  |
| Payroll Draw          | \$0.00     |
| Base Salary           | \$0.00     |
| Prior Period Balance  | \$0.00     |
| FINRA Assessment      | \$0.00     |
| SIPC Assessment       | \$0.00     |

|                       |             |
|-----------------------|-------------|
| Check Amount          | \$2,642.68  |
| Year-to-date Gross    | \$75,945.41 |
| Year-to-date Earnings | \$73,597.24 |

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

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

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