



Concorde Investment Services, LLC  
**COMMISSION STATEMENT**  
**December 15, 2017**

12/15/2017  
Page No. 1

JOSEPH (TERRY) MANN  
219 E. 31st Street

BROKER #: M132  
BRANCH: JOSEPH "TERRY" MANN

Savannah, GA 31401

DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<b><u>DIRECT TRANSACTIONS</u></b>								
<b><u>PRODUCT CATEGORY: PRIVATE PLACEMENT</u></b>								
11/30/2017	NEUHAUSER, MITCHELL & STAC	BOURNE SENIORS HOUSING III	25,000.00	1,750.00	0.00	1,750.00	91.0	1,592.50
		* PRIVATE PLACEMENT SUBTOTAL *	\$25,000.00	\$1,750.00	\$0.00	\$1,750.00		\$1,592.50
<b><u>PRODUCT CATEGORY: MUTUAL FUNDS</u></b>								
12/05/2017	HADAWAY, DEBORAH	AMERICAN HIGH-INCOME MUNI BOND FUND	100.00	1.00	0.00	1.00	91.0	0.91
11/20/2017	MOORE, THOMAS	FIDELITY ADV MATERIALS C	250.00	2.50	0.00	2.50	91.0	2.28
/ /	MOORE, THOMAS	FIDELITY ADV MEGA CAP STOCK	0.00	2.50	0.00	2.50	91.0	2.28
		* MUTUAL FUNDS SUBTOTAL *	\$350.00	\$6.00	\$0.00	\$6.00		\$5.47
<b><u>PRODUCT CATEGORY: VARIABLE ANNUITIES</u></b>								
11/20/2017	KRAUS, KATHLEEN	PRU DEFINED INCOME	61,698.73	3,084.94	0.00	3,084.94	91.0	2,807.30
11/21/2017	WARSTADT, ELIZABETH	PRU PREMIER RETIREMENT B	500.00	35.00	0.00	35.00	91.0	31.85
		* VARIABLE ANNUITIES SUBTOTAL *	\$62,198.73	\$3,119.94	\$0.00	\$3,119.94		\$2,839.15
<b><u>PRODUCT CATEGORY: VARIABLE UNIVERSAL LIFE</u></b>								
11/13/2017	DUNLAP, TONY	PAC LIFE VUL	0.00	1.80	0.00	1.80	91.0	1.64
11/13/2017	GALLAGHER, MICHAEL	PAC LIFE VUL	0.00	9.50	0.00	9.50	91.0	8.65
11/13/2017	VERMA, ANAND	PAC LIFE VUL	0.00	10.00	0.00	10.00	91.0	9.10
11/15/2017	CONLEY, CHRISTOPHER	PAC LIFE VUL	0.00	0.93	0.00	0.93	91.0	0.85
11/16/2017	HOFFMAN, ADON	PAC LIFE VUL	0.00	3.40	0.00	3.40	91.0	3.09
11/22/2017	BLACK, AMELIA	PAC LIFE VUL	0.00	1.76	0.00	1.76	91.0	1.60
11/22/2017	BLACK, RICHARD	PAC LIFE VUL	0.00	2.36	0.00	2.36	91.0	2.15
11/22/2017	JARRETT, LAURIE	PAC LIFE VUL	0.00	1.35	0.00	1.35	91.0	1.23
11/24/2017	GODLESKI, KEVIN	PAC LIFE VUL	0.00	3.07	0.00	3.07	91.0	2.79
11/24/2017	GODLESKI, KEVIN	PAC LIFE VUL	0.00	0.29	0.00	0.29	91.0	0.26
11/24/2017	GODLESKI, KIRSTEN	PAC LIFE VUL	0.00	2.64	0.00	2.64	91.0	2.40
		* VARIABLE UNIVERSAL LIFE SUBTOTAL *	\$0.00	\$37.10	\$0.00	\$37.10		\$33.76

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

DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<b><u>DIRECT TRANSACTIONS</u></b>								
<b><u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u></b>								
12/01/2017	DUNLAP, TONY	AM FUNDS AMCAP A	0.00	0.54	0.00	0.54	91.0	0.49
12/01/2017	MOORE, MELISSA	AM FUNDS AMCAP A	0.00	3.27	0.00	3.27	91.0	2.98
12/01/2017	MOORE, THOMAS	AM FUNDS AMCAP A	0.00	4.10	0.00	4.10	91.0	3.73
12/01/2017	MOORE, MELISSA	AM FUNDS AMCAP A	0.00	4.59	0.00	4.59	91.0	4.18
12/01/2017	KRAUS, KATHLEEN	AM FUNDS AMCAP A	0.00	2.40	0.00	2.40	91.0	2.18
12/01/2017	HOFFMAN, LISA	AM FUNDS AMCAP A	0.00	0.44	0.00	0.44	91.0	0.40
12/01/2017	COLLINS, REGENA	AM FUNDS AMCAP A	0.00	4.00	0.00	4.00	91.0	3.64
12/01/2017	COLLINS, JAMES	AM FUNDS AMCAP A	0.00	2.02	0.00	2.02	91.0	1.84
12/01/2017	PAI, YOGISH	AM FUNDS AMCAP C	0.00	46.69	0.00	46.69	91.0	42.49
12/01/2017	EMBRY, JASON	AM FUNDS AMCAP C	0.00	2.70	0.00	2.70	91.0	2.46
12/01/2017	BLANCHARD, TALIA	AM FUNDS AMCAP C	0.00	87.98	0.00	87.98	91.0	80.06
12/01/2017	MOORE, MELISSA	AM FUNDS AMCAP C	0.00	90.61	0.00	90.61	91.0	82.46
12/01/2017	BLANCHARD, TALIA	AM FUNDS AMCAP F1	0.00	2.45	0.00	2.45	91.0	2.23
12/01/2017	PAI, YOGISH	AM FUNDS AMCAP F1	0.00	27.81	0.00	27.81	91.0	25.31
12/01/2017	EMBRY, JASON	AM FUNDS AMCAP F1	0.00	0.51	0.00	0.51	91.0	0.46
12/01/2017	BLANCHARD, TALIA	AM FUNDS AMCAP F1	0.00	5.22	0.00	5.22	91.0	4.75
12/01/2017	MOORE, MELISSA	AM FUNDS AMCAP F1	0.00	5.40	0.00	5.40	91.0	4.91
12/01/2017	FRAME, JANET	AM FUNDS AMERICAN BALANCED A	0.00	2.49	0.00	2.49	91.0	2.27
12/01/2017	WHELDON, ALYSON	AM FUNDS AMERICAN BALANCED A	0.00	2.09	0.00	2.09	91.0	1.90
12/01/2017	BOYD/BENE, DEVON	AM FUNDS AMERICAN BALANCED A	0.00	1.08	0.00	1.08	91.0	0.98
12/01/2017	FRAME, JANET	AM FUNDS AMERICAN BALANCED A	0.00	4.27	0.00	4.27	91.0	3.89
12/01/2017	FRAME/BENE, WADE	AM FUNDS AMERICAN BALANCED A	0.00	5.25	0.00	5.25	91.0	4.78
12/01/2017	DUNLAP, ANNA	AM FUNDS AMERICAN BALANCED C	0.00	5.34	0.00	5.34	91.0	4.86
12/01/2017	MOORE, THOMAS	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	3.86	0.00	3.86	91.0	3.51
12/01/2017	DUNLAP, ANNA	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	4.08	0.00	4.08	91.0	3.71
12/01/2017	KRAUS, JOHN	AM FUNDS AMERICAN MUTUAL C	0.00	14.45	0.00	14.45	91.0	13.15
12/01/2017	KRAUS, KATHLEEN	AM FUNDS BOND FUND OF AMERICA A	0.00	2.37	0.00	2.37	91.0	2.16
12/01/2017	FRAME, JANET	AM FUNDS BOND FUND OF AMERICA C	0.00	9.08	0.00	9.08	91.0	8.26
12/01/2017	DUNLAP, ANNA	AM FUNDS BOND FUND OF AMERICA C	0.00	3.18	0.00	3.18	91.0	2.89
12/01/2017	BOYD/BENE, DEVON	AM FUNDS BOND FUND OF AMERICA C	0.00	3.85	0.00	3.85	91.0	3.50
12/01/2017	FRAME, JANET	AM FUNDS BOND FUND OF AMERICA C	0.00	15.32	0.00	15.32	91.0	13.94
12/01/2017	FRAME/BENE, WADE	AM FUNDS BOND FUND OF AMERICA C	0.00	18.37	0.00	18.37	91.0	16.72
12/01/2017	DUNLAP, TONY	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.39	0.00	0.39	91.0	0.35

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<b><u>DIRECT TRANSACTIONS</u></b>								
<b><u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u></b>								
12/01/2017	BLANCHARD, TALIA	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.18	0.00	0.18	91.0	0.16
12/01/2017	BLANCHARD, DAVID	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.18	0.00	0.18	91.0	0.16
12/01/2017	KRAUS, KATHLEEN	AM FUNDS CAPITAL INCOME BUILDER A	0.00	3.96	0.00	3.96	91.0	3.60
12/01/2017	MOORE, LUCY	AM FUNDS CAPITAL INCOME BUILDER A	0.00	4.69	0.00	4.69	91.0	4.27
12/01/2017	MOORE, MAX	AM FUNDS CAPITAL INCOME BUILDER A	0.00	4.64	0.00	4.64	91.0	4.22
12/01/2017	COLLINS, REGENA	AM FUNDS CAPITAL INCOME BUILDER A	0.00	1.01	0.00	1.01	91.0	0.92
12/01/2017	BLANCHARD, DAVID	AM FUNDS CAPITAL INCOME BUILDER C	0.00	21.31	0.00	21.31	91.0	19.39
12/01/2017	MOORE, THOMAS	AM FUNDS CAPITAL INCOME BUILDER C	0.00	87.21	0.00	87.21	91.0	79.36
12/01/2017	MOORE, MELISSA	AM FUNDS CAPITAL INCOME BUILDER C	0.00	63.93	0.00	63.93	91.0	58.18
12/01/2017	KRAUS, JOHN	AM FUNDS CAPITAL INCOME BUILDER C	0.00	19.36	0.00	19.36	91.0	17.62
12/01/2017	KRAUS, KATHLEEN	AM FUNDS CAPITAL INCOME BUILDER C	0.00	5.80	0.00	5.80	91.0	5.28
12/01/2017	MOORE, THOMAS	AM FUNDS CAPITAL INCOME BUILDER F1	0.00	1.34	0.00	1.34	91.0	1.22
12/01/2017	BLANCHARD, TALIA	AM FUNDS CAPITAL INCOME BUILDER F1	0.00	1.98	0.00	1.98	91.0	1.80
12/01/2017	MOORE, MELISSA	AM FUNDS CAPITAL INCOME BUILDER F1	0.00	3.57	0.00	3.57	91.0	3.25
12/01/2017	FRAME, JANET	AM FUNDS CAPITAL WORLD BOND A	0.00	1.18	0.00	1.18	91.0	1.07
12/01/2017	BOYD/BENE, DEVON	AM FUNDS CAPITAL WORLD BOND A	0.00	0.50	0.00	0.50	91.0	0.46
12/01/2017	FRAME, JANET	AM FUNDS CAPITAL WORLD BOND A	0.00	1.97	0.00	1.97	91.0	1.79
12/01/2017	FRAME/BENE, WADE	AM FUNDS CAPITAL WORLD BOND A	0.00	2.37	0.00	2.37	91.0	2.16
12/01/2017	MOORE, THOMAS	AM FUNDS CAPITAL WORLD BOND C	0.00	3.54	0.00	3.54	91.0	3.22
12/01/2017	KRAUS, JOHN	AM FUNDS CAPITAL WORLD BOND C	0.00	8.00	0.00	8.00	91.0	7.28
12/01/2017	DUNLAP, ANNA	AM FUNDS CAPITAL WORLD BOND C	0.00	2.52	0.00	2.52	91.0	2.29
12/01/2017	DUNLAP, TONY	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.59	0.00	0.59	91.0	0.54
12/01/2017	FRAME, JANET	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	1.87	0.00	1.87	91.0	1.70
12/01/2017	MOORE, MELISSA	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	3.04	0.00	3.04	91.0	2.77
12/01/2017	MOORE, THOMAS	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	3.57	0.00	3.57	91.0	3.25
12/01/2017	BLANCHARD, TALIA	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	1.13	0.00	1.13	91.0	1.03
12/01/2017	BLANCHARD, DAVID	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	1.11	0.00	1.11	91.0	1.01
12/01/2017	HOFFMAN, LISA	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.56	0.00	0.56	91.0	0.51
12/01/2017	COLLINS, REGENA	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	3.50	0.00	3.50	91.0	3.19
12/01/2017	COLLINS, JAMES	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.95	0.00	0.95	91.0	0.86
12/01/2017	BOYD/BENE, DEVON	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.82	0.00	0.82	91.0	0.75
12/01/2017	FRAME, JANET	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	3.23	0.00	3.23	91.0	2.94
12/01/2017	FRAME/BENE, WADE	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	4.01	0.00	4.01	91.0	3.65

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<b><u>DIRECT TRANSACTIONS</u></b>								
<b><u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u></b>								
12/01/2017	BLANCHARD, DAVID	AM FUNDS CAPITAL WORLD GRTH & INC C	0.00	0.15	0.00	0.15	91.0	0.14
12/01/2017	MOORE, THOMAS	AM FUNDS CAPITAL WORLD GRTH & INC C	0.00	0.05	0.00	0.05	91.0	0.05
12/01/2017	SALOME, KIMBERLEY	AM FUNDS CAPITAL WORLD GRTH & INC C	0.00	5.86	0.00	5.86	91.0	5.33
12/01/2017	KRAUS, JOHN	AM FUNDS CAPITAL WORLD GRTH & INC C	0.00	9.74	0.00	9.74	91.0	8.86
12/01/2017	BLANCHARD, DAVID	AM FUNDS CAPITAL WORLD GRTH & INC C	0.00	1.71	0.00	1.71	91.0	1.56
12/01/2017	MOORE, THOMAS	AM FUNDS CAPITAL WORLD GRTH & INC C	0.00	0.79	0.00	0.79	91.0	0.72
12/01/2017	BLANCHARD, TALIA	AM FUNDS CAPITAL WORLD GRTH & INC C	0.00	4.14	0.00	4.14	91.0	3.77
12/01/2017	DUNLAP, TONY	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	0.23	0.00	0.23	91.0	0.21
12/01/2017	SAMPLES, FAY	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	0.17	0.00	0.17	91.0	0.15
12/01/2017	DUNLAP, ANNA	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	4.73	0.00	4.73	91.0	4.30
12/01/2017	MOORE, MELISSA	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	3.53	0.00	3.53	91.0	3.21
12/01/2017	MOORE, THOMAS	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	4.42	0.00	4.42	91.0	4.02
12/01/2017	MOORE, MELISSA	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	4.53	0.00	4.53	91.0	4.12
12/01/2017	HOFFMAN, LANDON	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	2.04	0.00	2.04	91.0	1.86
12/01/2017	KRAUS, KATHLEEN	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	2.56	0.00	2.56	91.0	2.33
12/01/2017	HOFFMAN, LISA	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	0.49	0.00	0.49	91.0	0.45
12/01/2017	MOORE, LUCY	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	5.16	0.00	5.16	91.0	4.70
12/01/2017	MOORE, MAX	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	6.88	0.00	6.88	91.0	6.26
12/01/2017	COLLINS, REGENA	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	0.72	0.00	0.72	91.0	0.66
12/01/2017	DEWICK, JAMES	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	0.48	0.00	0.48	91.0	0.44
12/01/2017	COLLINS, JAMES	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	0.72	0.00	0.72	91.0	0.66
12/01/2017	BLANCHARD, DAVID	AM FUNDS EUROPACIFIC GROWTH FUND C	0.00	21.86	0.00	21.86	91.0	19.89
12/01/2017	MOORE, THOMAS	AM FUNDS EUROPACIFIC GROWTH FUND C	0.00	26.15	0.00	26.15	91.0	23.80
12/01/2017	EMBRY, JASON	AM FUNDS EUROPACIFIC GROWTH FUND C	0.00	1.93	0.00	1.93	91.0	1.76
12/01/2017	BLANCHARD, TALIA	AM FUNDS EUROPACIFIC GROWTH FUND C	0.00	62.10	0.00	62.10	91.0	56.51
12/01/2017	MACQUARRIE, MILES	AM FUNDS EUROPACIFIC GROWTH FUND C	0.00	27.45	0.00	27.45	91.0	24.98
12/01/2017	KRAUS, JOHN	AM FUNDS EUROPACIFIC GROWTH FUND C	0.00	9.08	0.00	9.08	91.0	8.26
12/01/2017	EMBRY, JASON	AM FUNDS EUROPACIFIC GROWTH FUND F1	0.00	0.42	0.00	0.42	91.0	0.38
12/01/2017	BLANCHARD, TALIA	AM FUNDS EUROPACIFIC GROWTH FUND F1	0.00	3.46	0.00	3.46	91.0	3.15
12/01/2017	MOORE, MELISSA	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	4.10	0.00	4.10	91.0	3.73
12/01/2017	KRAUS, KATHLEEN	AM FUNDS FUNDAMENTAL INVESTORS C	0.00	7.78	0.00	7.78	91.0	7.08
12/01/2017	FRAME, JANET	AM FUNDS GLOBAL BALANCED A	0.00	2.39	0.00	2.39	91.0	2.17
12/01/2017	KRAUS, KATHLEEN	AM FUNDS GLOBAL BALANCED A	0.00	5.52	0.00	5.52	91.0	5.02

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<b><u>DIRECT TRANSACTIONS</u></b>								
<b><u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u></b>								
12/01/2017	BOYD/BENE, DEVON	AM FUNDS GLOBAL BALANCED A	0.00	1.03	0.00	1.03	91.0	0.94
12/01/2017	FRAME, JANET	AM FUNDS GLOBAL BALANCED A	0.00	4.09	0.00	4.09	91.0	3.72
12/01/2017	FRAME/BENE, WADE	AM FUNDS GLOBAL BALANCED A	0.00	4.98	0.00	4.98	91.0	4.53
12/01/2017	FRAME, JANET	AM FUNDS GLOBAL BALANCED C	0.00	7.33	0.00	7.33	91.0	6.67
12/01/2017	GALLAGHER, RYAN	AM FUNDS GLOBAL BALANCED C	0.00	63.87	0.00	63.87	91.0	58.12
12/01/2017	BOYD/BENE, DEVON	AM FUNDS GLOBAL BALANCED C	0.00	3.16	0.00	3.16	91.0	2.88
12/01/2017	FRAME, JANET	AM FUNDS GLOBAL BALANCED C	0.00	12.53	0.00	12.53	91.0	11.40
12/01/2017	FRAME/BENE, WADE	AM FUNDS GLOBAL BALANCED C	0.00	15.22	0.00	15.22	91.0	13.85
12/01/2017	MOORE, THOMAS	AM FUNDS GROWTH FUND OF AMERICA A	0.00	5.18	0.00	5.18	91.0	4.71
12/01/2017	MOORE, MELISSA	AM FUNDS GROWTH FUND OF AMERICA A	0.00	5.51	0.00	5.51	91.0	5.01
12/01/2017	TITTLE, WILLIAM	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.12	0.00	0.12	91.0	0.11
12/01/2017	DUNLAP, TONY	AM FUNDS GROWTH FUND OF AMERICA A	0.00	4.44	0.00	4.44	91.0	4.04
12/01/2017	DUNLAP, TONY	AM FUNDS GROWTH FUND OF AMERICA A	0.00	3.00	0.00	3.00	91.0	2.73
12/01/2017	DEWICK, JAMES	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.68	0.00	0.68	91.0	0.62
12/01/2017	VOGEL, RYAN	AM FUNDS GROWTH FUND OF AMERICA A	0.00	2.60	0.00	2.60	91.0	2.37
12/01/2017	BLANCHARD, DAVID	AM FUNDS GROWTH FUND OF AMERICA C	0.00	38.72	0.00	38.72	91.0	35.24
12/01/2017	MOORE, THOMAS	AM FUNDS GROWTH FUND OF AMERICA C	0.00	111.55	0.00	111.55	91.0	101.51
12/01/2017	BLANCHARD, TALIA	AM FUNDS GROWTH FUND OF AMERICA C	0.00	87.30	0.00	87.30	91.0	79.44
12/01/2017	MOORE, MELISSA	AM FUNDS GROWTH FUND OF AMERICA C	0.00	90.04	0.00	90.04	91.0	81.94
12/01/2017	MACQUARRIE, MILES	AM FUNDS GROWTH FUND OF AMERICA C	0.00	38.60	0.00	38.60	91.0	35.13
12/01/2017	KRAUS, JOHN	AM FUNDS GROWTH FUND OF AMERICA C	0.00	14.53	0.00	14.53	91.0	13.22
12/01/2017	MOORE, THOMAS	AM FUNDS GROWTH FUND OF AMERICA F1	0.00	1.97	0.00	1.97	91.0	1.79
12/01/2017	BLANCHARD, TALIA	AM FUNDS GROWTH FUND OF AMERICA F1	0.00	5.23	0.00	5.23	91.0	4.76
12/01/2017	MOORE, MELISSA	AM FUNDS GROWTH FUND OF AMERICA F1	0.00	5.45	0.00	5.45	91.0	4.96
12/01/2017	DUNLAP, TONY	AM FUNDS ICA A	0.00	0.42	0.00	0.42	91.0	0.38
12/01/2017	DUNLAP, ANNA	AM FUNDS ICA A	0.00	4.35	0.00	4.35	91.0	3.96
12/01/2017	KRAUS, KATHLEEN	AM FUNDS ICA A	0.00	4.68	0.00	4.68	91.0	4.26
12/01/2017	COLLINS, REGENA	AM FUNDS ICA A	0.00	1.02	0.00	1.02	91.0	0.93
12/01/2017	DUNLAP, TONY	AM FUNDS INCOME FUND OF AMERICA A	0.00	0.80	0.00	0.80	91.0	0.73
12/01/2017	GA/TOD	AM FUNDS INCOME FUND OF AMERICA A	0.00	44.53	0.00	44.53	91.0	40.52
12/01/2017	FRAME, JANET	AM FUNDS INCOME FUND OF AMERICA C	0.00	14.05	0.00	14.05	91.0	12.79
12/01/2017	KRAUS, KATHLEEN	AM FUNDS INCOME FUND OF AMERICA C	0.00	6.65	0.00	6.65	91.0	6.05
12/01/2017	BOYD/BENE, DEVON	AM FUNDS INCOME FUND OF AMERICA C	0.00	6.12	0.00	6.12	91.0	5.57

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<b><u>DIRECT TRANSACTIONS</u></b>								
<b><u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u></b>								
12/01/2017	FRAME, JANET	AM FUNDS INCOME FUND OF AMERICA C	0.00	24.23	0.00	24.23	91.0	22.05
12/01/2017	FRAME/BENE, WADE	AM FUNDS INCOME FUND OF AMERICA C	0.00	29.45	0.00	29.45	91.0	26.80
12/01/2017	FRAME, JANET	AM FUNDS INTL GROWTH AND INCOME A	0.00	0.32	0.00	0.32	91.0	0.29
12/01/2017	BOYD/BENE, DEVON	AM FUNDS INTL GROWTH AND INCOME A	0.00	0.14	0.00	0.14	91.0	0.13
12/01/2017	FRAME, JANET	AM FUNDS INTL GROWTH AND INCOME A	0.00	0.56	0.00	0.56	91.0	0.51
12/01/2017	FRAME/BENE, WADE	AM FUNDS INTL GROWTH AND INCOME A	0.00	0.69	0.00	0.69	91.0	0.63
12/01/2017	DUNLAP, TONY	AM FUNDS NEW ECONOMY A	0.00	0.21	0.00	0.21	91.0	0.19
12/01/2017	MOORE, MELISSA	AM FUNDS NEW ECONOMY A	0.00	4.07	0.00	4.07	91.0	3.70
12/01/2017	PAI, YOGISH	AM FUNDS NEW ECONOMY C	0.00	16.75	0.00	16.75	91.0	15.24
12/01/2017	LUPO, ROBERT	AM FUNDS NEW ECONOMY C	0.00	47.38	0.00	47.38	91.0	43.12
12/01/2017	PAI, YOGISH	AM FUNDS NEW ECONOMY FUND	0.00	36.58	0.00	36.58	91.0	33.29
12/01/2017	DUNLAP, TONY	AM FUNDS NEW PERSPECTIVE A	0.00	1.42	0.00	1.42	91.0	1.29
12/01/2017	DUNLAP, ANNA	AM FUNDS NEW PERSPECTIVE A	0.00	0.19	0.00	0.19	91.0	0.17
12/01/2017	MOORE, MELISSA	AM FUNDS NEW PERSPECTIVE A	0.00	5.40	0.00	5.40	91.0	4.91
12/01/2017	DEWICK, TRENTEN	AM FUNDS NEW PERSPECTIVE A	0.00	0.63	0.00	0.63	91.0	0.57
12/01/2017	BLANCHARD, TALIA	AM FUNDS NEW PERSPECTIVE A	0.00	0.67	0.00	0.67	91.0	0.61
12/01/2017	BLANCHARD, DAVID	AM FUNDS NEW PERSPECTIVE A	0.00	0.64	0.00	0.64	91.0	0.58
12/01/2017	HOFFMAN, LISA	AM FUNDS NEW PERSPECTIVE A	0.00	0.58	0.00	0.58	91.0	0.53
12/01/2017	DEWICK, DYLAN	AM FUNDS NEW PERSPECTIVE A	0.00	0.35	0.00	0.35	91.0	0.32
12/01/2017	COLLINS, REGENA	AM FUNDS NEW PERSPECTIVE A	0.00	5.93	0.00	5.93	91.0	5.40
12/01/2017	COLLINS, JAMES	AM FUNDS NEW PERSPECTIVE A	0.00	4.54	0.00	4.54	91.0	4.13
12/01/2017	GODLESKI, MADISON	AM FUNDS NEW PERSPECTIVE A	0.00	0.67	0.00	0.67	91.0	0.61
12/01/2017	MOORE, MELISSA	AM FUNDS NEW PERSPECTIVE C	0.00	81.01	0.00	81.01	91.0	73.72
12/01/2017	DEFEO, DAVID	AM FUNDS NEW PERSPECTIVE C	0.00	36.45	0.00	36.45	91.0	33.17
12/01/2017	SHERRILL, WILLIAM	AM FUNDS NEW PERSPECTIVE C	0.00	1.51	0.00	1.51	91.0	1.37
12/01/2017	KRAUS, JOHN	AM FUNDS NEW PERSPECTIVE C	0.00	11.59	0.00	11.59	91.0	10.55
12/01/2017	LUPO, ROBERT	AM FUNDS NEW PERSPECTIVE C	0.00	39.76	0.00	39.76	91.0	36.18
12/01/2017	MOORE, MELISSA	AM FUNDS NEW PERSPECTIVE F-1	0.00	4.71	0.00	4.71	91.0	4.29
12/01/2017	DUNLAP, TONY	AM FUNDS NEW WORLD A	0.00	0.40	0.00	0.40	91.0	0.36
12/01/2017	FRAME, JANET	AM FUNDS NEW WORLD A	0.00	1.37	0.00	1.37	91.0	1.25
12/01/2017	MOORE, THOMAS	AM FUNDS NEW WORLD A	0.00	4.90	0.00	4.90	91.0	4.46
12/01/2017	DEWICK, TRENTEN	AM FUNDS NEW WORLD A	0.00	2.56	0.00	2.56	91.0	2.33
12/01/2017	DEWICK, DYLAN	AM FUNDS NEW WORLD A	0.00	2.32	0.00	2.32	91.0	2.11

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<b><u>DIRECT TRANSACTIONS</u></b>								
<b><u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u></b>								
12/01/2017	COLLINS, REGENA	AM FUNDS NEW WORLD A	0.00	1.66	0.00	1.66	91.0	1.51
12/01/2017	COLLINS, JAMES	AM FUNDS NEW WORLD A	0.00	3.63	0.00	3.63	91.0	3.30
12/01/2017	BOYD/BENE, DEVON	AM FUNDS NEW WORLD A	0.00	0.60	0.00	0.60	91.0	0.55
12/01/2017	FRAME, JANET	AM FUNDS NEW WORLD A	0.00	2.36	0.00	2.36	91.0	2.15
12/01/2017	FRAME/BENE, WADE	AM FUNDS NEW WORLD A	0.00	2.95	0.00	2.95	91.0	2.68
12/01/2017	BLANCHARD, DAVID	AM FUNDS NEW WORLD C	0.00	22.84	0.00	22.84	91.0	20.78
12/01/2017	MOORE, THOMAS	AM FUNDS NEW WORLD C	0.00	4.23	0.00	4.23	91.0	3.85
12/01/2017	BLANCHARD, TALIA	AM FUNDS NEW WORLD C	0.00	56.31	0.00	56.31	91.0	51.24
12/01/2017	KRAUS, KATHLEEN	AM FUNDS NEW WORLD C	0.00	5.02	0.00	5.02	91.0	4.57
12/01/2017	BLANCHARD, TALIA	AM FUNDS NEW WORLD FUND F1	0.00	2.30	0.00	2.30	91.0	2.09
12/01/2017	BLANCHARD, TALIA	AM FUNDS NEW WORLD FUND F1	0.00	3.79	0.00	3.79	91.0	3.45
12/01/2017	HOFFMAN, LOGAN	AM FUNDS SHORT TERM BND FUND OF AM	0.00	0.61	0.00	0.61	91.0	0.56
12/01/2017	DUNLAP, TONY	AM FUNDS SMALLCAP WORLD A	0.00	3.93	0.00	3.93	91.0	3.58
12/01/2017	DUNLAP, ANNA	AM FUNDS SMALLCAP WORLD A	0.00	1.77	0.00	1.77	91.0	1.61
12/01/2017	FRAME, JANET	AM FUNDS SMALLCAP WORLD A	0.00	0.56	0.00	0.56	91.0	0.51
12/01/2017	MOORE, MELISSA	AM FUNDS SMALLCAP WORLD A	0.00	5.68	0.00	5.68	91.0	5.17
12/01/2017	DEWICK, JAMES	AM FUNDS SMALLCAP WORLD A	0.00	1.12	0.00	1.12	91.0	1.02
12/01/2017	GODLESKI, MADISON	AM FUNDS SMALLCAP WORLD A	0.00	0.67	0.00	0.67	91.0	0.61
12/01/2017	BOYD/BENE, DEVON	AM FUNDS SMALLCAP WORLD A	0.00	0.25	0.00	0.25	91.0	0.23
12/01/2017	FRAME, JANET	AM FUNDS SMALLCAP WORLD A	0.00	0.97	0.00	0.97	91.0	0.88
12/01/2017	FRAME/BENE, WADE	AM FUNDS SMALLCAP WORLD A	0.00	1.20	0.00	1.20	91.0	1.09
12/01/2017	PAI, YOGISH	AM FUNDS SMALLCAP WORLD C	0.00	15.83	0.00	15.83	91.0	14.41
12/01/2017	GALLAGHER, RYAN	AM FUNDS SMALLCAP WORLD C	0.00	6.26	0.00	6.26	91.0	5.70
12/01/2017	HOFFMAN, LANDON	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.40	0.00	0.40	91.0	0.36
12/01/2017	KRAUS, KATHLEEN	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	3.91	0.00	3.91	91.0	3.56
12/01/2017	COLLINS, JAMES	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	1.16	0.00	1.16	91.0	1.06
12/01/2017	BLANCHARD, DAVID	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	72.40	0.00	72.40	91.0	65.88
12/01/2017	MOORE, THOMAS	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	110.97	0.00	110.97	91.0	100.98
12/01/2017	PAI, YOGISH	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	40.72	0.00	40.72	91.0	37.06
12/01/2017	MOORE, THOMAS	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	1.73	0.00	1.73	91.0	1.57
12/01/2017	PAI, YOGISH	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	19.34	0.00	19.34	91.0	17.60
12/01/2017	BLANCHARD, VIVIA	AMERICAN FUND GLOBAL GROWTH PORTFOL	0.00	0.30	0.00	0.30	91.0	0.27
12/01/2017	BLANCHARD, RIKER	AMERICAN FUND GLOBAL GROWTH PORTFOL	0.00	0.34	0.00	0.34	91.0	0.31

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<b><u>DIRECT TRANSACTIONS</u></b>								
<b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</b>								
12/01/2017	WHELDON, ALYSON	AMERICAN FUND GLOBAL GROWTH PORTFOL	0.00	2.27	0.00	2.27	91.0	2.07
12/01/2017	BRANSON, BENJAMIN	AMERICAN FUND GLOBAL GROWTH PORTFOL	0.00	1.58	0.00	1.58	91.0	1.44
12/01/2017	PAI, YOGISH	AMERICAN FUND SMALLCAP WORKD FUND-F	0.00	32.25	0.00	32.25	91.0	29.35
12/01/2017	HADAWAY, DEBORAH	AMERICAN HIGH-INCOME MUNI BOND FUND	0.00	2.68	0.00	2.68	91.0	2.44
<b>* MUTUAL FUND 12B1 TRAILS SUBTOTAL *</b>			<b>\$0.00</b>	<b>\$2,293.48</b>	<b>\$0.00</b>	<b>\$2,293.48</b>		<b>\$2,087.10</b>
<b>*** DIRECT TRANSACTIONS TOTAL ***</b>			<b>\$87,548.73</b>	<b>\$7,206.52</b>	<b>\$0.00</b>	<b>\$7,206.52</b>		<b>\$6,557.98</b>

**ADJUSTMENTS**

12/15/2017	*DOCUSIGN: CURRENT MONTH	0.00						-18.00
12/15/2017	*EO INSURANCE: CURRENT MONTH INS	0.00						-300.00
12/15/2017	*LASER APP: CURRENT MONTH	0.00						-18.00
12/15/2017	*TECHNOLOGY: CURRENT MONTH BASIC	0.00						-180.00
<b>*** ADJUSTMENTS TOTAL ***</b>			<b>\$0.00</b>	<b>\$0.00</b>	<b>\$0.00</b>	<b>\$0.00</b>		<b>\$-516.00</b>

**BROKER COMMISSION TOTALS**

Broker Transactions	\$6,557.98
Split Transactions	\$0.00
Override Transactions	\$0.00
Adjustments	\$-516.00
Payroll Draw	\$0.00
Base Salary	\$0.00
Prior Period Balance	\$-247.32
FINRA Assessment	\$0.00
SIPC Assessment	\$0.00

<b>Check Amount</b>	<b>\$5,794.66</b>
<b>Year-to-date Gross</b>	<b>\$58,858.41</b>
<b>Year-to-date Earnings</b>	<b>\$53,665.81</b>

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