



Concorde Investment Services, LLC

06/13/2017
Page No. 1

COMMISSION STATEMENT

June 15, 2017

101 CFGROUP/KOSANKE
1120 E. Long Lake Road
Suite 250
Troy, MI 48085

BROKER #: 101
BRANCH: CONCORDE FINANCIAL G

DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>BROKER TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: 1031 EXCHANGE</u>								
05/16/2017	VITALE VAN DYKE & 21	INLAND SELF-STORAGE PF III DST	872,339.93	43,617.00	0.00	43,617.00	95.0	41,436.15
		* 1031 EXCHANGE SUBTOTAL *	\$872,339.93	\$43,617.00	\$0.00	\$43,617.00		\$41,436.15
<u>PRODUCT CATEGORY: INTERVAL FUNDS</u>								
05/22/2017	ORTAGO, PAULA	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	33.27	0.00	33.27	95.0	31.61
05/22/2017	MCKENZIE TRUST, ROBERT & DONNABLUEROCK TOTAL INC & REAL ESTATE FU		0.00	2.64	0.00	2.64	95.0	2.51
05/22/2017	KOPCZYK TRUST, LAWRENCE & PATRBLUEROCK TOTAL INC & REAL ESTATE FU		0.00	1.68	0.00	1.68	95.0	1.60
05/22/2017	MODRYCKI, MARGUERITE	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	0.07	0.00	0.07	95.0	0.07
05/22/2017	MODRYCKI, DONALD	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	0.08	0.00	0.08	95.0	0.08
05/22/2017	VOGEL, KEITH	GRIFFIN INST'L ACCESS R E FUND C	35,946.54	359.47	0.00	359.47	95.0	341.50
		* INTERVAL FUNDS SUBTOTAL *	\$35,946.54	\$397.21	\$0.00	\$397.21		\$377.37
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
05/22/2017	BRADEN, TERRI	ALLIANCEBERNSTEIN GROWTH B	50.00	2.00	0.00	2.00	95.0	1.90
06/01/2017	HOLLAND, JENNIFER	AM FUNDS 2015 TARGET DATE A	0.00	4.22	0.00	4.22	95.0	4.01
06/01/2017	GARDNER, THERESA	AM FUNDS 2015 TARGET DATE A	0.00	2.08	0.00	2.08	95.0	1.98
06/01/2017	GARDNER, THERESA	AM FUNDS 2035 TARGET DATE-A	0.00	2.18	0.00	2.18	95.0	2.07
06/01/2017	BROSHEAR, KARA	AM FUNDS 2040 TARGET DATE-A	0.00	0.84	0.00	0.84	95.0	0.80
06/01/2017	HIGGINS, JAMES	AM FUNDS AMCAP 529A	0.00	14.27	0.00	14.27	95.0	13.56
06/01/2017	BOWEN, ED	AM FUNDS AMCAP 529A	0.00	0.90	0.00	0.90	95.0	0.86
05/25/2017	SILVERSTEIN, MICHAEL	AM FUNDS AMCAP A	50.00	2.13	0.00	2.13	95.0	2.02
06/01/2017	EVANGELISTA, JACQUELINE	AM FUNDS AMCAP A	0.00	8.90	0.00	8.90	95.0	8.46
06/01/2017	KELLEY, GAYLE	AM FUNDS AMCAP A	0.00	12.73	0.00	12.73	95.0	12.09
06/01/2017	HOFFMAN, BARBARA	AM FUNDS AMCAP A	0.00	14.11	0.00	14.11	95.0	13.40
06/01/2017	PHILLIPS, RANDALL	AM FUNDS AMCAP A	0.00	13.85	0.00	13.85	95.0	13.16
06/01/2017	SILVERSTEIN, MICHAEL	AM FUNDS AMCAP A	0.00	8.05	0.00	8.05	95.0	7.65
06/01/2017	PARDEE, LORRAINE	AM FUNDS AMCAP A	0.00	1.97	0.00	1.97	95.0	1.87

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

DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>BROKER TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
06/01/2017	JONES, GERALD	AM FUNDS AMCAP A	0.00	1.29	0.00	1.29	95.0	1.23
06/01/2017	RICE, BRYEN	AM FUNDS AMCAP A	0.00	0.06	0.00	0.06	95.0	0.06
06/01/2017	ALVEY, CODY	AM FUNDS AMCAP A	0.00	0.23	0.00	0.23	95.0	0.22
06/01/2017	SIMMONDS, JOSHUA	AM FUNDS AMCAP A	0.00	3.34	0.00	3.34	95.0	3.17
06/01/2017	STILLWELL, ERIK	AM FUNDS AMCAP A	0.00	1.33	0.00	1.33	95.0	1.26
06/01/2017	BLAYLOCK, JENNIFER	AM FUNDS AMCAP A	0.00	0.58	0.00	0.58	95.0	0.55
06/01/2017	GINGELL, JANET	AM FUNDS AMCAP A	0.00	39.73	0.00	39.73	95.0	37.74
06/01/2017	BULAS, JAMES	AM FUNDS AMCAP A	0.00	0.64	0.00	0.64	95.0	0.61
06/01/2017	ARMSTRONG, ROBERT	AM FUNDS AMERICAN BALANCED 529A	0.00	1.16	0.00	1.16	95.0	1.10
06/01/2017	BOWEN, ED	AM FUNDS AMERICAN BALANCED 529A	0.00	0.25	0.00	0.25	95.0	0.24
05/24/2017	CERIMELE, NICHOLAS	AM FUNDS AMERICAN BALANCED A	60.00	3.00	0.00	3.00	95.0	2.85
06/01/2017	SMITH, H DENNIS	AM FUNDS AMERICAN BALANCED A	0.00	3.68	0.00	3.68	95.0	3.50
06/01/2017	FINK, JENNIFER	AM FUNDS AMERICAN BALANCED A	0.00	15.57	0.00	15.57	95.0	14.79
06/01/2017	BRINDLE, ALAN	AM FUNDS AMERICAN BALANCED A	0.00	48.60	0.00	48.60	95.0	46.17
06/01/2017	BALAEV, ALEXANDER	AM FUNDS AMERICAN BALANCED A	0.00	1.20	0.00	1.20	95.0	1.14
06/01/2017	HELD, JEFFREY	AM FUNDS AMERICAN BALANCED A	0.00	8.40	0.00	8.40	95.0	7.98
06/01/2017	SHALDA, ROSE	AM FUNDS AMERICAN BALANCED A	0.00	7.96	0.00	7.96	95.0	7.56
06/01/2017	BUSTER, RICKY	AM FUNDS AMERICAN BALANCED A	0.00	10.21	0.00	10.21	95.0	9.70
06/01/2017	BRINDLE, ALAN	AM FUNDS AMERICAN BALANCED A	0.00	13.20	0.00	13.20	95.0	12.54
06/01/2017	NICOLOSI, ROSE	AM FUNDS AMERICAN BALANCED A	0.00	21.66	0.00	21.66	95.0	20.58
06/01/2017	GRIFFIN, SHEILA	AM FUNDS AMERICAN BALANCED A	0.00	8.31	0.00	8.31	95.0	7.89
06/01/2017	MOELLER, STEVE	AM FUNDS AMERICAN BALANCED A	0.00	0.25	0.00	0.25	95.0	0.24
06/01/2017	RAYMER, SUZANNE	AM FUNDS AMERICAN BALANCED A	0.00	10.14	0.00	10.14	95.0	9.63
06/01/2017	GREGORY, CAROL	AM FUNDS AMERICAN BALANCED A	0.00	7.02	0.00	7.02	95.0	6.67
06/01/2017	BABIN, WILLIAM	AM FUNDS AMERICAN BALANCED A	0.00	6.90	0.00	6.90	95.0	6.56
06/01/2017	TREINEN, MATT	AM FUNDS AMERICAN BALANCED A	0.00	1.86	0.00	1.86	95.0	1.77
06/01/2017	VELAYUDHAN, NALINI	AM FUNDS AMERICAN BALANCED A	0.00	2.33	0.00	2.33	95.0	2.21
06/01/2017	OMELIANOFF, MICHAEL	AM FUNDS AMERICAN BALANCED A	0.00	2.09	0.00	2.09	95.0	1.99
06/01/2017	GARDNER, THERESA	AM FUNDS AMERICAN BALANCED A	0.00	1.33	0.00	1.33	95.0	1.26
06/01/2017	CERIMELE, NICHOLAS	AM FUNDS AMERICAN BALANCED A	0.00	13.19	0.00	13.19	95.0	12.53
06/01/2017	OMELIANOFF, MICHAEL	AM FUNDS AMERICAN BALANCED B	0.00	0.02	0.00	0.02	95.0	0.02
06/01/2017	CYRULEWSKI, JIM	AM FUNDS AMERICAN BALANCED C	0.00	13.25	0.00	13.25	95.0	12.59
06/01/2017	BLANKENSHIP, JANET	AM FUNDS AMERICAN BALANCED C	0.00	21.82	0.00	21.82	95.0	20.73

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<u>BROKER TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
06/01/2017	KEELER, DAVID	AM FUNDS AMERICAN BALANCED C	0.00	136.77	0.00	136.77	95.0	129.93
06/01/2017	KOSANKE, MARK	AM FUNDS AMERICAN BALANCED C	0.00	27.97	0.00	27.97	95.0	26.57
06/01/2017	KISH, VIVIAN	AM FUNDS AMERICAN HIGH-INC MUNI BON	0.00	96.89	0.00	96.89	95.0	92.05
06/01/2017	NICOLOSI, ROSE	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	6.19	0.00	6.19	95.0	5.88
06/01/2017	GRIFFIN, SHEILA	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	14.35	0.00	14.35	95.0	13.63
06/01/2017	GREGORY, CAROL	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	1.54	0.00	1.54	95.0	1.46
06/01/2017	FINK, MARGARET	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	28.08	0.00	28.08	95.0	26.68
06/01/2017	ILICH, NORMA	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	7.34	0.00	7.34	95.0	6.97
06/01/2017	KRAUSE, BARBARA	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	79.86	0.00	79.86	95.0	75.87
06/01/2017	SKOWRONSKI, GABRIELLA	AM FUNDS AMERICAN MUTUAL 529A	0.00	3.15	0.00	3.15	95.0	2.99
06/01/2017	MATAR, ROBERTG	AM FUNDS AMERICAN MUTUAL 529A	0.00	7.32	0.00	7.32	95.0	6.95
06/01/2017	SKOWRONSKI, GABRIELLA	AM FUNDS AMERICAN MUTUAL 529A	0.00	0.95	0.00	0.95	95.0	0.90
05/30/2017	MERREN, DANELL	AM FUNDS AMERICAN MUTUAL 529C	1,000.00	10.00	0.00	10.00	95.0	9.50
06/01/2017	BERNARDI, MARGARET	AM FUNDS AMERICAN MUTUAL A	0.00	13.20	0.00	13.20	95.0	12.54
06/01/2017	GRAVES, ANNE	AM FUNDS AMERICAN MUTUAL A	0.00	60.41	0.00	60.41	95.0	57.39
06/01/2017	BALAEV, ALEXANDER	AM FUNDS AMERICAN MUTUAL A	0.00	0.70	0.00	0.70	95.0	0.67
06/01/2017	HAVLIK, BRIAN	AM FUNDS AMERICAN MUTUAL A	0.00	0.01	0.00	0.01	95.0	0.01
06/01/2017	WOJTKOWSKI, ROBERT	AM FUNDS AMERICAN MUTUAL A	0.00	4.54	0.00	4.54	95.0	4.31
06/01/2017	FULTON, JOHN	AM FUNDS AMERICAN MUTUAL A	0.00	10.12	0.00	10.12	95.0	9.61
06/01/2017	BABIN, WILLIAM	AM FUNDS AMERICAN MUTUAL A	0.00	7.72	0.00	7.72	95.0	7.33
06/01/2017	LISIECKI, MARGARET	AM FUNDS AMERICAN MUTUAL A	0.00	27.40	0.00	27.40	95.0	26.03
06/01/2017	MCKEE, DUANE	AM FUNDS AMERICAN MUTUAL A	0.00	5.18	0.00	5.18	95.0	4.92
06/01/2017	ROGERS, THOMAS	AM FUNDS AMERICAN MUTUAL A	0.00	9.59	0.00	9.59	95.0	9.11
06/01/2017	GARDNER, THERESA	AM FUNDS AMERICAN MUTUAL A	0.00	1.33	0.00	1.33	95.0	1.26
06/01/2017	SCHECK, VICTORIA	AM FUNDS AMERICAN MUTUAL A	0.00	8.89	0.00	8.89	95.0	8.45
06/01/2017	BUSARSKY, KATHLEEN	AM FUNDS AMERICAN MUTUAL A	0.00	211.61	0.00	211.61	95.0	201.03
06/01/2017	KEBA, STEPHEN	AM FUNDS AMERICAN MUTUAL A	0.00	16.04	0.00	16.04	95.0	15.24
05/22/2017	HLADKI, WILLIAM	AM FUNDS AMERICAN MUTUAL C	20,336.05	203.36	0.00	203.36	95.0	193.19
05/25/2017	KANAKRI, JOSEPH	AM FUNDS AMERICAN MUTUAL C	15,623.18	156.23	0.00	156.23	95.0	148.42
06/01/2017	MCKEE, DUANE	AM FUNDS AMERICAN MUTUAL C	0.00	0.31	0.00	0.31	95.0	0.29
06/01/2017	WILSON, KAYLEE	AM FUNDS BOND FUND OF AMERICA 529A	0.00	0.79	0.00	0.79	95.0	0.75
06/01/2017	WILSON, KAYLEE	AM FUNDS BOND FUND OF AMERICA 529A	0.00	0.80	0.00	0.80	95.0	0.76
06/01/2017	ARMSTRONG, ROBERT	AM FUNDS BOND FUND OF AMERICA 529A	0.00	0.59	0.00	0.59	95.0	0.56

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<u>BROKER TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
06/01/2017	BOWEN, ED	AM FUNDS BOND FUND OF AMERICA 529A	0.00	0.87	0.00	0.87	95.0	0.83
06/01/2017	HIGGINS, JAMES	AM FUNDS BOND FUND OF AMERICA 529A	0.00	5.23	0.00	5.23	95.0	4.97
06/01/2017	GRAHAM, STANLEY	AM FUNDS BOND FUND OF AMERICA A	0.00	0.02	0.00	0.02	95.0	0.02
06/01/2017	BERNARDI, MARGARET	AM FUNDS BOND FUND OF AMERICA A	0.00	2.33	0.00	2.33	95.0	2.21
06/01/2017	FINK, MARGARET	AM FUNDS BOND FUND OF AMERICA A	0.00	49.39	0.00	49.39	95.0	46.92
06/01/2017	MANNING, ELSIE	AM FUNDS BOND FUND OF AMERICA A	0.00	14.18	0.00	14.18	95.0	13.47
06/01/2017	BUSTER, RICKY	AM FUNDS BOND FUND OF AMERICA A	0.00	9.27	0.00	9.27	95.0	8.81
06/01/2017	JAMES, RODNEY	AM FUNDS BOND FUND OF AMERICA A	0.00	0.12	0.00	0.12	95.0	0.11
06/01/2017	PIERCE, MARTIN	AM FUNDS BOND FUND OF AMERICA A	0.00	0.45	0.00	0.45	95.0	0.43
06/01/2017	RILEY, ROBERT	AM FUNDS BOND FUND OF AMERICA A	0.00	1.05	0.00	1.05	95.0	1.00
06/01/2017	SALES, THOMAS	AM FUNDS BOND FUND OF AMERICA A	0.00	13.37	0.00	13.37	95.0	12.70
06/01/2017	CYRULEWSKI, JIM	AM FUNDS BOND FUND OF AMERICA C	0.00	9.01	0.00	9.01	95.0	8.56
06/01/2017	PIERCE, MARTIN	AM FUNDS BOND FUND OF AMERICA C	0.00	1.13	0.00	1.13	95.0	1.07
06/01/2017	FROMM, MARY	AM FUNDS CAPITAL INCOME BUILDER 529	0.00	1.65	0.00	1.65	95.0	1.57
06/01/2017	FROMM, MARY	AM FUNDS CAPITAL INCOME BUILDER 529	0.00	1.54	0.00	1.54	95.0	1.46
06/01/2017	LUMETTA, PAUL	AM FUNDS CAPITAL INCOME BUILDER 529	0.00	2.91	0.00	2.91	95.0	2.76
06/01/2017	VARTABEDIAN, LISA	AM FUNDS CAPITAL INCOME BUILDER 529	0.00	5.39	0.00	5.39	95.0	5.12
06/01/2017	VARTABEDIAN, LISA	AM FUNDS CAPITAL INCOME BUILDER 529	0.00	9.44	0.00	9.44	95.0	8.97
06/01/2017	BARNETT, RICHARD	AM FUNDS CAPITAL INCOME BUILDER 529	0.00	0.17	0.00	0.17	95.0	0.16
06/01/2017	LUMETTA, PAUL	AM FUNDS CAPITAL INCOME BUILDER 529	0.00	0.41	0.00	0.41	95.0	0.39
06/01/2017	FROMM, MARY	AM FUNDS CAPITAL INCOME BUILDER 529	0.00	0.78	0.00	0.78	95.0	0.74
06/01/2017	LONG, SARAH	AM FUNDS CAPITAL INCOME BUILDER 529	0.00	0.12	0.00	0.12	95.0	0.11
06/01/2017	VARTABEDIAN, LISA	AM FUNDS CAPITAL INCOME BUILDER 529	0.00	73.47	0.00	73.47	95.0	69.80
06/01/2017	VARTABEDIAN, LISA	AM FUNDS CAPITAL INCOME BUILDER 529	0.00	87.28	0.00	87.28	95.0	82.92
06/01/2017	FROMM, MARY	AM FUNDS CAPITAL INCOME BUILDER 529	0.00	1.26	0.00	1.26	95.0	1.20
05/23/2017	CHALKEY, MICHAEL	AM FUNDS CAPITAL INCOME BUILDER A	42.12	1.79	0.00	1.79	95.0	1.70
05/23/2017	CHALKEY, MICHAEL	AM FUNDS CAPITAL INCOME BUILDER A	50.55	2.15	0.00	2.15	95.0	2.04
05/23/2017	BUTT, DENNIS	AM FUNDS CAPITAL INCOME BUILDER A	28.00	1.40	0.00	1.40	95.0	1.33
05/23/2017	BUTT, DENNIS	AM FUNDS CAPITAL INCOME BUILDER A	28.00	1.40	0.00	1.40	95.0	1.33
06/01/2017	HOLLAND, JENNIFER	AM FUNDS CAPITAL INCOME BUILDER A	0.00	3.35	0.00	3.35	95.0	3.18
06/01/2017	BALAEV, ALEXANDER	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.81	0.00	0.81	95.0	0.77
06/01/2017	HELD, JEFFREY	AM FUNDS CAPITAL INCOME BUILDER A	0.00	8.13	0.00	8.13	95.0	7.72
06/01/2017	BUSTER, RICKY	AM FUNDS CAPITAL INCOME BUILDER A	0.00	5.06	0.00	5.06	95.0	4.81

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<u>BROKER TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
06/01/2017	FROMM, JULIE	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.49	0.00	0.49	95.0	0.47
06/01/2017	NICOLOSI, ROSE	AM FUNDS CAPITAL INCOME BUILDER A	0.00	13.50	0.00	13.50	95.0	12.83
06/01/2017	GRECH, ANDREW	AM FUNDS CAPITAL INCOME BUILDER A	0.00	13.62	0.00	13.62	95.0	12.94
06/01/2017	IMUS, ARLEEN	AM FUNDS CAPITAL INCOME BUILDER A	0.00	2.85	0.00	2.85	95.0	2.71
06/01/2017	GREGORY, CAROL	AM FUNDS CAPITAL INCOME BUILDER A	0.00	5.47	0.00	5.47	95.0	5.20
06/01/2017	MUSAL, NANCY	AM FUNDS CAPITAL INCOME BUILDER A	0.00	2.64	0.00	2.64	95.0	2.51
06/01/2017	BABIN, WILLIAM	AM FUNDS CAPITAL INCOME BUILDER A	0.00	5.09	0.00	5.09	95.0	4.84
06/01/2017	TREINEN, MATT	AM FUNDS CAPITAL INCOME BUILDER A	0.00	1.79	0.00	1.79	95.0	1.70
06/01/2017	VELAYUDHAN, NALINI	AM FUNDS CAPITAL INCOME BUILDER A	0.00	1.37	0.00	1.37	95.0	1.30
06/01/2017	CHALKEY, MICHAEL	AM FUNDS CAPITAL INCOME BUILDER A	0.00	6.96	0.00	6.96	95.0	6.61
06/01/2017	BUTT, DENNIS	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.88	0.00	0.88	95.0	0.84
06/01/2017	MARTIN, ELENA MARIE	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.45	0.00	0.45	95.0	0.43
06/01/2017	MARTIN, ANDREW	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.45	0.00	0.45	95.0	0.43
06/01/2017	MARTIN, ISABELLA	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.45	0.00	0.45	95.0	0.43
06/01/2017	MEDAUGH, JOSEPH	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.45	0.00	0.45	95.0	0.43
06/01/2017	MEDAUGH, MATTHEW	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.45	0.00	0.45	95.0	0.43
06/01/2017	STEBBINS, JANE	AM FUNDS CAPITAL INCOME BUILDER A	0.00	2.73	0.00	2.73	95.0	2.59
06/01/2017	KRAUSE, LAURA	AM FUNDS CAPITAL INCOME BUILDER A	0.00	23.31	0.00	23.31	95.0	22.14
06/01/2017	KRAUSE, LAURA	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.26	0.00	0.26	95.0	0.25
06/01/2017	SALES, THOMAS	AM FUNDS CAPITAL INCOME BUILDER A	0.00	21.25	0.00	21.25	95.0	20.19
06/01/2017	JONES, NEVA	AM FUNDS CAPITAL INCOME BUILDER A	0.00	19.45	0.00	19.45	95.0	18.48
06/01/2017	SCHECK, VICTORIA	AM FUNDS CAPITAL INCOME BUILDER A	0.00	15.67	0.00	15.67	95.0	14.89
06/01/2017	KEBA, STEPHEN	AM FUNDS CAPITAL INCOME BUILDER A	0.00	14.49	0.00	14.49	95.0	13.77
06/01/2017	WEST TRUST, NORA	AM FUNDS CAPITAL INCOME BUILDER A	0.00	9.41	0.00	9.41	95.0	8.94
06/01/2017	WHITEFOOT, BEVERLY	AM FUNDS CAPITAL INCOME BUILDER C	0.00	20.04	0.00	20.04	95.0	19.04
06/01/2017	KNIGHT, SHARON	AM FUNDS CAPITAL INCOME BUILDER C	0.00	37.01	0.00	37.01	95.0	35.16
06/01/2017	JOHNSON, RODNEY	AM FUNDS CAPITAL INCOME BUILDER C	0.00	2.04	0.00	2.04	95.0	1.94
06/01/2017	JOHNSON, RODNEY	AM FUNDS CAPITAL INCOME BUILDER C	0.00	2.04	0.00	2.04	95.0	1.94
06/01/2017	MERREN, DANELL	AM FUNDS CAPITAL INCOME BUILDER C	0.00	38.85	0.00	38.85	95.0	36.91
06/01/2017	ROGERS, DONNA	AM FUNDS CAPITAL INCOME BUILDER C	0.00	38.71	0.00	38.71	95.0	36.77
06/01/2017	LONG, SARAH	AM FUNDS CAPITAL WORLD BOND 529A	0.00	0.01	0.00	0.01	95.0	0.01
06/01/2017	ADAMS, JACKSON	AM FUNDS CAPITAL WORLD BOND 529A	0.00	0.21	0.00	0.21	95.0	0.20
06/01/2017	PIERCE, MARTIN	AM FUNDS CAPITAL WORLD BOND A	0.00	0.41	0.00	0.41	95.0	0.39

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>BROKER TRANSACTIONS</u>								
PRODUCT CATEGORY: MUTUAL FUNDS								
06/01/2017	BLANKENSHIP, JANET	AM FUNDS CAPITAL WORLD BOND C	0.00	13.38	0.00	13.38	95.0	12.71
06/01/2017	KEELER, DAVID	AM FUNDS CAPITAL WORLD BOND C	0.00	84.33	0.00	84.33	95.0	80.11
06/01/2017	PIERCE, MARTIN	AM FUNDS CAPITAL WORLD BOND C	0.00	1.02	0.00	1.02	95.0	0.97
05/23/2017	SILVERSTEIN, MICHAEL	AM FUNDS CAPITAL WORLD GRTH & INC 5	50.00	2.13	0.00	2.13	95.0	2.02
05/30/2017	BOWEN, ED	AM FUNDS CAPITAL WORLD GRTH & INC 5	50.00	2.13	0.00	2.13	95.0	2.02
06/01/2017	HIGGINS, JAMES	AM FUNDS CAPITAL WORLD GRTH & INC 5	0.00	10.87	0.00	10.87	95.0	10.33
06/01/2017	STOLL, BENJAMIN	AM FUNDS CAPITAL WORLD GRTH & INC 5	0.00	4.52	0.00	4.52	95.0	4.29
06/01/2017	SCHLEICH, SIERRA	AM FUNDS CAPITAL WORLD GRTH & INC 5	0.00	0.26	0.00	0.26	95.0	0.25
06/01/2017	LUMETTA, PAUL	AM FUNDS CAPITAL WORLD GRTH & INC 5	0.00	3.34	0.00	3.34	95.0	3.17
06/01/2017	GALINETTI, JULIA	AM FUNDS CAPITAL WORLD GRTH & INC 5	0.00	0.05	0.00	0.05	95.0	0.05
06/01/2017	SILVERSTEIN, MICHAEL	AM FUNDS CAPITAL WORLD GRTH & INC 5	0.00	9.81	0.00	9.81	95.0	9.32
06/01/2017	SIMMONDS, JOSHUA	AM FUNDS CAPITAL WORLD GRTH & INC 5	0.00	1.52	0.00	1.52	95.0	1.44
06/01/2017	BOWEN, ED	AM FUNDS CAPITAL WORLD GRTH & INC 5	0.00	4.35	0.00	4.35	95.0	4.13
06/01/2017	SAWYER, ALONZO	AM FUNDS CAPITAL WORLD GRTH & INC 5	0.00	0.74	0.00	0.74	95.0	0.70
06/01/2017	HIGGINS, JAMES	AM FUNDS CAPITAL WORLD GRTH & INC 5	0.00	7.09	0.00	7.09	95.0	6.74
06/01/2017	NICOLOSI, ROSE	AM FUNDS CAPITAL WORLD GRTH & INC 5	0.00	20.11	0.00	20.11	95.0	19.10
06/01/2017	NICOLOSI, ROSE	AM FUNDS CAPITAL WORLD GRTH & INC 5	0.00	19.81	0.00	19.81	95.0	18.82
06/01/2017	VAN DAELE, DAVID	AM FUNDS CAPITAL WORLD GRTH & INC 5	0.00	4.41	0.00	4.41	95.0	4.19
06/01/2017	ALEX, ADELINE	AM FUNDS CAPITAL WORLD GRTH & INC 5	0.00	9.02	0.00	9.02	95.0	8.57
06/01/2017	SAWYER, ALONZO	AM FUNDS CAPITAL WORLD GRTH & INC 5	0.00	0.74	0.00	0.74	95.0	0.70
06/01/2017	SAWYER, ALONZO	AM FUNDS CAPITAL WORLD GRTH & INC 5	0.00	0.74	0.00	0.74	95.0	0.70
06/01/2017	NICOLOSI, ROSE	AM FUNDS CAPITAL WORLD GRTH & INC 5	0.00	19.81	0.00	19.81	95.0	18.82
06/01/2017	ADAMS, JACKSON	AM FUNDS CAPITAL WORLD GRTH & INC 5	0.00	2.13	0.00	2.13	95.0	2.02
05/22/2017	NAGEOTTE, NIKOLAUS	AM FUNDS CAPITAL WORLD GRTH & INC A	100.00	5.00	0.00	5.00	95.0	4.75
06/01/2017	STOLL, HEATHER	AM FUNDS CAPITAL WORLD GRTH & INC A	75.00	3.19	0.00	3.19	95.0	3.03
06/01/2017	GREENE, LUCIA	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	55.75	0.00	55.75	95.0	52.96
06/01/2017	ODELL, JEFFREY	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	24.12	0.00	24.12	95.0	22.91
06/01/2017	SWEENEY, EILEEN	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	162.46	0.00	162.46	95.0	154.34
06/01/2017	SWEENEY, EILEEN	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	22.42	0.00	22.42	95.0	21.30
06/01/2017	GINGELL, PAUL	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	24.67	0.00	24.67	95.0	23.44
06/01/2017	GREENE, GREG	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	6.48	0.00	6.48	95.0	6.16
06/01/2017	GREENE, DAVID	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	98.28	0.00	98.28	95.0	93.37
06/01/2017	ALVEY, SHERRIE	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.73	0.00	0.73	95.0	0.69

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<u>BROKER TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
06/01/2017	MILLER, CHARLENE	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.42	0.00	0.42	95.0	0.40
06/01/2017	WALKER TRUST, SUE	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	7.39	0.00	7.39	95.0	7.02
06/01/2017	VARTABEDIAN, ROBERT	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	31.39	0.00	31.39	95.0	29.82
06/01/2017	ZOGRAFOS TRUST, REGINA	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	25.53	0.00	25.53	95.0	24.25
06/01/2017	SCHRITZ, BRYAN	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	33.62	0.00	33.62	95.0	31.94
06/01/2017	BYERS, HERBERT	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	14.84	0.00	14.84	95.0	14.10
06/01/2017	STOLL, HEATHER	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	12.19	0.00	12.19	95.0	11.58
06/01/2017	SCHLEICH, DAVID	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	15.29	0.00	15.29	95.0	14.53
06/01/2017	GORSEK, JOHN	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	9.22	0.00	9.22	95.0	8.76
06/01/2017	MERKLE, PAUL	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	12.65	0.00	12.65	95.0	12.02
06/01/2017	CHARLES, JOEL	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	1.45	0.00	1.45	95.0	1.38
06/01/2017	FOX UBER, ROBERT	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	65.63	0.00	65.63	95.0	62.35
06/01/2017	BYERS, HERBERT	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	9.62	0.00	9.62	95.0	9.14
06/01/2017	GRECH, ANDREW	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	14.12	0.00	14.12	95.0	13.41
06/01/2017	IMUS, ARLEEN	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	79.40	0.00	79.40	95.0	75.43
06/01/2017	JONES, MEREK	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	1.48	0.00	1.48	95.0	1.41
06/01/2017	MANSOUR, EVA	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	12.97	0.00	12.97	95.0	12.32
06/01/2017	NANAS, DAVID	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	3.88	0.00	3.88	95.0	3.69
06/01/2017	STILLWELL, LYNNE	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.64	0.00	0.64	95.0	0.61
06/01/2017	ZOGRAFOS, REGINA	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	4.22	0.00	4.22	95.0	4.01
06/01/2017	DELISLE, JAMES	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.67	0.00	0.67	95.0	0.64
06/01/2017	WALKER TRUST, SUE	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	6.60	0.00	6.60	95.0	6.27
06/01/2017	WALKER TRUST, SUE	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	6.60	0.00	6.60	95.0	6.27
06/01/2017	WALKER TRUST, SUE	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	6.60	0.00	6.60	95.0	6.27
06/01/2017	BOZA, VICTOR	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	1.28	0.00	1.28	95.0	1.22
06/01/2017	DILL, JAKOB	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.18	0.00	0.18	95.0	0.17
06/01/2017	PARDEE, CRAIG	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	21.07	0.00	21.07	95.0	20.02
06/01/2017	SIMMONDS, JOSHUA	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	2.32	0.00	2.32	95.0	2.20
06/01/2017	SIMMONDS, JOSHUA	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	2.62	0.00	2.62	95.0	2.49
06/01/2017	STILLWELL, ERIK	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	1.35	0.00	1.35	95.0	1.28
06/01/2017	TSANGANOS, OURANIA	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	6.30	0.00	6.30	95.0	5.99
06/01/2017	TSANGANOS, NICHOLAOS	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	7.75	0.00	7.75	95.0	7.36
06/01/2017	TSANGANOS, CHRISTOPHER	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	5.15	0.00	5.15	95.0	4.89

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<u>BROKER TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
06/01/2017	GAULKE, DONNA	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.84	0.00	0.84	95.0	0.80
06/01/2017	KARGULA, CURT	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	3.18	0.00	3.18	95.0	3.02
06/01/2017	GALL, REBECCA	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	3.73	0.00	3.73	95.0	3.54
06/01/2017	DEFRANCESCO, STEVEN	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	1.23	0.00	1.23	95.0	1.17
06/01/2017	BLAYLOCK, JENNIFER	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.26	0.00	0.26	95.0	0.25
06/01/2017	BUTTY, NANCY	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	21.40	0.00	21.40	95.0	20.33
06/01/2017	TSANGANOS, OURANIA	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	3.87	0.00	3.87	95.0	3.68
06/01/2017	TSANGANOS, NICHOLAOS	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	3.87	0.00	3.87	95.0	3.68
06/01/2017	GREGORY, CAROL	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	5.79	0.00	5.79	95.0	5.50
06/01/2017	TSANGANOS, LABRENE	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	10.87	0.00	10.87	95.0	10.33
06/01/2017	TSANGANOS, LABRENE	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	6.72	0.00	6.72	95.0	6.38
06/01/2017	CHASSE, JENNIFER	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	5.17	0.00	5.17	95.0	4.91
06/01/2017	BROWNING, RYAN	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.23	0.00	0.23	95.0	0.22
06/01/2017	MUSAL, NANCY	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	2.78	0.00	2.78	95.0	2.64
06/01/2017	BABIN, WILLIAM	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	6.04	0.00	6.04	95.0	5.74
06/01/2017	CARSON, JESSICA	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.23	0.00	0.23	95.0	0.22
06/01/2017	TSOUKALAS, IOANNIS	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.45	0.00	0.45	95.0	0.43
06/01/2017	HIGEL, STEVEN	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.15	0.00	0.15	95.0	0.14
06/01/2017	SHEPHERD, JOE	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.02	0.00	0.02	95.0	0.02
06/01/2017	GIBSON, KATHLEEN	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	1.59	0.00	1.59	95.0	1.51
06/01/2017	HIGEL, LOIS	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	4.58	0.00	4.58	95.0	4.35
06/01/2017	CARSON, JESSICA	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.85	0.00	0.85	95.0	0.81
06/01/2017	BENDER, SHARON	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.35	0.00	0.35	95.0	0.33
06/01/2017	HABERMAN, IAN	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	19.03	0.00	19.03	95.0	18.08
06/01/2017	PER, ELIZABETH	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.12	0.00	0.12	95.0	0.11
06/01/2017	OMELIANOFF, MICHAEL	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	3.18	0.00	3.18	95.0	3.02
06/01/2017	JORDAN, KIMBERLY	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	10.15	0.00	10.15	95.0	9.64
06/01/2017	NAGEOTTE, NIKOLAUS	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	8.54	0.00	8.54	95.0	8.11
06/01/2017	MCKEE, DUANE	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	6.89	0.00	6.89	95.0	6.55
06/01/2017	PIERCE, MARTIN	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.24	0.00	0.24	95.0	0.23
06/01/2017	TSANGANOS, LABRENE	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	12.05	0.00	12.05	95.0	11.45
06/01/2017	TSANGANOS, LEONIDAS	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	6.75	0.00	6.75	95.0	6.41
06/01/2017	SLAYBAUGH, YVONNE	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	22.12	0.00	22.12	95.0	21.01

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<u>BROKER TRANSACTIONS</u>								
PRODUCT CATEGORY: MUTUAL FUNDS								
06/01/2017	THOMPSON, PATRICIA	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	23.73	0.00	23.73	95.0	22.54
06/01/2017	RILEY, ROBERT	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	2.94	0.00	2.94	95.0	2.79
06/01/2017	DELISLE/AUTH PER, JAMES	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.94	0.00	0.94	95.0	0.89
06/01/2017	SCHRITZ, AMANDA	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	9.82	0.00	9.82	95.0	9.33
06/01/2017	SCHRITZ, BRYAN	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	9.82	0.00	9.82	95.0	9.33
06/01/2017	SIEDLAK, TERRY	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	10.92	0.00	10.92	95.0	10.37
06/01/2017	SIEDLAK, LESLIE	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	2.59	0.00	2.59	95.0	2.46
06/01/2017	KRAUSE, MICHAEL	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	7.34	0.00	7.34	95.0	6.97
06/01/2017	KRAUSE, LAURA	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	25.73	0.00	25.73	95.0	24.44
06/01/2017	SCHUBA, LAWRENCE	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	1.16	0.00	1.16	95.0	1.10
06/01/2017	KRAUSE, LAURA	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.30	0.00	0.30	95.0	0.29
06/01/2017	SALES, THOMAS	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	24.31	0.00	24.31	95.0	23.09
06/01/2017	KLEIN TRUST, NICHOLAS	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	89.21	0.00	89.21	95.0	84.75
06/01/2017	HAWK, MARYBELLE	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	34.29	0.00	34.29	95.0	32.58
06/01/2017	WARNER, KRISTA	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.17	0.00	0.17	95.0	0.16
06/01/2017	FISK, MARY	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	75.71	0.00	75.71	95.0	71.92
06/01/2017	KRAUSE, BARBARA	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	135.49	0.00	135.49	95.0	128.72
06/01/2017	RICE, BRYEN	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.08	0.00	0.08	95.0	0.08
06/01/2017	OMELIANOFF, MICHAEL	AM FUNDS CAPITAL WORLD GRTH & INC B	0.00	0.02	0.00	0.02	95.0	0.02
06/01/2017	LEDFORD, JAMIE	AM FUNDS CAPITAL WORLD GRTH & INC C	0.00	38.76	0.00	38.76	95.0	36.82
06/01/2017	WATKINS, MARK	AM FUNDS CAPITAL WORLD GRTH & INC C	0.00	73.82	0.00	73.82	95.0	70.13
06/01/2017	CYRULEWSKI, JIM	AM FUNDS CAPITAL WORLD GRTH & INC C	0.00	10.38	0.00	10.38	95.0	9.86
06/01/2017	BLANKENSHIP, JANET	AM FUNDS CAPITAL WORLD GRTH & INC C	0.00	30.31	0.00	30.31	95.0	28.79
06/01/2017	KEELER, DAVID	AM FUNDS CAPITAL WORLD GRTH & INC C	0.00	191.85	0.00	191.85	95.0	182.26
06/01/2017	KOSANKE, MARK	AM FUNDS CAPITAL WORLD GRTH & INC C	0.00	39.87	0.00	39.87	95.0	37.88
06/01/2017	MCKEE, DUANE	AM FUNDS CAPITAL WORLD GRTH & INC C	0.00	3.62	0.00	3.62	95.0	3.44
06/01/2017	PIERCE, MARTIN	AM FUNDS CAPITAL WORLD GRTH & INC C	0.00	0.67	0.00	0.67	95.0	0.64
06/01/2017	VINING, KRISTOPHER	AM FUNDS CAPITAL WORLD GRTH & INC C	0.00	1.03	0.00	1.03	95.0	0.98
05/22/2017	MICHON, ERIK	AM FUNDS EUROPACIFIC GROWTH FUND 52	67.00	3.35	0.00	3.35	95.0	3.18
06/01/2017	MICHON, ERIK	AM FUNDS EUROPACIFIC GROWTH FUND 52	0.00	1.04	0.00	1.04	95.0	0.99
06/01/2017	SIMMONDS, JOSHUA	AM FUNDS EUROPACIFIC GROWTH FUND 52	0.00	1.27	0.00	1.27	95.0	1.21
06/01/2017	LUMETTA, PAUL	AM FUNDS EUROPACIFIC GROWTH FUND 52	0.00	0.46	0.00	0.46	95.0	0.44
06/01/2017	RICHARDS, COLE	AM FUNDS EUROPACIFIC GROWTH FUND 52	0.00	0.43	0.00	0.43	95.0	0.41

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<u>BROKER TRANSACTIONS</u>								
PRODUCT CATEGORY: MUTUAL FUNDS								
06/01/2017	VAN DAELE, DAVID	AM FUNDS EUROPACIFIC GROWTH FUND 52	0.00	3.87	0.00	3.87	95.0	3.68
06/01/2017	HOFFMAN, BARBARA	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	13.37	0.00	13.37	95.0	12.70
06/01/2017	MARGERUM, JOHN	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	0.81	0.00	0.81	95.0	0.77
06/01/2017	ALVEY, SHERRIE	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	0.51	0.00	0.51	95.0	0.48
06/01/2017	WALKER TRUST, SUE	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	5.58	0.00	5.58	95.0	5.30
06/01/2017	PARDEE, LORRAINE	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	1.41	0.00	1.41	95.0	1.34
06/01/2017	WASHINGTON, ANGELA	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	0.15	0.00	0.15	95.0	0.14
06/01/2017	TAYLOR, GORDON	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	0.75	0.00	0.75	95.0	0.71
06/01/2017	MACKENZIE-TAYLOR, DEBORAH	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	0.75	0.00	0.75	95.0	0.71
06/01/2017	MACKENZIE-TAYLOR, DEBORAH	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	1.59	0.00	1.59	95.0	1.51
06/01/2017	TAYLOR, ALLAN	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	1.59	0.00	1.59	95.0	1.51
06/01/2017	JONES, GERALD	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	1.09	0.00	1.09	95.0	1.04
06/01/2017	ALVEY, CODY	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	4.74	0.00	4.74	95.0	4.50
06/01/2017	ALVEY, BRETT	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	6.94	0.00	6.94	95.0	6.59
06/01/2017	KENDZIERSKI, JENNIE	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	1.10	0.00	1.10	95.0	1.05
06/01/2017	GRECH, ANDREW	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	12.17	0.00	12.17	95.0	11.56
06/01/2017	NANAS, DAVID	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	0.84	0.00	0.84	95.0	0.80
06/01/2017	STILLWELL, LYNNE	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	0.75	0.00	0.75	95.0	0.71
06/01/2017	DELISLE, JAMES	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	0.59	0.00	0.59	95.0	0.56
06/01/2017	SIMMONDS, JOSHUA	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	1.97	0.00	1.97	95.0	1.87
06/01/2017	SIMMONDS, ASHLEIGH	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	1.81	0.00	1.81	95.0	1.72
06/01/2017	SIMMONDS, JOSHUA	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	2.26	0.00	2.26	95.0	2.15
06/01/2017	STILLWELL, ERIK	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	0.34	0.00	0.34	95.0	0.32
06/01/2017	TSANGANOS, OURANIA	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	4.04	0.00	4.04	95.0	3.84
06/01/2017	TSANGANOS, NICHOLAOS	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	5.33	0.00	5.33	95.0	5.06
06/01/2017	TSANGANOS, CHRISTOPHER	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	4.59	0.00	4.59	95.0	4.36
06/01/2017	KARGULA, CURT	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	1.82	0.00	1.82	95.0	1.73
06/01/2017	BLAYLOCK, JENNIFER	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	0.23	0.00	0.23	95.0	0.22
06/01/2017	BUTTY, NANCY	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	16.16	0.00	16.16	95.0	15.35
06/01/2017	TSANGANOS, OURANIA	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	3.33	0.00	3.33	95.0	3.16
06/01/2017	TSANGANOS, NICHOLAOS	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	3.33	0.00	3.33	95.0	3.16
06/01/2017	GINGELL, JANET	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	65.24	0.00	65.24	95.0	61.98
06/01/2017	TSANGANOS, LABRENE	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	9.37	0.00	9.37	95.0	8.90

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>BROKER TRANSACTIONS</u>								
PRODUCT CATEGORY: MUTUAL FUNDS								
06/01/2017	TSANGANOS, LABRENE	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	5.89	0.00	5.89	95.0	5.60
06/01/2017	CARSON, JESSICA	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	0.18	0.00	0.18	95.0	0.17
06/01/2017	TSOUKALAS, IOANNIS	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	0.38	0.00	0.38	95.0	0.36
06/01/2017	HIGEL, LOIS	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	1.74	0.00	1.74	95.0	1.65
06/01/2017	CARSON, JESSICA	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	1.38	0.00	1.38	95.0	1.31
06/01/2017	BENDER, SHARON	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	0.22	0.00	0.22	95.0	0.21
06/01/2017	PER, ELIZABETH	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	0.10	0.00	0.10	95.0	0.10
06/01/2017	NATHAN, SANDRA	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	0.94	0.00	0.94	95.0	0.89
06/01/2017	DILL, MADELINE	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	0.21	0.00	0.21	95.0	0.20
06/01/2017	TSANGANOS, LABRENE	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	16.46	0.00	16.46	95.0	15.64
06/01/2017	TSANGANOS, LEONIDAS	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	18.82	0.00	18.82	95.0	17.88
06/01/2017	RILEY, ROBERT	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	1.39	0.00	1.39	95.0	1.32
06/01/2017	DELISLE/AUTH PER, JAMES	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	0.86	0.00	0.86	95.0	0.82
06/01/2017	KRAUSE, LAURA	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	21.32	0.00	21.32	95.0	20.25
06/01/2017	KRAUSE, LAURA	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	0.26	0.00	0.26	95.0	0.25
06/01/2017	HINDS, RUSSELL	AM FUNDS EUROPACIFIC GROWTH FUND C	0.00	3.30	0.00	3.30	95.0	3.14
06/01/2017	BOWEN, ED	AM FUNDS FUNDAMENTAL INVESTORS 529A	0.00	1.04	0.00	1.04	95.0	0.99
06/01/2017	HIGGINS, JAMES	AM FUNDS FUNDAMENTAL INVESTORS 529A	0.00	9.04	0.00	9.04	95.0	8.59
06/01/2017	ADAMS, JACKSON	AM FUNDS FUNDAMENTAL INVESTORS 529A	0.00	1.52	0.00	1.52	95.0	1.44
06/01/2017	HOLT, DEBBIE	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	61.98	0.00	61.98	95.0	58.88
06/01/2017	MAKI-DRAGER, CHRISTINE	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	1.35	0.00	1.35	95.0	1.28
06/01/2017	MIELKE, DAVID	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	46.68	0.00	46.68	95.0	44.35
06/01/2017	HAMER, ANN	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	1.11	0.00	1.11	95.0	1.05
06/01/2017	BURGESS, WILLIAM	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	3.09	0.00	3.09	95.0	2.94
06/01/2017	ZECH, DONALD	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	12.41	0.00	12.41	95.0	11.79
06/01/2017	JONES, GERALD	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	1.75	0.00	1.75	95.0	1.66
06/01/2017	SIMON, JUDITH	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	0.51	0.00	0.51	95.0	0.48
06/01/2017	SCHRITZ, BRYAN	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	18.25	0.00	18.25	95.0	17.34
06/01/2017	HEGEL, SUSAN	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	10.66	0.00	10.66	95.0	10.13
06/01/2017	TSANGANOS, OURANIA	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	7.75	0.00	7.75	95.0	7.36
06/01/2017	TSANGANOS, NICHOLAOS	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	9.52	0.00	9.52	95.0	9.04
06/01/2017	TSANGANOS, CHRISTOPHER	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	2.90	0.00	2.90	95.0	2.76
06/01/2017	KARGULA, CURT	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	2.60	0.00	2.60	95.0	2.47

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>BROKER TRANSACTIONS</u>								
PRODUCT CATEGORY: MUTUAL FUNDS								
06/01/2017	TSANGANOS, OURANIA	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	4.49	0.00	4.49	95.0	4.27
06/01/2017	TSANGANOS, NICHOLAOS	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	4.49	0.00	4.49	95.0	4.27
06/01/2017	GREGORY, CAROL	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	7.21	0.00	7.21	95.0	6.85
06/01/2017	TSANGANOS, LABRENE	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	12.67	0.00	12.67	95.0	12.04
06/01/2017	TSANGANOS, LABRENE	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	8.18	0.00	8.18	95.0	7.77
06/01/2017	TSOUKALAS, IOANNIS	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	0.58	0.00	0.58	95.0	0.55
06/01/2017	TSANGANOS, LABRENE	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	23.64	0.00	23.64	95.0	22.46
06/01/2017	TSANGANOS, LEONIDAS	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	25.95	0.00	25.95	95.0	24.65
06/01/2017	SALES, THOMAS	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	40.80	0.00	40.80	95.0	38.76
06/01/2017	RICE, BRYEN	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	0.23	0.00	0.23	95.0	0.22
06/01/2017	KOSANKE, MARK	AM FUNDS FUNDAMENTAL INVESTORS C	0.00	202.00	0.00	202.00	95.0	191.90
06/01/2017	WHITEFOOT, BEVERLY	AM FUNDS FUNDAMENTAL INVESTORS C	0.00	22.07	0.00	22.07	95.0	20.97
06/01/2017	VINING, KRISTOPHER	AM FUNDS FUNDAMENTAL INVESTORS-F1	0.00	2.22	0.00	2.22	95.0	2.11
06/01/2017	WALKER, SUE	AM FUNDS GLOBAL BALANCED A	0.00	20.59	0.00	20.59	95.0	19.56
06/01/2017	KACZOR, CHRISTOPHER	AM FUNDS GLOBAL BALANCED A	0.00	1.11	0.00	1.11	95.0	1.05
06/01/2017	KACZOR, LISA	AM FUNDS GLOBAL BALANCED A	0.00	9.45	0.00	9.45	95.0	8.98
06/01/2017	KACZOR, CHRISTOPHER	AM FUNDS GLOBAL BALANCED A	0.00	1.23	0.00	1.23	95.0	1.17
06/01/2017	KELLY, SCOTT	AM FUNDS GLOBAL BALANCED A	0.00	1.66	0.00	1.66	95.0	1.58
05/30/2017	BOWEN, ED	AM FUNDS GROWTH FUND OF AMERICA 529	50.00	2.13	0.00	2.13	95.0	2.02
06/01/2017	SAWYER, ALONZO	AM FUNDS GROWTH FUND OF AMERICA 529	50.00	1.88	0.00	1.88	95.0	1.79
06/01/2017	SAWYER, ALONZO	AM FUNDS GROWTH FUND OF AMERICA 529	50.00	1.88	0.00	1.88	95.0	1.79
06/01/2017	SAWYER, ALONZO	AM FUNDS GROWTH FUND OF AMERICA 529	50.00	1.88	0.00	1.88	95.0	1.79
06/01/2017	LUMETTA, PAUL	AM FUNDS GROWTH FUND OF AMERICA 529	0.00	0.71	0.00	0.71	95.0	0.67
06/01/2017	WILSON, KAYLEE	AM FUNDS GROWTH FUND OF AMERICA 529	0.00	2.10	0.00	2.10	95.0	2.00
06/01/2017	WILSON, KAYLEE	AM FUNDS GROWTH FUND OF AMERICA 529	0.00	2.14	0.00	2.14	95.0	2.03
06/01/2017	KAPFHAMER, SCOTT	AM FUNDS GROWTH FUND OF AMERICA 529	0.00	16.26	0.00	16.26	95.0	15.45
06/01/2017	KAPFHAMER, SCOTT	AM FUNDS GROWTH FUND OF AMERICA 529	0.00	12.47	0.00	12.47	95.0	11.85
06/01/2017	LUMETTA, PAUL	AM FUNDS GROWTH FUND OF AMERICA 529	0.00	3.90	0.00	3.90	95.0	3.71
06/01/2017	BARNETT, RICHARD	AM FUNDS GROWTH FUND OF AMERICA 529	0.00	0.28	0.00	0.28	95.0	0.27
06/01/2017	BARNETT, RICHARD	AM FUNDS GROWTH FUND OF AMERICA 529	0.00	0.25	0.00	0.25	95.0	0.24
06/01/2017	BARNETT, RICHARD	AM FUNDS GROWTH FUND OF AMERICA 529	0.00	0.74	0.00	0.74	95.0	0.70
06/01/2017	GALINETTI, JULIA	AM FUNDS GROWTH FUND OF AMERICA 529	0.00	0.06	0.00	0.06	95.0	0.06
06/01/2017	BOWEN, ED	AM FUNDS GROWTH FUND OF AMERICA 529	0.00	7.33	0.00	7.33	95.0	6.96

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<u>BROKER TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
06/01/2017	SAWYER, ALONZO	AM FUNDS GROWTH FUND OF AMERICA 529	0.00	7.33	0.00	7.33	95.0	6.96
06/01/2017	HIGGINS, JAMES	AM FUNDS GROWTH FUND OF AMERICA 529	0.00	9.20	0.00	9.20	95.0	8.74
06/01/2017	RICHARDS, COLE	AM FUNDS GROWTH FUND OF AMERICA 529	0.00	0.55	0.00	0.55	95.0	0.52
06/01/2017	KOUZA, SOPHIA	AM FUNDS GROWTH FUND OF AMERICA 529	0.00	5.39	0.00	5.39	95.0	5.12
06/01/2017	SAWYER, ALONZO	AM FUNDS GROWTH FUND OF AMERICA 529	0.00	3.69	0.00	3.69	95.0	3.51
06/01/2017	SAWYER, ALONZO	AM FUNDS GROWTH FUND OF AMERICA 529	0.00	6.10	0.00	6.10	95.0	5.80
06/01/2017	FOLLETT, JACOB	AM FUNDS GROWTH FUND OF AMERICA 529	0.00	1.13	0.00	1.13	95.0	1.07
06/01/2017	FOLLETT, JACOB	AM FUNDS GROWTH FUND OF AMERICA 529	0.00	1.40	0.00	1.40	95.0	1.33
06/01/2017	ADAMS, JACKSON	AM FUNDS GROWTH FUND OF AMERICA 529	0.00	1.27	0.00	1.27	95.0	1.21
06/01/2017	BAILEY, STEVEN	AM FUNDS GROWTH FUND OF AMERICA A	50.00	2.50	0.00	2.50	95.0	2.38
06/01/2017	GREENE, LUCIA	AM FUNDS GROWTH FUND OF AMERICA A	0.00	37.20	0.00	37.20	95.0	35.34
06/01/2017	BRINKER/BENE, TIMOTHY	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.22	0.00	0.22	95.0	0.21
06/01/2017	MAKI, CHRISTINE	AM FUNDS GROWTH FUND OF AMERICA A	0.00	2.63	0.00	2.63	95.0	2.50
06/01/2017	HOLT, DEBBIE	AM FUNDS GROWTH FUND OF AMERICA A	0.00	67.26	0.00	67.26	95.0	63.90
06/01/2017	HOLLAND, JENNIFER	AM FUNDS GROWTH FUND OF AMERICA A	0.00	3.97	0.00	3.97	95.0	3.77
06/01/2017	GINGELL, PAUL	AM FUNDS GROWTH FUND OF AMERICA A	0.00	46.10	0.00	46.10	95.0	43.80
06/01/2017	ALVEY, SHERRIE	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.88	0.00	0.88	95.0	0.84
06/01/2017	VOGLER, BRIAN	AM FUNDS GROWTH FUND OF AMERICA A	0.00	3.25	0.00	3.25	95.0	3.09
06/01/2017	MAKI-DRAGER, CHRISTINE	AM FUNDS GROWTH FUND OF AMERICA A	0.00	3.08	0.00	3.08	95.0	2.93
06/01/2017	MIELKE, DAVID	AM FUNDS GROWTH FUND OF AMERICA A	0.00	33.96	0.00	33.96	95.0	32.26
06/01/2017	PARDEE, LORRAINE	AM FUNDS GROWTH FUND OF AMERICA A	0.00	2.51	0.00	2.51	95.0	2.38
06/01/2017	KOLESNIKOW, AMY	AM FUNDS GROWTH FUND OF AMERICA A	0.00	17.69	0.00	17.69	95.0	16.81
06/01/2017	VOGLER, JAKOB	AM FUNDS GROWTH FUND OF AMERICA A	0.00	4.66	0.00	4.66	95.0	4.43
06/01/2017	VOGLER, JAKOB	AM FUNDS GROWTH FUND OF AMERICA A	0.00	5.16	0.00	5.16	95.0	4.90
06/01/2017	BRAINER, ASHLEY	AM FUNDS GROWTH FUND OF AMERICA A	0.00	1.30	0.00	1.30	95.0	1.24
06/01/2017	BRINKER, SARAH	AM FUNDS GROWTH FUND OF AMERICA A	0.00	1.30	0.00	1.30	95.0	1.24
06/01/2017	BRINKER, AMANDA	AM FUNDS GROWTH FUND OF AMERICA A	0.00	1.30	0.00	1.30	95.0	1.24
06/01/2017	URBANIAK, LORAIN	AM FUNDS GROWTH FUND OF AMERICA A	0.00	51.69	0.00	51.69	95.0	49.11
06/01/2017	GILLETTE, BETTYANN	AM FUNDS GROWTH FUND OF AMERICA A	0.00	2.19	0.00	2.19	95.0	2.08
06/01/2017	NICOLOSI, ROSE	AM FUNDS GROWTH FUND OF AMERICA A	0.00	11.57	0.00	11.57	95.0	10.99
06/01/2017	RICE, BRYEN	AM FUNDS GROWTH FUND OF AMERICA A	0.00	1.50	0.00	1.50	95.0	1.43
06/01/2017	REDDEN, TODD	AM FUNDS GROWTH FUND OF AMERICA A	0.00	23.86	0.00	23.86	95.0	22.67
06/01/2017	SHIELDS, E PATRICIA	AM FUNDS GROWTH FUND OF AMERICA A	0.00	5.27	0.00	5.27	95.0	5.01

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>BROKER TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
06/01/2017	DAUGHERTY, RIA	AM FUNDS GROWTH FUND OF AMERICA A	0.00	1.44	0.00	1.44	95.0	1.37
06/01/2017	GRANE/, ROBERT	AM FUNDS GROWTH FUND OF AMERICA A	0.00	1.35	0.00	1.35	95.0	1.28
06/01/2017	GRANE, ROBERT	AM FUNDS GROWTH FUND OF AMERICA A	0.00	1.35	0.00	1.35	95.0	1.28
06/01/2017	GRANE, ROBERT	AM FUNDS GROWTH FUND OF AMERICA A	0.00	1.82	0.00	1.82	95.0	1.73
06/01/2017	GRANE, ROBERT	AM FUNDS GROWTH FUND OF AMERICA A	0.00	8.05	0.00	8.05	95.0	7.65
06/01/2017	VOGLER, GRACE	AM FUNDS GROWTH FUND OF AMERICA A	0.00	7.45	0.00	7.45	95.0	7.08
06/01/2017	LAQUE, AMANDA	AM FUNDS GROWTH FUND OF AMERICA A	0.00	3.25	0.00	3.25	95.0	3.09
06/01/2017	MERKLE, WILLIAM	AM FUNDS GROWTH FUND OF AMERICA A	0.00	1.40	0.00	1.40	95.0	1.33
06/01/2017	MERKLE, JACK	AM FUNDS GROWTH FUND OF AMERICA A	0.00	1.40	0.00	1.40	95.0	1.33
06/01/2017	SHALDA, ROSE	AM FUNDS GROWTH FUND OF AMERICA A	0.00	27.85	0.00	27.85	95.0	26.46
06/01/2017	MILLER-TAMM/AUTH PER, MARY	AM FUNDS GROWTH FUND OF AMERICA A	0.00	8.07	0.00	8.07	95.0	7.67
06/01/2017	PARTNERSHIP, CARLSON	AM FUNDS GROWTH FUND OF AMERICA A	0.00	5.75	0.00	5.75	95.0	5.46
06/01/2017	GIVENS, SCOTT	AM FUNDS GROWTH FUND OF AMERICA A	0.00	107.32	0.00	107.32	95.0	101.95
06/01/2017	WALKER TRUST, SUE	AM FUNDS GROWTH FUND OF AMERICA A	0.00	4.45	0.00	4.45	95.0	4.23
06/01/2017	VANDERMEER, BRYON	AM FUNDS GROWTH FUND OF AMERICA A	0.00	36.44	0.00	36.44	95.0	34.62
06/01/2017	SIMON, JUDITH	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.21	0.00	0.21	95.0	0.20
06/01/2017	VOGLER, ALEX	AM FUNDS GROWTH FUND OF AMERICA A	0.00	7.11	0.00	7.11	95.0	6.75
06/01/2017	VOGLER, ALEX	AM FUNDS GROWTH FUND OF AMERICA A	0.00	2.52	0.00	2.52	95.0	2.39
06/01/2017	NIKOLLAU, RIA	AM FUNDS GROWTH FUND OF AMERICA A	0.00	17.85	0.00	17.85	95.0	16.96
06/01/2017	STRUNCK, TED	AM FUNDS GROWTH FUND OF AMERICA A	0.00	30.43	0.00	30.43	95.0	28.91
06/01/2017	BAILEY, STEVEN	AM FUNDS GROWTH FUND OF AMERICA A	0.00	3.00	0.00	3.00	95.0	2.85
06/01/2017	SCHRITZ, BRYAN	AM FUNDS GROWTH FUND OF AMERICA A	0.00	62.70	0.00	62.70	95.0	59.57
06/01/2017	VOGLER, BREN	AM FUNDS GROWTH FUND OF AMERICA A	0.00	9.92	0.00	9.92	95.0	9.42
06/01/2017	KUCHAREK, PAUL	AM FUNDS GROWTH FUND OF AMERICA A	0.00	10.91	0.00	10.91	95.0	10.36
06/01/2017	VOGLER, KYLE	AM FUNDS GROWTH FUND OF AMERICA A	0.00	8.19	0.00	8.19	95.0	7.78
06/01/2017	STRAYVE, MICHAEL	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.19	0.00	0.19	95.0	0.18
06/01/2017	RIETH, HOLLY	AM FUNDS GROWTH FUND OF AMERICA A	0.00	1.50	0.00	1.50	95.0	1.43
06/01/2017	STARKEY, RENEE	AM FUNDS GROWTH FUND OF AMERICA A	0.00	3.24	0.00	3.24	95.0	3.08
06/01/2017	SCHLEICH, DAVID	AM FUNDS GROWTH FUND OF AMERICA A	0.00	24.64	0.00	24.64	95.0	23.41
06/01/2017	GRANE, ROBERT	AM FUNDS GROWTH FUND OF AMERICA A	0.00	1.53	0.00	1.53	95.0	1.45
06/01/2017	ALVEY, BRETT	AM FUNDS GROWTH FUND OF AMERICA A	0.00	2.44	0.00	2.44	95.0	2.32
06/01/2017	BENNETT, JEFFERY	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.24	0.00	0.24	95.0	0.23
06/01/2017	GEE, JACKSON	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.77	0.00	0.77	95.0	0.73

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>BROKER TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
06/01/2017	GEE, LOGAN	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.83	0.00	0.83	95.0	0.79
06/01/2017	RYAN, JOHN	AM FUNDS GROWTH FUND OF AMERICA A	0.00	2.41	0.00	2.41	95.0	2.29
06/01/2017	RYAN, JOHN	AM FUNDS GROWTH FUND OF AMERICA A	0.00	2.34	0.00	2.34	95.0	2.22
06/01/2017	RYAN, KIMBERLY	AM FUNDS GROWTH FUND OF AMERICA A	0.00	7.15	0.00	7.15	95.0	6.79
06/01/2017	VOGLER, SUZANNE	AM FUNDS GROWTH FUND OF AMERICA A	0.00	6.49	0.00	6.49	95.0	6.17
06/01/2017	VOGLER, ANNA RENEE	AM FUNDS GROWTH FUND OF AMERICA A	0.00	6.49	0.00	6.49	95.0	6.17
06/01/2017	BOZA, VICTOR	AM FUNDS GROWTH FUND OF AMERICA A	0.00	1.31	0.00	1.31	95.0	1.24
06/01/2017	PARDEE, CRAIG	AM FUNDS GROWTH FUND OF AMERICA A	0.00	27.11	0.00	27.11	95.0	25.75
06/01/2017	TSANGANOS, OURANIA	AM FUNDS GROWTH FUND OF AMERICA A	0.00	6.00	0.00	6.00	95.0	5.70
06/01/2017	TSANGANOS, NICHOLAOS	AM FUNDS GROWTH FUND OF AMERICA A	0.00	7.75	0.00	7.75	95.0	7.36
06/01/2017	TSANGANOS, CHRISTOPHER	AM FUNDS GROWTH FUND OF AMERICA A	0.00	6.49	0.00	6.49	95.0	6.17
06/01/2017	GAULKE, DONNA	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.89	0.00	0.89	95.0	0.85
06/01/2017	RACHEL, JOHN	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.96	0.00	0.96	95.0	0.91
06/01/2017	TSANGANOS, OURANIA	AM FUNDS GROWTH FUND OF AMERICA A	0.00	4.96	0.00	4.96	95.0	4.71
06/01/2017	TSANGANOS, NICHOLAOS	AM FUNDS GROWTH FUND OF AMERICA A	0.00	4.96	0.00	4.96	95.0	4.71
06/01/2017	TSANGANOS, LABRENE	AM FUNDS GROWTH FUND OF AMERICA A	0.00	13.96	0.00	13.96	95.0	13.26
06/01/2017	TSANGANOS, LABRENE	AM FUNDS GROWTH FUND OF AMERICA A	0.00	8.30	0.00	8.30	95.0	7.89
06/01/2017	BROWNING, RYAN	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.18	0.00	0.18	95.0	0.17
06/01/2017	MUSAL, NANCY	AM FUNDS GROWTH FUND OF AMERICA A	0.00	4.17	0.00	4.17	95.0	3.96
06/01/2017	BABIN, WILLIAM	AM FUNDS GROWTH FUND OF AMERICA A	0.00	7.84	0.00	7.84	95.0	7.45
06/01/2017	TSOUKALAS, IOANNIS	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.45	0.00	0.45	95.0	0.43
06/01/2017	BENNETT, AMANDA	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.92	0.00	0.92	95.0	0.87
06/01/2017	CARSON, JESSICA	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.79	0.00	0.79	95.0	0.75
06/01/2017	MARBLEY, SHEILA	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.18	0.00	0.18	95.0	0.17
06/01/2017	NATHAN, SANDRA	AM FUNDS GROWTH FUND OF AMERICA A	0.00	1.32	0.00	1.32	95.0	1.25
06/01/2017	TSANGANOS, LABRENE	AM FUNDS GROWTH FUND OF AMERICA A	0.00	15.52	0.00	15.52	95.0	14.74
06/01/2017	TSANGANOS, LEONIDAS	AM FUNDS GROWTH FUND OF AMERICA A	0.00	8.35	0.00	8.35	95.0	7.93
06/01/2017	KRAUSE, LAURA	AM FUNDS GROWTH FUND OF AMERICA A	0.00	33.72	0.00	33.72	95.0	32.03
06/01/2017	KRAUSE, LAURA	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.31	0.00	0.31	95.0	0.29
06/01/2017	ROTH, DANNY	AM FUNDS GROWTH FUND OF AMERICA A	0.00	16.00	0.00	16.00	95.0	15.20
06/01/2017	SALES, THOMAS	AM FUNDS GROWTH FUND OF AMERICA A	0.00	51.96	0.00	51.96	95.0	49.36
06/01/2017	SCHMITT, KEITH	AM FUNDS GROWTH FUND OF AMERICA A	0.00	8.74	0.00	8.74	95.0	8.30
06/01/2017	SCHECK, VICTORIA	AM FUNDS GROWTH FUND OF AMERICA A	0.00	17.79	0.00	17.79	95.0	16.90

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<u>BROKER TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
06/01/2017	SCHNEIDER, RYAN	AM FUNDS GROWTH FUND OF AMERICA A	0.00	16.37	0.00	16.37	95.0	15.55
06/01/2017	SHAW, TERRY	AM FUNDS GROWTH FUND OF AMERICA A	0.00	6.08	0.00	6.08	95.0	5.78
06/01/2017	TROGAN/BENE, CHRISTINA	AM FUNDS GROWTH FUND OF AMERICA A	0.00	72.86	0.00	72.86	95.0	69.22
06/01/2017	LOVEDAY, JUDITH	AM FUNDS GROWTH FUND OF AMERICA A	0.00	4.19	0.00	4.19	95.0	3.98
05/22/2017	SOBIESKI, JOYCE	AM FUNDS GROWTH FUND OF AMERICA C	37.50	0.38	0.00	0.38	95.0	0.36
06/01/2017	SOBIESKI, JOYCE	AM FUNDS GROWTH FUND OF AMERICA C	0.00	42.27	0.00	42.27	95.0	40.16
06/01/2017	PRICOPIO, MARIO	AM FUNDS GROWTH FUND OF AMERICA C	0.00	13.16	0.00	13.16	95.0	12.50
06/01/2017	PETERSON, ALEXA	AM FUNDS GROWTH FUND OF AMERICA C	0.00	1.08	0.00	1.08	95.0	1.03
06/01/2017	PETERSON, TREY	AM FUNDS GROWTH FUND OF AMERICA C	0.00	1.08	0.00	1.08	95.0	1.03
06/01/2017	CYRULEWSKI, JIM	AM FUNDS GROWTH FUND OF AMERICA C	0.00	13.65	0.00	13.65	95.0	12.97
06/01/2017	BLANKENSHIP, JANET	AM FUNDS GROWTH FUND OF AMERICA C	0.00	28.24	0.00	28.24	95.0	26.83
06/01/2017	KEELER, DAVID	AM FUNDS GROWTH FUND OF AMERICA C	0.00	180.79	0.00	180.79	95.0	171.75
06/01/2017	KOSANKE, MARK	AM FUNDS GROWTH FUND OF AMERICA C	0.00	52.38	0.00	52.38	95.0	49.76
06/01/2017	KOSANKE, MARK	AM FUNDS GROWTH FUND OF AMERICA C	0.00	230.22	0.00	230.22	95.0	218.71
06/01/2017	WHITEFOOT, BEVERLY	AM FUNDS GROWTH FUND OF AMERICA C	0.00	16.70	0.00	16.70	95.0	15.87
06/01/2017	WAGNER, MATTHEW	AM FUNDS GROWTH FUND OF AMERICA C	0.00	3.24	0.00	3.24	95.0	3.08
06/01/2017	WOJDYNSKI, ROSE	AM FUNDS GROWTH FUND OF AMERICA C	0.00	20.77	0.00	20.77	95.0	19.73
06/01/2017	MCKENZIE, DONNA	AM FUNDS GROWTH FUND OF AMERICA C	0.00	13.52	0.00	13.52	95.0	12.84
06/01/2017	MCKENZIE, ROBERT	AM FUNDS GROWTH FUND OF AMERICA C	0.00	11.16	0.00	11.16	95.0	10.60
06/01/2017	VINING, KRISTOPHER	AM FUNDS GROWTH FUND OF AMERICA F1	0.00	1.93	0.00	1.93	95.0	1.83
06/01/2017	SOBIESKI, JOYCE	AM FUNDS GROWTH FUND OF AMERICA F1	0.00	4.27	0.00	4.27	95.0	4.06
06/01/2017	BOWEN, ED	AM FUNDS HIGH INCOME TRUST 529A	0.00	0.27	0.00	0.27	95.0	0.26
06/01/2017	MARCOLA, ETHAN	AM FUNDS ICA 529A	0.00	0.92	0.00	0.92	95.0	0.87
06/01/2017	BOWEN, ED	AM FUNDS ICA 529A	0.00	0.63	0.00	0.63	95.0	0.60
06/01/2017	MIHELICH, DARLENE	AM FUNDS ICA 529A	0.00	5.03	0.00	5.03	95.0	4.78
06/01/2017	NICOLOSI, ROSE	AM FUNDS ICA 529A	0.00	23.51	0.00	23.51	95.0	22.33
06/01/2017	NICOLOSI, ROSE	AM FUNDS ICA 529A	0.00	23.40	0.00	23.40	95.0	22.23
06/01/2017	LONG, SARAH	AM FUNDS ICA 529A	0.00	0.90	0.00	0.90	95.0	0.86
06/01/2017	NICOLOSI, ROSE	AM FUNDS ICA 529A	0.00	23.39	0.00	23.39	95.0	22.22
05/31/2017	WONCH, ELIZABETH	AM FUNDS ICA A	200.00	10.00	0.00	10.00	95.0	9.50
06/01/2017	BAILEY, STEVEN	AM FUNDS ICA A	50.00	2.50	0.00	2.50	95.0	2.38
06/01/2017	MCVAY, JOHN	AM FUNDS ICA A	0.00	9.81	0.00	9.81	95.0	9.32
06/01/2017	BREIDENSTEIN, CHARLES	AM FUNDS ICA A	0.00	33.35	0.00	33.35	95.0	31.68

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<u>BROKER TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
06/01/2017	MARQUARDSEN, HOLGER	AM FUNDS ICA A	0.00	74.40	0.00	74.40	95.0	70.68
06/01/2017	MARQUARDSEN, ANNA	AM FUNDS ICA A	0.00	55.22	0.00	55.22	95.0	52.46
06/01/2017	SEMENIK, EMILY	AM FUNDS ICA A	0.00	173.62	0.00	173.62	95.0	164.94
06/01/2017	BODNAR, NANCY	AM FUNDS ICA A	0.00	8.16	0.00	8.16	95.0	7.75
06/01/2017	DROGELL, DAVID	AM FUNDS ICA A	0.00	14.79	0.00	14.79	95.0	14.05
06/01/2017	BORKHOLDER, STEVEN	AM FUNDS ICA A	0.00	16.06	0.00	16.06	95.0	15.26
06/01/2017	MORELLI, MARY	AM FUNDS ICA A	0.00	60.63	0.00	60.63	95.0	57.60
06/01/2017	HOFFMAN, BARBARA	AM FUNDS ICA A	0.00	43.67	0.00	43.67	95.0	41.49
06/01/2017	YOUNG, SUSAN	AM FUNDS ICA A	0.00	0.58	0.00	0.58	95.0	0.55
06/01/2017	SPEICHER, JANET	AM FUNDS ICA A	0.00	11.30	0.00	11.30	95.0	10.74
06/01/2017	MILLER, JANE	AM FUNDS ICA A	0.00	0.56	0.00	0.56	95.0	0.53
06/01/2017	JENERETTE, ANGULNETTE	AM FUNDS ICA A	0.00	1.45	0.00	1.45	95.0	1.38
06/01/2017	CLOTHIER /SAR-SEP, JAMES	AM FUNDS ICA A	0.00	0.28	0.00	0.28	95.0	0.27
06/01/2017	BAKEWELL, RALPH	AM FUNDS ICA A	0.00	63.88	0.00	63.88	95.0	60.69
06/01/2017	HOLLAND, JENNIFER	AM FUNDS ICA A	0.00	2.28	0.00	2.28	95.0	2.17
06/01/2017	HIMELHOCH, SETH	AM FUNDS ICA A	0.00	1.31	0.00	1.31	95.0	1.24
06/01/2017	GRENADIER, KAREN	AM FUNDS ICA A	0.00	29.56	0.00	29.56	95.0	28.08
06/01/2017	REETZ, TIMOTHY	AM FUNDS ICA A	0.00	0.46	0.00	0.46	95.0	0.44
06/01/2017	GINGELL, PAUL	AM FUNDS ICA A	0.00	36.20	0.00	36.20	95.0	34.39
06/01/2017	CAVANAUGH, CAROL	AM FUNDS ICA A	0.00	3.51	0.00	3.51	95.0	3.33
06/01/2017	MIHELICH, JOHN	AM FUNDS ICA A	0.00	7.76	0.00	7.76	95.0	7.37
06/01/2017	NOONAN, PATRICIA	AM FUNDS ICA A	0.00	3.70	0.00	3.70	95.0	3.52
06/01/2017	FINK, MARGARET	AM FUNDS ICA A	0.00	111.71	0.00	111.71	95.0	106.12
06/01/2017	RAMOS/DEC'D, RENEE	AM FUNDS ICA A	0.00	3.61	0.00	3.61	95.0	3.43
06/01/2017	SIEDLAK, PATRICIA	AM FUNDS ICA A	0.00	13.71	0.00	13.71	95.0	13.02
06/01/2017	KRAUSE, MICHAEL	AM FUNDS ICA A	0.00	10.49	0.00	10.49	95.0	9.97
06/01/2017	KRAUSE, MICHAEL	AM FUNDS ICA A	0.00	5.61	0.00	5.61	95.0	5.33
06/01/2017	SIEDLAK JT TEN, TERRY	AM FUNDS ICA A	0.00	13.29	0.00	13.29	95.0	12.63
06/01/2017	ALVEY, SHERRIE	AM FUNDS ICA A	0.00	1.23	0.00	1.23	95.0	1.17
06/01/2017	KING, PETER	AM FUNDS ICA A	0.00	4.65	0.00	4.65	95.0	4.42
06/01/2017	KING, CRYSTAL	AM FUNDS ICA A	0.00	4.53	0.00	4.53	95.0	4.30
06/01/2017	GEORGES, ELIZABETH	AM FUNDS ICA A	0.00	20.76	0.00	20.76	95.0	19.72
06/01/2017	PAVLINA, MICHAEL	AM FUNDS ICA A	0.00	0.09	0.00	0.09	95.0	0.09

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<u>BROKER TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
06/01/2017	ABEL, JEFFREY	AM FUNDS ICA A	0.00	0.38	0.00	0.38	95.0	0.36
06/01/2017	DROGELL, LINDA	AM FUNDS ICA A	0.00	11.45	0.00	11.45	95.0	10.88
06/01/2017	GREENE, DAVID	AM FUNDS ICA A	0.00	22.05	0.00	22.05	95.0	20.95
06/01/2017	PASEK, CHRISTINE	AM FUNDS ICA A	0.00	4.08	0.00	4.08	95.0	3.88
06/01/2017	PASEK, KEVIN	AM FUNDS ICA A	0.00	4.08	0.00	4.08	95.0	3.88
06/01/2017	BACHTELL, JAMES	AM FUNDS ICA A	0.00	25.49	0.00	25.49	95.0	24.22
06/01/2017	MIHELICH, DARLENE	AM FUNDS ICA A	0.00	20.09	0.00	20.09	95.0	19.09
06/01/2017	DZIATCZAK, LISA	AM FUNDS ICA A	0.00	2.65	0.00	2.65	95.0	2.52
06/01/2017	KRAUSE, MICHAEL	AM FUNDS ICA A	0.00	2.11	0.00	2.11	95.0	2.00
06/01/2017	KOLESNIKOW, AMY	AM FUNDS ICA A	0.00	22.05	0.00	22.05	95.0	20.95
06/01/2017	CAVANAUGH, CAROL	AM FUNDS ICA A	0.00	2.12	0.00	2.12	95.0	2.01
06/01/2017	NIEKEMP, KATHY	AM FUNDS ICA A	0.00	2.08	0.00	2.08	95.0	1.98
06/01/2017	DUNCAN, LEANNE	AM FUNDS ICA A	0.00	5.76	0.00	5.76	95.0	5.47
06/01/2017	NIEHAUS, MARK	AM FUNDS ICA A	0.00	7.16	0.00	7.16	95.0	6.80
06/01/2017	GERSPACHER, BRIANA	AM FUNDS ICA A	0.00	1.79	0.00	1.79	95.0	1.70
06/01/2017	KNOTT, PAUL	AM FUNDS ICA A	0.00	11.57	0.00	11.57	95.0	10.99
06/01/2017	LONGACRE, BRENDEN	AM FUNDS ICA A	0.00	0.79	0.00	0.79	95.0	0.75
06/01/2017	BALAEV, ALEXANDER	AM FUNDS ICA A	0.00	0.41	0.00	0.41	95.0	0.39
06/01/2017	MARKOVITZ, EDWARD	AM FUNDS ICA A	0.00	0.91	0.00	0.91	95.0	0.86
06/01/2017	SZOCINSKI, CASIMER	AM FUNDS ICA A	0.00	7.93	0.00	7.93	95.0	7.53
06/01/2017	LEWIS, MARK	AM FUNDS ICA A	0.00	3.09	0.00	3.09	95.0	2.94
06/01/2017	LAREAU, ALEXANDER	AM FUNDS ICA A	0.00	0.87	0.00	0.87	95.0	0.83
06/01/2017	JOHNSON, ALBERT	AM FUNDS ICA A	0.00	0.83	0.00	0.83	95.0	0.79
06/01/2017	HAVLIK, BRIAN	AM FUNDS ICA A	0.00	0.05	0.00	0.05	95.0	0.05
06/01/2017	VOLAKAKIS, VEGA	AM FUNDS ICA A	0.00	8.54	0.00	8.54	95.0	8.11
06/01/2017	BAILEY, STEVEN	AM FUNDS ICA A	0.00	2.83	0.00	2.83	95.0	2.69
06/01/2017	CAVANAUGH, COLLIN	AM FUNDS ICA A	0.00	1.64	0.00	1.64	95.0	1.56
06/01/2017	BUTLER, KATHLEEN	AM FUNDS ICA A	0.00	3.92	0.00	3.92	95.0	3.72
06/01/2017	BURTZLAFF, MATTHEW	AM FUNDS ICA A	0.00	73.84	0.00	73.84	95.0	70.15
06/01/2017	MCLAUGHLIN, TRACY	AM FUNDS ICA A	0.00	12.10	0.00	12.10	95.0	11.50
06/01/2017	KRAUSE, EVELYN	AM FUNDS ICA A	0.00	106.39	0.00	106.39	95.0	101.07
06/01/2017	KUCHAREK, PAUL	AM FUNDS ICA A	0.00	9.19	0.00	9.19	95.0	8.73
06/01/2017	STRAYVE, MICHAEL	AM FUNDS ICA A	0.00	0.34	0.00	0.34	95.0	0.32

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<u>BROKER TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
06/01/2017	VOLAKAKIS, LOGAN	AM FUNDS ICA A	0.00	7.20	0.00	7.20	95.0	6.84
06/01/2017	SULLIVAN, ZACHARY	AM FUNDS ICA A	0.00	2.18	0.00	2.18	95.0	2.07
06/01/2017	KNOTT, MARY	AM FUNDS ICA A	0.00	0.79	0.00	0.79	95.0	0.75
06/01/2017	GORSEK, JOHN	AM FUNDS ICA A	0.00	9.28	0.00	9.28	95.0	8.82
06/01/2017	IMBRIGOTTA, MICHAEL	AM FUNDS ICA A	0.00	32.66	0.00	32.66	95.0	31.03
06/01/2017	KENDZIERSKI, JENNIE	AM FUNDS ICA A	0.00	1.63	0.00	1.63	95.0	1.55
06/01/2017	MCGEE, MICHAEL	AM FUNDS ICA A	0.00	0.91	0.00	0.91	95.0	0.86
06/01/2017	FULTON, JOHN	AM FUNDS ICA A	0.00	10.80	0.00	10.80	95.0	10.26
06/01/2017	HEGEL, SUSAN	AM FUNDS ICA A	0.00	13.68	0.00	13.68	95.0	13.00
06/01/2017	JAMES, RODNEY	AM FUNDS ICA A	0.00	0.04	0.00	0.04	95.0	0.04
06/01/2017	OLSON, ERIC	AM FUNDS ICA A	0.00	3.62	0.00	3.62	95.0	3.44
06/01/2017	DEFRANCESCO, STEVEN	AM FUNDS ICA A	0.00	0.63	0.00	0.63	95.0	0.60
06/01/2017	NICOLOSI TRUST, ROSE	AM FUNDS ICA A	0.00	269.79	0.00	269.79	95.0	256.30
06/01/2017	MUSAL, NANCY	AM FUNDS ICA A	0.00	3.25	0.00	3.25	95.0	3.09
06/01/2017	BABIN, WILLIAM	AM FUNDS ICA A	0.00	7.21	0.00	7.21	95.0	6.85
06/01/2017	FINK, MARGARET	AM FUNDS ICA A	0.00	112.73	0.00	112.73	95.0	107.09
06/01/2017	STAMPER, JANET	AM FUNDS ICA A	0.00	72.32	0.00	72.32	95.0	68.70
06/01/2017	CARSON, JESSICA	AM FUNDS ICA A	0.00	0.54	0.00	0.54	95.0	0.51
06/01/2017	RIGGERT, ANDREW	AM FUNDS ICA A	0.00	3.43	0.00	3.43	95.0	3.26
06/01/2017	TSANGANOS, LEONIDAS	AM FUNDS ICA A	0.00	20.27	0.00	20.27	95.0	19.26
06/01/2017	PERSIC, ERNST	AM FUNDS ICA A	0.00	7.68	0.00	7.68	95.0	7.30
06/01/2017	KOSANKE, MARK	AM FUNDS ICA A	0.00	6.14	0.00	6.14	95.0	5.83
06/01/2017	BULLOCK, RAYMOND	AM FUNDS ICA A	0.00	168.48	0.00	168.48	95.0	160.06
06/01/2017	SIEDLAK, LESLIE	AM FUNDS ICA A	0.00	12.75	0.00	12.75	95.0	12.11
06/01/2017	WONCH, ELIZABETH	AM FUNDS ICA A	0.00	1.33	0.00	1.33	95.0	1.26
06/01/2017	LINDEN, MARGARET	AM FUNDS ICA A	0.00	5.35	0.00	5.35	95.0	5.08
06/01/2017	BURTZLAFF, MATTHEW	AM FUNDS ICA A	0.00	5.82	0.00	5.82	95.0	5.53
06/01/2017	KALINOWSKI, BARBARA	AM FUNDS ICA A	0.00	2.92	0.00	2.92	95.0	2.77
06/01/2017	GIVENS, DEBRA	AM FUNDS ICA A	0.00	4.28	0.00	4.28	95.0	4.07
06/01/2017	BAXTER, COLE	AM FUNDS ICA A	0.00	6.13	0.00	6.13	95.0	5.82
06/01/2017	WAUGH, ERIN	AM FUNDS ICA A	0.00	0.93	0.00	0.93	95.0	0.88
06/01/2017	MACK JR, SAMUEL	AM FUNDS ICA A	0.00	1.47	0.00	1.47	95.0	1.40
06/01/2017	ANDERSON, AMY	AM FUNDS ICA A	0.00	1.20	0.00	1.20	95.0	1.14

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>BROKER TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
06/01/2017	KEBA, STEPHEN	AM FUNDS ICA A	0.00	2.28	0.00	2.28	95.0	2.17
06/01/2017	WEST TRUST, NORA	AM FUNDS ICA A	0.00	10.12	0.00	10.12	95.0	9.61
06/01/2017	KRAUSE, BARBARA	AM FUNDS ICA A	0.00	462.92	0.00	462.92	95.0	439.77
06/01/2017	LOVEDAY, JUDITH	AM FUNDS ICA A	0.00	4.19	0.00	4.19	95.0	3.98
^06/02/2017	MCLAUGHLIN, TRACY	AM FUNDS ICA A	150.00	7.50	0.00	7.50	95.0	0.00
06/01/2017	CHERRY, JACOB	AM FUNDS ICA C	0.00	1.98	0.00	1.98	95.0	1.88
06/01/2017	PRICOPIO, VANESSA	AM FUNDS ICA C	0.00	5.45	0.00	5.45	95.0	5.18
06/01/2017	KAWALA, CHRISTINA	AM FUNDS ICA C	0.00	3.63	0.00	3.63	95.0	3.45
06/01/2017	NACHAZEL, MARY	AM FUNDS ICA C	0.00	46.05	0.00	46.05	95.0	43.75
06/01/2017	MAYNARD, JULIE	AM FUNDS ICA C	0.00	11.29	0.00	11.29	95.0	10.73
06/01/2017	JORDAN, TRAVIS	AM FUNDS ICA F1	0.00	3.45	0.00	3.45	95.0	3.28
06/01/2017	CHERRY, JACOB	AM FUNDS ICA F1	0.00	0.32	0.00	0.32	95.0	0.30
06/01/2017	LONGACRE, BROOKLYNN	AM FUNDS ICA F1	0.00	1.15	0.00	1.15	95.0	1.09
06/01/2017	YAGIELA, CODY	AM FUNDS ICA F1	0.00	1.43	0.00	1.43	95.0	1.36
06/01/2017	LONGACRE, JAXON	AM FUNDS ICA F1	0.00	1.02	0.00	1.02	95.0	0.97
06/01/2017	YAGIELA, LOGAN	AM FUNDS ICA F1	0.00	1.39	0.00	1.39	95.0	1.32
06/01/2017	BODNAR, NANCY	AM FUNDS INCOME FUND OF AMERICA A	0.00	6.00	0.00	6.00	95.0	5.70
06/01/2017	MORELLI, MARY	AM FUNDS INCOME FUND OF AMERICA A	0.00	54.60	0.00	54.60	95.0	51.87
06/01/2017	WELCH, TIMOTHY	AM FUNDS INCOME FUND OF AMERICA A	0.00	4.73	0.00	4.73	95.0	4.49
06/01/2017	ARCE, MICHAEL	AM FUNDS INCOME FUND OF AMERICA A	0.00	54.57	0.00	54.57	95.0	51.84
06/01/2017	ZOGRAFOS TRUST, REGINA	AM FUNDS INCOME FUND OF AMERICA A	0.00	12.86	0.00	12.86	95.0	12.22
06/01/2017	BALAEV, ALEXANDER	AM FUNDS INCOME FUND OF AMERICA A	0.00	0.84	0.00	0.84	95.0	0.80
06/01/2017	ESSE, DAVID	AM FUNDS INCOME FUND OF AMERICA A	0.00	1.84	0.00	1.84	95.0	1.75
06/01/2017	ESSE, ANGELINE	AM FUNDS INCOME FUND OF AMERICA A	0.00	1.84	0.00	1.84	95.0	1.75
06/01/2017	ZERVAS, HELEN	AM FUNDS INCOME FUND OF AMERICA A	0.00	18.10	0.00	18.10	95.0	17.20
06/01/2017	NICOLOSI, ROSE	AM FUNDS INCOME FUND OF AMERICA A	0.00	7.28	0.00	7.28	95.0	6.92
06/01/2017	BENNETT, JEFFERY	AM FUNDS INCOME FUND OF AMERICA A	0.00	0.20	0.00	0.20	95.0	0.19
06/01/2017	MANKO, MARGARET	AM FUNDS INCOME FUND OF AMERICA A	0.00	4.04	0.00	4.04	95.0	3.84
06/01/2017	DEFRANCESCO, STEVEN	AM FUNDS INCOME FUND OF AMERICA A	0.00	1.24	0.00	1.24	95.0	1.18
06/01/2017	MUSAL, NANCY	AM FUNDS INCOME FUND OF AMERICA A	0.00	3.01	0.00	3.01	95.0	2.86
06/01/2017	SMITH, MARTHA	AM FUNDS INCOME FUND OF AMERICA A	0.00	81.90	0.00	81.90	95.0	77.81
06/01/2017	OLSON, MELINDA	AM FUNDS INCOME FUND OF AMERICA A	0.00	5.30	0.00	5.30	95.0	5.04
06/01/2017	JONES, NEVA	AM FUNDS INCOME FUND OF AMERICA A	0.00	19.37	0.00	19.37	95.0	18.40

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<u>BROKER TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
06/01/2017	SCHECK, VICTORIA	AM FUNDS INCOME FUND OF AMERICA A	0.00	17.19	0.00	17.19	95.0	16.33
06/01/2017	KEBA, STEPHEN	AM FUNDS INCOME FUND OF AMERICA A	0.00	14.99	0.00	14.99	95.0	14.24
06/01/2017	KOSANKE, MARK	AM FUNDS INCOME FUND OF AMERICA C	0.00	92.05	0.00	92.05	95.0	87.45
06/01/2017	WHITEFOOT, BEVERLY	AM FUNDS INCOME FUND OF AMERICA C	0.00	17.84	0.00	17.84	95.0	16.95
06/01/2017	MAGGARD, LORETTA	AM FUNDS INCOME FUND OF AMERICA C	0.00	78.60	0.00	78.60	95.0	74.67
06/01/2017	MAYNARD, JULIE	AM FUNDS INCOME FUND OF AMERICA C	0.00	9.47	0.00	9.47	95.0	9.00
06/01/2017	NACHAZEL, THOMAS	AM FUNDS INCOME FUND OF AMERICA C	0.00	57.57	0.00	57.57	95.0	54.69
06/01/2017	HAYES, DORIS	AM FUNDS INCOME FUND OF AMERICA F-1	0.00	7.03	0.00	7.03	95.0	6.68
06/01/2017	VARTABEDIAN, LISA	AM FUNDS INCOME FUND OF AMERICA-529	0.00	2.90	0.00	2.90	95.0	2.76
06/01/2017	VARTABEDIAN, LISA	AM FUNDS INCOME FUND OF AMERICA-529	0.00	3.16	0.00	3.16	95.0	3.00
06/01/2017	GALINETTI, JULIA	AM FUNDS INCOME FUND OF AMERICA-529	0.00	0.04	0.00	0.04	95.0	0.04
06/01/2017	ADAMS, JACKSON	AM FUNDS INCOME FUND OF AMERICA-529	0.00	2.46	0.00	2.46	95.0	2.34
06/01/2017	MATAR, ROBERTG	AM FUNDS INTERMEDIATE BOND FUND OF	0.00	4.13	0.00	4.13	95.0	3.92
06/01/2017	DUNN, CATHERINE	AM FUNDS INTERMEDIATE BOND FUND OF	0.00	17.13	0.00	17.13	95.0	16.27
06/01/2017	MARCOLA, ETHAN	AM FUNDS INTERMEDIATE BOND FUND OF	0.00	0.46	0.00	0.46	95.0	0.44
06/01/2017	HIGGINS, JAMES	AM FUNDS INTERMEDIATE BOND FUND OF	0.00	6.74	0.00	6.74	95.0	6.40
06/01/2017	NICKOLOPOULOS, HAILEY	AM FUNDS INTERMEDIATE BOND FUND OF	0.00	0.21	0.00	0.21	95.0	0.20
06/01/2017	SMITH, H DENNIS	AM FUNDS INTL GROWTH AND INCOME A	0.00	2.44	0.00	2.44	95.0	2.32
06/01/2017	STANTON, GEORGE	AM FUNDS INTL GROWTH AND INCOME A	0.00	0.03	0.00	0.03	95.0	0.03
06/01/2017	RILEY, ROBERT	AM FUNDS INTL GROWTH AND INCOME A	0.00	3.71	0.00	3.71	95.0	3.52
06/01/2017	LIONAS, MARIKA	AM FUNDS INTL GROWTH AND INCOME A	0.00	2.25	0.00	2.25	95.0	2.14
06/01/2017	GARDNER, THERESA	AM FUNDS MORTGAGE A	0.00	0.80	0.00	0.80	95.0	0.76
05/22/2017	MICHON, ERIK	AM FUNDS NEW ECONOMY 529A	67.00	3.35	0.00	3.35	95.0	3.18
06/01/2017	MICHON, ERIK	AM FUNDS NEW ECONOMY 529A	0.00	0.95	0.00	0.95	95.0	0.90
06/01/2017	RICHARDS, COLE	AM FUNDS NEW ECONOMY 529A	0.00	0.58	0.00	0.58	95.0	0.55
06/01/2017	FOLLETT, JACOB	AM FUNDS NEW ECONOMY 529A	0.00	1.08	0.00	1.08	95.0	1.03
06/01/2017	FOLLETT, JACOB	AM FUNDS NEW ECONOMY 529A	0.00	1.35	0.00	1.35	95.0	1.28
06/01/2017	LINDERMAN, JEAN	AM FUNDS NEW ECONOMY A	0.00	1.09	0.00	1.09	95.0	1.04
06/01/2017	HOFFMAN, BARBARA	AM FUNDS NEW ECONOMY A	0.00	30.92	0.00	30.92	95.0	29.37
06/01/2017	ERMAN, NOLAKAY	AM FUNDS NEW ECONOMY A	0.00	44.33	0.00	44.33	95.0	42.11
06/01/2017	PHILLIPS, RANDALL	AM FUNDS NEW ECONOMY A	0.00	12.61	0.00	12.61	95.0	11.98
06/01/2017	SABOOL, NICHOLAS	AM FUNDS NEW ECONOMY A	0.00	10.63	0.00	10.63	95.0	10.10
06/01/2017	MIELKE, DAVID	AM FUNDS NEW ECONOMY A	0.00	34.95	0.00	34.95	95.0	33.20

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<u>BROKER TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
06/01/2017	SAMMONS, DAVID	AM FUNDS NEW ECONOMY A	0.00	0.16	0.00	0.16	95.0	0.15
06/01/2017	GERSPACHER, BRIANA	AM FUNDS NEW ECONOMY A	0.00	7.53	0.00	7.53	95.0	7.15
06/01/2017	CHAMPION, STEPHANIE	AM FUNDS NEW ECONOMY A	0.00	5.66	0.00	5.66	95.0	5.38
06/01/2017	JONES, GERALD	AM FUNDS NEW ECONOMY A	0.00	1.11	0.00	1.11	95.0	1.05
06/01/2017	SHALDA, ROSE	AM FUNDS NEW ECONOMY A	0.00	13.54	0.00	13.54	95.0	12.86
06/01/2017	KENDZIERSKI, JENNIE	AM FUNDS NEW ECONOMY A	0.00	1.50	0.00	1.50	95.0	1.43
06/01/2017	DELISLE, JAMES	AM FUNDS NEW ECONOMY A	0.00	0.68	0.00	0.68	95.0	0.65
06/01/2017	SIMMONDS, JOSHUA	AM FUNDS NEW ECONOMY A	0.00	2.88	0.00	2.88	95.0	2.74
06/01/2017	NATHAN, SANDRA	AM FUNDS NEW ECONOMY A	0.00	1.63	0.00	1.63	95.0	1.55
06/01/2017	SCHMITT, KEITH	AM FUNDS NEW ECONOMY A	0.00	5.00	0.00	5.00	95.0	4.75
06/01/2017	SCHNEIDER, RYAN	AM FUNDS NEW ECONOMY A	0.00	14.74	0.00	14.74	95.0	14.00
06/01/2017	PRICOPIO, MARIO	AM FUNDS NEW ECONOMY C	0.00	17.20	0.00	17.20	95.0	16.34
06/01/2017	MERREN, MICHAEL	AM FUNDS NEW ECONOMY C	0.00	34.36	0.00	34.36	95.0	32.64
06/01/2017	RUF, ANDREW	AM FUNDS NEW PERSPECTIVE 529A	0.00	4.87	0.00	4.87	95.0	4.63
06/01/2017	BARNETT, RICHARD	AM FUNDS NEW PERSPECTIVE 529A	0.00	0.22	0.00	0.22	95.0	0.21
06/01/2017	BARNETT, RICHARD	AM FUNDS NEW PERSPECTIVE 529A	0.00	0.19	0.00	0.19	95.0	0.18
06/01/2017	BARNETT, RICHARD	AM FUNDS NEW PERSPECTIVE 529A	0.00	0.86	0.00	0.86	95.0	0.82
06/01/2017	BOWEN, ED	AM FUNDS NEW PERSPECTIVE 529A	0.00	1.29	0.00	1.29	95.0	1.23
06/01/2017	ADAMS, JACKSON	AM FUNDS NEW PERSPECTIVE 529A	0.00	0.35	0.00	0.35	95.0	0.33
06/01/2017	HOFFMAN, BARBARA	AM FUNDS NEW PERSPECTIVE A	0.00	12.12	0.00	12.12	95.0	11.51
06/01/2017	HOLT, DEBBIE	AM FUNDS NEW PERSPECTIVE A	0.00	31.07	0.00	31.07	95.0	29.52
06/01/2017	FARKASH /SEP, NICHOLAS	AM FUNDS NEW PERSPECTIVE A	0.00	6.03	0.00	6.03	95.0	5.73
06/01/2017	GINGELL, PAUL	AM FUNDS NEW PERSPECTIVE A	0.00	19.47	0.00	19.47	95.0	18.50
06/01/2017	HAWK, CYNTHIA	AM FUNDS NEW PERSPECTIVE A	0.00	0.25	0.00	0.25	95.0	0.24
06/01/2017	HAWK, CYNTHIA	AM FUNDS NEW PERSPECTIVE A	0.00	2.11	0.00	2.11	95.0	2.00
06/01/2017	SILVERSTEIN, MICHAEL	AM FUNDS NEW PERSPECTIVE A	0.00	7.70	0.00	7.70	95.0	7.32
06/01/2017	MAKI-DRAGER, CHRISTINE	AM FUNDS NEW PERSPECTIVE A	0.00	3.99	0.00	3.99	95.0	3.79
06/01/2017	MIELKE, DAVID	AM FUNDS NEW PERSPECTIVE A	0.00	32.20	0.00	32.20	95.0	30.59
06/01/2017	BOZELKA, KEVIN	AM FUNDS NEW PERSPECTIVE A	0.00	2.02	0.00	2.02	95.0	1.92
06/01/2017	MACKENZIE-TAYLOR, DEBORAH	AM FUNDS NEW PERSPECTIVE A	0.00	1.79	0.00	1.79	95.0	1.70
06/01/2017	TAYLOR, ALLAN	AM FUNDS NEW PERSPECTIVE A	0.00	1.79	0.00	1.79	95.0	1.70
06/01/2017	KRUSAC, CHRISTINA	AM FUNDS NEW PERSPECTIVE A	0.00	3.26	0.00	3.26	95.0	3.10
06/01/2017	VARTABEDIAN, LISA	AM FUNDS NEW PERSPECTIVE A	0.00	42.64	0.00	42.64	95.0	40.51

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<u>BROKER TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
06/01/2017	SHALDA, ROSE	AM FUNDS NEW PERSPECTIVE A	0.00	16.03	0.00	16.03	95.0	15.23
06/01/2017	VANDERMEER, BRYON	AM FUNDS NEW PERSPECTIVE A	0.00	15.83	0.00	15.83	95.0	15.04
06/01/2017	STRUNCK, TED	AM FUNDS NEW PERSPECTIVE A	0.00	28.11	0.00	28.11	95.0	26.70
06/01/2017	BAILEY, STEVEN	AM FUNDS NEW PERSPECTIVE A	0.00	0.21	0.00	0.21	95.0	0.20
06/01/2017	BENNETT, JEFFERY	AM FUNDS NEW PERSPECTIVE A	0.00	0.25	0.00	0.25	95.0	0.24
06/01/2017	GRECH, ANDREW	AM FUNDS NEW PERSPECTIVE A	0.00	15.48	0.00	15.48	95.0	14.71
06/01/2017	FULTON, JOHN	AM FUNDS NEW PERSPECTIVE A	0.00	5.64	0.00	5.64	95.0	5.36
06/01/2017	RYAN, JOHN	AM FUNDS NEW PERSPECTIVE A	0.00	2.44	0.00	2.44	95.0	2.32
06/01/2017	CISSELL, JOHN	AM FUNDS NEW PERSPECTIVE A	0.00	35.62	0.00	35.62	95.0	33.84
06/01/2017	CISSELL, PATRICIA	AM FUNDS NEW PERSPECTIVE A	0.00	35.62	0.00	35.62	95.0	33.84
06/01/2017	JAMES, RODNEY	AM FUNDS NEW PERSPECTIVE A	0.00	0.18	0.00	0.18	95.0	0.17
06/01/2017	OLSON, ERIC	AM FUNDS NEW PERSPECTIVE A	0.00	3.71	0.00	3.71	95.0	3.52
06/01/2017	SIMMONDS, JOSHUA	AM FUNDS NEW PERSPECTIVE A	0.00	3.06	0.00	3.06	95.0	2.91
06/01/2017	RACHEL, JOHN	AM FUNDS NEW PERSPECTIVE A	0.00	1.58	0.00	1.58	95.0	1.50
06/01/2017	MUSAL, NANCY	AM FUNDS NEW PERSPECTIVE A	0.00	3.29	0.00	3.29	95.0	3.13
06/01/2017	HABERMAN, IAN	AM FUNDS NEW PERSPECTIVE A	0.00	22.90	0.00	22.90	95.0	21.76
06/01/2017	PIERCE, MARTIN	AM FUNDS NEW PERSPECTIVE A	0.00	0.25	0.00	0.25	95.0	0.24
06/01/2017	DELISLE/AUTH PER, JAMES	AM FUNDS NEW PERSPECTIVE A	0.00	1.08	0.00	1.08	95.0	1.03
06/01/2017	SCHUBA, LAWRENCE	AM FUNDS NEW PERSPECTIVE A	0.00	1.47	0.00	1.47	95.0	1.40
06/01/2017	DOUTSAS, FREIDA	AM FUNDS NEW PERSPECTIVE A	0.00	31.45	0.00	31.45	95.0	29.88
06/01/2017	HINDS, RUSSELL	AM FUNDS NEW PERSPECTIVE C	0.00	4.03	0.00	4.03	95.0	3.83
06/01/2017	PIERCE, MARTIN	AM FUNDS NEW PERSPECTIVE C	0.00	0.73	0.00	0.73	95.0	0.69
06/01/2017	VINING, KRISTOPHER	AM FUNDS NEW PERSPECTIVE F-1	0.00	0.49	0.00	0.49	95.0	0.47
06/01/2017	FROMM, MARY	AM FUNDS NEW WORLD 529A	0.00	1.42	0.00	1.42	95.0	1.35
06/01/2017	FROMM, MARY	AM FUNDS NEW WORLD 529A	0.00	1.32	0.00	1.32	95.0	1.25
06/01/2017	VARTABEDIAN, LISA	AM FUNDS NEW WORLD 529A	0.00	3.98	0.00	3.98	95.0	3.78
06/01/2017	VARTABEDIAN, LISA	AM FUNDS NEW WORLD 529A	0.00	8.34	0.00	8.34	95.0	7.92
06/01/2017	NICOLOSI, ROSE	AM FUNDS NEW WORLD 529A	0.00	18.27	0.00	18.27	95.0	17.36
06/01/2017	NICOLOSI, ROSE	AM FUNDS NEW WORLD 529A	0.00	18.05	0.00	18.05	95.0	17.15
06/01/2017	RICHARDS, COLE	AM FUNDS NEW WORLD 529A	0.00	0.44	0.00	0.44	95.0	0.42
06/01/2017	KOUZA, SOPHIA	AM FUNDS NEW WORLD 529A	0.00	9.67	0.00	9.67	95.0	9.19
06/01/2017	FROMM, MARY	AM FUNDS NEW WORLD 529A	0.00	0.62	0.00	0.62	95.0	0.59
06/01/2017	KOUZA, SOPHIA	AM FUNDS NEW WORLD 529A	0.00	8.90	0.00	8.90	95.0	8.46

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>BROKER TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
06/01/2017	BOLOGNA, ADAM	AM FUNDS NEW WORLD 529A	0.00	0.67	0.00	0.67	95.0	0.64
06/01/2017	LONG, SARAH	AM FUNDS NEW WORLD 529A	0.00	0.55	0.00	0.55	95.0	0.52
06/01/2017	NICOLOSI, ROSE	AM FUNDS NEW WORLD 529A	0.00	18.05	0.00	18.05	95.0	17.15
06/01/2017	VARTABEDIAN, LISA	AM FUNDS NEW WORLD 529C	0.00	66.26	0.00	66.26	95.0	62.95
06/01/2017	VARTABEDIAN, LISA	AM FUNDS NEW WORLD 529C	0.00	71.22	0.00	71.22	95.0	67.66
06/01/2017	FROMM, MARY	AM FUNDS NEW WORLD 529C	0.00	1.16	0.00	1.16	95.0	1.10
05/23/2017	CHALKEY, MICHAEL	AM FUNDS NEW WORLD A	126.38	5.37	0.00	5.37	95.0	5.10
05/23/2017	CHALKEY, MICHAEL	AM FUNDS NEW WORLD A	50.55	2.15	0.00	2.15	95.0	2.04
05/23/2017	BUTT, DENNIS	AM FUNDS NEW WORLD A	84.00	4.20	0.00	4.20	95.0	3.99
05/23/2017	BUTT, DENNIS	AM FUNDS NEW WORLD A	84.00	4.20	0.00	4.20	95.0	3.99
06/01/2017	BAKER, BEVERLY	AM FUNDS NEW WORLD A	0.00	0.28	0.00	0.28	95.0	0.27
06/01/2017	MERKLE, PAUL	AM FUNDS NEW WORLD A	0.00	8.60	0.00	8.60	95.0	8.17
06/01/2017	WALKER TRUST, SUE	AM FUNDS NEW WORLD A	0.00	5.90	0.00	5.90	95.0	5.61
06/01/2017	HAVLIK, BRIAN	AM FUNDS NEW WORLD A	0.00	0.10	0.00	0.10	95.0	0.10
06/01/2017	BUSTER, RICKY	AM FUNDS NEW WORLD A	0.00	5.44	0.00	5.44	95.0	5.17
06/01/2017	IMUS, ARLEEN	AM FUNDS NEW WORLD A	0.00	9.28	0.00	9.28	95.0	8.82
06/01/2017	KINGSBURY, RONALD	AM FUNDS NEW WORLD A	0.00	0.71	0.00	0.71	95.0	0.67
06/01/2017	NEEDHAM, DOUG	AM FUNDS NEW WORLD A	0.00	0.16	0.00	0.16	95.0	0.15
06/01/2017	PARDEE, CRAIG	AM FUNDS NEW WORLD A	0.00	8.63	0.00	8.63	95.0	8.20
06/01/2017	OLSON, ERIC	AM FUNDS NEW WORLD A	0.00	3.03	0.00	3.03	95.0	2.88
06/01/2017	SIMMONDS, ASHLEIGH	AM FUNDS NEW WORLD A	0.00	1.46	0.00	1.46	95.0	1.39
06/01/2017	SIMMONDS, JOSHUA	AM FUNDS NEW WORLD A	0.00	3.49	0.00	3.49	95.0	3.32
06/01/2017	TSANGANOS, OURANIA	AM FUNDS NEW WORLD A	0.00	3.97	0.00	3.97	95.0	3.77
06/01/2017	TSANGANOS, NICHOLAOS	AM FUNDS NEW WORLD A	0.00	5.12	0.00	5.12	95.0	4.86
06/01/2017	TSANGANOS, CHRISTOPHER	AM FUNDS NEW WORLD A	0.00	4.73	0.00	4.73	95.0	4.49
06/01/2017	KARGULA, CURT	AM FUNDS NEW WORLD A	0.00	1.84	0.00	1.84	95.0	1.75
06/01/2017	TSANGANOS, OURANIA	AM FUNDS NEW WORLD A	0.00	3.46	0.00	3.46	95.0	3.29
06/01/2017	TSANGANOS, NICHOLAOS	AM FUNDS NEW WORLD A	0.00	3.46	0.00	3.46	95.0	3.29
06/01/2017	TSANGANOS, LABRENE	AM FUNDS NEW WORLD A	0.00	9.71	0.00	9.71	95.0	9.22
06/01/2017	TSANGANOS, LABRENE	AM FUNDS NEW WORLD A	0.00	5.58	0.00	5.58	95.0	5.30
06/01/2017	MUSAL, NANCY	AM FUNDS NEW WORLD A	0.00	2.50	0.00	2.50	95.0	2.38
06/01/2017	PLUMB, KYLE	AM FUNDS NEW WORLD A	0.00	0.36	0.00	0.36	95.0	0.34
06/01/2017	TSOUKALAS, IOANNIS	AM FUNDS NEW WORLD A	0.00	0.39	0.00	0.39	95.0	0.37

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>BROKER TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
06/01/2017	CHALKEY, MICHAEL	AM FUNDS NEW WORLD A	0.00	19.36	0.00	19.36	95.0	18.39
06/01/2017	BUTT, DENNIS	AM FUNDS NEW WORLD A	0.00	2.00	0.00	2.00	95.0	1.90
06/01/2017	SHEPHERD, JOE	AM FUNDS NEW WORLD A	0.00	0.01	0.00	0.01	95.0	0.01
06/01/2017	HIGEL, LOIS	AM FUNDS NEW WORLD A	0.00	1.54	0.00	1.54	95.0	1.46
06/01/2017	CARSON, JESSICA	AM FUNDS NEW WORLD A	0.00	0.59	0.00	0.59	95.0	0.56
06/01/2017	MARTIN, ELENA MARIE	AM FUNDS NEW WORLD A	0.00	0.37	0.00	0.37	95.0	0.35
06/01/2017	MARTIN, ANDREW	AM FUNDS NEW WORLD A	0.00	0.37	0.00	0.37	95.0	0.35
06/01/2017	MARTIN, ISABELLA	AM FUNDS NEW WORLD A	0.00	0.37	0.00	0.37	95.0	0.35
06/01/2017	MEDAUGH, JOSEPH	AM FUNDS NEW WORLD A	0.00	0.37	0.00	0.37	95.0	0.35
06/01/2017	MEDAUGH, MATTHEW	AM FUNDS NEW WORLD A	0.00	0.37	0.00	0.37	95.0	0.35
06/01/2017	BENDER, SHARON	AM FUNDS NEW WORLD A	0.00	0.28	0.00	0.28	95.0	0.27
06/01/2017	PER, ELIZABETH	AM FUNDS NEW WORLD A	0.00	0.09	0.00	0.09	95.0	0.09
06/01/2017	NATHAN, SANDRA	AM FUNDS NEW WORLD A	0.00	0.87	0.00	0.87	95.0	0.83
06/01/2017	COX, MICHAEL	AM FUNDS NEW WORLD A	0.00	2.50	0.00	2.50	95.0	2.38
06/01/2017	TSANGANOS, LABRENE	AM FUNDS NEW WORLD A	0.00	16.42	0.00	16.42	95.0	15.60
06/01/2017	TSANGANOS, LEONIDAS	AM FUNDS NEW WORLD A	0.00	18.29	0.00	18.29	95.0	17.38
06/01/2017	MATAR, ROBERTG	AM FUNDS NEW WORLD A	0.00	5.98	0.00	5.98	95.0	5.68
06/01/2017	DELISLE/AUTH PER, JAMES	AM FUNDS NEW WORLD A	0.00	0.83	0.00	0.83	95.0	0.79
06/01/2017	SANDERS, GARY	AM FUNDS NEW WORLD A	0.00	1.05	0.00	1.05	95.0	1.00
06/01/2017	PRICOPIO, MARIO	AM FUNDS NEW WORLD C	0.00	7.39	0.00	7.39	95.0	7.02
06/01/2017	MOWINSKI, VINCENZO	AM FUNDS NEW WORLD C	0.00	5.50	0.00	5.50	95.0	5.23
06/01/2017	MOWINSKI, SERGIO	AM FUNDS NEW WORLD C	0.00	4.95	0.00	4.95	95.0	4.70
06/01/2017	MURPHY, PHILIP	AM FUNDS SHORT TERM BND FUND OF AM	0.00	5.71	0.00	5.71	95.0	5.42
06/01/2017	LONG, SARAH	AM FUNDS SHORT TERM BND FUND OF AM	0.00	0.52	0.00	0.52	95.0	0.49
06/01/2017	GINGELL, PAUL	AM FUNDS SMALLCAP WORLD A	0.00	11.34	0.00	11.34	95.0	10.77
06/01/2017	ALVEY, SHERRIE	AM FUNDS SMALLCAP WORLD A	0.00	0.74	0.00	0.74	95.0	0.70
06/01/2017	MERKLE, PAUL	AM FUNDS SMALLCAP WORLD A	0.00	7.60	0.00	7.60	95.0	7.22
06/01/2017	JONES, GERALD	AM FUNDS SMALLCAP WORLD A	0.00	1.10	0.00	1.10	95.0	1.05
06/01/2017	HAVLIK, BRIAN	AM FUNDS SMALLCAP WORLD A	0.00	0.06	0.00	0.06	95.0	0.06
06/01/2017	ALVEY, CODY	AM FUNDS SMALLCAP WORLD A	0.00	0.43	0.00	0.43	95.0	0.41
06/01/2017	KENDZIERSKI, JENNIE	AM FUNDS SMALLCAP WORLD A	0.00	1.39	0.00	1.39	95.0	1.32
06/01/2017	GRECH, ANDREW	AM FUNDS SMALLCAP WORLD A	0.00	25.11	0.00	25.11	95.0	23.85
06/01/2017	GRECH, ANDREW	AM FUNDS SMALLCAP WORLD A	0.00	1.36	0.00	1.36	95.0	1.29

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<u>BROKER TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
06/01/2017	GRECH, ANDREW	AM FUNDS SMALLCAP WORLD A	0.00	3.83	0.00	3.83	95.0	3.64
06/01/2017	JONES, MEREK	AM FUNDS SMALLCAP WORLD A	0.00	1.83	0.00	1.83	95.0	1.74
06/01/2017	STILLWELL, LYNNE	AM FUNDS SMALLCAP WORLD A	0.00	0.48	0.00	0.48	95.0	0.46
06/01/2017	DELISLE, JAMES	AM FUNDS SMALLCAP WORLD A	0.00	0.76	0.00	0.76	95.0	0.72
06/01/2017	OLSON, ERIC	AM FUNDS SMALLCAP WORLD A	0.00	3.45	0.00	3.45	95.0	3.28
06/01/2017	SIMMONDS, JOSHUA	AM FUNDS SMALLCAP WORLD A	0.00	2.57	0.00	2.57	95.0	2.44
06/01/2017	STILLWELL, ERIK	AM FUNDS SMALLCAP WORLD A	0.00	0.33	0.00	0.33	95.0	0.31
06/01/2017	KARGULA, CURT	AM FUNDS SMALLCAP WORLD A	0.00	2.46	0.00	2.46	95.0	2.34
06/01/2017	CARSON, JESSICA	AM FUNDS SMALLCAP WORLD A	0.00	0.28	0.00	0.28	95.0	0.27
06/01/2017	SHEPHERD, JOE	AM FUNDS SMALLCAP WORLD A	0.00	0.01	0.00	0.01	95.0	0.01
06/01/2017	BENDER, SHARON	AM FUNDS SMALLCAP WORLD A	0.00	0.40	0.00	0.40	95.0	0.38
06/01/2017	PERSIC, ERNST	AM FUNDS SMALLCAP WORLD A	0.00	8.94	0.00	8.94	95.0	8.49
06/01/2017	GARDNER, THERESA	AM FUNDS SMALLCAP WORLD A	0.00	0.87	0.00	0.87	95.0	0.83
06/01/2017	MCCAFFERTY, COLLEEN	AM FUNDS U.S. GOVERNMENT SECURITIES	0.00	12.42	0.00	12.42	95.0	11.80
06/01/2017	FINK, JENNIFER	AM FUNDS U.S. GOVERNMENT SECURITIES	0.00	1.25	0.00	1.25	95.0	1.19
06/01/2017	SHEPHERD, JOE	AM FUNDS U.S. GOVERNMENT SECURITIES	0.00	0.03	0.00	0.03	95.0	0.03
06/01/2017	JANSEN, ANTHONY	AM FUNDS U.S. GOVERNMENT SECURITIES	0.00	33.28	0.00	33.28	95.0	31.62
06/01/2017	KOSANKE, MARK	AM FUNDS U.S. GOVERNMENT SECURITIES	0.00	9.39	0.00	9.39	95.0	8.92
06/01/2017	KOSANKE, MARK	AM FUNDS U.S. GOVERNMENT SECURITIES	0.00	13.28	0.00	13.28	95.0	12.62
06/01/2017	WHITEFOOT, BEVERLY	AM FUNDS U.S. GOVERNMENT SECURITIES	0.00	11.35	0.00	11.35	95.0	10.78
06/01/2017	GALLO, ANTHONY	AM FUNDS U.S. GOVERNMENT SECURITIES	0.00	167.86	0.00	167.86	95.0	159.47
05/22/2017	SOBIESKI, JOYCE	AM FUNDS WASHINGTON MUTUAL INVESTOR	37.50	0.38	0.00	0.38	95.0	0.36
06/01/2017	HENTKOWSKI, ARTHUR	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	2.90	0.00	2.90	95.0	2.76
06/01/2017	BUXBAUM, DEBORA	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	87.99	0.00	87.99	95.0	83.59
06/01/2017	MUSSILL, KATHARINE	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	106.64	0.00	106.64	95.0	101.31
06/01/2017	GREENE, LUCIA	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	127.37	0.00	127.37	95.0	121.00
06/01/2017	HIRSCHHORN, LAURA	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	15.20	0.00	15.20	95.0	14.44
06/01/2017	MERROW / SAR SEP, DARREN	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	1.73	0.00	1.73	95.0	1.64
06/01/2017	MERROW, DARREN	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.19	0.00	0.19	95.0	0.18
06/01/2017	MARVIN, PATRICIA	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	38.47	0.00	38.47	95.0	36.55
06/01/2017	IVEZAJ, GYSTE	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	33.96	0.00	33.96	95.0	32.26
06/01/2017	ODELL, JEFFREY	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	24.68	0.00	24.68	95.0	23.45
06/01/2017	O'DELL, ANN	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	8.06	0.00	8.06	95.0	7.66

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<u>BROKER TRANSACTIONS</u>								
PRODUCT CATEGORY: MUTUAL FUNDS								
06/01/2017	HOLLAND, JENNIFER	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	3.29	0.00	3.29	95.0	3.13
06/01/2017	SWEENEY, EILEEN	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	172.39	0.00	172.39	95.0	163.77
06/01/2017	SWEENEY, EILEEN	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	284.24	0.00	284.24	95.0	270.03
06/01/2017	BALINSKI, BARB	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.79	0.00	0.79	95.0	0.75
06/01/2017	REETZ, LINDA	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	3.85	0.00	3.85	95.0	3.66
06/01/2017	NOONAN, PATRICIA	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	5.86	0.00	5.86	95.0	5.57
06/01/2017	JOHNSON, GREGORY	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	13.49	0.00	13.49	95.0	12.82
06/01/2017	WATTERS, JEANNE	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	18.83	0.00	18.83	95.0	17.89
06/01/2017	GREENE, GREG	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	9.69	0.00	9.69	95.0	9.21
06/01/2017	GREENE, DAVID	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	78.97	0.00	78.97	95.0	75.02
06/01/2017	MACINA, MARK	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	5.74	0.00	5.74	95.0	5.45
06/01/2017	DAY, JOYCE	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	4.78	0.00	4.78	95.0	4.54
06/01/2017	DOMBROWSKI, MARK	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	21.59	0.00	21.59	95.0	20.51
06/01/2017	JOHNSTON, LAUREN	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	4.09	0.00	4.09	95.0	3.89
06/01/2017	JOHNSTON, KELLIE	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	4.53	0.00	4.53	95.0	4.30
06/01/2017	BONDS, SALLY	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	50.40	0.00	50.40	95.0	47.88
06/01/2017	TRU-LINE METAL PRODUCTS C	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	9.48	0.00	9.48	95.0	9.01
06/01/2017	LEWIS, BARBARA	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	2.28	0.00	2.28	95.0	2.17
06/01/2017	FARINO, ALEXANDER	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	5.92	0.00	5.92	95.0	5.62
06/01/2017	POUPORE, ISABELLE	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	14.01	0.00	14.01	95.0	13.31
06/01/2017	POUPORE, FRANKLIN	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.16	0.00	0.16	95.0	0.15
06/01/2017	IRONS, DENNIS	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	7.25	0.00	7.25	95.0	6.89
06/01/2017	CORNEY, JENNIFER	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	9.31	0.00	9.31	95.0	8.84
06/01/2017	CHASSE, JENNIFER	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	6.35	0.00	6.35	95.0	6.03
06/01/2017	CELLI, MICHAEL	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.28	0.00	0.28	95.0	0.27
06/01/2017	DAVIS, JAMES	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	7.22	0.00	7.22	95.0	6.86
06/01/2017	ESKOVITZ, KENNETH	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.36	0.00	0.36	95.0	0.34
06/01/2017	FOLEY, KAREN	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	18.95	0.00	18.95	95.0	18.00
06/01/2017	MCCOY, JACK	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	3.33	0.00	3.33	95.0	3.16
06/01/2017	ALEXOPOULOS, ALEX	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	9.50	0.00	9.50	95.0	9.03
06/01/2017	ALEXOPOULOS, ALEX	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	9.50	0.00	9.50	95.0	9.03
06/01/2017	KNOTT, PAUL	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	6.45	0.00	6.45	95.0	6.13
06/01/2017	BERTOLINI, LEO	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	1.23	0.00	1.23	95.0	1.17

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<u>BROKER TRANSACTIONS</u>								
PRODUCT CATEGORY: MUTUAL FUNDS								
06/01/2017	LEWIS, JAMES	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	3.66	0.00	3.66	95.0	3.48
06/01/2017	REETZ, CHARLIE	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.52	0.00	0.52	95.0	0.49
06/01/2017	MILLER, JOSEPH	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	14.30	0.00	14.30	95.0	13.59
06/01/2017	ESSE, DAVID	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	1.51	0.00	1.51	95.0	1.43
06/01/2017	ESSE, ANGELINE	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	2.68	0.00	2.68	95.0	2.55
06/01/2017	STRUNCK, TED	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	29.28	0.00	29.28	95.0	27.82
06/01/2017	NIEMETTA, NINA	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.02	0.00	0.02	95.0	0.02
06/01/2017	BYRD, KATHRYN	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	37.86	0.00	37.86	95.0	35.97
06/01/2017	KARAOUZAS, OURANIA	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	8.09	0.00	8.09	95.0	7.69
06/01/2017	VESCOSKY, ANTOINETTE	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.23	0.00	0.23	95.0	0.22
06/01/2017	BUSTER, RICKY	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	21.32	0.00	21.32	95.0	20.25
06/01/2017	KISH, VIVIAN	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	44.88	0.00	44.88	95.0	42.64
06/01/2017	ZERVAS, HELEN	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	15.20	0.00	15.20	95.0	14.44
06/01/2017	BEHNKE, DANIEL	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	12.73	0.00	12.73	95.0	12.09
06/01/2017	ANASTASIOU, DESPINA	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	17.97	0.00	17.97	95.0	17.07
06/01/2017	NICOLOSI, ROSE	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	16.06	0.00	16.06	95.0	15.26
06/01/2017	SKOWRONSKI, MICHAEL	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	1.83	0.00	1.83	95.0	1.74
06/01/2017	GRIFFIN, SHEILA	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	8.63	0.00	8.63	95.0	8.20
06/01/2017	SKOWRONSKI, LUISA	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	1.52	0.00	1.52	95.0	1.44
06/01/2017	STRAYVE, MICHAEL	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.17	0.00	0.17	95.0	0.16
06/01/2017	BENNETT, JEFFERY	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.07	0.00	0.07	95.0	0.07
06/01/2017	GORSEK, JOHN	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	8.63	0.00	8.63	95.0	8.20
06/01/2017	BEHNKE, MARK	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.42	0.00	0.42	95.0	0.40
06/01/2017	GRECH, ANDREW	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	4.95	0.00	4.95	95.0	4.70
06/01/2017	GRECH, ANDREW	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	14.74	0.00	14.74	95.0	14.00
06/01/2017	FULTON, JOHN	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	6.10	0.00	6.10	95.0	5.80
06/01/2017	WATTERS, JEANNE	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	7.43	0.00	7.43	95.0	7.06
06/01/2017	CISSELL, JOHN	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	257.09	0.00	257.09	95.0	244.24
06/01/2017	CISSELL, PATRICIA	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	257.09	0.00	257.09	95.0	244.24
06/01/2017	TSANGANOS, CHRISTOPHER	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	3.31	0.00	3.31	95.0	3.14
06/01/2017	BODE, SHELBBIA	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	24.78	0.00	24.78	95.0	23.54
06/01/2017	LEWIS, BARBARA	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	1.30	0.00	1.30	95.0	1.24
06/01/2017	BENNETT, AMANDA	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.87	0.00	0.87	95.0	0.83

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>BROKER TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
06/01/2017	PRICE, PATRICIA	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	1.78	0.00	1.78	95.0	1.69
06/01/2017	HABERMAN, IAN	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	20.76	0.00	20.76	95.0	19.72
06/01/2017	RILEY, ROBERT	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.35	0.00	0.35	95.0	0.33
06/01/2017	LIONAS, MARIKA	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	1.24	0.00	1.24	95.0	1.18
06/01/2017	GEORGOULIS, ELEANNA	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	2.91	0.00	2.91	95.0	2.76
06/01/2017	GEORGOULIS, ANDREANNA	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	2.75	0.00	2.75	95.0	2.61
06/01/2017	BUSARSKY, KATHLEEN	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	25.19	0.00	25.19	95.0	23.93
06/01/2017	ULJAJ, JOSEPH	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	20.35	0.00	20.35	95.0	19.33
06/01/2017	WEST TRUST, NORA	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	11.03	0.00	11.03	95.0	10.48
06/01/2017	ISRAEL, RONALD	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	69.02	0.00	69.02	95.0	65.57
06/01/2017	MERRITT, MARY LOU	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	58.66	0.00	58.66	95.0	55.73
06/01/2017	SOBIESKI, JOYCE	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	41.74	0.00	41.74	95.0	39.65
06/01/2017	SOBIESKI, JOYCE	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	3.55	0.00	3.55	95.0	3.37
06/01/2017	LUMETTA, PAUL	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.65	0.00	0.65	95.0	0.62
06/01/2017	KAPFHAMER, SCOTT	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	15.07	0.00	15.07	95.0	14.32
06/01/2017	KAPFHAMER, SCOTT	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	11.73	0.00	11.73	95.0	11.14
06/01/2017	HIGGINS, JAMES	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	13.69	0.00	13.69	95.0	13.01
06/01/2017	NICKOLOPOULOS, HAILEY	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	3.35	0.00	3.35	95.0	3.18
06/01/2017	SKOWRONSKI, GABRIELLA	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	3.16	0.00	3.16	95.0	3.00
06/01/2017	LUMETTA, PAUL	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	3.36	0.00	3.36	95.0	3.19
06/01/2017	BARNETT, RICHARD	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.21	0.00	0.21	95.0	0.20
06/01/2017	BARNETT, RICHARD	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.18	0.00	0.18	95.0	0.17
06/01/2017	SAWYER, ALONZO	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.91	0.00	0.91	95.0	0.86
06/01/2017	SKOWRONSKI, GABRIELLA	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.95	0.00	0.95	95.0	0.90
06/01/2017	SAWYER, ALONZO	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.91	0.00	0.91	95.0	0.86
06/01/2017	SAWYER, ALONZO	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.91	0.00	0.91	95.0	0.86
06/01/2017	FOLLETT, JACOB	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	1.02	0.00	1.02	95.0	0.97
06/01/2017	FOLLETT, JACOB	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	1.28	0.00	1.28	95.0	1.22
06/01/2017	LOVEDAY, JUDITH	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	5.78	0.00	5.78	95.0	5.49
06/01/2017	POLANT, LOUIS	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	41.41	0.00	41.41	95.0	39.34
06/01/2017	VINING, KRISTOPHER	AMERICAN FUND SMALLCAP WORKD FUND-F	0.00	2.49	0.00	2.49	95.0	2.37
06/01/2017	HAYES, DORIS	AMERICAN FUNDS BALANCED FUNDS F-1	0.00	7.07	0.00	7.07	95.0	6.72
04/30/2017	GALLAS, ANN	BLACKROCK 19452P473	0.00	3.54	0.00	3.54	95.0	3.36

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<u>BROKER TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
04/30/2017	GALLAS, JAMES L & ANN M	BLACKROCK 19452P473	0.00	7.25	0.00	7.25	95.0	6.89
04/30/2017	BURKE, KIMBERLY	BLACKROCK FUND 19452P594	0.00	2.44	0.00	2.44	95.0	2.32
04/30/2017	BURKE, KIMBERLY	BLACKROCK FUND 19452P594	0.00	7.33	0.00	7.33	95.0	6.96
04/30/2017	BURKE, KIMBERLY	BLACKROCK FUND 19452P610	0.00	1.99	0.00	1.99	95.0	1.89
04/30/2017	BURKE, KIMBERLY	BLACKROCK FUND 19452P628	0.00	2.04	0.00	2.04	95.0	1.94
04/30/2017	BURKE, KIMBERLY	BLACKROCK FUND 19452P628	0.00	6.06	0.00	6.06	95.0	5.76
04/30/2017	BURKE, KIMBERLY	BLACKROCK FUND 19452P628	0.00	2.02	0.00	2.02	95.0	1.92
04/30/2017	BURKE, KIMBERLY	BLACKROCK FUND 19452P628	0.00	6.11	0.00	6.11	95.0	5.80
04/30/2017	BURKE, KIMBERLY	BLACKROCK FUND 19452P636	0.00	6.19	0.00	6.19	95.0	5.88
04/30/2017	BURKE, KIMBERLY	BLACKROCK FUND 19452P636	0.00	5.84	0.00	5.84	95.0	5.55
04/30/2017	BAKER, JEAN-ANNE	BLK AGG 10-12 AGE BASED A	0.00	0.72	0.00	0.72	95.0	0.68
04/30/2017	BAKER, JEAN-ANNE	BLK AGG 10-12 AGE BASED A	0.00	1.66	0.00	1.66	95.0	1.58
04/30/2017	MODRYCKI, DONALD	BLK AGG 10-12 AGE BASED A	0.00	0.47	0.00	0.47	95.0	0.45
04/30/2017	MERRITT, GREGORY	BLK AGG 10-12 AGE BASED A	0.00	4.23	0.00	4.23	95.0	4.02
04/30/2017	YASCH, KEN	BLK AGG 13-16 AGE BASED A	0.00	0.56	0.00	0.56	95.0	0.53
04/30/2017	YASCH, SANDY	BLK AGG 6-9 AGE BASED A	0.00	0.58	0.00	0.58	95.0	0.55
04/30/2017	WILLIT	BLK AGG GROWTH A	0.00	4.20	0.00	4.20	95.0	3.99
04/30/2017	BAKER, JEAN-ANNE	BLK COLLEGE ADVANTAGE 529 PLAN	0.00	0.03	0.00	0.03	95.0	0.03
04/30/2017	BAKER, JEAN-ANNE	BLK COLLEGE ADVANTAGE 529 PLAN	0.00	0.09	0.00	0.09	95.0	0.09
04/30/2017	KING, DAVID	BLK EQUITY DIVIDEND C	0.00	0.46	0.00	0.46	95.0	0.44
04/30/2017	KING, DAVID	BLK EQUITY DIVIDEND C	0.00	0.15	0.00	0.15	95.0	0.14
04/30/2017	BUSZEK, RICHARD	BLK MOD 0-5 AGE BASED C	0.00	1.02	0.00	1.02	95.0	0.97
04/30/2017	BUSZEK, RICHARD	BLK MOD 0-5 AGE BASED C	0.00	3.07	0.00	3.07	95.0	2.92
04/30/2017	GAWTHROP, NANCY	BLK MOD 0-5 AGE BASED C	0.00	1.04	0.00	1.04	95.0	0.99
04/30/2017	GAWTHROP, NANCY	BLK MOD 0-5 AGE BASED C	0.00	0.11	0.00	0.11	95.0	0.10
04/30/2017	GAWTHROP, NANCY	BLK MOD 0-5 AGE BASED C	0.00	0.34	0.00	0.34	95.0	0.32
04/30/2017	CFGROUP, VARIOUS	BLK MOD 0-5 AGE BASED C	0.00	3.12	0.00	3.12	95.0	2.96
04/30/2017	WETZEL, DIANNE	BLK MOD 0-5 AGE BASED C	0.00	2.37	0.00	2.37	95.0	2.25
04/30/2017	WETZEL, DIANNE	BLK MOD 0-5 AGE BASED C	0.00	0.79	0.00	0.79	95.0	0.75
04/30/2017	WETZEL, DIANNE	BLK MOD 0-5 AGE BASED C	0.00	0.72	0.00	0.72	95.0	0.68
04/30/2017	WETZEL, DIANNE	BLK MOD 0-5 AGE BASED C	0.00	2.15	0.00	2.15	95.0	2.04
04/30/2017	GAWTHROP, NANCY	BLK MOD 0-5 AGE BASED C	0.00	0.35	0.00	0.35	95.0	0.33
04/30/2017	BAKER, JEAN-ANNE	BLK MOD 0-5 AGE BASED C	0.00	0.05	0.00	0.05	95.0	0.05

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<u>BROKER TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
04/30/2017	BAKER, JEAN-ANNE	BLK MOD 0-5 AGE BASED C	0.00	0.16	0.00	0.16	95.0	0.15
04/30/2017	BUSZEK, RICHARD	BLK MOD 0-5 AGE BASED C	0.00	0.58	0.00	0.58	95.0	0.55
04/30/2017	BUSZEK, RICHARD	BLK MOD 0-5 AGE BASED C	0.00	1.73	0.00	1.73	95.0	1.64
04/30/2017	CFGROUP, VARIOUS	BLK MOD 0-5 AGE BASED C	0.00	1.04	0.00	1.04	95.0	0.99
05/25/2017	WETZEL, DIANNE	BLK MOD 0-5 AGE BASED C	50.00	0.50	0.00	0.50	95.0	0.48
05/30/2017	WETZEL, DIANNE	BLK MOD 0-5 AGE BASED C	50.00	0.50	0.00	0.50	95.0	0.48
05/30/2017	CFGROUP, VARIOUS	BLK MOD 0-5 AGE BASED C	50.00	0.50	0.00	0.50	95.0	0.48
04/30/2017	GAWTHROP, NANCY	BLK MOD 10-12 AGE BASED A	0.00	0.93	0.00	0.93	95.0	0.88
04/30/2017	HOOTNER-JONES, ANN	BLK MOD 10-12 AGE BASED A	0.00	3.08	0.00	3.08	95.0	2.93
04/30/2017	HOOTNER-JONES, ANN	BLK MOD 10-12 AGE BASED A	0.00	3.08	0.00	3.08	95.0	2.93
04/30/2017	COOPER, LISA	BLK MOD 10-12 AGE BASED A	0.00	3.10	0.00	3.10	95.0	2.95
05/16/2017	HOOTNER-JONES, ANN	BLK MOD 10-12 AGE BASED A	100.00	3.75	0.00	3.75	95.0	3.56
05/16/2017	HOOTNER-JONES, ANN	BLK MOD 10-12 AGE BASED A	100.00	3.75	0.00	3.75	95.0	3.56
04/30/2017	COOPER, LISA	BLK MOD 10-12 AGE BASED C	0.00	1.86	0.00	1.86	95.0	1.77
04/30/2017	GAWTHROP, NANCY	BLK MOD 10-12 AGE BASED C	0.00	2.32	0.00	2.32	95.0	2.20
04/30/2017	GAWTHROP, NANCY	BLK MOD 10-12 AGE BASED C	0.00	0.77	0.00	0.77	95.0	0.73
04/30/2017	BARENTS, SUZANNE	BLK MOD 10-12 AGE BASED C	0.00	3.12	0.00	3.12	95.0	2.96
04/30/2017	BARENTS, SUZANNE	BLK MOD 10-12 AGE BASED C	0.00	1.04	0.00	1.04	95.0	0.99
04/30/2017	NIZIO, MARGARET	BLK MOD 10-12 AGE BASED C	0.00	6.97	0.00	6.97	95.0	6.62
04/30/2017	NIZIO, EDMUND	BLK MOD 10-12 AGE BASED C	0.00	2.32	0.00	2.32	95.0	2.20
04/30/2017	NIZIO, EDMUND	BLK MOD 10-12 AGE BASED C	0.00	6.97	0.00	6.97	95.0	6.62
04/30/2017	NIZIO, MARGARET	BLK MOD 10-12 AGE BASED C	0.00	2.32	0.00	2.32	95.0	2.20
04/30/2017	MOELLER, RICHARD	BLK MOD 10-12 AGE BASED C	0.00	0.12	0.00	0.12	95.0	0.11
04/30/2017	MOELLER, RICHARD	BLK MOD 10-12 AGE BASED C	0.00	0.35	0.00	0.35	95.0	0.33
04/30/2017	COOPER, LISA	BLK MOD 10-12 AGE BASED C	0.00	0.62	0.00	0.62	95.0	0.59
05/30/2017	MOELLER, RICHARD	BLK MOD 10-12 AGE BASED C	50.00	0.50	0.00	0.50	95.0	0.48
04/30/2017	COOPER, LISA	BLK MOD 13-16 AGE BASED A	0.00	2.81	0.00	2.81	95.0	2.67
04/30/2017	MERRITT, GREGORY	BLK MOD 13-16 AGE BASED A	0.00	1.94	0.00	1.94	95.0	1.84
04/30/2017	NIK, YASCH	BLK MOD 13-16 AGE BASED A	0.00	0.53	0.00	0.53	95.0	0.50
04/30/2017	GAWTHROP, NANCY	BLK MOD 13-16 AGE BASED A	0.00	1.35	0.00	1.35	95.0	1.28
04/30/2017	HOOTNER-JONES, ANN	BLK MOD 13-16 AGE BASED A	0.00	4.75	0.00	4.75	95.0	4.51
04/30/2017	KUCHAREK, PAUL	BLK MOD 13-16 AGE BASED A	0.00	2.25	0.00	2.25	95.0	2.14
04/30/2017	KUCHAREK, PAUL	BLK MOD 13-16 AGE BASED A	0.00	4.03	0.00	4.03	95.0	3.83

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<u>BROKER TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
04/30/2017	MODRYCKI, DONALD	BLK MOD 13-16 AGE BASED A	0.00	1.06	0.00	1.06	95.0	1.01
05/16/2017	HOOTNER-JONES, ANN	BLK MOD 13-16 AGE BASED A	100.00	3.75	0.00	3.75	95.0	3.56
04/30/2017	COOPER, LISA	BLK MOD 13-16 AGE BASED C	0.00	1.71	0.00	1.71	95.0	1.62
04/30/2017	COOPER, LISA	BLK MOD 13-16 AGE BASED C	0.00	0.57	0.00	0.57	95.0	0.54
04/30/2017	TRYNAN, SHELLY	BLK MOD 13-16 AGE BASED C	0.00	0.89	0.00	0.89	95.0	0.85
04/30/2017	TRYNAN, SHELLY	BLK MOD 13-16 AGE BASED C	0.00	2.68	0.00	2.68	95.0	2.55
04/30/2017	TRYNAN, SHELLY	BLK MOD 13-16 AGE BASED C	0.00	1.40	0.00	1.40	95.0	1.33
04/30/2017	TRYNAN, SHELLY	BLK MOD 13-16 AGE BASED C	0.00	0.47	0.00	0.47	95.0	0.45
04/30/2017	GAWTHROP, NANCY	BLK MOD 13-16 AGE BASED C	0.00	0.63	0.00	0.63	95.0	0.60
04/30/2017	GAWTHROP, NANCY	BLK MOD 13-16 AGE BASED C	0.00	1.89	0.00	1.89	95.0	1.80
04/30/2017	KUCHAREK, PAUL	BLK MOD 17+ AGE BASED A	0.00	3.73	0.00	3.73	95.0	3.54
04/30/2017	KUCHAREK, PAUL	BLK MOD 17+ AGE BASED A	0.00	2.11	0.00	2.11	95.0	2.00
04/30/2017	MERRITT, GREGORY	BLK MOD 17+ AGE BASED A	0.00	0.41	0.00	0.41	95.0	0.39
04/30/2017	MODRYCKI, DONALD	BLK MOD 17+ AGE BASED A	0.00	0.54	0.00	0.54	95.0	0.51
04/30/2017	MUENCH, DANIEL	BLK MOD 17+ AGE BASED A	0.00	2.28	0.00	2.28	95.0	2.17
04/30/2017	MUENCH, DANIEL	BLK MOD 17+ AGE BASED A	0.00	0.84	0.00	0.84	95.0	0.80
04/30/2017	GAWTHROP, NANCY	BLK MOD 6-9 AGE BASED A	0.00	0.35	0.00	0.35	95.0	0.33
04/30/2017	MERRITT, GREGORY	BLK MOD 6-9 AGE BASED A	0.00	3.80	0.00	3.80	95.0	3.61
04/30/2017	MOELLER, RICHARD	BLK MOD 6-9 AGE BASED C	0.00	0.22	0.00	0.22	95.0	0.21
04/30/2017	MOELLER, RICHARD	BLK MOD 6-9 AGE BASED C	0.00	0.07	0.00	0.07	95.0	0.07
04/30/2017	BUSZEK, RICHARD	BLK MOD 6-9 AGE BASED C	0.00	3.06	0.00	3.06	95.0	2.91
04/30/2017	BUSZEK, RICHARD	BLK MOD 6-9 AGE BASED C	0.00	1.02	0.00	1.02	95.0	0.97
04/30/2017	GAWTHROP, NANCY	BLK MOD 6-9 AGE BASED C	0.00	0.77	0.00	0.77	95.0	0.73
04/30/2017	GAWTHROP, NANCY	BLK MOD 6-9 AGE BASED C	0.00	2.31	0.00	2.31	95.0	2.19
04/30/2017	MOELLER, RICHARD	BLK MOD 6-9 AGE BASED C	0.00	0.15	0.00	0.15	95.0	0.14
04/30/2017	MOELLER, RICHARD	BLK MOD 6-9 AGE BASED C	0.00	0.05	0.00	0.05	95.0	0.05
04/30/2017	GAWTHROP, NANCY	BLK MOD 6-9 AGE BASED C	0.00	2.33	0.00	2.33	95.0	2.21
04/30/2017	GAWTHROP, NANCY	BLK MOD 6-9 AGE BASED C	0.00	0.78	0.00	0.78	95.0	0.74
04/30/2017	BARENTS, SUZANNE	BLK MOD 6-9 AGE BASED C	0.00	1.06	0.00	1.06	95.0	1.01
04/30/2017	BARENTS, SUZANNE	BLK MOD 6-9 AGE BASED C	0.00	3.19	0.00	3.19	95.0	3.03
04/30/2017	COOPER, LISA	BLK MOD 6-9 AGE BASED C	0.00	6.28	0.00	6.28	95.0	5.97
04/30/2017	COOPER, LISA	BLK MOD 6-9 AGE BASED C	0.00	2.09	0.00	2.09	95.0	1.99
05/30/2017	MOELLER, RICHARD	BLK MOD 6-9 AGE BASED C	50.00	0.50	0.00	0.50	95.0	0.48

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>BROKER TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
05/30/2017	MOELLER, RICHARD	BLK MOD 6-9 AGE BASED C	50.00	0.50	0.00	0.50	95.0	0.48
05/30/2017	PISTOLESI, VAUGHN	DAVIS NEW YORK VENTURE B	200.00	8.00	0.00	8.00	95.0	7.60
05/30/2017	RITTER, WILLIAM	DAVIS NEW YORK VENTURE B	25.00	1.00	0.00	1.00	95.0	0.95
05/30/2017	PISTOLESI, MORGAN	DAVIS NEW YORK VENTURE B	100.00	4.00	0.00	4.00	95.0	3.80
05/09/2017	WERNER, DOROTHY	DREYFUS HIGH YIELD A	0.00	2.28	0.00	2.28	95.0	2.17
/ /	BLEIL, STEPHEN	FIDELITY ADV GOLD	0.00	0.09	0.00	0.09	95.0	0.09
/ /	ROCCA, JACQUELYN	FIDELITY ADV GROWTH OPP	0.00	0.50	0.00	0.50	95.0	0.48
/ /	ROCCA, ALEX	FIDELITY ADV GROWTH OPP	0.00	0.62	0.00	0.62	95.0	0.59
/ /	ROCCA, AARON	FIDELITY ADV GROWTH OPP	0.00	0.62	0.00	0.62	95.0	0.59
/ /	MCQUEENEY, JULIE	FIDELITY ADV GROWTH OPP	0.00	1.00	0.00	1.00	95.0	0.95
/ /	FELIS-ROSS, CAROL	FIDELITY ADV GROWTH OPP	0.00	0.11	0.00	0.11	95.0	0.10
/ /	SCALISE, CYNTHIA	FIDELITY ADV GROWTH OPP	0.00	1.17	0.00	1.17	95.0	1.11
/ /	DUDZIK, ELZBIETA	FIDELITY ADV GROWTH OPP	0.00	24.28	0.00	24.28	95.0	23.07
/ /	KULBACK, WILLIAM	FIDELITY ADV GROWTH OPP A	0.00	3.74	0.00	3.74	95.0	3.55
/ /	VIVIANO, JASON	FIDELITY ADV GROWTH OPP A	0.00	1.67	0.00	1.67	95.0	1.59
/ /	MCCALPIN, ROBERT JOHN	FIDELITY ADV HEALTH CARE T	0.00	12.17	0.00	12.17	95.0	11.56
/ /	MCCALPIN, ROBERT JOHN	FIDELITY ADV LARGE CAP	0.00	9.04	0.00	9.04	95.0	8.59
/ /	KULBACK, WILLIAM	FIDELITY ADV LARGE CAP A	0.00	5.09	0.00	5.09	95.0	4.84
/ /	HERWARTH, CHARLES	FIDELITY ADV LARGE CAP A	0.00	1.80	0.00	1.80	95.0	1.71
/ /	FELIS-ROSS, CAROL	FIDELITY ADV MORTGAGE SECURITIES T	0.00	0.14	0.00	0.14	95.0	0.13
/ /	SCALISE, CYNTHIA	FIDELITY ADV MORTGAGE SECURITIES T	0.00	1.64	0.00	1.64	95.0	1.56
/ /	KULBACK, WILLIAM	FIDELITY ADV STOCK SELECTOR ALLCAP	0.00	3.92	0.00	3.92	95.0	3.72
/ /	HERWARTH, CHARLES	FIDELITY ADV STOCK SELECTOR ALLCAP	0.00	1.98	0.00	1.98	95.0	1.88
/ /	DUDZIK, ELZBIETA	FIDELITY BALANCED T	0.00	20.59	0.00	20.59	95.0	19.56
/ /	ROCCA, JACQUELYN	FIDELITY EMERGING MARKETS	0.00	0.10	0.00	0.10	95.0	0.10
/ /	ROCCA, ALEX	FIDELITY EMERGING MARKETS	0.00	0.08	0.00	0.08	95.0	0.08
/ /	ROCCA, AARON	FIDELITY EMERGING MARKETS	0.00	0.08	0.00	0.08	95.0	0.08
/ /	DUDZIK, ELZBIETA	FIDELITY EMERGING MARKETS	0.00	3.55	0.00	3.55	95.0	3.37
/ /	ROCCA, JACQUELYN	FIDELITY EMERGING MKTS T	0.00	0.25	0.00	0.25	95.0	0.24
/ /	ROCCA, ALEX	FIDELITY EMERGING MKTS T	0.00	0.15	0.00	0.15	95.0	0.14
/ /	ROCCA, AARON	FIDELITY EMERGING MKTS T	0.00	0.15	0.00	0.15	95.0	0.14
/ /	DUDZIK, ELZBIETA	FIDELITY EMERGING MKTS T	0.00	6.30	0.00	6.30	95.0	5.99
/ /	KULBACK, WILLIAM	FIDELITY EQUITY GROWTH A	0.00	4.83	0.00	4.83	95.0	4.59

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<u>BROKER TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
/ /	HERWARTH, CHARLES	FIDELITY EQUITY GROWTH A	0.00	1.73	0.00	1.73	95.0	1.64
/ /	BESS, JAMES	FIDELITY EQUITY GROWTH A	0.00	2.63	0.00	2.63	95.0	2.50
/ /	ZOBOSKI, JAYNE	FIDELITY EQUITY INCOME A	0.00	3.47	0.00	3.47	95.0	3.30
/ /	FRINTNER, SEAN EDWARD	FIDELITY EQUITY INCOME A	0.00	1.21	0.00	1.21	95.0	1.15
/ /	ZERILLI, ROSA	FIDELITY GROWTH & INCOME A	0.00	1.47	0.00	1.47	95.0	1.40
/ /	HERWARTH, CHARLES	FIDELITY TECHNOLOGY A	0.00	1.36	0.00	1.36	95.0	1.29
/ /	ZERILLI, ROSA	FIDELITY TECHNOLOGY A	0.00	1.63	0.00	1.63	95.0	1.55
/ /	ROHLOFF, SHARON	FIDELITY TECHNOLOGY A	0.00	0.57	0.00	0.57	95.0	0.54
/ /	BEARD, LATOYA	FIDELITY TECHNOLOGY A	0.00	0.03	0.00	0.03	95.0	0.03
05/25/2017	TYSZKIEWICZ, KURT	FRANKLIN GROWTH C	100.00	1.00	0.00	1.00	95.0	0.95
/ /	BERDESKI, AUDREY	GUGGENHEIM NASDAQ 100-H	0.00	0.35	0.00	0.35	95.0	0.33
/ /	KANAKRI, JOSEPH	GUGGENHEIM NASDAQ 100-H	0.00	0.16	0.00	0.16	95.0	0.15
/ /	WAGNER, SHARON	GUGGENHEIM NASDAQ 100-H	0.00	0.12	0.00	0.12	95.0	0.11
/ /	OVERMYER, SUSAN	HARTFORD CAPITAL APP II A	0.00	7.94	0.00	7.94	95.0	7.54
/ /	ROCCA, HELEN	HARTFORD CAPITAL APPRECIATION A	0.00	0.62	0.00	0.62	95.0	0.59
/ /	HARTMAN, GREGORY	HARTFORD CAPITAL APPRECIATION A	0.00	0.84	0.00	0.84	95.0	0.80
/ /	GARON-NOWACZYK TRUST, KIM	HARTFORD CAPITAL APPRECIATION C	0.00	5.22	0.00	5.22	95.0	4.96
/ /	OVERMYER, SUSAN	HARTFORD DIVIDEND & GROWTH A	0.00	22.25	0.00	22.25	95.0	21.14
/ /	COLE, JAMES WILLIAM	HARTFORD DIVIDEND & GROWTH C	0.00	12.62	0.00	12.62	95.0	11.99
/ /	HARTMAN, GREGORY	HARTFORD HEALTHCARE A	0.00	0.79	0.00	0.79	95.0	0.75
/ /	OVERMYER, SUSAN	HARTFORD HEALTHCARE A	0.00	39.01	0.00	39.01	95.0	37.06
/ /	RUFFINO, ERNESTINE	HARTFORD HEALTHCARE A	0.00	19.83	0.00	19.83	95.0	18.84
/ /	GARON-NOWACZYK TRUST, KIM	HARTFORD HEALTHCARE C	0.00	4.85	0.00	4.85	95.0	4.61
/ /	HARTMAN, GREGORY	HARTFORD MIDCAP A	0.00	1.97	0.00	1.97	95.0	1.87
/ /	OVERMYER, SUSAN	HARTFORD MIDCAP A	0.00	24.62	0.00	24.62	95.0	23.39
/ /	GARON-NOWACZYK TRUST, KIM	HARTFORD MIDCAP C	0.00	4.40	0.00	4.40	95.0	4.18
/ /	HARTMAN, GREGORY	HARTFORD MIDCAP VALUE A	0.00	1.12	0.00	1.12	95.0	1.06
/ /	HARTMAN, GREGORY	HARTFORD SCHRDRS US SM MD CAP OPP-A	0.00	1.26	0.00	1.26	95.0	1.20
/ /	HARTMAN, GREGORY	HARTFORD SMALLCAP GROWTH A	0.00	3.82	0.00	3.82	95.0	3.63
/ /	HARTMAN, GREGORY	HARTFUND EQUITY INCIME FUND A	0.00	1.84	0.00	1.84	95.0	1.75
05/25/2017	DAIZA, PHILLIP	INVESCO CHARTER FUND C	50.00	0.50	0.00	0.50	95.0	0.48
05/12/2017	MANZO, JOHN	LORD ABBETT AFFILIATED A	0.00	201.16	0.00	201.16	95.0	191.10
05/12/2017	FREAR, BARBARA	LORD ABBETT AFFILIATED A	0.00	16.37	0.00	16.37	95.0	15.55

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<u>BROKER TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
05/12/2017	MINOLETTI, JANE	LORD ABBETT AFFILIATED A	0.00	52.48	0.00	52.48	95.0	49.86
05/22/2017	HICKS, MELISSA	OPPENHEIMER CAPITAL APPRECIATION C	25.00	0.25	0.00	0.25	95.0	0.24
05/22/2017	HICKS, MELISSA	OPPENHEIMER CAPITAL APPRECIATION C	25.00	0.25	0.00	0.25	95.0	0.24
05/22/2017	HICKS, MELISSA	OPPENHEIMER CAPITAL APPRECIATION C	25.00	0.25	0.00	0.25	95.0	0.24
05/22/2017	HICKS, MELISSA	OPPENHEIMER CAPITAL APPRECIATION C	25.00	0.25	0.00	0.25	95.0	0.24
05/22/2017	HICKS, MELISSA	OPPENHEIMER CAPITAL APPRECIATION C	25.00	0.25	0.00	0.25	95.0	0.24
05/22/2017	HICKS, MELISSA	OPPENHEIMER CAPITAL APPRECIATION C	25.00	0.25	0.00	0.25	95.0	0.24
05/22/2017	HICKS, MELISSA	OPPENHEIMER CAPITAL APPRECIATION C	25.00	0.25	0.00	0.25	95.0	0.24
05/22/2017	HICKS, MELISSA	OPPENHEIMER CAPITAL APPRECIATION C	25.00	0.25	0.00	0.25	95.0	0.24
05/22/2017	DITRI, ANN	OPPENHEIMER CAPITAL APPRECIATION C	204.00	2.04	0.00	2.04	95.0	1.94
05/22/2017	DITRI, ANN	OPPENHEIMER CAPITAL APPRECIATION C	32.64	0.33	0.00	0.33	95.0	0.31
05/22/2017	DINKA, JOHN	OPPENHEIMER CAPITAL APPRECIATION C	617.50	6.18	0.00	6.18	95.0	5.87
05/22/2017	DINKA, JOHN	OPPENHEIMER CAPITAL APPRECIATION C	150.00	1.50	0.00	1.50	95.0	1.43
05/22/2017	DINKA, JOHN	OPPENHEIMER CAPITAL APPRECIATION C	617.50	6.18	0.00	6.18	95.0	5.87
05/22/2017	DINKA, JOHN	OPPENHEIMER CAPITAL APPRECIATION C	150.00	1.50	0.00	1.50	95.0	1.43
05/22/2017	SCHULTZ, DEBRA	OPPENHEIMER CAPITAL APPRECIATION C	120.00	1.20	0.00	1.20	95.0	1.14
05/22/2017	SCHULTZ, DEBRA	OPPENHEIMER CAPITAL APPRECIATION C	47.27	0.47	0.00	0.47	95.0	0.45
05/22/2017	SCHULTZ, DEBRA	OPPENHEIMER CAPITAL APPRECIATION C	200.00	2.00	0.00	2.00	95.0	1.90
05/22/2017	SCHULTZ, DEBRA	OPPENHEIMER CAPITAL APPRECIATION C	51.86	0.52	0.00	0.52	95.0	0.49
05/22/2017	SCHULTZ, DEBRA	OPPENHEIMER CAPITAL APPRECIATION C	110.00	1.10	0.00	1.10	95.0	1.05
05/22/2017	SCHULTZ, DEBRA	OPPENHEIMER CAPITAL APPRECIATION C	42.09	0.42	0.00	0.42	95.0	0.40
05/22/2017	SCHULTZ, DEBRA	OPPENHEIMER CAPITAL APPRECIATION C	200.00	2.00	0.00	2.00	95.0	1.90
05/22/2017	SCHULTZ, DEBRA	OPPENHEIMER CAPITAL APPRECIATION C	49.68	0.50	0.00	0.50	95.0	0.48
05/22/2017	BAKER, STEVEN	OPPENHEIMER CAPITAL APPRECIATION C	74.44	0.74	0.00	0.74	95.0	0.70
05/22/2017	BAKER, STEVEN	OPPENHEIMER CAPITAL APPRECIATION C	44.66	0.45	0.00	0.45	95.0	0.43
05/30/2017	ELIAS, JANICE	OPPENHEIMER CAPITAL APPRECIATION C	23.47	0.23	0.00	0.23	95.0	0.22
05/30/2017	ELIAS, JANICE	OPPENHEIMER CAPITAL APPRECIATION C	14.08	0.14	0.00	0.14	95.0	0.13
05/22/2017	SCHULTZ, DEBRA	OPPENHEIMER DEVELOPING MARKETS C	60.00	0.60	0.00	0.60	95.0	0.57
05/22/2017	SCHULTZ, DEBRA	OPPENHEIMER DEVELOPING MARKETS C	23.63	0.24	0.00	0.24	95.0	0.23
05/22/2017	SCHULTZ, DEBRA	OPPENHEIMER DEVELOPING MARKETS C	100.00	1.00	0.00	1.00	95.0	0.95
05/22/2017	SCHULTZ, DEBRA	OPPENHEIMER DEVELOPING MARKETS C	25.93	0.26	0.00	0.26	95.0	0.25
05/22/2017	SCHULTZ, DEBRA	OPPENHEIMER DEVELOPING MARKETS C	55.00	0.55	0.00	0.55	95.0	0.52
05/22/2017	SCHULTZ, DEBRA	OPPENHEIMER DEVELOPING MARKETS C	21.04	0.21	0.00	0.21	95.0	0.20

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<u>BROKER TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
05/22/2017	SCHULTZ, DEBRA	OPPENHEIMER DEVELOPING MARKETS C	100.00	1.00	0.00	1.00	95.0	0.95
05/22/2017	SCHULTZ, DEBRA	OPPENHEIMER DEVELOPING MARKETS C	24.84	0.25	0.00	0.25	95.0	0.24
05/30/2017	DAMORE, MONICA	OPPENHEIMER DISCOVERY C	204.92	2.05	0.00	2.05	95.0	1.95
05/30/2017	DAMORE, MONICA	OPPENHEIMER DISCOVERY C	36.16	0.36	0.00	0.36	95.0	0.34
05/30/2017	DAMORE, MONICA	OPPENHEIMER EQUITY INCOME C	204.92	2.05	0.00	2.05	95.0	1.95
05/30/2017	DAMORE, MONICA	OPPENHEIMER EQUITY INCOME C	36.16	0.36	0.00	0.36	95.0	0.34
05/22/2017	DITRI, ANN	OPPENHEIMER GLOBAL C	198.00	1.98	0.00	1.98	95.0	1.88
05/22/2017	DITRI, ANN	OPPENHEIMER GLOBAL C	31.68	0.32	0.00	0.32	95.0	0.30
05/30/2017	ELIAS, JANICE	OPPENHEIMER GLOBAL C	22.78	0.23	0.00	0.23	95.0	0.22
05/30/2017	ELIAS, JANICE	OPPENHEIMER GLOBAL C	13.67	0.14	0.00	0.14	95.0	0.13
05/22/2017	MCCOLLEY, SHEA	OPPENHEIMER GLOBAL OPPORTUNITIES C	30.00	0.30	0.00	0.30	95.0	0.29
05/22/2017	MCCOLLEY, SHEA	OPPENHEIMER GLOBAL OPPORTUNITIES C	28.67	0.29	0.00	0.29	95.0	0.28
05/22/2017	DINKA, CATHERINE	OPPENHEIMER GLOBAL OPPORTUNITIES C	154.38	1.54	0.00	1.54	95.0	1.46
05/22/2017	DINKA, CATHERINE	OPPENHEIMER GLOBAL OPPORTUNITIES C	37.50	0.38	0.00	0.38	95.0	0.36
05/22/2017	DINKA, CATHERINE	OPPENHEIMER GLOBAL OPPORTUNITIES C	154.38	1.54	0.00	1.54	95.0	1.46
05/22/2017	DINKA, CATHERINE	OPPENHEIMER GLOBAL OPPORTUNITIES C	37.50	0.38	0.00	0.38	95.0	0.36
05/22/2017	DINKA, JOHN	OPPENHEIMER GLOBAL OPPORTUNITIES C	308.75	3.09	0.00	3.09	95.0	2.94
05/22/2017	DINKA, JOHN	OPPENHEIMER GLOBAL OPPORTUNITIES C	75.00	0.75	0.00	0.75	95.0	0.71
05/22/2017	DINKA, JOHN	OPPENHEIMER GLOBAL OPPORTUNITIES C	308.75	3.09	0.00	3.09	95.0	2.94
05/22/2017	DINKA, JOHN	OPPENHEIMER GLOBAL OPPORTUNITIES C	75.00	0.75	0.00	0.75	95.0	0.71
05/22/2017	SCHULTZ, DEBRA	OPPENHEIMER GLOBAL OPPORTUNITIES C	120.00	1.20	0.00	1.20	95.0	1.14
05/22/2017	SCHULTZ, DEBRA	OPPENHEIMER GLOBAL OPPORTUNITIES C	47.27	0.47	0.00	0.47	95.0	0.45
05/22/2017	SCHULTZ, DEBRA	OPPENHEIMER GLOBAL OPPORTUNITIES C	200.00	2.00	0.00	2.00	95.0	1.90
05/22/2017	SCHULTZ, DEBRA	OPPENHEIMER GLOBAL OPPORTUNITIES C	51.86	0.52	0.00	0.52	95.0	0.49
05/22/2017	SCHULTZ, DEBRA	OPPENHEIMER GLOBAL OPPORTUNITIES C	110.00	1.10	0.00	1.10	95.0	1.05
05/22/2017	SCHULTZ, DEBRA	OPPENHEIMER GLOBAL OPPORTUNITIES C	42.09	0.42	0.00	0.42	95.0	0.40
05/22/2017	SCHULTZ, DEBRA	OPPENHEIMER GLOBAL OPPORTUNITIES C	200.00	2.00	0.00	2.00	95.0	1.90
05/22/2017	SCHULTZ, DEBRA	OPPENHEIMER GLOBAL OPPORTUNITIES C	49.68	0.50	0.00	0.50	95.0	0.48
05/30/2017	DAMORE, MONICA	OPPENHEIMER GLOBAL OPPORTUNITIES C	204.92	2.05	0.00	2.05	95.0	1.95
05/30/2017	DAMORE, MONICA	OPPENHEIMER GLOBAL OPPORTUNITIES C	36.16	0.36	0.00	0.36	95.0	0.34
05/22/2017	BAKER, STEVEN	OPPENHEIMER INTL BOND C	74.44	0.74	0.00	0.74	95.0	0.70
05/22/2017	BAKER, STEVEN	OPPENHEIMER INTL BOND C	44.67	0.45	0.00	0.45	95.0	0.43
05/22/2017	BAKER, STEVEN	OPPENHEIMER INTL DIVERSIFIED C	74.44	0.74	0.00	0.74	95.0	0.70

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<u>BROKER TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
05/22/2017	BAKER, STEVEN	OPPENHEIMER INTL DIVERSIFIED C	44.66	0.45	0.00	0.45	95.0	0.43
05/22/2017	HICKS, MELISSA	OPPENHEIMER MAIN ST SELECT C	25.00	0.25	0.00	0.25	95.0	0.24
05/22/2017	HICKS, MELISSA	OPPENHEIMER MAIN ST SELECT C	25.00	0.25	0.00	0.25	95.0	0.24
05/22/2017	HICKS, MELISSA	OPPENHEIMER MAIN ST SELECT C	25.00	0.25	0.00	0.25	95.0	0.24
05/22/2017	HICKS, MELISSA	OPPENHEIMER MAIN ST SELECT C	25.00	0.25	0.00	0.25	95.0	0.24
05/22/2017	HICKS, MELISSA	OPPENHEIMER MAIN ST SELECT C	25.00	0.25	0.00	0.25	95.0	0.24
05/22/2017	HICKS, MELISSA	OPPENHEIMER MAIN ST SELECT C	25.00	0.25	0.00	0.25	95.0	0.24
05/22/2017	HICKS, MELISSA	OPPENHEIMER MAIN ST SELECT C	25.00	0.25	0.00	0.25	95.0	0.24
05/22/2017	HICKS, MELISSA	OPPENHEIMER MAIN ST SELECT C	25.00	0.25	0.00	0.25	95.0	0.24
05/22/2017	HICKS, MELISSA	OPPENHEIMER MAIN ST SELECT C	25.00	0.25	0.00	0.25	95.0	0.24
05/22/2017	DINKA, CATHERINE	OPPENHEIMER MAIN ST SELECT C	463.13	4.63	0.00	4.63	95.0	4.40
05/22/2017	DINKA, CATHERINE	OPPENHEIMER MAIN ST SELECT C	112.50	1.13	0.00	1.13	95.0	1.07
05/22/2017	DINKA, CATHERINE	OPPENHEIMER MAIN ST SELECT C	463.13	4.63	0.00	4.63	95.0	4.40
05/22/2017	DINKA, CATHERINE	OPPENHEIMER MAIN ST SELECT C	112.50	1.13	0.00	1.13	95.0	1.07
05/30/2017	ELIAS, JANICE	OPPENHEIMER MAIN ST SELECT C	22.78	0.23	0.00	0.23	95.0	0.22
05/30/2017	ELIAS, JANICE	OPPENHEIMER MAIN ST SELECT C	13.67	0.14	0.00	0.14	95.0	0.13
05/22/2017	DINKA, CATHERINE	OPPENHEIMER MAIN ST SMALL & MID CAP	463.11	4.63	0.00	4.63	95.0	4.40
05/22/2017	DINKA, CATHERINE	OPPENHEIMER MAIN ST SMALL & MID CAP	112.50	1.13	0.00	1.13	95.0	1.07
05/22/2017	DINKA, CATHERINE	OPPENHEIMER MAIN ST SMALL & MID CAP	463.11	4.63	0.00	4.63	95.0	4.40
05/22/2017	DINKA, CATHERINE	OPPENHEIMER MAIN ST SMALL & MID CAP	112.50	1.13	0.00	1.13	95.0	1.07
05/30/2017	DAMORE, MONICA	OPPENHEIMER MAIN ST SMALL & MID CAP	204.92	2.05	0.00	2.05	95.0	1.95
05/30/2017	DAMORE, MONICA	OPPENHEIMER MAIN ST SMALL & MID CAP	36.17	0.36	0.00	0.36	95.0	0.34
05/22/2017	DINKA, CATHERINE	OPPENHEIMER MAIN STREET C	463.13	4.63	0.00	4.63	95.0	4.40
05/22/2017	DINKA, CATHERINE	OPPENHEIMER MAIN STREET C	112.50	1.13	0.00	1.13	95.0	1.07
05/22/2017	DINKA, CATHERINE	OPPENHEIMER MAIN STREET C	463.13	4.63	0.00	4.63	95.0	4.40
05/22/2017	DINKA, CATHERINE	OPPENHEIMER MAIN STREET C	112.50	1.13	0.00	1.13	95.0	1.07
05/22/2017	MCCOLLEY, SHEA	OPPENHEIMER MAIN STREET C	30.00	0.30	0.00	0.30	95.0	0.29
05/22/2017	MCCOLLEY, SHEA	OPPENHEIMER MAIN STREET C	28.67	0.29	0.00	0.29	95.0	0.28
05/22/2017	SMOLAREK, CHERYL	OPPENHEIMER PTF SERIES EQUITY INVES	100.00	1.00	0.00	1.00	95.0	0.95
05/22/2017	SMOLAREK, CHERYL	OPPENHEIMER PTF SERIES EQUITY INVES	100.00	1.00	0.00	1.00	95.0	0.95
05/22/2017	SMOLAREK, CHERYL	OPPENHEIMER PTF SERIES EQUITY INVES	100.00	1.00	0.00	1.00	95.0	0.95
05/22/2017	SMOLAREK, CHERYL	OPPENHEIMER PTF SERIES EQUITY INVES	100.00	1.00	0.00	1.00	95.0	0.95
05/22/2017	SMOLAREK, CHERYL	OPPENHEIMER PTF SERIES EQUITY INVES	100.00	1.00	0.00	1.00	95.0	0.95
05/22/2017	SMOLAREK, CHERYL	OPPENHEIMER PTF SERIES EQUITY INVES	100.00	1.00	0.00	1.00	95.0	0.95

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>BROKER TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
05/22/2017	SMOLAREK, CHERYL	OPPENHEIMER PTF SERIES EQUITY INVES	100.00	1.00	0.00	1.00	95.0	0.95
05/22/2017	SMOLAREK, CHERYL	OPPENHEIMER PTF SERIES EQUITY INVES	100.00	1.00	0.00	1.00	95.0	0.95
05/22/2017	MCCOLLEY, SHEA	OPPENHEIMER QUEST OPP VALUE C	60.00	0.60	0.00	0.60	95.0	0.57
05/22/2017	MCCOLLEY, SHEA	OPPENHEIMER QUEST OPP VALUE C	57.33	0.57	0.00	0.57	95.0	0.54
05/22/2017	TERPSTRA, SANDRA	OPPENHEIMER QUEST OPP VALUE C	600.00	6.00	0.00	6.00	95.0	5.70
05/22/2017	TERPSTRA, SANDRA	OPPENHEIMER QUEST OPP VALUE C	600.00	6.00	0.00	6.00	95.0	5.70
05/22/2017	TERPSTRA, SANDRA	OPPENHEIMER QUEST OPP VALUE C	600.00	6.00	0.00	6.00	95.0	5.70
05/22/2017	TERPSTRA, SANDRA	OPPENHEIMER QUEST OPP VALUE C	600.00	6.00	0.00	6.00	95.0	5.70
05/22/2017	TERPSTRA, SANDRA	OPPENHEIMER QUEST OPP VALUE C	117.27	1.17	0.00	1.17	95.0	1.11
05/22/2017	TERPSTRA, SANDRA	OPPENHEIMER QUEST OPP VALUE C	95.40	0.95	0.00	0.95	95.0	0.90
05/22/2017	TERPSTRA, SANDRA	OPPENHEIMER QUEST OPP VALUE C	86.95	0.87	0.00	0.87	95.0	0.83
05/22/2017	TERPSTRA, SANDRA	OPPENHEIMER QUEST OPP VALUE C	80.22	0.80	0.00	0.80	95.0	0.76
05/22/2017	TORRICE, PAULA	OPPENHEIMER QUEST OPP VALUE C	50.00	0.50	0.00	0.50	95.0	0.48
05/22/2017	TORRICE, PAULA	OPPENHEIMER QUEST OPP VALUE C	50.00	0.50	0.00	0.50	95.0	0.48
05/22/2017	TORRICE, PAULA	OPPENHEIMER QUEST OPP VALUE C	100.00	1.00	0.00	1.00	95.0	0.95
05/22/2017	TORRICE, PAULA	OPPENHEIMER QUEST OPP VALUE C	100.00	1.00	0.00	1.00	95.0	0.95
05/22/2017	BAKER, STEVEN	OPPENHEIMER QUEST OPP VALUE C	74.44	0.74	0.00	0.74	95.0	0.70
05/22/2017	BAKER, STEVEN	OPPENHEIMER QUEST OPP VALUE C	44.66	0.45	0.00	0.45	95.0	0.43
05/30/2017	WOUDSTRA, KAREN	OPPENHEIMER SMALL & MIDCAP GROWTH C	100.00	1.00	0.00	1.00	95.0	0.95
05/30/2017	WOUDSTRA, KAREN	OPPENHEIMER SMALL & MIDCAP GROWTH C	52.83	0.53	0.00	0.53	95.0	0.50
05/22/2017	DITRI, ANN	OPPENHEIMER VALUE C	198.00	1.98	0.00	1.98	95.0	1.88
05/22/2017	DITRI, ANN	OPPENHEIMER VALUE C	31.68	0.32	0.00	0.32	95.0	0.30
05/22/2017	DINKA, JOHN	OPPENHEIMER VALUE C	617.50	6.18	0.00	6.18	95.0	5.87
05/22/2017	DINKA, JOHN	OPPENHEIMER VALUE C	150.00	1.50	0.00	1.50	95.0	1.43
05/22/2017	DINKA, JOHN	OPPENHEIMER VALUE C	617.50	6.18	0.00	6.18	95.0	5.87
05/22/2017	DINKA, JOHN	OPPENHEIMER VALUE C	150.00	1.50	0.00	1.50	95.0	1.43
06/01/2017	WONCH, LIZ	PUTNAM INVESTORS A	50.00	2.50	0.00	2.50	95.0	2.38
/ /	BERDESKI, AUDREY	RYDEX GUGG S&P 500 H	0.00	0.59	0.00	0.59	95.0	0.56
/ /	KANAKRI, JOSEPH	RYDEX GUGG S&P 500 H	0.00	0.21	0.00	0.21	95.0	0.20
/ /	WAGNER, SHARON	RYDEX GUGG S&P 500 H	0.00	0.19	0.00	0.19	95.0	0.18
/ /	BERDESKI, AUDREY	RYDEXGUGGENHEIM INVERSE NASDAQ 100	0.00	0.35	0.00	0.35	95.0	0.33
/ /	KANAKRI, JOSEPH	RYDEXGUGGENHEIM INVERSE NASDAQ 100	0.00	0.08	0.00	0.08	95.0	0.08
/ /	WAGNER, SHARON	RYDEXGUGGENHEIM INVERSE NASDAQ 100	0.00	0.12	0.00	0.12	95.0	0.11

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<u>BROKER TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
06/02/2017	PETERSON, ALEXA	TRANSAMERICA AA CONSERVATIVE C	0.00	33.76	0.00	33.76	95.0	32.07
06/02/2017	PETERSON, TREY	TRANSAMERICA AA CONSERVATIVE C	0.00	33.76	0.00	33.76	95.0	32.07
06/02/2017	RICE, STEPHANIE	TRANSAMERICA AA GROWTH C	0.00	4.78	0.00	4.78	95.0	4.54
06/02/2017	KUCHAREK, MARK	TRANSAMERICA AA GROWTH C	0.00	5.16	0.00	5.16	95.0	4.90
06/02/2017	HESTER, RICHARD	TRANSAMERICA AA GROWTH C	0.00	21.99	0.00	21.99	95.0	20.89
06/02/2017	SULLIVAN, MICHAEL	TRANSAMERICA AA GROWTH C	0.00	20.21	0.00	20.21	95.0	19.20
06/02/2017	MAYNARD, TRAVIS	TRANSAMERICA AA GROWTH C	0.00	1.59	0.00	1.59	95.0	1.51
06/02/2017	DUMOND, PHYLLIS	TRANSAMERICA AA GROWTH C	0.00	9.65	0.00	9.65	95.0	9.17
06/02/2017	COOPER, LISA	TRANSAMERICA AA GROWTH C	0.00	0.46	0.00	0.46	95.0	0.44
06/02/2017	WEBSTER, BRIAN	TRANSAMERICA AA GROWTH C	0.00	0.98	0.00	0.98	95.0	0.93
06/02/2017	JOUPPI, JEFFREY	TRANSAMERICA AA GROWTH C	0.00	83.65	0.00	83.65	95.0	79.47
06/02/2017	SCALF, MARSHA	TRANSAMERICA AA GROWTH C	0.00	33.63	0.00	33.63	95.0	31.95
06/02/2017	COMAN, RONALD	TRANSAMERICA AA GROWTH C	0.00	19.84	0.00	19.84	95.0	18.85
06/02/2017	PALAZZOLO, SALATORE	TRANSAMERICA AA GROWTH C	0.00	11.75	0.00	11.75	95.0	11.16
06/02/2017	BARTOI, MIKAELA	TRANSAMERICA AA GROWTH C	0.00	3.96	0.00	3.96	95.0	3.76
06/02/2017	ROWAN, CHRISTINE	TRANSAMERICA AA GROWTH C	0.00	26.89	0.00	26.89	95.0	25.55
06/02/2017	KUCHAREK, NORMA	TRANSAMERICA AA GROWTH C	0.00	8.36	0.00	8.36	95.0	7.94
06/02/2017	NEIRINCK, DONNA	TRANSAMERICA AA GROWTH C	0.00	16.86	0.00	16.86	95.0	16.02
06/02/2017	OLSEN, MARTHA	TRANSAMERICA AA GROWTH C	0.00	10.10	0.00	10.10	95.0	9.60
06/02/2017	HESSLER, GARY	TRANSAMERICA AA GROWTH C	0.00	39.43	0.00	39.43	95.0	37.46
06/02/2017	BLANKENSHIP, JANET	TRANSAMERICA AA GROWTH C	0.00	11.48	0.00	11.48	95.0	10.91
06/02/2017	RONDO, DENISE	TRANSAMERICA AA GROWTH C	0.00	11.95	0.00	11.95	95.0	11.35
06/02/2017	PALAZZOLO, ANNA	TRANSAMERICA AA GROWTH C	0.00	18.45	0.00	18.45	95.0	17.53
06/02/2017	LINDOW, RONALD	TRANSAMERICA AA GROWTH C	0.00	1.48	0.00	1.48	95.0	1.41
06/02/2017	WILMAN, ANN	TRANSAMERICA AA GROWTH C	0.00	56.57	0.00	56.57	95.0	53.74
06/02/2017	KUCHAREK, MARK	TRANSAMERICA AA GROWTH C	0.00	36.56	0.00	36.56	95.0	34.73
06/02/2017	LOPICCOLO, CATHERINE	TRANSAMERICA AA GROWTH C	0.00	39.10	0.00	39.10	95.0	37.15
06/02/2017	DUMOND, PHYLLIS	TRANSAMERICA AA GROWTH C	0.00	21.72	0.00	21.72	95.0	20.63
06/02/2017	RIOS-DORIA, H. WALTER	TRANSAMERICA AA GROWTH C	0.00	47.34	0.00	47.34	95.0	44.97
06/02/2017	WETZEL, TIFFANY	TRANSAMERICA AA GROWTH C	0.00	12.95	0.00	12.95	95.0	12.30
06/02/2017	KEELER, DAVID	TRANSAMERICA AA GROWTH C	0.00	47.76	0.00	47.76	95.0	45.37
06/02/2017	HILDEBRAND, JOSEPH	TRANSAMERICA AA GROWTH C	0.00	26.68	0.00	26.68	95.0	25.35
06/02/2017	DEHEM, GARY	TRANSAMERICA AA GROWTH C	0.00	37.57	0.00	37.57	95.0	35.69

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<u>BROKER TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
06/02/2017	LINDOW, RICHARD	TRANSAMERICA AA GROWTH C	0.00	23.02	0.00	23.02	95.0	21.87
06/02/2017	MULDOON, SHEILA	TRANSAMERICA AA GROWTH C	0.00	23.58	0.00	23.58	95.0	22.40
06/02/2017	KUCHAREK, SARAH	TRANSAMERICA AA GROWTH C	0.00	4.76	0.00	4.76	95.0	4.52
06/02/2017	HECKER, GENE	TRANSAMERICA AA GROWTH C	0.00	8.86	0.00	8.86	95.0	8.42
06/02/2017	WATERS, SALLY	TRANSAMERICA AA GROWTH C	0.00	12.94	0.00	12.94	95.0	12.29
06/02/2017	WATERS, WILLIAM	TRANSAMERICA AA GROWTH C	0.00	5.02	0.00	5.02	95.0	4.77
06/02/2017	TOBEY, TIMOTHY	TRANSAMERICA AA GROWTH C	0.00	12.57	0.00	12.57	95.0	11.94
06/02/2017	FARRAR, CHARLES	TRANSAMERICA AA GROWTH C	0.00	12.01	0.00	12.01	95.0	11.41
06/02/2017	BUSZEK, PAUL	TRANSAMERICA AA GROWTH C	0.00	3.15	0.00	3.15	95.0	2.99
06/02/2017	PALAZZOLO, SALVATORE	TRANSAMERICA AA GROWTH C	0.00	13.81	0.00	13.81	95.0	13.12
06/02/2017	BASTIN, TIFFANY	TRANSAMERICA AA GROWTH C	0.00	2.30	0.00	2.30	95.0	2.19
06/02/2017	RICE, STEPHANIE	TRANSAMERICA AA GROWTH C	0.00	2.35	0.00	2.35	95.0	2.23
06/02/2017	KOLLINGER, ROBERT	TRANSAMERICA AA MOD GROWTH C	0.00	0.91	0.00	0.91	95.0	0.86
06/02/2017	HOVIS, MARJORIE	TRANSAMERICA AA MOD GROWTH C	0.00	3.55	0.00	3.55	95.0	3.37
06/02/2017	BELLINGER, VICKIE	TRANSAMERICA AA MOD GROWTH C	0.00	34.72	0.00	34.72	95.0	32.98
06/02/2017	BELLINGER, GEORGE	TRANSAMERICA AA MOD GROWTH C	0.00	27.96	0.00	27.96	95.0	26.56
06/02/2017	POLENYCHKO, SHIRLEY	TRANSAMERICA AA MOD GROWTH C	0.00	9.10	0.00	9.10	95.0	8.65
06/02/2017	AUGUSTYN, PATRICIA	TRANSAMERICA AA MOD GROWTH C	0.00	11.60	0.00	11.60	95.0	11.02
06/02/2017	BLANKENSHIP, JANET	TRANSAMERICA AA MOD GROWTH C	0.00	204.74	0.00	204.74	95.0	194.50
06/02/2017	KOLLINGER, CINDY	TRANSAMERICA AA MOD GROWTH C	0.00	9.36	0.00	9.36	95.0	8.89
06/02/2017	KEELER, DAVID	TRANSAMERICA AA MOD GROWTH C	0.00	21.47	0.00	21.47	95.0	20.40
06/02/2017	TYSZKIEWICZ, KURT	TRANSAMERICA AA MOD GROWTH C	0.00	23.39	0.00	23.39	95.0	22.22
06/02/2017	KUCHAREK, MARCIA	TRANSAMERICA AA MOD GROWTH C	0.00	12.14	0.00	12.14	95.0	11.53
06/02/2017	MCGUIRE, MARY	TRANSAMERICA AA MOD GROWTH C	0.00	15.68	0.00	15.68	95.0	14.90
06/02/2017	LEHMAN, JEFFREY	TRANSAMERICA AA MOD GROWTH C	0.00	0.11	0.00	0.11	95.0	0.10
06/02/2017	HENRY, JACQUELINE	TRANSAMERICA AA MOD GROWTH C	0.00	30.41	0.00	30.41	95.0	28.89
06/02/2017	O'CONNOR, FRANCIS	TRANSAMERICA AA MOD GROWTH C	0.00	53.88	0.00	53.88	95.0	51.19
06/02/2017	SEISSER, JAMES	TRANSAMERICA AA MOD GROWTH C	0.00	0.15	0.00	0.15	95.0	0.14
06/02/2017	BAKER, JEAN-ANNE	TRANSAMERICA AA MOD GROWTH C	0.00	37.66	0.00	37.66	95.0	35.78
06/02/2017	KOSANKE, BARBARA	TRANSAMERICA AA MOD GROWTH C	0.00	31.73	0.00	31.73	95.0	30.14
06/02/2017	DEW, DESIREE	TRANSAMERICA AA MOD GROWTH C	0.00	43.72	0.00	43.72	95.0	41.53
06/02/2017	FRANKS, JACQUELINE	TRANSAMERICA AA MOD GROWTH C	0.00	3.58	0.00	3.58	95.0	3.40
06/02/2017	MODRYCKI, DONALD	TRANSAMERICA AA MOD GROWTH C	0.00	7.50	0.00	7.50	95.0	7.13

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<u>BROKER TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
06/02/2017	CYRULEWSKI TRUST, LOIS	TRANSAMERICA AA MOD GROWTH C	0.00	12.07	0.00	12.07	95.0	11.47
06/02/2017	NIZIO, EDMUND	TRANSAMERICA AA MOD GROWTH C	0.00	3.54	0.00	3.54	95.0	3.36
06/02/2017	PALAZZOLO, SALATORE	TRANSAMERICA AA MOD GROWTH C	0.00	9.58	0.00	9.58	95.0	9.10
06/02/2017	KOSANKE, CHARLES W	TRANSAMERICA AA MOD GROWTH C	0.00	16.33	0.00	16.33	95.0	15.51
06/02/2017	MERRITT, MARY LOU	TRANSAMERICA AA MOD GROWTH C	0.00	113.57	0.00	113.57	95.0	107.89
06/02/2017	GROBAR TRUST, MARVIN & MARY	TRANSAMERICA AA MOD GROWTH C	0.00	16.09	0.00	16.09	95.0	15.29
06/02/2017	OLSEN, MARTHA	TRANSAMERICA AA MOD GROWTH C	0.00	9.71	0.00	9.71	95.0	9.22
06/02/2017	SARKISIAN, NORAY	TRANSAMERICA AA MOD GROWTH C	0.00	9.94	0.00	9.94	95.0	9.44
06/02/2017	SARKISIAN, NORAY	TRANSAMERICA AA MOD GROWTH C	0.00	5.02	0.00	5.02	95.0	4.77
06/02/2017	CARLSON, PATRICIA	TRANSAMERICA AA MOD GROWTH C	0.00	2.68	0.00	2.68	95.0	2.55
06/02/2017	RIOS-DORIA, H. WALTER	TRANSAMERICA AA MOD GROWTH C	0.00	43.89	0.00	43.89	95.0	41.70
06/02/2017	RYAN, VICKI	TRANSAMERICA AA MOD GROWTH C	0.00	3.45	0.00	3.45	95.0	3.28
06/02/2017	RYAN, KAREN	TRANSAMERICA AA MOD GROWTH C	0.00	3.10	0.00	3.10	95.0	2.95
06/02/2017	THOMAS, DEBORAH	TRANSAMERICA AA MOD GROWTH C	0.00	9.55	0.00	9.55	95.0	9.07
06/02/2017	BARTOI, MIKAELA	TRANSAMERICA AA MOD GROWTH C	0.00	150.05	0.00	150.05	95.0	142.55
06/02/2017	BUTLER, SANDRA	TRANSAMERICA AA MOD GROWTH C	0.00	53.53	0.00	53.53	95.0	50.85
06/02/2017	KANAKRI, JOSEPH	TRANSAMERICA AA MOD GROWTH C	0.00	2.08	0.00	2.08	95.0	1.98
06/02/2017	KANAKRI, MARIA	TRANSAMERICA AA MOD GROWTH C	0.00	3.27	0.00	3.27	95.0	3.11
06/02/2017	BUSZEK, PAUL	TRANSAMERICA AA MOD GROWTH C	0.00	25.78	0.00	25.78	95.0	24.49
06/02/2017	BERDESKI, AUDREY	TRANSAMERICA AA MOD GROWTH C	0.00	5.44	0.00	5.44	95.0	5.17
06/02/2017	KAWALA, CHRISTINA	TRANSAMERICA AA MOD GROWTH C	0.00	111.16	0.00	111.16	95.0	105.60
06/02/2017	SARKISIAN, NORAY	TRANSAMERICA AA MODERATE C	0.00	21.88	0.00	21.88	95.0	20.79
06/02/2017	SIMONY, JOAN	TRANSAMERICA AA MODERATE C	0.00	40.47	0.00	40.47	95.0	38.45
06/02/2017	SARKISIAN, NORAY	TRANSAMERICA AA MODERATE C	0.00	0.76	0.00	0.76	95.0	0.72
06/02/2017	MOORE, LOUIS	TRANSAMERICA AA MODERATE C	0.00	85.38	0.00	85.38	95.0	81.11
06/02/2017	BARTOI, JOHN	TRANSAMERICA AA MODERATE C	0.00	0.14	0.00	0.14	95.0	0.13
06/02/2017	HILDEBRAND, JOSEPH	TRANSAMERICA MULTI MGR ALT STRATEGI	0.00	9.73	0.00	9.73	95.0	9.24
06/02/2017	PALAZZOLO, SALATORE	TRANSAMERICA MULTI MGR INTL C	0.00	0.31	0.00	0.31	95.0	0.29
06/02/2017	BARTOI, JOHN	TRANSAMERICA MULTI MGR INTL C	0.00	12.18	0.00	12.18	95.0	11.57
06/02/2017	BARTOI, MIKAELA	TRANSAMERICA MULTI MGR INTL C	0.00	8.55	0.00	8.55	95.0	8.12
06/02/2017	FARRAR, CHARLES	TRANSAMERICA MULTI MGR INTL C	0.00	32.86	0.00	32.86	95.0	31.22
06/02/2017	WILMAN, ANN	TRANSAMERICA MULTI MGR INTL C	0.00	23.73	0.00	23.73	95.0	22.54
06/02/2017	KUCHAREK, MARK	TRANSAMERICA MULTI MGR INTL C	0.00	9.96	0.00	9.96	95.0	9.46

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>BROKER TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
06/02/2017	DUMOND, PHYLLIS	TRANSAMERICA MULTI MGR INTL C	0.00	4.80	0.00	4.80	95.0	4.56
06/02/2017	KEELER, DAVID	TRANSAMERICA MULTI MGR INTL C	0.00	13.32	0.00	13.32	95.0	12.65
06/02/2017	HILDEBRAND, JOSEPH	TRANSAMERICA MULTI MGR INTL C	0.00	11.54	0.00	11.54	95.0	10.96
06/02/2017	DEHEM, GARY	TRANSAMERICA MULTI MGR INTL C	0.00	14.01	0.00	14.01	95.0	13.31
06/02/2017	KAWALA, CHRISTINA	TRANSAMERICA MULTI MGR INTL C	0.00	7.36	0.00	7.36	95.0	6.99
06/02/2017	ALLEN, BRADLEY	TRANSAMERICA MULTI-MANAGED BAL C	0.00	30.75	0.00	30.75	95.0	29.21
06/02/2017	WAGNER, MALLORY	TRANSAMERICA MULTI-MANAGED BAL C	0.00	2.96	0.00	2.96	95.0	2.81
06/02/2017	EVANS, SANDRA	TRANSAMERICA MULTI-MANAGED BAL C	0.00	6.20	0.00	6.20	95.0	5.89
06/02/2017	EVANS, ROBERT	TRANSAMERICA MULTI-MANAGED BAL C	0.00	7.43	0.00	7.43	95.0	7.06
06/02/2017	GRECH, ROSALIE	TRANSAMERICA MULTI-MANAGED BAL C	0.00	29.65	0.00	29.65	95.0	28.17
06/02/2017	CANNON TRUST, HENRY & BARBARA	TRANSAMERICA MULTI-MANAGED BAL C	0.00	110.24	0.00	110.24	95.0	104.73
06/02/2017	WEYCKER, AARON	TRANSAMERICA MULTI-MANAGED BAL C	0.00	41.85	0.00	41.85	95.0	39.76
06/02/2017	WEYCKER, AARON	TRANSAMERICA MULTI-MANAGED BAL C	0.00	6.88	0.00	6.88	95.0	6.54
06/02/2017	DOUTSAS, MADELYN	TRANSAMERICA MULTI-MANAGED BAL C	0.00	3.04	0.00	3.04	95.0	2.89
06/02/2017	HOOTNER-JONES, ANN	TRANSAMERICA MULTI-MANAGED BAL C	0.00	2.71	0.00	2.71	95.0	2.57
06/02/2017	ORTAGO, PAULA	TRANSAMERICA MULTI-MANAGED BAL C	0.00	5.40	0.00	5.40	95.0	5.13
06/02/2017	WEYCKER, ROBERT	TRANSAMERICA MULTI-MANAGED BAL C	0.00	12.20	0.00	12.20	95.0	11.59
06/02/2017	RICHARDSON, SHANE	TRANSAMERICA MULTI-MANAGED BAL C	0.00	1.20	0.00	1.20	95.0	1.14
06/02/2017	MAGGARD, LORETTA	TRANSAMERICA MULTI-MANAGED BAL C	0.00	12.98	0.00	12.98	95.0	12.33
06/02/2017	KAWALA, CHRISTINA	TRANSAMERICA MULTI-MANAGED BAL C	0.00	16.98	0.00	16.98	95.0	16.13
06/02/2017	EICHENLAUB, TRACEY	TRANSAMERICA MULTI-MANAGED BAL C	0.00	35.18	0.00	35.18	95.0	33.42
06/02/2017	BELLINGER, VICKIE	TRANSAMERICA MULTI-MANAGED BAL C	0.00	12.40	0.00	12.40	95.0	11.78
06/02/2017	OLSEN, MARTHA	TRANSAMERICA MULTI-MANAGED BAL C	0.00	10.47	0.00	10.47	95.0	9.95
06/02/2017	JOHNSON, DONNA	TRANSAMERICA MULTI-MANAGED BAL C	0.00	2.91	0.00	2.91	95.0	2.76
06/02/2017	MOORE, SUSAN ANN PRIES	TRANSAMERICA MULTI-MANAGED BAL C	0.00	69.11	0.00	69.11	95.0	65.65
06/02/2017	YOUNG, RICK	TRANSAMERICA MULTI-MANAGED BAL C	0.00	133.32	0.00	133.32	95.0	126.65
06/02/2017	JOHNSON, DONNA	TRANSAMERICA MULTI-MANAGED BAL C	0.00	31.61	0.00	31.61	95.0	30.03
06/02/2017	DINKA, CATHERINE	TRANSAMERICA MULTI-MANAGED BAL C	0.00	77.83	0.00	77.83	95.0	73.94
06/02/2017	PARKE, DEBORAH	TRANSAMERICA MULTI-MANAGED BAL C	0.00	1.72	0.00	1.72	95.0	1.63
06/02/2017	SMITH, MARTHA	TRANSAMERICA MULTI-MANAGED BAL C	0.00	100.19	0.00	100.19	95.0	95.18
06/02/2017	FARRAR, KAREN	TRANSAMERICA MULTI-MANAGED BAL C	0.00	43.16	0.00	43.16	95.0	41.00
06/02/2017	EICHENLAUB, TRACEY	TRANSAMERICA MULTI-MANAGED BAL C	0.00	20.59	0.00	20.59	95.0	19.56
06/02/2017	ROLLINGS, DEBORAH	TRANSAMERICA MULTI-MANAGED BAL C	0.00	28.93	0.00	28.93	95.0	27.48

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<u>BROKER TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
06/02/2017	ALLEN, BRADLEY	TRANSAMERICA MULTI-MANAGED BAL C	0.00	28.93	0.00	28.93	95.0	27.48
06/02/2017	DOUTSAS, MADELYN	TRANSAMERICA MULTI-MANAGED BAL C	0.00	20.44	0.00	20.44	95.0	19.42
06/02/2017	DOUTSAS, ALEXANDER	TRANSAMERICA MULTI-MANAGED BAL C	0.00	6.16	0.00	6.16	95.0	5.85
06/02/2017	GRAMMATICO, DENNIS	TRANSAMERICA SHORT-TERM BOND C	0.00	7.28	0.00	7.28	95.0	6.92
06/02/2017	GRAMMATICO, SHARON	TRANSAMERICA SHORT-TERM BOND C	0.00	7.29	0.00	7.29	95.0	6.93
06/02/2017	SARKISIAN, NORAY	TRANSAMERICA SHORT-TERM BOND C	0.00	29.94	0.00	29.94	95.0	28.44
06/02/2017	MERRITT, MARY LOU	TRANSAMERICA SHORT-TERM BOND C	0.00	22.65	0.00	22.65	95.0	21.52
06/02/2017	O'CONNOR, FRANCIS	TRANSAMERICA SHORT-TERM BOND C	0.00	65.23	0.00	65.23	95.0	61.97
06/02/2017	CHRONOWSKI, THEODORA	TRANSAMERICA SHORT-TERM BOND C	0.00	15.50	0.00	15.50	95.0	14.73
06/02/2017	HOOTNER-JONES, ANN	TRANSAMERICA SHORT-TERM BOND C	0.00	8.14	0.00	8.14	95.0	7.73
06/02/2017	RYAN, JACK	TRANSAMERICA SHORT-TERM BOND C	0.00	8.71	0.00	8.71	95.0	8.27
06/02/2017	RYAN, KAREN	TRANSAMERICA SHORT-TERM BOND C	0.00	8.35	0.00	8.35	95.0	7.93
06/02/2017	KNIGHT, SHARON	TRANSAMERICA SMALL/MID CAP VALUE C	0.00	6.81	0.00	6.81	95.0	6.47
06/02/2017	EVANS, SANDRA	TRANSAMERICA TACTICAL INCOME C	0.00	4.76	0.00	4.76	95.0	4.52
06/02/2017	EVANS, ROBERT	TRANSAMERICA TACTICAL INCOME C	0.00	5.71	0.00	5.71	95.0	5.42
06/02/2017	KAWALA, CHRISTINA	TRANSAMERICA TACTICAL INCOME C	0.00	3.18	0.00	3.18	95.0	3.02
06/02/2017	PIZZO, ROSOLINO	TRANSAMERICA WMC DIV EQUITY C	0.00	1.86	0.00	1.86	95.0	1.77
05/09/2017	WERNER, DOROTHY	WELLS FARGO INCOME PLUS A	0.00	2.10	0.00	2.10	95.0	2.00
* MUTUAL FUNDS SUBTOTAL *			\$56,513.60	\$18,431.36	\$0.00	\$18,431.36		\$17,503.15
<u>PRODUCT CATEGORY: VARIABLE ANNUITIES</u>								
05/31/2017	BERTRAND, C JERRY	JNL ELITE ACCESS	58,175.58	31.51	0.00	31.51	95.0	29.93
05/31/2017	MELTZER, CLARENCE	JNL PERSPECTIVE ADVANTAGE	22,997.31	19.16	0.00	19.16	95.0	18.20
05/31/2017	COVYEAU, FREDERICK J & B	JNL PERSPECTIVE II	92,925.75	38.72	0.00	38.72	95.0	36.78
05/31/2017	JEANNETTE, JUSTIN	JNL PERSPECTIVE II 05/05	496.48	0.41	0.00	0.41	95.0	0.39
05/31/2017	KOSCIELSKI, RONALD	JNL PERSPECTIVE II 05/05	26,859.92	11.19	0.00	11.19	95.0	10.63
05/31/2017	CROSS, LINDA	JNL PERSPECTIVE II 05/05	5,790.92	2.41	0.00	2.41	95.0	2.29
05/31/2017	MAGGARD, LORETTA	JNL PERSPECTIVE II 05/05	44,704.98	18.63	0.00	18.63	95.0	17.70
05/31/2017	RANG, MARILYN	JNL PERSPECTIVE II 05/05	72,873.07	30.36	0.00	30.36	95.0	28.84
05/31/2017	MCDONALD, GLENN	JNL PERSPECTIVE II 05/05	173,768.17	72.40	0.00	72.40	95.0	68.78
05/31/2017	KEELER, SUSAN	JNL PERSPECTIVE II 05/05	126,687.79	52.79	0.00	52.79	95.0	50.15
05/31/2017	PIROZZO, PETER	JNL PERSPECTIVE L	50,416.09	54.62	0.00	54.62	95.0	51.89
05/31/2017	DIEM, LINDA	JOHN HANCOCK VENTURE	617.38	0.13	0.00	0.13	95.0	0.12
05/31/2017	SCERBAK, EILEEN	JOHN HANCOCK VENTURE	45,848.88	9.55	0.00	9.55	95.0	9.07

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<u>BROKER TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: VARIABLE ANNUITIES</u>								
05/31/2017	TYMCZY, MARY JANE	JOHN HANCOCK VENTURE	7,075.24	1.47	0.00	1.47	95.0	1.40
05/31/2017	DANIEL, SABRINA	JOHN HANCOCK VENTURE	302.96	0.06	0.00	0.06	95.0	0.06
05/04/2017	SCHROETER, RICHARD	TRANSAMERICA EXTRA	35,720.46	29.77	0.00	29.77	95.0	28.28
05/14/2017	GRUSH, ERNEST	TRANSAMERICA LANDMARK	141,013.20	117.51	0.00	117.51	95.0	111.63
05/30/2017	MADSEN, JOYCE	TRANSAMERICA LANDMARK	4,599.66	3.83	0.00	3.83	95.0	3.64
* VARIABLE ANNUITIES SUBTOTAL *			\$910,873.84	\$494.52	\$0.00	\$494.52		\$469.78
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
06/05/2017	MERRITT, KATHY	COLUMBIA ACORN A	0.00	9.22	0.00	9.22	95.0	8.76
06/05/2017	EQUITY TRUST CO	COLUMBIA ACORN A	0.00	5.72	0.00	5.72	95.0	5.43
06/05/2017	SMARK, CHARLES	COLUMBIA ACORN A	0.00	6.43	0.00	6.43	95.0	6.11
06/05/2017	MOORE, DONYELLE	COLUMBIA EQUITY VALUE A	0.00	0.93	0.00	0.93	95.0	0.88
06/05/2017	MUNTEANU, RADU	COLUMBIA GREATER CHINA A	0.00	7.06	0.00	7.06	95.0	6.71
06/05/2017	KLEMPNER TRUST, VLADIMIR	COLUMBIA INCOME BUILDER FUND A	0.00	9.19	0.00	9.19	95.0	8.73
06/05/2017	SMYTH, DAVID	COLUMBIA LARGE CAP GROWTH A	0.00	3.21	0.00	3.21	95.0	3.05
06/05/2017	MOORE, DONYELLE	COLUMBIA MIDCAP VALUE A	0.00	8.72	0.00	8.72	95.0	8.28
06/05/2017	KULA, THOMAS	COLUMBIA SELIGMAN COMM AND INFO A	0.00	2.81	0.00	2.81	95.0	2.67
06/05/2017	HOSKIN, JOHN	COLUMBIA SELIGMAN COMM AND INFO A	0.00	5.67	0.00	5.67	95.0	5.39
06/05/2017	SWIDER, ROB	COLUMBIA SELIGMAN COMM AND INFO A	0.00	5.86	0.00	5.86	95.0	5.57
06/05/2017	SHIELDS, GERALD	COLUMBIA SELIGMAN COMM AND INFO A	0.00	1.96	0.00	1.96	95.0	1.86
06/05/2017	VANMEER, MICHAEL	COLUMBIA SELIGMAN COMM AND INFO A	0.00	3.49	0.00	3.49	95.0	3.32
06/05/2017	SCULLY, DOROTHY	COLUMBIA SELIGMAN COMM AND INFO C	0.00	44.25	0.00	44.25	95.0	42.04
06/05/2017	FALKIEWICZ, DAVID	COLUMBIA SMALL CAP VALUE I A	0.00	5.65	0.00	5.65	95.0	5.37
06/05/2017	MOORE, DONYELLE	COLUMBIA SMALL CAP VALUE I A	0.00	4.70	0.00	4.70	95.0	4.47
06/05/2017	KOSUTH, SARA	COLUMBIA STRATEGIC INVESTOR A	0.00	6.60	0.00	6.60	95.0	6.27
06/05/2017	KUCHAREK, EMMA	COLUMBIA STRATEGIC INVESTOR A	0.00	0.19	0.00	0.19	95.0	0.18
06/05/2017	KUCHAREK, PETER	COLUMBIA STRATEGIC INVESTOR A	0.00	0.19	0.00	0.19	95.0	0.18
06/05/2017	KUCHAREK, GILLIAN	COLUMBIA STRATEGIC INVESTOR A	0.00	0.19	0.00	0.19	95.0	0.18
06/05/2017	KUCHAREK, SARAH	COLUMBIA STRATEGIC INVESTOR A	0.00	0.19	0.00	0.19	95.0	0.18
06/05/2017	KINGSLEY, BRIAN GENE	COLUMBIA STRATEGIC INVESTOR A	0.00	2.68	0.00	2.68	95.0	2.55
06/05/2017	KUCHAREK, MIRIAM	COLUMBIA STRATEGIC INVESTOR A	0.00	0.20	0.00	0.20	95.0	0.19
05/31/2017	CFGROUP, VARIOUS	DREYFUS	0.00	81.33	0.00	81.33	95.0	77.26
05/31/2017	CFGROUP, VARIOUS	DREYFUS	0.00	14.56	0.00	14.56	95.0	13.83
04/30/2017	CFGROUP, VARIOUS	VOYA TRAILS	0.00	3.23	0.00	3.23	95.0	3.07

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>BROKER TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: VARIABLE ANNUITY 12B1 TRAILS</u>								
		* MUTUAL FUND 12B1 TRAILS SUBTOTAL *	\$0.00	\$234.23	\$0.00	\$234.23		\$222.53
<u>PRODUCT CATEGORY: VARIABLE ANNUITY 12B1 TRAILS</u>								
06/01/2017	FOREST POST PROD	TRANSAMERICA	0.00	161.81	0.00	161.81	95.0	153.72
		* VARIABLE ANNUITY 12B1 TRAILS SUBTOTAL *	\$0.00	\$161.81	\$0.00	\$161.81		\$153.72
		*** BROKER TRANSACTIONS TOTAL ***	\$1,875,673.91	\$63,336.13	\$0.00	\$63,336.13		\$60,162.70

SPLIT TRANSACTIONS**BROKER: MARK KOSANKE #3**

05/09/2017	MARCOLA, THADDEUS	ALLIANCEBERNSTEIN LARGE CAP GROWTH	0.00	0.34	0.00	0.34	95.0	0.32
05/09/2017	CAUL, MARTINA	AM FUNDS AMERICAN BALANCED A	0.00	0.20	0.00	0.20	95.0	0.19
05/09/2017	CAUL, MARTINA	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.16	0.00	0.16	95.0	0.15
05/09/2017	GOOSSENS, LORI	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	2.27	0.00	2.27	95.0	2.16
05/09/2017	CAUL, MARTINA	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.42	0.00	0.42	95.0	0.40
05/09/2017	SCULLY, DOROTHY	AM FUNDS ICA A	0.00	11.27	0.00	11.27	95.0	10.71
05/09/2017	MCCALL, JEFFREY	AM FUNDS SMALLCAP WORLD A	0.00	1.12	0.00	1.12	95.0	1.06
05/09/2017	DENNIS, STEVEN	AM FUNDS SMALLCAP WORLD A	0.00	5.89	0.00	5.89	95.0	5.60
05/09/2017	MILLER, JOSEPH	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	1.44	0.00	1.44	95.0	1.37
05/09/2017	MILLER, JOSEPH	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	1.44	0.00	1.44	95.0	1.37
05/09/2017	DENNIS, STEVEN	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	4.80	0.00	4.80	95.0	4.56
05/09/2017	DOUTSAS, ALEXANDER	CARE CAP PPTYS INC COM	2,680.54	22.00	14.00	8.00	95.0	7.60
05/09/2017	NICOLOSI, ROSE	COLUMBIA SELIGMAN COMM AND INFO A	0.00	2.20	0.00	2.20	95.0	2.09
05/09/2017	DENNIS, STEVEN	DAVIS NEW YORK VENTURE A	0.00	14.75	0.00	14.75	95.0	14.01
05/09/2017	KNOCH JR, WALTER	DAVIS NEW YORK VENTURE A	0.00	9.16	0.00	9.16	95.0	8.70
05/09/2017	HENKEL, JAMES	DREYFUS HIGH YIELD A	0.00	0.59	0.00	0.59	95.0	0.56
05/03/2017	ALEX, GREGORY	DTE ENERGY CO COM	4,172.30	125.17	14.00	111.17	95.0	105.61
05/09/2017	HENKEL, JAMES	EATON VANCE HIGH INCOME OPPORTUNITI	0.00	0.83	0.00	0.83	95.0	0.79
05/09/2017	DOUTSAS, ALEXANDER	EVOLUCIA INC COMMON STOCK	16.80	0.00	14.00	-14.00	95.0	-13.30
05/09/2017	ADAMS, ERIK	FEDERATED HIGH INCOME BOND FUND INC	0.00	0.74	0.00	0.74	95.0	0.70
05/09/2017	ADAMS, ERIK	FEDERATED MARKET OPPORTUNITY A	0.00	2.27	0.00	2.27	95.0	2.16
05/09/2017	GARCIA-SANTOS, VICKY	FIRST EAGLE GLOBAL FUND CL A	0.00	6.83	0.00	6.83	95.0	6.49
05/22/2017	GEORGE, EDWARD	FORD MOTOR CO DEL COM PAR	2,347.98	100.00	14.00	86.00	95.0	81.70
05/05/2017	MERTZ, LESLIE	FT FOUNDING FDS ALLOC C	4,733.67	0.00	0.00	0.00	95.0	0.00

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>SPLIT TRANSACTIONS</u>								
<u>BROKER: MARK KOSANKE #3</u>								
05/05/2017	MERTZ, LESLIE	FT FOUNDING FDS ALLOC C	-4,733.67	0.00	0.00	0.00	95.0	0.00
05/05/2017	MERTZ, LESLIE	FT FOUNDING FDS ALLOC C	4,733.67	22.00	0.00	22.00	95.0	20.90
05/09/2017	MERTZ, LESLIE	FT FOUNDING FDS ALLOC C	0.00	3.82	0.00	3.82	95.0	3.63
06/06/2017	MCCLAIN, DOROTHY	GENWORTH CHOICE 03 (UNBUN GUAR 1.5)	91,955.38	76.63	0.00	76.63	95.0	72.80
06/06/2017	EMBACH, KEVIN	GENWORTH CHOICE VA	73,674.99	61.40	0.00	61.40	95.0	58.33
06/06/2017	EMBACH, JAMES	GENWORTH CHOICE VA	73,674.99	61.40	0.00	61.40	95.0	58.33
06/06/2017	ZACK, MAUREEN	GENWORTH CHOICE VA	73,674.99	61.40	0.00	61.40	95.0	58.33
06/06/2017	HARTOUNIAN, HAGOB	GENWORTH CHOICE VA	10,984.73	9.15	0.00	9.15	95.0	8.69
06/06/2017	BYERS, SHARRON	GENWORTH COMMONWEALTH VA 1994 (NON-	100,015.13	16.67	0.00	16.67	95.0	15.84
05/31/2017	KRASS, DELORES	JNL PERSPECTIVE REWARDS	16,634.99	3.46	0.00	3.46	95.0	3.29
05/09/2017	ALEXOPOULOS, PAUL	LORD ABBETT BOND DEBENTURE A	0.00	3.46	0.00	3.46	95.0	3.29
06/06/2017	MOSIER, JOHN	NATIONWIDE MARKETFLEX	200.00	4.00	0.00	4.00	95.0	3.80
05/09/2017	BROUSE, SARAH	OPPENHEIMER PORT SERIES ACTIVE ALLO	0.00	0.69	0.00	0.69	95.0	0.66
05/22/2017	DEREY, DENISE	OPPENHEIMER SMALL MID CAP VALUE C	80.00	0.80	0.00	0.80	95.0	0.76
05/22/2017	DEREY, DENISE	OPPENHEIMER SMALL MID CAP VALUE C	80.00	0.80	0.00	0.80	95.0	0.76
05/22/2017	DEREY, DENISE	OPPENHEIMER SMALL MID CAP VALUE C	80.00	0.80	0.00	0.80	95.0	0.76
05/22/2017	DEREY, DENISE	OPPENHEIMER SMALL MID CAP VALUE C	80.00	0.80	0.00	0.80	95.0	0.76
05/22/2017	DEREY, DENISE	OPPENHEIMER SMALL MID CAP VALUE C	80.00	0.80	0.00	0.80	95.0	0.76
05/22/2017	DEREY, DENISE	OPPENHEIMER SMALL MID CAP VALUE C	80.00	0.80	0.00	0.80	95.0	0.76
05/22/2017	DEREY, DENISE	OPPENHEIMER SMALL MID CAP VALUE C	80.00	0.80	0.00	0.80	95.0	0.76
05/22/2017	DEREY, DENISE	OPPENHEIMER SMALL MID CAP VALUE C	80.00	0.80	0.00	0.80	95.0	0.76
05/09/2017	ADAMS, TONJA	PUTNAM INTERNATIONAL VALUE-A	0.00	0.24	0.00	0.24	95.0	0.23
05/09/2017	ROSS TRUST, PAMELA	RETAIL PPTYs AMER INC CL A	56,750.02	565.00	14.00	551.00	95.0	523.45
05/17/2017	ROSS REV TRUST, ARLEEN	TIER REIT INC COM	6,811.58	204.00	14.00	190.00	95.0	180.50
05/09/2017	DOUTSAS, ALEXANDER	VENTAS INC	25,401.39	22.00	14.00	8.00	95.0	7.60
05/26/2017	HOSKIN, JOHN	VICTORY CAPITAL MANAGEMENT	0.00	0.61	0.00	0.61	95.0	0.58
05/26/2017	MARCOLA, ERIKA	VICTORY CAPITAL MANAGEMENT	0.00	0.98	0.00	0.98	95.0	0.93
* MARK KOSANKE SUBTOTAL *			\$544,369.48	\$1,437.20	\$98.00	\$1,339.20		\$1,272.26
<u>BROKER: 101 CFGROUP/KOSANKE #9</u>								
06/02/2017	MCLAUGHLIN, TRACY	AM FUNDS ICA A	150.00	7.50	0.00	7.50	95.0	7.13
* 101 CFGROUP/KOSANKE SUBTOTAL *			\$150.00	\$7.50	\$0.00	\$7.50		\$7.13

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>SPLIT TRANSACTIONS</u>								
<u>BROKER: J117-PETE/JOAN JOHNSON/FLAM #19</u>								
/ /	PRICOPIO, VANESSA	JH 529 COLLEGE PORT A	0.00	2.54	0.00	2.54	95.0	2.41
* J117-PETE/JOAN JOHNSON/FLAM SUBTOTAL *			\$0.00	\$2.54	\$0.00	\$2.54		\$2.41
<u>BROKER: GROUP FLAM/BUSSELL #32</u>								
05/31/2017	M, OSIP	DELAWARE VALUE A	0.00	1.30	0.00	1.30	95.0	1.24
* GROUP FLAM/BUSSELL SUBTOTAL *			\$0.00	\$1.30	\$0.00	\$1.30		\$1.24
<u>BROKER: PETER JOHNSON #63</u>								
05/31/2017	ROSS, DAVID	DELAWARE HIGH YIELD OPP A	0.00	26.72	0.00	26.72	95.0	25.38
05/31/2017	KAPELN, J	DELAWARE TAX FREE USA A	0.00	8.98	0.00	8.98	95.0	8.53
05/31/2017	PAPPAS, LARRY	DELAWARE VALUE A	0.00	32.44	0.00	32.44	95.0	30.82
05/31/2017	PAPPAS, JANE	DELAWARE VALUE A	0.00	6.38	0.00	6.38	95.0	6.06
* PETER JOHNSON SUBTOTAL *			\$0.00	\$74.52	\$0.00	\$74.52		\$70.79
*** SPLIT TRANSACTIONS TOTAL ***			\$544,519.48	\$1,523.06	\$98.00	\$1,425.06		\$1,353.83

VERRIDE TRANSACTIONS

<u>BROKER: 101 CFGROUP/KOSANKE #9</u>								
05/22/2017	NAGEOTTE, NIKOLAUS	AM FUNDS CAPITAL WORLD GRTH & INC A	100.00	5.00	0.00	5.00	95.0	5.00
06/01/2017	STOLL, HEATHER	AM FUNDS CAPITAL WORLD GRTH & INC A	75.00	3.19	0.00	3.19	95.0	3.19
* 101 CFGROUP/KOSANKE SUBTOTAL *			\$175.00	\$8.19	\$0.00	\$8.19		\$8.19
<u>BROKER: THOMAS SCHNEIDER #30</u>								
05/30/2017	SCHECK, VICTORIA	SBL ADVISOR PROGRAM	13,664.49	2.85	0.00	2.85	0.0	2.85
05/30/2017	KELLER, MICHELLE	SBL ADVISOR PROGRAM	27,016.48	5.63	0.00	5.63	0.0	5.63
05/30/2017	YOUNG, MARCIA	SBL ADVISOR PROGRAM	23,681.99	4.94	0.00	4.94	0.0	4.94
05/30/2017	LITTRELL, REX	SBL ADVISORDESIGNS VA	6,790.19	1.41	0.00	1.41	0.0	1.41
05/30/2017	HARTONG, DEAN	SBL ADVISORDESIGNS VA	12,704.95	2.66	0.00	2.66	0.0	2.66
05/30/2017	GREGORY, RICHARD	SBL ADVISORDESIGNS VA	8,008.51	1.68	0.00	1.68	0.0	1.68
05/30/2017	DEFRANCESCO, STEVEN	SBL ADVISORDESIGNS VA	7,735.25	1.62	0.00	1.62	0.0	1.62
05/30/2017	KUBAN, JOANNE	SBL ADVISORDESIGNS VA	22,022.97	4.59	0.00	4.59	0.0	4.59
05/30/2017	HAWK, MARYBELLE	SBL ADVISORDESIGNS VA	7,689.31	1.60	0.00	1.60	0.0	1.60
05/30/2017	MELLERT, ELLEN	SBL ADVISORDESIGNS VA	3,857.23	3.21	0.00	3.21	0.0	3.21
05/30/2017	DEFRANCESCO, MARY	SBL ADVISORDESIGNS VA	8,150.11	1.70	0.00	1.70	0.0	1.70
05/30/2017	HAWK, MARYBELLE	SBL ADVISORDESIGNS VA	7,908.78	1.66	0.00	1.66	0.0	1.66

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<u> OVERRIDE TRANSACTIONS </u>								
<u>BROKER: THOMAS SCHNEIDER #30</u>								
05/30/2017	BABIN, WILLIAM	SBL ADVISORDESIGNS VA	133,368.64	27.78	0.00	27.78	0.0	27.78
05/30/2017	HAWK, GLENN	SBL ADVISORDESIGNS VA	5,903.86	1.23	0.00	1.23	0.0	1.23
05/30/2017	BAKER, MARILYN	SBL ADVISORDESIGNS VA	6,766.93	1.41	0.00	1.41	0.0	1.41
05/30/2017	GREGORY, CAROL	SBL ADVISORDESIGNS VA	35,393.63	7.37	0.00	7.37	0.0	7.37
05/30/2017	MCCRANN, JAMES	SBL ADVISORDESIGNS VA	5,955.80	1.24	0.00	1.24	0.0	1.24
05/30/2017	FULTON, JOHN	SBL ADVISORDESIGNS VA	8,434.76	1.76	0.00	1.76	0.0	1.76
05/30/2017	BAKER, MARILYN	SBL ADVISORDESIGNS VA	6,270.00	1.32	0.00	1.32	0.0	1.32
05/30/2017	HAWK, DUANE	SBL ADVISORDESIGNS VA	3,329.31	0.70	0.00	0.70	0.0	0.70
05/30/2017	HAWK, DUANE	SBL ADVISORDESIGNS VA	3,694.74	0.77	0.00	0.77	0.0	0.77
* THOMAS SCHNEIDER SUBTOTAL *			\$358,347.93	\$77.13	\$0.00	\$77.13		\$77.13
*** OVERRIDE TRANSACTIONS TOTAL ***			\$358,522.93	\$85.32	\$0.00	\$85.32		\$85.32

ADJUSTMENTS

06/15/2017		*DUE DILIGENCE: DD-INLAND SELF III-	0.00					10,904.25
*** ADJUSTMENTS TOTAL ***			\$0.00	\$0.00	\$0.00	\$0.00		\$10,904.25

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BROKER COMMISSION TOTALS

Broker Transactions	\$60,162.70
Split Transactions	\$1,353.83
Override Transactions	\$85.32
Adjustments	\$10,904.25
Payroll Draw	\$0.00
Base Salary	\$0.00
Prior Period Balance	\$0.00
FINRA Assessment	\$0.00
SIPC Assessment	\$0.00

Check Amount	\$72,506.10
Year-to-date Gross	\$189,276.19
Year-to-date Earnings	\$182,613.76