



Concorde Investment Services, LLC
COMMISSION STATEMENT
June 15, 2018

06/15/2018

Page No. 1

DELMAR (BO)-M143 MCKINNEY
 5 Red Bud Trail

BROKER #: M143
 BRANCH: EAGLE WEALTH MANAGEM

Round Rock, TX 78655-

| DATE | CLIENT | INVESTMENT | INVESTMENT AMOUNT | GROSS COMMISSION | CLEARING CHARGE | NET COMMISSION | RATE | BROKER COMMISSION |
|--|---------------------|-------------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <u>CLEARING TRANSACTIONS</u> | | | | | | | | |
| <u>PRODUCT CATEGORY: MUTUAL FUNDS</u> | | | | | | | | |
| 06/05/2018 | ASPRA, TRISSA | AM FUNDS AMCAP A | 75.00 | 3.19 | 12.00 | -8.81 | 90.0 | -7.93 |
| 06/05/2018 | ASPRA, TRISSA | AM FUNDS GROWTH FUND OF AMERICA A | 75.00 | 3.19 | 12.00 | -8.81 | 90.0 | -7.93 |
| 06/04/2018 | LAWHON, JACKIE | AM FUNDS WASHINGTON MUTUAL INVESTOR | -500.00 | 0.00 | 12.00 | -12.00 | 90.0 | -10.80 |
| * MUTUAL FUNDS SUBTOTAL * | | | \$-350.00 | \$6.38 | \$36.00 | \$-29.62 | | \$-26.66 |
| <u>PRODUCT CATEGORY: UNIT INVESTMENT TRUSTS</u> | | | | | | | | |
| 06/07/2018 | GUNTER, JOHN | FT UNIT 6985 MLP CLOSED END PORTFOL | -6,996.06 | 0.00 | 44.00 | -44.00 | 90.0 | -39.60 |
| * UNIT INVESTMENT TRUSTS SUBTOTAL * | | | \$-6,996.06 | \$0.00 | \$44.00 | \$-44.00 | | \$-39.60 |
| *** CLEARING TRANSACTIONS TOTAL *** | | | \$-7,346.06 | \$6.38 | \$80.00 | \$-73.62 | | \$-66.26 |
| <u>DIRECT TRANSACTIONS</u> | | | | | | | | |
| <u>PRODUCT CATEGORY: 529 PLANS</u> | | | | | | | | |
| 05/21/2018 | BRUECKNER, MICHAEL | AM FUNDS GROWTH FUND OF AMERICA 529 | 100.00 | 1.20 | 0.00 | 1.20 | 90.0 | 1.08 |
| 05/29/2018 | OHE, EUGENIA | AM FUNDS GROWTH FUND OF AMERICA 529 | 100.00 | 2.75 | 0.00 | 2.75 | 90.0 | 2.48 |
| 05/29/2018 | OHE, EUGENIA | AM FUNDS GROWTH FUND OF AMERICA 529 | 100.00 | 2.75 | 0.00 | 2.75 | 90.0 | 2.48 |
| 05/21/2018 | BRUECKNER, MICHAEL | AM FUNDS WASHINGTON MUTUAL INVESTOR | 100.00 | 1.20 | 0.00 | 1.20 | 90.0 | 1.08 |
| * 529 PLANS SUBTOTAL * | | | \$400.00 | \$7.90 | \$0.00 | \$7.90 | | \$7.12 |
| <u>PRODUCT CATEGORY: MUTUAL FUNDS</u> | | | | | | | | |
| 05/31/2018 | BRUECKNER, KIMBERLY | AM FUNDS GROWTH FUND OF AMERICA A | 325.00 | 3.90 | 0.00 | 3.90 | 90.0 | 3.51 |
| * MUTUAL FUNDS SUBTOTAL * | | | \$325.00 | \$3.90 | \$0.00 | \$3.90 | | \$3.51 |
| <u>PRODUCT CATEGORY: VARIABLE ANNUITIES</u> | | | | | | | | |
| 06/09/2018 | CHEATHAM, JIMMY | AMER GEN POLARIS II | 38,771.58 | 24.23 | 0.00 | 24.23 | 90.0 | 21.81 |
| 05/31/2018 | MASON, JOHN | JNL PERSPECTIVE ADV II 5/05 | 460,502.39 | 383.75 | 0.00 | 383.75 | 90.0 | 345.38 |
| 05/31/2018 | MASON, JOHN | JNL PERSPECTIVE L | 458,169.85 | 381.81 | 0.00 | 381.81 | 90.0 | 343.63 |
| 05/31/2018 | PEMBERTON, PATRICIA | JOHN HANCOCK VENTURE | 18,730.93 | 3.90 | 0.00 | 3.90 | 90.0 | 3.51 |

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

| DATE | CLIENT | INVESTMENT | INVESTMENT AMOUNT | GROSS COMMISSION | CLEARING CHARGE | NET COMMISSION | RATE | BROKER COMMISSION |
|---|----------------------------|-------------------------------------|-----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <u>DIRECT TRANSACTIONS</u> | | | | | | | | |
| <u>PRODUCT CATEGORY: VARIABLE ANNUITIES</u> | | | | | | | | |
| 04/30/2018 | PRAESEL, ARTHUR | PRU AS APEX II | 276,760.10 | 230.63 | 0.00 | 230.63 | 90.0 | 207.57 |
| 04/30/2018 | PRAESEL, ARTHUR | PRU AS APEX II | 276,760.10 | 57.66 | 0.00 | 57.66 | 90.0 | 51.89 |
| 05/31/2018 | PRAESEL, ARTHUR | PRU AS APEX II | 278,638.83 | 232.20 | 0.00 | 232.20 | 90.0 | 208.98 |
| 05/31/2018 | PRAESEL, ARTHUR | PRU AS APEX II | 278,638.83 | 58.05 | 0.00 | 58.05 | 90.0 | 52.25 |
| 04/30/2018 | MCRIGHT, WILLIAM | PRU AS XTRA CREDIT | 3,102.23 | 0.65 | 0.00 | 0.65 | 90.0 | 0.59 |
| 05/31/2018 | MCRIGHT, WILLIAM | PRU AS XTRA CREDIT | 3,148.40 | 0.66 | 0.00 | 0.66 | 90.0 | 0.59 |
| 04/30/2018 | MCELROY, BENNETT | PRU PREMIER RETIREMENT L | 77,097.43 | 64.25 | 0.00 | 64.25 | 90.0 | 57.83 |
| 05/31/2018 | MCELROY, BENNETT | PRU PREMIER RETIREMENT L | 77,607.72 | 64.67 | 0.00 | 64.67 | 90.0 | 58.20 |
| 04/30/2018 | MCCALL, DONNA | PRU XTRA CREDIT EIGHT | 650,108.77 | 135.44 | 0.00 | 135.44 | 90.0 | 121.90 |
| 05/31/2018 | MCCALL, DONNA | PRU XTRA CREDIT EIGHT | 647,393.17 | 134.87 | 0.00 | 134.87 | 90.0 | 121.38 |
| * VARIABLE ANNUITIES SUBTOTAL * | | | \$3,545,430.33 | \$1,772.77 | \$0.00 | \$1,772.77 | | \$1,595.51 |
| <u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u> | | | | | | | | |
| 06/01/2018 | NAIZER, ROSANNE | 529 AMCAP FUND CLASS A | 0.00 | 3.01 | 0.00 | 3.01 | 90.0 | 2.71 |
| 06/01/2018 | NAIZER, JOHNNIE | 529 AMCAP FUND CLASS A | 0.00 | 2.09 | 0.00 | 2.09 | 90.0 | 1.88 |
| 05/10/2018 | BUROW, PAUL | ALLIANCEBERNSTEIN INTL VALUE A | 0.00 | 0.95 | 0.00 | 0.95 | 90.0 | 0.86 |
| 05/17/2018 | WIESNER, BETTY | AM CENT EQUITY INCOME | 0.00 | 3.03 | 0.00 | 3.03 | 90.0 | 2.73 |
| 05/15/2018 | ROSENTHAL, LUCILLE | AM FUNDS AMCAP A | 0.00 | 13.27 | 0.00 | 13.27 | 90.0 | 11.94 |
| 05/15/2018 | LUEDTKE, LOIS | AM FUNDS AMCAP A | 0.00 | 13.35 | 0.00 | 13.35 | 90.0 | 12.02 |
| 05/15/2018 | ASPRA, TRISSA | AM FUNDS AMCAP A | 0.00 | 3.21 | 0.00 | 3.21 | 90.0 | 2.89 |
| 05/15/2018 | NMN & NJN MGMT TRUST | AM FUNDS AMCAP A | 0.00 | 1.75 | 0.00 | 1.75 | 90.0 | 1.58 |
| 05/15/2018 | MICHNA, RHYS | AM FUNDS AMCAP A | 0.00 | 1.46 | 0.00 | 1.46 | 90.0 | 1.31 |
| 05/15/2018 | SCOTT, MONYAN | AM FUNDS AMCAP A | 0.00 | 30.27 | 0.00 | 30.27 | 90.0 | 27.24 |
| 05/15/2018 | GREER, GREGORY | AM FUNDS AMCAP A | 0.00 | 6.29 | 0.00 | 6.29 | 90.0 | 5.66 |
| 05/15/2018 | GREER, GREGORY | AM FUNDS AMCAP A | 0.00 | 6.28 | 0.00 | 6.28 | 90.0 | 5.65 |
| 06/01/2018 | PRAESEL, ARTHUR | AM FUNDS AMCAP A | 0.00 | 234.29 | 0.00 | 234.29 | 90.0 | 210.86 |
| 05/15/2018 | SPECKELS, MELBA | AM FUNDS AMERICAN BALANCED A | 0.00 | 1.29 | 0.00 | 1.29 | 90.0 | 1.16 |
| 05/15/2018 | GREER, GREGORY | AM FUNDS AMERICAN BALANCED A | 0.00 | 1.74 | 0.00 | 1.74 | 90.0 | 1.57 |
| 05/15/2018 | GREER, GREGORY | AM FUNDS AMERICAN BALANCED A | 0.00 | 2.03 | 0.00 | 2.03 | 90.0 | 1.83 |
| 05/15/2018 | FUESSEL NE & NA TR, NORMAN | AM FUNDS AMERICAN HIGH-INCOME TRUST | 0.00 | 34.52 | 0.00 | 34.52 | 90.0 | 31.07 |
| 05/15/2018 | SPECKELS, MELBA | AM FUNDS AMERICAN HIGH-INCOME TRUST | 0.00 | 1.61 | 0.00 | 1.61 | 90.0 | 1.45 |
| 06/01/2018 | NAIZER, ROSANNE | AM FUNDS AMERICAN MUTUAL 529A | 0.00 | 1.67 | 0.00 | 1.67 | 90.0 | 1.50 |
| 06/01/2018 | NAIZER, JOHNNIE | AM FUNDS AMERICAN MUTUAL 529A | 0.00 | 1.27 | 0.00 | 1.27 | 90.0 | 1.14 |
| 05/15/2018 | ROSENTHAL, LUCILLE | AM FUNDS AMERICAN MUTUAL A | 0.00 | 19.02 | 0.00 | 19.02 | 90.0 | 17.12 |

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|--|----------------------------|-------------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <u>DIRECT TRANSACTIONS</u> | | | | | | | | |
| PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS | | | | | | | | |
| 05/15/2018 | FUESSEL IRREV TR, NORMAN | AM FUNDS AMERICAN MUTUAL A | 0.00 | 8.65 | 0.00 | 8.65 | 90.0 | 7.79 |
| 05/15/2018 | NMN & NJN MGMT TRUST | AM FUNDS AMERICAN MUTUAL A | 0.00 | 1.01 | 0.00 | 1.01 | 90.0 | 0.91 |
| 05/15/2018 | SCOTT, MONYEAN | AM FUNDS AMERICAN MUTUAL A | 0.00 | 24.30 | 0.00 | 24.30 | 90.0 | 21.87 |
| 05/15/2018 | IVICIC, MARY | AM FUNDS AMERICAN MUTUAL A | 0.00 | 2.90 | 0.00 | 2.90 | 90.0 | 2.61 |
| 06/01/2018 | MCKINNON, BROOKE | AM FUNDS CAPITAL INCOME BUILDER 529 | 0.00 | 0.97 | 0.00 | 0.97 | 90.0 | 0.87 |
| 05/15/2018 | CHEATHAM, JIMMY | AM FUNDS CAPITAL INCOME BUILDER A | 0.00 | 11.13 | 0.00 | 11.13 | 90.0 | 10.02 |
| 05/15/2018 | PRAESEL, ARTHUR | AM FUNDS CAPITAL INCOME BUILDER A | 0.00 | 20.83 | 0.00 | 20.83 | 90.0 | 18.75 |
| 05/15/2018 | ROSENTHAL, LUCILLE | AM FUNDS CAPITAL INCOME BUILDER A | 0.00 | 33.21 | 0.00 | 33.21 | 90.0 | 29.89 |
| 05/15/2018 | FUESSEL, NORMAN | AM FUNDS CAPITAL INCOME BUILDER A | 0.00 | 20.47 | 0.00 | 20.47 | 90.0 | 18.42 |
| 05/15/2018 | FUESSEL NE & NA TR, NORMAN | AM FUNDS CAPITAL INCOME BUILDER A | 0.00 | 18.71 | 0.00 | 18.71 | 90.0 | 16.84 |
| 05/15/2018 | BRUECKNER, KIMBERLY | AM FUNDS CAPITAL INCOME BUILDER A | 0.00 | 5.35 | 0.00 | 5.35 | 90.0 | 4.82 |
| 05/15/2018 | KELLEY, DOLORES | AM FUNDS CAPITAL INCOME BUILDER A | 0.00 | 6.21 | 0.00 | 6.21 | 90.0 | 5.59 |
| 05/15/2018 | LOGHRY, DORIS | AM FUNDS CAPITAL INCOME BUILDER A | 0.00 | 0.06 | 0.00 | 0.06 | 90.0 | 0.05 |
| 05/15/2018 | PEKAR, DAVID | AM FUNDS CAPITAL INCOME BUILDER A | 0.00 | 7.68 | 0.00 | 7.68 | 90.0 | 6.91 |
| 05/15/2018 | SPECKELS, WARREN | AM FUNDS CAPITAL INCOME BUILDER A | 0.00 | 1.37 | 0.00 | 1.37 | 90.0 | 1.23 |
| 05/15/2018 | SPECKELS, MELBA | AM FUNDS CAPITAL INCOME BUILDER A | 0.00 | 2.03 | 0.00 | 2.03 | 90.0 | 1.83 |
| 05/15/2018 | BRANSON, BARBARA | AM FUNDS CAPITAL INCOME BUILDER A | 0.00 | 3.23 | 0.00 | 3.23 | 90.0 | 2.91 |
| 05/15/2018 | MORRIS, JANINE | AM FUNDS CAPITAL INCOME BUILDER A | 0.00 | 9.13 | 0.00 | 9.13 | 90.0 | 8.22 |
| 05/15/2018 | SCOTT, MONYEAN | AM FUNDS CAPITAL INCOME BUILDER A | 0.00 | 20.85 | 0.00 | 20.85 | 90.0 | 18.77 |
| 05/15/2018 | GREER, GREGORY | AM FUNDS CAPITAL INCOME BUILDER A | 0.00 | 1.39 | 0.00 | 1.39 | 90.0 | 1.25 |
| 05/15/2018 | GREER, GREGORY | AM FUNDS CAPITAL INCOME BUILDER A | 0.00 | 1.62 | 0.00 | 1.62 | 90.0 | 1.46 |
| 05/15/2018 | URBAN, LONNIE | AM FUNDS CAPITAL INCOME BUILDER A | 0.00 | 1.51 | 0.00 | 1.51 | 90.0 | 1.36 |
| 06/01/2018 | OHE, EUGENIA | AM FUNDS CAPITAL INCOME BUILDER A | 0.00 | 6.72 | 0.00 | 6.72 | 90.0 | 6.05 |
| 06/01/2018 | PEKAR, DAVID | AM FUNDS CAPITAL INCOME BUILDER A | 0.00 | 24.89 | 0.00 | 24.89 | 90.0 | 22.40 |
| 06/01/2018 | PRAESEL, ARTHUR | AM FUNDS CAPITAL INCOME BUILDER A | 0.00 | 59.71 | 0.00 | 59.71 | 90.0 | 53.74 |
| 05/15/2018 | MOORE, TERRY | AM FUNDS CAPITAL INCOME BUILDER C | 0.00 | 32.81 | 0.00 | 32.81 | 90.0 | 29.53 |
| 06/01/2018 | NAIZER, ROSANNE | AM FUNDS CAPITAL WORLD GRTH & INC 5 | 0.00 | 2.00 | 0.00 | 2.00 | 90.0 | 1.80 |
| 06/01/2018 | NAIZER, JOHNNIE | AM FUNDS CAPITAL WORLD GRTH & INC 5 | 0.00 | 0.08 | 0.00 | 0.08 | 90.0 | 0.07 |
| 05/15/2018 | ROSENTHAL, LUCILLE | AM FUNDS CAPITAL WORLD GRTH & INC A | 0.00 | 33.02 | 0.00 | 33.02 | 90.0 | 29.72 |
| 05/15/2018 | FUESSEL IRREV TR, NORMAN | AM FUNDS CAPITAL WORLD GRTH & INC A | 0.00 | 9.11 | 0.00 | 9.11 | 90.0 | 8.20 |
| 05/15/2018 | BRUECKNER, KIMBERLY | AM FUNDS CAPITAL WORLD GRTH & INC A | 0.00 | 16.14 | 0.00 | 16.14 | 90.0 | 14.53 |
| 05/15/2018 | KELLEY, DOLORES | AM FUNDS CAPITAL WORLD GRTH & INC A | 0.00 | 5.40 | 0.00 | 5.40 | 90.0 | 4.86 |
| 05/15/2018 | NMN & NJN MGMT TRUST | AM FUNDS CAPITAL WORLD GRTH & INC A | 0.00 | 1.22 | 0.00 | 1.22 | 90.0 | 1.10 |

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|---|----------------------------|-------------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <u>DIRECT TRANSACTIONS</u> | | | | | | | | |
| <u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u> | | | | | | | | |
| 05/15/2018 | SCOTT, MONYAN | AM FUNDS CAPITAL WORLD GRTH & INC A | 0.00 | 32.80 | 0.00 | 32.80 | 90.0 | 29.52 |
| 05/15/2018 | HOHMAN, JEROME | AM FUNDS CAPITAL WORLD GRTH & INC A | 0.00 | 9.62 | 0.00 | 9.62 | 90.0 | 8.66 |
| 05/15/2018 | DROMGOOLE, NONA | AM FUNDS CAPITAL WORLD GRTH & INC A | 0.00 | 6.62 | 0.00 | 6.62 | 90.0 | 5.96 |
| 05/15/2018 | GREER, GREGORY | AM FUNDS CAPITAL WORLD GRTH & INC A | 0.00 | 4.72 | 0.00 | 4.72 | 90.0 | 4.25 |
| 05/15/2018 | GREER, GREGORY | AM FUNDS CAPITAL WORLD GRTH & INC A | 0.00 | 4.73 | 0.00 | 4.73 | 90.0 | 4.26 |
| 05/15/2018 | URBAN, LONNIE | AM FUNDS CAPITAL WORLD GRTH & INC A | 0.00 | 1.80 | 0.00 | 1.80 | 90.0 | 1.62 |
| 05/15/2018 | IVICIC, MARY | AM FUNDS CAPITAL WORLD GRTH & INC A | 0.00 | 1.38 | 0.00 | 1.38 | 90.0 | 1.24 |
| 05/15/2018 | FUESSEL NE & NA TR, NORMAN | AM FUNDS EUROPACIFIC GROWTH FUND A | 0.00 | 19.53 | 0.00 | 19.53 | 90.0 | 17.58 |
| 05/15/2018 | LUEDTKE, LOIS | AM FUNDS EUROPACIFIC GROWTH FUND A | 0.00 | 18.40 | 0.00 | 18.40 | 90.0 | 16.56 |
| 05/15/2018 | KELLEY, DOLORES | AM FUNDS EUROPACIFIC GROWTH FUND A | 0.00 | 4.73 | 0.00 | 4.73 | 90.0 | 4.26 |
| 05/15/2018 | GREER, GREGORY | AM FUNDS EUROPACIFIC GROWTH FUND A | 0.00 | 1.35 | 0.00 | 1.35 | 90.0 | 1.22 |
| 05/15/2018 | GREER, GREGORY | AM FUNDS EUROPACIFIC GROWTH FUND A | 0.00 | 1.60 | 0.00 | 1.60 | 90.0 | 1.44 |
| 06/01/2018 | KORNEGAY, ALISA | AM FUNDS EUROPACIFIC GROWTH FUND A | 0.00 | 17.24 | 0.00 | 17.24 | 90.0 | 15.52 |
| 06/01/2018 | ENOCHS, DONNA | AM FUNDS EUROPACIFIC GROWTH FUND A | 0.00 | 15.67 | 0.00 | 15.67 | 90.0 | 14.10 |
| 06/01/2018 | ENOCHS, LELAND | AM FUNDS EUROPACIFIC GROWTH FUND A | 0.00 | 45.05 | 0.00 | 45.05 | 90.0 | 40.55 |
| 06/01/2018 | OHE, EUGENIA | AM FUNDS EUROPACIFIC GROWTH FUND A | 0.00 | 7.61 | 0.00 | 7.61 | 90.0 | 6.85 |
| 06/01/2018 | ENOCHS, DONNA | AM FUNDS EUROPACIFIC GROWTH FUND A | 0.00 | 8.37 | 0.00 | 8.37 | 90.0 | 7.53 |
| 06/01/2018 | NAIZER, ROSANNE | AM FUNDS FUNDAMENTAL INVESTORS 529A | 0.00 | 2.91 | 0.00 | 2.91 | 90.0 | 2.62 |
| 06/01/2018 | NAIZER, JOHNNIE | AM FUNDS FUNDAMENTAL INVESTORS 529A | 0.00 | 0.19 | 0.00 | 0.19 | 90.0 | 0.17 |
| 05/15/2018 | ROSENTHAL, LUCILLE | AM FUNDS FUNDAMENTAL INVESTORS A | 0.00 | 41.23 | 0.00 | 41.23 | 90.0 | 37.11 |
| 05/15/2018 | BRUECKNER, KIMBERLY | AM FUNDS FUNDAMENTAL INVESTORS A | 0.00 | 20.59 | 0.00 | 20.59 | 90.0 | 18.53 |
| 05/15/2018 | NMN & NJN MGMT TRUST | AM FUNDS FUNDAMENTAL INVESTORS A | 0.00 | 1.66 | 0.00 | 1.66 | 90.0 | 1.49 |
| 05/15/2018 | SCOTT, MONYAN | AM FUNDS FUNDAMENTAL INVESTORS A | 0.00 | 41.35 | 0.00 | 41.35 | 90.0 | 37.22 |
| 05/15/2018 | DROMGOOLE, NONA | AM FUNDS FUNDAMENTAL INVESTORS A | 0.00 | 7.85 | 0.00 | 7.85 | 90.0 | 7.07 |
| 05/15/2018 | GREER, GREGORY | AM FUNDS FUNDAMENTAL INVESTORS A | 0.00 | 3.90 | 0.00 | 3.90 | 90.0 | 3.51 |
| 05/15/2018 | GREER, GREGORY | AM FUNDS FUNDAMENTAL INVESTORS A | 0.00 | 4.07 | 0.00 | 4.07 | 90.0 | 3.66 |
| 05/15/2018 | EWING LIVING TRUST, JACK & | AM FUNDS FUNDAMENTAL INVESTORS A | 0.00 | 7.48 | 0.00 | 7.48 | 90.0 | 6.73 |
| 05/15/2018 | IVICIC, MARY | AM FUNDS FUNDAMENTAL INVESTORS A | 0.00 | 3.74 | 0.00 | 3.74 | 90.0 | 3.37 |
| 06/01/2018 | ENOCHS, LELAND | AM FUNDS FUNDAMENTAL INVESTORS A | 0.00 | 62.29 | 0.00 | 62.29 | 90.0 | 56.06 |
| 06/01/2018 | ENOCHS, DONNA | AM FUNDS FUNDAMENTAL INVESTORS A | 0.00 | 8.93 | 0.00 | 8.93 | 90.0 | 8.04 |
| 06/01/2018 | BRUECKNER, MICHAEL | AM FUNDS GROWTH FUND OF AMERICA 529 | 0.00 | 19.71 | 0.00 | 19.71 | 90.0 | 17.74 |
| 06/01/2018 | NAIZER, ROSANNE | AM FUNDS GROWTH FUND OF AMERICA 529 | 0.00 | 3.66 | 0.00 | 3.66 | 90.0 | 3.29 |
| 06/01/2018 | NAIZER, JOHNNIE | AM FUNDS GROWTH FUND OF AMERICA 529 | 0.00 | 1.92 | 0.00 | 1.92 | 90.0 | 1.73 |

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| <u>DIRECT TRANSACTIONS</u> | | | | | | | | |
| <u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u> | | | | | | | | |
| 06/01/2018 | OHE, EUGENIA | AM FUNDS GROWTH FUND OF AMERICA 529 | 0.00 | 11.93 | 0.00 | 11.93 | 90.0 | 10.74 |
| 06/01/2018 | OHE, EUGENIA | AM FUNDS GROWTH FUND OF AMERICA 529 | 0.00 | 11.93 | 0.00 | 11.93 | 90.0 | 10.74 |
| 05/15/2018 | ROSENTHAL, LUCILLE | AM FUNDS GROWTH FUND OF AMERICA A | 0.00 | 14.21 | 0.00 | 14.21 | 90.0 | 12.79 |
| 05/15/2018 | FUESSEL IRREV TR, NORMAN | AM FUNDS GROWTH FUND OF AMERICA A | 0.00 | 56.44 | 0.00 | 56.44 | 90.0 | 50.80 |
| 05/15/2018 | LUEDTKE, LOIS | AM FUNDS GROWTH FUND OF AMERICA A | 0.00 | 41.61 | 0.00 | 41.61 | 90.0 | 37.45 |
| 05/15/2018 | ASPRA, TRISSA | AM FUNDS GROWTH FUND OF AMERICA A | 0.00 | 3.46 | 0.00 | 3.46 | 90.0 | 3.11 |
| 05/15/2018 | BRUECKNER, KIMBERLY | AM FUNDS GROWTH FUND OF AMERICA A | 0.00 | 21.75 | 0.00 | 21.75 | 90.0 | 19.58 |
| 05/15/2018 | ROSIPAL, HERBERT | AM FUNDS GROWTH FUND OF AMERICA A | 0.00 | 0.14 | 0.00 | 0.14 | 90.0 | 0.13 |
| 05/15/2018 | KELLEY, DOLORES | AM FUNDS GROWTH FUND OF AMERICA A | 0.00 | 6.40 | 0.00 | 6.40 | 90.0 | 5.76 |
| 05/15/2018 | LAWHON, JACKIE | AM FUNDS GROWTH FUND OF AMERICA A | 0.00 | 0.43 | 0.00 | 0.43 | 90.0 | 0.39 |
| 05/15/2018 | NMN & NJN MGMT TRUST | AM FUNDS GROWTH FUND OF AMERICA A | 0.00 | 1.73 | 0.00 | 1.73 | 90.0 | 1.56 |
| 05/15/2018 | BORGNE JR, ROBERT | AM FUNDS GROWTH FUND OF AMERICA A | 0.00 | 7.45 | 0.00 | 7.45 | 90.0 | 6.71 |
| 05/15/2018 | LAWHON, STEVEN | AM FUNDS GROWTH FUND OF AMERICA A | 0.00 | 7.55 | 0.00 | 7.55 | 90.0 | 6.80 |
| 05/15/2018 | SPECKELS, WARREN | AM FUNDS GROWTH FUND OF AMERICA A | 0.00 | 2.27 | 0.00 | 2.27 | 90.0 | 2.04 |
| 05/15/2018 | MICHNA, RHYS | AM FUNDS GROWTH FUND OF AMERICA A | 0.00 | 1.46 | 0.00 | 1.46 | 90.0 | 1.31 |
| 05/15/2018 | MORRIS, JANINE | AM FUNDS GROWTH FUND OF AMERICA A | 0.00 | 20.73 | 0.00 | 20.73 | 90.0 | 18.66 |
| 05/15/2018 | SCOTT, MONYEAN | AM FUNDS GROWTH FUND OF AMERICA A | 0.00 | 44.33 | 0.00 | 44.33 | 90.0 | 39.90 |
| 05/15/2018 | LAWHON, BRAEDEN | AM FUNDS GROWTH FUND OF AMERICA A | 0.00 | 0.95 | 0.00 | 0.95 | 90.0 | 0.86 |
| 05/15/2018 | DROMGOOLE, NONA | AM FUNDS GROWTH FUND OF AMERICA A | 0.00 | 8.32 | 0.00 | 8.32 | 90.0 | 7.49 |
| 05/15/2018 | GREER, GREGORY | AM FUNDS GROWTH FUND OF AMERICA A | 0.00 | 8.01 | 0.00 | 8.01 | 90.0 | 7.21 |
| 05/15/2018 | GREER, GREGORY | AM FUNDS GROWTH FUND OF AMERICA A | 0.00 | 7.84 | 0.00 | 7.84 | 90.0 | 7.06 |
| 05/15/2018 | MOORE, TERRY | AM FUNDS GROWTH FUND OF AMERICA A | 0.00 | 2.49 | 0.00 | 2.49 | 90.0 | 2.24 |
| 05/15/2018 | OHE, DRAKE | AM FUNDS GROWTH FUND OF AMERICA A | 0.00 | 1.33 | 0.00 | 1.33 | 90.0 | 1.20 |
| 05/15/2018 | OHE, EUGENIA | AM FUNDS GROWTH FUND OF AMERICA A | 0.00 | 1.22 | 0.00 | 1.22 | 90.0 | 1.10 |
| 05/15/2018 | URBAN, LONNIE | AM FUNDS GROWTH FUND OF AMERICA A | 0.00 | 2.36 | 0.00 | 2.36 | 90.0 | 2.12 |
| 05/15/2018 | LAWHON, MAISEN | AM FUNDS GROWTH FUND OF AMERICA A | 0.00 | 0.65 | 0.00 | 0.65 | 90.0 | 0.59 |
| 05/15/2018 | IVICIC, MARY | AM FUNDS GROWTH FUND OF AMERICA A | 0.00 | 3.49 | 0.00 | 3.49 | 90.0 | 3.14 |
| 06/01/2018 | PRAESEL, ARTHUR | AM FUNDS GROWTH FUND OF AMERICA A | 0.00 | 289.98 | 0.00 | 289.98 | 90.0 | 260.98 |
| 06/01/2018 | KORNEGAY, ALISA | AM FUNDS GROWTH FUND OF AMERICA A | 0.00 | 26.55 | 0.00 | 26.55 | 90.0 | 23.90 |
| 06/01/2018 | ENOCHS, LELAND | AM FUNDS GROWTH FUND OF AMERICA A | 0.00 | 62.64 | 0.00 | 62.64 | 90.0 | 56.38 |
| 06/01/2018 | OHE, EUGENIA | AM FUNDS GROWTH FUND OF AMERICA A | 0.00 | 22.23 | 0.00 | 22.23 | 90.0 | 20.01 |
| 06/01/2018 | BRUECKNER, MICHAEL | AM FUNDS GROWTH FUND OF AMERICA A | 0.00 | 42.99 | 0.00 | 42.99 | 90.0 | 38.69 |
| 06/01/2018 | BRUECKNER, KIMBERLY | AM FUNDS GROWTH FUND OF AMERICA A | 0.00 | 39.70 | 0.00 | 39.70 | 90.0 | 35.73 |

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|---|----------------------------|-------------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <u>DIRECT TRANSACTIONS</u> | | | | | | | | |
| <u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u> | | | | | | | | |
| 06/01/2018 | ENOCHS, DONNA | AM FUNDS GROWTH FUND OF AMERICA A | 0.00 | 9.32 | 0.00 | 9.32 | 90.0 | 8.39 |
| 06/01/2018 | GILLEY, BEVERLY | AM FUNDS GROWTH FUND OF AMERICA A | 0.00 | 209.46 | 0.00 | 209.46 | 90.0 | 188.51 |
| 06/01/2018 | JAMES, BRITTNEY | AM FUNDS GROWTH FUND OF AMERICA A | 0.00 | 0.97 | 0.00 | 0.97 | 90.0 | 0.87 |
| 05/15/2018 | DROMGOOLE, NONA | AM FUNDS ICA A | 0.00 | 6.43 | 0.00 | 6.43 | 90.0 | 5.79 |
| 05/15/2018 | EWING JR, JACK | AM FUNDS ICA A | 0.00 | 9.34 | 0.00 | 9.34 | 90.0 | 8.41 |
| 06/01/2018 | KORNEGAY, ALISA | AM FUNDS ICA A | 0.00 | 23.26 | 0.00 | 23.26 | 90.0 | 20.93 |
| 05/15/2018 | CHEATHAM, JIMMY | AM FUNDS INCOME FUND OF AMERICA A | 0.00 | 10.95 | 0.00 | 10.95 | 90.0 | 9.86 |
| 05/15/2018 | PRAESEL, ARTHUR | AM FUNDS INCOME FUND OF AMERICA A | 0.00 | 25.45 | 0.00 | 25.45 | 90.0 | 22.91 |
| 05/15/2018 | ROSENTHAL, LUCILLE | AM FUNDS INCOME FUND OF AMERICA A | 0.00 | 39.47 | 0.00 | 39.47 | 90.0 | 35.52 |
| 05/15/2018 | FUESSEL, NORMAN | AM FUNDS INCOME FUND OF AMERICA A | 0.00 | 18.46 | 0.00 | 18.46 | 90.0 | 16.61 |
| 05/15/2018 | FUESSEL NE & NA TR, NORMAN | AM FUNDS INCOME FUND OF AMERICA A | 0.00 | 17.92 | 0.00 | 17.92 | 90.0 | 16.13 |
| 05/15/2018 | BRUECKNER, KIMBERLY | AM FUNDS INCOME FUND OF AMERICA A | 0.00 | 10.63 | 0.00 | 10.63 | 90.0 | 9.57 |
| 05/15/2018 | KELLEY, DOLORES | AM FUNDS INCOME FUND OF AMERICA A | 0.00 | 5.08 | 0.00 | 5.08 | 90.0 | 4.57 |
| 05/15/2018 | SPECKELS, MELBA | AM FUNDS INCOME FUND OF AMERICA A | 0.00 | 2.02 | 0.00 | 2.02 | 90.0 | 1.82 |
| 05/15/2018 | FISCHER, HAROLD | AM FUNDS INCOME FUND OF AMERICA A | 0.00 | 1.61 | 0.00 | 1.61 | 90.0 | 1.45 |
| 05/15/2018 | HAMITER, DONNIE | AM FUNDS INCOME FUND OF AMERICA A | 0.00 | 6.58 | 0.00 | 6.58 | 90.0 | 5.92 |
| 05/15/2018 | MORRIS, JANINE | AM FUNDS INCOME FUND OF AMERICA A | 0.00 | 13.82 | 0.00 | 13.82 | 90.0 | 12.44 |
| 05/15/2018 | SCOTT, MONYUAN | AM FUNDS INCOME FUND OF AMERICA A | 0.00 | 28.18 | 0.00 | 28.18 | 90.0 | 25.36 |
| 05/15/2018 | KLEMT, RUTH | AM FUNDS INCOME FUND OF AMERICA A | 0.00 | 1.83 | 0.00 | 1.83 | 90.0 | 1.65 |
| 05/15/2018 | WILSON, MARY | AM FUNDS INCOME FUND OF AMERICA A | 0.00 | 5.10 | 0.00 | 5.10 | 90.0 | 4.59 |
| 05/15/2018 | GREER, GREGORY | AM FUNDS INCOME FUND OF AMERICA A | 0.00 | 1.59 | 0.00 | 1.59 | 90.0 | 1.43 |
| 05/15/2018 | GREER, GREGORY | AM FUNDS INCOME FUND OF AMERICA A | 0.00 | 1.85 | 0.00 | 1.85 | 90.0 | 1.67 |
| 05/15/2018 | EWING LIVING TRUST, JACK & | AM FUNDS INCOME FUND OF AMERICA A | 0.00 | 16.51 | 0.00 | 16.51 | 90.0 | 14.86 |
| 06/01/2018 | PRAESEL, ARTHUR | AM FUNDS INCOME FUND OF AMERICA A | 0.00 | 71.42 | 0.00 | 71.42 | 90.0 | 64.28 |
| 06/01/2018 | NAIZER, ROSANNE | AM FUNDS INTL GROWTH AND INCOME 529 | 0.00 | 1.00 | 0.00 | 1.00 | 90.0 | 0.90 |
| 06/01/2018 | NAIZER, JOHNNIE | AM FUNDS INTL GROWTH AND INCOME 529 | 0.00 | 1.31 | 0.00 | 1.31 | 90.0 | 1.18 |
| 05/15/2018 | NMN & NJN MGMT TRUST | AM FUNDS INTL GROWTH AND INCOME A | 0.00 | 0.66 | 0.00 | 0.66 | 90.0 | 0.59 |
| 05/15/2018 | DROMGOOLE, NONA | AM FUNDS INTL GROWTH AND INCOME A | 0.00 | 5.08 | 0.00 | 5.08 | 90.0 | 4.57 |
| 05/15/2018 | BRUECKNER, KIMBERLY | AM FUNDS NEW ECONOMY A | 0.00 | 15.96 | 0.00 | 15.96 | 90.0 | 14.36 |
| 05/15/2018 | WILSON, MARY | AM FUNDS NEW ECONOMY A | 0.00 | 13.12 | 0.00 | 13.12 | 90.0 | 11.81 |
| 06/01/2018 | ENOCHS, DONNA | AM FUNDS NEW ECONOMY A | 0.00 | 22.64 | 0.00 | 22.64 | 90.0 | 20.38 |
| 06/01/2018 | OHE, EUGENIA | AM FUNDS NEW ECONOMY A | 0.00 | 9.76 | 0.00 | 9.76 | 90.0 | 8.78 |
| 05/15/2018 | BRUECKNER, KIMBERLY | AM FUNDS NEW PERSPECTIVE A | 0.00 | 12.98 | 0.00 | 12.98 | 90.0 | 11.68 |

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|---|----------------------------|-------------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <u>DIRECT TRANSACTIONS</u> | | | | | | | | |
| <u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u> | | | | | | | | |
| 05/15/2018 | MORRIS, JANINE | AM FUNDS NEW PERSPECTIVE A | 0.00 | 21.98 | 0.00 | 21.98 | 90.0 | 19.78 |
| 05/15/2018 | SCOTT, MONYAN | AM FUNDS NEW PERSPECTIVE A | 0.00 | 38.93 | 0.00 | 38.93 | 90.0 | 35.04 |
| 06/01/2018 | PRAESEL, ARTHUR | AM FUNDS NEW PERSPECTIVE A | 0.00 | 239.25 | 0.00 | 239.25 | 90.0 | 215.33 |
| 06/01/2018 | OHE, EUGENIA | AM FUNDS NEW PERSPECTIVE A | 0.00 | 9.17 | 0.00 | 9.17 | 90.0 | 8.25 |
| 06/01/2018 | NAIZER, ROSANNE | AM FUNDS NEW WORLD 529A | 0.00 | 0.07 | 0.00 | 0.07 | 90.0 | 0.06 |
| 06/01/2018 | NAIZER, JOHNNIE | AM FUNDS NEW WORLD 529A | 0.00 | 0.14 | 0.00 | 0.14 | 90.0 | 0.13 |
| 05/15/2018 | NMN & NJN MGMT TRUST | AM FUNDS NEW WORLD A | 0.00 | 0.34 | 0.00 | 0.34 | 90.0 | 0.31 |
| 05/15/2018 | DROMGOOLE, NONA | AM FUNDS NEW WORLD A | 0.00 | 5.00 | 0.00 | 5.00 | 90.0 | 4.50 |
| 05/15/2018 | BRUECKNER, KIMBERLY | AM FUNDS SMALLCAP WORLD A | 0.00 | 11.50 | 0.00 | 11.50 | 90.0 | 10.35 |
| 05/15/2018 | NMN & NJN MGMT TRUST | AM FUNDS SMALLCAP WORLD A | 0.00 | 1.49 | 0.00 | 1.49 | 90.0 | 1.34 |
| 05/15/2018 | DROMGOOLE, NONA | AM FUNDS SMALLCAP WORLD A | 0.00 | 1.87 | 0.00 | 1.87 | 90.0 | 1.68 |
| 05/15/2018 | GREER, GREGORY | AM FUNDS SMALLCAP WORLD A | 0.00 | 1.71 | 0.00 | 1.71 | 90.0 | 1.54 |
| 05/15/2018 | GREER, GREGORY | AM FUNDS SMALLCAP WORLD A | 0.00 | 2.03 | 0.00 | 2.03 | 90.0 | 1.83 |
| 06/01/2018 | OHE, EUGENIA | AM FUNDS SMALLCAP WORLD A | 0.00 | 9.81 | 0.00 | 9.81 | 90.0 | 8.83 |
| 06/01/2018 | NAIZER, ROSANNE | AM FUNDS SMALLCAP WORLD-529A | 0.00 | 2.67 | 0.00 | 2.67 | 90.0 | 2.40 |
| 06/01/2018 | NAIZER, JOHNNIE | AM FUNDS SMALLCAP WORLD-529A | 0.00 | 1.70 | 0.00 | 1.70 | 90.0 | 1.53 |
| 05/15/2018 | FUESSEL, NORMAN | AM FUNDS WASHINGTON MUTUAL INVESTOR | 0.00 | 16.36 | 0.00 | 16.36 | 90.0 | 14.72 |
| 05/15/2018 | FUESSEL IRREV TR, NORMAN | AM FUNDS WASHINGTON MUTUAL INVESTOR | 0.00 | 8.77 | 0.00 | 8.77 | 90.0 | 7.89 |
| 05/15/2018 | FUESSEL NE & NA TR, NORMAN | AM FUNDS WASHINGTON MUTUAL INVESTOR | 0.00 | 69.78 | 0.00 | 69.78 | 90.0 | 62.80 |
| 05/15/2018 | BRUECKNER, KIMBERLY | AM FUNDS WASHINGTON MUTUAL INVESTOR | 0.00 | 12.93 | 0.00 | 12.93 | 90.0 | 11.64 |
| 05/15/2018 | KORNEGAY, ALISA | AM FUNDS WASHINGTON MUTUAL INVESTOR | 0.00 | 0.32 | 0.00 | 0.32 | 90.0 | 0.29 |
| 05/15/2018 | KELLEY, DOLORES | AM FUNDS WASHINGTON MUTUAL INVESTOR | 0.00 | 8.79 | 0.00 | 8.79 | 90.0 | 7.91 |
| 05/15/2018 | LAWHON, JACKIE | AM FUNDS WASHINGTON MUTUAL INVESTOR | 0.00 | 49.54 | 0.00 | 49.54 | 90.0 | 44.59 |
| 05/15/2018 | SPECKELS, WARREN | AM FUNDS WASHINGTON MUTUAL INVESTOR | 0.00 | 2.77 | 0.00 | 2.77 | 90.0 | 2.49 |
| 05/15/2018 | SPECKELS, MELBA | AM FUNDS WASHINGTON MUTUAL INVESTOR | 0.00 | 1.87 | 0.00 | 1.87 | 90.0 | 1.68 |
| 05/15/2018 | SPECKELS, MELBA | AM FUNDS WASHINGTON MUTUAL INVESTOR | 0.00 | 1.70 | 0.00 | 1.70 | 90.0 | 1.53 |
| 05/15/2018 | GILLIGAN, DOROTHY | AM FUNDS WASHINGTON MUTUAL INVESTOR | 0.00 | 7.93 | 0.00 | 7.93 | 90.0 | 7.14 |
| 05/15/2018 | STOLTE, VERNALINE | AM FUNDS WASHINGTON MUTUAL INVESTOR | 0.00 | 0.63 | 0.00 | 0.63 | 90.0 | 0.57 |
| 05/15/2018 | MORRIS, JANINE | AM FUNDS WASHINGTON MUTUAL INVESTOR | 0.00 | 20.93 | 0.00 | 20.93 | 90.0 | 18.84 |
| 05/15/2018 | SMITH, MICHAEL | AM FUNDS WASHINGTON MUTUAL INVESTOR | 0.00 | 1.53 | 0.00 | 1.53 | 90.0 | 1.38 |
| 05/15/2018 | BUROW, PAUL | AM FUNDS WASHINGTON MUTUAL INVESTOR | 0.00 | 1.50 | 0.00 | 1.50 | 90.0 | 1.35 |
| 05/15/2018 | DALJO LTD PT | AM FUNDS WASHINGTON MUTUAL INVESTOR | 0.00 | 33.05 | 0.00 | 33.05 | 90.0 | 29.75 |
| 05/15/2018 | HOHMAN, JEROME | AM FUNDS WASHINGTON MUTUAL INVESTOR | 0.00 | 5.97 | 0.00 | 5.97 | 90.0 | 5.37 |

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| <u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u> | | | | | | | | |
| 05/15/2018 | WILSON, MARY | AM FUNDS WASHINGTON MUTUAL INVESTOR | 0.00 | 14.48 | 0.00 | 14.48 | 90.0 | 13.03 |
| 05/15/2018 | WIESNER, BETTY | AM FUNDS WASHINGTON MUTUAL INVESTOR | 0.00 | 3.78 | 0.00 | 3.78 | 90.0 | 3.40 |
| 05/15/2018 | GREER, GREGORY | AM FUNDS WASHINGTON MUTUAL INVESTOR | 0.00 | 5.59 | 0.00 | 5.59 | 90.0 | 5.03 |
| 05/15/2018 | GREER, GREGORY | AM FUNDS WASHINGTON MUTUAL INVESTOR | 0.00 | 5.57 | 0.00 | 5.57 | 90.0 | 5.01 |
| 05/15/2018 | EWING LIVING TRUST, JACK & | AM FUNDS WASHINGTON MUTUAL INVESTOR | 0.00 | 25.56 | 0.00 | 25.56 | 90.0 | 23.00 |
| 05/15/2018 | URBAN, LONNIE | AM FUNDS WASHINGTON MUTUAL INVESTOR | 0.00 | 2.07 | 0.00 | 2.07 | 90.0 | 1.86 |
| 05/15/2018 | IVICIC, MARY | AM FUNDS WASHINGTON MUTUAL INVESTOR | 0.00 | 3.76 | 0.00 | 3.76 | 90.0 | 3.38 |
| 06/01/2018 | FISCHER, DOROTHY | AM FUNDS WASHINGTON MUTUAL INVESTOR | 0.00 | 16.91 | 0.00 | 16.91 | 90.0 | 15.22 |
| 06/01/2018 | HAMITER, DONNIE | AM FUNDS WASHINGTON MUTUAL INVESTOR | 0.00 | 16.02 | 0.00 | 16.02 | 90.0 | 14.42 |
| 06/01/2018 | LOGHRY, DORIS | AM FUNDS WASHINGTON MUTUAL INVESTOR | 0.00 | 14.02 | 0.00 | 14.02 | 90.0 | 12.62 |
| 06/01/2018 | JAMES, JERRI | AM FUNDS WASHINGTON MUTUAL INVESTOR | 0.00 | 5.89 | 0.00 | 5.89 | 90.0 | 5.30 |
| 06/01/2018 | ENOCHS, LELAND | AM FUNDS WASHINGTON MUTUAL INVESTOR | 0.00 | 52.89 | 0.00 | 52.89 | 90.0 | 47.60 |
| 06/01/2018 | JAMES, JERRI | AM FUNDS WASHINGTON MUTUAL INVESTOR | 0.00 | 6.01 | 0.00 | 6.01 | 90.0 | 5.41 |
| 06/01/2018 | OHE, EUGENIA | AM FUNDS WASHINGTON MUTUAL INVESTOR | 0.00 | 18.66 | 0.00 | 18.66 | 90.0 | 16.79 |
| 06/01/2018 | ENOCHS, DONNA | AM FUNDS WASHINGTON MUTUAL INVESTOR | 0.00 | 8.61 | 0.00 | 8.61 | 90.0 | 7.75 |
| 06/01/2018 | MEYER, KATHY | AM FUNDS WASHINGTON MUTUAL INVESTOR | 0.00 | 1.92 | 0.00 | 1.92 | 90.0 | 1.73 |
| 06/01/2018 | SPECKELS, WARREN | AM FUNDS WASHINGTON MUTUAL INVESTOR | 0.00 | 2.25 | 0.00 | 2.25 | 90.0 | 2.03 |
| 06/01/2018 | MICHNA, DENISE | AM FUNDS WASHINGTON MUTUAL INVESTOR | 0.00 | 5.99 | 0.00 | 5.99 | 90.0 | 5.39 |
| 06/01/2018 | KRIEGEL, ROBERT | AM FUNDS WASHINGTON MUTUAL INVESTOR | 0.00 | 1.48 | 0.00 | 1.48 | 90.0 | 1.33 |
| 06/01/2018 | LAWHON, STEVEN | AM FUNDS WASHINGTON MUTUAL INVESTOR | 0.00 | 39.50 | 0.00 | 39.50 | 90.0 | 35.55 |
| 06/01/2018 | GILLEY, BEVERLY | AM FUNDS WASHINGTON MUTUAL INVESTOR | 0.00 | 141.72 | 0.00 | 141.72 | 90.0 | 127.55 |
| 06/01/2018 | COLLINS, TYLER | AM FUNDS WASHINGTON MUTUAL INVESTOR | 0.00 | 0.72 | 0.00 | 0.72 | 90.0 | 0.65 |
| 06/01/2018 | BRUECKNER, MICHAEL | AM FUNDS WASHINGTON MUTUAL INVESTOR | 0.00 | 17.18 | 0.00 | 17.18 | 90.0 | 15.46 |
| 05/16/2018 | EWING JR, JACK | BLK GLOBAL ALLOCATION C | 0.00 | 16.21 | 0.00 | 16.21 | 90.0 | 14.59 |
| 05/16/2018 | EWING LIVING TRUST, JACK & | BLK GLOBAL ALLOCATION C | 0.00 | 58.11 | 0.00 | 58.11 | 90.0 | 52.30 |
| 05/17/2018 | SMITH, JUDY | CALAMOS GROWTH C | 0.00 | 38.65 | 0.00 | 38.65 | 90.0 | 34.79 |
| 05/11/2018 | PEMBERTON, PATRICIA | CLEARBRIDGE SMALL CAP GROWTH FUND C | 0.00 | 4.45 | 0.00 | 4.45 | 90.0 | 4.01 |
| 05/14/2018 | WIESNER, BETTY | COLUMBIA ACORN A | 0.00 | 1.46 | 0.00 | 1.46 | 90.0 | 1.31 |
| 05/14/2018 | MCELROY, BENNETT | COLUMBIA MARSICO FOCUSED EQUITIES F | 0.00 | 9.78 | 0.00 | 9.78 | 90.0 | 8.80 |
| 05/21/2018 | CHEATHAM, JIMMY | FEDERATED EQUITY INCOME A | 0.00 | 5.52 | 0.00 | 5.52 | 90.0 | 4.97 |
| 05/21/2018 | CHEATHAM, JIMMY | FEDERATED KAUFMANN FUND A | 0.00 | 2.96 | 0.00 | 2.96 | 90.0 | 2.66 |
| 05/21/2018 | CHEATHAM, JIMMY | FEDERATED MDT LARGE CAP VALUE FUND | 0.00 | 1.95 | 0.00 | 1.95 | 90.0 | 1.76 |
| 05/21/2018 | CHEATHAM, JIMMY | FEDERATED MDT MID CAP GROWTH STRATE | 0.00 | 3.54 | 0.00 | 3.54 | 90.0 | 3.19 |

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| <u>DIRECT TRANSACTIONS</u> | | | | | | | | |
| <u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u> | | | | | | | | |
| 05/18/2018 | ESCHBERGER TRUST, JACK & AGNES | FIDELITY ADV NEW INSIGHTS-CL A | 0.00 | 0.71 | 0.00 | 0.71 | 90.0 | 0.64 |
| 05/18/2018 | NMN & NUN MGMT TRUST | FIDELITY ADV NEW INSIGHTS-CL A | 0.00 | 1.65 | 0.00 | 1.65 | 90.0 | 1.49 |
| 05/18/2018 | NAIZER TRUST, NOLAN | FIDELITY ADV NEW INSIGHTS-CL A | 0.00 | 0.38 | 0.00 | 0.38 | 90.0 | 0.34 |
| 05/18/2018 | NAIZER TRUST, NOEL | FIDELITY ADV NEW INSIGHTS-CL A | 0.00 | 0.24 | 0.00 | 0.24 | 90.0 | 0.22 |
| 05/18/2018 | WIESNER, BETTY | FIDELITY ADV NEW INSIGHTS-CL A | 0.00 | 3.87 | 0.00 | 3.87 | 90.0 | 3.48 |
| 05/18/2018 | MCELROY, BENNETT | FIDELITY ADV STRATEGIC INCOME A | 0.00 | 4.02 | 0.00 | 4.02 | 90.0 | 3.62 |
| 05/17/2018 | COOPER, ADAM | FRANKLIN MUTUAL GLOBAL DISCOVERY A | 0.00 | 3.89 | 0.00 | 3.89 | 90.0 | 3.50 |
| 05/17/2018 | COOPER, ADAM | FRANKLIN MUTUAL GLOBAL DISCOVERY A | 0.00 | 5.65 | 0.00 | 5.65 | 90.0 | 5.09 |
| 05/17/2018 | COOPER, ADAM | FRANKLIN MUTUAL QUEST A | 0.00 | 5.08 | 0.00 | 5.08 | 90.0 | 4.57 |
| 05/17/2018 | COOPER, ADAM | FRANKLIN RISING DIVIDENDS A | 0.00 | 5.44 | 0.00 | 5.44 | 90.0 | 4.90 |
| 05/22/2018 | ENOCHS, LELAND | GOLDMAN SACHS CAPITAL GROWTH FUND C | 0.00 | 10.60 | 0.00 | 10.60 | 90.0 | 9.54 |
| 05/22/2018 | ENOCHS, LELAND | GOLDMAN SACHS FOCUSED INTL EQUITY F | 0.00 | 2.93 | 0.00 | 2.93 | 90.0 | 2.64 |
| 05/22/2018 | HAMITER, DONNIE | GOLDMAN SACHS SMALL CAP VALUE FUND- | 0.00 | 0.66 | 0.00 | 0.66 | 90.0 | 0.59 |
| 05/22/2018 | STOLTE, VERNALINE | GOLDMAN SACHS U.S. EQUITY INSIGHTS | 0.00 | 0.33 | 0.00 | 0.33 | 90.0 | 0.30 |
| 05/22/2018 | BURKHART, KRISTI | GOLDMAN SACHS U.S. EQUITY INSIGHTS | 0.00 | 1.76 | 0.00 | 1.76 | 90.0 | 1.58 |
| 05/17/2018 | FUESSEL IRREV TR, NORMAN | GRIFFIN INSTITUTIONAL ACCESS REAL E | 0.00 | 14.01 | 0.00 | 14.01 | 90.0 | 12.61 |
| 05/17/2018 | MCRIGHT, WILLIAM | GRIFFIN INSTITUTIONAL ACCESS REAL E | 0.00 | 1.53 | 0.00 | 1.53 | 90.0 | 1.38 |
| 05/17/2018 | MCRIGHT, BETTY | GRIFFIN INSTITUTIONAL ACCESS REAL E | 0.00 | 0.57 | 0.00 | 0.57 | 90.0 | 0.51 |
| 05/17/2018 | BELL, EDDY | GRIFFIN INSTITUTIONAL ACCESS REAL E | 0.00 | 3.05 | 0.00 | 3.05 | 90.0 | 2.75 |
| 05/17/2018 | BELL, EDDY | GRIFFIN INSTITUTIONAL ACCESS REAL E | 0.00 | 3.09 | 0.00 | 3.09 | 90.0 | 2.78 |
| 05/17/2018 | BELL, PATTI | GRIFFIN INSTITUTIONAL ACCESS REAL E | 0.00 | 1.40 | 0.00 | 1.40 | 90.0 | 1.26 |
| 05/17/2018 | STAGNER TRUST, JAMES | GRIFFIN INSTITUTIONAL ACCESS REAL E | 0.00 | 6.72 | 0.00 | 6.72 | 90.0 | 6.05 |
| 05/17/2018 | PAULSEN, ROGER | GRIFFIN INSTITUTIONAL ACCESS REAL E | 0.00 | 7.29 | 0.00 | 7.29 | 90.0 | 6.56 |
| 05/17/2018 | BAGGETT, PETE | GRIFFIN INSTITUTIONAL ACCESS REAL E | 0.00 | 7.29 | 0.00 | 7.29 | 90.0 | 6.56 |
| 05/17/2018 | BAGGETT, JARROD | GRIFFIN INSTITUTIONAL ACCESS REAL E | 0.00 | 3.14 | 0.00 | 3.14 | 90.0 | 2.83 |
| 05/17/2018 | LUERSEN, JENNIFER | GRIFFIN INSTITUTIONAL ACCESS REAL E | 0.00 | 10.45 | 0.00 | 10.45 | 90.0 | 9.41 |
| 05/17/2018 | CHEATHAM, JIMMY | HARTFORD BALANCED A | 0.00 | 0.93 | 0.00 | 0.93 | 90.0 | 0.84 |
| 05/17/2018 | FLEMING, EVELYN | HARTFORD BALANCED A | 0.00 | 1.56 | 0.00 | 1.56 | 90.0 | 1.40 |
| 05/17/2018 | RAESZ TTEE, BARBARA | HARTFORD BALANCED ALLOCATION A | 0.00 | 4.08 | 0.00 | 4.08 | 90.0 | 3.67 |
| 05/17/2018 | RAESZ TTEE, BARBARA | HARTFORD BALANCED ALLOCATION A | 0.00 | 2.13 | 0.00 | 2.13 | 90.0 | 1.92 |
| 05/17/2018 | TAISLER, JESSE | HARTFORD CAPITAL APP II A | 0.00 | 1.75 | 0.00 | 1.75 | 90.0 | 1.58 |
| 05/17/2018 | MASON, ELEANOR | HARTFORD CAPITAL APP II A | 0.00 | 1.19 | 0.00 | 1.19 | 90.0 | 1.07 |
| 05/17/2018 | SCOTT, MONYAN | HARTFORD CAPITAL APP II A | 0.00 | 16.54 | 0.00 | 16.54 | 90.0 | 14.89 |

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|---|----------------------------------|-------------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <u>DIRECT TRANSACTIONS</u> | | | | | | | | |
| <u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u> | | | | | | | | |
| / / | MICHNA JT TEN WROS, JIMMY | HARTFORD CAPITAL APPRECIATION A | 0.00 | 3.23 | 0.00 | 3.23 | 90.0 | 2.91 |
| 05/17/2018 | CHEATHAM, JIMMY | HARTFORD CAPITAL APPRECIATION A | 0.00 | 10.27 | 0.00 | 10.27 | 90.0 | 9.24 |
| 05/17/2018 | ROSENTHAL, LUCILLE | HARTFORD CAPITAL APPRECIATION A | 0.00 | 12.04 | 0.00 | 12.04 | 90.0 | 10.84 |
| 05/17/2018 | BRUECKNER, KIMBERLY | HARTFORD CAPITAL APPRECIATION A | 0.00 | 13.67 | 0.00 | 13.67 | 90.0 | 12.30 |
| 05/17/2018 | HAMANN, LARRY | HARTFORD CAPITAL APPRECIATION A | 0.00 | 10.02 | 0.00 | 10.02 | 90.0 | 9.02 |
| 05/17/2018 | TAISLER, JESSE | HARTFORD CAPITAL APPRECIATION A | 0.00 | 1.32 | 0.00 | 1.32 | 90.0 | 1.19 |
| 05/17/2018 | FLEMING, EVELYN | HARTFORD CAPITAL APPRECIATION A | 0.00 | 6.13 | 0.00 | 6.13 | 90.0 | 5.52 |
| 05/17/2018 | MOORE, TERRY | HARTFORD CAPITAL APPRECIATION C | 0.00 | 25.71 | 0.00 | 25.71 | 90.0 | 23.14 |
| 05/17/2018 | CHEATHAM, JIMMY | HARTFORD DIVIDEND & GROWTH A | 0.00 | 4.96 | 0.00 | 4.96 | 90.0 | 4.46 |
| 05/17/2018 | BRUECKNER, KIMBERLY | HARTFORD DIVIDEND & GROWTH A | 0.00 | 5.71 | 0.00 | 5.71 | 90.0 | 5.14 |
| 05/17/2018 | HAMANN, LARRY | HARTFORD DIVIDEND & GROWTH A | 0.00 | 4.33 | 0.00 | 4.33 | 90.0 | 3.90 |
| 05/17/2018 | TAISLER, JESSE | HARTFORD DIVIDEND & GROWTH A | 0.00 | 1.98 | 0.00 | 1.98 | 90.0 | 1.78 |
| 05/17/2018 | FLEMING, EVELYN | HARTFORD DIVIDEND & GROWTH A | 0.00 | 5.28 | 0.00 | 5.28 | 90.0 | 4.75 |
| / / | EWING, JOHN | HARTFORD GROWTH ALLOCATION A | 0.00 | 0.64 | 0.00 | 0.64 | 90.0 | 0.58 |
| / / | SMITH, MARLO | HARTFORD GROWTH ALLOCATION A | 0.00 | 1.51 | 0.00 | 1.51 | 90.0 | 1.36 |
| 05/17/2018 | RAESZ TTEE, BARBARA | HARTFORD GROWTH ALLOCATION A | 0.00 | 4.03 | 0.00 | 4.03 | 90.0 | 3.63 |
| 05/17/2018 | RAESZ TTEE, BARBARA | HARTFORD GROWTH ALLOCATION A | 0.00 | 2.23 | 0.00 | 2.23 | 90.0 | 2.01 |
| 05/17/2018 | EWING, JOHN | HARTFORD GROWTH ALLOCATION A | 0.00 | 0.89 | 0.00 | 0.89 | 90.0 | 0.80 |
| 05/17/2018 | ROSENTHAL, LUCILLE | HARTFORD GROWTH OPP A | 0.00 | 12.06 | 0.00 | 12.06 | 90.0 | 10.85 |
| 05/17/2018 | SCOTT, MONYAN | HARTFORD GROWTH OPP A | 0.00 | 21.00 | 0.00 | 21.00 | 90.0 | 18.90 |
| 05/17/2018 | ROSENTHAL, LUCILLE | HARTFORD INT'L GROWTH A | 0.00 | 7.67 | 0.00 | 7.67 | 90.0 | 6.90 |
| / / | MICHNA JT TEN WROS, JIMMY | HARTFORD MIDCAP A | 0.00 | 0.51 | 0.00 | 0.51 | 90.0 | 0.46 |
| 05/17/2018 | CHEATHAM, JIMMY | HARTFORD MIDCAP A | 0.00 | 7.78 | 0.00 | 7.78 | 90.0 | 7.00 |
| 05/17/2018 | FLEMING, EVELYN | HARTFORD MIDCAP A | 0.00 | 5.77 | 0.00 | 5.77 | 90.0 | 5.19 |
| 05/17/2018 | ROSENTHAL, LUCILLE | HARTFORD MIDCAP VALUE A | 0.00 | 13.03 | 0.00 | 13.03 | 90.0 | 11.73 |
| 05/17/2018 | MASON, ELEANOR | HARTFORD MIDCAP VALUE A | 0.00 | 0.79 | 0.00 | 0.79 | 90.0 | 0.71 |
| 05/17/2018 | BRUECKNER, KIMBERLY | HARTFORD SMALL-COMPANY FUND CLASS A | 0.00 | 6.15 | 0.00 | 6.15 | 90.0 | 5.54 |
| 05/17/2018 | TAISLER, JESSE | HARTFORD VALUE OPPORTUNITY FUND CLA | 0.00 | 1.95 | 0.00 | 1.95 | 90.0 | 1.76 |
| 05/17/2018 | MASON, ELEANOR | HARTFUND EQUITY INCIME FUND A | 0.00 | 0.68 | 0.00 | 0.68 | 90.0 | 0.61 |
| 05/11/2018 | ESCHBERGER TRUST, JACK & AGNESJH | DISCIPLINED VALUE A | 0.00 | 1.30 | 0.00 | 1.30 | 90.0 | 1.17 |
| 05/11/2018 | ROSENTHAL, LUCILLE | JH DISCIPLINED VALUE A | 0.00 | 0.66 | 0.00 | 0.66 | 90.0 | 0.59 |
| 05/11/2018 | SCARBOROUGH, ROBERT | JH DISCIPLINED VALUE A | 0.00 | 1.03 | 0.00 | 1.03 | 90.0 | 0.93 |
| 05/11/2018 | NMN & NUN MGMT TRUST | JH DISCIPLINED VALUE A | 0.00 | 3.17 | 0.00 | 3.17 | 90.0 | 2.85 |

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|--|----------------------------|-------------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <u>DIRECT TRANSACTIONS</u> | | | | | | | | |
| PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS | | | | | | | | |
| 05/11/2018 | NAIZER TRUST, NOLAN | JH DISCIPLINED VALUE A | 0.00 | 0.60 | 0.00 | 0.60 | 90.0 | 0.54 |
| 05/11/2018 | NAIZER TRUST, NOEL | JH DISCIPLINED VALUE A | 0.00 | 0.43 | 0.00 | 0.43 | 90.0 | 0.39 |
| 05/11/2018 | OLSON, DALE | JH DISCIPLINED VALUE A | 0.00 | 2.54 | 0.00 | 2.54 | 90.0 | 2.29 |
| 05/11/2018 | MCELROY, BENNETT | JH STRATEGIC INCOME A | 0.00 | 3.99 | 0.00 | 3.99 | 90.0 | 3.59 |
| 05/11/2018 | SCARBOROUGH, ROBERT | JOHN HANCOCK GLOBAL ABSOLUTE RETURN | 0.00 | 0.70 | 0.00 | 0.70 | 90.0 | 0.63 |
| 05/11/2018 | NMN & NUN MGMT TRUST | JOHN HANCOCK GLOBAL ABSOLUTE RETURN | 0.00 | 1.71 | 0.00 | 1.71 | 90.0 | 1.54 |
| 05/11/2018 | NAIZER TRUST, NOLAN | JOHN HANCOCK GLOBAL ABSOLUTE RETURN | 0.00 | 0.09 | 0.00 | 0.09 | 90.0 | 0.08 |
| 05/11/2018 | NAIZER TRUST, NOEL | JOHN HANCOCK GLOBAL ABSOLUTE RETURN | 0.00 | 0.18 | 0.00 | 0.18 | 90.0 | 0.16 |
| 05/11/2018 | OLSON, DALE | JOHN HANCOCK GLOBAL ABSOLUTE RETURN | 0.00 | 0.53 | 0.00 | 0.53 | 90.0 | 0.48 |
| 05/11/2018 | MASON, JOHN | JOHN HANCOCK GLOBAL ABSOLUTE RETURN | 0.00 | 5.87 | 0.00 | 5.87 | 90.0 | 5.28 |
| 05/18/2018 | CHEATHAM, JIMMY | LORD ABBETT AFFILIATED A | 0.00 | 1.86 | 0.00 | 1.86 | 90.0 | 1.67 |
| 05/18/2018 | SPECKELS, MELBA | LORD ABBETT AFFILIATED A | 0.00 | 0.80 | 0.00 | 0.80 | 90.0 | 0.72 |
| 05/18/2018 | CHEATHAM, JIMMY | LORD ABBETT ALPHA STRATEGY A | 0.00 | 4.14 | 0.00 | 4.14 | 90.0 | 3.73 |
| 05/18/2018 | FUESSEL NE & NA TR, NORMAN | LORD ABBETT BOND DEBENTURE A | 0.00 | 6.10 | 0.00 | 6.10 | 90.0 | 5.49 |
| 05/18/2018 | CHEATHAM, JIMMY | LORD ABBETT CALIBRATED DIVIDEND GRO | 0.00 | 2.31 | 0.00 | 2.31 | 90.0 | 2.08 |
| 05/18/2018 | FUESSEL IRREV TR, NORMAN | LORD ABBETT CALIBRATED DIVIDEND GRO | 0.00 | 12.27 | 0.00 | 12.27 | 90.0 | 11.04 |
| 05/18/2018 | BRUECKNER, KIMBERLY | LORD ABBETT CALIBRATED DIVIDEND GRO | 0.00 | 8.14 | 0.00 | 8.14 | 90.0 | 7.33 |
| 05/18/2018 | SPECKELS, MELBA | LORD ABBETT CALIBRATED DIVIDEND GRO | 0.00 | 0.98 | 0.00 | 0.98 | 90.0 | 0.88 |
| 05/18/2018 | CHEATHAM, JIMMY | LORD ABBETT DEVELOPING GROWTH A | 0.00 | 4.48 | 0.00 | 4.48 | 90.0 | 4.03 |
| 05/18/2018 | FUESSEL IRREV TR, NORMAN | LORD ABBETT DEVELOPING GROWTH A | 0.00 | 16.32 | 0.00 | 16.32 | 90.0 | 14.69 |
| 05/18/2018 | BRUECKNER, KIMBERLY | LORD ABBETT FUNDAMENTAL EQUITY A | 0.00 | 10.53 | 0.00 | 10.53 | 90.0 | 9.48 |
| 05/18/2018 | SPECKELS, MELBA | LORD ABBETT FUNDAMENTAL EQUITY A | 0.00 | 0.79 | 0.00 | 0.79 | 90.0 | 0.71 |
| 05/18/2018 | SPECKELS, MELBA | LORD ABBETT GROWTH OPPORTUNITIES FU | 0.00 | 0.63 | 0.00 | 0.63 | 90.0 | 0.57 |
| 05/18/2018 | STAGNER TRUST, JAMES | LORD ABBETT INVT TR FLTG RATE A | 0.00 | 6.71 | 0.00 | 6.71 | 90.0 | 6.04 |
| 05/18/2018 | CHEATHAM, JIMMY | LORD ABBETT MID CAP STOCK A | 0.00 | 7.22 | 0.00 | 7.22 | 90.0 | 6.50 |
| 05/18/2018 | FUESSEL IRREV TR, NORMAN | LORD ABBETT MID CAP STOCK A | 0.00 | 16.97 | 0.00 | 16.97 | 90.0 | 15.27 |
| 05/18/2018 | BRUECKNER, KIMBERLY | LORD ABBETT MID CAP STOCK A | 0.00 | 10.21 | 0.00 | 10.21 | 90.0 | 9.19 |
| 05/15/2018 | ROSENTHAL, LUCILLE | LTD TERM TAX-EX BOND FUND OF AMERIC | 0.00 | 4.68 | 0.00 | 4.68 | 90.0 | 4.21 |
| 05/11/2018 | PEARSON, GRANT | MFS LIFETIME RETIREMENT INCOME FUND | 0.00 | 42.66 | 0.00 | 42.66 | 90.0 | 38.39 |
| 05/11/2018 | MCELROY, BENNETT | MFS VALUE A | 0.00 | 9.40 | 0.00 | 9.40 | 90.0 | 8.46 |
| 05/21/2018 | MASON, JOHN | NEUBERGER BERMAN LONG SHORT FUND CL | 0.00 | 5.19 | 0.00 | 5.19 | 90.0 | 4.67 |
| 05/17/2018 | WIESNER, BETTY | OPPENHEIMER GLOBAL STRATEGIC INC A | 0.00 | 1.57 | 0.00 | 1.57 | 90.0 | 1.41 |
| 05/15/2018 | FUESSEL IRREV TR, NORMAN | PUTNAM ASSET ALLOC GROWTH A | 0.00 | 17.50 | 0.00 | 17.50 | 90.0 | 15.75 |

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|--|--------------------------|-------------------------------------|-----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <u>DIRECT TRANSACTIONS</u> | | | | | | | | |
| <u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u> | | | | | | | | |
| 05/16/2018 | FUESSEL IRREV TR, NORMAN | RESOURCE R E DIVERSIFIED INC FUND A | 0.00 | 13.57 | 0.00 | 13.57 | 90.0 | 12.21 |
| 05/16/2018 | BELL, EDDY | RESOURCE R E DIVERSIFIED INC FUND A | 0.00 | 10.57 | 0.00 | 10.57 | 90.0 | 9.51 |
| 05/16/2018 | STAGNER TRUST, JAMES | RESOURCE R E DIVERSIFIED INC FUND A | 0.00 | 6.44 | 0.00 | 6.44 | 90.0 | 5.80 |
| 05/16/2018 | LUERSEN, JENNIFER | RESOURCE R E DIVERSIFIED INC FUND A | 0.00 | 9.21 | 0.00 | 9.21 | 90.0 | 8.29 |
| 05/18/2018 | KURTH, KARIANNE | TRANSAMERICA AA GROWTH C | 0.00 | 39.41 | 0.00 | 39.41 | 90.0 | 35.47 |
| 05/18/2018 | KURTH, DEREK | TRANSAMERICA AA GROWTH C | 0.00 | 47.19 | 0.00 | 47.19 | 90.0 | 42.47 |
| 05/18/2018 | KURTH, DEREK | TRANSAMERICA AA GROWTH C | 0.00 | 28.97 | 0.00 | 28.97 | 90.0 | 26.07 |
| 05/18/2018 | KURTH, DEREK | TRANSAMERICA AA GROWTH C | 0.00 | 2.00 | 0.00 | 2.00 | 90.0 | 1.80 |
| 05/18/2018 | KURTH, DEREK | TRANSAMERICA AA GROWTH C | 0.00 | 2.00 | 0.00 | 2.00 | 90.0 | 1.80 |
| 05/18/2018 | HERNANDEZ-GAGE, VIRGINIA | TRANSAMERICA AA MOD GROWTH C | 0.00 | 4.29 | 0.00 | 4.29 | 90.0 | 3.86 |
| 05/18/2018 | KURTH, DEREK | TRANSAMERICA AA MOD GROWTH C | 0.00 | 6.48 | 0.00 | 6.48 | 90.0 | 5.83 |
| * MUTUAL FUND 12B1 TRAILS SUBTOTAL * | | | \$0.00 | \$4,458.04 | \$0.00 | \$4,458.04 | | \$4,012.42 |
| <u>PRODUCT CATEGORY: VARIABLE ANNUITY 12B1 TRAILS</u> | | | | | | | | |
| 05/23/2018 | MCRIGHT, BETTY | PAC LIFE VALUE | 0.00 | 21.30 | 0.00 | 21.30 | 90.0 | 19.17 |
| * VARIABLE ANNUITY 12B1 TRAILS SUBTOTAL * | | | \$0.00 | \$21.30 | \$0.00 | \$21.30 | | \$19.17 |
| *** DIRECT TRANSACTIONS TOTAL *** | | | \$3,546,155.33 | \$6,263.91 | \$0.00 | \$6,263.91 | | \$5,637.73 |

ADJUSTMENTS

| | | | |
|------------|-------------------------------------|------|---------|
| 06/15/2018 | *AI INSIGHT: CURRENT MONTH | 0.00 | -7.00 |
| 06/15/2018 | *ALBRIDGE: LIGHT USER | 0.00 | -76.00 |
| 06/15/2018 | *DOCUSIGN: CURRENT MONTH | 0.00 | -18.00 |
| 06/15/2018 | *EO INS: CURRENT MONTH INS | 0.00 | -300.00 |
| 06/15/2018 | *GLOBAL RELAY: FACEBOOK | 0.00 | -5.00 |
| 06/15/2018 | *GLOBAL RELAY: WEBSITE | 0.00 | -15.00 |
| 06/15/2018 | *LASER APP: CURRENT MONTH | 0.00 | -18.00 |
| 06/15/2018 | *PERSHING: BASIS TRACKING 234 ACCTS | 0.00 | -234.00 |
| 06/15/2018 | *PERSHING: MANDITORY REORG | 0.00 | -10.00 |
| | PNW113330 CUSIP 74347R701 | | |
| 06/15/2018 | *PERSHING: MANDITORY REORG | 0.00 | -10.00 |
| | PNW113405 CUSIP 74347R701 | | |
| 06/15/2018 | *PERSHING: MANDITORY REORG | 0.00 | -10.00 |

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|------|--------|------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
|------|--------|------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|

ADJUSTMENTS

| | | | | | | | | |
|------------|--|----------------------------------|--------|--------|--------|--------|--|-----------|
| 06/15/2018 | | PNW113413 CUSIP 74347R701 | | | | | | |
| | | *TECHNOLOGY: CURRENT MONTH BASIC | 0.00 | | | | | -180.00 |
| | | *** ADJUSTMENTS TOTAL *** | \$0.00 | \$0.00 | \$0.00 | \$0.00 | | \$-883.00 |

BROKER COMMISSION TOTALS

| | |
|-----------------------|------------|
| Broker Transactions | \$5,571.47 |
| Split Transactions | \$0.00 |
| Override Transactions | \$0.00 |
| Adjustments | \$-883.00 |
| Payroll Draw | \$0.00 |
| Base Salary | \$0.00 |
| Prior Period Balance | \$0.00 |
| FINRA Assessment | \$0.00 |
| SIPC Assessment | \$0.00 |

| | |
|-----------------------|--------------|
| Check Amount | \$4,688.47 |
| Year-to-date Gross | \$169,766.98 |
| Year-to-date Earnings | \$151,994.92 |

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