



Concorde Investment Services, LLC

09/28/2017

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# COMMISSION STATEMENT

September 30, 2017

THOMAS HALSEY  
7261 W. Central Ave.

BROKER #: H121  
BRANCH: INTEGRATED FINANCIAL

Toledo, OH 43617

| DATE   | CLIENT              | INVESTMENT                          | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|--|---------------------|-------------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b><u>BROKER TRANSACTIONS</u></b>            |                     |                                     |                      |                     |                    |                   |      |                      |
| <b><u>PRODUCT CATEGORY: MUTUAL FUNDS</u></b> |                     |                                     |                      |                     |                    |                   |      |                      |
| 09/01/2017                                   | ABBE JR, GARY       | AM FUNDS AMCAP A                    | 0.00                 | 1.75                | 0.00               | 1.75              | 85.0 | 1.49                 |
| 09/01/2017                                   | PAPIO, AARON        | AM FUNDS AMCAP A                    | 0.00                 | 0.59                | 0.00               | 0.59              | 85.0 | 0.50                 |
| 09/01/2017                                   | PRZBYLSKI, MICHAEL  | AM FUNDS AMERICAN BALANCED A        | 0.00                 | 5.69                | 0.00               | 5.69              | 85.0 | 4.84                 |
| 09/01/2017                                   | NOWAK, COLETTE      | AM FUNDS AMERICAN BALANCED A        | 0.00                 | 0.85                | 0.00               | 0.85              | 85.0 | 0.72                 |
| 09/01/2017                                   | PRZYBYLSKI, JOSHUA  | AM FUNDS AMERICAN BALANCED A        | 0.00                 | 3.65                | 0.00               | 3.65              | 85.0 | 3.10                 |
| 09/01/2017                                   | FOSTER, JOHN        | AM FUNDS AMERICAN BALANCED A        | 0.00                 | 0.47                | 0.00               | 0.47              | 85.0 | 0.40                 |
| 09/01/2017                                   | WRAY, KIM           | AM FUNDS AMERICAN BALANCED A        | 0.00                 | 10.69               | 0.00               | 10.69             | 85.0 | 9.09                 |
| 09/01/2017                                   | PAPIO, JOE          | AM FUNDS AMERICAN BALANCED A        | 0.00                 | 0.63                | 0.00               | 0.63              | 85.0 | 0.54                 |
| 09/01/2017                                   | DENHAM, CONSTANCE   | AM FUNDS AMERICAN BALANCED A        | 0.00                 | 1.27                | 0.00               | 1.27              | 85.0 | 1.08                 |
| 09/01/2017                                   | ZORNOW TRUST, BETTY | AM FUNDS AMERICAN BALANCED A        | 0.00                 | 9.61                | 0.00               | 9.61              | 85.0 | 8.17                 |
| 09/01/2017                                   | FRANTZ, JUDITH      | AM FUNDS AMERICAN BALANCED A        | 0.00                 | 0.35                | 0.00               | 0.35              | 85.0 | 0.30                 |
| 09/01/2017                                   | MEREDITH, TERESE    | AM FUNDS AMERICAN BALANCED A        | 0.00                 | 2.31                | 0.00               | 2.31              | 85.0 | 1.96                 |
| 09/01/2017                                   | RIEBE, MICHAEL      | AM FUNDS AMERICAN BALANCED A        | 0.00                 | 4.44                | 0.00               | 4.44              | 85.0 | 3.77                 |
| 09/01/2017                                   | KRAMER, DELANEY     | AM FUNDS AMERICAN BALANCED A        | 0.00                 | 0.22                | 0.00               | 0.22              | 85.0 | 0.19                 |
| 09/01/2017                                   | KRAMER, KARYS       | AM FUNDS AMERICAN BALANCED A        | 0.00                 | 0.26                | 0.00               | 0.26              | 85.0 | 0.22                 |
| 09/01/2017                                   | SAPP, ANGELAMARIE   | AM FUNDS AMERICAN BALANCED A        | 0.00                 | 0.68                | 0.00               | 0.68              | 85.0 | 0.58                 |
| 09/01/2017                                   | ALDRICH, SUSAN      | AM FUNDS AMERICAN BALANCED A        | 0.00                 | 0.22                | 0.00               | 0.22              | 85.0 | 0.19                 |
| 09/01/2017                                   | LEININGER, KENNETH  | AM FUNDS AMERICAN BALANCED A        | 0.00                 | 3.04                | 0.00               | 3.04              | 85.0 | 2.58                 |
| 09/01/2017                                   | PERRY, CAROL        | AM FUNDS AMERICAN BALANCED A        | 0.00                 | 7.06                | 0.00               | 7.06              | 85.0 | 6.00                 |
| 09/01/2017                                   | DIENER, RONALD      | AM FUNDS AMERICAN HIGH-INC MUNI BON | 0.00                 | 9.41                | 0.00               | 9.41              | 85.0 | 8.00                 |
| 09/01/2017                                   | RIEBE, MICHAEL      | AM FUNDS AMERICAN HIGH-INC MUNI BON | 0.00                 | 1.04                | 0.00               | 1.04              | 85.0 | 0.88                 |
| 09/01/2017                                   | WRAY, KIM           | AM FUNDS AMERICAN HIGH-INC MUNI BON | 0.00                 | 1.29                | 0.00               | 1.29              | 85.0 | 1.10                 |
| 09/01/2017                                   | FRANTZ, JUDITH      | AM FUNDS AMERICAN HIGH-INC MUNI BON | 0.00                 | 0.41                | 0.00               | 0.41              | 85.0 | 0.35                 |
| 09/01/2017                                   | RICHARDS, STEPHEN   | AM FUNDS AMERICAN HIGH-INC MUNI BON | 0.00                 | 1.86                | 0.00               | 1.86              | 85.0 | 1.58                 |
| 09/01/2017                                   | DESELMS, RAYMOND    | AM FUNDS AMERICAN HIGH-INC MUNI BON | 0.00                 | 0.20                | 0.00               | 0.20              | 85.0 | 0.17                 |
| 09/01/2017                                   | HALSEY, WILLIAM     | AM FUNDS AMERICAN HIGH-INC MUNI BON | 0.00                 | 0.17                | 0.00               | 0.17              | 85.0 | 0.14                 |

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

| DATE   | CLIENT               | INVESTMENT                          | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|--|----------------------|-------------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b><u>BROKER TRANSACTIONS</u></b>            |                      |                                     |                      |                     |                    |                   |      |                      |
| <b><u>PRODUCT CATEGORY: MUTUAL FUNDS</u></b> |                      |                                     |                      |                     |                    |                   |      |                      |
| 09/01/2017                                   | HARRISON, JERRY      | AM FUNDS AMERICAN HIGH-INC MUNI BON | 0.00                 | 2.18                | 0.00               | 2.18              | 85.0 | 1.85                 |
| 09/01/2017                                   | PERRY, CAROL         | AM FUNDS AMERICAN HIGH-INC MUNI BON | 0.00                 | 6.07                | 0.00               | 6.07              | 85.0 | 5.16                 |
| 09/01/2017                                   | VESEY, CAROL         | AM FUNDS AMERICAN HIGH-INC MUNI BON | 0.00                 | 0.35                | 0.00               | 0.35              | 85.0 | 0.30                 |
| 09/01/2017                                   | DIENER, RONALD       | AM FUNDS AMERICAN HIGH-INCOME TRUST | 0.00                 | 19.61               | 0.00               | 19.61             | 85.0 | 16.67                |
| 09/01/2017                                   | DESELMS, ROBERT      | AM FUNDS AMERICAN HIGH-INCOME TRUST | 0.00                 | 1.67                | 0.00               | 1.67              | 85.0 | 1.42                 |
| 09/01/2017                                   | DESELMS, ELEVLYN     | AM FUNDS AMERICAN HIGH-INCOME TRUST | 0.00                 | 6.90                | 0.00               | 6.90              | 85.0 | 5.87                 |
| 09/01/2017                                   | PRZBYLSKI, MICHAEL   | AM FUNDS AMERICAN HIGH-INCOME TRUST | 0.00                 | 3.85                | 0.00               | 3.85              | 85.0 | 3.27                 |
| 09/01/2017                                   | PRZYBYLSKI, JEREMIAH | AM FUNDS AMERICAN HIGH-INCOME TRUST | 0.00                 | 0.43                | 0.00               | 0.43              | 85.0 | 0.37                 |
| 09/01/2017                                   | FRANTZ, JUDITH       | AM FUNDS AMERICAN HIGH-INCOME TRUST | 0.00                 | 0.68                | 0.00               | 0.68              | 85.0 | 0.58                 |
| 09/01/2017                                   | BAKER, ELAINE        | AM FUNDS AMERICAN HIGH-INCOME TRUST | 0.00                 | 5.30                | 0.00               | 5.30              | 85.0 | 4.51                 |
| 09/01/2017                                   | NOWAK, COLETTE       | AM FUNDS AMERICAN HIGH-INCOME TRUST | 0.00                 | 0.70                | 0.00               | 0.70              | 85.0 | 0.60                 |
| 09/01/2017                                   | BAUMGARTNER, DIANA   | AM FUNDS AMERICAN HIGH-INCOME TRUST | 0.00                 | 5.70                | 0.00               | 5.70              | 85.0 | 4.85                 |
| 09/01/2017                                   | DESELMS, RAYMOND     | AM FUNDS AMERICAN HIGH-INCOME TRUST | 0.00                 | 1.21                | 0.00               | 1.21              | 85.0 | 1.03                 |
| 09/01/2017                                   | RIEBE, MICHAEL       | AM FUNDS AMERICAN HIGH-INCOME TRUST | 0.00                 | 0.72                | 0.00               | 0.72              | 85.0 | 0.61                 |
| 09/01/2017                                   | HAWBLITZ, PETER      | AM FUNDS AMERICAN HIGH-INCOME TRUST | 0.00                 | 3.41                | 0.00               | 3.41              | 85.0 | 2.90                 |
| 09/01/2017                                   | WRAY, KIM            | AM FUNDS AMERICAN HIGH-INCOME TRUST | 0.00                 | 5.28                | 0.00               | 5.28              | 85.0 | 4.49                 |
| 09/01/2017                                   | ZORNOW TRUST, BETTY  | AM FUNDS AMERICAN HIGH-INCOME TRUST | 0.00                 | 7.84                | 0.00               | 7.84              | 85.0 | 6.66                 |
| 09/01/2017                                   | FRANTZ, JUDITH       | AM FUNDS AMERICAN HIGH-INCOME TRUST | 0.00                 | 0.26                | 0.00               | 0.26              | 85.0 | 0.22                 |
| 09/01/2017                                   | DESELMS, RAYMOND     | AM FUNDS AMERICAN HIGH-INCOME TRUST | 0.00                 | 0.37                | 0.00               | 0.37              | 85.0 | 0.31                 |
| 09/01/2017                                   | HALSEY, WILLIAM      | AM FUNDS AMERICAN HIGH-INCOME TRUST | 0.00                 | 0.18                | 0.00               | 0.18              | 85.0 | 0.15                 |
| 09/01/2017                                   | ABBE JR, GARY        | AM FUNDS AMERICAN HIGH-INCOME TRUST | 0.00                 | 1.78                | 0.00               | 1.78              | 85.0 | 1.51                 |
| 09/01/2017                                   | HARRISON, JERRY      | AM FUNDS AMERICAN HIGH-INCOME TRUST | 0.00                 | 1.42                | 0.00               | 1.42              | 85.0 | 1.21                 |
| 09/01/2017                                   | DREEZE, MARCELINA    | AM FUNDS AMERICAN HIGH-INCOME TRUST | 0.00                 | 0.74                | 0.00               | 0.74              | 85.0 | 0.63                 |
| 09/01/2017                                   | MI/TOD               | AM FUNDS AMERICAN HIGH-INCOME TRUST | 0.00                 | 1.40                | 0.00               | 1.40              | 85.0 | 1.19                 |
| 09/01/2017                                   | PERRY, CAROL         | AM FUNDS AMERICAN HIGH-INCOME TRUST | 0.00                 | 10.78               | 0.00               | 10.78             | 85.0 | 9.16                 |
| 09/01/2017                                   | VESEY, CAROL         | AM FUNDS AMERICAN HIGH-INCOME TRUST | 0.00                 | 0.74                | 0.00               | 0.74              | 85.0 | 0.63                 |
| 09/01/2017                                   | MEREDITH, JEFFERY    | AM FUNDS AMERICAN MUTUAL A          | 0.00                 | 2.34                | 0.00               | 2.34              | 85.0 | 1.99                 |
| 09/01/2017                                   | PRZBYLSKI, MICHAEL   | AM FUNDS BOND FUND OF AMERICA A     | 0.00                 | 3.35                | 0.00               | 3.35              | 85.0 | 2.85                 |
| 09/01/2017                                   | FOSTER, JOHN         | AM FUNDS BOND FUND OF AMERICA A     | 0.00                 | 0.34                | 0.00               | 0.34              | 85.0 | 0.29                 |
| 09/01/2017                                   | ZORNOW TRUST, BETTY  | AM FUNDS BOND FUND OF AMERICA A     | 0.00                 | 4.32                | 0.00               | 4.32              | 85.0 | 3.67                 |
| 09/01/2017                                   | RIEBE, MICHAEL       | AM FUNDS BOND FUND OF AMERICA A     | 0.00                 | 3.40                | 0.00               | 3.40              | 85.0 | 2.89                 |
| 09/01/2017                                   | HALSEY, WILLIAM      | AM FUNDS BOND FUND OF AMERICA A     | 0.00                 | 0.17                | 0.00               | 0.17              | 85.0 | 0.14                 |
| 09/01/2017                                   | DIENER, RONALD       | AM FUNDS CAPITAL INCOME BUILDER A   | 0.00                 | 9.13                | 0.00               | 9.13              | 85.0 | 7.76                 |

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

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

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

| DATE   | CLIENT              | INVESTMENT                        | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|--|---------------------|-----------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b><u>BROKER TRANSACTIONS</u></b>            |                     |                                   |                      |                     |                    |                   |      |                      |
| <b><u>PRODUCT CATEGORY: MUTUAL FUNDS</u></b> |                     |                                   |                      |                     |                    |                   |      |                      |
| 09/01/2017                                   | DESELMS, ELEVLYN    | AM FUNDS CAPITAL INCOME BUILDER A | 0.00                 | 8.72                | 0.00               | 8.72              | 85.0 | 7.41                 |
| 09/01/2017                                   | KREMPEC, JEFFREY    | AM FUNDS CAPITAL INCOME BUILDER A | 0.00                 | 0.81                | 0.00               | 0.81              | 85.0 | 0.69                 |
| 09/01/2017                                   | LEININGER, LISA     | AM FUNDS CAPITAL INCOME BUILDER A | 0.00                 | 1.32                | 0.00               | 1.32              | 85.0 | 1.12                 |
| 09/01/2017                                   | FRANTZ, JUDITH      | AM FUNDS CAPITAL INCOME BUILDER A | 0.00                 | 1.29                | 0.00               | 1.29              | 85.0 | 1.10                 |
| 09/01/2017                                   | BAKER, ELAINE       | AM FUNDS CAPITAL INCOME BUILDER A | 0.00                 | 5.75                | 0.00               | 5.75              | 85.0 | 4.89                 |
| 09/01/2017                                   | NOWAK, COLETTE      | AM FUNDS CAPITAL INCOME BUILDER A | 0.00                 | 0.74                | 0.00               | 0.74              | 85.0 | 0.63                 |
| 09/01/2017                                   | BAUMGARTNER, DIANA  | AM FUNDS CAPITAL INCOME BUILDER A | 0.00                 | 4.65                | 0.00               | 4.65              | 85.0 | 3.95                 |
| 09/01/2017                                   | PRZYBYLSKI, JOSHUA  | AM FUNDS CAPITAL INCOME BUILDER A | 0.00                 | 2.45                | 0.00               | 2.45              | 85.0 | 2.08                 |
| 09/01/2017                                   | FOSTER, JOHN        | AM FUNDS CAPITAL INCOME BUILDER A | 0.00                 | 1.62                | 0.00               | 1.62              | 85.0 | 1.38                 |
| 09/01/2017                                   | WRAY, KIM           | AM FUNDS CAPITAL INCOME BUILDER A | 0.00                 | 13.00               | 0.00               | 13.00             | 85.0 | 11.05                |
| 09/01/2017                                   | EYLER, BARBARA      | AM FUNDS CAPITAL INCOME BUILDER A | 0.00                 | 6.22                | 0.00               | 6.22              | 85.0 | 5.29                 |
| 09/01/2017                                   | JOHNSON, CHARLES    | AM FUNDS CAPITAL INCOME BUILDER A | 0.00                 | 1.00                | 0.00               | 1.00              | 85.0 | 0.85                 |
| 09/01/2017                                   | ZORNOW TRUST, BETTY | AM FUNDS CAPITAL INCOME BUILDER A | 0.00                 | 9.30                | 0.00               | 9.30              | 85.0 | 7.91                 |
| 09/01/2017                                   | MEREDITH, TERESE    | AM FUNDS CAPITAL INCOME BUILDER A | 0.00                 | 1.80                | 0.00               | 1.80              | 85.0 | 1.53                 |
| 09/01/2017                                   | DESELMS, RAYMOND    | AM FUNDS CAPITAL INCOME BUILDER A | 0.00                 | 0.28                | 0.00               | 0.28              | 85.0 | 0.24                 |
| 09/01/2017                                   | KRIEGER, RENEE      | AM FUNDS CAPITAL INCOME BUILDER A | 0.00                 | 9.12                | 0.00               | 9.12              | 85.0 | 7.75                 |
| 09/01/2017                                   | RIEBE, MICHAEL      | AM FUNDS CAPITAL INCOME BUILDER A | 0.00                 | 3.85                | 0.00               | 3.85              | 85.0 | 3.27                 |
| 09/01/2017                                   | FISHER, SCOTT TW    | AM FUNDS CAPITAL INCOME BUILDER A | 0.00                 | 3.36                | 0.00               | 3.36              | 85.0 | 2.86                 |
| 09/01/2017                                   | FRENCH, VICTORIA    | AM FUNDS CAPITAL INCOME BUILDER A | 0.00                 | 0.25                | 0.00               | 0.25              | 85.0 | 0.21                 |
| 09/01/2017                                   | FRENCH, RICHARD     | AM FUNDS CAPITAL INCOME BUILDER A | 0.00                 | 0.25                | 0.00               | 0.25              | 85.0 | 0.21                 |
| 09/01/2017                                   | BELKOFER, STACEY    | AM FUNDS CAPITAL INCOME BUILDER A | 0.00                 | 0.49                | 0.00               | 0.49              | 85.0 | 0.42                 |
| 09/01/2017                                   | BELKOFER, STACEY    | AM FUNDS CAPITAL INCOME BUILDER A | 0.00                 | 0.57                | 0.00               | 0.57              | 85.0 | 0.48                 |
| 09/01/2017                                   | KRAL, ADAM          | AM FUNDS CAPITAL INCOME BUILDER A | 0.00                 | 2.45                | 0.00               | 2.45              | 85.0 | 2.08                 |
| 09/01/2017                                   | DREEZE, MARCELINA   | AM FUNDS CAPITAL INCOME BUILDER A | 0.00                 | 1.43                | 0.00               | 1.43              | 85.0 | 1.22                 |
| 09/01/2017                                   | STACY, ROSS         | AM FUNDS CAPITAL INCOME BUILDER A | 0.00                 | 0.27                | 0.00               | 0.27              | 85.0 | 0.23                 |
| 09/01/2017                                   | CANNON, BARBARA     | AM FUNDS CAPITAL INCOME BUILDER A | 0.00                 | 0.49                | 0.00               | 0.49              | 85.0 | 0.42                 |
| 09/01/2017                                   | SAPP, ANGELAMARIE   | AM FUNDS CAPITAL INCOME BUILDER A | 0.00                 | 0.66                | 0.00               | 0.66              | 85.0 | 0.56                 |
| 09/01/2017                                   | LATTA, MARY         | AM FUNDS CAPITAL INCOME BUILDER A | 0.00                 | 0.93                | 0.00               | 0.93              | 85.0 | 0.79                 |
| 09/01/2017                                   | AUGUSTYNIAK, ROGER  | AM FUNDS CAPITAL INCOME BUILDER A | 0.00                 | 6.76                | 0.00               | 6.76              | 85.0 | 5.75                 |
| 09/01/2017                                   | MI/TOD              | AM FUNDS CAPITAL INCOME BUILDER A | 0.00                 | 4.15                | 0.00               | 4.15              | 85.0 | 3.53                 |
| 09/01/2017                                   | PERRY, CAROL        | AM FUNDS CAPITAL INCOME BUILDER A | 0.00                 | 5.59                | 0.00               | 5.59              | 85.0 | 4.75                 |
| 09/01/2017                                   | VESEY, CAROL        | AM FUNDS CAPITAL INCOME BUILDER A | 0.00                 | 0.68                | 0.00               | 0.68              | 85.0 | 0.58                 |
| 09/01/2017                                   | DIENER, RONALD      | AM FUNDS CAPITAL WORLD BOND A     | 0.00                 | 9.50                | 0.00               | 9.50              | 85.0 | 8.08                 |

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

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

| DATE   | CLIENT                | INVESTMENT                          | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|--|-----------------------|-------------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b><u>BROKER TRANSACTIONS</u></b>            |                       |                                     |                      |                     |                    |                   |      |                      |
| <b><u>PRODUCT CATEGORY: MUTUAL FUNDS</u></b> |                       |                                     |                      |                     |                    |                   |      |                      |
| 09/01/2017                                   | HAWBLITZ TRUST, AGNES | AM FUNDS CAPITAL WORLD BOND A       | 0.00                 | 5.82                | 0.00               | 5.82              | 85.0 | 4.95                 |
| 09/01/2017                                   | HAWBLITZ TRUST, PETER | AM FUNDS CAPITAL WORLD BOND A       | 0.00                 | 5.82                | 0.00               | 5.82              | 85.0 | 4.95                 |
| 09/01/2017                                   | HALSEY, WILLIAM       | AM FUNDS CAPITAL WORLD BOND A       | 0.00                 | 0.16                | 0.00               | 0.16              | 85.0 | 0.14                 |
| 09/01/2017                                   | BELKOFER, STACEY      | AM FUNDS CAPITAL WORLD BOND A       | 0.00                 | 0.32                | 0.00               | 0.32              | 85.0 | 0.27                 |
| 09/01/2017                                   | MI/TOD                | AM FUNDS CAPITAL WORLD BOND A       | 0.00                 | 1.53                | 0.00               | 1.53              | 85.0 | 1.30                 |
| 09/01/2017                                   | DIENER, RONALD        | AM FUNDS CAPITAL WORLD GRTH & INC A | 0.00                 | 2.52                | 0.00               | 2.52              | 85.0 | 2.14                 |
| 09/01/2017                                   | DESELMS, ROBERT       | AM FUNDS CAPITAL WORLD GRTH & INC A | 0.00                 | 0.49                | 0.00               | 0.49              | 85.0 | 0.42                 |
| 09/01/2017                                   | DESELMS, ELEVLYN      | AM FUNDS CAPITAL WORLD GRTH & INC A | 0.00                 | 10.55               | 0.00               | 10.55             | 85.0 | 8.97                 |
| 09/01/2017                                   | PRZBYLSKI, MICHAEL    | AM FUNDS CAPITAL WORLD GRTH & INC A | 0.00                 | 7.83                | 0.00               | 7.83              | 85.0 | 6.66                 |
| 09/01/2017                                   | KREMPEC, JEFFREY      | AM FUNDS CAPITAL WORLD GRTH & INC A | 0.00                 | 0.72                | 0.00               | 0.72              | 85.0 | 0.61                 |
| 09/01/2017                                   | LEININGER, LISA       | AM FUNDS CAPITAL WORLD GRTH & INC A | 0.00                 | 2.05                | 0.00               | 2.05              | 85.0 | 1.74                 |
| 09/01/2017                                   | FRANTZ, JUDITH        | AM FUNDS CAPITAL WORLD GRTH & INC A | 0.00                 | 0.48                | 0.00               | 0.48              | 85.0 | 0.41                 |
| 09/01/2017                                   | BAKER, ELAINE         | AM FUNDS CAPITAL WORLD GRTH & INC A | 0.00                 | 10.75               | 0.00               | 10.75             | 85.0 | 9.14                 |
| 09/01/2017                                   | JOHNSON, ZACHARY      | AM FUNDS CAPITAL WORLD GRTH & INC A | 0.00                 | 0.95                | 0.00               | 0.95              | 85.0 | 0.81                 |
| 09/01/2017                                   | DESELMS, RAYMOND      | AM FUNDS CAPITAL WORLD GRTH & INC A | 0.00                 | 2.73                | 0.00               | 2.73              | 85.0 | 2.32                 |
| 09/01/2017                                   | DESELMS, RAYMOND      | AM FUNDS CAPITAL WORLD GRTH & INC A | 0.00                 | 2.81                | 0.00               | 2.81              | 85.0 | 2.39                 |
| 09/01/2017                                   | JOHNSON, CHLOE        | AM FUNDS CAPITAL WORLD GRTH & INC A | 0.00                 | 0.97                | 0.00               | 0.97              | 85.0 | 0.82                 |
| 09/01/2017                                   | RIEBE, MICHAEL        | AM FUNDS CAPITAL WORLD GRTH & INC A | 0.00                 | 1.52                | 0.00               | 1.52              | 85.0 | 1.29                 |
| 09/01/2017                                   | PRZYBYLSKI, JOSHUA    | AM FUNDS CAPITAL WORLD GRTH & INC A | 0.00                 | 1.41                | 0.00               | 1.41              | 85.0 | 1.20                 |
| 09/01/2017                                   | WRAY, KIM             | AM FUNDS CAPITAL WORLD GRTH & INC A | 0.00                 | 6.18                | 0.00               | 6.18              | 85.0 | 5.25                 |
| 09/01/2017                                   | EYLER, BARBARA        | AM FUNDS CAPITAL WORLD GRTH & INC A | 0.00                 | 5.77                | 0.00               | 5.77              | 85.0 | 4.90                 |
| 09/01/2017                                   | DESELMS, ROBERT       | AM FUNDS CAPITAL WORLD GRTH & INC A | 0.00                 | 0.48                | 0.00               | 0.48              | 85.0 | 0.41                 |
| 09/01/2017                                   | PAPIO, STEPHANIE      | AM FUNDS CAPITAL WORLD GRTH & INC A | 0.00                 | 0.42                | 0.00               | 0.42              | 85.0 | 0.36                 |
| 09/01/2017                                   | PAPIO, JOE            | AM FUNDS CAPITAL WORLD GRTH & INC A | 0.00                 | 0.44                | 0.00               | 0.44              | 85.0 | 0.37                 |
| 09/01/2017                                   | JOHNSON, CHARLES      | AM FUNDS CAPITAL WORLD GRTH & INC A | 0.00                 | 1.17                | 0.00               | 1.17              | 85.0 | 0.99                 |
| 09/01/2017                                   | ZORNOW TRUST, BETTY   | AM FUNDS CAPITAL WORLD GRTH & INC A | 0.00                 | 8.61                | 0.00               | 8.61              | 85.0 | 7.32                 |
| 09/01/2017                                   | MEREDITH, JEFFERY     | AM FUNDS CAPITAL WORLD GRTH & INC A | 0.00                 | 2.90                | 0.00               | 2.90              | 85.0 | 2.47                 |
| 09/01/2017                                   | KRAMER, TRISTON       | AM FUNDS CAPITAL WORLD GRTH & INC A | 0.00                 | 0.48                | 0.00               | 0.48              | 85.0 | 0.41                 |
| 09/01/2017                                   | ZORNOW, JORDAN        | AM FUNDS CAPITAL WORLD GRTH & INC A | 0.00                 | 1.09                | 0.00               | 1.09              | 85.0 | 0.93                 |
| 09/01/2017                                   | DESELMS, RAYMOND      | AM FUNDS CAPITAL WORLD GRTH & INC A | 0.00                 | 0.28                | 0.00               | 0.28              | 85.0 | 0.24                 |
| 09/01/2017                                   | KRIEGER, RENEE        | AM FUNDS CAPITAL WORLD GRTH & INC A | 0.00                 | 8.85                | 0.00               | 8.85              | 85.0 | 7.52                 |
| 09/01/2017                                   | LEININGER, CHRISTAH   | AM FUNDS CAPITAL WORLD GRTH & INC A | 0.00                 | 0.64                | 0.00               | 0.64              | 85.0 | 0.54                 |
| 09/01/2017                                   | ABBE JR, GARY         | AM FUNDS CAPITAL WORLD GRTH & INC A | 0.00                 | 0.49                | 0.00               | 0.49              | 85.0 | 0.42                 |

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

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

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

| DATE   | CLIENT             | INVESTMENT                          | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|--|--------------------|-------------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b><u>BROKER TRANSACTIONS</u></b>            |                    |                                     |                      |                     |                    |                   |      |                      |
| <b><u>PRODUCT CATEGORY: MUTUAL FUNDS</u></b> |                    |                                     |                      |                     |                    |                   |      |                      |
| 09/01/2017                                   | BELKOFER, STACEY   | AM FUNDS CAPITAL WORLD GRTH & INC A | 0.00                 | 0.39                | 0.00               | 0.39              | 85.0 | 0.33                 |
| 09/01/2017                                   | BELKOFER, STACEY   | AM FUNDS CAPITAL WORLD GRTH & INC A | 0.00                 | 0.40                | 0.00               | 0.40              | 85.0 | 0.34                 |
| 09/01/2017                                   | HARRISON, JERRY    | AM FUNDS CAPITAL WORLD GRTH & INC A | 0.00                 | 1.46                | 0.00               | 1.46              | 85.0 | 1.24                 |
| 09/01/2017                                   | DREEZE, MARCELINA  | AM FUNDS CAPITAL WORLD GRTH & INC A | 0.00                 | 1.11                | 0.00               | 1.11              | 85.0 | 0.94                 |
| 09/01/2017                                   | STACY, ROSS        | AM FUNDS CAPITAL WORLD GRTH & INC A | 0.00                 | 0.19                | 0.00               | 0.19              | 85.0 | 0.16                 |
| 09/01/2017                                   | CANNON, BARBARA    | AM FUNDS CAPITAL WORLD GRTH & INC A | 0.00                 | 0.47                | 0.00               | 0.47              | 85.0 | 0.40                 |
| 09/01/2017                                   | GRAHAM, DAVID      | AM FUNDS CAPITAL WORLD GRTH & INC A | 0.00                 | 0.20                | 0.00               | 0.20              | 85.0 | 0.17                 |
| 09/01/2017                                   | AUGUSTYNIAK, ROGER | AM FUNDS CAPITAL WORLD GRTH & INC A | 0.00                 | 8.38                | 0.00               | 8.38              | 85.0 | 7.12                 |
| 09/01/2017                                   | MI/TOD             | AM FUNDS CAPITAL WORLD GRTH & INC A | 0.00                 | 5.86                | 0.00               | 5.86              | 85.0 | 4.98                 |
| 09/01/2017                                   | LEININGER, KENNETH | AM FUNDS CAPITAL WORLD GRTH & INC A | 0.00                 | 2.96                | 0.00               | 2.96              | 85.0 | 2.52                 |
| 09/01/2017                                   | PERRY, CAROL       | AM FUNDS CAPITAL WORLD GRTH & INC A | 0.00                 | 10.39               | 0.00               | 10.39             | 85.0 | 8.83                 |
| 09/01/2017                                   | VESEY, CAROL       | AM FUNDS CAPITAL WORLD GRTH & INC A | 0.00                 | 0.43                | 0.00               | 0.43              | 85.0 | 0.37                 |
| 09/01/2017                                   | FRANTZ, JUDITH     | AM FUNDS EUROPACIFIC GROWTH FUND A  | 0.00                 | 0.31                | 0.00               | 0.31              | 85.0 | 0.26                 |
| 09/01/2017                                   | WRAY, KIM          | AM FUNDS EUROPACIFIC GROWTH FUND A  | 0.00                 | 5.37                | 0.00               | 5.37              | 85.0 | 4.56                 |
| 09/01/2017                                   | ZORNOW, JORDAN     | AM FUNDS EUROPACIFIC GROWTH FUND A  | 0.00                 | 1.45                | 0.00               | 1.45              | 85.0 | 1.23                 |
| 09/01/2017                                   | FISHER, SCOTT TW   | AM FUNDS EUROPACIFIC GROWTH FUND A  | 0.00                 | 3.44                | 0.00               | 3.44              | 85.0 | 2.92                 |
| 09/01/2017                                   | LEININGER, KENNETH | AM FUNDS EUROPACIFIC GROWTH FUND A  | 0.00                 | 1.47                | 0.00               | 1.47              | 85.0 | 1.25                 |
| 09/01/2017                                   | DIENER, RONALD     | AM FUNDS FUNDAMENTAL INVESTORS A    | 0.00                 | 7.42                | 0.00               | 7.42              | 85.0 | 6.31                 |
| 09/01/2017                                   | DESELMS, ROBERT    | AM FUNDS FUNDAMENTAL INVESTORS A    | 0.00                 | 1.23                | 0.00               | 1.23              | 85.0 | 1.05                 |
| 09/01/2017                                   | DESELMS, ELEVLYN   | AM FUNDS FUNDAMENTAL INVESTORS A    | 0.00                 | 11.57               | 0.00               | 11.57             | 85.0 | 9.83                 |
| 09/01/2017                                   | PRZBYLSKI, MICHAEL | AM FUNDS FUNDAMENTAL INVESTORS A    | 0.00                 | 17.70               | 0.00               | 17.70             | 85.0 | 15.05                |
| 09/01/2017                                   | KREMPEC, JEFFREY   | AM FUNDS FUNDAMENTAL INVESTORS A    | 0.00                 | 1.12                | 0.00               | 1.12              | 85.0 | 0.95                 |
| 09/01/2017                                   | LEININGER, LISA    | AM FUNDS FUNDAMENTAL INVESTORS A    | 0.00                 | 2.65                | 0.00               | 2.65              | 85.0 | 2.25                 |
| 09/01/2017                                   | FOSTER, JOHN       | AM FUNDS FUNDAMENTAL INVESTORS A    | 0.00                 | 0.77                | 0.00               | 0.77              | 85.0 | 0.65                 |
| 09/01/2017                                   | FRANTZ, JUDITH     | AM FUNDS FUNDAMENTAL INVESTORS A    | 0.00                 | 1.05                | 0.00               | 1.05              | 85.0 | 0.89                 |
| 09/01/2017                                   | BAKER, ELAINE      | AM FUNDS FUNDAMENTAL INVESTORS A    | 0.00                 | 7.50                | 0.00               | 7.50              | 85.0 | 6.38                 |
| 09/01/2017                                   | DESELMS, RAYMOND   | AM FUNDS FUNDAMENTAL INVESTORS A    | 0.00                 | 2.37                | 0.00               | 2.37              | 85.0 | 2.01                 |
| 09/01/2017                                   | DESELMS, RAYMOND   | AM FUNDS FUNDAMENTAL INVESTORS A    | 0.00                 | 2.15                | 0.00               | 2.15              | 85.0 | 1.83                 |
| 09/01/2017                                   | WRAY, KIM          | AM FUNDS FUNDAMENTAL INVESTORS A    | 0.00                 | 5.89                | 0.00               | 5.89              | 85.0 | 5.01                 |
| 09/01/2017                                   | EYLER, BARBARA     | AM FUNDS FUNDAMENTAL INVESTORS A    | 0.00                 | 13.51               | 0.00               | 13.51             | 85.0 | 11.48                |
| 09/01/2017                                   | DESELMS, ROBERT    | AM FUNDS FUNDAMENTAL INVESTORS A    | 0.00                 | 2.53                | 0.00               | 2.53              | 85.0 | 2.15                 |
| 09/01/2017                                   | DENHAM, CONSTANCE  | AM FUNDS FUNDAMENTAL INVESTORS A    | 0.00                 | 1.11                | 0.00               | 1.11              | 85.0 | 0.94                 |
| 09/01/2017                                   | JOHNSON, CHARLES   | AM FUNDS FUNDAMENTAL INVESTORS A    | 0.00                 | 1.58                | 0.00               | 1.58              | 85.0 | 1.34                 |

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

| DATE                                  | CLIENT              | INVESTMENT                        | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|---------------------------------------|---------------------|-----------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b><u>BROKER TRANSACTIONS</u></b>     |                     |                                   |                      |                     |                    |                   |      |                      |
| <b>PRODUCT CATEGORY: MUTUAL FUNDS</b> |                     |                                   |                      |                     |                    |                   |      |                      |
| 09/01/2017                            | ZORNOW TRUST, BETTY | AM FUNDS FUNDAMENTAL INVESTORS A  | 0.00                 | 13.99               | 0.00               | 13.99             | 85.0 | 11.89                |
| 09/01/2017                            | FRANTZ, JUDITH      | AM FUNDS FUNDAMENTAL INVESTORS A  | 0.00                 | 0.41                | 0.00               | 0.41              | 85.0 | 0.35                 |
| 09/01/2017                            | MEREDITH, TERESE    | AM FUNDS FUNDAMENTAL INVESTORS A  | 0.00                 | 3.05                | 0.00               | 3.05              | 85.0 | 2.59                 |
| 09/01/2017                            | MEREDITH, JEFFERY   | AM FUNDS FUNDAMENTAL INVESTORS A  | 0.00                 | 2.44                | 0.00               | 2.44              | 85.0 | 2.07                 |
| 09/01/2017                            | KRAMER, TRISTON     | AM FUNDS FUNDAMENTAL INVESTORS A  | 0.00                 | 0.84                | 0.00               | 0.84              | 85.0 | 0.71                 |
| 09/01/2017                            | ZORNOW, JORDAN      | AM FUNDS FUNDAMENTAL INVESTORS A  | 0.00                 | 2.71                | 0.00               | 2.71              | 85.0 | 2.30                 |
| 09/01/2017                            | DESELMS, RAYMOND    | AM FUNDS FUNDAMENTAL INVESTORS A  | 0.00                 | 0.43                | 0.00               | 0.43              | 85.0 | 0.37                 |
| 09/01/2017                            | LEININGER, CHRISTAH | AM FUNDS FUNDAMENTAL INVESTORS A  | 0.00                 | 0.58                | 0.00               | 0.58              | 85.0 | 0.49                 |
| 09/01/2017                            | FISHER, SCOTT TW    | AM FUNDS FUNDAMENTAL INVESTORS A  | 0.00                 | 5.09                | 0.00               | 5.09              | 85.0 | 4.33                 |
| 09/01/2017                            | HALSEY, WILLIAM     | AM FUNDS FUNDAMENTAL INVESTORS A  | 0.00                 | 0.20                | 0.00               | 0.20              | 85.0 | 0.17                 |
| 09/01/2017                            | LEININGER, ZACHARY  | AM FUNDS FUNDAMENTAL INVESTORS A  | 0.00                 | 0.29                | 0.00               | 0.29              | 85.0 | 0.25                 |
| 09/01/2017                            | LEININGER, ELI      | AM FUNDS FUNDAMENTAL INVESTORS A  | 0.00                 | 0.29                | 0.00               | 0.29              | 85.0 | 0.25                 |
| 09/01/2017                            | FRENCH, VICTORIA    | AM FUNDS FUNDAMENTAL INVESTORS A  | 0.00                 | 0.51                | 0.00               | 0.51              | 85.0 | 0.43                 |
| 09/01/2017                            | FRENCH, RICHARD     | AM FUNDS FUNDAMENTAL INVESTORS A  | 0.00                 | 0.51                | 0.00               | 0.51              | 85.0 | 0.43                 |
| 09/01/2017                            | KRAMER, DELANEY     | AM FUNDS FUNDAMENTAL INVESTORS A  | 0.00                 | 0.25                | 0.00               | 0.25              | 85.0 | 0.21                 |
| 09/01/2017                            | ABBE JR, GARY       | AM FUNDS FUNDAMENTAL INVESTORS A  | 0.00                 | 4.08                | 0.00               | 4.08              | 85.0 | 3.47                 |
| 09/01/2017                            | BELKOFER, STACEY    | AM FUNDS FUNDAMENTAL INVESTORS A  | 0.00                 | 0.30                | 0.00               | 0.30              | 85.0 | 0.26                 |
| 09/01/2017                            | BELKOFER, STACEY    | AM FUNDS FUNDAMENTAL INVESTORS A  | 0.00                 | 0.19                | 0.00               | 0.19              | 85.0 | 0.16                 |
| 09/01/2017                            | KRAMER, KARYS       | AM FUNDS FUNDAMENTAL INVESTORS A  | 0.00                 | 0.31                | 0.00               | 0.31              | 85.0 | 0.26                 |
| 09/01/2017                            | HARRISON, JERRY     | AM FUNDS FUNDAMENTAL INVESTORS A  | 0.00                 | 2.44                | 0.00               | 2.44              | 85.0 | 2.07                 |
| 09/01/2017                            | DREEZE, MARCELINA   | AM FUNDS FUNDAMENTAL INVESTORS A  | 0.00                 | 1.70                | 0.00               | 1.70              | 85.0 | 1.45                 |
| 09/01/2017                            | STACY, ROSS         | AM FUNDS FUNDAMENTAL INVESTORS A  | 0.00                 | 0.72                | 0.00               | 0.72              | 85.0 | 0.61                 |
| 09/01/2017                            | CANNON, BARBARA     | AM FUNDS FUNDAMENTAL INVESTORS A  | 0.00                 | 0.67                | 0.00               | 0.67              | 85.0 | 0.57                 |
| 09/01/2017                            | SAPP, ANGELAMARIE   | AM FUNDS FUNDAMENTAL INVESTORS A  | 0.00                 | 0.95                | 0.00               | 0.95              | 85.0 | 0.81                 |
| 09/01/2017                            | LATTA, MARY         | AM FUNDS FUNDAMENTAL INVESTORS A  | 0.00                 | 1.20                | 0.00               | 1.20              | 85.0 | 1.02                 |
| 09/01/2017                            | ALDRICH, SUSAN      | AM FUNDS FUNDAMENTAL INVESTORS A  | 0.00                 | 0.24                | 0.00               | 0.24              | 85.0 | 0.20                 |
| 09/01/2017                            | AUGUSTYNIAK, ROGER  | AM FUNDS FUNDAMENTAL INVESTORS A  | 0.00                 | 11.54               | 0.00               | 11.54             | 85.0 | 9.81                 |
| 09/01/2017                            | MI/TOD              | AM FUNDS FUNDAMENTAL INVESTORS A  | 0.00                 | 7.46                | 0.00               | 7.46              | 85.0 | 6.34                 |
| 09/01/2017                            | PAPIO, AARON        | AM FUNDS FUNDAMENTAL INVESTORS A  | 0.00                 | 0.36                | 0.00               | 0.36              | 85.0 | 0.31                 |
| 09/01/2017                            | LEININGER, KENNETH  | AM FUNDS FUNDAMENTAL INVESTORS A  | 0.00                 | 3.05                | 0.00               | 3.05              | 85.0 | 2.59                 |
| 09/01/2017                            | PERRY, CAROL        | AM FUNDS FUNDAMENTAL INVESTORS A  | 0.00                 | 9.80                | 0.00               | 9.80              | 85.0 | 8.33                 |
| 09/01/2017                            | DENHAM, CONSTANCE   | AM FUNDS GLOBAL BALANCED A        | 0.00                 | 0.42                | 0.00               | 0.42              | 85.0 | 0.36                 |
| 09/01/2017                            | DIENER, RONALD      | AM FUNDS GROWTH FUND OF AMERICA A | 0.00                 | 2.53                | 0.00               | 2.53              | 85.0 | 2.15                 |

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|---------------------------------------|-----------------------|-----------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b><u>BROKER TRANSACTIONS</u></b>     |                       |                                   |                      |                     |                    |                   |      |                      |
| <b>PRODUCT CATEGORY: MUTUAL FUNDS</b> |                       |                                   |                      |                     |                    |                   |      |                      |
| 09/01/2017                            | PRZBYLSKI, MICHAEL    | AM FUNDS GROWTH FUND OF AMERICA A | 0.00                 | 3.37                | 0.00               | 3.37              | 85.0 | 2.86                 |
| 09/01/2017                            | BAKER, ELAINE         | AM FUNDS GROWTH FUND OF AMERICA A | 0.00                 | 6.48                | 0.00               | 6.48              | 85.0 | 5.51                 |
| 09/01/2017                            | NOWAK, COLETTE        | AM FUNDS GROWTH FUND OF AMERICA A | 0.00                 | 0.51                | 0.00               | 0.51              | 85.0 | 0.43                 |
| 09/01/2017                            | BAUMGARTNER, DIANA    | AM FUNDS GROWTH FUND OF AMERICA A | 0.00                 | 2.87                | 0.00               | 2.87              | 85.0 | 2.44                 |
| 09/01/2017                            | PRZYBYLSKI, JOSHUA    | AM FUNDS GROWTH FUND OF AMERICA A | 0.00                 | 2.75                | 0.00               | 2.75              | 85.0 | 2.34                 |
| 09/01/2017                            | FOSTER, JOHN          | AM FUNDS GROWTH FUND OF AMERICA A | 0.00                 | 1.15                | 0.00               | 1.15              | 85.0 | 0.98                 |
| 09/01/2017                            | WRAY, KIM             | AM FUNDS GROWTH FUND OF AMERICA A | 0.00                 | 3.59                | 0.00               | 3.59              | 85.0 | 3.05                 |
| 09/01/2017                            | DESELMS, RAYMOND      | AM FUNDS GROWTH FUND OF AMERICA A | 0.00                 | 0.43                | 0.00               | 0.43              | 85.0 | 0.37                 |
| 09/01/2017                            | KRAMER, DELANEY       | AM FUNDS GROWTH FUND OF AMERICA A | 0.00                 | 0.26                | 0.00               | 0.26              | 85.0 | 0.22                 |
| 09/01/2017                            | BELKOFER, STACEY      | AM FUNDS GROWTH FUND OF AMERICA A | 0.00                 | 0.57                | 0.00               | 0.57              | 85.0 | 0.48                 |
| 09/01/2017                            | KRAMER, KARYS         | AM FUNDS GROWTH FUND OF AMERICA A | 0.00                 | 0.32                | 0.00               | 0.32              | 85.0 | 0.27                 |
| 09/01/2017                            | SAPP, ANGELAMARIE     | AM FUNDS GROWTH FUND OF AMERICA A | 0.00                 | 0.17                | 0.00               | 0.17              | 85.0 | 0.14                 |
| 09/01/2017                            | AUGUSTYNIAK, ROGER    | AM FUNDS GROWTH FUND OF AMERICA A | 0.00                 | 3.80                | 0.00               | 3.80              | 85.0 | 3.23                 |
| 09/01/2017                            | LEININGER, KENNETH    | AM FUNDS GROWTH FUND OF AMERICA A | 0.00                 | 1.51                | 0.00               | 1.51              | 85.0 | 1.28                 |
| 09/01/2017                            | DIENER, RONALD        | AM FUNDS ICA A                    | 0.00                 | 6.67                | 0.00               | 6.67              | 85.0 | 5.67                 |
| 09/01/2017                            | MEREDITH, TERESE      | AM FUNDS ICA A                    | 0.00                 | 2.27                | 0.00               | 2.27              | 85.0 | 1.93                 |
| 09/01/2017                            | ZORNOW, JORDAN        | AM FUNDS ICA A                    | 0.00                 | 2.45                | 0.00               | 2.45              | 85.0 | 2.08                 |
| 09/01/2017                            | HAWBLITZ TRUST, AGNES | AM FUNDS ICA A                    | 0.00                 | 8.38                | 0.00               | 8.38              | 85.0 | 7.12                 |
| 09/01/2017                            | HAWBLITZ TRUST, PETER | AM FUNDS ICA A                    | 0.00                 | 8.42                | 0.00               | 8.42              | 85.0 | 7.16                 |
| 09/01/2017                            | KRIEGER, RENEE        | AM FUNDS ICA A                    | 0.00                 | 10.77               | 0.00               | 10.77             | 85.0 | 9.15                 |
| 09/01/2017                            | BELKOFER, STACEY      | AM FUNDS ICA A                    | 0.00                 | 0.64                | 0.00               | 0.64              | 85.0 | 0.54                 |
| 09/01/2017                            | GRAHAM, DAVID         | AM FUNDS ICA A                    | 0.00                 | 0.29                | 0.00               | 0.29              | 85.0 | 0.25                 |
| 09/01/2017                            | DIENER, RONALD        | AM FUNDS INCOME FUND OF AMERICA A | 0.00                 | 22.10               | 0.00               | 22.10             | 85.0 | 18.79                |
| 09/01/2017                            | PRZYBYLSKI, JEREMIAH  | AM FUNDS INCOME FUND OF AMERICA A | 0.00                 | 0.60                | 0.00               | 0.60              | 85.0 | 0.51                 |
| 09/01/2017                            | FOSTER, JOHN          | AM FUNDS INCOME FUND OF AMERICA A | 0.00                 | 0.76                | 0.00               | 0.76              | 85.0 | 0.65                 |
| 09/01/2017                            | BAKER, ELAINE         | AM FUNDS INCOME FUND OF AMERICA A | 0.00                 | 4.56                | 0.00               | 4.56              | 85.0 | 3.88                 |
| 09/01/2017                            | HAWBLITZ, PETER       | AM FUNDS INCOME FUND OF AMERICA A | 0.00                 | 4.04                | 0.00               | 4.04              | 85.0 | 3.43                 |
| 09/01/2017                            | PAPIO, STEPHANIE      | AM FUNDS INCOME FUND OF AMERICA A | 0.00                 | 0.37                | 0.00               | 0.37              | 85.0 | 0.31                 |
| 09/01/2017                            | PAPIO, JOE            | AM FUNDS INCOME FUND OF AMERICA A | 0.00                 | 0.40                | 0.00               | 0.40              | 85.0 | 0.34                 |
| 09/01/2017                            | DENHAM, CONSTANCE     | AM FUNDS INCOME FUND OF AMERICA A | 0.00                 | 0.40                | 0.00               | 0.40              | 85.0 | 0.34                 |
| 09/01/2017                            | ZORNOW TRUST, BETTY   | AM FUNDS INCOME FUND OF AMERICA A | 0.00                 | 13.64               | 0.00               | 13.64             | 85.0 | 11.59                |
| 09/01/2017                            | FRANTZ, JUDITH        | AM FUNDS INCOME FUND OF AMERICA A | 0.00                 | 0.36                | 0.00               | 0.36              | 85.0 | 0.31                 |
| 09/01/2017                            | HAWBLITZ TRUST, AGNES | AM FUNDS INCOME FUND OF AMERICA A | 0.00                 | 16.15               | 0.00               | 16.15             | 85.0 | 13.73                |

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|--|-----------------------|------------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b><u>BROKER TRANSACTIONS</u></b>            |                       |                                    |                      |                     |                    |                   |      |                      |
| <b><u>PRODUCT CATEGORY: MUTUAL FUNDS</u></b> |                       |                                    |                      |                     |                    |                   |      |                      |
| 09/01/2017                                   | HAWBLITZ TRUST, PETER | AM FUNDS INCOME FUND OF AMERICA A  | 0.00                 | 16.42               | 0.00               | 16.42             | 85.0 | 13.96                |
| 09/01/2017                                   | SAPP, ANGELAMARIE     | AM FUNDS INCOME FUND OF AMERICA A  | 0.00                 | 0.58                | 0.00               | 0.58              | 85.0 | 0.49                 |
| 09/01/2017                                   | ALDRICH, SUSAN        | AM FUNDS INCOME FUND OF AMERICA A  | 0.00                 | 0.29                | 0.00               | 0.29              | 85.0 | 0.25                 |
| 09/01/2017                                   | LEININGER, KENNETH    | AM FUNDS INCOME FUND OF AMERICA A  | 0.00                 | 3.52                | 0.00               | 3.52              | 85.0 | 2.99                 |
| 09/01/2017                                   | DESELMS, ROBERT       | AM FUNDS INTERMEDIATE BOND FUND OF | 0.00                 | 0.54                | 0.00               | 0.54              | 85.0 | 0.46                 |
| 09/01/2017                                   | DESELMS, ROBERT       | AM FUNDS INTERMEDIATE BOND FUND OF | 0.00                 | 0.70                | 0.00               | 0.70              | 85.0 | 0.60                 |
| 09/01/2017                                   | DIENER, RONALD        | AM FUNDS INTL GROWTH AND INCOME A  | 0.00                 | 9.61                | 0.00               | 9.61              | 85.0 | 8.17                 |
| 09/01/2017                                   | RIEBE, MICHAEL        | AM FUNDS INTL GROWTH AND INCOME A  | 0.00                 | 3.76                | 0.00               | 3.76              | 85.0 | 3.20                 |
| 09/01/2017                                   | KRAL, ADAM            | AM FUNDS INTL GROWTH AND INCOME A  | 0.00                 | 1.47                | 0.00               | 1.47              | 85.0 | 1.25                 |
| 09/01/2017                                   | LATTA, MARY           | AM FUNDS INTL GROWTH AND INCOME A  | 0.00                 | 0.60                | 0.00               | 0.60              | 85.0 | 0.51                 |
| 09/01/2017                                   | ALDRICH, SUSAN        | AM FUNDS INTL GROWTH AND INCOME A  | 0.00                 | 0.19                | 0.00               | 0.19              | 85.0 | 0.16                 |
| 09/01/2017                                   | LEININGER, KENNETH    | AM FUNDS INTL GROWTH AND INCOME A  | 0.00                 | 2.90                | 0.00               | 2.90              | 85.0 | 2.47                 |
| 09/01/2017                                   | DESELMS, ELEVLYN      | AM FUNDS NEW ECONOMY A             | 0.00                 | 11.96               | 0.00               | 11.96             | 85.0 | 10.17                |
| 09/01/2017                                   | KRIEGER, RENEE        | AM FUNDS NEW ECONOMY A             | 0.00                 | 10.35               | 0.00               | 10.35             | 85.0 | 8.80                 |
| 09/01/2017                                   | FISHER, SCOTT TW      | AM FUNDS NEW ECONOMY A             | 0.00                 | 5.06                | 0.00               | 5.06              | 85.0 | 4.30                 |
| 09/01/2017                                   | LEININGER, ZACHARY    | AM FUNDS NEW ECONOMY A             | 0.00                 | 0.31                | 0.00               | 0.31              | 85.0 | 0.26                 |
| 09/01/2017                                   | LEININGER, ELI        | AM FUNDS NEW ECONOMY A             | 0.00                 | 0.31                | 0.00               | 0.31              | 85.0 | 0.26                 |
| 09/01/2017                                   | PRZBYLSKI, MICHAEL    | AM FUNDS NEW PERSPECTIVE A         | 0.00                 | 2.88                | 0.00               | 2.88              | 85.0 | 2.45                 |
| 09/01/2017                                   | FOSTER, JOHN          | AM FUNDS NEW PERSPECTIVE A         | 0.00                 | 0.49                | 0.00               | 0.49              | 85.0 | 0.42                 |
| 09/01/2017                                   | BAKER, ELAINE         | AM FUNDS NEW PERSPECTIVE A         | 0.00                 | 6.49                | 0.00               | 6.49              | 85.0 | 5.52                 |
| 09/01/2017                                   | FOSTER, JOHN          | AM FUNDS NEW PERSPECTIVE A         | 0.00                 | 0.59                | 0.00               | 0.59              | 85.0 | 0.50                 |
| 09/01/2017                                   | WRAY, KIM             | AM FUNDS NEW PERSPECTIVE A         | 0.00                 | 3.04                | 0.00               | 3.04              | 85.0 | 2.58                 |
| 09/01/2017                                   | KRIEGER, RENEE        | AM FUNDS NEW PERSPECTIVE A         | 0.00                 | 8.37                | 0.00               | 8.37              | 85.0 | 7.11                 |
| 09/01/2017                                   | ABBE JR, GARY         | AM FUNDS NEW PERSPECTIVE A         | 0.00                 | 0.84                | 0.00               | 0.84              | 85.0 | 0.71                 |
| 09/01/2017                                   | PAPIO, AARON          | AM FUNDS NEW PERSPECTIVE A         | 0.00                 | 0.35                | 0.00               | 0.35              | 85.0 | 0.30                 |
| 09/01/2017                                   | PRZBYLSKI, MICHAEL    | AM FUNDS NEW WORLD A               | 0.00                 | 2.65                | 0.00               | 2.65              | 85.0 | 2.25                 |
| 09/01/2017                                   | LEININGER, LISA       | AM FUNDS NEW WORLD A               | 0.00                 | 0.59                | 0.00               | 0.59              | 85.0 | 0.50                 |
| 09/01/2017                                   | WRAY, KIM             | AM FUNDS NEW WORLD A               | 0.00                 | 4.49                | 0.00               | 4.49              | 85.0 | 3.82                 |
| 09/01/2017                                   | EYLER, BARBARA        | AM FUNDS NEW WORLD A               | 0.00                 | 3.25                | 0.00               | 3.25              | 85.0 | 2.76                 |
| 09/01/2017                                   | PRZBYLSKI, MICHAEL    | AM FUNDS SMALLCAP WORLD A          | 0.00                 | 8.51                | 0.00               | 8.51              | 85.0 | 7.23                 |
| 09/01/2017                                   | LEININGER, LISA       | AM FUNDS SMALLCAP WORLD A          | 0.00                 | 1.05                | 0.00               | 1.05              | 85.0 | 0.89                 |
| 09/01/2017                                   | BAKER, ELAINE         | AM FUNDS SMALLCAP WORLD A          | 0.00                 | 5.51                | 0.00               | 5.51              | 85.0 | 4.68                 |
| 09/01/2017                                   | WRAY, KIM             | AM FUNDS SMALLCAP WORLD A          | 0.00                 | 6.22                | 0.00               | 6.22              | 85.0 | 5.29                 |

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

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



| DATE   | CLIENT               | INVESTMENT                          | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|--|----------------------|-------------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b><u>BROKER TRANSACTIONS</u></b>            |                      |                                     |                      |                     |                    |                   |      |                      |
| <b><u>PRODUCT CATEGORY: MUTUAL FUNDS</u></b> |                      |                                     |                      |                     |                    |                   |      |                      |
| 09/01/2017                                   | EYLER, BARBARA       | AM FUNDS SMALLCAP WORLD A           | 0.00                 | 3.67                | 0.00               | 3.67              | 85.0 | 3.12                 |
| 09/01/2017                                   | MEREDITH, TERESE     | AM FUNDS SMALLCAP WORLD A           | 0.00                 | 2.09                | 0.00               | 2.09              | 85.0 | 1.78                 |
| 09/01/2017                                   | MEREDITH, JEFFERY    | AM FUNDS SMALLCAP WORLD A           | 0.00                 | 1.57                | 0.00               | 1.57              | 85.0 | 1.33                 |
| 09/01/2017                                   | ZORNOW, JORDAN       | AM FUNDS SMALLCAP WORLD A           | 0.00                 | 2.40                | 0.00               | 2.40              | 85.0 | 2.04                 |
| 09/01/2017                                   | LEININGER, ZACHARY   | AM FUNDS SMALLCAP WORLD A           | 0.00                 | 0.24                | 0.00               | 0.24              | 85.0 | 0.20                 |
| 09/01/2017                                   | LEININGER, ELI       | AM FUNDS SMALLCAP WORLD A           | 0.00                 | 0.24                | 0.00               | 0.24              | 85.0 | 0.20                 |
| 09/01/2017                                   | FRENCH, VICTORIA     | AM FUNDS SMALLCAP WORLD A           | 0.00                 | 0.20                | 0.00               | 0.20              | 85.0 | 0.17                 |
| 09/01/2017                                   | FRENCH, RICHARD      | AM FUNDS SMALLCAP WORLD A           | 0.00                 | 0.20                | 0.00               | 0.20              | 85.0 | 0.17                 |
| 09/01/2017                                   | ABBE JR, GARY        | AM FUNDS SMALLCAP WORLD A           | 0.00                 | 2.81                | 0.00               | 2.81              | 85.0 | 2.39                 |
| 09/01/2017                                   | BELKOFER, STACEY     | AM FUNDS SMALLCAP WORLD A           | 0.00                 | 0.41                | 0.00               | 0.41              | 85.0 | 0.35                 |
| 09/01/2017                                   | KRAL, ADAM           | AM FUNDS SMALLCAP WORLD A           | 0.00                 | 1.94                | 0.00               | 1.94              | 85.0 | 1.65                 |
| 09/01/2017                                   | DREEZE, MARCELINA    | AM FUNDS SMALLCAP WORLD A           | 0.00                 | 1.01                | 0.00               | 1.01              | 85.0 | 0.86                 |
| 09/01/2017                                   | CANNON, BARBARA      | AM FUNDS SMALLCAP WORLD A           | 0.00                 | 0.57                | 0.00               | 0.57              | 85.0 | 0.48                 |
| 09/01/2017                                   | SAPP, ANGELAMARIE    | AM FUNDS SMALLCAP WORLD A           | 0.00                 | 0.24                | 0.00               | 0.24              | 85.0 | 0.20                 |
| 09/01/2017                                   | LATTA, MARY          | AM FUNDS SMALLCAP WORLD A           | 0.00                 | 0.96                | 0.00               | 0.96              | 85.0 | 0.82                 |
| 09/01/2017                                   | ALDRICH, SUSAN       | AM FUNDS SMALLCAP WORLD A           | 0.00                 | 0.21                | 0.00               | 0.21              | 85.0 | 0.18                 |
| 09/01/2017                                   | AUGUSTYNIAK, ROGER   | AM FUNDS SMALLCAP WORLD A           | 0.00                 | 10.94               | 0.00               | 10.94             | 85.0 | 9.30                 |
| 09/01/2017                                   | MI/TOD               | AM FUNDS SMALLCAP WORLD A           | 0.00                 | 9.32                | 0.00               | 9.32              | 85.0 | 7.92                 |
| 09/01/2017                                   | PAPIO, AARON         | AM FUNDS SMALLCAP WORLD A           | 0.00                 | 0.32                | 0.00               | 0.32              | 85.0 | 0.27                 |
| 09/01/2017                                   | LEININGER, KENNETH   | AM FUNDS SMALLCAP WORLD A           | 0.00                 | 1.49                | 0.00               | 1.49              | 85.0 | 1.27                 |
| 09/01/2017                                   | DIENER, RONALD       | AM FUNDS WASHINGTON MUTUAL INVESTOR | 0.00                 | 5.46                | 0.00               | 5.46              | 85.0 | 4.64                 |
| 09/01/2017                                   | DIENER, RONALD       | AM FUNDS WASHINGTON MUTUAL INVESTOR | 0.00                 | 4.11                | 0.00               | 4.11              | 85.0 | 3.49                 |
| 09/01/2017                                   | DESELMS, ROBERT      | AM FUNDS WASHINGTON MUTUAL INVESTOR | 0.00                 | 1.13                | 0.00               | 1.13              | 85.0 | 0.96                 |
| 09/01/2017                                   | TANGEMAN, JEANETTE   | AM FUNDS WASHINGTON MUTUAL INVESTOR | 0.00                 | 29.81               | 0.00               | 29.81             | 85.0 | 25.34                |
| 09/01/2017                                   | DESELMS, ELEVLYN     | AM FUNDS WASHINGTON MUTUAL INVESTOR | 0.00                 | 9.63                | 0.00               | 9.63              | 85.0 | 8.19                 |
| 09/01/2017                                   | PRZBYLSKI, MICHAEL   | AM FUNDS WASHINGTON MUTUAL INVESTOR | 0.00                 | 13.04               | 0.00               | 13.04             | 85.0 | 11.08                |
| 09/01/2017                                   | FILIPEK, BETHANY     | AM FUNDS WASHINGTON MUTUAL INVESTOR | 0.00                 | 1.62                | 0.00               | 1.62              | 85.0 | 1.38                 |
| 09/01/2017                                   | DESELMS, SCOTT       | AM FUNDS WASHINGTON MUTUAL INVESTOR | 0.00                 | 4.26                | 0.00               | 4.26              | 85.0 | 3.62                 |
| 09/01/2017                                   | BASSETT, HANNAH      | AM FUNDS WASHINGTON MUTUAL INVESTOR | 0.00                 | 1.15                | 0.00               | 1.15              | 85.0 | 0.98                 |
| 09/01/2017                                   | PRZYBYLSKI, JEREMIAH | AM FUNDS WASHINGTON MUTUAL INVESTOR | 0.00                 | 1.16                | 0.00               | 1.16              | 85.0 | 0.99                 |
| 09/01/2017                                   | PRZYBYLSKI, JOSHUA   | AM FUNDS WASHINGTON MUTUAL INVESTOR | 0.00                 | 4.34                | 0.00               | 4.34              | 85.0 | 3.69                 |
| 09/01/2017                                   | BEISWENGER, RANDALL  | AM FUNDS WASHINGTON MUTUAL INVESTOR | 0.00                 | 6.57                | 0.00               | 6.57              | 85.0 | 5.58                 |
| 09/01/2017                                   | COUSINO, WILLIAM     | AM FUNDS WASHINGTON MUTUAL INVESTOR | 0.00                 | 33.18               | 0.00               | 33.18             | 85.0 | 28.20                |

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

| DATE   | CLIENT             | INVESTMENT                          | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|--|--------------------|-------------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b><u>BROKER TRANSACTIONS</u></b>            |                    |                                     |                      |                     |                    |                   |      |                      |
| <b><u>PRODUCT CATEGORY: MUTUAL FUNDS</u></b> |                    |                                     |                      |                     |                    |                   |      |                      |
| 09/01/2017                                   | TAYLOR, GERALD     | AM FUNDS WASHINGTON MUTUAL INVESTOR | 0.00                 | 10.78               | 0.00               | 10.78             | 85.0 | 9.16                 |
| 09/01/2017                                   | KREMPEC, JEFFREY   | AM FUNDS WASHINGTON MUTUAL INVESTOR | 0.00                 | 0.24                | 0.00               | 0.24              | 85.0 | 0.20                 |
| 09/01/2017                                   | LEININGER, LISA    | AM FUNDS WASHINGTON MUTUAL INVESTOR | 0.00                 | 2.22                | 0.00               | 2.22              | 85.0 | 1.89                 |
| 09/01/2017                                   | FILIPEK, JESSICA   | AM FUNDS WASHINGTON MUTUAL INVESTOR | 0.00                 | 14.16               | 0.00               | 14.16             | 85.0 | 12.04                |
| 09/01/2017                                   | AUGUSTYNIAK, SETH  | AM FUNDS WASHINGTON MUTUAL INVESTOR | 0.00                 | 0.43                | 0.00               | 0.43              | 85.0 | 0.37                 |
| 09/01/2017                                   | FOSTER, JOHN       | AM FUNDS WASHINGTON MUTUAL INVESTOR | 0.00                 | 0.73                | 0.00               | 0.73              | 85.0 | 0.62                 |
| 09/01/2017                                   | FRANTZ, JUDITH     | AM FUNDS WASHINGTON MUTUAL INVESTOR | 0.00                 | 0.93                | 0.00               | 0.93              | 85.0 | 0.79                 |
| 09/01/2017                                   | BAKER, ELAINE      | AM FUNDS WASHINGTON MUTUAL INVESTOR | 0.00                 | 6.88                | 0.00               | 6.88              | 85.0 | 5.85                 |
| 09/01/2017                                   | DIERKSHEIDE, TRACI | AM FUNDS WASHINGTON MUTUAL INVESTOR | 0.00                 | 1.80                | 0.00               | 1.80              | 85.0 | 1.53                 |
| 09/01/2017                                   | JOHNSON, ZACHARY   | AM FUNDS WASHINGTON MUTUAL INVESTOR | 0.00                 | 0.63                | 0.00               | 0.63              | 85.0 | 0.54                 |
| 09/01/2017                                   | FRANTZ, KAYLYNN    | AM FUNDS WASHINGTON MUTUAL INVESTOR | 0.00                 | 0.83                | 0.00               | 0.83              | 85.0 | 0.71                 |
| 09/01/2017                                   | FRANTZ, CASSANDRA  | AM FUNDS WASHINGTON MUTUAL INVESTOR | 0.00                 | 0.73                | 0.00               | 0.73              | 85.0 | 0.62                 |
| 09/01/2017                                   | NOWAK, COLETTE     | AM FUNDS WASHINGTON MUTUAL INVESTOR | 0.00                 | 0.87                | 0.00               | 0.87              | 85.0 | 0.74                 |
| 09/01/2017                                   | BAUMGARTNER, DIANA | AM FUNDS WASHINGTON MUTUAL INVESTOR | 0.00                 | 7.43                | 0.00               | 7.43              | 85.0 | 6.32                 |
| 09/01/2017                                   | DESELMS, RAYMOND   | AM FUNDS WASHINGTON MUTUAL INVESTOR | 0.00                 | 2.09                | 0.00               | 2.09              | 85.0 | 1.78                 |
| 09/01/2017                                   | DESELMS, RAYMOND   | AM FUNDS WASHINGTON MUTUAL INVESTOR | 0.00                 | 2.08                | 0.00               | 2.08              | 85.0 | 1.77                 |
| 09/01/2017                                   | DENHAM, CONSTANCE  | AM FUNDS WASHINGTON MUTUAL INVESTOR | 0.00                 | 11.13               | 0.00               | 11.13             | 85.0 | 9.46                 |
| 09/01/2017                                   | JACKSON, MARNETTE  | AM FUNDS WASHINGTON MUTUAL INVESTOR | 0.00                 | 13.42               | 0.00               | 13.42             | 85.0 | 11.41                |
| 09/01/2017                                   | JOHNSON, CHLOE     | AM FUNDS WASHINGTON MUTUAL INVESTOR | 0.00                 | 0.82                | 0.00               | 0.82              | 85.0 | 0.70                 |
| 09/01/2017                                   | BASSETT, JACK      | AM FUNDS WASHINGTON MUTUAL INVESTOR | 0.00                 | 0.52                | 0.00               | 0.52              | 85.0 | 0.44                 |
| 09/01/2017                                   | COOK, KEVIN        | AM FUNDS WASHINGTON MUTUAL INVESTOR | 0.00                 | 0.64                | 0.00               | 0.64              | 85.0 | 0.54                 |
| 09/01/2017                                   | KRIEGER, RACHEL    | AM FUNDS WASHINGTON MUTUAL INVESTOR | 0.00                 | 3.45                | 0.00               | 3.45              | 85.0 | 2.93                 |
| 09/01/2017                                   | FRANTZ, KARA       | AM FUNDS WASHINGTON MUTUAL INVESTOR | 0.00                 | 0.68                | 0.00               | 0.68              | 85.0 | 0.58                 |
| 09/01/2017                                   | RIEBE, MICHAEL     | AM FUNDS WASHINGTON MUTUAL INVESTOR | 0.00                 | 2.04                | 0.00               | 2.04              | 85.0 | 1.73                 |
| 09/01/2017                                   | HAWBLITZ, PETER    | AM FUNDS WASHINGTON MUTUAL INVESTOR | 0.00                 | 6.18                | 0.00               | 6.18              | 85.0 | 5.25                 |
| 09/01/2017                                   | PRZYBYLSKI, JOSHUA | AM FUNDS WASHINGTON MUTUAL INVESTOR | 0.00                 | 4.44                | 0.00               | 4.44              | 85.0 | 3.77                 |
| 09/01/2017                                   | FOSTER, JOHN       | AM FUNDS WASHINGTON MUTUAL INVESTOR | 0.00                 | 1.80                | 0.00               | 1.80              | 85.0 | 1.53                 |
| 09/01/2017                                   | WRAY, KIM          | AM FUNDS WASHINGTON MUTUAL INVESTOR | 0.00                 | 14.67               | 0.00               | 14.67             | 85.0 | 12.47                |
| 09/01/2017                                   | CANNON, BARBARA    | AM FUNDS WASHINGTON MUTUAL INVESTOR | 0.00                 | 0.48                | 0.00               | 0.48              | 85.0 | 0.41                 |
| 09/01/2017                                   | DESELMS, ROBERT    | AM FUNDS WASHINGTON MUTUAL INVESTOR | 0.00                 | 2.87                | 0.00               | 2.87              | 85.0 | 2.44                 |
| 09/01/2017                                   | THANASIU, ROBERT   | AM FUNDS WASHINGTON MUTUAL INVESTOR | 0.00                 | 1.49                | 0.00               | 1.49              | 85.0 | 1.27                 |
| 09/01/2017                                   | PAPIO, STEPHANIE   | AM FUNDS WASHINGTON MUTUAL INVESTOR | 0.00                 | 0.62                | 0.00               | 0.62              | 85.0 | 0.53                 |
| 09/01/2017                                   | PAPIO, JOE         | AM FUNDS WASHINGTON MUTUAL INVESTOR | 0.00                 | 0.51                | 0.00               | 0.51              | 85.0 | 0.43                 |

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| DATE                                  | CLIENT                | INVESTMENT                          | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|---------------------------------------|-----------------------|-------------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b><u>BROKER TRANSACTIONS</u></b>     |                       |                                     |                      |                     |                    |                   |      |                      |
| <b>PRODUCT CATEGORY: MUTUAL FUNDS</b> |                       |                                     |                      |                     |                    |                   |      |                      |
| 09/01/2017                            | DENHAM, CONSTANCE     | AM FUNDS WASHINGTON MUTUAL INVESTOR | 0.00                 | 0.76                | 0.00               | 0.76              | 85.0 | 0.65                 |
| 09/01/2017                            | ZORNOW TRUST, BETTY   | AM FUNDS WASHINGTON MUTUAL INVESTOR | 0.00                 | 15.77               | 0.00               | 15.77             | 85.0 | 13.40                |
| 09/01/2017                            | FRANTZ, JUDITH        | AM FUNDS WASHINGTON MUTUAL INVESTOR | 0.00                 | 0.47                | 0.00               | 0.47              | 85.0 | 0.40                 |
| 09/01/2017                            | MEREDITH, TERESE      | AM FUNDS WASHINGTON MUTUAL INVESTOR | 0.00                 | 1.17                | 0.00               | 1.17              | 85.0 | 0.99                 |
| 09/01/2017                            | RICHARDS, STEPHEN     | AM FUNDS WASHINGTON MUTUAL INVESTOR | 0.00                 | 4.66                | 0.00               | 4.66              | 85.0 | 3.96                 |
| 09/01/2017                            | KRAMER, TRISTON       | AM FUNDS WASHINGTON MUTUAL INVESTOR | 0.00                 | 0.67                | 0.00               | 0.67              | 85.0 | 0.57                 |
| 09/01/2017                            | HAWBLITZ TRUST, AGNES | AM FUNDS WASHINGTON MUTUAL INVESTOR | 0.00                 | 8.97                | 0.00               | 8.97              | 85.0 | 7.62                 |
| 09/01/2017                            | HAWBLITZ TRUST, PETER | AM FUNDS WASHINGTON MUTUAL INVESTOR | 0.00                 | 9.04                | 0.00               | 9.04              | 85.0 | 7.68                 |
| 09/01/2017                            | KRIEGER, RENEE        | AM FUNDS WASHINGTON MUTUAL INVESTOR | 0.00                 | 9.10                | 0.00               | 9.10              | 85.0 | 7.74                 |
| 09/01/2017                            | FISHER, SCOTT TW      | AM FUNDS WASHINGTON MUTUAL INVESTOR | 0.00                 | 4.28                | 0.00               | 4.28              | 85.0 | 3.64                 |
| 09/01/2017                            | LEININGER, ZACHARY    | AM FUNDS WASHINGTON MUTUAL INVESTOR | 0.00                 | 0.29                | 0.00               | 0.29              | 85.0 | 0.25                 |
| 09/01/2017                            | LEININGER, ELI        | AM FUNDS WASHINGTON MUTUAL INVESTOR | 0.00                 | 0.29                | 0.00               | 0.29              | 85.0 | 0.25                 |
| 09/01/2017                            | FRENCH, VICTORIA      | AM FUNDS WASHINGTON MUTUAL INVESTOR | 0.00                 | 0.26                | 0.00               | 0.26              | 85.0 | 0.22                 |
| 09/01/2017                            | FRENCH, RICHARD       | AM FUNDS WASHINGTON MUTUAL INVESTOR | 0.00                 | 0.26                | 0.00               | 0.26              | 85.0 | 0.22                 |
| 09/01/2017                            | KRAMER, DELANEY       | AM FUNDS WASHINGTON MUTUAL INVESTOR | 0.00                 | 0.24                | 0.00               | 0.24              | 85.0 | 0.20                 |
| 09/01/2017                            | ABBE JR, GARY         | AM FUNDS WASHINGTON MUTUAL INVESTOR | 0.00                 | 3.59                | 0.00               | 3.59              | 85.0 | 3.05                 |
| 09/01/2017                            | BELKOFE, STACEY       | AM FUNDS WASHINGTON MUTUAL INVESTOR | 0.00                 | 0.45                | 0.00               | 0.45              | 85.0 | 0.38                 |
| 09/01/2017                            | KRAMER, KARYS         | AM FUNDS WASHINGTON MUTUAL INVESTOR | 0.00                 | 0.29                | 0.00               | 0.29              | 85.0 | 0.25                 |
| 09/01/2017                            | KRAL, ADAM            | AM FUNDS WASHINGTON MUTUAL INVESTOR | 0.00                 | 3.13                | 0.00               | 3.13              | 85.0 | 2.66                 |
| 09/01/2017                            | DREEZE, MARCELINA     | AM FUNDS WASHINGTON MUTUAL INVESTOR | 0.00                 | 1.93                | 0.00               | 1.93              | 85.0 | 1.64                 |
| 09/01/2017                            | STACY, ROSS           | AM FUNDS WASHINGTON MUTUAL INVESTOR | 0.00                 | 0.37                | 0.00               | 0.37              | 85.0 | 0.31                 |
| 09/01/2017                            | CANNON, BARBARA       | AM FUNDS WASHINGTON MUTUAL INVESTOR | 0.00                 | 0.51                | 0.00               | 0.51              | 85.0 | 0.43                 |
| 09/01/2017                            | SAPP, ANGELAMARIE     | AM FUNDS WASHINGTON MUTUAL INVESTOR | 0.00                 | 1.23                | 0.00               | 1.23              | 85.0 | 1.05                 |
| 09/01/2017                            | LATTA, MARY           | AM FUNDS WASHINGTON MUTUAL INVESTOR | 0.00                 | 1.30                | 0.00               | 1.30              | 85.0 | 1.11                 |
| 09/01/2017                            | GRAHAM, DAVID         | AM FUNDS WASHINGTON MUTUAL INVESTOR | 0.00                 | 0.16                | 0.00               | 0.16              | 85.0 | 0.14                 |
| 09/01/2017                            | AUGUSTYNIK, ROGER     | AM FUNDS WASHINGTON MUTUAL INVESTOR | 0.00                 | 12.37               | 0.00               | 12.37             | 85.0 | 10.51                |
| 09/01/2017                            | MI/TOD                | AM FUNDS WASHINGTON MUTUAL INVESTOR | 0.00                 | 8.52                | 0.00               | 8.52              | 85.0 | 7.24                 |
| 09/01/2017                            | PAPIO, AARON          | AM FUNDS WASHINGTON MUTUAL INVESTOR | 0.00                 | 0.51                | 0.00               | 0.51              | 85.0 | 0.43                 |
| 09/01/2017                            | LEININGER, KENNETH    | AM FUNDS WASHINGTON MUTUAL INVESTOR | 0.00                 | 4.45                | 0.00               | 4.45              | 85.0 | 3.78                 |
| 09/01/2017                            | PERRY, CAROL          | AM FUNDS WASHINGTON MUTUAL INVESTOR | 0.00                 | 15.74               | 0.00               | 15.74             | 85.0 | 13.38                |
| 09/01/2017                            | AUGUSTYNIK, VALERIE   | AM FUNDS WASHINGTON MUTUAL INVESTOR | 0.00                 | 0.17                | 0.00               | 0.17              | 85.0 | 0.14                 |
| 09/01/2017                            | AUGUSTYNIK, HEATHER   | AM FUNDS WASHINGTON MUTUAL INVESTOR | 0.00                 | 4.02                | 0.00               | 4.02              | 85.0 | 3.42                 |
| 09/01/2017                            | VESEY, CAROL          | AM FUNDS WASHINGTON MUTUAL INVESTOR | 0.00                 | 1.13                | 0.00               | 1.13              | 85.0 | 0.96                 |

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

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

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

| DATE | CLIENT | INVESTMENT | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|------|--------|------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
|------|--------|------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|

BROKER TRANSACTIONS

PRODUCT CATEGORY: MUTUAL FUNDS

|                           |                 |                                     |          |            |        |            |      |            |
|---------------------------|-----------------|-------------------------------------|----------|------------|--------|------------|------|------------|
| 09/15/2017                | LEININGER, LISA | BLACKROCK FUND 19452P677            | 25.00    | 1.25       | 0.00   | 1.25       | 85.0 | 1.06       |
| 09/15/2017                | LEININGER, LISA | BLACKROCK FUND 19452P677            | 25.00    | 1.25       | 0.00   | 1.25       | 85.0 | 1.06       |
| 09/15/2017                | LEROUX, LAURA   | BLK MOD 10-12 AGE BASED A           | 300.00   | 11.25      | 0.00   | 11.25      | 85.0 | 9.56       |
| 09/01/2017                | DESELMS, ROBERT | LTD TERM TAX-EX BOND FUND OF AMERIC | 0.00     | 0.67       | 0.00   | 0.67       | 85.0 | 0.57       |
| * MUTUAL FUNDS SUBTOTAL * |                 |                                     | \$350.00 | \$1,252.08 | \$0.00 | \$1,252.08 |      | \$1,064.27 |

PRODUCT CATEGORY: VARIABLE ANNUITIES

|                                   |                  |              |          |            |        |            |      |            |
|-----------------------------------|------------------|--------------|----------|------------|--------|------------|------|------------|
| 09/18/2017                        | FRANTZ, KIMBERLY | MML ARTISTRY | 50.00    | 2.75       | 0.00   | 2.75       | 85.0 | 2.34       |
| * VARIABLE ANNUITIES SUBTOTAL *   |                  |              | \$50.00  | \$2.75     | \$0.00 | \$2.75     |      | \$2.34     |
| *** BROKER TRANSACTIONS TOTAL *** |                  |              | \$400.00 | \$1,254.83 | \$0.00 | \$1,254.83 |      | \$1,066.61 |

BROKER COMMISSION TOTALS

|                       |            |
|-----------------------|------------|
| Broker Transactions   | \$1,066.61 |
| Split Transactions    | \$0.00     |
| Override Transactions | \$0.00     |
| Adjustments           | \$0.00     |
| Payroll Draw          | \$0.00     |
| Base Salary           | \$0.00     |
| Prior Period Balance  | \$0.00     |
| FINRA Assessment      | \$0.00     |
| SIPC Assessment       | \$0.00     |

|                       |             |
|-----------------------|-------------|
| Check Amount          | \$1,066.61  |
| Year-to-date Gross    | \$50,344.69 |
| Year-to-date Earnings | \$42,954.70 |

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