BROKER

R.F. Lafferty & Co., Inc.

mpanies Page No. 1

# COMMISSION STATEMENT July 31, 2018

ROBERT STRAVINSKI

11384 HIGHBROOK COURT

POTOMAC FALLS, VA 20165

#### BROKER #: W13

GROSS

BRANCH: FULCRUM GROUP

CLEARING

NET

#### COMMISSION STATEMENT for ROBERT STRAVINSKI

INVESTMENT

| TRADE DATE   | CLIENT                      | INVESTMENT                            | B/S  | AMOUNT   | COMMISSION | CHARGE | COMMISSION | RATE | COMMISSION |
|--------------|-----------------------------|---------------------------------------|------|----------|------------|--------|------------|------|------------|
|              |                             |                                       |      |          |            |        |            |      |            |
|              |                             | BROKER TR                             | RANS | ACTIONS  |            |        |            |      |            |
|              |                             | <u> </u>                              |      | 10110110 |            |        |            |      |            |
| PRODUCT CA   | TEGORY: MUTUAL FUNDS        |                                       |      |          |            |        |            |      |            |
| 07/11/2018 ( | None) VARIOUS, STRAVINSKI   | INVESCO                               | В    | 0.00     | 683.07     | 0.00   | 683.07     | 80.0 | 546.46     |
| 07/17/2018 ( | None) VARIOUS, STRAVINSKI   | AMERICAN CENTURY GROWTH FUND INVES    | T B  | 0.00     | 7.61       | 0.00   | 7.61       | 80.0 | 6.09       |
| 07/24/2018 ( | None) VARIOUS, STRAVINSKI   | JOHN HANCOCK INVESTMENTS              | В    | 0.00     | 8.38       | 0.00   | 8.38       | 80.0 | 6.70       |
| 07/24/2018 ( | None) VARIOUS, STRAVINSKI   | T ROWEPRICE                           | В    | 0.00     | 27.42      | 0.00   | 27.42      | 80.0 | 21.94      |
| 07/27/2018 ( | None) VARIOUS, STRAVINSKI   | BLACKROCK FUNDS                       | В    | 0.00     | 10.88      | 0.00   | 10.88      | 80.0 | 8.70       |
| 07/30/2018 ( | None) VARIOUS, STRAVINSKI   | BLACKROCK FUNDS                       | В    | 0.00     | 471.23     | 0.00   | 471.23     | 80.0 | 376.98     |
| 07/10/2018 0 | 00061056926 LORENZEN, CARO  | YN EUROPACIFIC GROWTH FUND-A          | В    | 50.00    | 1.00       | 0.00   | 1.00       | 80.0 | 0.80       |
| 07/10/2018 0 | 00061056926 LORENZEN, CARO  | YN NEW PERSPECTIVE FUND-A             | В    | 50.00    | 1.00       | 0.00   | 1.00       | 80.0 | 0.80       |
| 07/10/2018 0 | 00061056926 LORENZEN, CARO  | YN THE INVESTMENT COMPANY OF AMERICA- | AВ   | 50.00    | 1.00       | 0.00   | 1.00       | 80.0 | 0.80       |
| 07/10/2018 0 | 0082988425 RIGGLEMAN, LUTI  | ER AMCAP FUND-A                       | В    | 11.70    | 0.32       | 0.00   | 0.32       | 80.0 | 0.26       |
| 07/10/2018 0 | 0082988425 RIGGLEMAN, LUTI  | ER AMCAP FUND-A                       | В    | 10.80    | 0.30       | 0.00   | 0.30       | 80.0 | 0.24       |
| 07/10/2018 0 | 0082988425 RIGGLEMAN, LUTI  | ER CAPITAL WORLD GROWTH AND INCOME FU | N B  | 3.90     | 0.11       | 0.00   | 0.11       | 80.0 | 0.09       |
| 07/10/2018 0 | 0082988425 RIGGLEMAN, LUTI  | ER CAPITAL WORLD GROWTH AND INCOME FU | ΝB   | 3.60     | 0.10       | 0.00   | 0.10       | 80.0 | 0.08       |
| 07/10/2018 0 | 0082988425 RIGGLEMAN, LUTI  | ER INTERMEDIATE BOND FUND OF AMERICA- | AB   | 1.95     | 0.04       | 0.00   | 0.04       | 80.0 | 0.03       |
| 07/10/2018 0 | 0082988425 RIGGLEMAN, LUTI  | ER INTERMEDIATE BOND FUND OF AMERICA- | АВ   | 1.80     | 0.04       | 0.00   | 0.04       | 80.0 | 0.03       |
| 07/10/2018 0 | 0082988425 RIGGLEMAN, LUTI  | ER THE GROWTH FUND OF AMERICA-A       | В    | 11.70    | 0.32       | 0.00   | 0.32       | 80.0 | 0.26       |
| 07/10/2018 0 | 0082988425 RIGGLEMAN, LUTI  | ER THE GROWTH FUND OF AMERICA-A       | В    | 10.80    | 0.30       | 0.00   | 0.30       | 80.0 | 0.24       |
| 07/10/2018 0 | 0082988425 RIGGLEMAN, LUTI  | ER THE INVESTMENT COMPANY OF AMERICA- | АВ   | 3.90     | 0.11       | 0.00   | 0.11       | 80.0 | 0.09       |
| 07/10/2018 0 | 0082988425 RIGGLEMAN, LUTI  | ER THE INVESTMENT COMPANY OF AMERICA- | АВ   | 3.60     | 0.10       | 0.00   | 0.10       | 80.0 | 0.08       |
| 07/10/2018 0 | 0082988425 RIGGLEMAN, LUTI  | ER THE NEW ECONOMY FUND-A             | В    | 3.90     | 0.11       | 0.00   | 0.11       | 80.0 | 0.09       |
| 07/10/2018 0 | 0082988425 RIGGLEMAN, LUTI  | ER THE NEW ECONOMY FUND-A             | В    | 3.60     | 0.10       | 0.00   | 0.10       | 80.0 | 0.08       |
| 07/12/2018 0 | 0082988425 RIGGLEMAN, LUTI  | ER AMCAP FUND-A                       | В    | 11.70    | 0.32       | 0.00   | 0.32       | 80.0 | 0.26       |
| 07/12/2018 0 | 0082988425 RIGGLEMAN, LUTI  | ER AMCAP FUND-A                       | В    | 10.80    | 0.30       | 0.00   | 0.30       | 80.0 | 0.24       |
| 07/12/2018 0 | 0082988425 RIGGLEMAN, LUTI  | ER CAPITAL WORLD GROWTH AND INCOME FU | ΝB   | 3.90     | 0.11       | 0.00   | 0.11       | 80.0 | 0.09       |
| 07/12/2018 0 | 0082988425 RIGGLEMAN, LUTI  | ER CAPITAL WORLD GROWTH AND INCOME FU | N B  | 3.60     | 0.10       | 0.00   | 0.10       | 80.0 | 0.08       |
| 07/12/2018 0 | 0082988425 RIGGLEMAN, LUTI  | ER INTERMEDIATE BOND FUND OF AMERICA- | АВ   | 1.95     | 0.04       | 0.00   | 0.04       | 80.0 | 0.03       |
| 07/12/2018 0 | 10082988425 RIGGLEMAN, LUTI | ER INTERMEDIATE BOND FUND OF AMERICA- | АВ   | 1.80     | 0.04       | 0.00   | 0.04       | 80.0 | 0.03       |
|              |                             | ER THE GROWTH FUND OF AMERICA-A       | В    | 11.70    | 0.32       | 0.00   | 0.32       | 80.0 | 0.26       |
|              | •                           | ER THE GROWTH FUND OF AMERICA-A       | В    | 10.80    | 0.30       | 0.00   | 0.30       | 80.0 | 0.24       |
|              |                             | ER THE INVESTMENT COMPANY OF AMERICA- |      | 3.90     | 0.11       | 0.00   | 0.11       | 80.0 | 0.09       |
|              | •                           | ER THE INVESTMENT COMPANY OF AMERICA- |      | 3.60     | 0.10       | 0.00   | 0.10       | 80.0 | 0.08       |
| , 12, 2010 0 | TITE TO THE TOTAL AND THE   |                                       |      | 5.00     | 0.10       | 3.00   | 3.10       | 00.0 | 3.00       |

INVESTMENT

GROSS

CLEARING

NET

Page No. 2

BROKER

| TRADE DATE   | CLIENT                  |             | INVESTMENT B/S                        | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE  | BROKER<br>COMMISSION |
|--------------|-------------------------|-------------|---------------------------------------|----------------------|---------------------|--------------------|-------------------|-------|----------------------|
|              | CHILINI                 |             |                                       | 12100111             | COLULIDATON         | CIMMOD             | CO12112221011     | 14111 | COLLIEBTION          |
|              |                         |             | BROKER TRANS                          | 'ACTTONG             |                     |                    |                   |       |                      |
|              |                         |             | BROKER TRAIN                          | ACTIONS              |                     |                    |                   |       |                      |
|              | TEGORY: MUTUAL FUNI     | _           |                                       |                      |                     |                    |                   |       |                      |
| 07/12/2018 0 | 0082988425 RIGGLEMAN,   | LUTHER      | THE NEW ECONOMY FUND-A B              | 3.90                 | 0.11                | 0.00               | 0.11              |       | 0.09                 |
| 07/12/2018 0 | 0082988425 RIGGLEMAN,   | LUTHER      | THE NEW ECONOMY FUND-A B              | 3.60                 | 0.10                | 0.00               | 0.10              | 80.0  | 0.08                 |
| 07/23/2018 0 | 0082988425 RIGGLEMAN,   | LUTHER      | AMCAP FUND-A B                        | 12.00                | 0.33                | 0.00               | 0.33              | 80.0  | 0.26                 |
| 07/23/2018 0 | 0082988425 RIGGLEMAN,   | LUTHER      | AMCAP FUND-A B                        | 11.70                | 0.32                | 0.00               | 0.32              | 80.0  | 0.26                 |
| 07/23/2018 0 | 0082988425 RIGGLEMAN,   | LUTHER      | CAPITAL WORLD GROWTH AND INCOME FUN B | 4.00                 | 0.11                | 0.00               | 0.11              | 80.0  | 0.09                 |
| 07/23/2018 0 | 0082988425 RIGGLEMAN,   | LUTHER      | CAPITAL WORLD GROWTH AND INCOME FUN B | 3.90                 | 0.11                | 0.00               | 0.11              | 80.0  | 0.09                 |
| 07/23/2018 0 | 0082988425 RIGGLEMAN,   | LUTHER      | INTERMEDIATE BOND FUND OF AMERICA-A B | 2.00                 | 0.04                | 0.00               | 0.04              | 80.0  | 0.03                 |
| 07/23/2018 0 | 0082988425 RIGGLEMAN,   | LUTHER      | INTERMEDIATE BOND FUND OF AMERICA-A B | 1.95                 | 0.04                | 0.00               | 0.04              | 80.0  | 0.03                 |
| 07/23/2018 0 | 0082988425 RIGGLEMAN,   | LUTHER      | THE GROWTH FUND OF AMERICA-A B        | 12.00                | 0.33                | 0.00               | 0.33              | 80.0  | 0.26                 |
| 07/23/2018 0 | 0082988425 RIGGLEMAN,   | LUTHER      | THE GROWTH FUND OF AMERICA-A B        | 11.70                | 0.32                | 0.00               | 0.32              | 80.0  | 0.26                 |
| 07/23/2018 0 | 0082988425 RIGGLEMAN,   | LUTHER      | THE INVESTMENT COMPANY OF AMERICA-A B | 4.00                 | 0.11                | 0.00               | 0.11              | 80.0  | 0.09                 |
| 07/23/2018 0 | 0082988425 RIGGLEMAN,   | LUTHER      | THE INVESTMENT COMPANY OF AMERICA-A B | 3.90                 | 0.11                | 0.00               | 0.11              | 80.0  | 0.09                 |
| 07/23/2018 0 | 0082988425 RIGGLEMAN,   | LUTHER      | THE NEW ECONOMY FUND-A B              | 4.00                 | 0.11                | 0.00               | 0.11              | 80.0  | 0.09                 |
| 07/23/2018 0 | 0082988425 RIGGLEMAN,   | LUTHER      | THE NEW ECONOMY FUND-A B              | 3.90                 | 0.11                | 0.00               | 0.11              | 80.0  | 0.09                 |
| 07/24/2018 0 | 0082988425 RIGGLEMAN,   | LUTHER      | AMCAP FUND-A B                        | 12.00                | 0.33                | 0.00               | 0.33              | 80.0  | 0.26                 |
| 07/24/2018 0 | 0082988425 RIGGLEMAN,   | LUTHER      | AMCAP FUND-A B                        | 11.70                | 0.32                | 0.00               | 0.32              | 80.0  | 0.26                 |
| 07/24/2018 0 | 0082988425 RIGGLEMAN,   | LUTHER      | CAPITAL WORLD GROWTH AND INCOME FUN B | 4.00                 | 0.11                | 0.00               | 0.11              | 80.0  | 0.09                 |
| 07/24/2018 0 | 0082988425 RIGGLEMAN,   | LUTHER      | CAPITAL WORLD GROWTH AND INCOME FUN B | 3.90                 | 0.11                | 0.00               | 0.11              | 80.0  | 0.09                 |
| 07/24/2018 0 | 0082988425 RIGGLEMAN,   | LUTHER      | INTERMEDIATE BOND FUND OF AMERICA-A B | 2.00                 | 0.04                | 0.00               | 0.04              | 80.0  | 0.03                 |
| 07/24/2018 0 | 0082988425 RIGGLEMAN,   | LUTHER      | INTERMEDIATE BOND FUND OF AMERICA-A B | 1.95                 | 0.04                | 0.00               | 0.04              | 80.0  | 0.03                 |
| 07/24/2018 0 | 0082988425 RIGGLEMAN,   | LUTHER      | THE GROWTH FUND OF AMERICA-A B        | 12.00                | 0.33                | 0.00               | 0.33              | 80.0  | 0.26                 |
| 07/24/2018 0 | 0082988425 RIGGLEMAN,   | LUTHER      | THE GROWTH FUND OF AMERICA-A B        | 11.70                | 0.32                | 0.00               | 0.32              | 80.0  | 0.26                 |
| 07/24/2018 0 | 0082988425 RIGGLEMAN,   | LUTHER      | THE INVESTMENT COMPANY OF AMERICA-A B | 4.00                 | 0.11                | 0.00               | 0.11              | 80.0  | 0.09                 |
| 07/24/2018 0 | 0082988425 RIGGLEMAN,   | LUTHER      | THE INVESTMENT COMPANY OF AMERICA-A B | 3.90                 | 0.11                | 0.00               | 0.11              | 80.0  | 0.09                 |
| 07/24/2018 0 | 0082988425 RIGGLEMAN,   | LUTHER      | THE NEW ECONOMY FUND-A B              | 4.00                 | 0.11                | 0.00               | 0.11              | 80.0  | 0.09                 |
| 07/24/2018 0 | 0082988425 RIGGLEMAN,   | LUTHER      | THE NEW ECONOMY FUND-A B              | 3.90                 | 0.11                | 0.00               | 0.11              | 80.0  | 0.09                 |
| 07/26/2018 0 | 0082988425 RIGGLEMAN,   | LUTHER      | AMCAP FUND-A B                        | 12.00                | 0.33                | 0.00               | 0.33              | 80.0  | 0.26                 |
| 07/26/2018 0 | 0082988425 RIGGLEMAN,   | LUTHER      | AMCAP FUND-A B                        | 11.70                | 0.32                | 0.00               | 0.32              | 80.0  | 0.26                 |
| 07/26/2018 0 | 0082988425 RIGGLEMAN,   | LUTHER      | CAPITAL WORLD GROWTH AND INCOME FUN B | 4.00                 | 0.11                | 0.00               | 0.11              | 80.0  | 0.09                 |
| 07/26/2018 0 | 0082988425 RIGGLEMAN,   | LUTHER      | CAPITAL WORLD GROWTH AND INCOME FUN B | 3.90                 | 0.11                | 0.00               | 0.11              | 80.0  | 0.09                 |
| 07/26/2018 0 | 0082988425 RIGGLEMAN,   | LUTHER      | INTERMEDIATE BOND FUND OF AMERICA-A B | 2.00                 | 0.04                | 0.00               | 0.04              | 80.0  | 0.03                 |
| 07/26/2018 0 | 0082988425 RIGGLEMAN,   | LUTHER      | INTERMEDIATE BOND FUND OF AMERICA-A B | 1.95                 | 0.04                | 0.00               | 0.04              | 80.0  | 0.03                 |
| 07/26/2018 0 | 0082988425 RIGGLEMAN.   | LUTHER      | THE GROWTH FUND OF AMERICA-A B        | 12.00                | 0.33                | 0.00               | 0.33              | 80.0  | 0.26                 |
|              | •                       |             | THE GROWTH FUND OF AMERICA-A B        | 11.70                | 0.32                | 0.00               |                   | 80.0  | 0.26                 |
|              | •                       |             | THE INVESTMENT COMPANY OF AMERICA-A B | 4.00                 | 0.11                | 0.00               |                   | 80.0  | 0.09                 |
|              |                         |             | THE INVESTMENT COMPANY OF AMERICA-A B | 3.90                 | 0.11                | 0.00               |                   | 80.0  | 0.09                 |
|              |                         |             | THE NEW ECONOMY FUND-A B              | 4.00                 | 0.11                | 0.00               |                   | 80.0  | 0.09                 |
|              |                         |             | THE NEW ECONOMY FUND-A B              | 3.90                 | 0.11                | 0.00               |                   | 80.0  | 0.09                 |
|              | 0082994053 SMITH, CHA   |             |                                       | 6.00                 | 0.17                | 0.00               |                   | 80.0  | 0.14                 |
|              | 0082994053 SMITH, CHA   |             |                                       | 7.20                 | 0.20                | 0.00               |                   | 80.0  | 0.16                 |
| 07/10/2010 0 | UUUZJJAUJJ BRITIII, CRE | 71/11/01/17 | APICAL FUND-A D                       | 7.20                 | 0.20                | 0.00               | 0.20              | 00.0  | 0.10                 |

INVESTMENT

TRADE DATE

CLIENT

## COMMISSION STATEMENT for ROBERT STRAVINSKI

B/S

INVESTMENT

AMOUNT

GROSS

COMMISSION

CLEARING

CHARGE

NET

COMMISSION

Page No.

RATE

BROKER

COMMISSION

3

| IRADE DATE CELENT                         | INVESTMENT                            | -, -   | PEROONI | COMMIDDION | СПИКОВ | COMMIDDION | типп | COMMIDDION |
|---|---------------------------------------|--------|---------|------------|--------|------------|------|------------|
|   |                                       |        |         |            |        |            |      |            |
|   | BROKER TE                             | RANSAC | CTIONS  |            |        |            |      |            |
| PRODUCT CATEGORY: MUTUAL FUNDS            |                                       |        |         |            |        |            |      |            |
| 07/10/2018 00082994053 SMITH, CHARLOTT    | E CAPITAL INCOME BUILDER-A            | В      | 6.00    | 0.17       | 0.00   | 0.17       | 80.0 | 0.14       |
| 07/10/2018 00082994053 SMITH, CHARLOTT    | E CAPITAL INCOME BUILDER-A            | В      | 7.20    | 0.20       | 0.00   | 0.20       | 80.0 | 0.16       |
| 07/10/2018 00082994053 SMITH, CHARLOTT    | E EUROPACIFIC GROWTH FUND-A           | В      | 3.00    | 0.08       | 0.00   | 0.08       | 80.0 | 0.06       |
| 07/10/2018 00082994053 SMITH, CHARLOTT    | E EUROPACIFIC GROWTH FUND-A           | В      | 3.60    | 0.10       | 0.00   | 0.10       | 80.0 | 0.08       |
| 07/10/2018 00082994053 SMITH, CHARLOTT    | E SMALLCAP WORLD FUND-A               | В      | 3.00    | 0.08       | 0.00   | 0.08       | 80.0 | 0.06       |
| 07/10/2018 00082994053 SMITH, CHARLOTT    | E SMALLCAP WORLD FUND-A               | В      | 3.60    | 0.10       | 0.00   | 0.10       | 80.0 | 0.08       |
| 07/10/2018 00082994053 SMITH, CHARLOTT    | E THE GROWTH FUND OF AMERICA-A        | В      | 7.50    | 0.21       | 0.00   | 0.21       | 80.0 | 0.17       |
| 07/10/2018 00082994053 SMITH, CHARLOTT    | E THE GROWTH FUND OF AMERICA-A        | В      | 9.00    | 0.25       | 0.00   | 0.25       | 80.0 | 0.20       |
| 07/10/2018 00082994053 SMITH, CHARLOTT    | E THE INVESTMENT COMPANY OF AMERICA-  | AΒ     | 4.50    | 0.12       | 0.00   | 0.12       | 80.0 | 0.10       |
| 07/10/2018 00082994053 SMITH, CHARLOTT    | E THE INVESTMENT COMPANY OF AMERICA-  | AΒ     | 5.40    | 0.15       | 0.00   | 0.15       | 80.0 | 0.12       |
| 07/12/2018 00082994053 SMITH, CHARLOTT    | E AMCAP FUND-A                        | В      | 6.00    | 0.17       | 0.00   | 0.17       | 80.0 | 0.14       |
| 07/12/2018 00082994053 SMITH, CHARLOTT    | E AMCAP FUND-A                        | В      | 7.20    | 0.20       | 0.00   | 0.20       | 80.0 | 0.16       |
| 07/12/2018 00082994053 SMITH, CHARLOTT    | E CAPITAL INCOME BUILDER-A            | В      | 6.00    | 0.17       | 0.00   | 0.17       | 80.0 | 0.14       |
| 07/12/2018 00082994053 SMITH, CHARLOTT    | E CAPITAL INCOME BUILDER-A            | В      | 7.20    | 0.20       | 0.00   | 0.20       | 80.0 | 0.16       |
| 07/12/2018 00082994053 SMITH, CHARLOTT    | E EUROPACIFIC GROWTH FUND-A           | В      | 3.00    | 0.08       | 0.00   | 0.08       | 80.0 | 0.06       |
| 07/12/2018 00082994053 SMITH, CHARLOTT    | E EUROPACIFIC GROWTH FUND-A           | В      | 3.60    | 0.10       | 0.00   | 0.10       | 80.0 | 0.08       |
| 07/12/2018 00082994053 SMITH, CHARLOTT    | E SMALLCAP WORLD FUND-A               | В      | 3.00    | 0.08       | 0.00   | 0.08       | 80.0 | 0.06       |
| 07/12/2018 00082994053 SMITH, CHARLOTT    | E SMALLCAP WORLD FUND-A               | В      | 3.60    | 0.10       | 0.00   | 0.10       | 80.0 | 0.08       |
| 07/12/2018 00082994053 SMITH, CHARLOTT    | E THE GROWTH FUND OF AMERICA-A        | В      | 7.50    | 0.21       | 0.00   | 0.21       | 80.0 | 0.17       |
| 07/12/2018 00082994053 SMITH, CHARLOTT    | E THE GROWTH FUND OF AMERICA-A        | В      | 9.00    | 0.25       | 0.00   | 0.25       | 80.0 | 0.20       |
| 07/12/2018 00082994053 SMITH, CHARLOTT    | THE INVESTMENT COMPANY OF AMERICA-    | АВ     | 4.50    | 0.12       | 0.00   | 0.12       | 80.0 | 0.10       |
| 07/12/2018 00082994053 SMITH, CHARLOTT    | THE INVESTMENT COMPANY OF AMERICA-    | АВ     | 5.40    | 0.15       | 0.00   | 0.15       | 80.0 | 0.12       |
| 07/23/2018 00082994053 SMITH, CHARLOTT    | 'E AMCAP FUND-A                       | В      | 8.00    | 0.22       | 0.00   | 0.22       | 80.0 | 0.18       |
| 07/23/2018 00082994053 SMITH, CHARLOTT    | 'E AMCAP FUND-A                       | В      | 6.00    | 0.17       | 0.00   | 0.17       | 80.0 | 0.14       |
| 07/23/2018 00082994053 SMITH, CHARLOTT    | 'E CAPITAL INCOME BUILDER-A           | В      | 8.00    | 0.22       | 0.00   | 0.22       | 80.0 | 0.18       |
| 07/23/2018 00082994053 SMITH, CHARLOTT    | 'E CAPITAL INCOME BUILDER-A           | В      | 6.00    | 0.17       | 0.00   | 0.17       | 80.0 | 0.14       |
| 07/23/2018 00082994053 SMITH, CHARLOTT    | 'E EUROPACIFIC GROWTH FUND-A          | В      | 4.00    | 0.11       | 0.00   | 0.11       | 80.0 | 0.09       |
| 07/23/2018 00082994053 SMITH, CHARLOTT    | 'E EUROPACIFIC GROWTH FUND-A          | В      | 3.00    | 0.08       | 0.00   | 0.08       | 80.0 | 0.06       |
| 07/23/2018 00082994053 SMITH, CHARLOTT    | 'E SMALLCAP WORLD FUND-A              | В      | 4.00    | 0.11       | 0.00   | 0.11       | 80.0 | 0.09       |
| 07/23/2018 00082994053 SMITH, CHARLOTT    | 'E SMALLCAP WORLD FUND-A              | В      | 3.00    | 0.08       | 0.00   | 0.08       | 80.0 | 0.06       |
| 07/23/2018 00082994053 SMITH, CHARLOTT    | 'E THE GROWTH FUND OF AMERICA-A       | В      | 10.00   | 0.28       | 0.00   | 0.28       | 80.0 | 0.22       |
| 07/23/2018 00082994053 SMITH, CHARLOTT    | 'E THE GROWTH FUND OF AMERICA-A       | В      | 7.50    | 0.21       | 0.00   | 0.21       | 80.0 | 0.17       |
| 07/23/2018 00082994053 SMITH, CHARLOTT    | 'E THE INVESTMENT COMPANY OF AMERICA- | AΒ     | 6.00    | 0.17       | 0.00   | 0.17       | 80.0 | 0.14       |
| 07/23/2018 00082994053 SMITH, CHARLOTT    | 'E THE INVESTMENT COMPANY OF AMERICA- | AВ     | 4.50    | 0.12       | 0.00   |            | 80.0 | 0.10       |
| 07/24/2018 00082994053 SMITH, CHARLOTT    |                                       | В      | 8.00    | 0.22       | 0.00   |            | 80.0 | 0.18       |
| 07/24/2018 00082994053 SMITH, CHARLOTT    |                                       | В      | 6.00    | 0.17       | 0.00   |            | 80.0 | 0.14       |
| 07/24/2018 00082994053 SMITH, CHARLOTT    |                                       | В      | 8.00    | 0.22       | 0.00   |            | 80.0 | 0.18       |
| 07/24/2018 00082994053 SMITH, CHARLOTT    |                                       | В      | 6.00    | 0.17       | 0.00   |            | 80.0 | 0.14       |
| 07/24/2018 00082994053 SMITH, CHARLOTT    |                                       | В      | 4.00    | 0.11       | 0.00   |            | 80.0 | 0.09       |
| 07/24/2018 00082994053 SMITH, CHARLOTT    |                                       | В      | 3.00    | 0.08       | 0.00   |            | 80.0 | 0.06       |
| 1., 1., 2010 0000255 1000 DHIIII, CHARDOI |                                       | -      | 3.00    | 0.00       | 0.00   | 3.00       |      | 0.00       |

Page No. 4

| TRADE DATE    | CLIENT                      | INVESTMENT                       | B/S    | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|---------------|-----------------------------|----------------------------------|--------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
|               |                             |                                  |        |                      |                     |                    |                   |      |                      |
|               |                             | BROKER                           | TRANS  | ACTIONS              |                     |                    |                   |      |                      |
| PRODUCT CAT   | regory: Mutual funds        |                                  |        |                      |                     |                    |                   |      |                      |
| 07/24/2018 00 | 0082994053 SMITH, CHARLOTTE | SMALLCAP WORLD FUND-A            | В      | 4.00                 | 0.11                | 0.00               | 0.11              | 80.0 | 0.09                 |
|               | 0082994053 SMITH, CHARLOTTE | SMALLCAP WORLD FUND-A            | В      | 3.00                 | 0.08                | 0.00               | 0.08              | 80.0 | 0.06                 |
| 07/24/2018 00 | 0082994053 SMITH, CHARLOTTE | THE GROWTH FUND OF AMERICA-A     | В      | 10.00                | 0.28                | 0.00               | 0.28              | 80.0 | 0.22                 |
| 07/24/2018 00 | 0082994053 SMITH, CHARLOTTE | THE GROWTH FUND OF AMERICA-A     | В      | 7.50                 | 0.21                | 0.00               | 0.21              | 80.0 | 0.17                 |
| 07/24/2018 00 | 0082994053 SMITH, CHARLOTTE | THE INVESTMENT COMPANY OF AMERIC | CA-A B | 6.00                 | 0.17                | 0.00               | 0.17              | 80.0 | 0.14                 |
| 07/24/2018 00 | 0082994053 SMITH, CHARLOTTE | THE INVESTMENT COMPANY OF AMERIC | CA-A B | 4.50                 | 0.12                | 0.00               | 0.12              | 80.0 | 0.10                 |
| 07/26/2018 00 | 0082994053 SMITH, CHARLOTTE | AMCAP FUND-A                     | В      | 8.00                 | 0.22                | 0.00               | 0.22              | 80.0 | 0.18                 |
| 07/26/2018 00 | 0082994053 SMITH, CHARLOTTE | AMCAP FUND-A                     | В      | 6.00                 | 0.17                | 0.00               | 0.17              | 80.0 | 0.14                 |
| 07/26/2018 00 | 0082994053 SMITH, CHARLOTTE | CAPITAL INCOME BUILDER-A         | В      | 8.00                 | 0.22                | 0.00               | 0.22              | 80.0 | 0.18                 |
| 07/26/2018 00 | 0082994053 SMITH, CHARLOTTE | CAPITAL INCOME BUILDER-A         | В      | 6.00                 | 0.17                | 0.00               | 0.17              | 80.0 | 0.14                 |
| 07/26/2018 00 | 0082994053 SMITH, CHARLOTTE | EUROPACIFIC GROWTH FUND-A        | В      | 4.00                 | 0.11                | 0.00               | 0.11              | 80.0 | 0.09                 |
| 07/26/2018 00 | 0082994053 SMITH, CHARLOTTE | EUROPACIFIC GROWTH FUND-A        | В      | 3.00                 | 0.08                | 0.00               | 0.08              | 80.0 | 0.06                 |
| 07/26/2018 00 | 0082994053 SMITH, CHARLOTTE | SMALLCAP WORLD FUND-A            | В      | 4.00                 | 0.11                | 0.00               | 0.11              | 80.0 | 0.09                 |
| 07/26/2018 00 | 0082994053 SMITH, CHARLOTTE | SMALLCAP WORLD FUND-A            | В      | 3.00                 | 0.08                | 0.00               | 0.08              | 80.0 | 0.06                 |
| 07/26/2018 00 | 0082994053 SMITH, CHARLOTTE | THE GROWTH FUND OF AMERICA-A     | В      | 10.00                | 0.28                | 0.00               | 0.28              | 80.0 | 0.22                 |
| 07/26/2018 00 | 0082994053 SMITH, CHARLOTTE | THE GROWTH FUND OF AMERICA-A     | В      | 7.50                 | 0.21                | 0.00               | 0.21              | 80.0 | 0.17                 |
| 07/26/2018 00 | 0082994053 SMITH, CHARLOTTE | THE INVESTMENT COMPANY OF AMERIC | CA-A B | 6.00                 | 0.17                | 0.00               | 0.17              | 80.0 | 0.14                 |
| 07/26/2018 00 | 0082994053 SMITH, CHARLOTTE | THE INVESTMENT COMPANY OF AMERIC | CA-A B | 4.50                 | 0.12                | 0.00               | 0.12              | 80.0 | 0.10                 |
| 07/20/2018 00 | 0085961816 MARSHALL, MYRA   | NEW PERSPECTIVE FUND-529A        | В      | 50.00                | 1.38                | 0.00               | 1.38              | 80.0 | 1.10                 |
| 07/20/2018 00 | 0085961816 MARSHALL, MYRA   | NEW WORLD FUND-529A              | В      | 50.00                | 1.38                | 0.00               | 1.38              | 80.0 | 1.10                 |
| 07/20/2018 00 | 0085961816 MARSHALL, MYRA   | THE NEW ECONOMY FUND-529A        | В      | 50.00                | 1.38                | 0.00               | 1.38              | 80.0 | 1.10                 |
| 07/10/2018 00 | 0087267645 GILLESPIE, JASON | AMERICAN BALANCED FUND-A         | В      | 7.38                 | 0.20                | 0.00               | 0.20              | 80.0 | 0.16                 |
| 07/10/2018 00 | 0087267645 GILLESPIE, JASON | AMERICAN BALANCED FUND-A         | В      | 4.92                 | 0.14                | 0.00               | 0.14              | 80.0 | 0.11                 |
| 07/10/2018 00 | 0087267645 GILLESPIE, JASON | AMERICAN FUNDS 02629W106         | В      | 7.38                 | 0.20                | 0.00               | 0.20              | 80.0 | 0.16                 |
| 07/10/2018 00 | 0087267645 GILLESPIE, JASON | AMERICAN FUNDS 02629W106         | В      | 4.92                 | 0.14                | 0.00               | 0.14              | 80.0 | 0.11                 |
| 07/10/2018 00 | 0087267645 GILLESPIE, JASON | AMERICAN HIGH-INCOME TRUST-A     | В      | 7.38                 | 0.20                | 0.00               | 0.20              | 80.0 | 0.16                 |
| 07/10/2018 00 | 0087267645 GILLESPIE, JASON | AMERICAN HIGH-INCOME TRUST-A     | В      | 4.92                 | 0.14                | 0.00               | 0.14              | 80.0 | 0.11                 |
| 07/10/2018 00 | 0087267645 GILLESPIE, JASON | NEW PERSPECTIVE FUND-A           | В      | 11.07                | 0.30                | 0.00               | 0.30              | 80.0 | 0.24                 |
| 07/10/2018 00 | 0087267645 GILLESPIE, JASON | NEW PERSPECTIVE FUND-A           | В      | 7.38                 | 0.20                | 0.00               | 0.20              | 80.0 | 0.16                 |
| 07/10/2018 00 | 0087267645 GILLESPIE, JASON | SMALLCAP WORLD FUND-A            | В      | 22.14                | 0.61                | 0.00               | 0.61              | 80.0 | 0.49                 |
| 07/10/2018 00 | 0087267645 GILLESPIE, JASON | SMALLCAP WORLD FUND-A            | В      | 14.76                | 0.41                | 0.00               | 0.41              | 80.0 | 0.33                 |
| 07/10/2018 00 | 0087267645 GILLESPIE, JASON | THE BOND FUND OF AMERICA-A       | В      | 7.38                 | 0.20                | 0.00               | 0.20              | 80.0 | 0.16                 |
| 07/10/2018 00 | 0087267645 GILLESPIE, JASON | THE BOND FUND OF AMERICA-A       | В      | 4.92                 | 0.14                | 0.00               | 0.14              | 80.0 | 0.11                 |
| 07/10/2018 00 | 0087267645 GILLESPIE, JASON | THE GROWTH FUND OF AMERICA-A     | В      | 11.07                | 0.30                | 0.00               | 0.30              | 80.0 | 0.24                 |
| 07/10/2018 00 | 0087267645 GILLESPIE, JASON | THE GROWTH FUND OF AMERICA-A     | В      | 7.38                 | 0.20                | 0.00               | 0.20              | 80.0 | 0.16                 |
| 07/12/2018 00 | 0087267645 GILLESPIE, JASON | AMERICAN BALANCED FUND-A         | В      | 4.20                 | 0.12                | 0.00               | 0.12              | 80.0 | 0.10                 |
| 07/12/2018 00 | 0087267645 GILLESPIE, JASON | AMERICAN BALANCED FUND-A         | В      | 2.80                 | 0.08                | 0.00               | 0.08              | 80.0 | 0.06                 |
| 07/12/2018 00 | 0087267645 GILLESPIE, JASON | AMERICAN FUNDS 02629W106         | В      | 4.20                 | 0.12                | 0.00               | 0.12              | 80.0 | 0.10                 |
| 07/12/2018 00 | 0087267645 GILLESPIE, JASON | AMERICAN FUNDS 02629W106         | В      | 2.80                 | 0.08                | 0.00               | 0.08              | 80.0 | 0.06                 |
| 07/12/2018 00 | 0087267645 GILLESPIE, JASON | AMERICAN HIGH-INCOME TRUST-A     | В      | 4.20                 | 0.12                | 0.00               | 0.12              | 80.0 | 0.10                 |

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| INDEED DATE CELENT                         | INVESTMENT                   | -/-    | PHIODIVI | COMMIDDION | CIIIICII | COMMIDDION | IMIL | COMMIDDION |
|--|------------------------------|--------|----------|------------|----------|------------|------|------------|
|  |                              |        |          |            |          |            |      |            |
|  | BROKER                       | TRANSA | CTIONS   |            |          |            |      |            |
| PRODUCT CATEGORY: MUTUAL FUNDS             |                              |        |          |            |          |            |      |            |
| 07/12/2018 00087267645 GILLESPIE, JASON    | AMERICAN HIGH-INCOME TRUST-A | В      | 2.80     | 0.08       | 0.00     | 0.08       | 80.0 | 0.06       |
| 07/12/2018 00087267645 GILLESPIE, JASON    | NEW PERSPECTIVE FUND-A       | В      | 6.30     | 0.17       | 0.00     | 0.17       | 80.0 | 0.14       |
| 07/12/2018 00087267645 GILLESPIE, JASON    | NEW PERSPECTIVE FUND-A       | В      | 4.20     | 0.12       | 0.00     | 0.12       | 80.0 | 0.10       |
| 07/12/2018 00087267645 GILLESPIE, JASON    | SMALLCAP WORLD FUND-A        | В      | 12.60    | 0.35       | 0.00     | 0.35       | 80.0 | 0.28       |
| 07/12/2018 00087267645 GILLESPIE, JASON    | SMALLCAP WORLD FUND-A        | В      | 8.40     | 0.23       | 0.00     | 0.23       | 80.0 | 0.18       |
| 07/12/2018 00087267645 GILLESPIE, JASON    | THE BOND FUND OF AMERICA-A   | В      | 4.20     | 0.12       | 0.00     | 0.12       | 80.0 | 0.10       |
| 07/12/2018 00087267645 GILLESPIE, JASON    | THE BOND FUND OF AMERICA-A   | В      | 2.80     | 0.08       | 0.00     | 0.08       | 80.0 | 0.06       |
| 07/12/2018 00087267645 GILLESPIE, JASON    | THE GROWTH FUND OF AMERICA-A | В      | 6.30     | 0.17       | 0.00     | 0.17       | 80.0 | 0.14       |
| 07/12/2018 00087267645 GILLESPIE, JASON    | THE GROWTH FUND OF AMERICA-A | В      | 4.20     | 0.12       | 0.00     | 0.12       | 80.0 | 0.10       |
| 07/23/2018 00087267645 GILLESPIE, JASON    | MERICAN BALANCED FUND-A      | В      | 3.92     | 0.11       | 0.00     | 0.11       | 80.0 | 0.09       |
| 07/23/2018 00087267645 GILLESPIE, JASON    | MERICAN BALANCED FUND-A      | В      | 5.88     | 0.16       | 0.00     | 0.16       | 80.0 | 0.13       |
| 07/23/2018 00087267645 GILLESPIE, JASON    | AMERICAN FUNDS 02629W106     | В      | 3.92     | 0.11       | 0.00     | 0.11       | 80.0 | 0.09       |
| 07/23/2018 00087267645 GILLESPIE, JASON    | AMERICAN FUNDS 02629W106     | В      | 5.88     | 0.16       | 0.00     | 0.16       | 80.0 | 0.13       |
| 07/23/2018 00087267645 GILLESPIE, JASON    | AMERICAN HIGH-INCOME TRUST-A | В      | 3.92     | 0.11       | 0.00     | 0.11       | 80.0 | 0.09       |
| 07/23/2018 00087267645 GILLESPIE, JASON    | AMERICAN HIGH-INCOME TRUST-A | В      | 5.88     | 0.16       | 0.00     | 0.16       | 80.0 | 0.13       |
| 07/23/2018 00087267645 GILLESPIE, JASON    | NEW PERSPECTIVE FUND-A       | В      | 5.88     | 0.16       | 0.00     | 0.16       | 80.0 | 0.13       |
| 07/23/2018 00087267645 GILLESPIE, JASON    | NEW PERSPECTIVE FUND-A       | В      | 8.82     | 0.24       | 0.00     | 0.24       | 80.0 | 0.19       |
| 07/23/2018 00087267645 GILLESPIE, JASON    | SMALLCAP WORLD FUND-A        | В      | 11.76    | 0.32       | 0.00     | 0.32       | 80.0 | 0.26       |
| 07/23/2018 00087267645 GILLESPIE, JASON    | SMALLCAP WORLD FUND-A        | В      | 17.64    | 0.49       | 0.00     | 0.49       | 80.0 | 0.39       |
| 07/23/2018 00087267645 GILLESPIE, JASON    | THE BOND FUND OF AMERICA-A   | В      | 3.92     | 0.11       | 0.00     | 0.11       | 80.0 | 0.09       |
| 07/23/2018 00087267645 GILLESPIE, JASON    | THE BOND FUND OF AMERICA-A   | В      | 5.88     | 0.16       | 0.00     | 0.16       | 80.0 | 0.13       |
| 07/23/2018 00087267645 GILLESPIE, JASON    | THE GROWTH FUND OF AMERICA-A | В      | 5.88     | 0.16       | 0.00     | 0.16       | 80.0 | 0.13       |
| 07/23/2018 00087267645 GILLESPIE, JASON    | THE GROWTH FUND OF AMERICA-A | В      | 8.82     | 0.24       | 0.00     | 0.24       | 80.0 | 0.19       |
| 07/24/2018 00087267645 GILLESPIE, JASON    | MERICAN BALANCED FUND-A      | В      | 3.36     | 0.09       | 0.00     | 0.09       | 80.0 | 0.07       |
| 07/24/2018 00087267645 GILLESPIE, JASON    | MERICAN BALANCED FUND-A      | В      | 5.04     | 0.14       | 0.00     | 0.14       | 80.0 | 0.11       |
| 07/24/2018 00087267645 GILLESPIE, JASON    | AMERICAN FUNDS 02629W106     | В      | 3.36     | 0.09       | 0.00     | 0.09       | 80.0 | 0.07       |
| 07/24/2018 00087267645 GILLESPIE, JASON    | AMERICAN FUNDS 02629W106     | В      | 5.04     | 0.14       | 0.00     | 0.14       | 80.0 | 0.11       |
| 07/24/2018 00087267645 GILLESPIE, JASON    | AMERICAN HIGH-INCOME TRUST-A | В      | 3.36     | 0.09       | 0.00     | 0.09       | 80.0 | 0.07       |
| 07/24/2018 00087267645 GILLESPIE, JASON    | AMERICAN HIGH-INCOME TRUST-A | В      | 5.04     | 0.14       | 0.00     | 0.14       | 80.0 | 0.11       |
| 07/24/2018 00087267645 GILLESPIE, JASON    | NEW PERSPECTIVE FUND-A       | В      | 5.04     | 0.14       | 0.00     | 0.14       | 80.0 | 0.11       |
| 07/24/2018 00087267645 GILLESPIE, JASON    | NEW PERSPECTIVE FUND-A       | В      | 7.56     | 0.21       | 0.00     | 0.21       | 80.0 | 0.17       |
| 07/24/2018 00087267645 GILLESPIE, JASON    | SMALLCAP WORLD FUND-A        | В      | 10.08    | 0.28       | 0.00     | 0.28       | 80.0 | 0.22       |
| 07/24/2018 00087267645 GILLESPIE, JASON    | SMALLCAP WORLD FUND-A        | В      | 15.12    | 0.42       | 0.00     | 0.42       | 80.0 | 0.34       |
| 07/24/2018 00087267645 GILLESPIE, JASON    | THE BOND FUND OF AMERICA-A   | В      | 3.36     | 0.09       | 0.00     | 0.09       | 80.0 | 0.07       |
| 07/24/2018 00087267645 GILLESPIE, JASON    |                              | В      | 5.04     | 0.14       | 0.00     |            | 80.0 | 0.11       |
| 07/24/2018 00087267645 GILLESPIE, JASON    |                              | В      | 5.04     | 0.14       | 0.00     |            | 80.0 | 0.11       |
| 07/24/2018 00087267645 GILLESPIE, JASON    |                              | В      | 7.56     | 0.21       | 0.00     |            | 80.0 | 0.17       |
| 07/26/2018 00087267645 GILLESPIE, JASON    |                              | В      | 3.36     | 0.09       | 0.00     |            | 80.0 | 0.07       |
| 07/26/2018 00087267645 GILLESPIE, JASON    |                              | В      | 5.04     | 0.14       | 0.00     |            | 80.0 | 0.11       |
| 07/26/2018 00087267645 GILLESPIE, JASON    |                              | В      | 3.36     | 0.09       | 0.00     |            | 80.0 | 0.07       |
| 5., 25, 2515 5555, 25, 515 GIBBDIIE, UNDON | . IIIIII I ONDO UZUZONIOU    | b      | 3.30     | 0.00       | 0.00     | 0.09       | 00.0 | 0.07       |

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INVESTMENT

TRADE DATE

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|   | BROKER TR                           | ANSA | CTIONS   |      |      |        |          |
|---|-------------------------------------|------|----------|------|------|--------|----------|
| PRODUCT CATEGORY: MUTUAL FUNDS          |                                     |      |          |      |      |        |          |
| 07/26/2018 00087267645 GILLESPIE, JASON | AMERICAN FUNDS 02629W106            | В    | 5.04     | 0.14 | 0.00 | 0.14 8 | 0.0 0.11 |
| 07/26/2018 00087267645 GILLESPIE, JASON | AMERICAN HIGH-INCOME TRUST-A        | В    | 3.36     | 0.09 | 0.00 | 0.09 8 |          |
| 07/26/2018 00087267645 GILLESPIE, JASON | AMERICAN HIGH-INCOME TRUST-A        | В    | 5.04     | 0.14 | 0.00 | 0.14 8 |          |
| 07/26/2018 00087267645 GILLESPIE, JASON | NEW PERSPECTIVE FUND-A              | В    | 5.04     | 0.14 | 0.00 | 0.14 8 |          |
| 07/26/2018 00087267645 GILLESPIE, JASON | NEW PERSPECTIVE FUND-A              | В    | 7.56     | 0.21 | 0.00 | 0.21 8 |          |
| 07/26/2018 00087267645 GILLESPIE, JASON | SMALLCAP WORLD FUND-A               | В    | 10.08    | 0.28 | 0.00 | 0.28 8 | 0.0 0.22 |
| 07/26/2018 00087267645 GILLESPIE, JASON | SMALLCAP WORLD FUND-A               | В    | 15.12    | 0.42 | 0.00 | 0.42 8 | 0.0 0.34 |
| 07/26/2018 00087267645 GILLESPIE, JASON | THE BOND FUND OF AMERICA-A          | В    | 3.36     | 0.09 | 0.00 | 0.09 8 | 0.0 0.07 |
| 07/26/2018 00087267645 GILLESPIE, JASON | THE BOND FUND OF AMERICA-A          | В    | 5.04     | 0.14 | 0.00 | 0.14 8 | 0.0 0.11 |
| 07/26/2018 00087267645 GILLESPIE, JASON | THE GROWTH FUND OF AMERICA-A        | В    | 5.04     | 0.14 | 0.00 | 0.14 8 | 0.0 0.11 |
| 07/26/2018 00087267645 GILLESPIE, JASON | THE GROWTH FUND OF AMERICA-A        | В    | 7.56     | 0.21 | 0.00 | 0.21 8 | 0.0 0.17 |
| 07/10/2018 00087267752 MILLER, DONALD   | AMERICAN FUNDS 2035 TARGET DATE-A   | В    | 25.00    | 0.69 | 0.00 | 0.69 8 | 0.0 0.55 |
| 07/10/2018 00087267752 MILLER, DONALD   | AMERICAN FUNDS 2035 TARGET DATE-A   | В    | 23.40    | 0.64 | 0.00 | 0.64 8 | 0.0 0.51 |
| 07/12/2018 00087267752 MILLER, DONALD   | AMERICAN FUNDS 2035 TARGET DATE-A   | В    | 25.00    | 0.69 | 0.00 | 0.69 8 | 0.0 0.55 |
| 07/12/2018 00087267752 MILLER, DONALD   | AMERICAN FUNDS 2035 TARGET DATE-A   | В    | 19.50    | 0.54 | 0.00 | 0.54 8 | 0.0 0.43 |
| 07/23/2018 00087267752 MILLER, DONALD   | AMERICAN FUNDS 2035 TARGET DATE-A   | В    | 27.30    | 0.75 | 0.00 | 0.75 8 | 0.0 0.60 |
| 07/23/2018 00087267752 MILLER, DONALD   | AMERICAN FUNDS 2035 TARGET DATE-A   | В    | 25.00    | 0.69 | 0.00 | 0.69 8 | 0.0 0.55 |
| 07/24/2018 00087267752 MILLER, DONALD   | AMERICAN FUNDS 2035 TARGET DATE-A   | В    | 23.40    | 0.64 | 0.00 | 0.64 8 | 0.0 0.51 |
| 07/24/2018 00087267752 MILLER, DONALD   | AMERICAN FUNDS 2035 TARGET DATE-A   | В    | 25.00    | 0.69 | 0.00 | 0.69 8 | 0.0 0.55 |
| 07/26/2018 00087267752 MILLER, DONALD   | AMERICAN FUNDS 2035 TARGET DATE-A   | В    | 27.30    | 0.75 | 0.00 | 0.75 8 | 0.0 0.60 |
| 07/26/2018 00087267752 MILLER, DONALD   | AMERICAN FUNDS 2035 TARGET DATE-A   | В    | 25.00    | 0.69 | 0.00 | 0.69 8 | 0.0 0.55 |
| 07/23/2018 00088550230 SWANSON,         | AMCAP FUND-A                        | В    | 75.00    | 2.06 | 0.00 | 2.06 8 | 0.0 1.65 |
| 07/23/2018 00088550230 SWANSON,         | AMCAP FUND-A                        | В    | 200.00   | 5.50 | 0.00 | 5.50 8 | 0.0 4.40 |
| 07/23/2018 00088550230 SWANSON,         | AMERICAN HIGH-INCOME TRUST-A        | В    | 100.00   | 2.75 | 0.00 | 2.75 8 | 0.0 2.20 |
| 07/23/2018 00088550230 SWANSON,         | AMERICAN HIGH-INCOME TRUST-A        | В    | 37.50    | 1.03 | 0.00 | 1.03 8 | 0.0 0.82 |
| 07/23/2018 00088550230 SWANSON,         | CAPITAL WORLD BOND FUND-A           | В    | 100.00   | 2.75 | 0.00 | 2.75 8 | 0.0 2.20 |
| 07/23/2018 00088550230 SWANSON,         | CAPITAL WORLD BOND FUND-A           | В    | 37.50    | 1.03 | 0.00 | 1.03 8 | 0.0 0.82 |
| 07/23/2018 00088550230 SWANSON,         | NEW PERSPECTIVE FUND-A              | В    | 200.00   | 5.50 | 0.00 | 5.50 8 | 0.0 4.40 |
| 07/23/2018 00088550230 SWANSON,         | NEW PERSPECTIVE FUND-A              | В    | 75.00    | 2.06 | 0.00 | 2.06 8 | 0.0 1.65 |
| 07/23/2018 00088550230 SWANSON,         | SMALLCAP WORLD FUND-A               | В    | 93.75    | 2.58 | 0.00 | 2.58 8 | 0.0 2.06 |
| 07/23/2018 00088550230 SWANSON,         | SMALLCAP WORLD FUND-A               | В    | 250.00   | 6.88 | 0.00 | 6.88 8 | 0.0 5.50 |
| 07/23/2018 00088550230 SWANSON,         | THE GROWTH FUND OF AMERICA-A        | В    | 150.00   | 4.13 | 0.00 | 4.13 8 | 0.0 3.30 |
| 07/23/2018 00088550230 SWANSON,         | THE GROWTH FUND OF AMERICA-A        | В    | 56.25    | 1.55 | 0.00 | 1.55 8 | 0.0 1.24 |
| 07/09/2018 01000038174 VIRGINIA TRAVEL  | AIM CHARTER FUND - CLASS A          | В    | 794.00   | 3.97 | 0.00 | 3.97 8 | 0.0 3.18 |
| 07/09/2018 01000038174 VIRGINIA TRAVEL  | AIM FUND                            | В    | 167.00   | 0.84 | 0.00 | 0.84 8 | 0.0 0.67 |
| 07/09/2018 01000038174 VIRGINIA TRAVEL  | AIM GLOBAL HEALTH CARE FUND CLASS A | AB   | 605.90   | 3.03 | 0.00 | 3.03 8 | 0.0 2.42 |
| 07/09/2018 01000038174 VIRGINIA TRAVEL  | AIM MID-CAP EQUITY FUND CLASS A     | В    | 118.50   | 0.59 | 0.00 | 0.59 8 | 0.0 0.47 |
| 07/09/2018 01000038174 VIRGINIA TRAVEL  | INVESCO AMERICAN FRANCHISE FUND CLA | ΑВ   | 1,342.60 | 6.71 | 0.00 | 6.71 8 | 0.0 5.37 |
| 07/09/2018 01000038174 VIRGINIA TRAVEL  | INVESCO EQUITY & INCOME FD          | В    | 40.00    | 0.20 | 0.00 | 0.20 8 |          |
| 07/09/2018 01000038174 VIRGINIA TRAVEL  | INVESCO VALUE OPPORTUNITIES CLASS A | АВ   | 80.00    | 0.40 | 0.00 | 0.40 8 | 0.0 0.32 |

INVESTMENT

AMOUNT

B/S

GROSS

COMMISSION

CLEARING

CHARGE

NET

COMMISSION

Page No.

RATE

BROKER

COMMISSION

6

INVESTMENT

GROSS

CLEARING

Page No. 7

BROKER

NET

| TRADE DATE    | CLIENT                    | INVESTMENT                        | B/S  | AMOUNT  | COMMISSION | CHARGE | COMMISSION | RATE | COMMISSION |
|---------------|---------------------------|-----------------------------------|------|---------|------------|--------|------------|------|------------|
|               |                           |                                   |      |         |            |        |            |      |            |
|               |                           | BROKER TI                         | RANS | ACTIONS |            |        |            |      |            |
| PRODUCT CAT   | regory: Mutual funds      |                                   |      |         |            |        |            |      |            |
|               | 4000174210 GALLAGHER, AMY | AMERICAN FUNDS 2040 TARGET DATE-A | В    | 309.16  | 8.50       | 0.00   | 8.50       | 80.0 | 6.80       |
|               | 4000174210 GALLAGHER, AMY | AMERICAN FUNDS 2040 TARGET DATE-A | В    | 132.50  | 3.64       | 0.00   | 3.64       |      | 2.91       |
|               | 4000615610 VARIOUS,       | 02630R203                         | В    | 10.00   | 0.28       | 0.00   | 0.28       | 80.0 | 0.22       |
|               | 4000615610 VARIOUS,       | 02630R203                         | В    | 7.25    | 0.20       | 0.00   | 0.20       | 80.0 | 0.16       |
|               | 4000615610 VARIOUS,       | AMERICAN FDS PORTFOLIO SER GLOBAL |      | 10.00   | 0.28       | 0.00   | 0.28       | 80.0 | 0.22       |
|               | 4000615610 VARIOUS,       | AMERICAN FDS PORTFOLIO SER GLOBAL |      | 7.25    | 0.20       | 0.00   | 0.20       | 80.0 | 0.16       |
|               | 4000615610 VARIOUS,       | 02630R203                         | В    | 10.00   | 0.28       | 0.00   | 0.28       | 80.0 | 0.22       |
|               | 4000615610 VARIOUS,       | 02630R203                         | В    | 7.25    | 0.20       | 0.00   | 0.20       | 80.0 | 0.16       |
|               | 4000615610 VARIOUS,       | AMERICAN FDS PORTFOLIO SER GLOBAL |      | 10.00   | 0.28       | 0.00   | 0.28       | 80.0 | 0.22       |
| 07/12/2018 04 | 4000615610 VARIOUS,       | AMERICAN FDS PORTFOLIO SER GLOBAL | GВ   | 7.25    | 0.20       | 0.00   | 0.20       | 80.0 | 0.16       |
| 07/23/2018 04 | 4000615610 VARIOUS,       | 02630R203                         | В    | 7.25    | 0.20       | 0.00   | 0.20       | 80.0 | 0.16       |
| 07/23/2018 04 | 4000615610 VARIOUS,       | 02630R203                         | В    | 10.00   | 0.28       | 0.00   | 0.28       | 80.0 | 0.22       |
| 07/23/2018 04 | 4000615610 VARIOUS,       | AMERICAN FDS PORTFOLIO SER GLOBAL | GВ   | 7.25    | 0.20       | 0.00   | 0.20       | 80.0 | 0.16       |
| 07/23/2018 04 | 4000615610 VARIOUS,       | AMERICAN FDS PORTFOLIO SER GLOBAL | GВ   | 10.00   | 0.28       | 0.00   | 0.28       | 80.0 | 0.22       |
| 07/24/2018 04 | 4000615610 VARIOUS,       | 02630R203                         | В    | 8.44    | 0.23       | 0.00   | 0.23       | 80.0 | 0.18       |
| 07/24/2018 04 | 4000615610 VARIOUS,       | 02630R203                         | В    | 10.00   | 0.28       | 0.00   | 0.28       | 80.0 | 0.22       |
| 07/24/2018 04 | 4000615610 VARIOUS,       | AMERICAN FDS PORTFOLIO SER GLOBAL | GВ   | 8.43    | 0.23       | 0.00   | 0.23       | 80.0 | 0.18       |
| 07/24/2018 04 | 4000615610 VARIOUS,       | AMERICAN FDS PORTFOLIO SER GLOBAL | GВ   | 10.00   | 0.28       | 0.00   | 0.28       | 80.0 | 0.22       |
| 07/26/2018 04 | 4000615610 VARIOUS,       | 02630R203                         | В    | 7.25    | 0.20       | 0.00   | 0.20       | 80.0 | 0.16       |
| 07/26/2018 04 | 4000615610 VARIOUS,       | 02630R203                         | В    | 10.00   | 0.28       | 0.00   | 0.28       | 80.0 | 0.22       |
| 07/26/2018 04 | 4000615610 VARIOUS,       | AMERICAN FDS PORTFOLIO SER GLOBAL | GВ   | 7.25    | 0.20       | 0.00   | 0.20       | 80.0 | 0.16       |
| 07/26/2018 04 | 4000615610 VARIOUS,       | AMERICAN FDS PORTFOLIO SER GLOBAL | GВ   | 10.00   | 0.28       | 0.00   | 0.28       | 80.0 | 0.22       |
| 07/10/2018 04 | 4000615620 VARIOUS,       | AMERICAN FUNDS 2025 TARGET DATE-A | В    | 30.00   | 0.83       | 0.00   | 0.83       | 80.0 | 0.66       |
| 07/10/2018 04 | 4000615620 VARIOUS,       | AMERICAN FUNDS 2025 TARGET DATE-A | В    | 28.80   | 0.79       | 0.00   | 0.79       | 80.0 | 0.63       |
| 07/12/2018 04 | 4000615620 VARIOUS,       | AMERICAN FUNDS 2025 TARGET DATE-A | В    | 30.00   | 0.83       | 0.00   | 0.83       | 80.0 | 0.66       |
| 07/12/2018 04 | 4000615620 VARIOUS,       | AMERICAN FUNDS 2025 TARGET DATE-A | В    | 28.80   | 0.79       | 0.00   | 0.79       | 80.0 | 0.63       |
| 07/23/2018 04 | 4000615620 VARIOUS,       | AMERICAN FUNDS 2025 TARGET DATE-A | В    | 28.80   | 0.79       | 0.00   | 0.79       | 80.0 | 0.63       |
| 07/23/2018 04 | 4000615620 VARIOUS,       | AMERICAN FUNDS 2025 TARGET DATE-A | В    | 30.00   | 0.83       | 0.00   | 0.83       | 80.0 | 0.66       |
| 07/24/2018 04 | 4000615620 VARIOUS,       | AMERICAN FUNDS 2025 TARGET DATE-A | В    | 28.80   | 0.79       | 0.00   | 0.79       | 80.0 | 0.63       |
| 07/24/2018 04 | 4000615620 VARIOUS,       | AMERICAN FUNDS 2025 TARGET DATE-A | В    | 30.00   | 0.83       | 0.00   | 0.83       | 80.0 | 0.66       |
| 07/26/2018 04 | 4000615620 VARIOUS,       | AMERICAN FUNDS 2025 TARGET DATE-A | В    | 28.80   | 0.79       | 0.00   | 0.79       | 80.0 | 0.63       |
| 07/26/2018 04 | 4000615620 VARIOUS,       | AMERICAN FUNDS 2025 TARGET DATE-A | В    | 30.00   | 0.83       | 0.00   | 0.83       | 80.0 | 0.66       |
|               | 4000615623 VARIOUS,       | AMERICAN FUNDS 2045 TARGET DATE-A | В    | 25.00   | 0.69       | 0.00   | 0.69       | 80.0 | 0.55       |
|               | 4000615623 VARIOUS,       | AMERICAN FUNDS 2045 TARGET DATE-A | В    | 16.71   | 0.46       | 0.00   | 0.46       | 80.0 | 0.37       |
|               | 4000615623 VARIOUS,       | AMERICAN FUNDS 2045 TARGET DATE-A | В    | 25.00   | 0.69       | 0.00   | 0.69       | 80.0 | 0.55       |
|               | 4000615623 VARIOUS,       | AMERICAN FUNDS 2045 TARGET DATE-A | В    | 16.40   | 0.45       | 0.00   | 0.45       | 80.0 | 0.36       |
|               | 4000615623 VARIOUS,       | AMERICAN FUNDS 2045 TARGET DATE-A | В    | 25.00   | 0.69       | 0.00   | 0.69       | 80.0 | 0.55       |
|               | 4000615623 VARIOUS,       | AMERICAN FUNDS 2045 TARGET DATE-A | В    | 17.63   | 0.48       | 0.00   | 0.48       | 80.0 | 0.38       |
|               | 4000615623 VARIOUS,       | AMERICAN FUNDS 2045 TARGET DATE-A | В    | 17.02   | 0.47       | 0.00   | 0.47       | 80.0 | 0.38       |
| 07/24/2018 04 | 4000615623 VARIOUS,       | AMERICAN FUNDS 2045 TARGET DATE-A | В    | 25.00   | 0.69       | 0.00   | 0.69       | 80.0 | 0.55       |

| TRADE DATE CLIENT                       | INVESTMENT                        | B/S  | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|---|-----------------------------------|------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
|   | BROKER TI                         | RANS | ACTIONS              |                     |                    |                   |      |                      |
| PRODUCT CATEGORY: MUTUAL FUNDS          |                                   |      |                      |                     |                    |                   |      |                      |
| 07/26/2018 04000615623 VARIOUS,         | AMERICAN FUNDS 2045 TARGET DATE-A | В    | 16.40                | 0.45                | 0.00               | 0.45              | 80.0 | 0.36                 |
| 07/26/2018 04000615623 VARIOUS,         | AMERICAN FUNDS 2045 TARGET DATE-A | В    | 25.00                | 0.69                | 0.00               | 0.69              | 80.0 | 0.55                 |
| 07/10/2018 04000615627 VARIOUS,         | 02631C445                         | В    | 30.00                | 0.83                | 0.00               | 0.83              | 80.0 | 0.66                 |
| 07/10/2018 04000615627 VARIOUS,         | 02631C445                         | В    | 11.71                | 0.32                | 0.00               | 0.32              | 80.0 | 0.26                 |
| 07/12/2018 04000615627 VARIOUS,         | 02631C445                         | В    | 30.00                | 0.83                | 0.00               | 0.83              | 80.0 | 0.66                 |
| 07/12/2018 04000615627 VARIOUS,         | 02631C445                         | В    | 10.80                | 0.30                | 0.00               | 0.30              | 80.0 | 0.24                 |
| 07/23/2018 04000615627 VARIOUS,         | 02631C445                         | В    | 11.80                | 0.32                | 0.00               | 0.32              | 80.0 | 0.26                 |
| 07/23/2018 04000615627 VARIOUS,         | 02631C445                         | В    | 30.00                | 0.83                | 0.00               | 0.83              | 80.0 | 0.66                 |
| 07/24/2018 04000615627 VARIOUS,         | 02631C445                         | В    | 30.00                | 0.83                | 0.00               | 0.83              | 80.0 | 0.66                 |
| 07/24/2018 04000615627 VARIOUS,         | 02631C445                         | В    | 9.45                 | 0.26                | 0.00               | 0.26              | 80.0 | 0.21                 |
| 07/26/2018 04000615627 VARIOUS,         | 02631C445                         | В    | 30.00                | 0.83                | 0.00               | 0.83              | 80.0 | 0.66                 |
| 07/26/2018 04000615627 VARIOUS,         | 02631C445                         | В    | 10.72                | 0.29                | 0.00               | 0.29              | 80.0 | 0.23                 |
| 07/10/2018 04000636626 VARIOUS,         | AMERICAN FUNDS 2035 TARGET DATE-A | В    | 22.00                | 0.61                | 0.00               | 0.61              | 80.0 | 0.49                 |
| 07/10/2018 04000636626 VARIOUS,         | AMERICAN FUNDS 2035 TARGET DATE-A | В    | 20.80                | 0.57                | 0.00               | 0.57              | 80.0 | 0.46                 |
| 07/12/2018 04000636626 VARIOUS,         | AMERICAN FUNDS 2035 TARGET DATE-A | В    | 22.00                | 0.61                | 0.00               | 0.61              | 80.0 | 0.49                 |
| 07/12/2018 04000636626 VARIOUS,         | AMERICAN FUNDS 2035 TARGET DATE-A | В    | 24.57                | 0.68                | 0.00               | 0.68              | 80.0 | 0.54                 |
| 07/23/2018 04000636626 VARIOUS,         | AMERICAN FUNDS 2035 TARGET DATE-A | В    | 22.73                | 0.63                | 0.00               | 0.63              | 80.0 | 0.50                 |
| 07/23/2018 04000636626 VARIOUS,         | AMERICAN FUNDS 2035 TARGET DATE-A | В    | 22.00                | 0.61                | 0.00               | 0.61              | 80.0 | 0.49                 |
| 07/24/2018 04000636626 VARIOUS,         | AMERICAN FUNDS 2035 TARGET DATE-A | В    | 19.04                | 0.52                | 0.00               | 0.52              | 80.0 | 0.42                 |
| 07/24/2018 04000636626 VARIOUS,         | AMERICAN FUNDS 2035 TARGET DATE-A | В    | 22.00                | 0.61                | 0.00               | 0.61              | 80.0 | 0.49                 |
| 07/26/2018 04000636626 VARIOUS,         | AMERICAN FUNDS 2035 TARGET DATE-A | В    | 14.40                | 0.40                | 0.00               | 0.40              | 80.0 | 0.32                 |
| 07/26/2018 04000636626 VARIOUS,         | AMERICAN FUNDS 2035 TARGET DATE-A | В    | 22.00                | 0.61                | 0.00               | 0.61              | 80.0 | 0.49                 |
| 07/23/2018 04000737753 VARIOUS,         | AMERICAN FUND 2030                | В    | 125.00               | 3.44                | 0.00               | 3.44              | 80.0 | 2.75                 |
| 07/23/2018 04000737753 VARIOUS,         | AMERICAN FUND 2030                | В    | 125.00               | 3.44                | 0.00               | 3.44              | 80.0 | 2.75                 |
| 07/16/2018 8280199320 VARIOUS, STRAVINS | KI OPPENHEIMER VARIOUS            | В    | 0.00                 | 93.65               | 0.00               | 93.65             | 80.0 | 74.92                |
|   | * MUTUAL FUNDS SUBTOTAL           | . *  | \$8,023.26           | \$1,451.11          | \$0.00             | \$1,451.11        |      | \$1,160.85           |
| PRODUCT CATEGORY: VARIABLE ANNUITI      | ES                                |      |                      |                     |                    |                   |      |                      |
| 07/16/2018 (None) VARIOUS, STRAVINSKI   | PRINCIPAL LIFE INS                | В    | 0.00                 | 1,726.22            | 0.00               | 1,726.22          | 80.0 | 1,380.98             |
| 07/24/2018 (None) VARIOUS, STRAVINSKI   | TRANSAMERICA                      | В    | 0.00                 | 221.63              | 0.00               | 221.63            | 80.0 | 177.30               |
|   | * VARIABLE ANNUITIES SUBTOTAL     | . *  | \$0.00               | \$1,947.85          | \$0.00             | \$1,947.85        |      | \$1,558.28           |
| PRODUCT CATEGORY: MISCELLANEOUS         |                                   |      |                      |                     |                    |                   |      |                      |
| 07/24/2018 VARIOUS, STRAVINSKI          | FIDELITY ADVISOR 401K             | В    | 0.00                 | 3,430.93            | 0.00               | 3,430.93          | 80.0 | 2,744.74             |
|   | * MISCELLANEOUS SUBTOTAL          | . *  | \$0.00               | \$3,430.93          | \$0.00             | \$3,430.93        |      | \$2,744.74           |
|   | *** BROKER TRANSACTIONS TOTAL *   | **   | \$8,023.26           | \$6,829.89          | \$0.00             | \$6,829.89        | •    | \$5,463.87           |

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| TRADE DATE CLI | ENT INVESTMENT         | B/S            | NVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE  | BROKER<br>COMMISSION |
|----------------|------------------------|----------------|---------------------|---------------------|--------------------|-------------------|-------|----------------------|
|                |                        | ADJUSTMENT     | s                   |                     |                    |                   |       |                      |
| 07/31/2018     | E & O INSURANCE: E & O | INSURANCE      | 0.00                | 0.00                | 0.00               | 0.00              |       | -200.00              |
| 07/31/2018     | OTHER: COMPLIANCE AND  | TECHNOLOGY     | 0.00                | 0.00                | 0.00               | 0.00              |       | -20.00               |
| 07/31/2018     | OTHER: OTHER-VIRTRU    |                | 0.00                | 0.00                | 0.00               | 0.00              |       | -7.00                |
| 07/31/2018     | OTHER: OTHER-360 OFFIC | Ξ              | 0.00                | 0.00                | 0.00               | 0.00              |       | -5.00                |
|                | *** ADJUSTM            | ENTS TOTAL *** | \$0.00              | \$0.00              | \$0.00             | \$0.00            |       | \$-232.00            |
|                |                        |                |                     |                     | E                  | ROKER COMMI       | SSION | TOTALS               |
|                |                        |                |                     |                     | Brokei             | r Transactions    |       | \$5,463.87           |
|                |                        |                |                     |                     | Split              | Transactions      |       | \$0.00               |
|                |                        |                |                     |                     | Override           | e Transactions    |       | \$0.00               |
|                |                        |                |                     |                     |                    | Adjustments       |       | \$-232.00            |
|                |                        |                |                     |                     |                    | Payroll Draw      |       | \$0.00               |
|                |                        |                |                     |                     |                    | Base Salary       |       | \$0.00               |
|                |                        |                |                     |                     | Prior B            | Period Balance    |       | \$0.00               |
|                |                        |                |                     |                     | FIN                | NRA Assessment    |       | \$-4.25              |
|                |                        |                |                     |                     |                    |                   |       |                      |

\$5,219.12

\$112,665.23

Check Amount

Year-to-date Earnings