



Concorde Investment Services, LLC

10/11/2017

Page No. 1

COMMISSION STATEMENT

October 15, 2017

JEFFREY KAUFMAN
801 Gray Oak Drive

BROKER #: K119
BRANCH: JEFFREY KAUFMAN

Columbia, MO 65201

DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>BROKER TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
10/03/2017	ZELLMER, AMY	AM FUNDS 2040 TARGET DATE-A	85.40	0.85	0.00	0.85	90.0	0.77
10/03/2017	ZELLMER, AMY	AM FUNDS 2040 TARGET DATE-A	85.40	0.85	0.00	0.85	90.0	0.77
10/03/2017	NOWLIN, STACEY	AM FUNDS 2040 TARGET DATE-A	40.79	0.41	0.00	0.41	90.0	0.37
10/03/2017	NOWLIN, STACEY	AM FUNDS 2040 TARGET DATE-A	40.79	0.41	0.00	0.41	90.0	0.37
10/03/2017	MCKENZIE, JADA	AM FUNDS 2040 TARGET DATE-A	62.80	0.63	0.00	0.63	90.0	0.57
10/03/2017	MCKENZIE, JADA	AM FUNDS 2040 TARGET DATE-A	62.80	0.63	0.00	0.63	90.0	0.57
10/03/2017	HILL, KALIA	AM FUNDS 2045 TARGET DATE-A	53.90	0.54	0.00	0.54	90.0	0.49
10/03/2017	HILL, KALIA	AM FUNDS 2045 TARGET DATE-A	53.90	0.54	0.00	0.54	90.0	0.49
10/03/2017	CRANE, MISTY	AM FUNDS 2045 TARGET DATE-A	26.67	0.27	0.00	0.27	90.0	0.24
10/03/2017	CRANE, MISTY	AM FUNDS 2045 TARGET DATE-A	26.67	0.27	0.00	0.27	90.0	0.24
10/03/2017	PATTY, MINDI	AM FUNDS 2045 TARGET DATE-A	29.88	0.30	0.00	0.30	90.0	0.27
10/03/2017	PATTY, MINDI	AM FUNDS 2045 TARGET DATE-A	29.88	0.30	0.00	0.30	90.0	0.27
10/03/2017	WESTBROOK, AMANDA	AM FUNDS 2055 TARGET DATE-A	40.20	0.40	0.00	0.40	90.0	0.36
10/03/2017	WESTBROOK, AMANDA	AM FUNDS 2055 TARGET DATE-A	40.20	0.40	0.00	0.40	90.0	0.36
09/25/2017	DAVIS, SALLY	AM FUNDS AMERICAN BALANCED A	2.27	0.04	0.00	0.04	90.0	0.04
09/25/2017	MATTMANN, ROBERT	AM FUNDS AMERICAN BALANCED A	8,538.33	234.80	0.00	234.80	90.0	211.32
10/02/2017	MEDLEY, LISA	AM FUNDS AMERICAN BALANCED A	66.48	0.66	0.00	0.66	90.0	0.59
10/02/2017	MEDLEY, LISA	AM FUNDS AMERICAN BALANCED A	66.48	0.66	0.00	0.66	90.0	0.59
10/03/2017	WHEAT, KATHLEEN	AM FUNDS AMERICAN BALANCED A	317.05	3.17	0.00	3.17	90.0	2.85
10/03/2017	WHEAT, KATHLEEN	AM FUNDS AMERICAN BALANCED A	135.88	1.36	0.00	1.36	90.0	1.22
10/03/2017	WIBBENMEYER, BRITTANY	AM FUNDS AMERICAN BALANCED A	69.08	0.69	0.00	0.69	90.0	0.62
10/03/2017	WIBBENMEYER, BRITTANY	AM FUNDS AMERICAN BALANCED A	69.08	0.69	0.00	0.69	90.0	0.62
10/03/2017	CLASSENS, KRYSTA	AM FUNDS AMERICAN MUTUAL A	64.00	0.64	0.00	0.64	90.0	0.58
10/03/2017	CLASSENS, KRYSTA	AM FUNDS AMERICAN MUTUAL A	24.00	0.24	0.00	0.24	90.0	0.22
10/03/2017	MANGUS, DANIEL	AM FUNDS BALANCED PORT A	216.03	2.16	0.00	2.16	90.0	1.94
10/03/2017	MANGUS, DANIEL	AM FUNDS BALANCED PORT A	216.03	2.16	0.00	2.16	90.0	1.94

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

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

DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>BROKER TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
10/03/2017	KEATON, LINDSY	AM FUNDS BALANCED PORT A	34.61	0.35	0.00	0.35	90.0	0.32
10/03/2017	KEATON, LINDSY	AM FUNDS BALANCED PORT A	34.61	0.35	0.00	0.35	90.0	0.32
10/03/2017	GODAR, LOUISE	AM FUNDS BALANCED PORT A	41.70	0.42	0.00	0.42	90.0	0.38
10/03/2017	GODAR, LOUISE	AM FUNDS BALANCED PORT A	41.70	0.42	0.00	0.42	90.0	0.38
10/03/2017	GRIFFIN, AMANDA	AM FUNDS BOND FUND OF AMERICA A	18.47	0.18	0.00	0.18	90.0	0.16
10/03/2017	GRIFFIN, AMANDA	AM FUNDS BOND FUND OF AMERICA A	18.47	0.18	0.00	0.18	90.0	0.16
09/25/2017	MATTMANN, ROBERT	AM FUNDS EUROPACIFIC GROWTH FUND A	2,134.58	58.70	0.00	58.70	90.0	52.83
09/29/2017	CROWLEY, MICHA	AM FUNDS EUROPACIFIC GROWTH FUND A	184.62	3.69	0.00	3.69	90.0	3.32
10/02/2017	REDDICK, RYAN	AM FUNDS EUROPACIFIC GROWTH FUND A	62.50	1.72	0.00	1.72	90.0	1.55
10/03/2017	CLASSENS, KRYSTA	AM FUNDS EUROPACIFIC GROWTH FUND A	48.00	0.48	0.00	0.48	90.0	0.43
10/03/2017	CLASSENS, KRYSTA	AM FUNDS EUROPACIFIC GROWTH FUND A	18.00	0.18	0.00	0.18	90.0	0.16
10/05/2017	STALEY, JOSELYN	AM FUNDS EUROPACIFIC GROWTH FUND A	200.00	10.00	0.00	10.00	90.0	9.00
09/26/2017	JORDENING, POLLY	AM FUNDS GLOBAL BALANCED A	1,012.10	12.15	0.00	12.15	90.0	10.94
09/26/2017	JORDENING, POLLY	AM FUNDS GLOBAL BALANCED A	21,118.58	253.42	0.00	253.42	90.0	228.08
10/03/2017	BROCKSMITH, RACHEL	AM FUNDS GROWTH AND INCOME A	80.76	0.81	0.00	0.81	90.0	0.73
10/03/2017	BROCKSMITH, RACHEL	AM FUNDS GROWTH AND INCOME A	80.76	0.81	0.00	0.81	90.0	0.73
10/03/2017	BIETSCH, MATTHEW	AM FUNDS GROWTH AND INCOME A	66.64	0.67	0.00	0.67	90.0	0.60
10/03/2017	BIETSCH, MATTHEW	AM FUNDS GROWTH AND INCOME A	66.64	0.67	0.00	0.67	90.0	0.60
10/03/2017	AHERN, OLIVIA	AM FUNDS GROWTH AND INCOME A	75.05	0.75	0.00	0.75	90.0	0.68
10/03/2017	AHERN, OLIVIA	AM FUNDS GROWTH AND INCOME A	75.05	0.75	0.00	0.75	90.0	0.68
09/25/2017	MARK, CHRISTOPHER	AM FUNDS GROWTH FUND OF AMERICA A	114.58	5.73	0.00	5.73	90.0	5.16
09/29/2017	CROWLEY, MICHA	AM FUNDS GROWTH FUND OF AMERICA A	369.23	7.38	0.00	7.38	90.0	6.64
10/02/2017	REDDICK, RYAN	AM FUNDS GROWTH FUND OF AMERICA A	62.50	1.72	0.00	1.72	90.0	1.55
10/02/2017	BAUER, MATTHEW	AM FUNDS GROWTH FUND OF AMERICA A	48.38	1.81	0.00	1.81	90.0	1.63
10/02/2017	SUMMERS, AARON	AM FUNDS GROWTH FUND OF AMERICA A	46.12	1.73	0.00	1.73	90.0	1.56
10/02/2017	EICHHOLZ, JARED	AM FUNDS GROWTH FUND OF AMERICA A	120.63	4.52	0.00	4.52	90.0	4.07
10/02/2017	JOHNSON, MARK	AM FUNDS GROWTH FUND OF AMERICA A	180.00	6.75	0.00	6.75	90.0	6.08
10/02/2017	EULTGEN, VICKI	AM FUNDS GROWTH FUND OF AMERICA A	75.00	0.75	0.00	0.75	90.0	0.68
10/02/2017	EULTGEN, VICKI	AM FUNDS GROWTH FUND OF AMERICA A	44.27	0.44	0.00	0.44	90.0	0.40
10/02/2017	TURNER, JOSH	AM FUNDS GROWTH FUND OF AMERICA A	30.16	0.30	0.00	0.30	90.0	0.27
10/02/2017	TURNER, JOSH	AM FUNDS GROWTH FUND OF AMERICA A	30.18	0.30	0.00	0.30	90.0	0.27
10/02/2017	MURPHY, MELISSA	AM FUNDS GROWTH FUND OF AMERICA A	260.25	2.60	0.00	2.60	90.0	2.34
10/02/2017	MURPHY, MELISSA	AM FUNDS GROWTH FUND OF AMERICA A	41.25	0.41	0.00	0.41	90.0	0.37

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<u>BROKER TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
10/02/2017	MURPHY, MICHAEL	AM FUNDS GROWTH FUND OF AMERICA A	520.50	5.21	0.00	5.21	90.0	4.69
10/02/2017	MURPHY, MICHAEL	AM FUNDS GROWTH FUND OF AMERICA A	82.50	0.83	0.00	0.83	90.0	0.75
10/02/2017	VICTOR, THOMAS	AM FUNDS GROWTH FUND OF AMERICA A	28.06	0.28	0.00	0.28	90.0	0.25
10/02/2017	VICTOR, THOMAS	AM FUNDS GROWTH FUND OF AMERICA A	28.06	0.28	0.00	0.28	90.0	0.25
10/02/2017	TURNER, COREY	AM FUNDS GROWTH FUND OF AMERICA A	260.25	2.60	0.00	2.60	90.0	2.34
10/02/2017	TURNER, COREY	AM FUNDS GROWTH FUND OF AMERICA A	41.25	0.41	0.00	0.41	90.0	0.37
10/02/2017	RYAN, MATTHEW	AM FUNDS GROWTH FUND OF AMERICA A	67.50	0.68	0.00	0.68	90.0	0.61
10/02/2017	RYAN, MATTHEW	AM FUNDS GROWTH FUND OF AMERICA A	67.50	0.68	0.00	0.68	90.0	0.61
10/02/2017	UNZICKER, WILLIAM	AM FUNDS GROWTH FUND OF AMERICA A	91.49	0.91	0.00	0.91	90.0	0.82
10/02/2017	UNZICKER, WILLIAM	AM FUNDS GROWTH FUND OF AMERICA A	91.49	0.91	0.00	0.91	90.0	0.82
10/03/2017	GRIFFIN, AMANDA	AM FUNDS GROWTH FUND OF AMERICA A	36.94	0.37	0.00	0.37	90.0	0.33
10/03/2017	GRIFFIN, AMANDA	AM FUNDS GROWTH FUND OF AMERICA A	36.94	0.37	0.00	0.37	90.0	0.33
10/03/2017	STALEY, JOSELYN	AM FUNDS GROWTH FUND OF AMERICA A	44.75	0.45	0.00	0.45	90.0	0.41
10/03/2017	STALEY, JOSELYN	AM FUNDS GROWTH FUND OF AMERICA A	14.91	0.15	0.00	0.15	90.0	0.14
10/03/2017	CLASSENS, KRYSTA	AM FUNDS GROWTH FUND OF AMERICA A	48.00	0.48	0.00	0.48	90.0	0.43
10/03/2017	CLASSENS, KRYSTA	AM FUNDS GROWTH FUND OF AMERICA A	18.00	0.18	0.00	0.18	90.0	0.16
10/03/2017	GATTORNA, MICHAEL	AM FUNDS GROWTH FUND OF AMERICA A	30.16	0.30	0.00	0.30	90.0	0.27
10/03/2017	GATTORNA, MICHAEL	AM FUNDS GROWTH FUND OF AMERICA A	30.16	0.30	0.00	0.30	90.0	0.27
10/03/2017	MULLENIX, AMANDA	AM FUNDS GROWTH FUND OF AMERICA A	64.39	0.64	0.00	0.64	90.0	0.58
10/03/2017	MULLENIX, AMANDA	AM FUNDS GROWTH FUND OF AMERICA A	64.39	0.64	0.00	0.64	90.0	0.58
10/03/2017	KISER, ANDREA	AM FUNDS GROWTH FUND OF AMERICA A	51.11	0.51	0.00	0.51	90.0	0.46
10/03/2017	KISER, ANDREA	AM FUNDS GROWTH FUND OF AMERICA A	51.11	0.51	0.00	0.51	90.0	0.46
10/05/2017	LEHMAN, COLBY	AM FUNDS GROWTH FUND OF AMERICA A	100.00	5.00	0.00	5.00	90.0	4.50
10/02/2017	WINFREY, LARRY	AM FUNDS ICA A	200.00	7.50	0.00	7.50	90.0	6.75
10/02/2017	BAUER, MATTHEW	AM FUNDS ICA A	46.95	1.76	0.00	1.76	90.0	1.58
10/02/2017	SUMMERS, AARON	AM FUNDS ICA A	46.12	1.73	0.00	1.73	90.0	1.56
10/02/2017	EICHHOLZ, JARED	AM FUNDS ICA A	120.64	4.52	0.00	4.52	90.0	4.07
10/02/2017	EULTGEN, VICKI	AM FUNDS ICA A	75.00	0.75	0.00	0.75	90.0	0.68
10/02/2017	EULTGEN, VICKI	AM FUNDS ICA A	44.27	0.44	0.00	0.44	90.0	0.40
10/02/2017	MURPHY, MELISSA	AM FUNDS ICA A	208.20	2.08	0.00	2.08	90.0	1.87
10/02/2017	MURPHY, MELISSA	AM FUNDS ICA A	33.00	0.33	0.00	0.33	90.0	0.30
10/02/2017	RIDGWAY, BENJAMIN	AM FUNDS ICA A	50.00	0.50	0.00	0.50	90.0	0.45
10/02/2017	RIDGWAY, BENJAMIN	AM FUNDS ICA A	50.00	0.50	0.00	0.50	90.0	0.45

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<u>BROKER TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
10/02/2017	SUTTON, CHRISTOPHER	AM FUNDS ICA A	112.00	1.12	0.00	1.12	90.0	1.01
10/02/2017	SUTTON, CHRISTOPHER	AM FUNDS ICA A	81.66	0.82	0.00	0.82	90.0	0.74
10/02/2017	MEDLEY, LISA	AM FUNDS ICA A	66.48	0.66	0.00	0.66	90.0	0.59
10/02/2017	MEDLEY, LISA	AM FUNDS ICA A	66.48	0.66	0.00	0.66	90.0	0.59
10/03/2017	DILLON, EMMA	AM FUNDS ICA A	14.67	0.15	0.00	0.15	90.0	0.14
10/03/2017	DILLON, EMMA	AM FUNDS ICA A	11.00	0.11	0.00	0.11	90.0	0.10
10/03/2017	OPPLAND, ZACHARY	AM FUNDS ICA A	133.20	1.33	0.00	1.33	90.0	1.20
10/03/2017	OPPLAND, ZACHARY	AM FUNDS ICA A	44.40	0.44	0.00	0.44	90.0	0.40
09/26/2017	JORDENING, POLLY	AM FUNDS INCOME FUND OF AMERICA A	1,012.10	12.15	0.00	12.15	90.0	10.94
09/26/2017	JORDENING, POLLY	AM FUNDS INCOME FUND OF AMERICA A	21,118.58	253.42	0.00	253.42	90.0	228.08
10/03/2017	REEDY, REBECCA	AM FUNDS INCOME PORTFOLIO A	37.20	0.37	0.00	0.37	90.0	0.33
10/03/2017	REEDY, REBECCA	AM FUNDS INCOME PORTFOLIO A	37.20	0.37	0.00	0.37	90.0	0.33
10/02/2017	MURPHY, MELISSA	AM FUNDS INTL GROWTH AND INCOME A	208.20	2.08	0.00	2.08	90.0	1.87
10/02/2017	MURPHY, MELISSA	AM FUNDS INTL GROWTH AND INCOME A	33.00	0.33	0.00	0.33	90.0	0.30
09/25/2017	MARK, CHRISTOPHER	AM FUNDS NEW ECONOMY A	114.58	5.73	0.00	5.73	90.0	5.16
09/26/2017	JORDENING, POLLY	AM FUNDS NEW ECONOMY A	506.06	6.07	0.00	6.07	90.0	5.46
09/26/2017	JORDENING, POLLY	AM FUNDS NEW ECONOMY A	10,559.29	126.71	0.00	126.71	90.0	114.04
09/29/2017	CROWLEY, MICHA	AM FUNDS NEW ECONOMY A	184.61	3.69	0.00	3.69	90.0	3.32
10/02/2017	REDDICK, RYAN	AM FUNDS NEW ECONOMY A	62.50	1.72	0.00	1.72	90.0	1.55
10/02/2017	BAUER, MATTHEW	AM FUNDS NEW ECONOMY A	46.95	1.76	0.00	1.76	90.0	1.58
10/02/2017	ROBINETT, CHARISSA	AM FUNDS NEW ECONOMY A	50.18	0.50	0.00	0.50	90.0	0.45
10/02/2017	ROBINETT, CHARISSA	AM FUNDS NEW ECONOMY A	50.18	0.50	0.00	0.50	90.0	0.45
10/02/2017	SUTTON, CHRISTOPHER	AM FUNDS NEW ECONOMY A	48.00	0.48	0.00	0.48	90.0	0.43
10/02/2017	SUTTON, CHRISTOPHER	AM FUNDS NEW ECONOMY A	35.00	0.35	0.00	0.35	90.0	0.32
10/03/2017	STALEY, JOSELYN	AM FUNDS NEW ECONOMY A	43.43	0.43	0.00	0.43	90.0	0.39
10/03/2017	STALEY, JOSELYN	AM FUNDS NEW ECONOMY A	14.48	0.14	0.00	0.14	90.0	0.13
10/03/2017	NIELSEN, BRENDA	AM FUNDS NEW ECONOMY A	53.08	0.53	0.00	0.53	90.0	0.48
10/03/2017	NIELSEN, BRENDA	AM FUNDS NEW ECONOMY A	31.85	0.32	0.00	0.32	90.0	0.29
10/05/2017	MCKENZIE, JADA	AM FUNDS NEW ECONOMY A	60.00	3.00	0.00	3.00	90.0	2.70
10/02/2017	EULTGEN, VICKI	AM FUNDS NEW PERSPECTIVE A	50.00	0.50	0.00	0.50	90.0	0.45
10/02/2017	EULTGEN, VICKI	AM FUNDS NEW PERSPECTIVE A	29.49	0.29	0.00	0.29	90.0	0.26
10/02/2017	TURNER, JOSH	AM FUNDS NEW PERSPECTIVE A	30.18	0.30	0.00	0.30	90.0	0.27
10/02/2017	TURNER, JOSH	AM FUNDS NEW PERSPECTIVE A	30.16	0.30	0.00	0.30	90.0	0.27

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<u>BROKER TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
10/02/2017	MURPHY, MELISSA	AM FUNDS NEW PERSPECTIVE A	208.20	2.08	0.00	2.08	90.0	1.87
10/02/2017	MURPHY, MELISSA	AM FUNDS NEW PERSPECTIVE A	33.00	0.33	0.00	0.33	90.0	0.30
10/02/2017	ROBINETT, CHARISSA	AM FUNDS NEW PERSPECTIVE A	50.19	0.50	0.00	0.50	90.0	0.45
10/02/2017	ROBINETT, CHARISSA	AM FUNDS NEW PERSPECTIVE A	50.19	0.50	0.00	0.50	90.0	0.45
10/02/2017	VICTOR, THOMAS	AM FUNDS NEW PERSPECTIVE A	28.06	0.28	0.00	0.28	90.0	0.25
10/02/2017	VICTOR, THOMAS	AM FUNDS NEW PERSPECTIVE A	28.06	0.28	0.00	0.28	90.0	0.25
10/02/2017	TURNER, COREY	AM FUNDS NEW PERSPECTIVE A	260.25	2.60	0.00	2.60	90.0	2.34
10/02/2017	TURNER, COREY	AM FUNDS NEW PERSPECTIVE A	41.25	0.41	0.00	0.41	90.0	0.37
10/03/2017	GRIFFIN, AMANDA	AM FUNDS NEW PERSPECTIVE A	36.94	0.37	0.00	0.37	90.0	0.33
10/03/2017	GRIFFIN, AMANDA	AM FUNDS NEW PERSPECTIVE A	36.94	0.37	0.00	0.37	90.0	0.33
10/03/2017	STALEY, JOSELYN	AM FUNDS NEW PERSPECTIVE A	43.44	0.43	0.00	0.43	90.0	0.39
10/03/2017	STALEY, JOSELYN	AM FUNDS NEW PERSPECTIVE A	14.48	0.14	0.00	0.14	90.0	0.13
10/03/2017	GATTORNA, MICHAEL	AM FUNDS NEW PERSPECTIVE A	29.27	0.29	0.00	0.29	90.0	0.26
10/03/2017	GATTORNA, MICHAEL	AM FUNDS NEW PERSPECTIVE A	29.27	0.29	0.00	0.29	90.0	0.26
10/03/2017	STAES, SAMUEL	AM FUNDS NEW PERSPECTIVE A	33.60	0.34	0.00	0.34	90.0	0.31
10/03/2017	STAES, SAMUEL	AM FUNDS NEW PERSPECTIVE A	16.80	0.17	0.00	0.17	90.0	0.15
09/25/2017	MARK, CHRISTOPHER	AM FUNDS NEW WORLD A	114.58	5.73	0.00	5.73	90.0	5.16
09/29/2017	CROWLEY, MICHA	AM FUNDS NEW WORLD A	184.62	3.69	0.00	3.69	90.0	3.32
10/02/2017	EULTGEN, VICKI	AM FUNDS NEW WORLD A	25.00	0.25	0.00	0.25	90.0	0.23
10/02/2017	EULTGEN, VICKI	AM FUNDS NEW WORLD A	14.76	0.15	0.00	0.15	90.0	0.14
10/02/2017	TURNER, JOSH	AM FUNDS NEW WORLD A	30.18	0.30	0.00	0.30	90.0	0.27
10/02/2017	TURNER, JOSH	AM FUNDS NEW WORLD A	30.18	0.30	0.00	0.30	90.0	0.27
10/02/2017	MURPHY, MELISSA	AM FUNDS NEW WORLD A	52.05	0.52	0.00	0.52	90.0	0.47
10/02/2017	MURPHY, MELISSA	AM FUNDS NEW WORLD A	8.25	0.08	0.00	0.08	90.0	0.07
10/02/2017	MURPHY, MICHAEL	AM FUNDS NEW WORLD A	82.50	0.83	0.00	0.83	90.0	0.75
10/02/2017	MURPHY, MICHAEL	AM FUNDS NEW WORLD A	520.50	5.21	0.00	5.21	90.0	4.69
10/02/2017	VICTOR, THOMAS	AM FUNDS NEW WORLD A	28.05	0.28	0.00	0.28	90.0	0.25
10/02/2017	VICTOR, THOMAS	AM FUNDS NEW WORLD A	28.05	0.28	0.00	0.28	90.0	0.25
10/02/2017	TURNER, COREY	AM FUNDS NEW WORLD A	260.25	2.60	0.00	2.60	90.0	2.34
10/02/2017	TURNER, COREY	AM FUNDS NEW WORLD A	41.25	0.41	0.00	0.41	90.0	0.37
10/02/2017	RYAN, MATTHEW	AM FUNDS NEW WORLD A	67.50	0.68	0.00	0.68	90.0	0.61
10/02/2017	RYAN, MATTHEW	AM FUNDS NEW WORLD A	67.50	0.68	0.00	0.68	90.0	0.61
10/03/2017	GATTORNA, MICHAEL	AM FUNDS NEW WORLD A	29.27	0.29	0.00	0.29	90.0	0.26

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>BROKER TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
10/03/2017	GATTORNA, MICHAEL	AM FUNDS NEW WORLD A	29.27	0.29	0.00	0.29	90.0	0.26
09/25/2017	MARK, CHRISTOPHER	AM FUNDS SMALLCAP WORLD A	114.58	5.73	0.00	5.73	90.0	5.16
10/02/2017	REDDICK, RYAN	AM FUNDS SMALLCAP WORLD A	62.50	1.72	0.00	1.72	90.0	1.55
10/02/2017	EULTGEN, VICKI	AM FUNDS SMALLCAP WORLD A	25.00	0.25	0.00	0.25	90.0	0.23
10/02/2017	EULTGEN, VICKI	AM FUNDS SMALLCAP WORLD A	14.76	0.15	0.00	0.15	90.0	0.14
10/02/2017	TURNER, JOSH	AM FUNDS SMALLCAP WORLD A	30.18	0.30	0.00	0.30	90.0	0.27
10/02/2017	TURNER, JOSH	AM FUNDS SMALLCAP WORLD A	30.18	0.30	0.00	0.30	90.0	0.27
10/02/2017	MURPHY, MELISSA	AM FUNDS SMALLCAP WORLD A	104.10	1.04	0.00	1.04	90.0	0.94
10/02/2017	MURPHY, MELISSA	AM FUNDS SMALLCAP WORLD A	16.50	0.17	0.00	0.17	90.0	0.15
10/02/2017	VICTOR, THOMAS	AM FUNDS SMALLCAP WORLD A	28.06	0.28	0.00	0.28	90.0	0.25
10/02/2017	VICTOR, THOMAS	AM FUNDS SMALLCAP WORLD A	28.06	0.28	0.00	0.28	90.0	0.25
10/02/2017	TURNER, COREY	AM FUNDS SMALLCAP WORLD A	260.25	2.60	0.00	2.60	90.0	2.34
10/02/2017	TURNER, COREY	AM FUNDS SMALLCAP WORLD A	41.25	0.41	0.00	0.41	90.0	0.37
10/03/2017	REDDICK, RYAN	AM FUNDS SMALLCAP WORLD A	76.94	0.77	0.00	0.77	90.0	0.69
10/03/2017	REDDICK, RYAN	AM FUNDS SMALLCAP WORLD A	76.94	0.77	0.00	0.77	90.0	0.69
10/03/2017	STAES, SAMUEL	AM FUNDS SMALLCAP WORLD A	33.60	0.34	0.00	0.34	90.0	0.31
10/03/2017	STAES, SAMUEL	AM FUNDS SMALLCAP WORLD A	16.80	0.17	0.00	0.17	90.0	0.15
10/02/2017	HOLTKAMP, MARIGENE	AM FUNDS U.S. GOVERNMENT SECURITIES	375.00	3.75	0.00	3.75	90.0	3.38
10/02/2017	HOLTKAMP, MARIGENE	AM FUNDS U.S. GOVERNMENT SECURITIES	78.14	0.78	0.00	0.78	90.0	0.70
10/02/2017	TOMPKINS, ERIKA	AM FUNDS WASHINGTON MUTUAL INVESTOR	182.88	1.83	0.00	1.83	90.0	1.65
10/02/2017	TOMPKINS, ERIKA	AM FUNDS WASHINGTON MUTUAL INVESTOR	109.73	1.10	0.00	1.10	90.0	0.99
10/03/2017	GRIFFIN, AMANDA	AM FUNDS WASHINGTON MUTUAL INVESTOR	30.78	0.31	0.00	0.31	90.0	0.28
10/03/2017	GRIFFIN, AMANDA	AM FUNDS WASHINGTON MUTUAL INVESTOR	30.78	0.31	0.00	0.31	90.0	0.28
/ /	KAUFMAN, JEFFREY	FIDELITY ADV CANADA	0.00	0.88	0.00	0.88	90.0	0.79
/ /	KAUFMAN, JEFFREY	FIDELITY ADV EMERGING EMEA	0.00	0.90	0.00	0.90	90.0	0.81
/ /	CROWLEY, MICHA	FIDELITY ADV EVENT DRIVEN OPPTS	0.00	3.34	0.00	3.34	90.0	3.01
/ /	KAUFMAN, JEFFREY	FIDELITY ADV GLOBAL CAP APP T	0.00	2.14	0.00	2.14	90.0	1.93
/ /	KAUFMAN, JEFFREY	FIDELITY ADV GLOBAL COMMODITY STK	0.00	0.85	0.00	0.85	90.0	0.77
/ /	CROWLEY, MICHA	FIDELITY ADV GLOBAL COMMODITY STOCK	0.00	1.00	0.00	1.00	90.0	0.90
/ /	KAUFMAN, JEFFREY	FIDELITY ADV GOLD	0.00	0.85	0.00	0.85	90.0	0.77
/ /	WILMSMEYER, CHRISTA	FIDELITY ADV GOLD C	0.00	0.70	0.00	0.70	90.0	0.63
/ /	GRIFFITH, CHERYL	FIDELITY ADV GOVERNMENT INC	0.00	0.10	0.00	0.10	90.0	0.09
/ /	HALL, ELLEN	FIDELITY ADV GROWTH OPP	0.00	10.17	0.00	10.17	90.0	9.15

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<u>BROKER TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
/ /	ELLIOTT, TIMOTHY	FIDELITY ADV GROWTH OPP	0.00	1.23	0.00	1.23	90.0	1.11
/ /	KAUFMAN, JEFFREY	FIDELITY ADV GROWTH OPP	0.00	7.86	0.00	7.86	90.0	7.07
/ /	RICHARDSON, BOBBY	FIDELITY ADV HEALTH CARE T	0.00	2.60	0.00	2.60	90.0	2.34
/ /	CROWLEY, MICHA	FIDELITY ADV INT'L REAL ESTATE C	0.00	1.53	0.00	1.53	90.0	1.38
/ /	CROWLEY, MICHA	FIDELITY ADV INTERNATIONAL GROWTH C	0.00	4.12	0.00	4.12	90.0	3.71
/ /	GRIFFITH, CHERYL	FIDELITY ADV INTL SM CAP CL T	0.00	4.64	0.00	4.64	90.0	4.18
/ /	RICHARDSON, BOBBY	FIDELITY ADV INTL SM CAP CL T	0.00	1.32	0.00	1.32	90.0	1.19
/ /	GRIFFITH, CHERYL	FIDELITY ADV LARGE CAP	0.00	6.26	0.00	6.26	90.0	5.63
10/04/2017	GRIFFITH, CHERYL	FIDELITY ADV LARGE CAP	75.00	1.50	0.00	1.50	90.0	1.35
/ /	WILMSMEYER, CHRISTA	FIDELITY ADV LEVERAGED CO STOCK C	0.00	7.93	0.00	7.93	90.0	7.14
/ /	HALL, ELLEN	FIDELITY ADV LEVERAGED CO STOCK-CL	0.00	2.69	0.00	2.69	90.0	2.42
/ /	RICHARDSON, BOBBY	FIDELITY ADV LEVERAGED CO STOCK-CL	0.00	13.87	0.00	13.87	90.0	12.48
/ /	WILMSMEYER, CHRISTA	FIDELITY ADV MATERIALS C	0.00	4.54	0.00	4.54	90.0	4.09
/ /	GRIFFITH, CHERYL	FIDELITY ADV OVERSEAS	0.00	1.21	0.00	1.21	90.0	1.09
/ /	CROWLEY, MICHA	FIDELITY ADV REAL ESTATE C	0.00	2.74	0.00	2.74	90.0	2.47
/ /	RICHARDSON, BOBBY	FIDELITY ADV REAL ESTATE-CL T	0.00	6.15	0.00	6.15	90.0	5.54
/ /	GRIFFITH, CHERYL	FIDELITY ADV SMALL CAP	0.00	1.21	0.00	1.21	90.0	1.09
/ /	KAUFMAN, JEFFREY	FIDELITY ADV SMALL CAP GROWTH C	0.00	0.67	0.00	0.67	90.0	0.60
/ /	CROWLEY, MICHA	FIDELITY ADV SMALL CAP GROWTH C	0.00	5.57	0.00	5.57	90.0	5.01
/ /	GRIFFITH, CHERYL	FIDELITY ADV STOCK SELECTOR ALL CAP	0.00	10.64	0.00	10.64	90.0	9.58
/ /	KAUFMAN, JEFFREY	FIDELITY ADV STOCK SELECTOR ALL CAP	0.00	2.27	0.00	2.27	90.0	2.04
/ /	RICHARDSON, BOBBY	FIDELITY ADV TELECOMMUNICATIONS-CL	0.00	2.98	0.00	2.98	90.0	2.68
/ /	WILMSMEYER, CHRISTA	FIDELITY ADV UTILITIES C	0.00	9.62	0.00	9.62	90.0	8.66
/ /	RICHARDSON, BOBBY	FIDELITY ADV UTILITIES-CL T	0.00	1.37	0.00	1.37	90.0	1.23
/ /	RICHARDSON, BOBBY	FIDELITY ADV VALUE LENDERS-CL T	0.00	2.50	0.00	2.50	90.0	2.25
/ /	GRIFFITH, CHERYL	FIDELITY ADVISOR EVENT DRIVEN OPPS	0.00	1.34	0.00	1.34	90.0	1.21
/ /	KAUFMAN, JEFFREY	FIDELITY ADVISOR EVENT DRIVEN OPPS	0.00	1.68	0.00	1.68	90.0	1.51
/ /	KAUFMAN, JEFFREY	FIDELITY ADVISOR MATERIALS FUND-CLA	0.00	1.08	0.00	1.08	90.0	0.97
/ /	WILMSMEYER, CHRISTA	FIDELITY ADVISORS 31618H424	0.00	6.15	0.00	6.15	90.0	5.54
/ /	HALL, ELLEN	FIDELITY ADVISORS 31618H440	0.00	1.29	0.00	1.29	90.0	1.16
/ /	GRIFFITH, CHERYL	FIDELITY BALANCED T	0.00	0.54	0.00	0.54	90.0	0.49
/ /	GRIFFITH, CHERYL	FIDELITY BALANCED T	0.00	14.34	0.00	14.34	90.0	12.91
/ /	HALL, ELLEN	FIDELITY COMM EQUIPMENT T	0.00	1.64	0.00	1.64	90.0	1.48

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>BROKER TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
/ /	RICHARDSON, BOBBY	FIDELITY COMM EQUIPMENT T	0.00	5.38	0.00	5.38	90.0	4.84
/ /	RICHARDSON, BOBBY	FIDELITY EMERGING MKTS T	0.00	2.92	0.00	2.92	90.0	2.63
/ /	CROWLEY, MICHA	FIDELITY ENERGY C	0.00	0.83	0.00	0.83	90.0	0.75
/ /	RICHARDSON, BOBBY	FIDELITY ENERGY T	0.00	2.41	0.00	2.41	90.0	2.17
/ /	KAUFMAN, JEFFREY	FIDELITY ENERGY T	0.00	0.70	0.00	0.70	90.0	0.63
/ /	GRIFFITH, CHERYL	FIDELITY EQUITY VALUE	0.00	9.70	0.00	9.70	90.0	8.73
/ /	CROWLEY, MICHA	FIDELITY FINANCIAL SERVICES C	0.00	2.51	0.00	2.51	90.0	2.26
/ /	RICHARDSON, BOBBY	FIDELITY FINANCIAL SERVICES T	0.00	0.76	0.00	0.76	90.0	0.68
/ /	KAUFMAN, JEFFREY	FIDELITY FINANCIAL SERVICES T	0.00	0.86	0.00	0.86	90.0	0.77
/ /	CROWLEY, MICHA	FIDELITY LATIN AMERICA C	0.00	2.23	0.00	2.23	90.0	2.01
/ /	KAUFMAN, JEFFREY	FIDELITY MIDCAP C	0.00	0.50	0.00	0.50	90.0	0.45
/ /	GRIFFITH, CHERYL	FIDELITY MIDCAP T	0.00	8.75	0.00	8.75	90.0	7.88
/ /	CROWLEY, MICHA	FIDELITY STOCK SELECTOR ALLCAP C	0.00	6.25	0.00	6.25	90.0	5.63
/ /	KAUFMAN, JEFFREY	FIDLEITY ADV INTL REAL ESTATE	0.00	0.97	0.00	0.97	90.0	0.87
/ /	GRIFFITH, CHERYL	FIDLEITY ADVISOR LATIN AMERICA FUND	0.00	1.57	0.00	1.57	90.0	1.41
/ /	KAUFMAN, JEFFREY	FIDLEITY ADVISOR LATIN AMERICA FUND	0.00	2.39	0.00	2.39	90.0	2.15
/ /	RICHARDSON, BOBBY	FIDLEITY ADVISOR JAPAN-CL T	0.00	0.77	0.00	0.77	90.0	0.69
/ /	MCS DESIGN TEAM	HARTFORD BALANCED C	0.00	15.98	0.00	15.98	90.0	14.38
/ /	MCS DESIGN TEAM	HARTFORD DIVIDEND & GROWTH C	0.00	17.55	0.00	17.55	90.0	15.80
/ /	CHADWICK, MARY	OPPENHEIMER CAPITAL INCOME A	0.00	67.35	0.00	67.35	90.0	60.62
/ /	CHADWICK, MARY	OPPENHEIMER CAPITAL INCOME A	0.00	4.03	0.00	4.03	90.0	3.63
/ /	CHADWICK, MARY	OPPENHEIMER LIMITED TERM MUNI A	0.00	16.36	0.00	16.36	90.0	14.72
/ /	CHADWICK, MARY	OPPENHEIMER SENIOR FLOATING RATE A	0.00	29.11	0.00	29.11	90.0	26.20
* MUTUAL FUNDS SUBTOTAL *			\$79,414.92	\$1,516.54	\$0.00	\$1,516.54		\$1,365.05
<u>PRODUCT CATEGORY: VARIABLE ANNUITIES</u>								
09/29/2017	OGLESBY, WILLIAM	ALLIANZ HIGH FIVE TRADITIONAL	155,432.44	194.29	0.00	194.29	90.0	174.86
09/29/2017	LEE, HOWARD	ALLIANZ VISION	63,573.96	79.47	0.00	79.47	90.0	71.52
09/30/2017	PAGE, BRIAN	JNL ELITE ACCESS W/ LIQUIDITY	12,367.84	10.31	0.00	10.31	90.0	9.28
09/30/2017	ANDING, MARY DIANE	JNL PERSPECTIVE II 04/14	108,998.34	45.42	0.00	45.42	90.0	40.88
09/30/2017	STEWART, SHEILA	JNL PERSPECTIVE II 04/14	246,320.90	102.63	0.00	102.63	90.0	92.37
09/30/2017	DEAN GUIER INC	JNL PERSPECTIVE II 04/14	193,959.55	80.82	0.00	80.82	90.0	72.74
09/30/2017	GUIER, CARROL	JNL PERSPECTIVE II 04/14	24,322.73	10.13	0.00	10.13	90.0	9.12
09/30/2017	CALLIS, CHARLES	JNL PERSPECTIVE II 05/05	28,976.35	12.07	0.00	12.07	90.0	10.86

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<u>BROKER TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: VARIABLE ANNUITIES</u>								
09/30/2017	OWEN, ERNEST	JNL PERSPECTIVE II 05/05	145,797.15	60.75	0.00	60.75	90.0	54.68
09/30/2017	OSSMAN, ED	JNL PERSPECTIVE II 05/05	58,329.36	24.30	0.00	24.30	90.0	21.87
09/30/2017	OSSMAN, EDWARD	JNL PERSPECTIVE II 05/05	27,643.70	11.52	0.00	11.52	90.0	10.37
09/30/2017	OSSMAN, EDWARD	JNL PERSPECTIVE II 05/05	155,642.57	64.85	0.00	64.85	90.0	58.37
09/30/2017	MARK, RICHARD GEORGE	JNL PERSPECTIVE II 05/05	93,954.20	39.15	0.00	39.15	90.0	35.24
09/30/2017	LANGE, ARLEN	JNL PERSPECTIVE II 05/05	128,627.06	53.59	0.00	53.59	90.0	48.23
09/30/2017	MCBRIDE, KENNETH	JNL PERSPECTIVE II 05/05	293,257.33	122.19	0.00	122.19	90.0	109.97
09/30/2017	ANDING, MARY DIANE	JNL PERSPECTIVE II 05/05	217,065.04	90.44	0.00	90.44	90.0	81.40
09/28/2017	KLANG, MARCHEA	SBL ADVISORDESIGNS VA	95,429.62	79.53	0.00	79.53	90.0	71.58
09/28/2017	KLANG, MARCHEA	SBL ADVISORDESIGNS VA	109,501.66	91.26	0.00	91.26	90.0	82.13
09/28/2017	ANDERSON, CHERRI	SBL ADVISORDESIGNS VA	27,700.19	23.08	0.00	23.08	90.0	20.77
09/28/2017	DOWNS, JAMES	SBL ADVISORDESIGNS VA	38,816.33	32.35	0.00	32.35	90.0	29.12
09/28/2017	SCOFIELD, ROBERT	SBL ADVISORDESIGNS VA	11,509.82	9.59	0.00	9.59	90.0	8.63
09/28/2017	BENNETT, MILDRED	SBL ADVISORDESIGNS VA	95,720.36	79.76	0.00	79.76	90.0	71.78
09/28/2017	LEE, HOWARD	SBL SECUREDESIGNS VA	257,687.57	53.69	0.00	53.69	90.0	48.32
* VARIABLE ANNUITIES SUBTOTAL *			\$2,590,634.07	\$1,371.19	\$0.00	\$1,371.19		\$1,234.09
<u>PRODUCT CATEGORY: VARIABLE UNIVERSAL LIFE</u>								
09/18/2017	HALL, ELLEN	PAC LIFE VUL	50.00	1.00	0.00	1.00	90.0	0.90
09/18/2017	GRIFFITH, CHERYL	PAC LIFE VUL	50.00	1.00	0.00	1.00	90.0	0.90
09/20/2017	PATTISON, CHRISTINE	PAC LIFE VUL	200.00	6.00	0.00	6.00	90.0	5.40
09/20/2017	GAMM, SKYLAR	PAC LIFE VUL	7.37	7.37	0.00	7.37	90.0	6.63
09/20/2017	GAMM, SKYLAR	PAC LIFE VUL	417.63	104.41	0.00	104.41	90.0	93.97
09/21/2017	KAUFMAN, JEFFREY	PAC LIFE VUL	0.00	30.00	0.00	30.00	90.0	27.00
09/21/2017	KAUFMAN, ELLIE	PAC LIFE VUL	0.00	12.08	0.00	12.08	90.0	10.87
09/22/2017	ELLIOTT, MITCHELL	PAC LIFE VUL	100.00	3.00	0.00	3.00	90.0	2.70
09/25/2017	KING, CALEB	PAC LIFE VUL	50.00	0.60	0.00	0.60	90.0	0.54
09/25/2017	JONES, KAREN	PAC LIFE VUL	50.00	1.50	0.00	1.50	90.0	1.35
09/25/2017	JONES, KENNETH	PAC LIFE VUL	60.00	1.20	0.00	1.20	90.0	1.08
09/25/2017	ADAMS, GREGORY	PAC LIFE VUL	150.00	3.00	0.00	3.00	90.0	2.70
09/25/2017	ADAMS, ASHLEY	PAC LIFE VUL	100.00	2.00	0.00	2.00	90.0	1.80
09/25/2017	GRIFFIN, AMANDA	PAC LIFE VUL	68.07	1.36	0.00	1.36	90.0	1.22
09/25/2017	GRIFFIN, AMANDA	PAC LIFE VUL	37.85	0.76	0.00	0.76	90.0	0.68
09/25/2017	ADAMS, JAXON	PAC LIFE VUL	50.00	1.00	0.00	1.00	90.0	0.90

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<u>BROKER TRANSACTIONS</u>								
PRODUCT CATEGORY: VARIABLE ANNUITY 12B1 TRAILS								
		* VARIABLE UNIVERSAL LIFE SUBTOTAL *	\$1,390.92	\$176.28	\$0.00	\$176.28		\$158.64
PRODUCT CATEGORY: VARIABLE ANNUITY 12B1 TRAILS								
10/02/2017	MIKUS, BARBARA	PAC LIFE PACIFIC CHOICE	0.00	1,276.10	0.00	1,276.10	90.0	1,148.49
		* VARIABLE ANNUITY 12B1 TRAILS SUBTOTAL *	\$0.00	\$1,276.10	\$0.00	\$1,276.10		\$1,148.49
		*** BROKER TRANSACTIONS TOTAL ***	\$2,671,439.91	\$4,340.11	\$0.00	\$4,340.11		\$3,906.27

SPLIT TRANSACTIONS**BROKER: JEFF/JASON KAUFMAN/KEMBLE #349**

10/03/2017	CARSON, MATTHEW	AM FUNDS 2055 TARGET DATE-A	64.31	0.35	0.00	0.35	90.0	0.32
10/03/2017	CARSON, MATTHEW	AM FUNDS 2055 TARGET DATE-A	64.31	0.35	0.00	0.35	90.0	0.32
10/02/2017	FIEGENBAUM, KAREN	AM FUNDS AMERICAN BALANCED A	11,098.17	259.42	0.00	259.42	90.0	233.48
10/03/2017	WAHLIG, KACEY	AM FUNDS AMERICAN BALANCED A	21.09	0.12	0.00	0.12	90.0	0.11
10/03/2017	WAHLIG, KACEY	AM FUNDS AMERICAN BALANCED A	21.09	0.12	0.00	0.12	90.0	0.11
10/06/2017	MO/TOD	AM FUNDS AMERICAN BALANCED A	50,000.00	1,031.25	0.00	1,031.25	90.0	928.13
09/28/2017	BROWN, CODY	AM FUNDS GROWTH FUND OF AMERICA A	100.00	2.75	0.00	2.75	90.0	2.48
10/02/2017	BARTLETT, STEVEN	AM FUNDS GROWTH FUND OF AMERICA A	82.27	0.45	0.00	0.45	90.0	0.41
10/02/2017	BARTLETT, STEVEN	AM FUNDS GROWTH FUND OF AMERICA A	49.36	0.27	0.00	0.27	90.0	0.24
10/03/2017	EISELE, HAMILTON	AM FUNDS GROWTH FUND OF AMERICA A	22.80	0.13	0.00	0.13	90.0	0.12
10/03/2017	EISELE, HAMILTON	AM FUNDS GROWTH FUND OF AMERICA A	17.10	0.09	0.00	0.09	90.0	0.08
10/03/2017	MAIDA, KAILEY	AM FUNDS GROWTH FUND OF AMERICA A	10.00	0.05	0.00	0.05	90.0	0.05
10/03/2017	MAIDA, KAILEY	AM FUNDS GROWTH FUND OF AMERICA A	6.54	0.04	0.00	0.04	90.0	0.04
10/03/2017	DOOLEY, BRUCE	AM FUNDS GROWTH FUND OF AMERICA A	40.09	0.22	0.00	0.22	90.0	0.20
10/03/2017	DOOLEY, BRUCE	AM FUNDS GROWTH FUND OF AMERICA A	40.09	0.22	0.00	0.22	90.0	0.20
10/03/2017	BONHAM, NICOLE	AM FUNDS GROWTH FUND OF AMERICA A	11.30	0.06	0.00	0.06	90.0	0.05
10/03/2017	BONHAM, NICOLE	AM FUNDS GROWTH FUND OF AMERICA A	11.30	0.06	0.00	0.06	90.0	0.05
10/03/2017	LUKIC, MIROSLAV	AM FUNDS GROWTH FUND OF AMERICA A	30.00	0.16	0.00	0.16	90.0	0.14
10/03/2017	LUKIC, MIROSLAV	AM FUNDS GROWTH FUND OF AMERICA A	30.00	0.16	0.00	0.16	90.0	0.14
10/06/2017	THOMPSON, TERRY	AM FUNDS GROWTH FUND OF AMERICA A	250.00	2.20	0.00	2.20	90.0	1.98
10/02/2017	HAGUE, VICTORIA	AM FUNDS ICA A	400.00	2.20	0.00	2.20	90.0	1.98
10/02/2017	HAGUE, VICTORIA	AM FUNDS ICA A	68.79	0.38	0.00	0.38	90.0	0.34
10/03/2017	ZELLMER, RIANNON	AM FUNDS ICA A	9.99	0.05	0.00	0.05	90.0	0.05
10/03/2017	ZELLMER, RIANNON	AM FUNDS ICA A	9.99	0.05	0.00	0.05	90.0	0.05

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

DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>SPLIT TRANSACTIONS</u>								
<u>BROKER: JEFF/JASON KAUFMAN/KEMBLE #349</u>								
10/03/2017	WAHLIG, KACEY	AM FUNDS ICA A	21.10	0.12	0.00	0.12	90.0	0.11
10/03/2017	WAHLIG, KACEY	AM FUNDS ICA A	21.10	0.12	0.00	0.12	90.0	0.11
10/03/2017	HELMANDOLLAR, OLIVIA	AM FUNDS ICA A	18.54	0.10	0.00	0.10	90.0	0.09
10/03/2017	HELMANDOLLAR, OLIVIA	AM FUNDS ICA A	18.54	0.10	0.00	0.10	90.0	0.09
10/06/2017	THOMPSON, TERRY	AM FUNDS NEW ECONOMY A	250.00	2.20	0.00	2.20	90.0	1.98
10/02/2017	LEHMAN, COLBY	AM FUNDS NEW PERSPECTIVE A	50.00	1.37	0.00	1.37	90.0	1.23
10/03/2017	MCNERNEY, DAVID	AM FUNDS NEW PERSPECTIVE A	1,000.00	5.50	0.00	5.50	90.0	4.95
10/03/2017	MCNERNEY, DAVID	AM FUNDS NEW PERSPECTIVE A	123.00	0.68	0.00	0.68	90.0	0.61
10/03/2017	EISELE, HAMILTON	AM FUNDS NEW WORLD A	22.80	0.13	0.00	0.13	90.0	0.12
10/03/2017	EISELE, HAMILTON	AM FUNDS NEW WORLD A	17.10	0.09	0.00	0.09	90.0	0.08
10/06/2017	THOMPSON, TERRY	AM FUNDS NEW WORLD A	250.00	2.20	0.00	2.20	90.0	1.98
10/02/2017	HAGUE, VICTORIA	AM FUNDS SMALLCAP WORLD A	100.00	0.55	0.00	0.55	90.0	0.50
10/02/2017	HAGUE, VICTORIA	AM FUNDS SMALLCAP WORLD A	17.20	0.09	0.00	0.09	90.0	0.08
10/02/2017	BARTLETT, STEVEN	AM FUNDS SMALLCAP WORLD A	82.27	0.45	0.00	0.45	90.0	0.41
10/02/2017	BARTLETT, STEVEN	AM FUNDS SMALLCAP WORLD A	49.36	0.27	0.00	0.27	90.0	0.24
10/03/2017	HELMANDOLLAR, OLIVIA	AM FUNDS SMALLCAP WORLD A	18.54	0.10	0.00	0.10	90.0	0.09
10/03/2017	HELMANDOLLAR, OLIVIA	AM FUNDS SMALLCAP WORLD A	18.54	0.10	0.00	0.10	90.0	0.09
10/03/2017	LUKIC, MIROSLAV	AM FUNDS SMALLCAP WORLD A	30.00	0.16	0.00	0.16	90.0	0.14
10/03/2017	LUKIC, MIROSLAV	AM FUNDS SMALLCAP WORLD A	30.00	0.16	0.00	0.16	90.0	0.14
10/06/2017	THOMPSON, TERRY	AM FUNDS SMALLCAP WORLD A	250.00	2.20	0.00	2.20	90.0	1.98
09/28/2017	CARSON, SEDEL	PAC LIFE VUL	55.00	30.25	0.00	30.25	90.0	27.23
09/28/2017	CARSON, MATTHEW	PAC LIFE VUL	7.57	4.17	0.00	4.17	90.0	3.75
09/28/2017	CARSON, MATTHEW	PAC LIFE VUL	142.43	19.58	0.00	19.58	90.0	17.62
* JEFF/JASON KAUFMAN/KEMBLE SUBTOTAL *			\$65,051.68	\$1,371.84	\$0.00	\$1,371.84		\$1,234.69
<u>BROKER: JASON KEMBLE #394</u>								
09/29/2017	SEBA, FRED	AM FUNDS AMERICAN BALANCED A	3,338.37	56.75	0.00	56.75	90.0	51.08
09/25/2017	DANIELS, CLINTON	AM FUNDS GROWTH FUND OF AMERICA A	100.00	2.00	0.00	2.00	90.0	1.80
09/25/2017	DANIELS, CLINTON	AM FUNDS SMALLCAP WORLD A	100.00	2.00	0.00	2.00	90.0	1.80
* JASON KEMBLE SUBTOTAL *			\$3,538.37	\$60.75	\$0.00	\$60.75		\$54.68
*** SPLIT TRANSACTIONS TOTAL ***			\$68,590.05	\$1,432.59	\$0.00	\$1,432.59		\$1,289.37

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>ADJUSTMENTS</u>								
10/15/2017		*E & O INSURANCE: CURRENT MONTH INS	0.00					-300.00
10/15/2017		*FINRA: CE TRACKED WEB FEE	0.00					-55.00
10/15/2017		*TECHNOLOGY: ADMIN - KIM KAUFMAN	0.00					-100.00
10/15/2017		*TECHNOLOGY: CURRENT MONTH TECH	0.00					-275.00
*** ADJUSTMENTS TOTAL ***			\$0.00	\$0.00	\$0.00	\$0.00		\$-730.00

BROKER COMMISSION TOTALS

Broker Transactions	\$3,906.27
Split Transactions	\$1,289.37
Override Transactions	\$0.00
Adjustments	\$-730.00
Payroll Draw	\$0.00
Base Salary	\$0.00
Prior Period Balance	\$0.00
FINRA Assessment	\$0.00
SIPC Assessment	\$0.00

Check Amount	\$4,465.64
Year-to-date Gross	\$149,169.57
Year-to-date Earnings	\$143,287.61

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