

**COMMISSION STATEMENT****May 15, 2018**JAMES, M127 MAHER
3082 Quail Ridge CircleBROKER #: M127
BRANCH: JAMES MAHER

Rochester Hills, MI 48309-

DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>CLEARING TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
04/18/2018	MAHER, HENRY	AM CENT CORPORATE BOND	0.00	26.82	0.00	26.82	90.0	24.14
04/18/2018	MAHER, HENRY	AM CENT EQUITY INCOME	0.00	34.58	0.00	34.58	90.0	31.12
04/18/2018	NUNEZ TRUST, LYNDIA	AM CENT MUTUAL GROWTH	0.00	19.07	0.00	19.07	90.0	17.16
04/18/2018	NUNEZ TRUST, LYNDIA	AM CENT MUTUAL GROWTH	0.00	57.20	0.00	57.20	90.0	51.48
04/18/2018	EBERHARD, DAVID	AM CENTURY EQUITY INCOME	0.00	4.26	0.00	4.26	90.0	3.83
04/18/2018	EBERHARD, DAVID	AM CENTURY EQUITY INCOME	0.00	1.42	0.00	1.42	90.0	1.28
04/18/2018	LINDSEY LIV TRUST, CHARLES &	AM CENTURY EQUITY INCOME	0.00	13.48	0.00	13.48	90.0	12.13
04/18/2018	LINDSEY LIV TRUST, CHARLES &	AM CENTURY EQUITY INCOME	0.00	40.44	0.00	40.44	90.0	36.40
04/18/2018	LUJAN, DEBORAH	AM CENTURY EQUITY INCOME	0.00	3.44	0.00	3.44	90.0	3.10
04/18/2018	LUJAN, DEBORAH	AM CENTURY EQUITY INCOME	0.00	10.31	0.00	10.31	90.0	9.28
04/18/2018	LUJAN-LABADIE, JENNIFER	AM CENTURY EQUITY INCOME	0.00	14.35	0.00	14.35	90.0	12.92
04/18/2018	LUJAN-LABADIE, JENNIFER	AM CENTURY EQUITY INCOME	0.00	43.06	0.00	43.06	90.0	38.75
04/18/2018	HICKSON, ANDREW	AM CENTURY EQUITY INCOME	0.00	48.93	0.00	48.93	90.0	44.04
04/18/2018	HICKSON, ANDREW	AM CENTURY EQUITY INCOME	0.00	16.31	0.00	16.31	90.0	14.68
04/18/2018	SCACCIA, KELLY	AM CENTURY EQUITY INCOME	0.00	2.70	0.00	2.70	90.0	2.43
04/18/2018	SCACCIA, KELLY	AM CENTURY EQUITY INCOME	0.00	8.10	0.00	8.10	90.0	7.29
04/18/2018	KESSOR, LAURA	AM CENTURY EQUITY INCOME	0.00	53.26	0.00	53.26	90.0	47.93
04/18/2018	KESSOR, LAURA	AM CENTURY EQUITY INCOME	0.00	17.75	0.00	17.75	90.0	15.98
04/18/2018	MARIN REV TRUST, NICHOLAS	AM CENTURY EQUITY INCOME	0.00	10.85	0.00	10.85	90.0	9.77
04/18/2018	MARIN REV TRUST, NICHOLAS	AM CENTURY EQUITY INCOME	0.00	32.55	0.00	32.55	90.0	29.30
04/18/2018	MAHER, HENRY	AM CENTURY EQUITY INCOME	0.00	19.05	0.00	19.05	90.0	17.15
04/18/2018	MAHER, HENRY	AM CENTURY EQUITY INCOME	0.00	57.14	0.00	57.14	90.0	51.43
04/18/2018	COLASUONNO, RALPH	AM CENTURY EQUITY INCOME	0.00	1.71	0.00	1.71	90.0	1.54
04/18/2018	COLASUONNO, RALPH	AM CENTURY EQUITY INCOME	0.00	5.12	0.00	5.12	90.0	4.61
04/10/2018	LINDSEY, CHARLES	AM FUNDS AMCAP A	0.00	2.13	0.00	2.13	90.0	1.92
04/10/2018	PALMER, TODD	AM FUNDS AMCAP C	0.00	26.26	0.00	26.26	90.0	23.63

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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>CLEARING TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
04/10/2018	MAHER, MAIGHDLIN	AM FUNDS AMCAP C	0.00	1.73	0.00	1.73	90.0	1.56
04/10/2018	TAYLOR, JAMIE	AM FUNDS AMERICAN BALANCED C	0.00	24.48	0.00	24.48	90.0	22.03
04/10/2018	NUNEZ TRUST, LYNDA	AM FUNDS AMERICAN BALANCED C	0.00	45.37	0.00	45.37	90.0	40.83
04/10/2018	ALLEN, MARY	AM FUNDS AMERICAN BALANCED C	0.00	10.02	0.00	10.02	90.0	9.02
04/10/2018	PALMERI, DANIEL	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	0.40	0.00	0.40	90.0	0.36
04/10/2018	LINDSEY, CHARLES	AM FUNDS BOND FUND OF AMERICA A	0.00	2.22	0.00	2.22	90.0	2.00
04/10/2018	LINDSEY, CHARLES	AM FUNDS BOND FUND OF AMERICA A	0.00	2.88	0.00	2.88	90.0	2.59
04/10/2018	GILLESPIE, HEATHER	AM FUNDS BOND FUND OF AMERICA A	0.00	4.44	0.00	4.44	90.0	4.00
04/10/2018	LINDSEY, CHARLES	AM FUNDS CAPITAL INCOME BUILDER A	0.00	2.00	0.00	2.00	90.0	1.80
04/10/2018	LINDSEY, CHARLES	AM FUNDS CAPITAL INCOME BUILDER A	0.00	2.06	0.00	2.06	90.0	1.85
04/10/2018	KOTT, DIANE	AM FUNDS CAPITAL INCOME BUILDER C	0.00	5.88	0.00	5.88	90.0	5.29
04/10/2018	TAYLOR, JAMIE	AM FUNDS CAPITAL INCOME BUILDER C	0.00	23.01	0.00	23.01	90.0	20.71
04/10/2018	STONE, EDWARD	AM FUNDS CAPITAL INCOME BUILDER C	0.00	12.35	0.00	12.35	90.0	11.12
04/10/2018	O'CONNOR, HOLLY	AM FUNDS CAPITAL INCOME BUILDER C	0.00	6.56	0.00	6.56	90.0	5.90
04/10/2018	FOSTER SP TRUST, PATRICIA	AM FUNDS CAPITAL INCOME BUILDER C	0.00	2.65	0.00	2.65	90.0	2.39
04/10/2018	NUNEZ TRUST, LYNDA	AM FUNDS CAPITAL INCOME BUILDER C	0.00	25.09	0.00	25.09	90.0	22.58
04/10/2018	EBERHARD, DAVID	AM FUNDS CAPITAL INCOME BUILDER C	0.00	9.54	0.00	9.54	90.0	8.59
04/10/2018	PLASTIRAS, JULIANA	AM FUNDS CAPITAL INCOME BUILDER C	0.00	11.41	0.00	11.41	90.0	10.27
04/10/2018	MARKHAM, ELIZABETH	AM FUNDS CAPITAL INCOME BUILDER C	0.00	1.91	0.00	1.91	90.0	1.72
04/10/2018	RUSSO, NICHOLAS	AM FUNDS CAPITAL INCOME BUILDER C	0.00	4.32	0.00	4.32	90.0	3.89
04/10/2018	RUSSO, DAVID	AM FUNDS CAPITAL INCOME BUILDER C	0.00	12.70	0.00	12.70	90.0	11.43
04/10/2018	ALLEN, MARY	AM FUNDS CAPITAL INCOME BUILDER C	0.00	9.74	0.00	9.74	90.0	8.77
04/10/2018	HEILMANN, MAUREEN	AM FUNDS CAPITAL INCOME BUILDER C	0.00	9.73	0.00	9.73	90.0	8.76
04/10/2018	HEIDLOFF, JENNIFER	AM FUNDS CAPITAL INCOME BUILDER C	0.00	3.52	0.00	3.52	90.0	3.17
04/10/2018	O'DONNELL, JUDITH	AM FUNDS CAPITAL INCOME BUILDER C	0.00	9.05	0.00	9.05	90.0	8.15
04/10/2018	BUSSELL, JEFFREY	AM FUNDS CAPITAL INCOME BUILDER C	0.00	6.34	0.00	6.34	90.0	5.71
04/10/2018	SCACCIA, KELLY	AM FUNDS CAPITAL INCOME BUILDER C	0.00	6.86	0.00	6.86	90.0	6.17
04/10/2018	HENKE, FRANK	AM FUNDS CAPITAL INCOME BUILDER C	0.00	12.67	0.00	12.67	90.0	11.40
04/10/2018	KESSOR, LAURA	AM FUNDS CAPITAL INCOME BUILDER C	0.00	23.03	0.00	23.03	90.0	20.73
04/10/2018	PROKOP, STANLEY	AM FUNDS CAPITAL INCOME BUILDER C	0.00	142.45	0.00	142.45	90.0	128.21
04/10/2018	FLEURY, DAVID	AM FUNDS CAPITAL INCOME BUILDER C	0.00	22.13	0.00	22.13	90.0	19.92
04/10/2018	MAHER, KEIRA	AM FUNDS CAPITAL INCOME BUILDER C	0.00	1.64	0.00	1.64	90.0	1.48
04/10/2018	MAHER, HENRY	AM FUNDS CAPITAL INCOME BUILDER C	0.00	37.79	0.00	37.79	90.0	34.01

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<u>CLEARING TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
04/10/2018	FRASER, SHARON	AM FUNDS CAPITAL INCOME BUILDER C	0.00	7.36	0.00	7.36	90.0	6.62
04/10/2018	GUMBLETON, CARRIE	AM FUNDS CAPITAL INCOME BUILDER F1	0.00	2.73	0.00	2.73	90.0	2.46
04/10/2018	KORESKY, JOHN	AM FUNDS CAPITAL INCOME BUILDER F1	0.00	1.30	0.00	1.30	90.0	1.17
04/10/2018	BANNICK, ROBERT	AM FUNDS CAPITAL INCOME BUILDER F1	0.00	1.31	0.00	1.31	90.0	1.18
04/10/2018	MARIN REV TRUST, NICHOLAS	AM FUNDS CAPITAL INCOME BUILDER F1	0.00	3.04	0.00	3.04	90.0	2.74
04/10/2018	PIZZO, MICHELE	AM FUNDS CAPITAL INCOME BUILDER F1	0.00	1.94	0.00	1.94	90.0	1.75
04/10/2018	PIZZO, REBECCA	AM FUNDS CAPITAL INCOME BUILDER F1	0.00	1.45	0.00	1.45	90.0	1.31
04/10/2018	ZANONI, CARRIE	AM FUNDS CAPITAL INCOME BUILDER F1	0.00	1.53	0.00	1.53	90.0	1.38
04/10/2018	QUEDNAU, KELLY	AM FUNDS CAPITAL INCOME BUILDER F1	0.00	9.19	0.00	9.19	90.0	8.27
04/10/2018	VIAR, DAVID	AM FUNDS CAPITAL INCOME BUILDER F1	0.00	0.59	0.00	0.59	90.0	0.53
04/10/2018	LINDSEY, CHARLES	AM FUNDS CAPITAL WORLD BOND A	0.00	1.23	0.00	1.23	90.0	1.11
04/10/2018	HOPPE, KYLE	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	1.99	0.00	1.99	90.0	1.79
04/10/2018	PALMERI, DANIEL	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.78	0.00	0.78	90.0	0.70
04/10/2018	OLIVER, WILLIAM	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.18	0.00	0.18	90.0	0.16
04/10/2018	LOUGHLIN, DENNIS	AM FUNDS CAPITAL WORLD GRTH & INC C	0.00	2.33	0.00	2.33	90.0	2.10
04/10/2018	NUNEZ TRUST, LYNDA	AM FUNDS CAPITAL WORLD GRTH & INC C	0.00	62.73	0.00	62.73	90.0	56.46
04/10/2018	LUJAN, DEBORAH	AM FUNDS CAPITAL WORLD GRTH & INC C	0.00	8.30	0.00	8.30	90.0	7.47
04/10/2018	LUJAN-LABADIE, JENNIFER	AM FUNDS CAPITAL WORLD GRTH & INC C	0.00	4.51	0.00	4.51	90.0	4.06
04/10/2018	LUJAN-LABADIE, JENNIFER	AM FUNDS CAPITAL WORLD GRTH & INC C	0.00	1.30	0.00	1.30	90.0	1.17
04/10/2018	MARKHAM, JASON	AM FUNDS CAPITAL WORLD GRTH & INC C	0.00	6.04	0.00	6.04	90.0	5.44
04/10/2018	BANNICK, ROBERT	AM FUNDS CAPITAL WORLD GRTH & INC C	0.00	3.65	0.00	3.65	90.0	3.29
04/10/2018	BANNICK, ROBERT	AM FUNDS CAPITAL WORLD GRTH & INC C	0.00	1.64	0.00	1.64	90.0	1.48
04/10/2018	QUSSAR, JAMES	AM FUNDS CAPITAL WORLD GRTH & INC C	0.00	8.97	0.00	8.97	90.0	8.07
04/10/2018	SCHWARTZENBERGER, THOMAS	AM FUNDS CAPITAL WORLD GRTH & INC C	0.00	5.31	0.00	5.31	90.0	4.78
04/10/2018	MAHER, HENRY	AM FUNDS CAPITAL WORLD GRTH & INC C	0.00	23.39	0.00	23.39	90.0	21.05
04/10/2018	QUEDNAU, KELLY	AM FUNDS CAPITAL WORLD GRTH & INC C	0.00	23.76	0.00	23.76	90.0	21.38
04/10/2018	VIAR, DAVID	AM FUNDS CAPITAL WORLD GRTH & INC C	0.00	5.89	0.00	5.89	90.0	5.30
04/10/2018	HOPPE, KYLE	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	1.53	0.00	1.53	90.0	1.38
04/10/2018	LINDSEY, CHARLES	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	0.70	0.00	0.70	90.0	0.63
04/10/2018	LOUGHLIN, DENNIS	AM FUNDS EUROPACIFIC GROWTH FUND C	0.00	23.26	0.00	23.26	90.0	20.93
04/10/2018	NUNEZ, LYNDA	AM FUNDS EUROPACIFIC GROWTH FUND C	0.00	24.58	0.00	24.58	90.0	22.12
04/10/2018	NUNEZ TRUST, LYNDA	AM FUNDS EUROPACIFIC GROWTH FUND C	0.00	56.62	0.00	56.62	90.0	50.96
04/10/2018	EBERHARD, DAVID	AM FUNDS EUROPACIFIC GROWTH FUND C	0.00	9.21	0.00	9.21	90.0	8.29

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<u>CLEARING TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
04/10/2018	LUJAN, DEBORAH	AM FUNDS EUROPACIFIC GROWTH FUND C	0.00	11.02	0.00	11.02	90.0	9.92
04/10/2018	LUJAN-LABADIE, JENNIFER	AM FUNDS EUROPACIFIC GROWTH FUND C	0.00	4.76	0.00	4.76	90.0	4.28
04/10/2018	VEIT, BEVERLY	AM FUNDS EUROPACIFIC GROWTH FUND C	0.00	11.46	0.00	11.46	90.0	10.31
04/10/2018	MARKHAM, JASON	AM FUNDS EUROPACIFIC GROWTH FUND C	0.00	7.82	0.00	7.82	90.0	7.04
04/10/2018	BANNICK, ROBERT	AM FUNDS EUROPACIFIC GROWTH FUND C	0.00	3.21	0.00	3.21	90.0	2.89
04/10/2018	O'DONNELL, JUDITH	AM FUNDS EUROPACIFIC GROWTH FUND C	0.00	9.15	0.00	9.15	90.0	8.24
04/10/2018	O'DONNELL, SHERYL	AM FUNDS EUROPACIFIC GROWTH FUND C	0.00	4.58	0.00	4.58	90.0	4.12
04/10/2018	PALMERI, DANIEL	AM FUNDS EUROPACIFIC GROWTH FUND C	0.00	3.05	0.00	3.05	90.0	2.75
04/10/2018	HOLMES, KAYLA	AM FUNDS EUROPACIFIC GROWTH FUND C	0.00	1.42	0.00	1.42	90.0	1.28
04/10/2018	HOLMES, JACK PATRICK	AM FUNDS EUROPACIFIC GROWTH FUND C	0.00	1.30	0.00	1.30	90.0	1.17
04/10/2018	QUSSAR, KELLY	AM FUNDS EUROPACIFIC GROWTH FUND C	0.00	6.23	0.00	6.23	90.0	5.61
04/10/2018	BIONDO, MELISSA	AM FUNDS EUROPACIFIC GROWTH FUND C	0.00	7.16	0.00	7.16	90.0	6.44
04/10/2018	SCHWARTZENBERGER, THOMAS	AM FUNDS EUROPACIFIC GROWTH FUND C	0.00	4.57	0.00	4.57	90.0	4.11
04/10/2018	MAHER, KEIRA	AM FUNDS EUROPACIFIC GROWTH FUND C	0.00	1.14	0.00	1.14	90.0	1.03
04/10/2018	MAHER, MAIGHDLIN	AM FUNDS EUROPACIFIC GROWTH FUND C	0.00	1.17	0.00	1.17	90.0	1.05
04/10/2018	JAMES, THOMAS	AM FUNDS EUROPACIFIC GROWTH FUND C	0.00	10.51	0.00	10.51	90.0	9.46
04/10/2018	DARR, CRAIG	AM FUNDS EUROPACIFIC GROWTH FUND C	0.00	12.32	0.00	12.32	90.0	11.09
04/10/2018	MAHER, HENRY	AM FUNDS EUROPACIFIC GROWTH FUND C	0.00	37.16	0.00	37.16	90.0	33.44
04/10/2018	COLASUONNO, RALPH	AM FUNDS EUROPACIFIC GROWTH FUND C	0.00	12.53	0.00	12.53	90.0	11.28
04/10/2018	PIASCIK, SHAWN	AM FUNDS EUROPACIFIC GROWTH FUND C	0.00	30.73	0.00	30.73	90.0	27.66
04/10/2018	PAGANO, MAUREEN	AM FUNDS EUROPACIFIC GROWTH FUND C	0.00	10.54	0.00	10.54	90.0	9.49
04/10/2018	MAHER, OWEN	AM FUNDS EUROPACIFIC GROWTH FUND C	0.00	2.51	0.00	2.51	90.0	2.26
04/10/2018	KORESKY, JOHN	AM FUNDS EUROPACIFIC GROWTH FUND F1	0.00	1.16	0.00	1.16	90.0	1.04
04/10/2018	BANNICK, ROBERT	AM FUNDS EUROPACIFIC GROWTH FUND F1	0.00	1.45	0.00	1.45	90.0	1.31
04/10/2018	BANNICK, KELLY	AM FUNDS EUROPACIFIC GROWTH FUND F1	0.00	1.76	0.00	1.76	90.0	1.58
04/10/2018	QUEDNAU, KELLY	AM FUNDS EUROPACIFIC GROWTH FUND F1	0.00	5.47	0.00	5.47	90.0	4.92
04/10/2018	VIAR, DAVID	AM FUNDS EUROPACIFIC GROWTH FUND F1	0.00	0.46	0.00	0.46	90.0	0.41
04/10/2018	LINDSEY, CHARLES	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	2.04	0.00	2.04	90.0	1.84
04/10/2018	LINDSEY, CHARLES	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	1.91	0.00	1.91	90.0	1.72
04/10/2018	HEILMANN, MAUREEN	AM FUNDS FUNDAMENTAL INVESTORS C	0.00	23.35	0.00	23.35	90.0	21.02
04/10/2018	PROKOP, STANLEY	AM FUNDS FUNDAMENTAL INVESTORS C	0.00	215.13	0.00	215.13	90.0	193.62
04/09/2018	CARROLL, EILEEN	AM FUNDS GROWTH FUND OF AMERICA A	3,200.00	20.00	0.00	20.00	90.0	18.00
04/10/2018	O'DONNELL, SHERYL	AM FUNDS GROWTH FUND OF AMERICA A	0.00	5.16	0.00	5.16	90.0	4.64

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<u>CLEARING TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
04/10/2018	PALMERI, DANIEL	AM FUNDS GROWTH FUND OF AMERICA A	0.00	1.08	0.00	1.08	90.0	0.97
04/10/2018	MAHER, HENRY	AM FUNDS GROWTH FUND OF AMERICA A	0.00	14.84	0.00	14.84	90.0	13.36
04/10/2018	HOLMES, KAYLA	AM FUNDS GROWTH FUND OF AMERICA A	0.00	7.09	0.00	7.09	90.0	6.38
04/10/2018	HOLMES, JACK PATRICK	AM FUNDS GROWTH FUND OF AMERICA A	0.00	5.87	0.00	5.87	90.0	5.28
04/10/2018	CARROLL, EILEEN	AM FUNDS GROWTH FUND OF AMERICA A	0.00	12.96	0.00	12.96	90.0	11.66
04/10/2018	MAHER, KYLE	AM FUNDS GROWTH FUND OF AMERICA A	0.00	4.78	0.00	4.78	90.0	4.30
04/10/2018	MAHER, OWEN	AM FUNDS GROWTH FUND OF AMERICA A	0.00	2.27	0.00	2.27	90.0	2.04
04/10/2018	KOTT, DIANE	AM FUNDS GROWTH FUND OF AMERICA C	0.00	19.27	0.00	19.27	90.0	17.34
04/10/2018	LOUGHLIN, DENNIS	AM FUNDS GROWTH FUND OF AMERICA C	0.00	35.02	0.00	35.02	90.0	31.52
04/10/2018	NORRIS, CHRISTOPHER	AM FUNDS GROWTH FUND OF AMERICA C	0.00	100.79	0.00	100.79	90.0	90.71
04/10/2018	NUNEZ TRUST, LYNDIA	AM FUNDS GROWTH FUND OF AMERICA C	0.00	120.00	0.00	120.00	90.0	108.00
04/10/2018	EBERHARD, DAVID	AM FUNDS GROWTH FUND OF AMERICA C	0.00	14.63	0.00	14.63	90.0	13.17
04/10/2018	PLASTIRAS, JULIANA	AM FUNDS GROWTH FUND OF AMERICA C	0.00	15.30	0.00	15.30	90.0	13.77
04/10/2018	SCACCIA, DAVID	AM FUNDS GROWTH FUND OF AMERICA C	0.00	12.07	0.00	12.07	90.0	10.86
04/10/2018	HICKSON, JORDAN	AM FUNDS GROWTH FUND OF AMERICA C	0.00	20.84	0.00	20.84	90.0	18.76
04/10/2018	PALMER, TODD	AM FUNDS GROWTH FUND OF AMERICA C	0.00	30.77	0.00	30.77	90.0	27.69
04/10/2018	BOLUS, ELLA	AM FUNDS GROWTH FUND OF AMERICA C	0.00	40.73	0.00	40.73	90.0	36.66
04/10/2018	HEILMANN, MAUREEN	AM FUNDS GROWTH FUND OF AMERICA C	0.00	19.02	0.00	19.02	90.0	17.12
04/10/2018	LUJAN, DEBORAH	AM FUNDS GROWTH FUND OF AMERICA C	0.00	16.67	0.00	16.67	90.0	15.00
04/10/2018	LUJAN-LABADIE, JENNIFER	AM FUNDS GROWTH FUND OF AMERICA C	0.00	10.76	0.00	10.76	90.0	9.68
04/10/2018	MARKHAM, JASON	AM FUNDS GROWTH FUND OF AMERICA C	0.00	12.83	0.00	12.83	90.0	11.55
04/10/2018	HEIDLOFF, RAYMOND	AM FUNDS GROWTH FUND OF AMERICA C	0.00	4.64	0.00	4.64	90.0	4.18
04/10/2018	HICKSON, ANDREW	AM FUNDS GROWTH FUND OF AMERICA C	0.00	7.59	0.00	7.59	90.0	6.83
04/10/2018	HICKSON, ANDREW	AM FUNDS GROWTH FUND OF AMERICA C	0.00	17.91	0.00	17.91	90.0	16.12
04/10/2018	PALMERI, DANIEL	AM FUNDS GROWTH FUND OF AMERICA C	0.00	4.80	0.00	4.80	90.0	4.32
04/10/2018	HENKE, FRANK	AM FUNDS GROWTH FUND OF AMERICA C	0.00	15.21	0.00	15.21	90.0	13.69
04/10/2018	QUSSAR, KELLY	AM FUNDS GROWTH FUND OF AMERICA C	0.00	10.80	0.00	10.80	90.0	9.72
04/10/2018	QUSSAR, JAMES	AM FUNDS GROWTH FUND OF AMERICA C	0.00	12.76	0.00	12.76	90.0	11.48
04/10/2018	KESSOR, LAURA	AM FUNDS GROWTH FUND OF AMERICA C	0.00	28.65	0.00	28.65	90.0	25.79
04/10/2018	BANNICK, ROBERT	AM FUNDS GROWTH FUND OF AMERICA C	0.00	5.18	0.00	5.18	90.0	4.66
04/10/2018	SCHWARTZENBERGER, THOMAS	AM FUNDS GROWTH FUND OF AMERICA C	0.00	5.50	0.00	5.50	90.0	4.95
04/10/2018	DARR, CRAIG	AM FUNDS GROWTH FUND OF AMERICA C	0.00	15.60	0.00	15.60	90.0	14.04
04/10/2018	ANTHONY, NICHOLAS	AM FUNDS GROWTH FUND OF AMERICA C	0.00	5.06	0.00	5.06	90.0	4.55

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>CLEARING TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
04/10/2018	MAHER, HENRY	AM FUNDS GROWTH FUND OF AMERICA C	0.00	54.27	0.00	54.27	90.0	48.84
04/10/2018	GILLESPIE, HEATHER	AM FUNDS GROWTH FUND OF AMERICA C	0.00	1.97	0.00	1.97	90.0	1.77
04/10/2018	COLASUONNO, RALPH	AM FUNDS GROWTH FUND OF AMERICA C	0.00	20.54	0.00	20.54	90.0	18.49
04/10/2018	PIASCIK, SHAWN	AM FUNDS GROWTH FUND OF AMERICA C	0.00	33.51	0.00	33.51	90.0	30.16
04/24/2018	CANDELLA, WENDY	AM FUNDS GROWTH FUND OF AMERICA C	5,300.00	73.00	0.00	73.00	90.0	65.70
04/09/2018	KEYES LIV TRUST, MURIEL WATSON	AM FUNDS GROWTH FUND OF AMERICA F1	9,000.00	0.00	0.00	0.00	90.0	0.00
04/10/2018	PIZZO, FRANCESCO	AM FUNDS GROWTH FUND OF AMERICA F1	0.00	0.19	0.00	0.19	90.0	0.17
04/10/2018	PIZZO, SALVATORE	AM FUNDS GROWTH FUND OF AMERICA F1	0.00	2.09	0.00	2.09	90.0	1.88
04/10/2018	PIZZO, SALVATORE	AM FUNDS GROWTH FUND OF AMERICA F1	0.00	2.66	0.00	2.66	90.0	2.39
04/10/2018	KNOPE, DOUGLAS	AM FUNDS GROWTH FUND OF AMERICA F1	0.00	1.67	0.00	1.67	90.0	1.50
04/10/2018	GUMBLETON, CARRIE	AM FUNDS GROWTH FUND OF AMERICA F1	0.00	5.76	0.00	5.76	90.0	5.18
04/10/2018	LUJAN-LABADIE, JENNIFER	AM FUNDS GROWTH FUND OF AMERICA F1	0.00	5.59	0.00	5.59	90.0	5.03
04/10/2018	CARLINO, AMY	AM FUNDS GROWTH FUND OF AMERICA F1	0.00	3.68	0.00	3.68	90.0	3.31
04/10/2018	KEYES LIV TRUST, MURIEL WATSON	AM FUNDS GROWTH FUND OF AMERICA F1	0.00	4.75	0.00	4.75	90.0	4.28
04/10/2018	BANNICK, ROBERT	AM FUNDS GROWTH FUND OF AMERICA F1	0.00	2.32	0.00	2.32	90.0	2.09
04/10/2018	SCHWARTZENBERGER, THOMAS	AM FUNDS GROWTH FUND OF AMERICA F1	0.00	2.15	0.00	2.15	90.0	1.94
04/10/2018	MARIN REV TRUST, NICHOLAS	AM FUNDS GROWTH FUND OF AMERICA F1	0.00	5.02	0.00	5.02	90.0	4.52
04/10/2018	PIZZO, MICHELE	AM FUNDS GROWTH FUND OF AMERICA F1	0.00	1.08	0.00	1.08	90.0	0.97
04/10/2018	GILLESPIE, HEATHER	AM FUNDS GROWTH FUND OF AMERICA F1	0.00	0.88	0.00	0.88	90.0	0.79
04/10/2018	FRASER, SHARON	AM FUNDS GROWTH FUND OF AMERICA F1	0.00	2.03	0.00	2.03	90.0	1.83
04/10/2018	QUEDNAU, KELLY	AM FUNDS GROWTH FUND OF AMERICA F1	0.00	28.74	0.00	28.74	90.0	25.87
04/10/2018	VIAR, DAVID	AM FUNDS GROWTH FUND OF AMERICA F1	0.00	3.40	0.00	3.40	90.0	3.06
04/10/2018	HOPPE, KYLE	AM FUNDS ICA A	0.00	1.50	0.00	1.50	90.0	1.35
04/10/2018	CARROLL, EILEEN	AM FUNDS ICA A	0.00	12.16	0.00	12.16	90.0	10.94
04/10/2018	LINDSEY, CHARLES	AM FUNDS ICA A	0.00	0.92	0.00	0.92	90.0	0.83
04/10/2018	STONE, JANE	AM FUNDS INCOME FUND OF AMERICA A	0.00	7.27	0.00	7.27	90.0	6.54
04/10/2018	HOPPE, KYLE	AM FUNDS INCOME FUND OF AMERICA A	0.00	1.54	0.00	1.54	90.0	1.39
04/10/2018	GILLESPIE, HEATHER	AM FUNDS INCOME FUND OF AMERICA A	0.00	9.43	0.00	9.43	90.0	8.49
04/03/2018	PROKOP, STANLEY	AM FUNDS INCOME FUND OF AMERICA C	25,000.00	20.00	0.00	20.00	90.0	18.00
04/10/2018	BELONGIE, GINGER	AM FUNDS INCOME FUND OF AMERICA C	0.00	17.11	0.00	17.11	90.0	15.40
04/10/2018	NUNEZ TRUST, LYNDIA	AM FUNDS INCOME FUND OF AMERICA C	0.00	92.85	0.00	92.85	90.0	83.57
04/10/2018	EBERHARD, DAVID	AM FUNDS INCOME FUND OF AMERICA C	0.00	8.47	0.00	8.47	90.0	7.62
04/10/2018	WOLLACK TRUST, ROBERT	AM FUNDS INCOME FUND OF AMERICA C	0.00	21.70	0.00	21.70	90.0	19.53

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<u>CLEARING TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
04/10/2018	MAHER, HENRY	AM FUNDS INCOME FUND OF AMERICA C	0.00	41.01	0.00	41.01	90.0	36.91
04/10/2018	HEILMANN, MAUREEN	AM FUNDS INCOME FUND OF AMERICA C	0.00	14.73	0.00	14.73	90.0	13.26
04/10/2018	PROKOP, STANLEY	AM FUNDS INCOME FUND OF AMERICA C	0.00	143.06	0.00	143.06	90.0	128.75
04/10/2018	SCHWARTZENBERGER, THOMAS	AM FUNDS INCOME FUND OF AMERICA C	0.00	1.69	0.00	1.69	90.0	1.52
04/10/2018	MAHER, HENRY	AM FUNDS INCOME FUND OF AMERICA C	0.00	22.88	0.00	22.88	90.0	20.59
04/10/2018	DAVIS, ALTON	AM FUNDS INCOME FUND OF AMERICA C	0.00	20.28	0.00	20.28	90.0	18.25
04/10/2018	PIASCIK, SHAWN	AM FUNDS INCOME FUND OF AMERICA C	0.00	40.55	0.00	40.55	90.0	36.50
04/10/2018	MAHER TRUST, MARY	AM FUNDS INCOME FUND OF AMERICA C	0.00	10.76	0.00	10.76	90.0	9.68
04/10/2018	KNOPF, DOUGLAS	AM FUNDS INCOME FUND OF AMERICA F-1	0.00	0.10	0.00	0.10	90.0	0.09
04/10/2018	GUMBLETON, CARRIE	AM FUNDS INCOME FUND OF AMERICA F-1	0.00	3.68	0.00	3.68	90.0	3.31
04/10/2018	QUEDNAU, KELLY	AM FUNDS INCOME FUND OF AMERICA F-1	0.00	7.25	0.00	7.25	90.0	6.53
04/10/2018	BANNICK, ROBERT	AM FUNDS INCOME FUND OF AMERICA F-1	0.00	1.02	0.00	1.02	90.0	0.92
04/10/2018	SCHWARTZENBERGER, THOMAS	AM FUNDS INCOME FUND OF AMERICA F-1	0.00	0.75	0.00	0.75	90.0	0.68
04/10/2018	LINDSEY, CHARLES	AM FUNDS INTERMEDIATE BOND FUND OF	0.00	0.25	0.00	0.25	90.0	0.23
04/10/2018	LINDSEY, CHARLES	AM FUNDS INTERMEDIATE BOND FUND OF	0.00	1.26	0.00	1.26	90.0	1.13
04/10/2018	MAHER, HENRY	AM FUNDS NEW ECONOMY C	0.00	36.16	0.00	36.16	90.0	32.54
04/10/2018	GILLESPIE, HEATHER	AM FUNDS NEW PERSPECTIVE A	0.00	6.63	0.00	6.63	90.0	5.97
04/10/2018	HICKSON, ANDREW	AM FUNDS NEW WORLD C	0.00	5.75	0.00	5.75	90.0	5.18
04/10/2018	HICKSON, ANDREW	AM FUNDS SMALLCAP WORLD C	0.00	3.84	0.00	3.84	90.0	3.46
04/10/2018	MAHER, HENRY	AM FUNDS SMALLCAP WORLD C	0.00	18.63	0.00	18.63	90.0	16.77
04/10/2018	HOLMES, KAYLA	AM FUNDS SMALLCAP WORLD C	0.00	1.74	0.00	1.74	90.0	1.57
04/10/2018	HOLMES, JACK PATRICK	AM FUNDS SMALLCAP WORLD C	0.00	1.67	0.00	1.67	90.0	1.50
04/10/2018	MAHER, HENRY	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	40.26	0.00	40.26	90.0	36.23
04/10/2018	LINDSEY, CHARLES	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	2.74	0.00	2.74	90.0	2.47
04/10/2018	LINDSEY, CHARLES	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	1.24	0.00	1.24	90.0	1.12
04/27/2018	HICKSON, MARK	AMERICAN BEACON BALANCED FUND C	0.00	4.10	0.00	4.10	90.0	3.69
04/27/2018	MARKHAM, JASON	AMERICAN BEACON BALANCED FUND C	0.00	58.03	0.00	58.03	90.0	52.23
04/27/2018	MARIN REV TRUST, NICHOLAS	AMERICAN BEACON BALANCED FUND C	0.00	40.83	0.00	40.83	90.0	36.75
04/27/2018	MCCRACKEN, ROBERT	AMERICAN BEACON BALANCED FUND C	0.00	4.92	0.00	4.92	90.0	4.43
04/27/2018	OLIVER, GINA	AMERICAN BEACON BALANCED FUND C	0.00	19.41	0.00	19.41	90.0	17.47
04/27/2018	OLIVER, WILLIAM	AMERICAN BEACON BALANCED FUND C	0.00	13.67	0.00	13.67	90.0	12.30
04/27/2018	MAHER TRUST, MARY	AMERICAN BEACON SOUND PT FLOAT'G RA	0.00	64.44	0.00	64.44	90.0	58.00
04/10/2018	PIZZO, SALVATORE	AMERICAN FUNDS BALANCED FUNDS F-1	0.00	0.85	0.00	0.85	90.0	0.77

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<u>CLEARING TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
04/10/2018	BANNICK, ROBERT	AMERICAN FUNDS BALANCED FUNDS F-1	0.00	0.96	0.00	0.96	90.0	0.86
04/10/2018	VIAR, DAVID	AMERICAN FUNDS BALANCED FUNDS F-1	0.00	2.71	0.00	2.71	90.0	2.44
04/10/2018	HOLMES, KAYLA	BLK BASIC VALUE	0.00	1.00	0.00	1.00	90.0	0.90
04/10/2018	MAHER, KYLE	BLK BASIC VALUE	0.00	1.78	0.00	1.78	90.0	1.60
04/10/2018	MAHER, HENRY	BLK GLOBAL ALLOCATION A	0.00	12.57	0.00	12.57	90.0	11.31
04/05/2018	MARSACK, KAREN	CATALYST MAP GLOBAL CAP APP	0.00	12.69	0.00	12.69	90.0	11.42
04/05/2018	MAHER, HENRY	CATALYST MAP GLOBAL CAP APP	0.00	42.94	0.00	42.94	90.0	38.65
04/10/2018	HICKSON, ANDREW	COLUMBIA BALANCED FUND CLASS C	0.00	16.02	0.00	16.02	90.0	14.42
04/10/2018	LUJAN-LABADIE, JENNIFER	COLUMBIA FDS SER TR II MASS SELECT	0.00	8.36	0.00	8.36	90.0	7.52
04/10/2018	MAHER, HENRY	COLUMBIA FDS SER TR II MASS SELECT	0.00	47.00	0.00	47.00	90.0	42.30
04/10/2018	KARAS, MICHAEL	COLUMBIA FDS SER TR II MASS SELECT	0.00	5.55	0.00	5.55	90.0	5.00
04/10/2018	JAMES, THOMAS	COLUMBIA FDS SER TR II MASS SELECT	0.00	11.58	0.00	11.58	90.0	10.42
04/10/2018	PAGANO, MAUREEN	COLUMBIA FDS SER TR II MASS SELECT	0.00	8.70	0.00	8.70	90.0	7.83
04/10/2018	NUNEZ TRUST, LYNDA	COLUMBIA FDS SER TR MID CAP VALUE F	0.00	20.80	0.00	20.80	90.0	18.72
04/10/2018	JAMES, THOMAS	COLUMBIA FDS SER TR MID CAP VALUE F	0.00	8.77	0.00	8.77	90.0	7.89
04/10/2018	DARR, CRAIG	COLUMBIA FDS SER TR MID CAP VALUE F	0.00	9.89	0.00	9.89	90.0	8.90
04/10/2018	PAGANO, MAUREEN	COLUMBIA FDS SER TR MID CAP VALUE F	0.00	6.54	0.00	6.54	90.0	5.89
04/26/2018	PAGANO, MAUREEN	COLUMBIA FDS SER TR MID CAP VALUE F	9,447.10	0.00	0.00	0.00	90.0	0.00
04/10/2018	NUNEZ TRUST, LYNDA	COLUMBIA SER TR II MASS	0.00	24.63	0.00	24.63	90.0	22.17
04/10/2018	MAHER, HENRY	DAVIS FINANCIAL A	0.00	8.63	0.00	8.63	90.0	7.77
04/06/2018	MAHER, HENRY	DELAWARE CORPORATE BOND A	0.00	11.28	0.00	11.28	90.0	10.15
04/10/2018	EBERHARD, KARIN	DEUTSCHE CORE EQUITY FUND CLASS C	0.00	3.27	0.00	3.27	90.0	2.94
04/12/2018	NUNEZ, KRISTINA	DEUTSCHE GLOBAL HIGH INCOME FUND-S	19,500.00	20.00	0.00	20.00	90.0	18.00
04/10/2018	MAHER, HENRY	DEUTSCHE WORLD DIVIDEND FUND-C	0.00	132.92	0.00	132.92	90.0	119.63
04/10/2018	OLIVER, WILLIAM	DEUTSCHE WORLD DIVIDEND FUND-C	0.00	0.02	0.00	0.02	90.0	0.02
04/10/2018	MARIN CUST ACCT, NICHOLAS	DWS DEUTSCHE GLOBAL HIGH INC FUND C	0.00	41.11	0.00	41.11	90.0	37.00
04/10/2018	MAHER, HENRY	DWS DEUTSCHE GLOBAL HIGH INC FUND C	0.00	79.30	0.00	79.30	90.0	71.37
04/10/2018	FRASER, SHARON	DWS DEUTSCHE GLOBAL HIGH INC FUND C	0.00	37.69	0.00	37.69	90.0	33.92
04/17/2018	WHEELER, WILLARD	DWS DEUTSCHE GLOBAL HIGH INC FUND C	19,458.13	20.00	0.00	20.00	90.0	18.00
04/10/2018	LUJAN-LABADIE, JENNIFER	DWSE HIGH INCOME FUND C	0.00	52.92	0.00	52.92	90.0	47.63
04/10/2018	MAHER, HENRY	FIRST EAGLE GLOBAL C	0.00	89.82	0.00	89.82	90.0	80.84
04/10/2018	JACK, STANLEY	FRANKLIN CORFOLIO	0.00	0.24	0.00	0.24	90.0	0.22
04/09/2018	KEYES LIV TRUST, MURIEL WATSON	FRANKLIN GOLD & PRECIOUS METALS C	3,792.87	0.00	0.00	0.00	90.0	0.00

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<u>CLEARING TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
04/10/2018	BUSSELL, JEFFREY	FRANKLIN GOLD & PRECIOUS METALS C	0.00	1.43	0.00	1.43	90.0	1.29
04/10/2018	KEYES LIV TRUST, MURIEL WATSON	FRANKLIN GOLD & PRECIOUS METALS C	0.00	3.19	0.00	3.19	90.0	2.87
04/10/2018	QUSSAR, JAMES	FRANKLIN GOLD & PRECIOUS METALS C	0.00	1.99	0.00	1.99	90.0	1.79
04/10/2018	CANDELLA, TODD	FRANKLIN GROWTH A	0.00	0.59	0.00	0.59	90.0	0.53
04/10/2018	EBERHARD, KARIN	FRANKLIN GROWTH C	0.00	0.57	0.00	0.57	90.0	0.51
04/10/2018	MAHER, HENRY	FRANKLIN HIGH INCOME C	0.00	17.09	0.00	17.09	90.0	15.38
04/10/2018	HOLMES, KAYLA	FRANKLIN HIGH INCOME C	0.00	0.68	0.00	0.68	90.0	0.61
04/10/2018	HOLMES, JACK PATRICK	FRANKLIN HIGH INCOME C	0.00	0.85	0.00	0.85	90.0	0.77
04/03/2018	PROKOP, STANLEY	FRANKLIN INCOME C	20,000.00	20.00	0.00	20.00	90.0	18.00
04/10/2018	KOTT, DIANE	FRANKLIN INCOME C	0.00	7.20	0.00	7.20	90.0	6.48
04/10/2018	PALMERI, BEVERLY	FRANKLIN INCOME C	0.00	7.48	0.00	7.48	90.0	6.73
04/10/2018	JACK, STANLEY	FRANKLIN INCOME C	0.00	6.54	0.00	6.54	90.0	5.89
04/10/2018	MARSHALL, RONALD	FRANKLIN INCOME C	0.00	12.91	0.00	12.91	90.0	11.62
04/10/2018	TAYLOR, JAMIE	FRANKLIN INCOME C	0.00	15.10	0.00	15.10	90.0	13.59
04/10/2018	LOUGHLIN, DENNIS	FRANKLIN INCOME C	0.00	7.02	0.00	7.02	90.0	6.32
04/10/2018	BELONGIE, GINGER	FRANKLIN INCOME C	0.00	6.09	0.00	6.09	90.0	5.48
04/10/2018	STONE, EDWARD	FRANKLIN INCOME C	0.00	7.54	0.00	7.54	90.0	6.79
04/10/2018	O'CONNOR, HOLLY	FRANKLIN INCOME C	0.00	3.35	0.00	3.35	90.0	3.02
04/10/2018	NUNEZ TRUST, LYNDIA	FRANKLIN INCOME C	0.00	74.93	0.00	74.93	90.0	67.44
04/10/2018	EBERHARD, DAVID	FRANKLIN INCOME C	0.00	4.89	0.00	4.89	90.0	4.40
04/10/2018	FAIRLEY, JAMES	FRANKLIN INCOME C	0.00	2.66	0.00	2.66	90.0	2.39
04/10/2018	GUMBLETON, CARRIE	FRANKLIN INCOME C	0.00	9.09	0.00	9.09	90.0	8.18
04/10/2018	HOPPE, KYLE	FRANKLIN INCOME C	0.00	8.16	0.00	8.16	90.0	7.34
04/10/2018	BJERK JR, JOHN	FRANKLIN INCOME C	0.00	6.17	0.00	6.17	90.0	5.55
04/10/2018	MAES, DEBRA	FRANKLIN INCOME C	0.00	10.76	0.00	10.76	90.0	9.68
04/10/2018	HICKSON, JORDAN	FRANKLIN INCOME C	0.00	9.93	0.00	9.93	90.0	8.94
04/10/2018	PALMER, TODD	FRANKLIN INCOME C	0.00	16.39	0.00	16.39	90.0	14.75
04/10/2018	ALLEN, MARY	FRANKLIN INCOME C	0.00	6.40	0.00	6.40	90.0	5.76
04/10/2018	MAES, DEBRA	FRANKLIN INCOME C	0.00	8.00	0.00	8.00	90.0	7.20
04/10/2018	LUJAN, DEBORAH	FRANKLIN INCOME C	0.00	6.89	0.00	6.89	90.0	6.20
04/10/2018	MARKHAM, JASON	FRANKLIN INCOME C	0.00	4.55	0.00	4.55	90.0	4.10
04/10/2018	O'DONNELL, JUDITH	FRANKLIN INCOME C	0.00	5.78	0.00	5.78	90.0	5.20
04/10/2018	PALMERI, PAUL	FRANKLIN INCOME C	0.00	10.83	0.00	10.83	90.0	9.75

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<u>CLEARING TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
04/10/2018	MAHER, HENRY	FRANKLIN INCOME C	0.00	13.74	0.00	13.74	90.0	12.37
04/10/2018	KEYES LIV TRUST, MURIEL WATSON	FRANKLIN INCOME C	0.00	8.62	0.00	8.62	90.0	7.76
04/10/2018	SCACCIA, KELLY	FRANKLIN INCOME C	0.00	3.09	0.00	3.09	90.0	2.78
04/10/2018	QUSSAR, JAMES	FRANKLIN INCOME C	0.00	5.11	0.00	5.11	90.0	4.60
04/10/2018	PROKOP, STANLEY	FRANKLIN INCOME C	0.00	102.05	0.00	102.05	90.0	91.85
04/10/2018	BANNICK, ROBERT	FRANKLIN INCOME C	0.00	2.20	0.00	2.20	90.0	1.98
04/10/2018	SCHWARTZENBERGER, THOMAS	FRANKLIN INCOME C	0.00	0.99	0.00	0.99	90.0	0.89
04/10/2018	MARIN REV TRUST, NICHOLAS	FRANKLIN INCOME C	0.00	12.49	0.00	12.49	90.0	11.24
04/10/2018	PIZZO, REBECCA	FRANKLIN INCOME C	0.00	2.95	0.00	2.95	90.0	2.66
04/10/2018	JAMES, THOMAS	FRANKLIN INCOME C	0.00	6.24	0.00	6.24	90.0	5.62
04/10/2018	DILAY, DENISE	FRANKLIN INCOME C	0.00	7.71	0.00	7.71	90.0	6.94
04/10/2018	DARR, CRAIG	FRANKLIN INCOME C	0.00	7.01	0.00	7.01	90.0	6.31
04/10/2018	GILLESPIE, HEATHER	FRANKLIN INCOME C	0.00	1.75	0.00	1.75	90.0	1.58
04/10/2018	COLASUONNO, RALPH	FRANKLIN INCOME C	0.00	9.71	0.00	9.71	90.0	8.74
04/10/2018	PIASCIK, SHAWN	FRANKLIN INCOME C	0.00	5.60	0.00	5.60	90.0	5.04
04/10/2018	PAGANO, MAUREEN	FRANKLIN INCOME C	0.00	4.66	0.00	4.66	90.0	4.19
04/12/2018	FAIRLEY, JAMES	FRANKLIN INCOME C	4,840.23	20.00	0.00	20.00	90.0	18.00
04/10/2018	NORRIS, CHRISTOPHER	FRANKLIN MI TAX FR INCOME C	0.00	33.08	0.00	33.08	90.0	29.77
04/10/2018	NORRIS, CHRISTOPHER	FRANKLIN MUTUAL GLOBAL DISCOVERY C	0.00	30.04	0.00	30.04	90.0	27.04
04/10/2018	EBERHARD, DAVID	FRANKLIN MUTUAL GLOBAL DISCOVERY C	0.00	10.82	0.00	10.82	90.0	9.74
04/10/2018	GUMBLETON, CARRIE	FRANKLIN NATURAL RESOURCES C	0.00	5.61	0.00	5.61	90.0	5.05
04/10/2018	MARKHAM, JASON	FRANKLIN NATURAL RESOURCES C	0.00	4.19	0.00	4.19	90.0	3.77
04/10/2018	PALMERI, DANIEL	FRANKLIN NATURAL RESOURCES C	0.00	1.23	0.00	1.23	90.0	1.11
04/10/2018	COLASUONNO, RALPH	FRANKLIN NATURAL RESOURCES C	0.00	5.56	0.00	5.56	90.0	5.00
04/10/2018	HEILMANN, MAUREEN	FRANKLIN RISING DIVIDENDS A	0.00	1.47	0.00	1.47	90.0	1.32
04/10/2018	MAHER, KEIRA	FRANKLIN RISING DIVIDENDS A	0.00	1.53	0.00	1.53	90.0	1.38
04/10/2018	MAHER, MAIGHDLIN	FRANKLIN RISING DIVIDENDS A	0.00	2.56	0.00	2.56	90.0	2.30
04/10/2018	MARINI, ZAREFA	FRANKLIN RISING DIVIDENDS A	0.00	0.29	0.00	0.29	90.0	0.26
04/10/2018	KOTT, DIANE	FRANKLIN RISING DIVIDENDS C	0.00	25.57	0.00	25.57	90.0	23.01
04/10/2018	KOTT, DIANE	FRANKLIN RISING DIVIDENDS C	0.00	7.25	0.00	7.25	90.0	6.53
04/10/2018	PALMERI, SAMUEL	FRANKLIN RISING DIVIDENDS C	0.00	16.17	0.00	16.17	90.0	14.55
04/10/2018	PALMERI, BEVERLY	FRANKLIN RISING DIVIDENDS C	0.00	17.67	0.00	17.67	90.0	15.90
04/10/2018	JACK, STANLEY	FRANKLIN RISING DIVIDENDS C	0.00	0.42	0.00	0.42	90.0	0.38

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<u>CLEARING TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
04/10/2018	TAYLOR, JAMIE	FRANKLIN RISING DIVIDENDS C	0.00	27.15	0.00	27.15	90.0	24.44
04/10/2018	TAYLOR, JAMIE	FRANKLIN RISING DIVIDENDS C	0.00	1.09	0.00	1.09	90.0	0.98
04/10/2018	LOUGHLIN, DENNIS	FRANKLIN RISING DIVIDENDS C	0.00	23.85	0.00	23.85	90.0	21.47
04/10/2018	STONE, JANE	FRANKLIN RISING DIVIDENDS C	0.00	7.03	0.00	7.03	90.0	6.33
04/10/2018	STONE, EDWARD	FRANKLIN RISING DIVIDENDS C	0.00	13.58	0.00	13.58	90.0	12.22
04/10/2018	STONE, EDWARD	FRANKLIN RISING DIVIDENDS C	0.00	6.77	0.00	6.77	90.0	6.09
04/10/2018	PIZZO, REBECCA	FRANKLIN RISING DIVIDENDS C	0.00	7.94	0.00	7.94	90.0	7.15
04/10/2018	PIZZO, SALVATORE	FRANKLIN RISING DIVIDENDS C	0.00	5.45	0.00	5.45	90.0	4.91
04/10/2018	PIZZO, SALVATORE	FRANKLIN RISING DIVIDENDS C	0.00	2.60	0.00	2.60	90.0	2.34
04/10/2018	FOSTER SP TRUST, PATRICIA	FRANKLIN RISING DIVIDENDS C	0.00	15.62	0.00	15.62	90.0	14.06
04/10/2018	KNOPF, KATHRYN	FRANKLIN RISING DIVIDENDS C	0.00	4.94	0.00	4.94	90.0	4.45
04/10/2018	NUNEZ TRUST, LYNDIA	FRANKLIN RISING DIVIDENDS C	0.00	99.11	0.00	99.11	90.0	89.20
04/10/2018	EBERHARD, DAVID	FRANKLIN RISING DIVIDENDS C	0.00	7.20	0.00	7.20	90.0	6.48
04/10/2018	WOLLACK TRUST, ROBERT	FRANKLIN RISING DIVIDENDS C	0.00	23.34	0.00	23.34	90.0	21.01
04/10/2018	BEDARD, MARY	FRANKLIN RISING DIVIDENDS C	0.00	11.38	0.00	11.38	90.0	10.24
04/10/2018	HOPPE, KYLE	FRANKLIN RISING DIVIDENDS C	0.00	15.60	0.00	15.60	90.0	14.04
04/10/2018	BJERK JR, JOHN	FRANKLIN RISING DIVIDENDS C	0.00	10.90	0.00	10.90	90.0	9.81
04/10/2018	PLASTIRAS, JULIANA	FRANKLIN RISING DIVIDENDS C	0.00	13.60	0.00	13.60	90.0	12.24
04/10/2018	MARKHAM, ELIZABETH	FRANKLIN RISING DIVIDENDS C	0.00	5.89	0.00	5.89	90.0	5.30
04/10/2018	BALDWIN, JASON	FRANKLIN RISING DIVIDENDS C	0.00	8.55	0.00	8.55	90.0	7.70
04/10/2018	HICKSON, MARK	FRANKLIN RISING DIVIDENDS C	0.00	34.95	0.00	34.95	90.0	31.46
04/10/2018	BUREK, ROSANNE	FRANKLIN RISING DIVIDENDS C	0.00	22.61	0.00	22.61	90.0	20.35
04/10/2018	PALMER, ROBERT	FRANKLIN RISING DIVIDENDS C	0.00	11.27	0.00	11.27	90.0	10.14
04/10/2018	PALMER, TODD	FRANKLIN RISING DIVIDENDS C	0.00	48.69	0.00	48.69	90.0	43.82
04/10/2018	RUSSO, NICHOLAS	FRANKLIN RISING DIVIDENDS C	0.00	14.95	0.00	14.95	90.0	13.46
04/10/2018	BOLUS, ELLA	FRANKLIN RISING DIVIDENDS C	0.00	38.03	0.00	38.03	90.0	34.23
04/10/2018	RUSSO, DAVID	FRANKLIN RISING DIVIDENDS C	0.00	14.23	0.00	14.23	90.0	12.81
04/10/2018	ALLEN, MARY	FRANKLIN RISING DIVIDENDS C	0.00	12.17	0.00	12.17	90.0	10.95
04/10/2018	MAES, DEBRA	FRANKLIN RISING DIVIDENDS C	0.00	15.58	0.00	15.58	90.0	14.02
04/10/2018	LUJAN, DEBORAH	FRANKLIN RISING DIVIDENDS C	0.00	24.50	0.00	24.50	90.0	22.05
04/10/2018	LUJAN-LABADIE, JENNIFER	FRANKLIN RISING DIVIDENDS C	0.00	7.90	0.00	7.90	90.0	7.11
04/10/2018	LUJAN-LABADIE, JENNIFER	FRANKLIN RISING DIVIDENDS C	0.00	30.66	0.00	30.66	90.0	27.59
04/10/2018	ANTHONY, NICHOLAS	FRANKLIN RISING DIVIDENDS C	0.00	9.76	0.00	9.76	90.0	8.78

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<u>CLEARING TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
04/10/2018	MARKHAM, JASON	FRANKLIN RISING DIVIDENDS C	0.00	14.97	0.00	14.97	90.0	13.47
04/10/2018	MARKHAM, JASON	FRANKLIN RISING DIVIDENDS C	0.00	0.10	0.00	0.10	90.0	0.09
04/10/2018	HEIDLOFF, JENNIFER	FRANKLIN RISING DIVIDENDS C	0.00	4.61	0.00	4.61	90.0	4.15
04/10/2018	HICKSON, ANDREW	FRANKLIN RISING DIVIDENDS C	0.00	18.19	0.00	18.19	90.0	16.37
04/10/2018	HICKSON, ANDREW	FRANKLIN RISING DIVIDENDS C	0.00	27.62	0.00	27.62	90.0	24.86
04/10/2018	O'CONNOR, HOLLY	FRANKLIN RISING DIVIDENDS C	0.00	7.73	0.00	7.73	90.0	6.96
04/10/2018	O'DONNELL, JUDITH	FRANKLIN RISING DIVIDENDS C	0.00	10.55	0.00	10.55	90.0	9.50
04/10/2018	PALMERI, DANIEL	FRANKLIN RISING DIVIDENDS C	0.00	1.60	0.00	1.60	90.0	1.44
04/10/2018	BUSSELL, JEFFREY	FRANKLIN RISING DIVIDENDS C	0.00	2.50	0.00	2.50	90.0	2.25
04/10/2018	PALMERI, PAUL	FRANKLIN RISING DIVIDENDS C	0.00	10.73	0.00	10.73	90.0	9.66
04/10/2018	MAHER, HENRY	FRANKLIN RISING DIVIDENDS C	0.00	8.95	0.00	8.95	90.0	8.06
04/10/2018	MAHER, HENRY	FRANKLIN RISING DIVIDENDS C	0.00	62.78	0.00	62.78	90.0	56.50
04/10/2018	SCACCIA, KELLY	FRANKLIN RISING DIVIDENDS C	0.00	14.27	0.00	14.27	90.0	12.84
04/10/2018	HENKE, FRANK	FRANKLIN RISING DIVIDENDS C	0.00	15.05	0.00	15.05	90.0	13.55
04/10/2018	HOLMES, JACK PATRICK	FRANKLIN RISING DIVIDENDS C	0.00	1.97	0.00	1.97	90.0	1.77
04/10/2018	QUSSAR, JAMES	FRANKLIN RISING DIVIDENDS C	0.00	4.57	0.00	4.57	90.0	4.11
04/10/2018	STOKES, RICHARD	FRANKLIN RISING DIVIDENDS C	0.00	4.61	0.00	4.61	90.0	4.15
04/10/2018	KESSOR, LAURA	FRANKLIN RISING DIVIDENDS C	0.00	25.27	0.00	25.27	90.0	22.74
04/10/2018	POUPORE, JOHN	FRANKLIN RISING DIVIDENDS C	0.00	20.15	0.00	20.15	90.0	18.14
04/10/2018	PALMER, TODD	FRANKLIN RISING DIVIDENDS C	0.00	14.49	0.00	14.49	90.0	13.04
04/10/2018	FLEURY, DAVID	FRANKLIN RISING DIVIDENDS C	0.00	23.43	0.00	23.43	90.0	21.09
04/10/2018	SCHWARTZENBERGER, THOMAS	FRANKLIN RISING DIVIDENDS C	0.00	16.50	0.00	16.50	90.0	14.85
04/10/2018	MARIN REV TRUST, NICHOLAS	FRANKLIN RISING DIVIDENDS C	0.00	61.20	0.00	61.20	90.0	55.08
04/10/2018	PIZZO, PIETRO	FRANKLIN RISING DIVIDENDS C	0.00	2.94	0.00	2.94	90.0	2.65
04/10/2018	JAMES, THOMAS	FRANKLIN RISING DIVIDENDS C	0.00	11.94	0.00	11.94	90.0	10.75
04/10/2018	PEVOS, DEBRA	FRANKLIN RISING DIVIDENDS C	0.00	7.52	0.00	7.52	90.0	6.77
04/10/2018	PEVOS, DEBRA	FRANKLIN RISING DIVIDENDS C	0.00	12.53	0.00	12.53	90.0	11.28
04/10/2018	MCCRACKEN, ROBERT	FRANKLIN RISING DIVIDENDS C	0.00	10.19	0.00	10.19	90.0	9.17
04/10/2018	DILAY, DENISE	FRANKLIN RISING DIVIDENDS C	0.00	15.11	0.00	15.11	90.0	13.60
04/10/2018	LINDSEY, BARBARA	FRANKLIN RISING DIVIDENDS C	0.00	12.18	0.00	12.18	90.0	10.96
04/10/2018	CORNWELL, VICTORIA	FRANKLIN RISING DIVIDENDS C	0.00	11.65	0.00	11.65	90.0	10.49
04/10/2018	DARR, CRAIG	FRANKLIN RISING DIVIDENDS C	0.00	16.29	0.00	16.29	90.0	14.66
04/10/2018	ANTHONY, NICHOLAS	FRANKLIN RISING DIVIDENDS C	0.00	12.10	0.00	12.10	90.0	10.89

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<u>CLEARING TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
04/10/2018	BUREK, CANDACE	FRANKLIN RISING DIVIDENDS C	0.00	7.14	0.00	7.14	90.0	6.43
04/10/2018	FLEURY, DAVID	FRANKLIN RISING DIVIDENDS C	0.00	3.21	0.00	3.21	90.0	2.89
04/10/2018	JACK, KELLY	FRANKLIN RISING DIVIDENDS C	0.00	9.15	0.00	9.15	90.0	8.24
04/10/2018	FRASER, SHARON	FRANKLIN RISING DIVIDENDS C	0.00	25.62	0.00	25.62	90.0	23.06
04/10/2018	DAVIS, ALTON	FRANKLIN RISING DIVIDENDS C	0.00	22.25	0.00	22.25	90.0	20.03
04/10/2018	COLASUONNO, RALPH	FRANKLIN RISING DIVIDENDS C	0.00	26.22	0.00	26.22	90.0	23.60
04/10/2018	MAHER TRUST, MARY	FRANKLIN RISING DIVIDENDS C	0.00	30.95	0.00	30.95	90.0	27.86
04/10/2018	PAGANO, MAUREEN	FRANKLIN RISING DIVIDENDS C	0.00	8.90	0.00	8.90	90.0	8.01
04/10/2018	MAHER, OWEN	FRANKLIN RISING DIVIDENDS C	0.00	5.76	0.00	5.76	90.0	5.18
04/10/2018	OLIVER, WILLIAM	FRANKLIN RISING DIVIDENDS C	0.00	0.38	0.00	0.38	90.0	0.34
04/10/2018	SCHOOLEY, MEGHAN	FRANKLIN RISING DIVIDENDS C	0.00	4.81	0.00	4.81	90.0	4.33
04/10/2018	DE FIORE, LAWRENCE	FRANKLIN RISING DIVIDENDS C	0.00	0.70	0.00	0.70	90.0	0.63
04/10/2018	ZETTEL, ANTHONY	FRANKLIN RISING DIVIDENDS C	0.00	0.62	0.00	0.62	90.0	0.56
04/10/2018	EBERHARD, KARIN	FRANKLIN RISING DIVIDENDS C	0.00	0.52	0.00	0.52	90.0	0.47
04/12/2018	NUNEZ, KRISTINA	FRANKLIN RISING DIVIDENDS C	20,000.00	220.00	0.00	220.00	90.0	198.00
04/16/2018	HICKSON, ANDREW	FRANKLIN RISING DIVIDENDS C	6,500.00	65.00	0.00	65.00	90.0	58.50
04/24/2018	CANDELLA, TODD	FRANKLIN RISING DIVIDENDS C	6,500.00	85.00	0.00	85.00	90.0	76.50
04/10/2018	PALMER, TODD	FRANKLIN SMALL CAP VALUE C	0.00	19.00	0.00	19.00	90.0	17.10
04/10/2018	PAGANO, MAUREEN	FRANKLIN SMALL CAP VALUE C	0.00	5.43	0.00	5.43	90.0	4.89
04/10/2018	PROKOP, STANLEY	FRANKLIN STRATEGIC INCOME C	0.00	79.20	0.00	79.20	90.0	71.28
04/10/2018	MAHER, HENRY	FRANKLIN UTILITIES C	0.00	21.09	0.00	21.09	90.0	18.98
04/10/2018	O'CONNOR, AARON	FRANKLIN UTILITIES C	0.00	3.75	0.00	3.75	90.0	3.38
04/10/2018	PAGANO, MAUREEN	FRANKLIN UTILITIES C	0.00	3.64	0.00	3.64	90.0	3.28
04/10/2018	DE FIORE, LAWRENCE	FT EQUITY INC CL C	0.00	0.59	0.00	0.59	90.0	0.53
04/10/2018	GLINES, DAVID	FT FOUNDING FDS ALLOC C	0.00	2.96	0.00	2.96	90.0	2.66
04/10/2018	GLINES, WILBERT	FT FOUNDING FDS ALLOC C	0.00	8.52	0.00	8.52	90.0	7.67
04/10/2018	ZANONI, CARRIE	FT FOUNDING FDS ALLOC C	0.00	5.66	0.00	5.66	90.0	5.09
04/10/2018	CANDELLA, WENDY	INVESCO AMERICAN VALUE A	0.00	2.23	0.00	2.23	90.0	2.01
04/10/2018	CANDELLA, TODD	INVESCO AMERICAN VALUE A	0.00	1.26	0.00	1.26	90.0	1.13
04/10/2018	MAHER, KYLE	INVESCO MIDCAP GROWTH A	0.00	1.38	0.00	1.38	90.0	1.24
04/10/2018	MAHER, HENRY	IVY ASSET STRATEGY FUND CLASS A	0.00	7.31	0.00	7.31	90.0	6.58
04/10/2018	HOLMES, KAYLA	IVY ASSET STRATEGY FUND CLASS A	0.00	0.32	0.00	0.32	90.0	0.29
04/10/2018	HOLMES, JACK PATRICK	IVY ASSET STRATEGY FUND CLASS A	0.00	0.36	0.00	0.36	90.0	0.32

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<u>CLEARING TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
04/10/2018	MAHER, MAIGHDLIN	IVY ASSET STRATEGY FUND CLASS A	0.00	0.30	0.00	0.30	90.0	0.27
04/10/2018	MAHER, OWEN	LORD ABBETT AFFILIATED A	0.00	1.50	0.00	1.50	90.0	1.35
04/10/2018	KORESKY, JOHN	LORD ABBETT EQUITY TR CALIBRTD LARG	0.00	29.03	0.00	29.03	90.0	26.13
04/10/2018	CANDELLA, TODD	LORD ABBETT FUNDAMENTAL EQUITY A	0.00	0.75	0.00	0.75	90.0	0.68
04/10/2018	HOLMES, KAYLA	LORD ABBETT FUNDAMENTAL EQUITY CL C	0.00	1.44	0.00	1.44	90.0	1.30
04/10/2018	NORRIS, CHRISTOPHER	LORD ABBETT INCOME FUND CL C	0.00	22.41	0.00	22.41	90.0	20.17
04/10/2018	BUSSELL, JEFFREY	LORD ABBETT SECS TR VALUE OPPTYS FD	0.00	6.75	0.00	6.75	90.0	6.08
04/10/2018	MARIN REV TRUST, NICHOLAS	LORD ABBETT SECS TR VALUE OPPTYS FD	0.00	23.65	0.00	23.65	90.0	21.29
04/10/2018	MAHER, HENRY	MAINSTAY MAP A	0.00	14.22	0.00	14.22	90.0	12.80
04/10/2018	HOLMES, JACK PATRICK	MFS RESEARCH INTL A	0.00	0.60	0.00	0.60	90.0	0.54
04/10/2018	HOLMES, JACK PATRICK	OPPENHEIMER CAPITAL APPRECIATION A	0.00	0.43	0.00	0.43	90.0	0.39
04/10/2018	BUREK, ROSANNE	OPPENHEIMER ROCHESTER NATIONAL MUNI	0.00	1.88	0.00	1.88	90.0	1.69
04/10/2018	PROKOP, STANLEY	PIMCO FUNDS ALL ASSET C	0.00	339.90	0.00	339.90	90.0	305.91
04/10/2018	MARIN REV TRUST, NICHOLAS	PIMCO GNMA C	0.00	45.80	0.00	45.80	90.0	41.22
04/10/2018	MAHER, HENRY	PIMCO INCOME FUND C	0.00	105.20	0.00	105.20	90.0	94.68
04/10/2018	MAHER, HENRY	PIMCO LOW DURATION C	0.00	64.68	0.00	64.68	90.0	58.21
04/10/2018	LOUGHLIN, DENNIS	PIMCO REAL RETURN C	0.00	10.00	0.00	10.00	90.0	9.00
04/10/2018	PALMERI, DANIEL	PIMCO REAL RETURN C	0.00	3.51	0.00	3.51	90.0	3.16
04/10/2018	KEYES LIV TRUST, MURIEL WATSON	PIMCO REAL RETURN C	0.00	23.26	0.00	23.26	90.0	20.93
04/10/2018	QUSSAR, KELLY	PIMCO REAL RETURN C	0.00	9.36	0.00	9.36	90.0	8.42
04/10/2018	COLASUONNO, RALPH	PIMCO REAL RETURN C	0.00	18.57	0.00	18.57	90.0	16.71
04/10/2018	MAHER, HENRY	PIMCO TOTAL RETURN A	0.00	29.08	0.00	29.08	90.0	26.17
04/10/2018	HOPPE, KYLE	PIMCO TOTAL RETURN C	0.00	13.83	0.00	13.83	90.0	12.45
04/10/2018	KEYES LIV TRUST, MURIEL WATSON	PIMCO TOTAL RETURN C	0.00	50.20	0.00	50.20	90.0	45.18
04/10/2018	MARIN REV TRUST, NICHOLAS	PIMCO TOTAL RETURN C	0.00	35.50	0.00	35.50	90.0	31.95
04/10/2018	MAHER, HENRY	PIONEER MID CAP VALUE A	0.00	8.53	0.00	8.53	90.0	7.68
04/10/2018	CANDELLA, TODD	PUTNAM MULTI CAP GROWTH A	0.00	1.44	0.00	1.44	90.0	1.30
04/10/2018	GILLESPIE, HEATHER	ROYCE PENNSYLVANIA MUTUAL	0.00	17.08	0.00	17.08	90.0	15.37
04/10/2018	MARINI, ZAREFA	TEMPLETON DEVELOPING MKTS A	0.00	0.09	0.00	0.09	90.0	0.08
04/10/2018	KEYES LIV TRUST, MURIEL WATSON	TEMPLETON EMERGING MARKETS SMALLCAP	0.00	26.07	0.00	26.07	90.0	23.46
04/10/2018	PIASCIK, SHAWN	TEMPLETON EMERGING MARKETS SMALLCAP	0.00	31.16	0.00	31.16	90.0	28.04
04/10/2018	PALMERI, PAUL	TEMPLETON GLOBAL BOND A	0.00	1.94	0.00	1.94	90.0	1.75
04/10/2018	NUNEZ TRUST, LYNDA	TEMPLETON GLOBAL BOND C	0.00	6.22	0.00	6.22	90.0	5.60

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>CLEARING TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
04/10/2018	EBERHARD, DAVID	TEMPLETON GLOBAL BOND C	0.00	7.07	0.00	7.07	90.0	6.36
04/10/2018	GUMBLETON, CARRIE	TEMPLETON GLOBAL BOND C	0.00	5.67	0.00	5.67	90.0	5.10
04/10/2018	KEYES LIV TRUST, MURIEL WATSON	TEMPLETON GLOBAL BOND C	0.00	15.86	0.00	15.86	90.0	14.27
04/10/2018	QUSSAR, KELLY	TEMPLETON GLOBAL BOND C	0.00	3.18	0.00	3.18	90.0	2.86
04/10/2018	BANNICK, ROBERT	TEMPLETON GLOBAL BOND C	0.00	6.03	0.00	6.03	90.0	5.43
04/10/2018	SCHWARTZENBERGER, THOMAS	TEMPLETON GLOBAL BOND C	0.00	1.47	0.00	1.47	90.0	1.32
04/10/2018	MARIN REV TRUST, NICHOLAS	TEMPLETON GLOBAL BOND C	0.00	11.77	0.00	11.77	90.0	10.59
04/10/2018	PIZZO, SALVATORE	TEMPLETON GROWTH C	0.00	5.46	0.00	5.46	90.0	4.91
04/10/2018	GUMBLETON, CARRIE	TEMPLETON GROWTH C	0.00	12.51	0.00	12.51	90.0	11.26
04/10/2018	MARKHAM, JASON	TEMPLETON GROWTH C	0.00	10.32	0.00	10.32	90.0	9.29
04/10/2018	BANNICK, ROBERT	TEMPLETON GROWTH C	0.00	1.85	0.00	1.85	90.0	1.67
04/10/2018	SCHWARTZENBERGER, THOMAS	TEMPLETON GROWTH C	0.00	2.46	0.00	2.46	90.0	2.21
04/10/2018	ZANONI, CARRIE	TEMPLETON GROWTH C	0.00	5.25	0.00	5.25	90.0	4.73
04/10/2018	KEYES LIV TRUST, MURIEL WATSON	TEMPLETON INCOME TR GLOBAL TOTAL RE	0.00	13.30	0.00	13.30	90.0	11.97
04/10/2018	LOUGHLIN, DENNIS	TRANSAMERICA AA MOD GROWTH C	0.00	13.58	0.00	13.58	90.0	12.22
04/10/2018	GUMBLETON, CARRIE	TRANSAMERICA AA MOD GROWTH C	0.00	16.97	0.00	16.97	90.0	15.27
04/10/2018	PIASCIK, SHAWN	TRANSAMERICA AA MOD GROWTH C	0.00	38.58	0.00	38.58	90.0	34.72
04/10/2018	BELONGIE, GINGER	TRANSAMERICA AA MODERATE C	0.00	11.58	0.00	11.58	90.0	10.42
04/10/2018	PIZZO, FRANCESCO	TRANSAMERICA AA MODERATE C	0.00	8.53	0.00	8.53	90.0	7.68
04/10/2018	O'DONNELL, JUDITH	TRANSAMERICA AA MODERATE C	0.00	8.12	0.00	8.12	90.0	7.31
04/10/2018	BANNICK, ROBERT	TRANSAMERICA AA MODERATE C	0.00	7.95	0.00	7.95	90.0	7.16
04/10/2018	PIZZO, PIETRO	TRANSAMERICA AA MODERATE C	0.00	8.31	0.00	8.31	90.0	7.48
04/10/2018	PIZZO, MICHELE	TRANSAMERICA AA MODERATE C	0.00	0.12	0.00	0.12	90.0	0.11
04/10/2018	ROGERS, NICOLE	VOYA CORP LEADERS 100 A	0.00	2.67	0.00	2.67	90.0	2.40
04/10/2018	MAHER, HENRY	VOYA INTL VALUE EQUITY A	0.00	10.98	0.00	10.98	90.0	9.88
* MUTUAL FUNDS SUBTOTAL *			\$152,538.33	\$7,936.75	\$0.00	\$7,936.75		\$7,143.33
<u>PRODUCT CATEGORY: STOCKS</u>								
04/12/2018	KALLEBERG, DOROTHY	PIEDMONT OFFICE RLTY TR INC COM CL	1,950.23	30.00	22.00	8.00	90.0	7.20
04/24/2018	HOLMES, KAYLA	REALTY INCOME CORP COM	1,531.48	30.00	22.00	8.00	90.0	7.20
04/20/2018	MARTIN, JACOB	WTS CIM COML TR CORP	40.00	0.00	22.00	-22.00	90.0	-19.80
04/20/2018	MARTIN, JACOB	WTS CIM COML TR CORP	100,000.00	5,000.00	22.00	4,978.00	90.0	4,480.20
* STOCKS SUBTOTAL *			\$103,521.71	\$5,060.00	\$88.00	\$4,972.00		\$4,474.80

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>CLEARING TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: BONDS</u>								
04/17/2018	WHEELER, WILLARD	DELTA AIR LINES INC DEL	18,432.05	10.32	28.00	-17.68	90.0	-15.91
* BONDS SUBTOTAL *			\$18,432.05	\$10.32	\$28.00	\$-17.68		\$-15.91
<u>PRODUCT CATEGORY: OPTIONS</u>								
04/18/2018	JACK, KELLY	CALL 100 LINN ENERGY LLC UNIT REPST	0.00	10.44	0.00	10.44	90.0	9.40
04/18/2018	JACK, KELLY	CALL 100 LINN ENERGY LLC UNIT REPST	0.00	31.31	0.00	31.31	90.0	28.18
* OPTIONS SUBTOTAL *			\$0.00	\$41.75	\$0.00	\$41.75		\$37.58
*** CLEARING TRANSACTIONS TOTAL ***			\$274,492.09	\$13,048.82	\$116.00	\$12,932.82		\$11,639.80

DIRECT TRANSACTIONS**PRODUCT CATEGORY: 529 PLANS**

05/02/2018	QUSSAR, JAMES	AF CONSERVATIVE GROWTH AND INCOME-5	75.00	0.75	0.00	0.75	90.0	0.68
04/30/2018	WARNER, KRISTI	AM FUNDS CAPITAL INCOME BUILDER 529	50.00	0.50	0.00	0.50	90.0	0.45
04/30/2018	WARNER, KRISTI	AM FUNDS CAPITAL INCOME BUILDER 529	50.00	0.50	0.00	0.50	90.0	0.45
05/01/2018	HICKSON, MARK	AM FUNDS CAPITAL INCOME BUILDER 529	25.00	0.25	0.00	0.25	90.0	0.23
05/01/2018	MARKHAM, CLAIRE	AM FUNDS CAPITAL INCOME BUILDER 529	50.00	0.50	0.00	0.50	90.0	0.45
05/01/2018	JACK, KELLY	AM FUNDS CAPITAL INCOME BUILDER 529	25.00	0.25	0.00	0.25	90.0	0.23
05/01/2018	TEREBELO, MYAH	AM FUNDS CAPITAL INCOME BUILDER 529	62.50	0.63	0.00	0.63	90.0	0.57
05/03/2018	PALMER, ROBERT	AM FUNDS CAPITAL INCOME BUILDER 529	50.00	0.50	0.00	0.50	90.0	0.45
05/03/2018	MARKHAM, JASON	AM FUNDS CAPITAL INCOME BUILDER 529	50.00	0.50	0.00	0.50	90.0	0.45
05/01/2018	O'CONNOR, AARON	AM FUNDS CAPITAL WORLD GRTH & INC 5	18.75	0.19	0.00	0.19	90.0	0.17
05/01/2018	O'CONNOR, AARON	AM FUNDS CAPITAL WORLD GRTH & INC 5	18.75	0.19	0.00	0.19	90.0	0.17
05/01/2018	O'CONNOR, AARON	AM FUNDS CAPITAL WORLD GRTH & INC 5	37.50	0.38	0.00	0.38	90.0	0.34
05/01/2018	O'CONNOR, AARON	AM FUNDS EUROPACIFIC GROWTH FUND 52	18.75	0.19	0.00	0.19	90.0	0.17
05/01/2018	O'CONNOR, AARON	AM FUNDS EUROPACIFIC GROWTH FUND 52	18.75	0.19	0.00	0.19	90.0	0.17
05/01/2018	HICKSON, MARK	AM FUNDS EUROPACIFIC GROWTH FUND 52	25.00	0.25	0.00	0.25	90.0	0.23
05/03/2018	PALMER, ROBERT	AM FUNDS EUROPACIFIC GROWTH FUND 52	50.00	0.50	0.00	0.50	90.0	0.45
05/01/2018	O'CONNOR, AARON	AM FUNDS GROWTH FUND OF AMERICA 529	18.75	0.19	0.00	0.19	90.0	0.17
05/01/2018	O'CONNOR, AARON	AM FUNDS GROWTH FUND OF AMERICA 529	18.75	0.19	0.00	0.19	90.0	0.17
05/01/2018	HICKSON, MARK	AM FUNDS GROWTH FUND OF AMERICA 529	25.00	0.25	0.00	0.25	90.0	0.23
05/01/2018	MARKHAM, CLAIRE	AM FUNDS GROWTH FUND OF AMERICA 529	50.00	0.50	0.00	0.50	90.0	0.45
05/01/2018	O'CONNOR, AARON	AM FUNDS GROWTH FUND OF AMERICA 529	37.50	0.38	0.00	0.38	90.0	0.34
05/01/2018	JACK, KELLY	AM FUNDS GROWTH FUND OF AMERICA 529	25.00	0.25	0.00	0.25	90.0	0.23

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<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: 529 PLANS</u>								
05/01/2018	TEREBELO, MYAH	AM FUNDS GROWTH FUND OF AMERICA 529	62.50	0.63	0.00	0.63	90.0	0.57
05/02/2018	QUSSAR, JAMES	AM FUNDS GROWTH FUND OF AMERICA 529	75.00	0.75	0.00	0.75	90.0	0.68
05/03/2018	MARKHAM, JASON	AM FUNDS GROWTH FUND OF AMERICA 529	50.00	0.50	0.00	0.50	90.0	0.45
05/01/2018	JACK, KELLY	AM FUNDS ICA 529C	25.00	0.25	0.00	0.25	90.0	0.23
05/02/2018	QUSSAR, JAMES	AM FUNDS ICA 529C	75.00	0.75	0.00	0.75	90.0	0.68
05/01/2018	HICKSON, MARK	AM FUNDS INCOME FUND OF AMERICA-529	25.00	0.25	0.00	0.25	90.0	0.23
05/01/2018	JACK, KELLY	AM FUNDS WASHINGTON MUTUAL INVESTOR	25.00	0.25	0.00	0.25	90.0	0.23
05/01/2018	TEREBELO, MYAH	AM FUNDS WASHINGTON MUTUAL INVESTOR	62.50	0.63	0.00	0.63	90.0	0.57
05/01/2018	O'CONNOR, AARON	AMCAP FUND-529C	18.75	0.19	0.00	0.19	90.0	0.17
05/01/2018	O'CONNOR, AARON	AMCAP FUND-529C	18.75	0.19	0.00	0.19	90.0	0.17
05/01/2018	TEREBELO, MYAH	AMCAP FUND-529C	62.50	0.63	0.00	0.63	90.0	0.57
05/02/2018	QUSSAR, JAMES	GROWTH AND INCOME PORTFOLIO-529C	75.00	0.75	0.00	0.75	90.0	0.68
* 529 PLANS SUBTOTAL *			\$1,375.00	\$13.80	\$0.00	\$13.80		\$12.48
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
04/23/2018	DE FIORE, LAWRENCE	FRANKLIN MUTUAL GLOBAL DISCOVERY A	117.39	3.29	0.00	3.29	90.0	2.96
04/23/2018	DE FIORE, LAWRENCE	FRANKLIN MUTUAL GLOBAL DISCOVERY A	18.69	0.52	0.00	0.52	90.0	0.47
04/23/2018	DE FIORE, LAWRENCE	FT FOUNDING FUNDS ALLOC A	547.81	15.34	0.00	15.34	90.0	13.81
04/23/2018	DE FIORE, LAWRENCE	FT FOUNDING FUNDS ALLOC A	87.23	2.44	0.00	2.44	90.0	2.20
04/23/2018	DE FIORE, LAWRENCE	FT MUTUAL BEACON FUND A	117.38	3.29	0.00	3.29	90.0	2.96
04/23/2018	DE FIORE, LAWRENCE	FT MUTUAL BEACON FUND A	18.69	0.52	0.00	0.52	90.0	0.47
* MUTUAL FUNDS SUBTOTAL *			\$907.19	\$25.40	\$0.00	\$25.40		\$22.87
<u>PRODUCT CATEGORY: VARIABLE ANNUITIES</u>								
05/02/2018	ATTENDANT CARE, 401K	GWL GRP ANNUITY 401K	244,152.73	150.51	0.00	150.51	90.0	135.46
05/02/2018	RACHWAL, BARTON	GWL GRP ANNUITY 401K	420,529.80	172.82	0.00	172.82	90.0	155.54
05/02/2018	GURSTEN, KOLTONOW	GWL NET ASSET VALUE 401K	8,416,951.89	1,729.51	0.00	1,729.51	90.0	1,556.56
05/02/2018	CHRISTENSEN PLLC, DAVID	GWL NET ASSET VALUE 401K	558,217.85	229.40	0.00	229.40	90.0	206.46
05/02/2018	RACHWAL PC, BARTON	GWL NET ASSET VALUE 401K	117,344.07	24.11	0.00	24.11	90.0	21.70
* VARIABLE ANNUITIES SUBTOTAL *			\$9,757,196.34	\$2,306.35	\$0.00	\$2,306.35		\$2,075.72
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
04/30/2018	LOCKWOOD, SUSAN	F/T GROWTH PORT 529 CL C	0.00	51.66	0.00	51.66	90.0	46.49
04/30/2018	LOCKWOOD, SUSAN	F/T MUTUAL SHARES PORT 529 CL C	0.00	38.25	0.00	38.25	90.0	34.43
04/30/2018	LOCKWOOD, SUSAN	F/T S&P 500 INDEX PORT CL C	0.00	61.96	0.00	61.96	90.0	55.76

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<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
04/30/2018	LOCKWOOD, SUSAN	F/T SAMLL MID CAP GROWTH PORT 529 C	0.00	17.79	0.00	17.79	90.0	16.01
04/30/2018	LOCKWOOD, SUSAN	FRANKLIN INCOME 529 PORTFOLIO C	0.00	31.91	0.00	31.91	90.0	28.72
04/30/2018	MOTOR CITY COMPUTER	FRANKLIN LOW DURATION TOTAL RETURN	0.00	32.00	0.00	32.00	90.0	28.80
04/30/2018	DE FIORE, LAWRENCE	FRANKLIN MUTUAL BEACON C	0.00	25.26	0.00	25.26	90.0	22.73
04/30/2018	DE FIORE, LAWRENCE	FRANKLIN MUTUAL GLOBAL DISCOVERY A	0.00	3.52	0.00	3.52	90.0	3.17
04/30/2018	DE FIORE, LAWRENCE	FRANKLIN MUTUAL GLOBAL DISCOVERY C	0.00	22.28	0.00	22.28	90.0	20.05
04/30/2018	LEPZINSKI, LAURA	FRANKLIN RISING DIVIDENDS C	0.00	12.27	0.00	12.27	90.0	11.04
04/30/2018	FLEURY, BETH	FRANKLIN RISING DIVIDENDS C	0.00	18.96	0.00	18.96	90.0	17.06
04/30/2018	LORIA, KENNETH	FT FOUNDING FDS ALLOC C	0.00	14.11	0.00	14.11	90.0	12.70
04/30/2018	DE FIORE, LAWRENCE	FT FOUNDING FUNDS ALLOC A	0.00	43.25	0.00	43.25	90.0	38.93
04/30/2018	DE FIORE, LAWRENCE	FT MUTUAL BEACON FUND A	0.00	3.80	0.00	3.80	90.0	3.42
04/30/2018	HEILMANN, VICTORIA	TEMPLETON GROWTH A	0.00	5.77	0.00	5.77	90.0	5.19
* MUTUAL FUND 12B1 TRAILS SUBTOTAL *			\$0.00	\$382.79	\$0.00	\$382.79		\$344.50

PRODUCT CATEGORY: VARIABLE ANNUITY 12B1 TRAILS

04/30/2018	CARROLL, EILEEN	JNL ELITE ACCESS W/ LIQUIDITY	0.00	30.08	0.00	30.08	90.0	27.07
04/30/2018	NUNEZ, LYNDIA	JNL ELITE ACCESS W/ LIQUIDITY	0.00	103.15	0.00	103.15	90.0	92.84
04/30/2018	CARROLL, JEROME	JNL PERSPECTIVE II 04/14	0.00	14.09	0.00	14.09	90.0	12.68
04/30/2018	TREVINO, PATRICIA	JNL PERSPECTIVE II 04/14	0.00	12.16	0.00	12.16	90.0	10.94
04/30/2018	RACHWAL, BARTON	JNL PERSPECTIVE II 05/05	0.00	37.85	0.00	37.85	90.0	34.07
04/30/2018	MAHER, HENRY	JNL PERSPECTIVE II 05/05	0.00	44.54	0.00	44.54	90.0	40.09
04/30/2018	HICKSON, ANDREW	JNL PERSPECTIVE II 05/05	0.00	20.74	0.00	20.74	90.0	18.67
04/30/2018	VEIT, BEVERLY	JNL PERSPECTIVE L	0.00	16.31	0.00	16.31	90.0	14.68
04/30/2018	PALMERI, BEVERLY	JNL PERSPECTIVE L	0.00	82.58	0.00	82.58	90.0	74.32
04/30/2018	FRASER, SHARON	JNL PERSPECTIVE L	0.00	36.13	0.00	36.13	90.0	32.52
04/30/2018	TAYLOR, JAMIE	JNL PERSPECTIVE L	0.00	38.31	0.00	38.31	90.0	34.48
04/30/2018	FLOWERS, EDWARD	JNL PERSPECTIVE L	0.00	126.43	0.00	126.43	90.0	113.79
04/30/2018	STOKES, RICHARD	JNL PERSPECTIVE L	0.00	70.31	0.00	70.31	90.0	63.28
04/30/2018	STONE, EDWARD	JNL PERSPECTIVE L	0.00	73.83	0.00	73.83	90.0	66.45
04/30/2018	PALMERI, SAMUEL	JNL PERSPECTIVE L	0.00	89.21	0.00	89.21	90.0	80.29
04/30/2018	STEINMETZ JR, JAMES	JNL PERSPECTIVE L	0.00	37.64	0.00	37.64	90.0	33.88
04/30/2018	VITALE, PETER	JNL PERSPECTIVE L	0.00	117.67	0.00	117.67	90.0	105.90
04/30/2018	BROEREN, ANTHONY	JNL PERSPECTIVE L	0.00	162.36	0.00	162.36	90.0	146.12
04/30/2018	KRALIK, GEORGEANNA	JNL PERSPECTIVE L	0.00	97.52	0.00	97.52	90.0	87.77

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<u>DIRECT TRANSACTIONS</u>								
PRODUCT CATEGORY: VARIABLE ANNUITY 12B1 TRAILS								
04/30/2018	CORNWELL, VICTORIA	JNL PERSPECTIVE L	0.00	175.58	0.00	175.58	90.0	158.02
		* VARIABLE ANNUITY 12B1 TRAILS SUBTOTAL *	\$0.00	\$1,386.49	\$0.00	\$1,386.49		\$1,247.86
		*** DIRECT TRANSACTIONS TOTAL ***	\$9,759,478.53	\$4,114.83	\$0.00	\$4,114.83		\$3,703.43

<u>ADJUSTMENTS</u>								
05/15/2018		*AI INSIGHT: CURRENT MONTH	0.00					-7.00
05/15/2018		*ALBRIDGE: LIGHT USER	0.00					-76.00
05/15/2018		*E & O INSURANCE: CURRENT MONTH INS	0.00					-300.00
05/15/2018		*GLOBAL RELAY: WEBSITE	0.00					-15.00
05/15/2018		*RBC: ADMIN WEALTH STATION	0.00					-25.00
05/15/2018		*RBC: CURRENT MONTH	0.00					-25.00
05/15/2018		*RBC: ORDER ENTRY	0.00					-65.00
05/15/2018		*RBC: W/O DB 7A502503	0.00					-2.00
05/15/2018		*TECHNOLOGY: ADM - ZAREFA MARINI	0.00					-130.00
05/15/2018		*TECHNOLOGY: CURRENT MONTH BASIC	0.00					-180.00
		*** ADJUSTMENTS TOTAL ***	\$0.00	\$0.00	\$0.00	\$0.00		\$-825.00

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

BROKER COMMISSION TOTALS

Broker Transactions	\$15,343.23
Split Transactions	\$0.00
Override Transactions	\$0.00
Adjustments	\$-825.00
Payroll Draw	\$0.00
Base Salary	\$0.00
Prior Period Balance	\$0.00
FINRA Assessment	\$0.00
SIPC Assessment	\$0.00

Check Amount	\$14,518.23
Year-to-date Gross	\$200,331.81
Year-to-date Earnings	\$179,576.91