



Concorde Investment Services, LLC  
**COMMISSION STATEMENT**  
**September 30, 2017**

09/28/2017  
Page No. 1

101 CFGROUP/KOSANKE  
1120 E. Long Lake Road  
Suite 250  
Troy, MI 48085

BROKER #: 101  
BRANCH: CONCORDE FINANCIAL G

DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<b><u>BROKER TRANSACTIONS</u></b>								
<b><u>PRODUCT CATEGORY: INTERVAL FUNDS</u></b>								
09/13/2017	ORTAGO, PAULA	BR TOTAL INC & REAL ESTATE FUND C	0.00	35.24	0.00	35.24	95.0	33.48
09/13/2017	MCKENZIE TRUST, ROBERT & DONNABR	TOTAL INC & REAL ESTATE FUND C	0.00	107.37	0.00	107.37	95.0	102.00
09/13/2017	MERRITT REVOCABLE TRUST, KATHYBR	TOTAL INC & REAL ESTATE FUND C	0.00	42.56	0.00	42.56	95.0	40.43
09/13/2017	KOPCZYK TRUST, LAWRENCE & PATRBR	TOTAL INC & REAL ESTATE FUND C	0.00	68.27	0.00	68.27	95.0	64.86
09/13/2017	MODRYCKI, MARGUERITE	BR TOTAL INC & REAL ESTATE FUND C	0.00	0.28	0.00	0.28	95.0	0.27
09/13/2017	MODRYCKI, DONALD	BR TOTAL INC & REAL ESTATE FUND C	0.00	0.09	0.00	0.09	95.0	0.09
09/13/2017	MODRYCKI TRUST, DONALD	BR TOTAL INC & REAL ESTATE FUND C	0.00	36.83	0.00	36.83	95.0	34.99
09/15/2017	BROOKS, ELIZABETH	GRIFFIN INST'L ACCESS R E FUND C	25,000.00	250.00	0.00	250.00	95.0	237.50
* INTERVAL FUNDS SUBTOTAL *			\$25,000.00	\$540.64	\$0.00	\$540.64		\$513.62
<b><u>PRODUCT CATEGORY: MUTUAL FUNDS</u></b>								
09/01/2017	HOLLAND, JENNIFER	AM FUNDS 2015 TARGET DATE A	0.00	4.32	0.00	4.32	95.0	4.10
09/01/2017	GARDNER, THERESA	AM FUNDS 2015 TARGET DATE A	0.00	2.30	0.00	2.30	95.0	2.19
09/01/2017	GARDNER, THERESA	AM FUNDS 2035 TARGET DATE-A	0.00	2.45	0.00	2.45	95.0	2.33
09/01/2017	BROSHEAR, KARA	AM FUNDS 2040 TARGET DATE-A	0.00	0.88	0.00	0.88	95.0	0.84
09/01/2017	HIGGINS, JAMES	AM FUNDS AMCAP 529A	0.00	14.74	0.00	14.74	95.0	14.00
09/01/2017	BOWEN, ED	AM FUNDS AMCAP 529A	0.00	0.93	0.00	0.93	95.0	0.88
09/01/2017	EVANGELISTA, JACQUELINE	AM FUNDS AMCAP A	0.00	11.81	0.00	11.81	95.0	11.22
09/01/2017	KELLEY, GAYLE	AM FUNDS AMCAP A	0.00	16.57	0.00	16.57	95.0	15.74
09/01/2017	HOFFMAN, BARBARA	AM FUNDS AMCAP A	0.00	14.58	0.00	14.58	95.0	13.85
09/01/2017	PHILLIPS, RANDALL	AM FUNDS AMCAP A	0.00	14.31	0.00	14.31	95.0	13.59
09/01/2017	SILVERSTEIN, MICHAEL	AM FUNDS AMCAP A	0.00	8.41	0.00	8.41	95.0	7.99
09/01/2017	PARDEE, LORRAINE	AM FUNDS AMCAP A	0.00	2.03	0.00	2.03	95.0	1.93
09/01/2017	JONES, GERALD	AM FUNDS AMCAP A	0.00	1.33	0.00	1.33	95.0	1.26
09/01/2017	ALVEY, CODY	AM FUNDS AMCAP A	0.00	0.24	0.00	0.24	95.0	0.23
09/01/2017	SIMMONDS, JOSHUA	AM FUNDS AMCAP A	0.00	3.45	0.00	3.45	95.0	3.28
09/01/2017	STILLWELL, ERIK	AM FUNDS AMCAP A	0.00	1.38	0.00	1.38	95.0	1.31

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

DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<b><u>BROKER TRANSACTIONS</u></b>								
<b><u>PRODUCT CATEGORY: MUTUAL FUNDS</u></b>								
09/01/2017	BLAYLOCK, JENNIFER	AM FUNDS AMCAP A	0.00	0.60	0.00	0.60	95.0	0.57
09/01/2017	GINGELL, JANET	AM FUNDS AMCAP A	0.00	41.06	0.00	41.06	95.0	39.01
09/01/2017	ARMSTRONG, ROBERT	AM FUNDS AMERICAN BALANCED 529A	0.00	1.19	0.00	1.19	95.0	1.13
09/01/2017	BOWEN, ED	AM FUNDS AMERICAN BALANCED 529A	0.00	0.26	0.00	0.26	95.0	0.25
09/01/2017	SMITH, H DENNIS	AM FUNDS AMERICAN BALANCED A	0.00	4.29	0.00	4.29	95.0	4.08
09/01/2017	FINK, JENNIFER	AM FUNDS AMERICAN BALANCED A	0.00	16.03	0.00	16.03	95.0	15.23
09/01/2017	BRINDLE, ALAN	AM FUNDS AMERICAN BALANCED A	0.00	50.03	0.00	50.03	95.0	47.53
09/01/2017	BALAEV, ALEXANDER	AM FUNDS AMERICAN BALANCED A	0.00	1.24	0.00	1.24	95.0	1.18
09/01/2017	HELD, JEFFREY	AM FUNDS AMERICAN BALANCED A	0.00	8.65	0.00	8.65	95.0	8.22
09/01/2017	SHALDA, ROSE	AM FUNDS AMERICAN BALANCED A	0.00	8.20	0.00	8.20	95.0	7.79
09/01/2017	BUSTER, RICKY	AM FUNDS AMERICAN BALANCED A	0.00	10.51	0.00	10.51	95.0	9.98
09/01/2017	BRINDLE, ALAN	AM FUNDS AMERICAN BALANCED A	0.00	13.59	0.00	13.59	95.0	12.91
09/01/2017	NICOLOSI, ROSE	AM FUNDS AMERICAN BALANCED A	0.00	22.29	0.00	22.29	95.0	21.18
09/01/2017	GRIFFIN, SHEILA	AM FUNDS AMERICAN BALANCED A	0.00	8.41	0.00	8.41	95.0	7.99
09/01/2017	MOELLER, STEVE	AM FUNDS AMERICAN BALANCED A	0.00	0.25	0.00	0.25	95.0	0.24
09/01/2017	RAYMER, SUZANNE	AM FUNDS AMERICAN BALANCED A	0.00	10.44	0.00	10.44	95.0	9.92
09/01/2017	GREGORY, CAROL	AM FUNDS AMERICAN BALANCED A	0.00	7.22	0.00	7.22	95.0	6.86
09/01/2017	BABIN, WILLIAM	AM FUNDS AMERICAN BALANCED A	0.00	7.11	0.00	7.11	95.0	6.75
09/01/2017	TREINEN, MATT	AM FUNDS AMERICAN BALANCED A	0.00	1.91	0.00	1.91	95.0	1.81
09/01/2017	VELAYUDHAN, NALINI	AM FUNDS AMERICAN BALANCED A	0.00	2.40	0.00	2.40	95.0	2.28
09/01/2017	OMELIANOFF, MICHAEL	AM FUNDS AMERICAN BALANCED A	0.00	2.18	0.00	2.18	95.0	2.07
09/01/2017	GARDNER, THERESA	AM FUNDS AMERICAN BALANCED A	0.00	1.47	0.00	1.47	95.0	1.40
09/01/2017	CERIMELE, NICHOLAS	AM FUNDS AMERICAN BALANCED A	0.00	13.84	0.00	13.84	95.0	13.15
09/13/2017	CERIMELE, NICHOLAS	AM FUNDS AMERICAN BALANCED A	60.00	3.00	0.00	3.00	95.0	2.85
09/01/2017	CYRULEWSKI, JIM	AM FUNDS AMERICAN BALANCED C	0.00	13.62	0.00	13.62	95.0	12.94
09/01/2017	BLANKENSHIP, JANET	AM FUNDS AMERICAN BALANCED C	0.00	22.42	0.00	22.42	95.0	21.30
09/01/2017	KEELER, DAVID	AM FUNDS AMERICAN BALANCED C	0.00	140.52	0.00	140.52	95.0	133.49
09/01/2017	KOSANKE, MARK	AM FUNDS AMERICAN BALANCED C	0.00	28.74	0.00	28.74	95.0	27.30
09/01/2017	KISH, VIVIAN	AM FUNDS AMERICAN HIGH-INC MUNI BON	0.00	98.55	0.00	98.55	95.0	93.62
09/01/2017	NICOLOSI, ROSE	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	6.30	0.00	6.30	95.0	5.99
09/01/2017	GRIFFIN, SHEILA	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	14.37	0.00	14.37	95.0	13.65
09/01/2017	GREGORY, CAROL	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	1.56	0.00	1.56	95.0	1.48
09/01/2017	FINK, MARGARET	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	28.20	0.00	28.20	95.0	26.79

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<b><u>BROKER TRANSACTIONS</u></b>								
<b>PRODUCT CATEGORY: MUTUAL FUNDS</b>								
09/01/2017	ILICH, NORMA	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	7.41	0.00	7.41	95.0	7.04
09/01/2017	KRAUSE, BARBARA	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	80.18	0.00	80.18	95.0	76.17
09/01/2017	SKOWRONSKI, GABRIELLA	AM FUNDS AMERICAN MUTUAL 529A	0.00	3.23	0.00	3.23	95.0	3.07
09/01/2017	MATAR, ROBERTG	AM FUNDS AMERICAN MUTUAL 529A	0.00	7.51	0.00	7.51	95.0	7.13
09/01/2017	SKOWRONSKI, GABRIELLA	AM FUNDS AMERICAN MUTUAL 529A	0.00	0.98	0.00	0.98	95.0	0.93
09/01/2017	BERNARDI, MARGARET	AM FUNDS AMERICAN MUTUAL A	0.00	13.50	0.00	13.50	95.0	12.83
09/01/2017	GRAVES, ANNE	AM FUNDS AMERICAN MUTUAL A	0.00	65.10	0.00	65.10	95.0	61.85
09/01/2017	BALAEV, ALEXANDER	AM FUNDS AMERICAN MUTUAL A	0.00	0.71	0.00	0.71	95.0	0.67
09/01/2017	HAVLIK, BRIAN	AM FUNDS AMERICAN MUTUAL A	0.00	0.01	0.00	0.01	95.0	0.01
09/01/2017	FELTY, MICHAEL	AM FUNDS AMERICAN MUTUAL A	0.00	0.01	0.00	0.01	95.0	0.01
09/01/2017	WOJTKOWSKI, ROBERT	AM FUNDS AMERICAN MUTUAL A	0.00	4.66	0.00	4.66	95.0	4.43
09/01/2017	FULTON, JOHN	AM FUNDS AMERICAN MUTUAL A	0.00	10.39	0.00	10.39	95.0	9.87
09/01/2017	BABIN, WILLIAM	AM FUNDS AMERICAN MUTUAL A	0.00	7.93	0.00	7.93	95.0	7.53
09/01/2017	LISIECKI, MARGARET	AM FUNDS AMERICAN MUTUAL A	0.00	28.40	0.00	28.40	95.0	26.98
09/01/2017	MCKEE, DUANE	AM FUNDS AMERICAN MUTUAL A	0.00	5.32	0.00	5.32	95.0	5.05
09/01/2017	ROGERS, THOMAS	AM FUNDS AMERICAN MUTUAL A	0.00	9.85	0.00	9.85	95.0	9.36
09/01/2017	GARDNER, THERESA	AM FUNDS AMERICAN MUTUAL A	0.00	1.48	0.00	1.48	95.0	1.41
09/01/2017	SCHECK, VICTORIA	AM FUNDS AMERICAN MUTUAL A	0.00	9.13	0.00	9.13	95.0	8.67
09/01/2017	BUSARSKY, KATHLEEN	AM FUNDS AMERICAN MUTUAL A	0.00	355.75	0.00	355.75	95.0	337.96
09/01/2017	KEBA, STEPHEN	AM FUNDS AMERICAN MUTUAL A	0.00	16.47	0.00	16.47	95.0	15.65
09/01/2017	MCKEE, DUANE	AM FUNDS AMERICAN MUTUAL C	0.00	0.32	0.00	0.32	95.0	0.30
09/11/2017	STAFFORD, HAROLD	AM FUNDS AMERICAN MUTUAL C	17,000.00	170.00	0.00	170.00	95.0	161.50
09/01/2017	WILSON, KAYLEE	AM FUNDS BOND FUND OF AMERICA 529A	0.00	0.80	0.00	0.80	95.0	0.76
09/01/2017	WILSON, KAYLEE	AM FUNDS BOND FUND OF AMERICA 529A	0.00	0.81	0.00	0.81	95.0	0.77
09/01/2017	ARMSTRONG, ROBERT	AM FUNDS BOND FUND OF AMERICA 529A	0.00	0.60	0.00	0.60	95.0	0.57
09/01/2017	BOWEN, ED	AM FUNDS BOND FUND OF AMERICA 529A	0.00	0.88	0.00	0.88	95.0	0.84
09/01/2017	HIGGINS, JAMES	AM FUNDS BOND FUND OF AMERICA 529A	0.00	5.31	0.00	5.31	95.0	5.04
09/01/2017	GRAHAM, STANLEY	AM FUNDS BOND FUND OF AMERICA A	0.00	0.02	0.00	0.02	95.0	0.02
09/01/2017	BERNARDI, MARGARET	AM FUNDS BOND FUND OF AMERICA A	0.00	2.34	0.00	2.34	95.0	2.22
09/01/2017	FINK, MARGARET	AM FUNDS BOND FUND OF AMERICA A	0.00	47.56	0.00	47.56	95.0	45.18
09/01/2017	MANNING, ELSIE	AM FUNDS BOND FUND OF AMERICA A	0.00	14.40	0.00	14.40	95.0	13.68
09/01/2017	BUSTER, RICKY	AM FUNDS BOND FUND OF AMERICA A	0.00	9.41	0.00	9.41	95.0	8.94
09/01/2017	JAMES, RODNEY	AM FUNDS BOND FUND OF AMERICA A	0.00	0.12	0.00	0.12	95.0	0.11

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<b><u>BROKER TRANSACTIONS</u></b>								
<b>PRODUCT CATEGORY: MUTUAL FUNDS</b>								
09/01/2017	RILEY, ROBERT	AM FUNDS BOND FUND OF AMERICA A	0.00	1.06	0.00	1.06	95.0	1.01
09/01/2017	SALES, THOMAS	AM FUNDS BOND FUND OF AMERICA A	0.00	13.57	0.00	13.57	95.0	12.89
09/01/2017	CYRULEWSKI, JIM	AM FUNDS BOND FUND OF AMERICA C	0.00	9.12	0.00	9.12	95.0	8.66
09/01/2017	FROMM, MARY	AM FUNDS CAPITAL INCOME BUILDER 529	0.00	1.71	0.00	1.71	95.0	1.62
09/01/2017	FROMM, MARY	AM FUNDS CAPITAL INCOME BUILDER 529	0.00	1.63	0.00	1.63	95.0	1.55
09/01/2017	LUMETTA, PAUL	AM FUNDS CAPITAL INCOME BUILDER 529	0.00	3.01	0.00	3.01	95.0	2.86
09/01/2017	VARTABEDIAN, LISA	AM FUNDS CAPITAL INCOME BUILDER 529	0.00	5.58	0.00	5.58	95.0	5.30
09/01/2017	VARTABEDIAN, LISA	AM FUNDS CAPITAL INCOME BUILDER 529	0.00	9.76	0.00	9.76	95.0	9.27
09/01/2017	BARNETT, RICHARD	AM FUNDS CAPITAL INCOME BUILDER 529	0.00	0.18	0.00	0.18	95.0	0.17
09/01/2017	LUMETTA, PAUL	AM FUNDS CAPITAL INCOME BUILDER 529	0.00	0.42	0.00	0.42	95.0	0.40
09/01/2017	FROMM, MARY	AM FUNDS CAPITAL INCOME BUILDER 529	0.00	0.81	0.00	0.81	95.0	0.77
09/01/2017	LONG, SARAH	AM FUNDS CAPITAL INCOME BUILDER 529	0.00	0.13	0.00	0.13	95.0	0.12
09/01/2017	VARTABEDIAN, LISA	AM FUNDS CAPITAL INCOME BUILDER 529	0.00	75.87	0.00	75.87	95.0	72.08
09/01/2017	VARTABEDIAN, LISA	AM FUNDS CAPITAL INCOME BUILDER 529	0.00	90.13	0.00	90.13	95.0	85.62
09/01/2017	FROMM, MARY	AM FUNDS CAPITAL INCOME BUILDER 529	0.00	1.30	0.00	1.30	95.0	1.24
09/01/2017	HOLLAND, JENNIFER	AM FUNDS CAPITAL INCOME BUILDER A	0.00	3.47	0.00	3.47	95.0	3.30
09/01/2017	BALAEV, ALEXANDER	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.84	0.00	0.84	95.0	0.80
09/01/2017	HELD, JEFFREY	AM FUNDS CAPITAL INCOME BUILDER A	0.00	8.41	0.00	8.41	95.0	7.99
09/01/2017	BUSTER, RICKY	AM FUNDS CAPITAL INCOME BUILDER A	0.00	5.23	0.00	5.23	95.0	4.97
09/01/2017	FROMM, JULIE	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.51	0.00	0.51	95.0	0.48
09/01/2017	NICOLOSI, ROSE	AM FUNDS CAPITAL INCOME BUILDER A	0.00	13.97	0.00	13.97	95.0	13.27
09/01/2017	GRECH, ANDREW	AM FUNDS CAPITAL INCOME BUILDER A	0.00	14.10	0.00	14.10	95.0	13.40
09/01/2017	IMUS, ARLEEN	AM FUNDS CAPITAL INCOME BUILDER A	0.00	2.95	0.00	2.95	95.0	2.80
09/01/2017	GREGORY, CAROL	AM FUNDS CAPITAL INCOME BUILDER A	0.00	5.67	0.00	5.67	95.0	5.39
09/01/2017	MUSAL, NANCY	AM FUNDS CAPITAL INCOME BUILDER A	0.00	2.73	0.00	2.73	95.0	2.59
09/01/2017	BABIN, WILLIAM	AM FUNDS CAPITAL INCOME BUILDER A	0.00	5.27	0.00	5.27	95.0	5.01
09/01/2017	TREINEN, MATT	AM FUNDS CAPITAL INCOME BUILDER A	0.00	1.85	0.00	1.85	95.0	1.76
09/01/2017	VELAYUDHAN, NALINI	AM FUNDS CAPITAL INCOME BUILDER A	0.00	1.42	0.00	1.42	95.0	1.35
09/01/2017	CHALKEY, MICHAEL	AM FUNDS CAPITAL INCOME BUILDER A	0.00	7.36	0.00	7.36	95.0	6.99
09/01/2017	BUTT, DENNIS	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.46	0.00	0.46	95.0	0.44
09/01/2017	MARTIN, ELENA MARIE	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.46	0.00	0.46	95.0	0.44
09/01/2017	MARTIN, ANDREW	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.46	0.00	0.46	95.0	0.44
09/01/2017	MARTIN, ISABELLA	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.46	0.00	0.46	95.0	0.44

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<b><u>BROKER TRANSACTIONS</u></b>								
<b><u>PRODUCT CATEGORY: MUTUAL FUNDS</u></b>								
09/01/2017	MEDAUGH, JOSEPH	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.46	0.00	0.46	95.0	0.44
09/01/2017	MEDAUGH, MATTHEW	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.46	0.00	0.46	95.0	0.44
09/01/2017	STEBBINS, JANE	AM FUNDS CAPITAL INCOME BUILDER A	0.00	2.83	0.00	2.83	95.0	2.69
09/01/2017	KRAUSE, LAURA	AM FUNDS CAPITAL INCOME BUILDER A	0.00	24.12	0.00	24.12	95.0	22.91
09/01/2017	KRAUSE, LAURA	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.27	0.00	0.27	95.0	0.26
09/01/2017	SALES, THOMAS	AM FUNDS CAPITAL INCOME BUILDER A	0.00	22.00	0.00	22.00	95.0	20.90
09/01/2017	JONES, NEVA	AM FUNDS CAPITAL INCOME BUILDER A	0.00	19.34	0.00	19.34	95.0	18.37
09/01/2017	SCHECK, VICTORIA	AM FUNDS CAPITAL INCOME BUILDER A	0.00	16.22	0.00	16.22	95.0	15.41
09/01/2017	KEBA, STEPHEN	AM FUNDS CAPITAL INCOME BUILDER A	0.00	15.00	0.00	15.00	95.0	14.25
09/01/2017	WEST TRUST, NORA	AM FUNDS CAPITAL INCOME BUILDER A	0.00	7.79	0.00	7.79	95.0	7.40
09/22/2017	CHALKEY, MICHAEL	AM FUNDS CAPITAL INCOME BUILDER A	72.13	2.70	0.00	2.70	95.0	2.57
09/22/2017	CHALKEY, MICHAEL	AM FUNDS CAPITAL INCOME BUILDER A	86.55	3.25	0.00	3.25	95.0	3.09
09/22/2017	BUTT, DENNIS	AM FUNDS CAPITAL INCOME BUILDER A	35.00	1.75	0.00	1.75	95.0	1.66
09/22/2017	BUTT, DENNIS	AM FUNDS CAPITAL INCOME BUILDER A	35.00	1.75	0.00	1.75	95.0	1.66
09/01/2017	WHITEFOOT, BEVERLY	AM FUNDS CAPITAL INCOME BUILDER C	0.00	20.70	0.00	20.70	95.0	19.67
09/01/2017	KNIGHT, SHARON	AM FUNDS CAPITAL INCOME BUILDER C	0.00	38.23	0.00	38.23	95.0	36.32
09/01/2017	JOHNSON, RODNEY	AM FUNDS CAPITAL INCOME BUILDER C	0.00	2.11	0.00	2.11	95.0	2.00
09/01/2017	JOHNSON, RODNEY	AM FUNDS CAPITAL INCOME BUILDER C	0.00	2.11	0.00	2.11	95.0	2.00
09/01/2017	MERREN, DANELL	AM FUNDS CAPITAL INCOME BUILDER C	0.00	40.13	0.00	40.13	95.0	38.12
09/01/2017	ROGERS, DONNA	AM FUNDS CAPITAL INCOME BUILDER C	0.00	39.98	0.00	39.98	95.0	37.98
09/01/2017	LONG, SARAH	AM FUNDS CAPITAL WORLD BOND 529A	0.00	0.01	0.00	0.01	95.0	0.01
09/01/2017	ADAMS, JACKSON	AM FUNDS CAPITAL WORLD BOND 529A	0.00	0.22	0.00	0.22	95.0	0.21
09/01/2017	BLANKENSHIP, JANET	AM FUNDS CAPITAL WORLD BOND C	0.00	13.77	0.00	13.77	95.0	13.08
09/01/2017	KEELER, DAVID	AM FUNDS CAPITAL WORLD BOND C	0.00	86.78	0.00	86.78	95.0	82.44
09/01/2017	HIGGINS, JAMES	AM FUNDS CAPITAL WORLD GRTH & INC 5	0.00	11.45	0.00	11.45	95.0	10.88
09/01/2017	STOLL, BENJAMIN	AM FUNDS CAPITAL WORLD GRTH & INC 5	0.00	4.82	0.00	4.82	95.0	4.58
09/01/2017	SCHLEICH, SIERRA	AM FUNDS CAPITAL WORLD GRTH & INC 5	0.00	0.28	0.00	0.28	95.0	0.27
09/01/2017	LUMETTA, PAUL	AM FUNDS CAPITAL WORLD GRTH & INC 5	0.00	3.52	0.00	3.52	95.0	3.34
09/01/2017	GALINETTI, JULIA	AM FUNDS CAPITAL WORLD GRTH & INC 5	0.00	0.06	0.00	0.06	95.0	0.06
09/01/2017	SILVERSTEIN, MICHAEL	AM FUNDS CAPITAL WORLD GRTH & INC 5	0.00	10.45	0.00	10.45	95.0	9.93
09/01/2017	SIMMONDS, JOSHUA	AM FUNDS CAPITAL WORLD GRTH & INC 5	0.00	1.60	0.00	1.60	95.0	1.52
09/01/2017	BOWEN, ED	AM FUNDS CAPITAL WORLD GRTH & INC 5	0.00	4.68	0.00	4.68	95.0	4.45
09/01/2017	SAWYER, ALONZO	AM FUNDS CAPITAL WORLD GRTH & INC 5	0.00	0.78	0.00	0.78	95.0	0.74

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<b><u>BROKER TRANSACTIONS</u></b>								
<b><u>PRODUCT CATEGORY: MUTUAL FUNDS</u></b>								
09/01/2017	HIGGINS, JAMES	AM FUNDS CAPITAL WORLD GRTH & INC 5	0.00	7.47	0.00	7.47	95.0	7.10
09/01/2017	NICOLOSI, ROSE	AM FUNDS CAPITAL WORLD GRTH & INC 5	0.00	21.19	0.00	21.19	95.0	20.13
09/01/2017	NICOLOSI, ROSE	AM FUNDS CAPITAL WORLD GRTH & INC 5	0.00	20.87	0.00	20.87	95.0	19.83
09/01/2017	VAN DAELE, DAVID	AM FUNDS CAPITAL WORLD GRTH & INC 5	0.00	4.77	0.00	4.77	95.0	4.53
09/01/2017	ALEX, ADELINE	AM FUNDS CAPITAL WORLD GRTH & INC 5	0.00	9.50	0.00	9.50	95.0	9.03
09/01/2017	SAWYER, ALONZO	AM FUNDS CAPITAL WORLD GRTH & INC 5	0.00	0.78	0.00	0.78	95.0	0.74
09/01/2017	SAWYER, ALONZO	AM FUNDS CAPITAL WORLD GRTH & INC 5	0.00	0.78	0.00	0.78	95.0	0.74
09/01/2017	NICOLOSI, ROSE	AM FUNDS CAPITAL WORLD GRTH & INC 5	0.00	20.87	0.00	20.87	95.0	19.83
09/01/2017	ADAMS, JACKSON	AM FUNDS CAPITAL WORLD GRTH & INC 5	0.00	2.25	0.00	2.25	95.0	2.14
09/01/2017	GREENE, LUCIA	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	58.74	0.00	58.74	95.0	55.80
09/01/2017	ODELL, JEFFREY	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	25.42	0.00	25.42	95.0	24.15
09/01/2017	SWEENEY, EILEEN	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	171.19	0.00	171.19	95.0	162.63
09/01/2017	SWEENEY, EILEEN	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	23.62	0.00	23.62	95.0	22.44
09/01/2017	GINGELL, PAUL	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	26.51	0.00	26.51	95.0	25.18
09/01/2017	GREENE, GREG	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	6.83	0.00	6.83	95.0	6.49
09/01/2017	GREENE, DAVID	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	103.56	0.00	103.56	95.0	98.38
09/01/2017	ALVEY, SHERRIE	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.77	0.00	0.77	95.0	0.73
09/01/2017	MILLER, CHARLENE	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.45	0.00	0.45	95.0	0.43
09/01/2017	WALKER TRUST, SUE	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	7.79	0.00	7.79	95.0	7.40
09/01/2017	VARTABEDIAN, ROBERT	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	33.08	0.00	33.08	95.0	31.43
09/01/2017	ZOGRAFOS TRUST, REGINA	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	26.90	0.00	26.90	95.0	25.56
09/01/2017	SCHRITZ, BRYAN	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	35.42	0.00	35.42	95.0	33.65
09/01/2017	BYERS, HERBERT	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	15.64	0.00	15.64	95.0	14.86
09/01/2017	STOLL, HEATHER	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	13.00	0.00	13.00	95.0	12.35
09/01/2017	SCHLEICH, DAVID	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	16.11	0.00	16.11	95.0	15.30
09/01/2017	GORSEK, JOHN	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	9.71	0.00	9.71	95.0	9.22
09/01/2017	MERKLE, PAUL	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	13.33	0.00	13.33	95.0	12.66
09/01/2017	CHARLES, JOEL	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	1.53	0.00	1.53	95.0	1.45
09/01/2017	FOX UBER, ROBERT	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	69.16	0.00	69.16	95.0	65.70
09/01/2017	BYERS, HERBERT	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	10.14	0.00	10.14	95.0	9.63
09/01/2017	GRECH, ANDREW	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	14.88	0.00	14.88	95.0	14.14
09/01/2017	IMUS, ARLEEN	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	82.73	0.00	82.73	95.0	78.59
09/01/2017	JONES, MEREK	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	1.56	0.00	1.56	95.0	1.48

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<b><u>BROKER TRANSACTIONS</u></b>								
<b><u>PRODUCT CATEGORY: MUTUAL FUNDS</u></b>								
09/01/2017	MANSOUR, EVA	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	13.66	0.00	13.66	95.0	12.98
09/01/2017	NANAS, DAVID	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	4.31	0.00	4.31	95.0	4.09
09/01/2017	STILLWELL, LYNNE	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.67	0.00	0.67	95.0	0.64
09/01/2017	ZOGRAFOS, REGINA	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	4.44	0.00	4.44	95.0	4.22
09/01/2017	DELISLE, JAMES	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.71	0.00	0.71	95.0	0.67
09/01/2017	WALKER TRUST, SUE	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	6.95	0.00	6.95	95.0	6.60
09/01/2017	WALKER TRUST, SUE	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	6.95	0.00	6.95	95.0	6.60
09/01/2017	WALKER TRUST, SUE	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	6.95	0.00	6.95	95.0	6.60
09/01/2017	BOZA, VICTOR	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	1.35	0.00	1.35	95.0	1.28
09/01/2017	DILL, JAKOB	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.19	0.00	0.19	95.0	0.18
09/01/2017	PARDEE, CRAIG	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	22.21	0.00	22.21	95.0	21.10
09/01/2017	SIMMONDS, JOSHUA	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	2.44	0.00	2.44	95.0	2.32
09/01/2017	SIMMONDS, JOSHUA	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	2.77	0.00	2.77	95.0	2.63
09/01/2017	STILLWELL, ERIK	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	1.42	0.00	1.42	95.0	1.35
09/01/2017	TSANGANOS, OURANIA	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	6.64	0.00	6.64	95.0	6.31
09/01/2017	TSANGANOS, NICHOLAOS	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	8.16	0.00	8.16	95.0	7.75
09/01/2017	TSANGANOS, CHRISTOPHER	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	5.43	0.00	5.43	95.0	5.16
09/01/2017	GAULKE, DONNA	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.89	0.00	0.89	95.0	0.85
09/01/2017	KARGULA, CURT	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	3.35	0.00	3.35	95.0	3.18
09/01/2017	GALL, REBECCA	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	3.93	0.00	3.93	95.0	3.73
09/01/2017	DEFRANCESCO, STEVEN	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	1.30	0.00	1.30	95.0	1.24
09/01/2017	BLAYLOCK, JENNIFER	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.28	0.00	0.28	95.0	0.27
09/01/2017	BUTTY, NANCY	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	22.55	0.00	22.55	95.0	21.42
09/01/2017	TSANGANOS, OURANIA	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	4.08	0.00	4.08	95.0	3.88
09/01/2017	TSANGANOS, NICHOLAOS	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	4.08	0.00	4.08	95.0	3.88
09/01/2017	GREGORY, CAROL	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	6.10	0.00	6.10	95.0	5.80
09/01/2017	TSANGANOS, LABRENE	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	11.45	0.00	11.45	95.0	10.88
09/01/2017	TSANGANOS, LABRENE	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	7.08	0.00	7.08	95.0	6.73
09/01/2017	CHASSE, JENNIFER	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	5.45	0.00	5.45	95.0	5.18
09/01/2017	BROWNING, RYAN	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.24	0.00	0.24	95.0	0.23
09/01/2017	MUSAL, NANCY	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	2.93	0.00	2.93	95.0	2.78
09/01/2017	BABIN, WILLIAM	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	6.36	0.00	6.36	95.0	6.04
09/01/2017	CARSON, JESSICA	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.25	0.00	0.25	95.0	0.24

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<b><u>BROKER TRANSACTIONS</u></b>								
<b>PRODUCT CATEGORY: MUTUAL FUNDS</b>								
09/01/2017	TSOUKALAS, IOANNIS	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.47	0.00	0.47	95.0	0.45
09/01/2017	HIGEL, STEVEN	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.16	0.00	0.16	95.0	0.15
09/01/2017	SHEPHERD, JOE	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.02	0.00	0.02	95.0	0.02
09/01/2017	GIBSON, KATHLEEN	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	1.68	0.00	1.68	95.0	1.60
09/01/2017	CARSON, JESSICA	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.90	0.00	0.90	95.0	0.86
09/01/2017	BENDER, SHARON	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.37	0.00	0.37	95.0	0.35
09/01/2017	HABERMAN, IAN	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	18.12	0.00	18.12	95.0	17.21
09/01/2017	PER, ELIZABETH	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.13	0.00	0.13	95.0	0.12
09/01/2017	OMELIANOFF, MICHAEL	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	3.37	0.00	3.37	95.0	3.20
09/01/2017	JORDAN, KIMBERLY	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	10.69	0.00	10.69	95.0	10.16
09/01/2017	NAGEOTTE, NIKOLAUS	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	9.22	0.00	9.22	95.0	8.76
09/01/2017	MCKEE, DUANE	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	7.26	0.00	7.26	95.0	6.90
09/01/2017	TSANGANOS, LABRENE	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	12.70	0.00	12.70	95.0	12.07
09/01/2017	TSANGANOS, LEONIDAS	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	7.12	0.00	7.12	95.0	6.76
09/01/2017	SLAYBAUGH, YVONNE	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	22.19	0.00	22.19	95.0	21.08
09/01/2017	THOMPSON, PATRICIA	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	25.01	0.00	25.01	95.0	23.76
09/01/2017	RILEY, ROBERT	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	3.09	0.00	3.09	95.0	2.94
09/01/2017	DELISLE/AUTH PER, JAMES	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	1.00	0.00	1.00	95.0	0.95
09/01/2017	SCHRITZ, AMANDA	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	10.34	0.00	10.34	95.0	9.82
09/01/2017	SCHRITZ, BRYAN	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	10.34	0.00	10.34	95.0	9.82
09/01/2017	SIEDLAK, TERRY	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	11.50	0.00	11.50	95.0	10.93
09/01/2017	SIEDLAK, LESLIE	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	1.93	0.00	1.93	95.0	1.83
09/01/2017	KRAUSE, MICHAEL	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	7.73	0.00	7.73	95.0	7.34
09/01/2017	KRAUSE, LAURA	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	27.12	0.00	27.12	95.0	25.76
09/01/2017	SCHUBA, LAWRENCE	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.57	0.00	0.57	95.0	0.54
09/01/2017	KRAUSE, LAURA	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.32	0.00	0.32	95.0	0.30
09/01/2017	SALES, THOMAS	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	25.62	0.00	25.62	95.0	24.34
09/01/2017	KLEIN TRUST, NICHOLAS	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	40.18	0.00	40.18	95.0	38.17
09/01/2017	HAWK, MARYBELLE	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	36.13	0.00	36.13	95.0	34.32
09/01/2017	WARNER, KRISTA	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.18	0.00	0.18	95.0	0.17
09/01/2017	FISK, MARY	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	79.77	0.00	79.77	95.0	75.78
09/01/2017	KRAUSE, BARBARA	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	142.76	0.00	142.76	95.0	135.62
09/11/2017	NANAS, DAVID	AM FUNDS CAPITAL WORLD GRTH & INC A	100.00	5.00	0.00	5.00	95.0	4.75

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<b><u>BROKER TRANSACTIONS</u></b>								
<b><u>PRODUCT CATEGORY: MUTUAL FUNDS</u></b>								
09/11/2017	NANAS, DAVID	AM FUNDS CAPITAL WORLD GRTH & INC A	-100.00	-5.00	0.00	-5.00	95.0	-4.75
09/20/2017	NAGEOTTE, NIKOLAUS	AM FUNDS CAPITAL WORLD GRTH & INC A	100.00	5.00	0.00	5.00	95.0	4.75
09/01/2017	LEDFORD, JAMIE	AM FUNDS CAPITAL WORLD GRTH & INC C	0.00	40.76	0.00	40.76	95.0	38.72
09/01/2017	WATKINS, MARK	AM FUNDS CAPITAL WORLD GRTH & INC C	0.00	77.62	0.00	77.62	95.0	73.74
09/01/2017	CYRULEWSKI, JIM	AM FUNDS CAPITAL WORLD GRTH & INC C	0.00	10.91	0.00	10.91	95.0	10.36
09/01/2017	BLANKENSHIP, JANET	AM FUNDS CAPITAL WORLD GRTH & INC C	0.00	31.87	0.00	31.87	95.0	30.28
09/01/2017	KEELER, DAVID	AM FUNDS CAPITAL WORLD GRTH & INC C	0.00	201.75	0.00	201.75	95.0	191.66
09/01/2017	KOSANKE, MARK	AM FUNDS CAPITAL WORLD GRTH & INC C	0.00	41.93	0.00	41.93	95.0	39.83
09/01/2017	MCKEE, DUANE	AM FUNDS CAPITAL WORLD GRTH & INC C	0.00	3.80	0.00	3.80	95.0	3.61
09/01/2017	VINING, KRISTOPHER	AM FUNDS CAPITAL WORLD GRTH & INC C	0.00	1.08	0.00	1.08	95.0	1.03
09/01/2017	MICHON, ERIK	AM FUNDS EUROPACIFIC GROWTH FUND 52	0.00	1.13	0.00	1.13	95.0	1.07
09/01/2017	SIMMONDS, JOSHUA	AM FUNDS EUROPACIFIC GROWTH FUND 52	0.00	1.37	0.00	1.37	95.0	1.30
09/01/2017	LUMETTA, PAUL	AM FUNDS EUROPACIFIC GROWTH FUND 52	0.00	0.50	0.00	0.50	95.0	0.48
09/01/2017	RICHARDS, COLE	AM FUNDS EUROPACIFIC GROWTH FUND 52	0.00	0.52	0.00	0.52	95.0	0.49
09/01/2017	VAN DAELE, DAVID	AM FUNDS EUROPACIFIC GROWTH FUND 52	0.00	4.31	0.00	4.31	95.0	4.09
09/01/2017	HOFFMAN, BARBARA	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	14.45	0.00	14.45	95.0	13.73
09/01/2017	MARGERUM, JOHN	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	0.87	0.00	0.87	95.0	0.83
09/01/2017	ALVEY, SHERRIE	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	0.56	0.00	0.56	95.0	0.53
09/01/2017	WALKER TRUST, SUE	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	6.03	0.00	6.03	95.0	5.73
09/01/2017	PARDEE, LORRAINE	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	1.53	0.00	1.53	95.0	1.45
09/01/2017	WASHINGTON, ANGELA	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	0.16	0.00	0.16	95.0	0.15
09/01/2017	TAYLOR, GORDON	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	0.81	0.00	0.81	95.0	0.77
09/01/2017	MACKENZIE-TAYLOR, DEBORAH	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	0.81	0.00	0.81	95.0	0.77
09/01/2017	MACKENZIE-TAYLOR, DEBORAH	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	1.72	0.00	1.72	95.0	1.63
09/01/2017	TAYLOR, ALLAN	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	1.72	0.00	1.72	95.0	1.63
09/01/2017	JONES, GERALD	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	1.18	0.00	1.18	95.0	1.12
09/01/2017	ALVEY, CODY	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	5.12	0.00	5.12	95.0	4.86
09/01/2017	ALVEY, BRETT	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	7.50	0.00	7.50	95.0	7.13
09/01/2017	KENDZIERSKI, JENNIE	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	1.19	0.00	1.19	95.0	1.13
09/01/2017	GRECH, ANDREW	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	13.15	0.00	13.15	95.0	12.49
09/01/2017	NANAS, DAVID	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	0.91	0.00	0.91	95.0	0.86
09/01/2017	STILLWELL, LYNNE	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	0.81	0.00	0.81	95.0	0.77
09/01/2017	DELISLE, JAMES	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	0.64	0.00	0.64	95.0	0.61

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<b><u>BROKER TRANSACTIONS</u></b>								
<b>PRODUCT CATEGORY: MUTUAL FUNDS</b>								
09/01/2017	SIMMONDS, JOSHUA	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	2.13	0.00	2.13	95.0	2.02
09/01/2017	SIMMONDS, ASHLEIGH	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	1.96	0.00	1.96	95.0	1.86
09/01/2017	SIMMONDS, JOSHUA	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	2.44	0.00	2.44	95.0	2.32
09/01/2017	STILLWELL, ERIK	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	0.37	0.00	0.37	95.0	0.35
09/01/2017	TSANGANOS, OURANIA	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	4.37	0.00	4.37	95.0	4.15
09/01/2017	TSANGANOS, NICHOLAOS	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	5.76	0.00	5.76	95.0	5.47
09/01/2017	TSANGANOS, CHRISTOPHER	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	4.96	0.00	4.96	95.0	4.71
09/01/2017	KARGULA, CURT	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	1.97	0.00	1.97	95.0	1.87
09/01/2017	BLAYLOCK, JENNIFER	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	0.25	0.00	0.25	95.0	0.24
09/01/2017	BUTTY, NANCY	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	17.48	0.00	17.48	95.0	16.61
09/01/2017	TSANGANOS, OURANIA	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	3.60	0.00	3.60	95.0	3.42
09/01/2017	TSANGANOS, NICHOLAOS	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	3.60	0.00	3.60	95.0	3.42
09/01/2017	GINGELL, JANET	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	70.54	0.00	70.54	95.0	67.01
09/01/2017	TSANGANOS, LABRENE	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	10.13	0.00	10.13	95.0	9.62
09/01/2017	TSANGANOS, LABRENE	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	6.37	0.00	6.37	95.0	6.05
09/01/2017	CARSON, JESSICA	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	0.20	0.00	0.20	95.0	0.19
09/01/2017	TSOUKALAS, IOANNIS	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	0.42	0.00	0.42	95.0	0.40
09/01/2017	CARSON, JESSICA	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	1.49	0.00	1.49	95.0	1.42
09/01/2017	BENDER, SHARON	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	0.23	0.00	0.23	95.0	0.22
09/01/2017	PER, ELIZABETH	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	0.11	0.00	0.11	95.0	0.10
09/01/2017	NATHAN, SANDRA	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	1.02	0.00	1.02	95.0	0.97
09/01/2017	DILL, MADELINE	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	0.23	0.00	0.23	95.0	0.22
09/01/2017	TSANGANOS, LABRENE	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	17.79	0.00	17.79	95.0	16.90
09/01/2017	TSANGANOS, LEONIDAS	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	20.34	0.00	20.34	95.0	19.32
09/01/2017	RILEY, ROBERT	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	1.50	0.00	1.50	95.0	1.43
09/01/2017	DELISLE/AUTH PER, JAMES	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	0.93	0.00	0.93	95.0	0.88
09/01/2017	KRAUSE, LAURA	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	23.05	0.00	23.05	95.0	21.90
09/01/2017	KRAUSE, LAURA	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	0.29	0.00	0.29	95.0	0.28
09/01/2017	HINDS, RUSSELL	AM FUNDS EUROPACIFIC GROWTH FUND C	0.00	3.57	0.00	3.57	95.0	3.39
09/01/2017	BOWEN, ED	AM FUNDS FUNDAMENTAL INVESTORS 529A	0.00	1.08	0.00	1.08	95.0	1.03
09/01/2017	HIGGINS, JAMES	AM FUNDS FUNDAMENTAL INVESTORS 529A	0.00	9.40	0.00	9.40	95.0	8.93
09/01/2017	ADAMS, JACKSON	AM FUNDS FUNDAMENTAL INVESTORS 529A	0.00	1.58	0.00	1.58	95.0	1.50
09/01/2017	HOLT, DEBBIE	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	64.93	0.00	64.93	95.0	61.68

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<b><u>BROKER TRANSACTIONS</u></b>								
<b><u>PRODUCT CATEGORY: MUTUAL FUNDS</u></b>								
09/01/2017	MAKI-DRAGER, CHRISTINE	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	1.40	0.00	1.40	95.0	1.33
09/01/2017	MIELKE, DAVID	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	48.56	0.00	48.56	95.0	46.13
09/01/2017	HAMER, ANN	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	1.15	0.00	1.15	95.0	1.09
09/01/2017	BURGESS, WILLIAM	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	3.21	0.00	3.21	95.0	3.05
09/01/2017	ZECH, DONALD	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	12.91	0.00	12.91	95.0	12.26
09/01/2017	JONES, GERALD	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	1.82	0.00	1.82	95.0	1.73
09/01/2017	SIMON, JUDITH	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	0.53	0.00	0.53	95.0	0.50
09/01/2017	SCHRITZ, BRYAN	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	18.99	0.00	18.99	95.0	18.04
09/01/2017	HEGEL, SUSAN	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	7.96	0.00	7.96	95.0	7.56
09/01/2017	TSANGANOS, OURANIA	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	8.06	0.00	8.06	95.0	7.66
09/01/2017	TSANGANOS, NICHOLAOS	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	9.90	0.00	9.90	95.0	9.41
09/01/2017	TSANGANOS, CHRISTOPHER	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	3.01	0.00	3.01	95.0	2.86
09/01/2017	KARGULA, CURT	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	2.71	0.00	2.71	95.0	2.57
09/01/2017	TSANGANOS, OURANIA	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	4.67	0.00	4.67	95.0	4.44
09/01/2017	TSANGANOS, NICHOLAOS	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	4.67	0.00	4.67	95.0	4.44
09/01/2017	GREGORY, CAROL	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	7.50	0.00	7.50	95.0	7.13
09/01/2017	TSANGANOS, LABRENE	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	13.18	0.00	13.18	95.0	12.52
09/01/2017	TSANGANOS, LABRENE	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	8.51	0.00	8.51	95.0	8.08
09/01/2017	TSOUKALAS, IOANNIS	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	0.61	0.00	0.61	95.0	0.58
09/01/2017	TSANGANOS, LABRENE	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	24.59	0.00	24.59	95.0	23.36
09/01/2017	TSANGANOS, LEONIDAS	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	26.99	0.00	26.99	95.0	25.64
09/01/2017	SALES, THOMAS	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	42.45	0.00	42.45	95.0	40.33
09/01/2017	KOSANKE, MARK	AM FUNDS FUNDAMENTAL INVESTORS C	0.00	209.72	0.00	209.72	95.0	199.23
09/01/2017	WHITEFOOT, BEVERLY	AM FUNDS FUNDAMENTAL INVESTORS C	0.00	22.91	0.00	22.91	95.0	21.76
09/01/2017	VINING, KRISTOPHER	AM FUNDS FUNDAMENTAL INVESTORS-F1	0.00	2.30	0.00	2.30	95.0	2.19
09/01/2017	WALKER, SUE	AM FUNDS GLOBAL BALANCED A	0.00	21.33	0.00	21.33	95.0	20.26
09/01/2017	KACZOR, CHRISTOPHER	AM FUNDS GLOBAL BALANCED A	0.00	1.15	0.00	1.15	95.0	1.09
09/01/2017	KACZOR, LISA	AM FUNDS GLOBAL BALANCED A	0.00	9.79	0.00	9.79	95.0	9.30
09/01/2017	KACZOR, CHRISTOPHER	AM FUNDS GLOBAL BALANCED A	0.00	1.27	0.00	1.27	95.0	1.21
09/01/2017	KELLY, SCOTT	AM FUNDS GLOBAL BALANCED A	0.00	1.72	0.00	1.72	95.0	1.63
09/01/2017	LUMETTA, PAUL	AM FUNDS GROWTH FUND OF AMERICA 529	0.00	0.74	0.00	0.74	95.0	0.70
09/01/2017	WILSON, KAYLEE	AM FUNDS GROWTH FUND OF AMERICA 529	0.00	2.20	0.00	2.20	95.0	2.09
09/01/2017	WILSON, KAYLEE	AM FUNDS GROWTH FUND OF AMERICA 529	0.00	2.24	0.00	2.24	95.0	2.13

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<b><u>BROKER TRANSACTIONS</u></b>								
<b><u>PRODUCT CATEGORY: MUTUAL FUNDS</u></b>								
09/01/2017	KAPFHAMER, SCOTT	AM FUNDS GROWTH FUND OF AMERICA 529	0.00	15.91	0.00	15.91	95.0	15.11
09/01/2017	KAPFHAMER, SCOTT	AM FUNDS GROWTH FUND OF AMERICA 529	0.00	13.05	0.00	13.05	95.0	12.40
09/01/2017	LUMETTA, PAUL	AM FUNDS GROWTH FUND OF AMERICA 529	0.00	4.08	0.00	4.08	95.0	3.88
09/01/2017	BARNETT, RICHARD	AM FUNDS GROWTH FUND OF AMERICA 529	0.00	0.30	0.00	0.30	95.0	0.29
09/01/2017	BARNETT, RICHARD	AM FUNDS GROWTH FUND OF AMERICA 529	0.00	0.26	0.00	0.26	95.0	0.25
09/01/2017	BARNETT, RICHARD	AM FUNDS GROWTH FUND OF AMERICA 529	0.00	0.78	0.00	0.78	95.0	0.74
09/01/2017	GALINETTI, JULIA	AM FUNDS GROWTH FUND OF AMERICA 529	0.00	0.07	0.00	0.07	95.0	0.07
09/01/2017	BOWEN, ED	AM FUNDS GROWTH FUND OF AMERICA 529	0.00	7.77	0.00	7.77	95.0	7.38
09/01/2017	SAWYER, ALONZO	AM FUNDS GROWTH FUND OF AMERICA 529	0.00	7.79	0.00	7.79	95.0	7.40
09/01/2017	HIGGINS, JAMES	AM FUNDS GROWTH FUND OF AMERICA 529	0.00	9.63	0.00	9.63	95.0	9.15
09/01/2017	RICHARDS, COLE	AM FUNDS GROWTH FUND OF AMERICA 529	0.00	0.57	0.00	0.57	95.0	0.54
09/01/2017	KOUZA, SOPHIA	AM FUNDS GROWTH FUND OF AMERICA 529	0.00	5.64	0.00	5.64	95.0	5.36
09/01/2017	SAWYER, ALONZO	AM FUNDS GROWTH FUND OF AMERICA 529	0.00	3.98	0.00	3.98	95.0	3.78
09/01/2017	SAWYER, ALONZO	AM FUNDS GROWTH FUND OF AMERICA 529	0.00	6.49	0.00	6.49	95.0	6.17
09/01/2017	FOLLETT, JACOB	AM FUNDS GROWTH FUND OF AMERICA 529	0.00	1.18	0.00	1.18	95.0	1.12
09/01/2017	FOLLETT, JACOB	AM FUNDS GROWTH FUND OF AMERICA 529	0.00	1.47	0.00	1.47	95.0	1.40
09/01/2017	ADAMS, JACKSON	AM FUNDS GROWTH FUND OF AMERICA 529	0.00	1.32	0.00	1.32	95.0	1.25
09/01/2017	GREENE, LUCIA	AM FUNDS GROWTH FUND OF AMERICA A	0.00	38.93	0.00	38.93	95.0	36.98
09/01/2017	BRINKER/BENE, TIMOTHY	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.24	0.00	0.24	95.0	0.23
09/01/2017	MAKI, CHRISTINE	AM FUNDS GROWTH FUND OF AMERICA A	0.00	2.76	0.00	2.76	95.0	2.62
09/01/2017	HOLT, DEBBIE	AM FUNDS GROWTH FUND OF AMERICA A	0.00	70.86	0.00	70.86	95.0	67.32
09/01/2017	HOLLAND, JENNIFER	AM FUNDS GROWTH FUND OF AMERICA A	0.00	4.15	0.00	4.15	95.0	3.94
09/01/2017	GINGELL, PAUL	AM FUNDS GROWTH FUND OF AMERICA A	0.00	49.59	0.00	49.59	95.0	47.11
09/01/2017	ALVEY, SHERRIE	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.92	0.00	0.92	95.0	0.87
09/01/2017	VOGLER, BRIAN	AM FUNDS GROWTH FUND OF AMERICA A	0.00	3.41	0.00	3.41	95.0	3.24
09/01/2017	MAKI-DRAGER, CHRISTINE	AM FUNDS GROWTH FUND OF AMERICA A	0.00	3.22	0.00	3.22	95.0	3.06
09/01/2017	MIELKE, DAVID	AM FUNDS GROWTH FUND OF AMERICA A	0.00	35.55	0.00	35.55	95.0	33.77
09/01/2017	PARDEE, LORRAINE	AM FUNDS GROWTH FUND OF AMERICA A	0.00	2.63	0.00	2.63	95.0	2.50
09/01/2017	KOLESNIKOW, AMY	AM FUNDS GROWTH FUND OF AMERICA A	0.00	18.51	0.00	18.51	95.0	17.58
09/01/2017	VOGLER, JAKOB	AM FUNDS GROWTH FUND OF AMERICA A	0.00	4.88	0.00	4.88	95.0	4.64
09/01/2017	VOGLER, JAKOB	AM FUNDS GROWTH FUND OF AMERICA A	0.00	5.40	0.00	5.40	95.0	5.13
09/01/2017	BRAINER, ASHLEY	AM FUNDS GROWTH FUND OF AMERICA A	0.00	1.36	0.00	1.36	95.0	1.29
09/01/2017	BRINKER, SARAH	AM FUNDS GROWTH FUND OF AMERICA A	0.00	1.36	0.00	1.36	95.0	1.29

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<b><u>BROKER TRANSACTIONS</u></b>								
<b><u>PRODUCT CATEGORY: MUTUAL FUNDS</u></b>								
09/01/2017	BRINKER, AMANDA	AM FUNDS GROWTH FUND OF AMERICA A	0.00	1.36	0.00	1.36	95.0	1.29
09/01/2017	URBANIAK, LORAINÉ	AM FUNDS GROWTH FUND OF AMERICA A	0.00	54.11	0.00	54.11	95.0	51.40
09/01/2017	GILLETTE, BETTYANN	AM FUNDS GROWTH FUND OF AMERICA A	0.00	2.30	0.00	2.30	95.0	2.19
09/01/2017	NICOLOSI, ROSE	AM FUNDS GROWTH FUND OF AMERICA A	0.00	12.11	0.00	12.11	95.0	11.50
09/01/2017	REDDEN, TODD	AM FUNDS GROWTH FUND OF AMERICA A	0.00	24.98	0.00	24.98	95.0	23.73
09/01/2017	SHIELDS, E PATRICIA	AM FUNDS GROWTH FUND OF AMERICA A	0.00	5.51	0.00	5.51	95.0	5.23
09/01/2017	DAUGHERTY, RIA	AM FUNDS GROWTH FUND OF AMERICA A	0.00	1.50	0.00	1.50	95.0	1.43
09/01/2017	GRANE/, ROBERT	AM FUNDS GROWTH FUND OF AMERICA A	0.00	1.42	0.00	1.42	95.0	1.35
09/01/2017	GRANE, ROBERT	AM FUNDS GROWTH FUND OF AMERICA A	0.00	1.42	0.00	1.42	95.0	1.35
09/01/2017	GRANE, ROBERT	AM FUNDS GROWTH FUND OF AMERICA A	0.00	1.91	0.00	1.91	95.0	1.81
09/01/2017	GRANE, ROBERT	AM FUNDS GROWTH FUND OF AMERICA A	0.00	8.43	0.00	8.43	95.0	8.01
09/01/2017	VOGLER, GRACE	AM FUNDS GROWTH FUND OF AMERICA A	0.00	7.80	0.00	7.80	95.0	7.41
09/01/2017	LAQUE, AMANDA	AM FUNDS GROWTH FUND OF AMERICA A	0.00	3.40	0.00	3.40	95.0	3.23
09/01/2017	MERKLE, WILLIAM	AM FUNDS GROWTH FUND OF AMERICA A	0.00	1.46	0.00	1.46	95.0	1.39
09/01/2017	MERKLE, JACK	AM FUNDS GROWTH FUND OF AMERICA A	0.00	1.46	0.00	1.46	95.0	1.39
09/01/2017	SHALDA, ROSE	AM FUNDS GROWTH FUND OF AMERICA A	0.00	29.15	0.00	29.15	95.0	27.69
09/01/2017	MILLER-TAMM/AUTH PER, MARY	AM FUNDS GROWTH FUND OF AMERICA A	0.00	8.45	0.00	8.45	95.0	8.03
09/01/2017	PARTNERSHIP, CARLSON	AM FUNDS GROWTH FUND OF AMERICA A	0.00	6.02	0.00	6.02	95.0	5.72
09/01/2017	GIVENS, SCOTT	AM FUNDS GROWTH FUND OF AMERICA A	0.00	112.33	0.00	112.33	95.0	106.71
09/01/2017	WALKER TRUST, SUE	AM FUNDS GROWTH FUND OF AMERICA A	0.00	4.66	0.00	4.66	95.0	4.43
09/01/2017	VANDERMEER, BRYON	AM FUNDS GROWTH FUND OF AMERICA A	0.00	38.14	0.00	38.14	95.0	36.23
09/01/2017	SIMON, JUDITH	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.22	0.00	0.22	95.0	0.21
09/01/2017	VOGLER, ALEX	AM FUNDS GROWTH FUND OF AMERICA A	0.00	7.45	0.00	7.45	95.0	7.08
09/01/2017	VOGLER, ALEX	AM FUNDS GROWTH FUND OF AMERICA A	0.00	2.64	0.00	2.64	95.0	2.51
09/01/2017	NIKOLLAU, RIA	AM FUNDS GROWTH FUND OF AMERICA A	0.00	18.69	0.00	18.69	95.0	17.76
09/01/2017	STRUNCK, TED	AM FUNDS GROWTH FUND OF AMERICA A	0.00	32.02	0.00	32.02	95.0	30.42
09/01/2017	BAILEY, STEVEN	AM FUNDS GROWTH FUND OF AMERICA A	0.00	3.25	0.00	3.25	95.0	3.09
09/01/2017	SCHRITZ, BRYAN	AM FUNDS GROWTH FUND OF AMERICA A	0.00	65.63	0.00	65.63	95.0	62.35
09/01/2017	VOGLER, BREN	AM FUNDS GROWTH FUND OF AMERICA A	0.00	10.38	0.00	10.38	95.0	9.86
09/01/2017	KUCHAREK, PAUL	AM FUNDS GROWTH FUND OF AMERICA A	0.00	11.42	0.00	11.42	95.0	10.85
09/01/2017	VOGLER, KYLE	AM FUNDS GROWTH FUND OF AMERICA A	0.00	8.57	0.00	8.57	95.0	8.14
09/01/2017	STRAYVE, MICHAEL	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.20	0.00	0.20	95.0	0.19
09/01/2017	RIETH, HOLLY	AM FUNDS GROWTH FUND OF AMERICA A	0.00	1.57	0.00	1.57	95.0	1.49

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<b><u>BROKER TRANSACTIONS</u></b>								
<b><u>PRODUCT CATEGORY: MUTUAL FUNDS</u></b>								
09/01/2017	STARKEY, RENEE	AM FUNDS GROWTH FUND OF AMERICA A	0.00	3.39	0.00	3.39	95.0	3.22
09/01/2017	SCHLEICH, DAVID	AM FUNDS GROWTH FUND OF AMERICA A	0.00	43.17	0.00	43.17	95.0	41.01
09/01/2017	GRANE, ROBERT	AM FUNDS GROWTH FUND OF AMERICA A	0.00	1.61	0.00	1.61	95.0	1.53
09/01/2017	ALVEY, BRETT	AM FUNDS GROWTH FUND OF AMERICA A	0.00	2.55	0.00	2.55	95.0	2.42
09/01/2017	BENNETT, JEFFERY	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.08	0.00	0.08	95.0	0.08
09/01/2017	GEE, JACKSON	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.81	0.00	0.81	95.0	0.77
09/01/2017	GEE, LOGAN	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.87	0.00	0.87	95.0	0.83
09/01/2017	RYAN, JOHN	AM FUNDS GROWTH FUND OF AMERICA A	0.00	2.55	0.00	2.55	95.0	2.42
09/01/2017	RYAN, JOHN	AM FUNDS GROWTH FUND OF AMERICA A	0.00	2.45	0.00	2.45	95.0	2.33
09/01/2017	RYAN, KIMBERLY	AM FUNDS GROWTH FUND OF AMERICA A	0.00	7.54	0.00	7.54	95.0	7.16
09/01/2017	VOGLER, SUZANNE	AM FUNDS GROWTH FUND OF AMERICA A	0.00	6.79	0.00	6.79	95.0	6.45
09/01/2017	VOGLER, ANNA RENEE	AM FUNDS GROWTH FUND OF AMERICA A	0.00	6.79	0.00	6.79	95.0	6.45
09/01/2017	BOZA, VICTOR	AM FUNDS GROWTH FUND OF AMERICA A	0.00	1.37	0.00	1.37	95.0	1.30
09/01/2017	PARDEE, CRAIG	AM FUNDS GROWTH FUND OF AMERICA A	0.00	28.38	0.00	28.38	95.0	26.96
09/01/2017	TSANGANOS, OURANIA	AM FUNDS GROWTH FUND OF AMERICA A	0.00	6.28	0.00	6.28	95.0	5.97
09/01/2017	TSANGANOS, NICHOLAOS	AM FUNDS GROWTH FUND OF AMERICA A	0.00	8.12	0.00	8.12	95.0	7.71
09/01/2017	TSANGANOS, CHRISTOPHER	AM FUNDS GROWTH FUND OF AMERICA A	0.00	6.80	0.00	6.80	95.0	6.46
09/01/2017	GAULKE, DONNA	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.93	0.00	0.93	95.0	0.88
09/01/2017	RACHEL, JOHN	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.81	0.00	0.81	95.0	0.77
09/01/2017	TSANGANOS, OURANIA	AM FUNDS GROWTH FUND OF AMERICA A	0.00	5.19	0.00	5.19	95.0	4.93
09/01/2017	TSANGANOS, NICHOLAOS	AM FUNDS GROWTH FUND OF AMERICA A	0.00	5.19	0.00	5.19	95.0	4.93
09/01/2017	TSANGANOS, LABRENE	AM FUNDS GROWTH FUND OF AMERICA A	0.00	14.62	0.00	14.62	95.0	13.89
09/01/2017	TSANGANOS, LABRENE	AM FUNDS GROWTH FUND OF AMERICA A	0.00	8.68	0.00	8.68	95.0	8.25
09/01/2017	BROWNING, RYAN	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.18	0.00	0.18	95.0	0.17
09/01/2017	MUSAL, NANCY	AM FUNDS GROWTH FUND OF AMERICA A	0.00	4.36	0.00	4.36	95.0	4.14
09/01/2017	BABIN, WILLIAM	AM FUNDS GROWTH FUND OF AMERICA A	0.00	8.21	0.00	8.21	95.0	7.80
09/01/2017	TSOUKALAS, IOANNIS	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.48	0.00	0.48	95.0	0.46
09/01/2017	BENNETT, AMANDA	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.97	0.00	0.97	95.0	0.92
09/01/2017	CARSON, JESSICA	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.82	0.00	0.82	95.0	0.78
09/01/2017	MARBLEY, SHEILA	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.19	0.00	0.19	95.0	0.18
09/01/2017	NATHAN, SANDRA	AM FUNDS GROWTH FUND OF AMERICA A	0.00	1.39	0.00	1.39	95.0	1.32
09/01/2017	TSANGANOS, LABRENE	AM FUNDS GROWTH FUND OF AMERICA A	0.00	16.24	0.00	16.24	95.0	15.43
09/01/2017	TSANGANOS, LEONIDAS	AM FUNDS GROWTH FUND OF AMERICA A	0.00	8.74	0.00	8.74	95.0	8.30

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<b><u>BROKER TRANSACTIONS</u></b>								
<b><u>PRODUCT CATEGORY: MUTUAL FUNDS</u></b>								
09/01/2017	KRAUSE, LAURA	AM FUNDS GROWTH FUND OF AMERICA A	0.00	35.29	0.00	35.29	95.0	33.53
09/01/2017	KRAUSE, LAURA	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.32	0.00	0.32	95.0	0.30
09/01/2017	ROTH, DANNY	AM FUNDS GROWTH FUND OF AMERICA A	0.00	16.75	0.00	16.75	95.0	15.91
09/01/2017	SALES, THOMAS	AM FUNDS GROWTH FUND OF AMERICA A	0.00	54.38	0.00	54.38	95.0	51.66
09/01/2017	SCHMITT, KEITH	AM FUNDS GROWTH FUND OF AMERICA A	0.00	9.15	0.00	9.15	95.0	8.69
09/01/2017	SCHECK, VICTORIA	AM FUNDS GROWTH FUND OF AMERICA A	0.00	18.62	0.00	18.62	95.0	17.69
09/01/2017	SCHNEIDER, RYAN	AM FUNDS GROWTH FUND OF AMERICA A	0.00	17.30	0.00	17.30	95.0	16.44
09/01/2017	SHAW, TERRY	AM FUNDS GROWTH FUND OF AMERICA A	0.00	6.37	0.00	6.37	95.0	6.05
09/01/2017	TROGAN/BENE, CHRISTINA	AM FUNDS GROWTH FUND OF AMERICA A	0.00	76.26	0.00	76.26	95.0	72.45
09/01/2017	LOVEDAY, JUDITH	AM FUNDS GROWTH FUND OF AMERICA A	0.00	4.38	0.00	4.38	95.0	4.16
09/01/2017	MI/TOD	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.92	0.00	0.92	95.0	0.87
09/01/2017	SOBIESKI, JOYCE	AM FUNDS GROWTH FUND OF AMERICA C	0.00	43.83	0.00	43.83	95.0	41.64
09/01/2017	PRICOPIO, MARIO	AM FUNDS GROWTH FUND OF AMERICA C	0.00	13.75	0.00	13.75	95.0	13.06
09/01/2017	PETERSON, ALEXA	AM FUNDS GROWTH FUND OF AMERICA C	0.00	1.13	0.00	1.13	95.0	1.07
09/01/2017	PETERSON, TREY	AM FUNDS GROWTH FUND OF AMERICA C	0.00	1.13	0.00	1.13	95.0	1.07
09/01/2017	CYRULEWSKI, JIM	AM FUNDS GROWTH FUND OF AMERICA C	0.00	14.25	0.00	14.25	95.0	13.54
09/01/2017	BLANKENSHIP, JANET	AM FUNDS GROWTH FUND OF AMERICA C	0.00	29.50	0.00	29.50	95.0	28.03
09/01/2017	KEELER, DAVID	AM FUNDS GROWTH FUND OF AMERICA C	0.00	188.84	0.00	188.84	95.0	179.40
09/01/2017	KOSANKE, MARK	AM FUNDS GROWTH FUND OF AMERICA C	0.00	54.72	0.00	54.72	95.0	51.98
09/01/2017	KOSANKE, MARK	AM FUNDS GROWTH FUND OF AMERICA C	0.00	240.48	0.00	240.48	95.0	228.46
09/01/2017	WHITEFOOT, BEVERLY	AM FUNDS GROWTH FUND OF AMERICA C	0.00	17.44	0.00	17.44	95.0	16.57
09/01/2017	WAGNER, MATTHEW	AM FUNDS GROWTH FUND OF AMERICA C	0.00	3.56	0.00	3.56	95.0	3.38
09/01/2017	WOJDYNSKI, ROSE	AM FUNDS GROWTH FUND OF AMERICA C	0.00	21.70	0.00	21.70	95.0	20.62
09/01/2017	MCKENZIE, DONNA	AM FUNDS GROWTH FUND OF AMERICA C	0.00	90.49	0.00	90.49	95.0	85.97
09/01/2017	MCKENZIE, ROBERT	AM FUNDS GROWTH FUND OF AMERICA C	0.00	74.73	0.00	74.73	95.0	70.99
09/01/2017	GOUGEON, MEGAN	AM FUNDS GROWTH FUND OF AMERICA C	0.00	3.91	0.00	3.91	95.0	3.71
09/11/2017	SOBIESKI, JOYCE	AM FUNDS GROWTH FUND OF AMERICA C	37.50	0.38	0.00	0.38	95.0	0.36
09/01/2017	VINING, KRISTOPHER	AM FUNDS GROWTH FUND OF AMERICA F1	0.00	2.02	0.00	2.02	95.0	1.92
09/01/2017	SOBIESKI, JOYCE	AM FUNDS GROWTH FUND OF AMERICA F1	0.00	4.74	0.00	4.74	95.0	4.50
09/01/2017	BOWEN, ED	AM FUNDS HIGH INCOME TRUST 529A	0.00	0.27	0.00	0.27	95.0	0.26
09/01/2017	MARCOLA, ETHAN	AM FUNDS ICA 529A	0.00	0.95	0.00	0.95	95.0	0.90
09/01/2017	BOWEN, ED	AM FUNDS ICA 529A	0.00	0.65	0.00	0.65	95.0	0.62
09/01/2017	MIHELICH, DARLENE	AM FUNDS ICA 529A	0.00	5.17	0.00	5.17	95.0	4.91

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<b><u>BROKER TRANSACTIONS</u></b>								
<b><u>PRODUCT CATEGORY: MUTUAL FUNDS</u></b>								
09/01/2017	NICOLOSI, ROSE	AM FUNDS ICA 529A	0.00	24.14	0.00	24.14	95.0	22.93
09/01/2017	NICOLOSI, ROSE	AM FUNDS ICA 529A	0.00	24.03	0.00	24.03	95.0	22.83
09/01/2017	LONG, SARAH	AM FUNDS ICA 529A	0.00	0.79	0.00	0.79	95.0	0.75
09/01/2017	NICOLOSI, ROSE	AM FUNDS ICA 529A	0.00	24.02	0.00	24.02	95.0	22.82
09/01/2017	MCVAY, JOHN	AM FUNDS ICA A	0.00	14.68	0.00	14.68	95.0	13.95
09/01/2017	BREIDENSTEIN, CHARLES	AM FUNDS ICA A	0.00	34.26	0.00	34.26	95.0	32.55
09/01/2017	MARQUARDSEN, HOLGER	AM FUNDS ICA A	0.00	76.12	0.00	76.12	95.0	72.31
09/01/2017	MARQUARDSEN, ANNA	AM FUNDS ICA A	0.00	56.50	0.00	56.50	95.0	53.68
09/01/2017	SEMENIK, EMILY	AM FUNDS ICA A	0.00	178.35	0.00	178.35	95.0	169.43
09/01/2017	BODNAR, NANCY	AM FUNDS ICA A	0.00	12.04	0.00	12.04	95.0	11.44
09/01/2017	DROGELL, DAVID	AM FUNDS ICA A	0.00	15.20	0.00	15.20	95.0	14.44
09/01/2017	BORKHOLDER, STEVEN	AM FUNDS ICA A	0.00	16.50	0.00	16.50	95.0	15.68
09/01/2017	MORELLI, MARY	AM FUNDS ICA A	0.00	62.28	0.00	62.28	95.0	59.17
09/01/2017	HOFFMAN, BARBARA	AM FUNDS ICA A	0.00	44.86	0.00	44.86	95.0	42.62
09/01/2017	YOUNG, SUSAN	AM FUNDS ICA A	0.00	0.60	0.00	0.60	95.0	0.57
09/01/2017	SPEICHER, JANET	AM FUNDS ICA A	0.00	11.60	0.00	11.60	95.0	11.02
09/01/2017	MILLER, JANE	AM FUNDS ICA A	0.00	0.57	0.00	0.57	95.0	0.54
09/01/2017	JENERETTE, ANGULNETTE	AM FUNDS ICA A	0.00	1.49	0.00	1.49	95.0	1.42
09/01/2017	CLOTHIER /SAR-SEP, JAMES	AM FUNDS ICA A	0.00	0.29	0.00	0.29	95.0	0.28
09/01/2017	BAKEWELL, RALPH	AM FUNDS ICA A	0.00	65.62	0.00	65.62	95.0	62.34
09/01/2017	HOLLAND, JENNIFER	AM FUNDS ICA A	0.00	2.34	0.00	2.34	95.0	2.22
09/01/2017	HIMELHOCH, SETH	AM FUNDS ICA A	0.00	1.35	0.00	1.35	95.0	1.28
09/01/2017	GRENADIER, KAREN	AM FUNDS ICA A	0.00	30.37	0.00	30.37	95.0	28.85
09/01/2017	REETZ, TIMOTHY	AM FUNDS ICA A	0.00	0.47	0.00	0.47	95.0	0.45
09/01/2017	GINGELL, PAUL	AM FUNDS ICA A	0.00	38.58	0.00	38.58	95.0	36.65
09/01/2017	CAVANAUGH, CAROL	AM FUNDS ICA A	0.00	3.61	0.00	3.61	95.0	3.43
09/01/2017	MIHELICH, JOHN	AM FUNDS ICA A	0.00	7.97	0.00	7.97	95.0	7.57
09/01/2017	NOONAN, PATRICIA	AM FUNDS ICA A	0.00	3.80	0.00	3.80	95.0	3.61
09/01/2017	FINK, MARGARET	AM FUNDS ICA A	0.00	109.17	0.00	109.17	95.0	103.71
09/01/2017	RAMOS/DEC'D, RENEE	AM FUNDS ICA A	0.00	3.70	0.00	3.70	95.0	3.52
09/01/2017	SIEDLAK, PATRICIA	AM FUNDS ICA A	0.00	14.08	0.00	14.08	95.0	13.38
09/01/2017	KRAUSE, MICHAEL	AM FUNDS ICA A	0.00	10.78	0.00	10.78	95.0	10.24
09/01/2017	KRAUSE, MICHAEL	AM FUNDS ICA A	0.00	5.76	0.00	5.76	95.0	5.47

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<b><u>BROKER TRANSACTIONS</u></b>								
<b><u>PRODUCT CATEGORY: MUTUAL FUNDS</u></b>								
09/01/2017	SIEDLAK JT TEN, TERRY	AM FUNDS ICA A	0.00	13.65	0.00	13.65	95.0	12.97
09/01/2017	ALVEY, SHERRIE	AM FUNDS ICA A	0.00	1.26	0.00	1.26	95.0	1.20
09/01/2017	KING, PETER	AM FUNDS ICA A	0.00	4.77	0.00	4.77	95.0	4.53
09/01/2017	KING, CRYSTAL	AM FUNDS ICA A	0.00	4.66	0.00	4.66	95.0	4.43
09/01/2017	GEORGES, ELIZABETH	AM FUNDS ICA A	0.00	21.33	0.00	21.33	95.0	20.26
09/01/2017	PAVLINA, MICHAEL	AM FUNDS ICA A	0.00	0.10	0.00	0.10	95.0	0.10
09/01/2017	ABEL, JEFFREY	AM FUNDS ICA A	0.00	0.39	0.00	0.39	95.0	0.37
09/01/2017	DROGELL, LINDA	AM FUNDS ICA A	0.00	11.76	0.00	11.76	95.0	11.17
09/01/2017	GREENE, DAVID	AM FUNDS ICA A	0.00	22.65	0.00	22.65	95.0	21.52
09/01/2017	PASEK, CHRISTINE	AM FUNDS ICA A	0.00	4.19	0.00	4.19	95.0	3.98
09/01/2017	PASEK, KEVIN	AM FUNDS ICA A	0.00	4.19	0.00	4.19	95.0	3.98
09/01/2017	BACHTELL, JAMES	AM FUNDS ICA A	0.00	26.18	0.00	26.18	95.0	24.87
09/01/2017	MIHELICH, DARLENE	AM FUNDS ICA A	0.00	20.63	0.00	20.63	95.0	19.60
09/01/2017	DZIATCZAK, LISA	AM FUNDS ICA A	0.00	2.72	0.00	2.72	95.0	2.58
09/01/2017	KRAUSE, MICHAEL	AM FUNDS ICA A	0.00	2.17	0.00	2.17	95.0	2.06
09/01/2017	KOLESNIKOW, AMY	AM FUNDS ICA A	0.00	22.65	0.00	22.65	95.0	21.52
09/01/2017	CAVANAUGH, CAROL	AM FUNDS ICA A	0.00	2.18	0.00	2.18	95.0	2.07
09/01/2017	NIEKEMP, KATHY	AM FUNDS ICA A	0.00	2.13	0.00	2.13	95.0	2.02
09/01/2017	DUNCAN, LEANNE	AM FUNDS ICA A	0.00	5.92	0.00	5.92	95.0	5.62
09/01/2017	NIEHAUS, MARK	AM FUNDS ICA A	0.00	7.35	0.00	7.35	95.0	6.98
09/01/2017	GERSPACHER, BRIANA	AM FUNDS ICA A	0.00	1.84	0.00	1.84	95.0	1.75
09/01/2017	KNOTT, PAUL	AM FUNDS ICA A	0.00	11.89	0.00	11.89	95.0	11.30
09/01/2017	LONGACRE, BRENDEN	AM FUNDS ICA A	0.00	0.81	0.00	0.81	95.0	0.77
09/01/2017	BALAEV, ALEXANDER	AM FUNDS ICA A	0.00	0.42	0.00	0.42	95.0	0.40
09/01/2017	MARKOVITZ, EDWARD	AM FUNDS ICA A	0.00	0.93	0.00	0.93	95.0	0.88
09/01/2017	SZOCINSKI, CASIMER	AM FUNDS ICA A	0.00	8.14	0.00	8.14	95.0	7.73
09/01/2017	LEWIS, MARK	AM FUNDS ICA A	0.00	3.17	0.00	3.17	95.0	3.01
09/01/2017	LAREAU, ALEXANDER	AM FUNDS ICA A	0.00	0.89	0.00	0.89	95.0	0.85
09/01/2017	JOHNSON, ALBERT	AM FUNDS ICA A	0.00	0.85	0.00	0.85	95.0	0.81
09/01/2017	HAVLIK, BRIAN	AM FUNDS ICA A	0.00	0.05	0.00	0.05	95.0	0.05
09/01/2017	VOLAKAKIS, VEGA	AM FUNDS ICA A	0.00	8.77	0.00	8.77	95.0	8.33
09/01/2017	BAILEY, STEVEN	AM FUNDS ICA A	0.00	3.02	0.00	3.02	95.0	2.87
09/01/2017	CAVANAUGH, COLLIN	AM FUNDS ICA A	0.00	1.69	0.00	1.69	95.0	1.61

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<b><u>BROKER TRANSACTIONS</u></b>								
<b><u>PRODUCT CATEGORY: MUTUAL FUNDS</u></b>								
09/01/2017	BUTLER, KATHLEEN	AM FUNDS ICA A	0.00	4.03	0.00	4.03	95.0	3.83
09/01/2017	BURTZLAFF, MATTHEW	AM FUNDS ICA A	0.00	75.85	0.00	75.85	95.0	72.06
09/01/2017	MCLAUGHLIN, TRACY	AM FUNDS ICA A	0.00	12.74	0.00	12.74	95.0	12.10
09/01/2017	KRAUSE, EVELYN	AM FUNDS ICA A	0.00	102.40	0.00	102.40	95.0	97.28
09/01/2017	KUCHAREK, PAUL	AM FUNDS ICA A	0.00	9.44	0.00	9.44	95.0	8.97
09/01/2017	STRAYVE, MICHAEL	AM FUNDS ICA A	0.00	0.35	0.00	0.35	95.0	0.33
09/01/2017	VOLAKAKIS, LOGAN	AM FUNDS ICA A	0.00	7.39	0.00	7.39	95.0	7.02
09/01/2017	SULLIVAN, ZACHARY	AM FUNDS ICA A	0.00	2.24	0.00	2.24	95.0	2.13
09/01/2017	KNOTT, MARY	AM FUNDS ICA A	0.00	0.81	0.00	0.81	95.0	0.77
09/01/2017	GORSEK, JOHN	AM FUNDS ICA A	0.00	9.53	0.00	9.53	95.0	9.05
09/01/2017	IMBRIGOTTA, MICHAEL	AM FUNDS ICA A	0.00	33.55	0.00	33.55	95.0	31.87
09/01/2017	KENDZIERSKI, JENNIE	AM FUNDS ICA A	0.00	1.68	0.00	1.68	95.0	1.60
09/01/2017	MCGEE, MICHAEL	AM FUNDS ICA A	0.00	0.94	0.00	0.94	95.0	0.89
09/01/2017	FULTON, JOHN	AM FUNDS ICA A	0.00	11.10	0.00	11.10	95.0	10.55
09/01/2017	HEGEL, SUSAN	AM FUNDS ICA A	0.00	6.08	0.00	6.08	95.0	5.78
09/01/2017	JAMES, RODNEY	AM FUNDS ICA A	0.00	0.04	0.00	0.04	95.0	0.04
09/01/2017	OLSON, ERIC	AM FUNDS ICA A	0.00	3.72	0.00	3.72	95.0	3.53
09/01/2017	DEFRANCESCO, STEVEN	AM FUNDS ICA A	0.00	0.64	0.00	0.64	95.0	0.61
09/01/2017	NICOLOSI TRUST, ROSE	AM FUNDS ICA A	0.00	276.17	0.00	276.17	95.0	262.36
09/01/2017	MUSAL, NANCY	AM FUNDS ICA A	0.00	3.33	0.00	3.33	95.0	3.16
09/01/2017	BABIN, WILLIAM	AM FUNDS ICA A	0.00	7.41	0.00	7.41	95.0	7.04
09/01/2017	FINK, MARGARET	AM FUNDS ICA A	0.00	123.73	0.00	123.73	95.0	117.54
09/01/2017	STAMPER, JANET	AM FUNDS ICA A	0.00	74.29	0.00	74.29	95.0	70.58
09/01/2017	CARSON, JESSICA	AM FUNDS ICA A	0.00	0.55	0.00	0.55	95.0	0.52
09/01/2017	RIGGERT, ANDREW	AM FUNDS ICA A	0.00	4.86	0.00	4.86	95.0	4.62
09/01/2017	TSANGANOS, LEONIDAS	AM FUNDS ICA A	0.00	20.82	0.00	20.82	95.0	19.78
09/01/2017	PERSIC, ERNST	AM FUNDS ICA A	0.00	7.89	0.00	7.89	95.0	7.50
09/01/2017	KOSANKE, MARK	AM FUNDS ICA A	0.00	6.31	0.00	6.31	95.0	5.99
09/01/2017	BULLOCK, RAYMOND	AM FUNDS ICA A	0.00	173.07	0.00	173.07	95.0	164.42
09/01/2017	SIEDLAK, LESLIE	AM FUNDS ICA A	0.00	11.20	0.00	11.20	95.0	10.64
09/01/2017	WONCH, ELIZABETH	AM FUNDS ICA A	0.00	1.18	0.00	1.18	95.0	1.12
09/01/2017	LINDEN, MARGARET	AM FUNDS ICA A	0.00	5.50	0.00	5.50	95.0	5.23
09/01/2017	BURTZLAFF, MATTHEW	AM FUNDS ICA A	0.00	5.98	0.00	5.98	95.0	5.68

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<b><u>BROKER TRANSACTIONS</u></b>								
<b><u>PRODUCT CATEGORY: MUTUAL FUNDS</u></b>								
09/01/2017	KALINOWSKI, BARBARA	AM FUNDS ICA A	0.00	3.00	0.00	3.00	95.0	2.85
09/01/2017	GIVENS, DEBRA	AM FUNDS ICA A	0.00	4.40	0.00	4.40	95.0	4.18
09/01/2017	BAXTER, COLE	AM FUNDS ICA A	0.00	6.30	0.00	6.30	95.0	5.99
09/01/2017	WAUGH, ERIN	AM FUNDS ICA A	0.00	0.95	0.00	0.95	95.0	0.90
09/01/2017	MACK JR, SAMUEL	AM FUNDS ICA A	0.00	1.51	0.00	1.51	95.0	1.43
09/01/2017	ANDERSON, AMY	AM FUNDS ICA A	0.00	1.23	0.00	1.23	95.0	1.17
09/01/2017	KEBA, STEPHEN	AM FUNDS ICA A	0.00	2.34	0.00	2.34	95.0	2.22
09/01/2017	WEST TRUST, NORA	AM FUNDS ICA A	0.00	8.46	0.00	8.46	95.0	8.04
09/01/2017	KRAUSE, BARBARA	AM FUNDS ICA A	0.00	475.52	0.00	475.52	95.0	451.74
09/01/2017	LOVEDAY, JUDITH	AM FUNDS ICA A	0.00	4.31	0.00	4.31	95.0	4.09
09/15/2017	WONCH, ELIZABETH	AM FUNDS ICA A	200.00	10.00	0.00	10.00	95.0	9.50
09/01/2017	CHERRY, JACOB	AM FUNDS ICA C	0.00	2.03	0.00	2.03	95.0	1.93
09/01/2017	PRICOPIO, VANESSA	AM FUNDS ICA C	0.00	5.59	0.00	5.59	95.0	5.31
09/01/2017	KAWALA, CHRISTINA	AM FUNDS ICA C	0.00	3.72	0.00	3.72	95.0	3.53
09/01/2017	NACHAZEL, MARY	AM FUNDS ICA C	0.00	47.21	0.00	47.21	95.0	44.85
09/01/2017	MAYNARD, JULIE	AM FUNDS ICA C	0.00	11.57	0.00	11.57	95.0	10.99
09/01/2017	JORDAN, TRAVIS	AM FUNDS ICA F1	0.00	3.55	0.00	3.55	95.0	3.37
09/01/2017	CHERRY, JACOB	AM FUNDS ICA F1	0.00	0.33	0.00	0.33	95.0	0.31
09/01/2017	LONGACRE, BROOKLYNN	AM FUNDS ICA F1	0.00	0.93	0.00	0.93	95.0	0.88
09/01/2017	YAGIELA, CODY	AM FUNDS ICA F1	0.00	1.47	0.00	1.47	95.0	1.40
09/01/2017	LONGACRE, JAXON	AM FUNDS ICA F1	0.00	1.05	0.00	1.05	95.0	1.00
09/01/2017	YAGIELA, LOGAN	AM FUNDS ICA F1	0.00	1.43	0.00	1.43	95.0	1.36
09/01/2017	BODNAR, NANCY	AM FUNDS INCOME FUND OF AMERICA A	0.00	6.14	0.00	6.14	95.0	5.83
09/01/2017	MORELLI, MARY	AM FUNDS INCOME FUND OF AMERICA A	0.00	55.92	0.00	55.92	95.0	53.12
09/01/2017	WELCH, TIMOTHY	AM FUNDS INCOME FUND OF AMERICA A	0.00	4.85	0.00	4.85	95.0	4.61
09/01/2017	ARCE, MICHAEL	AM FUNDS INCOME FUND OF AMERICA A	0.00	52.95	0.00	52.95	95.0	50.30
09/01/2017	ZOGRAFOS TRUST, REGINA	AM FUNDS INCOME FUND OF AMERICA A	0.00	13.18	0.00	13.18	95.0	12.52
09/01/2017	BALAEV, ALEXANDER	AM FUNDS INCOME FUND OF AMERICA A	0.00	0.86	0.00	0.86	95.0	0.82
09/01/2017	ESSE, DAVID	AM FUNDS INCOME FUND OF AMERICA A	0.00	1.88	0.00	1.88	95.0	1.79
09/01/2017	ESSE, ANGELINE	AM FUNDS INCOME FUND OF AMERICA A	0.00	1.88	0.00	1.88	95.0	1.79
09/01/2017	ZERVAS, HELEN	AM FUNDS INCOME FUND OF AMERICA A	0.00	18.54	0.00	18.54	95.0	17.61
09/01/2017	NICOLOSI, ROSE	AM FUNDS INCOME FUND OF AMERICA A	0.00	7.46	0.00	7.46	95.0	7.09
09/01/2017	BENNETT, JEFFERY	AM FUNDS INCOME FUND OF AMERICA A	0.00	0.09	0.00	0.09	95.0	0.09

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<b><u>BROKER TRANSACTIONS</u></b>								
<b><u>PRODUCT CATEGORY: MUTUAL FUNDS</u></b>								
09/01/2017	MANKO, MARGARET	AM FUNDS INCOME FUND OF AMERICA A	0.00	4.14	0.00	4.14	95.0	3.93
09/01/2017	DEFRANCESCO, STEVEN	AM FUNDS INCOME FUND OF AMERICA A	0.00	1.27	0.00	1.27	95.0	1.21
09/01/2017	MUSAL, NANCY	AM FUNDS INCOME FUND OF AMERICA A	0.00	3.08	0.00	3.08	95.0	2.93
09/01/2017	SMITH, MARTHA	AM FUNDS INCOME FUND OF AMERICA A	0.00	76.43	0.00	76.43	95.0	72.61
09/01/2017	OLSON, MELINDA	AM FUNDS INCOME FUND OF AMERICA A	0.00	5.43	0.00	5.43	95.0	5.16
09/01/2017	JONES, NEVA	AM FUNDS INCOME FUND OF AMERICA A	0.00	19.28	0.00	19.28	95.0	18.32
09/01/2017	SCHECK, VICTORIA	AM FUNDS INCOME FUND OF AMERICA A	0.00	17.61	0.00	17.61	95.0	16.73
09/01/2017	KEBA, STEPHEN	AM FUNDS INCOME FUND OF AMERICA A	0.00	15.35	0.00	15.35	95.0	14.58
09/01/2017	KOSANKE, MARK	AM FUNDS INCOME FUND OF AMERICA C	0.00	94.09	0.00	94.09	95.0	89.39
09/01/2017	WHITEFOOT, BEVERLY	AM FUNDS INCOME FUND OF AMERICA C	0.00	18.24	0.00	18.24	95.0	17.33
09/01/2017	MAGGARD, LORETTA	AM FUNDS INCOME FUND OF AMERICA C	0.00	79.30	0.00	79.30	95.0	75.34
09/01/2017	MAYNARD, JULIE	AM FUNDS INCOME FUND OF AMERICA C	0.00	9.68	0.00	9.68	95.0	9.20
09/01/2017	NACHAZEL, THOMAS	AM FUNDS INCOME FUND OF AMERICA C	0.00	58.85	0.00	58.85	95.0	55.91
09/01/2017	HAYES, DORIS	AM FUNDS INCOME FUND OF AMERICA F-1	0.00	7.20	0.00	7.20	95.0	6.84
09/01/2017	VARTABEDIAN, LISA	AM FUNDS INCOME FUND OF AMERICA-529	0.00	2.97	0.00	2.97	95.0	2.82
09/01/2017	VARTABEDIAN, LISA	AM FUNDS INCOME FUND OF AMERICA-529	0.00	3.24	0.00	3.24	95.0	3.08
09/01/2017	GALINETTI, JULIA	AM FUNDS INCOME FUND OF AMERICA-529	0.00	0.04	0.00	0.04	95.0	0.04
09/01/2017	ADAMS, JACKSON	AM FUNDS INCOME FUND OF AMERICA-529	0.00	2.52	0.00	2.52	95.0	2.39
09/01/2017	MATAR, ROBERTG	AM FUNDS INTERMEDIATE BOND FUND OF	0.00	4.16	0.00	4.16	95.0	3.95
09/01/2017	DUNN, CATHERINE	AM FUNDS INTERMEDIATE BOND FUND OF	0.00	17.25	0.00	17.25	95.0	16.39
09/01/2017	MARCOLA, ETHAN	AM FUNDS INTERMEDIATE BOND FUND OF	0.00	0.47	0.00	0.47	95.0	0.45
09/01/2017	HIGGINS, JAMES	AM FUNDS INTERMEDIATE BOND FUND OF	0.00	6.79	0.00	6.79	95.0	6.45
09/01/2017	NICKOLOPOULOS, HAILEY	AM FUNDS INTERMEDIATE BOND FUND OF	0.00	0.21	0.00	0.21	95.0	0.20
09/01/2017	SMITH, H DENNIS	AM FUNDS INTL GROWTH AND INCOME A	0.00	2.59	0.00	2.59	95.0	2.46
09/01/2017	RILEY, ROBERT	AM FUNDS INTL GROWTH AND INCOME A	0.00	3.94	0.00	3.94	95.0	3.74
09/01/2017	LIONAS, MARIKA	AM FUNDS INTL GROWTH AND INCOME A	0.00	2.39	0.00	2.39	95.0	2.27
09/01/2017	GARDNER, THERESA	AM FUNDS MORTGAGE A	0.00	0.87	0.00	0.87	95.0	0.83
09/01/2017	MICHON, ERIK	AM FUNDS NEW ECONOMY 529A	0.00	1.17	0.00	1.17	95.0	1.11
09/01/2017	RICHARDS, COLE	AM FUNDS NEW ECONOMY 529A	0.00	0.61	0.00	0.61	95.0	0.58
09/01/2017	FOLLETT, JACOB	AM FUNDS NEW ECONOMY 529A	0.00	1.15	0.00	1.15	95.0	1.09
09/01/2017	FOLLETT, JACOB	AM FUNDS NEW ECONOMY 529A	0.00	1.44	0.00	1.44	95.0	1.37
09/01/2017	LINDERMAN, JEAN	AM FUNDS NEW ECONOMY A	0.00	1.93	0.00	1.93	95.0	1.83
09/01/2017	HOFFMAN, BARBARA	AM FUNDS NEW ECONOMY A	0.00	33.00	0.00	33.00	95.0	31.35

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<b><u>BROKER TRANSACTIONS</u></b>								
<b><u>PRODUCT CATEGORY: MUTUAL FUNDS</u></b>								
09/01/2017	ERMAN, NOLAKAY	AM FUNDS NEW ECONOMY A	0.00	47.31	0.00	47.31	95.0	44.94
09/01/2017	PHILLIPS, RANDALL	AM FUNDS NEW ECONOMY A	0.00	13.46	0.00	13.46	95.0	12.79
09/01/2017	SABOOL, NICHOLAS	AM FUNDS NEW ECONOMY A	0.00	11.34	0.00	11.34	95.0	10.77
09/01/2017	MIELKE, DAVID	AM FUNDS NEW ECONOMY A	0.00	37.30	0.00	37.30	95.0	35.44
09/01/2017	SAMMONS, DAVID	AM FUNDS NEW ECONOMY A	0.00	0.17	0.00	0.17	95.0	0.16
09/01/2017	GERSPACHER, BRIANA	AM FUNDS NEW ECONOMY A	0.00	8.03	0.00	8.03	95.0	7.63
09/01/2017	CHAMPION, STEPHANIE	AM FUNDS NEW ECONOMY A	0.00	6.04	0.00	6.04	95.0	5.74
09/01/2017	JONES, GERALD	AM FUNDS NEW ECONOMY A	0.00	1.18	0.00	1.18	95.0	1.12
09/01/2017	SHALDA, ROSE	AM FUNDS NEW ECONOMY A	0.00	14.45	0.00	14.45	95.0	13.73
09/01/2017	KENDZIERSKI, JENNIE	AM FUNDS NEW ECONOMY A	0.00	1.60	0.00	1.60	95.0	1.52
09/01/2017	DELISLE, JAMES	AM FUNDS NEW ECONOMY A	0.00	0.73	0.00	0.73	95.0	0.69
09/01/2017	SIMMONDS, JOSHUA	AM FUNDS NEW ECONOMY A	0.00	3.07	0.00	3.07	95.0	2.92
09/01/2017	NATHAN, SANDRA	AM FUNDS NEW ECONOMY A	0.00	1.74	0.00	1.74	95.0	1.65
09/01/2017	SCHMITT, KEITH	AM FUNDS NEW ECONOMY A	0.00	5.33	0.00	5.33	95.0	5.06
09/01/2017	SCHNEIDER, RYAN	AM FUNDS NEW ECONOMY A	0.00	15.89	0.00	15.89	95.0	15.10
09/01/2017	PRICOPIO, MARIO	AM FUNDS NEW ECONOMY C	0.00	18.32	0.00	18.32	95.0	17.40
09/01/2017	MERREN, MICHAEL	AM FUNDS NEW ECONOMY C	0.00	36.59	0.00	36.59	95.0	34.76
09/01/2017	RUF, ANDREW	AM FUNDS NEW PERSPECTIVE 529A	0.00	5.22	0.00	5.22	95.0	4.96
09/01/2017	BARNETT, RICHARD	AM FUNDS NEW PERSPECTIVE 529A	0.00	0.23	0.00	0.23	95.0	0.22
09/01/2017	BARNETT, RICHARD	AM FUNDS NEW PERSPECTIVE 529A	0.00	0.21	0.00	0.21	95.0	0.20
09/01/2017	BARNETT, RICHARD	AM FUNDS NEW PERSPECTIVE 529A	0.00	0.92	0.00	0.92	95.0	0.87
09/01/2017	BOWEN, ED	AM FUNDS NEW PERSPECTIVE 529A	0.00	1.39	0.00	1.39	95.0	1.32
09/01/2017	ADAMS, JACKSON	AM FUNDS NEW PERSPECTIVE 529A	0.00	0.38	0.00	0.38	95.0	0.36
09/01/2017	HOFFMAN, BARBARA	AM FUNDS NEW PERSPECTIVE A	0.00	12.99	0.00	12.99	95.0	12.34
09/01/2017	HOLT, DEBBIE	AM FUNDS NEW PERSPECTIVE A	0.00	33.73	0.00	33.73	95.0	32.04
09/01/2017	FARKASH /SEP, NICHOLAS	AM FUNDS NEW PERSPECTIVE A	0.00	6.46	0.00	6.46	95.0	6.14
09/01/2017	GINGELL, PAUL	AM FUNDS NEW PERSPECTIVE A	0.00	21.29	0.00	21.29	95.0	20.23
09/01/2017	HAWK, CYNTHIA	AM FUNDS NEW PERSPECTIVE A	0.00	0.27	0.00	0.27	95.0	0.26
09/01/2017	HAWK, CYNTHIA	AM FUNDS NEW PERSPECTIVE A	0.00	2.45	0.00	2.45	95.0	2.33
09/01/2017	SILVERSTEIN, MICHAEL	AM FUNDS NEW PERSPECTIVE A	0.00	8.24	0.00	8.24	95.0	7.83
09/01/2017	MAKI-DRAGER, CHRISTINE	AM FUNDS NEW PERSPECTIVE A	0.00	4.28	0.00	4.28	95.0	4.07
09/01/2017	MIELKE, DAVID	AM FUNDS NEW PERSPECTIVE A	0.00	34.49	0.00	34.49	95.0	32.77
09/01/2017	BOZELKA, KEVIN	AM FUNDS NEW PERSPECTIVE A	0.00	2.17	0.00	2.17	95.0	2.06

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<b><u>BROKER TRANSACTIONS</u></b>								
<b><u>PRODUCT CATEGORY: MUTUAL FUNDS</u></b>								
09/01/2017	MACKENZIE-TAYLOR, DEBORAH	AM FUNDS NEW PERSPECTIVE A	0.00	1.91	0.00	1.91	95.0	1.81
09/01/2017	TAYLOR, ALLAN	AM FUNDS NEW PERSPECTIVE A	0.00	1.91	0.00	1.91	95.0	1.81
09/01/2017	KRUSAC, CHRISTINA	AM FUNDS NEW PERSPECTIVE A	0.00	3.49	0.00	3.49	95.0	3.32
09/01/2017	VARTABEDIAN, LISA	AM FUNDS NEW PERSPECTIVE A	0.00	45.67	0.00	45.67	95.0	43.39
09/01/2017	SHALDA, ROSE	AM FUNDS NEW PERSPECTIVE A	0.00	17.17	0.00	17.17	95.0	16.31
09/01/2017	VANDERMEER, BRYON	AM FUNDS NEW PERSPECTIVE A	0.00	16.96	0.00	16.96	95.0	16.11
09/01/2017	STRUNCK, TED	AM FUNDS NEW PERSPECTIVE A	0.00	30.28	0.00	30.28	95.0	28.77
09/01/2017	BAILEY, STEVEN	AM FUNDS NEW PERSPECTIVE A	0.00	0.23	0.00	0.23	95.0	0.22
09/01/2017	BENNETT, JEFFERY	AM FUNDS NEW PERSPECTIVE A	0.00	0.09	0.00	0.09	95.0	0.09
09/01/2017	GRECH, ANDREW	AM FUNDS NEW PERSPECTIVE A	0.00	16.58	0.00	16.58	95.0	15.75
09/01/2017	FULTON, JOHN	AM FUNDS NEW PERSPECTIVE A	0.00	6.04	0.00	6.04	95.0	5.74
09/01/2017	RYAN, JOHN	AM FUNDS NEW PERSPECTIVE A	0.00	2.64	0.00	2.64	95.0	2.51
09/01/2017	CISSELL, JOHN	AM FUNDS NEW PERSPECTIVE A	0.00	38.15	0.00	38.15	95.0	36.24
09/01/2017	CISSELL, PATRICIA	AM FUNDS NEW PERSPECTIVE A	0.00	38.15	0.00	38.15	95.0	36.24
09/01/2017	JAMES, RODNEY	AM FUNDS NEW PERSPECTIVE A	0.00	0.19	0.00	0.19	95.0	0.18
09/01/2017	OLSON, ERIC	AM FUNDS NEW PERSPECTIVE A	0.00	3.97	0.00	3.97	95.0	3.77
09/01/2017	SIMMONDS, JOSHUA	AM FUNDS NEW PERSPECTIVE A	0.00	3.27	0.00	3.27	95.0	3.11
09/01/2017	RACHEL, JOHN	AM FUNDS NEW PERSPECTIVE A	0.00	1.50	0.00	1.50	95.0	1.43
09/01/2017	MUSAL, NANCY	AM FUNDS NEW PERSPECTIVE A	0.00	3.53	0.00	3.53	95.0	3.35
09/01/2017	HABERMAN, IAN	AM FUNDS NEW PERSPECTIVE A	0.00	22.59	0.00	22.59	95.0	21.46
09/01/2017	DELISLE/AUTH PER, JAMES	AM FUNDS NEW PERSPECTIVE A	0.00	1.16	0.00	1.16	95.0	1.10
09/01/2017	SCHUBA, LAWRENCE	AM FUNDS NEW PERSPECTIVE A	0.00	1.57	0.00	1.57	95.0	1.49
09/01/2017	DOOTSAS, FREIDA	AM FUNDS NEW PERSPECTIVE A	0.00	32.13	0.00	32.13	95.0	30.52
09/11/2017	HAWK, CYNTHIA	AM FUNDS NEW PERSPECTIVE A	100.00	5.00	0.00	5.00	95.0	4.75
09/01/2017	HINDS, RUSSELL	AM FUNDS NEW PERSPECTIVE C	0.00	4.31	0.00	4.31	95.0	4.09
09/01/2017	VINING, KRISTOPHER	AM FUNDS NEW PERSPECTIVE F-1	0.00	0.53	0.00	0.53	95.0	0.50
09/01/2017	FROMM, MARY	AM FUNDS NEW WORLD 529A	0.00	1.52	0.00	1.52	95.0	1.44
09/01/2017	FROMM, MARY	AM FUNDS NEW WORLD 529A	0.00	1.44	0.00	1.44	95.0	1.37
09/01/2017	VARTABEDIAN, LISA	AM FUNDS NEW WORLD 529A	0.00	4.24	0.00	4.24	95.0	4.03
09/01/2017	VARTABEDIAN, LISA	AM FUNDS NEW WORLD 529A	0.00	8.88	0.00	8.88	95.0	8.44
09/01/2017	NICOLOSI, ROSE	AM FUNDS NEW WORLD 529A	0.00	19.45	0.00	19.45	95.0	18.48
09/01/2017	NICOLOSI, ROSE	AM FUNDS NEW WORLD 529A	0.00	19.22	0.00	19.22	95.0	18.26
09/01/2017	RICHARDS, COLE	AM FUNDS NEW WORLD 529A	0.00	0.47	0.00	0.47	95.0	0.45

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<b><u>BROKER TRANSACTIONS</u></b>								
<b><u>PRODUCT CATEGORY: MUTUAL FUNDS</u></b>								
09/01/2017	KOUZA, SOPHIA	AM FUNDS NEW WORLD 529A	0.00	10.30	0.00	10.30	95.0	9.79
09/01/2017	FROMM, MARY	AM FUNDS NEW WORLD 529A	0.00	0.67	0.00	0.67	95.0	0.64
09/01/2017	KOUZA, SOPHIA	AM FUNDS NEW WORLD 529A	0.00	9.47	0.00	9.47	95.0	9.00
09/01/2017	BOLOGNA, ADAM	AM FUNDS NEW WORLD 529A	0.00	0.72	0.00	0.72	95.0	0.68
09/01/2017	LONG, SARAH	AM FUNDS NEW WORLD 529A	0.00	0.45	0.00	0.45	95.0	0.43
09/01/2017	NICOLOSI, ROSE	AM FUNDS NEW WORLD 529A	0.00	19.22	0.00	19.22	95.0	18.26
09/01/2017	VARTABEDIAN, LISA	AM FUNDS NEW WORLD 529C	0.00	70.42	0.00	70.42	95.0	66.90
09/01/2017	VARTABEDIAN, LISA	AM FUNDS NEW WORLD 529C	0.00	75.69	0.00	75.69	95.0	71.91
09/01/2017	FROMM, MARY	AM FUNDS NEW WORLD 529C	0.00	1.23	0.00	1.23	95.0	1.17
09/01/2017	BAKER, BEVERLY	AM FUNDS NEW WORLD A	0.00	0.30	0.00	0.30	95.0	0.29
09/01/2017	MERKLE, PAUL	AM FUNDS NEW WORLD A	0.00	9.16	0.00	9.16	95.0	8.70
09/01/2017	WALKER TRUST, SUE	AM FUNDS NEW WORLD A	0.00	6.28	0.00	6.28	95.0	5.97
09/01/2017	HAVLIK, BRIAN	AM FUNDS NEW WORLD A	0.00	0.11	0.00	0.11	95.0	0.10
09/01/2017	BUSTER, RICKY	AM FUNDS NEW WORLD A	0.00	5.79	0.00	5.79	95.0	5.50
09/01/2017	IMUS, ARLEEN	AM FUNDS NEW WORLD A	0.00	9.88	0.00	9.88	95.0	9.39
09/01/2017	KINGSBURY, RONALD	AM FUNDS NEW WORLD A	0.00	0.75	0.00	0.75	95.0	0.71
09/01/2017	NEEDHAM, DOUG	AM FUNDS NEW WORLD A	0.00	0.17	0.00	0.17	95.0	0.16
09/01/2017	PARDEE, CRAIG	AM FUNDS NEW WORLD A	0.00	9.19	0.00	9.19	95.0	8.73
09/01/2017	OLSON, ERIC	AM FUNDS NEW WORLD A	0.00	3.23	0.00	3.23	95.0	3.07
09/01/2017	SIMMONDS, ASHLEIGH	AM FUNDS NEW WORLD A	0.00	1.56	0.00	1.56	95.0	1.48
09/01/2017	SIMMONDS, JOSHUA	AM FUNDS NEW WORLD A	0.00	3.72	0.00	3.72	95.0	3.53
09/01/2017	TSANGANOS, OURANIA	AM FUNDS NEW WORLD A	0.00	4.22	0.00	4.22	95.0	4.01
09/01/2017	TSANGANOS, NICHOLAOS	AM FUNDS NEW WORLD A	0.00	5.45	0.00	5.45	95.0	5.18
09/01/2017	TSANGANOS, CHRISTOPHER	AM FUNDS NEW WORLD A	0.00	5.04	0.00	5.04	95.0	4.79
09/01/2017	KARGULA, CURT	AM FUNDS NEW WORLD A	0.00	1.96	0.00	1.96	95.0	1.86
09/01/2017	TSANGANOS, OURANIA	AM FUNDS NEW WORLD A	0.00	3.69	0.00	3.69	95.0	3.51
09/01/2017	TSANGANOS, NICHOLAOS	AM FUNDS NEW WORLD A	0.00	3.69	0.00	3.69	95.0	3.51
09/01/2017	TSANGANOS, LABRENE	AM FUNDS NEW WORLD A	0.00	10.34	0.00	10.34	95.0	9.82
09/01/2017	TSANGANOS, LABRENE	AM FUNDS NEW WORLD A	0.00	5.94	0.00	5.94	95.0	5.64
09/01/2017	MUSAL, NANCY	AM FUNDS NEW WORLD A	0.00	2.66	0.00	2.66	95.0	2.53
09/01/2017	PLUMB, KYLE	AM FUNDS NEW WORLD A	0.00	0.38	0.00	0.38	95.0	0.36
09/01/2017	TSOUKALAS, IOANNIS	AM FUNDS NEW WORLD A	0.00	0.41	0.00	0.41	95.0	0.39
09/01/2017	CHALKEY, MICHAEL	AM FUNDS NEW WORLD A	0.00	20.96	0.00	20.96	95.0	19.91

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<b><u>BROKER TRANSACTIONS</u></b>								
<b><u>PRODUCT CATEGORY: MUTUAL FUNDS</u></b>								
09/01/2017	BUTT, DENNIS	AM FUNDS NEW WORLD A	0.00	0.06	0.00	0.06	95.0	0.06
09/01/2017	SHEPHERD, JOE	AM FUNDS NEW WORLD A	0.00	0.01	0.00	0.01	95.0	0.01
09/01/2017	CARSON, JESSICA	AM FUNDS NEW WORLD A	0.00	0.63	0.00	0.63	95.0	0.60
09/01/2017	MARTIN, ELENA MARIE	AM FUNDS NEW WORLD A	0.00	0.39	0.00	0.39	95.0	0.37
09/01/2017	MARTIN, ANDREW	AM FUNDS NEW WORLD A	0.00	0.39	0.00	0.39	95.0	0.37
09/01/2017	MARTIN, ISABELLA	AM FUNDS NEW WORLD A	0.00	0.39	0.00	0.39	95.0	0.37
09/01/2017	MEDAUGH, JOSEPH	AM FUNDS NEW WORLD A	0.00	0.39	0.00	0.39	95.0	0.37
09/01/2017	MEDAUGH, MATTHEW	AM FUNDS NEW WORLD A	0.00	0.39	0.00	0.39	95.0	0.37
09/01/2017	BENDER, SHARON	AM FUNDS NEW WORLD A	0.00	0.30	0.00	0.30	95.0	0.29
09/01/2017	PER, ELIZABETH	AM FUNDS NEW WORLD A	0.00	0.10	0.00	0.10	95.0	0.10
09/01/2017	NATHAN, SANDRA	AM FUNDS NEW WORLD A	0.00	0.93	0.00	0.93	95.0	0.88
09/01/2017	COX, MICHAEL	AM FUNDS NEW WORLD A	0.00	2.66	0.00	2.66	95.0	2.53
09/01/2017	TSANGANOS, LABRENE	AM FUNDS NEW WORLD A	0.00	17.49	0.00	17.49	95.0	16.62
09/01/2017	TSANGANOS, LEONIDAS	AM FUNDS NEW WORLD A	0.00	19.48	0.00	19.48	95.0	18.51
09/01/2017	MATAR, ROBERTG	AM FUNDS NEW WORLD A	0.00	6.37	0.00	6.37	95.0	6.05
09/01/2017	DELISLE/AUTH PER, JAMES	AM FUNDS NEW WORLD A	0.00	0.89	0.00	0.89	95.0	0.85
09/01/2017	SANDERS, GARY	AM FUNDS NEW WORLD A	0.00	1.12	0.00	1.12	95.0	1.06
09/22/2017	CHALKEY, MICHAEL	AM FUNDS NEW WORLD A	216.38	8.11	0.00	8.11	95.0	7.70
09/22/2017	CHALKEY, MICHAEL	AM FUNDS NEW WORLD A	86.55	3.25	0.00	3.25	95.0	3.09
09/22/2017	BUTT, DENNIS	AM FUNDS NEW WORLD A	105.00	5.25	0.00	5.25	95.0	4.99
09/22/2017	BUTT, DENNIS	AM FUNDS NEW WORLD A	105.00	5.25	0.00	5.25	95.0	4.99
09/01/2017	PRICOPIO, MARIO	AM FUNDS NEW WORLD C	0.00	7.85	0.00	7.85	95.0	7.46
09/01/2017	MOWINSKI, VINCENZO	AM FUNDS NEW WORLD C	0.00	5.95	0.00	5.95	95.0	5.65
09/01/2017	MOWINSKI, SERGIO	AM FUNDS NEW WORLD C	0.00	5.73	0.00	5.73	95.0	5.44
09/01/2017	MURPHY, PHILIP	AM FUNDS SHORT TERM BND FUND OF AM	0.00	9.52	0.00	9.52	95.0	9.04
09/01/2017	LONG, SARAH	AM FUNDS SHORT TERM BND FUND OF AM	0.00	0.42	0.00	0.42	95.0	0.40
09/01/2017	GINGELL, PAUL	AM FUNDS SMALLCAP WORLD A	0.00	11.93	0.00	11.93	95.0	11.33
09/01/2017	ALVEY, SHERRIE	AM FUNDS SMALLCAP WORLD A	0.00	0.78	0.00	0.78	95.0	0.74
09/01/2017	MERKLE, PAUL	AM FUNDS SMALLCAP WORLD A	0.00	8.00	0.00	8.00	95.0	7.60
09/01/2017	JONES, GERALD	AM FUNDS SMALLCAP WORLD A	0.00	1.15	0.00	1.15	95.0	1.09
09/01/2017	HAVLIK, BRIAN	AM FUNDS SMALLCAP WORLD A	0.00	0.07	0.00	0.07	95.0	0.07
09/01/2017	ALVEY, CODY	AM FUNDS SMALLCAP WORLD A	0.00	0.45	0.00	0.45	95.0	0.43
09/01/2017	KENDZIERSKI, JENNIE	AM FUNDS SMALLCAP WORLD A	0.00	1.46	0.00	1.46	95.0	1.39

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<b><u>BROKER TRANSACTIONS</u></b>								
<b><u>PRODUCT CATEGORY: MUTUAL FUNDS</u></b>								
09/01/2017	GRECH, ANDREW	AM FUNDS SMALLCAP WORLD A	0.00	26.41	0.00	26.41	95.0	25.09
09/01/2017	GRECH, ANDREW	AM FUNDS SMALLCAP WORLD A	0.00	1.43	0.00	1.43	95.0	1.36
09/01/2017	GRECH, ANDREW	AM FUNDS SMALLCAP WORLD A	0.00	4.03	0.00	4.03	95.0	3.83
09/01/2017	JONES, MEREK	AM FUNDS SMALLCAP WORLD A	0.00	1.92	0.00	1.92	95.0	1.82
09/01/2017	STILLWELL, LYNNE	AM FUNDS SMALLCAP WORLD A	0.00	0.50	0.00	0.50	95.0	0.48
09/01/2017	DELISLE, JAMES	AM FUNDS SMALLCAP WORLD A	0.00	0.80	0.00	0.80	95.0	0.76
09/01/2017	OLSON, ERIC	AM FUNDS SMALLCAP WORLD A	0.00	3.63	0.00	3.63	95.0	3.45
09/01/2017	SIMMONDS, JOSHUA	AM FUNDS SMALLCAP WORLD A	0.00	2.71	0.00	2.71	95.0	2.57
09/01/2017	STILLWELL, ERIK	AM FUNDS SMALLCAP WORLD A	0.00	0.35	0.00	0.35	95.0	0.33
09/01/2017	KARGULA, CURT	AM FUNDS SMALLCAP WORLD A	0.00	2.59	0.00	2.59	95.0	2.46
09/01/2017	CARSON, JESSICA	AM FUNDS SMALLCAP WORLD A	0.00	0.29	0.00	0.29	95.0	0.28
09/01/2017	SHEPHERD, JOE	AM FUNDS SMALLCAP WORLD A	0.00	0.01	0.00	0.01	95.0	0.01
09/01/2017	BENDER, SHARON	AM FUNDS SMALLCAP WORLD A	0.00	0.42	0.00	0.42	95.0	0.40
09/01/2017	PERSIC, ERNST	AM FUNDS SMALLCAP WORLD A	0.00	9.40	0.00	9.40	95.0	8.93
09/01/2017	GARDNER, THERESA	AM FUNDS SMALLCAP WORLD A	0.00	0.99	0.00	0.99	95.0	0.94
09/01/2017	MCCAFFERTY, COLLEEN	AM FUNDS U.S. GOVERNMENT SECURITIES	0.00	12.55	0.00	12.55	95.0	11.92
09/01/2017	FINK, JENNIFER	AM FUNDS U.S. GOVERNMENT SECURITIES	0.00	1.26	0.00	1.26	95.0	1.20
09/01/2017	SHEPHERD, JOE	AM FUNDS U.S. GOVERNMENT SECURITIES	0.00	0.03	0.00	0.03	95.0	0.03
09/01/2017	JANSEN, ANTHONY	AM FUNDS U.S. GOVERNMENT SECURITIES	0.00	33.63	0.00	33.63	95.0	31.95
09/01/2017	KOSANKE, MARK	AM FUNDS U.S. GOVERNMENT SECURITIES	0.00	9.47	0.00	9.47	95.0	9.00
09/01/2017	KOSANKE, MARK	AM FUNDS U.S. GOVERNMENT SECURITIES	0.00	13.39	0.00	13.39	95.0	12.72
09/01/2017	WHITEFOOT, BEVERLY	AM FUNDS U.S. GOVERNMENT SECURITIES	0.00	11.45	0.00	11.45	95.0	10.88
09/01/2017	GALLO, ANTHONY	AM FUNDS U.S. GOVERNMENT SECURITIES	0.00	169.25	0.00	169.25	95.0	160.79
09/01/2017	HENTKOWSKI, ARTHUR	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	2.99	0.00	2.99	95.0	2.84
09/01/2017	BUXBAUM, DEBORA	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	90.73	0.00	90.73	95.0	86.19
09/01/2017	MUSSILL, KATHARINE	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	109.97	0.00	109.97	95.0	104.47
09/01/2017	GREENE, LUCIA	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	131.33	0.00	131.33	95.0	124.76
09/01/2017	HIRSCHHORN, LAURA	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	15.67	0.00	15.67	95.0	14.89
09/01/2017	MERROW / SAR SEP, DARREN	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	1.78	0.00	1.78	95.0	1.69
09/01/2017	MERROW, DARREN	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.19	0.00	0.19	95.0	0.18
09/01/2017	MARVIN, PATRICIA	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	39.67	0.00	39.67	95.0	37.69
09/01/2017	IVEZAJ, GYSTE	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	35.12	0.00	35.12	95.0	33.36
09/01/2017	ODELL, JEFFREY	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	25.45	0.00	25.45	95.0	24.18

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<b><u>BROKER TRANSACTIONS</u></b>								
<b><u>PRODUCT CATEGORY: MUTUAL FUNDS</u></b>								
09/01/2017	O'DELL, ANN	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	8.31	0.00	8.31	95.0	7.89
09/01/2017	HOLLAND, JENNIFER	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	3.39	0.00	3.39	95.0	3.22
09/01/2017	SWEENEY, EILEEN	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	177.76	0.00	177.76	95.0	168.87
09/01/2017	SWEENEY, EILEEN	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	293.09	0.00	293.09	95.0	278.44
09/01/2017	BALINSKI, BARB	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.82	0.00	0.82	95.0	0.78
09/01/2017	REETZ, LINDA	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	3.96	0.00	3.96	95.0	3.76
09/01/2017	NOONAN, PATRICIA	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	6.05	0.00	6.05	95.0	5.75
09/01/2017	JOHNSON, GREGORY	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	13.91	0.00	13.91	95.0	13.21
09/01/2017	WATTERS, JEANNE	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	16.31	0.00	16.31	95.0	15.49
09/01/2017	GREENE, GREG	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	9.99	0.00	9.99	95.0	9.49
09/01/2017	GREENE, DAVID	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	81.43	0.00	81.43	95.0	77.36
09/01/2017	MACINA, MARK	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	5.88	0.00	5.88	95.0	5.59
09/01/2017	DAY, JOYCE	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	4.92	0.00	4.92	95.0	4.67
09/01/2017	DOMBROWSKI, MARK	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	22.26	0.00	22.26	95.0	21.15
09/01/2017	JOHNSTON, LAUREN	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	4.21	0.00	4.21	95.0	4.00
09/01/2017	JOHNSTON, KELLIE	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	4.67	0.00	4.67	95.0	4.44
09/01/2017	BONDS, SALLY	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	51.97	0.00	51.97	95.0	49.37
09/01/2017	TRU-LINE METAL PRODUCTS C	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	9.78	0.00	9.78	95.0	9.29
09/01/2017	LEWIS, BARBARA	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	2.28	0.00	2.28	95.0	2.17
09/01/2017	FARINO, ALEXANDER	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	6.11	0.00	6.11	95.0	5.80
09/01/2017	POUPORE, ISABELLE	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	14.60	0.00	14.60	95.0	13.87
09/01/2017	IRONS, DENNIS	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	7.47	0.00	7.47	95.0	7.10
09/01/2017	CORNEY, JENNIFER	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	9.60	0.00	9.60	95.0	9.12
09/01/2017	CHASSE, JENNIFER	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	6.55	0.00	6.55	95.0	6.22
09/01/2017	CELLI, MICHAEL	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.29	0.00	0.29	95.0	0.28
09/01/2017	DAVIS, JAMES	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	6.30	0.00	6.30	95.0	5.99
09/01/2017	ESKOVITZ, KENNETH	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.37	0.00	0.37	95.0	0.35
09/01/2017	FOLEY, KAREN	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	19.54	0.00	19.54	95.0	18.56
09/01/2017	MCCOY, JACK	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	3.02	0.00	3.02	95.0	2.87
09/01/2017	ALEXOPOULOS, ALEX	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	9.80	0.00	9.80	95.0	9.31
09/01/2017	ALEXOPOULOS, ALEX	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	9.80	0.00	9.80	95.0	9.31
09/01/2017	KNOTT, PAUL	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	6.66	0.00	6.66	95.0	6.33
09/01/2017	BERTOLINI, LEO	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	1.27	0.00	1.27	95.0	1.21

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<b><u>BROKER TRANSACTIONS</u></b>								
<b><u>PRODUCT CATEGORY: MUTUAL FUNDS</u></b>								
09/01/2017	LEWIS, JAMES	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	3.78	0.00	3.78	95.0	3.59
09/01/2017	REETZ, CHARLIE	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.54	0.00	0.54	95.0	0.51
09/01/2017	MILLER, JOSEPH	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	14.75	0.00	14.75	95.0	14.01
09/01/2017	ESSE, DAVID	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	1.56	0.00	1.56	95.0	1.48
09/01/2017	ESSE, ANGELINE	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	2.77	0.00	2.77	95.0	2.63
09/01/2017	STRUNCK, TED	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	30.36	0.00	30.36	95.0	28.84
09/01/2017	NIEMETTA, NINA	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.02	0.00	0.02	95.0	0.02
09/01/2017	BYRD, KATHRYN	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	39.04	0.00	39.04	95.0	37.09
09/01/2017	KARAOUZAS, OURANIA	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	8.34	0.00	8.34	95.0	7.92
09/01/2017	VESCOSKY, ANTOINETTE	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.24	0.00	0.24	95.0	0.23
09/01/2017	BUSTER, RICKY	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	21.99	0.00	21.99	95.0	20.89
09/01/2017	KISH, VIVIAN	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	46.28	0.00	46.28	95.0	43.97
09/01/2017	ZERVAS, HELEN	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	15.67	0.00	15.67	95.0	14.89
09/01/2017	BEHNKE, DANIEL	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	13.24	0.00	13.24	95.0	12.58
09/01/2017	ANASTASIOU, DESPINA	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	18.53	0.00	18.53	95.0	17.60
09/01/2017	NICOLOSI, ROSE	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	16.56	0.00	16.56	95.0	15.73
09/01/2017	SKOWRONSKI, MICHAEL	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	1.88	0.00	1.88	95.0	1.79
09/01/2017	GRIFFIN, SHEILA	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	8.77	0.00	8.77	95.0	8.33
09/01/2017	SKOWRONSKI, LUISA	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	1.57	0.00	1.57	95.0	1.49
09/01/2017	STRAYVE, MICHAEL	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.17	0.00	0.17	95.0	0.16
09/01/2017	GORSEK, JOHN	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	8.90	0.00	8.90	95.0	8.46
09/01/2017	BEHNKE, MARK	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.44	0.00	0.44	95.0	0.42
09/01/2017	GRECH, ANDREW	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	5.10	0.00	5.10	95.0	4.85
09/01/2017	GRECH, ANDREW	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	15.20	0.00	15.20	95.0	14.44
09/01/2017	FULTON, JOHN	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	6.29	0.00	6.29	95.0	5.98
09/01/2017	WATTERS, JEANNE	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	7.67	0.00	7.67	95.0	7.29
09/01/2017	CISSELL, JOHN	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	265.10	0.00	265.10	95.0	251.85
09/01/2017	CISSELL, PATRICIA	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	265.10	0.00	265.10	95.0	251.85
09/01/2017	TSANGANOS, CHRISTOPHER	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	3.42	0.00	3.42	95.0	3.25
09/01/2017	BODE, SHELBIA	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	24.91	0.00	24.91	95.0	23.66
09/01/2017	LEWIS, BARBARA	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	1.48	0.00	1.48	95.0	1.41
09/01/2017	BENNETT, AMANDA	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.89	0.00	0.89	95.0	0.85
09/01/2017	PRICE, PATRICIA	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	1.84	0.00	1.84	95.0	1.75

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<b><u>BROKER TRANSACTIONS</u></b>								
<b><u>PRODUCT CATEGORY: MUTUAL FUNDS</u></b>								
09/01/2017	HABERMAN, IAN	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	19.49	0.00	19.49	95.0	18.52
09/01/2017	RILEY, ROBERT	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.36	0.00	0.36	95.0	0.34
09/01/2017	LIONAS, MARIKA	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	1.28	0.00	1.28	95.0	1.22
09/01/2017	GEORGOULIS, ELEANNA	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	3.00	0.00	3.00	95.0	2.85
09/01/2017	GEORGOULIS, ANDREANNA	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	2.84	0.00	2.84	95.0	2.70
09/01/2017	BUSARSKY, KATHLEEN	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	25.98	0.00	25.98	95.0	24.68
09/01/2017	ULJAJ, JOSEPH	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	21.00	0.00	21.00	95.0	19.95
09/01/2017	WEST TRUST, NORA	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	9.41	0.00	9.41	95.0	8.94
09/01/2017	ISRAEL, RONALD	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	74.58	0.00	74.58	95.0	70.85
09/01/2017	MERRITT, MARY LOU	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	57.39	0.00	57.39	95.0	54.52
09/01/2017	SOBIESKI, JOYCE	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	42.73	0.00	42.73	95.0	40.59
09/01/2017	SOBIESKI, JOYCE	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	3.90	0.00	3.90	95.0	3.71
09/01/2017	LUMETTA, PAUL	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.67	0.00	0.67	95.0	0.64
09/01/2017	KAPFHAMER, SCOTT	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	14.43	0.00	14.43	95.0	13.71
09/01/2017	KAPFHAMER, SCOTT	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	12.09	0.00	12.09	95.0	11.49
09/01/2017	HIGGINS, JAMES	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	14.11	0.00	14.11	95.0	13.40
09/01/2017	NICKOLOPOULOS, HAILEY	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	3.45	0.00	3.45	95.0	3.28
09/01/2017	SKOWRONSKI, GABRIELLA	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	3.26	0.00	3.26	95.0	3.10
09/01/2017	LUMETTA, PAUL	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	3.47	0.00	3.47	95.0	3.30
09/01/2017	BARNETT, RICHARD	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.22	0.00	0.22	95.0	0.21
09/01/2017	BARNETT, RICHARD	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.18	0.00	0.18	95.0	0.17
09/01/2017	SAWYER, ALONZO	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.94	0.00	0.94	95.0	0.89
09/01/2017	SKOWRONSKI, GABRIELLA	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.98	0.00	0.98	95.0	0.93
09/01/2017	SAWYER, ALONZO	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.94	0.00	0.94	95.0	0.89
09/01/2017	SAWYER, ALONZO	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.94	0.00	0.94	95.0	0.89
09/01/2017	FOLLETT, JACOB	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	1.05	0.00	1.05	95.0	1.00
09/01/2017	FOLLETT, JACOB	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	1.32	0.00	1.32	95.0	1.25
09/01/2017	LOVEDAY, JUDITH	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	5.15	0.00	5.15	95.0	4.89
09/01/2017	POLANT, LOUIS	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	41.83	0.00	41.83	95.0	39.74
09/11/2017	IVEZAJ, GYSTE	AM FUNDS WASHINGTON MUTUAL INVESTOR	50.00	1.88	0.00	1.88	95.0	1.79
09/11/2017	SOBIESKI, JOYCE	AM FUNDS WASHINGTON MUTUAL INVESTOR	37.50	0.38	0.00	0.38	95.0	0.36
09/15/2017	KEMP, JEREMY	AM FUNDS WASHINGTON MUTUAL INVESTOR	50.00	2.13	0.00	2.13	95.0	2.02
09/15/2017	BEHNKE, DANIEL	AM FUNDS WASHINGTON MUTUAL INVESTOR	50.00	2.50	0.00	2.50	95.0	2.38

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<b><u>BROKER TRANSACTIONS</u></b>								
<b><u>PRODUCT CATEGORY: MUTUAL FUNDS</u></b>								
09/15/2017	BEHNKE, MARK	AM FUNDS WASHINGTON MUTUAL INVESTOR	100.00	5.00	0.00	5.00	95.0	4.75
09/01/2017	VINING, KRISTOPHER	AMERICAN FUND SMALLCAP WORKD FUND-F	0.00	2.62	0.00	2.62	95.0	2.49
09/01/2017	HAYES, DORIS	AMERICAN FUNDS BALANCED FUNDS F-1	0.00	7.28	0.00	7.28	95.0	6.92
09/01/2017	HEGEL, SUSAN	AMERICAN FUNDS CORPORATE BOND FD A	0.00	18.36	0.00	18.36	95.0	17.44
09/11/2017	BAKER, JEAN-ANNE	BLK AGG 10-12 AGE BASED A	100.00	0.50	0.00	0.50	95.0	0.48
09/05/2017	NIZIO, MARGARET	BLK MOD 10-12 AGE BASED C	50.00	0.50	0.00	0.50	95.0	0.48
09/05/2017	NIZIO, EDMUND	BLK MOD 10-12 AGE BASED C	50.00	0.50	0.00	0.50	95.0	0.48
09/01/2017	KUCHAREK, PAUL	BLK MOD 13-16 AGE BASED A	50.00	1.88	0.00	1.88	95.0	1.79
/ /	KUCHAREK, PAUL	BLK MOD 17+ AGE BASED A	0.00	1.88	0.00	1.88	95.0	1.79
09/06/2017	MERRITT, KATHY	COLUMBIA ACORN A	0.00	9.26	0.00	9.26	95.0	8.80
09/06/2017	EQUITY TRUST CO	COLUMBIA ACORN A	0.00	5.61	0.00	5.61	95.0	5.33
09/06/2017	SMARK, CHARLES	COLUMBIA ACORN A	0.00	6.54	0.00	6.54	95.0	6.21
09/06/2017	MOORE, DONYELLE	COLUMBIA EQUITY VALUE A	0.00	0.96	0.00	0.96	95.0	0.91
09/06/2017	MUNTEANU, RADU	COLUMBIA GREATER CHINA A	0.00	7.99	0.00	7.99	95.0	7.59
09/06/2017	KLEMPNER TRUST, VLADIMIR	COLUMBIA INCOME BUILDER FUND A	0.00	9.30	0.00	9.30	95.0	8.84
09/06/2017	SMYTH, DAVID	COLUMBIA LARGE CAP GROWTH A	0.00	3.35	0.00	3.35	95.0	3.18
09/06/2017	MOORE, DONYELLE	COLUMBIA MIDCAP VALUE A	0.00	8.70	0.00	8.70	95.0	8.27
09/06/2017	KULA, THOMAS	COLUMBIA SELIGMAN COMM AND INFO A	0.00	2.81	0.00	2.81	95.0	2.67
09/06/2017	HOSKIN, JOHN	COLUMBIA SELIGMAN COMM AND INFO A	0.00	5.69	0.00	5.69	95.0	5.41
09/06/2017	SWIDER, ROB	COLUMBIA SELIGMAN COMM AND INFO A	0.00	5.87	0.00	5.87	95.0	5.58
09/06/2017	VANMEER, MICHAEL	COLUMBIA SELIGMAN COMM AND INFO A	0.00	3.49	0.00	3.49	95.0	3.32
09/06/2017	SCULLY, DOROTHY	COLUMBIA SELIGMAN COMM AND INFO C	0.00	44.28	0.00	44.28	95.0	42.07
09/06/2017	FALKIEWICZ, DAVID	COLUMBIA SMALL CAP VALUE I A	0.00	5.73	0.00	5.73	95.0	5.44
09/06/2017	MOORE, DONYELLE	COLUMBIA SMALL CAP VALUE I A	0.00	4.77	0.00	4.77	95.0	4.53
09/06/2017	KOSUTH, SARA	COLUMBIA STRATEGIC INVESTOR A	0.00	6.07	0.00	6.07	95.0	5.77
09/06/2017	KOSUTH, SARA	COLUMBIA STRATEGIC INVESTOR A	0.00	0.65	0.00	0.65	95.0	0.62
09/06/2017	KUCHAREK, EMMA	COLUMBIA STRATEGIC INVESTOR A	0.00	0.19	0.00	0.19	95.0	0.18
09/06/2017	KUCHAREK, PETER	COLUMBIA STRATEGIC INVESTOR A	0.00	0.19	0.00	0.19	95.0	0.18
09/06/2017	KUCHAREK, GILLIAN	COLUMBIA STRATEGIC INVESTOR A	0.00	0.19	0.00	0.19	95.0	0.18
09/06/2017	KUCHAREK, SARAH	COLUMBIA STRATEGIC INVESTOR A	0.00	0.19	0.00	0.19	95.0	0.18
09/06/2017	KINGSLEY, BRIAN GENE	COLUMBIA STRATEGIC INVESTOR A	0.00	2.71	0.00	2.71	95.0	2.57
09/06/2017	KUCHAREK, MIRIAM	COLUMBIA STRATEGIC INVESTOR A	0.00	0.20	0.00	0.20	95.0	0.19
09/08/2017	TYSZKIEWICZ, KURT	FRANKLIN GROWTH C	100.00	1.00	0.00	1.00	95.0	0.95

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<b><u>BROKER TRANSACTIONS</u></b>								
<b><u>PRODUCT CATEGORY: MUTUAL FUNDS</u></b>								
/ /	BERDESKI, AUDREY	GUGGENHEIM NASDAQ 100-H	0.00	1.63	0.00	1.63	95.0	1.55
/ /	WAGNER, SHARON	GUGGENHEIM NASDAQ 100-H	0.00	0.54	0.00	0.54	95.0	0.51
09/05/2017	BERGLUND, KRIS	INVESCO AMERICAN FRANCHISE A	50.00	2.50	0.00	2.50	95.0	2.38
09/15/2017	LAI, MICHAEL	JH FINANCIAL INDUSTRIES A	0.00	1.20	0.00	1.20	95.0	1.14
09/15/2017	MALINAK, FRANCES	JH FINANCIAL INDUSTRIES A	0.00	7.18	0.00	7.18	95.0	6.82
09/15/2017	BOHACEK, STEVE	JH LARGE CAP EQUITY A	0.00	5.80	0.00	5.80	95.0	5.51
09/15/2017	RACK, ROBERT	JH LARGE CAP EQUITY A	0.00	5.81	0.00	5.81	95.0	5.52
09/15/2017	ENGLEBERT, JAMES	JH REGIONAL BANK A	0.00	4.68	0.00	4.68	95.0	4.45
09/15/2017	HELTSLEY, MARTHA	JH REGIONAL BANK A	0.00	1.81	0.00	1.81	95.0	1.72
09/15/2017	BOZELKA, KEVIN	JH REGIONAL BANK A	0.00	1.86	0.00	1.86	95.0	1.77
09/15/2017	JAHNKE, DENNIS	JH REGIONAL BANK A	0.00	4.38	0.00	4.38	95.0	4.16
09/15/2017	MIKLEVICH, MICHAEL	JH REGIONAL BANK A	0.00	6.54	0.00	6.54	95.0	6.21
09/15/2017	EIS (MINOR), MARGO	JH STRATEGIC GROWTH A	0.00	0.45	0.00	0.45	95.0	0.43
09/15/2017	MIKLEVICH, MICHAEL	JH STRATEGIC GROWTH A	0.00	0.51	0.00	0.51	95.0	0.48
09/15/2017	EIS (MINOR), AUSTIN	JH STRATEGIC GROWTH A	0.00	0.72	0.00	0.72	95.0	0.68
09/15/2017	EIS (MINOR), STEFANIE	JH STRATEGIC GROWTH A	0.00	0.72	0.00	0.72	95.0	0.68
09/15/2017	EIS, AUSTIN	JN DISCIPLINED VALUE INT'L A	0.00	1.65	0.00	1.65	95.0	1.57
09/15/2017	EIS, STEFANIE	JN DISCIPLINED VALUE INT'L A	0.00	1.65	0.00	1.65	95.0	1.57
09/05/2017	ELIAS, JANICE	OPPENHEIMER CAPITAL APPRECIATION C	31.23	0.31	0.00	0.31	95.0	0.29
09/05/2017	ELIAS, JANICE	OPPENHEIMER CAPITAL APPRECIATION C	18.73	0.19	0.00	0.19	95.0	0.18
09/05/2017	DAMORE, MONICA	OPPENHEIMER DISCOVERY C	365.06	3.65	0.00	3.65	95.0	3.47
09/05/2017	DAMORE, MONICA	OPPENHEIMER DISCOVERY C	64.42	0.64	0.00	0.64	95.0	0.61
09/05/2017	ELIAS, JANICE	OPPENHEIMER GLOBAL C	30.31	0.30	0.00	0.30	95.0	0.29
09/05/2017	ELIAS, JANICE	OPPENHEIMER GLOBAL C	18.19	0.18	0.00	0.18	95.0	0.17
09/06/2017	TRBOVICH, NICK	OPPENHEIMER GLOBAL OPPORTUNITIES A	402.50	19.12	0.00	19.12	95.0	18.16
09/06/2017	TRBOVICH, MARY	OPPENHEIMER GLOBAL OPPORTUNITIES A	345.00	16.39	0.00	16.39	95.0	15.57
09/05/2017	DAMORE, MONICA	OPPENHEIMER GLOBAL OPPORTUNITIES C	365.06	3.65	0.00	3.65	95.0	3.47
09/05/2017	DAMORE, MONICA	OPPENHEIMER GLOBAL OPPORTUNITIES C	64.42	0.64	0.00	0.64	95.0	0.61
09/05/2017	DAMORE, MONICA	OPPENHEIMER INTL SMALL CO C	376.11	3.76	0.00	3.76	95.0	3.57
09/05/2017	DAMORE, MONICA	OPPENHEIMER INTL SMALL CO C	66.38	0.66	0.00	0.66	95.0	0.63
09/05/2017	ELIAS, JANICE	OPPENHEIMER MAIN ST SELECT C	30.31	0.30	0.00	0.30	95.0	0.29
09/05/2017	ELIAS, JANICE	OPPENHEIMER MAIN ST SELECT C	18.19	0.18	0.00	0.18	95.0	0.17
09/06/2017	TRBOVICH, NICK	OPPENHEIMER MAIN STREET A	402.50	19.12	0.00	19.12	95.0	18.16

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<b><u>BROKER TRANSACTIONS</u></b>								
<b><u>PRODUCT CATEGORY: MUTUAL FUNDS</u></b>								
09/06/2017	TRBOVICH, MARY	OPPENHEIMER MAIN STREET A	345.00	16.39	0.00	16.39	95.0	15.57
09/15/2017	BARRY, MEGAN	OPPENHEIMER MAIN STREET C	50.00	0.50	0.00	0.50	95.0	0.48
09/06/2017	TRBOVICH, NICK	OPPENHEIMER REAL ESTATE A	402.50	19.12	0.00	19.12	95.0	18.16
09/06/2017	TRBOVICH, MARY	OPPENHEIMER REAL ESTATE A	345.00	16.39	0.00	16.39	95.0	15.57
09/05/2017	WOUDSTRA, KAREN	OPPENHEIMER SMALL & MIDCAP GROWTH C	150.00	1.50	0.00	1.50	95.0	1.43
09/05/2017	WOUDSTRA, KAREN	OPPENHEIMER SMALL & MIDCAP GROWTH C	109.19	1.09	0.00	1.09	95.0	1.04
09/06/2017	TRBOVICH, NICK	OPPENHEIMER VALUE A	402.50	19.12	0.00	19.12	95.0	18.16
09/06/2017	TRBOVICH, MARY	OPPENHEIMER VALUE A	345.00	16.39	0.00	16.39	95.0	15.57
/ /	BERDESKI, AUDREY	RYDEX GUGG S&P 500 H	0.00	1.50	0.00	1.50	95.0	1.43
/ /	WAGNER, SHARON	RYDEX GUGG S&P 500 H	0.00	0.50	0.00	0.50	95.0	0.48
/ /	BERDESKI, AUDREY	RYDEXGUGGENHEIM INVERSE NASDAQ 100	0.00	0.36	0.00	0.36	95.0	0.34
/ /	WAGNER, SHARON	RYDEXGUGGENHEIM INVERSE NASDAQ 100	0.00	0.12	0.00	0.12	95.0	0.11
09/15/2017	OBIE, MARCIA	THORNBURG INCOME BUILDER CL A	0.00	8.69	0.00	8.69	95.0	8.26
09/15/2017	OBIE, BRADFORD	THORNBURG INCOME BUILDER CL A	0.00	8.23	0.00	8.23	95.0	7.82
09/15/2017	OBIE, MARCIA	THORNBURG VALUE CL A	0.00	11.87	0.00	11.87	95.0	11.28
09/15/2017	OBIE, BRADFORD	THORNBURG VALUE CL A	0.00	15.20	0.00	15.20	95.0	14.44
09/15/2017	OBIE, BRADFORD	THORNBURG VALUE CL A	0.00	6.41	0.00	6.41	95.0	6.09
09/08/2017	LOPICCOLO, CATHERINE	TRANSAMERICA AA GROWTH C	128.38	1.28	0.00	1.28	95.0	1.22
09/15/2017	TOBEY, TIMOTHY	TRANSAMERICA AA GROWTH C	100.00	1.00	0.00	1.00	95.0	0.95
09/15/2017	WEYCKER, ROBERT	TRANSAMERICA MULTI-MANAGED BAL C	300.00	3.00	0.00	3.00	95.0	2.85
09/05/2017	BUSSELL REV LV TRUST, SHARON	WELLS FARGO 100% TREASURY MMKT-A	0.00	7.39	0.00	7.39	95.0	7.02
09/05/2017	DAMIANO, MAURICE	WELLS FARGO HIGH YIELD BOND A	0.00	19.74	0.00	19.74	95.0	18.75
09/05/2017	DAMIANO, RUTH	WELLS FARGO HIGH YIELD BOND A	0.00	41.11	0.00	41.11	95.0	39.05
09/05/2017	THOMAS, HENRY	WELLS FARGO INCOME PLUS A	0.00	3.40	0.00	3.40	95.0	3.23
09/05/2017	THOMAS, SYBIL	WELLS FARGO INCOME PLUS A	0.00	2.69	0.00	2.69	95.0	2.56
09/05/2017	TOTTEFF, JESSIE	WELLS FARGO INCOME PLUS A	0.00	3.42	0.00	3.42	95.0	3.25
09/05/2017	SPEAROT, ALAN	WELLS FARGO INCOME PLUS A	0.00	0.91	0.00	0.91	95.0	0.86
09/05/2017	SPEAROT, DOUGLAS	WELLS FARGO INCOME PLUS A	0.00	0.91	0.00	0.91	95.0	0.86
09/05/2017	DAMIANO, MAURICE	WELLS FARGO INTL BOND A	0.00	18.52	0.00	18.52	95.0	17.59
09/05/2017	GUTMAN, KENNETH	WELLS FARGO INTL BOND A	0.00	2.19	0.00	2.19	95.0	2.08
09/05/2017	GUTMAN, MATHEW	WELLS FARGO INTL BOND A	0.00	2.19	0.00	2.19	95.0	2.08
09/05/2017	JAGGER, ALBERT	WELLS FARGO INTL BOND A	0.00	28.19	0.00	28.19	95.0	26.78
09/05/2017	BUSSELL REV LIV TRST, GEROGE &	WELLS FARGO MONEY MKT A	0.00	28.82	0.00	28.82	95.0	27.38

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<b><u>BROKER TRANSACTIONS</u></b>								
<b><u>PRODUCT CATEGORY: MUTUAL FUNDS</u></b>								
09/05/2017	STEBBINS, DAVID	WELLS FARGO OPP A	0.00	0.61	0.00	0.61	95.0	0.58
09/05/2017	BASILE, NINO	WELLS FARGO OPP A	0.00	0.91	0.00	0.91	95.0	0.86
09/05/2017	DUDLEY, CHERYL	WELLS FARGO OPP A	0.00	1.12	0.00	1.12	95.0	1.06
09/05/2017	BASILE, ANNA	WELLS FARGO OPP A	0.00	0.79	0.00	0.79	95.0	0.75
09/05/2017	CODDING, CRAIG	WELLS FARGO PREMIER LG COMP GRWTH A	0.00	3.29	0.00	3.29	95.0	3.13
09/05/2017	KISH, VIVIAN	WELLS FARGO STRATEGIC MUNI A	0.00	0.99	0.00	0.99	95.0	0.94
09/05/2017	ROEHRIG, RITA	WELLS FARGO STRATEGIC MUNI A	0.00	2.73	0.00	2.73	95.0	2.59
09/05/2017	JAGGER, ALBERT	WELLS FARGO STRATEGIC MUNI A	0.00	25.26	0.00	25.26	95.0	24.00
09/05/2017	PER, MARIANNE	WELLS FARGO STRATEGIC MUNI A	0.00	0.18	0.00	0.18	95.0	0.17
09/05/2017	TSEREGOUNIS, SPYROS	WELLS FARGO STRATEGIC MUNI A	0.00	5.29	0.00	5.29	95.0	5.03
09/05/2017	ALEXOPOULOS, PAUL	WELLS FARGO STRATEGIC MUNI A	0.00	5.80	0.00	5.80	95.0	5.51
09/05/2017	REBNER, WALDEMAR	WELLS FARGO STRATEGIC MUNI A	0.00	9.37	0.00	9.37	95.0	8.90
09/05/2017	DAMIANO, MAURICE	WELLS FARGO STRATEGIC MUNI A	0.00	3.95	0.00	3.95	95.0	3.75
09/05/2017	SPEAROT, REBECCA	WELLS FARGO STRATEGIC MUNI A	0.00	1.67	0.00	1.67	95.0	1.59
09/05/2017	CLEMAK, CHARLES	WELLS FARGO STRATEGIC MUNI A	0.00	28.34	0.00	28.34	95.0	26.92
09/05/2017	MUGLIA, DOMINIC	WELLS FARGO STRATEGIC MUNI A	0.00	37.59	0.00	37.59	95.0	35.71
09/05/2017	MCLUCAS, ROBERT	WELLS FARGO STRATEGIC MUNI A	0.00	55.17	0.00	55.17	95.0	52.41
09/05/2017	DAMIANO, RUTH	WELLS FARGO STRATEGIC MUNI A	0.00	8.31	0.00	8.31	95.0	7.89
09/05/2017	KATEHI, PISTI	WELLS FARGO TOTAL RETURN BOND A	0.00	1.16	0.00	1.16	95.0	1.10
09/05/2017	TSEREGOUNIS, SPYROS	WELLS FARGO TOTAL RETURN BOND A	0.00	1.10	0.00	1.10	95.0	1.05
09/05/2017	SNYDER, SHIRLEY	WELLS FARGO TOTAL RETURN BOND A	0.00	0.60	0.00	0.60	95.0	0.57
09/05/2017	BAYS, MARVIN	WELLS FARGO UTILITY AND TELECOM A	0.00	11.62	0.00	11.62	95.0	11.04
* MUTUAL FUNDS SUBTOTAL *			\$24,202.59	\$15,317.08	\$0.00	\$15,317.08		\$14,551.45
<b><u>PRODUCT CATEGORY: STOCKS</u></b>								
09/18/2017	MAYNARD, JULIE	GENTEX CORP COM	-3,828.24	22.00	22.50	-0.50	95.0	-0.48
* STOCKS SUBTOTAL *			\$-3,828.24	\$22.00	\$22.50	\$-0.50		\$-0.48
<b><u>PRODUCT CATEGORY: VARIABLE ANNUITIES</u></b>								
09/05/2017	JOUPPI, SHARON	PRU PREMIER RETIREMENT C	235,829.55	3,537.44	0.00	3,537.44	95.0	3,360.57
* VARIABLE ANNUITIES SUBTOTAL *			\$235,829.55	\$3,537.44	\$0.00	\$3,537.44		\$3,360.57

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

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

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



DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<b><u>BROKER TRANSACTIONS</u></b>								
<b><u>PRODUCT CATEGORY: VARIABLE UNIVERSAL LIFE</u></b>								
09/05/2017	DINKA, JOHN	PAC LIFE VUL	2,500.00	50.00	0.00	50.00	95.0	47.50
* VARIABLE UNIVERSAL LIFE SUBTOTAL *			\$2,500.00	\$50.00	\$0.00	\$50.00		\$47.50
*** BROKER TRANSACTIONS TOTAL ***			\$283,703.90	\$19,467.16	\$22.50	\$19,444.66		\$18,472.66
<b><u>SPLIT TRANSACTIONS</u></b>								
<b><u>BROKER: MARK KOSANKE #3</u></b>								
08/19/2017	ELIAS, NAZEEH AKHNOUKH	JNL REWARD 10 YR TERM	1,442.79	14.43	0.00	14.43	95.0	13.71
09/28/2017	STEFFES, MARTIN	JNL REWARD 10 YR TERM	32.61	0.16	0.00	0.16	95.0	0.15
09/05/2017	RIMKUS, MARILYN	WELLS FARGO ENTERPRISE A	0.00	4.21	0.00	4.21	95.0	4.00
09/05/2017	ALEXANDER, JEAN	WELLS FARGO STRATEGIC MUNI A	0.00	0.90	0.00	0.90	95.0	0.86
09/05/2017	EMMER, ILENE	WELLS FARGO TOTAL RETURN BOND A	0.00	0.18	0.00	0.18	95.0	0.17
09/05/2017	DANIELS, KATHLEEN	WELLS FARGO TOTAL RETURN BOND A	0.00	3.03	0.00	3.03	95.0	2.88
09/05/2017	SMOLBOSKI, BARBARA	WELLS FARGO TOTAL RETURN BOND A	0.00	0.23	0.00	0.23	95.0	0.22
* MARK KOSANKE SUBTOTAL *			\$1,475.40	\$23.14	\$0.00	\$23.14		\$21.99
*** SPLIT TRANSACTIONS TOTAL ***			\$1,475.40	\$23.14	\$0.00	\$23.14		\$21.99
<b><u>OVERRIDE TRANSACTIONS</u></b>								
<b><u>BROKER: FRANK DUNN #7</u></b>								
09/05/2017	SCARLATO, MARY	GRIFFIN INST'L ACCESS R E FUND	50,000.00	2,500.00	0.00	2,500.00	90.0	125.00
09/12/2017	BRENT, MARY	GRIFFIN INST'L ACCESS R E FUND	50,000.00	2,500.00	0.00	2,500.00	90.0	125.00
09/11/2017	SCARLATO, MARY	GRIFFIN-AMERICAN HC REIT IV T	50,000.00	1,500.00	0.00	1,500.00	90.0	75.00
09/12/2017	BRENT, MARY	GRIFFIN-AMERICAN HC REIT IV T	50,000.00	1,500.00	0.00	1,500.00	90.0	75.00
* FRANK DUNN SUBTOTAL *			\$200,000.00	\$8,000.00	\$0.00	\$8,000.00		\$400.00
<b><u>BROKER: 101 CFGROUP/KOSANKE #9</u></b>								
09/20/2017	NAGEOTTE, NIKOLAUS	AM FUNDS CAPITAL WORLD GRTH & INC A	100.00	5.00	0.00	5.00	95.0	5.00
* 101 CFGROUP/KOSANKE SUBTOTAL *			\$100.00	\$5.00	\$0.00	\$5.00		\$5.00
*** OVERRIDE TRANSACTIONS TOTAL ***			\$200,100.00	\$8,005.00	\$0.00	\$8,005.00		\$405.00

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

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

DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
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ADJUSTMENTS

09/30/2017		*REIMBURSEMENT: CT 6005297-INLAND	0.00					1,500.00
		*** ADJUSTMENTS TOTAL ***	\$0.00	\$0.00	\$0.00	\$0.00		\$1,500.00

BROKER COMMISSION TOTALS

Broker Transactions	\$18,472.66
Split Transactions	\$21.99
Override Transactions	\$405.00
Adjustments	\$1,500.00
Payroll Draw	\$0.00
Base Salary	\$0.00
Prior Period Balance	\$0.00
FINRA Assessment	\$0.00
SIPC Assessment	\$0.00

Check Amount	\$20,399.65
Year-to-date Gross	\$293,354.43
Year-to-date Earnings	\$283,866.50

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