



# COMMISSION STATEMENT

## March 12, 2018

ROBERT ADAMS  
P. O. Box 1855  
Dover, NH 03821

BROKER #: A43  
BRANCH #01001 - LifeMark Home Office

| DATE  | CLIENT                         | INVESTMENT                          | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|---|--------------------------------|-------------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b><u>BROKER TRANSACTIONS</u></b>                       |                                |                                     |                      |                     |                    |                   |      |                      |
| <b><u>PRODUCT CATEGORY: MUTUAL FUNDS</u></b>            |                                |                                     |                      |                     |                    |                   |      |                      |
| 03/07/2018  | ***-**-83IO - BITTLE, BARBARA  | AMERICAN MUTUAL FUND-A              | 1,500.01             | 0.00                | 0.00               | 0.00              | 50.0 | 0.00                 |
|   | ACCOUNT #: LSR011797           | SELL 37 Units @40.9100              |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-05CL - ADAMS, CLIENTS   | FA 529 PORT 2019-CL A               | 200.00               | 7.50                | 0.00               | 7.50              | 50.0 | 3.75                 |
|   | ACCOUNT #: 01460802653         | BUY 9 Units @21.3100                |                      |                     |                    |                   |      |                      |
| * MUTUAL FUNDS SUBTOTAL *                               |                                |                                     | <b>\$1,700.01</b>    | <b>\$7.50</b>       | <b>\$0.00</b>      | <b>\$7.50</b>     |      | <b>\$3.75</b>        |
| <b><u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u></b> |                                |                                     |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-273T - LOHRMAN, WILLIAM | AMCAP FUND-A                        | 0.00                 | 3.89                | 0.00               | 3.89              | 50.0 | 1.95                 |
|   | ACCOUNT #: 00085190315         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-482I - LOHRMAN, SUSAN   | AMERICAN HIGH-INCOME TRUST-A        | 0.00                 | 9.58                | 0.00               | 9.58              | 50.0 | 4.79                 |
|   | ACCOUNT #: 00068203091         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-273I - LOHRMAN, WILLIAM | AMERICAN MUTUAL FUND-A              | 0.00                 | 4.89                | 0.00               | 4.89              | 50.0 | 2.45                 |
|   | ACCOUNT #: 00068203093         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-482I - LOHRMAN, SUSAN   | CAPITAL INCOME BUILDER-A            | 0.00                 | 13.82               | 0.00               | 13.82             | 50.0 | 6.91                 |
|   | ACCOUNT #: 00068203091         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-482I - LOHRMAN, SUSAN   | CAPITAL WORLD BOND FUND-A           | 0.00                 | 6.72                | 0.00               | 6.72              | 50.0 | 3.36                 |
|   | ACCOUNT #: 00068203091         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-273I - LOHRMAN, WILLIAM | CAPITAL WORLD GROWTH AND INCOME FUN | 0.00                 | 35.72               | 0.00               | 35.72             | 50.0 | 17.86                |
|   | ACCOUNT #: 00068203093         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-24IN - MCWADE,          | CAPITAL WORLD GROWTH AND INCOME FUN | 0.00                 | 0.79                | 0.00               | 0.79              | 50.0 | 0.40                 |
|   | ACCOUNT #: 00083268984         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-338J - HARMON, DAVID    | CAPITAL WORLD GROWTH AND INCOME FUN | 0.00                 | 1.71                | 0.00               | 1.71              | 50.0 | 0.86                 |
|   | ACCOUNT #: 00073175704         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-482I - LOHRMAN, SUSAN   | EUROPACIFIC GROWTH FUND-A           | 0.00                 | 8.59                | 0.00               | 8.59              | 50.0 | 4.30                 |
|   | ACCOUNT #: 00068203091         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-273I - LOHRMAN, WILLIAM | EUROPACIFIC GROWTH FUND-A           | 0.00                 | 35.95               | 0.00               | 35.95             | 50.0 | 17.98                |
|   | ACCOUNT #: 00068203093         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-24IN - MCWADE,          | EUROPACIFIC GROWTH FUND-A           | 0.00                 | 0.75                | 0.00               | 0.75              | 50.0 | 0.38                 |
|   | ACCOUNT #: 00083268984         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/07/2018  | ***-**-76IN - KELLY, JOHN      | FA 529 PORT 2019-CL A               | 0.00                 | 6.12                | 0.00               | 6.12              | 50.0 | 3.06                 |
|   | ACCOUNT #: 01460724956         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/07/2018  | ***-**-05CL - ADAMS, CLIENTS   | FA 529 PORT 2019-CL A               | 0.00                 | 6.17                | 0.00               | 6.17              | 50.0 | 3.09                 |
|   | ACCOUNT #: 01460802653         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |



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March 12, 2018

ROBERT ADAMS  
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BROKER #: A43  
BRANCH #01001 - LifeMark Home Office

| DATE   | CLIENT                         | INVESTMENT                       | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|--|--------------------------------|----------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b>BROKER TRANSACTIONS (continued)</b>                       |                                |                                  |                      |                     |                    |                   |      |                      |
| <b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</b> |                                |                                  |                      |                     |                    |                   |      |                      |
| 03/07/2018   | ***-**-76IN - KELLY, JOHN      | FA 529 PORT 2022-CL A            | 0.00                 | 5.07                | 0.00               | 5.07              | 50.0 | 2.54                 |
|  | ACCOUNT #: 01460724972         | BUY 0 Units @0.0000              |                      |                     |                    |                   |      |                      |
| 03/07/2018   | ***-**-05CL - ADAMS, CLIENTS   | FA 529 PORT 2022-CL A            | 0.00                 | 4.55                | 0.00               | 4.55              | 50.0 | 2.28                 |
|  | ACCOUNT #: 01460802760         | BUY 0 Units @0.0000              |                      |                     |                    |                   |      |                      |
| 03/07/2018   | ***-**-76IN - KELLY, JOHN      | FIDELITY ADV EQUITY GROWTH CL A  | 0.00                 | 1.15                | 0.00               | 1.15              | 50.0 | 0.58                 |
|  | ACCOUNT #: 01455927788         | BUY 0 Units @0.0000              |                      |                     |                    |                   |      |                      |
| 03/07/2018   | ***-**-76IN - KELLY, JOHN      | FIDELITY ADV GROWTH OPPORT CL A  | 0.00                 | 1.99                | 0.00               | 1.99              | 50.0 | 1.00                 |
|  | ACCOUNT #: 01455927788         | BUY 0 Units @0.0000              |                      |                     |                    |                   |      |                      |
| 03/07/2018   | ***-**-76IN - KELLY, JOHN      | FIDELITY ADV INTL SMALL CAP-CL A | 0.00                 | 0.61                | 0.00               | 0.61              | 50.0 | 0.31                 |
|  | ACCOUNT #: 01455927788         | BUY 0 Units @0.0000              |                      |                     |                    |                   |      |                      |
| 03/07/2018   | ***-**-76IN - KELLY, JOHN      | FIDELITY ADV MF TRAILS           | 0.00                 | 2.08                | 0.00               | 2.08              | 50.0 | 1.04                 |
|  | ACCOUNT #: 01455927788         | BUY 0 Units @0.0000              |                      |                     |                    |                   |      |                      |
| 03/07/2018   | ***-**-76IN - KELLY, JOHN      | FIDELITY ADV NEW INSIGHTS-CL A   | 0.00                 | 2.09                | 0.00               | 2.09              | 50.0 | 1.05                 |
|  | ACCOUNT #: 01455927788         | BUY 0 Units @0.0000              |                      |                     |                    |                   |      |                      |
| 03/07/2018   | ***-**-76IN - KELLY, JOHN      | FIDELITY ADV TECHNOLOGY CL A     | 0.00                 | 1.61                | 0.00               | 1.61              | 50.0 | 0.81                 |
|  | ACCOUNT #: 01455927788         | BUY 0 Units @0.0000              |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-482I - LOHRMAN, SUSAN   | FUNDAMENTAL INVESTORS-A          | 0.00                 | 15.06               | 0.00               | 15.06             | 50.0 | 7.53                 |
|  | ACCOUNT #: 00068203091         | BUY 0 Units @0.0000              |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-273I - LOHRMAN, WILLIAM | FUNDAMENTAL INVESTORS-A          | 0.00                 | 10.20               | 0.00               | 10.20             | 50.0 | 5.10                 |
|  | ACCOUNT #: 00068203093         | BUY 0 Units @0.0000              |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-273T - LOHRMAN, WILLIAM | FUNDAMENTAL INVESTORS-A          | 0.00                 | 13.59               | 0.00               | 13.59             | 50.0 | 6.80                 |
|  | ACCOUNT #: 00085190315         | BUY 0 Units @0.0000              |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-482I - LOHRMAN, SUSAN   | NEW PERSPECTIVE FUND-A           | 0.00                 | 9.19                | 0.00               | 9.19              | 50.0 | 4.60                 |
|  | ACCOUNT #: 00068203091         | BUY 0 Units @0.0000              |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-273I - LOHRMAN, WILLIAM | NEW PERSPECTIVE FUND-A           | 0.00                 | 0.03                | 0.00               | 0.03              | 50.0 | 0.02                 |
|  | ACCOUNT #: 00068203093         | BUY 0 Units @0.0000              |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-24IN - MCWADE,          | NEW PERSPECTIVE FUND-A           | 0.00                 | 0.86                | 0.00               | 0.86              | 50.0 | 0.43                 |
|  | ACCOUNT #: 00083268984         | BUY 0 Units @0.0000              |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-273T - LOHRMAN, WILLIAM | NEW PERSPECTIVE FUND-A           | 0.00                 | 2.62                | 0.00               | 2.62              | 50.0 | 1.31                 |
|  | ACCOUNT #: 00085190315         | BUY 0 Units @0.0000              |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-338J - HARMON, DAVID    | NEW PERSPECTIVE FUND-A           | 0.00                 | 1.85                | 0.00               | 1.85              | 50.0 | 0.93                 |
|  | ACCOUNT #: 00073175704         | BUY 0 Units @0.0000              |                      |                     |                    |                   |      |                      |



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| DATE   | CLIENT                         | INVESTMENT                          | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|--|--------------------------------|-------------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b>BROKER TRANSACTIONS (continued)</b>                       |                                |                                     |                      |                     |                    |                   |      |                      |
| <b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</b> |                                |                                     |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-273I - LOHRMAN, WILLIAM | NEW WORLD FUND-A                    | 0.00                 | 2.02                | 0.00               | 2.02              | 50.0 | 1.01                 |
|  | ACCOUNT #: 00068203093         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-338J - HARMON, DAVID    | NEW WORLD FUND-A                    | 0.00                 | 1.53                | 0.00               | 1.53              | 50.0 | 0.77                 |
|  | ACCOUNT #: 00073175704         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-273I - LOHRMAN, WILLIAM | SMALLCAP WORLD FUND-A               | 0.00                 | 13.65               | 0.00               | 13.65             | 50.0 | 6.83                 |
|  | ACCOUNT #: 00068203093         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-24IN - MCWADE,          | SMALLCAP WORLD FUND-A               | 0.00                 | 0.84                | 0.00               | 0.84              | 50.0 | 0.42                 |
|  | ACCOUNT #: 00083268984         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-273T - LOHRMAN, WILLIAM | SMALLCAP WORLD FUND-A               | 0.00                 | 3.27                | 0.00               | 3.27              | 50.0 | 1.64                 |
|  | ACCOUNT #: 00085190315         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-338J - HARMON, DAVID    | SMALLCAP WORLD FUND-A               | 0.00                 | 2.15                | 0.00               | 2.15              | 50.0 | 1.08                 |
|  | ACCOUNT #: 00073175704         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-482I - LOHRMAN, SUSAN   | THE BOND FUND OF AMERICA-A          | 0.00                 | 7.65                | 0.00               | 7.65              | 50.0 | 3.83                 |
|  | ACCOUNT #: 00068203091         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-482I - LOHRMAN, SUSAN   | THE GROWTH FUND OF AMERICA-A        | 0.00                 | 14.93               | 0.00               | 14.93             | 50.0 | 7.47                 |
|  | ACCOUNT #: 00068203091         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-273I - LOHRMAN, WILLIAM | THE GROWTH FUND OF AMERICA-A        | 0.00                 | 6.81                | 0.00               | 6.81              | 50.0 | 3.41                 |
|  | ACCOUNT #: 00068203093         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-273I - LOHRMAN, WILLIAM | THE INCOME FUND OF AMERICA-A        | 0.00                 | 5.17                | 0.00               | 5.17              | 50.0 | 2.59                 |
|  | ACCOUNT #: 00068203093         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-24IN - MCWADE,          | THE INCOME FUND OF AMERICA-A        | 0.00                 | 0.73                | 0.00               | 0.73              | 50.0 | 0.37                 |
|  | ACCOUNT #: 00083268984         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-482I - LOHRMAN, SUSAN   | THE INVESTMENT COMPANY OF AMERICA-A | 0.00                 | 17.73               | 0.00               | 17.73             | 50.0 | 8.87                 |
|  | ACCOUNT #: 00068203091         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-273I - LOHRMAN, WILLIAM | THE INVESTMENT COMPANY OF AMERICA-A | 0.00                 | 6.01                | 0.00               | 6.01              | 50.0 | 3.01                 |
|  | ACCOUNT #: 00068203093         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-273T - LOHRMAN, WILLIAM | THE NEW ECONOMY FUND-A              | 0.00                 | 2.86                | 0.00               | 2.86              | 50.0 | 1.43                 |
|  | ACCOUNT #: 00085190315         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-482I - LOHRMAN, SUSAN   | U.S. GOVERNMENT SECURITIES FUND CLA | 0.00                 | 4.88                | 0.00               | 4.88              | 50.0 | 2.44                 |
|  | ACCOUNT #: 00068203091         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-482I - LOHRMAN, SUSAN   | WASHINGTON MUTUAL INVESTORS FUND-A  | 0.00                 | 23.64               | 0.00               | 23.64             | 50.0 | 11.82                |
|  | ACCOUNT #: 00068203091         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |



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March 12, 2018

ROBERT ADAMS  
P. O. Box 1855  
Dover, NH 03821

BROKER #: A43  
BRANCH #01001 - LifeMark Home Office

| DATE  | CLIENT  | INVESTMENT                                       | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|---|---|--|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b><u>BROKER TRANSACTIONS (continued)</u></b>                       |   |  |                      |                     |                    |                   |      |                      |
| <b><u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</u></b> |   |  |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-273I - LOHRMAN, WILLIAM WASHINGTON MUTUAL INVESTORS FUND-A | BUY 0 Units @0.0000                              | 0.00                 | 5.87                | 0.00               | 5.87              | 50.0 | 2.94                 |
|   | ACCOUNT #: 00068203093  |  |                      |                     |                    |                   |      |                      |
|   |   | <b>* MUTUAL FUND 12B1 TRAILS SUBTOTAL *</b>      | <b>\$0.00</b>        | <b>\$326.99</b>     | <b>\$0.00</b>      | <b>\$326.99</b>   |      | <b>\$163.65</b>      |
| <b><u>PRODUCT CATEGORY: VARIABLE ANNUITY 12B1 TRAILS</u></b>        |   |  |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-6437 - ADAMS REV TRUST, GENWORTH DTCC TRAILS               | BUY 0 Units @0.0000                              | 0.00                 | 19.81               | 0.00               | 19.81             | 50.0 | 9.91                 |
|   | ACCOUNT #: T06425024  |  |                      |                     |                    |                   |      |                      |
|   |   | <b>* VARIABLE ANNUITY 12B1 TRAILS SUBTOTAL *</b> | <b>\$0.00</b>        | <b>\$19.81</b>      | <b>\$0.00</b>      | <b>\$19.81</b>    |      | <b>\$9.91</b>        |
|   |   | <b>*** BROKER TRANSACTIONS TOTAL ***</b>         | <b>\$1,700.01</b>    | <b>\$354.30</b>     | <b>\$0.00</b>      | <b>\$354.30</b>   |      | <b>\$177.31</b>      |

## **BROKER COMMISSION TOTALS**

|                       |          |
|-----------------------|----------|
| Broker Transactions   | \$177.31 |
| Split Transactions    | \$0.00   |
| Override Transactions | \$0.00   |
| Adjustments           | \$0.00   |
| Payroll Draw          | \$0.00   |
| Base Salary           | \$0.00   |
| Prior Period Balance  | \$0.00   |
| FINRA Assessment      | \$0.00   |
| SIPC Assessment       | \$0.00   |

Please Retain for Your Records  
THERE WILL BE NO PAYMENT THIS PERIOD

|                              |               |
|------------------------------|---------------|
| <b>Balance Forward</b>       | <b>\$0.00</b> |
| <b>Year-to-date Earnings</b> | <b>\$0.00</b> |



# COMMISSION STATEMENT

March 12, 2018

PAUL AGLIATA  
607 Laurel Oak Court  
Cedar Knolls, NJ 07927

BROKER #: A86  
BRANCH #01001 - LifeMark Home Office

| DATE  | CLIENT                      | INVESTMENT                          | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|---|-----------------------------|-------------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b><u>BROKER TRANSACTIONS</u></b>                       |                             |                                     |                      |                     |                    |                   |      |                      |
| <b><u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u></b> |                             |                                     |                      |                     |                    |                   |      |                      |
| 03/12/2018  | ***-**-802X - SWAIN, TRACEY | NUVEEN SMALL CAP GROWTH OPPORT CL A | 0.00                 | 6.90                | 0.00               | 6.90              | 70.0 | 4.83                 |
|   | ACCOUNT #: LSR011245        | BUY 1 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/12/2018  | ***-**-8530 - MCGILL, TOD   | NUVEEN SMALL CAP GROWTH OPPORT CL A | 0.00                 | 7.89                | 0.00               | 7.89              | 70.0 | 5.52                 |
|   | ACCOUNT #: LSR011720        | BUY 1 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| * MUTUAL FUND 12B1 TRAILS SUBTOTAL *                    |                             |                                     | \$0.00               | \$14.79             | \$0.00             | \$14.79           |      | \$10.35              |
| *** BROKER TRANSACTIONS TOTAL ***                       |                             |                                     | \$0.00               | \$14.79             | \$0.00             | \$14.79           |      | \$10.35              |

## **BROKER COMMISSION TOTALS**

|                       |         |
|-----------------------|---------|
| Broker Transactions   | \$10.35 |
| Split Transactions    | \$0.00  |
| Override Transactions | \$0.00  |
| Adjustments           | \$0.00  |
| Payroll Draw          | \$0.00  |
| Base Salary           | \$0.00  |
| Prior Period Balance  | \$0.00  |
| FINRA Assessment      | \$0.00  |
| SIPC Assessment       | \$0.00  |

Please Retain for Your Records  
THERE WILL BE NO PAYMENT THIS PERIOD

|                              |               |
|------------------------------|---------------|
| <b>Balance Forward</b>       | <b>\$0.00</b> |
| <b>Year-to-date Earnings</b> | <b>\$0.00</b> |



# COMMISSION STATEMENT

March 12, 2018

**DRAKE AGUILLARD**  
1241 East Laurel Avenue  
Eunice, LA 70535

**BROKER #: A31**  
BRANCH #01001 - LifeMark Home Office

| DATE  | CLIENT                        | INVESTMENT                          | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|---|-------------------------------|-------------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b><u>BROKER TRANSACTIONS</u></b>                       |                               |                                     |                      |                     |                    |                   |      |                      |
| <b><u>PRODUCT CATEGORY: MUTUAL FUNDS</u></b>            |                               |                                     |                      |                     |                    |                   |      |                      |
| 03/05/2018  | ***-**-68IR - CRAWFORD, KEVIN | FRANKLIN GROWTH FUND CLASS A        | 90.03                | 1.44                | 0.00               | 1.44              | 50.0 | 0.72                 |
|   | ACCOUNT #: LSR012287          | BUY 1 Units @100.0300               |                      |                     |                    |                   |      |                      |
| 03/05/2018  | ***-**-68IR - CRAWFORD, KEVIN | FRANKLIN RISING DIVIDENDS FD CLASS  | 90.00                | 1.44                | 0.00               | 1.44              | 50.0 | 0.72                 |
|   | ACCOUNT #: LSR012287          | BUY 1 Units @61.8100                |                      |                     |                    |                   |      |                      |
| 03/05/2018  | ***-**-68IR - CRAWFORD, KEVIN | FRANKLIN SMALL-MID CAP GROWTH FUND  | 90.01                | 1.44                | 0.00               | 1.44              | 50.0 | 0.72                 |
|   | ACCOUNT #: LSR012287          | BUY 2 Units @37.4400                |                      |                     |                    |                   |      |                      |
| 03/05/2018  | ***-**-68IR - CRAWFORD, KEVIN | FRK NATURAL RES FND - CL A          | 90.01                | 1.44                | 0.00               | 1.44              | 50.0 | 0.72                 |
|   | ACCOUNT #: LSR012287          | BUY 3 Units @26.3500                |                      |                     |                    |                   |      |                      |
| 03/05/2018  | ***-**-68IR - CRAWFORD, KEVIN | FRK REAL EST SEC FND - CL A         | 89.99                | 1.44                | 0.00               | 1.44              | 50.0 | 0.72                 |
|   | ACCOUNT #: LSR012287          | BUY 5 Units @19.3200                |                      |                     |                    |                   |      |                      |
| 03/05/2018  | ***-**-68IR - CRAWFORD, KEVIN | MUTUAL SERIES QUALIFIED CLASS A     | 90.00                | 1.44                | 0.00               | 1.44              | 50.0 | 0.72                 |
|   | ACCOUNT #: LSR012287          | BUY 6 Units @16.0200                |                      |                     |                    |                   |      |                      |
| <b>* MUTUAL FUNDS SUBTOTAL *</b>                        |                               |                                     | <b>\$540.04</b>      | <b>\$8.64</b>       | <b>\$0.00</b>      | <b>\$8.64</b>     |      | <b>\$4.32</b>        |
| <b><u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u></b> |                               |                                     |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-12IN - POND, LISA      | AMERICAN BALANCED FUND-A            | 0.00                 | 6.49                | 0.00               | 6.49              | 50.0 | 3.25                 |
|   | ACCOUNT #: 00087336232        | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-12IN - POND, LISA      | AMERICAN HIGH-INCOME TRUST-A        | 0.00                 | 4.96                | 0.00               | 4.96              | 50.0 | 2.48                 |
|   | ACCOUNT #: 00087336232        | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-12IN - POND, LISA      | AMERICAN MUTUAL FUND-A              | 0.00                 | 6.98                | 0.00               | 6.98              | 50.0 | 3.49                 |
|   | ACCOUNT #: 00087336232        | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-12IN - POND, LISA      | CAPITAL INCOME BUILDER-A            | 0.00                 | 5.56                | 0.00               | 5.56              | 50.0 | 2.78                 |
|   | ACCOUNT #: 00087336232        | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-12IN - POND, LISA      | CAPITAL WORLD GROWTH AND INCOME FUN | 0.00                 | 6.49                | 0.00               | 6.49              | 50.0 | 3.25                 |
|   | ACCOUNT #: 00087336232        | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-12IN - POND, LISA      | EUROPACIFIC GROWTH FUND-A           | 0.00                 | 6.10                | 0.00               | 6.10              | 50.0 | 3.05                 |
|   | ACCOUNT #: 00087336232        | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-12IN - POND, LISA      | NEW WORLD FUND-A                    | 0.00                 | 5.59                | 0.00               | 5.59              | 50.0 | 2.80                 |
|   | ACCOUNT #: 00087336232        | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-12IN - POND, LISA      | SMALLCAP WORLD FUND-A               | 0.00                 | 6.89                | 0.00               | 6.89              | 50.0 | 3.45                 |
|   | ACCOUNT #: 00087336232        | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-12IN - POND, LISA      | THE INVESTMENT COMPANY OF AMERICA-A | 0.00                 | 7.53                | 0.00               | 7.53              | 50.0 | 3.77                 |
|   | ACCOUNT #: 00087336232        | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |



# COMMISSION STATEMENT

March 12, 2018

**DRAKE AGUILLARD**  
1241 East Laurel Avenue  
Eunice, LA 70535

**BROKER #: A31**  
BRANCH #01001 - LifeMark Home Office

| DATE | CLIENT | INVESTMENT                           | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|------|--------|--------------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
|      |        | * MUTUAL FUND 12B1 TRAILS SUBTOTAL * | \$0.00               | \$56.59             | \$0.00             | \$56.59           |      | \$28.32              |
|      |        | *** BROKER TRANSACTIONS TOTAL ***    | \$540.04             | \$65.23             | \$0.00             | \$65.23           |      | \$32.64              |

## BROKER COMMISSION TOTALS

|                       |         |
|-----------------------|---------|
| Broker Transactions   | \$32.64 |
| Split Transactions    | \$0.00  |
| Override Transactions | \$0.00  |
| Adjustments           | \$0.00  |
| Payroll Draw          | \$0.00  |
| Base Salary           | \$0.00  |
| Prior Period Balance  | \$0.00  |
| FINRA Assessment      | \$0.00  |
| SIPC Assessment       | \$0.00  |

Please Retain for Your Records  
THERE WILL BE NO PAYMENT THIS PERIOD

|                              |               |
|------------------------------|---------------|
| <b>Balance Forward</b>       | <b>\$0.00</b> |
| <b>Year-to-date Earnings</b> | <b>\$0.00</b> |



# COMMISSION STATEMENT

March 12, 2018

LORI ALBERTS  
400 WEST METRO PARK  
ROCHESTER, NY 14623

BROKER #: 961 Terminated 03/26/2013  
BRANCH #01001 - LifeMark Home Office

| DATE                      | CLIENT | INVESTMENT                      | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|---------------------------|--------|---------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b><u>ADJUSTMENTS</u></b> |        |                                 |                      |                     |                    |                   |      |                      |
| 03/07/2018                |        | PRIOR PERIOD BALANCE(SEE BELOW) | 0.00                 | 0.00                | 0.00               | 0.00              |      | 0.00                 |
| *** ADJUSTMENTS TOTAL *** |        |                                 | <u>\$0.00</u>        | <u>\$0.00</u>       | <u>\$0.00</u>      | <u>\$0.00</u>     |      | <u>\$0.00</u>        |

## **BROKER COMMISSION TOTALS**

|                       |         |
|-----------------------|---------|
| Broker Transactions   | \$0.00  |
| Split Transactions    | \$0.00  |
| Override Transactions | \$0.00  |
| Adjustments           | \$0.00  |
| Payroll Draw          | \$0.00  |
| Base Salary           | \$0.00  |
| Prior Period Balance  | \$30.81 |
| FINRA Assessment      | \$0.00  |
| SIPC Assessment       | \$0.00  |

Please Retain for Your Records  
THERE WILL BE NO PAYMENT THIS PERIOD

|                              |                |
|------------------------------|----------------|
| <b>Balance Forward</b>       | <b>\$30.81</b> |
| <b>Year-to-date Earnings</b> | <b>\$0.00</b>  |





# COMMISSION STATEMENT

March 12, 2018

MARIE ALI  
331 Crestmont Street  
STE B32  
Pen Argyl, PA 18072

BROKER #: A59 Terminated 12/31/2015  
BRANCH #01001 - LifeMark Home Office

| DATE                      | CLIENT | INVESTMENT                      | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|---------------------------|--------|---------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b><u>ADJUSTMENTS</u></b> |        |                                 |                      |                     |                    |                   |      |                      |
| / /                       |        | PRIOR PERIOD BALANCE(SEE BELOW) | 0.00                 | 0.00                | 0.00               | 0.00              |      | 0.00                 |
|                           |        | *** ADJUSTMENTS TOTAL ***       | <u>\$0.00</u>        | <u>\$0.00</u>       | <u>\$0.00</u>      | <u>\$0.00</u>     |      | <u>\$0.00</u>        |

## BROKER COMMISSION TOTALS

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

Please Retain for Your Records  
THERE WILL BE NO PAYMENT THIS PERIOD

|                              |               |
|------------------------------|---------------|
| <b>Balance Forward</b>       | <b>\$0.00</b> |
| <b>Year-to-date Earnings</b> | <b>\$0.00</b> |



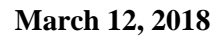
# COMMISSION STATEMENT

## March 12, 2018

JOHN AMBRUSCO  
317 Pequot Avenue  
PO Box 528  
Southport, CT 06890

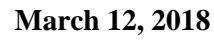
BROKER #: 468  
BRANCH #01001 - LifeMark Home Office

| DATE  | CLIENT   | INVESTMENT                                      | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|---|--|---|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b><u>BROKER TRANSACTIONS</u></b>                       |  |   |                      |                     |                    |                   |      |                      |
| <b><u>PRODUCT CATEGORY: MUTUAL FUNDS</u></b>            |  |   |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-185P - SOKOLOWSKA,<br>ACCOUNT #: 01469206344    | FIDELITY ADV MF 040813<br>BUY 8 Units @21.2200  | 175.00               | 8.75                | 0.00               | 8.75              | 50.0 | 4.38                 |
| 03/01/2018  | ***-**-185P - SOKOLOWSKA,<br>ACCOUNT #: 01487146209    | FIDELITY ADV MF 040813<br>BUY 8 Units @21.2200  | 175.00               | 8.75                | 0.00               | 8.75              | 50.0 | 4.38                 |
| 03/01/2018  | ***-**-185P - SOKOLOWSKA,<br>ACCOUNT #: 01468375868    | FIDELITY ADV MF 040813<br>BUY 8 Units @21.2200  | 175.00               | 8.75                | 0.00               | 8.75              | 50.0 | 4.38                 |
| * MUTUAL FUNDS SUBTOTAL *                               |  |   | <b>\$525.00</b>      | <b>\$26.25</b>      | <b>\$0.00</b>      | <b>\$26.25</b>    |      | <b>\$13.14</b>       |
| <b><u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u></b> |  |   |                      |                     |                    |                   |      |                      |
| 03/08/2018  | ***-**-88IN - CARSON, RICHARD<br>ACCOUNT #: 0616685542 | DREYFUS MF TRAILS<br>BUY 0 Units @0.0000        | 0.00                 | 2.57                | 0.00               | 2.57              | 50.0 | 1.29                 |
| 03/08/2018  | ***-**-8866 - PJURA, ANNE T<br>ACCOUNT #: 3357369994   | DREYFUS MF TRAILS<br>BUY 0 Units @0.0000        | 0.00                 | 24.48               | 0.00               | 24.48             | 50.0 | 12.24                |
| 03/07/2018  | ***-**-0250 - RUBINO,<br>ACCOUNT #: 00701378648        | FA 529 COLLEGE PORT-CL A<br>BUY 0 Units @0.0000 | 0.00                 | 0.16                | 0.00               | 0.16              | 50.0 | 0.08                 |
| 03/07/2018  | ***-**-615P - AMBRUSCO, JOHN<br>ACCOUNT #: 00625334479 | FA 529 PORT 2025-CL A<br>BUY 0 Units @0.0000    | 0.00                 | 1.11                | 0.00               | 1.11              | 50.0 | 0.56                 |
| 03/07/2018  | ***-**-615P - AMBRUSCO, JOHN<br>ACCOUNT #: 01453260323 | FA 529 PORT 2028-CL A<br>BUY 0 Units @0.0000    | 0.00                 | 0.74                | 0.00               | 0.74              | 50.0 | 0.37                 |
| 03/07/2018  | ***-**-185P - SOKOLOWSKA,<br>ACCOUNT #: 01468375868    | FIDELITY ADV MF 040813<br>BUY 0 Units @0.0000   | 0.00                 | 3.35                | 0.00               | 3.35              | 50.0 | 1.68                 |
| 03/07/2018  | ***-**-185P - SOKOLOWSKA,<br>ACCOUNT #: 01469206344    | FIDELITY ADV MF 040813<br>BUY 0 Units @0.0000   | 0.00                 | 3.25                | 0.00               | 3.25              | 50.0 | 1.63                 |
| 03/07/2018  | ***-**-185P - SOKOLOWSKA,<br>ACCOUNT #: 01487146209    | FIDELITY ADV MF 040813<br>BUY 0 Units @0.0000   | 0.00                 | 0.72                | 0.00               | 0.72              | 50.0 | 0.36                 |
| * MUTUAL FUND 12B1 TRAILS SUBTOTAL *                    |  |   | <b>\$0.00</b>        | <b>\$36.38</b>      | <b>\$0.00</b>      | <b>\$36.38</b>    |      | <b>\$18.21</b>       |
| *** BROKER TRANSACTIONS TOTAL ***                       |  |   | <b>\$525.00</b>      | <b>\$62.63</b>      | <b>\$0.00</b>      | <b>\$62.63</b>    |      | <b>\$31.35</b>       |



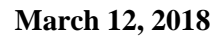
**BROKER #:** 468  
**BRANCH** #01001 - LifeMark Home Office

|      |        | INVESTMENT | GROSS      | CLEARING                             | NET        | BROKER |                                 |
|------|--------|------------|------------|--------------------------------------|------------|--------|---------------------------------|
| DATE | CLIENT | AMOUNT     | COMMISSION | CHARGE                               | COMMISSION | RATE   | COMMISSION                      |
|      |        |            |            |                                      |            |        | <b>BROKER COMMISSION TOTALS</b> |
|      |        |            |            | Broker Transactions                  |            |        | \$31.35                         |
|      |        |            |            | Split Transactions                   |            |        | \$0.00                          |
|      |        |            |            | Override Transactions                |            |        | \$0.00                          |
|      |        |            |            | Adjustments                          |            |        | \$0.00                          |
|      |        |            |            | Payroll Draw                         |            |        | \$0.00                          |
|      |        |            |            | Base Salary                          |            |        | \$0.00                          |
|      |        |            |            | Prior Period Balance                 |            |        | \$0.00                          |
|      |        |            |            | FINRA Assessment                     |            |        | \$0.00                          |
|      |        |            |            | SIPC Assessment                      |            |        | \$0.00                          |
|      |        |            |            |                                      |            |        |                                 |
|      |        |            |            | Please Retain for Your Records       |            |        |                                 |
|      |        |            |            | THERE WILL BE NO PAYMENT THIS PERIOD |            |        |                                 |
|      |        |            |            | Balance Forward                      |            |        | \$0.00                          |
|      |        |            |            | Year-to-date Earnings                |            |        | \$0.00                          |



BROKER #: A22      Terminated 11/20/2017  
BRANCH #01001 - LifeMark Home Office

| DATE   | CLIENT | INVESTMENT | INVESTMENT<br>AMOUNT            | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION                   | RATE   | BROKER<br>COMMISSION |
|--|--------|------------|---------------------------------|---------------------|--------------------|-------------------------------------|--------|----------------------|
| <div>ADJUSTMENTS</div>   |        |            |                                 |                     |                    |                                     |        |                      |
| /  | /      |            | PRIOR PERIOD BALANCE(SEE BELOW) | 0.00                | 0.00               | 0.00                                | 0.00   | 0.00                 |
|  |        |            | *** ADJUSTMENTS TOTAL ***       | \$0.00              | \$0.00             | \$0.00                              | \$0.00 | \$0.00               |
|  |        |            |                                 |                     |                    | <div>BROKER COMMISSION TOTALS</div> |        |                      |
|  |        |            |                                 |                     |                    | Broker Transactions                 |        | \$0.00               |
|  |        |            |                                 |                     |                    | Split Transactions                  |        | \$0.00               |
|  |        |            |                                 |                     |                    | Override Transactions               |        | \$0.00               |
|  |        |            |                                 |                     |                    | Adjustments                         |        | \$0.00               |
|  |        |            |                                 |                     |                    | Payroll Draw                        |        | \$0.00               |
|  |        |            |                                 |                     |                    | Base Salary                         |        | \$0.00               |
|  |        |            |                                 |                     |                    | Prior Period Balance                |        | \$0.00               |
|  |        |            |                                 |                     |                    | FINRA Assessment                    |        | \$0.00               |
|  |        |            |                                 |                     |                    | SIPC Assessment                     |        | \$0.00               |
| Please Retain for Your Records<br>THERE WILL BE NO PAYMENT THIS PERIOD |        |            |                                 |                     |                    | Balance Forward                     |        | \$0.00               |
|  |        |            |                                 |                     |                    | Year-to-date Earnings               |        | \$0.00               |



BROKER #: A90      Terminated 11/09/2017  
BRANCH #01001 - LifeMark Home Office

| DATE   | CLIENT | INVESTMENT | INVESTMENT<br>AMOUNT            | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION                   | RATE   | BROKER<br>COMMISSION |
|--|--------|------------|---------------------------------|---------------------|--------------------|-------------------------------------|--------|----------------------|
| <div>ADJUSTMENTS</div>   |        |            |                                 |                     |                    |                                     |        |                      |
| /  | /      |            | PRIOR PERIOD BALANCE(SEE BELOW) | 0.00                | 0.00               | 0.00                                | 0.00   | 0.00                 |
|  |        |            | *** ADJUSTMENTS TOTAL ***       | \$0.00              | \$0.00             | \$0.00                              | \$0.00 | \$0.00               |
|  |        |            |                                 |                     |                    | <div>BROKER COMMISSION TOTALS</div> |        |                      |
|  |        |            |                                 |                     |                    | Broker Transactions                 |        | \$0.00               |
|  |        |            |                                 |                     |                    | Split Transactions                  |        | \$0.00               |
|  |        |            |                                 |                     |                    | Override Transactions               |        | \$0.00               |
|  |        |            |                                 |                     |                    | Adjustments                         |        | \$0.00               |
|  |        |            |                                 |                     |                    | Payroll Draw                        |        | \$0.00               |
|  |        |            |                                 |                     |                    | Base Salary                         |        | \$0.00               |
|  |        |            |                                 |                     |                    | Prior Period Balance                |        | \$0.00               |
|  |        |            |                                 |                     |                    | FINRA Assessment                    |        | \$0.00               |
|  |        |            |                                 |                     |                    | SIPC Assessment                     |        | \$0.00               |
| Please Retain for Your Records<br>THERE WILL BE NO PAYMENT THIS PERIOD |        |            |                                 |                     |                    | Balance Forward                     |        | \$0.00               |
|  |        |            |                                 |                     |                    | Year-to-date Earnings               |        | \$0.00               |



# COMMISSION STATEMENT

March 12, 2018

BRUCE AUNGST  
PO Box 310  
Stevensville, MI 49127-0310

BROKER #: 696 Terminated 07/29/2008  
BRANCH #01001 - LifeMark Home Office

| DATE   | CLIENT | INVESTMENT                      | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION   | RATE | BROKER<br>COMMISSION         |
|--|--------|---------------------------------|----------------------|---------------------|--------------------|---|------|------------------------------|
| <div>ADJUSTMENTS</div>   |        |                                 |                      |                     |                    |   |      |                              |
| 03/07/2018   |        | PRIOR PERIOD BALANCE(SEE BELOW) | 0.00                 | 0.00                | 0.00               | 0.00  |      | 0.00                         |
|  |        | *** ADJUSTMENTS TOTAL ***       | \$0.00               | \$0.00              | \$0.00             | \$0.00  |      | \$0.00                       |
| <div>BROKER COMMISSION TOTALS</div>                                    |        |                                 |                      |                     |                    |   |      |                              |
|  |        |                                 |                      |                     |                    |   |      | Broker Transactions \$0.00   |
|  |        |                                 |                      |                     |                    |   |      | Split Transactions \$0.00    |
|  |        |                                 |                      |                     |                    |   |      | Override Transactions \$0.00 |
|  |        |                                 |                      |                     |                    |   |      | Adjustments \$0.00           |
|  |        |                                 |                      |                     |                    |   |      | Payroll Draw \$0.00          |
|  |        |                                 |                      |                     |                    |   |      | Base Salary \$0.00           |
|  |        |                                 |                      |                     |                    |   |      | Prior Period Balance \$0.00  |
|  |        |                                 |                      |                     |                    |   |      | FINRA Assessment \$0.00      |
|  |        |                                 |                      |                     |                    |   |      | SIPC Assessment \$0.00       |
| Please Retain for Your Records<br>THERE WILL BE NO PAYMENT THIS PERIOD |        |                                 |                      |                     |                    | <div><div>Balance Forward \$0.00</div><div>Year-to-date Earnings \$0.00</div></div> |      |                              |



# COMMISSION STATEMENT

March 12, 2018

DANNY BAIRD  
10000 Heritage Drive  
Shreveport, LA 71115

BROKER #: B03 Terminated 01/30/2018  
BRANCH #01001 - LifeMark Home Office

| DATE   | CLIENT | INVESTMENT                      | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION                |
|--|--------|---------------------------------|----------------------|---------------------|--------------------|-------------------|------|-------------------------------------|
| <b><u>ADJUSTMENTS</u></b>  |        |                                 |                      |                     |                    |                   |      |                                     |
| / /  |        | PRIOR PERIOD BALANCE(SEE BELOW) | 0.00                 | 0.00                | 0.00               | 0.00              |      | 0.00                                |
|  |        | *** ADJUSTMENTS TOTAL ***       | <u>\$0.00</u>        | <u>\$0.00</u>       | <u>\$0.00</u>      | <u>\$0.00</u>     |      | <u>\$0.00</u>                       |
| <b><u>BROKER COMMISSION TOTALS</u></b>                                 |        |                                 |                      |                     |                    |                   |      |                                     |
|  |        |                                 |                      |                     |                    |                   |      | Broker Transactions \$0.00          |
|  |        |                                 |                      |                     |                    |                   |      | Split Transactions \$0.00           |
|  |        |                                 |                      |                     |                    |                   |      | Override Transactions \$0.00        |
|  |        |                                 |                      |                     |                    |                   |      | Adjustments \$0.00                  |
|  |        |                                 |                      |                     |                    |                   |      | Payroll Draw \$0.00                 |
|  |        |                                 |                      |                     |                    |                   |      | Base Salary \$0.00                  |
|  |        |                                 |                      |                     |                    |                   |      | Prior Period Balance \$0.00         |
|  |        |                                 |                      |                     |                    |                   |      | FINRA Assessment \$0.00             |
|  |        |                                 |                      |                     |                    |                   |      | SIPC Assessment \$0.00              |
| Please Retain for Your Records<br>THERE WILL BE NO PAYMENT THIS PERIOD |        |                                 |                      |                     |                    |                   |      |                                     |
|  |        |                                 |                      |                     |                    |                   |      | <b>Balance Forward \$0.00</b>       |
|  |        |                                 |                      |                     |                    |                   |      | <b>Year-to-date Earnings \$0.00</b> |



# COMMISSION STATEMENT

March 12, 2018

ALFREDO BALLESTEROS  
21830 Walnut Street  
Wildmar, CA 92595

BROKER #: B10  
BRANCH #01001 - LifeMark Home Office

| DATE  | CLIENT                         | INVESTMENT                   | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|---|--------------------------------|------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b><u>BROKER TRANSACTIONS</u></b>                       |                                |                              |                      |                     |                    |                   |      |                      |
| <b><u>PRODUCT CATEGORY: MUTUAL FUNDS</u></b>            |                                |                              |                      |                     |                    |                   |      |                      |
| 03/02/2018  | ***-**-0385 - SJOERDSMA, ANN   | AMERICAN BALANCED FUND-A     | 50.00                | 2.50                | 0.00               | 2.50              | 80.0 | 2.00                 |
|   | ACCOUNT #: 00087919970         | BUY 2 Units @28.6300         |                      |                     |                    |                   |      |                      |
| 03/02/2018  | ***-**-9808 - SJOERDSMA, GREGG | AMERICAN BALANCED FUND-A     | 50.00                | 2.50                | 0.00               | 2.50              | 80.0 | 2.00                 |
|   | ACCOUNT #: 00087919902         | BUY 2 Units @28.6300         |                      |                     |                    |                   |      |                      |
| 03/02/2018  | ***-**-0385 - SJOERDSMA, ANN   | THE BOND FUND OF AMERICA-A   | 50.00                | 1.50                | 0.00               | 1.50              | 80.0 | 1.20                 |
|   | ACCOUNT #: 00087919970         | BUY 4 Units @13.0800         |                      |                     |                    |                   |      |                      |
| 03/02/2018  | ***-**-9808 - SJOERDSMA, GREGG | THE BOND FUND OF AMERICA-A   | 50.00                | 1.50                | 0.00               | 1.50              | 80.0 | 1.20                 |
|   | ACCOUNT #: 00087919902         | BUY 4 Units @13.0800         |                      |                     |                    |                   |      |                      |
| 03/02/2018  | ***-**-0385 - SJOERDSMA, ANN   | THE GROWTH FUND OF AMERICA-A | 50.00                | 2.50                | 0.00               | 2.50              | 80.0 | 2.00                 |
|   | ACCOUNT #: 00087919970         | BUY 1 Units @55.0600         |                      |                     |                    |                   |      |                      |
| 03/02/2018  | ***-**-9808 - SJOERDSMA, GREGG | THE GROWTH FUND OF AMERICA-A | 50.00                | 2.50                | 0.00               | 2.50              | 80.0 | 2.00                 |
|   | ACCOUNT #: 00087919902         | BUY 1 Units @55.0600         |                      |                     |                    |                   |      |                      |
| 03/02/2018  | ***-**-0385 - SJOERDSMA, ANN   | THE INCOME FUND OF AMERICA-A | 50.00                | 2.50                | 0.00               | 2.50              | 80.0 | 2.00                 |
|   | ACCOUNT #: 00087919970         | BUY 2 Units @24.3800         |                      |                     |                    |                   |      |                      |
| 03/02/2018  | ***-**-9808 - SJOERDSMA, GREGG | THE INCOME FUND OF AMERICA-A | 50.00                | 2.50                | 0.00               | 2.50              | 80.0 | 2.00                 |
|   | ACCOUNT #: 00087919902         | BUY 2 Units @24.3800         |                      |                     |                    |                   |      |                      |
| <b>* MUTUAL FUNDS SUBTOTAL *</b>                        |                                |                              | <b>\$400.00</b>      | <b>\$18.00</b>      | <b>\$0.00</b>      | <b>\$18.00</b>    |      | <b>\$14.40</b>       |
| <b><u>PRODUCT CATEGORY: RIA</u></b>                     |                                |                              |                      |                     |                    |                   |      |                      |
| 03/08/2018  | ***-**-86FB - GALLEGOS,        | TD AMERITRADE RIA FEE        | 0.00                 | 86.06               | 0.00               | 86.06             | 80.0 | 68.85                |
|   |                                | BUY 1 Units @0.0000          |                      |                     |                    |                   |      |                      |
| <b>* RIA SUBTOTAL *</b>                                 |                                |                              | <b>\$0.00</b>        | <b>\$86.06</b>      | <b>\$0.00</b>      | <b>\$86.06</b>    |      | <b>\$68.85</b>       |
| <b><u>PRODUCT CATEGORY: VARIABLE UNIVERSAL LIFE</u></b> |                                |                              |                      |                     |                    |                   |      |                      |
| 03/12/2018  | ***-**-4597 - RIVERA,          | SBL TRAILS                   | 0.00                 | 16.53               | 0.00               | 16.53             | 80.0 | 13.22                |
|   | ACCOUNT #: 565906490           | BUY 1 Units @0.0000          |                      |                     |                    |                   |      |                      |
| 03/12/2018  | ***-**-4597 - RIVERA,          | SBL TRAILS                   | 0.00                 | 23.70               | 0.00               | 23.70             | 80.0 | 18.96                |
|   | ACCOUNT #: 565906490           | BUY 1 Units @0.0000          |                      |                     |                    |                   |      |                      |
| 03/12/2018  | ***-**-4597 - RIVERA,          | SBL TRAILS                   | 0.00                 | 94.71               | 0.00               | 94.71             | 80.0 | 75.77                |
|   | ACCOUNT #: 565906490           | BUY 1 Units @0.0000          |                      |                     |                    |                   |      |                      |
| <b>* VARIABLE UNIVERSAL LIFE SUBTOTAL *</b>             |                                |                              | <b>\$0.00</b>        | <b>\$134.94</b>     | <b>\$0.00</b>      | <b>\$134.94</b>   |      | <b>\$107.95</b>      |





# COMMISSION STATEMENT

March 12, 2018

ALFREDO BALLESTEROS  
21830 Walnut Street  
Wildmar, CA 92595

BROKER #: B10  
BRANCH #01001 - LifeMark Home Office

| DATE  | CLIENT                         | INVESTMENT                         | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|---|--------------------------------|------------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b><u>BROKER TRANSACTIONS (continued)</u></b>           |                                |                                    |                      |                     |                    |                   |      |                      |
| <b><u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u></b> |                                |                                    |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-9952 - NGUYEN, VICKIE   | AMERICAN BALANCED FUND-529A        | 0.00                 | 0.37                | 0.00               | 0.37              | 80.0 | 0.30                 |
|   | ACCOUNT #: 04000496355         | BUY 0 Units @0.0000                |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-9952 - NGUYEN, VICKIE   | AMERICAN BALANCED FUND-529A        | 0.00                 | 0.30                | 0.00               | 0.30              | 80.0 | 0.24                 |
|   | ACCOUNT #: 04000496381         | BUY 0 Units @0.0000                |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-6399 - STANDRIDGE,      | AMERICAN BALANCED FUND-529A        | 0.00                 | 0.63                | 0.00               | 0.63              | 80.0 | 0.50                 |
|   | ACCOUNT #: 00087001938         | BUY 0 Units @0.0000                |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-9848 - WONG, WALTER     | AMERICAN BALANCED FUND-A           | 0.00                 | 18.60               | 0.00               | 18.60             | 80.0 | 14.88                |
|   | ACCOUNT #: 00086763957         | BUY 0 Units @0.0000                |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-9808 - SJOERDSMA, GREGG | AMERICAN BALANCED FUND-A           | 0.00                 | 1.40                | 0.00               | 1.40              | 80.0 | 1.12                 |
|   | ACCOUNT #: 00087919902         | BUY 0 Units @0.0000                |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-0385 - SJOERDSMA, ANN   | AMERICAN BALANCED FUND-A           | 0.00                 | 1.40                | 0.00               | 1.40              | 80.0 | 1.12                 |
|   | ACCOUNT #: 00087919970         | BUY 0 Units @0.0000                |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-0062 - METZGER, JEANNE  | AMERICAN BALANCED FUND-A           | 0.00                 | 24.77               | 0.00               | 24.77             | 80.0 | 19.82                |
|   | ACCOUNT #: 00088356573         | BUY 0 Units @0.0000                |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-5022 - BELMONT, NATALIE | AMERICAN BALANCED FUND-A           | 0.00                 | 11.46               | 0.00               | 11.46             | 80.0 | 9.17                 |
|   | ACCOUNT #: 00088478934         | BUY 0 Units @0.0000                |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-8759 - BELMONT, CHELSIE | AMERICAN BALANCED FUND-A           | 0.00                 | 1.20                | 0.00               | 1.20              | 80.0 | 0.96                 |
|   | ACCOUNT #: 00089762271         | BUY 0 Units @0.0000                |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-0405 - STANDRIDGE,      | AMERICAN FUNDS GRWTH & INCOME PORT | 0.00                 | 4.83                | 0.00               | 4.83              | 80.0 | 3.86                 |
|   | ACCOUNT #: 00088289866         | BUY 0 Units @0.0000                |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-7653 - CHEBAT, JOE      | AMERICAN GLOBAL BALANCED CLASS A   | 0.00                 | 0.22                | 0.00               | 0.22              | 80.0 | 0.18                 |
|   | ACCOUNT #: 00085829209         | BUY 0 Units @0.0000                |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-6619 - NAGY, MARNI      | CAPITAL INCOME BUILDER-529A        | 0.00                 | 13.62               | 0.00               | 13.62             | 80.0 | 10.90                |
|   | ACCOUNT #: 00087833902         | BUY 0 Units @0.0000                |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-6619 - NAGY, MARNI      | CAPITAL INCOME BUILDER-529A        | 0.00                 | 16.59               | 0.00               | 16.59             | 80.0 | 13.27                |
|   | ACCOUNT #: 00087833978         | BUY 0 Units @0.0000                |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-8019 - NAGY, DOUGLAS    | CAPITAL INCOME BUILDER-A           | 0.00                 | 5.67                | 0.00               | 5.67              | 80.0 | 4.54                 |
|   | ACCOUNT #: 00086431415         | BUY 0 Units @0.0000                |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-6619 - NAGY, MARNI      | CAPITAL INCOME BUILDER-A           | 0.00                 | 3.39                | 0.00               | 3.39              | 80.0 | 2.71                 |
|   | ACCOUNT #: 00086431809         | BUY 0 Units @0.0000                |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-6619 - NAGY, MARNI      | CAPITAL INCOME BUILDER-A           | 0.00                 | 1.54                | 0.00               | 1.54              | 80.0 | 1.23                 |
|   | ACCOUNT #: 00086433132         | BUY 0 Units @0.0000                |                      |                     |                    |                   |      |                      |



# COMMISSION STATEMENT

March 12, 2018

ALFREDO BALLESTEROS  
21830 Walnut Street  
Wildmar, CA 92595

BROKER #: B10  
BRANCH #01001 - LifeMark Home Office

| DATE   | CLIENT   | INVESTMENT   | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|--|--|--|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b>BROKER TRANSACTIONS (continued)</b>                       |  |  |                      |                     |                    |                   |      |                      |
| <b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</b> |  |  |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-6619 - NAGY, MARNI<br>ACCOUNT #: 00086433203      | CAPITAL INCOME BUILDER-A<br>BUY 0 Units @0.0000            | 0.00                 | 1.54                | 0.00               | 1.54              | 80.0 | 1.23                 |
| 03/01/2018   | ***-**-6619 - NAGY, MARNI<br>ACCOUNT #: 00087834101      | CAPITAL INCOME BUILDER-A<br>BUY 0 Units @0.0000            | 0.00                 | 0.96                | 0.00               | 0.96              | 80.0 | 0.77                 |
| 03/01/2018   | ***-**-6619 - NAGY, MARNI<br>ACCOUNT #: 00087834962      | CAPITAL INCOME BUILDER-A<br>BUY 0 Units @0.0000            | 0.00                 | 0.96                | 0.00               | 0.96              | 80.0 | 0.77                 |
| 03/01/2018   | ***-**-7653 - CHEBAT, JOE<br>ACCOUNT #: 00085829209      | CAPITAL INCOME BUILDER-A<br>BUY 0 Units @0.0000            | 0.00                 | 0.22                | 0.00               | 0.22              | 80.0 | 0.18                 |
| 03/01/2018   | ***-**-6399 - STANDRIDGE,<br>ACCOUNT #: 00087001938      | CAPITAL WORLD BOND FUND-529A<br>BUY 0 Units @0.0000        | 0.00                 | 0.55                | 0.00               | 0.55              | 80.0 | 0.44                 |
| 03/01/2018   | ***-**-8019 - NAGY, DOUGLAS<br>ACCOUNT #: 00086431415    | CAPITAL WORLD BOND FUND-A<br>BUY 0 Units @0.0000           | 0.00                 | 10.43               | 0.00               | 10.43             | 80.0 | 8.34                 |
| 03/01/2018   | ***-**-6619 - NAGY, MARNI<br>ACCOUNT #: 00086431809      | CAPITAL WORLD BOND FUND-A<br>BUY 0 Units @0.0000           | 0.00                 | 6.38                | 0.00               | 6.38              | 80.0 | 5.10                 |
| 03/01/2018   | ***-**-8019 - NAGY, DOUGLAS<br>ACCOUNT #: 00086431415    | CAPITAL WORLD GROWTH AND INCOME FUN<br>BUY 0 Units @0.0000 | 0.00                 | 6.78                | 0.00               | 6.78              | 80.0 | 5.42                 |
| 03/01/2018   | ***-**-6619 - NAGY, MARNI<br>ACCOUNT #: 00086431809      | CAPITAL WORLD GROWTH AND INCOME FUN<br>BUY 0 Units @0.0000 | 0.00                 | 4.18                | 0.00               | 4.18              | 80.0 | 3.34                 |
| 03/01/2018   | ***-**-7817 - GOLLINGER,<br>ACCOUNT #: 00087934765       | EUROPACIFIC GROWTH FUND-529A<br>BUY 0 Units @0.0000        | 0.00                 | 0.75                | 0.00               | 0.75              | 80.0 | 0.60                 |
| 03/01/2018   | ***-**-7817 - GOLLINGER,<br>ACCOUNT #: 00087934776       | EUROPACIFIC GROWTH FUND-529A<br>BUY 0 Units @0.0000        | 0.00                 | 0.75                | 0.00               | 0.75              | 80.0 | 0.60                 |
| 03/01/2018   | ***-**-8240 - BREWER, LUCINDA<br>ACCOUNT #: 00087834785  | EUROPACIFIC GROWTH FUND-A<br>BUY 0 Units @0.0000           | 0.00                 | 5.06                | 0.00               | 5.06              | 80.0 | 4.05                 |
| 03/01/2018   | ***-**-5049 - CRUZ, JOSE<br>ACCOUNT #: 00087905159       | EUROPACIFIC GROWTH FUND-A<br>BUY 0 Units @0.0000           | 0.00                 | 0.37                | 0.00               | 0.37              | 80.0 | 0.30                 |
| 03/01/2018   | ***-**-5049 - CRUZ, JOSE<br>ACCOUNT #: 00087905262       | EUROPACIFIC GROWTH FUND-A<br>BUY 0 Units @0.0000           | 0.00                 | 1.45                | 0.00               | 1.45              | 80.0 | 1.16                 |
| 03/01/2018   | ***-**-5022 - BELMONT, NATALIE<br>ACCOUNT #: 00088478864 | EUROPACIFIC GROWTH FUND-A<br>BUY 0 Units @0.0000           | 0.00                 | 1.90                | 0.00               | 1.90              | 80.0 | 1.52                 |
| 03/01/2018   | ***-**-8019 - NAGY, DOUGLAS<br>ACCOUNT #: 00086431415    | FUNDAMENTAL INVESTORS-A<br>BUY 0 Units @0.0000             | 0.00                 | 8.30                | 0.00               | 8.30              | 80.0 | 6.64                 |



# COMMISSION STATEMENT

March 12, 2018

ALFREDO BALLESTEROS  
21830 Walnut Street  
Wildmar, CA 92595

BROKER #: B10  
BRANCH #01001 - LifeMark Home Office

| DATE   | CLIENT  | INVESTMENT                                       | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|--|---|--|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b>BROKER TRANSACTIONS (continued)</b>                       |   |  |                      |                     |                    |                   |      |                      |
| <b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</b> |   |  |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-6619 - NAGY, MARNI<br>ACCOUNT #: 00086431809     | FUNDAMENTAL INVESTORS-A<br>BUY 0 Units @0.0000   | 0.00                 | 5.07                | 0.00               | 5.07              | 80.0 | 4.06                 |
| 03/01/2018   | ***-**-6619 - NAGY, MARNI<br>ACCOUNT #: 00087833902     | NEW PERSPECTIVE FUND-529A<br>BUY 0 Units @0.0000 | 0.00                 | 15.69               | 0.00               | 15.69             | 80.0 | 12.55                |
| 03/01/2018   | ***-**-6619 - NAGY, MARNI<br>ACCOUNT #: 00087833978     | NEW PERSPECTIVE FUND-529A<br>BUY 0 Units @0.0000 | 0.00                 | 19.13               | 0.00               | 19.13             | 80.0 | 15.30                |
| 03/01/2018   | ***-**-9952 - NGUYEN, VICKIE<br>ACCOUNT #: 04000496355  | NEW PERSPECTIVE FUND-529A<br>BUY 0 Units @0.0000 | 0.00                 | 0.38                | 0.00               | 0.38              | 80.0 | 0.30                 |
| 03/01/2018   | ***-**-9952 - NGUYEN, VICKIE<br>ACCOUNT #: 04000496381  | NEW PERSPECTIVE FUND-529A<br>BUY 0 Units @0.0000 | 0.00                 | 0.30                | 0.00               | 0.30              | 80.0 | 0.24                 |
| 03/01/2018   | ***-**-8019 - NAGY, DOUGLAS<br>ACCOUNT #: 00086431415   | NEW PERSPECTIVE FUND-A<br>BUY 0 Units @0.0000    | 0.00                 | 20.68               | 0.00               | 20.68             | 80.0 | 16.54                |
| 03/01/2018   | ***-**-6619 - NAGY, MARNI<br>ACCOUNT #: 00086431809     | NEW PERSPECTIVE FUND-A<br>BUY 0 Units @0.0000    | 0.00                 | 12.68               | 0.00               | 12.68             | 80.0 | 10.14                |
| 03/01/2018   | ***-**-6619 - NAGY, MARNI<br>ACCOUNT #: 00086433132     | NEW PERSPECTIVE FUND-A<br>BUY 0 Units @0.0000    | 0.00                 | 0.50                | 0.00               | 0.50              | 80.0 | 0.40                 |
| 03/01/2018   | ***-**-6619 - NAGY, MARNI<br>ACCOUNT #: 00086433203     | NEW PERSPECTIVE FUND-A<br>BUY 0 Units @0.0000    | 0.00                 | 0.50                | 0.00               | 0.50              | 80.0 | 0.40                 |
| 03/01/2018   | ***-**-6619 - NAGY, MARNI<br>ACCOUNT #: 00087834101     | NEW PERSPECTIVE FUND-A<br>BUY 0 Units @0.0000    | 0.00                 | 1.10                | 0.00               | 1.10              | 80.0 | 0.88                 |
| 03/01/2018   | ***-**-6619 - NAGY, MARNI<br>ACCOUNT #: 00087834962     | NEW PERSPECTIVE FUND-A<br>BUY 0 Units @0.0000    | 0.00                 | 1.10                | 0.00               | 1.10              | 80.0 | 0.88                 |
| 03/01/2018   | ***-**-7653 - CHEBAT, JOE<br>ACCOUNT #: 00085829209     | NEW PERSPECTIVE FUND-A<br>BUY 0 Units @0.0000    | 0.00                 | 0.43                | 0.00               | 0.43              | 80.0 | 0.34                 |
| 03/01/2018   | ***-**-7817 - GOLLINGER,<br>ACCOUNT #: 00087934765      | SMALLCAP WORLD FUND-529A<br>BUY 0 Units @0.0000  | 0.00                 | 0.82                | 0.00               | 0.82              | 80.0 | 0.66                 |
| 03/01/2018   | ***-**-7817 - GOLLINGER,<br>ACCOUNT #: 00087934776      | SMALLCAP WORLD FUND-529A<br>BUY 0 Units @0.0000  | 0.00                 | 0.82                | 0.00               | 0.82              | 80.0 | 0.66                 |
| 03/01/2018   | ***-**-8240 - BREWER, LUCINDA<br>ACCOUNT #: 00087834785 | SMALLCAP WORLD FUND-A<br>BUY 0 Units @0.0000     | 0.00                 | 5.38                | 0.00               | 5.38              | 80.0 | 4.30                 |
| 03/01/2018   | ***-**-5049 - CRUZ, JOSE<br>ACCOUNT #: 00087905159      | SMALLCAP WORLD FUND-A<br>BUY 0 Units @0.0000     | 0.00                 | 0.37                | 0.00               | 0.37              | 80.0 | 0.30                 |



# COMMISSION STATEMENT

March 12, 2018

ALFREDO BALLESTEROS  
21830 Walnut Street  
Wildmar, CA 92595

BROKER #: B10  
BRANCH #01001 - LifeMark Home Office

| DATE   | CLIENT                         | INVESTMENT                      | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|--|--------------------------------|---------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b>BROKER TRANSACTIONS (continued)</b>                       |                                |                                 |                      |                     |                    |                   |      |                      |
| <b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</b> |                                |                                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-5049 - CRUZ, JOSE       | SMALLCAP WORLD FUND-A           | 0.00                 | 0.44                | 0.00               | 0.44              | 80.0 | 0.35                 |
|  | ACCOUNT #: 00087905262         | BUY 0 Units @0.0000             |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-5022 - BELMONT, NATALIE | SMALLCAP WORLD FUND-A           | 0.00                 | 2.01                | 0.00               | 2.01              | 80.0 | 1.61                 |
|  | ACCOUNT #: 00088478864         | BUY 0 Units @0.0000             |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-9808 - SJOERDSMA, GREGG | THE BOND FUND OF AMERICA-A      | 0.00                 | 1.19                | 0.00               | 1.19              | 80.0 | 0.95                 |
|  | ACCOUNT #: 00087919902         | BUY 0 Units @0.0000             |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-0385 - SJOERDSMA, ANN   | THE BOND FUND OF AMERICA-A      | 0.00                 | 1.19                | 0.00               | 1.19              | 80.0 | 0.95                 |
|  | ACCOUNT #: 00087919970         | BUY 0 Units @0.0000             |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-6619 - NAGY, MARNI      | THE GROWTH FUND OF AMERICA-529A | 0.00                 | 17.26               | 0.00               | 17.26             | 80.0 | 13.81                |
|  | ACCOUNT #: 00087833902         | BUY 0 Units @0.0000             |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-6619 - NAGY, MARNI      | THE GROWTH FUND OF AMERICA-529A | 0.00                 | 21.04               | 0.00               | 21.04             | 80.0 | 16.83                |
|  | ACCOUNT #: 00087833978         | BUY 0 Units @0.0000             |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-7817 - GOLLINGER,       | THE GROWTH FUND OF AMERICA-529A | 0.00                 | 0.89                | 0.00               | 0.89              | 80.0 | 0.71                 |
|  | ACCOUNT #: 00087934765         | BUY 0 Units @0.0000             |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-7817 - GOLLINGER,       | THE GROWTH FUND OF AMERICA-529A | 0.00                 | 0.89                | 0.00               | 0.89              | 80.0 | 0.71                 |
|  | ACCOUNT #: 00087934776         | BUY 0 Units @0.0000             |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-11FB - FRIEDLANDER,     | THE GROWTH FUND OF AMERICA-529A | 0.00                 | 0.22                | 0.00               | 0.22              | 80.0 | 0.18                 |
|  | ACCOUNT #: 00088369245         | BUY 0 Units @0.0000             |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-11FB - FRIEDLANDER,     | THE GROWTH FUND OF AMERICA-529A | 0.00                 | 0.22                | 0.00               | 0.22              | 80.0 | 0.18                 |
|  | ACCOUNT #: 00088369305         | BUY 0 Units @0.0000             |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-11FB - FRIEDLANDER,     | THE GROWTH FUND OF AMERICA-529A | 0.00                 | 0.22                | 0.00               | 0.22              | 80.0 | 0.18                 |
|  | ACCOUNT #: 00088369333         | BUY 0 Units @0.0000             |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-9952 - NGUYEN, VICKIE   | THE GROWTH FUND OF AMERICA-529A | 0.00                 | 0.39                | 0.00               | 0.39              | 80.0 | 0.31                 |
|  | ACCOUNT #: 04000496355         | BUY 0 Units @0.0000             |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-9952 - NGUYEN, VICKIE   | THE GROWTH FUND OF AMERICA-529A | 0.00                 | 0.31                | 0.00               | 0.31              | 80.0 | 0.25                 |
|  | ACCOUNT #: 04000496381         | BUY 0 Units @0.0000             |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-6399 - STANDRIDGE,      | THE GROWTH FUND OF AMERICA-529A | 0.00                 | 0.68                | 0.00               | 0.68              | 80.0 | 0.54                 |
|  | ACCOUNT #: 00087001938         | BUY 0 Units @0.0000             |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-8019 - NAGY, DOUGLAS    | THE GROWTH FUND OF AMERICA-A    | 0.00                 | 13.43               | 0.00               | 13.43             | 80.0 | 10.74                |
|  | ACCOUNT #: 00086431415         | BUY 0 Units @0.0000             |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-6619 - NAGY, MARNI      | THE GROWTH FUND OF AMERICA-A    | 0.00                 | 8.21                | 0.00               | 8.21              | 80.0 | 6.57                 |
|  | ACCOUNT #: 00086431809         | BUY 0 Units @0.0000             |                      |                     |                    |                   |      |                      |



# COMMISSION STATEMENT

March 12, 2018

ALFREDO BALLESTEROS  
21830 Walnut Street  
Wildmar, CA 92595

BROKER #: B10  
BRANCH #01001 - LifeMark Home Office

| DATE   | CLIENT                         | INVESTMENT                          | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|--|--------------------------------|-------------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b>BROKER TRANSACTIONS (continued)</b>                       |                                |                                     |                      |                     |                    |                   |      |                      |
| <b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</b> |                                |                                     |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-6619 - NAGY, MARNI      | THE GROWTH FUND OF AMERICA-A        | 0.00                 | 0.50                | 0.00               | 0.50              | 80.0 | 0.40                 |
|  | ACCOUNT #: 00086433132         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-6619 - NAGY, MARNI      | THE GROWTH FUND OF AMERICA-A        | 0.00                 | 0.50                | 0.00               | 0.50              | 80.0 | 0.40                 |
|  | ACCOUNT #: 00086433203         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-4729 - WONG, VALERIE    | THE GROWTH FUND OF AMERICA-A        | 0.00                 | 2.38                | 0.00               | 2.38              | 80.0 | 1.90                 |
|  | ACCOUNT #: 00086993821         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-6619 - NAGY, MARNI      | THE GROWTH FUND OF AMERICA-A        | 0.00                 | 1.21                | 0.00               | 1.21              | 80.0 | 0.97                 |
|  | ACCOUNT #: 00087834101         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-8240 - BREWER, LUCINDA  | THE GROWTH FUND OF AMERICA-A        | 0.00                 | 5.93                | 0.00               | 5.93              | 80.0 | 4.74                 |
|  | ACCOUNT #: 00087834785         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-6619 - NAGY, MARNI      | THE GROWTH FUND OF AMERICA-A        | 0.00                 | 1.21                | 0.00               | 1.21              | 80.0 | 0.97                 |
|  | ACCOUNT #: 00087834962         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-5049 - CRUZ, JOSE       | THE GROWTH FUND OF AMERICA-A        | 0.00                 | 1.31                | 0.00               | 1.31              | 80.0 | 1.05                 |
|  | ACCOUNT #: 00087905159         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-5049 - CRUZ, JOSE       | THE GROWTH FUND OF AMERICA-A        | 0.00                 | 1.52                | 0.00               | 1.52              | 80.0 | 1.22                 |
|  | ACCOUNT #: 00087905262         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-9808 - SJOERDSMA, GREGG | THE GROWTH FUND OF AMERICA-A        | 0.00                 | 1.54                | 0.00               | 1.54              | 80.0 | 1.23                 |
|  | ACCOUNT #: 00087919902         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-0385 - SJOERDSMA, ANN   | THE GROWTH FUND OF AMERICA-A        | 0.00                 | 1.54                | 0.00               | 1.54              | 80.0 | 1.23                 |
|  | ACCOUNT #: 00087919970         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-5022 - BELMONT, NATALIE | THE GROWTH FUND OF AMERICA-A        | 0.00                 | 2.10                | 0.00               | 2.10              | 80.0 | 1.68                 |
|  | ACCOUNT #: 00088478864         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-8759 - BELMONT, CHELSIE | THE GROWTH FUND OF AMERICA-A        | 0.00                 | 1.10                | 0.00               | 1.10              | 80.0 | 0.88                 |
|  | ACCOUNT #: 00089762271         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-9808 - SJOERDSMA, GREGG | THE INCOME FUND OF AMERICA-A        | 0.00                 | 1.36                | 0.00               | 1.36              | 80.0 | 1.09                 |
|  | ACCOUNT #: 00087919902         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-0385 - SJOERDSMA, ANN   | THE INCOME FUND OF AMERICA-A        | 0.00                 | 1.36                | 0.00               | 1.36              | 80.0 | 1.09                 |
|  | ACCOUNT #: 00087919970         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-6619 - NAGY, MARNI      | THE INVESTMENT COMPANY OF AMERICA-5 | 0.00                 | 16.56               | 0.00               | 16.56             | 80.0 | 13.25                |
|  | ACCOUNT #: 00087833902         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-6619 - NAGY, MARNI      | THE INVESTMENT COMPANY OF AMERICA-5 | 0.00                 | 20.19               | 0.00               | 20.19             | 80.0 | 16.15                |
|  | ACCOUNT #: 00087833978         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |



# COMMISSION STATEMENT

March 12, 2018

ALFREDO BALLESTEROS  
21830 Walnut Street  
Wildmar, CA 92595

BROKER #: B10  
BRANCH #01001 - LifeMark Home Office

| DATE   | CLIENT  | INVESTMENT   | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|--|---|--|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b>BROKER TRANSACTIONS (continued)</b>                       |   |  |                      |                     |                    |                   |      |                      |
| <b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</b> |   |  |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-7817 - GOLLINGER,<br>ACCOUNT #: 00087934765      | THE INVESTMENT COMPANY OF AMERICA-5<br>BUY 0 Units @0.0000 | 0.00                 | 0.81                | 0.00               | 0.81              | 80.0 | 0.65                 |
| 03/01/2018   | ***-**-7817 - GOLLINGER,<br>ACCOUNT #: 00087934776      | THE INVESTMENT COMPANY OF AMERICA-5<br>BUY 0 Units @0.0000 | 0.00                 | 0.81                | 0.00               | 0.81              | 80.0 | 0.65                 |
| 03/01/2018   | ***-**-11FB - FRIEDLANDER,<br>ACCOUNT #: 00088369245    | THE INVESTMENT COMPANY OF AMERICA-5<br>BUY 0 Units @0.0000 | 0.00                 | 0.21                | 0.00               | 0.21              | 80.0 | 0.17                 |
| 03/01/2018   | ***-**-11FB - FRIEDLANDER,<br>ACCOUNT #: 00088369305    | THE INVESTMENT COMPANY OF AMERICA-5<br>BUY 0 Units @0.0000 | 0.00                 | 0.21                | 0.00               | 0.21              | 80.0 | 0.17                 |
| 03/01/2018   | ***-**-11FB - FRIEDLANDER,<br>ACCOUNT #: 00088369333    | THE INVESTMENT COMPANY OF AMERICA-5<br>BUY 0 Units @0.0000 | 0.00                 | 0.21                | 0.00               | 0.21              | 80.0 | 0.17                 |
| 03/01/2018   | ***-**-9952 - NGUYEN, VICKIE<br>ACCOUNT #: 04000496355  | THE INVESTMENT COMPANY OF AMERICA-5<br>BUY 0 Units @0.0000 | 0.00                 | 0.39                | 0.00               | 0.39              | 80.0 | 0.31                 |
| 03/01/2018   | ***-**-9952 - NGUYEN, VICKIE<br>ACCOUNT #: 04000496381  | THE INVESTMENT COMPANY OF AMERICA-5<br>BUY 0 Units @0.0000 | 0.00                 | 0.31                | 0.00               | 0.31              | 80.0 | 0.25                 |
| 03/01/2018   | ***-**-6399 - STANDRIDGE,<br>ACCOUNT #: 00087001938     | THE INVESTMENT COMPANY OF AMERICA-5<br>BUY 0 Units @0.0000 | 0.00                 | 0.72                | 0.00               | 0.72              | 80.0 | 0.58                 |
| 03/01/2018   | ***-**-8019 - NAGY, DOUGLAS<br>ACCOUNT #: 00086431415   | THE INVESTMENT COMPANY OF AMERICA-A<br>BUY 0 Units @0.0000 | 0.00                 | 15.88               | 0.00               | 15.88             | 80.0 | 12.70                |
| 03/01/2018   | ***-**-6619 - NAGY, MARNI<br>ACCOUNT #: 00086431809     | THE INVESTMENT COMPANY OF AMERICA-A<br>BUY 0 Units @0.0000 | 0.00                 | 9.71                | 0.00               | 9.71              | 80.0 | 7.77                 |
| 03/01/2018   | ***-**-6619 - NAGY, MARNI<br>ACCOUNT #: 00086433132     | THE INVESTMENT COMPANY OF AMERICA-A<br>BUY 0 Units @0.0000 | 0.00                 | 0.49                | 0.00               | 0.49              | 80.0 | 0.39                 |
| 03/01/2018   | ***-**-6619 - NAGY, MARNI<br>ACCOUNT #: 00086433203     | THE INVESTMENT COMPANY OF AMERICA-A<br>BUY 0 Units @0.0000 | 0.00                 | 0.49                | 0.00               | 0.49              | 80.0 | 0.39                 |
| 03/01/2018   | ***-**-4729 - WONG, VALERIE<br>ACCOUNT #: 00086993821   | THE INVESTMENT COMPANY OF AMERICA-A<br>BUY 0 Units @0.0000 | 0.00                 | 2.04                | 0.00               | 2.04              | 80.0 | 1.63                 |
| 03/01/2018   | ***-**-6619 - NAGY, MARNI<br>ACCOUNT #: 00087834101     | THE INVESTMENT COMPANY OF AMERICA-A<br>BUY 0 Units @0.0000 | 0.00                 | 1.17                | 0.00               | 1.17              | 80.0 | 0.94                 |
| 03/01/2018   | ***-**-8240 - BREWER, LUCINDA<br>ACCOUNT #: 00087834785 | THE INVESTMENT COMPANY OF AMERICA-A<br>BUY 0 Units @0.0000 | 0.00                 | 5.56                | 0.00               | 5.56              | 80.0 | 4.45                 |
| 03/01/2018   | ***-**-6619 - NAGY, MARNI<br>ACCOUNT #: 00087834962     | THE INVESTMENT COMPANY OF AMERICA-A<br>BUY 0 Units @0.0000 | 0.00                 | 1.17                | 0.00               | 1.17              | 80.0 | 0.94                 |



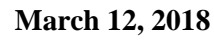
# COMMISSION STATEMENT

March 12, 2018

ALFREDO BALLESTEROS  
21830 Walnut Street  
Wildmar, CA 92595

BROKER #: B10  
BRANCH #01001 - LifeMark Home Office

| DATE   | CLIENT                         | INVESTMENT                                       | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|--|--------------------------------|--|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b>BROKER TRANSACTIONS (continued)</b>                       |                                |  |                      |                     |                    |                   |      |                      |
| <b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</b> |                                |  |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-5049 - CRUZ, JOSE       | THE INVESTMENT COMPANY OF AMERICA-A              | 0.00                 | 0.24                | 0.00               | 0.24              | 80.0 | 0.19                 |
|  | ACCOUNT #: 00087905159         | BUY 0 Units @0.0000                              |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-5049 - CRUZ, JOSE       | THE INVESTMENT COMPANY OF AMERICA-A              | 0.00                 | 1.47                | 0.00               | 1.47              | 80.0 | 1.18                 |
|  | ACCOUNT #: 00087905262         | BUY 0 Units @0.0000                              |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-5022 - BELMONT, NATALIE | THE INVESTMENT COMPANY OF AMERICA-A              | 0.00                 | 1.94                | 0.00               | 1.94              | 80.0 | 1.55                 |
|  | ACCOUNT #: 00088478864         | BUY 0 Units @0.0000                              |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-7653 - CHEBAT, JOE      | WASHINGTON MUTUAL INVESTORS FUND-A               | 0.00                 | 0.27                | 0.00               | 0.27              | 80.0 | 0.22                 |
|  | ACCOUNT #: 00085829209         | BUY 0 Units @0.0000                              |                      |                     |                    |                   |      |                      |
|  |                                | <b>* MUTUAL FUND 12B1 TRAILS SUBTOTAL *</b>      | <b>\$0.00</b>        | <b>\$414.52</b>     | <b>\$0.00</b>      | <b>\$414.52</b>   |      | <b>\$331.63</b>      |
| <b>PRODUCT CATEGORY: VARIABLE ANNUITY 12B1 TRAILS</b>        |                                |  |                      |                     |                    |                   |      |                      |
| 02/06/2018   | ***-**-0742 - SAWYER, DAVID    | TRANSAMERICA VA TRAILS 89353N402                 | 0.00                 | 19.04               | 0.00               | 19.04             | 80.0 | 15.23                |
|  | ACCOUNT #: 121352LB8           | BUY 0 Units @0.0000                              |                      |                     |                    |                   |      |                      |
| 02/06/2018   | ***-**-0742 - SAWYER, DAVID    | TRANSAMERICA VA TRAILS 89353N402                 | 0.00                 | 10.62               | 0.00               | 10.62             | 80.0 | 8.50                 |
|  | ACCOUNT #: 121353LB8           | BUY 0 Units @0.0000                              |                      |                     |                    |                   |      |                      |
|  |                                | <b>* VARIABLE ANNUITY 12B1 TRAILS SUBTOTAL *</b> | <b>\$0.00</b>        | <b>\$29.66</b>      | <b>\$0.00</b>      | <b>\$29.66</b>    |      | <b>\$23.73</b>       |
|  |                                | <b>*** BROKER TRANSACTIONS TOTAL ***</b>         | <b>\$400.00</b>      | <b>\$683.18</b>     | <b>\$0.00</b>      | <b>\$683.18</b>   |      | <b>\$546.56</b>      |



**BROKER #:** B10  
**BRANCH #**01001 - LifeMark Home Office

| DATE                                 | CLIENT | INVESTMENT | AMOUNT | GROSS COMMISSION | CLEARING CHARGE              | NET COMMISSION | RATE | BROKER COMMISSION |  |
|--------------------------------------|--------|------------|--------|------------------|------------------------------|----------------|------|-------------------|--|
|                                      |        |            |        |                  |                              |                |      |                   |  |
| BROKER COMMISSION TOTALS             |        |            |        |                  |                              |                |      |                   |  |
|                                      |        |            |        |                  |                              |                |      |                   |  |
| Broker Transactions \$546.56         |        |            |        |                  |                              |                |      |                   |  |
| Split Transactions \$0.00            |        |            |        |                  |                              |                |      |                   |  |
| Override Transactions \$0.00         |        |            |        |                  |                              |                |      |                   |  |
| Adjustments \$0.00                   |        |            |        |                  |                              |                |      |                   |  |
| Payroll Draw \$0.00                  |        |            |        |                  |                              |                |      |                   |  |
| Base Salary \$0.00                   |        |            |        |                  |                              |                |      |                   |  |
| Prior Period Balance \$0.00          |        |            |        |                  |                              |                |      |                   |  |
| FINRA Assessment \$0.00              |        |            |        |                  |                              |                |      |                   |  |
| SIPC Assessment \$0.00               |        |            |        |                  |                              |                |      |                   |  |
|                                      |        |            |        |                  |                              |                |      |                   |  |
| Please Retain for Your Records       |        |            |        |                  |                              |                |      |                   |  |
| THERE WILL BE NO PAYMENT THIS PERIOD |        |            |        |                  |                              |                |      |                   |  |
|                                      |        |            |        |                  | Balance Forward \$0.00       |                |      |                   |  |
|                                      |        |            |        |                  | Year-to-date Earnings \$0.00 |                |      |                   |  |





BROKER #: 740      Terminated 12/21/2009  
BRANCH #01001 - LifeMark Home Office

| DATE   | CLIENT | INVESTMENT                      | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE  | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION         |                 |        |                       |        |
|--|--------|---------------------------------|----------------------|---------------------|---|-------------------|------|------------------------------|-----------------|--------|-----------------------|--------|
| <u>ADJUSTMENTS</u>   |        |                                 |                      |                     |   |                   |      |                              |                 |        |                       |        |
| 03/07/2018   |        | PRIOR PERIOD BALANCE(SEE BELOW) | 0.00                 | 0.00                | 0.00  | 0.00              |      | 0.00                         |                 |        |                       |        |
|  |        | *** ADJUSTMENTS TOTAL ***       | <u>\$0.00</u>        | <u>\$0.00</u>       | <u>\$0.00</u>   | <u>\$0.00</u>     |      | <u>\$0.00</u>                |                 |        |                       |        |
| <u>BROKER COMMISSION TOTALS</u>  |        |                                 |                      |                     |   |                   |      |                              |                 |        |                       |        |
|  |        |                                 |                      |                     |   |                   |      | Broker Transactions \$0.00   |                 |        |                       |        |
|  |        |                                 |                      |                     |   |                   |      | Split Transactions \$0.00    |                 |        |                       |        |
|  |        |                                 |                      |                     |   |                   |      | Override Transactions \$0.00 |                 |        |                       |        |
|  |        |                                 |                      |                     |   |                   |      | Adjustments \$0.00           |                 |        |                       |        |
|  |        |                                 |                      |                     |   |                   |      | Payroll Draw \$0.00          |                 |        |                       |        |
|  |        |                                 |                      |                     |   |                   |      | Base Salary \$0.00           |                 |        |                       |        |
|  |        |                                 |                      |                     |   |                   |      | Prior Period Balance \$0.00  |                 |        |                       |        |
|  |        |                                 |                      |                     |   |                   |      | FINRA Assessment \$0.00      |                 |        |                       |        |
|  |        |                                 |                      |                     |   |                   |      | SIPC Assessment \$0.00       |                 |        |                       |        |
| Please Retain for Your Records<br>THERE WILL BE NO PAYMENT THIS PERIOD |        |                                 |                      |                     | <table><tr><td>Balance Forward</td><td>\$0.00</td></tr><tr><td>Year-to-date Earnings</td><td>\$0.00</td></tr></table> |                   |      |                              | Balance Forward | \$0.00 | Year-to-date Earnings | \$0.00 |
| Balance Forward  | \$0.00 |                                 |                      |                     |   |                   |      |                              |                 |        |                       |        |
| Year-to-date Earnings  | \$0.00 |                                 |                      |                     |   |                   |      |                              |                 |        |                       |        |



# COMMISSION STATEMENT

## March 12, 2018

SAMUEL BARBER  
327 Church St  
Naugatuck, CT 06770

BROKER #: B06  
BRANCH #01001 - LifeMark Home Office

| DATE  | CLIENT  | INVESTMENT   | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|---|---|--|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b><u>BROKER TRANSACTIONS</u></b>                       |   |  |                      |                     |                    |                   |      |                      |
| <b><u>PRODUCT CATEGORY: STOCKS</u></b>                  |   |  |                      |                     |                    |                   |      |                      |
| 03/02/2018  | ***-**-20IO - BARBER, SAMUEL<br>ACCOUNT #: LSF000307  | BANK OF AMERICA CORP UNSOLICITED OR<br>BUY 33 Units @30.7790 | 1,015.71             | 46.77               | 9.32               | 37.45             | 75.0 | 28.09                |
| 03/02/2018  | ***-**-20IO - BARBER, SAMUEL<br>ACCOUNT #: LSF000307  | BERKSHIRE HATHAWAY INC DEL CL B NEW<br>BUY 5 Units @199.8190 | 999.10               | 46.48               | 8.99               | 37.49             | 75.0 | 28.12                |
| 03/02/2018  | ***-**-20IO - BARBER, SAMUEL<br>ACCOUNT #: LSF000307  | FACEBOOK INC COM USD0.000006 CL A<br>BUY 10 Units @173.9400  | 1,739.40             | 54.00               | 9.09               | 44.91             | 75.0 | 33.68                |
| 03/02/2018  | ***-**-20IO - BARBER, SAMUEL<br>ACCOUNT #: LSF000307  | GOLDMAN SACHS GROUP INC<br>BUY 4 Units @253.3320             | 1,013.33             | 46.73               | 9.03               | 37.70             | 75.0 | 28.28                |
| 03/02/2018  | ***-**-20IO - BARBER, SAMUEL<br>ACCOUNT #: LSF000307  | JPMORGAN CHASE & CO SOLICITED ORDER<br>BUY 9 Units @111.3090 | 1,001.78             | 46.53               | 9.08               | 37.45             | 75.0 | 28.09                |
| * STOCKS SUBTOTAL *                                     |   |  | \$5,769.32           | \$240.51            | \$45.51            | \$195.00          |      | \$146.26             |
| <b><u>PRODUCT CATEGORY: 529 PLAN</u></b>                |   |  |                      |                     |                    |                   |      |                      |
| 03/12/2018  | ***-**-7606 - DUFFY, RYAN                             | CHET 529<br>BUY 0 Units @0.0000                              | 1,250.00             | 12.56               | 0.00               | 12.56             | 75.0 | 9.42                 |
| 03/12/2018  | ***-**-0853 - BOYER, THOMAS<br>ACCOUNT #: 77467864401 | NEW YORK 529 TRAILS<br>BUY 0 Units @0.0000                   | 0.00                 | 1.31                | 0.00               | 1.31              | 75.0 | 0.98                 |
| * 529 PLAN SUBTOTAL *                                   |   |  | \$1,250.00           | \$13.87             | \$0.00             | \$13.87           |      | \$10.40              |
| <b><u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u></b> |   |  |                      |                     |                    |                   |      |                      |
| 03/12/2018  | ***-**-5290 - ADOVASIO, LUKE                          | CHET ADVISOR 529 TRAILS<br>BUY 0 Units @0.0000               | 0.00                 | 10.04               | 0.00               | 10.04             | 75.0 | 7.53                 |
| 03/12/2018  | ***-**-5290 - ADOVASIO, LUKE                          | CHET ADVISOR 529 TRAILS<br>BUY 0 Units @0.0000               | 0.00                 | 10.04               | 0.00               | 10.04             | 75.0 | 7.53                 |
| 03/12/2018  | ***-**-7606 - DUFFY, RYAN                             | CHET ADVISOR 529 TRAILS<br>BUY 0 Units @0.0000               | 0.00                 | 19.05               | 0.00               | 19.05             | 75.0 | 14.29                |
| 03/12/2018  | ***-**-5290 - ADOVASIO, LUKE                          | CHET ADVISOR 529 TRAILS<br>BUY 0 Units @0.0000               | 0.00                 | -10.04              | 0.00               | -10.04            | 75.0 | -7.53                |
| * MUTUAL FUND 12B1 TRAILS SUBTOTAL *                    |   |  | \$0.00               | \$29.09             | \$0.00             | \$29.09           |      | \$21.82              |
| *** BROKER TRANSACTIONS TOTAL ***                       |   |  | \$7,019.32           | \$283.47            | \$45.51            | \$237.96          |      | \$178.48             |



BROKER #: B06  
BRANCH #01001 - LifeMark Home Office

|  |        | INVESTMENT | GROSS      | CLEARING              | NET        | BROKER     |
|--|--------|------------|------------|-----------------------|------------|------------|
| DATE   | CLIENT | AMOUNT     | COMMISSION | CHARGE                | COMMISSION | COMMISSION |
| <div>BROKER COMMISSION TOTALS</div>                                    |        |            |            |                       |            |            |
|  |        |            |            | Broker Transactions   |            | \$178.48   |
|  |        |            |            | Split Transactions    |            | \$0.00     |
|  |        |            |            | Override Transactions |            | \$0.00     |
|  |        |            |            | Adjustments           |            | \$0.00     |
|  |        |            |            | Payroll Draw          |            | \$0.00     |
|  |        |            |            | Base Salary           |            | \$0.00     |
|  |        |            |            | Prior Period Balance  |            | \$0.00     |
|  |        |            |            | FINRA Assessment      |            | \$0.00     |
|  |        |            |            | SIPC Assessment       |            | \$0.00     |
| Please Retain for Your Records<br>THERE WILL BE NO PAYMENT THIS PERIOD |        |            |            | Balance Forward       |            | \$0.00     |
|  |        |            |            | Year-to-date Earnings |            | \$0.00     |
|  |        |            |            |                       |            |            |



# COMMISSION STATEMENT

March 12, 2018

NEIL BAUMAN  
700 Ridge Road  
Suite 1  
Webster, NY 14580

BROKER #: 985 Terminated 12/31/2017  
BRANCH #01001 - LifeMark Home Office

| DATE                                    | CLIENT  | INVESTMENT   | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|---|---|--|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b><u>SPLIT TRANSACTIONS</u></b>        |   |  |                      |                     |                    |                   |      |                      |
| <b><u>BROKER: TAMMY MASON</u></b>       |   |  |                      |                     |                    |                   |      |                      |
| 03/01/2018                              | ***--259I - WINTERMUTE,<br>ACCOUNT #: 00087282271 | AMCAP FUND-A<br>BUY 0 Units @0.0000                        | 0.00                 | 0.44                | 0.00               | 0.44              | 85.0 | 0.37                 |
| 03/01/2018                              | ***--259I - WINTERMUTE,<br>ACCOUNT #: 00087282271 | EUROPACIFIC GROWTH FUND-A<br>BUY 0 Units @0.0000           | 0.00                 | 2.16                | 0.00               | 2.16              | 85.0 | 1.84                 |
| 03/01/2018                              | ***--259I - WINTERMUTE,<br>ACCOUNT #: 00087282271 | THE GROWTH FUND OF AMERICA-A<br>BUY 0 Units @0.0000        | 0.00                 | 9.78                | 0.00               | 9.78              | 85.0 | 8.31                 |
| 03/01/2018                              | ***--259I - WINTERMUTE,<br>ACCOUNT #: 00087282271 | THE INVESTMENT COMPANY OF AMERICA-A<br>BUY 0 Units @0.0000 | 0.00                 | 0.10                | 0.00               | 0.10              | 85.0 | 0.09                 |
| 03/01/2018                              | ***--259I - WINTERMUTE,<br>ACCOUNT #: 00087282271 | THE NEW ECONOMY FUND-A<br>BUY 0 Units @0.0000              | 0.00                 | 11.00               | 0.00               | 11.00             | 85.0 | 9.35                 |
| <b>* TAMMY MASON SUBTOTAL *</b>         |   |  | <b>\$0.00</b>        | <b>\$23.48</b>      | <b>\$0.00</b>      | <b>\$23.48</b>    |      | <b>\$19.96</b>       |
| <b>*** SPLIT TRANSACTIONS TOTAL ***</b> |   |  | <b>\$0.00</b>        | <b>\$23.48</b>      | <b>\$0.00</b>      | <b>\$23.48</b>    |      | <b>\$19.96</b>       |

## **BROKER COMMISSION TOTALS**

|                       |         |
|-----------------------|---------|
| Broker Transactions   | \$0.00  |
| Split Transactions    | \$19.96 |
| Override Transactions | \$0.00  |
| Adjustments           | \$0.00  |
| Payroll Draw          | \$0.00  |
| Base Salary           | \$0.00  |
| Prior Period Balance  | \$0.00  |
| FINRA Assessment      | \$0.00  |
| SIPC Assessment       | \$0.00  |

Please Retain for Your Records  
THERE WILL BE NO PAYMENT THIS PERIOD

|                              |               |
|------------------------------|---------------|
| <b>Balance Forward</b>       | <b>\$0.00</b> |
| <b>Year-to-date Earnings</b> | <b>\$0.00</b> |



# COMMISSION STATEMENT

March 12, 2018

SARA BERKOWICZ  
9101 Kilbourn Avenue  
Skokie, IL 60076

BROKER #: 673  
BRANCH #01001 - LifeMark Home Office

| DATE  | CLIENT  | INVESTMENT  | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|---|---|---|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b><u>BROKER TRANSACTIONS</u></b>                       |   |   |                      |                     |                    |                   |      |                      |
| <b><u>PRODUCT CATEGORY: MUTUAL FUNDS</u></b>            |   |   |                      |                     |                    |                   |      |                      |
| 03/07/2018  | ***-**-278I - BOIN, ROBERT<br>ACCOUNT #: LSR012114    | AMERICAN BALANCED FND F2-NFS<br>SELL 13 Units @27.1400        | 346.50               | 3.00                | 0.00               | 3.00              | 50.0 | 1.50                 |
| 03/07/2018  | ***-**-278I - BOIN, ROBERT<br>ACCOUNT #: LSR012114    | AMERICAN CAPITAL INCOME BUILDER CL<br>SELL 6 Units @61.8700   | 346.47               | 3.00                | 0.00               | 3.00              | 50.0 | 1.50                 |
| 03/07/2018  | ***-**-78IN - BOIN, ROBERT<br>ACCOUNT #: LSR012120    | AMERICAN FUNDAMENTAL INV. CL F2-NFS<br>SELL 8 Units @63.5700  | 525.02               | 3.00                | 0.00               | 3.00              | 50.0 | 1.50                 |
| 03/07/2018  | ***-**-278I - BOIN, ROBERT<br>ACCOUNT #: LSR012114    | AMERICAN INCOME FND OF AMERICA CL F<br>SELL 15 Units @23.1200 | 357.00               | 3.00                | 0.00               | 3.00              | 50.0 | 1.50                 |
| 03/07/2018  | ***-**-78IN - BOIN, ROBERT<br>ACCOUNT #: LSR012120    | AMERICAN INCOME FND OF AMERICA CL F<br>SELL 23 Units @23.1200 | 525.01               | 3.00                | 0.00               | 3.00              | 50.0 | 1.50                 |
| * MUTUAL FUNDS SUBTOTAL *                               |   |   | \$2,100.00           | \$15.00             | \$0.00             | \$15.00           |      | \$7.50               |
| <b><u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u></b> |   |   |                      |                     |                    |                   |      |                      |
| 03/12/2018  | ***-**-981O - STARR, SHELDON<br>ACCOUNT #: LSR012105  | BMO DIVIDEND INCOME-NFS<br>BUY 1 Units @0.0000                | 0.00                 | 0.57                | 0.00               | 0.57              | 50.0 | 0.29                 |
| 03/12/2018  | ***-**-981O - STARR, SHELDON<br>ACCOUNT #: LSR012105  | BMO MID CAP GROWTH-NFS<br>BUY 1 Units @0.0000                 | 0.00                 | 0.51                | 0.00               | 0.51              | 50.0 | 0.26                 |
| 03/12/2018  | ***-**-981O - STARR, SHELDON<br>ACCOUNT #: LSR012105  | BMO MID CAP VALUE FND-NFS<br>BUY 1 Units @0.0000              | 0.00                 | 0.49                | 0.00               | 0.49              | 50.0 | 0.25                 |
| 03/12/2018  | ***-**-981O - STARR, SHELDON<br>ACCOUNT #: LSR012105  | BMO SMALL CAP VALUE-NFS<br>BUY 1 Units @0.0000                | 0.00                 | 0.25                | 0.00               | 0.25              | 50.0 | 0.13                 |
| 03/06/2018  | ***-**-00I2 - BEUTLICH, FBO<br>ACCOUNT #: LSR003700   | FEDERATED INTERMED CORP BOND FD CL<br>BUY 1 Units @0.0000     | 0.00                 | 7.20                | 0.00               | 7.20              | 50.0 | 3.60                 |
| 03/12/2018  | ***-**-1202 - MCCORMACK, JAMI<br>ACCOUNT #: LSR105988 | INVESCO VAN KAMPEN MID CAP GROWTH A<br>BUY 1 Units @0.0000    | 0.00                 | 1.16                | 0.00               | 1.16              | 50.0 | 0.58                 |
| * MUTUAL FUND 12B1 TRAILS SUBTOTAL *                    |   |   | \$0.00               | \$10.18             | \$0.00             | \$10.18           |      | \$5.11               |
| *** BROKER TRANSACTIONS TOTAL ***                       |   |   | \$2,100.00           | \$25.18             | \$0.00             | \$25.18           |      | \$12.61              |



**COMMISSION STATEMENT**  
**March 12, 2018**

SARA BERKOWICZ  
9101 Kilbourn Avenue  
Skokie, IL 60076

BROKER #: 673  
BRANCH #01001 - LifeMark Home Office

| DATE   | CLIENT | INVESTMENT | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION     | RATE   | BROKER<br>COMMISSION |
|--|--------|------------|----------------------|---------------------|--------------------|-----------------------|--------|----------------------|
| <b>BROKER COMMISSION TOTALS</b>  |        |            |                      |                     |                    |                       |        |                      |
| Broker Transactions  |        |            |                      |                     |                    |                       |        | \$12.61              |
| Split Transactions   |        |            |                      |                     |                    |                       |        | \$0.00               |
| Override Transactions  |        |            |                      |                     |                    |                       |        | \$0.00               |
| Adjustments  |        |            |                      |                     |                    |                       |        | \$0.00               |
| Payroll Draw   |        |            |                      |                     |                    |                       |        | \$0.00               |
| Base Salary  |        |            |                      |                     |                    |                       |        | \$0.00               |
| Prior Period Balance   |        |            |                      |                     |                    |                       |        | \$0.00               |
| FINRA Assessment   |        |            |                      |                     |                    |                       |        | \$0.00               |
| SIPC Assessment  |        |            |                      |                     |                    |                       |        | \$0.00               |
| <hr/>  |        |            |                      |                     |                    |                       |        |                      |
| Please Retain for Your Records<br>THERE WILL BE NO PAYMENT THIS PERIOD |        |            |                      |                     |                    | Balance Forward       | \$0.00 |                      |
|  |        |            |                      |                     |                    | Year-to-date Earnings | \$0.00 |                      |



# COMMISSION STATEMENT

March 12, 2018

LINDA BLACK  
604 S. King Street  
SUITE 208  
Leesburg, VA 20175

BROKER #: 742  
BRANCH #01001 - LifeMark Home Office

| DATE  | CLIENT   | INVESTMENT  | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE  | BROKER<br>COMMISSION |
|---|--|---|----------------------|---------------------|--------------------|-------------------|-------|----------------------|
| <b><u>BROKER TRANSACTIONS</u></b>                       |  |   |                      |                     |                    |                   |       |                      |
| <b><u>PRODUCT CATEGORY: MUTUAL FUNDS</u></b>            |  |   |                      |                     |                    |                   |       |                      |
| 03/05/2018  | ***-**-3590 - PHILAVONG,<br>ACCOUNT #: LSR011819       | AMERICAN CORPORATE BOND FUND CL C<br>BUY 25 Units @10.0700  | 250.00               | 2.50                | 3.00               | -0.50             | 100.0 | -0.50                |
| 03/01/2018  | ***-**-354I - CALLAGY, LINDA<br>ACCOUNT #: 01001263728 | INVESCO SUMMIT FUND - CLASS A<br>BUY 5 Units @21.7500       | 100.00               | 5.00                | 0.00               | 5.00              | 85.0  | 4.25                 |
| 03/05/2018  | ***-**-3590 - PHILAVONG,<br>ACCOUNT #: LSR011819       | WASHINGTON MUTUAL INVESTORS FUND-C<br>BUY 5 Units @45.4900  | 250.01               | 2.50                | 3.00               | -0.50             | 100.0 | -0.50                |
| * MUTUAL FUNDS SUBTOTAL *                               |  |   | <b>\$600.01</b>      | <b>\$10.00</b>      | <b>\$6.00</b>      | <b>\$4.00</b>     |       | <b>\$3.25</b>        |
| <b><u>PRODUCT CATEGORY: 529 PLAN</u></b>                |  |   |                      |                     |                    |                   |       |                      |
| 03/01/2018  | ***-**-305P - STEWART, DAVID<br>ACCOUNT #: 00085597268 | AMERICAN BALANCED FUND-529A<br>BUY 2 Units @28.5400         | 50.00                | 2.50                | 0.00               | 2.50              | 85.0  | 2.13                 |
| 03/01/2018  | ***-**-305P - STEWART, DAVID<br>ACCOUNT #: 00085597268 | AMERICAN MUTUAL FUND-529A<br>BUY 1 Units @42.8400           | 25.00                | 1.25                | 0.00               | 1.25              | 85.0  | 1.06                 |
| 03/01/2018  | ***-**-305P - STEWART, DAVID<br>ACCOUNT #: 00085597268 | CAPITAL WORLD GROWTH AND INCOME-529<br>BUY 0 Units @54.6500 | 25.00                | 1.25                | 0.00               | 1.25              | 85.0  | 1.06                 |
| 03/12/2018  | ***-**-185P - QUINN, RENEE<br>ACCOUNT #: 77228874501   | NEW YORK 529 TRAILS<br>BUY 0 Units @0.0000                  | 0.00                 | 21.10               | 0.00               | 21.10             | 85.0  | 17.94                |
| 03/01/2018  | ***-**-305P - STEWART, DAVID<br>ACCOUNT #: 00085597268 | SMALLCAP WORLD FUND-529A<br>BUY 0 Units @58.8500            | 25.00                | 1.25                | 0.00               | 1.25              | 85.0  | 1.06                 |
| * 529 PLAN SUBTOTAL *                                   |  |   | <b>\$125.00</b>      | <b>\$27.35</b>      | <b>\$0.00</b>      | <b>\$27.35</b>    |       | <b>\$23.25</b>       |
| <b><u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u></b> |  |   |                      |                     |                    |                   |       |                      |
| 03/12/2018  | ***-**-354I - CALLAGY, LINDA<br>ACCOUNT #: LSR010110   | AIM CHARTER FUND - CLASS A<br>BUY 1 Units @0.0000           | 0.00                 | 0.73                | 0.00               | 0.73              | 85.0  | 0.62                 |
| 03/12/2018  | ***-**-6345 - SIKORA, MICHAEL<br>ACCOUNT #: LSR011336  | ALLIANCEBERNSTEIN GROWTH AND INC A<br>BUY 1 Units @0.0000   | 0.00                 | 1.13                | 0.00               | 1.13              | 85.0  | 0.96                 |
| 03/12/2018  | ***-**-11IR - SHELL, MERRY<br>ACCOUNT #: LSR011774     | ALLIANCEBERNSTEIN WEALTH APPREC STR<br>BUY 1 Units @0.0000  | 0.00                 | 2.01                | 0.00               | 2.01              | 85.0  | 1.71                 |
| 03/01/2018  | ***-**-765P - CROWE, DEANNA<br>ACCOUNT #: 00073154047  | AMCAP FUND-529A<br>BUY 0 Units @0.0000                      | 0.00                 | 12.83               | 0.00               | 12.83             | 85.0  | 10.91                |
| 03/01/2018  | ***-**-765P - CROWE, DEANNA<br>ACCOUNT #: 00073154496  | AMCAP FUND-529A<br>BUY 0 Units @0.0000                      | 0.00                 | 2.52                | 0.00               | 2.52              | 85.0  | 2.14                 |



# COMMISSION STATEMENT

March 12, 2018

LINDA BLACK  
604 S. King Street  
SUITE 208  
Leesburg, VA 20175

BROKER #: 742  
BRANCH #01001 - LifeMark Home Office

| DATE   | CLIENT   | INVESTMENT   | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|--|--|--|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b>BROKER TRANSACTIONS (continued)</b>                       |  |  |                      |                     |                    |                   |      |                      |
| <b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</b> |  |  |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-75IN - TARKINGTON,<br>ACCOUNT #: 00084915455      | AMCAP FUND-A<br>BUY 0 Units @0.0000                      | 0.00                 | 0.35                | 0.00               | 0.35              | 85.0 | 0.30                 |
| 03/01/2018   | ***-**-305P - STEWART, DAVID<br>ACCOUNT #: 00085597268   | AMERICAN BALANCED FUND-529A<br>BUY 0 Units @0.0000       | 0.00                 | 0.97                | 0.00               | 0.97              | 85.0 | 0.82                 |
| 03/01/2018   | ***-**-285P - SCHUSTER, SUSAN<br>ACCOUNT #: 00085847526  | AMERICAN BALANCED FUND-529A<br>BUY 0 Units @0.0000       | 0.00                 | 0.90                | 0.00               | 0.90              | 85.0 | 0.77                 |
| 03/01/2018   | ***-**-285P - SCHUSTER, SUSAN<br>ACCOUNT #: 00085847539  | AMERICAN BALANCED FUND-529A<br>BUY 0 Units @0.0000       | 0.00                 | 1.13                | 0.00               | 1.13              | 85.0 | 0.96                 |
| 03/01/2018   | ***-**-515P - SWEENEY, NATALIE<br>ACCOUNT #: 00086631623 | AMERICAN BALANCED FUND-529A<br>BUY 0 Units @0.0000       | 0.00                 | 0.83                | 0.00               | 0.83              | 85.0 | 0.71                 |
| 03/01/2018   | ***-**-29IN - WISE, JANICE<br>ACCOUNT #: 04000011624     | AMERICAN FUNDS 02629M587<br>BUY 0 Units @0.0000          | 0.00                 | 1.87                | 0.00               | 1.87              | 85.0 | 1.59                 |
| 03/01/2018   | ***-**-285P - SCHUSTER, SUSAN<br>ACCOUNT #: 00085847526  | AMERICAN FUNDS 02630R732<br>BUY 0 Units @0.0000          | 0.00                 | 1.07                | 0.00               | 1.07              | 85.0 | 0.91                 |
| 03/01/2018   | ***-**-285P - SCHUSTER, SUSAN<br>ACCOUNT #: 00085847539  | AMERICAN FUNDS 02630R732<br>BUY 0 Units @0.0000          | 0.00                 | 1.07                | 0.00               | 1.07              | 85.0 | 0.91                 |
| 03/01/2018   | ***-**-295P - PHILLIPS,<br>ACCOUNT #: 00088393885        | AMERICAN FUNDS 02630R732<br>BUY 0 Units @0.0000          | 0.00                 | 0.99                | 0.00               | 0.99              | 85.0 | 0.84                 |
| 03/01/2018   | ***-**-55SI - MAHAFFEY,<br>ACCOUNT #: 00084465596        | AMERICAN FUNDS 2025 TARGET DATE-A<br>BUY 0 Units @0.0000 | 0.00                 | 11.33               | 0.00               | 11.33             | 85.0 | 9.63                 |
| 03/01/2018   | ***-**-01SI - WRISLEY, KENDRA<br>ACCOUNT #: 00084501043  | AMERICAN FUNDS 2040 TARGET DATE-A<br>BUY 0 Units @0.0000 | 0.00                 | 5.46                | 0.00               | 5.46              | 85.0 | 4.64                 |
| 03/01/2018   | ***-**-305P - STEWART, DAVID<br>ACCOUNT #: 00085597268   | AMERICAN MUTUAL FUND-529A<br>BUY 0 Units @0.0000         | 0.00                 | 0.63                | 0.00               | 0.63              | 85.0 | 0.54                 |
| 03/01/2018   | ***-**-285P - SCHUSTER, SUSAN<br>ACCOUNT #: 00085847526  | AMERICAN MUTUAL FUND-529A<br>BUY 0 Units @0.0000         | 0.00                 | 0.71                | 0.00               | 0.71              | 85.0 | 0.60                 |
| 03/01/2018   | ***-**-285P - SCHUSTER, SUSAN<br>ACCOUNT #: 00085847539  | AMERICAN MUTUAL FUND-529A<br>BUY 0 Units @0.0000         | 0.00                 | 0.90                | 0.00               | 0.90              | 85.0 | 0.77                 |
| 03/01/2018   | ***-**-515P - SWEENEY, NATALIE<br>ACCOUNT #: 00086631623 | AMERICAN MUTUAL FUND-529A<br>BUY 0 Units @0.0000         | 0.00                 | 0.89                | 0.00               | 0.89              | 85.0 | 0.76                 |
| 03/12/2018   | ***-**-354I - CALLAGY, LINDA<br>ACCOUNT #: LSR010110     | CALVERT CAPITAL ACCUMULATION - A<br>BUY 1 Units @0.0000  | 0.00                 | 0.24                | 0.00               | 0.24              | 85.0 | 0.20                 |





# COMMISSION STATEMENT

March 12, 2018

LINDA BLACK  
604 S. King Street  
SUITE 208  
Leesburg, VA 20175

BROKER #: 742  
BRANCH #01001 - LifeMark Home Office

| DATE   | CLIENT   | INVESTMENT   | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|--|--|--|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b>BROKER TRANSACTIONS (continued)</b>                       |  |  |                      |                     |                    |                   |      |                      |
| <b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</b> |  |  |                      |                     |                    |                   |      |                      |
| 03/12/2018   | ***-**-37IR - BERRY, BRENDA<br>ACCOUNT #: LSR003352    | CALVERT GLOBAL WATER FUND CLASS A<br>BUY 1 Units @0.0000   | 0.00                 | 0.51                | 0.00               | 0.51              | 85.0 | 0.43                 |
| 03/12/2018   | ***-**-231S - CANTATORE,<br>ACCOUNT #: LSR006823       | CALVERT GLOBAL WATER FUND CLASS A<br>BUY 1 Units @0.0000   | 0.00                 | 1.81                | 0.00               | 1.81              | 85.0 | 1.54                 |
| 03/12/2018   | ***-**-99IR - TARKINGTON,<br>ACCOUNT #: LSR108162      | CALVERT GLOBAL WATER FUND CLASS A<br>BUY 1 Units @0.0000   | 0.00                 | 0.79                | 0.00               | 0.79              | 85.0 | 0.67                 |
| 03/12/2018   | ***-**-37RI - BERRY, BRENDA<br>ACCOUNT #: LSR003379    | CALVERT MODERATE ALLOCATION FUND-A<br>BUY 1 Units @0.0000  | 0.00                 | 2.62                | 0.00               | 2.62              | 85.0 | 2.23                 |
| 03/12/2018   | ***-**-844I - BLACK, LINDA<br>ACCOUNT #: LSF000258     | CALVERT SOCIAL INDEX A<br>BUY 1 Units @0.0000              | 0.00                 | 0.55                | 0.00               | 0.55              | 85.0 | 0.47                 |
| 03/12/2018   | ***-**-37IR - BERRY, BRENDA<br>ACCOUNT #: LSR003352    | CALVERT SOCIAL INDEX A<br>BUY 1 Units @0.0000              | 0.00                 | 0.73                | 0.00               | 0.73              | 85.0 | 0.62                 |
| 03/12/2018   | ***-**-231S - CANTATORE,<br>ACCOUNT #: LSR006823       | CALVERT SOCIAL INDEX A<br>BUY 1 Units @0.0000              | 0.00                 | 1.54                | 0.00               | 1.54              | 85.0 | 1.31                 |
| 03/12/2018   | ***-**-371I - DEAHL, JOHN<br>ACCOUNT #: LSR010086      | CALVERT SOCIAL INVESTMENT FD EQUITY<br>BUY 1 Units @0.0000 | 0.00                 | 1.96                | 0.00               | 1.96              | 85.0 | 1.67                 |
| 03/12/2018   | ***-**-116I - GAVELEK, CYNTHIA<br>ACCOUNT #: LSR010199 | CALVERT SOCIAL INVESTMENT FD EQUITY<br>BUY 1 Units @0.0000 | 0.00                 | 1.03                | 0.00               | 1.03              | 85.0 | 0.88                 |
| 03/12/2018   | ***-**-465I - STEWART, ANNE<br>ACCOUNT #: LSR011992    | CALVERT SOCIAL INVESTMENT FD EQUITY<br>BUY 1 Units @0.0000 | 0.00                 | 6.58                | 0.00               | 6.58              | 85.0 | 5.59                 |
| 03/12/2018   | ***-**-430I - STEWART, DAVID<br>ACCOUNT #: LSR012056   | CALVERT SOCIAL INVESTMENT FD EQUITY<br>BUY 1 Units @0.0000 | 0.00                 | 7.48                | 0.00               | 7.48              | 85.0 | 6.36                 |
| 03/12/2018   | ***-**-99IR - TARKINGTON,<br>ACCOUNT #: LSR108162      | CALVERT SOCIAL INVESTMENT FD EQUITY<br>BUY 1 Units @0.0000 | 0.00                 | 1.78                | 0.00               | 1.78              | 85.0 | 1.51                 |
| 03/12/2018   | ***-**-465I - STEWART, ANNE<br>ACCOUNT #: LSR011992    | CALVERT SOCIAL INVESTMENT FUND BOND<br>BUY 1 Units @0.0000 | 0.00                 | 0.74                | 0.00               | 0.74              | 85.0 | 0.63                 |
| 03/12/2018   | ***-**-430I - STEWART, DAVID<br>ACCOUNT #: LSR012056   | CALVERT SOCIAL INVESTMENT FUND BOND<br>BUY 1 Units @0.0000 | 0.00                 | 0.85                | 0.00               | 0.85              | 85.0 | 0.72                 |
| 03/01/2018   | ***-**-75IN - TARKINGTON,<br>ACCOUNT #: 00084915455    | CAPITAL WORLD GROWTH AND INCOME FUN<br>BUY 0 Units @0.0000 | 0.00                 | 0.27                | 0.00               | 0.27              | 85.0 | 0.23                 |
| 03/01/2018   | ***-**-305P - STEWART, DAVID<br>ACCOUNT #: 00085597268 | CAPITAL WORLD GROWTH AND INCOME-529<br>BUY 0 Units @0.0000 | 0.00                 | 0.64                | 0.00               | 0.64              | 85.0 | 0.54                 |



# COMMISSION STATEMENT

March 12, 2018

LINDA BLACK  
604 S. King Street  
SUITE 208  
Leesburg, VA 20175

BROKER #: 742  
BRANCH #01001 - LifeMark Home Office

| DATE   | CLIENT                      | INVESTMENT                          | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|--|-----------------------------|-------------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b>BROKER TRANSACTIONS (continued)</b>                       |                             |                                     |                      |                     |                    |                   |      |                      |
| <b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</b> |                             |                                     |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***--285P - SCHUSTER, SUSAN | CAPITAL WORLD GROWTH AND INCOME-529 | 0.00                 | 0.85                | 0.00               | 0.85              | 85.0 | 0.72                 |
|  | ACCOUNT #: 00085847526      | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***--285P - SCHUSTER, SUSAN | CAPITAL WORLD GROWTH AND INCOME-529 | 0.00                 | 1.06                | 0.00               | 1.06              | 85.0 | 0.90                 |
|  | ACCOUNT #: 00085847539      | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/12/2018   | ***--20IN - GAVIN, ANNE     | DELAWARE VALUE FD CL C              | 0.00                 | 8.23                | 0.00               | 8.23              | 85.0 | 7.00                 |
|  | ACCOUNT #: LSR011851        | BUY 1 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***--765P - CROWE, DEANNA   | EUROPACIFIC GROWTH FUND-529A        | 0.00                 | 0.88                | 0.00               | 0.88              | 85.0 | 0.75                 |
|  | ACCOUNT #: 00073154047      | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***--765P - CROWE, DEANNA   | EUROPACIFIC GROWTH FUND-529A        | 0.00                 | 0.88                | 0.00               | 0.88              | 85.0 | 0.75                 |
|  | ACCOUNT #: 00073154496      | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***--75IN - TARKINGTON,     | EUROPACIFIC GROWTH FUND-A           | 0.00                 | 0.23                | 0.00               | 0.23              | 85.0 | 0.20                 |
|  | ACCOUNT #: 00084915455      | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***--765P - CROWE, DEANNA   | FUNDAMENTAL INVESTORS-529A          | 0.00                 | 8.49                | 0.00               | 8.49              | 85.0 | 7.22                 |
|  | ACCOUNT #: 00073154047      | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***--75IN - TARKINGTON,     | FUNDAMENTAL INVESTORS-A             | 0.00                 | 0.35                | 0.00               | 0.35              | 85.0 | 0.30                 |
|  | ACCOUNT #: 00084915455      | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/12/2018   | ***--51IR - SWEENEY, FBO    | INVESCO EQUALLY WEIGHTED S&P 500 A  | 0.00                 | 0.53                | 0.00               | 0.53              | 85.0 | 0.45                 |
|  | ACCOUNT #: LSR010331        | BUY 1 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/12/2018   | ***--20IN - GAVIN, ANNE     | INVESCO EQUALLY WEIGHTED S&P 500 C  | 0.00                 | 9.59                | 0.00               | 9.59              | 85.0 | 8.15                 |
|  | ACCOUNT #: LSR011851        | BUY 1 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/12/2018   | ***--426I - CROWE, MICHAEL  | INVESCO VAN KAMPEN EQUITY AND INCOM | 0.00                 | 4.83                | 0.00               | 4.83              | 85.0 | 4.11                 |
|  | ACCOUNT #: LSR007820        | BUY 1 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/12/2018   | ***--291I - ARTHUR, KENNETH | MFS GROWTH PORT CLASS C             | 0.00                 | 5.43                | 0.00               | 5.43              | 85.0 | 4.62                 |
|  | ACCOUNT #: LSR011407        | BUY 1 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/12/2018   | ***--332I - GALLUCCI, NANCY | MFS GROWTH PORT CLASS C             | 0.00                 | 5.33                | 0.00               | 5.33              | 85.0 | 4.53                 |
|  | ACCOUNT #: LSR011409        | BUY 1 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/12/2018   | ***--464I - GALLUCCI,       | MFS GROWTH PORT CLASS C             | 0.00                 | 10.66               | 0.00               | 10.66             | 85.0 | 9.06                 |
|  | ACCOUNT #: LSR011411        | BUY 1 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/12/2018   | ***--332I - GALLUCCI, NANCY | MFS BLENDED RESEARCH SM CAP EQ FUND | 0.00                 | 5.89                | 0.00               | 5.89              | 85.0 | 5.01                 |
|  | ACCOUNT #: LSR011409        | BUY 1 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/12/2018   | ***--464I - GALLUCCI,       | MFS BLENDED RESEARCH SM CAP EQ FUND | 0.00                 | 5.89                | 0.00               | 5.89              | 85.0 | 5.01                 |
|  | ACCOUNT #: LSR011411        | BUY 1 Units @0.0000                 |                      |                     |                    |                   |      |                      |



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| DATE   | CLIENT                        | INVESTMENT                         | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|--|-------------------------------|------------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b>BROKER TRANSACTIONS (continued)</b>                       |                               |                                    |                      |                     |                    |                   |      |                      |
| <b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</b> |                               |                                    |                      |                     |                    |                   |      |                      |
| 03/12/2018   | ***-**-332I - GALLUCCI, NANCY | MFS LOW VOLATILITY GLOBAL EQ FD CL | 0.00                 | 4.24                | 0.00               | 4.24              | 85.0 | 3.60                 |
|  | ACCOUNT #: LSR011409          | BUY 1 Units @0.0000                |                      |                     |                    |                   |      |                      |
| 03/12/2018   | ***-**-464I - GALLUCCI,       | MFS LOW VOLATILITY GLOBAL EQ FD CL | 0.00                 | 6.78                | 0.00               | 6.78              | 85.0 | 5.76                 |
|  | ACCOUNT #: LSR011411          | BUY 1 Units @0.0000                |                      |                     |                    |                   |      |                      |
| 03/12/2018   | ***-**-291I - ARTHUR, KENNETH | MFS MID CAP VALUE CLASS C          | 0.00                 | 4.69                | 0.00               | 4.69              | 85.0 | 3.99                 |
|  | ACCOUNT #: LSR011407          | BUY 1 Units @0.0000                |                      |                     |                    |                   |      |                      |
| 03/12/2018   | ***-**-332I - GALLUCCI, NANCY | MFS MID CAP VALUE CLASS C          | 0.00                 | 4.62                | 0.00               | 4.62              | 85.0 | 3.93                 |
|  | ACCOUNT #: LSR011409          | BUY 1 Units @0.0000                |                      |                     |                    |                   |      |                      |
| 03/12/2018   | ***-**-464I - GALLUCCI,       | MFS MID CAP VALUE CLASS C          | 0.00                 | 4.62                | 0.00               | 4.62              | 85.0 | 3.93                 |
|  | ACCOUNT #: LSR011411          | BUY 1 Units @0.0000                |                      |                     |                    |                   |      |                      |
| 03/12/2018   | ***-**-291I - ARTHUR, KENNETH | MFS NEW DISCOVERY CLASS C          | 0.00                 | 5.45                | 0.00               | 5.45              | 85.0 | 4.63                 |
|  | ACCOUNT #: LSR011407          | BUY 1 Units @0.0000                |                      |                     |                    |                   |      |                      |
| 03/12/2018   | ***-**-332I - GALLUCCI, NANCY | MFS NEW DISCOVERY CLASS C          | 0.00                 | 5.33                | 0.00               | 5.33              | 85.0 | 4.53                 |
|  | ACCOUNT #: LSR011409          | BUY 1 Units @0.0000                |                      |                     |                    |                   |      |                      |
| 03/12/2018   | ***-**-464I - GALLUCCI,       | MFS NEW DISCOVERY CLASS C          | 0.00                 | 10.67               | 0.00               | 10.67             | 85.0 | 9.07                 |
|  | ACCOUNT #: LSR011411          | BUY 1 Units @0.0000                |                      |                     |                    |                   |      |                      |
| 03/12/2018   | ***-**-231S - CANTATORE,      | MFS UTILITIES FUND-A               | 0.00                 | 0.64                | 0.00               | 0.64              | 85.0 | 0.54                 |
|  | ACCOUNT #: LSR006823          | BUY 1 Units @0.0000                |                      |                     |                    |                   |      |                      |
| 03/12/2018   | ***-**-291I - ARTHUR, KENNETH | MFS VALUE FUND-C                   | 0.00                 | 4.88                | 0.00               | 4.88              | 85.0 | 4.15                 |
|  | ACCOUNT #: LSR011407          | BUY 1 Units @0.0000                |                      |                     |                    |                   |      |                      |
| 03/12/2018   | ***-**-332I - GALLUCCI, NANCY | MFS VALUE FUND-C                   | 0.00                 | 12.59               | 0.00               | 12.59             | 85.0 | 10.70                |
|  | ACCOUNT #: LSR011409          | BUY 1 Units @0.0000                |                      |                     |                    |                   |      |                      |
| 03/12/2018   | ***-**-464I - GALLUCCI,       | MFS VALUE FUND-C                   | 0.00                 | 24.20               | 0.00               | 24.20             | 85.0 | 20.57                |
|  | ACCOUNT #: LSR011411          | BUY 1 Units @0.0000                |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-275P - RUDOLPH,        | NEW PERSPECTIVE FUND-529A          | 0.00                 | 0.58                | 0.00               | 0.58              | 85.0 | 0.49                 |
|  | ACCOUNT #: 00083900072        | BUY 0 Units @0.0000                |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-285P - SCHUSTER, SUSAN | NEW PERSPECTIVE FUND-529A          | 0.00                 | 0.93                | 0.00               | 0.93              | 85.0 | 0.79                 |
|  | ACCOUNT #: 00085847526        | BUY 0 Units @0.0000                |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-285P - SCHUSTER, SUSAN | NEW PERSPECTIVE FUND-529A          | 0.00                 | 1.16                | 0.00               | 1.16              | 85.0 | 0.99                 |
|  | ACCOUNT #: 00085847539        | BUY 0 Units @0.0000                |                      |                     |                    |                   |      |                      |
| 03/12/2018   | ***-**-99IR - TARKINGTON,     | NUVEEN GLOBAL INFRASTRUCTURE CL A  | 0.00                 | 3.52                | 0.00               | 3.52              | 85.0 | 2.99                 |
|  | ACCOUNT #: LSR108162          | BUY 1 Units @0.0000                |                      |                     |                    |                   |      |                      |



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| DATE   | CLIENT  | INVESTMENT   | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|--|---|--|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b>BROKER TRANSACTIONS (continued)</b>                       |   |  |                      |                     |                    |                   |      |                      |
| <b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</b> |   |  |                      |                     |                    |                   |      |                      |
| 03/12/2018   | ***-**-291I - ARTHUR, KENNETH<br>ACCOUNT #: LSR011407 | NUVEEN LARGE - CAP VALUE FUND CLASS<br>BUY 1 Units @0.0000 | 0.00                 | 5.16                | 0.00               | 5.16              | 85.0 | 4.39                 |
| 03/12/2018   | ***-**-332I - GALLUCCI, NANCY<br>ACCOUNT #: LSR011409 | NUVEEN LARGE - CAP VALUE FUND CLASS<br>BUY 1 Units @0.0000 | 0.00                 | 12.06               | 0.00               | 12.06             | 85.0 | 10.25                |
| 03/12/2018   | ***-**-464I - GALLUCCI,<br>ACCOUNT #: LSR011411       | NUVEEN LARGE - CAP VALUE FUND CLASS<br>BUY 1 Units @0.0000 | 0.00                 | 25.12               | 0.00               | 25.12             | 85.0 | 21.35                |
| 03/12/2018   | ***-**-291I - ARTHUR, KENNETH<br>ACCOUNT #: LSR011407 | NUVEEN LARGE CAP CORE FUND CL C<br>BUY 1 Units @0.0000     | 0.00                 | 5.28                | 0.00               | 5.28              | 85.0 | 4.49                 |
| 03/12/2018   | ***-**-332I - GALLUCCI, NANCY<br>ACCOUNT #: LSR011409 | NUVEEN LARGE CAP CORE FUND CL C<br>BUY 1 Units @0.0000     | 0.00                 | 5.09                | 0.00               | 5.09              | 85.0 | 4.33                 |
| 03/12/2018   | ***-**-464I - GALLUCCI,<br>ACCOUNT #: LSR011411       | NUVEEN LARGE CAP CORE FUND CL C<br>BUY 1 Units @0.0000     | 0.00                 | 10.18               | 0.00               | 10.18             | 85.0 | 8.65                 |
| 03/12/2018   | ***-**-291I - ARTHUR, KENNETH<br>ACCOUNT #: LSR011407 | NUVEEN LARGE CAP GROWTH FD CL C<br>BUY 1 Units @0.0000     | 0.00                 | 7.52                | 0.00               | 7.52              | 85.0 | 6.39                 |
| 03/12/2018   | ***-**-332I - GALLUCCI, NANCY<br>ACCOUNT #: LSR011409 | NUVEEN LARGE CAP GROWTH FD CL C<br>BUY 1 Units @0.0000     | 0.00                 | 5.23                | 0.00               | 5.23              | 85.0 | 4.45                 |
| 03/12/2018   | ***-**-464I - GALLUCCI,<br>ACCOUNT #: LSR011411       | NUVEEN LARGE CAP GROWTH FD CL C<br>BUY 1 Units @0.0000     | 0.00                 | 10.45               | 0.00               | 10.45             | 85.0 | 8.88                 |
| 03/12/2018   | ***-**-231S - CANTATORE,<br>ACCOUNT #: LSR006823      | PRUDENTIAL FINANCIAL SERVICES CLASS<br>BUY 1 Units @0.0000 | 0.00                 | 0.68                | 0.00               | 0.68              | 85.0 | 0.58                 |
| 03/06/2018   | ***-**-844I - BLACK, LINDA<br>ACCOUNT #: LSF000258    | RESOURCE REAL ESTATE DIVERSIFIED IN<br>BUY 1 Units @0.0000 | 0.00                 | 0.14                | 0.00               | 0.14              | 85.0 | 0.12                 |
| 03/08/2018   | ***-**-18IN - ANSARI, OFELIA                          | RESOURCE REAL ESTATE TRAILS<br>BUY 0 Units @0.0000         | 0.00                 | 4.51                | 0.00               | 4.51              | 85.0 | 3.83                 |
| 03/06/2018   | ***-**-25FB - MONTGOMERY,<br>ACCOUNT #: LSR011514     | RESOURCE REAL ESTATE-NFS<br>BUY 1 Units @0.0000            | 0.00                 | 9.60                | 0.00               | 9.60              | 85.0 | 8.16                 |
| 03/06/2018   | ***-**-25FB - MONTGOMERY,<br>ACCOUNT #: LSR011514     | RESOURCE REAL ESTATE-NFS<br>BUY 1 Units @0.0000            | 0.00                 | 3.20                | 0.00               | 3.20              | 85.0 | 2.72                 |
| 03/06/2018   | ***-**-25FB - MONTGOMERY,<br>ACCOUNT #: LSR011514     | RESOURCE REAL ESTATE-NFS<br>BUY 1 Units @0.0000            | 0.00                 | 9.70                | 0.00               | 9.70              | 85.0 | 8.25                 |
| 03/06/2018   | ***-**-25FB - MONTGOMERY,<br>ACCOUNT #: LSR011514     | RESOURCE REAL ESTATE-NFS<br>BUY 1 Units @0.0000            | 0.00                 | 3.23                | 0.00               | 3.23              | 85.0 | 2.75                 |



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| DATE   | CLIENT   | INVESTMENT   | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|--|--|--|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b>BROKER TRANSACTIONS (continued)</b>                       |  |  |                      |                     |                    |                   |      |                      |
| <b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</b> |  |  |                      |                     |                    |                   |      |                      |
| 03/06/2018   | ***-**-25FB - MONTGOMERY,<br>ACCOUNT #: LSR011514        | RESOURCE REAL ESTATE-NFS<br>BUY 1 Units @0.0000            | 0.00                 | 9.28                | 0.00               | 9.28              | 85.0 | 7.89                 |
| 03/06/2018   | ***-**-25FB - MONTGOMERY,<br>ACCOUNT #: LSR011514        | RESOURCE REAL ESTATE-NFS<br>BUY 1 Units @0.0000            | 0.00                 | 3.09                | 0.00               | 3.09              | 85.0 | 2.63                 |
| 03/12/2018   | ***-**-044I - TURRELL, DONNA<br>ACCOUNT #: 7200026439    | SAMMONS MF TRAILS<br>BUY 0 Units @0.0000                   | 0.00                 | 51.75               | 0.00               | 51.75             | 85.0 | 43.99                |
| 03/12/2018   | ***-**-371I - DEAHL, JOHN<br>ACCOUNT #: 7200035148       | SAMMONS MF TRAILS<br>BUY 0 Units @0.0000                   | 0.00                 | 48.93               | 0.00               | 48.93             | 85.0 | 41.59                |
| 03/01/2018   | ***-**-765P - CROWE, DEANNA<br>ACCOUNT #: 00073154047    | SMALLCAP WORLD FUND-529A<br>BUY 0 Units @0.0000            | 0.00                 | 10.80               | 0.00               | 10.80             | 85.0 | 9.18                 |
| 03/01/2018   | ***-**-765P - CROWE, DEANNA<br>ACCOUNT #: 00073154496    | SMALLCAP WORLD FUND-529A<br>BUY 0 Units @0.0000            | 0.00                 | 1.07                | 0.00               | 1.07              | 85.0 | 0.91                 |
| 03/01/2018   | ***-**-305P - STEWART, DAVID<br>ACCOUNT #: 00085597268   | SMALLCAP WORLD FUND-529A<br>BUY 0 Units @0.0000            | 0.00                 | 0.65                | 0.00               | 0.65              | 85.0 | 0.55                 |
| 03/01/2018   | ***-**-75IN - TARKINGTON,<br>ACCOUNT #: 00084915455      | SMALLCAP WORLD FUND-A<br>BUY 0 Units @0.0000               | 0.00                 | 0.28                | 0.00               | 0.28              | 85.0 | 0.24                 |
| 03/01/2018   | ***-**-515P - SWEENEY, NATALIE<br>ACCOUNT #: 00086631623 | THE INCOME FUND OF AMERICA-529A<br>BUY 0 Units @0.0000     | 0.00                 | 0.36                | 0.00               | 0.36              | 85.0 | 0.31                 |
| 03/01/2018   | ***-**-75IN - TARKINGTON,<br>ACCOUNT #: 00084915455      | THE INCOME FUND OF AMERICA-A<br>BUY 0 Units @0.0000        | 0.00                 | 0.27                | 0.00               | 0.27              | 85.0 | 0.23                 |
| 03/01/2018   | ***-**-765P - CROWE, DEANNA<br>ACCOUNT #: 00073154047    | THE INVESTMENT COMPANY OF AMERICA-5<br>BUY 0 Units @0.0000 | 0.00                 | 11.32               | 0.00               | 11.32             | 85.0 | 9.62                 |
| 03/01/2018   | ***-**-765P - CROWE, DEANNA<br>ACCOUNT #: 00073154496    | THE INVESTMENT COMPANY OF AMERICA-5<br>BUY 0 Units @0.0000 | 0.00                 | 0.97                | 0.00               | 0.97              | 85.0 | 0.82                 |
| 03/01/2018   | ***-**-3730 - RUDOLPH, LUCA<br>ACCOUNT #: 00082969681    | THE INVESTMENT COMPANY OF AMERICA-5<br>BUY 0 Units @0.0000 | 0.00                 | 0.25                | 0.00               | 0.25              | 85.0 | 0.21                 |
| 03/01/2018   | ***-**-75IN - TARKINGTON,<br>ACCOUNT #: 00084915455      | THE INVESTMENT COMPANY OF AMERICA-A<br>BUY 0 Units @0.0000 | 0.00                 | 0.34                | 0.00               | 0.34              | 85.0 | 0.29                 |
| 03/01/2018   | ***-**-285P - SCHUSTER, SUSAN<br>ACCOUNT #: 00085847526  | THE NEW ECONOMY FUND-529A<br>BUY 0 Units @0.0000           | 0.00                 | 0.96                | 0.00               | 0.96              | 85.0 | 0.82                 |
| 03/01/2018   | ***-**-285P - SCHUSTER, SUSAN<br>ACCOUNT #: 00085847539  | THE NEW ECONOMY FUND-529A<br>BUY 0 Units @0.0000           | 0.00                 | 1.20                | 0.00               | 1.20              | 85.0 | 1.02                 |



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BROKER #: 742  
BRANCH #01001 - LifeMark Home Office

| DATE  | CLIENT                      | INVESTMENT                                       | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|---|-----------------------------|--|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b><u>BROKER TRANSACTIONS (continued)</u></b>                       |                             |  |                      |                     |                    |                   |      |                      |
| <b><u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</u></b> |                             |  |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-765P - CROWE, DEANNA | WASHINGTON MUTUAL INVESTORS FUND-52              | 0.00                 | 8.21                | 0.00               | 8.21              | 85.0 | 6.98                 |
|   | ACCOUNT #: 00073154047      | BUY 0 Units @0.0000                              |                      |                     |                    |                   |      |                      |
|   |                             | <b>* MUTUAL FUND 12B1 TRAILS SUBTOTAL *</b>      | <b>\$0.00</b>        | <b>\$509.34</b>     | <b>\$0.00</b>      | <b>\$509.34</b>   |      | <b>\$433.00</b>      |
| <b><u>PRODUCT CATEGORY: VARIABLE ANNUITY 12B1 TRAILS</u></b>        |                             |  |                      |                     |                    |                   |      |                      |
| 03/12/2018  | ***-**-94SP - LOUDOUN       | QUALIFIED PLAN SUMMARY                           | 0.00                 | 4.65                | 0.00               | 4.65              | 85.0 | 3.95                 |
|   | ACCOUNT #: 825176           | BUY 1 Units @0.0000                              |                      |                     |                    |                   |      |                      |
|   |                             | <b>* VARIABLE ANNUITY 12B1 TRAILS SUBTOTAL *</b> | <b>\$0.00</b>        | <b>\$4.65</b>       | <b>\$0.00</b>      | <b>\$4.65</b>     |      | <b>\$3.95</b>        |
|   |                             | <b>*** BROKER TRANSACTIONS TOTAL ***</b>         | <b>\$725.01</b>      | <b>\$551.34</b>     | <b>\$6.00</b>      | <b>\$545.34</b>   |      | <b>\$463.45</b>      |

## **BROKER COMMISSION TOTALS**

|                       |          |
|-----------------------|----------|
| Broker Transactions   | \$463.45 |
| Split Transactions    | \$0.00   |
| Override Transactions | \$0.00   |
| Adjustments           | \$0.00   |
| Payroll Draw          | \$0.00   |
| Base Salary           | \$0.00   |
| Prior Period Balance  | \$0.00   |
| FINRA Assessment      | \$0.00   |
| SIPC Assessment       | \$0.00   |

Please Retain for Your Records  
THERE WILL BE NO PAYMENT THIS PERIOD

|                              |               |
|------------------------------|---------------|
| <b>Balance Forward</b>       | <b>\$0.00</b> |
| <b>Year-to-date Earnings</b> | <b>\$0.00</b> |



# COMMISSION STATEMENT

March 12, 2018

DAVID BLOCK  
250 West 57th St Suite 614  
New York, NY 10107

BROKER #: B19  
BRANCH #01001 - LifeMark Home Office

| DATE                                     | CLIENT                     | INVESTMENT                        | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|--|----------------------------|-----------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b><u>BROKER TRANSACTIONS</u></b>        |                            |                                   |                      |                     |                    |                   |      |                      |
| <b><u>PRODUCT CATEGORY: 529 PLAN</u></b> |                            |                                   |                      |                     |                    |                   |      |                      |
| 03/12/2018                               | ***-**-81IN - BLOCK, DAVID | NEW YORK 529 TRAILS               | 0.00                 | 0.25                | 0.00               | 0.25              | 85.0 | 0.21                 |
|  | ACCOUNT #: 77118824301     | BUY 0 Units @0.0000               |                      |                     |                    |                   |      |                      |
|  |                            | * 529 PLAN SUBTOTAL *             | <u>\$0.00</u>        | <u>\$0.25</u>       | <u>\$0.00</u>      | <u>\$0.25</u>     |      | <u>\$0.21</u>        |
|  |                            | *** BROKER TRANSACTIONS TOTAL *** | <u>\$0.00</u>        | <u>\$0.25</u>       | <u>\$0.00</u>      | <u>\$0.25</u>     |      | <u>\$0.21</u>        |

## **BROKER COMMISSION TOTALS**

|                       |        |
|-----------------------|--------|
| Broker Transactions   | \$0.21 |
| Split Transactions    | \$0.00 |
| Override Transactions | \$0.00 |
| Adjustments           | \$0.00 |
| Payroll Draw          | \$0.00 |
| Base Salary           | \$0.00 |
| Prior Period Balance  | \$0.00 |
| FINRA Assessment      | \$0.00 |
| SIPC Assessment       | \$0.00 |

Please Retain for Your Records  
THERE WILL BE NO PAYMENT THIS PERIOD

|                              |               |
|------------------------------|---------------|
| <b>Balance Forward</b>       | <b>\$0.00</b> |
| <b>Year-to-date Earnings</b> | <b>\$0.00</b> |



# COMMISSION STATEMENT

March 12, 2018

DAVID BLONSKY  
2590 Brighton Henrietta TL Rd  
Rochester, NY 14623

BROKER #: 738 Terminated 12/31/2009  
BRANCH #01001 - LifeMark Home Office

| DATE   | CLIENT | INVESTMENT                      | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION   | RATE | BROKER<br>COMMISSION         |
|--|--------|---------------------------------|----------------------|---------------------|--------------------|---|------|------------------------------|
| <div>ADJUSTMENTS</div>   |        |                                 |                      |                     |                    |   |      |                              |
| 03/07/2018   |        | PRIOR PERIOD BALANCE(SEE BELOW) | 0.00                 | 0.00                | 0.00               | 0.00  |      | 0.00                         |
|  |        | *** ADJUSTMENTS TOTAL ***       | \$0.00               | \$0.00              | \$0.00             | \$0.00  |      | \$0.00                       |
| <div>BROKER COMMISSION TOTALS</div>                                    |        |                                 |                      |                     |                    |   |      |                              |
|  |        |                                 |                      |                     |                    |   |      | Broker Transactions \$0.00   |
|  |        |                                 |                      |                     |                    |   |      | Split Transactions \$0.00    |
|  |        |                                 |                      |                     |                    |   |      | Override Transactions \$0.00 |
|  |        |                                 |                      |                     |                    |   |      | Adjustments \$0.00           |
|  |        |                                 |                      |                     |                    |   |      | Payroll Draw \$0.00          |
|  |        |                                 |                      |                     |                    |   |      | Base Salary \$0.00           |
|  |        |                                 |                      |                     |                    |   |      | Prior Period Balance \$0.00  |
|  |        |                                 |                      |                     |                    |   |      | FINRA Assessment \$0.00      |
|  |        |                                 |                      |                     |                    |   |      | SIPC Assessment \$0.00       |
| Please Retain for Your Records<br>THERE WILL BE NO PAYMENT THIS PERIOD |        |                                 |                      |                     |                    | <div>Balance Forward \$0.00</div> <div>Year-to-date Earnings \$0.00</div> |      |                              |





# COMMISSION STATEMENT

March 12, 2018

DEVIN BORN  
128 Matthew Dr  
Sinking Springs, PA 19608

BROKER #: A95  
BRANCH #01001 - LifeMark Home Office

| DATE   | CLIENT                         | INVESTMENT                         | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|--|--------------------------------|------------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b><u>BROKER TRANSACTIONS</u></b>            |                                |                                    |                      |                     |                    |                   |      |                      |
| <b><u>PRODUCT CATEGORY: MUTUAL FUNDS</u></b> |                                |                                    |                      |                     |                    |                   |      |                      |
| 03/02/2018                                   | ***-**-482J - SCHWEMMER, JOHN  | FIDELITY ADV HIGH INCOME ADVANTAGE | 200.00               | 7.50                | 0.00               | 7.50              | 75.0 | 5.63                 |
|  | ACCOUNT #: 00700258619         | BUY 17 Units @11.7000              |                      |                     |                    |                   |      |                      |
| 03/01/2018                                   | ***-**-35IR - SPERRATORE, ROSE | FIDELITY ADV MF 040813             | 50.00                | 1.88                | 0.00               | 1.88              | 75.0 | 1.41                 |
|  | ACCOUNT #: 01464625126         | BUY 2 Units @20.9400               |                      |                     |                    |                   |      |                      |
| 02/27/2018                                   | ***-**-68IN - DODDS, JOHN      | HIGH YIELD A                       | 5,000.00             | 175.00              | 0.00               | 175.00            | 75.0 | 131.25               |
|  | ACCOUNT #: 00777291985         | BUY 1385 Units @3.6100             |                      |                     |                    |                   |      |                      |
| 02/27/2018                                   | ***-**-0738 - WESSNER, TODD    | JOHN HANCOCK DISCIPLINED VALUE A   | 138.06               | 3.93                | 0.00               | 3.93              | 75.0 | 2.95                 |
|  | ACCOUNT #: 00002492630         | BUY 6 Units @23.8300               |                      |                     |                    |                   |      |                      |
| 02/27/2018                                   | ***-**-0738 - WESSNER, TODD    | JOHN HANCOCK DISCIPLINED VALUE A   | 41.42                | 1.18                | 0.00               | 1.18              | 75.0 | 0.89                 |
|  | ACCOUNT #: 00002492630         | BUY 2 Units @23.8300               |                      |                     |                    |                   |      |                      |
| 02/27/2018                                   | ***-**-0491 - SUTTON, WAYNE    | LIFESTYLE AGGRESSIVE PORTFOLIO A   | 3.99                 | 0.11                | 0.00               | 0.11              | 75.0 | 0.08                 |
|  | ACCOUNT #: 00002409892         | BUY 0 Units @17.5100               |                      |                     |                    |                   |      |                      |
| 02/27/2018                                   | ***-**-0491 - SUTTON, WAYNE    | LIFESTYLE AGGRESSIVE PORTFOLIO A   | 3.99                 | 0.11                | 0.00               | 0.11              | 75.0 | 0.08                 |
|  | ACCOUNT #: 00002409892         | BUY 0 Units @17.5100               |                      |                     |                    |                   |      |                      |
| 02/27/2018                                   | ***-**-3295 - KUNKEL, WILLIAM  | LIFESTYLE AGGRESSIVE PORTFOLIO A   | 42.08                | 1.20                | 0.00               | 1.20              | 75.0 | 0.90                 |
|  | ACCOUNT #: 00002492633         | BUY 2 Units @17.5100               |                      |                     |                    |                   |      |                      |
| 02/27/2018                                   | ***-**-3295 - KUNKEL, WILLIAM  | LIFESTYLE AGGRESSIVE PORTFOLIO A   | 42.08                | 1.20                | 0.00               | 1.20              | 75.0 | 0.90                 |
|  | ACCOUNT #: 00002492633         | BUY 2 Units @17.5100               |                      |                     |                    |                   |      |                      |
| 02/27/2018                                   | ***-**-9183 - DISSINGER,       | LIFESTYLE AGGRESSIVE PORTFOLIO A   | 7.98                 | 0.23                | 0.00               | 0.23              | 75.0 | 0.17                 |
|  | ACCOUNT #: 00003368835         | BUY 0 Units @17.5100               |                      |                     |                    |                   |      |                      |
| 02/27/2018                                   | ***-**-9183 - DISSINGER,       | LIFESTYLE AGGRESSIVE PORTFOLIO A   | 7.98                 | 0.23                | 0.00               | 0.23              | 75.0 | 0.17                 |
|  | ACCOUNT #: 00003368835         | BUY 0 Units @17.5100               |                      |                     |                    |                   |      |                      |
| 02/27/2018                                   | ***-**-3321 - WILLIAMS, EDWARD | LIFESTYLE MODERATE PORTFOLIO A     | 27.57                | 0.79                | 0.00               | 0.79              | 75.0 | 0.59                 |
|  | ACCOUNT #: 00002410404         | BUY 2 Units @14.3200               |                      |                     |                    |                   |      |                      |
| 02/27/2018                                   | ***-**-3321 - WILLIAMS, EDWARD | LIFESTYLE MODERATE PORTFOLIO A     | 27.57                | 0.79                | 0.00               | 0.79              | 75.0 | 0.59                 |
|  | ACCOUNT #: 00002410404         | BUY 2 Units @14.3200               |                      |                     |                    |                   |      |                      |
| 03/01/2018                                   | ***-**-8879 - ILLIANO, MARIO   | THE GROWTH FUND OF AMERICA-A       | 150.00               | 6.38                | 0.00               | 6.38              | 75.0 | 4.79                 |
|  | ACCOUNT #: 00084446460         | BUY 3 Units @54.2500               |                      |                     |                    |                   |      |                      |
| * MUTUAL FUNDS SUBTOTAL *                    |                                |                                    | \$5,742.72           | \$200.53            | \$0.00             | \$200.53          |      | \$150.40             |



# COMMISSION STATEMENT

March 12, 2018

DEVIN BORN  
128 Matthew Dr  
Sinking Springs, PA 19608

BROKER #: A95  
BRANCH #01001 - LifeMark Home Office

| DATE   | CLIENT                         | INVESTMENT                          | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|--|--------------------------------|-------------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b>BROKER TRANSACTIONS (continued)</b>           |                                |                                     |                      |                     |                    |                   |      |                      |
| <b>PRODUCT CATEGORY: 529 PLAN</b>                |                                |                                     |                      |                     |                    |                   |      |                      |
| 03/01/2018                                       | ***-**-1668 - BONNER, STEPHEN  | FA 529 PORT 2019-OLD CL A           | 50.00                | 1.25                | 0.00               | 1.25              | 75.0 | 0.94                 |
|  | ACCOUNT #: 00700557085         | BUY 2 Units @20.9900                |                      |                     |                    |                   |      |                      |
| 03/01/2018                                       | ***-**-68IN - ESHBACH, ERIC    | FA 529 PORT 2022-CL A               | 100.00               | 5.00                | 0.00               | 5.00              | 75.0 | 3.75                 |
|  | ACCOUNT #: 00701661217         | BUY 4 Units @28.2800                |                      |                     |                    |                   |      |                      |
| 03/01/2018                                       | ***-**-35IR - SPERRATORE, ROSE | FA 529 PORT 2022-CL A               | 50.00                | 1.88                | 0.00               | 1.88              | 75.0 | 1.41                 |
|  | ACCOUNT #: 00689597003         | BUY 2 Units @27.9100                |                      |                     |                    |                   |      |                      |
| 03/01/2018                                       | ***-**-35IR - SPERRATORE, ROSE | FA 529 PORT 2028-CL A               | 50.00                | 1.88                | 0.00               | 1.88              | 75.0 | 1.41                 |
|  | ACCOUNT #: 00625390331         | BUY 2 Units @28.9300                |                      |                     |                    |                   |      |                      |
| <b>* 529 PLAN SUBTOTAL *</b>                     |                                |                                     | <b>\$250.00</b>      | <b>\$10.01</b>      | <b>\$0.00</b>      | <b>\$10.01</b>    |      | <b>\$7.51</b>        |
| <b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</b> |                                |                                     |                      |                     |                    |                   |      |                      |
| 03/12/2018                                       | ***-**-90IO - LUBAS, AMY       | ALLIANCEBERNSTEIN EMERG MKT DEBT A  | 0.00                 | 12.16               | 0.00               | 12.16             | 75.0 | 9.12                 |
|  | ACCOUNT #: LSR011748           | BUY 1 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/12/2018                                       | ***-**-36IO - CEGANICK,        | ALLIANCEBERNSTEIN GROWTH AND INC A  | 0.00                 | 4.69                | 0.00               | 4.69              | 75.0 | 3.52                 |
|  | ACCOUNT #: LSM000176           | BUY 1 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018                                       | ***-**-6921 - EINSEL, HELENA   | AMERICAN FUNDS 2035 TARGET DATE-A   | 0.00                 | 51.32               | 0.00               | 51.32             | 75.0 | 38.49                |
|  | ACCOUNT #: 04000487201         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/12/2018                                       | ***-**-87IR - BORN, LAUREN     | CALVERT BALANCED PORTFOLIO - A      | 0.00                 | 0.87                | 0.00               | 0.87              | 75.0 | 0.65                 |
|  | ACCOUNT #: LSM000173           | BUY 1 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/12/2018                                       | ***-**-05IR - BORN, SHAWN      | CALVERT SOCIAL INVESTMENT FD EQUITY | 0.00                 | 2.07                | 0.00               | 2.07              | 75.0 | 1.55                 |
|  | ACCOUNT #: LSM000165           | BUY 1 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/07/2018                                       | ***-**-03IN - COLLINS, CHRISTY | FA 529 PORT 2019-OLD CL A           | 0.00                 | 5.38                | 0.00               | 5.38              | 75.0 | 4.04                 |
|  | ACCOUNT #: 00700912066         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/07/2018                                       | ***-**-1668 - BONNER, STEPHEN  | FA 529 PORT 2019-OLD CL A           | 0.00                 | 9.47                | 0.00               | 9.47              | 75.0 | 7.10                 |
|  | ACCOUNT #: 00700557085         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/07/2018                                       | ***-**-68IN - ESHBACH, ERIC    | FA 529 PORT 2022-CL A               | 0.00                 | 2.84                | 0.00               | 2.84              | 75.0 | 2.13                 |
|  | ACCOUNT #: 00701661217         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/07/2018                                       | ***-**-35IR - SPERRATORE, ROSE | FA 529 PORT 2022-CL A               | 0.00                 | 4.60                | 0.00               | 4.60              | 75.0 | 3.45                 |
|  | ACCOUNT #: 00689597003         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/07/2018                                       | ***-**-975P - SCANTZOS,        | FA 529 PORT 2022-CL A               | 0.00                 | 2.07                | 0.00               | 2.07              | 75.0 | 1.55                 |
|  | ACCOUNT #: 00700225170         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/07/2018                                       | ***-**-975P - SCANTZOS,        | FA 529 PORT 2022-CL A               | 0.00                 | 3.39                | 0.00               | 3.39              | 75.0 | 2.54                 |
|  | ACCOUNT #: 00701649865         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |



# COMMISSION STATEMENT

March 12, 2018

DEVIN BORN  
128 Matthew Dr  
Sinking Springs, PA 19608

BROKER #: A95  
BRANCH #01001 - LifeMark Home Office

| DATE   | CLIENT                         | INVESTMENT                         | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|--|--------------------------------|------------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b>BROKER TRANSACTIONS (continued)</b>                       |                                |                                    |                      |                     |                    |                   |      |                      |
| <b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</b> |                                |                                    |                      |                     |                    |                   |      |                      |
| 03/07/2018   | ***-**-4593 - TOWER, GERTRUDE  | FA 529 PORT 2022-CL A              | 0.00                 | 1.23                | 0.00               | 1.23              | 75.0 | 0.92                 |
|  | ACCOUNT #: 01471499630         | BUY 0 Units @0.0000                |                      |                     |                    |                   |      |                      |
| 03/07/2018   | ***-**-4593 - TOWER, GERTRUDE  | FA 529 PORT 2022-CL A              | 0.00                 | 1.23                | 0.00               | 1.23              | 75.0 | 0.92                 |
|  | ACCOUNT #: 01471499655         | BUY 0 Units @0.0000                |                      |                     |                    |                   |      |                      |
| 03/07/2018   | ***-**-975P - SCANTZOS,        | FA 529 PORT 2025-CL A              | 0.00                 | 1.98                | 0.00               | 1.98              | 75.0 | 1.49                 |
|  | ACCOUNT #: 00704894625         | BUY 0 Units @0.0000                |                      |                     |                    |                   |      |                      |
| 03/07/2018   | ***-**-35IR - SPERRATORE, ROSE | FA 529 PORT 2028-CL A              | 0.00                 | 3.60                | 0.00               | 3.60              | 75.0 | 2.70                 |
|  | ACCOUNT #: 00625390331         | BUY 0 Units @0.0000                |                      |                     |                    |                   |      |                      |
| 03/07/2018   | ***-**-35IR - SPERRATORE, ROSE | FA 529 PORT 2028-CL A              | 0.00                 | 1.19                | 0.00               | 1.19              | 75.0 | 0.89                 |
|  | ACCOUNT #: 01464625126         | BUY 0 Units @0.0000                |                      |                     |                    |                   |      |                      |
| 03/07/2018   | ***-**-9290 - BRYNIARSKI,      | FIDELITY ADV FINANCIAL SERVICES CL | 0.00                 | 0.30                | 0.00               | 0.30              | 75.0 | 0.23                 |
|  | ACCOUNT #: 00701194474         | BUY 0 Units @0.0000                |                      |                     |                    |                   |      |                      |
| 03/07/2018   | ***-**-5475 - ZIMMERMAN,       | FIDELITY ADV FINANCIAL SERVICES CL | 0.00                 | 0.75                | 0.00               | 0.75              | 75.0 | 0.56                 |
|  | ACCOUNT #: 00704561026         | BUY 0 Units @0.0000                |                      |                     |                    |                   |      |                      |
| 03/07/2018   | ***-**-2330 - BRYNIARSKI,      | FIDELITY ADV FREEDOM 2035-CL A     | 0.00                 | 2.63                | 0.00               | 2.63              | 75.0 | 1.97                 |
|  | ACCOUNT #: 01427341720         | BUY 0 Units @0.0000                |                      |                     |                    |                   |      |                      |
| 03/07/2018   | ***-**-9418 - ESHBACH, SUSAN   | FIDELITY ADV FREEDOM 2050-CL A     | 0.00                 | 2.47                | 0.00               | 2.47              | 75.0 | 1.85                 |
|  | ACCOUNT #: 01422030047         | BUY 0 Units @0.0000                |                      |                     |                    |                   |      |                      |
| 03/07/2018   | ***-**-9290 - BRYNIARSKI,      | FIDELITY ADV HEALTH CARE-CL A      | 0.00                 | 0.85                | 0.00               | 0.85              | 75.0 | 0.64                 |
|  | ACCOUNT #: 00701194474         | BUY 0 Units @0.0000                |                      |                     |                    |                   |      |                      |
| 03/07/2018   | ***-**-9816 - ESHBACH, AUDREY  | FIDELITY ADV HEALTH CARE-CL A      | 0.00                 | 6.49                | 0.00               | 6.49              | 75.0 | 4.87                 |
|  | ACCOUNT #: 00537147738         | BUY 0 Units @0.0000                |                      |                     |                    |                   |      |                      |
| 03/07/2018   | ***-**-0610 - SWEIGART, SUE    | FIDELITY ADV HIGH INCOME ADVANTAGE | 0.00                 | 6.28                | 0.00               | 6.28              | 75.0 | 4.71                 |
|  | ACCOUNT #: 00527640569         | BUY 0 Units @0.0000                |                      |                     |                    |                   |      |                      |
| 03/07/2018   | ***-**-482J - SCHWEMMER, JOHN  | FIDELITY ADV HIGH INCOME ADVANTAGE | 0.00                 | 6.82                | 0.00               | 6.82              | 75.0 | 5.12                 |
|  | ACCOUNT #: 00700258619         | BUY 0 Units @0.0000                |                      |                     |                    |                   |      |                      |
| 03/07/2018   | ***-**-06IR - YAKAITIS, JAMES  | FIDELITY ADV HIGH INCOME ADVANTAGE | 0.00                 | 3.93                | 0.00               | 3.93              | 75.0 | 2.95                 |
|  | ACCOUNT #: 00700935596         | BUY 0 Units @0.0000                |                      |                     |                    |                   |      |                      |
| 03/07/2018   | ***-**-72IN - BOYER, SUSAN     | FIDELITY ADV HIGH INCOME ADVANTAGE | 0.00                 | 1.85                | 0.00               | 1.85              | 75.0 | 1.39                 |
|  | ACCOUNT #: 00704025758         | BUY 0 Units @0.0000                |                      |                     |                    |                   |      |                      |
| 03/07/2018   | ***-**-1271 - BREIDENSTEIN,    | FIDELITY ADV HIGH INCOME ADVANTAGE | 0.00                 | 8.03                | 0.00               | 8.03              | 75.0 | 6.02                 |
|  | ACCOUNT #: 01483191639         | BUY 0 Units @0.0000                |                      |                     |                    |                   |      |                      |



# COMMISSION STATEMENT

March 12, 2018

DEVIN BORN  
128 Matthew Dr  
Sinking Springs, PA 19608

BROKER #: A95  
BRANCH #01001 - LifeMark Home Office

| DATE   | CLIENT                         | INVESTMENT                          | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|--|--------------------------------|-------------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b>BROKER TRANSACTIONS (continued)</b>                       |                                |                                     |                      |                     |                    |                   |      |                      |
| <b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</b> |                                |                                     |                      |                     |                    |                   |      |                      |
| 03/07/2018   | ***-**-3510 - CAMERON, NANCY   | FIDELITY ADV HIGH INCOME-CL A       | 0.00                 | 0.53                | 0.00               | 0.53              | 75.0 | 0.40                 |
|  | ACCOUNT #: 01442128896         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/07/2018   | ***-**-9358 - RAMBO, JOHN      | FIDELITY ADV HIGH INCOME-CL A       | 0.00                 | 12.05               | 0.00               | 12.05             | 75.0 | 9.04                 |
|  | ACCOUNT #: 00537052706         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/07/2018   | ***-**-2999 - GODFREY, MICHAEL | FIDELITY ADV HIGH INCOME-CL A       | 0.00                 | 0.15                | 0.00               | 0.15              | 75.0 | 0.11                 |
|  | ACCOUNT #: 00700702285         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/07/2018   | ***-**-0618 - GODFREY, REBECCA | FIDELITY ADV HIGH INCOME-CL A       | 0.00                 | 0.15                | 0.00               | 0.15              | 75.0 | 0.11                 |
|  | ACCOUNT #: 00700702293         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/07/2018   | ***-**-5475 - ZIMMERMAN,       | FIDELITY ADV HIGH INCOME-CL A       | 0.00                 | 5.46                | 0.00               | 5.46              | 75.0 | 4.10                 |
|  | ACCOUNT #: 00704561026         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/07/2018   | ***-**-5475 - ZIMMERMAN,       | FIDELITY ADV LARGE CAP VALUE-CL A   | 0.00                 | 0.66                | 0.00               | 0.66              | 75.0 | 0.50                 |
|  | ACCOUNT #: 00704561026         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/07/2018   | ***-**-5527 - BONNER, BETTINA  | FIDELITY ADV LARGE CAP VALUE-CL A   | 0.00                 | 1.41                | 0.00               | 1.41              | 75.0 | 1.06                 |
|  | ACCOUNT #: 01487530055         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/07/2018   | ***-**-351R - SPERRATORE, ROSE | FIDELITY ADV MF 040813              | 0.00                 | 1.70                | 0.00               | 1.70              | 75.0 | 1.28                 |
|  | ACCOUNT #: 01464625126         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/07/2018   | ***-**-4593 - TOWER, GERTRUDE  | FIDELITY ADV MF 040813              | 0.00                 | 0.71                | 0.00               | 0.71              | 75.0 | 0.53                 |
|  | ACCOUNT #: 01471499648         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/07/2018   | ***-**-9290 - BRYNIARSKI,      | FIDELITY ADV MID CAP II-CL A        | 0.00                 | 5.59                | 0.00               | 5.59              | 75.0 | 4.19                 |
|  | ACCOUNT #: 00701194474         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/07/2018   | ***-**-5475 - ZIMMERMAN,       | FIDELITY ADV MID CAP II-CL A        | 0.00                 | 0.69                | 0.00               | 0.69              | 75.0 | 0.52                 |
|  | ACCOUNT #: 00704561026         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/07/2018   | ***-**-4794 - BARRETT, JAMES   | FIDELITY ADV TOTAL BOND-CL A        | 0.00                 | 8.00                | 0.00               | 8.00              | 75.0 | 6.00                 |
|  | ACCOUNT #: 00700238868         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/07/2018   | ***-**-4794 - BARRETT, JAMES   | FIDELITY ADV TOTAL BOND-CL A        | 0.00                 | 0.14                | 0.00               | 0.14              | 75.0 | 0.11                 |
|  | ACCOUNT #: 00704610013         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/07/2018   | ***-**-5475 - ZIMMERMAN,       | FIDELITY ADVISOR EMERGING MARKETS F | 0.00                 | 0.52                | 0.00               | 0.52              | 75.0 | 0.39                 |
|  | ACCOUNT #: 00704561026         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/07/2018   | ***-**-1668 - BONNER, STEPHEN  | FIDELITY ADVISOR MID CAP STOCK CL A | 0.00                 | 6.32                | 0.00               | 6.32              | 75.0 | 4.74                 |
|  | ACCOUNT #: 00700557093         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/07/2018   | ***-**-2330 - BRYNIARSKI,      | FIDELITY ADVISOR SMALL-CAP GROWTH F | 0.00                 | 1.64                | 0.00               | 1.64              | 75.0 | 1.23                 |
|  | ACCOUNT #: 00701194482         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |



# COMMISSION STATEMENT

March 12, 2018

DEVIN BORN  
128 Matthew Dr  
Sinking Springs, PA 19608

BROKER #: A95  
BRANCH #01001 - LifeMark Home Office

| DATE   | CLIENT                        | INVESTMENT                          | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|--|-------------------------------|-------------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b>BROKER TRANSACTIONS (continued)</b>                       |                               |                                     |                      |                     |                    |                   |      |                      |
| <b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</b> |                               |                                     |                      |                     |                    |                   |      |                      |
| 03/07/2018   | ***-**-9816 - ESHBACH, AUDREY | FIDELITY ADVISORS TRAILS            | 0.00                 | 4.41                | 0.00               | 4.41              | 75.0 | 3.31                 |
|  | ACCOUNT #: 00537147738        | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/07/2018   | ***-**-0349 - BREIDENSTEIN,   | FIDELITY GOVT MMKT DAILY MONEY CLAS | 0.00                 | 1.40                | 0.00               | 1.40              | 75.0 | 1.05                 |
|  | ACCOUNT #: 03900189228        | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/07/2018   | ***-**-1271 - BREIDENSTEIN,   | FIDELITY GOVT MMKT DAILY MONEY CLAS | 0.00                 | 2.14                | 0.00               | 2.14              | 75.0 | 1.61                 |
|  | ACCOUNT #: 01483191639        | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/12/2018   | ***-**-3610 - CEGANICK,       | INVESCO VAN KAMPEN VALUE OPP CLASS  | 0.00                 | 3.55                | 0.00               | 3.55              | 75.0 | 2.66                 |
|  | ACCOUNT #: LSM000176          | BUY 1 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/12/2018   | ***-**-243I - KOHLER, ALAN    | PRUDENTIAL HIGH YIELD CLASS A       | 0.00                 | 2.63                | 0.00               | 2.63              | 75.0 | 1.97                 |
|  | ACCOUNT #: LSR011747          | BUY 1 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/12/2018   | ***-**-243I - KOHLER, ALAN    | PRUDENTIAL HIGH YIELD CLASS B       | 0.00                 | 3.00                | 0.00               | 3.00              | 75.0 | 2.25                 |
|  | ACCOUNT #: LSR011747          | BUY 1 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/12/2018   | ***-**-243I - KOHLER, ALAN    | PRUDENTIAL JENNISON MID CAP GROWTH  | 0.00                 | 2.51                | 0.00               | 2.51              | 75.0 | 1.88                 |
|  | ACCOUNT #: LSR011747          | BUY 1 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/12/2018   | ***-**-243I - KOHLER, ALAN    | PRUDENTIAL JENNISON MID CAP GROWTH  | 0.00                 | 1.15                | 0.00               | 1.15              | 75.0 | 0.86                 |
|  | ACCOUNT #: LSR011747          | BUY 1 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/12/2018   | ***-**-243I - KOHLER, ALAN    | PRUDENTIAL TOTAL RETURN BOND CLASS  | 0.00                 | 2.29                | 0.00               | 2.29              | 75.0 | 1.72                 |
|  | ACCOUNT #: LSR011747          | BUY 1 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/12/2018   | ***-**-243I - KOHLER, ALAN    | PRUDENTIAL TOTAL RETURN BOND CLASS  | 0.00                 | 0.56                | 0.00               | 0.56              | 75.0 | 0.42                 |
|  | ACCOUNT #: LSR011747          | BUY 1 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-8879 - ILLIANO, MARIO  | THE GROWTH FUND OF AMERICA-A        | 0.00                 | 14.50               | 0.00               | 14.50             | 75.0 | 10.88                |
|  | ACCOUNT #: 00084446460        | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-729J - LAUER, HENRY    | THE INVESTMENT COMPANY OF AMERICA-A | 0.00                 | 3.95                | 0.00               | 3.95              | 75.0 | 2.96                 |
|  | ACCOUNT #: 00064849697        | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-924I - LAUER, RACHEL   | THE INVESTMENT COMPANY OF AMERICA-A | 0.00                 | 14.41               | 0.00               | 14.41             | 75.0 | 10.81                |
|  | ACCOUNT #: 00064849699        | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| <b>* MUTUAL FUND 12B1 TRAILS SUBTOTAL *</b>                  |                               |                                     | <b>\$0.00</b>        | <b>\$250.71</b>     | <b>\$0.00</b>      | <b>\$250.71</b>   |      | <b>\$188.06</b>      |
| <b>PRODUCT CATEGORY: VARIABLE ANNUITY 12B1 TRAILS</b>        |                               |                                     |                      |                     |                    |                   |      |                      |
| 02/14/2018   | ***-**-86IN - PATTON, JULIE   | TRANSAMERICA VA 89354G562           | 0.00                 | 73.48               | 0.00               | 73.48             | 75.0 | 55.11                |
|  | ACCOUNT #: 108505TAL          | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| <b>* VARIABLE ANNUITY 12B1 TRAILS SUBTOTAL *</b>             |                               |                                     | <b>\$0.00</b>        | <b>\$73.48</b>      | <b>\$0.00</b>      | <b>\$73.48</b>    |      | <b>\$55.11</b>       |



# COMMISSION STATEMENT

March 12, 2018

DEVIN BORN  
128 Matthew Dr  
Sinking Springs, PA 19608

BROKER #: A95  
BRANCH #01001 - LifeMark Home Office

| DATE                              | CLIENT | INVESTMENT | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|-----------------------------------|--------|------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| *** BROKER TRANSACTIONS TOTAL *** |        |            | \$5,992.72           | \$534.73            | \$0.00             | \$534.73          |      | \$401.08             |

## BROKER COMMISSION TOTALS

|                       |          |
|-----------------------|----------|
| Broker Transactions   | \$401.08 |
| Split Transactions    | \$0.00   |
| Override Transactions | \$0.00   |
| Adjustments           | \$0.00   |
| Payroll Draw          | \$0.00   |
| Base Salary           | \$0.00   |
| Prior Period Balance  | \$0.00   |
| FINRA Assessment      | \$0.00   |
| SIPC Assessment       | \$0.00   |

Please Retain for Your Records  
THERE WILL BE NO PAYMENT THIS PERIOD

|                       |        |
|-----------------------|--------|
| Balance Forward       | \$0.00 |
| Year-to-date Earnings | \$0.00 |



# COMMISSION STATEMENT

March 12, 2018

DAVID BROCK  
12 Union Street  
PO Box 6673  
Annapolis, MD 21401

BROKER #: 746 Terminated 12/23/2010  
BRANCH #01001 - LifeMark Home Office

| DATE   | CLIENT | INVESTMENT                      | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE    | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|--|--------|---------------------------------|----------------------|---------------------|-----------------------|-------------------|------|----------------------|
| <div>ADJUSTMENTS</div>   |        |                                 |                      |                     |                       |                   |      |                      |
| 03/07/2018   |        | PRIOR PERIOD BALANCE(SEE BELOW) | 0.00                 | 0.00                | 0.00                  | 0.00              |      | 0.00                 |
| *** ADJUSTMENTS TOTAL ***  |        |                                 | \$0.00               | \$0.00              | \$0.00                | \$0.00            |      | \$0.00               |
| <div>BROKER COMMISSION TOTALS</div>                                    |        |                                 |                      |                     |                       |                   |      |                      |
|  |        |                                 |                      |                     | Broker Transactions   |                   |      | \$0.00               |
|  |        |                                 |                      |                     | Split Transactions    |                   |      | \$0.00               |
|  |        |                                 |                      |                     | Override Transactions |                   |      | \$0.00               |
|  |        |                                 |                      |                     | Adjustments           |                   |      | \$0.00               |
|  |        |                                 |                      |                     | Payroll Draw          |                   |      | \$0.00               |
|  |        |                                 |                      |                     | Base Salary           |                   |      | \$0.00               |
|  |        |                                 |                      |                     | Prior Period Balance  |                   |      | \$0.00               |
|  |        |                                 |                      |                     | FINRA Assessment      |                   |      | \$0.00               |
|  |        |                                 |                      |                     | SIPC Assessment       |                   |      | \$0.00               |
| Please Retain for Your Records<br>THERE WILL BE NO PAYMENT THIS PERIOD |        |                                 |                      |                     | Balance Forward       |                   |      | \$0.00               |
|  |        |                                 |                      |                     | Year-to-date Earnings |                   |      | \$0.00               |



# COMMISSION STATEMENT

## March 12, 2018

DAVID BRODER  
143 Longfellow Rd  
Shelton, CT 06484

BROKER #: 198  
BRANCH #01001 - LifeMark Home Office

| DATE  | CLIENT                         | INVESTMENT                                  | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|---|--------------------------------|---|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b><u>BROKER TRANSACTIONS</u></b>                       |                                |   |                      |                     |                    |                   |      |                      |
| <b><u>PRODUCT CATEGORY: MUTUAL FUNDS</u></b>            |                                |   |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-31RI - BRUNO, CAROL     | PUTNAM EQUITY INCOME FUND-A                 | 100.00               | 5.00                | 0.00               | 5.00              | 70.0 | 3.50                 |
|   | ACCOUNT #: 00551361268         | BUY 4 Units @25.7400                        |                      |                     |                    |                   |      |                      |
|   |                                | <b>* MUTUAL FUNDS SUBTOTAL *</b>            | <b>\$100.00</b>      | <b>\$5.00</b>       | <b>\$0.00</b>      | <b>\$5.00</b>     |      | <b>\$3.50</b>        |
| <b><u>PRODUCT CATEGORY: VARIABLE UNIVERSAL LIFE</u></b> |                                |   |                      |                     |                    |                   |      |                      |
| 03/12/2018  | ***-**-76IN - FENGLER, KERI    | SBL TRAILS                                  | 0.00                 | 10.88               | 0.00               | 10.88             | 70.0 | 7.62                 |
|   | ACCOUNT #: 46762776            | BUY 1 Units @0.0000                         |                      |                     |                    |                   |      |                      |
|   |                                | <b>* VARIABLE UNIVERSAL LIFE SUBTOTAL *</b> | <b>\$0.00</b>        | <b>\$10.88</b>      | <b>\$0.00</b>      | <b>\$10.88</b>    |      | <b>\$7.62</b>        |
| <b><u>PRODUCT CATEGORY: 529 PLAN</u></b>                |                                |   |                      |                     |                    |                   |      |                      |
| 03/12/2018  | ***-**-5134 - KOONTZ, JOSEPH   | CHET 529                                    | 50.00                | 0.50                | 0.00               | 0.50              | 70.0 | 0.35                 |
|   | ACCOUNT #: 68455548301         | BUY 0 Units @0.0000                         |                      |                     |                    |                   |      |                      |
| 03/12/2018  | ***-**-26IN - SANTOS, FATIMA   | CTA AGGR GROWTH PORT A                      | 150.00               | 5.00                | 0.00               | 5.00              | 70.0 | 3.50                 |
|   | ACCOUNT #: 68526609201         | BUY 0 Units @0.0000                         |                      |                     |                    |                   |      |                      |
|   |                                | <b>* 529 PLAN SUBTOTAL *</b>                | <b>\$200.00</b>      | <b>\$5.50</b>       | <b>\$0.00</b>      | <b>\$5.50</b>     |      | <b>\$3.85</b>        |
| <b><u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u></b> |                                |   |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-495P - TALLO, ROSE      | CAPITAL INCOME BUILDER-529A                 | 0.00                 | 0.45                | 0.00               | 0.45              | 70.0 | 0.32                 |
|   | ACCOUNT #: 00083957499         | BUY 0 Units @0.0000                         |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-495P - TALLO, ROSE      | CAPITAL INCOME BUILDER-529A                 | 0.00                 | 0.56                | 0.00               | 0.56              | 70.0 | 0.39                 |
|   | ACCOUNT #: 00085732525         | BUY 0 Units @0.0000                         |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-495P - TALLO, ROSE      | CAPITAL INCOME BUILDER-529C                 | 0.00                 | 2.25                | 0.00               | 2.25              | 70.0 | 1.58                 |
|   | ACCOUNT #: 00083957499         | BUY 0 Units @0.0000                         |                      |                     |                    |                   |      |                      |
| 03/12/2018  | ***-**-26IN - SANTOS, FATIMA   | CHET ADVISOR 529 TRAILS                     | 0.00                 | 3.34                | 0.00               | 3.34              | 70.0 | 2.34                 |
|   | ACCOUNT #: 68526609201         | BUY 0 Units @0.0000                         |                      |                     |                    |                   |      |                      |
| 03/12/2018  | ***-**-925P - FENGLER, DANIEL  | CHET ADVISOR 529 TRAILS                     | 0.00                 | 1.77                | 0.00               | 1.77              | 70.0 | 1.24                 |
|   | ACCOUNT #: 68939901201         | BUY 0 Units @0.0000                         |                      |                     |                    |                   |      |                      |
| 03/07/2018  | ***-**-7210 - GUARNA, CATERINA | FA 529 EQUITY INCOME PORT                   | 0.00                 | 0.36                | 0.00               | 0.36              | 70.0 | 0.25                 |
|   | ACCOUNT #: 01488781368         | BUY 0 Units @0.0000                         |                      |                     |                    |                   |      |                      |
| 03/07/2018  | ***-**-7210 - GUARNA, CATERINA | FA 529 EQUITY INCOME PORT                   | 0.00                 | 0.73                | 0.00               | 0.73              | 70.0 | 0.51                 |
|   | ACCOUNT #: 01488781475         | BUY 0 Units @0.0000                         |                      |                     |                    |                   |      |                      |
| 03/07/2018  | ***-**-7210 - GUARNA, CATERINA | FA 529 EQUITY INCOME PORT                   | 0.00                 | 1.01                | 0.00               | 1.01              | 70.0 | 0.71                 |
|   | ACCOUNT #: 01488781509         | BUY 0 Units @0.0000                         |                      |                     |                    |                   |      |                      |





# COMMISSION STATEMENT

March 12, 2018

DAVID BRODER  
143 Longfellow Rd  
Shelton, CT 06484

BROKER #: 198  
BRANCH #01001 - LifeMark Home Office

| DATE   | CLIENT                         | INVESTMENT                         | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|--|--------------------------------|------------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b>BROKER TRANSACTIONS (continued)</b>                       |                                |                                    |                      |                     |                    |                   |      |                      |
| <b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</b> |                                |                                    |                      |                     |                    |                   |      |                      |
| 03/07/2018   | ***-**-7210 - GUARNA, CATERINA | FA 529 EQUITY INCOME PORT          | 0.00                 | 1.00                | 0.00               | 1.00              | 70.0 | 0.70                 |
|  | ACCOUNT #: 01488781533         | BUY 0 Units @0.0000                |                      |                     |                    |                   |      |                      |
| 03/07/2018   | ***-**-49IN - TALLO, ROSE      | FA 529 MID CAP PORT - CL A         | 0.00                 | 0.41                | 0.00               | 0.41              | 70.0 | 0.29                 |
|  | ACCOUNT #: 01444479446         | BUY 0 Units @0.0000                |                      |                     |                    |                   |      |                      |
| 03/07/2018   | ***-**-49IN - TALLO, ROSE      | FA 529 NEW INSIGHTS PORT-CL A      | 0.00                 | 1.00                | 0.00               | 1.00              | 70.0 | 0.70                 |
|  | ACCOUNT #: 01444479446         | BUY 0 Units @0.0000                |                      |                     |                    |                   |      |                      |
| 03/07/2018   | ***-**-49IN - TALLO, ROSE      | FA 529 VALUE STRATEGIES PORT-CL A  | 0.00                 | 1.69                | 0.00               | 1.69              | 70.0 | 1.18                 |
|  | ACCOUNT #: 01444479446         | BUY 0 Units @0.0000                |                      |                     |                    |                   |      |                      |
| 03/07/2018   | ***-**-49IN - TALLO, ROSE      | FIDELITY ADV MF A1                 | 0.00                 | 2.07                | 0.00               | 2.07              | 70.0 | 1.45                 |
|  | ACCOUNT #: 01445267972         | BUY 0 Units @0.0000                |                      |                     |                    |                   |      |                      |
| 03/07/2018   | ***-**-49IN - TALLO, ROSE      | FIDELITY ADV MF A1                 | 0.00                 | 1.23                | 0.00               | 1.23              | 70.0 | 0.86                 |
|  | ACCOUNT #: 01445268004         | BUY 0 Units @0.0000                |                      |                     |                    |                   |      |                      |
| 03/07/2018   | ***-**-472I - PARADIS, URSULA  | FIDELITY ADV STRATEGIC INCOME CL A | 0.00                 | 2.67                | 0.00               | 2.67              | 70.0 | 1.87                 |
|  | ACCOUNT #: 01455315984         | BUY 0 Units @0.0000                |                      |                     |                    |                   |      |                      |
| 03/07/2018   | ***-**-1111 - ROMANOVSKY,      | FIDELITY ADV TOTAL BOND-CL T       | 0.00                 | 2.60                | 0.00               | 2.60              | 70.0 | 1.82                 |
|  | ACCOUNT #: 01456178423         | BUY 0 Units @0.0000                |                      |                     |                    |                   |      |                      |
| 03/07/2018   | ***-**-49IN - TALLO, ROSE      | FIDELITY ADV TRAILS 31580T877      | 0.00                 | 0.07                | 0.00               | 0.07              | 70.0 | 0.05                 |
|  | ACCOUNT #: 01444479446         | BUY 0 Units @0.0000                |                      |                     |                    |                   |      |                      |
| 03/08/2018   | ***-**-52IN - BRODER, RUTH     | RESOURCE REAL ESTATE TRAILS        | 0.00                 | 3.19                | 0.00               | 3.19              | 70.0 | 2.23                 |
|  |                                | BUY 0 Units @0.0000                |                      |                     |                    |                   |      |                      |
| 03/08/2018   | ***-**-543I - RISKALLA,        | RESOURCE REAL ESTATE TRAILS        | 0.00                 | 2.93                | 0.00               | 2.93              | 70.0 | 2.05                 |
|  | ACCOUNT #: 20033401            | BUY 0 Units @0.0000                |                      |                     |                    |                   |      |                      |
| 03/08/2018   | ***-**-76TR - STEELE           | RESOURCE REAL ESTATE TRAILS        | 0.00                 | 2.06                | 0.00               | 2.06              | 70.0 | 1.44                 |
|  | ACCOUNT #: 20033530            | BUY 0 Units @0.0000                |                      |                     |                    |                   |      |                      |
| 03/08/2018   | ***-**-846I - BREEN, KENNETH   | RESOURCE REAL ESTATE TRAILS        | 0.00                 | 3.45                | 0.00               | 3.45              | 70.0 | 2.42                 |
|  | ACCOUNT #: 020033838           | BUY 0 Units @0.0000                |                      |                     |                    |                   |      |                      |
| <b>* MUTUAL FUND 12B1 TRAILS SUBTOTAL *</b>                  |                                |                                    | <b>\$0.00</b>        | <b>\$34.84</b>      | <b>\$0.00</b>      | <b>\$34.84</b>    |      | <b>\$24.40</b>       |
| <b>*** BROKER TRANSACTIONS TOTAL ***</b>                     |                                |                                    | <b>\$300.00</b>      | <b>\$56.22</b>      | <b>\$0.00</b>      | <b>\$56.22</b>    |      | <b>\$39.37</b>       |



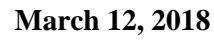
BROKER #: 198  
BRANCH #01001 - LifeMark Home Office

|                                      |        | INVESTMENT | GROSS      | CLEARING              | NET        | BROKER     |
|--------------------------------------|--------|------------|------------|-----------------------|------------|------------|
| DATE                                 | CLIENT | AMOUNT     | COMMISSION | CHARGE                | COMMISSION | COMMISSION |
|                                      |        |            |            |                       |            |            |
| BROKER COMMISSION TOTALS             |        |            |            |                       |            |            |
|                                      |        |            |            | Broker Transactions   |            | \$39.37    |
|                                      |        |            |            | Split Transactions    |            | \$0.00     |
|                                      |        |            |            | Override Transactions |            | \$0.00     |
|                                      |        |            |            | Adjustments           |            | \$0.00     |
|                                      |        |            |            | Payroll Draw          |            | \$0.00     |
|                                      |        |            |            | Base Salary           |            | \$0.00     |
|                                      |        |            |            | Prior Period Balance  |            | \$0.00     |
|                                      |        |            |            | FINRA Assessment      |            | \$0.00     |
|                                      |        |            |            | SIPC Assessment       |            | \$0.00     |
|                                      |        |            |            |                       |            |            |
| Please Retain for Your Records       |        |            |            | Balance Forward       |            | \$0.00     |
| THERE WILL BE NO PAYMENT THIS PERIOD |        |            |            | Year-to-date Earnings |            | \$0.00     |



BROKER #: 193      Terminated 05/21/2012  
BRANCH #01001 - LifeMark Home Office

| DATE   | CLIENT | INVESTMENT                      | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION  | RATE | BROKER<br>COMMISSION |
|--|--------|---------------------------------|----------------------|---------------------|--------------------|--|------|----------------------|
| <div>ADJUSTMENTS</div>   |        |                                 |                      |                     |                    |  |      |                      |
| 03/07/2018   |        | PRIOR PERIOD BALANCE(SEE BELOW) | 0.00                 | 0.00                | 0.00               | 0.00   |      | 0.00                 |
|  |        | *** ADJUSTMENTS TOTAL ***       | \$0.00               | \$0.00              | \$0.00             | \$0.00   |      | \$0.00               |
|  |        |                                 |                      |                     |                    | BROKER COMMISSION TOTALS   |      |                      |
|  |        |                                 |                      |                     |                    | Broker Transactions  |      | \$0.00               |
|  |        |                                 |                      |                     |                    | Split Transactions   |      | \$0.00               |
|  |        |                                 |                      |                     |                    | Override Transactions  |      | \$0.00               |
|  |        |                                 |                      |                     |                    | Adjustments  |      | \$0.00               |
|  |        |                                 |                      |                     |                    | Payroll Draw   |      | \$0.00               |
|  |        |                                 |                      |                     |                    | Base Salary  |      | \$0.00               |
|  |        |                                 |                      |                     |                    | Prior Period Balance   |      | \$0.00               |
|  |        |                                 |                      |                     |                    | FINRA Assessment   |      | \$0.00               |
|  |        |                                 |                      |                     |                    | SIPC Assessment  |      | \$0.00               |
| Please Retain for Your Records<br>THERE WILL BE NO PAYMENT THIS PERIOD |        |                                 |                      |                     |                    | <div>Balance Forward\$0.00<br/>Year-to-date Earnings\$0.00</div> |      |                      |



BROKER #: A05      Terminated 02/07/2012  
BRANCH #01001 - LifeMark Home Office

| DATE   | CLIENT | INVESTMENT                      | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE                  | NET<br>COMMISSION | RATE   | BROKER<br>COMMISSION |
|--|--------|---------------------------------|----------------------|---------------------|-------------------------------------|-------------------|--------|----------------------|
| <div>ADJUSTMENTS</div>   |        |                                 |                      |                     |                                     |                   |        |                      |
| 03/07/2018   |        | PRIOR PERIOD BALANCE(SEE BELOW) | 0.00                 | 0.00                | 0.00                                | 0.00              |        | 0.00                 |
|  |        | *** ADJUSTMENTS TOTAL ***       | \$0.00               | \$0.00              | \$0.00                              | \$0.00            |        | \$0.00               |
|  |        |                                 |                      |                     | <div>BROKER COMMISSION TOTALS</div> |                   |        |                      |
|  |        |                                 |                      |                     | Broker Transactions                 |                   | \$0.00 |                      |
|  |        |                                 |                      |                     | Split Transactions                  |                   | \$0.00 |                      |
|  |        |                                 |                      |                     | Override Transactions               |                   | \$0.00 |                      |
|  |        |                                 |                      |                     | Adjustments                         |                   | \$0.00 |                      |
|  |        |                                 |                      |                     | Payroll Draw                        |                   | \$0.00 |                      |
|  |        |                                 |                      |                     | Base Salary                         |                   | \$0.00 |                      |
|  |        |                                 |                      |                     | Prior Period Balance                |                   | \$0.00 |                      |
|  |        |                                 |                      |                     | FINRA Assessment                    |                   | \$0.00 |                      |
|  |        |                                 |                      |                     | SIPC Assessment                     |                   | \$0.00 |                      |
| Please Retain for Your Records<br>THERE WILL BE NO PAYMENT THIS PERIOD |        |                                 |                      |                     | Balance Forward                     |                   | \$0.00 |                      |
|  |        |                                 |                      |                     | Year-to-date Earnings               |                   | \$0.00 |                      |



# COMMISSION STATEMENT

March 12, 2018

JOHN BUSEY  
12705 Century Dr Suite A  
Suite A  
Alpharetta, GA 30009

BROKER #: B13  
BRANCH #01001 - LifeMark Home Office

| DATE  | CLIENT   | INVESTMENT          | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|---|--|---------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b><u>BROKER TRANSACTIONS</u></b>                       |  |                     |                      |                     |                    |                   |      |                      |
| <b><u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u></b> |  |                     |                      |                     |                    |                   |      |                      |
| 03/07/2018  | ***-**-58IN - PRICE, ROSALYNNE FIDELITY ADVISOR EQUITY INCOME CL T |                     | 0.00                 | 4.02                | 0.00               | 4.02              | 83.0 | 3.34                 |
|   | ACCOUNT #: 00656045945   | BUY 0 Units @0.0000 |                      |                     |                    |                   |      |                      |
|   | * MUTUAL FUND 12B1 TRAILS SUBTOTAL *                               |                     | \$0.00               | \$4.02              | \$0.00             | \$4.02            |      | \$3.34               |
|   | *** BROKER TRANSACTIONS TOTAL ***                                  |                     | \$0.00               | \$4.02              | \$0.00             | \$4.02            |      | \$3.34               |

## **BROKER COMMISSION TOTALS**

|                       |        |
|-----------------------|--------|
| Broker Transactions   | \$3.34 |
| Split Transactions    | \$0.00 |
| Override Transactions | \$0.00 |
| Adjustments           | \$0.00 |
| Payroll Draw          | \$0.00 |
| Base Salary           | \$0.00 |
| Prior Period Balance  | \$0.00 |
| FINRA Assessment      | \$0.00 |
| SIPC Assessment       | \$0.00 |

Please Retain for Your Records  
THERE WILL BE NO PAYMENT THIS PERIOD

|                       |        |
|-----------------------|--------|
| Balance Forward       | \$0.00 |
| Year-to-date Earnings | \$0.00 |



# COMMISSION STATEMENT

## March 12, 2018

STEPHEN CARVER  
1921 W Willow Knolls Dr Ste C  
Peoria, IL 61614

BROKER #: B15  
BRANCH #01001 - LifeMark Home Office

| DATE   | CLIENT   | INVESTMENT  | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE  | BROKER<br>COMMISSION |
|--|--|---|----------------------|---------------------|--------------------|-------------------|-------|----------------------|
| <b><u>BROKER TRANSACTIONS</u></b>                      |  |   |                      |                     |                    |                   |       |                      |
| <b><u>PRODUCT CATEGORY: MUTUAL FUNDS</u></b>           |  |   |                      |                     |                    |                   |       |                      |
| 03/07/2018   | ***-**-03TR - NEAL TRUST,<br>ACCOUNT #: LSR012505      | CALVERT GLOBAL WATER FUND CLASS A<br>SELL 1000 Units @20.0100   | 20,000.00            | 0.00                | 18.00              | -18.00            | 100.0 | -18.00               |
|  |  | <b>* MUTUAL FUNDS SUBTOTAL *</b>                                | <b>\$20,000.00</b>   | <b>\$0.00</b>       | <b>\$18.00</b>     | <b>\$-18.00</b>   |       | <b>\$-18.00</b>      |
| <b><u>PRODUCT CATEGORY: STOCKS</u></b>                 |  |   |                      |                     |                    |                   |       |                      |
| 03/05/2018   | ***-**-84IO - COILE, ROBERT<br>ACCOUNT #: LSR012460    | ARLINGTON ASSET INVT CORP CL A NEW<br>BUY 1000 Units @11.1450   | 11,145.00            | 220.00              | 35.00              | 185.00            | 85.0  | 157.25               |
| 03/05/2018   | ***-**-54IO - FRIES, SHARON<br>ACCOUNT #: LSR012478    | ARLINGTON ASSET INVT CORP CL A NEW<br>BUY 1500 Units @11.1550   | 16,732.50            | 295.00              | 45.00              | 250.00            | 85.0  | 212.50               |
| 03/06/2018   | ***-**-447I - HEINZ-OTTE,<br>ACCOUNT #: LSR012465      | ATLAS FINANCIAL HOLDINGS INC COM NP<br>SELL 1500 Units @11.2740 | 16,911.00            | 320.00              | 45.00              | 275.00            | 85.0  | 233.75               |
| 03/06/2018   | ***-**-447I - HEINZ-OTTE,<br>ACCOUNT #: LSR012465      | CIENA CORP COM NEW ISIN #US17177930<br>SELL 1500 Units @25.4850 | 38,227.50            | 650.00              | 45.00              | 605.00            | 85.0  | 514.25               |
| 03/07/2018   | ***-**-84IO - COILE, ROBERT<br>ACCOUNT #: LSR012460    | US FOODS HLDG CORP COM<br>BUY 400 Units @34.0060                | 13,602.40            | 250.00              | 23.00              | 227.00            | 85.0  | 192.95               |
| 03/07/2018   | ***-**-496I - MCCOY, SHERIANNE<br>ACCOUNT #: LSR012469 | US FOODS HLDG CORP COM<br>BUY 300 Units @34.0230                | 10,206.90            | 200.00              | 21.00              | 179.00            | 85.0  | 152.15               |
|  |  | <b>* STOCKS SUBTOTAL *</b>                                      | <b>\$106,825.30</b>  | <b>\$1,935.00</b>   | <b>\$214.00</b>    | <b>\$1,721.00</b> |       | <b>\$1,462.85</b>    |
| <b><u>PRODUCT CATEGORY: UNIT INVESTMENT TRUSTS</u></b> |  |   |                      |                     |                    |                   |       |                      |
| 03/05/2018   | ***-**-84IO - COILE, ROBERT<br>ACCOUNT #: LSR012460    | JERNIGAN CAP INC COM UNSOLICITED OR<br>BUY 1000 Units @17.4060  | 17,406.00            | 350.00              | 24.00              | 326.00            | 85.0  | 277.10               |
| 03/05/2018   | ***-**-54IO - FRIES, SHARON<br>ACCOUNT #: LSR012478    | JERNIGAN CAP INC COM UNSOLICITED OR<br>BUY 100 Units @17.4250   | 1,742.50             | 35.00               | 24.00              | 11.00             | 85.0  | 9.35                 |
| 03/05/2018   | ***-**-54IO - FRIES, SHARON<br>ACCOUNT #: LSR012478    | JERNIGAN CAP INC COM UNSOLICITED OR<br>BUY 100 Units @17.4250   | 1,742.50             | 35.00               | 0.00               | 35.00             | 85.0  | 29.75                |
| 03/05/2018   | ***-**-54IO - FRIES, SHARON<br>ACCOUNT #: LSR012478    | JERNIGAN CAP INC COM UNSOLICITED OR<br>BUY 100 Units @17.4250   | 1,742.50             | 35.00               | 0.00               | 35.00             | 85.0  | 29.75                |
| 03/05/2018   | ***-**-54IO - FRIES, SHARON<br>ACCOUNT #: LSR012478    | JERNIGAN CAP INC COM UNSOLICITED OR<br>BUY 100 Units @17.4250   | 1,742.50             | 35.00               | 0.00               | 35.00             | 85.0  | 29.75                |
| 03/05/2018   | ***-**-54IO - FRIES, SHARON<br>ACCOUNT #: LSR012478    | JERNIGAN CAP INC COM UNSOLICITED OR<br>BUY 200 Units @17.4250   | 3,485.00             | 70.00               | 0.00               | 70.00             | 85.0  | 59.50                |



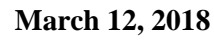
# COMMISSION STATEMENT

March 12, 2018

STEPHEN CARVER  
1921 W Willow Knolls Dr Ste C  
Peoria, IL 61614

BROKER #: B15  
BRANCH #01001 - LifeMark Home Office

| DATE  | CLIENT                         | INVESTMENT                          | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|---|--------------------------------|-------------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b>BROKER TRANSACTIONS (continued)</b>                      |                                |                                     |                      |                     |                    |                   |      |                      |
| <b>PRODUCT CATEGORY: UNIT INVESTMENT TRUSTS (continued)</b> |                                |                                     |                      |                     |                    |                   |      |                      |
| 03/05/2018  | ***-**-54IO - FRIES, SHARON    | JERNIGAN CAP INC COM UNSOLICITED OR | 3,485.00             | 70.00               | 0.00               | 70.00             | 85.0 | 59.50                |
|   | ACCOUNT #: LSR012478           | BUY 200 Units @17.4250              |                      |                     |                    |                   |      |                      |
| 03/05/2018  | ***-**-54IO - FRIES, SHARON    | JERNIGAN CAP INC COM UNSOLICITED OR | 1,742.50             | 35.00               | 0.00               | 35.00             | 85.0 | 29.75                |
|   | ACCOUNT #: LSR012478           | BUY 100 Units @17.4250              |                      |                     |                    |                   |      |                      |
| 03/05/2018  | ***-**-54IO - FRIES, SHARON    | JERNIGAN CAP INC COM UNSOLICITED OR | 1,742.50             | 35.00               | 0.00               | 35.00             | 85.0 | 29.75                |
|   | ACCOUNT #: LSR012478           | BUY 100 Units @17.4250              |                      |                     |                    |                   |      |                      |
| * UNIT INVESTMENT TRUSTS SUBTOTAL *                         |                                |                                     | \$34,831.00          | \$700.00            | \$48.00            | \$652.00          |      | \$554.20             |
| <b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</b>            |                                |                                     |                      |                     |                    |                   |      |                      |
| 03/12/2018  | ***-**-84IO - COILE, ROBERT    | CALVERT GLOBAL WATER FUND CLASS A   | 0.00                 | 0.48                | 0.00               | 0.48              | 85.0 | 0.41                 |
|   | ACCOUNT #: LSR012460           | BUY 1 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/12/2018  | ***-**-03IR - RHODE, SUSAN     | CALVERT GLOBAL WATER FUND CLASS A   | 0.00                 | 0.45                | 0.00               | 0.45              | 85.0 | 0.38                 |
|   | ACCOUNT #: LSR012464           | BUY 1 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/12/2018  | ***-**-447I - HEINZ-OTTE,      | CALVERT GLOBAL WATER FUND CLASS A   | 0.00                 | 2.57                | 0.00               | 2.57              | 85.0 | 2.18                 |
|   | ACCOUNT #: LSR012465           | BUY 1 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/12/2018  | ***-**-496I - MCCOY, SHERIANNE | CALVERT GLOBAL WATER FUND CLASS A   | 0.00                 | 1.88                | 0.00               | 1.88              | 85.0 | 1.60                 |
|   | ACCOUNT #: LSR012469           | BUY 1 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/12/2018  | ***-**-617I - DVIZAC, LORI     | CALVERT GLOBAL WATER FUND CLASS A   | 0.00                 | 1.00                | 0.00               | 1.00              | 85.0 | 0.85                 |
|   | ACCOUNT #: LSR012473           | BUY 1 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/12/2018  | ***-**-434I - DVIZAC, ZACK     | CALVERT GLOBAL WATER FUND CLASS A   | 0.00                 | 0.19                | 0.00               | 0.19              | 85.0 | 0.16                 |
|   | ACCOUNT #: LSR012474           | BUY 1 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/12/2018  | ***-**-54IO - FRIES, SHARON    | CALVERT GLOBAL WATER FUND CLASS A   | 0.00                 | 1.05                | 0.00               | 1.05              | 85.0 | 0.89                 |
|   | ACCOUNT #: LSR012478           | BUY 1 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/12/2018  | ***-**-447I - HEINZ-OTTE,      | DELAWARE EMERGING MARKETS FUND A CL | 0.00                 | 2.57                | 0.00               | 2.57              | 85.0 | 2.18                 |
|   | ACCOUNT #: LSR012465           | BUY 1 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/12/2018  | ***-**-447I - HEINZ-OTTE,      | RYDEX DOW 2X STRATEGY CL A          | 0.00                 | 2.02                | 0.00               | 2.02              | 85.0 | 1.72                 |
|   | ACCOUNT #: LSR012465           | BUY 1 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| * MUTUAL FUND 12B1 TRAILS SUBTOTAL *                        |                                |                                     | \$0.00               | \$12.21             | \$0.00             | \$12.21           |      | \$10.37              |
| *** BROKER TRANSACTIONS TOTAL ***                           |                                |                                     | \$161,656.30         | \$2,647.21          | \$280.00           | \$2,367.21        |      | \$2,009.42           |



BRANCH #01001 - LifeMark Home Office

|                                      |        | INVESTMENT | GROSS      | CLEARING                     | NET        | BROKER     |
|--------------------------------------|--------|------------|------------|------------------------------|------------|------------|
| DATE                                 | CLIENT | AMOUNT     | COMMISSION | CHARGE                       | COMMISSION | COMMISSION |
|                                      |        |            |            |                              |            |            |
| BROKER COMMISSION TOTALS             |        |            |            |                              |            |            |
|                                      |        |            |            | Broker Transactions          | \$2,009.42 |            |
|                                      |        |            |            | Split Transactions           | \$0.00     |            |
|                                      |        |            |            | Override Transactions        | \$0.00     |            |
|                                      |        |            |            | Adjustments                  | \$0.00     |            |
|                                      |        |            |            | Payroll Draw                 | \$0.00     |            |
|                                      |        |            |            | Base Salary                  | \$0.00     |            |
|                                      |        |            |            | Prior Period Balance         | \$0.00     |            |
|                                      |        |            |            | FINRA Assessment             | \$0.00     |            |
|                                      |        |            |            | SIPC Assessment              | \$0.00     |            |
|                                      |        |            |            |                              |            |            |
| Please Retain for Your Records       |        |            |            | Balance Forward \$0.00       |            |            |
| THERE WILL BE NO PAYMENT THIS PERIOD |        |            |            |                              |            |            |
|                                      |        |            |            | Year-to-date Earnings \$0.00 |            |            |





BROKER #: A50      Terminated 06/23/2015  
BRANCH #01001 - LifeMark Home Office

| DATE   | CLIENT | INVESTMENT | INVESTMENT<br>AMOUNT            | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION  | RATE   | BROKER<br>COMMISSION |
|--|--------|------------|---------------------------------|---------------------|--------------------|--|--------|----------------------|
| <div>ADJUSTMENTS</div>   |        |            |                                 |                     |                    |  |        |                      |
| /  | /      |            | PRIOR PERIOD BALANCE(SEE BELOW) | 0.00                | 0.00               | 0.00   | 0.00   | 0.00                 |
|  |        |            | *** ADJUSTMENTS TOTAL ***       | \$0.00              | \$0.00             | \$0.00   | \$0.00 | \$0.00               |
|  |        |            |                                 |                     |                    | <div>BROKER COMMISSION TOTALS</div>                              |        |                      |
|  |        |            |                                 |                     |                    | Broker Transactions  |        | \$0.00               |
|  |        |            |                                 |                     |                    | Split Transactions   |        | \$0.00               |
|  |        |            |                                 |                     |                    | Override Transactions  |        | \$0.00               |
|  |        |            |                                 |                     |                    | Adjustments  |        | \$0.00               |
|  |        |            |                                 |                     |                    | Payroll Draw   |        | \$0.00               |
|  |        |            |                                 |                     |                    | Base Salary  |        | \$0.00               |
|  |        |            |                                 |                     |                    | Prior Period Balance   |        | \$0.00               |
|  |        |            |                                 |                     |                    | FINRA Assessment   |        | \$0.00               |
|  |        |            |                                 |                     |                    | SIPC Assessment  |        | \$0.00               |
| Please Retain for Your Records<br>THERE WILL BE NO PAYMENT THIS PERIOD |        |            |                                 |                     |                    | <div>Balance Forward\$0.00<br/>Year-to-date Earnings\$0.00</div> |        |                      |



# COMMISSION STATEMENT

## March 12, 2018

DENNIS CONNOR  
9 Woodland Rd.  
Miller Place, NY 11764

BROKER #: A87  
BRANCH #01001 - LifeMark Home Office

| DATE  | CLIENT  | INVESTMENT   | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|---|---|--|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b><u>BROKER TRANSACTIONS</u></b>                       |   |  |                      |                     |                    |                   |      |                      |
| <b><u>PRODUCT CATEGORY: MUTUAL FUNDS</u></b>            |   |  |                      |                     |                    |                   |      |                      |
| 02/28/2018  | ***-**-8973 - MIRABELL,<br>ACCOUNT #: 00500433776       | LARGECAP GROWTH - CLASS A<br>BUY 2 Units @18.0100              | 30.00                | 1.50                | 0.00               | 1.50              | 75.0 | 1.13                 |
| 03/02/2018  | ***-**-255I - GRAHAM, DEBORAH<br>ACCOUNT #: LSR011397   | PRUDENTIAL JENNISON SELECT GROWTH C<br>SELL 649 Units @15.4100 | 10,000.00            | 18.00               | 18.00              | 0.00              | 75.0 | 0.00                 |
| * MUTUAL FUNDS SUBTOTAL *                               |   |  | <b>\$10,030.00</b>   | <b>\$19.50</b>      | <b>\$18.00</b>     | <b>\$1.50</b>     |      | <b>\$1.13</b>        |
| <b><u>PRODUCT CATEGORY: 529 PLAN</u></b>                |   |  |                      |                     |                    |                   |      |                      |
| 03/12/2018  | ***-**-4566 - HEALY, KATHLEEN<br>ACCOUNT #: 77342237501 | NEW YORK 529 TRAILS<br>BUY 0 Units @0.0000                     | 0.00                 | 16.74               | 0.00               | 16.74             | 75.0 | 12.56                |
| 03/12/2018  | ***-**-4535 - RATHGABER,<br>ACCOUNT #: 77524476201      | NEW YORK 529 TRAILS<br>BUY 0 Units @0.0000                     | 0.00                 | 0.26                | 0.00               | 0.26              | 75.0 | 0.20                 |
| 03/12/2018  | ***-**-1832 - WEISMAN, DORIS                            | NEW YORK 529 TRAILS<br>BUY 0 Units @0.0000                     | 0.00                 | 5.74                | 0.00               | 5.74              | 75.0 | 4.31                 |
| 03/12/2018  | ***-**-7319 - ROTONDI, LAURA                            | NEW YORK 529 TRAILS<br>BUY 0 Units @0.0000                     | 0.00                 | 1.06                | 0.00               | 1.06              | 75.0 | 0.80                 |
| 03/12/2018  | ***-**-7319 - ROTONDI, LAURA                            | NYA JPM 529 MOD AGE-BASED A<br>BUY 0 Units @0.0000             | 250.00               | 11.88               | 0.00               | 11.88             | 75.0 | 8.91                 |
| * 529 PLAN SUBTOTAL *                                   |   |  | <b>\$250.00</b>      | <b>\$35.68</b>      | <b>\$0.00</b>      | <b>\$35.68</b>    |      | <b>\$26.78</b>       |
| <b><u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u></b> |   |  |                      |                     |                    |                   |      |                      |
| 03/12/2018  | ***-**-101I - LEMOINE, STEVEN<br>ACCOUNT #: LSR011390   | AIM DEVELOPING MARKETS FUND CLASS A<br>BUY 1 Units @0.0000     | 0.00                 | 7.93                | 0.00               | 7.93              | 75.0 | 5.95                 |
| 03/12/2018  | ***-**-101I - LEMOINE, STEVEN<br>ACCOUNT #: LSR011390   | AIM DIVERSIFIED DIVIDEND FUND - CL<br>BUY 1 Units @0.0000      | 0.00                 | 0.76                | 0.00               | 0.76              | 75.0 | 0.57                 |
| 03/12/2018  | ***-**-101I - LEMOINE, STEVEN<br>ACCOUNT #: LSR011390   | AIM HIGH YIELD FUND - CLASS A<br>BUY 1 Units @0.0000           | 0.00                 | 0.57                | 0.00               | 0.57              | 75.0 | 0.43                 |
| 03/01/2018  | ***-**-002I - FISCHER, ALLYSE<br>ACCOUNT #: 00088603553 | AMCAP FUND-A<br>BUY 0 Units @0.0000                            | 0.00                 | 1.99                | 0.00               | 1.99              | 75.0 | 1.49                 |
| 03/01/2018  | ***-**-002I - FISCHER, ALLYSE<br>ACCOUNT #: 00088603553 | AMERICAN MUTUAL FUND-A<br>BUY 0 Units @0.0000                  | 0.00                 | 1.36                | 0.00               | 1.36              | 75.0 | 1.02                 |
| 03/01/2018  | ***-**-002I - FISCHER, ALLYSE<br>ACCOUNT #: 00088603553 | CAPITAL WORLD GROWTH AND INCOME FUN<br>BUY 0 Units @0.0000     | 0.00                 | 0.38                | 0.00               | 0.38              | 75.0 | 0.29                 |



# COMMISSION STATEMENT

March 12, 2018

DENNIS CONNOR  
9 Woodland Rd.  
Miller Place, NY 11764

BROKER #: A87  
BRANCH #01001 - LifeMark Home Office

| DATE   | CLIENT  | INVESTMENT   | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|--|---|--|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b>BROKER TRANSACTIONS (continued)</b>                       |   |  |                      |                     |                    |                   |      |                      |
| <b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</b> |   |  |                      |                     |                    |                   |      |                      |
| 03/12/2018   | ***-**-6710 - EVA JAYNE<br>ACCOUNT #: LSR011403       | DELAWARE EXTENDED DURATION BOND FUN<br>BUY 1 Units @0.0000 | 0.00                 | 1.81                | 0.00               | 1.81              | 75.0 | 1.36                 |
| 03/12/2018   | ***-**-5721 - MELIN, LUCILLE<br>ACCOUNT #: LSR011508  | DELAWARE EXTENDED DURATION BOND FUN<br>BUY 1 Units @0.0000 | 0.00                 | 2.17                | 0.00               | 2.17              | 75.0 | 1.63                 |
| 03/12/2018   | ***-**-6710 - EVA JAYNE<br>ACCOUNT #: LSR011403       | DELAWARE HEALTHCARE FUND CLASS A<br>BUY 1 Units @0.0000    | 0.00                 | 8.50                | 0.00               | 8.50              | 75.0 | 6.38                 |
| 03/07/2018   | ***-**-8910 - CANALE, MARIA<br>ACCOUNT #: 00536974215 | FIDELITY ADV BIOTECHNOLOGY-CL A<br>BUY 0 Units @0.0000     | 0.00                 | 0.01                | 0.00               | 0.01              | 75.0 | 0.01                 |
| 03/07/2018   | ***-**-0075 - MEHIT, LAURA<br>ACCOUNT #: 00522408038  | FIDELITY ADV EMERGING MRKTS INC CL<br>BUY 0 Units @0.0000  | 0.00                 | 1.86                | 0.00               | 1.86              | 75.0 | 1.40                 |
| 03/07/2018   | ***-**-0075 - MEHIT, LAURA<br>ACCOUNT #: 00700847502  | FIDELITY ADV EMERGING MRKTS INC CL<br>BUY 0 Units @0.0000  | 0.00                 | 2.43                | 0.00               | 2.43              | 75.0 | 1.82                 |
| 03/07/2018   | ***-**-6182 - BOWSER,<br>ACCOUNT #: 00530590686       | FIDELITY ADV ENERGY-CL A<br>BUY 0 Units @0.0000            | 0.00                 | 0.55                | 0.00               | 0.55              | 75.0 | 0.41                 |
| 03/07/2018   | ***-**-0075 - MEHIT, LAURA<br>ACCOUNT #: 00522408038  | FIDELITY ADV ENERGY-CL A<br>BUY 0 Units @0.0000            | 0.00                 | 1.29                | 0.00               | 1.29              | 75.0 | 0.97                 |
| 03/07/2018   | ***-**-4110 - KAVANAGH,<br>ACCOUNT #: 00529439069     | FIDELITY ADV ENERGY-CL A<br>BUY 0 Units @0.0000            | 0.00                 | 1.02                | 0.00               | 1.02              | 75.0 | 0.77                 |
| 03/07/2018   | ***-**-0075 - MEHIT, LAURA<br>ACCOUNT #: 00700847502  | FIDELITY ADV ENERGY-CL A<br>BUY 0 Units @0.0000            | 0.00                 | 1.41                | 0.00               | 1.41              | 75.0 | 1.06                 |
| 03/07/2018   | ***-**-8910 - CANALE, MARIA<br>ACCOUNT #: 00536974215 | FIDELITY ADV HEALTH CARE-CL A<br>BUY 0 Units @0.0000       | 0.00                 | 0.01                | 0.00               | 0.01              | 75.0 | 0.01                 |
| 03/07/2018   | ***-**-4110 - KAVANAGH,<br>ACCOUNT #: 00529439069     | FIDELITY ADV HIGH INCOME ADVANTAGE<br>BUY 0 Units @0.0000  | 0.00                 | 1.88                | 0.00               | 1.88              | 75.0 | 1.41                 |
| 03/07/2018   | ***-**-0075 - MEHIT, LAURA<br>ACCOUNT #: 00700847502  | FIDELITY ADV HIGH INCOME ADVANTAGE<br>BUY 0 Units @0.0000  | 0.00                 | 2.26                | 0.00               | 2.26              | 75.0 | 1.70                 |
| 03/07/2018   | ***-**-6182 - BOWSER,<br>ACCOUNT #: 00530590686       | FIDELITY ADV LEVERAGED CO STOCK CL<br>BUY 0 Units @0.0000  | 0.00                 | 1.04                | 0.00               | 1.04              | 75.0 | 0.78                 |
| 03/07/2018   | ***-**-8910 - CANALE, MARIA<br>ACCOUNT #: 00536974215 | FIDELITY ADV LEVERAGED CO STOCK CL<br>BUY 0 Units @0.0000  | 0.00                 | 0.01                | 0.00               | 0.01              | 75.0 | 0.01                 |
| 03/07/2018   | ***-**-0075 - MEHIT, LAURA<br>ACCOUNT #: 00700847502  | FIDELITY ADV LEVERAGED CO STOCK CL<br>BUY 0 Units @0.0000  | 0.00                 | 2.51                | 0.00               | 2.51              | 75.0 | 1.88                 |



# COMMISSION STATEMENT

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| DATE   | CLIENT  | INVESTMENT   | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|--|---|--|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b>BROKER TRANSACTIONS (continued)</b>                       |   |  |                      |                     |                    |                   |      |                      |
| <b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</b> |   |  |                      |                     |                    |                   |      |                      |
| 03/07/2018   | ***-**-0075 - MEHIT, LAURA<br>ACCOUNT #: 00519256879    | FIDELITY ADV SMALL CAP-CL A<br>BUY 0 Units @0.0000         | 0.00                 | 1.22                | 0.00               | 1.22              | 75.0 | 0.92                 |
| 03/07/2018   | ***-**-0075 - MEHIT, LAURA<br>ACCOUNT #: 00522408038    | FIDELITY ADV SMALL CAP-CL A<br>BUY 0 Units @0.0000         | 0.00                 | 2.16                | 0.00               | 2.16              | 75.0 | 1.62                 |
| 03/07/2018   | ***-**-4110 - KAVANAGH,<br>ACCOUNT #: 00529439069       | FIDELITY ADV SMALL CAP-CL A<br>BUY 0 Units @0.0000         | 0.00                 | 1.94                | 0.00               | 1.94              | 75.0 | 1.46                 |
| 03/07/2018   | ***-**-0075 - MEHIT, LAURA<br>ACCOUNT #: 00519256879    | FIDELITY ADV VALUE STRATEGIES-CL A<br>BUY 0 Units @0.0000  | 0.00                 | 1.26                | 0.00               | 1.26              | 75.0 | 0.95                 |
| 03/07/2018   | ***-**-0075 - MEHIT, LAURA<br>ACCOUNT #: 00522408038    | FIDELITY ADV VALUE STRATEGIES-CL A<br>BUY 0 Units @0.0000  | 0.00                 | 2.46                | 0.00               | 2.46              | 75.0 | 1.85                 |
| 03/07/2018   | ***-**-0075 - MEHIT, LAURA<br>ACCOUNT #: 00700847502    | FIDELITY ADV VALUE STRATEGIES-CL A<br>BUY 0 Units @0.0000  | 0.00                 | 2.38                | 0.00               | 2.38              | 75.0 | 1.79                 |
| 03/07/2018   | ***-**-0075 - MEHIT, LAURA<br>ACCOUNT #: 00519256879    | FIDELITY ADVISOR DIVERSIFIED INTL F<br>BUY 0 Units @0.0000 | 0.00                 | 0.88                | 0.00               | 0.88              | 75.0 | 0.66                 |
| 03/07/2018   | ***-**-8910 - CANALE, MARIA<br>ACCOUNT #: 00536974215   | FIDELITY ADVISOR EMERGING ASIA FUND<br>BUY 0 Units @0.0000 | 0.00                 | 0.01                | 0.00               | 0.01              | 75.0 | 0.01                 |
| 03/07/2018   | ***-**-0075 - MEHIT, LAURA<br>ACCOUNT #: 00519256879    | FIDELITY ADVISOR MID CAP STOCK CL A<br>BUY 0 Units @0.0000 | 0.00                 | 1.13                | 0.00               | 1.13              | 75.0 | 0.85                 |
| 03/07/2018   | ***-**-0075 - MEHIT, LAURA<br>ACCOUNT #: 00522408038    | FIDELITY ADVISOR REAL ESTATE FUND C<br>BUY 0 Units @0.0000 | 0.00                 | 2.09                | 0.00               | 2.09              | 75.0 | 1.57                 |
| 03/07/2018   | ***-**-8910 - CANALE, MARIA<br>ACCOUNT #: 00536974215   | FIDELITY ADVISOR REAL ESTATE FUND C<br>BUY 0 Units @0.0000 | 0.00                 | 0.01                | 0.00               | 0.01              | 75.0 | 0.01                 |
| 03/07/2018   | ***-**-4110 - KAVANAGH,<br>ACCOUNT #: 00529439069       | FIDELITY ADVISORS TRAILS<br>BUY 0 Units @0.0000            | 0.00                 | 2.49                | 0.00               | 2.49              | 75.0 | 1.87                 |
| 03/01/2018   | ***-**-002I - FISCHER, ALLYSE<br>ACCOUNT #: 00088603553 | FUNDAMENTAL INVESTORS-A<br>BUY 0 Units @0.0000             | 0.00                 | 1.90                | 0.00               | 1.90              | 75.0 | 1.43                 |
| 03/12/2018   | ***-**-101I - LEMOINE, STEVEN<br>ACCOUNT #: LSR011390   | INVESCO BALANCED - RISK ALLOCATION<br>BUY 1 Units @0.0000  | 0.00                 | 0.58                | 0.00               | 0.58              | 75.0 | 0.44                 |
| 03/12/2018   | ***-**-101I - LEMOINE, STEVEN<br>ACCOUNT #: LSR011390   | INVESCO ENERGY FUND - CLASS A<br>BUY 1 Units @0.0000       | 0.00                 | 0.20                | 0.00               | 0.20              | 75.0 | 0.15                 |
| 03/12/2018   | ***-**-101I - LEMOINE, STEVEN<br>ACCOUNT #: LSR011390   | INVESCO VAN KAMPEN COMSTOCK CLASS A<br>BUY 1 Units @0.0000 | 0.00                 | 6.30                | 0.00               | 6.30              | 75.0 | 4.73                 |



# COMMISSION STATEMENT

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| DATE   | CLIENT  | INVESTMENT   | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|--|---|--|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b>BROKER TRANSACTIONS (continued)</b>                       |   |  |                      |                     |                    |                   |      |                      |
| <b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</b> |   |  |                      |                     |                    |                   |      |                      |
| 03/12/2018   | ***-**-101I - LEMOINE, STEVEN<br>ACCOUNT #: LSR011390   | INVESCO VAN KAMPEN SMALL CAP VALUE<br>BUY 1 Units @0.0000  | 0.00                 | 9.96                | 0.00               | 9.96              | 75.0 | 7.47                 |
| 03/12/2018   | ***-**-101I - LEMOINE, STEVEN<br>ACCOUNT #: LSR011390   | IVK AMERICAN VALUE FUND - CLASS A<br>BUY 1 Units @0.0000   | 0.00                 | 0.75                | 0.00               | 0.75              | 75.0 | 0.56                 |
| 03/12/2018   | ***-**-255I - GRAHAM, DEBORAH<br>ACCOUNT #: LSR011397   | MFS BOND FUND CLASS B<br>BUY 1 Units @0.0000               | 0.00                 | 0.47                | 0.00               | 0.47              | 75.0 | 0.35                 |
| 03/12/2018   | ***-**-255I - GRAHAM, DEBORAH<br>ACCOUNT #: LSR011397   | MFS CONSERVATIVE ALLOCATION FUND-B<br>BUY 1 Units @0.0000  | 0.00                 | 1.98                | 0.00               | 1.98              | 75.0 | 1.49                 |
| 03/12/2018   | ***-**-671O - EVA JAYNE<br>ACCOUNT #: LSR011403         | MFS INTERNATIONAL NEW DISCOVERY FUN<br>BUY 1 Units @0.0000 | 0.00                 | 5.81                | 0.00               | 5.81              | 75.0 | 4.36                 |
| 03/12/2018   | ***-**-671O - EVA JAYNE<br>ACCOUNT #: LSR011403         | MFS INTERNATIONAL VALUE FUND-A<br>BUY 1 Units @0.0000      | 0.00                 | 7.03                | 0.00               | 7.03              | 75.0 | 5.27                 |
| 03/12/2018   | ***-**-255I - GRAHAM, DEBORAH<br>ACCOUNT #: LSR011397   | MFS UTILITIES FUND-B<br>BUY 1 Units @0.0000                | 0.00                 | 2.30                | 0.00               | 2.30              | 75.0 | 1.73                 |
| 03/01/2018   | ***-**-002I - FISCHER, ALLYSE<br>ACCOUNT #: 00088603553 | NEW PERSPECTIVE FUND-A<br>BUY 0 Units @0.0000              | 0.00                 | 0.62                | 0.00               | 0.62              | 75.0 | 0.47                 |
| 03/12/2018   | ***-**-101I - LEMOINE, STEVEN<br>ACCOUNT #: LSR011390   | NUVEEN LARGE CAP GROWTH FD CL A<br>BUY 1 Units @0.0000     | 0.00                 | 4.10                | 0.00               | 4.10              | 75.0 | 3.08                 |
| 03/12/2018   | ***-**-101I - LEMOINE, STEVEN<br>ACCOUNT #: LSR011390   | NUVEEN MID CAP GROWTH OPPORT CL A<br>BUY 1 Units @0.0000   | 0.00                 | 3.08                | 0.00               | 3.08              | 75.0 | 2.31                 |
| 03/12/2018   | ***-**-101I - LEMOINE, STEVEN<br>ACCOUNT #: LSR011390   | NUVEEN MID CAP VALUE CLASS A<br>BUY 1 Units @0.0000        | 0.00                 | 3.82                | 0.00               | 3.82              | 75.0 | 2.87                 |
| 03/12/2018   | ***-**-70IN - CUTILLO, JAMES<br>ACCOUNT #: LSR011647    | NUVEEN MID CAP VALUE CLASS A<br>BUY 1 Units @0.0000        | 0.00                 | 1.78                | 0.00               | 1.78              | 75.0 | 1.34                 |
| 03/12/2018   | ***-**-101I - LEMOINE, STEVEN<br>ACCOUNT #: LSR011390   | PRUDENTIAL FINANCIAL SERVICES CLASS<br>BUY 1 Units @0.0000 | 0.00                 | 1.02                | 0.00               | 1.02              | 75.0 | 0.77                 |
| 03/12/2018   | ***-**-255I - GRAHAM, DEBORAH<br>ACCOUNT #: LSR011397   | PRUDENTIAL HIGH YIELD CLASS B<br>BUY 1 Units @0.0000       | 0.00                 | 1.05                | 0.00               | 1.05              | 75.0 | 0.79                 |
| 03/12/2018   | ***-**-101I - LEMOINE, STEVEN<br>ACCOUNT #: LSR011390   | PRUDENTIAL JENNISON CONSERV GROWTH<br>BUY 1 Units @0.0000  | 0.00                 | 1.50                | 0.00               | 1.50              | 75.0 | 1.13                 |
| 03/12/2018   | ***-**-101I - LEMOINE, STEVEN<br>ACCOUNT #: LSR011390   | PRUDENTIAL JENNISON EQUITY INCOME C<br>BUY 1 Units @0.0000 | 0.00                 | 1.17                | 0.00               | 1.17              | 75.0 | 0.88                 |



# COMMISSION STATEMENT

March 12, 2018

DENNIS CONNOR  
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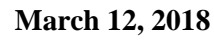
BROKER #: A87  
BRANCH #01001 - LifeMark Home Office

| DATE   | CLIENT                        | INVESTMENT                          | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|--|-------------------------------|-------------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b>BROKER TRANSACTIONS (continued)</b>                       |                               |                                     |                      |                     |                    |                   |      |                      |
| <b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</b> |                               |                                     |                      |                     |                    |                   |      |                      |
| 03/12/2018   | ***-**-101I - LEMOINE, STEVEN | PRUDENTIAL JENNISON EQUITY OPP CL A | 0.00                 | 5.72                | 0.00               | 5.72              | 75.0 | 4.29                 |
|  | ACCOUNT #: LSR011390          | BUY 1 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/12/2018   | ***-**-1832 - WEISMAN, DORIS  | PRUDENTIAL JENNISON HEALTH SCIENCES | 0.00                 | 3.30                | 0.00               | 3.30              | 75.0 | 2.48                 |
|  | ACCOUNT #: LSR011330          | BUY 1 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/12/2018   | ***-**-101I - LEMOINE, STEVEN | PRUDENTIAL JENNISON NATURAL RESOURC | 0.00                 | 1.87                | 0.00               | 1.87              | 75.0 | 1.40                 |
|  | ACCOUNT #: LSR011390          | BUY 1 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/12/2018   | ***-**-255I - GRAHAM, DEBORAH | PRUDENTIAL JENNISON SELECT GROWTH C | 0.00                 | 3.69                | 0.00               | 3.69              | 75.0 | 2.77                 |
|  | ACCOUNT #: LSR011397          | BUY 1 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/12/2018   | ***-**-1810 - STEVEN A        | PRUDENTIAL JENNISON UTILITY CLASS A | 0.00                 | 2.14                | 0.00               | 2.14              | 75.0 | 1.61                 |
|  | ACCOUNT #: LSR011388          | BUY 1 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/12/2018   | ***-**-101I - LEMOINE, STEVEN | PRUDENTIAL JENNISON UTILITY CLASS A | 0.00                 | 1.10                | 0.00               | 1.10              | 75.0 | 0.83                 |
|  | ACCOUNT #: LSR011390          | BUY 1 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/12/2018   | ***-**-101I - LEMOINE, STEVEN | PRUDENTIAL TOTAL RETURN BOND CLASS  | 0.00                 | 0.86                | 0.00               | 0.86              | 75.0 | 0.65                 |
|  | ACCOUNT #: LSR011390          | BUY 1 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/12/2018   | ***-**-3590 - HEALY, THOMAS   | RYDEX MID CAP GROWTH FUND CLASS A   | 0.00                 | 5.28                | 0.00               | 5.28              | 75.0 | 3.96                 |
|  | ACCOUNT #: LSR011524          | BUY 1 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-002I - FISCHER, ALLYSE | SMALLCAP WORLD FUND-A               | 0.00                 | 0.41                | 0.00               | 0.41              | 75.0 | 0.31                 |
|  | ACCOUNT #: 00088603553        | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-002I - FISCHER, ALLYSE | THE INCOME FUND OF AMERICA-A        | 0.00                 | 1.28                | 0.00               | 1.28              | 75.0 | 0.96                 |
|  | ACCOUNT #: 00088603553        | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/12/2018   | ***-**-101I - LEMOINE, STEVEN | VAN KAMPEN3                         | 0.00                 | 0.57                | 0.00               | 0.57              | 75.0 | 0.43                 |
|  | ACCOUNT #: LSR011390          | BUY 1 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| <b>* MUTUAL FUND 12B1 TRAILS SUBTOTAL *</b>                  |                               |                                     | <b>\$0.00</b>        | <b>\$141.42</b>     | <b>\$0.00</b>      | <b>\$141.42</b>   |      | <b>\$106.22</b>      |
| <b>*** BROKER TRANSACTIONS TOTAL ***</b>                     |                               |                                     | <b>\$10,280.00</b>   | <b>\$196.60</b>     | <b>\$18.00</b>     | <b>\$178.60</b>   |      | <b>\$134.13</b>      |



BROKER #: A87  
BRANCH #01001 - LifeMark Home Office

|                                      |        | INVESTMENT | GROSS      | CLEARING              | NET        | BROKER     |
|--------------------------------------|--------|------------|------------|-----------------------|------------|------------|
| DATE                                 | CLIENT | AMOUNT     | COMMISSION | CHARGE                | COMMISSION | COMMISSION |
|                                      |        |            |            |                       |            |            |
| BROKER COMMISSION TOTALS             |        |            |            |                       |            |            |
|                                      |        |            |            | Broker Transactions   |            | \$134.13   |
|                                      |        |            |            | Split Transactions    |            | \$0.00     |
|                                      |        |            |            | Override Transactions |            | \$0.00     |
|                                      |        |            |            | Adjustments           |            | \$0.00     |
|                                      |        |            |            | Payroll Draw          |            | \$0.00     |
|                                      |        |            |            | Base Salary           |            | \$0.00     |
|                                      |        |            |            | Prior Period Balance  |            | \$0.00     |
|                                      |        |            |            | FINRA Assessment      |            | \$0.00     |
|                                      |        |            |            | SIPC Assessment       |            | \$0.00     |
|                                      |        |            |            |                       |            |            |
| Please Retain for Your Records       |        |            |            | Balance Forward       |            | \$0.00     |
| THERE WILL BE NO PAYMENT THIS PERIOD |        |            |            | Year-to-date Earnings |            | \$0.00     |



BROKER #: 993      Terminated 11/25/2009  
BRANCH #01001 - LifeMark Home Office

| DATE   | CLIENT | INVESTMENT                      | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE  | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION         |
|--|--------|---------------------------------|----------------------|---------------------|---|-------------------|------|------------------------------|
| <div>ADJUSTMENTS</div>   |        |                                 |                      |                     |   |                   |      |                              |
| 03/07/2018   |        | PRIOR PERIOD BALANCE(SEE BELOW) | 0.00                 | 0.00                | 0.00  | 0.00              |      | 0.00                         |
|  |        | *** ADJUSTMENTS TOTAL ***       | \$0.00               | \$0.00              | \$0.00  | \$0.00            |      | \$0.00                       |
| <div>BROKER COMMISSION TOTALS</div>                                    |        |                                 |                      |                     |   |                   |      |                              |
|  |        |                                 |                      |                     |   |                   |      | Broker Transactions \$0.00   |
|  |        |                                 |                      |                     |   |                   |      | Split Transactions \$0.00    |
|  |        |                                 |                      |                     |   |                   |      | Override Transactions \$0.00 |
|  |        |                                 |                      |                     |   |                   |      | Adjustments \$0.00           |
|  |        |                                 |                      |                     |   |                   |      | Payroll Draw \$0.00          |
|  |        |                                 |                      |                     |   |                   |      | Base Salary \$0.00           |
|  |        |                                 |                      |                     |   |                   |      | Prior Period Balance \$0.00  |
|  |        |                                 |                      |                     |   |                   |      | FINRA Assessment \$0.00      |
|  |        |                                 |                      |                     |   |                   |      | SIPC Assessment \$0.00       |
| Please Retain for Your Records<br>THERE WILL BE NO PAYMENT THIS PERIOD |        |                                 |                      |                     | <div><div>Balance Forward \$0.00</div><div>Year-to-date Earnings \$0.00</div></div> |                   |      |                              |





# COMMISSION STATEMENT

March 12, 2018

SHERIL DAMELIO  
25 Buckingham Street  
Optima Benefits  
Rochester, NY 14607

BROKER #: 683  
BRANCH #01001 - LifeMark Home Office

| DATE   | CLIENT   | INVESTMENT   | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|--|--|--|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b><u>BROKER TRANSACTIONS</u></b>            |  |  |                      |                     |                    |                   |      |                      |
| <b><u>PRODUCT CATEGORY: MUTUAL FUNDS</u></b> |  |  |                      |                     |                    |                   |      |                      |
| 02/27/2018                                   | ***-**-3873 - PECORELLA,<br>ACCOUNT #: 04000735977       | AMCAP FUND-A<br>BUY 0 Units @34.5800                         | 2.16                 | 0.06                | 0.00               | 0.06              | 50.0 | 0.03                 |
| 02/27/2018                                   | ***-**-3873 - PECORELLA,<br>ACCOUNT #: 04000735977       | AMCAP FUND-A<br>BUY 0 Units @34.5800                         | 2.16                 | 0.06                | 0.00               | 0.06              | 50.0 | 0.03                 |
| 03/01/2018                                   | ***-**-3873 - PECORELLA,<br>ACCOUNT #: 04000735977       | AMCAP FUND-A<br>BUY 0 Units @33.9100                         | 2.16                 | 0.06                | 0.00               | 0.06              | 50.0 | 0.03                 |
| 03/01/2018                                   | ***-**-3873 - PECORELLA,<br>ACCOUNT #: 04000735977       | AMCAP FUND-A<br>BUY 0 Units @33.9100                         | 2.16                 | 0.06                | 0.00               | 0.06              | 50.0 | 0.03                 |
| 02/28/2018                                   | ***-**-9149 - SMITH, JEFF<br>ACCOUNT #: 04000316886      | AMERICAN DEVELOPING WRLD GRWTH & IN<br>BUY 83 Units @12.0700 | 1,000.00             | 50.00               | 0.00               | 50.00             | 50.0 | 25.00                |
| 02/28/2018                                   | ***-**-2521 - BREUER, LUCI<br>ACCOUNT #: 04000316870     | AMERICAN DEVELOPING WRLD GRWTH & IN<br>BUY 41 Units @12.0700 | 500.00               | 25.00               | 0.00               | 25.00             | 50.0 | 12.50                |
| 02/27/2018                                   | ***-**-2002 - BOLOGNESI,<br>ACCOUNT #: 04000137916       | AMERICAN FUNDS 2025 TARGET DATE-A<br>BUY 3 Units @14.4400    | 50.00                | 2.50                | 0.00               | 2.50              | 50.0 | 1.25                 |
| 02/27/2018                                   | ***-**-2002 - BOLOGNESI,<br>ACCOUNT #: 04000137916       | AMERICAN FUNDS 2025 TARGET DATE-A<br>BUY 3 Units @14.4400    | 50.00                | 2.50                | 0.00               | 2.50              | 50.0 | 1.25                 |
| 02/27/2018                                   | ***-**-92CL - DAMELIO, CLIENTS<br>ACCOUNT #: 00087160967 | AMERICAN FUNDS BLNCD PORTFOLIO CL A<br>BUY 2 Units @15.5500  | 30.00                | 0.83                | 0.00               | 0.83              | 50.0 | 0.42                 |
| 02/27/2018                                   | ***-**-92CL - DAMELIO, CLIENTS<br>ACCOUNT #: 00087160967 | AMERICAN FUNDS BLNCD PORTFOLIO CL A<br>BUY 2 Units @15.5500  | 30.00                | 0.83                | 0.00               | 0.83              | 50.0 | 0.42                 |
| 02/27/2018                                   | ***-**-92CL - DAMELIO, CLIENTS<br>ACCOUNT #: 00087160948 | AMERICAN FUNDS BLNCD PORTFOLIO CL A<br>BUY 19 Units @15.5500 | 288.47               | 7.93                | 0.00               | 7.93              | 50.0 | 3.97                 |
| 02/27/2018                                   | ***-**-92CL - DAMELIO, CLIENTS<br>ACCOUNT #: 00087160948 | AMERICAN FUNDS BLNCD PORTFOLIO CL A<br>BUY 9 Units @15.5500  | 146.54               | 4.03                | 0.00               | 4.03              | 50.0 | 2.02                 |
| 03/01/2018                                   | ***-**-92CL - DAMELIO, CLIENTS<br>ACCOUNT #: 00087160967 | AMERICAN FUNDS BLNCD PORTFOLIO CL A<br>BUY 2 Units @15.3500  | 30.00                | 0.83                | 0.00               | 0.83              | 50.0 | 0.42                 |
| 03/01/2018                                   | ***-**-92CL - DAMELIO, CLIENTS<br>ACCOUNT #: 00087160967 | AMERICAN FUNDS BLNCD PORTFOLIO CL A<br>BUY 2 Units @15.3500  | 30.00                | 0.83                | 0.00               | 0.83              | 50.0 | 0.42                 |
| 03/01/2018                                   | ***-**-92CL - DAMELIO, CLIENTS<br>ACCOUNT #: 00087160948 | AMERICAN FUNDS BLNCD PORTFOLIO CL A<br>BUY 10 Units @15.3500 | 146.54               | 4.03                | 0.00               | 4.03              | 50.0 | 2.02                 |
| 03/01/2018                                   | ***-**-92CL - DAMELIO, CLIENTS<br>ACCOUNT #: 00087160948 | AMERICAN FUNDS BLNCD PORTFOLIO CL A<br>BUY 19 Units @15.3500 | 288.47               | 7.93                | 0.00               | 7.93              | 50.0 | 3.97                 |



# COMMISSION STATEMENT

March 12, 2018

SHERIL DAMELIO  
25 Buckingham Street  
Optima Benefits  
Rochester, NY 14607

BROKER #: 683  
BRANCH #01001 - LifeMark Home Office

| DATE  | CLIENT                         | INVESTMENT                          | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|---|--------------------------------|-------------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b>BROKER TRANSACTIONS (continued)</b>            |                                |                                     |                      |                     |                    |                   |      |                      |
| <b>PRODUCT CATEGORY: MUTUAL FUNDS (continued)</b> |                                |                                     |                      |                     |                    |                   |      |                      |
| 02/27/2018  | ***-**-92CL - DAMELIO, CLIENTS | AMERICAN FUNDS GROWTH PORTFOLIO A   | 19.20                | 0.53                | 0.00               | 0.53              | 50.0 | 0.27                 |
|   | ACCOUNT #: 00087168603         | BUY 1 Units @19.5100                |                      |                     |                    |                   |      |                      |
| 02/27/2018  | ***-**-92CL - DAMELIO, CLIENTS | AMERICAN FUNDS GROWTH PORTFOLIO A   | 19.20                | 0.53                | 0.00               | 0.53              | 50.0 | 0.27                 |
|   | ACCOUNT #: 00087168603         | BUY 1 Units @19.5100                |                      |                     |                    |                   |      |                      |
| 02/27/2018  | ***-**-92CL - DAMELIO, CLIENTS | AMERICAN FUNDS GROWTH PORTFOLIO A   | 16.20                | 0.45                | 0.00               | 0.45              | 50.0 | 0.23                 |
|   | ACCOUNT #: 00087168340         | BUY 1 Units @19.5100                |                      |                     |                    |                   |      |                      |
| 02/27/2018  | ***-**-92CL - DAMELIO, CLIENTS | AMERICAN FUNDS GROWTH PORTFOLIO A   | 27.00                | 0.74                | 0.00               | 0.74              | 50.0 | 0.37                 |
|   | ACCOUNT #: 00087168340         | BUY 1 Units @19.5100                |                      |                     |                    |                   |      |                      |
| 02/27/2018  | ***-**-92CL - DAMELIO, CLIENTS | AMERICAN FUNDS GROWTH PORTFOLIO A   | 15.60                | 0.43                | 0.00               | 0.43              | 50.0 | 0.22                 |
|   | ACCOUNT #: 00087160953         | BUY 1 Units @19.5100                |                      |                     |                    |                   |      |                      |
| 02/27/2018  | ***-**-92CL - DAMELIO, CLIENTS | AMERICAN FUNDS GROWTH PORTFOLIO A   | 36.40                | 1.00                | 0.00               | 1.00              | 50.0 | 0.50                 |
|   | ACCOUNT #: 00087160953         | BUY 2 Units @19.5100                |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-92CL - DAMELIO, CLIENTS | AMERICAN FUNDS GROWTH PORTFOLIO A   | 19.20                | 0.53                | 0.00               | 0.53              | 50.0 | 0.27                 |
|   | ACCOUNT #: 00087168603         | BUY 1 Units @19.1100                |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-92CL - DAMELIO, CLIENTS | AMERICAN FUNDS GROWTH PORTFOLIO A   | 19.20                | 0.53                | 0.00               | 0.53              | 50.0 | 0.27                 |
|   | ACCOUNT #: 00087168603         | BUY 1 Units @19.1100                |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-92CL - DAMELIO, CLIENTS | AMERICAN FUNDS GROWTH PORTFOLIO A   | 27.00                | 0.74                | 0.00               | 0.74              | 50.0 | 0.37                 |
|   | ACCOUNT #: 00087168340         | BUY 1 Units @19.1100                |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-92CL - DAMELIO, CLIENTS | AMERICAN FUNDS GROWTH PORTFOLIO A   | 16.20                | 0.45                | 0.00               | 0.45              | 50.0 | 0.23                 |
|   | ACCOUNT #: 00087168340         | BUY 1 Units @19.1100                |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-92CL - DAMELIO, CLIENTS | AMERICAN FUNDS GROWTH PORTFOLIO A   | 15.60                | 0.43                | 0.00               | 0.43              | 50.0 | 0.22                 |
|   | ACCOUNT #: 00087160953         | BUY 1 Units @19.1100                |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-92CL - DAMELIO, CLIENTS | AMERICAN FUNDS GROWTH PORTFOLIO A   | 36.40                | 1.00                | 0.00               | 1.00              | 50.0 | 0.50                 |
|   | ACCOUNT #: 00087160953         | BUY 2 Units @19.1100                |                      |                     |                    |                   |      |                      |
| 02/27/2018  | ***-**-3873 - PECORELLA,       | CAPITAL WORLD GROWTH AND INCOME FUN | 3.24                 | 0.09                | 0.00               | 0.09              | 50.0 | 0.05                 |
|   | ACCOUNT #: 04000735977         | BUY 0 Units @54.7500                |                      |                     |                    |                   |      |                      |
| 02/27/2018  | ***-**-3873 - PECORELLA,       | CAPITAL WORLD GROWTH AND INCOME FUN | 3.24                 | 0.09                | 0.00               | 0.09              | 50.0 | 0.05                 |
|   | ACCOUNT #: 04000735977         | BUY 0 Units @54.7500                |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-3873 - PECORELLA,       | CAPITAL WORLD GROWTH AND INCOME FUN | 3.24                 | 0.09                | 0.00               | 0.09              | 50.0 | 0.05                 |
|   | ACCOUNT #: 04000735977         | BUY 0 Units @53.5600                |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-3873 - PECORELLA,       | CAPITAL WORLD GROWTH AND INCOME FUN | 3.24                 | 0.09                | 0.00               | 0.09              | 50.0 | 0.05                 |
|   | ACCOUNT #: 04000735977         | BUY 0 Units @53.5600                |                      |                     |                    |                   |      |                      |



# COMMISSION STATEMENT

March 12, 2018

SHERIL DAMELIO  
25 Buckingham Street  
Optima Benefits  
Rochester, NY 14607

BROKER #: 683  
BRANCH #01001 - LifeMark Home Office

| DATE  | CLIENT   | INVESTMENT  | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|---|--|---|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b>BROKER TRANSACTIONS (continued)</b>            |  |   |                      |                     |                    |                   |      |                      |
| <b>PRODUCT CATEGORY: MUTUAL FUNDS (continued)</b> |  |   |                      |                     |                    |                   |      |                      |
| 02/27/2018  | ***-**-3873 - PECORELLA,<br>ACCOUNT #: 04000735977     | EUROPACIFIC GROWTH FUND-A<br>BUY 0 Units @59.9500         | 4.32                 | 0.12                | 0.00               | 0.12              | 50.0 | 0.06                 |
| 02/27/2018  | ***-**-3873 - PECORELLA,<br>ACCOUNT #: 04000735977     | EUROPACIFIC GROWTH FUND-A<br>BUY 0 Units @59.9500         | 4.32                 | 0.12                | 0.00               | 0.12              | 50.0 | 0.06                 |
| 03/01/2018  | ***-**-3873 - PECORELLA,<br>ACCOUNT #: 04000735977     | EUROPACIFIC GROWTH FUND-A<br>BUY 0 Units @58.7400         | 4.32                 | 0.12                | 0.00               | 0.12              | 50.0 | 0.06                 |
| 03/01/2018  | ***-**-3873 - PECORELLA,<br>ACCOUNT #: 04000735977     | EUROPACIFIC GROWTH FUND-A<br>BUY 0 Units @58.7400         | 4.32                 | 0.12                | 0.00               | 0.12              | 50.0 | 0.06                 |
| 02/27/2018  | ***-**-9294 - TALIENTO, LYNN<br>ACCOUNT #: 04000738234 | INTERNATIONAL GROWTH AND INCOME-A<br>BUY 0 Units @37.1800 | 9.00                 | 0.25                | 0.00               | 0.25              | 50.0 | 0.13                 |
| 02/27/2018  | ***-**-9294 - TALIENTO, LYNN<br>ACCOUNT #: 04000738234 | INTERNATIONAL GROWTH AND INCOME-A<br>BUY 0 Units @37.1800 | 9.00                 | 0.25                | 0.00               | 0.25              | 50.0 | 0.13                 |
| 02/27/2018  | ***-**-3873 - PECORELLA,<br>ACCOUNT #: 04000735977     | INTERNATIONAL GROWTH AND INCOME-A<br>BUY 0 Units @37.1800 | 5.40                 | 0.15                | 0.00               | 0.15              | 50.0 | 0.08                 |
| 02/27/2018  | ***-**-3873 - PECORELLA,<br>ACCOUNT #: 04000735977     | INTERNATIONAL GROWTH AND INCOME-A<br>BUY 0 Units @37.1800 | 5.40                 | 0.15                | 0.00               | 0.15              | 50.0 | 0.08                 |
| 03/01/2018  | ***-**-9294 - TALIENTO, LYNN<br>ACCOUNT #: 04000738234 | INTERNATIONAL GROWTH AND INCOME-A<br>BUY 0 Units @36.5300 | 9.00                 | 0.25                | 0.00               | 0.25              | 50.0 | 0.13                 |
| 03/01/2018  | ***-**-9294 - TALIENTO, LYNN<br>ACCOUNT #: 04000738234 | INTERNATIONAL GROWTH AND INCOME-A<br>BUY 0 Units @36.5300 | 9.00                 | 0.25                | 0.00               | 0.25              | 50.0 | 0.13                 |
| 03/01/2018  | ***-**-3873 - PECORELLA,<br>ACCOUNT #: 04000735977     | INTERNATIONAL GROWTH AND INCOME-A<br>BUY 0 Units @36.5300 | 5.40                 | 0.15                | 0.00               | 0.15              | 50.0 | 0.08                 |
| 03/01/2018  | ***-**-3873 - PECORELLA,<br>ACCOUNT #: 04000735977     | INTERNATIONAL GROWTH AND INCOME-A<br>BUY 0 Units @36.5300 | 5.40                 | 0.15                | 0.00               | 0.15              | 50.0 | 0.08                 |
| 02/28/2018  | ***-**-47IN - MURPHY, JAMES<br>ACCOUNT #: 00001488868  | LIFESTYLE BALANCED PORTFOLIO A<br>BUY 19 Units @16.0400   | 300.00               | 11.25               | 0.00               | 11.25             | 50.0 | 5.63                 |
| 02/27/2018  | ***-**-9294 - TALIENTO, LYNN<br>ACCOUNT #: 04000738234 | THE GROWTH FUND OF AMERICA-A<br>BUY 0 Units @54.5400      | 4.50                 | 0.12                | 0.00               | 0.12              | 50.0 | 0.06                 |
| 02/27/2018  | ***-**-9294 - TALIENTO, LYNN<br>ACCOUNT #: 04000738234 | THE GROWTH FUND OF AMERICA-A<br>BUY 0 Units @54.5400      | 4.50                 | 0.12                | 0.00               | 0.12              | 50.0 | 0.06                 |
| 02/27/2018  | ***-**-3873 - PECORELLA,<br>ACCOUNT #: 04000735977     | THE GROWTH FUND OF AMERICA-A<br>BUY 0 Units @54.5400      | 3.24                 | 0.09                | 0.00               | 0.09              | 50.0 | 0.05                 |



# COMMISSION STATEMENT

March 12, 2018

SHERIL DAMELIO  
25 Buckingham Street  
Optima Benefits  
Rochester, NY 14607

BROKER #: 683  
BRANCH #01001 - LifeMark Home Office

| DATE  | CLIENT  | INVESTMENT  | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|---|---|---|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b>BROKER TRANSACTIONS (continued)</b>            |   |   |                      |                     |                    |                   |      |                      |
| <b>PRODUCT CATEGORY: MUTUAL FUNDS (continued)</b> |   |   |                      |                     |                    |                   |      |                      |
| 02/27/2018  | ***-**-3873 - PECORELLA,<br>ACCOUNT #: 04000735977      | THE GROWTH FUND OF AMERICA-A<br>BUY 0 Units @54.5400        | 3.24                 | 0.09                | 0.00               | 0.09              | 50.0 | 0.05                 |
| 03/01/2018  | ***-**-9294 - TALIENTO, LYNN<br>ACCOUNT #: 04000738234  | THE GROWTH FUND OF AMERICA-A<br>BUY 0 Units @53.4100        | 4.50                 | 0.12                | 0.00               | 0.12              | 50.0 | 0.06                 |
| 03/01/2018  | ***-**-9294 - TALIENTO, LYNN<br>ACCOUNT #: 04000738234  | THE GROWTH FUND OF AMERICA-A<br>BUY 0 Units @53.4100        | 4.50                 | 0.12                | 0.00               | 0.12              | 50.0 | 0.06                 |
| 03/01/2018  | ***-**-3873 - PECORELLA,<br>ACCOUNT #: 04000735977      | THE GROWTH FUND OF AMERICA-A<br>BUY 0 Units @53.4100        | 3.24                 | 0.09                | 0.00               | 0.09              | 50.0 | 0.05                 |
| 03/01/2018  | ***-**-3873 - PECORELLA,<br>ACCOUNT #: 04000735977      | THE GROWTH FUND OF AMERICA-A<br>BUY 0 Units @53.4100        | 3.24                 | 0.09                | 0.00               | 0.09              | 50.0 | 0.05                 |
| 02/27/2018  | ***-**-9294 - TALIENTO, LYNN<br>ACCOUNT #: 04000738234  | THE INVESTMENT COMPANY OF AMERICA-A<br>BUY 0 Units @43.2200 | 4.50                 | 0.12                | 0.00               | 0.12              | 50.0 | 0.06                 |
| 02/27/2018  | ***-**-9294 - TALIENTO, LYNN<br>ACCOUNT #: 04000738234  | THE INVESTMENT COMPANY OF AMERICA-A<br>BUY 0 Units @43.2200 | 4.50                 | 0.12                | 0.00               | 0.12              | 50.0 | 0.06                 |
| 02/27/2018  | ***-**-3873 - PECORELLA,<br>ACCOUNT #: 04000735977      | THE INVESTMENT COMPANY OF AMERICA-A<br>BUY 0 Units @43.2200 | 3.24                 | 0.09                | 0.00               | 0.09              | 50.0 | 0.05                 |
| 02/27/2018  | ***-**-3873 - PECORELLA,<br>ACCOUNT #: 04000735977      | THE INVESTMENT COMPANY OF AMERICA-A<br>BUY 0 Units @43.2200 | 3.24                 | 0.09                | 0.00               | 0.09              | 50.0 | 0.05                 |
| 03/01/2018  | ***-**-9294 - TALIENTO, LYNN<br>ACCOUNT #: 04000738234  | THE INVESTMENT COMPANY OF AMERICA-A<br>BUY 0 Units @42.2100 | 4.50                 | 0.12                | 0.00               | 0.12              | 50.0 | 0.06                 |
| 03/01/2018  | ***-**-9294 - TALIENTO, LYNN<br>ACCOUNT #: 04000738234  | THE INVESTMENT COMPANY OF AMERICA-A<br>BUY 0 Units @42.2100 | 4.50                 | 0.12                | 0.00               | 0.12              | 50.0 | 0.06                 |
| 03/01/2018  | ***-**-3873 - PECORELLA,<br>ACCOUNT #: 04000735977      | THE INVESTMENT COMPANY OF AMERICA-A<br>BUY 0 Units @42.2100 | 3.24                 | 0.09                | 0.00               | 0.09              | 50.0 | 0.05                 |
| 03/01/2018  | ***-**-3873 - PECORELLA,<br>ACCOUNT #: 04000735977      | THE INVESTMENT COMPANY OF AMERICA-A<br>BUY 0 Units @42.2100 | 3.24                 | 0.09                | 0.00               | 0.09              | 50.0 | 0.05                 |
| <b>* MUTUAL FUNDS SUBTOTAL *</b>                  |   |   | <b>\$3,315.62</b>    | <b>\$130.21</b>     | <b>\$0.00</b>      | <b>\$130.21</b>   |      | <b>\$65.29</b>       |
| <b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</b>  |   |   |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-791I - CARR IV, GALVIN<br>ACCOUNT #: 00086832331 | AMCAP FUND-A<br>BUY 0 Units @0.0000                         | 0.00                 | 0.28                | 0.00               | 0.28              | 50.0 | 0.14                 |
| 03/01/2018  | ***-**-3873 - PECORELLA,<br>ACCOUNT #: 04000735977      | AMCAP FUND-A<br>BUY 0 Units @0.0000                         | 0.00                 | 0.01                | 0.00               | 0.01              | 50.0 | 0.01                 |



# COMMISSION STATEMENT

March 12, 2018

SHERIL DAMELIO  
25 Buckingham Street  
Optima Benefits  
Rochester, NY 14607

BROKER #: 683  
BRANCH #01001 - LifeMark Home Office

| DATE   | CLIENT                         | INVESTMENT                          | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|--|--------------------------------|-------------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b>BROKER TRANSACTIONS (continued)</b>                       |                                |                                     |                      |                     |                    |                   |      |                      |
| <b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</b> |                                |                                     |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-422I - DIGIUGNO, JOSEPH | AMERICAN BALANCED FUND-A            | 0.00                 | 2.22                | 0.00               | 2.22              | 50.0 | 1.11                 |
|  | ACCOUNT #: 00074822299         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-2521 - BREUER, LUCI     | AMERICAN DEVELOPING WRLD GRWTH & IN | 0.00                 | 1.50                | 0.00               | 1.50              | 50.0 | 0.75                 |
|  | ACCOUNT #: 04000316870         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-9149 - SMITH, JEFF      | AMERICAN DEVELOPING WRLD GRWTH & IN | 0.00                 | 3.01                | 0.00               | 3.01              | 50.0 | 1.51                 |
|  | ACCOUNT #: 04000316886         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-696I - LEVA, SUSAN      | AMERICAN FUNDS 2015 TARGET DATE-A   | 0.00                 | 0.30                | 0.00               | 0.30              | 50.0 | 0.15                 |
|  | ACCOUNT #: 00088035163         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-2002 - BOLOGNESI,       | AMERICAN FUNDS 2025 TARGET DATE-A   | 0.00                 | 0.84                | 0.00               | 0.84              | 50.0 | 0.42                 |
|  | ACCOUNT #: 04000137916         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-92CL - DAMELIO, CLIENTS | AMERICAN FUNDS BLNCD PORTFOLIO CL A | 0.00                 | 36.74               | 0.00               | 36.74             | 50.0 | 18.37                |
|  | ACCOUNT #: 00087160948         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-92CL - DAMELIO, CLIENTS | AMERICAN FUNDS BLNCD PORTFOLIO CL A | 0.00                 | 5.19                | 0.00               | 5.19              | 50.0 | 2.60                 |
|  | ACCOUNT #: 00087160967         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-92CL - DAMELIO, CLIENTS | AMERICAN FUNDS GROWTH PORTFOLIO A   | 0.00                 | 1.45                | 0.00               | 1.45              | 50.0 | 0.73                 |
|  | ACCOUNT #: 00087160953         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-92CL - DAMELIO, CLIENTS | AMERICAN FUNDS GROWTH PORTFOLIO A   | 0.00                 | 2.06                | 0.00               | 2.06              | 50.0 | 1.03                 |
|  | ACCOUNT #: 00087160972         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-92CL - DAMELIO, CLIENTS | AMERICAN FUNDS GROWTH PORTFOLIO A   | 0.00                 | 6.58                | 0.00               | 6.58              | 50.0 | 3.29                 |
|  | ACCOUNT #: 00087168340         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-92CL - DAMELIO, CLIENTS | AMERICAN FUNDS GROWTH PORTFOLIO A   | 0.00                 | 0.50                | 0.00               | 0.50              | 50.0 | 0.25                 |
|  | ACCOUNT #: 00087168603         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-46SI - SULLIVAN,        | AMERICAN FUNDS GROWTH PORTFOLIO A   | 0.00                 | 2.88                | 0.00               | 2.88              | 50.0 | 1.44                 |
|  | ACCOUNT #: 00087689885         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-523I - HECK, KAREN      | AMERICAN FUNDS GROWTH PORTFOLIO A   | 0.00                 | 0.09                | 0.00               | 0.09              | 50.0 | 0.05                 |
|  | ACCOUNT #: 00087844722         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-92CL - DAMELIO, CLIENTS | AMERICAN FUNDS GRWTH & INCOME PORT  | 0.00                 | 8.16                | 0.00               | 8.16              | 50.0 | 4.08                 |
|  | ACCOUNT #: 00087160948         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-92CL - DAMELIO, CLIENTS | AMERICAN FUNDS GRWTH & INCOME PORT  | 0.00                 | 4.57                | 0.00               | 4.57              | 50.0 | 2.29                 |
|  | ACCOUNT #: 00087160958         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-92CL - DAMELIO, CLIENTS | AMERICAN FUNDS GRWTH & INCOME PORT  | 0.00                 | 1.08                | 0.00               | 1.08              | 50.0 | 0.54                 |
|  | ACCOUNT #: 00087160967         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |



# COMMISSION STATEMENT

March 12, 2018

SHERIL DAMELIO  
25 Buckingham Street  
Optima Benefits  
Rochester, NY 14607

BROKER #: 683  
BRANCH #01001 - LifeMark Home Office

| DATE   | CLIENT                         | INVESTMENT                          | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|--|--------------------------------|-------------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b>BROKER TRANSACTIONS (continued)</b>                       |                                |                                     |                      |                     |                    |                   |      |                      |
| <b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</b> |                                |                                     |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-92CL - DAMELIO, CLIENTS | AMERICAN FUNDS GRWTH & INCOME PORT  | 0.00                 | 0.43                | 0.00               | 0.43              | 50.0 | 0.22                 |
|  | ACCOUNT #: 00087168598         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-46SI - SULLIVAN,        | AMERICAN FUNDS GRWTH & INCOME PORT  | 0.00                 | 2.66                | 0.00               | 2.66              | 50.0 | 1.33                 |
|  | ACCOUNT #: 00087689885         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-0997 - AXELROD, RONALD  | CAPITAL INCOME BUILDER-A            | 0.00                 | 0.01                | 0.00               | 0.01              | 50.0 | 0.01                 |
|  | ACCOUNT #: 04000295579         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-3873 - PECORELLA,       | CAPITAL WORLD GROWTH AND INCOME FUN | 0.00                 | 0.01                | 0.00               | 0.01              | 50.0 | 0.01                 |
|  | ACCOUNT #: 04000735977         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-92CL - DAMELIO, CLIENTS | EUROPACIFIC GROWTH FUND-A           | 0.00                 | 8.73                | 0.00               | 8.73              | 50.0 | 4.37                 |
|  | ACCOUNT #: 00087160948         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-92CL - DAMELIO, CLIENTS | EUROPACIFIC GROWTH FUND-A           | 0.00                 | 1.16                | 0.00               | 1.16              | 50.0 | 0.58                 |
|  | ACCOUNT #: 00087160967         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-3873 - PECORELLA,       | EUROPACIFIC GROWTH FUND-A           | 0.00                 | 0.02                | 0.00               | 0.02              | 50.0 | 0.01                 |
|  | ACCOUNT #: 04000735977         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-3873 - PECORELLA,       | INTERNATIONAL GROWTH AND INCOME-A   | 0.00                 | 0.02                | 0.00               | 0.02              | 50.0 | 0.01                 |
|  | ACCOUNT #: 04000735977         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-9294 - TALIENTO, LYNN   | INTERNATIONAL GROWTH AND INCOME-A   | 0.00                 | 0.04                | 0.00               | 0.04              | 50.0 | 0.02                 |
|  | ACCOUNT #: 04000738234         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-422I - DIGIUGNO, JOSEPH | THE GROWTH FUND OF AMERICA-A        | 0.00                 | 2.81                | 0.00               | 2.81              | 50.0 | 1.41                 |
|  | ACCOUNT #: 00074822299         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-92CL - DAMELIO, CLIENTS | THE GROWTH FUND OF AMERICA-A        | 0.00                 | 4.61                | 0.00               | 4.61              | 50.0 | 2.31                 |
|  | ACCOUNT #: 00087160948         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-92CL - DAMELIO, CLIENTS | THE GROWTH FUND OF AMERICA-A        | 0.00                 | 0.60                | 0.00               | 0.60              | 50.0 | 0.30                 |
|  | ACCOUNT #: 00087160967         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-3873 - PECORELLA,       | THE GROWTH FUND OF AMERICA-A        | 0.00                 | 0.01                | 0.00               | 0.01              | 50.0 | 0.01                 |
|  | ACCOUNT #: 04000735977         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-9294 - TALIENTO, LYNN   | THE GROWTH FUND OF AMERICA-A        | 0.00                 | 0.02                | 0.00               | 0.02              | 50.0 | 0.01                 |
|  | ACCOUNT #: 04000738234         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-791I - CARR IV, GALVIN  | THE INVESTMENT COMPANY OF AMERICA-A | 0.00                 | 0.26                | 0.00               | 0.26              | 50.0 | 0.13                 |
|  | ACCOUNT #: 00086832331         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-3873 - PECORELLA,       | THE INVESTMENT COMPANY OF AMERICA-A | 0.00                 | 0.01                | 0.00               | 0.01              | 50.0 | 0.01                 |
|  | ACCOUNT #: 04000735977         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |



# COMMISSION STATEMENT

March 12, 2018

SHERIL DAMELIO  
25 Buckingham Street  
Optima Benefits  
Rochester, NY 14607

BROKER #: 683  
BRANCH #01001 - LifeMark Home Office

| DATE   | CLIENT                       | INVESTMENT                                  | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|--|------------------------------|---|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b>BROKER TRANSACTIONS (continued)</b>                       |                              |   |                      |                     |                    |                   |      |                      |
| <b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</b> |                              |   |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-9294 - TALIENTO, LYNN | THE INVESTMENT COMPANY OF AMERICA-A         | 0.00                 | 0.02                | 0.00               | 0.02              | 50.0 | 0.01                 |
|  | ACCOUNT #: 04000738234       | BUY 0 Units @0.0000                         |                      |                     |                    |                   |      |                      |
|  |                              | <b>* MUTUAL FUND 12B1 TRAILS SUBTOTAL *</b> | <b>\$0.00</b>        | <b>\$98.88</b>      | <b>\$0.00</b>      | <b>\$98.88</b>    |      | <b>\$49.51</b>       |
|  |                              | <b>*** BROKER TRANSACTIONS TOTAL ***</b>    | <b>\$3,315.62</b>    | <b>\$229.09</b>     | <b>\$0.00</b>      | <b>\$229.09</b>   |      | <b>\$114.80</b>      |

## BROKER COMMISSION TOTALS

|                       |          |
|-----------------------|----------|
| Broker Transactions   | \$114.80 |
| Split Transactions    | \$0.00   |
| Override Transactions | \$0.00   |
| Adjustments           | \$0.00   |
| Payroll Draw          | \$0.00   |
| Base Salary           | \$0.00   |
| Prior Period Balance  | \$0.00   |
| FINRA Assessment      | \$0.00   |
| SIPC Assessment       | \$0.00   |

Please Retain for Your Records  
THERE WILL BE NO PAYMENT THIS PERIOD

|                              |               |
|------------------------------|---------------|
| <b>Balance Forward</b>       | <b>\$0.00</b> |
| <b>Year-to-date Earnings</b> | <b>\$0.00</b> |



BROKER #: 978      Terminated 12/31/2014  
BRANCH #01001 - LifeMark Home Office

| DATE   | CLIENT | INVESTMENT                      | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE  | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION         |
|--|--------|---------------------------------|----------------------|---------------------|---|-------------------|------|------------------------------|
| <div>ADJUSTMENTS</div>   |        |                                 |                      |                     |   |                   |      |                              |
| 03/07/2018   |        | PRIOR PERIOD BALANCE(SEE BELOW) | 0.00                 | 0.00                | 0.00  | 0.00              |      | 0.00                         |
|  |        | *** ADJUSTMENTS TOTAL ***       | \$0.00               | \$0.00              | \$0.00  | \$0.00            |      | \$0.00                       |
| <div>BROKER COMMISSION TOTALS</div>                                    |        |                                 |                      |                     |   |                   |      |                              |
|  |        |                                 |                      |                     |   |                   |      | Broker Transactions \$0.00   |
|  |        |                                 |                      |                     |   |                   |      | Split Transactions \$0.00    |
|  |        |                                 |                      |                     |   |                   |      | Override Transactions \$0.00 |
|  |        |                                 |                      |                     |   |                   |      | Adjustments \$0.00           |
|  |        |                                 |                      |                     |   |                   |      | Payroll Draw \$0.00          |
|  |        |                                 |                      |                     |   |                   |      | Base Salary \$0.00           |
|  |        |                                 |                      |                     |   |                   |      | Prior Period Balance \$0.00  |
|  |        |                                 |                      |                     |   |                   |      | FINRA Assessment \$0.00      |
|  |        |                                 |                      |                     |   |                   |      | SIPC Assessment \$0.00       |
| Please Retain for Your Records<br>THERE WILL BE NO PAYMENT THIS PERIOD |        |                                 |                      |                     | <div><div>Balance Forward \$0.00</div><div>Year-to-date Earnings \$0.00</div></div> |                   |      |                              |





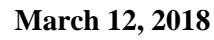
# COMMISSION STATEMENT

March 12, 2018

CHARLES DEERWESTER  
7300 N 51st Ave #B-12  
Glendale, AZ 85301

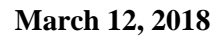
BROKER #: A38 Terminated 12/20/2013  
BRANCH #01001 - LifeMark Home Office

| DATE   | CLIENT | INVESTMENT                      | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION                |
|--|--------|---------------------------------|----------------------|---------------------|--------------------|-------------------|------|-------------------------------------|
| <b><u>ADJUSTMENTS</u></b>  |        |                                 |                      |                     |                    |                   |      |                                     |
| / /  |        | PRIOR PERIOD BALANCE(SEE BELOW) | 0.00                 | 0.00                | 0.00               | 0.00              |      | 0.00                                |
|  |        | *** ADJUSTMENTS TOTAL ***       | <u>\$0.00</u>        | <u>\$0.00</u>       | <u>\$0.00</u>      | <u>\$0.00</u>     |      | <u>\$0.00</u>                       |
| <b><u>BROKER COMMISSION TOTALS</u></b>                                 |        |                                 |                      |                     |                    |                   |      |                                     |
|  |        |                                 |                      |                     |                    |                   |      | Broker Transactions \$0.00          |
|  |        |                                 |                      |                     |                    |                   |      | Split Transactions \$0.00           |
|  |        |                                 |                      |                     |                    |                   |      | Override Transactions \$0.00        |
|  |        |                                 |                      |                     |                    |                   |      | Adjustments \$0.00                  |
|  |        |                                 |                      |                     |                    |                   |      | Payroll Draw \$0.00                 |
|  |        |                                 |                      |                     |                    |                   |      | Base Salary \$0.00                  |
|  |        |                                 |                      |                     |                    |                   |      | Prior Period Balance \$0.00         |
|  |        |                                 |                      |                     |                    |                   |      | FINRA Assessment \$0.00             |
|  |        |                                 |                      |                     |                    |                   |      | SIPC Assessment \$0.00              |
| Please Retain for Your Records<br>THERE WILL BE NO PAYMENT THIS PERIOD |        |                                 |                      |                     |                    |                   |      |                                     |
|  |        |                                 |                      |                     |                    |                   |      | <b>Balance Forward \$0.00</b>       |
|  |        |                                 |                      |                     |                    |                   |      | <b>Year-to-date Earnings \$0.00</b> |



BROKER #: B18  
BRANCH #01001 - LifeMark Home Office

| DATE   | CLIENT | INVESTMENT | INVESTMENT<br>AMOUNT            | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION  | RATE   | BROKER<br>COMMISSION |
|--|--------|------------|---------------------------------|---------------------|--------------------|--|--------|----------------------|
| <div>ADJUSTMENTS</div>   |        |            |                                 |                     |                    |  |        |                      |
| /  | /      |            | PRIOR PERIOD BALANCE(SEE BELOW) | 0.00                | 0.00               | 0.00   | 0.00   | 0.00                 |
|  |        |            | *** ADJUSTMENTS TOTAL ***       | \$0.00              | \$0.00             | \$0.00   | \$0.00 | \$0.00               |
|  |        |            |                                 |                     |                    | <div>BROKER COMMISSION TOTALS</div>                              |        |                      |
|  |        |            |                                 |                     |                    | Broker Transactions  |        | \$0.00               |
|  |        |            |                                 |                     |                    | Split Transactions   |        | \$0.00               |
|  |        |            |                                 |                     |                    | Override Transactions  |        | \$0.00               |
|  |        |            |                                 |                     |                    | Adjustments  |        | \$0.00               |
|  |        |            |                                 |                     |                    | Payroll Draw   |        | \$0.00               |
|  |        |            |                                 |                     |                    | Base Salary  |        | \$0.00               |
|  |        |            |                                 |                     |                    | Prior Period Balance   |        | \$0.00               |
|  |        |            |                                 |                     |                    | FINRA Assessment   |        | \$0.00               |
|  |        |            |                                 |                     |                    | SIPC Assessment  |        | \$0.00               |
| Please Retain for Your Records<br>THERE WILL BE NO PAYMENT THIS PERIOD |        |            |                                 |                     |                    | <div>Balance Forward\$0.00<br/>Year-to-date Earnings\$0.00</div> |        |                      |



BROKER #: 183      Terminated 12/31/2013  
BRANCH #01001 - LifeMark Home Office

| DATE   | CLIENT | INVESTMENT                      | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE  | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION         |
|--|--------|---------------------------------|----------------------|---------------------|---|-------------------|------|------------------------------|
| <div>ADJUSTMENTS</div>   |        |                                 |                      |                     |   |                   |      |                              |
| 03/07/2018   |        | PRIOR PERIOD BALANCE(SEE BELOW) | 0.00                 | 0.00                | 0.00  | 0.00              |      | 0.00                         |
|  |        | *** ADJUSTMENTS TOTAL ***       | \$0.00               | \$0.00              | \$0.00  | \$0.00            |      | \$0.00                       |
| <div>BROKER COMMISSION TOTALS</div>                                    |        |                                 |                      |                     |   |                   |      |                              |
|  |        |                                 |                      |                     |   |                   |      | Broker Transactions \$0.00   |
|  |        |                                 |                      |                     |   |                   |      | Split Transactions \$0.00    |
|  |        |                                 |                      |                     |   |                   |      | Override Transactions \$0.00 |
|  |        |                                 |                      |                     |   |                   |      | Adjustments \$0.00           |
|  |        |                                 |                      |                     |   |                   |      | Payroll Draw \$0.00          |
|  |        |                                 |                      |                     |   |                   |      | Base Salary \$0.00           |
|  |        |                                 |                      |                     |   |                   |      | Prior Period Balance \$0.00  |
|  |        |                                 |                      |                     |   |                   |      | FINRA Assessment \$0.00      |
|  |        |                                 |                      |                     |   |                   |      | SIPC Assessment \$0.00       |
| Please Retain for Your Records<br>THERE WILL BE NO PAYMENT THIS PERIOD |        |                                 |                      |                     | <div><div>Balance Forward \$0.00</div><div>Year-to-date Earnings \$0.00</div></div> |                   |      |                              |



# COMMISSION STATEMENT

March 12, 2018

GARY DWORKIN  
22 SOUTH MAIN STREET  
PO BOX 2000  
ROCHESTER, NH 03867

BROKER #: 49 Terminated 12/18/2008  
BRANCH #01001 - LifeMark Home Office

| DATE   | CLIENT | INVESTMENT                      | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE    | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|--|--------|---------------------------------|----------------------|---------------------|-----------------------|-------------------|------|----------------------|
| <div>ADJUSTMENTS</div>   |        |                                 |                      |                     |                       |                   |      |                      |
| 03/07/2018   |        | PRIOR PERIOD BALANCE(SEE BELOW) | 0.00                 | 0.00                | 0.00                  | 0.00              |      | 0.00                 |
| *** ADJUSTMENTS TOTAL ***  |        |                                 | \$0.00               | \$0.00              | \$0.00                | \$0.00            |      | \$0.00               |
| <div>BROKER COMMISSION TOTALS</div>                                    |        |                                 |                      |                     |                       |                   |      |                      |
|  |        |                                 |                      |                     | Broker Transactions   |                   |      | \$0.00               |
|  |        |                                 |                      |                     | Split Transactions    |                   |      | \$0.00               |
|  |        |                                 |                      |                     | Override Transactions |                   |      | \$0.00               |
|  |        |                                 |                      |                     | Adjustments           |                   |      | \$0.00               |
|  |        |                                 |                      |                     | Payroll Draw          |                   |      | \$0.00               |
|  |        |                                 |                      |                     | Base Salary           |                   |      | \$0.00               |
|  |        |                                 |                      |                     | Prior Period Balance  |                   |      | \$0.00               |
|  |        |                                 |                      |                     | FINRA Assessment      |                   |      | \$0.00               |
|  |        |                                 |                      |                     | SIPC Assessment       |                   |      | \$0.00               |
| Please Retain for Your Records<br>THERE WILL BE NO PAYMENT THIS PERIOD |        |                                 |                      |                     | Balance Forward       |                   |      | \$0.00               |
|  |        |                                 |                      |                     | Year-to-date Earnings |                   |      | \$0.00               |



# COMMISSION STATEMENT

March 12, 2018

WINSTON EPPERSON  
15407 Riding Wood Drive  
Missouri City, TX 77489

BROKER #: 724 Terminated 11/30/2009  
BRANCH #01001 - LifeMark Home Office

| DATE                                   | CLIENT | INVESTMENT                      | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION                |
|--|--------|---------------------------------|----------------------|---------------------|--------------------|-------------------|------|-------------------------------------|
| <b><u>ADJUSTMENTS</u></b>              |        |                                 |                      |                     |                    |                   |      |                                     |
| 03/07/2018                             |        | PRIOR PERIOD BALANCE(SEE BELOW) | 0.00                 | 0.00                | 0.00               | 0.00              |      | 0.00                                |
| *** ADJUSTMENTS TOTAL ***              |        |                                 | <u>\$0.00</u>        | <u>\$0.00</u>       | <u>\$0.00</u>      | <u>\$0.00</u>     |      | <u>\$0.00</u>                       |
| <b><u>BROKER COMMISSION TOTALS</u></b> |        |                                 |                      |                     |                    |                   |      |                                     |
|  |        |                                 |                      |                     |                    |                   |      | Broker Transactions \$0.00          |
|  |        |                                 |                      |                     |                    |                   |      | Split Transactions \$0.00           |
|  |        |                                 |                      |                     |                    |                   |      | Override Transactions \$0.00        |
|  |        |                                 |                      |                     |                    |                   |      | Adjustments \$0.00                  |
|  |        |                                 |                      |                     |                    |                   |      | Payroll Draw \$0.00                 |
|  |        |                                 |                      |                     |                    |                   |      | Base Salary \$0.00                  |
|  |        |                                 |                      |                     |                    |                   |      | Prior Period Balance \$0.00         |
|  |        |                                 |                      |                     |                    |                   |      | FINRA Assessment \$0.00             |
|  |        |                                 |                      |                     |                    |                   |      | SIPC Assessment \$0.00              |
|  |        |                                 |                      |                     |                    |                   |      |                                     |
|  |        |                                 |                      |                     |                    |                   |      | <b>Balance Forward \$0.00</b>       |
|  |        |                                 |                      |                     |                    |                   |      | <b>Year-to-date Earnings \$0.00</b> |

Please Retain for Your Records  
THERE WILL BE NO PAYMENT THIS PERIOD



# COMMISSION STATEMENT

March 12, 2018

EDWARD FATLA

10301 West Lincoln Highway  
Frankfort, IL 60423

BROKER #: 131

BRANCH #01001 - LifeMark Home Office

| DATE   | CLIENT                        | INVESTMENT                        | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|--|-------------------------------|-----------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b><u>BROKER TRANSACTIONS</u></b>            |                               |                                   |                      |                     |                    |                   |      |                      |
| <b><u>PRODUCT CATEGORY: MUTUAL FUNDS</u></b> |                               |                                   |                      |                     |                    |                   |      |                      |
| 03/02/2018                                   | ***-**-1221 - REYNOLDS, EDDIE | AMCAP FUND-A                      | 6.21                 | 0.12                | 0.00               | 0.12              | 50.0 | 0.06                 |
|  | ACCOUNT #: 04000021340        | BUY 0 Units @33.8600              |                      |                     |                    |                   |      |                      |
| 03/02/2018                                   | ***-**-1221 - REYNOLDS, EDDIE | AMCAP FUND-A                      | 9.00                 | 0.18                | 0.00               | 0.18              | 50.0 | 0.09                 |
|  | ACCOUNT #: 04000021340        | BUY 0 Units @33.8600              |                      |                     |                    |                   |      |                      |
| 03/02/2018                                   | ***-**-275P - SLUSI, VICTORIA | AMCAP FUND-A                      | 27.00                | 0.54                | 0.00               | 0.54              | 50.0 | 0.27                 |
|  | ACCOUNT #: 00087654215        | BUY 1 Units @33.8600              |                      |                     |                    |                   |      |                      |
| 03/02/2018                                   | ***-**-275P - SLUSI, VICTORIA | AMCAP FUND-A                      | 60.00                | 1.20                | 0.00               | 1.20              | 50.0 | 0.60                 |
|  | ACCOUNT #: 00087654215        | BUY 2 Units @33.8600              |                      |                     |                    |                   |      |                      |
| 03/02/2018                                   | ***-**-590I - SLUSI, PAUL     | AMCAP FUND-A                      | 60.00                | 1.20                | 0.00               | 1.20              | 50.0 | 0.60                 |
|  | ACCOUNT #: 00087654256        | BUY 2 Units @33.8600              |                      |                     |                    |                   |      |                      |
| 03/02/2018                                   | ***-**-590I - SLUSI, PAUL     | AMCAP FUND-A                      | 27.00                | 0.54                | 0.00               | 0.54              | 50.0 | 0.27                 |
|  | ACCOUNT #: 00087654256        | BUY 1 Units @33.8600              |                      |                     |                    |                   |      |                      |
| 03/02/2018                                   | ***-**-590I - SLUSI, PAUL     | AMERICAN BALANCED FUND-A          | 60.00                | 1.20                | 0.00               | 1.20              | 50.0 | 0.60                 |
|  | ACCOUNT #: 00087654256        | BUY 2 Units @27.6700              |                      |                     |                    |                   |      |                      |
| 03/02/2018                                   | ***-**-590I - SLUSI, PAUL     | AMERICAN BALANCED FUND-A          | 27.00                | 0.54                | 0.00               | 0.54              | 50.0 | 0.27                 |
|  | ACCOUNT #: 00087654256        | BUY 1 Units @27.6700              |                      |                     |                    |                   |      |                      |
| 03/02/2018                                   | ***-**-92SI - SPARKS, DAVID   | AMERICAN BALANCED FUND-A          | 12.32                | 0.25                | 0.00               | 0.25              | 50.0 | 0.13                 |
|  | ACCOUNT #: 00087654239        | BUY 0 Units @27.6700              |                      |                     |                    |                   |      |                      |
| 03/02/2018                                   | ***-**-92SI - SPARKS, DAVID   | AMERICAN BALANCED FUND-A          | 12.32                | 0.25                | 0.00               | 0.25              | 50.0 | 0.13                 |
|  | ACCOUNT #: 00087654239        | BUY 0 Units @27.6700              |                      |                     |                    |                   |      |                      |
| 03/02/2018                                   | ***-**-275P - SLUSI, VICTORIA | AMERICAN BALANCED FUND-A          | 27.00                | 0.54                | 0.00               | 0.54              | 50.0 | 0.27                 |
|  | ACCOUNT #: 00087654215        | BUY 1 Units @27.6700              |                      |                     |                    |                   |      |                      |
| 03/02/2018                                   | ***-**-275P - SLUSI, VICTORIA | AMERICAN BALANCED FUND-A          | 60.00                | 1.20                | 0.00               | 1.20              | 50.0 | 0.60                 |
|  | ACCOUNT #: 00087654215        | BUY 2 Units @27.6700              |                      |                     |                    |                   |      |                      |
| 03/02/2018                                   | ***-**-590I - SLUSI, PAUL     | AMERICAN FUNDS 2020 TARGET DATE-A | 60.00                | 1.20                | 0.00               | 1.20              | 50.0 | 0.60                 |
|  | ACCOUNT #: 00087654256        | BUY 5 Units @12.8600              |                      |                     |                    |                   |      |                      |
| 03/02/2018                                   | ***-**-590I - SLUSI, PAUL     | AMERICAN FUNDS 2020 TARGET DATE-A | 27.00                | 0.54                | 0.00               | 0.54              | 50.0 | 0.27                 |
|  | ACCOUNT #: 00087654256        | BUY 2 Units @12.8600              |                      |                     |                    |                   |      |                      |
| 03/02/2018                                   | ***-**-275P - SLUSI, VICTORIA | AMERICAN FUNDS 2025 TARGET DATE-A | 27.00                | 0.54                | 0.00               | 0.54              | 50.0 | 0.27                 |
|  | ACCOUNT #: 00087654215        | BUY 2 Units @13.8300              |                      |                     |                    |                   |      |                      |
| 03/02/2018                                   | ***-**-275P - SLUSI, VICTORIA | AMERICAN FUNDS 2025 TARGET DATE-A | 60.00                | 1.20                | 0.00               | 1.20              | 50.0 | 0.60                 |
|  | ACCOUNT #: 00087654215        | BUY 4 Units @13.8300              |                      |                     |                    |                   |      |                      |



# COMMISSION STATEMENT

March 12, 2018

EDWARD FATLA  
10301 West Lincoln Highway  
Frankfort, IL 60423

BROKER #: 131  
BRANCH #01001 - LifeMark Home Office

| DATE  | CLIENT  | INVESTMENT  | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|---|---|---|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b>BROKER TRANSACTIONS (continued)</b>            |   |   |                      |                     |                    |                   |      |                      |
| <b>PRODUCT CATEGORY: MUTUAL FUNDS (continued)</b> |   |   |                      |                     |                    |                   |      |                      |
| 03/02/2018  | ***-**-8658 - WADE, CHAD<br>ACCOUNT #: 00089799621      | AMERICAN FUNDS 2035 TARGET DATE-A<br>BUY 4 Units @15.3900 | 60.85                | 1.22                | 0.00               | 1.22              | 50.0 | 0.61                 |
| 03/02/2018  | ***-**-8658 - WADE, CHAD<br>ACCOUNT #: 00089799621      | AMERICAN FUNDS 2035 TARGET DATE-A<br>BUY 4 Units @15.3900 | 60.85                | 1.22                | 0.00               | 1.22              | 50.0 | 0.61                 |
| 03/02/2018  | ***-**-5873 - VANDERMULL,<br>ACCOUNT #: 04000722155     | AMERICAN FUNDS 2050 TARGET DATE-A<br>BUY 1 Units @15.7300 | 19.22                | 0.38                | 0.00               | 0.38              | 50.0 | 0.19                 |
| 03/02/2018  | ***-**-5873 - VANDERMULL,<br>ACCOUNT #: 04000722155     | AMERICAN FUNDS 2050 TARGET DATE-A<br>BUY 1 Units @15.7300 | 19.22                | 0.38                | 0.00               | 0.38              | 50.0 | 0.19                 |
| 03/02/2018  | ***-**-92SI - SPARKS, DAVID<br>ACCOUNT #: 00087654239   | EUROPACIFIC GROWTH FUND-A<br>BUY 0 Units @58.2400         | 6.16                 | 0.12                | 0.00               | 0.12              | 50.0 | 0.06                 |
| 03/02/2018  | ***-**-92SI - SPARKS, DAVID<br>ACCOUNT #: 00087654239   | EUROPACIFIC GROWTH FUND-A<br>BUY 0 Units @58.2400         | 6.16                 | 0.12                | 0.00               | 0.12              | 50.0 | 0.06                 |
| 03/02/2018  | ***-**-1221 - REYNOLDS, EDDIE<br>ACCOUNT #: 04000021340 | FUNDAMENTAL INVESTORS-A<br>BUY 0 Units @64.3800           | 4.14                 | 0.08                | 0.00               | 0.08              | 50.0 | 0.04                 |
| 03/02/2018  | ***-**-1221 - REYNOLDS, EDDIE<br>ACCOUNT #: 04000021340 | FUNDAMENTAL INVESTORS-A<br>BUY 0 Units @64.3800           | 6.00                 | 0.12                | 0.00               | 0.12              | 50.0 | 0.06                 |
| 03/02/2018  | ***-**-92SI - SPARKS, DAVID<br>ACCOUNT #: 00087654239   | SMALLCAP WORLD FUND-A<br>BUY 0 Units @58.0300             | 6.14                 | 0.12                | 0.00               | 0.12              | 50.0 | 0.06                 |
| 03/02/2018  | ***-**-92SI - SPARKS, DAVID<br>ACCOUNT #: 00087654239   | SMALLCAP WORLD FUND-A<br>BUY 0 Units @58.0300             | 6.16                 | 0.12                | 0.00               | 0.12              | 50.0 | 0.06                 |
| 03/02/2018  | ***-**-5873 - VANDERMULL,<br>ACCOUNT #: 04000722155     | THE GROWTH FUND OF AMERICA-A<br>BUY 0 Units @53.2200      | 19.21                | 0.38                | 0.00               | 0.38              | 50.0 | 0.19                 |
| 03/02/2018  | ***-**-5873 - VANDERMULL,<br>ACCOUNT #: 04000722155     | THE GROWTH FUND OF AMERICA-A<br>BUY 0 Units @53.2200      | 19.21                | 0.38                | 0.00               | 0.38              | 50.0 | 0.19                 |
| 03/02/2018  | ***-**-92SI - SPARKS, DAVID<br>ACCOUNT #: 00087654239   | THE GROWTH FUND OF AMERICA-A<br>BUY 0 Units @53.2200      | 12.32                | 0.25                | 0.00               | 0.25              | 50.0 | 0.13                 |
| 03/02/2018  | ***-**-92SI - SPARKS, DAVID<br>ACCOUNT #: 00087654239   | THE GROWTH FUND OF AMERICA-A<br>BUY 0 Units @53.2200      | 12.30                | 0.25                | 0.00               | 0.25              | 50.0 | 0.13                 |
| 03/02/2018  | ***-**-1221 - REYNOLDS, EDDIE<br>ACCOUNT #: 04000021340 | THE INCOME FUND OF AMERICA-A<br>BUY 0 Units @23.5700      | 4.14                 | 0.08                | 0.00               | 0.08              | 50.0 | 0.04                 |
| 03/02/2018  | ***-**-1221 - REYNOLDS, EDDIE<br>ACCOUNT #: 04000021340 | THE INCOME FUND OF AMERICA-A<br>BUY 0 Units @23.5700      | 6.00                 | 0.12                | 0.00               | 0.12              | 50.0 | 0.06                 |



# COMMISSION STATEMENT

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EDWARD FATLA  
10301 West Lincoln Highway  
Frankfort, IL 60423

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BRANCH #01001 - LifeMark Home Office

| DATE  | CLIENT                         | INVESTMENT                          | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|---|--------------------------------|-------------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b>BROKER TRANSACTIONS (continued)</b>            |                                |                                     |                      |                     |                    |                   |      |                      |
| <b>PRODUCT CATEGORY: MUTUAL FUNDS (continued)</b> |                                |                                     |                      |                     |                    |                   |      |                      |
| 03/02/2018  | ***-**-590I - SLUSI, PAUL      | THE INCOME FUND OF AMERICA-A        | 27.00                | 0.54                | 0.00               | 0.54              | 50.0 | 0.27                 |
|   | ACCOUNT #: 00087654256         | BUY 1 Units @23.5700                |                      |                     |                    |                   |      |                      |
| 03/02/2018  | ***-**-590I - SLUSI, PAUL      | THE INCOME FUND OF AMERICA-A        | 60.00                | 1.20                | 0.00               | 1.20              | 50.0 | 0.60                 |
|   | ACCOUNT #: 00087654256         | BUY 3 Units @23.5700                |                      |                     |                    |                   |      |                      |
| 03/02/2018  | ***-**-275P - SLUSI, VICTORIA  | THE INCOME FUND OF AMERICA-A        | 27.00                | 0.54                | 0.00               | 0.54              | 50.0 | 0.27                 |
|   | ACCOUNT #: 00087654215         | BUY 1 Units @23.5700                |                      |                     |                    |                   |      |                      |
| 03/02/2018  | ***-**-275P - SLUSI, VICTORIA  | THE INCOME FUND OF AMERICA-A        | 60.00                | 1.20                | 0.00               | 1.20              | 50.0 | 0.60                 |
|   | ACCOUNT #: 00087654215         | BUY 3 Units @23.5700                |                      |                     |                    |                   |      |                      |
| 03/02/2018  | ***-**-1221 - REYNOLDS, EDDIE  | THE INVESTMENT COMPANY OF AMERICA-A | 6.21                 | 0.12                | 0.00               | 0.12              | 50.0 | 0.06                 |
|   | ACCOUNT #: 04000021340         | BUY 0 Units @41.9900                |                      |                     |                    |                   |      |                      |
| 03/02/2018  | ***-**-1221 - REYNOLDS, EDDIE  | THE INVESTMENT COMPANY OF AMERICA-A | 9.00                 | 0.18                | 0.00               | 0.18              | 50.0 | 0.09                 |
|   | ACCOUNT #: 04000021340         | BUY 0 Units @41.9900                |                      |                     |                    |                   |      |                      |
| 03/02/2018  | ***-**-275P - SLUSI, VICTORIA  | THE INVESTMENT COMPANY OF AMERICA-A | 27.00                | 0.54                | 0.00               | 0.54              | 50.0 | 0.27                 |
|   | ACCOUNT #: 00087654215         | BUY 1 Units @41.9900                |                      |                     |                    |                   |      |                      |
| 03/02/2018  | ***-**-275P - SLUSI, VICTORIA  | THE INVESTMENT COMPANY OF AMERICA-A | 60.00                | 1.20                | 0.00               | 1.20              | 50.0 | 0.60                 |
|   | ACCOUNT #: 00087654215         | BUY 1 Units @41.9900                |                      |                     |                    |                   |      |                      |
| 03/02/2018  | ***-**-590I - SLUSI, PAUL      | THE INVESTMENT COMPANY OF AMERICA-A | 27.00                | 0.54                | 0.00               | 0.54              | 50.0 | 0.27                 |
|   | ACCOUNT #: 00087654256         | BUY 1 Units @41.9900                |                      |                     |                    |                   |      |                      |
| 03/02/2018  | ***-**-590I - SLUSI, PAUL      | THE INVESTMENT COMPANY OF AMERICA-A | 60.00                | 1.20                | 0.00               | 1.20              | 50.0 | 0.60                 |
|   | ACCOUNT #: 00087654256         | BUY 1 Units @41.9900                |                      |                     |                    |                   |      |                      |
| 03/02/2018  | ***-**-92SI - SPARKS, DAVID    | WASHINGTON MUTUAL INVESTORS FUND-A  | 12.32                | 0.25                | 0.00               | 0.25              | 50.0 | 0.13                 |
|   | ACCOUNT #: 00087654239         | BUY 0 Units @46.8500                |                      |                     |                    |                   |      |                      |
| 03/02/2018  | ***-**-92SI - SPARKS, DAVID    | WASHINGTON MUTUAL INVESTORS FUND-A  | 12.32                | 0.25                | 0.00               | 0.25              | 50.0 | 0.13                 |
|   | ACCOUNT #: 00087654239         | BUY 0 Units @46.8500                |                      |                     |                    |                   |      |                      |
| <b>* MUTUAL FUNDS SUBTOTAL *</b>                  |                                |                                     | <b>\$1,217.78</b>    | <b>\$24.34</b>      | <b>\$0.00</b>      | <b>\$24.34</b>    |      | <b>\$12.20</b>       |
| <b>PRODUCT CATEGORY: 529 PLAN</b>                 |                                |                                     |                      |                     |                    |                   |      |                      |
| 03/12/2018  | ***-**-7353 - PASSERO, MICHAEL | BRIGHT DIRECTIONS FEE STRUCTURE A   | 100.00               | 3.00                | 0.00               | 3.00              | 50.0 | 1.50                 |
|   |                                | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/12/2018  | ***-**-7353 - PASSERO, MICHAEL | BRIGHT DIRECTIONS FEE STRUCTURE A   | 100.00               | 3.00                | 0.00               | 3.00              | 50.0 | 1.50                 |
|   |                                | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| <b>* 529 PLAN SUBTOTAL *</b>                      |                                |                                     | <b>\$200.00</b>      | <b>\$6.00</b>       | <b>\$0.00</b>      | <b>\$6.00</b>     |      | <b>\$3.00</b>        |





# COMMISSION STATEMENT

March 12, 2018

EDWARD FATLA

10301 West Lincoln Highway  
Frankfort, IL 60423

BROKER #: 131

BRANCH #01001 - LifeMark Home Office

| DATE   | CLIENT                        | INVESTMENT                         | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|--|-------------------------------|------------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b>BROKER TRANSACTIONS (continued)</b>           |                               |                                    |                      |                     |                    |                   |      |                      |
| <b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</b> |                               |                                    |                      |                     |                    |                   |      |                      |
| 03/01/2018                                       | ***-**-1221 - REYNOLDS, EDDIE | AMCAP FUND-A                       | 0.00                 | 0.27                | 0.00               | 0.27              | 50.0 | 0.14                 |
|  | ACCOUNT #: 04000021340        | BUY 0 Units @0.0000                |                      |                     |                    |                   |      |                      |
| 03/01/2018                                       | ***-**-275P - SLUSI, VICTORIA | AMCAP FUND-A                       | 0.00                 | 9.79                | 0.00               | 9.79              | 50.0 | 4.90                 |
|  | ACCOUNT #: 00087654215        | BUY 0 Units @0.0000                |                      |                     |                    |                   |      |                      |
| 03/01/2018                                       | ***-**-590I - SLUSI, PAUL     | AMCAP FUND-A                       | 0.00                 | 10.16               | 0.00               | 10.16             | 50.0 | 5.08                 |
|  | ACCOUNT #: 00087654256        | BUY 0 Units @0.0000                |                      |                     |                    |                   |      |                      |
| 03/01/2018                                       | ***-**-275P - SLUSI, VICTORIA | AMERICAN BALANCED FUND-A           | 0.00                 | 9.01                | 0.00               | 9.01              | 50.0 | 4.51                 |
|  | ACCOUNT #: 00087654215        | BUY 0 Units @0.0000                |                      |                     |                    |                   |      |                      |
| 03/01/2018                                       | ***-**-30SI - SIENKO, STEVEN  | AMERICAN BALANCED FUND-A           | 0.00                 | 2.05                | 0.00               | 2.05              | 50.0 | 1.03                 |
|  | ACCOUNT #: 00087654222        | BUY 0 Units @0.0000                |                      |                     |                    |                   |      |                      |
| 03/01/2018                                       | ***-**-92SI - SPARKS, DAVID   | AMERICAN BALANCED FUND-A           | 0.00                 | 2.97                | 0.00               | 2.97              | 50.0 | 1.49                 |
|  | ACCOUNT #: 00087654239        | BUY 0 Units @0.0000                |                      |                     |                    |                   |      |                      |
| 03/01/2018                                       | ***-**-590I - SLUSI, PAUL     | AMERICAN BALANCED FUND-A           | 0.00                 | 9.34                | 0.00               | 9.34              | 50.0 | 4.67                 |
|  | ACCOUNT #: 00087654256        | BUY 0 Units @0.0000                |                      |                     |                    |                   |      |                      |
| 03/01/2018                                       | ***-**-590I - SLUSI, PAUL     | AMERICAN BALANCED FUND-C           | 0.00                 | 35.75               | 0.00               | 35.75             | 50.0 | 17.88                |
|  | ACCOUNT #: 00081339744        | BUY 0 Units @0.0000                |                      |                     |                    |                   |      |                      |
| 03/01/2018                                       | ***-**-590I - SLUSI, PAUL     | AMERICAN BALANCED FUND-F1          | 0.00                 | 21.84               | 0.00               | 21.84             | 50.0 | 10.92                |
|  | ACCOUNT #: 00081339744        | BUY 0 Units @0.0000                |                      |                     |                    |                   |      |                      |
| 03/01/2018                                       | ***-**-62SI - NILLES, STEVE   | AMERICAN FUNDS 2020 TARGET DATE-A  | 0.00                 | 4.08                | 0.00               | 4.08              | 50.0 | 2.04                 |
|  | ACCOUNT #: 00087654249        | BUY 0 Units @0.0000                |                      |                     |                    |                   |      |                      |
| 03/01/2018                                       | ***-**-590I - SLUSI, PAUL     | AMERICAN FUNDS 2020 TARGET DATE-A  | 0.00                 | 8.72                | 0.00               | 8.72              | 50.0 | 4.36                 |
|  | ACCOUNT #: 00087654256        | BUY 0 Units @0.0000                |                      |                     |                    |                   |      |                      |
| 03/01/2018                                       | ***-**-275P - SLUSI, VICTORIA | AMERICAN FUNDS 2025 TARGET DATE-A  | 0.00                 | 8.66                | 0.00               | 8.66              | 50.0 | 4.33                 |
|  | ACCOUNT #: 00087654215        | BUY 0 Units @0.0000                |                      |                     |                    |                   |      |                      |
| 03/01/2018                                       | ***-**-8658 - WADE, CHAD      | AMERICAN FUNDS 2035 TARGET DATE-A  | 0.00                 | 3.41                | 0.00               | 3.41              | 50.0 | 1.71                 |
|  | ACCOUNT #: 00089799621        | BUY 0 Units @0.0000                |                      |                     |                    |                   |      |                      |
| 03/01/2018                                       | ***-**-5873 - VANDERMULL,     | AMERICAN FUNDS 2050 TARGET DATE-A  | 0.00                 | 0.04                | 0.00               | 0.04              | 50.0 | 0.02                 |
|  | ACCOUNT #: 04000722155        | BUY 0 Units @0.0000                |                      |                     |                    |                   |      |                      |
| 03/01/2018                                       | ***-**-875I - DISANTO, ROSINA | AMERICAN MUTUAL FUND-A             | 0.00                 | 97.03               | 0.00               | 97.03             | 50.0 | 48.52                |
|  | ACCOUNT #: 00058197438        | BUY 0 Units @0.0000                |                      |                     |                    |                   |      |                      |
| 03/01/2018                                       | ***-**-590I - SLUSI, PAUL     | CAPITAL WORLD GROWTH AND INCOME-F1 | 0.00                 | 36.23               | 0.00               | 36.23             | 50.0 | 18.12                |
|  | ACCOUNT #: 00081339744        | BUY 0 Units @0.0000                |                      |                     |                    |                   |      |                      |



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| DATE   | CLIENT                        | INVESTMENT                          | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|--|-------------------------------|-------------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b>BROKER TRANSACTIONS (continued)</b>                       |                               |                                     |                      |                     |                    |                   |      |                      |
| <b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</b> |                               |                                     |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-92SI - SPARKS, DAVID   | EUROPACIFIC GROWTH FUND-A           | 0.00                 | 1.52                | 0.00               | 1.52              | 50.0 | 0.76                 |
|  | ACCOUNT #: 00087654239        | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-1221 - REYNOLDS, EDDIE | FUNDAMENTAL INVESTORS-A             | 0.00                 | 0.18                | 0.00               | 0.18              | 50.0 | 0.09                 |
|  | ACCOUNT #: 04000021340        | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-30SI - SIENKO, STEVEN  | FUNDAMENTAL INVESTORS-A             | 0.00                 | 2.33                | 0.00               | 2.33              | 50.0 | 1.17                 |
|  | ACCOUNT #: 00087654222        | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-30SI - SIENKO, STEVEN  | NEW PERSPECTIVE FUND-A              | 0.00                 | 2.19                | 0.00               | 2.19              | 50.0 | 1.10                 |
|  | ACCOUNT #: 00087654222        | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-92SI - SPARKS, DAVID   | SMALLCAP WORLD FUND-A               | 0.00                 | 1.57                | 0.00               | 1.57              | 50.0 | 0.79                 |
|  | ACCOUNT #: 00087654239        | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-5873 - VANDERMULL,     | THE GROWTH FUND OF AMERICA-A        | 0.00                 | 0.04                | 0.00               | 0.04              | 50.0 | 0.02                 |
|  | ACCOUNT #: 04000722155        | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-875I - DISANTO, ROSINA | THE GROWTH FUND OF AMERICA-A        | 0.00                 | 33.15               | 0.00               | 33.15             | 50.0 | 16.58                |
|  | ACCOUNT #: 00058197438        | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-30SI - SIENKO, STEVEN  | THE GROWTH FUND OF AMERICA-A        | 0.00                 | 2.30                | 0.00               | 2.30              | 50.0 | 1.15                 |
|  | ACCOUNT #: 00087654222        | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-92SI - SPARKS, DAVID   | THE GROWTH FUND OF AMERICA-A        | 0.00                 | 3.35                | 0.00               | 3.35              | 50.0 | 1.68                 |
|  | ACCOUNT #: 00087654239        | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-1221 - REYNOLDS, EDDIE | THE INCOME FUND OF AMERICA-A        | 0.00                 | 0.17                | 0.00               | 0.17              | 50.0 | 0.09                 |
|  | ACCOUNT #: 04000021340        | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-275P - SLUSI, VICTORIA | THE INCOME FUND OF AMERICA-A        | 0.00                 | 8.70                | 0.00               | 8.70              | 50.0 | 4.35                 |
|  | ACCOUNT #: 00087654215        | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-30SI - SIENKO, STEVEN  | THE INCOME FUND OF AMERICA-A        | 0.00                 | 1.97                | 0.00               | 1.97              | 50.0 | 0.99                 |
|  | ACCOUNT #: 00087654222        | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-590I - SLUSI, PAUL     | THE INCOME FUND OF AMERICA-A        | 0.00                 | 9.03                | 0.00               | 9.03              | 50.0 | 4.52                 |
|  | ACCOUNT #: 00087654256        | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-1221 - REYNOLDS, EDDIE | THE INVESTMENT COMPANY OF AMERICA-A | 0.00                 | 0.27                | 0.00               | 0.27              | 50.0 | 0.14                 |
|  | ACCOUNT #: 04000021340        | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-275P - SLUSI, VICTORIA | THE INVESTMENT COMPANY OF AMERICA-A | 0.00                 | 9.81                | 0.00               | 9.81              | 50.0 | 4.91                 |
|  | ACCOUNT #: 00087654215        | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-590I - SLUSI, PAUL     | THE INVESTMENT COMPANY OF AMERICA-A | 0.00                 | 10.18               | 0.00               | 10.18             | 50.0 | 5.09                 |
|  | ACCOUNT #: 00087654256        | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |



# COMMISSION STATEMENT

March 12, 2018

EDWARD FATLA  
10301 West Lincoln Highway  
Frankfort, IL 60423

BROKER #: 131  
BRANCH #01001 - LifeMark Home Office

| DATE   | CLIENT  | INVESTMENT  | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|--|---|---|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b>BROKER TRANSACTIONS (continued)</b>                       |   |   |                      |                     |                    |                   |      |                      |
| <b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</b> |   |   |                      |                     |                    |                   |      |                      |
| 03/12/2018   | ***-**-9556 - LICARI, JANIS                           | VIRTUS MF TRAILS<br>BUY 0 Units @0.0000                   | 0.00                 | 2.64                | 0.00               | 2.64              | 50.0 | 1.32                 |
| 03/12/2018   | ***-**-875I - DISANTO, ROSINA                         | VIRTUS MF TRAILS<br>BUY 0 Units @0.0000                   | 0.00                 | 4.13                | 0.00               | 4.13              | 50.0 | 2.07                 |
| 03/12/2018   | ***-**-115I - NOWAK, BRIDGET                          | VIRTUS MF TRAILS<br>BUY 0 Units @0.0000                   | 0.00                 | 0.69                | 0.00               | 0.69              | 50.0 | 0.35                 |
| 03/01/2018   | ***-**-92SI - SPARKS, DAVID<br>ACCOUNT #: 00087654239 | WASHINGTON MUTUAL INVESTORS FUND-A<br>BUY 0 Units @0.0000 | 0.00                 | 3.20                | 0.00               | 3.20              | 50.0 | 1.60                 |
| <b>* MUTUAL FUND 12B1 TRAILS SUBTOTAL *</b>                  |   |   | <b>\$0.00</b>        | <b>\$356.77</b>     | <b>\$0.00</b>      | <b>\$356.77</b>   |      | <b>\$178.49</b>      |
| <b>*** BROKER TRANSACTIONS TOTAL ***</b>                     |   |   | <b>\$1,417.78</b>    | <b>\$387.11</b>     | <b>\$0.00</b>      | <b>\$387.11</b>   |      | <b>\$193.69</b>      |

## BROKER COMMISSION TOTALS

|                       |          |
|-----------------------|----------|
| Broker Transactions   | \$193.69 |
| Split Transactions    | \$0.00   |
| Override Transactions | \$0.00   |
| Adjustments           | \$0.00   |
| Payroll Draw          | \$0.00   |
| Base Salary           | \$0.00   |
| Prior Period Balance  | \$0.00   |
| FINRA Assessment      | \$0.00   |
| SIPC Assessment       | \$0.00   |

Please Retain for Your Records  
THERE WILL BE NO PAYMENT THIS PERIOD

|                              |               |
|------------------------------|---------------|
| <b>Balance Forward</b>       | <b>\$0.00</b> |
| <b>Year-to-date Earnings</b> | <b>\$0.00</b> |



# COMMISSION STATEMENT

March 12, 2018

JOSEPH FERRY  
327 Church Street  
Naugatuck, CT 06770

BROKER #: 180  
BRANCH #01001 - LifeMark Home Office

| DATE   | CLIENT                         | INVESTMENT               | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|--|--------------------------------|--------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b><u>BROKER TRANSACTIONS</u></b>            |                                |                          |                      |                     |                    |                   |      |                      |
| <b><u>PRODUCT CATEGORY: MUTUAL FUNDS</u></b> |                                |                          |                      |                     |                    |                   |      |                      |
| 02/26/2018                                   | ***-**-6453 - BORDONARO, LINDA | AMERICAN BALANCED FUND-A | 20.00                | 0.55                | 0.00               | 0.55              | 80.0 | 0.44                 |
|  | ACCOUNT #: 00083064667         | BUY 1 Units @28.5600     |                      |                     |                    |                   |      |                      |
| 02/26/2018                                   | ***-**-6453 - BORDONARO, LINDA | AMERICAN BALANCED FUND-A | 33.74                | 0.93                | 0.00               | 0.93              | 80.0 | 0.74                 |
|  | ACCOUNT #: 00083064667         | BUY 1 Units @28.5600     |                      |                     |                    |                   |      |                      |
| 02/26/2018                                   | ***-**-7973 - ROOSA, JOHN      | AMERICAN BALANCED FUND-A | 159.28               | 4.38                | 0.00               | 4.38              | 80.0 | 3.50                 |
|  | ACCOUNT #: 04000563712         | BUY 6 Units @28.5600     |                      |                     |                    |                   |      |                      |
| 02/26/2018                                   | ***-**-7973 - ROOSA, JOHN      | AMERICAN BALANCED FUND-A | 47.78                | 1.31                | 0.00               | 1.31              | 80.0 | 1.05                 |
|  | ACCOUNT #: 04000563712         | BUY 2 Units @28.5600     |                      |                     |                    |                   |      |                      |
| 02/28/2018                                   | ***-**-9465 - CARLSON HOLDINGS | AMERICAN BALANCED FUND-A | 976.58               | 11.72               | 0.00               | 11.72             | 80.0 | 9.38                 |
|  | ACCOUNT #: 00063190266         | BUY 35 Units @27.5100    |                      |                     |                    |                   |      |                      |
| 03/02/2018                                   | ***-**-689I - FAULKNER, SANDRA | AMERICAN BALANCED FUND-A | 298.08               | 4.77                | 0.00               | 4.77              | 80.0 | 3.82                 |
|  | ACCOUNT #: 00081806027         | BUY 11 Units @27.5300    |                      |                     |                    |                   |      |                      |
| 03/02/2018                                   | ***-**-689I - FAULKNER, SANDRA | AMERICAN BALANCED FUND-A | 10.00                | 0.16                | 0.00               | 0.16              | 80.0 | 0.13                 |
|  | ACCOUNT #: 00081806027         | BUY 0 Units @27.5300     |                      |                     |                    |                   |      |                      |
| 03/02/2018                                   | ***-**-228I - FAULKNER,        | AMERICAN BALANCED FUND-A | 298.08               | 4.77                | 0.00               | 4.77              | 80.0 | 3.82                 |
|  | ACCOUNT #: 00081805988         | BUY 11 Units @27.5300    |                      |                     |                    |                   |      |                      |
| 03/02/2018                                   | ***-**-228I - FAULKNER,        | AMERICAN BALANCED FUND-A | 298.08               | 4.77                | 0.00               | 4.77              | 80.0 | 3.82                 |
|  | ACCOUNT #: 00081805988         | BUY 11 Units @27.5300    |                      |                     |                    |                   |      |                      |
| 03/02/2018                                   | ***-**-707I - COLON, ANGEL     | AMERICAN BALANCED FUND-A | 25.00                | 0.40                | 0.00               | 0.40              | 80.0 | 0.32                 |
|  | ACCOUNT #: 00081805964         | BUY 1 Units @27.5300     |                      |                     |                    |                   |      |                      |
| 03/02/2018                                   | ***-**-707I - COLON, ANGEL     | AMERICAN BALANCED FUND-A | 25.00                | 0.40                | 0.00               | 0.40              | 80.0 | 0.32                 |
|  | ACCOUNT #: 00081805964         | BUY 1 Units @27.5300     |                      |                     |                    |                   |      |                      |
| 03/02/2018                                   | ***-**-875P - SHIMUNOV, ILICH  | AMERICAN BALANCED FUND-A | 30.00                | 0.48                | 0.00               | 0.48              | 80.0 | 0.38                 |
|  | ACCOUNT #: 00081805810         | BUY 1 Units @27.5300     |                      |                     |                    |                   |      |                      |
| 03/02/2018                                   | ***-**-875P - SHIMUNOV, ILICH  | AMERICAN BALANCED FUND-A | 30.00                | 0.48                | 0.00               | 0.48              | 80.0 | 0.38                 |
|  | ACCOUNT #: 00081805810         | BUY 1 Units @27.5300     |                      |                     |                    |                   |      |                      |
| 03/02/2018                                   | ***-**-7973 - ROOSA, JOHN      | AMERICAN BALANCED FUND-A | 47.78                | 1.31                | 0.00               | 1.31              | 80.0 | 1.05                 |
|  | ACCOUNT #: 04000563712         | BUY 2 Units @27.9600     |                      |                     |                    |                   |      |                      |
| 03/02/2018                                   | ***-**-7973 - ROOSA, JOHN      | AMERICAN BALANCED FUND-A | 159.28               | 4.38                | 0.00               | 4.38              | 80.0 | 3.50                 |
|  | ACCOUNT #: 04000563712         | BUY 6 Units @27.9600     |                      |                     |                    |                   |      |                      |
| 03/02/2018                                   | ***-**-6453 - BORDONARO, LINDA | AMERICAN BALANCED FUND-A | 33.74                | 0.93                | 0.00               | 0.93              | 80.0 | 0.74                 |
|  | ACCOUNT #: 00083064667         | BUY 1 Units @27.9600     |                      |                     |                    |                   |      |                      |



# COMMISSION STATEMENT

March 12, 2018

JOSEPH FERRY  
327 Church Street  
Naugatuck, CT 06770

BROKER #: 180  
BRANCH #01001 - LifeMark Home Office

| DATE  | CLIENT                         | INVESTMENT                        | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|---|--------------------------------|-----------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b>BROKER TRANSACTIONS (continued)</b>            |                                |                                   |                      |                     |                    |                   |      |                      |
| <b>PRODUCT CATEGORY: MUTUAL FUNDS (continued)</b> |                                |                                   |                      |                     |                    |                   |      |                      |
| 03/02/2018  | ***-**-6453 - BORDONARO, LINDA | AMERICAN BALANCED FUND-A          | 20.00                | 0.55                | 0.00               | 0.55              | 80.0 | 0.44                 |
|   | ACCOUNT #: 00083064667         | BUY 1 Units @27.9600              |                      |                     |                    |                   |      |                      |
| 02/26/2018  | ***-**-309I - PARENT, NANCY    | AMERICAN FUNDS 2020 TARGET DATE-A | 20.00                | 0.55                | 0.00               | 0.55              | 80.0 | 0.44                 |
|   | ACCOUNT #: 00087513340         | BUY 2 Units @13.2100              |                      |                     |                    |                   |      |                      |
| 02/26/2018  | ***-**-309I - PARENT, NANCY    | AMERICAN FUNDS 2020 TARGET DATE-A | 21.41                | 0.59                | 0.00               | 0.59              | 80.0 | 0.47                 |
|   | ACCOUNT #: 00087513340         | BUY 2 Units @13.2100              |                      |                     |                    |                   |      |                      |
| 03/02/2018  | ***-**-309I - PARENT, NANCY    | AMERICAN FUNDS 2020 TARGET DATE-A | 21.01                | 0.58                | 0.00               | 0.58              | 80.0 | 0.46                 |
|   | ACCOUNT #: 00087513340         | BUY 2 Units @12.9900              |                      |                     |                    |                   |      |                      |
| 03/02/2018  | ***-**-309I - PARENT, NANCY    | AMERICAN FUNDS 2020 TARGET DATE-A | 20.00                | 0.55                | 0.00               | 0.55              | 80.0 | 0.44                 |
|   | ACCOUNT #: 00087513340         | BUY 2 Units @12.9900              |                      |                     |                    |                   |      |                      |
| 02/26/2018  | ***-**-5975 - PAQUETTE, NICOLE | AMERICAN FUNDS 2035 TARGET DATE-A | 118.85               | 3.27                | 0.00               | 3.27              | 80.0 | 2.62                 |
|   | ACCOUNT #: 04000563724         | BUY 7 Units @15.9500              |                      |                     |                    |                   |      |                      |
| 02/26/2018  | ***-**-5975 - PAQUETTE, NICOLE | AMERICAN FUNDS 2035 TARGET DATE-A | 44.57                | 1.23                | 0.00               | 1.23              | 80.0 | 0.98                 |
|   | ACCOUNT #: 04000563724         | BUY 3 Units @15.9500              |                      |                     |                    |                   |      |                      |
| 03/02/2018  | ***-**-5975 - PAQUETTE, NICOLE | AMERICAN FUNDS 2035 TARGET DATE-A | 44.57                | 1.23                | 0.00               | 1.23              | 80.0 | 0.98                 |
|   | ACCOUNT #: 04000563724         | BUY 3 Units @15.5500              |                      |                     |                    |                   |      |                      |
| 03/02/2018  | ***-**-5975 - PAQUETTE, NICOLE | AMERICAN FUNDS 2035 TARGET DATE-A | 118.85               | 3.27                | 0.00               | 3.27              | 80.0 | 2.62                 |
|   | ACCOUNT #: 04000563724         | BUY 8 Units @15.5500              |                      |                     |                    |                   |      |                      |
| 02/26/2018  | ***-**-945P - MORIARTY,        | AMERICAN FUNDS 2050 TARGET DATE-A | 187.00               | 5.14                | 0.00               | 5.14              | 80.0 | 4.11                 |
|   | ACCOUNT #: 00081526588         | BUY 11 Units @16.3200             |                      |                     |                    |                   |      |                      |
| 02/26/2018  | ***-**-945P - MORIARTY,        | AMERICAN FUNDS 2050 TARGET DATE-A | 45.41                | 1.25                | 0.00               | 1.25              | 80.0 | 1.00                 |
|   | ACCOUNT #: 00081526588         | BUY 3 Units @16.3200              |                      |                     |                    |                   |      |                      |
| 02/26/2018  | ***-**-6923 - MELIN-MILES,     | AMERICAN FUNDS 2050 TARGET DATE-A | 50.30                | 1.38                | 0.00               | 1.38              | 80.0 | 1.10                 |
|   | ACCOUNT #: 04000563702         | BUY 3 Units @16.3200              |                      |                     |                    |                   |      |                      |
| 02/26/2018  | ***-**-6923 - MELIN-MILES,     | AMERICAN FUNDS 2050 TARGET DATE-A | 100.00               | 2.75                | 0.00               | 2.75              | 80.0 | 2.20                 |
|   | ACCOUNT #: 04000563702         | BUY 6 Units @16.3200              |                      |                     |                    |                   |      |                      |
| 03/02/2018  | ***-**-6923 - MELIN-MILES,     | AMERICAN FUNDS 2050 TARGET DATE-A | 50.30                | 1.38                | 0.00               | 1.38              | 80.0 | 1.10                 |
|   | ACCOUNT #: 04000563702         | BUY 3 Units @15.9000              |                      |                     |                    |                   |      |                      |
| 03/02/2018  | ***-**-6923 - MELIN-MILES,     | AMERICAN FUNDS 2050 TARGET DATE-A | 100.00               | 2.75                | 0.00               | 2.75              | 80.0 | 2.20                 |
|   | ACCOUNT #: 04000563702         | BUY 6 Units @15.9000              |                      |                     |                    |                   |      |                      |
| 03/02/2018  | ***-**-945P - MORIARTY,        | AMERICAN FUNDS 2050 TARGET DATE-A | 45.41                | 1.25                | 0.00               | 1.25              | 80.0 | 1.00                 |
|   | ACCOUNT #: 00081526588         | BUY 3 Units @15.9000              |                      |                     |                    |                   |      |                      |



# COMMISSION STATEMENT

March 12, 2018

JOSEPH FERRY  
327 Church Street  
Naugatuck, CT 06770

BROKER #: 180  
BRANCH #01001 - LifeMark Home Office

| DATE  | CLIENT   | INVESTMENT   | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|---|--|--|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b>BROKER TRANSACTIONS (continued)</b>            |  |  |                      |                     |                    |                   |      |                      |
| <b>PRODUCT CATEGORY: MUTUAL FUNDS (continued)</b> |  |  |                      |                     |                    |                   |      |                      |
| 03/02/2018  | ***-**-945P - MORIARTY,<br>ACCOUNT #: 00081526588        | AMERICAN FUNDS 2050 TARGET DATE-A<br>BUY 12 Units @15.9000   | 187.00               | 5.14                | 0.00               | 5.14              | 80.0 | 4.11                 |
| 03/02/2018  | ***-**-0611 - FAULKNER,<br>ACCOUNT #: 04000827629        | AMERICAN FUNDS 2060 TARGET DATE-A<br>BUY 6 Units @12.8200    | 75.00                | 1.20                | 0.00               | 1.20              | 80.0 | 0.96                 |
| 03/02/2018  | ***-**-0611 - FAULKNER,<br>ACCOUNT #: 04000827629        | AMERICAN FUNDS 2060 TARGET DATE-A<br>BUY 6 Units @12.8200    | 75.00                | 1.20                | 0.00               | 1.20              | 80.0 | 0.96                 |
| 03/05/2018  | ***-**-7960 - CARVAJAL, JUDITH<br>ACCOUNT #: LSR011337   | AMERICAN FUNDS BLNCD PORTFOLIO CL A<br>BUY 38 Units @15.8200 | 600.01               | 30.00               | 3.00               | 27.00             | 80.0 | 21.60                |
| 02/26/2018  | ***-**-0391 - HERNANDEZ,<br>ACCOUNT #: 00085621852       | AMERICAN FUNDS GRWTH & INCOME PORT<br>BUY 2 Units @15.5700   | 34.56                | 0.35                | 0.00               | 0.35              | 80.0 | 0.28                 |
| 02/26/2018  | ***-**-0391 - HERNANDEZ,<br>ACCOUNT #: 00085621852       | AMERICAN FUNDS GRWTH & INCOME PORT<br>BUY 3 Units @15.5700   | 45.00                | 0.45                | 0.00               | 0.45              | 80.0 | 0.36                 |
| 02/26/2018  | ***-**-3307 - COUGHLAN, HARRY<br>ACCOUNT #: 00084434107  | AMERICAN FUNDS GRWTH & INCOME PORT<br>BUY 15 Units @15.5700  | 240.50               | 2.41                | 0.00               | 2.41              | 80.0 | 1.93                 |
| 02/26/2018  | ***-**-3307 - COUGHLAN, HARRY<br>ACCOUNT #: 00084434107  | AMERICAN FUNDS GRWTH & INCOME PORT<br>BUY 4 Units @15.5700   | 65.58                | 0.66                | 0.00               | 0.66              | 80.0 | 0.53                 |
| 02/26/2018  | ***-**-2954 - RESTO, NORBERTO<br>ACCOUNT #: 00069029798  | AMERICAN FUNDS GRWTH & INCOME PORT<br>BUY 2 Units @15.5700   | 25.00                | 0.25                | 0.00               | 0.25              | 80.0 | 0.20                 |
| 02/26/2018  | ***-**-2954 - RESTO, NORBERTO<br>ACCOUNT #: 00069029798  | AMERICAN FUNDS GRWTH & INCOME PORT<br>BUY 2 Units @15.5700   | 25.00                | 0.25                | 0.00               | 0.25              | 80.0 | 0.20                 |
| 02/28/2018  | ***-**-9465 - CARLSON HOLDINGS<br>ACCOUNT #: 00063190266 | AMERICAN MUTUAL FUND-A<br>BUY 4 Units @41.5000               | 170.92               | 2.05                | 0.00               | 2.05              | 80.0 | 1.64                 |
| 02/28/2018  | ***-**-9465 - CARLSON HOLDINGS<br>ACCOUNT #: 00063190266 | EUROPACIFIC GROWTH FUND-A<br>BUY 7 Units @58.0800            | 378.46               | 4.54                | 0.00               | 4.54              | 80.0 | 3.63                 |
| 02/28/2018  | ***-**-9465 - CARLSON HOLDINGS<br>ACCOUNT #: 00063190266 | THE BOND FUND OF AMERICA-A<br>BUY 23 Units @12.7900          | 295.30               | 3.54                | 0.00               | 3.54              | 80.0 | 2.83                 |
| 02/28/2018  | ***-**-9465 - CARLSON HOLDINGS<br>ACCOUNT #: 00063190266 | THE GROWTH FUND OF AMERICA-A<br>BUY 9 Units @52.9100         | 462.15               | 5.55                | 0.00               | 5.55              | 80.0 | 4.44                 |
| 02/28/2018  | ***-**-9465 - CARLSON HOLDINGS<br>ACCOUNT #: 00063190266 | THE INVESTMENT COMPANY OF AMERICA-A<br>BUY 29 Units @41.8100 | 1,229.02             | 14.75               | 0.00               | 14.75             | 80.0 | 11.80                |
| 03/02/2018  | ***-**-875P - SHIMUNOV, ILICH<br>ACCOUNT #: 00081805810  | U.S. GOVERNMENT SECURITIES FUND CLA<br>BUY 2 Units @13.6700  | 30.00                | 0.48                | 0.00               | 0.48              | 80.0 | 0.38                 |



# COMMISSION STATEMENT

March 12, 2018

JOSEPH FERRY  
327 Church Street  
Naugatuck, CT 06770

BROKER #: 180  
BRANCH #01001 - LifeMark Home Office

| DATE  | CLIENT                         | INVESTMENT                          | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|---|--------------------------------|-------------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b>BROKER TRANSACTIONS (continued)</b>            |                                |                                     |                      |                     |                    |                   |      |                      |
| <b>PRODUCT CATEGORY: MUTUAL FUNDS (continued)</b> |                                |                                     |                      |                     |                    |                   |      |                      |
| 03/02/2018  | ***-**-875P - SHIMUNOV, ILICH  | U.S. GOVERNMENT SECURITIES FUND CLA | 30.00                | 0.48                | 0.00               | 0.48              | 80.0 | 0.38                 |
|   | ACCOUNT #: 00081805810         | BUY 2 Units @13.6700                |                      |                     |                    |                   |      |                      |
|   |                                | <b>* MUTUAL FUNDS SUBTOTAL *</b>    | <b>\$7,468.60</b>    | <b>\$142.76</b>     | <b>\$3.00</b>      | <b>\$139.76</b>   |      | <b>\$111.78</b>      |
| <b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</b>  |                                |                                     |                      |                     |                    |                   |      |                      |
| 03/12/2018  | ***-**-90IN - GAW, PATRICIA    | AIM CHARTER FUND - CLASS A          | 0.00                 | 2.91                | 0.00               | 2.91              | 80.0 | 2.33                 |
|   | ACCOUNT #: LSR011025           | BUY 1 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-01IN - RAAD, PAMELA     | AMCAP FUND-A                        | 0.00                 | 0.31                | 0.00               | 0.31              | 80.0 | 0.25                 |
|   | ACCOUNT #: 00067297409         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-716I - PAPST, JASON     | AMCAP FUND-A                        | 0.00                 | 12.25               | 0.00               | 12.25             | 80.0 | 9.80                 |
|   | ACCOUNT #: 00067533376         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-985P - PAPST, MEREDITH  | AMCAP FUND-A                        | 0.00                 | 2.92                | 0.00               | 2.92              | 80.0 | 2.34                 |
|   | ACCOUNT #: 00067807144         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-245P - DUMAINE, ROBERT  | AMCAP FUND-A                        | 0.00                 | 3.59                | 0.00               | 3.59              | 80.0 | 2.87                 |
|   | ACCOUNT #: 00074252014         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-761I - HUSTEK, PETER    | AMCAP FUND-A                        | 0.00                 | 3.10                | 0.00               | 3.10              | 80.0 | 2.48                 |
|   | ACCOUNT #: 00087410644         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-079I - HOEBEL, ROBERT   | AMCAP FUND-A                        | 0.00                 | 19.18               | 0.00               | 19.18             | 80.0 | 15.34                |
|   | ACCOUNT #: 00088173573         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-9465 - CARLSON HOLDINGS | AMERICAN BALANCED FUND-A            | 0.00                 | 28.44               | 0.00               | 28.44             | 80.0 | 22.75                |
|   | ACCOUNT #: 00063190266         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-065P - LEE, DANA        | AMERICAN BALANCED FUND-A            | 0.00                 | 19.33               | 0.00               | 19.33             | 80.0 | 15.46                |
|   | ACCOUNT #: 00064518010         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-01IN - RAAD, PAMELA     | AMERICAN BALANCED FUND-A            | 0.00                 | 0.40                | 0.00               | 0.40              | 80.0 | 0.32                 |
|   | ACCOUNT #: 00067297409         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-615P - ROBINSON, JANET  | AMERICAN BALANCED FUND-A            | 0.00                 | 0.19                | 0.00               | 0.19              | 80.0 | 0.15                 |
|   | ACCOUNT #: 00068572268         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-685P - PAPST, MADISON   | AMERICAN BALANCED FUND-A            | 0.00                 | 9.92                | 0.00               | 9.92              | 80.0 | 7.94                 |
|   | ACCOUNT #: 00068832660         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-975P - MATHISEN, PAUL   | AMERICAN BALANCED FUND-A            | 0.00                 | 1.43                | 0.00               | 1.43              | 80.0 | 1.14                 |
|   | ACCOUNT #: 00073005489         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-577I - JARVIS, JUNE     | AMERICAN BALANCED FUND-A            | 0.00                 | 12.15               | 0.00               | 12.15             | 80.0 | 9.72                 |
|   | ACCOUNT #: 00073913697         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |



# COMMISSION STATEMENT

March 12, 2018

JOSEPH FERRY  
327 Church Street  
Naugatuck, CT 06770

BROKER #: 180  
BRANCH #01001 - LifeMark Home Office

| DATE   | CLIENT                         | INVESTMENT                | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|--|--------------------------------|---------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b>BROKER TRANSACTIONS (continued)</b>                       |                                |                           |                      |                     |                    |                   |      |                      |
| <b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</b> |                                |                           |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-520I - DUMAINE, TONI    | AMERICAN BALANCED FUND-A  | 0.00                 | 5.21                | 0.00               | 5.21              | 80.0 | 4.17                 |
|  | ACCOUNT #: 00074250987         | BUY 0 Units @0.0000       |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-245P - DUMAINE, ROBERT  | AMERICAN BALANCED FUND-A  | 0.00                 | 17.75               | 0.00               | 17.75             | 80.0 | 14.20                |
|  | ACCOUNT #: 00074252014         | BUY 0 Units @0.0000       |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-857I - MUNDO, DIANE     | AMERICAN BALANCED FUND-A  | 0.00                 | 2.43                | 0.00               | 2.43              | 80.0 | 1.94                 |
|  | ACCOUNT #: 00075630059         | BUY 0 Units @0.0000       |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-505P - MARUCA, PHELAN   | AMERICAN BALANCED FUND-A  | 0.00                 | 6.73                | 0.00               | 6.73              | 80.0 | 5.38                 |
|  | ACCOUNT #: 00075760201         | BUY 0 Units @0.0000       |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-945P - MORIARTY,        | AMERICAN BALANCED FUND-A  | 0.00                 | 0.02                | 0.00               | 0.02              | 80.0 | 0.02                 |
|  | ACCOUNT #: 00081526588         | BUY 0 Units @0.0000       |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-735P - RODRIGUEZ, JOSE  | AMERICAN BALANCED FUND-A  | 0.00                 | 12.33               | 0.00               | 12.33             | 80.0 | 9.86                 |
|  | ACCOUNT #: 00081805731         | BUY 0 Units @0.0000       |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-875P - SHIMUNOV, ILICH  | AMERICAN BALANCED FUND-A  | 0.00                 | 33.09               | 0.00               | 33.09             | 80.0 | 26.47                |
|  | ACCOUNT #: 00081805810         | BUY 0 Units @0.0000       |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-707I - COLON, ANGEL     | AMERICAN BALANCED FUND-A  | 0.00                 | 29.61               | 0.00               | 29.61             | 80.0 | 23.69                |
|  | ACCOUNT #: 00081805964         | BUY 0 Units @0.0000       |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-228I - FAULKNER,        | AMERICAN BALANCED FUND-A  | 0.00                 | 227.28              | 0.00               | 227.28            | 80.0 | 181.82               |
|  | ACCOUNT #: 00081805988         | BUY 0 Units @0.0000       |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-689I - FAULKNER, SANDRA | AMERICAN BALANCED FUND-A  | 0.00                 | 100.03              | 0.00               | 100.03            | 80.0 | 80.02                |
|  | ACCOUNT #: 00081806027         | BUY 0 Units @0.0000       |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-558I - FAMIGLIETTI,     | AMERICAN BALANCED FUND-A  | 0.00                 | 9.87                | 0.00               | 9.87              | 80.0 | 7.90                 |
|  | ACCOUNT #: 00082394254         | BUY 0 Units @0.0000       |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-6453 - BORDONARO, LINDA | AMERICAN BALANCED FUND-A  | 0.00                 | 24.93               | 0.00               | 24.93             | 80.0 | 19.94                |
|  | ACCOUNT #: 00083064667         | BUY 0 Units @0.0000       |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-39IN - GRAZIOSA, ROBERT | AMERICAN BALANCED FUND-A  | 0.00                 | 1.84                | 0.00               | 1.84              | 80.0 | 1.47                 |
|  | ACCOUNT #: 00084877268         | BUY 0 Units @0.0000       |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-0514 - SMITLEY, DONALD  | AMERICAN BALANCED FUND-A  | 0.00                 | 0.62                | 0.00               | 0.62              | 80.0 | 0.50                 |
|  | ACCOUNT #: 00089895362         | BUY 0 Units @0.0000       |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-7973 - ROOSA, JOHN      | AMERICAN BALANCED FUND-A  | 0.00                 | 1.12                | 0.00               | 1.12              | 80.0 | 0.90                 |
|  | ACCOUNT #: 04000563712         | BUY 0 Units @0.0000       |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-577I - JARVIS, JUNE     | AMERICAN BALANCED FUND-F1 | 0.00                 | 1.73                | 0.00               | 1.73              | 80.0 | 1.38                 |
|  | ACCOUNT #: 00073913697         | BUY 0 Units @0.0000       |                      |                     |                    |                   |      |                      |





# COMMISSION STATEMENT

March 12, 2018

JOSEPH FERRY  
327 Church Street  
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BROKER #: 180  
BRANCH #01001 - LifeMark Home Office

| DATE   | CLIENT   | INVESTMENT   | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|--|--|--|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b>BROKER TRANSACTIONS (continued)</b>                       |  |  |                      |                     |                    |                   |      |                      |
| <b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</b> |  |  |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-24IN - ECKER, DIANE<br>ACCOUNT #: 00084671410     | AMERICAN FUNDS 2015 TARGET DATE-A<br>BUY 0 Units @0.0000 | 0.00                 | 8.46                | 0.00               | 8.46              | 80.0 | 6.77                 |
| 03/01/2018   | ***-**-0891 - RAFAEL, MANUEL<br>ACCOUNT #: 00084671422   | AMERICAN FUNDS 2015 TARGET DATE-A<br>BUY 0 Units @0.0000 | 0.00                 | 27.94               | 0.00               | 27.94             | 80.0 | 22.35                |
| 03/01/2018   | ***-**-8521 - ECKER, DAVID<br>ACCOUNT #: 00084671526     | AMERICAN FUNDS 2015 TARGET DATE-A<br>BUY 0 Units @0.0000 | 0.00                 | 95.95               | 0.00               | 95.95             | 80.0 | 76.76                |
| 03/01/2018   | ***-**-640I - SILVA, VICTOR<br>ACCOUNT #: 00087410616    | AMERICAN FUNDS 2020 TARGET DATE-A<br>BUY 0 Units @0.0000 | 0.00                 | 5.84                | 0.00               | 5.84              | 80.0 | 4.67                 |
| 03/01/2018   | ***-**-309I - PARENT, NANCY<br>ACCOUNT #: 00087513340    | AMERICAN FUNDS 2020 TARGET DATE-A<br>BUY 0 Units @0.0000 | 0.00                 | 5.66                | 0.00               | 5.66              | 80.0 | 4.53                 |
| 03/01/2018   | ***-**-3575 - LUCARELLI, DONNA<br>ACCOUNT #: 00085997645 | AMERICAN FUNDS 2025 TARGET DATE-A<br>BUY 0 Units @0.0000 | 0.00                 | 9.57                | 0.00               | 9.57              | 80.0 | 7.66                 |
| 03/01/2018   | ***-**-3231 - CAIZA, HILDA<br>ACCOUNT #: 00085997891     | AMERICAN FUNDS 2025 TARGET DATE-A<br>BUY 0 Units @0.0000 | 0.00                 | 9.82                | 0.00               | 9.82              | 80.0 | 7.86                 |
| 03/01/2018   | ***-**-94CL - FERRY, CLIENTS<br>ACCOUNT #: 00087410573   | AMERICAN FUNDS 2025 TARGET DATE-A<br>BUY 0 Units @0.0000 | 0.00                 | 4.56                | 0.00               | 4.56              | 80.0 | 3.65                 |
| 03/01/2018   | ***-**-595I - BROUSSARD, NICK<br>ACCOUNT #: 00085289342  | AMERICAN FUNDS 2030 TARGET DATE-A<br>BUY 0 Units @0.0000 | 0.00                 | 8.04                | 0.00               | 8.04              | 80.0 | 6.43                 |
| 03/01/2018   | ***-**-49SI - SEFERI, ERVINA<br>ACCOUNT #: 00086854788   | AMERICAN FUNDS 2030 TARGET DATE-A<br>BUY 0 Units @0.0000 | 0.00                 | 0.87                | 0.00               | 0.87              | 80.0 | 0.70                 |
| 03/01/2018   | ***-**-10SI - NDOJ, FRAN<br>ACCOUNT #: 00086854797       | AMERICAN FUNDS 2030 TARGET DATE-A<br>BUY 0 Units @0.0000 | 0.00                 | 0.52                | 0.00               | 0.52              | 80.0 | 0.42                 |
| 03/01/2018   | ***-**-373I - FONTES, JESSICA<br>ACCOUNT #: 00087410701  | AMERICAN FUNDS 2030 TARGET DATE-A<br>BUY 0 Units @0.0000 | 0.00                 | 4.09                | 0.00               | 4.09              | 80.0 | 3.27                 |
| 03/01/2018   | ***-**-111I - OJA, MARISSA<br>ACCOUNT #: 00087410497     | AMERICAN FUNDS 2035 TARGET DATE-A<br>BUY 0 Units @0.0000 | 0.00                 | 2.71                | 0.00               | 2.71              | 80.0 | 2.17                 |
| 03/01/2018   | ***-**-242I - KUNA, ANDRZEJ<br>ACCOUNT #: 00087410596    | AMERICAN FUNDS 2035 TARGET DATE-A<br>BUY 0 Units @0.0000 | 0.00                 | 2.46                | 0.00               | 2.46              | 80.0 | 1.97                 |
| 03/01/2018   | ***-**-202I - IVARRA, CARLOS<br>ACCOUNT #: 00088073721   | AMERICAN FUNDS 2035 TARGET DATE-A<br>BUY 0 Units @0.0000 | 0.00                 | 0.03                | 0.00               | 0.03              | 80.0 | 0.02                 |
| 03/01/2018   | ***-**-5975 - PAQUETTE, NICOLE<br>ACCOUNT #: 04000563724 | AMERICAN FUNDS 2035 TARGET DATE-A<br>BUY 0 Units @0.0000 | 0.00                 | 0.66                | 0.00               | 0.66              | 80.0 | 0.53                 |



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BROKER #: 180  
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| DATE   | CLIENT                         | INVESTMENT                        | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|--|--------------------------------|-----------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b>BROKER TRANSACTIONS (continued)</b>                       |                                |                                   |                      |                     |                    |                   |      |                      |
| <b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</b> |                                |                                   |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-2796 - ESTRELLA, JUDITH | AMERICAN FUNDS 2040 TARGET DATE-A | 0.00                 | 21.39               | 0.00               | 21.39             | 80.0 | 17.11                |
|  | ACCOUNT #: 00084671437         | BUY 0 Units @0.0000               |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-94CL - FERRY, CLIENTS   | AMERICAN FUNDS 2040 TARGET DATE-A | 0.00                 | 1.17                | 0.00               | 1.17              | 80.0 | 0.94                 |
|  | ACCOUNT #: 00087928423         | BUY 0 Units @0.0000               |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-6980 - ANDRADE,         | AMERICAN FUNDS 2045 TARGET DATE-A | 0.00                 | 1.44                | 0.00               | 1.44              | 80.0 | 1.15                 |
|  | ACCOUNT #: 00084670745         | BUY 0 Units @0.0000               |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-6931 - MILANO, ANTHONY  | AMERICAN FUNDS 2045 TARGET DATE-A | 0.00                 | 1.25                | 0.00               | 1.25              | 80.0 | 1.00                 |
|  | ACCOUNT #: 00084671439         | BUY 0 Units @0.0000               |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-235I - DASILVA, BRANDON | AMERICAN FUNDS 2045 TARGET DATE-A | 0.00                 | 2.62                | 0.00               | 2.62              | 80.0 | 2.10                 |
|  | ACCOUNT #: 00088073752         | BUY 0 Units @0.0000               |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-5461 - LUCIDO, NICOLE   | AMERICAN FUNDS 2045 TARGET DATE-A | 0.00                 | 0.17                | 0.00               | 0.17              | 80.0 | 0.14                 |
|  | ACCOUNT #: 00089895376         | BUY 0 Units @0.0000               |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-9258 - SANDOVAL,        | AMERICAN FUNDS 2045 TARGET DATE-A | 0.00                 | 0.11                | 0.00               | 0.11              | 80.0 | 0.09                 |
|  | ACCOUNT #: 04000234359         | BUY 0 Units @0.0000               |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-945P - MORIARTY,        | AMERICAN FUNDS 2050 TARGET DATE-A | 0.00                 | 65.09               | 0.00               | 65.09             | 80.0 | 52.07                |
|  | ACCOUNT #: 00081526588         | BUY 0 Units @0.0000               |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-6979 - ECKER, ASHLEY    | AMERICAN FUNDS 2050 TARGET DATE-A | 0.00                 | 14.03               | 0.00               | 14.03             | 80.0 | 11.22                |
|  | ACCOUNT #: 00084671531         | BUY 0 Units @0.0000               |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-829I - CARROLL, DANIEL  | AMERICAN FUNDS 2050 TARGET DATE-A | 0.00                 | 0.24                | 0.00               | 0.24              | 80.0 | 0.19                 |
|  | ACCOUNT #: 00088043836         | BUY 0 Units @0.0000               |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-950I - BACON, JENNIFER  | AMERICAN FUNDS 2050 TARGET DATE-A | 0.00                 | 3.10                | 0.00               | 3.10              | 80.0 | 2.48                 |
|  | ACCOUNT #: 00088073764         | BUY 0 Units @0.0000               |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-6923 - MELIN-MILES,     | AMERICAN FUNDS 2050 TARGET DATE-A | 0.00                 | 0.84                | 0.00               | 0.84              | 80.0 | 0.67                 |
|  | ACCOUNT #: 04000563702         | BUY 0 Units @0.0000               |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-896I - OJA, SASHA       | AMERICAN FUNDS 2055 TARGET DATE-A | 0.00                 | 0.36                | 0.00               | 0.36              | 80.0 | 0.29                 |
|  | ACCOUNT #: 00088073729         | BUY 0 Units @0.0000               |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-332I - EDWARDS, AMBER   | AMERICAN FUNDS 2055 TARGET DATE-A | 0.00                 | 0.06                | 0.00               | 0.06              | 80.0 | 0.05                 |
|  | ACCOUNT #: 00088075072         | BUY 0 Units @0.0000               |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-4480 - SEARS, COREY     | AMERICAN FUNDS 2055 TARGET DATE-A | 0.00                 | 0.27                | 0.00               | 0.27              | 80.0 | 0.22                 |
|  | ACCOUNT #: 00089895470         | BUY 0 Units @0.0000               |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-4327 - PHILLIPS, JAMES  | AMERICAN FUNDS 2060 TARGET DATE-A | 0.00                 | 0.11                | 0.00               | 0.11              | 80.0 | 0.09                 |
|  | ACCOUNT #: 04000234319         | BUY 0 Units @0.0000               |                      |                     |                    |                   |      |                      |



# COMMISSION STATEMENT

March 12, 2018

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327 Church Street  
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BROKER #: 180  
BRANCH #01001 - LifeMark Home Office

| DATE   | CLIENT                         | INVESTMENT                          | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|--|--------------------------------|-------------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b>BROKER TRANSACTIONS (continued)</b>                       |                                |                                     |                      |                     |                    |                   |      |                      |
| <b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</b> |                                |                                     |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-2856 - D'AMICO, TYLER   | AMERICAN FUNDS 2060 TARGET DATE-A   | 0.00                 | 0.10                | 0.00               | 0.10              | 80.0 | 0.08                 |
|  | ACCOUNT #: 04000234332         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-838I - TYSZKA, SEAN     | AMERICAN FUNDS 2060 TARGET DATE-A   | 0.00                 | 0.17                | 0.00               | 0.17              | 80.0 | 0.14                 |
|  | ACCOUNT #: 04000234338         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-1540 - FROSCENO, KAYLA  | AMERICAN FUNDS 2060 TARGET DATE-A   | 0.00                 | 0.24                | 0.00               | 0.24              | 80.0 | 0.19                 |
|  | ACCOUNT #: 04000234351         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-2954 - RESTO, NORBERTO  | AMERICAN FUNDS GRWTH & INCOME PORT  | 0.00                 | 1.67                | 0.00               | 1.67              | 80.0 | 1.34                 |
|  | ACCOUNT #: 00069029798         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-3307 - COUGHLAN, HARRY  | AMERICAN FUNDS GRWTH & INCOME PORT  | 0.00                 | 5.66                | 0.00               | 5.66              | 80.0 | 4.53                 |
|  | ACCOUNT #: 00084434107         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-0391 - HERNANDEZ,       | AMERICAN FUNDS GRWTH & INCOME PORT  | 0.00                 | 3.15                | 0.00               | 3.15              | 80.0 | 2.52                 |
|  | ACCOUNT #: 00085621852         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-245P - DUMAINE, ROBERT  | AMERICAN HIGH-INCOME TRUST-A        | 0.00                 | 3.88                | 0.00               | 3.88              | 80.0 | 3.10                 |
|  | ACCOUNT #: 00061840893         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-88SI - CROSSMAN, ROBERT | AMERICAN HIGH-INCOME TRUST-A        | 0.00                 | 1.16                | 0.00               | 1.16              | 80.0 | 0.93                 |
|  | ACCOUNT #: 00086854812         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-079I - HOEBEL, ROBERT   | AMERICAN HIGH-INCOME TRUST-A        | 0.00                 | 59.82               | 0.00               | 59.82             | 80.0 | 47.86                |
|  | ACCOUNT #: 00088173573         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-9465 - CARLSON HOLDINGS | AMERICAN MUTUAL FUND-A              | 0.00                 | 12.27               | 0.00               | 12.27             | 80.0 | 9.82                 |
|  | ACCOUNT #: 00063190266         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-88SI - CROSSMAN, ROBERT | AMERICAN MUTUAL FUND-A              | 0.00                 | 3.73                | 0.00               | 3.73              | 80.0 | 2.98                 |
|  | ACCOUNT #: 00086854812         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-761I - HUSTEK, PETER    | AMERICAN MUTUAL FUND-A              | 0.00                 | 2.28                | 0.00               | 2.28              | 80.0 | 1.82                 |
|  | ACCOUNT #: 00087410644         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-079I - HOEBEL, ROBERT   | AMERICAN MUTUAL FUND-A              | 0.00                 | 37.72               | 0.00               | 37.72             | 80.0 | 30.18                |
|  | ACCOUNT #: 00088173573         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-88SI - CROSSMAN, ROBERT | CAPITAL INCOME BUILDER-A            | 0.00                 | 1.37                | 0.00               | 1.37              | 80.0 | 1.10                 |
|  | ACCOUNT #: 00086854812         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-01IN - RAAD, PAMELA     | CAPITAL WORLD GROWTH AND INCOME FUN | 0.00                 | 0.51                | 0.00               | 0.51              | 80.0 | 0.41                 |
|  | ACCOUNT #: 00067297409         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-716I - PAPST, JASON     | CAPITAL WORLD GROWTH AND INCOME FUN | 0.00                 | 12.23               | 0.00               | 12.23             | 80.0 | 9.78                 |
|  | ACCOUNT #: 00067533376         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |



# COMMISSION STATEMENT

## March 12, 2018

JOSEPH FERRY  
327 Church Street  
Naugatuck, CT 06770

BROKER #: 180  
BRANCH #01001 - LifeMark Home Office

| DATE   | CLIENT                         | INVESTMENT                          | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|--|--------------------------------|-------------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b>BROKER TRANSACTIONS (continued)</b>                       |                                |                                     |                      |                     |                    |                   |      |                      |
| <b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</b> |                                |                                     |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-985P - PAPST, MEREDITH  | CAPITAL WORLD GROWTH AND INCOME FUN | 0.00                 | 2.79                | 0.00               | 2.79              | 80.0 | 2.23                 |
|  | ACCOUNT #: 00067807144         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/12/2018   | ***-**-235I - DASILVA, BRANDON | CHET ADVISOR 529 TRAILS             | 0.00                 | 87.46               | 0.00               | 87.46             | 80.0 | 69.97                |
|  | ACCOUNT #: 68701113601         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-9465 - CARLSON HOLDINGS | EUROPACIFIC GROWTH FUND-A           | 0.00                 | 15.66               | 0.00               | 15.66             | 80.0 | 12.53                |
|  | ACCOUNT #: 00063190266         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-761I - HUSTEK, PETER    | EUROPACIFIC GROWTH FUND-A           | 0.00                 | 2.20                | 0.00               | 2.20              | 80.0 | 1.76                 |
|  | ACCOUNT #: 00087410644         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-079I - HOEBEL, ROBERT   | FUNDAMENTAL INVESTORS-A             | 0.00                 | 40.79               | 0.00               | 40.79             | 80.0 | 32.63                |
|  | ACCOUNT #: 00088173573         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-065I - BURGIO, ENRICO   | INCOME FUND OF AMERICA CLASS C      | 0.00                 | 1.38                | 0.00               | 1.38              | 80.0 | 1.10                 |
|  | ACCOUNT #: 00086632520         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-035I - GRAZIOSA, CAROL  | INCOME FUND OF AMERICA CLASS C      | 0.00                 | 9.32                | 0.00               | 9.32              | 80.0 | 7.46                 |
|  | ACCOUNT #: 00087227576         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/12/2018   | ***-**-90IN - GAW, PATRICIA    | INVESCO AMERICAN FRANCHISE FUND -CL | 0.00                 | 7.85                | 0.00               | 7.85              | 80.0 | 6.28                 |
|  | ACCOUNT #: LSR011025           | BUY 1 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/12/2018   | ***-**-90IN - GAW, PATRICIA    | INVESCO VAN KAMPEN VALUE OPP CLASS  | 0.00                 | 3.06                | 0.00               | 3.06              | 80.0 | 2.45                 |
|  | ACCOUNT #: LSR011025           | BUY 1 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/12/2018   | ***-**-968X - GAW, LELAND      | MASSACHUSETTS INVESTORS TRUST-A     | 0.00                 | 5.74                | 0.00               | 5.74              | 80.0 | 4.59                 |
|  | ACCOUNT #: LSR010777           | BUY 1 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/12/2018   | ***-**-552I - FAMIGLIETTI,     | MASSACHUSETTS INVESTORS TRUST-A     | 0.00                 | 5.50                | 0.00               | 5.50              | 80.0 | 4.40                 |
|  | ACCOUNT #: LSR011127           | BUY 1 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/12/2018   | ***-**-968X - GAW, LELAND      | MFS LIMITED MATURITY FUND-A         | 0.00                 | 1.42                | 0.00               | 1.42              | 80.0 | 1.14                 |
|  | ACCOUNT #: LSR010777           | BUY 1 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/12/2018   | ***-**-552I - FAMIGLIETTI,     | MFS RESEARCH BOND FUND CLASS A      | 0.00                 | 1.26                | 0.00               | 1.26              | 80.0 | 1.01                 |
|  | ACCOUNT #: LSR011127           | BUY 1 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/12/2018   | ***-**-968X - GAW, LELAND      | MFS STRATEGIC INCOME FUND-A         | 0.00                 | 3.91                | 0.00               | 3.91              | 80.0 | 3.13                 |
|  | ACCOUNT #: LSR010777           | BUY 1 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/12/2018   | ***-**-552X - FAMIGLIETTI,     | MFS STRATEGIC INCOME FUND-A         | 0.00                 | 4.29                | 0.00               | 4.29              | 80.0 | 3.43                 |
|  | ACCOUNT #: LSR010780           | BUY 1 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-857I - MUNDO, DIANE     | NEW PERSPECTIVE FUND-A              | 0.00                 | 2.70                | 0.00               | 2.70              | 80.0 | 2.16                 |
|  | ACCOUNT #: 00075630059         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |



# COMMISSION STATEMENT

March 12, 2018

JOSEPH FERRY  
327 Church Street  
Naugatuck, CT 06770

BROKER #: 180  
BRANCH #01001 - LifeMark Home Office

| DATE   | CLIENT                         | INVESTMENT                          | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|--|--------------------------------|-------------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b>BROKER TRANSACTIONS (continued)</b>                       |                                |                                     |                      |                     |                    |                   |      |                      |
| <b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</b> |                                |                                     |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-079I - HOEBEL, ROBERT   | NEW PERSPECTIVE FUND-A              | 0.00                 | 19.19               | 0.00               | 19.19             | 80.0 | 15.35                |
|  | ACCOUNT #: 00088173573         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/12/2018   | ***-**-657Q - EDWARD SEGAL     | QUALIFIED PLAN SUMMARY              | 0.00                 | 338.89              | 0.00               | 338.89            | 80.0 | 271.12               |
|  | ACCOUNT #: 00670223965         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/12/2018   | ***-**-447I - BELVAL, PAUL     | SAMMONS MF TRAILS                   | 0.00                 | 72.02               | 0.00               | 72.02             | 80.0 | 57.62                |
|  | ACCOUNT #: 7200002672          | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/12/2018   | ***-**-057I - DASILVA, JOSE    | SAMMONS MF TRAILS                   | 0.00                 | 12.92               | 0.00               | 12.92             | 80.0 | 10.34                |
|  | ACCOUNT #: 7200010529          | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/12/2018   | ***-**-700I - NIHILL, TODD     | SAMMONS MF TRAILS                   | 0.00                 | 32.69               | 0.00               | 32.69             | 80.0 | 26.15                |
|  | ACCOUNT #: 7200019445          | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/12/2018   | ***-**-176I - RIOS, CARLOS     | SAMMONS MF TRAILS                   | 0.00                 | 13.71               | 0.00               | 13.71             | 80.0 | 10.97                |
|  | ACCOUNT #: 7200020442          | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/12/2018   | ***-**-358I - KALLIPOLITES,    | SAMMONS MF TRAILS                   | 0.00                 | 45.38               | 0.00               | 45.38             | 80.0 | 36.30                |
|  | ACCOUNT #: 7200022756          | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-9465 - CARLSON HOLDINGS | THE BOND FUND OF AMERICA-A          | 0.00                 | 55.21               | 0.00               | 55.21             | 80.0 | 44.17                |
|  | ACCOUNT #: 00063190266         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-975P - MATHISEN, PAUL   | THE BOND FUND OF AMERICA-A          | 0.00                 | 0.27                | 0.00               | 0.27              | 80.0 | 0.22                 |
|  | ACCOUNT #: 00073005489         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-065I - BURGIO, ENRICO   | THE BOND FUND OF AMERICA-C          | 0.00                 | 1.06                | 0.00               | 1.06              | 80.0 | 0.85                 |
|  | ACCOUNT #: 00086632520         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-9465 - CARLSON HOLDINGS | THE GROWTH FUND OF AMERICA-A        | 0.00                 | 96.49               | 0.00               | 96.49             | 80.0 | 77.19                |
|  | ACCOUNT #: 00063190266         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-857I - MUNDO, DIANE     | THE GROWTH FUND OF AMERICA-A        | 0.00                 | 2.75                | 0.00               | 2.75              | 80.0 | 2.20                 |
|  | ACCOUNT #: 00075630059         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-975P - MATHISEN, PAUL   | THE INCOME FUND OF AMERICA-A        | 0.00                 | 0.24                | 0.00               | 0.24              | 80.0 | 0.19                 |
|  | ACCOUNT #: 00073005489         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-079I - HOEBEL, ROBERT   | THE INCOME FUND OF AMERICA-A        | 0.00                 | 101.47              | 0.00               | 101.47            | 80.0 | 81.18                |
|  | ACCOUNT #: 00088173573         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-9465 - CARLSON HOLDINGS | THE INVESTMENT COMPANY OF AMERICA-A | 0.00                 | 116.85              | 0.00               | 116.85            | 80.0 | 93.48                |
|  | ACCOUNT #: 00063190266         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-857I - MUNDO, DIANE     | THE INVESTMENT COMPANY OF AMERICA-A | 0.00                 | 2.58                | 0.00               | 2.58              | 80.0 | 2.06                 |
|  | ACCOUNT #: 00075630059         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |



# COMMISSION STATEMENT

March 12, 2018

JOSEPH FERRY  
327 Church Street  
Naugatuck, CT 06770

BROKER #: 180  
BRANCH #01001 - LifeMark Home Office

| DATE   | CLIENT  | INVESTMENT   | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|--|---|--|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b>BROKER TRANSACTIONS (continued)</b>                       |   |  |                      |                     |                    |                   |      |                      |
| <b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</b> |   |  |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-77IN - JARVIS, DEVIN<br>ACCOUNT #: 00933494603   | THE INVESTMENT COMPANY OF AMERICA-A<br>BUY 0 Units @0.0000 | 0.00                 | 24.74               | 0.00               | 24.74             | 80.0 | 19.79                |
| 03/01/2018   | ***-**-01IN - RAAD, PAMELA<br>ACCOUNT #: 00067297409    | U.S. GOVERNMENT SECURITIES FUND CLA<br>BUY 0 Units @0.0000 | 0.00                 | 0.27                | 0.00               | 0.27              | 80.0 | 0.22                 |
| 03/01/2018   | ***-**-716I - PAPST, JASON<br>ACCOUNT #: 00067533376    | U.S. GOVERNMENT SECURITIES FUND CLA<br>BUY 0 Units @0.0000 | 0.00                 | 9.81                | 0.00               | 9.81              | 80.0 | 7.85                 |
| 03/01/2018   | ***-**-985P - PAPST, MEREDITH<br>ACCOUNT #: 00067807144 | U.S. GOVERNMENT SECURITIES FUND CLA<br>BUY 0 Units @0.0000 | 0.00                 | 1.83                | 0.00               | 1.83              | 80.0 | 1.46                 |
| 03/01/2018   | ***-**-875P - SHIMUNOV, ILICH<br>ACCOUNT #: 00081805810 | U.S. GOVERNMENT SECURITIES FUND CLA<br>BUY 0 Units @0.0000 | 0.00                 | 18.01               | 0.00               | 18.01             | 80.0 | 14.41                |
| 03/01/2018   | ***-**-079I - HOEBEL, ROBERT<br>ACCOUNT #: 00088173573  | U.S. GOVERNMENT SECURITIES FUND CLA<br>BUY 0 Units @0.0000 | 0.00                 | 56.17               | 0.00               | 56.17             | 80.0 | 44.94                |
| 03/01/2018   | ***-**-035I - GRAZIOSA, CAROL<br>ACCOUNT #: 00087227576 | U.S. GOVERNMENT SECURITIES FUND-C<br>BUY 0 Units @0.0000   | 0.00                 | 6.44                | 0.00               | 6.44              | 80.0 | 5.15                 |
| 03/01/2018   | ***-**-245P - DUMAINE, ROBERT<br>ACCOUNT #: 00061840893 | WASHINGTON MUTUAL INVESTORS FUND-A<br>BUY 0 Units @0.0000  | 0.00                 | 4.52                | 0.00               | 4.52              | 80.0 | 3.62                 |
| 03/01/2018   | ***-**-01IN - RAAD, PAMELA<br>ACCOUNT #: 00067297409    | WASHINGTON MUTUAL INVESTORS FUND-A<br>BUY 0 Units @0.0000  | 0.00                 | 0.36                | 0.00               | 0.36              | 80.0 | 0.29                 |
| 03/01/2018   | ***-**-716I - PAPST, JASON<br>ACCOUNT #: 00067533376    | WASHINGTON MUTUAL INVESTORS FUND-A<br>BUY 0 Units @0.0000  | 0.00                 | 12.22               | 0.00               | 12.22             | 80.0 | 9.78                 |
| 03/01/2018   | ***-**-985P - PAPST, MEREDITH<br>ACCOUNT #: 00067807144 | WASHINGTON MUTUAL INVESTORS FUND-A<br>BUY 0 Units @0.0000  | 0.00                 | 2.93                | 0.00               | 2.93              | 80.0 | 2.34                 |
| 03/01/2018   | ***-**-975P - MATHISEN, PAUL<br>ACCOUNT #: 00073005489  | WASHINGTON MUTUAL INVESTORS FUND-A<br>BUY 0 Units @0.0000  | 0.00                 | 0.07                | 0.00               | 0.07              | 80.0 | 0.06                 |
| 03/01/2018   | ***-**-857I - MUNDO, DIANE<br>ACCOUNT #: 00075630059    | WASHINGTON MUTUAL INVESTORS FUND-A<br>BUY 0 Units @0.0000  | 0.00                 | 2.49                | 0.00               | 2.49              | 80.0 | 1.99                 |
| <b>* MUTUAL FUND 12B1 TRAILS SUBTOTAL *</b>                  |   |  | <b>\$0.00</b>        | <b>\$2,283.01</b>   | <b>\$0.00</b>      | <b>\$2,283.01</b> |      | <b>\$1,826.46</b>    |
| <b>*** BROKER TRANSACTIONS TOTAL ***</b>                     |   |  | <b>\$7,468.60</b>    | <b>\$2,425.77</b>   | <b>\$3.00</b>      | <b>\$2,422.77</b> |      | <b>\$1,938.24</b>    |



BROKER #: 180  
BRANCH #01001 - LifeMark Home Office

| DATE   | CLIENT | INVESTMENT | AMOUNT | GROSS COMMISSION | CLEARING CHARGE       | NET COMMISSION | RATE | BROKER COMMISSION |
|--|--------|------------|--------|------------------|-----------------------|----------------|------|-------------------|
| <div>BROKER COMMISSION TOTALS</div>                                    |        |            |        |                  |                       |                |      |                   |
|  |        |            |        |                  | Broker Transactions   |                |      | \$1,675.30        |
|  |        |            |        |                  | Split Transactions    |                |      | \$0.00            |
|  |        |            |        |                  | Override Transactions |                |      | \$0.00            |
|  |        |            |        |                  | Adjustments           |                |      | \$0.00            |
|  |        |            |        |                  | Payroll Draw          |                |      | \$0.00            |
|  |        |            |        |                  | Base Salary           |                |      | \$0.00            |
|  |        |            |        |                  | Prior Period Balance  |                |      | \$0.00            |
|  |        |            |        |                  | FINRA Assessment      |                |      | \$0.00            |
|  |        |            |        |                  | SIPC Assessment       |                |      | \$0.00            |
| Please Retain for Your Records<br>THERE WILL BE NO PAYMENT THIS PERIOD |        |            |        |                  | Balance Forward       |                |      | \$0.00            |
|  |        |            |        |                  | Year-to-date Earnings |                |      | \$0.00            |



# COMMISSION STATEMENT

March 12, 2018

WILLIAM FRANCIS  
2 Bobrick Road  
Poughkeepsie, NY 12601

BROKER #: A88  
BRANCH #01001 - LifeMark Home Office

| DATE   | CLIENT  | INVESTMENT  | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|--|---|---|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b><u>BROKER TRANSACTIONS</u></b>            |   |   |                      |                     |                    |                   |      |                      |
| <b><u>PRODUCT CATEGORY: MUTUAL FUNDS</u></b> |   |   |                      |                     |                    |                   |      |                      |
| 02/27/2018                                   | ***-**-3672 - KAN, HEATHER<br>ACCOUNT #: 04000740312  | AMERICAN FUNDS 2040 TARGET DATE-A<br>BUY 5 Units @16.4400     | 75.02                | 3.19                | 0.00               | 3.19              | 70.0 | 2.23                 |
| 02/27/2018                                   | ***-**-3672 - KAN, HEATHER<br>ACCOUNT #: 04000740312  | AMERICAN FUNDS 2040 TARGET DATE-A<br>BUY 5 Units @16.4400     | 75.02                | 3.19                | 0.00               | 3.19              | 70.0 | 2.23                 |
| 02/27/2018                                   | ***-**-3672 - KAN, HEATHER<br>ACCOUNT #: 04000740312  | AMERICAN FUNDS 2040 TARGET DATE-A<br>BUY 5 Units @16.4400     | 75.00                | 3.19                | 0.00               | 3.19              | 70.0 | 2.23                 |
| 02/27/2018                                   | ***-**-3672 - KAN, HEATHER<br>ACCOUNT #: 04000740312  | AMERICAN FUNDS 2040 TARGET DATE-A<br>BUY 5 Units @16.4400     | 75.00                | 3.19                | 0.00               | 3.19              | 70.0 | 2.23                 |
| 03/05/2018                                   | ***-**-943J - DAILY, MATTHEW<br>ACCOUNT #: LSR011610  | AMERICAN FUNDS TAX ADVANTGED INC PO<br>BUY 18 Units @14.1300  | 250.00               | 7.50                | 0.00               | 7.50              | 70.0 | 5.25                 |
| 03/06/2018                                   | ***-**-439I - DAILY, RONI<br>ACCOUNT #: LSR012499     | AMERICAN MUTUAL FUND-A<br>BUY 796 Units @42.5300              | 33,850.01            | 930.87              | 18.00              | 912.87            | 70.0 | 639.01               |
| 02/27/2018                                   | ***-**-6878 - KACUR, JUSTIN<br>ACCOUNT #: 00088824619 | CAPITAL WORLD BOND FUND-A<br>BUY 1 Units @20.9400             | 29.53                | 0.89                | 0.00               | 0.89              | 70.0 | 0.62                 |
| 02/27/2018                                   | ***-**-6878 - KACUR, JUSTIN<br>ACCOUNT #: 00088824619 | CAPITAL WORLD BOND FUND-A<br>BUY 0 Units @20.9400             | 5.54                 | 0.17                | 0.00               | 0.17              | 70.0 | 0.12                 |
| 02/27/2018                                   | ***-**-6878 - KACUR, JUSTIN<br>ACCOUNT #: 00088824619 | CAPITAL WORLD BOND FUND-A<br>BUY 1 Units @20.9400             | 29.53                | 0.89                | 0.00               | 0.89              | 70.0 | 0.62                 |
| 02/27/2018                                   | ***-**-6878 - KACUR, JUSTIN<br>ACCOUNT #: 00088824619 | CAPITAL WORLD BOND FUND-A<br>BUY 0 Units @20.9400             | 5.54                 | 0.17                | 0.00               | 0.17              | 70.0 | 0.12                 |
| 02/27/2018                                   | ***-**-6878 - KACUR, JUSTIN<br>ACCOUNT #: 00088824619 | CAPITAL WORLD GROWTH AND INCOME FUN<br>BUY 2 Units @55.6100   | 132.92               | 5.65                | 0.00               | 5.65              | 70.0 | 3.96                 |
| 02/27/2018                                   | ***-**-6878 - KACUR, JUSTIN<br>ACCOUNT #: 00088824619 | CAPITAL WORLD GROWTH AND INCOME FUN<br>BUY 0 Units @55.6100   | 24.92                | 1.06                | 0.00               | 1.06              | 70.0 | 0.74                 |
| 02/27/2018                                   | ***-**-6878 - KACUR, JUSTIN<br>ACCOUNT #: 00088824619 | CAPITAL WORLD GROWTH AND INCOME FUN<br>BUY 2 Units @55.6100   | 132.92               | 5.65                | 0.00               | 5.65              | 70.0 | 3.96                 |
| 02/27/2018                                   | ***-**-6878 - KACUR, JUSTIN<br>ACCOUNT #: 00088824619 | CAPITAL WORLD GROWTH AND INCOME FUN<br>BUY 0 Units @55.6100   | 24.92                | 1.06                | 0.00               | 1.06              | 70.0 | 0.74                 |
| 03/06/2018                                   | ***-**-439I - DAILY, RONI<br>ACCOUNT #: LSR012499     | CAPITAL WORLD GROWTH AND INCOME FUN<br>BUY 312 Units @54.2800 | 16,924.99            | 465.43              | 18.00              | 447.43            | 70.0 | 313.20               |
| 02/27/2018                                   | ***-**-6878 - KACUR, JUSTIN<br>ACCOUNT #: 00088824619 | EUROPACIFIC GROWTH FUND-A<br>BUY 0 Units @60.8900             | 8.31                 | 0.35                | 0.00               | 0.35              | 70.0 | 0.25                 |





# COMMISSION STATEMENT

March 12, 2018

WILLIAM FRANCIS  
2 Bobrick Road  
Poughkeepsie, NY 12601

BROKER #: A88  
BRANCH #01001 - LifeMark Home Office

| DATE  | CLIENT                        | INVESTMENT                         | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|---|-------------------------------|------------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b>BROKER TRANSACTIONS (continued)</b>            |                               |                                    |                      |                     |                    |                   |      |                      |
| <b>PRODUCT CATEGORY: MUTUAL FUNDS (continued)</b> |                               |                                    |                      |                     |                    |                   |      |                      |
| 02/27/2018  | ***-**-6878 - KACUR, JUSTIN   | EUROPACIFIC GROWTH FUND-A          | 44.31                | 1.88                | 0.00               | 1.88              | 70.0 | 1.32                 |
|   | ACCOUNT #: 00088824619        | BUY 1 Units @60.8900               |                      |                     |                    |                   |      |                      |
| 02/27/2018  | ***-**-6878 - KACUR, JUSTIN   | EUROPACIFIC GROWTH FUND-A          | 44.31                | 1.88                | 0.00               | 1.88              | 70.0 | 1.32                 |
|   | ACCOUNT #: 00088824619        | BUY 1 Units @60.8900               |                      |                     |                    |                   |      |                      |
| 02/27/2018  | ***-**-6878 - KACUR, JUSTIN   | EUROPACIFIC GROWTH FUND-A          | 8.31                 | 0.35                | 0.00               | 0.35              | 70.0 | 0.25                 |
|   | ACCOUNT #: 00088824619        | BUY 0 Units @60.8900               |                      |                     |                    |                   |      |                      |
| 02/20/2018  | ***-**-0485 - WHALEN, STEPHEN | FEDERATED 31421R841                | 50.00                | 2.50                | 0.00               | 2.50              | 70.0 | 1.75                 |
|   | ACCOUNT #: 06090486215        | BUY 3 Units @19.9800               |                      |                     |                    |                   |      |                      |
| 02/27/2018  | ***-**-8526 - O'LEARY, MARY   | FUNDAMENTAL INVESTORS-C            | 22.00                | 0.22                | 0.00               | 0.22              | 70.0 | 0.15                 |
|   | ACCOUNT #: 04000234328        | BUY 0 Units @63.6400               |                      |                     |                    |                   |      |                      |
| 02/27/2018  | ***-**-8526 - O'LEARY, MARY   | FUNDAMENTAL INVESTORS-C            | 6.60                 | 0.07                | 0.00               | 0.07              | 70.0 | 0.05                 |
|   | ACCOUNT #: 04000234328        | BUY 0 Units @63.6400               |                      |                     |                    |                   |      |                      |
| 02/27/2018  | ***-**-8526 - O'LEARY, MARY   | FUNDAMENTAL INVESTORS-C            | 16.00                | 0.16                | 0.00               | 0.16              | 70.0 | 0.11                 |
|   | ACCOUNT #: 04000234328        | BUY 0 Units @63.6400               |                      |                     |                    |                   |      |                      |
| 02/27/2018  | ***-**-8526 - O'LEARY, MARY   | FUNDAMENTAL INVESTORS-C            | 4.80                 | 0.05                | 0.00               | 0.05              | 70.0 | 0.04                 |
|   | ACCOUNT #: 04000234328        | BUY 0 Units @63.6400               |                      |                     |                    |                   |      |                      |
| 02/20/2018  | ***-**-8034 - DEBONIS, ALBERT | MAINSTAY CONSERVATIV ALLOCATION CL | 138.12               | 2.76                | 0.00               | 2.76              | 70.0 | 1.93                 |
|   | ACCOUNT #: 00011265210        | BUY 11 Units @12.5500              |                      |                     |                    |                   |      |                      |
| 02/20/2018  | ***-**-8034 - DEBONIS, ALBERT | MAINSTAY CONSERVATIV ALLOCATION CL | 865.58               | 17.31               | 0.00               | 17.31             | 70.0 | 12.12                |
|   | ACCOUNT #: 00011265210        | BUY 69 Units @12.5500              |                      |                     |                    |                   |      |                      |
| 02/20/2018  | ***-**-8034 - DEBONIS, ALBERT | MAINSTAY CONSERVATIV ALLOCATION CL | 138.12               | 2.76                | 0.00               | 2.76              | 70.0 | 1.93                 |
|   | ACCOUNT #: 00011265210        | BUY 11 Units @12.5500              |                      |                     |                    |                   |      |                      |
| 02/20/2018  | ***-**-8034 - DEBONIS, ALBERT | MAINSTAY CONSERVATIV ALLOCATION CL | 865.58               | 17.31               | 0.00               | 17.31             | 70.0 | 12.12                |
|   | ACCOUNT #: 00011265210        | BUY 69 Units @12.5500              |                      |                     |                    |                   |      |                      |
| 02/20/2018  | ***-**-8034 - DEBONIS, ALBERT | MAINSTAY CONSERVATIV ALLOCATION CL | 138.12               | 2.76                | 0.00               | 2.76              | 70.0 | 1.93                 |
|   | ACCOUNT #: 00011265210        | BUY 11 Units @12.5500              |                      |                     |                    |                   |      |                      |
| 02/20/2018  | ***-**-8034 - DEBONIS, ALBERT | MAINSTAY CONSERVATIV ALLOCATION CL | 865.58               | 17.31               | 0.00               | 17.31             | 70.0 | 12.12                |
|   | ACCOUNT #: 00011265210        | BUY 69 Units @12.5500              |                      |                     |                    |                   |      |                      |
| 02/20/2018  | ***-**-8034 - DEBONIS, ALBERT | MAINSTAY CONSERVATIV ALLOCATION CL | 138.12               | 2.76                | 0.00               | 2.76              | 70.0 | 1.93                 |
|   | ACCOUNT #: 00011265210        | BUY 11 Units @12.5500              |                      |                     |                    |                   |      |                      |
| 02/20/2018  | ***-**-8034 - DEBONIS, ALBERT | MAINSTAY CONSERVATIV ALLOCATION CL | 865.58               | 17.31               | 0.00               | 17.31             | 70.0 | 12.12                |
|   | ACCOUNT #: 00011265210        | BUY 69 Units @12.5500              |                      |                     |                    |                   |      |                      |



# COMMISSION STATEMENT

March 12, 2018

WILLIAM FRANCIS  
2 Bobrick Road  
Poughkeepsie, NY 12601

BROKER #: A88  
BRANCH #01001 - LifeMark Home Office

| DATE  | CLIENT                        | INVESTMENT                         | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|---|-------------------------------|------------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b>BROKER TRANSACTIONS (continued)</b>            |                               |                                    |                      |                     |                    |                   |      |                      |
| <b>PRODUCT CATEGORY: MUTUAL FUNDS (continued)</b> |                               |                                    |                      |                     |                    |                   |      |                      |
| 02/20/2018  | ***-**-8034 - DEBONIS, ALBERT | MAINSTAY CONSERVATIV ALLOCATION CL | 138.12               | 2.76                | 0.00               | 2.76              | 70.0 | 1.93                 |
|   | ACCOUNT #: 00011265210        | BUY 11 Units @12.5500              |                      |                     |                    |                   |      |                      |
| 02/20/2018  | ***-**-8034 - DEBONIS, ALBERT | MAINSTAY CONSERVATIV ALLOCATION CL | 334.79               | 6.70                | 0.00               | 6.70              | 70.0 | 4.69                 |
|   | ACCOUNT #: 00011265210        | BUY 27 Units @12.5500              |                      |                     |                    |                   |      |                      |
| 02/20/2018  | ***-**-8034 - DEBONIS, ALBERT | MAINSTAY CONSERVATIV ALLOCATION CL | 138.12               | 2.76                | 0.00               | 2.76              | 70.0 | 1.93                 |
|   | ACCOUNT #: 00011265210        | BUY 11 Units @12.5500              |                      |                     |                    |                   |      |                      |
| 02/20/2018  | ***-**-8034 - DEBONIS, ALBERT | MAINSTAY CONSERVATIV ALLOCATION CL | 865.58               | 17.31               | 0.00               | 17.31             | 70.0 | 12.12                |
|   | ACCOUNT #: 00011265210        | BUY 69 Units @12.5500              |                      |                     |                    |                   |      |                      |
| 02/20/2018  | ***-**-8034 - DEBONIS, ALBERT | MAINSTAY CONSERVATIV ALLOCATION CL | 138.12               | 2.76                | 0.00               | 2.76              | 70.0 | 1.93                 |
|   | ACCOUNT #: 00011265210        | BUY 11 Units @12.5500              |                      |                     |                    |                   |      |                      |
| 02/20/2018  | ***-**-8034 - DEBONIS, ALBERT | MAINSTAY CONSERVATIV ALLOCATION CL | 865.58               | 17.31               | 0.00               | 17.31             | 70.0 | 12.12                |
|   | ACCOUNT #: 00011265210        | BUY 69 Units @12.5500              |                      |                     |                    |                   |      |                      |
| 02/20/2018  | ***-**-6717 - DEBONIS, BRENDA | MAINSTAY CONSERVATIV ALLOCATION CL | 59.72                | 2.84                | 0.00               | 2.84              | 70.0 | 1.99                 |
|   | ACCOUNT #: 00011265204        | BUY 5 Units @12.9500               |                      |                     |                    |                   |      |                      |
| 02/20/2018  | ***-**-6717 - DEBONIS, BRENDA | MAINSTAY CONSERVATIV ALLOCATION CL | 552.50               | 26.24               | 0.00               | 26.24             | 70.0 | 18.37                |
|   | ACCOUNT #: 00011265204        | BUY 43 Units @12.9500              |                      |                     |                    |                   |      |                      |
| 02/20/2018  | ***-**-6717 - DEBONIS, BRENDA | MAINSTAY CONSERVATIV ALLOCATION CL | 59.72                | 2.84                | 0.00               | 2.84              | 70.0 | 1.99                 |
|   | ACCOUNT #: 00011265204        | BUY 5 Units @12.9500               |                      |                     |                    |                   |      |                      |
| 02/20/2018  | ***-**-6717 - DEBONIS, BRENDA | MAINSTAY CONSERVATIV ALLOCATION CL | 552.50               | 26.24               | 0.00               | 26.24             | 70.0 | 18.37                |
|   | ACCOUNT #: 00011265204        | BUY 43 Units @12.9500              |                      |                     |                    |                   |      |                      |
| 02/20/2018  | ***-**-6717 - DEBONIS, BRENDA | MAINSTAY CONSERVATIV ALLOCATION CL | 59.72                | 2.84                | 0.00               | 2.84              | 70.0 | 1.99                 |
|   | ACCOUNT #: 00011265204        | BUY 5 Units @12.9500               |                      |                     |                    |                   |      |                      |
| 02/20/2018  | ***-**-6717 - DEBONIS, BRENDA | MAINSTAY CONSERVATIV ALLOCATION CL | 552.50               | 26.24               | 0.00               | 26.24             | 70.0 | 18.37                |
|   | ACCOUNT #: 00011265204        | BUY 43 Units @12.9500              |                      |                     |                    |                   |      |                      |
| 02/20/2018  | ***-**-6717 - DEBONIS, BRENDA | MAINSTAY CONSERVATIV ALLOCATION CL | 59.72                | 2.84                | 0.00               | 2.84              | 70.0 | 1.99                 |
|   | ACCOUNT #: 00011265204        | BUY 5 Units @12.9500               |                      |                     |                    |                   |      |                      |
| 02/20/2018  | ***-**-6717 - DEBONIS, BRENDA | MAINSTAY CONSERVATIV ALLOCATION CL | 552.50               | 26.24               | 0.00               | 26.24             | 70.0 | 18.37                |
|   | ACCOUNT #: 00011265204        | BUY 43 Units @12.9500              |                      |                     |                    |                   |      |                      |
| 02/20/2018  | ***-**-6717 - DEBONIS, BRENDA | MAINSTAY CONSERVATIV ALLOCATION CL | 59.72                | 2.84                | 0.00               | 2.84              | 70.0 | 1.99                 |
|   | ACCOUNT #: 00011265204        | BUY 5 Units @12.9500               |                      |                     |                    |                   |      |                      |
| 02/20/2018  | ***-**-6717 - DEBONIS, BRENDA | MAINSTAY CONSERVATIV ALLOCATION CL | 552.50               | 26.24               | 0.00               | 26.24             | 70.0 | 18.37                |
|   | ACCOUNT #: 00011265204        | BUY 43 Units @12.9500              |                      |                     |                    |                   |      |                      |



# COMMISSION STATEMENT

March 12, 2018

WILLIAM FRANCIS  
2 Bobrick Road  
Poughkeepsie, NY 12601

BROKER #: A88  
BRANCH #01001 - LifeMark Home Office

| DATE  | CLIENT                        | INVESTMENT                         | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|---|-------------------------------|------------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b>BROKER TRANSACTIONS (continued)</b>            |                               |                                    |                      |                     |                    |                   |      |                      |
| <b>PRODUCT CATEGORY: MUTUAL FUNDS (continued)</b> |                               |                                    |                      |                     |                    |                   |      |                      |
| 02/20/2018  | ***-**-6717 - DEBONIS, BRENDA | MAINSTAY CONSERVATIV ALLOCATION CL | 59.72                | 2.84                | 0.00               | 2.84              | 70.0 | 1.99                 |
|   | ACCOUNT #: 00011265204        | BUY 5 Units @12.9500               |                      |                     |                    |                   |      |                      |
| 02/20/2018  | ***-**-6717 - DEBONIS, BRENDA | MAINSTAY CONSERVATIV ALLOCATION CL | 552.50               | 26.24               | 0.00               | 26.24             | 70.0 | 18.37                |
|   | ACCOUNT #: 00011265204        | BUY 43 Units @12.9500              |                      |                     |                    |                   |      |                      |
| 02/20/2018  | ***-**-6717 - DEBONIS, BRENDA | MAINSTAY CONSERVATIV ALLOCATION CL | 59.72                | 2.84                | 0.00               | 2.84              | 70.0 | 1.99                 |
|   | ACCOUNT #: 00011265204        | BUY 5 Units @12.9500               |                      |                     |                    |                   |      |                      |
| 02/20/2018  | ***-**-6717 - DEBONIS, BRENDA | MAINSTAY CONSERVATIV ALLOCATION CL | 552.50               | 26.24               | 0.00               | 26.24             | 70.0 | 18.37                |
|   | ACCOUNT #: 00011265204        | BUY 43 Units @12.9500              |                      |                     |                    |                   |      |                      |
| 02/20/2018  | ***-**-8034 - DEBONIS, ALBERT | MAINSTAY MODERATE ALLOCATION CL A  | 74.38                | 1.49                | 0.00               | 1.49              | 70.0 | 1.04                 |
|   | ACCOUNT #: 00011265210        | BUY 5 Units @14.1400               |                      |                     |                    |                   |      |                      |
| 02/20/2018  | ***-**-8034 - DEBONIS, ALBERT | MAINSTAY MODERATE ALLOCATION CL A  | 466.08               | 9.32                | 0.00               | 9.32              | 70.0 | 6.52                 |
|   | ACCOUNT #: 00011265210        | BUY 33 Units @14.1400              |                      |                     |                    |                   |      |                      |
| 02/20/2018  | ***-**-8034 - DEBONIS, ALBERT | MAINSTAY MODERATE ALLOCATION CL A  | 74.38                | 1.49                | 0.00               | 1.49              | 70.0 | 1.04                 |
|   | ACCOUNT #: 00011265210        | BUY 5 Units @14.1400               |                      |                     |                    |                   |      |                      |
| 02/20/2018  | ***-**-8034 - DEBONIS, ALBERT | MAINSTAY MODERATE ALLOCATION CL A  | 466.08               | 9.32                | 0.00               | 9.32              | 70.0 | 6.52                 |
|   | ACCOUNT #: 00011265210        | BUY 33 Units @14.1400              |                      |                     |                    |                   |      |                      |
| 02/20/2018  | ***-**-8034 - DEBONIS, ALBERT | MAINSTAY MODERATE ALLOCATION CL A  | 74.38                | 1.49                | 0.00               | 1.49              | 70.0 | 1.04                 |
|   | ACCOUNT #: 00011265210        | BUY 5 Units @14.1400               |                      |                     |                    |                   |      |                      |
| 02/20/2018  | ***-**-8034 - DEBONIS, ALBERT | MAINSTAY MODERATE ALLOCATION CL A  | 466.08               | 9.32                | 0.00               | 9.32              | 70.0 | 6.52                 |
|   | ACCOUNT #: 00011265210        | BUY 33 Units @14.1400              |                      |                     |                    |                   |      |                      |
| 02/20/2018  | ***-**-8034 - DEBONIS, ALBERT | MAINSTAY MODERATE ALLOCATION CL A  | 74.38                | 1.49                | 0.00               | 1.49              | 70.0 | 1.04                 |
|   | ACCOUNT #: 00011265210        | BUY 5 Units @14.1400               |                      |                     |                    |                   |      |                      |
| 02/20/2018  | ***-**-8034 - DEBONIS, ALBERT | MAINSTAY MODERATE ALLOCATION CL A  | 180.27               | 3.61                | 0.00               | 3.61              | 70.0 | 2.53                 |
|   | ACCOUNT #: 00011265210        | BUY 13 Units @14.1400              |                      |                     |                    |                   |      |                      |
| 02/20/2018  | ***-**-8034 - DEBONIS, ALBERT | MAINSTAY MODERATE ALLOCATION CL A  | 74.38                | 1.49                | 0.00               | 1.49              | 70.0 | 1.04                 |
|   | ACCOUNT #: 00011265210        | BUY 5 Units @14.1400               |                      |                     |                    |                   |      |                      |
| 02/20/2018  | ***-**-8034 - DEBONIS, ALBERT | MAINSTAY MODERATE ALLOCATION CL A  | 466.08               | 9.32                | 0.00               | 9.32              | 70.0 | 6.52                 |
|   | ACCOUNT #: 00011265210        | BUY 33 Units @14.1400              |                      |                     |                    |                   |      |                      |



# COMMISSION STATEMENT

March 12, 2018

WILLIAM FRANCIS  
2 Bobrick Road  
Poughkeepsie, NY 12601

BROKER #: A88  
BRANCH #01001 - LifeMark Home Office

| DATE  | CLIENT                        | INVESTMENT                        | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|---|-------------------------------|-----------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b>BROKER TRANSACTIONS (continued)</b>            |                               |                                   |                      |                     |                    |                   |      |                      |
| <b>PRODUCT CATEGORY: MUTUAL FUNDS (continued)</b> |                               |                                   |                      |                     |                    |                   |      |                      |
| 02/20/2018  | ***-**-8034 - DEBONIS, ALBERT | MAINSTAY MODERATE ALLOCATION CL A | 74.38                | 1.49                | 0.00               | 1.49              | 70.0 | 1.04                 |
|   | ACCOUNT #: 00011265210        | BUY 5 Units @14.1400              |                      |                     |                    |                   |      |                      |
| 02/20/2018  | ***-**-8034 - DEBONIS, ALBERT | MAINSTAY MODERATE ALLOCATION CL A | 466.08               | 9.32                | 0.00               | 9.32              | 70.0 | 6.52                 |
|   | ACCOUNT #: 00011265210        | BUY 33 Units @14.1400             |                      |                     |                    |                   |      |                      |
| 02/20/2018  | ***-**-6717 - DEBONIS, BRENDA | MAINSTAY MODERATE ALLOCATION CL A | 32.16                | 1.53                | 0.00               | 1.53              | 70.0 | 1.07                 |
|   | ACCOUNT #: 00011265204        | BUY 2 Units @14.5900              |                      |                     |                    |                   |      |                      |
| 02/20/2018  | ***-**-6717 - DEBONIS, BRENDA | MAINSTAY MODERATE ALLOCATION CL A | 297.50               | 14.13               | 0.00               | 14.13             | 70.0 | 9.89                 |
|   | ACCOUNT #: 00011265204        | BUY 20 Units @14.5900             |                      |                     |                    |                   |      |                      |
| 02/20/2018  | ***-**-6717 - DEBONIS, BRENDA | MAINSTAY MODERATE ALLOCATION CL A | 32.16                | 1.53                | 0.00               | 1.53              | 70.0 | 1.07                 |
|   | ACCOUNT #: 00011265204        | BUY 2 Units @14.5900              |                      |                     |                    |                   |      |                      |
| 02/20/2018  | ***-**-6717 - DEBONIS, BRENDA | MAINSTAY MODERATE ALLOCATION CL A | 297.50               | 14.13               | 0.00               | 14.13             | 70.0 | 9.89                 |
|   | ACCOUNT #: 00011265204        | BUY 20 Units @14.5900             |                      |                     |                    |                   |      |                      |
| 02/20/2018  | ***-**-6717 - DEBONIS, BRENDA | MAINSTAY MODERATE ALLOCATION CL A | 32.16                | 1.53                | 0.00               | 1.53              | 70.0 | 1.07                 |
|   | ACCOUNT #: 00011265204        | BUY 2 Units @14.5900              |                      |                     |                    |                   |      |                      |
| 02/20/2018  | ***-**-6717 - DEBONIS, BRENDA | MAINSTAY MODERATE ALLOCATION CL A | 297.50               | 14.13               | 0.00               | 14.13             | 70.0 | 9.89                 |
|   | ACCOUNT #: 00011265204        | BUY 20 Units @14.5900             |                      |                     |                    |                   |      |                      |
| 02/20/2018  | ***-**-6717 - DEBONIS, BRENDA | MAINSTAY MODERATE ALLOCATION CL A | 32.16                | 1.53                | 0.00               | 1.53              | 70.0 | 1.07                 |
|   | ACCOUNT #: 00011265204        | BUY 2 Units @14.5900              |                      |                     |                    |                   |      |                      |
| 02/20/2018  | ***-**-6717 - DEBONIS, BRENDA | MAINSTAY MODERATE ALLOCATION CL A | 297.50               | 14.13               | 0.00               | 14.13             | 70.0 | 9.89                 |
|   | ACCOUNT #: 00011265204        | BUY 20 Units @14.5900             |                      |                     |                    |                   |      |                      |
| 02/20/2018  | ***-**-6717 - DEBONIS, BRENDA | MAINSTAY MODERATE ALLOCATION CL A | 32.16                | 1.53                | 0.00               | 1.53              | 70.0 | 1.07                 |
|   | ACCOUNT #: 00011265204        | BUY 2 Units @14.5900              |                      |                     |                    |                   |      |                      |
| 02/20/2018  | ***-**-6717 - DEBONIS, BRENDA | MAINSTAY MODERATE ALLOCATION CL A | 297.50               | 14.13               | 0.00               | 14.13             | 70.0 | 9.89                 |
|   | ACCOUNT #: 00011265204        | BUY 20 Units @14.5900             |                      |                     |                    |                   |      |                      |
| 02/20/2018  | ***-**-6717 - DEBONIS, BRENDA | MAINSTAY MODERATE ALLOCATION CL A | 32.16                | 1.53                | 0.00               | 1.53              | 70.0 | 1.07                 |
|   | ACCOUNT #: 00011265204        | BUY 2 Units @14.5900              |                      |                     |                    |                   |      |                      |
| 02/20/2018  | ***-**-6717 - DEBONIS, BRENDA | MAINSTAY MODERATE ALLOCATION CL A | 297.50               | 14.13               | 0.00               | 14.13             | 70.0 | 9.89                 |
|   | ACCOUNT #: 00011265204        | BUY 20 Units @14.5900             |                      |                     |                    |                   |      |                      |
| 02/20/2018  | ***-**-6717 - DEBONIS, BRENDA | MAINSTAY MODERATE ALLOCATION CL A | 32.16                | 1.53                | 0.00               | 1.53              | 70.0 | 1.07                 |
|   | ACCOUNT #: 00011265204        | BUY 2 Units @14.5900              |                      |                     |                    |                   |      |                      |
| 02/20/2018  | ***-**-6717 - DEBONIS, BRENDA | MAINSTAY MODERATE ALLOCATION CL A | 297.50               | 14.13               | 0.00               | 14.13             | 70.0 | 9.89                 |
|   | ACCOUNT #: 00011265204        | BUY 20 Units @14.5900             |                      |                     |                    |                   |      |                      |



# COMMISSION STATEMENT

## March 12, 2018

**WILLIAM FRANCIS**  
2 Bobrick Road  
Poughkeepsie, NY 12601

**BROKER #: A88**  
BRANCH #01001 - LifeMark Home Office

| DATE  | CLIENT                        | INVESTMENT                         | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|---|-------------------------------|------------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b>BROKER TRANSACTIONS (continued)</b>            |                               |                                    |                      |                     |                    |                   |      |                      |
| <b>PRODUCT CATEGORY: MUTUAL FUNDS (continued)</b> |                               |                                    |                      |                     |                    |                   |      |                      |
| 03/06/2018  | ***-**-439I - DAILY, RONI     | SMALLCAP WORLD FUND-A              | 16,925.02            | 465.43              | 18.00              | 447.43            | 70.0 | 313.20               |
|   | ACCOUNT #: LSR012499          | BUY 285 Units @59.3900             |                      |                     |                    |                   |      |                      |
| 03/06/2018  | ***-**-439I - DAILY, RONI     | THE BOND FUND OF AMERICA-A         | 50,775.00            | 1,396.31            | 18.00              | 1,378.31          | 70.0 | 964.82               |
|   | ACCOUNT #: LSR012499          | BUY 3894 Units @13.0400            |                      |                     |                    |                   |      |                      |
| 02/27/2018  | ***-**-6878 - KACUR, JUSTIN   | THE GROWTH FUND OF AMERICA-A       | 59.08                | 2.51                | 0.00               | 2.51              | 70.0 | 1.76                 |
|   | ACCOUNT #: 00088824619        | BUY 1 Units @55.4000               |                      |                     |                    |                   |      |                      |
| 02/27/2018  | ***-**-6878 - KACUR, JUSTIN   | THE GROWTH FUND OF AMERICA-A       | 11.07                | 0.47                | 0.00               | 0.47              | 70.0 | 0.33                 |
|   | ACCOUNT #: 00088824619        | BUY 0 Units @55.4000               |                      |                     |                    |                   |      |                      |
| 02/27/2018  | ***-**-6878 - KACUR, JUSTIN   | THE GROWTH FUND OF AMERICA-A       | 59.08                | 2.51                | 0.00               | 2.51              | 70.0 | 1.76                 |
|   | ACCOUNT #: 00088824619        | BUY 1 Units @55.4000               |                      |                     |                    |                   |      |                      |
| 02/27/2018  | ***-**-6878 - KACUR, JUSTIN   | THE GROWTH FUND OF AMERICA-A       | 11.07                | 0.47                | 0.00               | 0.47              | 70.0 | 0.33                 |
|   | ACCOUNT #: 00088824619        | BUY 0 Units @55.4000               |                      |                     |                    |                   |      |                      |
| 03/06/2018  | ***-**-439I - DAILY, RONI     | THE GROWTH FUND OF AMERICA-A       | 33,850.01            | 930.87              | 18.00              | 912.87            | 70.0 | 639.01               |
|   | ACCOUNT #: LSR012499          | BUY 619 Units @54.6600             |                      |                     |                    |                   |      |                      |
| 02/27/2018  | ***-**-6878 - KACUR, JUSTIN   | THE INCOME FUND OF AMERICA-A       | 29.54                | 1.26                | 0.00               | 1.26              | 70.0 | 0.88                 |
|   | ACCOUNT #: 00088824619        | BUY 1 Units @24.5400               |                      |                     |                    |                   |      |                      |
| 02/27/2018  | ***-**-6878 - KACUR, JUSTIN   | THE INCOME FUND OF AMERICA-A       | 5.54                 | 0.24                | 0.00               | 0.24              | 70.0 | 0.17                 |
|   | ACCOUNT #: 00088824619        | BUY 0 Units @24.5400               |                      |                     |                    |                   |      |                      |
| 02/27/2018  | ***-**-6878 - KACUR, JUSTIN   | THE INCOME FUND OF AMERICA-A       | 29.54                | 1.26                | 0.00               | 1.26              | 70.0 | 0.88                 |
|   | ACCOUNT #: 00088824619        | BUY 1 Units @24.5400               |                      |                     |                    |                   |      |                      |
| 02/27/2018  | ***-**-6878 - KACUR, JUSTIN   | THE INCOME FUND OF AMERICA-A       | 5.54                 | 0.24                | 0.00               | 0.24              | 70.0 | 0.17                 |
|   | ACCOUNT #: 00088824619        | BUY 0 Units @24.5400               |                      |                     |                    |                   |      |                      |
| 03/06/2018  | ***-**-439I - DAILY, RONI     | THE NEW ECONOMY FUND-A             | 16,925.00            | 465.43              | 18.00              | 447.43            | 70.0 | 313.20               |
|   | ACCOUNT #: LSR012499          | BUY 337 Units @50.2600             |                      |                     |                    |                   |      |                      |
| 02/28/2018  | ***-**-47FB - TORRES, SHARI   | WASHINGTON MUTUAL INVESTORS FUND-A | 252.36               | 4.04                | 0.00               | 4.04              | 70.0 | 2.83                 |
|   | ACCOUNT #: 01293376129        | BUY 5 Units @46.9800               |                      |                     |                    |                   |      |                      |
| <b>* MUTUAL FUNDS SUBTOTAL *</b>                  |                               |                                    | <b>\$187,439.03</b>  | <b>\$5,223.62</b>   | <b>\$108.00</b>    | <b>\$5,115.62</b> |      | <b>\$3,580.93</b>    |
| <b>PRODUCT CATEGORY: 529 PLAN</b>                 |                               |                                    |                      |                     |                    |                   |      |                      |
| 03/12/2018  | ***-**-775P - RYAN, MARY      | NEW YORK 529 TRAILS                | 0.00                 | 1.91                | 0.00               | 1.91              | 70.0 | 1.34                 |
|   | ACCOUNT #: 77321355401        | BUY 0 Units @0.0000                |                      |                     |                    |                   |      |                      |
| 03/12/2018  | ***-**-6717 - DEBONIS, BRENDA | NEW YORK 529 TRAILS                | 0.00                 | 0.55                | 0.00               | 0.55              | 70.0 | 0.39                 |
|   | ACCOUNT #: 77423426901        | BUY 0 Units @0.0000                |                      |                     |                    |                   |      |                      |



# COMMISSION STATEMENT

## March 12, 2018

**WILLIAM FRANCIS**  
2 Bobrick Road  
Poughkeepsie, NY 12601

**BROKER #: A88**  
BRANCH #01001 - LifeMark Home Office

| DATE  | CLIENT                         | INVESTMENT                          | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|---|--------------------------------|-------------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b><u>BROKER TRANSACTIONS (continued)</u></b>           |                                |                                     |                      |                     |                    |                   |      |                      |
| <b><u>PRODUCT CATEGORY: 529 PLAN (continued)</u></b>    |                                |                                     |                      |                     |                    |                   |      |                      |
| 03/12/2018  | ***-**-775P - RYAN, MARY       | NYA JPM 529 COLLEGE AGE-BASED P A   | 250.00               | 10.13               | 0.00               | 10.13             | 70.0 | 7.09                 |
|   | ACCOUNT #: 77321355401         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
|   |                                | <b>* 529 PLAN SUBTOTAL *</b>        | <b>\$250.00</b>      | <b>\$12.59</b>      | <b>\$0.00</b>      | <b>\$12.59</b>    |      | <b>\$8.82</b>        |
| <b><u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u></b> |                                |                                     |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-5076 - TORRES, JASON    | AMCAP FUND-A                        | 0.00                 | 3.99                | 0.00               | 3.99              | 70.0 | 2.79                 |
|   | ACCOUNT #: 00088000759         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-8658 - GILL, THERESA    | AMCAP FUND-A                        | 0.00                 | 1.18                | 0.00               | 1.18              | 70.0 | 0.83                 |
|   | ACCOUNT #: 00088214150         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-3569 - ANDERSON,        | AMCAP FUND-A                        | 0.00                 | 12.89               | 0.00               | 12.89             | 70.0 | 9.02                 |
|   | ACCOUNT #: 00088334300         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-6809 - FRANCIS, PAUL    | AMCAP FUND-A                        | 0.00                 | 19.70               | 0.00               | 19.70             | 70.0 | 13.79                |
|   | ACCOUNT #: 00088351601         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-5132 - WEBER, FREDERICK | AMCAP FUND-A                        | 0.00                 | 13.56               | 0.00               | 13.56             | 70.0 | 9.49                 |
|   | ACCOUNT #: 00088817392         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-5076 - TORRES, JASON    | AMERICAN BALANCED FUND-A            | 0.00                 | 3.76                | 0.00               | 3.76              | 70.0 | 2.63                 |
|   | ACCOUNT #: 00088000759         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-2538 - GOLDMAN, DANIEL  | AMERICAN BALANCED FUND-A            | 0.00                 | 46.22               | 0.00               | 46.22             | 70.0 | 32.35                |
|   | ACCOUNT #: 00088105535         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-8325 - BUECHEL,         | AMERICAN BALANCED FUND-A            | 0.00                 | 5.35                | 0.00               | 5.35              | 70.0 | 3.75                 |
|   | ACCOUNT #: 00088244527         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-8696 - LAUBACKER,       | AMERICAN BALANCED FUND-A            | 0.00                 | 3.22                | 0.00               | 3.22              | 70.0 | 2.25                 |
|   | ACCOUNT #: 00088244533         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-3672 - KAN, HEATHER     | AMERICAN FUNDS 2040 TARGET DATE-A   | 0.00                 | 0.02                | 0.00               | 0.02              | 70.0 | 0.01                 |
|   | ACCOUNT #: 04000740312         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-7033 - TURNER, BRYAN    | AMERICAN FUNDS 2045 TARGET DATE-A   | 0.00                 | 7.13                | 0.00               | 7.13              | 70.0 | 4.99                 |
|   | ACCOUNT #: 00089463498         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-8431 - HOWANIEC, EDWARD | AMERICAN FUNDS BLNCD PORTFOLIO CL A | 0.00                 | 41.77               | 0.00               | 41.77             | 70.0 | 29.24                |
|   | ACCOUNT #: 00086726246         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-5076 - TORRES, JASON    | AMERICAN FUNDS BLNCD PORTFOLIO CL A | 0.00                 | 5.05                | 0.00               | 5.05              | 70.0 | 3.54                 |
|   | ACCOUNT #: 00088210419         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-5076 - TORRES, JASON    | AMERICAN FUNDS BLNCD PORTFOLIO CL A | 0.00                 | 3.91                | 0.00               | 3.91              | 70.0 | 2.74                 |
|   | ACCOUNT #: 00088210429         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |



# COMMISSION STATEMENT

March 12, 2018

WILLIAM FRANCIS  
2 Bobrick Road  
Poughkeepsie, NY 12601

BROKER #: A88  
BRANCH #01001 - LifeMark Home Office

| DATE   | CLIENT                         | INVESTMENT                          | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|--|--------------------------------|-------------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b>BROKER TRANSACTIONS (continued)</b>                       |                                |                                     |                      |                     |                    |                   |      |                      |
| <b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</b> |                                |                                     |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-6560 - TALBOT, JENNIFER | AMERICAN FUNDS GROWTH PORTFOLIO A   | 0.00                 | 2.07                | 0.00               | 2.07              | 70.0 | 1.45                 |
|  | ACCOUNT #: 00088093126         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-5460 - MILLS, ALEXIS    | AMERICAN FUNDS GROWTH PORTFOLIO A   | 0.00                 | 4.16                | 0.00               | 4.16              | 70.0 | 2.91                 |
|  | ACCOUNT #: 00088093500         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-1878 - HOWANIEC, DESSA  | AMERICAN FUNDS GROWTH PORTFOLIO A   | 0.00                 | 1.13                | 0.00               | 1.13              | 70.0 | 0.79                 |
|  | ACCOUNT #: 00088799768         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-3410 - HOWANIEC,        | AMERICAN FUNDS GROWTH PORTFOLIO A   | 0.00                 | 1.13                | 0.00               | 1.13              | 70.0 | 0.79                 |
|  | ACCOUNT #: 00088802799         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-4858 - GODOFSKY,        | AMERICAN FUNDS GROWTH PORTFOLIO A   | 0.00                 | 1.66                | 0.00               | 1.66              | 70.0 | 1.16                 |
|  | ACCOUNT #: 04000349982         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-0485 - WHALEN, STEPHEN  | AMERICAN FUNDS GRWTH & INCOME PORT  | 0.00                 | 1.98                | 0.00               | 1.98              | 70.0 | 1.39                 |
|  | ACCOUNT #: 00088824582         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/05/2018   | ***-**-943J - DAILY, MATTHEW   | AMERICAN FUNDS T/E PRESERVATION POR | 750.00               | 15.00               | 0.00               | 15.00             | 70.0 | 10.50                |
|  | ACCOUNT #: LSR011610           | BUY 76 Units @9.9300                |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-9982 - BROWN, EDWIN     | AMERICAN HIGH-INCOME MUNI BOND FUND | 0.00                 | 16.98               | 0.00               | 16.98             | 70.0 | 11.89                |
|  | ACCOUNT #: 00089209664         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-8431 - HOWANIEC, EDWARD | AMERICAN HIGH-INCOME TRUST-A        | 0.00                 | 183.80              | 0.00               | 183.80            | 70.0 | 128.66               |
|  | ACCOUNT #: 00086726246         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-06IN - GOLDMAN, JUNE    | AMERICAN HIGH-INCOME TRUST-A        | 0.00                 | 143.99              | 0.00               | 143.99            | 70.0 | 100.79               |
|  | ACCOUNT #: 00087856737         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-2582 - AGUIAR, DANA     | AMERICAN HIGH-INCOME TRUST-A        | 0.00                 | 2.11                | 0.00               | 2.11              | 70.0 | 1.48                 |
|  | ACCOUNT #: 00087887914         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-9105 - OCONNOR, BARBARA | AMERICAN HIGH-INCOME TRUST-A        | 0.00                 | 126.97              | 0.00               | 126.97            | 70.0 | 88.88                |
|  | ACCOUNT #: 00088011557         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-2538 - GOLDMAN, DANIEL  | AMERICAN HIGH-INCOME TRUST-A        | 0.00                 | 55.39               | 0.00               | 55.39             | 70.0 | 38.77                |
|  | ACCOUNT #: 00088105535         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-5445 - NORTH, CHARLES   | AMERICAN HIGH-INCOME TRUST-A        | 0.00                 | 124.34              | 0.00               | 124.34            | 70.0 | 87.04                |
|  | ACCOUNT #: 00088143210         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-9982 - BROWN, EDWIN     | AMERICAN HIGH-INCOME TRUST-A        | 0.00                 | 70.42               | 0.00               | 70.42             | 70.0 | 49.29                |
|  | ACCOUNT #: 00088145716         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-3582 - NORTH, JOANNE    | AMERICAN HIGH-INCOME TRUST-A        | 0.00                 | 21.07               | 0.00               | 21.07             | 70.0 | 14.75                |
|  | ACCOUNT #: 00088269231         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |



# COMMISSION STATEMENT

March 12, 2018

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| DATE   | CLIENT                         | INVESTMENT                         | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|--|--------------------------------|------------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b>BROKER TRANSACTIONS (continued)</b>                       |                                |                                    |                      |                     |                    |                   |      |                      |
| <b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</b> |                                |                                    |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-7131 - PHILLIPS, DAVID  | AMERICAN HIGH-INCOME TRUST-A       | 0.00                 | 41.45               | 0.00               | 41.45             | 70.0 | 29.02                |
|  | ACCOUNT #: 00088295242         | BUY 0 Units @0.0000                |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-7757 - JOHNSON,         | AMERICAN HIGH-INCOME TRUST-A       | 0.00                 | 47.35               | 0.00               | 47.35             | 70.0 | 33.15                |
|  | ACCOUNT #: 00088316251         | BUY 0 Units @0.0000                |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-3569 - ANDERSON,        | AMERICAN HIGH-INCOME TRUST-A       | 0.00                 | 2.42                | 0.00               | 2.42              | 70.0 | 1.69                 |
|  | ACCOUNT #: 00088334300         | BUY 0 Units @0.0000                |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-6809 - FRANCIS, PAUL    | AMERICAN HIGH-INCOME TRUST-A       | 0.00                 | 9.53                | 0.00               | 9.53              | 70.0 | 6.67                 |
|  | ACCOUNT #: 00088351601         | BUY 0 Units @0.0000                |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-9982 - BROWN, EDWIN     | AMERICAN HIGH-INCOME TRUST-A       | 0.00                 | 42.57               | 0.00               | 42.57             | 70.0 | 29.80                |
|  | ACCOUNT #: 00088575250         | BUY 0 Units @0.0000                |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-6885 - BUCHANAN, ROGER  | AMERICAN HIGH-INCOME TRUST-A       | 0.00                 | 146.52              | 0.00               | 146.52            | 70.0 | 102.56               |
|  | ACCOUNT #: 00088653800         | BUY 0 Units @0.0000                |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-1878 - HOWANIEC, DESSA  | AMERICAN HIGH-INCOME TRUST-A       | 0.00                 | 2.29                | 0.00               | 2.29              | 70.0 | 1.60                 |
|  | ACCOUNT #: 00088798653         | BUY 0 Units @0.0000                |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-5132 - WEBER, FREDERICK | AMERICAN HIGH-INCOME TRUST-A       | 0.00                 | 18.45               | 0.00               | 18.45             | 70.0 | 12.92                |
|  | ACCOUNT #: 00088817392         | BUY 0 Units @0.0000                |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-2582 - AGUIAR, DANA     | AMERICAN MUTUAL FUND-A             | 0.00                 | 2.37                | 0.00               | 2.37              | 70.0 | 1.66                 |
|  | ACCOUNT #: 00087887914         | BUY 0 Units @0.0000                |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-5076 - TORRES, JASON    | AMERICAN MUTUAL FUND-A             | 0.00                 | 7.88                | 0.00               | 7.88              | 70.0 | 5.52                 |
|  | ACCOUNT #: 00088000759         | BUY 0 Units @0.0000                |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-2538 - GOLDMAN, DANIEL  | AMERICAN MUTUAL FUND-A             | 0.00                 | 73.23               | 0.00               | 73.23             | 70.0 | 51.26                |
|  | ACCOUNT #: 00088105535         | BUY 0 Units @0.0000                |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-9982 - BROWN, EDWIN     | AMERICAN MUTUAL FUND-A             | 0.00                 | 21.36               | 0.00               | 21.36             | 70.0 | 14.95                |
|  | ACCOUNT #: 00088145716         | BUY 0 Units @0.0000                |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-3569 - ANDERSON,        | AMERICAN MUTUAL FUND-A             | 0.00                 | 6.49                | 0.00               | 6.49              | 70.0 | 4.54                 |
|  | ACCOUNT #: 00088334300         | BUY 0 Units @0.0000                |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-9982 - BROWN, EDWIN     | AMERICAN MUTUAL FUND-A             | 0.00                 | 12.12               | 0.00               | 12.12             | 70.0 | 8.48                 |
|  | ACCOUNT #: 00088575250         | BUY 0 Units @0.0000                |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-9982 - BROWN, EDWIN     | AMERICAN TAX EXEMPT OF NEW YORK CL | 0.00                 | 32.39               | 0.00               | 32.39             | 70.0 | 22.67                |
|  | ACCOUNT #: 00089209664         | BUY 0 Units @0.0000                |                      |                     |                    |                   |      |                      |
| 03/09/2018   | ***-**-7748 - MCCANNA, GLORIA  | CALVERT 131582454                  | 0.00                 | 4.79                | 0.00               | 4.79              | 70.0 | 3.35                 |
|  | ACCOUNT #: 00000613527         | BUY 0 Units @0.0000                |                      |                     |                    |                   |      |                      |





# COMMISSION STATEMENT

March 12, 2018

**WILLIAM FRANCIS**  
2 Bobrick Road  
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**BROKER #: A88**  
BRANCH #01001 - LifeMark Home Office

| DATE   | CLIENT  | INVESTMENT   | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|--|---|--|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b>BROKER TRANSACTIONS (continued)</b>                       |   |  |                      |                     |                    |                   |      |                      |
| <b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</b> |   |  |                      |                     |                    |                   |      |                      |
| 03/12/2018   | ***-**-162K - LANGTON,<br>ACCOUNT #: LSR012318          | CALVERT 131582454<br>BUY 1 Units @0.0000                   | 0.00                 | 2.77                | 0.00               | 2.77              | 70.0 | 1.94                 |
| 03/09/2018   | ***-**-7748 - MCCANNA, GLORIA<br>ACCOUNT #: 00007223602 | CALVERT 131618704<br>BUY 0 Units @0.0000                   | 0.00                 | 11.10               | 0.00               | 11.10             | 70.0 | 7.77                 |
| 03/09/2018   | ***-**-7748 - MCCANNA, GLORIA<br>ACCOUNT #: 00007223602 | CALVERT 13161P805<br>BUY 0 Units @0.0000                   | 0.00                 | 4.61                | 0.00               | 4.61              | 70.0 | 3.23                 |
| 03/09/2018   | ***-**-7748 - MCCANNA, GLORIA<br>ACCOUNT #: 00000613527 | CALVERT 13161T104<br>BUY 0 Units @0.0000                   | 0.00                 | 0.98                | 0.00               | 0.98              | 70.0 | 0.69                 |
| 03/09/2018   | ***-**-7748 - MCCANNA, GLORIA<br>ACCOUNT #: 00007223602 | CALVERT 131649402<br>BUY 0 Units @0.0000                   | 0.00                 | 5.04                | 0.00               | 5.04              | 70.0 | 3.53                 |
| 03/09/2018   | ***-**-7748 - MCCANNA, GLORIA<br>ACCOUNT #: 00007223602 | CALVERT 131649865<br>BUY 0 Units @0.0000                   | 0.00                 | 3.57                | 0.00               | 3.57              | 70.0 | 2.50                 |
| 03/09/2018   | ***-**-7748 - MCCANNA, GLORIA<br>ACCOUNT #: 00000613527 | CALVERT 131649881<br>BUY 0 Units @0.0000                   | 0.00                 | 3.63                | 0.00               | 3.63              | 70.0 | 2.54                 |
| 03/09/2018   | ***-**-7748 - MCCANNA, GLORIA<br>ACCOUNT #: 00000613527 | CALVERT CAPITAL ACCUMULATION - A<br>BUY 0 Units @0.0000    | 0.00                 | 3.21                | 0.00               | 3.21              | 70.0 | 2.25                 |
| 03/12/2018   | ***-**-162K - LANGTON,<br>ACCOUNT #: LSR012318          | CALVERT INTRNTL RESPBL INDEX A-NFS<br>BUY 1 Units @0.0000  | 0.00                 | 8.03                | 0.00               | 8.03              | 70.0 | 5.62                 |
| 03/09/2018   | ***-**-7748 - MCCANNA, GLORIA<br>ACCOUNT #: 00000613527 | CALVERT LONG-TERM INCOME FUND<br>BUY 0 Units @0.0000       | 0.00                 | 5.77                | 0.00               | 5.77              | 70.0 | 4.04                 |
| 03/12/2018   | ***-**-162K - LANGTON,<br>ACCOUNT #: LSR012318          | CALVERT LONG-TERM INCOME FUND<br>BUY 1 Units @0.0000       | 0.00                 | 5.44                | 0.00               | 5.44              | 70.0 | 3.81                 |
| 03/12/2018   | ***-**-162K - LANGTON,<br>ACCOUNT #: LSR012318          | CALVERT MODERATE ALLOCATION FUND-A<br>BUY 1 Units @0.0000  | 0.00                 | 2.88                | 0.00               | 2.88              | 70.0 | 2.02                 |
| 03/09/2018   | ***-**-7748 - MCCANNA, GLORIA<br>ACCOUNT #: 00000613527 | CALVERT SMALL CAP VALUE FUND<br>BUY 0 Units @0.0000        | 0.00                 | 5.90                | 0.00               | 5.90              | 70.0 | 4.13                 |
| 03/12/2018   | ***-**-162K - LANGTON,<br>ACCOUNT #: LSR012318          | CALVERT SMALL CAP VALUE FUND<br>BUY 1 Units @0.0000        | 0.00                 | 5.36                | 0.00               | 5.36              | 70.0 | 3.75                 |
| 03/12/2018   | ***-**-162K - LANGTON,<br>ACCOUNT #: LSR012318          | CALVERT SOCIAL INDEX A<br>BUY 1 Units @0.0000              | 0.00                 | 5.41                | 0.00               | 5.41              | 70.0 | 3.79                 |
| 03/09/2018   | ***-**-7748 - MCCANNA, GLORIA<br>ACCOUNT #: 00000613527 | CALVERT SOCIAL INVESTMENT FD EQUITY<br>BUY 0 Units @0.0000 | 0.00                 | 4.17                | 0.00               | 4.17              | 70.0 | 2.92                 |



# COMMISSION STATEMENT

March 12, 2018

WILLIAM FRANCIS  
2 Bobrick Road  
Poughkeepsie, NY 12601

BROKER #: A88  
BRANCH #01001 - LifeMark Home Office

| DATE   | CLIENT   | INVESTMENT   | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|--|--|--|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b>BROKER TRANSACTIONS (continued)</b>                       |  |  |                      |                     |                    |                   |      |                      |
| <b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</b> |  |  |                      |                     |                    |                   |      |                      |
| 03/12/2018   | ***-**-162K - LANGTON,<br>ACCOUNT #: LSR012318           | CALVERT SOCIAL INVESTMENT FD EQUITY<br>BUY 1 Units @0.0000 | 0.00                 | 13.67               | 0.00               | 13.67             | 70.0 | 9.57                 |
| 03/09/2018   | ***-**-7748 - MCCANNA, GLORIA<br>ACCOUNT #: 00000613527  | CALVERT SOCIAL INVESTMENT FUND BOND<br>BUY 0 Units @0.0000 | 0.00                 | 2.68                | 0.00               | 2.68              | 70.0 | 1.88                 |
| 03/12/2018   | ***-**-162K - LANGTON,<br>ACCOUNT #: LSR012318           | CALVERT SOCIAL INVESTMENT FUND BOND<br>BUY 1 Units @0.0000 | 0.00                 | 13.83               | 0.00               | 13.83             | 70.0 | 9.68                 |
| 03/01/2018   | ***-**-8431 - HOWANIEC, EDWARD<br>ACCOUNT #: 00086726246 | CAPITAL INCOME BUILDER-A<br>BUY 0 Units @0.0000            | 0.00                 | 126.95              | 0.00               | 126.95            | 70.0 | 88.87                |
| 03/01/2018   | ***-**-06IN - GOLDMAN, JUNE<br>ACCOUNT #: 00087856737    | CAPITAL INCOME BUILDER-A<br>BUY 0 Units @0.0000            | 0.00                 | 58.71               | 0.00               | 58.71             | 70.0 | 41.10                |
| 03/01/2018   | ***-**-2582 - AGUIAR, DANA<br>ACCOUNT #: 00087887914     | CAPITAL INCOME BUILDER-A<br>BUY 0 Units @0.0000            | 0.00                 | 2.13                | 0.00               | 2.13              | 70.0 | 1.49                 |
| 03/01/2018   | ***-**-9105 - OCONNOR, BARBARA<br>ACCOUNT #: 00088011557 | CAPITAL INCOME BUILDER-A<br>BUY 0 Units @0.0000            | 0.00                 | 46.90               | 0.00               | 46.90             | 70.0 | 32.83                |
| 03/01/2018   | ***-**-2538 - GOLDMAN, DANIEL<br>ACCOUNT #: 00088105535  | CAPITAL INCOME BUILDER-A<br>BUY 0 Units @0.0000            | 0.00                 | 40.46               | 0.00               | 40.46             | 70.0 | 28.32                |
| 03/01/2018   | ***-**-5445 - NORTH, CHARLES<br>ACCOUNT #: 00088143210   | CAPITAL INCOME BUILDER-A<br>BUY 0 Units @0.0000            | 0.00                 | 36.20               | 0.00               | 36.20             | 70.0 | 25.34                |
| 03/01/2018   | ***-**-9982 - BROWN, EDWIN<br>ACCOUNT #: 00088145716     | CAPITAL INCOME BUILDER-A<br>BUY 0 Units @0.0000            | 0.00                 | 17.79               | 0.00               | 17.79             | 70.0 | 12.45                |
| 03/01/2018   | ***-**-3582 - NORTH, JOANNE<br>ACCOUNT #: 00088269231    | CAPITAL INCOME BUILDER-A<br>BUY 0 Units @0.0000            | 0.00                 | 6.01                | 0.00               | 6.01              | 70.0 | 4.21                 |
| 03/01/2018   | ***-**-7131 - PHILLIPS, DAVID<br>ACCOUNT #: 00088295242  | CAPITAL INCOME BUILDER-A<br>BUY 0 Units @0.0000            | 0.00                 | 11.03               | 0.00               | 11.03             | 70.0 | 7.72                 |
| 03/01/2018   | ***-**-7757 - JOHNSON,<br>ACCOUNT #: 00088316251         | CAPITAL INCOME BUILDER-A<br>BUY 0 Units @0.0000            | 0.00                 | 11.67               | 0.00               | 11.67             | 70.0 | 8.17                 |
| 03/01/2018   | ***-**-6809 - FRANCIS, PAUL<br>ACCOUNT #: 00088351601    | CAPITAL INCOME BUILDER-A<br>BUY 0 Units @0.0000            | 0.00                 | 6.80                | 0.00               | 6.80              | 70.0 | 4.76                 |
| 03/01/2018   | ***-**-9982 - BROWN, EDWIN<br>ACCOUNT #: 00088575250     | CAPITAL INCOME BUILDER-A<br>BUY 0 Units @0.0000            | 0.00                 | 10.27               | 0.00               | 10.27             | 70.0 | 7.19                 |
| 03/01/2018   | ***-**-6885 - BUCHANAN, ROGER<br>ACCOUNT #: 00088653800  | CAPITAL INCOME BUILDER-A<br>BUY 0 Units @0.0000            | 0.00                 | 63.17               | 0.00               | 63.17             | 70.0 | 44.22                |



# COMMISSION STATEMENT

March 12, 2018

WILLIAM FRANCIS  
2 Bobrick Road  
Poughkeepsie, NY 12601

BROKER #: A88  
BRANCH #01001 - LifeMark Home Office

| DATE   | CLIENT                        | INVESTMENT                          | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|--|-------------------------------|-------------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b>BROKER TRANSACTIONS (continued)</b>                       |                               |                                     |                      |                     |                    |                   |      |                      |
| <b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</b> |                               |                                     |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-1878 - HOWANIEC, DESSA | CAPITAL INCOME BUILDER-A            | 0.00                 | 3.12                | 0.00               | 3.12              | 70.0 | 2.18                 |
|  | ACCOUNT #: 00088798653        | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-2538 - GOLDMAN, DANIEL | CAPITAL WORLD BOND FUND-A           | 0.00                 | 34.60               | 0.00               | 34.60             | 70.0 | 24.22                |
|  | ACCOUNT #: 00088105535        | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-9982 - BROWN, EDWIN    | CAPITAL WORLD BOND FUND-A           | 0.00                 | 8.15                | 0.00               | 8.15              | 70.0 | 5.71                 |
|  | ACCOUNT #: 00088145716        | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-7131 - PHILLIPS, DAVID | CAPITAL WORLD BOND FUND-A           | 0.00                 | 3.42                | 0.00               | 3.42              | 70.0 | 2.39                 |
|  | ACCOUNT #: 00088295242        | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-3569 - ANDERSON,       | CAPITAL WORLD BOND FUND-A           | 0.00                 | 2.24                | 0.00               | 2.24              | 70.0 | 1.57                 |
|  | ACCOUNT #: 00088334300        | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-6809 - FRANCIS, PAUL   | CAPITAL WORLD BOND FUND-A           | 0.00                 | 3.02                | 0.00               | 3.02              | 70.0 | 2.11                 |
|  | ACCOUNT #: 00088351601        | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-9982 - BROWN, EDWIN    | CAPITAL WORLD BOND FUND-A           | 0.00                 | 4.85                | 0.00               | 4.85              | 70.0 | 3.40                 |
|  | ACCOUNT #: 00088575250        | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-6878 - KACUR, JUSTIN   | CAPITAL WORLD BOND FUND-A           | 0.00                 | 1.03                | 0.00               | 1.03              | 70.0 | 0.72                 |
|  | ACCOUNT #: 00088824619        | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-8658 - GILL, THERESA   | CAPITAL WORLD GROWTH AND INCOME FUN | 0.00                 | 2.18                | 0.00               | 2.18              | 70.0 | 1.53                 |
|  | ACCOUNT #: 00088214150        | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-6809 - FRANCIS, PAUL   | CAPITAL WORLD GROWTH AND INCOME FUN | 0.00                 | 3.77                | 0.00               | 3.77              | 70.0 | 2.64                 |
|  | ACCOUNT #: 00088351601        | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-6878 - KACUR, JUSTIN   | CAPITAL WORLD GROWTH AND INCOME FUN | 0.00                 | 5.48                | 0.00               | 5.48              | 70.0 | 3.84                 |
|  | ACCOUNT #: 00088824619        | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-6878 - KACUR, JUSTIN   | EUROPACIFIC GROWTH FUND-A           | 0.00                 | 1.83                | 0.00               | 1.83              | 70.0 | 1.28                 |
|  | ACCOUNT #: 00088824619        | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-2538 - GOLDMAN, DANIEL | FUNDAMENTAL INVESTORS-A             | 0.00                 | 53.37               | 0.00               | 53.37             | 70.0 | 37.36                |
|  | ACCOUNT #: 00088105535        | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-8658 - GILL, THERESA   | FUNDAMENTAL INVESTORS-A             | 0.00                 | 2.56                | 0.00               | 2.56              | 70.0 | 1.79                 |
|  | ACCOUNT #: 00088214150        | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-3569 - ANDERSON,       | FUNDAMENTAL INVESTORS-A             | 0.00                 | 7.02                | 0.00               | 7.02              | 70.0 | 4.91                 |
|  | ACCOUNT #: 00088334300        | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-6809 - FRANCIS, PAUL   | FUNDAMENTAL INVESTORS-A             | 0.00                 | 16.80               | 0.00               | 16.80             | 70.0 | 11.76                |
|  | ACCOUNT #: 00088351601        | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |



# COMMISSION STATEMENT

March 12, 2018

WILLIAM FRANCIS  
2 Bobrick Road  
Poughkeepsie, NY 12601

BROKER #: A88  
BRANCH #01001 - LifeMark Home Office

| DATE   | CLIENT                         | INVESTMENT                          | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|--|--------------------------------|-------------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b>BROKER TRANSACTIONS (continued)</b>                       |                                |                                     |                      |                     |                    |                   |      |                      |
| <b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</b> |                                |                                     |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-8266 - GILL, NANCY      | GLOBAL GROWTH PORTFOLIO-A           | 0.00                 | 3.89                | 0.00               | 3.89              | 70.0 | 2.72                 |
|  | ACCOUNT #: 00087772146         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-2538 - GOLDMAN, DANIEL  | INTERMEDIATE BOND FUND OF AMERICA-A | 0.00                 | 52.20               | 0.00               | 52.20             | 70.0 | 36.54                |
|  | ACCOUNT #: 00088105535         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-5132 - WEBER, FREDERICK | INTERMEDIATE BOND FUND OF AMERICA-A | 0.00                 | 8.51                | 0.00               | 8.51              | 70.0 | 5.96                 |
|  | ACCOUNT #: 00088817392         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-2633 - BUTLER, JAIME    | NEW PERSPECTIVE FUND-A              | 0.00                 | 9.44                | 0.00               | 9.44              | 70.0 | 6.61                 |
|  | ACCOUNT #: 00075179061         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-5076 - TORRES, JASON    | NEW PERSPECTIVE FUND-A              | 0.00                 | 1.99                | 0.00               | 1.99              | 70.0 | 1.39                 |
|  | ACCOUNT #: 00088000759         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-9982 - BROWN, EDWIN     | NEW PERSPECTIVE FUND-A              | 0.00                 | 11.66               | 0.00               | 11.66             | 70.0 | 8.16                 |
|  | ACCOUNT #: 00088145716         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-8658 - GILL, THERESA    | NEW PERSPECTIVE FUND-A              | 0.00                 | 1.79                | 0.00               | 1.79              | 70.0 | 1.25                 |
|  | ACCOUNT #: 00088214150         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-9064 - GUERRERO, NIGEL  | NEW PERSPECTIVE FUND-A              | 0.00                 | 1.65                | 0.00               | 1.65              | 70.0 | 1.16                 |
|  | ACCOUNT #: 00088394220         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-9982 - BROWN, EDWIN     | NEW PERSPECTIVE FUND-A              | 0.00                 | 6.67                | 0.00               | 6.67              | 70.0 | 4.67                 |
|  | ACCOUNT #: 00088575250         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-2538 - GOLDMAN, DANIEL  | NEW PERSPECTIVE FUND-A              | 0.00                 | 3.68                | 0.00               | 3.68              | 70.0 | 2.58                 |
|  | ACCOUNT #: 00088925352         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-5076 - TORRES, JASON    | SMALLCAP WORLD FUND-A               | 0.00                 | 3.85                | 0.00               | 3.85              | 70.0 | 2.70                 |
|  | ACCOUNT #: 00088000759         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-8658 - GILL, THERESA    | SMALLCAP WORLD FUND-A               | 0.00                 | 1.19                | 0.00               | 1.19              | 70.0 | 0.83                 |
|  | ACCOUNT #: 00088214150         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-3569 - ANDERSON,        | SMALLCAP WORLD FUND-A               | 0.00                 | 3.08                | 0.00               | 3.08              | 70.0 | 2.16                 |
|  | ACCOUNT #: 00088334300         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-2633 - BUTLER, JAIME    | THE BOND FUND OF AMERICA-A          | 0.00                 | 5.73                | 0.00               | 5.73              | 70.0 | 4.01                 |
|  | ACCOUNT #: 00075179061         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-2582 - AGUIAR, DANA     | THE BOND FUND OF AMERICA-A          | 0.00                 | 1.91                | 0.00               | 1.91              | 70.0 | 1.34                 |
|  | ACCOUNT #: 00087887914         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-2538 - GOLDMAN, DANIEL  | THE BOND FUND OF AMERICA-A          | 0.00                 | 18.06               | 0.00               | 18.06             | 70.0 | 12.64                |
|  | ACCOUNT #: 00088105535         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |



# COMMISSION STATEMENT

March 12, 2018

WILLIAM FRANCIS  
2 Bobrick Road  
Poughkeepsie, NY 12601

BROKER #: A88  
BRANCH #01001 - LifeMark Home Office

| DATE   | CLIENT   | INVESTMENT  | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|--|--|---|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b>BROKER TRANSACTIONS (continued)</b>                       |  |   |                      |                     |                    |                   |      |                      |
| <b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</b> |  |   |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-9982 - BROWN, EDWIN<br>ACCOUNT #: 00088145716     | THE BOND FUND OF AMERICA-A<br>BUY 0 Units @0.0000   | 0.00                 | 16.30               | 0.00               | 16.30             | 70.0 | 11.41                |
| 03/01/2018   | ***-**-3569 - ANDERSON,<br>ACCOUNT #: 00088334300        | THE BOND FUND OF AMERICA-A<br>BUY 0 Units @0.0000   | 0.00                 | 5.09                | 0.00               | 5.09              | 70.0 | 3.56                 |
| 03/01/2018   | ***-**-6809 - FRANCIS, PAUL<br>ACCOUNT #: 00088351601    | THE BOND FUND OF AMERICA-A<br>BUY 0 Units @0.0000   | 0.00                 | 6.07                | 0.00               | 6.07              | 70.0 | 4.25                 |
| 03/01/2018   | ***-**-9064 - GUERRERO, NIGEL<br>ACCOUNT #: 00088394220  | THE BOND FUND OF AMERICA-A<br>BUY 0 Units @0.0000   | 0.00                 | 0.44                | 0.00               | 0.44              | 70.0 | 0.31                 |
| 03/01/2018   | ***-**-9982 - BROWN, EDWIN<br>ACCOUNT #: 00088575250     | THE BOND FUND OF AMERICA-A<br>BUY 0 Units @0.0000   | 0.00                 | 9.43                | 0.00               | 9.43              | 70.0 | 6.60                 |
| 03/01/2018   | ***-**-6885 - BUCHANAN, ROGER<br>ACCOUNT #: 00088653800  | THE BOND FUND OF AMERICA-A<br>BUY 0 Units @0.0000   | 0.00                 | 20.24               | 0.00               | 20.24             | 70.0 | 14.17                |
| 03/01/2018   | ***-**-1878 - HOWANIEC, DESSA<br>ACCOUNT #: 00088798653  | THE BOND FUND OF AMERICA-A<br>BUY 0 Units @0.0000   | 0.00                 | 2.07                | 0.00               | 2.07              | 70.0 | 1.45                 |
| 03/01/2018   | ***-**-5076 - TORRES, JASON<br>ACCOUNT #: 00088000759    | THE GROWTH FUND OF AMERICA-A<br>BUY 0 Units @0.0000 | 0.00                 | 4.28                | 0.00               | 4.28              | 70.0 | 3.00                 |
| 03/01/2018   | ***-**-2538 - GOLDMAN, DANIEL<br>ACCOUNT #: 00088105535  | THE GROWTH FUND OF AMERICA-A<br>BUY 0 Units @0.0000 | 0.00                 | 27.43               | 0.00               | 27.43             | 70.0 | 19.20                |
| 03/01/2018   | ***-**-3569 - ANDERSON,<br>ACCOUNT #: 00088334300        | THE GROWTH FUND OF AMERICA-A<br>BUY 0 Units @0.0000 | 0.00                 | 10.47               | 0.00               | 10.47             | 70.0 | 7.33                 |
| 03/01/2018   | ***-**-6809 - FRANCIS, PAUL<br>ACCOUNT #: 00088351601    | THE GROWTH FUND OF AMERICA-A<br>BUY 0 Units @0.0000 | 0.00                 | 8.30                | 0.00               | 8.30              | 70.0 | 5.81                 |
| 03/01/2018   | ***-**-9064 - GUERRERO, NIGEL<br>ACCOUNT #: 00088394220  | THE GROWTH FUND OF AMERICA-A<br>BUY 0 Units @0.0000 | 0.00                 | 2.25                | 0.00               | 2.25              | 70.0 | 1.58                 |
| 03/01/2018   | ***-**-6878 - KACUR, JUSTIN<br>ACCOUNT #: 00088824619    | THE GROWTH FUND OF AMERICA-A<br>BUY 0 Units @0.0000 | 0.00                 | 2.54                | 0.00               | 2.54              | 70.0 | 1.78                 |
| 03/01/2018   | ***-**-2633 - BUTLER, JAIME<br>ACCOUNT #: 00075179061    | THE INCOME FUND OF AMERICA-A<br>BUY 0 Units @0.0000 | 0.00                 | 8.18                | 0.00               | 8.18              | 70.0 | 5.73                 |
| 03/01/2018   | ***-**-8431 - HOWANIEC, EDWARD<br>ACCOUNT #: 00086726246 | THE INCOME FUND OF AMERICA-A<br>BUY 0 Units @0.0000 | 0.00                 | 137.36              | 0.00               | 137.36            | 70.0 | 96.15                |
| 03/01/2018   | ***-**-06IN - GOLDMAN, JUNE<br>ACCOUNT #: 00087856737    | THE INCOME FUND OF AMERICA-A<br>BUY 0 Units @0.0000 | 0.00                 | 63.17               | 0.00               | 63.17             | 70.0 | 44.22                |



# COMMISSION STATEMENT

March 12, 2018

WILLIAM FRANCIS  
2 Bobrick Road  
Poughkeepsie, NY 12601

BROKER #: A88  
BRANCH #01001 - LifeMark Home Office

| DATE   | CLIENT                         | INVESTMENT                          | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|--|--------------------------------|-------------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b>BROKER TRANSACTIONS (continued)</b>                       |                                |                                     |                      |                     |                    |                   |      |                      |
| <b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</b> |                                |                                     |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-2582 - AGUIAR, DANA     | THE INCOME FUND OF AMERICA-A        | 0.00                 | 2.23                | 0.00               | 2.23              | 70.0 | 1.56                 |
|  | ACCOUNT #: 00087887914         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-5076 - TORRES, JASON    | THE INCOME FUND OF AMERICA-A        | 0.00                 | 1.81                | 0.00               | 1.81              | 70.0 | 1.27                 |
|  | ACCOUNT #: 00088000759         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-9105 - OCONNOR, BARBARA | THE INCOME FUND OF AMERICA-A        | 0.00                 | 48.34               | 0.00               | 48.34             | 70.0 | 33.84                |
|  | ACCOUNT #: 00088011557         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-5445 - NORTH, CHARLES   | THE INCOME FUND OF AMERICA-A        | 0.00                 | 35.50               | 0.00               | 35.50             | 70.0 | 24.85                |
|  | ACCOUNT #: 00088143210         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-9982 - BROWN, EDWIN     | THE INCOME FUND OF AMERICA-A        | 0.00                 | 9.40                | 0.00               | 9.40              | 70.0 | 6.58                 |
|  | ACCOUNT #: 00088145716         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-8658 - GILL, THERESA    | THE INCOME FUND OF AMERICA-A        | 0.00                 | 1.04                | 0.00               | 1.04              | 70.0 | 0.73                 |
|  | ACCOUNT #: 00088214150         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-3582 - NORTH, JOANNE    | THE INCOME FUND OF AMERICA-A        | 0.00                 | 5.83                | 0.00               | 5.83              | 70.0 | 4.08                 |
|  | ACCOUNT #: 00088269231         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-7131 - PHILLIPS, DAVID  | THE INCOME FUND OF AMERICA-A        | 0.00                 | 11.73               | 0.00               | 11.73             | 70.0 | 8.21                 |
|  | ACCOUNT #: 00088295242         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-7757 - JOHNSON,         | THE INCOME FUND OF AMERICA-A        | 0.00                 | 12.41               | 0.00               | 12.41             | 70.0 | 8.69                 |
|  | ACCOUNT #: 00088316251         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-3569 - ANDERSON,        | THE INCOME FUND OF AMERICA-A        | 0.00                 | 5.90                | 0.00               | 5.90              | 70.0 | 4.13                 |
|  | ACCOUNT #: 00088334300         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-9064 - GUERRERO, NIGEL  | THE INCOME FUND OF AMERICA-A        | 0.00                 | 1.00                | 0.00               | 1.00              | 70.0 | 0.70                 |
|  | ACCOUNT #: 00088394220         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-9982 - BROWN, EDWIN     | THE INCOME FUND OF AMERICA-A        | 0.00                 | 5.46                | 0.00               | 5.46              | 70.0 | 3.82                 |
|  | ACCOUNT #: 00088575250         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-6885 - BUCHANAN, ROGER  | THE INCOME FUND OF AMERICA-A        | 0.00                 | 67.07               | 0.00               | 67.07             | 70.0 | 46.95                |
|  | ACCOUNT #: 00088653800         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-6878 - KACUR, JUSTIN    | THE INCOME FUND OF AMERICA-A        | 0.00                 | 1.13                | 0.00               | 1.13              | 70.0 | 0.79                 |
|  | ACCOUNT #: 00088824619         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-9982 - BROWN, EDWIN     | THE INCOME FUND OF AMERICA-A        | 0.00                 | 18.84               | 0.00               | 18.84             | 70.0 | 13.19                |
|  | ACCOUNT #: 00089209664         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-2633 - BUTLER, JAIME    | THE INVESTMENT COMPANY OF AMERICA-A | 0.00                 | 9.56                | 0.00               | 9.56              | 70.0 | 6.69                 |
|  | ACCOUNT #: 00075179061         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |



# COMMISSION STATEMENT

March 12, 2018

WILLIAM FRANCIS  
2 Bobrick Road  
Poughkeepsie, NY 12601

BROKER #: A88  
BRANCH #01001 - LifeMark Home Office

| DATE   | CLIENT                         | INVESTMENT                          | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|--|--------------------------------|-------------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b>BROKER TRANSACTIONS (continued)</b>                       |                                |                                     |                      |                     |                    |                   |      |                      |
| <b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</b> |                                |                                     |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-5076 - TORRES, JASON    | THE INVESTMENT COMPANY OF AMERICA-A | 0.00                 | 8.09                | 0.00               | 8.09              | 70.0 | 5.66                 |
|  | ACCOUNT #: 00088000759         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-5076 - TORRES, JASON    | THE NEW ECONOMY FUND-A              | 0.00                 | 4.12                | 0.00               | 4.12              | 70.0 | 2.88                 |
|  | ACCOUNT #: 00088000759         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-2538 - GOLDMAN, DANIEL  | THE NEW ECONOMY FUND-A              | 0.00                 | 26.33               | 0.00               | 26.33             | 70.0 | 18.43                |
|  | ACCOUNT #: 00088105535         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-8658 - GILL, THERESA    | THE NEW ECONOMY FUND-A              | 0.00                 | 1.88                | 0.00               | 1.88              | 70.0 | 1.32                 |
|  | ACCOUNT #: 00088214150         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-3569 - ANDERSON,        | THE NEW ECONOMY FUND-A              | 0.00                 | 7.06                | 0.00               | 7.06              | 70.0 | 4.94                 |
|  | ACCOUNT #: 00088334300         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-9982 - BROWN, EDWIN     | WASHINGTON MUTUAL INVESTORS FUND-A  | 0.00                 | 22.09               | 0.00               | 22.09             | 70.0 | 15.46                |
|  | ACCOUNT #: 00088145716         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-9982 - BROWN, EDWIN     | WASHINGTON MUTUAL INVESTORS FUND-A  | 0.00                 | 12.78               | 0.00               | 12.78             | 70.0 | 8.95                 |
|  | ACCOUNT #: 00088575250         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-5132 - WEBER, FREDERICK | WASHINGTON MUTUAL INVESTORS FUND-A  | 0.00                 | 8.37                | 0.00               | 8.37              | 70.0 | 5.86                 |
|  | ACCOUNT #: 00088817392         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-47FB - TORRES, SHARI    | WASHINGTON MUTUAL INVESTORS FUND-A  | 0.00                 | 27.28               | 0.00               | 27.28             | 70.0 | 19.10                |
|  | ACCOUNT #: 01293376129         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/09/2018   | ***-**-7748 - MCCANNA, GLORIA  | WORLD VALUES INTERNATIONAL EQUITY - | 0.00                 | 10.97               | 0.00               | 10.97             | 70.0 | 7.68                 |
|  | ACCOUNT #: 00000613527         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| <b>* MUTUAL FUND 12B1 TRAILS SUBTOTAL *</b>                  |                                |                                     | <b>\$750.00</b>      | <b>\$2,935.88</b>   | <b>\$0.00</b>      | <b>\$2,935.88</b> |      | <b>\$2,055.17</b>    |
| <b>PRODUCT CATEGORY: VARIABLE ANNUITY 12B1 TRAILS</b>        |                                |                                     |                      |                     |                    |                   |      |                      |
| 03/12/2018   | ***-**-5233 - DUTCHESS,        | MASS MUTUAL VA TRAILS               | 0.00                 | 47.88               | 0.00               | 47.88             | 70.0 | 33.52                |
|  | ACCOUNT #: 841406              | BUY 1 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| <b>* VARIABLE ANNUITY 12B1 TRAILS SUBTOTAL *</b>             |                                |                                     | <b>\$0.00</b>        | <b>\$47.88</b>      | <b>\$0.00</b>      | <b>\$47.88</b>    |      | <b>\$33.52</b>       |
| <b>*** BROKER TRANSACTIONS TOTAL ***</b>                     |                                |                                     | <b>\$188,439.03</b>  | <b>\$8,219.97</b>   | <b>\$108.00</b>    | <b>\$8,111.97</b> |      | <b>\$5,678.44</b>    |



**COMMISSION STATEMENT**  
**March 12, 2018**

**WILLIAM FRANCIS**  
2 Bobrick Road  
Poughkeepsie, NY 12601

**BROKER #: A88**  
BRANCH #01001 - LifeMark Home Office

| DATE   | CLIENT | INVESTMENT | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION            | RATE | BROKER<br>COMMISSION |
|--|--------|------------|----------------------|---------------------|--------------------|------------------------------|------|----------------------|
| <b>BROKER COMMISSION TOTALS</b>  |        |            |                      |                     |                    |                              |      |                      |
| Broker Transactions  |        |            |                      |                     |                    |                              |      | \$5,678.44           |
| Split Transactions   |        |            |                      |                     |                    |                              |      | \$0.00               |
| Override Transactions  |        |            |                      |                     |                    |                              |      | \$0.00               |
| Adjustments  |        |            |                      |                     |                    |                              |      | \$0.00               |
| Payroll Draw   |        |            |                      |                     |                    |                              |      | \$0.00               |
| Base Salary  |        |            |                      |                     |                    |                              |      | \$0.00               |
| Prior Period Balance   |        |            |                      |                     |                    |                              |      | \$0.00               |
| FINRA Assessment   |        |            |                      |                     |                    |                              |      | \$0.00               |
| SIPC Assessment  |        |            |                      |                     |                    |                              |      | \$0.00               |
| <hr/>  |        |            |                      |                     |                    |                              |      |                      |
| Please Retain for Your Records<br>THERE WILL BE NO PAYMENT THIS PERIOD |        |            |                      |                     |                    | <b>Balance Forward</b>       |      | <b>\$0.00</b>        |
|  |        |            |                      |                     |                    | <b>Year-to-date Earnings</b> |      | <b>\$0.00</b>        |





# COMMISSION STATEMENT

March 12, 2018

CHAYIM FRIED  
21 FELDMAN CIRCLE  
KIAMESHA LAKE, NY 12751

BROKER #: 690 Terminated 07/03/2008  
BRANCH #01001 - LifeMark Home Office

| DATE                                   | CLIENT | INVESTMENT                      | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION                |
|--|--------|---------------------------------|----------------------|---------------------|--------------------|-------------------|------|-------------------------------------|
| <b><u>ADJUSTMENTS</u></b>              |        |                                 |                      |                     |                    |                   |      |                                     |
| 03/07/2018                             |        | PRIOR PERIOD BALANCE(SEE BELOW) | 0.00                 | 0.00                | 0.00               | 0.00              |      | 0.00                                |
| *** ADJUSTMENTS TOTAL ***              |        |                                 | <u>\$0.00</u>        | <u>\$0.00</u>       | <u>\$0.00</u>      | <u>\$0.00</u>     |      | <u>\$0.00</u>                       |
| <b><u>BROKER COMMISSION TOTALS</u></b> |        |                                 |                      |                     |                    |                   |      |                                     |
|  |        |                                 |                      |                     |                    |                   |      | Broker Transactions \$0.00          |
|  |        |                                 |                      |                     |                    |                   |      | Split Transactions \$0.00           |
|  |        |                                 |                      |                     |                    |                   |      | Override Transactions \$0.00        |
|  |        |                                 |                      |                     |                    |                   |      | Adjustments \$0.00                  |
|  |        |                                 |                      |                     |                    |                   |      | Payroll Draw \$0.00                 |
|  |        |                                 |                      |                     |                    |                   |      | Base Salary \$0.00                  |
|  |        |                                 |                      |                     |                    |                   |      | Prior Period Balance \$0.00         |
|  |        |                                 |                      |                     |                    |                   |      | FINRA Assessment \$0.00             |
|  |        |                                 |                      |                     |                    |                   |      | SIPC Assessment \$0.00              |
|  |        |                                 |                      |                     |                    |                   |      |                                     |
|  |        |                                 |                      |                     |                    |                   |      | <b>Balance Forward \$0.00</b>       |
|  |        |                                 |                      |                     |                    |                   |      | <b>Year-to-date Earnings \$0.00</b> |

Please Retain for Your Records  
THERE WILL BE NO PAYMENT THIS PERIOD



# COMMISSION STATEMENT

March 12, 2018

SAMUEL GALATIOTO  
134 Liberty Street  
Tustin, CA 949

BROKER #: A37  
BRANCH #01001 - LifeMark Home Office

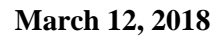
| DATE  | CLIENT  | INVESTMENT   | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|---|---|--|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b><u>BROKER TRANSACTIONS</u></b>                       |   |  |                      |                     |                    |                   |      |                      |
| <b><u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u></b> |   |  |                      |                     |                    |                   |      |                      |
| 03/12/2018  | ***-**-49TR - CUZICK TRUST,<br>ACCOUNT #: LSR010064 | AIM DEVELOPING MARKETS FUND CLASS A<br>BUY 1 Units @0.0000 | 0.00                 | 3.09                | 0.00               | 3.09              | 70.0 | 2.16                 |
| * MUTUAL FUND 12B1 TRAILS SUBTOTAL *                    |   |  | <u>\$0.00</u>        | <u>\$3.09</u>       | <u>\$0.00</u>      | <u>\$3.09</u>     |      | <u>\$2.16</u>        |
| *** BROKER TRANSACTIONS TOTAL ***                       |   |  | <u>\$0.00</u>        | <u>\$3.09</u>       | <u>\$0.00</u>      | <u>\$3.09</u>     |      | <u>\$2.16</u>        |

## **BROKER COMMISSION TOTALS**

|                       |        |
|-----------------------|--------|
| Broker Transactions   | \$2.16 |
| Split Transactions    | \$0.00 |
| Override Transactions | \$0.00 |
| Adjustments           | \$0.00 |
| Payroll Draw          | \$0.00 |
| Base Salary           | \$0.00 |
| Prior Period Balance  | \$0.00 |
| FINRA Assessment      | \$0.00 |
| SIPC Assessment       | \$0.00 |

Please Retain for Your Records  
THERE WILL BE NO PAYMENT THIS PERIOD

|                              |               |
|------------------------------|---------------|
| <b>Balance Forward</b>       | <b>\$0.00</b> |
| <b>Year-to-date Earnings</b> | <b>\$0.00</b> |



BROKER #: 754      Terminated 12/21/2010  
BRANCH #01001 - LifeMark Home Office

| DATE   | CLIENT | INVESTMENT                      | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION  | RATE | BROKER<br>COMMISSION |
|--|--------|---------------------------------|----------------------|---------------------|--------------------|--|------|----------------------|
| <div>ADJUSTMENTS</div>   |        |                                 |                      |                     |                    |  |      |                      |
| 03/07/2018   |        | PRIOR PERIOD BALANCE(SEE BELOW) | 0.00                 | 0.00                | 0.00               | 0.00   |      | 0.00                 |
|  |        | *** ADJUSTMENTS TOTAL ***       | \$0.00               | \$0.00              | \$0.00             | \$0.00   |      | \$0.00               |
|  |        |                                 |                      |                     |                    | BROKER COMMISSION TOTALS   |      |                      |
|  |        |                                 |                      |                     |                    | Broker Transactions  |      | \$0.00               |
|  |        |                                 |                      |                     |                    | Split Transactions   |      | \$0.00               |
|  |        |                                 |                      |                     |                    | Override Transactions  |      | \$0.00               |
|  |        |                                 |                      |                     |                    | Adjustments  |      | \$0.00               |
|  |        |                                 |                      |                     |                    | Payroll Draw   |      | \$0.00               |
|  |        |                                 |                      |                     |                    | Base Salary  |      | \$0.00               |
|  |        |                                 |                      |                     |                    | Prior Period Balance   |      | \$0.00               |
|  |        |                                 |                      |                     |                    | FINRA Assessment   |      | \$0.00               |
|  |        |                                 |                      |                     |                    | SIPC Assessment  |      | \$0.00               |
| Please Retain for Your Records<br>THERE WILL BE NO PAYMENT THIS PERIOD |        |                                 |                      |                     |                    | <div>Balance Forward\$0.00<br/>Year-to-date Earnings\$0.00</div> |      |                      |



# COMMISSION STATEMENT

## March 12, 2018

MICHAEL GAROFALO  
54 Brookmeadow Circle  
Shrewsbury, PA 17361

BROKER #: A17  
BRANCH #01001 - LifeMark Home Office

| DATE   | CLIENT                         | INVESTMENT                         | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|--|--------------------------------|------------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b><u>BROKER TRANSACTIONS</u></b>            |                                |                                    |                      |                     |                    |                   |      |                      |
| <b><u>PRODUCT CATEGORY: MUTUAL FUNDS</u></b> |                                |                                    |                      |                     |                    |                   |      |                      |
| 02/26/2018                                   | ***-**-5144 - WINTER, LAURA    | AMERICAN BALANCED FUND-A           | 50.00                | 2.50                | 0.00               | 2.50              | 85.0 | 2.13                 |
|  | ACCOUNT #: 00086895596         | BUY 2 Units @29.2400               |                      |                     |                    |                   |      |                      |
| 02/28/2018                                   | ***-**-207I - SHOCKEY, CHELSEA | AMERICAN BALANCED FUND-A           | 150.00               | 7.50                | 0.00               | 7.50              | 85.0 | 6.38                 |
|  | ACCOUNT #: 00088283660         | BUY 5 Units @28.7500               |                      |                     |                    |                   |      |                      |
| 03/01/2018                                   | ***-**-18IN - KUNKEL, RYAN     | AMERICAN BALANCED FUND-A           | 50.00                | 1.88                | 0.00               | 1.88              | 85.0 | 1.60                 |
|  | ACCOUNT #: 00087404382         | BUY 2 Units @28.2200               |                      |                     |                    |                   |      |                      |
| 02/28/2018                                   | ***-**-207I - SHOCKEY, CHELSEA | CAPITAL INCOME BUILDER-A           | 100.00               | 5.00                | 0.00               | 5.00              | 85.0 | 4.25                 |
|  | ACCOUNT #: 00088283660         | BUY 2 Units @65.5400               |                      |                     |                    |                   |      |                      |
| 03/01/2018                                   | ***-**-18IN - KUNKEL, RYAN     | CAPITAL INCOME BUILDER-A           | 50.00                | 1.88                | 0.00               | 1.88              | 85.0 | 1.60                 |
|  | ACCOUNT #: 00087404382         | BUY 1 Units @64.3600               |                      |                     |                    |                   |      |                      |
| 02/28/2018                                   | ***-**-207I - SHOCKEY, CHELSEA | FUNDAMENTAL INVESTORS-A            | 150.00               | 7.50                | 0.00               | 7.50              | 85.0 | 6.38                 |
|  | ACCOUNT #: 00088283660         | BUY 2 Units @67.1100               |                      |                     |                    |                   |      |                      |
| 03/02/2018                                   | ***-**-830J - STRAUB, JANE     | HARTFORD BALANCED INCOME FD CL C   | 1,000.01             | 10.00               | 0.00               | 10.00             | 85.0 | 8.50                 |
|  | ACCOUNT #: LSR011950           | BUY 71 Units @14.0000              |                      |                     |                    |                   |      |                      |
| 02/28/2018                                   | ***-**-207I - SHOCKEY, CHELSEA | NEW PERSPECTIVE FUND-A             | 100.00               | 5.00                | 0.00               | 5.00              | 85.0 | 4.25                 |
|  | ACCOUNT #: 00088283660         | BUY 2 Units @47.6400               |                      |                     |                    |                   |      |                      |
| 03/02/2018                                   | ***-**-79IR - WILSON, DELEIGH  | THE GROWTH FUND OF AMERICA-A       | 200.00               | 5.50                | 0.00               | 5.50              | 85.0 | 4.68                 |
|  | ACCOUNT #: 00073333458         | BUY 4 Units @53.7700               |                      |                     |                    |                   |      |                      |
| 03/02/2018                                   | ***-**-79IR - WILSON, DELEIGH  | THE INCOME FUND OF AMERICA-A       | 200.00               | 5.50                | 0.00               | 5.50              | 85.0 | 4.68                 |
|  | ACCOUNT #: 00073333458         | BUY 8 Units @23.8100               |                      |                     |                    |                   |      |                      |
| 03/01/2018                                   | ***-**-18IN - KUNKEL, RYAN     | WASHINGTON MUTUAL INVESTORS FUND-A | 100.00               | 3.75                | 0.00               | 3.75              | 85.0 | 3.19                 |
|  | ACCOUNT #: 00087404382         | BUY 2 Units @47.6200               |                      |                     |                    |                   |      |                      |
| <b>* MUTUAL FUNDS SUBTOTAL *</b>             |                                |                                    | <b>\$2,150.01</b>    | <b>\$56.01</b>      | <b>\$0.00</b>      | <b>\$56.01</b>    |      | <b>\$47.64</b>       |

### **PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS**

|            |                                |                                    |      |       |      |       |      |       |
|------------|--------------------------------|------------------------------------|------|-------|------|-------|------|-------|
| 03/12/2018 | ***-**-036I - CROWL, LINDA     | AIM DIVERSIFIED DIVIDEND FUND - CL | 0.00 | 0.34  | 0.00 | 0.34  | 85.0 | 0.29  |
|            | ACCOUNT #: LSR010466           | BUY 1 Units @0.0000                |      |       |      |       |      |       |
| 03/12/2018 | ***-**-831I - REED, JACK       | AIM DIVERSIFIED DIVIDEND FUND - CL | 0.00 | 0.57  | 0.00 | 0.57  | 85.0 | 0.48  |
|            | ACCOUNT #: LSR010577           | BUY 1 Units @0.0000                |      |       |      |       |      |       |
| 03/12/2018 | ***-**-34IR - MCKENNA, EDWARD  | AIM DIVERSIFIED DIVIDEND FUND - CL | 0.00 | 0.18  | 0.00 | 0.18  | 85.0 | 0.15  |
|            | ACCOUNT #: LSR011376           | BUY 1 Units @0.0000                |      |       |      |       |      |       |
| 03/12/2018 | ***-**-373X - MANGANELLO, TIRA | AIM DIVERSIFIED DIVIDEND FUND - CL | 0.00 | 15.67 | 0.00 | 15.67 | 85.0 | 13.32 |
|            | ACCOUNT #: LSR011551           | BUY 1 Units @0.0000                |      |       |      |       |      |       |



# COMMISSION STATEMENT

## March 12, 2018

MICHAEL GAROFALO  
54 Brookmeadow Circle  
Shrewsbury, PA 17361

BROKER #: A17  
BRANCH #01001 - LifeMark Home Office

| DATE   | CLIENT                         | INVESTMENT                         | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|--|--------------------------------|------------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b>BROKER TRANSACTIONS (continued)</b>                       |                                |                                    |                      |                     |                    |                   |      |                      |
| <b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</b> |                                |                                    |                      |                     |                    |                   |      |                      |
| 03/12/2018   | ***-**-373X - MANGANELLO, TIRA | AIM DIVERSIFIED DIVIDEND FUND - CL | 0.00                 | 20.51               | 0.00               | 20.51             | 85.0 | 17.43                |
|  | ACCOUNT #: LSR011552           | BUY 1 Units @0.0000                |                      |                     |                    |                   |      |                      |
| 03/12/2018   | ***-**-260X - ILGENFRITZ, CORY | AIM DIVERSIFIED DIVIDEND FUND - CL | 0.00                 | 16.45               | 0.00               | 16.45             | 85.0 | 13.98                |
|  | ACCOUNT #: LSR011553           | BUY 1 Units @0.0000                |                      |                     |                    |                   |      |                      |
| 03/12/2018   | ***-**-181X - ILGENFRITZ,      | AIM DIVERSIFIED DIVIDEND FUND - CL | 0.00                 | 17.21               | 0.00               | 17.21             | 85.0 | 14.63                |
|  | ACCOUNT #: LSR011555           | BUY 1 Units @0.0000                |                      |                     |                    |                   |      |                      |
| 03/12/2018   | ***-**-055X - ILGENFRITZ,      | AIM DIVERSIFIED DIVIDEND FUND - CL | 0.00                 | 20.74               | 0.00               | 20.74             | 85.0 | 17.63                |
|  | ACCOUNT #: LSR011558           | BUY 1 Units @0.0000                |                      |                     |                    |                   |      |                      |
| 03/12/2018   | ***-**-352I - KUNKEL, RAY      | AIM DIVERSIFIED DIVIDEND FUND - CL | 0.00                 | 12.07               | 0.00               | 12.07             | 85.0 | 10.26                |
|  | ACCOUNT #: LSR011585           | BUY 1 Units @0.0000                |                      |                     |                    |                   |      |                      |
| 03/12/2018   | ***-**-8100 - BLAUCH, CATHY    | AIM DIVERSIFIED DIVIDEND FUND - CL | 0.00                 | 0.11                | 0.00               | 0.11              | 85.0 | 0.09                 |
|  | ACCOUNT #: LSR011859           | BUY 1 Units @0.0000                |                      |                     |                    |                   |      |                      |
| 03/12/2018   | ***-**-881I - HOUSER, LORI     | AIM DIVERSIFIED DIVIDEND FUND - CL | 0.00                 | 0.18                | 0.00               | 0.18              | 85.0 | 0.15                 |
|  | ACCOUNT #: LSR011961           | BUY 1 Units @0.0000                |                      |                     |                    |                   |      |                      |
| 03/12/2018   | ***-**-131R - LOYCH, ALICE     | AIM DIVERSIFIED DIVIDEND FUND - CL | 0.00                 | 0.28                | 0.00               | 0.28              | 85.0 | 0.24                 |
|  | ACCOUNT #: LSR012051           | BUY 1 Units @0.0000                |                      |                     |                    |                   |      |                      |
| 03/12/2018   | ***-**-811R - BLEILER, CARLTON | AIM DIVERSIFIED DIVIDEND FUND - CL | 0.00                 | 0.07                | 0.00               | 0.07              | 85.0 | 0.06                 |
|  | ACCOUNT #: LSR012082           | BUY 1 Units @0.0000                |                      |                     |                    |                   |      |                      |
| 03/12/2018   | ***-**-872I - GAROFALO,        | AIM DIVERSIFIED DIVIDEND FUND - CL | 0.00                 | 0.29                | 0.00               | 0.29              | 85.0 | 0.25                 |
|  | ACCOUNT #: LSR010758           | BUY 1 Units @0.0000                |                      |                     |                    |                   |      |                      |
| 03/12/2018   | ***-**-244X - REED, GENEVIEVE  | AIM HIGH YIELD FUND - CLASS A      | 0.00                 | 1.52                | 0.00               | 1.52              | 85.0 | 1.29                 |
|  | ACCOUNT #: LSR012032           | BUY 1 Units @0.0000                |                      |                     |                    |                   |      |                      |
| 03/12/2018   | ***-**-8100 - BLAUCH, CATHY    | AIM INCOME ALLOCATION FUND - CLASS | 0.00                 | 0.18                | 0.00               | 0.18              | 85.0 | 0.15                 |
|  | ACCOUNT #: LSR011859           | BUY 1 Units @0.0000                |                      |                     |                    |                   |      |                      |
| 03/12/2018   | ***-**-881I - HOUSER, LORI     | AIM INCOME ALLOCATION FUND - CLASS | 0.00                 | 0.19                | 0.00               | 0.19              | 85.0 | 0.16                 |
|  | ACCOUNT #: LSR011961           | BUY 1 Units @0.0000                |                      |                     |                    |                   |      |                      |
| 03/12/2018   | ***-**-228I - BUCHANAN,        | AIM UTILITIES FUND - CLASS C       | 0.00                 | 16.31               | 0.00               | 16.31             | 85.0 | 13.86                |
|  | ACCOUNT #: LSR010538           | BUY 1 Units @0.0000                |                      |                     |                    |                   |      |                      |
| 03/12/2018   | ***-**-630X - WEAVER, NICOLE   | AIM UTILITIES FUND - CLASS C       | 0.00                 | 62.21               | 0.00               | 62.21             | 85.0 | 52.88                |
|  | ACCOUNT #: LSR011529           | BUY 1 Units @0.0000                |                      |                     |                    |                   |      |                      |
| 03/12/2018   | ***-**-4000 - ROMIG, MARK      | AIM UTILITIES FUND - CLASS C       | 0.00                 | 11.93               | 0.00               | 11.93             | 85.0 | 10.14                |
|  | ACCOUNT #: LSR011567           | BUY 1 Units @0.0000                |                      |                     |                    |                   |      |                      |



# COMMISSION STATEMENT

March 12, 2018

MICHAEL GAROFALO  
54 Brookmeadow Circle  
Shrewsbury, PA 17361

BROKER #: A17  
BRANCH #01001 - LifeMark Home Office

| DATE   | CLIENT                         | INVESTMENT                  | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|--|--------------------------------|-----------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b>BROKER TRANSACTIONS (continued)</b>                       |                                |                             |                      |                     |                    |                   |      |                      |
| <b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</b> |                                |                             |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-162I - ANDERSON, THOMAS | AMCAP FUND-A                | 0.00                 | 21.93               | 0.00               | 21.93             | 85.0 | 18.64                |
|  | ACCOUNT #: 00068241483         | BUY 0 Units @0.0000         |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-44IR - REED, GENEVIEVE  | AMCAP FUND-A                | 0.00                 | 9.07                | 0.00               | 9.07              | 85.0 | 7.71                 |
|  | ACCOUNT #: 00074671768         | BUY 0 Units @0.0000         |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-244I - REED, GENEVIEVE  | AMCAP FUND-A                | 0.00                 | 3.72                | 0.00               | 3.72              | 85.0 | 3.16                 |
|  | ACCOUNT #: 00086668365         | BUY 0 Units @0.0000         |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-18IN - KUNKEL, RYAN     | AMCAP FUND-A                | 0.00                 | 3.19                | 0.00               | 3.19              | 85.0 | 2.71                 |
|  | ACCOUNT #: 00087404382         | BUY 0 Units @0.0000         |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-801I - BECK, LORETTA    | AMCAP FUND-C                | 0.00                 | 5.13                | 0.00               | 5.13              | 85.0 | 4.36                 |
|  | ACCOUNT #: 00086800193         | BUY 0 Units @0.0000         |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-5144 - WINTER, LAURA    | AMERICAN BALANCED FUND-529A | 0.00                 | 1.19                | 0.00               | 1.19              | 85.0 | 1.01                 |
|  | ACCOUNT #: 00084354293         | BUY 0 Units @0.0000         |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-162I - ANDERSON, THOMAS | AMERICAN BALANCED FUND-A    | 0.00                 | 30.20               | 0.00               | 30.20             | 85.0 | 25.67                |
|  | ACCOUNT #: 00068241483         | BUY 0 Units @0.0000         |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-71IN - STRAUB, GREGORY  | AMERICAN BALANCED FUND-A    | 0.00                 | 10.48               | 0.00               | 10.48             | 85.0 | 8.91                 |
|  | ACCOUNT #: 00073333058         | BUY 0 Units @0.0000         |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-379I - WILSON, DELEIGH  | AMERICAN BALANCED FUND-A    | 0.00                 | 5.92                | 0.00               | 5.92              | 85.0 | 5.03                 |
|  | ACCOUNT #: 00073333244         | BUY 0 Units @0.0000         |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-00IN - ROMIG, MARK      | AMERICAN BALANCED FUND-A    | 0.00                 | 10.73               | 0.00               | 10.73             | 85.0 | 9.12                 |
|  | ACCOUNT #: 00073419431         | BUY 0 Units @0.0000         |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-94IN - VITALE, LAURIE   | AMERICAN BALANCED FUND-A    | 0.00                 | 7.30                | 0.00               | 7.30              | 85.0 | 6.21                 |
|  | ACCOUNT #: 00075108457         | BUY 0 Units @0.0000         |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-228I - BUCHANAN,        | AMERICAN BALANCED FUND-A    | 0.00                 | 10.99               | 0.00               | 10.99             | 85.0 | 9.34                 |
|  | ACCOUNT #: 00075166368         | BUY 0 Units @0.0000         |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-35IN - TOBIN, MAUREEN   | AMERICAN BALANCED FUND-A    | 0.00                 | 15.86               | 0.00               | 15.86             | 85.0 | 13.48                |
|  | ACCOUNT #: 00075417983         | BUY 0 Units @0.0000         |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-153J - SHOCKEY, JEFFREY | AMERICAN BALANCED FUND-A    | 0.00                 | 21.20               | 0.00               | 21.20             | 85.0 | 18.02                |
|  | ACCOUNT #: 00075824133         | BUY 0 Units @0.0000         |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-842I - GREENHALGH,      | AMERICAN BALANCED FUND-A    | 0.00                 | 8.52                | 0.00               | 8.52              | 85.0 | 7.24                 |
|  | ACCOUNT #: 00075857948         | BUY 0 Units @0.0000         |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-799I - BUCHANAN, STEVEN | AMERICAN BALANCED FUND-A    | 0.00                 | 12.37               | 0.00               | 12.37             | 85.0 | 10.51                |
|  | ACCOUNT #: 00081734282         | BUY 0 Units @0.0000         |                      |                     |                    |                   |      |                      |



# COMMISSION STATEMENT

March 12, 2018

MICHAEL GAROFALO  
54 Brookmeadow Circle  
Shrewsbury, PA 17361

BROKER #: A17  
BRANCH #01001 - LifeMark Home Office

| DATE   | CLIENT   | INVESTMENT                                      | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|--|--|---|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b>BROKER TRANSACTIONS (continued)</b>                       |  |   |                      |                     |                    |                   |      |                      |
| <b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</b> |  |   |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-228I - BUCHANAN,<br>ACCOUNT #: 00081734302        | AMERICAN BALANCED FUND-A<br>BUY 0 Units @0.0000 | 0.00                 | 14.64               | 0.00               | 14.64             | 85.0 | 12.44                |
| 03/01/2018   | ***-**-972I - SHAW, SUSAN<br>ACCOUNT #: 00082025659      | AMERICAN BALANCED FUND-A<br>BUY 0 Units @0.0000 | 0.00                 | 8.01                | 0.00               | 8.01              | 85.0 | 6.81                 |
| 03/01/2018   | ***-**-80IR - LEAR, WILLIAM<br>ACCOUNT #: 00084166547    | AMERICAN BALANCED FUND-A<br>BUY 0 Units @0.0000 | 0.00                 | 1.45                | 0.00               | 1.45              | 85.0 | 1.23                 |
| 03/01/2018   | ***-**-5144 - WINTER, LAURA<br>ACCOUNT #: 00084354308    | AMERICAN BALANCED FUND-A<br>BUY 0 Units @0.0000 | 0.00                 | 0.25                | 0.00               | 0.25              | 85.0 | 0.21                 |
| 03/01/2018   | ***-**-752I - HARBAUGH, KELLY<br>ACCOUNT #: 00084420802  | AMERICAN BALANCED FUND-A<br>BUY 0 Units @0.0000 | 0.00                 | 3.62                | 0.00               | 3.62              | 85.0 | 3.08                 |
| 03/01/2018   | ***-**-11IN - GRAHAM, ARTHUR<br>ACCOUNT #: 00085061358   | AMERICAN BALANCED FUND-A<br>BUY 0 Units @0.0000 | 0.00                 | 7.02                | 0.00               | 7.02              | 85.0 | 5.97                 |
| 03/01/2018   | ***-**-400I - ROMIG, MARK<br>ACCOUNT #: 00086646961      | AMERICAN BALANCED FUND-A<br>BUY 0 Units @0.0000 | 0.00                 | 40.89               | 0.00               | 40.89             | 85.0 | 34.76                |
| 03/01/2018   | ***-**-244I - REED, GENEVIEVE<br>ACCOUNT #: 00086668365  | AMERICAN BALANCED FUND-A<br>BUY 0 Units @0.0000 | 0.00                 | 27.77               | 0.00               | 27.77             | 85.0 | 23.60                |
| 03/01/2018   | ***-**-37IN - KUNKEL, JANET<br>ACCOUNT #: 00086684007    | AMERICAN BALANCED FUND-A<br>BUY 0 Units @0.0000 | 0.00                 | 17.70               | 0.00               | 17.70             | 85.0 | 15.05                |
| 03/01/2018   | ***-**-5144 - WINTER, LAURA<br>ACCOUNT #: 00086895596    | AMERICAN BALANCED FUND-A<br>BUY 0 Units @0.0000 | 0.00                 | 2.28                | 0.00               | 2.28              | 85.0 | 1.94                 |
| 03/01/2018   | ***-**-400I - ROMIG, MARK<br>ACCOUNT #: 00087282057      | AMERICAN BALANCED FUND-A<br>BUY 0 Units @0.0000 | 0.00                 | 3.97                | 0.00               | 3.97              | 85.0 | 3.37                 |
| 03/01/2018   | ***-**-113I - PIERMANI, JOHN<br>ACCOUNT #: 00087371626   | AMERICAN BALANCED FUND-A<br>BUY 0 Units @0.0000 | 0.00                 | 23.16               | 0.00               | 23.16             | 85.0 | 19.69                |
| 03/01/2018   | ***-**-18IN - KUNKEL, RYAN<br>ACCOUNT #: 00087401941     | AMERICAN BALANCED FUND-A<br>BUY 0 Units @0.0000 | 0.00                 | 2.16                | 0.00               | 2.16              | 85.0 | 1.84                 |
| 03/01/2018   | ***-**-18IN - KUNKEL, RYAN<br>ACCOUNT #: 00087404382     | AMERICAN BALANCED FUND-A<br>BUY 0 Units @0.0000 | 0.00                 | 0.43                | 0.00               | 0.43              | 85.0 | 0.37                 |
| 03/01/2018   | ***-**-207I - SHOCKEY, CHELSEA<br>ACCOUNT #: 00088283660 | AMERICAN BALANCED FUND-A<br>BUY 0 Units @0.0000 | 0.00                 | 0.45                | 0.00               | 0.45              | 85.0 | 0.38                 |
| 03/01/2018   | ***-**-52IN - KUNKEL, RAY<br>ACCOUNT #: 04000349641      | AMERICAN BALANCED FUND-A<br>BUY 0 Units @0.0000 | 0.00                 | 14.07               | 0.00               | 14.07             | 85.0 | 11.96                |



# COMMISSION STATEMENT

March 12, 2018

MICHAEL GAROFALO  
54 Brookmeadow Circle  
Shrewsbury, PA 17361

BROKER #: A17  
BRANCH #01001 - LifeMark Home Office

| DATE   | CLIENT                         | INVESTMENT                        | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|--|--------------------------------|-----------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b>BROKER TRANSACTIONS (continued)</b>                       |                                |                                   |                      |                     |                    |                   |      |                      |
| <b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</b> |                                |                                   |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-30IN - WEAVER, NICOLE   | AMERICAN BALANCED FUND-C          | 0.00                 | 31.34               | 0.00               | 31.34             | 85.0 | 26.64                |
|  | ACCOUNT #: 00073180963         | BUY 0 Units @0.0000               |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-26IN - CROWL, ROBERT    | AMERICAN BALANCED FUND-C          | 0.00                 | 19.39               | 0.00               | 19.39             | 85.0 | 16.48                |
|  | ACCOUNT #: 00074806269         | BUY 0 Units @0.0000               |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-36IN - CROWL, LINDA     | AMERICAN BALANCED FUND-C          | 0.00                 | 19.39               | 0.00               | 19.39             | 85.0 | 16.48                |
|  | ACCOUNT #: 00074806331         | BUY 0 Units @0.0000               |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-80IR - LEAR, WILLIAM    | AMERICAN BALANCED FUND-C          | 0.00                 | 4.86                | 0.00               | 4.86              | 85.0 | 4.13                 |
|  | ACCOUNT #: 00084166547         | BUY 0 Units @0.0000               |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-5144 - WINTER, LAURA    | AMERICAN BALANCED FUND-C          | 0.00                 | 29.08               | 0.00               | 29.08             | 85.0 | 24.72                |
|  | ACCOUNT #: 00084354308         | BUY 0 Units @0.0000               |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-897I - PLAPPERT, KAREN  | AMERICAN BALANCED FUND-C          | 0.00                 | 50.77               | 0.00               | 50.77             | 85.0 | 43.15                |
|  | ACCOUNT #: 00085201402         | BUY 0 Units @0.0000               |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-801I - BECK, LORETTA    | AMERICAN BALANCED FUND-C          | 0.00                 | 14.57               | 0.00               | 14.57             | 85.0 | 12.38                |
|  | ACCOUNT #: 00086800193         | BUY 0 Units @0.0000               |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-65IN - BARLUP, DAVID    | AMERICAN BALANCED FUND-C          | 0.00                 | 2.49                | 0.00               | 2.49              | 85.0 | 2.12                 |
|  | ACCOUNT #: 00087982202         | BUY 0 Units @0.0000               |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-30IN - WEAVER, NICOLE   | AMERICAN BALANCED FUND-F1         | 0.00                 | 5.09                | 0.00               | 5.09              | 85.0 | 4.33                 |
|  | ACCOUNT #: 00073180963         | BUY 0 Units @0.0000               |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-153J - SHOCKEY, JEFFREY | AMERICAN FUNDS 2025 TARGET DATE-A | 0.00                 | 2.37                | 0.00               | 2.37              | 85.0 | 2.01                 |
|  | ACCOUNT #: 00075824133         | BUY 0 Units @0.0000               |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-5144 - WINTER, LAURA    | AMERICAN HIGH-INCOME TRUST-529A   | 0.00                 | 0.69                | 0.00               | 0.69              | 85.0 | 0.59                 |
|  | ACCOUNT #: 00084354293         | BUY 0 Units @0.0000               |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-44IR - REED, GENEVIEVE  | AMERICAN HIGH-INCOME TRUST-A      | 0.00                 | 1.68                | 0.00               | 1.68              | 85.0 | 1.43                 |
|  | ACCOUNT #: 00074671768         | BUY 0 Units @0.0000               |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-5144 - WINTER, LAURA    | AMERICAN HIGH-INCOME TRUST-A      | 0.00                 | 0.10                | 0.00               | 0.10              | 85.0 | 0.09                 |
|  | ACCOUNT #: 00084354308         | BUY 0 Units @0.0000               |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-05IN - WEAVER, DAVID    | AMERICAN HIGH-INCOME TRUST-A      | 0.00                 | 2.65                | 0.00               | 2.65              | 85.0 | 2.25                 |
|  | ACCOUNT #: 00086846926         | BUY 0 Units @0.0000               |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-162I - ANDERSON, THOMAS | AMERICAN MORTGAGE FUND CL A       | 0.00                 | 8.45                | 0.00               | 8.45              | 85.0 | 7.18                 |
|  | ACCOUNT #: 00068241483         | BUY 0 Units @0.0000               |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-831I - REED, JACK       | AMERICAN MUTUAL FUND-A            | 0.00                 | 7.77                | 0.00               | 7.77              | 85.0 | 6.60                 |
|  | ACCOUNT #: 00067413408         | BUY 0 Units @0.0000               |                      |                     |                    |                   |      |                      |





# COMMISSION STATEMENT

## March 12, 2018

MICHAEL GAROFALO  
54 Brookmeadow Circle  
Shrewsbury, PA 17361

BROKER #: A17  
BRANCH #01001 - LifeMark Home Office

| DATE   | CLIENT                         | INVESTMENT                     | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|--|--------------------------------|--------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b>BROKER TRANSACTIONS (continued)</b>                       |                                |                                |                      |                     |                    |                   |      |                      |
| <b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</b> |                                |                                |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-162I - ANDERSON, THOMAS | AMERICAN MUTUAL FUND-A         | 0.00                 | 31.74               | 0.00               | 31.74             | 85.0 | 26.98                |
|  | ACCOUNT #: 00068241483         | BUY 0 Units @0.0000            |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-71IN - STRAUB, GREGORY  | AMERICAN MUTUAL FUND-A         | 0.00                 | 11.63               | 0.00               | 11.63             | 85.0 | 9.89                 |
|  | ACCOUNT #: 00073333058         | BUY 0 Units @0.0000            |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-44IR - REED, GENEVIEVE  | AMERICAN MUTUAL FUND-A         | 0.00                 | 8.32                | 0.00               | 8.32              | 85.0 | 7.07                 |
|  | ACCOUNT #: 00074671768         | BUY 0 Units @0.0000            |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-94IN - VITALE, LAURIE   | AMERICAN MUTUAL FUND-A         | 0.00                 | 7.52                | 0.00               | 7.52              | 85.0 | 6.39                 |
|  | ACCOUNT #: 00075108457         | BUY 0 Units @0.0000            |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-228I - BUCHANAN,        | AMERICAN MUTUAL FUND-A         | 0.00                 | 6.98                | 0.00               | 6.98              | 85.0 | 5.93                 |
|  | ACCOUNT #: 00075166368         | BUY 0 Units @0.0000            |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-35IN - TOBIN, MAUREEN   | AMERICAN MUTUAL FUND-A         | 0.00                 | 16.42               | 0.00               | 16.42             | 85.0 | 13.96                |
|  | ACCOUNT #: 00075417983         | BUY 0 Units @0.0000            |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-842I - GREENHALGH,      | AMERICAN MUTUAL FUND-A         | 0.00                 | 7.48                | 0.00               | 7.48              | 85.0 | 6.36                 |
|  | ACCOUNT #: 00075857948         | BUY 0 Units @0.0000            |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-799I - BUCHANAN, STEVEN | AMERICAN MUTUAL FUND-A         | 0.00                 | 12.38               | 0.00               | 12.38             | 85.0 | 10.52                |
|  | ACCOUNT #: 00081734282         | BUY 0 Units @0.0000            |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-228I - BUCHANAN,        | AMERICAN MUTUAL FUND-A         | 0.00                 | 15.26               | 0.00               | 15.26             | 85.0 | 12.97                |
|  | ACCOUNT #: 00081734302         | BUY 0 Units @0.0000            |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-972I - SHAW, SUSAN      | AMERICAN MUTUAL FUND-A         | 0.00                 | 8.14                | 0.00               | 8.14              | 85.0 | 6.92                 |
|  | ACCOUNT #: 00082025659         | BUY 0 Units @0.0000            |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-244I - REED, GENEVIEVE  | AMERICAN MUTUAL FUND-A         | 0.00                 | 2.77                | 0.00               | 2.77              | 85.0 | 2.35                 |
|  | ACCOUNT #: 00086668365         | BUY 0 Units @0.0000            |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-400I - ROMIG, MARK      | AMERICAN MUTUAL FUND-A         | 0.00                 | 41.02               | 0.00               | 41.02             | 85.0 | 34.87                |
|  | ACCOUNT #: 00087282057         | BUY 0 Units @0.0000            |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-52IN - KUNKEL, RAY      | AMERICAN MUTUAL FUND-A         | 0.00                 | 10.76               | 0.00               | 10.76             | 85.0 | 9.15                 |
|  | ACCOUNT #: 04000349641         | BUY 0 Units @0.0000            |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-05IN - WEAVER, DAVID    | CAPITAL INCOME BUILDER CLASS C | 0.00                 | 67.25               | 0.00               | 67.25             | 85.0 | 57.16                |
|  | ACCOUNT #: 00075103981         | BUY 0 Units @0.0000            |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-80IR - LEAR, WILLIAM    | CAPITAL INCOME BUILDER CLASS C | 0.00                 | 5.78                | 0.00               | 5.78              | 85.0 | 4.91                 |
|  | ACCOUNT #: 00084166547         | BUY 0 Units @0.0000            |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-461I - WOOD, VIRGINIA   | CAPITAL INCOME BUILDER CLASS C | 0.00                 | 56.91               | 0.00               | 56.91             | 85.0 | 48.37                |
|  | ACCOUNT #: 00084974381         | BUY 0 Units @0.0000            |                      |                     |                    |                   |      |                      |



# COMMISSION STATEMENT

March 12, 2018

MICHAEL GAROFALO  
54 Brookmeadow Circle  
Shrewsbury, PA 17361

BROKER #: A17  
BRANCH #01001 - LifeMark Home Office

| DATE   | CLIENT                         | INVESTMENT                     | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|--|--------------------------------|--------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b>BROKER TRANSACTIONS (continued)</b>                       |                                |                                |                      |                     |                    |                   |      |                      |
| <b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</b> |                                |                                |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-999I - WOOD, G. MICHAEL | CAPITAL INCOME BUILDER CLASS C | 0.00                 | 33.38               | 0.00               | 33.38             | 85.0 | 28.37                |
|  | ACCOUNT #: 00085931337         | BUY 0 Units @0.0000            |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-814I - MCKENNA, DONNA   | CAPITAL INCOME BUILDER CLASS C | 0.00                 | 58.63               | 0.00               | 58.63             | 85.0 | 49.84                |
|  | ACCOUNT #: 00087249221         | BUY 0 Units @0.0000            |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-54CL - GAROFALO,        | CAPITAL INCOME BUILDER CLASS C | 0.00                 | 2.30                | 0.00               | 2.30              | 85.0 | 1.96                 |
|  | ACCOUNT #: 00088299705         | BUY 0 Units @0.0000            |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-962I - KLOKIS, ROBERT   | CAPITAL INCOME BUILDER CLASS C | 0.00                 | 4.27                | 0.00               | 4.27              | 85.0 | 3.63                 |
|  | ACCOUNT #: 00088311999         | BUY 0 Units @0.0000            |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-683I - SCHWARTZ, EMILY  | CAPITAL INCOME BUILDER-A       | 0.00                 | 3.11                | 0.00               | 3.11              | 85.0 | 2.64                 |
|  | ACCOUNT #: 00063858924         | BUY 0 Units @0.0000            |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-162I - ANDERSON, THOMAS | CAPITAL INCOME BUILDER-A       | 0.00                 | 25.26               | 0.00               | 25.26             | 85.0 | 21.47                |
|  | ACCOUNT #: 00068241483         | BUY 0 Units @0.0000            |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-959I - HACKMAN, BRANDT  | CAPITAL INCOME BUILDER-A       | 0.00                 | 13.66               | 0.00               | 13.66             | 85.0 | 11.61                |
|  | ACCOUNT #: 00068405049         | BUY 0 Units @0.0000            |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-276I - GASSWINT, SUSAN  | CAPITAL INCOME BUILDER-A       | 0.00                 | 11.91               | 0.00               | 11.91             | 85.0 | 10.12                |
|  | ACCOUNT #: 00068559968         | BUY 0 Units @0.0000            |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-227I - ZELLERS,         | CAPITAL INCOME BUILDER-A       | 0.00                 | 30.76               | 0.00               | 30.76             | 85.0 | 26.15                |
|  | ACCOUNT #: 00068680438         | BUY 0 Units @0.0000            |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-162I - ANDERSON, THOMAS | CAPITAL INCOME BUILDER-A       | 0.00                 | 6.39                | 0.00               | 6.39              | 85.0 | 5.43                 |
|  | ACCOUNT #: 00068905799         | BUY 0 Units @0.0000            |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-32IN - WHEELER, THOMAS  | CAPITAL INCOME BUILDER-A       | 0.00                 | 11.93               | 0.00               | 11.93             | 85.0 | 10.14                |
|  | ACCOUNT #: 00073406010         | BUY 0 Units @0.0000            |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-61IN - STOOPS, SARA     | CAPITAL INCOME BUILDER-A       | 0.00                 | 4.63                | 0.00               | 4.63              | 85.0 | 3.94                 |
|  | ACCOUNT #: 00073738867         | BUY 0 Units @0.0000            |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-85IN - GRAHAM, BARBARA  | CAPITAL INCOME BUILDER-A       | 0.00                 | 4.41                | 0.00               | 4.41              | 85.0 | 3.75                 |
|  | ACCOUNT #: 00074061357         | BUY 0 Units @0.0000            |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-11IN - GRAHAM, ARTHUR   | CAPITAL INCOME BUILDER-A       | 0.00                 | 3.34                | 0.00               | 3.34              | 85.0 | 2.84                 |
|  | ACCOUNT #: 00074061422         | BUY 0 Units @0.0000            |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-842I - GREENHALGH,      | CAPITAL INCOME BUILDER-A       | 0.00                 | 14.88               | 0.00               | 14.88             | 85.0 | 12.65                |
|  | ACCOUNT #: 00074721842         | BUY 0 Units @0.0000            |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-069I - MEHALKO,         | CAPITAL INCOME BUILDER-A       | 0.00                 | 1.03                | 0.00               | 1.03              | 85.0 | 0.88                 |
|  | ACCOUNT #: 00075263054         | BUY 0 Units @0.0000            |                      |                     |                    |                   |      |                      |



# COMMISSION STATEMENT

March 12, 2018

MICHAEL GAROFALO  
54 Brookmeadow Circle  
Shrewsbury, PA 17361

BROKER #: A17  
BRANCH #01001 - LifeMark Home Office

| DATE   | CLIENT   | INVESTMENT                                      | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|--|--|---|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b>BROKER TRANSACTIONS (continued)</b>                       |  |   |                      |                     |                    |                   |      |                      |
| <b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</b> |  |   |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-70IN - DUNDORE, ETHEL<br>ACCOUNT #: 00075558052   | CAPITAL INCOME BUILDER-A<br>BUY 0 Units @0.0000 | 0.00                 | 13.62               | 0.00               | 13.62             | 85.0 | 11.58                |
| 03/01/2018   | ***-**-153J - SHOCKEY, JEFFREY<br>ACCOUNT #: 00075824133 | CAPITAL INCOME BUILDER-A<br>BUY 0 Units @0.0000 | 0.00                 | 20.37               | 0.00               | 20.37             | 85.0 | 17.31                |
| 03/01/2018   | ***-**-92IN - ZEBLEY,<br>ACCOUNT #: 00082035849          | CAPITAL INCOME BUILDER-A<br>BUY 0 Units @0.0000 | 0.00                 | 17.99               | 0.00               | 17.99             | 85.0 | 15.29                |
| 03/01/2018   | ***-**-653I - MYERS, MARVIN<br>ACCOUNT #: 00082603023    | CAPITAL INCOME BUILDER-A<br>BUY 0 Units @0.0000 | 0.00                 | 7.42                | 0.00               | 7.42              | 85.0 | 6.31                 |
| 03/01/2018   | ***-**-80IR - LEAR, WILLIAM<br>ACCOUNT #: 00084166547    | CAPITAL INCOME BUILDER-A<br>BUY 0 Units @0.0000 | 0.00                 | 1.83                | 0.00               | 1.83              | 85.0 | 1.56                 |
| 03/01/2018   | ***-**-752I - HARBAUGH, KELLY<br>ACCOUNT #: 00084420802  | CAPITAL INCOME BUILDER-A<br>BUY 0 Units @0.0000 | 0.00                 | 10.82               | 0.00               | 10.82             | 85.0 | 9.20                 |
| 03/01/2018   | ***-**-11IN - GRAHAM, ARTHUR<br>ACCOUNT #: 00085061358   | CAPITAL INCOME BUILDER-A<br>BUY 0 Units @0.0000 | 0.00                 | 8.06                | 0.00               | 8.06              | 85.0 | 6.85                 |
| 03/01/2018   | ***-**-48IN - KANE, VIRGINIA<br>ACCOUNT #: 00085083170   | CAPITAL INCOME BUILDER-A<br>BUY 0 Units @0.0000 | 0.00                 | 8.05                | 0.00               | 8.05              | 85.0 | 6.84                 |
| 03/01/2018   | ***-**-11IN - GRAHAM, ARTHUR<br>ACCOUNT #: 00085201011   | CAPITAL INCOME BUILDER-A<br>BUY 0 Units @0.0000 | 0.00                 | 5.51                | 0.00               | 5.51              | 85.0 | 4.68                 |
| 03/01/2018   | ***-**-582I - PLOCKI, EDWARD<br>ACCOUNT #: 00085925861   | CAPITAL INCOME BUILDER-A<br>BUY 0 Units @0.0000 | 0.00                 | 21.88               | 0.00               | 21.88             | 85.0 | 18.60                |
| 03/01/2018   | ***-**-962I - KLOKIS, ROBERT<br>ACCOUNT #: 00085925927   | CAPITAL INCOME BUILDER-A<br>BUY 0 Units @0.0000 | 0.00                 | 30.04               | 0.00               | 30.04             | 85.0 | 25.53                |
| 03/01/2018   | ***-**-305I - WAGNER, KEITH<br>ACCOUNT #: 00085996672    | CAPITAL INCOME BUILDER-A<br>BUY 0 Units @0.0000 | 0.00                 | 43.66               | 0.00               | 43.66             | 85.0 | 37.11                |
| 03/01/2018   | ***-**-244I - REED, GENEVIEVE<br>ACCOUNT #: 00086668365  | CAPITAL INCOME BUILDER-A<br>BUY 0 Units @0.0000 | 0.00                 | 26.37               | 0.00               | 26.37             | 85.0 | 22.41                |
| 03/01/2018   | ***-**-37IN - KUNKEL, JANET<br>ACCOUNT #: 00086684007    | CAPITAL INCOME BUILDER-A<br>BUY 0 Units @0.0000 | 0.00                 | 14.98               | 0.00               | 14.98             | 85.0 | 12.73                |
| 03/01/2018   | ***-**-05IN - WEAVER, DAVID<br>ACCOUNT #: 00086846926    | CAPITAL INCOME BUILDER-A<br>BUY 0 Units @0.0000 | 0.00                 | 6.11                | 0.00               | 6.11              | 85.0 | 5.19                 |
| 03/01/2018   | ***-**-85IN - GRAHAM, BARBARA<br>ACCOUNT #: 00087104867  | CAPITAL INCOME BUILDER-A<br>BUY 0 Units @0.0000 | 0.00                 | 8.34                | 0.00               | 8.34              | 85.0 | 7.09                 |



# COMMISSION STATEMENT

March 12, 2018

MICHAEL GAROFALO  
54 Brookmeadow Circle  
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| DATE   | CLIENT                         | INVESTMENT                          | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|--|--------------------------------|-------------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b>BROKER TRANSACTIONS (continued)</b>                       |                                |                                     |                      |                     |                    |                   |      |                      |
| <b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</b> |                                |                                     |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-113I - PIERMANI, JOHN   | CAPITAL INCOME BUILDER-A            | 0.00                 | 20.33               | 0.00               | 20.33             | 85.0 | 17.28                |
|  | ACCOUNT #: 00087371626         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-18IN - KUNKEL, RYAN     | CAPITAL INCOME BUILDER-A            | 0.00                 | 1.72                | 0.00               | 1.72              | 85.0 | 1.46                 |
|  | ACCOUNT #: 00087401941         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-18IN - KUNKEL, RYAN     | CAPITAL INCOME BUILDER-A            | 0.00                 | 0.42                | 0.00               | 0.42              | 85.0 | 0.36                 |
|  | ACCOUNT #: 00087404382         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-71IN - STRAUB, GREGORY  | CAPITAL INCOME BUILDER-A            | 0.00                 | 3.85                | 0.00               | 3.85              | 85.0 | 3.27                 |
|  | ACCOUNT #: 00087442503         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-964I - BURG, WAYNE      | CAPITAL INCOME BUILDER-A            | 0.00                 | 25.89               | 0.00               | 25.89             | 85.0 | 22.01                |
|  | ACCOUNT #: 00087501958         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-964I - BURG, WAYNE      | CAPITAL INCOME BUILDER-A            | 0.00                 | 8.79                | 0.00               | 8.79              | 85.0 | 7.47                 |
|  | ACCOUNT #: 00087506557         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-057I - BEIBLE, DIANE    | CAPITAL INCOME BUILDER-A            | 0.00                 | 10.93               | 0.00               | 10.93             | 85.0 | 9.29                 |
|  | ACCOUNT #: 00087729631         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-207I - SHOCKEY, CHELSEA | CAPITAL INCOME BUILDER-A            | 0.00                 | 0.69                | 0.00               | 0.69              | 85.0 | 0.59                 |
|  | ACCOUNT #: 00088283660         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-05IN - WEAVER, DAVID    | CAPITAL INCOME BUILDER-F1           | 0.00                 | 3.37                | 0.00               | 3.37              | 85.0 | 2.86                 |
|  | ACCOUNT #: 00075103981         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-162I - ANDERSON, THOMAS | CAPITAL WORLD BOND FUND-A           | 0.00                 | 2.89                | 0.00               | 2.89              | 85.0 | 2.46                 |
|  | ACCOUNT #: 00068241483         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-44IR - REED, GENEVIEVE  | CAPITAL WORLD BOND FUND-A           | 0.00                 | 2.65                | 0.00               | 2.65              | 85.0 | 2.25                 |
|  | ACCOUNT #: 00074671768         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-162I - ANDERSON, THOMAS | CAPITAL WORLD GROWTH AND INCOME FUN | 0.00                 | 4.75                | 0.00               | 4.75              | 85.0 | 4.04                 |
|  | ACCOUNT #: 00068241483         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-71IN - STRAUB, GREGORY  | CAPITAL WORLD GROWTH AND INCOME FUN | 0.00                 | 12.99               | 0.00               | 12.99             | 85.0 | 11.04                |
|  | ACCOUNT #: 00073333058         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-84IN - METTEE, MICHAEL  | CAPITAL WORLD GROWTH AND INCOME FUN | 0.00                 | 3.40                | 0.00               | 3.40              | 85.0 | 2.89                 |
|  | ACCOUNT #: 00074596466         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-44IR - REED, GENEVIEVE  | CAPITAL WORLD GROWTH AND INCOME FUN | 0.00                 | 4.03                | 0.00               | 4.03              | 85.0 | 3.43                 |
|  | ACCOUNT #: 00074671768         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-26IN - CROWL, ROBERT    | CAPITAL WORLD GROWTH AND INCOME FUN | 0.00                 | 3.22                | 0.00               | 3.22              | 85.0 | 2.74                 |
|  | ACCOUNT #: 00074806269         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |



# COMMISSION STATEMENT

March 12, 2018

MICHAEL GAROFALO  
54 Brookmeadow Circle  
Shrewsbury, PA 17361

BROKER #: A17  
BRANCH #01001 - LifeMark Home Office

| DATE   | CLIENT   | INVESTMENT   | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|--|--|--|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b>BROKER TRANSACTIONS (continued)</b>                       |  |  |                      |                     |                    |                   |      |                      |
| <b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</b> |  |  |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-36IN - CROWL, LINDA<br>ACCOUNT #: 00074806331     | CAPITAL WORLD GROWTH AND INCOME FUN<br>BUY 0 Units @0.0000 | 0.00                 | 2.53                | 0.00               | 2.53              | 85.0 | 2.15                 |
| 03/01/2018   | ***-**-94IN - VITALE, LAURIE<br>ACCOUNT #: 00075108457   | CAPITAL WORLD GROWTH AND INCOME FUN<br>BUY 0 Units @0.0000 | 0.00                 | 7.47                | 0.00               | 7.47              | 85.0 | 6.35                 |
| 03/01/2018   | ***-**-228I - BUCHANAN,<br>ACCOUNT #: 00075166368        | CAPITAL WORLD GROWTH AND INCOME FUN<br>BUY 0 Units @0.0000 | 0.00                 | 4.56                | 0.00               | 4.56              | 85.0 | 3.88                 |
| 03/01/2018   | ***-**-35IN - TOBIN, MAUREEN<br>ACCOUNT #: 00075417983   | CAPITAL WORLD GROWTH AND INCOME FUN<br>BUY 0 Units @0.0000 | 0.00                 | 16.95               | 0.00               | 16.95             | 85.0 | 14.41                |
| 03/01/2018   | ***-**-842I - GREENHALGH,<br>ACCOUNT #: 00075857948      | CAPITAL WORLD GROWTH AND INCOME FUN<br>BUY 0 Units @0.0000 | 0.00                 | 6.81                | 0.00               | 6.81              | 85.0 | 5.79                 |
| 03/01/2018   | ***-**-52IR - HARBAUGH, KELLY<br>ACCOUNT #: 00075998693  | CAPITAL WORLD GROWTH AND INCOME FUN<br>BUY 0 Units @0.0000 | 0.00                 | 0.98                | 0.00               | 0.98              | 85.0 | 0.83                 |
| 03/01/2018   | ***-**-799I - BUCHANAN, STEVEN<br>ACCOUNT #: 00081734282 | CAPITAL WORLD GROWTH AND INCOME FUN<br>BUY 0 Units @0.0000 | 0.00                 | 13.35               | 0.00               | 13.35             | 85.0 | 11.35                |
| 03/01/2018   | ***-**-228I - BUCHANAN,<br>ACCOUNT #: 00081734302        | CAPITAL WORLD GROWTH AND INCOME FUN<br>BUY 0 Units @0.0000 | 0.00                 | 13.64               | 0.00               | 13.64             | 85.0 | 11.59                |
| 03/01/2018   | ***-**-972I - SHAW, SUSAN<br>ACCOUNT #: 00082025659      | CAPITAL WORLD GROWTH AND INCOME FUN<br>BUY 0 Units @0.0000 | 0.00                 | 16.24               | 0.00               | 16.24             | 85.0 | 13.80                |
| 03/01/2018   | ***-**-54IN - SCHMIDT, JENNY<br>ACCOUNT #: 00082865142   | CAPITAL WORLD GROWTH AND INCOME FUN<br>BUY 0 Units @0.0000 | 0.00                 | 2.30                | 0.00               | 2.30              | 85.0 | 1.96                 |
| 03/01/2018   | ***-**-81IR - BLEILER, CARLTON<br>ACCOUNT #: 00083178211 | CAPITAL WORLD GROWTH AND INCOME FUN<br>BUY 0 Units @0.0000 | 0.00                 | 2.95                | 0.00               | 2.95              | 85.0 | 2.51                 |
| 03/01/2018   | ***-**-51IR - BLEILER, CONNIE<br>ACCOUNT #: 00083178258  | CAPITAL WORLD GROWTH AND INCOME FUN<br>BUY 0 Units @0.0000 | 0.00                 | 2.95                | 0.00               | 2.95              | 85.0 | 2.51                 |
| 03/01/2018   | ***-**-33IN - KNOBL, LISA<br>ACCOUNT #: 00083311783      | CAPITAL WORLD GROWTH AND INCOME FUN<br>BUY 0 Units @0.0000 | 0.00                 | 7.56                | 0.00               | 7.56              | 85.0 | 6.43                 |
| 03/01/2018   | ***-**-30IN - WEAVER, NICOLE<br>ACCOUNT #: 00083890212   | CAPITAL WORLD GROWTH AND INCOME FUN<br>BUY 0 Units @0.0000 | 0.00                 | 4.16                | 0.00               | 4.16              | 85.0 | 3.54                 |
| 03/01/2018   | ***-**-5144 - WINTER, LAURA<br>ACCOUNT #: 00084354308    | CAPITAL WORLD GROWTH AND INCOME FUN<br>BUY 0 Units @0.0000 | 0.00                 | 0.13                | 0.00               | 0.13              | 85.0 | 0.11                 |
| 03/01/2018   | ***-**-52IN - KUNKEL, RAY<br>ACCOUNT #: 00085861084      | CAPITAL WORLD GROWTH AND INCOME FUN<br>BUY 0 Units @0.0000 | 0.00                 | 10.21               | 0.00               | 10.21             | 85.0 | 8.68                 |



# COMMISSION STATEMENT

March 12, 2018

MICHAEL GAROFALO  
54 Brookmeadow Circle  
Shrewsbury, PA 17361

BROKER #: A17  
BRANCH #01001 - LifeMark Home Office

| DATE   | CLIENT  | INVESTMENT   | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|--|---|--|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b>BROKER TRANSACTIONS (continued)</b>                       |   |  |                      |                     |                    |                   |      |                      |
| <b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</b> |   |  |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-37IN - KUNKEL, JANET<br>ACCOUNT #: 00085861160   | CAPITAL WORLD GROWTH AND INCOME FUN<br>BUY 0 Units @0.0000 | 0.00                 | 16.93               | 0.00               | 16.93             | 85.0 | 14.39                |
| 03/01/2018   | ***-**-244I - REED, GENEVIEVE<br>ACCOUNT #: 00086668365 | CAPITAL WORLD GROWTH AND INCOME FUN<br>BUY 0 Units @0.0000 | 0.00                 | 7.02                | 0.00               | 7.02              | 85.0 | 5.97                 |
| 03/01/2018   | ***-**-18IN - KUNKEL, RYAN<br>ACCOUNT #: 00087401941    | CAPITAL WORLD GROWTH AND INCOME FUN<br>BUY 0 Units @0.0000 | 0.00                 | 4.39                | 0.00               | 4.39              | 85.0 | 3.73                 |
| 03/01/2018   | ***-**-18IN - KUNKEL, RYAN<br>ACCOUNT #: 00087404382    | CAPITAL WORLD GROWTH AND INCOME FUN<br>BUY 0 Units @0.0000 | 0.00                 | 5.86                | 0.00               | 5.86              | 85.0 | 4.98                 |
| 03/01/2018   | ***-**-52IN - KUNKEL, RAY<br>ACCOUNT #: 04000349641     | CAPITAL WORLD GROWTH AND INCOME FUN<br>BUY 0 Units @0.0000 | 0.00                 | 9.29                | 0.00               | 9.29              | 85.0 | 7.90                 |
| 03/01/2018   | ***-**-54IN - SCHMIDT, JENNY<br>ACCOUNT #: 00082865142  | CAPITAL WORLD GROWTH AND INCOME FUN<br>BUY 0 Units @0.0000 | 0.00                 | 54.86               | 0.00               | 54.86             | 85.0 | 46.63                |
| 03/01/2018   | ***-**-80IR - LEAR, WILLIAM<br>ACCOUNT #: 00084166547   | CAPITAL WORLD GROWTH AND INCOME FUN<br>BUY 0 Units @0.0000 | 0.00                 | 14.17               | 0.00               | 14.17             | 85.0 | 12.04                |
| 03/01/2018   | ***-**-99IN - VITALE, DAMIAN<br>ACCOUNT #: 00084641216  | CAPITAL WORLD GROWTH AND INCOME FUN<br>BUY 0 Units @0.0000 | 0.00                 | 13.60               | 0.00               | 13.60             | 85.0 | 11.56                |
| 03/01/2018   | ***-**-5144 - WINTER, LAURA<br>ACCOUNT #: 00084354293   | CAPITAL WORLD GROWTH AND INCOME-529<br>BUY 0 Units @0.0000 | 0.00                 | 0.77                | 0.00               | 0.77              | 85.0 | 0.65                 |
| 03/01/2018   | ***-**-5144 - WINTER, LAURA<br>ACCOUNT #: 00084354293   | EUROPACIFIC GROWTH FUND-529A<br>BUY 0 Units @0.0000        | 0.00                 | 0.69                | 0.00               | 0.69              | 85.0 | 0.59                 |
| 03/01/2018   | ***-**-683I - SCHWARTZ, EMILY<br>ACCOUNT #: 00063858924 | EUROPACIFIC GROWTH FUND-A<br>BUY 0 Units @0.0000           | 0.00                 | 1.13                | 0.00               | 1.13              | 85.0 | 0.96                 |
| 03/01/2018   | ***-**-831I - REED, JACK<br>ACCOUNT #: 00067413408      | EUROPACIFIC GROWTH FUND-A<br>BUY 0 Units @0.0000           | 0.00                 | 6.13                | 0.00               | 6.13              | 85.0 | 5.21                 |
| 03/01/2018   | ***-**-44IR - REED, GENEVIEVE<br>ACCOUNT #: 00074671768 | EUROPACIFIC GROWTH FUND-A<br>BUY 0 Units @0.0000           | 0.00                 | 3.57                | 0.00               | 3.57              | 85.0 | 3.03                 |
| 03/01/2018   | ***-**-26IN - CROWL, ROBERT<br>ACCOUNT #: 00074806269   | EUROPACIFIC GROWTH FUND-A<br>BUY 0 Units @0.0000           | 0.00                 | 2.39                | 0.00               | 2.39              | 85.0 | 2.03                 |
| 03/01/2018   | ***-**-36IN - CROWL, LINDA<br>ACCOUNT #: 00074806331    | EUROPACIFIC GROWTH FUND-A<br>BUY 0 Units @0.0000           | 0.00                 | 1.79                | 0.00               | 1.79              | 85.0 | 1.52                 |
| 03/01/2018   | ***-**-32IR - SHAW, WILLIAM<br>ACCOUNT #: 00082011931   | EUROPACIFIC GROWTH FUND-A<br>BUY 0 Units @0.0000           | 0.00                 | 0.09                | 0.00               | 0.09              | 85.0 | 0.08                 |



# COMMISSION STATEMENT

March 12, 2018

MICHAEL GAROFALO  
54 Brookmeadow Circle  
Shrewsbury, PA 17361

BROKER #: A17  
BRANCH #01001 - LifeMark Home Office

| DATE   | CLIENT                         | INVESTMENT                     | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|--|--------------------------------|--------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b>BROKER TRANSACTIONS (continued)</b>                       |                                |                                |                      |                     |                    |                   |      |                      |
| <b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</b> |                                |                                |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-72IR - SHAW, SUSAN      | EUROPACIFIC GROWTH FUND-A      | 0.00                 | 0.08                | 0.00               | 0.08              | 85.0 | 0.07                 |
|  | ACCOUNT #: 00082013491         | BUY 0 Units @0.0000            |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-30IN - WEAVER, NICOLE   | EUROPACIFIC GROWTH FUND-A      | 0.00                 | 3.55                | 0.00               | 3.55              | 85.0 | 3.02                 |
|  | ACCOUNT #: 00083890212         | BUY 0 Units @0.0000            |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-5144 - WINTER, LAURA    | EUROPACIFIC GROWTH FUND-A      | 0.00                 | 0.09                | 0.00               | 0.09              | 85.0 | 0.08                 |
|  | ACCOUNT #: 00084354308         | BUY 0 Units @0.0000            |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-244I - REED, GENEVIEVE  | EUROPACIFIC GROWTH FUND-A      | 0.00                 | 1.15                | 0.00               | 1.15              | 85.0 | 0.98                 |
|  | ACCOUNT #: 00086668365         | BUY 0 Units @0.0000            |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-5144 - WINTER, LAURA    | FUNDAMENTAL INVESTORS-529A     | 0.00                 | 2.07                | 0.00               | 2.07              | 85.0 | 1.76                 |
|  | ACCOUNT #: 00084354293         | BUY 0 Units @0.0000            |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-72IR - SHAW, SUSAN      | FUNDAMENTAL INVESTORS-A        | 0.00                 | 5.62                | 0.00               | 5.62              | 85.0 | 4.78                 |
|  | ACCOUNT #: 00082013491         | BUY 0 Units @0.0000            |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-5144 - WINTER, LAURA    | FUNDAMENTAL INVESTORS-A        | 0.00                 | 0.45                | 0.00               | 0.45              | 85.0 | 0.38                 |
|  | ACCOUNT #: 00084354308         | BUY 0 Units @0.0000            |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-207I - SHOCKEY, CHELSEA | FUNDAMENTAL INVESTORS-A        | 0.00                 | 0.47                | 0.00               | 0.47              | 85.0 | 0.40                 |
|  | ACCOUNT #: 00088283660         | BUY 0 Units @0.0000            |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-5144 - WINTER, LAURA    | FUNDAMENTAL INVESTORS-C        | 0.00                 | 29.52               | 0.00               | 29.52             | 85.0 | 25.09                |
|  | ACCOUNT #: 00084354308         | BUY 0 Units @0.0000            |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-05IN - WEAVER, DAVID    | INCOME FUND OF AMERICA CLASS C | 0.00                 | 73.52               | 0.00               | 73.52             | 85.0 | 62.49                |
|  | ACCOUNT #: 00075103981         | BUY 0 Units @0.0000            |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-54IN - SCHMIDT, JENNY   | INCOME FUND OF AMERICA CLASS C | 0.00                 | 34.82               | 0.00               | 34.82             | 85.0 | 29.60                |
|  | ACCOUNT #: 00082865142         | BUY 0 Units @0.0000            |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-80IR - LEAR, WILLIAM    | INCOME FUND OF AMERICA CLASS C | 0.00                 | 6.34                | 0.00               | 6.34              | 85.0 | 5.39                 |
|  | ACCOUNT #: 00084166547         | BUY 0 Units @0.0000            |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-461I - WOOD, VIRGINIA   | INCOME FUND OF AMERICA CLASS C | 0.00                 | 64.28               | 0.00               | 64.28             | 85.0 | 54.64                |
|  | ACCOUNT #: 00084974381         | BUY 0 Units @0.0000            |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-897I - PLAPPERT, KAREN  | INCOME FUND OF AMERICA CLASS C | 0.00                 | 49.57               | 0.00               | 49.57             | 85.0 | 42.13                |
|  | ACCOUNT #: 00085201402         | BUY 0 Units @0.0000            |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-664I - HACKMAN,         | INCOME FUND OF AMERICA CLASS C | 0.00                 | 3.81                | 0.00               | 3.81              | 85.0 | 3.24                 |
|  | ACCOUNT #: 00085312958         | BUY 0 Units @0.0000            |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-999I - WOOD, G. MICHAEL | INCOME FUND OF AMERICA CLASS C | 0.00                 | 37.11               | 0.00               | 37.11             | 85.0 | 31.54                |
|  | ACCOUNT #: 00085931337         | BUY 0 Units @0.0000            |                      |                     |                    |                   |      |                      |



# COMMISSION STATEMENT

March 12, 2018

MICHAEL GAROFALO  
54 Brookmeadow Circle  
Shrewsbury, PA 17361

BROKER #: A17  
BRANCH #01001 - LifeMark Home Office

| DATE   | CLIENT                         | INVESTMENT                          | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|--|--------------------------------|-------------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b>BROKER TRANSACTIONS (continued)</b>                       |                                |                                     |                      |                     |                    |                   |      |                      |
| <b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</b> |                                |                                     |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-801I - BECK, LORETTA    | INCOME FUND OF AMERICA CLASS C      | 0.00                 | 9.62                | 0.00               | 9.62              | 85.0 | 8.18                 |
|  | ACCOUNT #: 00086800193         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-614I - WILLIAMS, RONALD | INCOME FUND OF AMERICA CLASS C      | 0.00                 | 6.81                | 0.00               | 6.81              | 85.0 | 5.79                 |
|  | ACCOUNT #: 00086945921         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-814I - MCKENNA, DONNA   | INCOME FUND OF AMERICA CLASS C      | 0.00                 | 63.53               | 0.00               | 63.53             | 85.0 | 54.00                |
|  | ACCOUNT #: 00087249221         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-65IN - BARLUP, DAVID    | INCOME FUND OF AMERICA CLASS C      | 0.00                 | 2.37                | 0.00               | 2.37              | 85.0 | 2.01                 |
|  | ACCOUNT #: 00087982202         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-962I - KLOKIS, ROBERT   | INCOME FUND OF AMERICA CLASS C      | 0.00                 | 4.40                | 0.00               | 4.40              | 85.0 | 3.74                 |
|  | ACCOUNT #: 00088311999         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-162I - ANDERSON, THOMAS | INFLATION LINKED BOND FUND-A        | 0.00                 | 8.44                | 0.00               | 8.44              | 85.0 | 7.17                 |
|  | ACCOUNT #: 00068241483         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-225P - SHOCKEY, DEBORAH | INTERMEDIATE BOND FUND OF AMERICA-5 | 0.00                 | 6.06                | 0.00               | 6.06              | 85.0 | 5.15                 |
|  | ACCOUNT #: 00067771618         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-30IN - STRAUB, JANE     | INTERMEDIATE BOND FUND OF AMERICA-A | 0.00                 | 1.92                | 0.00               | 1.92              | 85.0 | 1.63                 |
|  | ACCOUNT #: 00068420311         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-162I - ANDERSON, THOMAS | INTERNATIONAL GROWTH AND INCOME-A   | 0.00                 | 3.84                | 0.00               | 3.84              | 85.0 | 3.26                 |
|  | ACCOUNT #: 00068241483         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/12/2018   | ***-**-228I - BUCHANAN,        | INVESCO BALANCED - RISK ALLOCATION  | 0.00                 | 7.98                | 0.00               | 7.98              | 85.0 | 6.78                 |
|  | ACCOUNT #: LSR010538           | BUY 1 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/12/2018   | ***-**-276I - GASSWINT, SUSAN  | INVESCO VAN KAMPEN EQUITY AND INCOM | 0.00                 | 18.60               | 0.00               | 18.60             | 85.0 | 15.81                |
|  | ACCOUNT #: LSR010633           | BUY 1 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/12/2018   | ***-**-214I - SCHMIDT, DAVID   | INVESCO VAN KAMPEN EQUITY AND INCOM | 0.00                 | 0.74                | 0.00               | 0.74              | 85.0 | 0.63                 |
|  | ACCOUNT #: LSR011691           | BUY 1 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/12/2018   | ***-**-322I - SHOCKEY, DEBORAH | INVESCO VAN KAMPEN EQUITY AND INCOM | 0.00                 | 0.30                | 0.00               | 0.30              | 85.0 | 0.26                 |
|  | ACCOUNT #: LSR011848           | BUY 1 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/12/2018   | ***-**-881I - HOUSER, LORI     | INVESCO VAN KAMPEN EQUITY AND INCOM | 0.00                 | 0.80                | 0.00               | 0.80              | 85.0 | 0.68                 |
|  | ACCOUNT #: LSR011961           | BUY 1 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-30IN - WEAVER, NICOLE   | INVESTMENT COMPANY OF AMERICA CLASS | 0.00                 | 74.34               | 0.00               | 74.34             | 85.0 | 63.19                |
|  | ACCOUNT #: 00073181035         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-801I - BECK, LORETTA    | INVESTMENT COMPANY OF AMERICA CLASS | 0.00                 | 5.25                | 0.00               | 5.25              | 85.0 | 4.46                 |
|  | ACCOUNT #: 00086800193         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |





# COMMISSION STATEMENT

March 12, 2018

MICHAEL GAROFALO  
54 Brookmeadow Circle  
Shrewsbury, PA 17361

BROKER #: A17  
BRANCH #01001 - LifeMark Home Office

| DATE   | CLIENT                         | INVESTMENT                         | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|--|--------------------------------|------------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b>BROKER TRANSACTIONS (continued)</b>                       |                                |                                    |                      |                     |                    |                   |      |                      |
| <b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</b> |                                |                                    |                      |                     |                    |                   |      |                      |
| 03/12/2018   | ***-**-83IN - SCHWARTZ, EMILY  | MASS INVESTORS GROWTH STOCK FUND-A | 0.00                 | 5.90                | 0.00               | 5.90              | 85.0 | 5.02                 |
|  | ACCOUNT #: LSR010190           | BUY 1 Units @0.0000                |                      |                     |                    |                   |      |                      |
| 03/12/2018   | ***-**-83IN - SCHWARTZ, EMILY  | MASSACHUSETTS INVESTORS TRUST-A    | 0.00                 | 5.98                | 0.00               | 5.98              | 85.0 | 5.08                 |
|  | ACCOUNT #: LSR010190           | BUY 1 Units @0.0000                |                      |                     |                    |                   |      |                      |
| 03/12/2018   | ***-**-859X - FREY, RYAN       | MFS GROWTH PORT CLASS C            | 0.00                 | 37.96               | 0.00               | 37.96             | 85.0 | 32.27                |
|  | ACCOUNT #: LSR011527           | BUY 1 Units @0.0000                |                      |                     |                    |                   |      |                      |
| 03/12/2018   | ***-**-630X - WEAVER, NICOLE   | MFS GROWTH PORT CLASS C            | 0.00                 | 53.48               | 0.00               | 53.48             | 85.0 | 45.46                |
|  | ACCOUNT #: LSR011529           | BUY 1 Units @0.0000                |                      |                     |                    |                   |      |                      |
| 03/12/2018   | ***-**-181X - ILGENFRITZ,      | MFS GROWTH PORT CLASS C            | 0.00                 | 19.67               | 0.00               | 19.67             | 85.0 | 16.72                |
|  | ACCOUNT #: LSR011555           | BUY 1 Units @0.0000                |                      |                     |                    |                   |      |                      |
| 03/12/2018   | ***-**-859X - FREY, RYAN       | MFS DIVERSIFIED INCOME FD CL C     | 0.00                 | 59.09               | 0.00               | 59.09             | 85.0 | 50.23                |
|  | ACCOUNT #: LSR011527           | BUY 1 Units @0.0000                |                      |                     |                    |                   |      |                      |
| 03/12/2018   | ***-**-630X - WEAVER, NICOLE   | MFS DIVERSIFIED INCOME FD CL C     | 0.00                 | 43.33               | 0.00               | 43.33             | 85.0 | 36.83                |
|  | ACCOUNT #: LSR011529           | BUY 1 Units @0.0000                |                      |                     |                    |                   |      |                      |
| 03/12/2018   | ***-**-881I - HOUSER, LORI     | MFS DIVERSIFIED INCOME FD CL C     | 0.00                 | 0.24                | 0.00               | 0.24              | 85.0 | 0.20                 |
|  | ACCOUNT #: LSR011961           | BUY 1 Units @0.0000                |                      |                     |                    |                   |      |                      |
| 03/12/2018   | ***-**-881I - HOUSER, LORI     | MFS MID CAP VALUE CLASS C          | 0.00                 | 0.40                | 0.00               | 0.40              | 85.0 | 0.34                 |
|  | ACCOUNT #: LSR011961           | BUY 1 Units @0.0000                |                      |                     |                    |                   |      |                      |
| 03/12/2018   | ***-**-859X - FREY, RYAN       | MFS NEW DISCOVERY VALUE FUND CL C  | 0.00                 | 17.08               | 0.00               | 17.08             | 85.0 | 14.52                |
|  | ACCOUNT #: LSR011527           | BUY 1 Units @0.0000                |                      |                     |                    |                   |      |                      |
| 03/12/2018   | ***-**-630X - WEAVER, NICOLE   | MFS NEW DISCOVERY VALUE FUND CL C  | 0.00                 | 34.15               | 0.00               | 34.15             | 85.0 | 29.03                |
|  | ACCOUNT #: LSR011529           | BUY 1 Units @0.0000                |                      |                     |                    |                   |      |                      |
| 03/12/2018   | ***-**-260X - ILGENFRITZ, CORY | MFS NEW DISCOVERY VALUE FUND CL C  | 0.00                 | 9.56                | 0.00               | 9.56              | 85.0 | 8.13                 |
|  | ACCOUNT #: LSR011553           | BUY 1 Units @0.0000                |                      |                     |                    |                   |      |                      |
| 03/12/2018   | ***-**-214I - SCHMIDT, DAVID   | MFS NEW DISCOVERY VALUE FUND CL C  | 0.00                 | 0.70                | 0.00               | 0.70              | 85.0 | 0.60                 |
|  | ACCOUNT #: LSR011691           | BUY 1 Units @0.0000                |                      |                     |                    |                   |      |                      |
| 03/12/2018   | ***-**-881I - HOUSER, LORI     | MFS VALUE FUND-C                   | 0.00                 | 0.45                | 0.00               | 0.45              | 85.0 | 0.38                 |
|  | ACCOUNT #: LSR011961           | BUY 1 Units @0.0000                |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-683I - SCHWARTZ, EMILY  | NEW PERSPECTIVE FUND-A             | 0.00                 | 5.54                | 0.00               | 5.54              | 85.0 | 4.71                 |
|  | ACCOUNT #: 00063122427         | BUY 0 Units @0.0000                |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-167I - NORNHOLD, DENNIS | NEW PERSPECTIVE FUND-A             | 0.00                 | 7.96                | 0.00               | 7.96              | 85.0 | 6.77                 |
|  | ACCOUNT #: 00067410108         | BUY 0 Units @0.0000                |                      |                     |                    |                   |      |                      |



# COMMISSION STATEMENT

March 12, 2018

MICHAEL GAROFALO  
54 Brookmeadow Circle  
Shrewsbury, PA 17361

BROKER #: A17  
BRANCH #01001 - LifeMark Home Office

| DATE   | CLIENT                         | INVESTMENT             | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|--|--------------------------------|------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b>BROKER TRANSACTIONS (continued)</b>                       |                                |                        |                      |                     |                    |                   |      |                      |
| <b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</b> |                                |                        |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-276I - GASSWINT, SUSAN  | NEW PERSPECTIVE FUND-A | 0.00                 | 10.77               | 0.00               | 10.77             | 85.0 | 9.15                 |
|  | ACCOUNT #: 00068559968         | BUY 0 Units @0.0000    |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-52IN - STEPP, JENNIFER  | NEW PERSPECTIVE FUND-A | 0.00                 | 1.91                | 0.00               | 1.91              | 85.0 | 1.62                 |
|  | ACCOUNT #: 00074245900         | BUY 0 Units @0.0000    |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-031I - ENEDY, JOHN      | NEW PERSPECTIVE FUND-A | 0.00                 | 0.43                | 0.00               | 0.43              | 85.0 | 0.37                 |
|  | ACCOUNT #: 00075145704         | BUY 0 Units @0.0000    |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-35IN - TOBIN, MAUREEN   | NEW PERSPECTIVE FUND-A | 0.00                 | 9.49                | 0.00               | 9.49              | 85.0 | 8.07                 |
|  | ACCOUNT #: 00075417983         | BUY 0 Units @0.0000    |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-305I - WAGNER, KEITH    | NEW PERSPECTIVE FUND-A | 0.00                 | 17.96               | 0.00               | 17.96             | 85.0 | 15.27                |
|  | ACCOUNT #: 00085996672         | BUY 0 Units @0.0000    |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-244I - REED, GENEVIEVE  | NEW PERSPECTIVE FUND-A | 0.00                 | 9.77                | 0.00               | 9.77              | 85.0 | 8.30                 |
|  | ACCOUNT #: 00086668365         | BUY 0 Units @0.0000    |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-37IN - KUNKEL, JANET    | NEW PERSPECTIVE FUND-A | 0.00                 | 14.32               | 0.00               | 14.32             | 85.0 | 12.17                |
|  | ACCOUNT #: 00086684007         | BUY 0 Units @0.0000    |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-05IN - WEAVER, DAVID    | NEW PERSPECTIVE FUND-A | 0.00                 | 10.15               | 0.00               | 10.15             | 85.0 | 8.63                 |
|  | ACCOUNT #: 00086846926         | BUY 0 Units @0.0000    |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-400I - ROMIG, MARK      | NEW PERSPECTIVE FUND-A | 0.00                 | 26.60               | 0.00               | 26.60             | 85.0 | 22.61                |
|  | ACCOUNT #: 00087282057         | BUY 0 Units @0.0000    |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-113I - PIERMANI, JOHN   | NEW PERSPECTIVE FUND-A | 0.00                 | 12.38               | 0.00               | 12.38             | 85.0 | 10.52                |
|  | ACCOUNT #: 00087371626         | BUY 0 Units @0.0000    |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-18IN - KUNKEL, RYAN     | NEW PERSPECTIVE FUND-A | 0.00                 | 10.46               | 0.00               | 10.46             | 85.0 | 8.89                 |
|  | ACCOUNT #: 00087404382         | BUY 0 Units @0.0000    |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-71IN - STRAUB, GREGORY  | NEW PERSPECTIVE FUND-A | 0.00                 | 2.41                | 0.00               | 2.41              | 85.0 | 2.05                 |
|  | ACCOUNT #: 00087442503         | BUY 0 Units @0.0000    |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-964I - BURG, WAYNE      | NEW PERSPECTIVE FUND-A | 0.00                 | 9.24                | 0.00               | 9.24              | 85.0 | 7.85                 |
|  | ACCOUNT #: 00087501958         | BUY 0 Units @0.0000    |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-207I - SHOCKEY, CHELSEA | NEW PERSPECTIVE FUND-A | 0.00                 | 0.74                | 0.00               | 0.74              | 85.0 | 0.63                 |
|  | ACCOUNT #: 00088283660         | BUY 0 Units @0.0000    |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-814I - MCKENNA, DONNA   | NEW PERSPECTIVE FUND-C | 0.00                 | 24.64               | 0.00               | 24.64             | 85.0 | 20.94                |
|  | ACCOUNT #: 00087249221         | BUY 0 Units @0.0000    |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-162I - ANDERSON, THOMAS | NEW WORLD FUND-A       | 0.00                 | 5.06                | 0.00               | 5.06              | 85.0 | 4.30                 |
|  | ACCOUNT #: 00068241483         | BUY 0 Units @0.0000    |                      |                     |                    |                   |      |                      |



# COMMISSION STATEMENT

## March 12, 2018

MICHAEL GAROFALO  
54 Brookmeadow Circle  
Shrewsbury, PA 17361

BROKER #: A17  
BRANCH #01001 - LifeMark Home Office

| DATE   | CLIENT   | INVESTMENT   | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|--|--|--|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b>BROKER TRANSACTIONS (continued)</b>                       |  |  |                      |                     |                    |                   |      |                      |
| <b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</b> |  |  |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-842I - GREENHALGH,<br>ACCOUNT #: 00075857948      | NEW WORLD FUND-A<br>BUY 0 Units @0.0000                    | 0.00                 | 1.53                | 0.00               | 1.53              | 85.0 | 1.30                 |
| 03/01/2018   | ***-**-95IR - ZEBLEY, REBECCA<br>ACCOUNT #: 00082254431  | NEW WORLD FUND-A<br>BUY 0 Units @0.0000                    | 0.00                 | 0.01                | 0.00               | 0.01              | 85.0 | 0.01                 |
| 03/12/2018   | ***-**-0550 - ILGENFRITZ, TIM<br>ACCOUNT #: LSR011557    | NUVEEN REAL ASSET INCOME FUND C SHR<br>BUY 1 Units @0.0000 | 0.00                 | 17.93               | 0.00               | 17.93             | 85.0 | 15.24                |
| 03/12/2018   | ***-**-334I - MCKENNA, EDWARD<br>ACCOUNT #: LSR011377    | ROYCE PENNSYLVANIA MUTUAL CONSULT<br>BUY 1 Units @0.0000   | 0.00                 | 7.04                | 0.00               | 7.04              | 85.0 | 5.98                 |
| 03/12/2018   | ***-**-30IN - STRAUB, JANE<br>ACCOUNT #: 7200028004      | SAMMONS MF TRAILS<br>BUY 0 Units @0.0000                   | 0.00                 | 13.52               | 0.00               | 13.52             | 85.0 | 11.49                |
| 03/01/2018   | ***-**-842I - GREENHALGH,<br>ACCOUNT #: 00075857948      | SMALLCAP WORLD FUND-A<br>BUY 0 Units @0.0000               | 0.00                 | 2.97                | 0.00               | 2.97              | 85.0 | 2.52                 |
| 03/01/2018   | ***-**-30IN - WEAVER, NICOLE<br>ACCOUNT #: 00083890212   | SMALLCAP WORLD FUND-A<br>BUY 0 Units @0.0000               | 0.00                 | 4.94                | 0.00               | 4.94              | 85.0 | 4.20                 |
| 03/01/2018   | ***-**-05IN - WEAVER, DAVID<br>ACCOUNT #: 00086846926    | SMALLCAP WORLD FUND-A<br>BUY 0 Units @0.0000               | 0.00                 | 4.04                | 0.00               | 4.04              | 85.0 | 3.43                 |
| 03/01/2018   | ***-**-99IN - VITALE, DAMIAN<br>ACCOUNT #: 00084641216   | SMALLCAP WORLD FUND-C<br>BUY 0 Units @0.0000               | 0.00                 | 7.35                | 0.00               | 7.35              | 85.0 | 6.25                 |
| 03/01/2018   | ***-**-153J - SHOCKEY, JEFFREY<br>ACCOUNT #: 00075824133 | TAX-EXEMPT BOND FUND OF AMERICA<br>BUY 0 Units @0.0000     | 0.00                 | 14.91               | 0.00               | 14.91             | 85.0 | 12.67                |
| 03/01/2018   | ***-**-225P - SHOCKEY, DEBORAH<br>ACCOUNT #: 00067771618 | THE BOND FUND OF AMERICA-529A<br>BUY 0 Units @0.0000       | 0.00                 | 6.56                | 0.00               | 6.56              | 85.0 | 5.58                 |
| 03/01/2018   | ***-**-5144 - WINTER, LAURA<br>ACCOUNT #: 00084354293    | THE BOND FUND OF AMERICA-529A<br>BUY 0 Units @0.0000       | 0.00                 | 0.66                | 0.00               | 0.66              | 85.0 | 0.56                 |
| 03/01/2018   | ***-**-167I - NORNHOLD, DENNIS<br>ACCOUNT #: 00067410108 | THE BOND FUND OF AMERICA-A<br>BUY 0 Units @0.0000          | 0.00                 | 9.83                | 0.00               | 9.83              | 85.0 | 8.36                 |
| 03/01/2018   | ***-**-162I - ANDERSON, THOMAS<br>ACCOUNT #: 00068241483 | THE BOND FUND OF AMERICA-A<br>BUY 0 Units @0.0000          | 0.00                 | 9.35                | 0.00               | 9.35              | 85.0 | 7.95                 |
| 03/01/2018   | ***-**-227I - ZELLERS,<br>ACCOUNT #: 00068680438         | THE BOND FUND OF AMERICA-A<br>BUY 0 Units @0.0000          | 0.00                 | 12.65               | 0.00               | 12.65             | 85.0 | 10.75                |
| 03/01/2018   | ***-**-32IN - WHEELER, THOMAS<br>ACCOUNT #: 00073406010  | THE BOND FUND OF AMERICA-A<br>BUY 0 Units @0.0000          | 0.00                 | 1.56                | 0.00               | 1.56              | 85.0 | 1.33                 |



# COMMISSION STATEMENT

March 12, 2018

MICHAEL GAROFALO  
54 Brookmeadow Circle  
Shrewsbury, PA 17361

BROKER #: A17  
BRANCH #01001 - LifeMark Home Office

| DATE   | CLIENT                        | INVESTMENT                 | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|--|-------------------------------|----------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b>BROKER TRANSACTIONS (continued)</b>                       |                               |                            |                      |                     |                    |                   |      |                      |
| <b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</b> |                               |                            |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-85IN - GRAHAM, BARBARA | THE BOND FUND OF AMERICA-A | 0.00                 | 2.15                | 0.00               | 2.15              | 85.0 | 1.83                 |
|  | ACCOUNT #: 00074061357        | BUY 0 Units @0.0000        |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-11IN - GRAHAM, ARTHUR  | THE BOND FUND OF AMERICA-A | 0.00                 | 2.09                | 0.00               | 2.09              | 85.0 | 1.78                 |
|  | ACCOUNT #: 00074061422        | BUY 0 Units @0.0000        |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-52IN - STEPP, JENNIFER | THE BOND FUND OF AMERICA-A | 0.00                 | 0.89                | 0.00               | 0.89              | 85.0 | 0.76                 |
|  | ACCOUNT #: 00074245900        | BUY 0 Units @0.0000        |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-44IR - REED, GENEVIEVE | THE BOND FUND OF AMERICA-A | 0.00                 | 2.59                | 0.00               | 2.59              | 85.0 | 2.20                 |
|  | ACCOUNT #: 00074671768        | BUY 0 Units @0.0000        |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-842I - GREENHALGH,     | THE BOND FUND OF AMERICA-A | 0.00                 | 9.51                | 0.00               | 9.51              | 85.0 | 8.08                 |
|  | ACCOUNT #: 00074721842        | BUY 0 Units @0.0000        |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-031I - ENEDY, JOHN     | THE BOND FUND OF AMERICA-A | 0.00                 | 0.23                | 0.00               | 0.23              | 85.0 | 0.20                 |
|  | ACCOUNT #: 00075145704        | BUY 0 Units @0.0000        |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-70IN - DUNDORE, ETHEL  | THE BOND FUND OF AMERICA-A | 0.00                 | 9.00                | 0.00               | 9.00              | 85.0 | 7.65                 |
|  | ACCOUNT #: 00075558052        | BUY 0 Units @0.0000        |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-653I - MYERS, MARVIN   | THE BOND FUND OF AMERICA-A | 0.00                 | 6.09                | 0.00               | 6.09              | 85.0 | 5.18                 |
|  | ACCOUNT #: 00082603023        | BUY 0 Units @0.0000        |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-5144 - WINTER, LAURA   | THE BOND FUND OF AMERICA-A | 0.00                 | 0.16                | 0.00               | 0.16              | 85.0 | 0.14                 |
|  | ACCOUNT #: 00084354308        | BUY 0 Units @0.0000        |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-11IN - GRAHAM, ARTHUR  | THE BOND FUND OF AMERICA-A | 0.00                 | 1.33                | 0.00               | 1.33              | 85.0 | 1.13                 |
|  | ACCOUNT #: 00085061358        | BUY 0 Units @0.0000        |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-11IN - GRAHAM, ARTHUR  | THE BOND FUND OF AMERICA-A | 0.00                 | 3.97                | 0.00               | 3.97              | 85.0 | 3.37                 |
|  | ACCOUNT #: 00085201011        | BUY 0 Units @0.0000        |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-582I - PLOCKI, EDWARD  | THE BOND FUND OF AMERICA-A | 0.00                 | 6.55                | 0.00               | 6.55              | 85.0 | 5.57                 |
|  | ACCOUNT #: 00085925861        | BUY 0 Units @0.0000        |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-962I - KLOKIS, ROBERT  | THE BOND FUND OF AMERICA-A | 0.00                 | 6.80                | 0.00               | 6.80              | 85.0 | 5.78                 |
|  | ACCOUNT #: 00085925927        | BUY 0 Units @0.0000        |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-31IN - REED, JACK      | THE BOND FUND OF AMERICA-A | 0.00                 | 4.85                | 0.00               | 4.85              | 85.0 | 4.12                 |
|  | ACCOUNT #: 00086425296        | BUY 0 Units @0.0000        |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-05IN - WEAVER, DAVID   | THE BOND FUND OF AMERICA-A | 0.00                 | 3.39                | 0.00               | 3.39              | 85.0 | 2.88                 |
|  | ACCOUNT #: 00086846926        | BUY 0 Units @0.0000        |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-85IN - GRAHAM, BARBARA | THE BOND FUND OF AMERICA-A | 0.00                 | 3.78                | 0.00               | 3.78              | 85.0 | 3.21                 |
|  | ACCOUNT #: 00087104867        | BUY 0 Units @0.0000        |                      |                     |                    |                   |      |                      |



# COMMISSION STATEMENT

March 12, 2018

MICHAEL GAROFALO  
54 Brookmeadow Circle  
Shrewsbury, PA 17361

BROKER #: A17  
BRANCH #01001 - LifeMark Home Office

| DATE   | CLIENT                         | INVESTMENT                      | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|--|--------------------------------|---------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b>BROKER TRANSACTIONS (continued)</b>                       |                                |                                 |                      |                     |                    |                   |      |                      |
| <b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</b> |                                |                                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-71IN - STRAUB, GREGORY  | THE BOND FUND OF AMERICA-A      | 0.00                 | 2.56                | 0.00               | 2.56              | 85.0 | 2.18                 |
|  | ACCOUNT #: 00087442503         | BUY 0 Units @0.0000             |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-964I - BURG, WAYNE      | THE BOND FUND OF AMERICA-A      | 0.00                 | 5.31                | 0.00               | 5.31              | 85.0 | 4.51                 |
|  | ACCOUNT #: 00087506557         | BUY 0 Units @0.0000             |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-30IN - WEAVER, NICOLE   | THE BOND FUND OF AMERICA-C      | 0.00                 | 4.97                | 0.00               | 4.97              | 85.0 | 4.22                 |
|  | ACCOUNT #: 00073180963         | BUY 0 Units @0.0000             |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-461I - WOOD, VIRGINIA   | THE BOND FUND OF AMERICA-C      | 0.00                 | 42.60               | 0.00               | 42.60             | 85.0 | 36.21                |
|  | ACCOUNT #: 00084974381         | BUY 0 Units @0.0000             |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-999I - WOOD, G. MICHAEL | THE BOND FUND OF AMERICA-C      | 0.00                 | 25.70               | 0.00               | 25.70             | 85.0 | 21.85                |
|  | ACCOUNT #: 00085931337         | BUY 0 Units @0.0000             |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-814I - MCKENNA, DONNA   | THE BOND FUND OF AMERICA-C      | 0.00                 | 47.88               | 0.00               | 47.88             | 85.0 | 40.70                |
|  | ACCOUNT #: 00087249221         | BUY 0 Units @0.0000             |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-5144 - WINTER, LAURA    | THE GROWTH FUND OF AMERICA-529A | 0.00                 | 2.03                | 0.00               | 2.03              | 85.0 | 1.73                 |
|  | ACCOUNT #: 00084354293         | BUY 0 Units @0.0000             |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-683I - SCHWARTZ, EMILY  | THE GROWTH FUND OF AMERICA-A    | 0.00                 | 2.50                | 0.00               | 2.50              | 85.0 | 2.13                 |
|  | ACCOUNT #: 00063122427         | BUY 0 Units @0.0000             |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-83IR - SCHWARTZ, EMILY  | THE GROWTH FUND OF AMERICA-A    | 0.00                 | 9.02                | 0.00               | 9.02              | 85.0 | 7.67                 |
|  | ACCOUNT #: 00066874651         | BUY 0 Units @0.0000             |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-162I - ANDERSON, THOMAS | THE GROWTH FUND OF AMERICA-A    | 0.00                 | 10.29               | 0.00               | 10.29             | 85.0 | 8.75                 |
|  | ACCOUNT #: 00068241483         | BUY 0 Units @0.0000             |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-30IN - STRAUB, JANE     | THE GROWTH FUND OF AMERICA-A    | 0.00                 | 1.36                | 0.00               | 1.36              | 85.0 | 1.16                 |
|  | ACCOUNT #: 00068420311         | BUY 0 Units @0.0000             |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-379I - WILSON, DELEIGH  | THE GROWTH FUND OF AMERICA-A    | 0.00                 | 5.58                | 0.00               | 5.58              | 85.0 | 4.74                 |
|  | ACCOUNT #: 00073333244         | BUY 0 Units @0.0000             |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-79IR - WILSON, DELEIGH  | THE GROWTH FUND OF AMERICA-A    | 0.00                 | 23.58               | 0.00               | 23.58             | 85.0 | 20.04                |
|  | ACCOUNT #: 00073333458         | BUY 0 Units @0.0000             |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-09IR - WILSON, EDWARD   | THE GROWTH FUND OF AMERICA-A    | 0.00                 | 23.88               | 0.00               | 23.88             | 85.0 | 20.30                |
|  | ACCOUNT #: 00073333515         | BUY 0 Units @0.0000             |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-32IN - WHEELER, THOMAS  | THE GROWTH FUND OF AMERICA-A    | 0.00                 | 20.84               | 0.00               | 20.84             | 85.0 | 17.71                |
|  | ACCOUNT #: 00073406010         | BUY 0 Units @0.0000             |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-80IR - LEAR, WILLIAM    | THE GROWTH FUND OF AMERICA-A    | 0.00                 | 2.85                | 0.00               | 2.85              | 85.0 | 2.42                 |
|  | ACCOUNT #: 00084166547         | BUY 0 Units @0.0000             |                      |                     |                    |                   |      |                      |



# COMMISSION STATEMENT

March 12, 2018

MICHAEL GAROFALO  
54 Brookmeadow Circle  
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BROKER #: A17  
BRANCH #01001 - LifeMark Home Office

| DATE   | CLIENT                         | INVESTMENT                      | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|--|--------------------------------|---------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b>BROKER TRANSACTIONS (continued)</b>                       |                                |                                 |                      |                     |                    |                   |      |                      |
| <b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</b> |                                |                                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-5144 - WINTER, LAURA    | THE GROWTH FUND OF AMERICA-A    | 0.00                 | 0.49                | 0.00               | 0.49              | 85.0 | 0.42                 |
|  | ACCOUNT #: 00084354308         | BUY 0 Units @0.0000             |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-582I - PLOCKI, EDWARD   | THE GROWTH FUND OF AMERICA-A    | 0.00                 | 9.00                | 0.00               | 9.00              | 85.0 | 7.65                 |
|  | ACCOUNT #: 00085925861         | BUY 0 Units @0.0000             |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-31IN - REED, JACK       | THE GROWTH FUND OF AMERICA-A    | 0.00                 | 8.05                | 0.00               | 8.05              | 85.0 | 6.84                 |
|  | ACCOUNT #: 00086425296         | BUY 0 Units @0.0000             |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-80IR - LEAR, WILLIAM    | THE GROWTH FUND OF AMERICA-C    | 0.00                 | 8.26                | 0.00               | 8.26              | 85.0 | 7.02                 |
|  | ACCOUNT #: 00084166547         | BUY 0 Units @0.0000             |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-225P - SHOCKEY, DEBORAH | THE INCOME FUND OF AMERICA-529A | 0.00                 | 2.62                | 0.00               | 2.62              | 85.0 | 2.23                 |
|  | ACCOUNT #: 00067771618         | BUY 0 Units @0.0000             |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-225P - SHOCKEY, DEBORAH | THE INCOME FUND OF AMERICA-529C | 0.00                 | 9.14                | 0.00               | 9.14              | 85.0 | 7.77                 |
|  | ACCOUNT #: 00067771618         | BUY 0 Units @0.0000             |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-162I - ANDERSON, THOMAS | THE INCOME FUND OF AMERICA-A    | 0.00                 | 45.96               | 0.00               | 45.96             | 85.0 | 39.07                |
|  | ACCOUNT #: 00068241483         | BUY 0 Units @0.0000             |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-959I - HACKMAN, BRANDT  | THE INCOME FUND OF AMERICA-A    | 0.00                 | 16.70               | 0.00               | 16.70             | 85.0 | 14.20                |
|  | ACCOUNT #: 00068405049         | BUY 0 Units @0.0000             |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-276I - GASSWINT, SUSAN  | THE INCOME FUND OF AMERICA-A    | 0.00                 | 17.45               | 0.00               | 17.45             | 85.0 | 14.83                |
|  | ACCOUNT #: 00068559968         | BUY 0 Units @0.0000             |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-227I - ZELLERS,         | THE INCOME FUND OF AMERICA-A    | 0.00                 | 29.43               | 0.00               | 29.43             | 85.0 | 25.02                |
|  | ACCOUNT #: 00068680438         | BUY 0 Units @0.0000             |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-379I - WILSON, DELEIGH  | THE INCOME FUND OF AMERICA-A    | 0.00                 | 4.43                | 0.00               | 4.43              | 85.0 | 3.77                 |
|  | ACCOUNT #: 00073333244         | BUY 0 Units @0.0000             |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-79IR - WILSON, DELEIGH  | THE INCOME FUND OF AMERICA-A    | 0.00                 | 18.53               | 0.00               | 18.53             | 85.0 | 15.75                |
|  | ACCOUNT #: 00073333458         | BUY 0 Units @0.0000             |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-09IR - WILSON, EDWARD   | THE INCOME FUND OF AMERICA-A    | 0.00                 | 18.77               | 0.00               | 18.77             | 85.0 | 15.95                |
|  | ACCOUNT #: 00073333515         | BUY 0 Units @0.0000             |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-32IN - WHEELER, THOMAS  | THE INCOME FUND OF AMERICA-A    | 0.00                 | 12.21               | 0.00               | 12.21             | 85.0 | 10.38                |
|  | ACCOUNT #: 00073406010         | BUY 0 Units @0.0000             |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-61IN - STOOPS, SARA     | THE INCOME FUND OF AMERICA-A    | 0.00                 | 4.26                | 0.00               | 4.26              | 85.0 | 3.62                 |
|  | ACCOUNT #: 00073738867         | BUY 0 Units @0.0000             |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-85IN - GRAHAM, BARBARA  | THE INCOME FUND OF AMERICA-A    | 0.00                 | 3.60                | 0.00               | 3.60              | 85.0 | 3.06                 |
|  | ACCOUNT #: 00074061357         | BUY 0 Units @0.0000             |                      |                     |                    |                   |      |                      |



# COMMISSION STATEMENT

March 12, 2018

MICHAEL GAROFALO  
54 Brookmeadow Circle  
Shrewsbury, PA 17361

BROKER #: A17  
BRANCH #01001 - LifeMark Home Office

| DATE   | CLIENT                         | INVESTMENT                   | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|--|--------------------------------|------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b>BROKER TRANSACTIONS (continued)</b>                       |                                |                              |                      |                     |                    |                   |      |                      |
| <b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</b> |                                |                              |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-11IN - GRAHAM, ARTHUR   | THE INCOME FUND OF AMERICA-A | 0.00                 | 4.58                | 0.00               | 4.58              | 85.0 | 3.89                 |
|  | ACCOUNT #: 00074061422         | BUY 0 Units @0.0000          |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-81IR - METTEE, LINDA    | THE INCOME FUND OF AMERICA-A | 0.00                 | 1.90                | 0.00               | 1.90              | 85.0 | 1.62                 |
|  | ACCOUNT #: 00074596449         | BUY 0 Units @0.0000          |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-842I - GREENHALGH,      | THE INCOME FUND OF AMERICA-A | 0.00                 | 17.14               | 0.00               | 17.14             | 85.0 | 14.57                |
|  | ACCOUNT #: 00074721842         | BUY 0 Units @0.0000          |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-069I - MEHALKO,         | THE INCOME FUND OF AMERICA-A | 0.00                 | 0.62                | 0.00               | 0.62              | 85.0 | 0.53                 |
|  | ACCOUNT #: 00075263054         | BUY 0 Units @0.0000          |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-35IN - TOBIN, MAUREEN   | THE INCOME FUND OF AMERICA-A | 0.00                 | 15.90               | 0.00               | 15.90             | 85.0 | 13.52                |
|  | ACCOUNT #: 00075417983         | BUY 0 Units @0.0000          |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-70IN - DUNDORE, ETHEL   | THE INCOME FUND OF AMERICA-A | 0.00                 | 16.54               | 0.00               | 16.54             | 85.0 | 14.06                |
|  | ACCOUNT #: 00075558052         | BUY 0 Units @0.0000          |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-153J - SHOCKEY, JEFFREY | THE INCOME FUND OF AMERICA-A | 0.00                 | 20.12               | 0.00               | 20.12             | 85.0 | 17.10                |
|  | ACCOUNT #: 00075824133         | BUY 0 Units @0.0000          |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-52IR - HARBAUGH, KELLY  | THE INCOME FUND OF AMERICA-A | 0.00                 | 0.81                | 0.00               | 0.81              | 85.0 | 0.69                 |
|  | ACCOUNT #: 00075998693         | BUY 0 Units @0.0000          |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-972I - SHAW, SUSAN      | THE INCOME FUND OF AMERICA-A | 0.00                 | 11.85               | 0.00               | 11.85             | 85.0 | 10.07                |
|  | ACCOUNT #: 00082025659         | BUY 0 Units @0.0000          |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-92IN - ZEBLEY,          | THE INCOME FUND OF AMERICA-A | 0.00                 | 22.48               | 0.00               | 22.48             | 85.0 | 19.11                |
|  | ACCOUNT #: 00082035849         | BUY 0 Units @0.0000          |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-653I - MYERS, MARVIN    | THE INCOME FUND OF AMERICA-A | 0.00                 | 8.36                | 0.00               | 8.36              | 85.0 | 7.11                 |
|  | ACCOUNT #: 00082603023         | BUY 0 Units @0.0000          |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-54IN - SCHMIDT, JENNY   | THE INCOME FUND OF AMERICA-A | 0.00                 | 2.77                | 0.00               | 2.77              | 85.0 | 2.35                 |
|  | ACCOUNT #: 00082865142         | BUY 0 Units @0.0000          |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-33IN - KNOBL, LISA      | THE INCOME FUND OF AMERICA-A | 0.00                 | 5.47                | 0.00               | 5.47              | 85.0 | 4.65                 |
|  | ACCOUNT #: 00083311783         | BUY 0 Units @0.0000          |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-30IN - WEAVER, NICOLE   | THE INCOME FUND OF AMERICA-A | 0.00                 | 4.27                | 0.00               | 4.27              | 85.0 | 3.63                 |
|  | ACCOUNT #: 00083890212         | BUY 0 Units @0.0000          |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-80IR - LEAR, WILLIAM    | THE INCOME FUND OF AMERICA-A | 0.00                 | 2.16                | 0.00               | 2.16              | 85.0 | 1.84                 |
|  | ACCOUNT #: 00084166547         | BUY 0 Units @0.0000          |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-752I - HARBAUGH, KELLY  | THE INCOME FUND OF AMERICA-A | 0.00                 | 11.64               | 0.00               | 11.64             | 85.0 | 9.89                 |
|  | ACCOUNT #: 00084420802         | BUY 0 Units @0.0000          |                      |                     |                    |                   |      |                      |



# COMMISSION STATEMENT

March 12, 2018

MICHAEL GAROFALO  
54 Brookmeadow Circle  
Shrewsbury, PA 17361

BROKER #: A17  
BRANCH #01001 - LifeMark Home Office

| DATE   | CLIENT  | INVESTMENT  | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|--|---|---|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b>BROKER TRANSACTIONS (continued)</b>                       |   |   |                      |                     |                    |                   |      |                      |
| <b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</b> |   |   |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-11IN - GRAHAM, ARTHUR<br>ACCOUNT #: 00085061358  | THE INCOME FUND OF AMERICA-A<br>BUY 0 Units @0.0000 | 0.00                 | 8.02                | 0.00               | 8.02              | 85.0 | 6.82                 |
| 03/01/2018   | ***-**-48IN - KANE, VIRGINIA<br>ACCOUNT #: 00085083170  | THE INCOME FUND OF AMERICA-A<br>BUY 0 Units @0.0000 | 0.00                 | 12.76               | 0.00               | 12.76             | 85.0 | 10.85                |
| 03/01/2018   | ***-**-11IN - GRAHAM, ARTHUR<br>ACCOUNT #: 00085201011  | THE INCOME FUND OF AMERICA-A<br>BUY 0 Units @0.0000 | 0.00                 | 6.25                | 0.00               | 6.25              | 85.0 | 5.31                 |
| 03/01/2018   | ***-**-52IN - KUNKEL, RAY<br>ACCOUNT #: 00085861084     | THE INCOME FUND OF AMERICA-A<br>BUY 0 Units @0.0000 | 0.00                 | 11.53               | 0.00               | 11.53             | 85.0 | 9.80                 |
| 03/01/2018   | ***-**-37IN - KUNKEL, JANET<br>ACCOUNT #: 00085861160   | THE INCOME FUND OF AMERICA-A<br>BUY 0 Units @0.0000 | 0.00                 | 11.53               | 0.00               | 11.53             | 85.0 | 9.80                 |
| 03/01/2018   | ***-**-582I - PLOCKI, EDWARD<br>ACCOUNT #: 00085925861  | THE INCOME FUND OF AMERICA-A<br>BUY 0 Units @0.0000 | 0.00                 | 23.15               | 0.00               | 23.15             | 85.0 | 19.68                |
| 03/01/2018   | ***-**-962I - KLOKIS, ROBERT<br>ACCOUNT #: 00085925927  | THE INCOME FUND OF AMERICA-A<br>BUY 0 Units @0.0000 | 0.00                 | 36.57               | 0.00               | 36.57             | 85.0 | 31.08                |
| 03/01/2018   | ***-**-305I - WAGNER, KEITH<br>ACCOUNT #: 00085996672   | THE INCOME FUND OF AMERICA-A<br>BUY 0 Units @0.0000 | 0.00                 | 50.61               | 0.00               | 50.61             | 85.0 | 43.02                |
| 03/01/2018   | ***-**-31IN - REED, JACK<br>ACCOUNT #: 00086425296      | THE INCOME FUND OF AMERICA-A<br>BUY 0 Units @0.0000 | 0.00                 | 15.09               | 0.00               | 15.09             | 85.0 | 12.83                |
| 03/01/2018   | ***-**-244I - REED, GENEVIEVE<br>ACCOUNT #: 00086668365 | THE INCOME FUND OF AMERICA-A<br>BUY 0 Units @0.0000 | 0.00                 | 24.04               | 0.00               | 24.04             | 85.0 | 20.43                |
| 03/01/2018   | ***-**-37IN - KUNKEL, JANET<br>ACCOUNT #: 00086684007   | THE INCOME FUND OF AMERICA-A<br>BUY 0 Units @0.0000 | 0.00                 | 19.28               | 0.00               | 19.28             | 85.0 | 16.39                |
| 03/01/2018   | ***-**-801I - BECK, LORETTA<br>ACCOUNT #: 00086800193   | THE INCOME FUND OF AMERICA-A<br>BUY 0 Units @0.0000 | 0.00                 | 0.01                | 0.00               | 0.01              | 85.0 | 0.01                 |
| 03/01/2018   | ***-**-05IN - WEAVER, DAVID<br>ACCOUNT #: 00086846926   | THE INCOME FUND OF AMERICA-A<br>BUY 0 Units @0.0000 | 0.00                 | 6.67                | 0.00               | 6.67              | 85.0 | 5.67                 |
| 03/01/2018   | ***-**-85IN - GRAHAM, BARBARA<br>ACCOUNT #: 00087104867 | THE INCOME FUND OF AMERICA-A<br>BUY 0 Units @0.0000 | 0.00                 | 9.14                | 0.00               | 9.14              | 85.0 | 7.77                 |
| 03/01/2018   | ***-**-113I - PIERMANI, JOHN<br>ACCOUNT #: 00087371626  | THE INCOME FUND OF AMERICA-A<br>BUY 0 Units @0.0000 | 0.00                 | 37.24               | 0.00               | 37.24             | 85.0 | 31.65                |
| 03/01/2018   | ***-**-18IN - KUNKEL, RYAN<br>ACCOUNT #: 00087401941    | THE INCOME FUND OF AMERICA-A<br>BUY 0 Units @0.0000 | 0.00                 | 4.18                | 0.00               | 4.18              | 85.0 | 3.55                 |





# COMMISSION STATEMENT

March 12, 2018

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54 Brookmeadow Circle  
Shrewsbury, PA 17361

BROKER #: A17  
BRANCH #01001 - LifeMark Home Office

| DATE   | CLIENT                         | INVESTMENT                          | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|--|--------------------------------|-------------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b>BROKER TRANSACTIONS (continued)</b>                       |                                |                                     |                      |                     |                    |                   |      |                      |
| <b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</b> |                                |                                     |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-18IN - KUNKEL, RYAN     | THE INCOME FUND OF AMERICA-A        | 0.00                 | 5.53                | 0.00               | 5.53              | 85.0 | 4.70                 |
|  | ACCOUNT #: 00087404382         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-71IN - STRAUB, GREGORY  | THE INCOME FUND OF AMERICA-A        | 0.00                 | 4.06                | 0.00               | 4.06              | 85.0 | 3.45                 |
|  | ACCOUNT #: 00087442503         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-964I - BURG, WAYNE      | THE INCOME FUND OF AMERICA-A        | 0.00                 | 27.86               | 0.00               | 27.86             | 85.0 | 23.68                |
|  | ACCOUNT #: 00087501958         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-964I - BURG, WAYNE      | THE INCOME FUND OF AMERICA-A        | 0.00                 | 9.37                | 0.00               | 9.37              | 85.0 | 7.96                 |
|  | ACCOUNT #: 00087506557         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-057I - BEIBLE, DIANE    | THE INCOME FUND OF AMERICA-A        | 0.00                 | 11.67               | 0.00               | 11.67             | 85.0 | 9.92                 |
|  | ACCOUNT #: 00087729631         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-05IN - WEAVER, DAVID    | THE INCOME FUND OF AMERICA-F1       | 0.00                 | 3.81                | 0.00               | 3.81              | 85.0 | 3.24                 |
|  | ACCOUNT #: 00075103981         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-83IR - SCHWARTZ, EMILY  | THE INVESTMENT COMPANY OF AMERICA-A | 0.00                 | 7.52                | 0.00               | 7.52              | 85.0 | 6.39                 |
|  | ACCOUNT #: 00066874651         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-167I - NORNHOLD, DENNIS | THE INVESTMENT COMPANY OF AMERICA-A | 0.00                 | 17.18               | 0.00               | 17.18             | 85.0 | 14.60                |
|  | ACCOUNT #: 00067410108         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-831I - REED, JACK       | THE INVESTMENT COMPANY OF AMERICA-A | 0.00                 | 7.22                | 0.00               | 7.22              | 85.0 | 6.14                 |
|  | ACCOUNT #: 00067413408         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-48IN - EVANS, SUSAN     | THE INVESTMENT COMPANY OF AMERICA-A | 0.00                 | 2.99                | 0.00               | 2.99              | 85.0 | 2.54                 |
|  | ACCOUNT #: 00068757102         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-30IN - WEAVER, NICOLE   | THE INVESTMENT COMPANY OF AMERICA-A | 0.00                 | 19.86               | 0.00               | 19.86             | 85.0 | 16.88                |
|  | ACCOUNT #: 00073181035         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-00IN - ROMIG, MARK      | THE INVESTMENT COMPANY OF AMERICA-A | 0.00                 | 12.20               | 0.00               | 12.20             | 85.0 | 10.37                |
|  | ACCOUNT #: 00073419431         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-52IN - STEPP, JENNIFER  | THE INVESTMENT COMPANY OF AMERICA-A | 0.00                 | 1.56                | 0.00               | 1.56              | 85.0 | 1.33                 |
|  | ACCOUNT #: 00074245900         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-26IN - CROWL, ROBERT    | THE INVESTMENT COMPANY OF AMERICA-A | 0.00                 | 12.92               | 0.00               | 12.92             | 85.0 | 10.98                |
|  | ACCOUNT #: 00074806269         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-36IN - CROWL, LINDA     | THE INVESTMENT COMPANY OF AMERICA-A | 0.00                 | 11.26               | 0.00               | 11.26             | 85.0 | 9.57                 |
|  | ACCOUNT #: 00074806331         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-031I - ENEDY, JOHN      | THE INVESTMENT COMPANY OF AMERICA-A | 0.00                 | 0.38                | 0.00               | 0.38              | 85.0 | 0.32                 |
|  | ACCOUNT #: 00075145704         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |



# COMMISSION STATEMENT

March 12, 2018

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54 Brookmeadow Circle  
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BROKER #: A17  
BRANCH #01001 - LifeMark Home Office

| DATE   | CLIENT   | INVESTMENT   | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|--|--|--|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b>BROKER TRANSACTIONS (continued)</b>                       |  |  |                      |                     |                    |                   |      |                      |
| <b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</b> |  |  |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-697I - ENEDY, EMILY<br>ACCOUNT #: 00075149118     | THE INVESTMENT COMPANY OF AMERICA-A<br>BUY 0 Units @0.0000 | 0.00                 | 0.15                | 0.00               | 0.15              | 85.0 | 0.13                 |
| 03/01/2018   | ***-**-32IR - SHAW, WILLIAM<br>ACCOUNT #: 00082011931    | THE INVESTMENT COMPANY OF AMERICA-A<br>BUY 0 Units @0.0000 | 0.00                 | 7.09                | 0.00               | 7.09              | 85.0 | 6.03                 |
| 03/01/2018   | ***-**-72IR - SHAW, SUSAN<br>ACCOUNT #: 00082013491      | THE INVESTMENT COMPANY OF AMERICA-A<br>BUY 0 Units @0.0000 | 0.00                 | 7.06                | 0.00               | 7.06              | 85.0 | 6.00                 |
| 03/01/2018   | ***-**-64IN - BURG, WAYNE<br>ACCOUNT #: 00083236921      | THE INVESTMENT COMPANY OF AMERICA-A<br>BUY 0 Units @0.0000 | 0.00                 | 1.49                | 0.00               | 1.49              | 85.0 | 1.27                 |
| 03/01/2018   | ***-**-376I - WAGNER, LINDA<br>ACCOUNT #: 00083259292    | THE INVESTMENT COMPANY OF AMERICA-A<br>BUY 0 Units @0.0000 | 0.00                 | 6.20                | 0.00               | 6.20              | 85.0 | 5.27                 |
| 03/01/2018   | ***-**-05IR - WAGNER, KEITH<br>ACCOUNT #: 00083259378    | THE INVESTMENT COMPANY OF AMERICA-A<br>BUY 0 Units @0.0000 | 0.00                 | 19.95               | 0.00               | 19.95             | 85.0 | 16.96                |
| 03/01/2018   | ***-**-31IN - REED, JACK<br>ACCOUNT #: 00086425296       | THE INVESTMENT COMPANY OF AMERICA-A<br>BUY 0 Units @0.0000 | 0.00                 | 12.76               | 0.00               | 12.76             | 85.0 | 10.85                |
| 03/01/2018   | ***-**-00IN - ROMIG, MARK<br>ACCOUNT #: 00073419431      | THE NEW ECONOMY FUND-A<br>BUY 0 Units @0.0000              | 0.00                 | 15.44               | 0.00               | 15.44             | 85.0 | 13.12                |
| 03/01/2018   | ***-**-683I - SCHWARTZ, EMILY<br>ACCOUNT #: 00063122427  | WASHINGTON MUTUAL INVESTORS FUND-A<br>BUY 0 Units @0.0000  | 0.00                 | 2.08                | 0.00               | 2.08              | 85.0 | 1.77                 |
| 03/01/2018   | ***-**-683I - SCHWARTZ, EMILY<br>ACCOUNT #: 00063858924  | WASHINGTON MUTUAL INVESTORS FUND-A<br>BUY 0 Units @0.0000  | 0.00                 | 3.19                | 0.00               | 3.19              | 85.0 | 2.71                 |
| 03/01/2018   | ***-**-30IN - STRAUB, JANE<br>ACCOUNT #: 00063926701     | WASHINGTON MUTUAL INVESTORS FUND-A<br>BUY 0 Units @0.0000  | 0.00                 | 21.87               | 0.00               | 21.87             | 85.0 | 18.59                |
| 03/01/2018   | ***-**-83IR - SCHWARTZ, EMILY<br>ACCOUNT #: 00066874651  | WASHINGTON MUTUAL INVESTORS FUND-A<br>BUY 0 Units @0.0000  | 0.00                 | 9.90                | 0.00               | 9.90              | 85.0 | 8.42                 |
| 03/01/2018   | ***-**-153J - SHOCKEY, JEFFREY<br>ACCOUNT #: 00075824133 | WASHINGTON MUTUAL INVESTORS FUND-A<br>BUY 0 Units @0.0000  | 0.00                 | 20.95               | 0.00               | 20.95             | 85.0 | 17.81                |
| 03/01/2018   | ***-**-32IR - SHAW, WILLIAM<br>ACCOUNT #: 00082011931    | WASHINGTON MUTUAL INVESTORS FUND-A<br>BUY 0 Units @0.0000  | 0.00                 | 5.59                | 0.00               | 5.59              | 85.0 | 4.75                 |
| 03/01/2018   | ***-**-972I - SHAW, SUSAN<br>ACCOUNT #: 00082025659      | WASHINGTON MUTUAL INVESTORS FUND-A<br>BUY 0 Units @0.0000  | 0.00                 | 8.05                | 0.00               | 8.05              | 85.0 | 6.84                 |
| 03/01/2018   | ***-**-52IN - KUNKEL, RAY<br>ACCOUNT #: 00085861084      | WASHINGTON MUTUAL INVESTORS FUND-A<br>BUY 0 Units @0.0000  | 0.00                 | 5.78                | 0.00               | 5.78              | 85.0 | 4.91                 |



# COMMISSION STATEMENT

March 12, 2018

MICHAEL GAROFALO  
54 Brookmeadow Circle  
Shrewsbury, PA 17361

BROKER #: A17  
BRANCH #01001 - LifeMark Home Office

| DATE   | CLIENT  | INVESTMENT                         | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|--|---|------------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b>BROKER TRANSACTIONS (continued)</b>                       |   |                                    |                      |                     |                    |                   |      |                      |
| <b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</b> |   |                                    |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-37IN - KUNKEL, JANET                         | WASHINGTON MUTUAL INVESTORS FUND-A | 0.00                 | 5.78                | 0.00               | 5.78              | 85.0 | 4.91                 |
|  | ACCOUNT #: 00085861160                              | BUY 0 Units @0.0000                |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-400I - ROMIG, MARK                           | WASHINGTON MUTUAL INVESTORS FUND-A | 0.00                 | 27.15               | 0.00               | 27.15             | 85.0 | 23.08                |
|  | ACCOUNT #: 00086646961                              | BUY 0 Units @0.0000                |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-113I - PIERMANI, JOHN                        | WASHINGTON MUTUAL INVESTORS FUND-A | 0.00                 | 14.88               | 0.00               | 14.88             | 85.0 | 12.65                |
|  | ACCOUNT #: 00087371626                              | BUY 0 Units @0.0000                |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-18IN - KUNKEL, RYAN                          | WASHINGTON MUTUAL INVESTORS FUND-A | 0.00                 | 4.43                | 0.00               | 4.43              | 85.0 | 3.77                 |
|  | ACCOUNT #: 00087401941                              | BUY 0 Units @0.0000                |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-18IN - KUNKEL, RYAN                          | WASHINGTON MUTUAL INVESTORS FUND-A | 0.00                 | 2.21                | 0.00               | 2.21              | 85.0 | 1.88                 |
|  | ACCOUNT #: 00087404382                              | BUY 0 Units @0.0000                |                      |                     |                    |                   |      |                      |
|  | <b>* MUTUAL FUND 12B1 TRAILS SUBTOTAL *</b>         |                                    | <b>\$0.00</b>        | <b>\$4,287.48</b>   | <b>\$0.00</b>      | <b>\$4,287.48</b> |      | <b>\$3,644.41</b>    |
| <b>PRODUCT CATEGORY: VARIABLE ANNUITY 12B1 TRAILS</b>        |   |                                    |                      |                     |                    |                   |      |                      |
| 03/03/2018   | ***-**-859I - CAMPBELL, GERALD ING ADVANTAGE SELECT |                                    | 0.00                 | 17.41               | 0.00               | 17.41             | 85.0 | 14.80                |
|  | ACCOUNT #: R073277-ZS                               | BUY 0 Units @0.0000                |                      |                     |                    |                   |      |                      |
|  | <b>* VARIABLE ANNUITY 12B1 TRAILS SUBTOTAL *</b>    |                                    | <b>\$0.00</b>        | <b>\$17.41</b>      | <b>\$0.00</b>      | <b>\$17.41</b>    |      | <b>\$14.80</b>       |
|  | <b>*** BROKER TRANSACTIONS TOTAL ***</b>            |                                    | <b>\$2,150.01</b>    | <b>\$4,360.90</b>   | <b>\$0.00</b>      | <b>\$4,360.90</b> |      | <b>\$3,706.85</b>    |



BROKER #: A17  
BRANCH #01001 - LifeMark Home Office

|                                      |               | INVESTMENT | GROSS  | CLEARING  | NET    | BROKER     |      |            |                        |               |                              |               |
|--------------------------------------|---------------|------------|--------|---|--------|------------|------|------------|------------------------|---------------|------------------------------|---------------|
| DATE                                 | CLIENT        |            | AMOUNT | COMMISSION  | CHARGE | COMMISSION | RATE | COMMISSION |                        |               |                              |               |
| <hr/>                                |               |            |        |   |        |            |      |            |                        |               |                              |               |
|                                      |               |            |        | <b><u>BROKER COMMISSION TOTALS</u></b>  |        |            |      |            |                        |               |                              |               |
|                                      |               |            |        | Broker Transactions   |        | \$3,706.85 |      |            |                        |               |                              |               |
|                                      |               |            |        | Split Transactions  |        | \$0.00     |      |            |                        |               |                              |               |
|                                      |               |            |        | Override Transactions   |        | \$0.00     |      |            |                        |               |                              |               |
|                                      |               |            |        | Adjustments   |        | \$0.00     |      |            |                        |               |                              |               |
|                                      |               |            |        | Payroll Draw  |        | \$0.00     |      |            |                        |               |                              |               |
|                                      |               |            |        | Base Salary   |        | \$0.00     |      |            |                        |               |                              |               |
|                                      |               |            |        | Prior Period Balance  |        | \$0.00     |      |            |                        |               |                              |               |
|                                      |               |            |        | FINRA Assessment  |        | \$0.00     |      |            |                        |               |                              |               |
|                                      |               |            |        | SIPC Assessment   |        | \$0.00     |      |            |                        |               |                              |               |
|                                      |               |            |        | <hr/>   |        |            |      |            |                        |               |                              |               |
| Please Retain for Your Records       |               |            |        | <table><tr><td><b>Balance Forward</b></td><td><b>\$0.00</b></td></tr><tr><td><b>Year-to-date Earnings</b></td><td><b>\$0.00</b></td></tr></table> |        |            |      |            | <b>Balance Forward</b> | <b>\$0.00</b> | <b>Year-to-date Earnings</b> | <b>\$0.00</b> |
| <b>Balance Forward</b>               | <b>\$0.00</b> |            |        |   |        |            |      |            |                        |               |                              |               |
| <b>Year-to-date Earnings</b>         | <b>\$0.00</b> |            |        |   |        |            |      |            |                        |               |                              |               |
| THERE WILL BE NO PAYMENT THIS PERIOD |               |            |        |   |        |            |      |            |                        |               |                              |               |



# COMMISSION STATEMENT

March 12, 2018

ALEX GEORGIEV  
400 West Metro Park  
Rochester, NY 14623

BROKER #: AGJ  
BRANCH #01001 - LifeMark Home Office

| DATE   | CLIENT                         | INVESTMENT                          | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|--|--------------------------------|-------------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b><u>BROKER TRANSACTIONS</u></b>            |                                |                                     |                      |                     |                    |                   |      |                      |
| <b><u>PRODUCT CATEGORY: MUTUAL FUNDS</u></b> |                                |                                     |                      |                     |                    |                   |      |                      |
| 02/22/2018                                   | ***-**-69IN - FOULK, FLOYD     | ALLIANCEBERNSTEIN GROWTH A          | 50.00                | 2.00                | 0.00               | 2.00              | 10.0 | 0.20                 |
|  | ACCOUNT #: 03310275876         | BUY 1 Units @79.6700                |                      |                     |                    |                   |      |                      |
| 02/26/2018                                   | ***-**-564J - CRAIG, MARK      | AMCAP FUND-A                        | 50.00                | 1.38                | 0.00               | 1.38              | 10.0 | 0.14                 |
|  | ACCOUNT #: 00084581027         | BUY 1 Units @34.9900                |                      |                     |                    |                   |      |                      |
| 03/01/2018                                   | ***-**-391J - FRIEDMAN, KEITH  | AMCAP FUND-A                        | 450.00               | 4.50                | 0.00               | 4.50              | 10.0 | 0.45                 |
|  | ACCOUNT #: 00083404691         | BUY 14 Units @32.7200               |                      |                     |                    |                   |      |                      |
| 03/02/2018                                   | ***-**-212I - SNEED, DAVID     | AMERICAN BALANCED FUND-A            | 122.32               | 1.22                | 0.00               | 1.22              | 10.0 | 0.12                 |
|  | ACCOUNT #: 00088678532         | BUY 5 Units @26.9800                |                      |                     |                    |                   |      |                      |
| 03/02/2018                                   | ***-**-212I - SNEED, DAVID     | AMERICAN BALANCED FUND-A            | 600.00               | 6.00                | 0.00               | 6.00              | 10.0 | 0.60                 |
|  | ACCOUNT #: 00088678532         | BUY 22 Units @26.9800               |                      |                     |                    |                   |      |                      |
| 03/01/2018                                   | ***-**-064J - HALL, AMY        | AMERICAN DEVELOPING WRLD GRWTH & IN | 250.00               | 3.00                | 0.00               | 3.00              | 10.0 | 0.30                 |
|  | ACCOUNT #: 00083146232         | BUY 22 Units @11.5300               |                      |                     |                    |                   |      |                      |
| 03/02/2018                                   | ***-**-699I - COOK, PHYLLIS    | AMERICAN FUNDS 2020 TARGET DATE-A   | 135.00               | 1.35                | 0.00               | 1.35              | 10.0 | 0.14                 |
|  | ACCOUNT #: 00086486652         | BUY 11 Units @12.5400               |                      |                     |                    |                   |      |                      |
| 03/02/2018                                   | ***-**-699I - COOK, PHYLLIS    | AMERICAN FUNDS 2020 TARGET DATE-A   | 495.00               | 4.95                | 0.00               | 4.95              | 10.0 | 0.50                 |
|  | ACCOUNT #: 00086486652         | BUY 39 Units @12.5400               |                      |                     |                    |                   |      |                      |
| 02/26/2018                                   | ***-**-11IR - SCHAFFTEL, AMY   | AMERICAN FUNDS 2025 TARGET DATE-A   | 1,000.00             | 37.50               | 0.00               | 37.50             | 10.0 | 3.75                 |
|  | ACCOUNT #: 00063600878         | BUY 69 Units @14.3900               |                      |                     |                    |                   |      |                      |
| 03/01/2018                                   | ***-**-205P - BISCOTTI,        | AMERICAN FUNDS 2030 TARGET DATE-A   | 30.00                | 1.13                | 0.00               | 1.13              | 10.0 | 0.11                 |
|  | ACCOUNT #: 00064937834         | BUY 2 Units @15.1500                |                      |                     |                    |                   |      |                      |
| 03/01/2018                                   | ***-**-08IR - ROSS, GERALD J   | AMERICAN FUNDS 2030 TARGET DATE-A   | 100.00               | 5.00                | 0.00               | 5.00              | 10.0 | 0.50                 |
|  | ACCOUNT #: 00081116941         | BUY 7 Units @15.3500                |                      |                     |                    |                   |      |                      |
| 02/26/2018                                   | ***-**-57IR - CRAIG, EDWARD    | AMERICAN FUNDS 2035 TARGET DATE-A   | 100.00               | 2.75                | 0.00               | 2.75              | 10.0 | 0.28                 |
|  | ACCOUNT #: 00085434610         | BUY 6 Units @15.9500                |                      |                     |                    |                   |      |                      |
| 02/27/2018                                   | ***-**-205P - CRAIG, HENRYKA   | AMERICAN FUNDS 2035 TARGET DATE-A   | 250.00               | 6.88                | 0.00               | 6.88              | 10.0 | 0.69                 |
|  | ACCOUNT #: 00066866913         | BUY 16 Units @15.7600               |                      |                     |                    |                   |      |                      |
| 02/28/2018                                   | ***-**-315P - DAILEY, GEORGE   | AMERICAN FUNDS 2035 TARGET DATE-A   | 979.12               | 26.93               | 0.00               | 26.93             | 10.0 | 2.69                 |
|  | ACCOUNT #: 00082480701         | BUY 63 Units @15.6200               |                      |                     |                    |                   |      |                      |
| 03/01/2018                                   | ***-**-582I - ROZENCWAIG, ERIC | AMERICAN FUNDS 2035 TARGET DATE-A   | 100.00               | 2.75                | 0.00               | 2.75              | 10.0 | 0.28                 |
|  | ACCOUNT #: 00073025002         | BUY 6 Units @15.4900                |                      |                     |                    |                   |      |                      |
| 03/02/2018                                   | ***-**-873I - MOSTEIKO, WENDI  | AMERICAN FUNDS 2035 TARGET DATE-A   | 150.00               | 1.50                | 0.00               | 1.50              | 10.0 | 0.15                 |
|  | ACCOUNT #: 00086486663         | BUY 10 Units @15.0100               |                      |                     |                    |                   |      |                      |



# COMMISSION STATEMENT

March 12, 2018

ALEX GEORGIEV  
400 West Metro Park  
Rochester, NY 14623

BROKER #: AGJ  
BRANCH #01001 - LifeMark Home Office

| DATE  | CLIENT                          | INVESTMENT                          | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|---|---------------------------------|-------------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b>BROKER TRANSACTIONS (continued)</b>            |                                 |                                     |                      |                     |                    |                   |      |                      |
| <b>PRODUCT CATEGORY: MUTUAL FUNDS (continued)</b> |                                 |                                     |                      |                     |                    |                   |      |                      |
| 03/02/2018  | ***-***-873I - MOSTEIKO, WENDI  | AMERICAN FUNDS 2035 TARGET DATE-A   | 500.00               | 5.00                | 0.00               | 5.00              | 10.0 | 0.50                 |
|   | ACCOUNT #: 00086486663          | BUY 33 Units @15.0100               |                      |                     |                    |                   |      |                      |
| 03/02/2018  | ***-***-681I - HOLLIS, PATRYCJA | AMERICAN FUNDS 2035 TARGET DATE-A   | 190.00               | 1.90                | 0.00               | 1.90              | 10.0 | 0.19                 |
|   | ACCOUNT #: 00086486750          | BUY 13 Units @15.0100               |                      |                     |                    |                   |      |                      |
| 03/02/2018  | ***-***-681I - HOLLIS, PATRYCJA | AMERICAN FUNDS 2035 TARGET DATE-A   | 190.00               | 1.90                | 0.00               | 1.90              | 10.0 | 0.19                 |
|   | ACCOUNT #: 00086486750          | BUY 13 Units @15.0100               |                      |                     |                    |                   |      |                      |
| 02/26/2018  | ***-***-761R - CRAIG, ELIZABETH | AMERICAN FUNDS 2040 TARGET DATE-A   | 100.00               | 2.75                | 0.00               | 2.75              | 10.0 | 0.28                 |
|   | ACCOUNT #: 00085434632          | BUY 6 Units @16.3800                |                      |                     |                    |                   |      |                      |
| 02/27/2018  | ***-***-645P - CRAIG, MARK      | AMERICAN FUNDS 2040 TARGET DATE-A   | 250.00               | 6.88                | 0.00               | 6.88              | 10.0 | 0.69                 |
|   | ACCOUNT #: 00066866912          | BUY 15 Units @16.1900               |                      |                     |                    |                   |      |                      |
| 02/28/2018  | ***-***-935I - LUBRANO, ROSARIO | AMERICAN FUNDS 2040 TARGET DATE-A   | 400.00               | 11.00               | 0.00               | 11.00             | 10.0 | 1.10                 |
|   | ACCOUNT #: 00087158080          | BUY 25 Units @16.0300               |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-***-296I - ROZENCWAIG,      | AMERICAN FUNDS 2045 TARGET DATE-A   | 458.00               | 12.60               | 0.00               | 12.60             | 10.0 | 1.26                 |
|   | ACCOUNT #: 00073024936          | BUY 28 Units @16.1600               |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-***-131R - LABUE, CHRISTINE | AMERICAN FUNDS 2045 TARGET DATE-A   | 50.00                | 2.50                | 0.00               | 2.50              | 10.0 | 0.25                 |
|   | ACCOUNT #: 00085542538          | BUY 3 Units @16.5400                |                      |                     |                    |                   |      |                      |
| 03/02/2018  | ***-***-504I - MARSHALL,        | AMERICAN FUNDS 2045 TARGET DATE-A   | 480.00               | 4.80                | 0.00               | 4.80              | 10.0 | 0.48                 |
|   | ACCOUNT #: 00086486770          | BUY 31 Units @15.6600               |                      |                     |                    |                   |      |                      |
| 03/02/2018  | ***-***-504I - MARSHALL,        | AMERICAN FUNDS 2045 TARGET DATE-A   | 240.00               | 2.40                | 0.00               | 2.40              | 10.0 | 0.24                 |
|   | ACCOUNT #: 00086486770          | BUY 15 Units @15.6600               |                      |                     |                    |                   |      |                      |
| 03/02/2018  | ***-***-6540 - PAK, GRACE       | AMERICAN FUNDS 2050 TARGET DATE-A   | 130.00               | 1.30                | 0.00               | 1.30              | 10.0 | 0.13                 |
|   | ACCOUNT #: 00089936611          | BUY 8 Units @15.3400                |                      |                     |                    |                   |      |                      |
| 03/02/2018  | ***-***-6540 - PAK, GRACE       | AMERICAN FUNDS 2050 TARGET DATE-A   | 650.00               | 6.50                | 0.00               | 6.50              | 10.0 | 0.65                 |
|   | ACCOUNT #: 00089936611          | BUY 42 Units @15.3400               |                      |                     |                    |                   |      |                      |
| 03/06/2018  | ***-***-824I - CHRISOS, LORRIE  | AMERICAN FUNDS BALANCED PORT CL F2- | 100.00               | 3.00                | 0.00               | 3.00              | 10.0 | 0.30                 |
|   | ACCOUNT #: LSR012122            | BUY 7 Units @14.9700                |                      |                     |                    |                   |      |                      |
| 03/05/2018  | ***-***-835I - FREEMAN, FLOYD   | AMERICAN FUNDS BLNCD PORTFOLIO CL A | 952.00               | 0.00                | 0.00               | 0.00              | 10.0 | 0.00                 |
|   | ACCOUNT #: LSR012117            | SELL 64 Units @14.9100              |                      |                     |                    |                   |      |                      |
| 03/06/2018  | ***-***-824I - CHRISOS, LORRIE  | AMERICAN FUNDS GRWTH & INC. PORT F  | 100.00               | 3.00                | 0.00               | 3.00              | 10.0 | 0.30                 |
|   | ACCOUNT #: LSR012122            | BUY 6 Units @15.4400                |                      |                     |                    |                   |      |                      |
| 03/02/2018  | ***-***-659I - ADAMS, JOSHUA    | AMERICAN FUNDS GRWTH & INCOME PORT  | 127.03               | 1.27                | 0.00               | 1.27              | 10.0 | 0.13                 |
|   | ACCOUNT #: 00089094219          | BUY 8 Units @15.2700                |                      |                     |                    |                   |      |                      |



# COMMISSION STATEMENT

March 12, 2018

ALEX GEORGIEV  
400 West Metro Park  
Rochester, NY 14623

BROKER #: AGJ  
BRANCH #01001 - LifeMark Home Office

| DATE  | CLIENT                         | INVESTMENT                          | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|---|--------------------------------|-------------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b>BROKER TRANSACTIONS (continued)</b>            |                                |                                     |                      |                     |                    |                   |      |                      |
| <b>PRODUCT CATEGORY: MUTUAL FUNDS (continued)</b> |                                |                                     |                      |                     |                    |                   |      |                      |
| 03/02/2018  | ***-**-659I - ADAMS, JOSHUA    | AMERICAN FUNDS GRWTH & INCOME PORT  | 160.00               | 1.60                | 0.00               | 1.60              | 10.0 | 0.16                 |
|   | ACCOUNT #: 00089094219         | BUY 10 Units @15.2700               |                      |                     |                    |                   |      |                      |
| 03/05/2018  | ***-**-835I - FREEMAN, FLOYD   | AMERICAN FUNDS GRWTH & INCOME PORT  | 924.00               | 0.00                | 0.00               | 0.00              | 10.0 | 0.00                 |
|   | ACCOUNT #: LSR012117           | SELL 60 Units @15.3700              |                      |                     |                    |                   |      |                      |
| 02/28/2018  | ***-**-72IN - THUMULURU,       | AMERICAN MUTUAL FUND-A              | 200.00               | 5.50                | 0.00               | 5.50              | 10.0 | 0.55                 |
|   | ACCOUNT #: 00074749751         | BUY 5 Units @42.3600                |                      |                     |                    |                   |      |                      |
| 03/06/2018  | ***-**-4263 - SELARU, DR       | BLACKROCK MID CAP VALUE OPPORTIES C | 380.51               | 10.45               | 0.00               | 10.45             | 10.0 | 1.05                 |
|   | ACCOUNT #: LSR011307           | BUY 21 Units @18.2000               |                      |                     |                    |                   |      |                      |
| 03/06/2018  | ***-**-4263 - SELARU, DR       | BLACKROCK S&P 500 INDEX INV A       | 761.00               | 3.00                | 0.00               | 3.00              | 10.0 | 0.30                 |
|   | ACCOUNT #: LSR011307           | BUY 2 Units @325.6300               |                      |                     |                    |                   |      |                      |
| 03/06/2018  | ***-**-4263 - SELARU, DR       | BLACKROCK VALUE OPPORT FD CL A      | 380.49               | 10.45               | 0.00               | 10.45             | 10.0 | 1.05                 |
|   | ACCOUNT #: LSR011307           | BUY 12 Units @33.0800               |                      |                     |                    |                   |      |                      |
| 03/08/2018  | ***-**-269I - SANCHEZ, SARAH   | CALVERT AGGRESSIVE ALLOCATION FUND- | 0.00                 | 2.88                | 0.00               | 2.88              | 10.0 | 0.29                 |
|   | ACCOUNT #: 00006107627         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/08/2018  | ***-**-01IR - SURGES, AMANI    | CALVERT AGGRESSIVE ALLOCATION FUND- | 0.00                 | 3.00                | 0.00               | 3.00              | 10.0 | 0.30                 |
|   | ACCOUNT #: 00007180771         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/08/2018  | ***-**-79SI - CREEGAN, THOMAS  | CALVERT AGGRESSIVE ALLOCATION FUND- | 0.00                 | 16.88               | 0.00               | 16.88             | 10.0 | 1.69                 |
|   | ACCOUNT #: 00007203830         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/08/2018  | ***-**-18SI - FRAZIER, STEPHEN | CALVERT AGGRESSIVE ALLOCATION FUND- | 0.00                 | 9.00                | 0.00               | 9.00              | 10.0 | 0.90                 |
|   | ACCOUNT #: 00007203904         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/08/2018  | ***-**-82SI - PERRY, ROBERT    | CALVERT AGGRESSIVE ALLOCATION FUND- | 0.00                 | 1.21                | 0.00               | 1.21              | 10.0 | 0.12                 |
|   | ACCOUNT #: 00007203908         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/08/2018  | ***-**-46IS - BAINBRIDGE, ERIC | CALVERT AGGRESSIVE ALLOCATION FUND- | 0.00                 | 2.73                | 0.00               | 2.73              | 10.0 | 0.27                 |
|   |                                | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/08/2018  | ***-**-67SI - VIRKUS, AMANDA   | CALVERT AGGRESSIVE ALLOCATION FUND- | 0.00                 | 9.84                | 0.00               | 9.84              | 10.0 | 0.98                 |
|   |                                | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/08/2018  | ***-**-90SI - PULTZ, JOSEPH    | CALVERT AGGRESSIVE ALLOCATION FUND- | 0.00                 | 13.15               | 0.00               | 13.15             | 10.0 | 1.32                 |
|   |                                | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/08/2018  | ***-**-24SI - RINI, VICTOR     | CALVERT AGGRESSIVE ALLOCATION FUND- | 0.00                 | 31.20               | 0.00               | 31.20             | 10.0 | 3.12                 |
|   | ACCOUNT #: 00007227183         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/08/2018  | ***-**-989I - YANOWITZ, BARRY  | CALVERT BALANCED PORTFOLIO - A      | 0.00                 | 8.34                | 0.00               | 8.34              | 10.0 | 0.83                 |
|   | ACCOUNT #: 00006121422         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |



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BRANCH #01001 - LifeMark Home Office

| DATE  | CLIENT                         | INVESTMENT                          | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|---|--------------------------------|-------------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b>BROKER TRANSACTIONS (continued)</b>            |                                |                                     |                      |                     |                    |                   |      |                      |
| <b>PRODUCT CATEGORY: MUTUAL FUNDS (continued)</b> |                                |                                     |                      |                     |                    |                   |      |                      |
| 03/08/2018  | ***-**-82SI - PERRY, ROBERT    | CALVERT BALANCED PORTFOLIO - A      | 0.00                 | 6.03                | 0.00               | 6.03              | 10.0 | 0.60                 |
|   | ACCOUNT #: 00007203908         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/08/2018  | ***-**-18SI - FRAZIER, STEPHEN | CALVERT BALANCED PORTFOLIO - A      | 0.00                 | 1.75                | 0.00               | 1.75              | 10.0 | 0.18                 |
|   | ACCOUNT #: 00007203904         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/08/2018  | ***-**-18SI - FRAZIER, STEPHEN | CALVERT BALANCED PORTFOLIO - A      | 0.00                 | 3.38                | 0.00               | 3.38              | 10.0 | 0.34                 |
|   | ACCOUNT #: 00007203904         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/08/2018  | ***-**-82SI - PERRY, ROBERT    | CALVERT BALANCED PORTFOLIO - A      | 0.00                 | 1.21                | 0.00               | 1.21              | 10.0 | 0.12                 |
|   | ACCOUNT #: 00007203908         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/08/2018  | ***-**-32SI - STEWART, VOLKER  | CALVERT BALANCED PORTFOLIO - A      | 0.00                 | 3.31                | 0.00               | 3.31              | 10.0 | 0.33                 |
|   | ACCOUNT #: 00007203900         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/08/2018  | ***-**-82SI - PERRY, ROBERT    | CALVERT BALANCED PORTFOLIO - A      | 0.00                 | 2.41                | 0.00               | 2.41              | 10.0 | 0.24                 |
|   | ACCOUNT #: 00007203908         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/08/2018  | ***-**-82SI - PERRY, ROBERT    | CALVERT BALANCED PORTFOLIO - A      | 0.00                 | 1.21                | 0.00               | 1.21              | 10.0 | 0.12                 |
|   | ACCOUNT #: 00007203908         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/08/2018  | ***-**-32SI - STEWART, VOLKER  | CALVERT BALANCED PORTFOLIO - A      | 0.00                 | 26.50               | 0.00               | 26.50             | 10.0 | 2.65                 |
|   | ACCOUNT #: 00007203900         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/08/2018  | ***-**-18SI - FRAZIER, STEPHEN | CALVERT BALANCED PORTFOLIO - A      | 0.00                 | 4.50                | 0.00               | 4.50              | 10.0 | 0.45                 |
|   | ACCOUNT #: 00007203904         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/08/2018  | ***-**-46IS - BAINBRIDGE, ERIC | CALVERT BALANCED PORTFOLIO - A      | 0.00                 | 2.73                | 0.00               | 2.73              | 10.0 | 0.27                 |
|   |                                | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/08/2018  | ***-**-977I - BROWN, ERIC      | CALVERT BALANCED PORTFOLIO - A      | 0.00                 | 12.30               | 0.00               | 12.30             | 10.0 | 1.23                 |
|   | ACCOUNT #: 00006121814         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/08/2018  | ***-**-584I - MARTORELLA,      | CALVERT BALANCED PORTFOLIO - A      | 0.00                 | 2.00                | 0.00               | 2.00              | 10.0 | 0.20                 |
|   | ACCOUNT #: 00007180767         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/08/2018  | ***-**-79SI - CREEGAN, THOMAS  | CALVERT GLOBAL ALTERNATIVE ENERGY F | 0.00                 | 16.88               | 0.00               | 16.88             | 10.0 | 1.69                 |
|   | ACCOUNT #: 00007203830         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/08/2018  | ***-**-32SI - STEWART, VOLKER  | CALVERT GLOBAL ALTERNATIVE ENERGY F | 0.00                 | 3.31                | 0.00               | 3.31              | 10.0 | 0.33                 |
|   | ACCOUNT #: 00007203900         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/08/2018  | ***-**-18SI - FRAZIER, STEPHEN | CALVERT GLOBAL WATER FUND CLASS A   | 0.00                 | 3.38                | 0.00               | 3.38              | 10.0 | 0.34                 |
|   | ACCOUNT #: 00007203904         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 02/26/2018  | ***-**-721J - KONANUR,         | CAPITAL INCOME BUILDER-A            | 800.00               | 22.00               | 0.00               | 22.00             | 10.0 | 2.20                 |
|   | ACCOUNT #: 00074931174         | BUY 12 Units @65.3400               |                      |                     |                    |                   |      |                      |





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|---|--------------------------------|-------------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b>BROKER TRANSACTIONS (continued)</b>            |                                |                                     |                      |                     |                    |                   |      |                      |
| <b>PRODUCT CATEGORY: MUTUAL FUNDS (continued)</b> |                                |                                     |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-415P - TARANTINO, SCOTT | CAPITAL INCOME BUILDER-A            | 200.00               | 2.00                | 0.00               | 2.00              | 10.0 | 0.20                 |
|   | ACCOUNT #: 00087447990         | BUY 3 Units @61.4600                |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-064J - HALL, AMY        | CAPITAL INCOME BUILDER-A            | 250.00               | 3.00                | 0.00               | 3.00              | 10.0 | 0.30                 |
|   | ACCOUNT #: 00083146232         | BUY 4 Units @62.4000                |                      |                     |                    |                   |      |                      |
| 02/28/2018  | ***-**-58UG - SHEA, CHANCE     | CAPITAL WORLD GROWTH AND INCOME FUN | 25.00                | 1.25                | 0.00               | 1.25              | 10.0 | 0.13                 |
|   | ACCOUNT #: 00082921652         | BUY 0 Units @55.3700                |                      |                     |                    |                   |      |                      |
| 02/28/2018  | ***-**-72IN - THUMULURU,       | CAPITAL WORLD GROWTH AND INCOME FUN | 100.00               | 2.75                | 0.00               | 2.75              | 10.0 | 0.28                 |
|   | ACCOUNT #: 00074749751         | BUY 2 Units @54.0800                |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-415P - TARANTINO, SCOTT | CAPITAL WORLD GROWTH AND INCOME FUN | 150.00               | 1.50                | 0.00               | 1.50              | 10.0 | 0.15                 |
|   | ACCOUNT #: 00087447990         | BUY 3 Units @51.6900                |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-415P - TARANTINO, SCOTT | COLLEGE 2018 FUND-529A              | 750.00               | 7.50                | 0.00               | 7.50              | 10.0 | 0.75                 |
|   | ACCOUNT #: 00087442846         | BUY 72 Units @10.4800               |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-915P - FRIEDMAN, KEITH  | COLLEGE 2018 FUND-529A              | 750.00               | 7.50                | 0.00               | 7.50              | 10.0 | 0.75                 |
|   | ACCOUNT #: 00083404020         | BUY 72 Units @10.4800               |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-4064 - BOCCIA, EMMA     | COLLEGE 2018 FUND-529A              | 250.00               | 3.00                | 0.00               | 3.00              | 10.0 | 0.30                 |
|   | ACCOUNT #: 00083146208         | BUY 23 Units @10.6400               |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-2410 - PUTHIYA-VEETIL,  | COLLEGE 2018 FUND-529A              | 50.00                | 1.75                | 0.00               | 1.75              | 10.0 | 0.18                 |
|   | ACCOUNT #: 00073508689         | BUY 5 Units @10.9500                |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-965P - ROZENCWAIG,      | COLLEGE 2021 FUND-529A              | 500.00               | 13.75               | 0.00               | 13.75             | 10.0 | 1.38                 |
|   | ACCOUNT #: 00074006097         | BUY 44 Units @11.3700               |                      |                     |                    |                   |      |                      |
| 02/27/2018  | ***-**-165P - STRONG, THUY     | COLLEGE 2024 FUND-529A              | 200.00               | 4.00                | 0.00               | 4.00              | 10.0 | 0.40                 |
|   | ACCOUNT #: 00084926295         | BUY 16 Units @12.1300               |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-415P - TARANTINO, SCOTT | COLLEGE 2024 FUND-529A              | 750.00               | 7.50                | 0.00               | 7.50              | 10.0 | 0.75                 |
|   | ACCOUNT #: 00087442831         | BUY 64 Units @11.7700               |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-915P - FRIEDMAN, KEITH  | COLLEGE 2024 FUND-529A              | 500.00               | 5.00                | 0.00               | 5.00              | 10.0 | 0.50                 |
|   | ACCOUNT #: 00083403951         | BUY 42 Units @11.7700               |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-5966 - BOCCIA, BROCK    | COLLEGE 2024 FUND-529A              | 250.00               | 3.00                | 0.00               | 3.00              | 10.0 | 0.30                 |
|   | ACCOUNT #: 00083146222         | BUY 21 Units @11.9500               |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-95IR - WEISMAN, DAVID   | COLLEGE 2024 FUND-529A              | 200.00               | 5.50                | 0.00               | 5.50              | 10.0 | 0.55                 |
|   | ACCOUNT #: 00075230711         | BUY 16 Units @12.2000               |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-95IR - WEISMAN, DAVID   | COLLEGE 2024 FUND-529A              | 200.00               | 5.50                | 0.00               | 5.50              | 10.0 | 0.55                 |
|   | ACCOUNT #: 00075230643         | BUY 16 Units @12.2000               |                      |                     |                    |                   |      |                      |



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|---|--------------------------------|-------------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b>BROKER TRANSACTIONS (continued)</b>            |                                |                                     |                      |                     |                    |                   |      |                      |
| <b>PRODUCT CATEGORY: MUTUAL FUNDS (continued)</b> |                                |                                     |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-41IN - PUTHIYA-VEETIL,  | COLLEGE 2024 FUND-529A              | 50.00                | 1.75                | 0.00               | 1.75              | 10.0 | 0.18                 |
|   | ACCOUNT #: 00083895119         | BUY 4 Units @12.2900                |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-91IN - FRIEDMAN, KEITH  | COLLEGE 2027 FUND-529A              | 500.00               | 5.00                | 0.00               | 5.00              | 10.0 | 0.50                 |
|   | ACCOUNT #: 00084072810         | BUY 40 Units @12.5600               |                      |                     |                    |                   |      |                      |
| 02/26/2018  | ***-**-564J - CRAIG, MARK      | EUROPACIFIC GROWTH FUND-A           | 50.00                | 1.38                | 0.00               | 1.38              | 10.0 | 0.14                 |
|   | ACCOUNT #: 00084581027         | BUY 1 Units @60.8000                |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-43SI - KASA, MATTHEW    | EUROPACIFIC GROWTH FUND-A           | 80.00                | 0.80                | 0.00               | 0.80              | 10.0 | 0.08                 |
|   | ACCOUNT #: 00064989865         | BUY 1 Units @56.6800                |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-391J - FRIEDMAN, KEITH  | EUROPACIFIC GROWTH FUND-A           | 200.00               | 2.00                | 0.00               | 2.00              | 10.0 | 0.20                 |
|   | ACCOUNT #: 00083404691         | BUY 4 Units @56.6800                |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-415P - TARANTINO, SCOTT | EUROPACIFIC GROWTH FUND-A           | 200.00               | 2.00                | 0.00               | 2.00              | 10.0 | 0.20                 |
|   | ACCOUNT #: 00087447990         | BUY 4 Units @56.6800                |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-064J - HALL, AMY        | EUROPACIFIC GROWTH FUND-A           | 250.00               | 3.00                | 0.00               | 3.00              | 10.0 | 0.30                 |
|   | ACCOUNT #: 00083146232         | BUY 4 Units @57.5400                |                      |                     |                    |                   |      |                      |
| 03/02/2018  | ***-**-75UG - BORTZ, DEBORAH   | FRK AGE HIGH INC FND - CL C         | 6.00                 | 0.06                | 0.00               | 0.06              | 10.0 | 0.01                 |
|   | ACCOUNT #: 000000001269226     | BUY 3 Units @1.8700                 |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-415P - TARANTINO, SCOTT | FUNDAMENTAL INVESTORS-A             | 150.00               | 1.50                | 0.00               | 1.50              | 10.0 | 0.15                 |
|   | ACCOUNT #: 00087447990         | BUY 2 Units @62.5200                |                      |                     |                    |                   |      |                      |
| 03/05/2018  | ***-**-25IR - BEAUBOUF, TAMMY  | HCM DIVIDEND SECTOR PLUS FND CL A-N | 300.00               | 15.00               | 0.00               | 15.00             | 10.0 | 1.50                 |
|   | ACCOUNT #: LSR012348           | BUY 21 Units @14.0200               |                      |                     |                    |                   |      |                      |
| 02/28/2018  | ***-**-785P - TRAUT, ASHLEY    | INTERNATIONAL GROWTH AND INCOME-529 | 100.00               | 2.75                | 0.00               | 2.75              | 10.0 | 0.28                 |
|   | ACCOUNT #: 00086549630         | BUY 3 Units @36.7200                |                      |                     |                    |                   |      |                      |
| 02/28/2018  | ***-**-72IN - THUMULURU,       | INTERNATIONAL GROWTH AND INCOME-A   | 200.00               | 5.50                | 0.00               | 5.50              | 10.0 | 0.55                 |
|   | ACCOUNT #: 00074749751         | BUY 5 Units @36.7700                |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-064J - HALL, AMY        | INTERNATIONAL GROWTH AND INCOME-A   | 250.00               | 3.00                | 0.00               | 3.00              | 10.0 | 0.30                 |
|   | ACCOUNT #: 00083146232         | BUY 7 Units @35.7900                |                      |                     |                    |                   |      |                      |
| 02/28/2018  | ***-**-542I - TUTTLE, WILLIAM  | NEW PERSPECTIVE FUND-A              | 500.00               | 18.75               | 0.00               | 18.75             | 10.0 | 1.88                 |
|   | ACCOUNT #: 00064137177         | BUY 11 Units @47.0200               |                      |                     |                    |                   |      |                      |
| 02/28/2018  | ***-**-58UG - SHEA, CHANCE     | NEW WORLD FUND-A                    | 25.00                | 1.25                | 0.00               | 1.25              | 10.0 | 0.13                 |
|   | ACCOUNT #: 00082921652         | BUY 0 Units @72.3900                |                      |                     |                    |                   |      |                      |
| 02/28/2018  | ***-**-72IN - THUMULURU,       | NEW WORLD FUND-A                    | 150.00               | 4.13                | 0.00               | 4.13              | 10.0 | 0.41                 |
|   | ACCOUNT #: 00074749751         | BUY 2 Units @70.7000                |                      |                     |                    |                   |      |                      |



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| <b>BROKER TRANSACTIONS (continued)</b>            |                                |                                     |                      |                     |                    |                   |       |                      |
| <b>PRODUCT CATEGORY: MUTUAL FUNDS (continued)</b> |                                |                                     |                      |                     |                    |                   |       |                      |
| 03/01/2018  | ***-**-391J - FRIEDMAN, KEITH  | NEW WORLD FUND-A                    | 200.00               | 2.00                | 0.00               | 2.00              | 10.0  | 0.20                 |
|   | ACCOUNT #: 00083404691         | BUY 3 Units @67.7400                |                      |                     |                    |                   |       |                      |
| 03/01/2018  | ***-**-415P - TARANTINO, SCOTT | NEW WORLD FUND-A                    | 200.00               | 2.00                | 0.00               | 2.00              | 10.0  | 0.20                 |
|   | ACCOUNT #: 00087447990         | BUY 3 Units @67.7400                |                      |                     |                    |                   |       |                      |
| 03/01/2018  | ***-**-064J - HALL, AMY        | NEW WORLD FUND-A                    | 250.00               | 3.00                | 0.00               | 3.00              | 10.0  | 0.30                 |
|   | ACCOUNT #: 00083146232         | BUY 4 Units @68.7700                |                      |                     |                    |                   |       |                      |
| 03/05/2018  | ***-**-8150 - SIM-BRODER,      | PUTNAM EQUITY INCOME FUND-A         | 338.00               | 0.00                | 18.00              | -18.00            | 100.0 | -18.00               |
|   | ACCOUNT #: LSF000298           | SELL 14 Units @24.6300              |                      |                     |                    |                   |       |                      |
| 03/02/2018  | ***-**-02UG - KINLAW, ADAIR    | PUTNAM NEW OPPORTUNITIES FUND CLASS | 50.00                | 2.50                | 0.00               | 2.50              | 10.0  | 0.25                 |
|   | ACCOUNT #: 00323127790         | BUY 1 Units @98.9300                |                      |                     |                    |                   |       |                      |
| 02/28/2018  | ***-**-72IN - THUMULURU,       | SMALLCAP WORLD FUND-A               | 150.00               | 4.13                | 0.00               | 4.13              | 10.0  | 0.41                 |
|   | ACCOUNT #: 00074749751         | BUY 3 Units @58.5100                |                      |                     |                    |                   |       |                      |
| 03/01/2018  | ***-**-391J - FRIEDMAN, KEITH  | SMALLCAP WORLD FUND-A               | 200.00               | 2.00                | 0.00               | 2.00              | 10.0  | 0.20                 |
|   | ACCOUNT #: 00083404691         | BUY 4 Units @56.1100                |                      |                     |                    |                   |       |                      |
| 03/01/2018  | ***-**-415P - TARANTINO, SCOTT | SMALLCAP WORLD FUND-A               | 200.00               | 2.00                | 0.00               | 2.00              | 10.0  | 0.20                 |
|   | ACCOUNT #: 00087447990         | BUY 4 Units @56.1100                |                      |                     |                    |                   |       |                      |
| 03/01/2018  | ***-**-064J - HALL, AMY        | SMALLCAP WORLD FUND-A               | 250.00               | 3.00                | 0.00               | 3.00              | 10.0  | 0.30                 |
|   | ACCOUNT #: 00083146232         | BUY 4 Units @56.9600                |                      |                     |                    |                   |       |                      |
| 03/01/2018  | ***-**-415P - TARANTINO, SCOTT | TAX-EXEMPT BOND FUND OF AMERICA     | 200.00               | 2.00                | 0.00               | 2.00              | 10.0  | 0.20                 |
|   | ACCOUNT #: 00087447990         | BUY 16 Units @12.8100               |                      |                     |                    |                   |       |                      |
| 03/01/2018  | ***-**-064J - HALL, AMY        | THE BOND FUND OF AMERICA-A          | 250.00               | 3.00                | 0.00               | 3.00              | 10.0  | 0.30                 |
|   | ACCOUNT #: 00083146232         | BUY 20 Units @12.8200               |                      |                     |                    |                   |       |                      |
| 02/28/2018  | ***-**-295P - AMSEL, PATTI     | THE GROWTH FUND OF AMERICA-A        | 200.00               | 5.50                | 0.00               | 5.50              | 10.0  | 0.55                 |
|   | ACCOUNT #: 00073772424         | BUY 4 Units @54.0100                |                      |                     |                    |                   |       |                      |
| 03/01/2018  | ***-**-515P - MEYER, MICHAEL   | THE GROWTH FUND OF AMERICA-A        | 100.00               | 1.00                | 0.00               | 1.00              | 10.0  | 0.10                 |
|   | ACCOUNT #: 00066722060         | BUY 2 Units @51.5400                |                      |                     |                    |                   |       |                      |
| 03/01/2018  | ***-**-765P - PIERRE, YOLETTE  | THE GROWTH FUND OF AMERICA-A        | 100.00               | 3.75                | 0.00               | 3.75              | 10.0  | 0.38                 |
|   | ACCOUNT #: 00067468481         | BUY 2 Units @53.9700                |                      |                     |                    |                   |       |                      |
| 03/01/2018  | ***-**-064J - HALL, AMY        | THE GROWTH FUND OF AMERICA-A        | 250.00               | 3.00                | 0.00               | 3.00              | 10.0  | 0.30                 |
|   | ACCOUNT #: 00083146232         | BUY 5 Units @52.3200                |                      |                     |                    |                   |       |                      |
| 03/02/2018  | ***-**-816I - DESANTIS, MARK   | THE GROWTH FUND OF AMERICA-A        | 140.66               | 1.41                | 0.00               | 1.41              | 10.0  | 0.14                 |
|   | ACCOUNT #: 00089986044         | BUY 3 Units @51.8900                |                      |                     |                    |                   |       |                      |



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ALEX GEORGIEV  
400 West Metro Park  
Rochester, NY 14623

BROKER #: AGJ  
BRANCH #01001 - LifeMark Home Office

| DATE  | CLIENT                         | INVESTMENT                          | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|---|--------------------------------|-------------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b>BROKER TRANSACTIONS (continued)</b>            |                                |                                     |                      |                     |                    |                   |      |                      |
| <b>PRODUCT CATEGORY: MUTUAL FUNDS (continued)</b> |                                |                                     |                      |                     |                    |                   |      |                      |
| 03/02/2018  | ***-**-816I - DESANTIS, MARK   | THE GROWTH FUND OF AMERICA-A        | 240.00               | 2.40                | 0.00               | 2.40              | 10.0 | 0.24                 |
|   | ACCOUNT #: 00089986044         | BUY 5 Units @51.8900                |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-02IN - PINARD, RAYMOND  | THE INCOME FUND OF AMERICA-A        | 100.00               | 5.00                | 0.00               | 5.00              | 10.0 | 0.50                 |
|   | ACCOUNT #: 00062368172         | BUY 4 Units @24.3700                |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-391J - FRIEDMAN, KEITH  | THE INCOME FUND OF AMERICA-A        | 450.00               | 4.50                | 0.00               | 4.50              | 10.0 | 0.45                 |
|   | ACCOUNT #: 00083404691         | BUY 20 Units @22.9700               |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-415P - TARANTINO, SCOTT | THE INCOME FUND OF AMERICA-A        | 200.00               | 2.00                | 0.00               | 2.00              | 10.0 | 0.20                 |
|   | ACCOUNT #: 00087447990         | BUY 9 Units @22.9700                |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-064J - HALL, AMY        | THE INCOME FUND OF AMERICA-A        | 250.00               | 3.00                | 0.00               | 3.00              | 10.0 | 0.30                 |
|   | ACCOUNT #: 00083146232         | BUY 11 Units @23.3200               |                      |                     |                    |                   |      |                      |
| 02/28/2018  | ***-**-495P - WALLACE, RACHAEL | THE INVESTMENT COMPANY OF AMERICA-A | 300.00               | 8.25                | 0.00               | 8.25              | 10.0 | 0.83                 |
|   | ACCOUNT #: 00073772445         | BUY 7 Units @42.6700                |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-515P - MEYER, MICHAEL   | THE INVESTMENT COMPANY OF AMERICA-A | 100.00               | 1.00                | 0.00               | 1.00              | 10.0 | 0.10                 |
|   | ACCOUNT #: 00066722060         | BUY 2 Units @40.7300                |                      |                     |                    |                   |      |                      |
| 02/28/2018  | ***-**-72IN - THUMULURU,       | THE NEW ECONOMY FUND-A              | 200.00               | 5.50                | 0.00               | 5.50              | 10.0 | 0.55                 |
|   | ACCOUNT #: 00074749751         | BUY 4 Units @49.2500                |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-691I - GORDON, JONATHAN | WASHINGTON MUTUAL INVESTORS FUND-A  | 100.00               | 3.75                | 0.00               | 3.75              | 10.0 | 0.38                 |
|   | ACCOUNT #: 00063812327         | BUY 2 Units @47.6200                |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-064J - HALL, AMY        | WASHINGTON MUTUAL INVESTORS FUND-A  | 250.00               | 3.00                | 0.00               | 3.00              | 10.0 | 0.30                 |
|   | ACCOUNT #: 00083146232         | BUY 5 Units @46.1700                |                      |                     |                    |                   |      |                      |
| 03/02/2018  | ***-**-465P - MCGOVERN,        | WASHINGTON MUTUAL INVESTORS FUND-A  | 138.48               | 1.38                | 0.00               | 1.38              | 10.0 | 0.14                 |
|   | ACCOUNT #: 00073205016         | BUY 3 Units @45.6800                |                      |                     |                    |                   |      |                      |
| 03/02/2018  | ***-**-465P - MCGOVERN,        | WASHINGTON MUTUAL INVESTORS FUND-A  | 230.76               | 2.31                | 0.00               | 2.31              | 10.0 | 0.23                 |
|   | ACCOUNT #: 00073205016         | BUY 5 Units @45.6800                |                      |                     |                    |                   |      |                      |
| <b>* MUTUAL FUNDS SUBTOTAL *</b>                  |                                |                                     | <b>\$27,158.37</b>   | <b>\$642.52</b>     | <b>\$18.00</b>     | <b>\$624.52</b>   |      | <b>\$46.34</b>       |
| <b>PRODUCT CATEGORY: STOCKS</b>                   |                                |                                     |                      |                     |                    |                   |      |                      |
| 02/06/2018  | ***-**-30TR - KNIGHT TRUST,    | PPL CORP SOLICITED ORDER            | -3,559.82            | -12.10              | -17.42             | 5.32              | 10.0 | 0.53                 |
|   | ACCOUNT #: LSR012108           | CANCEL 121 Units @29.4200           |                      |                     |                    |                   |      |                      |
| 02/06/2018  | ***-**-30TR - KNIGHT TRUST,    | PPL CORP SOLICITED ORDER            | -8,838.00            | -104.41             | -6.00              | -98.41            | 10.0 | -9.84                |
|   | ACCOUNT #: LSR012108           | CANCEL 300 Units @29.4600           |                      |                     |                    |                   |      |                      |
| 02/06/2018  | ***-**-30TR - KNIGHT TRUST,    | PPL CORP SOLICITED ORDER            | 8,927.40             | 104.41              | 21.00              | 83.41             | 10.0 | 8.34                 |
|   | ACCOUNT #: LSR012108           | SELL 300 Units @29.7580             |                      |                     |                    |                   |      |                      |



# COMMISSION STATEMENT

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|---|---|---|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b>BROKER TRANSACTIONS (continued)</b>      |   |   |                      |                     |                    |                   |      |                      |
| <b>PRODUCT CATEGORY: STOCKS (continued)</b> |   |   |                      |                     |                    |                   |      |                      |
| 02/06/2018                                  | ***-**-30TR - KNIGHT TRUST,<br>ACCOUNT #: LSR012108   | PPL CORP SOLICITED ORDER<br>CANCEL 181 Units @29.3900 | -5,319.59            | -19.23              | -3.62              | -15.61            | 10.0 | -1.56                |
| 02/06/2018                                  | ***-**-30TR - KNIGHT TRUST,<br>ACCOUNT #: LSR012108   | PPL CORP SOLICITED ORDER<br>SELL 181 Units @29.7580   | 5,386.20             | 19.23               | 3.62               | 15.61             | 10.0 | 1.56                 |
| 02/06/2018                                  | ***-**-30TR - KNIGHT TRUST,<br>ACCOUNT #: LSR012108   | PPL CORP SOLICITED ORDER<br>SELL 121 Units @29.7580   | 3,600.72             | 65.55               | 2.42               | 63.13             | 10.0 | 6.31                 |
| * STOCKS SUBTOTAL *                         |   |   | <b>\$196.91</b>      | <b>\$53.45</b>      | <b>\$0.00</b>      | <b>\$53.45</b>    |      | <b>\$5.34</b>        |
| <b>PRODUCT CATEGORY: VARIABLE ANNUITIES</b> |   |   |                      |                     |                    |                   |      |                      |
| 03/09/2018                                  | ***-**-7433 - MISTRY,<br>ACCOUNT #: T02751687         | GENWORTH 37250G301<br>BUY 0 Units @0.0000             | 304.00               | 3.04                | 0.00               | 3.04              | 10.0 | 0.30                 |
| 03/09/2018                                  | ***-**-7434 - MISTRY, SUZY<br>ACCOUNT #: T02751688    | GENWORTH 37250G301<br>BUY 0 Units @0.0000             | 260.00               | 2.60                | 0.00               | 2.60              | 10.0 | 0.26                 |
| 03/06/2018                                  | ***-**-5257 - LAW, ARDEN<br>ACCOUNT #: F1519759       | LINCOLN 008148728<br>BUY 0 Units @0.0000              | 688.50               | 13.77               | 0.00               | 13.77             | 10.0 | 1.38                 |
| 03/08/2018                                  | ***-**-65CL - LIFEMARK,<br>ACCOUNT #: F1519921        | LINCOLN 008148728<br>BUY 0 Units @0.0000              | 82.50                | 1.65                | 0.00               | 1.65              | 10.0 | 0.17                 |
| 03/08/2018                                  | ***-**-1519 - WAHBAH, AMAL<br>ACCOUNT #: F1522961     | LINCOLN 008148728<br>BUY 0 Units @0.0000              | 40.00                | 0.80                | 0.00               | 0.80              | 10.0 | 0.08                 |
| 03/08/2018                                  | ***-**-65CL - LIFEMARK,<br>ACCOUNT #: F1526738        | LINCOLN 008148728<br>BUY 0 Units @0.0000              | 65.00                | 1.30                | 0.00               | 1.30              | 10.0 | 0.13                 |
| 03/05/2018                                  | ***-**-650I - CHMIELEWSKI,<br>ACCOUNT #: ARN5466944EE | MASS MUTUAL DTCC ARTISTRY<br>BUY 0 Units @0.0000      | 150.00               | 8.25                | 0.00               | 8.25              | 10.0 | 0.83                 |
| 03/05/2018                                  | ***-**-451I - MCLAUGHLIN,<br>ACCOUNT #: ARN5466953EE  | MASS MUTUAL DTCC ARTISTRY<br>BUY 0 Units @0.0000      | 500.00               | 27.50               | 0.00               | 27.50             | 10.0 | 2.75                 |
| 03/12/2018                                  | ***-**-8166 - CASEY CR INC.<br>ACCOUNT #: MM8037      | MASS MUTUAL VA<br>BUY 1 Units @8423.2200              | 8,423.22             | 252.70              | 0.00               | 252.70            | 10.0 | 25.27                |
| 03/05/2018                                  | ***-**-5061 - ONG, CATHERINE<br>ACCOUNT #: 015275896  | NATIONWIDE CUSIP 638660589-NFS<br>BUY 0 Units @0.0000 | 165.00               | 8.66                | 0.00               | 8.66              | 10.0 | 0.87                 |
| 03/05/2018                                  | ***-**-65CL - LIFEMARK,<br>ACCOUNT #: VP60257640      | PACIFIC LIFE DTCC RENEWAL<br>BUY 0 Units @0.0000      | 598.02               | 5.98                | 0.00               | 5.98              | 10.0 | 0.60                 |
| * VARIABLE ANNUITIES SUBTOTAL *             |   |   | <b>\$11,276.24</b>   | <b>\$326.25</b>     | <b>\$0.00</b>      | <b>\$326.25</b>   |      | <b>\$32.64</b>       |



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|---|--------------------------------|---------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b><u>BROKER TRANSACTIONS (continued)</u></b>           |                                |                                 |                      |                     |                    |                   |      |                      |
| <b><u>PRODUCT CATEGORY: LIFE INSURANCE</u></b>          |                                |                                 |                      |                     |                    |                   |      |                      |
| 03/12/2018  | ***-**-73IN - ABADDER, SALWA   | ING SLD ASSET PRTFL M           | 100.00               | 2.07                | 0.00               | 2.07              | 10.0 | 0.21                 |
|   | ACCOUNT #: 610077077           | BUY 1 Units @100.0000           |                      |                     |                    |                   |      |                      |
| 03/12/2018  | ***-**-468J - FELIX, INAS      | ING SLD LD ASSET ACCUM          | 68.00                | 1.69                | 0.00               | 1.69              | 10.0 | 0.17                 |
|   | ACCOUNT #: 610077830           | BUY 1 Units @68.0000            |                      |                     |                    |                   |      |                      |
| 03/12/2018  | ***-**-6468 - FELIX, SHERIF    | ING SLD LD ASSET ACCUM          | 800.00               | 24.24               | 0.00               | 24.24             | 10.0 | 2.42                 |
|   | ACCOUNT #: 610076614           | BUY 1 Units @800.0000           |                      |                     |                    |                   |      |                      |
| 03/12/2018  | ***-**-49IN - SOLIMAN, WILLIAM | ING SLD LD ASSET ACCUM          | 400.00               | 12.06               | 0.00               | 12.06             | 10.0 | 1.21                 |
|   | ACCOUNT #: 610078241           | BUY 1 Units @400.0000           |                      |                     |                    |                   |      |                      |
| 03/06/2018  | ***-**-1381 - KAIDY, MARK      | NATIONWIDE BOA LIFE PLAN SERIES | 157.00               | 1.57                | 0.00               | 1.57              | 10.0 | 0.16                 |
|   | ACCOUNT #: N100194420          | BUY 1 Units @157.0000           |                      |                     |                    |                   |      |                      |
| 03/06/2018  | ***-**-3735 - MCLANE, DUNKIN   | NATIONWIDE NEXT GENERATION II   | 50.00                | 1.00                | 0.00               | 1.00              | 10.0 | 0.10                 |
|   | ACCOUNT #: N101206670          | BUY 1 Units @50.0000            |                      |                     |                    |                   |      |                      |
| 03/06/2018  | ***-**-3362 - MCLANE, EDWINA   | NATIONWIDE NEXT GENERATION II   | 50.00                | 1.00                | 0.00               | 1.00              | 10.0 | 0.10                 |
|   | ACCOUNT #: N101206680          | BUY 1 Units @50.0000            |                      |                     |                    |                   |      |                      |
| 03/06/2018  | ***-**-9120 - GRANT, GLENDON   | NATIONWIDE NEXT GENERATION II   | 83.33                | 0.83                | 0.00               | 0.83              | 10.0 | 0.08                 |
|   | ACCOUNT #: N100959120          | BUY 1 Units @83.3300            |                      |                     |                    |                   |      |                      |
| 03/06/2018  | ***-**-5858 - ROME, MICHAEL    | NATIONWIDE NEXT GENERATION II   | 50.00                | 1.00                | 0.00               | 1.00              | 10.0 | 0.10                 |
|   | ACCOUNT #: N100689740          | BUY 1 Units @50.0000            |                      |                     |                    |                   |      |                      |
| 03/12/2018  | ***-**-8822 - HESHMA, OMAR     | SECURITY LIFE OF DENVER SA II   | 1,200.00             | 36.00               | 0.00               | 36.00             | 10.0 | 3.60                 |
|   | ACCOUNT #: 610071669           | BUY 1 Units @1200.0000          |                      |                     |                    |                   |      |                      |
| <b>* LIFE INSURANCE SUBTOTAL *</b>                      |                                |                                 | <b>\$2,958.33</b>    | <b>\$81.46</b>      | <b>\$0.00</b>      | <b>\$81.46</b>    |      | <b>\$8.15</b>        |
| <b><u>PRODUCT CATEGORY: VARIABLE UNIVERSAL LIFE</u></b> |                                |                                 |                      |                     |                    |                   |      |                      |
| 03/12/2018  | ***-**-64IN - ELKEN, HEATHER   | SBL TRAILS                      | 0.00                 | 13.19               | 0.00               | 13.19             | 10.0 | 1.32                 |
|   | ACCOUNT #: 4749064             | BUY 1 Units @0.0000             |                      |                     |                    |                   |      |                      |
| 03/12/2018  | ***-**-6989 - IDDINGS, NANCY   | SBL TRAILS                      | 0.00                 | 74.59               | 0.00               | 74.59             | 10.0 | 7.46                 |
|   |                                | BUY 1 Units @0.0000             |                      |                     |                    |                   |      |                      |
| 03/12/2018  | ***-**-65CL - LIFEMARK,        | VOYA INS TRAILS                 | 0.00                 | 50.30               | 0.00               | 50.30             | 10.0 | 5.03                 |
|   |                                | BUY 1 Units @0.0000             |                      |                     |                    |                   |      |                      |
| <b>* VARIABLE UNIVERSAL LIFE SUBTOTAL *</b>             |                                |                                 | <b>\$0.00</b>        | <b>\$138.08</b>     | <b>\$0.00</b>      | <b>\$138.08</b>   |      | <b>\$13.81</b>       |



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|---|--------------------------------|-------------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b><u>BROKER TRANSACTIONS (continued)</u></b> |                                |                                     |                      |                     |                    |                   |      |                      |
| <b><u>PRODUCT CATEGORY: 529 PLAN</u></b>      |                                |                                     |                      |                     |                    |                   |      |                      |
| 02/28/2018                                    | ***-**-785P - TRAUT, ASHLEY    | AMCAP FUND-529A                     | 100.00               | 2.75                | 0.00               | 2.75              | 10.0 | 0.28                 |
|   | ACCOUNT #: 00086549630         | BUY 3 Units @33.9000                |                      |                     |                    |                   |      |                      |
| 03/01/2018                                    | ***-**-265P - KELLY, BENJAMIN  | AMERICAN BALANCED FUND-529A         | 50.00                | 2.50                | 0.00               | 2.50              | 10.0 | 0.25                 |
|   | ACCOUNT #: 00082209027         | BUY 2 Units @28.5400                |                      |                     |                    |                   |      |                      |
| 03/01/2018                                    | ***-**-305P - ALOOR, RAVI      | AMERICAN MUTUAL FUND-529A           | 500.00               | 10.00               | 0.00               | 10.00             | 10.0 | 1.00                 |
|   | ACCOUNT #: 00081141529         | BUY 12 Units @41.4200               |                      |                     |                    |                   |      |                      |
| 03/01/2018                                    | ***-**-305P - ALOOR, RAVI      | CAPITAL WORLD GROWTH AND INCOME-529 | 500.00               | 10.00               | 0.00               | 10.00             | 10.0 | 1.00                 |
|   | ACCOUNT #: 00081141529         | BUY 9 Units @52.8300                |                      |                     |                    |                   |      |                      |
| 03/01/2018                                    | ***-**-86CL - ASHER, CLIENTS   | COLLEGE 2030 FUND-529A              | 50.00                | 1.75                | 0.00               | 1.75              | 10.0 | 0.18                 |
|   | ACCOUNT #: 00087512963         | BUY 4 Units @14.2600                |                      |                     |                    |                   |      |                      |
| 03/01/2018                                    | ***-**-665P - WOLLNER, DAVIDA  | COLLEGE 2030 FUND-529A              | 50.00                | 1.75                | 0.00               | 1.75              | 10.0 | 0.18                 |
|   | ACCOUNT #: 00087215180         | BUY 4 Units @14.2600                |                      |                     |                    |                   |      |                      |
| 03/01/2018                                    | ***-**-425P - RADINSKY,        | NEW PERSPECTIVE FUND-529A           | 100.00               | 2.75                | 0.00               | 2.75              | 10.0 | 0.28                 |
|   | ACCOUNT #: 00006895131         | BUY 2 Units @45.4400                |                      |                     |                    |                   |      |                      |
| 03/01/2018                                    | ***-**-425P - RADINSKY,        | NEW PERSPECTIVE FUND-529A           | 100.00               | 2.75                | 0.00               | 2.75              | 10.0 | 0.28                 |
|   | ACCOUNT #: 00068975133         | BUY 2 Units @45.4400                |                      |                     |                    |                   |      |                      |
| 03/12/2018                                    | ***-**-845P - DUGGAN, EDWARD   | NEW YORK 529 TRAILS                 | 0.00                 | 0.80                | 0.00               | 0.80              | 10.0 | 0.08                 |
|   | ACCOUNT #: 77242722801         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/12/2018                                    | ***-**-5073 - CAUFIELD, JOHN   | NEW YORK 529 TRAILS                 | 0.00                 | 11.66               | 0.00               | 11.66             | 10.0 | 1.17                 |
|   | ACCOUNT #: 77247702601         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/12/2018                                    | ***-**-687I - WELLS, GRACE     | NEW YORK 529 TRAILS                 | 0.00                 | 0.43                | 0.00               | 0.43              | 10.0 | 0.04                 |
|   | ACCOUNT #: 77304588501         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/12/2018                                    | ***-**-115P - CANNON, BRENDA   | NEW YORK 529 TRAILS                 | 0.00                 | 2.60                | 0.00               | 2.60              | 10.0 | 0.26                 |
|   | ACCOUNT #: 77544486501         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/12/2018                                    | ***-**-164I - MARSHALL, GEORGE | NEW YORK 529 TRAILS                 | 0.00                 | 6.29                | 0.00               | 6.29              | 10.0 | 0.63                 |
|   | ACCOUNT #: 77581123801         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/12/2018                                    | ***-**-7245 - BOWERMAN, ELICE  | NEW YORK 529 TRAILS                 | 0.00                 | 3.07                | 0.00               | 3.07              | 10.0 | 0.31                 |
|   | ACCOUNT #: 77629991501         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/12/2018                                    | ***-**-015P - MASTERS, JOSEPH  | NEW YORK 529 TRAILS                 | 0.00                 | 13.25               | 0.00               | 13.25             | 10.0 | 1.33                 |
|   | ACCOUNT #: 77698854201         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/12/2018                                    | ***-**-7982 - ALBERICI, ANGELO | NEW YORK 529 TRAILS                 | 0.00                 | 27.75               | 0.00               | 27.75             | 10.0 | 2.78                 |
|   | ACCOUNT #: 77938844401         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |



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|--|--|---|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b>BROKER TRANSACTIONS (continued)</b>           |  |   |                      |                     |                    |                   |      |                      |
| <b>PRODUCT CATEGORY: 529 PLAN (continued)</b>    |  |   |                      |                     |                    |                   |      |                      |
| 03/12/2018                                       | ***-**-7580 - MAGGIACOMO,<br>ACCOUNT #: 81400070701    | RIA INVSC COLLGBUND TODAY PORT RA<br>BUY 0 Units @0.0000    | 240.00               | 0.96                | 0.00               | 0.96              | 10.0 | 0.10                 |
| 03/12/2018                                       | ***-**-7580 - MAGGIACOMO,<br>ACCOUNT #: 81400070701    | RIA INVSC COLLGBUND TODAY PORT RA<br>BUY 0 Units @0.0000    | 360.00               | 1.44                | 0.00               | 1.44              | 10.0 | 0.14                 |
| 03/12/2018                                       | ***-**-795P - BATES, KATHERINE                         | RIA INVSC COLLGBUND TODAY PORT RA<br>BUY 0 Units @0.0000    | 100.00               | 0.40                | 0.00               | 0.40              | 10.0 | 0.04                 |
| 03/01/2018                                       | ***-**-425P - RADINSKY,<br>ACCOUNT #: 00068975127      | THE GROWTH FUND OF AMERICA-529A<br>BUY 2 Units @52.8500     | 100.00               | 2.75                | 0.00               | 2.75              | 10.0 | 0.28                 |
| 03/01/2018                                       | ***-**-425P - RADINSKY,<br>ACCOUNT #: 00068975129      | THE GROWTH FUND OF AMERICA-529A<br>BUY 2 Units @52.8500     | 100.00               | 2.75                | 0.00               | 2.75              | 10.0 | 0.28                 |
| 03/02/2018                                       | ***-**-5473 - GRIMES, AMBER<br>ACCOUNT #: 00081224073  | THE GROWTH FUND OF AMERICA-529A<br>BUY 1 Units @54.4800     | 75.00                | 3.75                | 0.00               | 3.75              | 10.0 | 0.38                 |
| 03/01/2018                                       | ***-**-425P - RADINSKY,<br>ACCOUNT #: 00068975128      | THE INVESTMENT COMPANY OF AMERICA-5<br>BUY 2 Units @42.1000 | 100.00               | 2.75                | 0.00               | 2.75              | 10.0 | 0.28                 |
| 03/01/2018                                       | ***-**-425P - RADINSKY,<br>ACCOUNT #: 00068975131      | THE INVESTMENT COMPANY OF AMERICA-5<br>BUY 2 Units @42.1000 | 100.00               | 2.75                | 0.00               | 2.75              | 10.0 | 0.28                 |
| 03/01/2018                                       | ***-**-425P - RADINSKY,<br>ACCOUNT #: 00068975132      | THE INVESTMENT COMPANY OF AMERICA-5<br>BUY 2 Units @42.1000 | 100.00               | 2.75                | 0.00               | 2.75              | 10.0 | 0.28                 |
| <b>* 529 PLAN SUBTOTAL *</b>                     |  |   | <b>\$2,725.00</b>    | <b>\$120.40</b>     | <b>\$0.00</b>      | <b>\$120.40</b>   |      | <b>\$12.11</b>       |
| <b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</b> |  |   |                      |                     |                    |                   |      |                      |
| 03/01/2018                                       | ***-**-843P - FERRENTINO,<br>ACCOUNT #: 00061255404    | AF SHORT-TERM TAX-EXEMPT BOND FUND-<br>BUY 0 Units @0.0000  | 0.00                 | 1.72                | 0.00               | 1.72              | 10.0 | 0.17                 |
| 03/12/2018                                       | ***-**-22SI - PROUL, JEFFRY<br>ACCOUNT #: LSR000175    | AIM GLOBAL HEALTH CARE FUND CLASS A<br>BUY 1 Units @0.0000  | 0.00                 | 1.67                | 0.00               | 1.67              | 10.0 | 0.17                 |
| 03/12/2018                                       | ***-**-60TR - BLANCHARD TRUST,<br>ACCOUNT #: LSR010327 | AIM GLOBAL VALUE FUND - CLASS A<br>BUY 1 Units @0.0000      | 0.00                 | 4.88                | 0.00               | 4.88              | 10.0 | 0.49                 |
| 03/12/2018                                       | ***-**-126I - NYBERG-PENNELL,<br>ACCOUNT #: LSR011843  | AIM HIGH YIELD FUND - CLASS A<br>BUY 1 Units @0.0000        | 0.00                 | 4.82                | 0.00               | 4.82              | 10.0 | 0.48                 |
| 03/12/2018                                       | ***-**-458I - KLAG, SCOTT<br>ACCOUNT #: LSR010282      | AIM INTERNATIONAL GROWTH FUND - CL<br>BUY 1 Units @0.0000   | 0.00                 | 0.87                | 0.00               | 0.87              | 10.0 | 0.09                 |
| 03/12/2018                                       | ***-**-60TR - BLANCHARD TRUST,<br>ACCOUNT #: LSR010327 | AIM INTERNATIONAL GROWTH FUND - CL<br>BUY 1 Units @0.0000   | 0.00                 | 4.55                | 0.00               | 4.55              | 10.0 | 0.46                 |





# COMMISSION STATEMENT

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ALEX GEORGIEV  
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| DATE   | CLIENT   | INVESTMENT   | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|--|--|--|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b>BROKER TRANSACTIONS (continued)</b>                       |  |  |                      |                     |                    |                   |      |                      |
| <b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</b> |  |  |                      |                     |                    |                   |      |                      |
| 03/12/2018   | ***-**-371I - MASELLI, PIER<br>ACCOUNT #: LSR009172    | AIM REAL ESTATE FUND - CLASS A<br>BUY 1 Units @0.0000      | 0.00                 | 2.14                | 0.00               | 2.14              | 10.0 | 0.21                 |
| 03/12/2018   | ***-**-468I - FERA, ANGELO<br>ACCOUNT #: LSR009598     | AIM REAL ESTATE FUND - CLASS A<br>BUY 1 Units @0.0000      | 0.00                 | 1.01                | 0.00               | 1.01              | 10.0 | 0.10                 |
| 03/12/2018   | ***-**-141I - FELICETTI, MARY<br>ACCOUNT #: LSR009695  | AIM REAL ESTATE FUND - CLASS A<br>BUY 1 Units @0.0000      | 0.00                 | 2.08                | 0.00               | 2.08              | 10.0 | 0.21                 |
| 03/12/2018   | ***-**-521O - MCCUNE, ELAINE<br>ACCOUNT #: LSR009962   | AIM REAL ESTATE FUND - CLASS A<br>BUY 1 Units @0.0000      | 0.00                 | 1.01                | 0.00               | 1.01              | 10.0 | 0.10                 |
| 03/12/2018   | ***-**-989I - MCCUNE, FRANK<br>ACCOUNT #: LSR010237    | AIM REAL ESTATE FUND - CLASS A<br>BUY 1 Units @0.0000      | 0.00                 | 1.40                | 0.00               | 1.40              | 10.0 | 0.14                 |
| 03/12/2018   | ***-**-960I - METCHIS, STACY<br>ACCOUNT #: LSR012191   | AIM REAL ESTATE FUND - CLASS A<br>BUY 1 Units @0.0000      | 0.00                 | 0.90                | 0.00               | 0.90              | 10.0 | 0.09                 |
| 03/12/2018   | ***-**-8658 - SOLOFF, MIRIAM<br>ACCOUNT #: LSR105201   | ALLIANCE BERNSTEIN GLOBAL TECHNOLOG<br>BUY 1 Units @0.0000 | 0.00                 | 2.25                | 0.00               | 2.25              | 10.0 | 0.23                 |
| 03/12/2018   | ***-**-960I - METCHIS, STACY<br>ACCOUNT #: LSR012191   | ALLIANCEBERNSTEIN BALANCED SHARES A<br>BUY 1 Units @0.0000 | 0.00                 | 0.42                | 0.00               | 0.42              | 10.0 | 0.04                 |
| 03/12/2018   | ***-**-37IN - STENDERA, BERTHA<br>ACCOUNT #: LSR009261 | ALLIANCEBERNSTEIN GLO GOVT INC TRST<br>BUY 1 Units @0.0000 | 0.00                 | 1.03                | 0.00               | 1.03              | 10.0 | 0.10                 |
| 03/12/2018   | ***-**-259J - WACHS, MARJORIE<br>ACCOUNT #: LSR009407  | ALLIANCEBERNSTEIN GLO GOVT INC TRST<br>BUY 1 Units @0.0000 | 0.00                 | 4.91                | 0.00               | 4.91              | 10.0 | 0.49                 |
| 03/12/2018   | ***-**-017J - TAZUMA, MIYOKO<br>ACCOUNT #: LSR009466   | ALLIANCEBERNSTEIN GROWTH AND INC A<br>BUY 1 Units @0.0000  | 0.00                 | 7.15                | 0.00               | 7.15              | 10.0 | 0.72                 |
| 03/12/2018   | ***-**-63UT - DIMALANTA,<br>ACCOUNT #: LSR010272       | ALLIANCEBERNSTEIN GROWTH AND INC A<br>BUY 1 Units @0.0000  | 0.00                 | 4.81                | 0.00               | 4.81              | 10.0 | 0.48                 |
| 03/12/2018   | ***-**-3125 - ROSENGARTEN,<br>ACCOUNT #: LSR105147     | ALLIANCEBERNSTEIN LARGE-CAP GROWTH<br>BUY 1 Units @0.0000  | 0.00                 | 0.90                | 0.00               | 0.90              | 10.0 | 0.09                 |
| 03/12/2018   | ***-**-4726 - SOIFER, SEP<br>ACCOUNT #: LSR105236      | ALLIANCEBERNSTEIN LARGE-CAP GROWTH<br>BUY 1 Units @0.0000  | 0.00                 | 2.18                | 0.00               | 2.18              | 10.0 | 0.22                 |
| 03/01/2018   | ***-**-815P - SIMPSON, JARED<br>ACCOUNT #: 00073284461 | AMCAP FUND-529A<br>BUY 0 Units @0.0000                     | 0.00                 | 0.66                | 0.00               | 0.66              | 10.0 | 0.07                 |
| 03/01/2018   | ***-**-215P - LUNA, SELENA<br>ACCOUNT #: 00074060730   | AMCAP FUND-529A<br>BUY 0 Units @0.0000                     | 0.00                 | 0.95                | 0.00               | 0.95              | 10.0 | 0.10                 |



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|--|--|--|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b>BROKER TRANSACTIONS (continued)</b>                       |  |  |                      |                     |                    |                   |      |                      |
| <b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</b> |  |  |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-915P - GOCHNAUER,<br>ACCOUNT #: 00081493668       | AMCAP FUND-529A<br>BUY 0 Units @0.0000 | 0.00                 | 8.74                | 0.00               | 8.74              | 10.0 | 0.87                 |
| 03/01/2018   | ***-**-915P - GOCHNAUER,<br>ACCOUNT #: 00081493706       | AMCAP FUND-529A<br>BUY 0 Units @0.0000 | 0.00                 | 8.74                | 0.00               | 8.74              | 10.0 | 0.87                 |
| 03/01/2018   | ***-**-005P - MUPPIDI, ASHISH<br>ACCOUNT #: 00082114467  | AMCAP FUND-529A<br>BUY 0 Units @0.0000 | 0.00                 | 2.34                | 0.00               | 2.34              | 10.0 | 0.23                 |
| 03/01/2018   | ***-**-735P - MARKSAMER,<br>ACCOUNT #: 00086018329       | AMCAP FUND-529A<br>BUY 0 Units @0.0000 | 0.00                 | 6.68                | 0.00               | 6.68              | 10.0 | 0.67                 |
| 03/01/2018   | ***-**-845P - TRAUT, SHEILA<br>ACCOUNT #: 00086023465    | AMCAP FUND-529A<br>BUY 0 Units @0.0000 | 0.00                 | 3.47                | 0.00               | 3.47              | 10.0 | 0.35                 |
| 03/01/2018   | ***-**-845P - TRAUT, SHEILA<br>ACCOUNT #: 00086023476    | AMCAP FUND-529A<br>BUY 0 Units @0.0000 | 0.00                 | 3.47                | 0.00               | 3.47              | 10.0 | 0.35                 |
| 03/01/2018   | ***-**-525P - GARDNER, DANIEL<br>ACCOUNT #: 00086081038  | AMCAP FUND-529A<br>BUY 0 Units @0.0000 | 0.00                 | 7.45                | 0.00               | 7.45              | 10.0 | 0.75                 |
| 03/01/2018   | ***-**-185P - BROZIC, MICHAEL<br>ACCOUNT #: 00086510064  | AMCAP FUND-529A<br>BUY 0 Units @0.0000 | 0.00                 | 8.29                | 0.00               | 8.29              | 10.0 | 0.83                 |
| 03/01/2018   | ***-**-785P - TRAUT, ASHLEY<br>ACCOUNT #: 00086549630    | AMCAP FUND-529A<br>BUY 0 Units @0.0000 | 0.00                 | 6.20                | 0.00               | 6.20              | 10.0 | 0.62                 |
| 03/01/2018   | ***-**-295P - HOGAN, ANN<br>ACCOUNT #: 00074253253       | AMCAP FUND-A<br>BUY 0 Units @0.0000    | 0.00                 | 23.03               | 0.00               | 23.03             | 10.0 | 2.30                 |
| 03/01/2018   | ***-**-410I - GOWE, MICHAEL<br>ACCOUNT #: 00059052728    | AMCAP FUND-A<br>BUY 0 Units @0.0000    | 0.00                 | 49.57               | 0.00               | 49.57             | 10.0 | 4.96                 |
| 03/01/2018   | ***-**-598O - BAIS, RAM<br>ACCOUNT #: 00062603215        | AMCAP FUND-A<br>BUY 0 Units @0.0000    | 0.00                 | 8.15                | 0.00               | 8.15              | 10.0 | 0.82                 |
| 03/01/2018   | ***-**-706O - GARLAND, BARBARA<br>ACCOUNT #: 00063496789 | AMCAP FUND-A<br>BUY 0 Units @0.0000    | 0.00                 | 4.80                | 0.00               | 4.80              | 10.0 | 0.48                 |
| 03/01/2018   | ***-**-735P - SICA, RONALD<br>ACCOUNT #: 00063674033     | AMCAP FUND-A<br>BUY 0 Units @0.0000    | 0.00                 | 63.93               | 0.00               | 63.93             | 10.0 | 6.39                 |
| 03/01/2018   | ***-**-795P - WARD, MIKE<br>ACCOUNT #: 00063773175       | AMCAP FUND-A<br>BUY 0 Units @0.0000    | 0.00                 | 0.77                | 0.00               | 0.77              | 10.0 | 0.08                 |
| 03/01/2018   | ***-**-20SI - MITTMAN, CAROL<br>ACCOUNT #: 00064260356   | AMCAP FUND-A<br>BUY 0 Units @0.0000    | 0.00                 | 0.32                | 0.00               | 0.32              | 10.0 | 0.03                 |



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|--|--------------------------------|---------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b>BROKER TRANSACTIONS (continued)</b>                       |                                |                     |                      |                     |                    |                   |      |                      |
| <b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</b> |                                |                     |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-445P - KURGAN, JEFFERY  | AMCAP FUND-A        | 0.00                 | 17.93               | 0.00               | 17.93             | 10.0 | 1.79                 |
|  | ACCOUNT #: 00064586294         | BUY 0 Units @0.0000 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-045P - IM, HANNAH       | AMCAP FUND-A        | 0.00                 | 6.06                | 0.00               | 6.06              | 10.0 | 0.61                 |
|  | ACCOUNT #: 00066555536         | BUY 0 Units @0.0000 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-204I - LOY, STEVEN      | AMCAP FUND-A        | 0.00                 | 4.24                | 0.00               | 4.24              | 10.0 | 0.42                 |
|  | ACCOUNT #: 00067215893         | BUY 0 Units @0.0000 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-0611 - LOY, RENEE       | AMCAP FUND-A        | 0.00                 | 12.80               | 0.00               | 12.80             | 10.0 | 1.28                 |
|  | ACCOUNT #: 00067335638         | BUY 0 Units @0.0000 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-025P - PROKUDA, BRIAN   | AMCAP FUND-A        | 0.00                 | 244.09              | 0.00               | 244.09            | 10.0 | 24.41                |
|  | ACCOUNT #: 00068542684         | BUY 0 Units @0.0000 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-185P - SHERPY, RONALD   | AMCAP FUND-A        | 0.00                 | 39.55               | 0.00               | 39.55             | 10.0 | 3.96                 |
|  | ACCOUNT #: 00069112525         | BUY 0 Units @0.0000 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-975P - OSBORNE, SUE     | AMCAP FUND-A        | 0.00                 | 1.01                | 0.00               | 1.01              | 10.0 | 0.10                 |
|  | ACCOUNT #: 00073569391         | BUY 0 Units @0.0000 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-715P - STAMPER, TAMARA  | AMCAP FUND-A        | 0.00                 | 1.97                | 0.00               | 1.97              | 10.0 | 0.20                 |
|  | ACCOUNT #: 00074344296         | BUY 0 Units @0.0000 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-610I - LUNTE, DOUGLAS   | AMCAP FUND-A        | 0.00                 | 7.78                | 0.00               | 7.78              | 10.0 | 0.78                 |
|  | ACCOUNT #: 00075957434         | BUY 0 Units @0.0000 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-87IR - BATES, JACOB     | AMCAP FUND-A        | 0.00                 | 1.06                | 0.00               | 1.06              | 10.0 | 0.11                 |
|  | ACCOUNT #: 00081418240         | BUY 0 Units @0.0000 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-287I - BELLINO, VALERIE | AMCAP FUND-A        | 0.00                 | 1.03                | 0.00               | 1.03              | 10.0 | 0.10                 |
|  | ACCOUNT #: 00081674809         | BUY 0 Units @0.0000 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-3412 - THOMPSON,        | AMCAP FUND-A        | 0.00                 | 0.21                | 0.00               | 0.21              | 10.0 | 0.02                 |
|  | ACCOUNT #: 00082026283         | BUY 0 Units @0.0000 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-9658 - CARAPELLA, SEAN  | AMCAP FUND-A        | 0.00                 | 0.17                | 0.00               | 0.17              | 10.0 | 0.02                 |
|  | ACCOUNT #: 00062835884         | BUY 0 Units @0.0000 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-79SI - CREEGAN, THOMAS  | AMCAP FUND-A        | 0.00                 | 89.89               | 0.00               | 89.89             | 10.0 | 8.99                 |
|  | ACCOUNT #: 00059256259         | BUY 0 Units @0.0000 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-275P - BALDWIN, JUSTIN  | AMCAP FUND-A        | 0.00                 | 1.02                | 0.00               | 1.02              | 10.0 | 0.10                 |
|  | ACCOUNT #: 00067340502         | BUY 0 Units @0.0000 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-325P - WHITE, LOUISE    | AMCAP FUND-A        | 0.00                 | 0.03                | 0.00               | 0.03              | 10.0 | 0.00                 |
|  | ACCOUNT #: 00075534398         | BUY 0 Units @0.0000 |                      |                     |                    |                   |      |                      |



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|--|--------------------------------|-----------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b>BROKER TRANSACTIONS (continued)</b>                       |                                |                             |                      |                     |                    |                   |      |                      |
| <b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</b> |                                |                             |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-721I - SHILOACH, JOSEPH | AMCAP FUND-A                | 0.00                 | 5.02                | 0.00               | 5.02              | 10.0 | 0.50                 |
|  | ACCOUNT #: 00081205994         | BUY 0 Units @0.0000         |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-815P - AUCLAIR, LAURA   | AMCAP FUND-A                | 0.00                 | 9.05                | 0.00               | 9.05              | 10.0 | 0.91                 |
|  | ACCOUNT #: 00081468633         | BUY 0 Units @0.0000         |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-185P - KONIZESKI, DELIA | AMCAP FUND-A                | 0.00                 | 3.26                | 0.00               | 3.26              | 10.0 | 0.33                 |
|  | ACCOUNT #: 00082792992         | BUY 0 Units @0.0000         |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-391J - FRIEDMAN, KEITH  | AMCAP FUND-A                | 0.00                 | 36.16               | 0.00               | 36.16             | 10.0 | 3.62                 |
|  | ACCOUNT #: 00083404691         | BUY 0 Units @0.0000         |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-564J - CRAIG, MARK      | AMCAP FUND-A                | 0.00                 | 6.27                | 0.00               | 6.27              | 10.0 | 0.63                 |
|  | ACCOUNT #: 00084581027         | BUY 0 Units @0.0000         |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-375P - SINNO, FADY      | AMCAP FUND-F1               | 0.00                 | 17.76               | 0.00               | 17.76             | 10.0 | 1.78                 |
|  | ACCOUNT #: 00069308202         | BUY 0 Units @0.0000         |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-504I - MARSHALL,        | AMCAP FUND-F1               | 0.00                 | 1.31                | 0.00               | 1.31              | 10.0 | 0.13                 |
|  | ACCOUNT #: 00086486770         | BUY 0 Units @0.0000         |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-815P - SIMPSON, JARED   | AMERICAN BALANCED FUND-529A | 0.00                 | 0.39                | 0.00               | 0.39              | 10.0 | 0.04                 |
|  | ACCOUNT #: 00073284461         | BUY 0 Units @0.0000         |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-265P - KELLY, BENJAMIN  | AMERICAN BALANCED FUND-529A | 0.00                 | 6.16                | 0.00               | 6.16              | 10.0 | 0.62                 |
|  | ACCOUNT #: 00082209027         | BUY 0 Units @0.0000         |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-0920 - NOONAN, SAMANTHA | AMERICAN BALANCED FUND-529A | 0.00                 | 3.33                | 0.00               | 3.33              | 10.0 | 0.33                 |
|  | ACCOUNT #: 00083202391         | BUY 0 Units @0.0000         |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-0619 - SHORB, STANLEY   | AMERICAN BALANCED FUND-529A | 0.00                 | 6.91                | 0.00               | 6.91              | 10.0 | 0.69                 |
|  | ACCOUNT #: 00083330700         | BUY 0 Units @0.0000         |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-733I - ANDERSEN,        | AMERICAN BALANCED FUND-529A | 0.00                 | 2.15                | 0.00               | 2.15              | 10.0 | 0.22                 |
|  | ACCOUNT #: 00085128729         | BUY 0 Units @0.0000         |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-635P - HARRISON, NATHAN | AMERICAN BALANCED FUND-529A | 0.00                 | 0.71                | 0.00               | 0.71              | 10.0 | 0.07                 |
|  | ACCOUNT #: 00085387286         | BUY 0 Units @0.0000         |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-765P - BOWLER,          | AMERICAN BALANCED FUND-529A | 0.00                 | 0.04                | 0.00               | 0.04              | 10.0 | 0.00                 |
|  | ACCOUNT #: 00085699520         | BUY 0 Units @0.0000         |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-0619 - SHORB, STANLEY   | AMERICAN BALANCED FUND-529A | 0.00                 | 9.79                | 0.00               | 9.79              | 10.0 | 0.98                 |
|  | ACCOUNT #: 00087534220         | BUY 0 Units @0.0000         |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-0619 - SHORB, STANLEY   | AMERICAN BALANCED FUND-529A | 0.00                 | 9.24                | 0.00               | 9.24              | 10.0 | 0.92                 |
|  | ACCOUNT #: 00087534228         | BUY 0 Units @0.0000         |                      |                     |                    |                   |      |                      |



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|--|--|--|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b>BROKER TRANSACTIONS (continued)</b>                       |  |  |                      |                     |                    |                   |      |                      |
| <b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</b> |  |  |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-765P - BOWLER,<br>ACCOUNT #: 00087610452          | AMERICAN BALANCED FUND-529A<br>BUY 0 Units @0.0000 | 0.00                 | 0.86                | 0.00               | 0.86              | 10.0 | 0.09                 |
| 03/01/2018   | ***-**-26CL - JOHNSON, CLIENTS<br>ACCOUNT #: 00087846816 | AMERICAN BALANCED FUND-529A<br>BUY 0 Units @0.0000 | 0.00                 | 6.63                | 0.00               | 6.63              | 10.0 | 0.66                 |
| 03/01/2018   | ***-**-345P - MACADIE, SEAN<br>ACCOUNT #: 00088120469    | AMERICAN BALANCED FUND-529A<br>BUY 0 Units @0.0000 | 0.00                 | 2.63                | 0.00               | 2.63              | 10.0 | 0.26                 |
| 03/01/2018   | ***-**-295P - HOGAN, ANN<br>ACCOUNT #: 00074253253       | AMERICAN BALANCED FUND-A<br>BUY 0 Units @0.0000    | 0.00                 | 38.30               | 0.00               | 38.30             | 10.0 | 3.83                 |
| 03/01/2018   | ***-**-345I - INGRISELLI,<br>ACCOUNT #: 00083709007      | AMERICAN BALANCED FUND-A<br>BUY 0 Units @0.0000    | 0.00                 | 6.06                | 0.00               | 6.06              | 10.0 | 0.61                 |
| 03/01/2018   | ***-**-17IN - OPPER, ARLENE<br>ACCOUNT #: 00057350830    | AMERICAN BALANCED FUND-A<br>BUY 0 Units @0.0000    | 0.00                 | 0.11                | 0.00               | 0.11              | 10.0 | 0.01                 |
| 03/01/2018   | ***-**-245P - KELBER, JEFFRY<br>ACCOUNT #: 00059587254   | AMERICAN BALANCED FUND-A<br>BUY 0 Units @0.0000    | 0.00                 | 56.91               | 0.00               | 56.91             | 10.0 | 5.69                 |
| 03/01/2018   | ***-**-371I - GLEASON, JAMES<br>ACCOUNT #: 00061535105   | AMERICAN BALANCED FUND-A<br>BUY 0 Units @0.0000    | 0.00                 | 32.17               | 0.00               | 32.17             | 10.0 | 3.22                 |
| 03/01/2018   | ***-**-54IN - HAMMOCK, DOUGLAS<br>ACCOUNT #: 00062301406 | AMERICAN BALANCED FUND-A<br>BUY 0 Units @0.0000    | 0.00                 | 412.60              | 0.00               | 412.60            | 10.0 | 41.26                |
| 03/01/2018   | ***-**-5980 - BAIS, RAM<br>ACCOUNT #: 00062603215        | AMERICAN BALANCED FUND-A<br>BUY 0 Units @0.0000    | 0.00                 | 35.19               | 0.00               | 35.19             | 10.0 | 3.52                 |
| 03/01/2018   | ***-**-155P - NAHAMOU,<br>ACCOUNT #: 00064023902         | AMERICAN BALANCED FUND-A<br>BUY 0 Units @0.0000    | 0.00                 | 22.43               | 0.00               | 22.43             | 10.0 | 2.24                 |
| 03/01/2018   | ***-**-335P - GARCIA, KRIS<br>ACCOUNT #: 00065126915     | AMERICAN BALANCED FUND-A<br>BUY 0 Units @0.0000    | 0.00                 | 0.48                | 0.00               | 0.48              | 10.0 | 0.05                 |
| 03/01/2018   | ***-**-425I - FARACI, JOHN<br>ACCOUNT #: 00066994858     | AMERICAN BALANCED FUND-A<br>BUY 0 Units @0.0000    | 0.00                 | 26.61               | 0.00               | 26.61             | 10.0 | 2.66                 |
| 03/01/2018   | ***-**-055P - PLANTS, THOR<br>ACCOUNT #: 00067164983     | AMERICAN BALANCED FUND-A<br>BUY 0 Units @0.0000    | 0.00                 | 0.46                | 0.00               | 0.46              | 10.0 | 0.05                 |
| 03/01/2018   | ***-**-8862 - BANANTO, BRANDON<br>ACCOUNT #: 00067272921 | AMERICAN BALANCED FUND-A<br>BUY 0 Units @0.0000    | 0.00                 | 2.81                | 0.00               | 2.81              | 10.0 | 0.28                 |
| 03/01/2018   | ***-**-925P - OSBOURNE, LAUREN<br>ACCOUNT #: 00067307316 | AMERICAN BALANCED FUND-A<br>BUY 0 Units @0.0000    | 0.00                 | 1.83                | 0.00               | 1.83              | 10.0 | 0.18                 |



# COMMISSION STATEMENT

March 12, 2018

ALEX GEORGIEV  
400 West Metro Park  
Rochester, NY 14623

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BRANCH #01001 - LifeMark Home Office

| DATE   | CLIENT                         | INVESTMENT               | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|--|--------------------------------|--------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b>BROKER TRANSACTIONS (continued)</b>                       |                                |                          |                      |                     |                    |                   |      |                      |
| <b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</b> |                                |                          |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-29RI - GRANFORS, ROGER  | AMERICAN BALANCED FUND-A | 0.00                 | 112.55              | 0.00               | 112.55            | 10.0 | 11.26                |
|  | ACCOUNT #: 00067464852         | BUY 0 Units @0.0000      |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-777I - HATHAWAY, LAUREN | AMERICAN BALANCED FUND-A | 0.00                 | 0.49                | 0.00               | 0.49              | 10.0 | 0.05                 |
|  | ACCOUNT #: 00067509756         | BUY 0 Units @0.0000      |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-86IR - CUSTER, CAROLYN  | AMERICAN BALANCED FUND-A | 0.00                 | 3.33                | 0.00               | 3.33              | 10.0 | 0.33                 |
|  | ACCOUNT #: 00067552064         | BUY 0 Units @0.0000      |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-279I - WARREN, DEBRA    | AMERICAN BALANCED FUND-A | 0.00                 | 3.33                | 0.00               | 3.33              | 10.0 | 0.33                 |
|  | ACCOUNT #: 00067715625         | BUY 0 Units @0.0000      |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-365P - PROKUDA, KELLIE  | AMERICAN BALANCED FUND-A | 0.00                 | 93.74               | 0.00               | 93.74             | 10.0 | 9.37                 |
|  | ACCOUNT #: 00068542686         | BUY 0 Units @0.0000      |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-18IN - CRAWFORD,        | AMERICAN BALANCED FUND-A | 0.00                 | 12.80               | 0.00               | 12.80             | 10.0 | 1.28                 |
|  | ACCOUNT #: 00069017221         | BUY 0 Units @0.0000      |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-185P - SHERPY, RONALD   | AMERICAN BALANCED FUND-A | 0.00                 | 24.13               | 0.00               | 24.13             | 10.0 | 2.41                 |
|  | ACCOUNT #: 00069112525         | BUY 0 Units @0.0000      |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-082I - HOULE, LINDA     | AMERICAN BALANCED FUND-A | 0.00                 | 14.56               | 0.00               | 14.56             | 10.0 | 1.46                 |
|  | ACCOUNT #: 00069149600         | BUY 0 Units @0.0000      |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-958I - HOULE, MARTIN    | AMERICAN BALANCED FUND-A | 0.00                 | 7.70                | 0.00               | 7.70              | 10.0 | 0.77                 |
|  | ACCOUNT #: 00073378669         | BUY 0 Units @0.0000      |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-12IN - PERKOWSKI,       | AMERICAN BALANCED FUND-A | 0.00                 | 0.09                | 0.00               | 0.09              | 10.0 | 0.01                 |
|  | ACCOUNT #: 00073392356         | BUY 0 Units @0.0000      |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-975P - OSBORNE, SUE     | AMERICAN BALANCED FUND-A | 0.00                 | 6.48                | 0.00               | 6.48              | 10.0 | 0.65                 |
|  | ACCOUNT #: 00073569391         | BUY 0 Units @0.0000      |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-175P - MELSON, BRANDEN  | AMERICAN BALANCED FUND-A | 0.00                 | 0.36                | 0.00               | 0.36              | 10.0 | 0.04                 |
|  | ACCOUNT #: 00073951405         | BUY 0 Units @0.0000      |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-715P - STAMPER, TAMARA  | AMERICAN BALANCED FUND-A | 0.00                 | 0.21                | 0.00               | 0.21              | 10.0 | 0.02                 |
|  | ACCOUNT #: 00074344296         | BUY 0 Units @0.0000      |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-974I - GOLDBERG, KAY    | AMERICAN BALANCED FUND-A | 0.00                 | 4.74                | 0.00               | 4.74              | 10.0 | 0.47                 |
|  | ACCOUNT #: 00074796752         | BUY 0 Units @0.0000      |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-415P - SMITH, DOLORES   | AMERICAN BALANCED FUND-A | 0.00                 | 4.68                | 0.00               | 4.68              | 10.0 | 0.47                 |
|  | ACCOUNT #: 00075398616         | BUY 0 Units @0.0000      |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-835P - FARNUM, AMY      | AMERICAN BALANCED FUND-A | 0.00                 | 7.12                | 0.00               | 7.12              | 10.0 | 0.71                 |
|  | ACCOUNT #: 00075846186         | BUY 0 Units @0.0000      |                      |                     |                    |                   |      |                      |



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|--|--------------------------------|--------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b>BROKER TRANSACTIONS (continued)</b>                       |                                |                          |                      |                     |                    |                   |      |                      |
| <b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</b> |                                |                          |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-685P - FARNUM, KEVIN    | AMERICAN BALANCED FUND-A | 0.00                 | 7.12                | 0.00               | 7.12              | 10.0 | 0.71                 |
|  | ACCOUNT #: 00075846201         | BUY 0 Units @0.0000      |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-125P - RONEY, BETH      | AMERICAN BALANCED FUND-A | 0.00                 | 1.19                | 0.00               | 1.19              | 10.0 | 0.12                 |
|  | ACCOUNT #: 00081534241         | BUY 0 Units @0.0000      |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-287I - BELLINO, VALERIE | AMERICAN BALANCED FUND-A | 0.00                 | 1.22                | 0.00               | 1.22              | 10.0 | 0.12                 |
|  | ACCOUNT #: 00081674809         | BUY 0 Units @0.0000      |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-27IR - POSSEE, DIANE    | AMERICAN BALANCED FUND-A | 0.00                 | 5.24                | 0.00               | 5.24              | 10.0 | 0.52                 |
|  | ACCOUNT #: 00082953732         | BUY 0 Units @0.0000      |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-979I - HEDLUND, CYNTHIA | AMERICAN BALANCED FUND-A | 0.00                 | 0.18                | 0.00               | 0.18              | 10.0 | 0.02                 |
|  | ACCOUNT #: 00083722809         | BUY 0 Units @0.0000      |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-186I - JACOBSON, MARINA | AMERICAN BALANCED FUND-A | 0.00                 | 16.55               | 0.00               | 16.55             | 10.0 | 1.66                 |
|  | ACCOUNT #: 00083731526         | BUY 0 Units @0.0000      |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-721I - JACOBSON, STUART | AMERICAN BALANCED FUND-A | 0.00                 | 0.31                | 0.00               | 0.31              | 10.0 | 0.03                 |
|  | ACCOUNT #: 00083731770         | BUY 0 Units @0.0000      |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-173I - MATUSIEWICZ,     | AMERICAN BALANCED FUND-A | 0.00                 | 1.94                | 0.00               | 1.94              | 10.0 | 0.19                 |
|  | ACCOUNT #: 00083738493         | BUY 0 Units @0.0000      |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-537I - DIVALERIO, KATHY | AMERICAN BALANCED FUND-A | 0.00                 | 21.09               | 0.00               | 21.09             | 10.0 | 2.11                 |
|  | ACCOUNT #: 00083765927         | BUY 0 Units @0.0000      |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-195I - APPEL, NADIA     | AMERICAN BALANCED FUND-A | 0.00                 | 0.11                | 0.00               | 0.11              | 10.0 | 0.01                 |
|  | ACCOUNT #: 00083770169         | BUY 0 Units @0.0000      |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-573I - CLARK-BROWN,     | AMERICAN BALANCED FUND-A | 0.00                 | 0.58                | 0.00               | 0.58              | 10.0 | 0.06                 |
|  | ACCOUNT #: 00083776067         | BUY 0 Units @0.0000      |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-73IR - CLARK-BROWN,     | AMERICAN BALANCED FUND-A | 0.00                 | 0.34                | 0.00               | 0.34              | 10.0 | 0.03                 |
|  | ACCOUNT #: 00083923759         | BUY 0 Units @0.0000      |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-63IR - POAGE, BENNY     | AMERICAN BALANCED FUND-A | 0.00                 | 4.44                | 0.00               | 4.44              | 10.0 | 0.44                 |
|  | ACCOUNT #: 00085156983         | BUY 0 Units @0.0000      |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-95IN - LARSON, JOEL     | AMERICAN BALANCED FUND-A | 0.00                 | 4.46                | 0.00               | 4.46              | 10.0 | 0.45                 |
|  | ACCOUNT #: 00086113566         | BUY 0 Units @0.0000      |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-5428 - FIGUEROA/BENE,   | AMERICAN BALANCED FUND-A | 0.00                 | 7.42                | 0.00               | 7.42              | 10.0 | 0.74                 |
|  | ACCOUNT #: 00087791148         | BUY 0 Units @0.0000      |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-100I - DIAMOND, JAMES   | AMERICAN BALANCED FUND-A | 0.00                 | 1.23                | 0.00               | 1.23              | 10.0 | 0.12                 |
|  | ACCOUNT #: 00088196105         | BUY 0 Units @0.0000      |                      |                     |                    |                   |      |                      |



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|--|--|--|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b>BROKER TRANSACTIONS (continued)</b>                       |  |  |                      |                     |                    |                   |      |                      |
| <b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</b> |  |  |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-212I - SNEED, DAVID<br>ACCOUNT #: 00088678532     | AMERICAN BALANCED FUND-A<br>BUY 0 Units @0.0000            | 0.00                 | 6.24                | 0.00               | 6.24              | 10.0 | 0.62                 |
| 03/01/2018   | ***-**-275P - BALDWIN, JUSTIN<br>ACCOUNT #: 00067340502  | AMERICAN BALANCED FUND-A<br>BUY 0 Units @0.0000            | 0.00                 | 0.28                | 0.00               | 0.28              | 10.0 | 0.03                 |
| 03/01/2018   | ***-**-601I - FALCK, ROBERT<br>ACCOUNT #: 00068513111    | AMERICAN BALANCED FUND-A<br>BUY 0 Units @0.0000            | 0.00                 | 16.88               | 0.00               | 16.88             | 10.0 | 1.69                 |
| 03/01/2018   | ***-**-691I - COLLINS, PAMELA<br>ACCOUNT #: 00074006244  | AMERICAN BALANCED FUND-A<br>BUY 0 Units @0.0000            | 0.00                 | 4.26                | 0.00               | 4.26              | 10.0 | 0.43                 |
| 03/01/2018   | ***-**-18IR - OLNEY, DAVID<br>ACCOUNT #: 00084410693     | AMERICAN BALANCED FUND-A<br>BUY 0 Units @0.0000            | 0.00                 | 0.57                | 0.00               | 0.57              | 10.0 | 0.06                 |
| 03/01/2018   | ***-**-345I - INGRISELLI,<br>ACCOUNT #: 00083709007      | AMERICAN BALANCED FUND-C<br>BUY 0 Units @0.0000            | 0.00                 | 7.15                | 0.00               | 7.15              | 10.0 | 0.72                 |
| 03/01/2018   | ***-**-064J - HALL, AMY<br>ACCOUNT #: 00083146232        | AMERICAN DEVELOPING WRLD GRWTH & IN<br>BUY 0 Units @0.0000 | 0.00                 | 15.39               | 0.00               | 15.39             | 10.0 | 1.54                 |
| 03/01/2018   | ***-**-6438 - IM, KATE<br>ACCOUNT #: 00089219765         | AMERICAN FUNDS 02629M587<br>BUY 0 Units @0.0000            | 0.00                 | 10.91               | 0.00               | 10.91             | 10.0 | 1.09                 |
| 03/01/2018   | ***-**-735P - STEVENS, SCOTT<br>ACCOUNT #: 00089508283   | AMERICAN FUNDS 02629M587<br>BUY 0 Units @0.0000            | 0.00                 | 1.77                | 0.00               | 1.77              | 10.0 | 0.18                 |
| 03/01/2018   | ***-**-8981 - HELTMAN, JOHN<br>ACCOUNT #: 04000050648    | AMERICAN FUNDS 02629M587<br>BUY 0 Units @0.0000            | 0.00                 | 0.30                | 0.00               | 0.30              | 10.0 | 0.03                 |
| 03/01/2018   | ***-**-549I - BOXMAN, KENNETH<br>ACCOUNT #: 00068811528  | AMERICAN FUNDS 02629M645<br>BUY 0 Units @0.0000            | 0.00                 | 2.44                | 0.00               | 2.44              | 10.0 | 0.24                 |
| 03/01/2018   | ***-**-865P - BECKER, SEAN<br>ACCOUNT #: 00073126126     | AMERICAN FUNDS 02629M645<br>BUY 0 Units @0.0000            | 0.00                 | 3.67                | 0.00               | 3.67              | 10.0 | 0.37                 |
| 03/01/2018   | ***-**-365P - STARTZEL,<br>ACCOUNT #: 00081317921        | AMERICAN FUNDS 02629M645<br>BUY 0 Units @0.0000            | 0.00                 | 19.97               | 0.00               | 19.97             | 10.0 | 2.00                 |
| 03/01/2018   | ***-**-415P - TARANTINO, SCOTT<br>ACCOUNT #: 00087442864 | AMERICAN FUNDS 02629M645<br>BUY 0 Units @0.0000            | 0.00                 | 2.24                | 0.00               | 2.24              | 10.0 | 0.22                 |
| 03/01/2018   | ***-**-245P - AVRAHAMI, MEIR<br>ACCOUNT #: 00081610171   | AMERICAN FUNDS 2010 TARGET DATE-A<br>BUY 0 Units @0.0000   | 0.00                 | 0.66                | 0.00               | 0.66              | 10.0 | 0.07                 |
| 03/01/2018   | ***-**-235I - FLOREY, TERRY<br>ACCOUNT #: 00082615431    | AMERICAN FUNDS 2010 TARGET DATE-A<br>BUY 0 Units @0.0000   | 0.00                 | 10.62               | 0.00               | 10.62             | 10.0 | 1.06                 |





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|--|--|--|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b>BROKER TRANSACTIONS (continued)</b>                       |  |  |                      |                     |                    |                   |      |                      |
| <b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</b> |  |  |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-983I - SCHERR, MEYER<br>ACCOUNT #: 00067634893  | AMERICAN FUNDS 2015 TARGET DATE-A<br>BUY 0 Units @0.0000 | 0.00                 | 4.11                | 0.00               | 4.11              | 10.0 | 0.41                 |
| 03/01/2018   | ***-**-375I - LUBRANO,<br>ACCOUNT #: 00073560930       | AMERICAN FUNDS 2015 TARGET DATE-A<br>BUY 0 Units @0.0000 | 0.00                 | 7.51                | 0.00               | 7.51              | 10.0 | 0.75                 |
| 03/01/2018   | ***-**-304I - SCHERR,<br>ACCOUNT #: 00073990343        | AMERICAN FUNDS 2015 TARGET DATE-A<br>BUY 0 Units @0.0000 | 0.00                 | 1.25                | 0.00               | 1.25              | 10.0 | 0.13                 |
| 03/01/2018   | ***-**-04IR - SCHERR,<br>ACCOUNT #: 00073990430        | AMERICAN FUNDS 2015 TARGET DATE-A<br>BUY 0 Units @0.0000 | 0.00                 | 1.72                | 0.00               | 1.72              | 10.0 | 0.17                 |
| 03/01/2018   | ***-**-86CL - ASHER, CLIENTS<br>ACCOUNT #: 00087552886 | AMERICAN FUNDS 2015 TARGET DATE-A<br>BUY 0 Units @0.0000 | 0.00                 | 62.27               | 0.00               | 62.27             | 10.0 | 6.23                 |
| 03/01/2018   | ***-**-86CL - ASHER, CLIENTS<br>ACCOUNT #: 00087552955 | AMERICAN FUNDS 2015 TARGET DATE-A<br>BUY 0 Units @0.0000 | 0.00                 | 52.46               | 0.00               | 52.46             | 10.0 | 5.25                 |
| 03/01/2018   | ***-**-686I -<br>ACCOUNT #: 00062366671                | AMERICAN FUNDS 2020 TARGET DATE-A<br>BUY 0 Units @0.0000 | 0.00                 | 5.09                | 0.00               | 5.09              | 10.0 | 0.51                 |
| 03/01/2018   | ***-**-891I - ROBINSON,<br>ACCOUNT #: 00066743490      | AMERICAN FUNDS 2020 TARGET DATE-A<br>BUY 0 Units @0.0000 | 0.00                 | 49.98               | 0.00               | 49.98             | 10.0 | 5.00                 |
| 03/01/2018   | ***-**-601I - FALCK, ROBERT<br>ACCOUNT #: 00068513111  | AMERICAN FUNDS 2020 TARGET DATE-A<br>BUY 0 Units @0.0000 | 0.00                 | 116.25              | 0.00               | 116.25            | 10.0 | 11.63                |
| 03/01/2018   | ***-**-91IR - ROBINSON,<br>ACCOUNT #: 00073507033      | AMERICAN FUNDS 2020 TARGET DATE-A<br>BUY 0 Units @0.0000 | 0.00                 | 49.31               | 0.00               | 49.31             | 10.0 | 4.93                 |
| 03/01/2018   | ***-**-755P - ELIAS, LUIS W<br>ACCOUNT #: 00073770672  | AMERICAN FUNDS 2020 TARGET DATE-A<br>BUY 0 Units @0.0000 | 0.00                 | 9.83                | 0.00               | 9.83              | 10.0 | 0.98                 |
| 03/01/2018   | ***-**-21SI - FLOREY, JILL<br>ACCOUNT #: 00073903583   | AMERICAN FUNDS 2020 TARGET DATE-A<br>BUY 0 Units @0.0000 | 0.00                 | 126.52              | 0.00               | 126.52            | 10.0 | 12.65                |
| 03/01/2018   | ***-**-601I - FALCK, ROBERT<br>ACCOUNT #: 00074739065  | AMERICAN FUNDS 2020 TARGET DATE-A<br>BUY 0 Units @0.0000 | 0.00                 | 72.48               | 0.00               | 72.48             | 10.0 | 7.25                 |
| 03/01/2018   | ***-**-196O - EVANS, DAVID<br>ACCOUNT #: 00075526768   | AMERICAN FUNDS 2020 TARGET DATE-A<br>BUY 0 Units @0.0000 | 0.00                 | 246.00              | 0.00               | 246.00            | 10.0 | 24.60                |
| 03/01/2018   | ***-**-505P - EVANS, LAURA<br>ACCOUNT #: 00075526884   | AMERICAN FUNDS 2020 TARGET DATE-A<br>BUY 0 Units @0.0000 | 0.00                 | 76.54               | 0.00               | 76.54             | 10.0 | 7.65                 |
| 03/01/2018   | ***-**-686S -<br>ACCOUNT #: 00075980143                | AMERICAN FUNDS 2020 TARGET DATE-A<br>BUY 0 Units @0.0000 | 0.00                 | 53.30               | 0.00               | 53.30             | 10.0 | 5.33                 |



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ALEX GEORGIEV  
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BRANCH #01001 - LifeMark Home Office

| DATE   | CLIENT   | INVESTMENT   | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|--|--|--|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b>BROKER TRANSACTIONS (continued)</b>                       |  |  |                      |                     |                    |                   |      |                      |
| <b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</b> |  |  |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-686S -<br>ACCOUNT #: 00075980237                  | AMERICAN FUNDS 2020 TARGET DATE-A<br>BUY 0 Units @0.0000 | 0.00                 | 95.87               | 0.00               | 95.87             | 10.0 | 9.59                 |
| 03/01/2018   | ***-**-721I - FLOREY, JILL<br>ACCOUNT #: 00082615330     | AMERICAN FUNDS 2020 TARGET DATE-A<br>BUY 0 Units @0.0000 | 0.00                 | 11.25               | 0.00               | 11.25             | 10.0 | 1.13                 |
| 03/01/2018   | ***-**-126I - CARLIN, JOYCE<br>ACCOUNT #: 00085222562    | AMERICAN FUNDS 2020 TARGET DATE-A<br>BUY 0 Units @0.0000 | 0.00                 | 30.94               | 0.00               | 30.94             | 10.0 | 3.09                 |
| 03/01/2018   | ***-**-699I - COOK, PHYLLIS<br>ACCOUNT #: 00086486652    | AMERICAN FUNDS 2020 TARGET DATE-A<br>BUY 0 Units @0.0000 | 0.00                 | 180.07              | 0.00               | 180.07            | 10.0 | 18.01                |
| 03/01/2018   | ***-**-11IR - SCHAFFTEL, AMY<br>ACCOUNT #: 00063600878   | AMERICAN FUNDS 2025 TARGET DATE-A<br>BUY 0 Units @0.0000 | 0.00                 | 34.25               | 0.00               | 34.25             | 10.0 | 3.43                 |
| 03/01/2018   | ***-**-425P - MARMOR,<br>ACCOUNT #: 00069170291          | AMERICAN FUNDS 2025 TARGET DATE-A<br>BUY 0 Units @0.0000 | 0.00                 | 153.90              | 0.00               | 153.90            | 10.0 | 15.39                |
| 03/01/2018   | ***-**-425P - MARMOR,<br>ACCOUNT #: 00073506893          | AMERICAN FUNDS 2025 TARGET DATE-A<br>BUY 0 Units @0.0000 | 0.00                 | 25.14               | 0.00               | 25.14             | 10.0 | 2.51                 |
| 03/01/2018   | ***-**-165I - LUBRANO, MARIA<br>ACCOUNT #: 00073561326   | AMERICAN FUNDS 2025 TARGET DATE-A<br>BUY 0 Units @0.0000 | 0.00                 | 8.59                | 0.00               | 8.59              | 10.0 | 0.86                 |
| 03/01/2018   | ***-**-275P - AURIEMNA,<br>ACCOUNT #: 00073770793        | AMERICAN FUNDS 2025 TARGET DATE-A<br>BUY 0 Units @0.0000 | 0.00                 | 9.46                | 0.00               | 9.46              | 10.0 | 0.95                 |
| 03/01/2018   | ***-**-305P - ALOOR, RAVI<br>ACCOUNT #: 00081137427      | AMERICAN FUNDS 2025 TARGET DATE-A<br>BUY 0 Units @0.0000 | 0.00                 | 23.78               | 0.00               | 23.78             | 10.0 | 2.38                 |
| 03/01/2018   | ***-**-167I - PURNELL, KEVIN<br>ACCOUNT #: 00083740624   | AMERICAN FUNDS 2025 TARGET DATE-A<br>BUY 0 Units @0.0000 | 0.00                 | 0.02                | 0.00               | 0.02              | 10.0 | 0.00                 |
| 03/01/2018   | ***-**-112I - KOONTZ, LEROY<br>ACCOUNT #: 00084075301    | AMERICAN FUNDS 2025 TARGET DATE-A<br>BUY 0 Units @0.0000 | 0.00                 | 30.32               | 0.00               | 30.32             | 10.0 | 3.03                 |
| 03/01/2018   | ***-**-205P - BISCOTTI,<br>ACCOUNT #: 00064937834        | AMERICAN FUNDS 2030 TARGET DATE-A<br>BUY 0 Units @0.0000 | 0.00                 | 11.98               | 0.00               | 11.98             | 10.0 | 1.20                 |
| 03/01/2018   | ***-**-205P - BISCOTTI,<br>ACCOUNT #: 00065185907        | AMERICAN FUNDS 2030 TARGET DATE-A<br>BUY 0 Units @0.0000 | 0.00                 | 25.96               | 0.00               | 25.96             | 10.0 | 2.60                 |
| 03/01/2018   | ***-**-866I - MARKS, DANA<br>ACCOUNT #: 00066517006      | AMERICAN FUNDS 2030 TARGET DATE-A<br>BUY 0 Units @0.0000 | 0.00                 | 56.20               | 0.00               | 56.20             | 10.0 | 5.62                 |
| 03/01/2018   | ***-**-495P - WALLACE, RACHAEL<br>ACCOUNT #: 00066725827 | AMERICAN FUNDS 2030 TARGET DATE-A<br>BUY 0 Units @0.0000 | 0.00                 | 11.89               | 0.00               | 11.89             | 10.0 | 1.19                 |



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|--|--------------------------------|-----------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b>BROKER TRANSACTIONS (continued)</b>                       |                                |                                   |                      |                     |                    |                   |      |                      |
| <b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</b> |                                |                                   |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-245P - SMITH, AARON     | AMERICAN FUNDS 2030 TARGET DATE-A | 0.00                 | 18.71               | 0.00               | 18.71             | 10.0 | 1.87                 |
|  | ACCOUNT #: 00066869557         | BUY 0 Units @0.0000               |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-882I - MARKS, VINCENT   | AMERICAN FUNDS 2030 TARGET DATE-A | 0.00                 | 8.36                | 0.00               | 8.36              | 10.0 | 0.84                 |
|  | ACCOUNT #: 00067156681         | BUY 0 Units @0.0000               |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-549I - BOXMAN, KENNETH  | AMERICAN FUNDS 2030 TARGET DATE-A | 0.00                 | 19.49               | 0.00               | 19.49             | 10.0 | 1.95                 |
|  | ACCOUNT #: 00069068491         | BUY 0 Units @0.0000               |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-241O - PUTHIYA-VEETIL,  | AMERICAN FUNDS 2030 TARGET DATE-A | 0.00                 | 34.27               | 0.00               | 34.27             | 10.0 | 3.43                 |
|  | ACCOUNT #: 00073508925         | BUY 0 Units @0.0000               |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-60RI - DUGGAN, TERESA   | AMERICAN FUNDS 2030 TARGET DATE-A | 0.00                 | 17.98               | 0.00               | 17.98             | 10.0 | 1.80                 |
|  | ACCOUNT #: 00073561351         | BUY 0 Units @0.0000               |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-495P - WALLACE, RACHAEL | AMERICAN FUNDS 2030 TARGET DATE-A | 0.00                 | 11.89               | 0.00               | 11.89             | 10.0 | 1.19                 |
|  | ACCOUNT #: 00073772445         | BUY 0 Units @0.0000               |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-805P - SHAAB, KRISTEN   | AMERICAN FUNDS 2030 TARGET DATE-A | 0.00                 | 8.35                | 0.00               | 8.35              | 10.0 | 0.84                 |
|  | ACCOUNT #: 00074222989         | BUY 0 Units @0.0000               |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-255I - FUCHS, JEFF      | AMERICAN FUNDS 2030 TARGET DATE-A | 0.00                 | 316.62              | 0.00               | 316.62            | 10.0 | 31.66                |
|  | ACCOUNT #: 00075991265         | BUY 0 Units @0.0000               |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-08IR - ROSS, GERALD J   | AMERICAN FUNDS 2030 TARGET DATE-A | 0.00                 | 3.95                | 0.00               | 3.95              | 10.0 | 0.40                 |
|  | ACCOUNT #: 00081116941         | BUY 0 Units @0.0000               |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-575P - NAVE, SUZANNE    | AMERICAN FUNDS 2030 TARGET DATE-A | 0.00                 | 10.48               | 0.00               | 10.48             | 10.0 | 1.05                 |
|  | ACCOUNT #: 00081128218         | BUY 0 Units @0.0000               |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-193S - TANAMOR, MYRA    | AMERICAN FUNDS 2030 TARGET DATE-A | 0.00                 | 89.83               | 0.00               | 89.83             | 10.0 | 8.98                 |
|  | ACCOUNT #: 00081181594         | BUY 0 Units @0.0000               |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-04SI - MCQUATE, DUSTIN  | AMERICAN FUNDS 2030 TARGET DATE-A | 0.00                 | 45.56               | 0.00               | 45.56             | 10.0 | 4.56                 |
|  | ACCOUNT #: 00083019764         | BUY 0 Units @0.0000               |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-993I - ANDERSON, BROCK  | AMERICAN FUNDS 2030 TARGET DATE-A | 0.00                 | 106.09              | 0.00               | 106.09            | 10.0 | 10.61                |
|  | ACCOUNT #: 00083859232         | BUY 0 Units @0.0000               |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-20IR - JOHNSON, SHANNON | AMERICAN FUNDS 2030 TARGET DATE-A | 0.00                 | 10.03               | 0.00               | 10.03             | 10.0 | 1.00                 |
|  | ACCOUNT #: 00084721917         | BUY 0 Units @0.0000               |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-40SI - SCHWARTZ, MOSHE  | AMERICAN FUNDS 2030 TARGET DATE-A | 0.00                 | 4.52                | 0.00               | 4.52              | 10.0 | 0.45                 |
|  | ACCOUNT #: 00084825848         | BUY 0 Units @0.0000               |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-03SI - SCHWARTZ, JODIE  | AMERICAN FUNDS 2030 TARGET DATE-A | 0.00                 | 4.52                | 0.00               | 4.52              | 10.0 | 0.45                 |
|  | ACCOUNT #: 00084825858         | BUY 0 Units @0.0000               |                      |                     |                    |                   |      |                      |



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|--|--|--|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b>BROKER TRANSACTIONS (continued)</b>                       |  |  |                      |                     |                    |                   |      |                      |
| <b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</b> |  |  |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-993I - ANDERSON, BROCK<br>ACCOUNT #: 00085413248  | AMERICAN FUNDS 2030 TARGET DATE-A<br>BUY 0 Units @0.0000 | 0.00                 | 93.87               | 0.00               | 93.87             | 10.0 | 9.39                 |
| 03/01/2018   | ***-**-95IE - STARTZEL, MARCUS<br>ACCOUNT #: 00085648138 | AMERICAN FUNDS 2030 TARGET DATE-A<br>BUY 0 Units @0.0000 | 0.00                 | 80.46               | 0.00               | 80.46             | 10.0 | 8.05                 |
| 03/01/2018   | ***-**-9943 - NEEL, KATHRYN<br>ACCOUNT #: 00085655266    | AMERICAN FUNDS 2030 TARGET DATE-A<br>BUY 0 Units @0.0000 | 0.00                 | 75.11               | 0.00               | 75.11             | 10.0 | 7.51                 |
| 03/01/2018   | ***-**-588I - LYDECKER, LAUREL<br>ACCOUNT #: 00085858423 | AMERICAN FUNDS 2030 TARGET DATE-A<br>BUY 0 Units @0.0000 | 0.00                 | 1.95                | 0.00               | 1.95              | 10.0 | 0.20                 |
| 03/01/2018   | ***-**-49SI - TARANTINO,<br>ACCOUNT #: 00086080820       | AMERICAN FUNDS 2030 TARGET DATE-A<br>BUY 0 Units @0.0000 | 0.00                 | 23.22               | 0.00               | 23.22             | 10.0 | 2.32                 |
| 03/01/2018   | ***-**-134I - ALEXANDER,<br>ACCOUNT #: 00086486657       | AMERICAN FUNDS 2030 TARGET DATE-A<br>BUY 0 Units @0.0000 | 0.00                 | 225.97              | 0.00               | 225.97            | 10.0 | 22.60                |
| 03/01/2018   | ***-**-13IR - CULBERT,<br>ACCOUNT #: 00086860608         | AMERICAN FUNDS 2030 TARGET DATE-A<br>BUY 0 Units @0.0000 | 0.00                 | 18.46               | 0.00               | 18.46             | 10.0 | 1.85                 |
| 03/01/2018   | ***-**-949I - TARANTINO,<br>ACCOUNT #: 00087442542       | AMERICAN FUNDS 2030 TARGET DATE-A<br>BUY 0 Units @0.0000 | 0.00                 | 5.05                | 0.00               | 5.05              | 10.0 | 0.51                 |
| 03/01/2018   | ***-**-415P - TARANTINO, SCOTT<br>ACCOUNT #: 00087442563 | AMERICAN FUNDS 2030 TARGET DATE-A<br>BUY 0 Units @0.0000 | 0.00                 | 297.85              | 0.00               | 297.85            | 10.0 | 29.79                |
| 03/01/2018   | ***-**-101I - QUINN, PETER<br>ACCOUNT #: 00087645935     | AMERICAN FUNDS 2030 TARGET DATE-A<br>BUY 0 Units @0.0000 | 0.00                 | 7.12                | 0.00               | 7.12              | 10.0 | 0.71                 |
| 03/01/2018   | ***-**-943I - FISHER, BETH<br>ACCOUNT #: 00087646720     | AMERICAN FUNDS 2030 TARGET DATE-A<br>BUY 0 Units @0.0000 | 0.00                 | 111.88              | 0.00               | 111.88            | 10.0 | 11.19                |
| 03/01/2018   | ***-**-94TI - FINN, NORA<br>ACCOUNT #: 00087835392       | AMERICAN FUNDS 2030 TARGET DATE-A<br>BUY 0 Units @0.0000 | 0.00                 | 42.51               | 0.00               | 42.51             | 10.0 | 4.25                 |
| 03/01/2018   | ***-**-79SI - ALOOR, PRIYA<br>ACCOUNT #: 00088475996     | AMERICAN FUNDS 2030 TARGET DATE-A<br>BUY 0 Units @0.0000 | 0.00                 | 4.54                | 0.00               | 4.54              | 10.0 | 0.45                 |
| 03/01/2018   | ***-**-22IR - RUDO, BRIAN<br>ACCOUNT #: 00065173876      | AMERICAN FUNDS 2035 TARGET DATE-A<br>BUY 0 Units @0.0000 | 0.00                 | 28.49               | 0.00               | 28.49             | 10.0 | 2.85                 |
| 03/01/2018   | ***-**-95IR - WEISMAN, DAVID<br>ACCOUNT #: 00066811469   | AMERICAN FUNDS 2035 TARGET DATE-A<br>BUY 0 Units @0.0000 | 0.00                 | 40.00               | 0.00               | 40.00             | 10.0 | 4.00                 |
| 03/01/2018   | ***-**-95IR - WEISMAN, DAVID<br>ACCOUNT #: 00066811470   | AMERICAN FUNDS 2035 TARGET DATE-A<br>BUY 0 Units @0.0000 | 0.00                 | 8.39                | 0.00               | 8.39              | 10.0 | 0.84                 |



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|--|--|--|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b>BROKER TRANSACTIONS (continued)</b>                       |  |  |                      |                     |                    |                   |      |                      |
| <b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</b> |  |  |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-315P - PAULIUKONIS,<br>ACCOUNT #: 00066819657     | AMERICAN FUNDS 2035 TARGET DATE-A<br>BUY 0 Units @0.0000 | 0.00                 | 29.59               | 0.00               | 29.59             | 10.0 | 2.96                 |
| 03/01/2018   | ***-**-205P - CRAIG, HENRYKA<br>ACCOUNT #: 00066866913   | AMERICAN FUNDS 2035 TARGET DATE-A<br>BUY 0 Units @0.0000 | 0.00                 | 29.99               | 0.00               | 29.99             | 10.0 | 3.00                 |
| 03/01/2018   | ***-**-345P -<br>ACCOUNT #: 00067128072                  | AMERICAN FUNDS 2035 TARGET DATE-A<br>BUY 0 Units @0.0000 | 0.00                 | 112.54              | 0.00               | 112.54            | 10.0 | 11.25                |
| 03/01/2018   | ***-**-105P - REDDIAR,<br>ACCOUNT #: 00067507150         | AMERICAN FUNDS 2035 TARGET DATE-A<br>BUY 0 Units @0.0000 | 0.00                 | 96.52               | 0.00               | 96.52             | 10.0 | 9.65                 |
| 03/01/2018   | ***-**-238I - STELLER, KEITH<br>ACCOUNT #: 00067515962   | AMERICAN FUNDS 2035 TARGET DATE-A<br>BUY 0 Units @0.0000 | 0.00                 | 21.69               | 0.00               | 21.69             | 10.0 | 2.17                 |
| 03/01/2018   | ***-**-105P - REDDIAR,<br>ACCOUNT #: 00067657076         | AMERICAN FUNDS 2035 TARGET DATE-A<br>BUY 0 Units @0.0000 | 0.00                 | 22.29               | 0.00               | 22.29             | 10.0 | 2.23                 |
| 03/01/2018   | ***-**-295P - BERMAN, DAVID<br>ACCOUNT #: 00068546237    | AMERICAN FUNDS 2035 TARGET DATE-A<br>BUY 0 Units @0.0000 | 0.00                 | 26.91               | 0.00               | 26.91             | 10.0 | 2.69                 |
| 03/01/2018   | ***-**-582I - ROZENCWAIG, ERIC<br>ACCOUNT #: 00073025002 | AMERICAN FUNDS 2035 TARGET DATE-A<br>BUY 0 Units @0.0000 | 0.00                 | 100.99              | 0.00               | 100.99            | 10.0 | 10.10                |
| 03/01/2018   | ***-**-59IR - LUCAS, MICHAEL<br>ACCOUNT #: 00073506388   | AMERICAN FUNDS 2035 TARGET DATE-A<br>BUY 0 Units @0.0000 | 0.00                 | 21.14               | 0.00               | 21.14             | 10.0 | 2.11                 |
| 03/01/2018   | ***-**-74IR - LUCAS, LINDSEY<br>ACCOUNT #: 00073506417   | AMERICAN FUNDS 2035 TARGET DATE-A<br>BUY 0 Units @0.0000 | 0.00                 | 17.92               | 0.00               | 17.92             | 10.0 | 1.79                 |
| 03/01/2018   | ***-**-09IR - BECKER, STEPHEN<br>ACCOUNT #: 00073571138  | AMERICAN FUNDS 2035 TARGET DATE-A<br>BUY 0 Units @0.0000 | 0.00                 | 8.60                | 0.00               | 8.60              | 10.0 | 0.86                 |
| 03/01/2018   | ***-**-110I - REDDIAR,<br>ACCOUNT #: 00073699302         | AMERICAN FUNDS 2035 TARGET DATE-A<br>BUY 0 Units @0.0000 | 0.00                 | 16.06               | 0.00               | 16.06             | 10.0 | 1.61                 |
| 03/01/2018   | ***-**-74IR - LUCAS, LINDSEY<br>ACCOUNT #: 00074260521   | AMERICAN FUNDS 2035 TARGET DATE-A<br>BUY 0 Units @0.0000 | 0.00                 | 23.57               | 0.00               | 23.57             | 10.0 | 2.36                 |
| 03/01/2018   | ***-**-655P - MAASS, CARLY<br>ACCOUNT #: 00074618330     | AMERICAN FUNDS 2035 TARGET DATE-A<br>BUY 0 Units @0.0000 | 0.00                 | 19.25               | 0.00               | 19.25             | 10.0 | 1.93                 |
| 03/01/2018   | ***-**-02RI - MAASS, JEFFREY<br>ACCOUNT #: 00074618381   | AMERICAN FUNDS 2035 TARGET DATE-A<br>BUY 0 Units @0.0000 | 0.00                 | 20.33               | 0.00               | 20.33             | 10.0 | 2.03                 |
| 03/01/2018   | ***-**-67SI - FRIEDMAN, DANIEL<br>ACCOUNT #: 00074688064 | AMERICAN FUNDS 2035 TARGET DATE-A<br>BUY 0 Units @0.0000 | 0.00                 | 127.41              | 0.00               | 127.41            | 10.0 | 12.74                |



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|--|--------------------------------|-----------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b>BROKER TRANSACTIONS (continued)</b>                       |                                |                                   |                      |                     |                    |                   |      |                      |
| <b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</b> |                                |                                   |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-475P - STRONG, GREGORY  | AMERICAN FUNDS 2035 TARGET DATE-A | 0.00                 | 152.11              | 0.00               | 152.11            | 10.0 | 15.21                |
|  | ACCOUNT #: 00074857933         | BUY 0 Units @0.0000               |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-756I - DAVIDSON,        | AMERICAN FUNDS 2035 TARGET DATE-A | 0.00                 | 15.78               | 0.00               | 15.78             | 10.0 | 1.58                 |
|  | ACCOUNT #: 00075954392         | BUY 0 Units @0.0000               |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-238I - STELLER, KEITH   | AMERICAN FUNDS 2035 TARGET DATE-A | 0.00                 | 88.47               | 0.00               | 88.47             | 10.0 | 8.85                 |
|  | ACCOUNT #: 00075954564         | BUY 0 Units @0.0000               |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-455P - NAVE,            | AMERICAN FUNDS 2035 TARGET DATE-A | 0.00                 | 10.63               | 0.00               | 10.63             | 10.0 | 1.06                 |
|  | ACCOUNT #: 00081128180         | BUY 0 Units @0.0000               |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-943I - FISHER, BETH     | AMERICAN FUNDS 2035 TARGET DATE-A | 0.00                 | 89.91               | 0.00               | 89.91             | 10.0 | 8.99                 |
|  | ACCOUNT #: 00081164941         | BUY 0 Units @0.0000               |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-994I - APPLEFELD, KELLY | AMERICAN FUNDS 2035 TARGET DATE-A | 0.00                 | 12.29               | 0.00               | 12.29             | 10.0 | 1.23                 |
|  | ACCOUNT #: 00081181284         | BUY 0 Units @0.0000               |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-737I - APPLEFELD, RANDY | AMERICAN FUNDS 2035 TARGET DATE-A | 0.00                 | 11.85               | 0.00               | 11.85             | 10.0 | 1.19                 |
|  | ACCOUNT #: 00081181323         | BUY 0 Units @0.0000               |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-745P - MILETO, LEO      | AMERICAN FUNDS 2035 TARGET DATE-A | 0.00                 | 4.38                | 0.00               | 4.38              | 10.0 | 0.44                 |
|  | ACCOUNT #: 00082235651         | BUY 0 Units @0.0000               |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-508I - SHAAB, KERRY     | AMERICAN FUNDS 2035 TARGET DATE-A | 0.00                 | 67.81               | 0.00               | 67.81             | 10.0 | 6.78                 |
|  | ACCOUNT #: 00082265095         | BUY 0 Units @0.0000               |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-32SI - FERRARA, FABIO   | AMERICAN FUNDS 2035 TARGET DATE-A | 0.00                 | 8.96                | 0.00               | 8.96              | 10.0 | 0.90                 |
|  | ACCOUNT #: 00082423834         | BUY 0 Units @0.0000               |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-315P - DAILEY, GEORGE   | AMERICAN FUNDS 2035 TARGET DATE-A | 0.00                 | 58.56               | 0.00               | 58.56             | 10.0 | 5.86                 |
|  | ACCOUNT #: 00082480701         | BUY 0 Units @0.0000               |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-029I - BERMAN, DAVID    | AMERICAN FUNDS 2035 TARGET DATE-A | 0.00                 | 34.58               | 0.00               | 34.58             | 10.0 | 3.46                 |
|  | ACCOUNT #: 00082615282         | BUY 0 Units @0.0000               |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-50IR - DAILEY, JESSICA  | AMERICAN FUNDS 2035 TARGET DATE-A | 0.00                 | 3.93                | 0.00               | 3.93              | 10.0 | 0.39                 |
|  | ACCOUNT #: 00082663590         | BUY 0 Units @0.0000               |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-931I - DAILEY, GEORGE   | AMERICAN FUNDS 2035 TARGET DATE-A | 0.00                 | 2.05                | 0.00               | 2.05              | 10.0 | 0.21                 |
|  | ACCOUNT #: 00082663597         | BUY 0 Units @0.0000               |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-31IR - DAILEY, GEORGE   | AMERICAN FUNDS 2035 TARGET DATE-A | 0.00                 | 3.93                | 0.00               | 3.93              | 10.0 | 0.39                 |
|  | ACCOUNT #: 00082663608         | BUY 0 Units @0.0000               |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-966I - HALL, AMY        | AMERICAN FUNDS 2035 TARGET DATE-A | 0.00                 | 4.51                | 0.00               | 4.51              | 10.0 | 0.45                 |
|  | ACCOUNT #: 00083146178         | BUY 0 Units @0.0000               |                      |                     |                    |                   |      |                      |



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| DATE   | CLIENT                         | INVESTMENT                        | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|--|--------------------------------|-----------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b>BROKER TRANSACTIONS (continued)</b>                       |                                |                                   |                      |                     |                    |                   |      |                      |
| <b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</b> |                                |                                   |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-064I - BOCCIA, DOUGLAS  | AMERICAN FUNDS 2035 TARGET DATE-A | 0.00                 | 21.55               | 0.00               | 21.55             | 10.0 | 2.16                 |
|  | ACCOUNT #: 00083146199         | BUY 0 Units @0.0000               |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-474I - MILETO, MARC     | AMERICAN FUNDS 2035 TARGET DATE-A | 0.00                 | 53.65               | 0.00               | 53.65             | 10.0 | 5.37                 |
|  | ACCOUNT #: 00083293625         | BUY 0 Units @0.0000               |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-85IR - FRIEDMAN,        | AMERICAN FUNDS 2035 TARGET DATE-A | 0.00                 | 45.11               | 0.00               | 45.11             | 10.0 | 4.51                 |
|  | ACCOUNT #: 00083418661         | BUY 0 Units @0.0000               |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-91IR - FRIEDMAN, KEITH  | AMERICAN FUNDS 2035 TARGET DATE-A | 0.00                 | 47.35               | 0.00               | 47.35             | 10.0 | 4.74                 |
|  | ACCOUNT #: 00083418711         | BUY 0 Units @0.0000               |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-322I - RUDO, BRIAN      | AMERICAN FUNDS 2035 TARGET DATE-A | 0.00                 | 29.18               | 0.00               | 29.18             | 10.0 | 2.92                 |
|  | ACCOUNT #: 00083672289         | BUY 0 Units @0.0000               |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-241I - ANDERSON, JANINE | AMERICAN FUNDS 2035 TARGET DATE-A | 0.00                 | 109.26              | 0.00               | 109.26            | 10.0 | 10.93                |
|  | ACCOUNT #: 00083859612         | BUY 0 Units @0.0000               |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-373I - CIMINO, LISA     | AMERICAN FUNDS 2035 TARGET DATE-A | 0.00                 | 8.99                | 0.00               | 8.99              | 10.0 | 0.90                 |
|  | ACCOUNT #: 00084179471         | BUY 0 Units @0.0000               |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-95SI -                  | AMERICAN FUNDS 2035 TARGET DATE-A | 0.00                 | 87.45               | 0.00               | 87.45             | 10.0 | 8.75                 |
|  | ACCOUNT #: 00084372328         | BUY 0 Units @0.0000               |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-452I - GARDNER, DANIEL  | AMERICAN FUNDS 2035 TARGET DATE-A | 0.00                 | 49.10               | 0.00               | 49.10             | 10.0 | 4.91                 |
|  | ACCOUNT #: 00084433092         | BUY 0 Units @0.0000               |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-52IR - GARDNER, DANIEL  | AMERICAN FUNDS 2035 TARGET DATE-A | 0.00                 | 10.61               | 0.00               | 10.61             | 10.0 | 1.06                 |
|  | ACCOUNT #: 00084433138         | BUY 0 Units @0.0000               |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-904I - KATZ, MATTHEW    | AMERICAN FUNDS 2035 TARGET DATE-A | 0.00                 | 45.39               | 0.00               | 45.39             | 10.0 | 4.54                 |
|  | ACCOUNT #: 00084535886         | BUY 0 Units @0.0000               |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-09SI - BECKER, STEPHEN  | AMERICAN FUNDS 2035 TARGET DATE-A | 0.00                 | 47.66               | 0.00               | 47.66             | 10.0 | 4.77                 |
|  | ACCOUNT #: 00084563958         | BUY 0 Units @0.0000               |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-007I - BLUM, JENNIFER   | AMERICAN FUNDS 2035 TARGET DATE-A | 0.00                 | 73.75               | 0.00               | 73.75             | 10.0 | 7.38                 |
|  | ACCOUNT #: 00084822195         | BUY 0 Units @0.0000               |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-09SI - TAJUDDIN,        | AMERICAN FUNDS 2035 TARGET DATE-A | 0.00                 | 22.77               | 0.00               | 22.77             | 10.0 | 2.28                 |
|  | ACCOUNT #: 00084884270         | BUY 0 Units @0.0000               |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-07IR - ROVIRA, IRENE    | AMERICAN FUNDS 2035 TARGET DATE-A | 0.00                 | 22.41               | 0.00               | 22.41             | 10.0 | 2.24                 |
|  | ACCOUNT #: 00085130072         | BUY 0 Units @0.0000               |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-008I - MACHOVEC,        | AMERICAN FUNDS 2035 TARGET DATE-A | 0.00                 | 74.14               | 0.00               | 74.14             | 10.0 | 7.41                 |
|  | ACCOUNT #: 00085335986         | BUY 0 Units @0.0000               |                      |                     |                    |                   |      |                      |



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|--|--|--|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b>BROKER TRANSACTIONS (continued)</b>                       |  |  |                      |                     |                    |                   |      |                      |
| <b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</b> |  |  |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-78IR - TRAUT, ASHLEY<br>ACCOUNT #: 00085432380    | AMERICAN FUNDS 2035 TARGET DATE-A<br>BUY 0 Units @0.0000 | 0.00                 | 14.60               | 0.00               | 14.60             | 10.0 | 1.46                 |
| 03/01/2018   | ***-**-57IR - CRAIG, EDWARD<br>ACCOUNT #: 00085434610    | AMERICAN FUNDS 2035 TARGET DATE-A<br>BUY 0 Units @0.0000 | 0.00                 | 7.51                | 0.00               | 7.51              | 10.0 | 0.75                 |
| 03/01/2018   | ***-**-457I - CRAIG, EDWARD<br>ACCOUNT #: 00085434619    | AMERICAN FUNDS 2035 TARGET DATE-A<br>BUY 0 Units @0.0000 | 0.00                 | 14.96               | 0.00               | 14.96             | 10.0 | 1.50                 |
| 03/01/2018   | ***-**-36IE - STARTZEL,<br>ACCOUNT #: 00085648149        | AMERICAN FUNDS 2035 TARGET DATE-A<br>BUY 0 Units @0.0000 | 0.00                 | 26.63               | 0.00               | 26.63             | 10.0 | 2.66                 |
| 03/01/2018   | ***-**-614I - STROMER, THOMAS<br>ACCOUNT #: 00085768420  | AMERICAN FUNDS 2035 TARGET DATE-A<br>BUY 0 Units @0.0000 | 0.00                 | 11.96               | 0.00               | 11.96             | 10.0 | 1.20                 |
| 03/01/2018   | ***-**-319I - FUCHS, ROBIN<br>ACCOUNT #: 00086081755     | AMERICAN FUNDS 2035 TARGET DATE-A<br>BUY 0 Units @0.0000 | 0.00                 | 164.26              | 0.00               | 164.26            | 10.0 | 16.43                |
| 03/01/2018   | ***-**-873I - MOSTEIKO, WENDI<br>ACCOUNT #: 00086486663  | AMERICAN FUNDS 2035 TARGET DATE-A<br>BUY 0 Units @0.0000 | 0.00                 | 91.08               | 0.00               | 91.08             | 10.0 | 9.11                 |
| 03/01/2018   | ***-**-681I - HOLLIS, PATRYCJA<br>ACCOUNT #: 00086486750 | AMERICAN FUNDS 2035 TARGET DATE-A<br>BUY 0 Units @0.0000 | 0.00                 | 22.82               | 0.00               | 22.82             | 10.0 | 2.28                 |
| 03/01/2018   | ***-**-615P - DOWLA, JAMES<br>ACCOUNT #: 00086527553     | AMERICAN FUNDS 2035 TARGET DATE-A<br>BUY 0 Units @0.0000 | 0.00                 | 28.21               | 0.00               | 28.21             | 10.0 | 2.82                 |
| 03/01/2018   | ***-**-873I - MOSTEIKO, WENDI<br>ACCOUNT #: 00086581877  | AMERICAN FUNDS 2035 TARGET DATE-A<br>BUY 0 Units @0.0000 | 0.00                 | 38.15               | 0.00               | 38.15             | 10.0 | 3.82                 |
| 03/01/2018   | ***-**-01SI - COOKE,<br>ACCOUNT #: 00086958632           | AMERICAN FUNDS 2035 TARGET DATE-A<br>BUY 0 Units @0.0000 | 0.00                 | 77.76               | 0.00               | 77.76             | 10.0 | 7.78                 |
| 03/01/2018   | ***-**-807I - ROVIRA, IRENE<br>ACCOUNT #: 00086999662    | AMERICAN FUNDS 2035 TARGET DATE-A<br>BUY 0 Units @0.0000 | 0.00                 | 8.90                | 0.00               | 8.90              | 10.0 | 0.89                 |
| 03/01/2018   | ***-**-915P - FRIEDMAN, KEITH<br>ACCOUNT #: 00087230952  | AMERICAN FUNDS 2035 TARGET DATE-A<br>BUY 0 Units @0.0000 | 0.00                 | 195.72              | 0.00               | 195.72            | 10.0 | 19.57                |
| 03/01/2018   | ***-**-315P - PAULIUKONIS,<br>ACCOUNT #: 00087343172     | AMERICAN FUNDS 2035 TARGET DATE-A<br>BUY 0 Units @0.0000 | 0.00                 | 120.06              | 0.00               | 120.06            | 10.0 | 12.01                |
| 03/01/2018   | ***-**-645P - CRAIG, MARK<br>ACCOUNT #: 00066866912      | AMERICAN FUNDS 2040 TARGET DATE-A<br>BUY 0 Units @0.0000 | 0.00                 | 30.32               | 0.00               | 30.32             | 10.0 | 3.03                 |
| 03/01/2018   | ***-**-653I - INSCORE, DAVID<br>ACCOUNT #: 00067420784   | AMERICAN FUNDS 2040 TARGET DATE-A<br>BUY 0 Units @0.0000 | 0.00                 | 39.25               | 0.00               | 39.25             | 10.0 | 3.93                 |





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|--|--------------------------------|-----------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b>BROKER TRANSACTIONS (continued)</b>                       |                                |                                   |                      |                     |                    |                   |      |                      |
| <b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</b> |                                |                                   |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-171I - INSCORE, ANJELI  | AMERICAN FUNDS 2040 TARGET DATE-A | 0.00                 | 39.23               | 0.00               | 39.23             | 10.0 | 3.92                 |
|  | ACCOUNT #: 00067420785         | BUY 0 Units @0.0000               |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-64IR - STELLER,         | AMERICAN FUNDS 2040 TARGET DATE-A | 0.00                 | 28.96               | 0.00               | 28.96             | 10.0 | 2.90                 |
|  | ACCOUNT #: 00068666536         | BUY 0 Units @0.0000               |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-87IR - BREZNICK, BURTON | AMERICAN FUNDS 2040 TARGET DATE-A | 0.00                 | 25.07               | 0.00               | 25.07             | 10.0 | 2.51                 |
|  | ACCOUNT #: 00068839060         | BUY 0 Units @0.0000               |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-765P - PETERSON, AMY    | AMERICAN FUNDS 2040 TARGET DATE-A | 0.00                 | 18.74               | 0.00               | 18.74             | 10.0 | 1.87                 |
|  | ACCOUNT #: 00073810635         | BUY 0 Units @0.0000               |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-87IR - BREZNICK, BURTON | AMERICAN FUNDS 2040 TARGET DATE-A | 0.00                 | 96.47               | 0.00               | 96.47             | 10.0 | 9.65                 |
|  | ACCOUNT #: 00074385729         | BUY 0 Units @0.0000               |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-415P - SEVERE, EMILY    | AMERICAN FUNDS 2040 TARGET DATE-A | 0.00                 | 124.24              | 0.00               | 124.24            | 10.0 | 12.42                |
|  | ACCOUNT #: 00075164944         | BUY 0 Units @0.0000               |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-415P - SEVERE, EMILY    | AMERICAN FUNDS 2040 TARGET DATE-A | 0.00                 | 39.50               | 0.00               | 39.50             | 10.0 | 3.95                 |
|  | ACCOUNT #: 00075208168         | BUY 0 Units @0.0000               |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-015P - SEVERE, DAVID    | AMERICAN FUNDS 2040 TARGET DATE-A | 0.00                 | 45.17               | 0.00               | 45.17             | 10.0 | 4.52                 |
|  | ACCOUNT #: 00075208190         | BUY 0 Units @0.0000               |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-155P - DUDAS, DOMINIC   | AMERICAN FUNDS 2040 TARGET DATE-A | 0.00                 | 38.92               | 0.00               | 38.92             | 10.0 | 3.89                 |
|  | ACCOUNT #: 00075208243         | BUY 0 Units @0.0000               |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-401I - SEVERE, DAVID    | AMERICAN FUNDS 2040 TARGET DATE-A | 0.00                 | 25.97               | 0.00               | 25.97             | 10.0 | 2.60                 |
|  | ACCOUNT #: 00075265806         | BUY 0 Units @0.0000               |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-38IR - MURPHY, CHRISTEN | AMERICAN FUNDS 2040 TARGET DATE-A | 0.00                 | 24.71               | 0.00               | 24.71             | 10.0 | 2.47                 |
|  | ACCOUNT #: 00075938607         | BUY 0 Units @0.0000               |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-738I - MURPHY, CHRISTEN | AMERICAN FUNDS 2040 TARGET DATE-A | 0.00                 | 15.46               | 0.00               | 15.46             | 10.0 | 1.55                 |
|  | ACCOUNT #: 00075938705         | BUY 0 Units @0.0000               |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-204I - MURPHY, PAUL     | AMERICAN FUNDS 2040 TARGET DATE-A | 0.00                 | 15.46               | 0.00               | 15.46             | 10.0 | 1.55                 |
|  | ACCOUNT #: 00075938764         | BUY 0 Units @0.0000               |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-122I - SHILOACH,        | AMERICAN FUNDS 2040 TARGET DATE-A | 0.00                 | 30.35               | 0.00               | 30.35             | 10.0 | 3.04                 |
|  | ACCOUNT #: 00081137646         | BUY 0 Units @0.0000               |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-76SI - GREEN, LISA      | AMERICAN FUNDS 2040 TARGET DATE-A | 0.00                 | 62.87               | 0.00               | 62.87             | 10.0 | 6.29                 |
|  | ACCOUNT #: 00081181723         | BUY 0 Units @0.0000               |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-721I - SHILOACH, JOSEPH | AMERICAN FUNDS 2040 TARGET DATE-A | 0.00                 | 24.92               | 0.00               | 24.92             | 10.0 | 2.49                 |
|  | ACCOUNT #: 00081205994         | BUY 0 Units @0.0000               |                      |                     |                    |                   |      |                      |



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|--|--------------------------------|-----------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b>BROKER TRANSACTIONS (continued)</b>                       |                                |                                   |                      |                     |                    |                   |      |                      |
| <b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</b> |                                |                                   |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-721I - SHILOACH, JOSEPH | AMERICAN FUNDS 2040 TARGET DATE-A | 0.00                 | 115.60              | 0.00               | 115.60            | 10.0 | 11.56                |
|  | ACCOUNT #: 00081655924         | BUY 0 Units @0.0000               |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-265P - MILETO, LINDA    | AMERICAN FUNDS 2040 TARGET DATE-A | 0.00                 | 7.66                | 0.00               | 7.66              | 10.0 | 0.77                 |
|  | ACCOUNT #: 00082235733         | BUY 0 Units @0.0000               |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-265P - MILETO, LINDA    | AMERICAN FUNDS 2040 TARGET DATE-A | 0.00                 | 6.44                | 0.00               | 6.44              | 10.0 | 0.64                 |
|  | ACCOUNT #: 00082235774         | BUY 0 Units @0.0000               |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-525P - FERRARA,         | AMERICAN FUNDS 2040 TARGET DATE-A | 0.00                 | 5.13                | 0.00               | 5.13              | 10.0 | 0.51                 |
|  | ACCOUNT #: 00082423808         | BUY 0 Units @0.0000               |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-246I - GABELER,         | AMERICAN FUNDS 2040 TARGET DATE-A | 0.00                 | 0.23                | 0.00               | 0.23              | 10.0 | 0.02                 |
|  | ACCOUNT #: 00083740481         | BUY 0 Units @0.0000               |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-11IR - CANTALE,         | AMERICAN FUNDS 2040 TARGET DATE-A | 0.00                 | 4.58                | 0.00               | 4.58              | 10.0 | 0.46                 |
|  | ACCOUNT #: 00083881335         | BUY 0 Units @0.0000               |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-673I - STEVENS, SCOTT   | AMERICAN FUNDS 2040 TARGET DATE-A | 0.00                 | 29.84               | 0.00               | 29.84             | 10.0 | 2.98                 |
|  | ACCOUNT #: 00083942640         | BUY 0 Units @0.0000               |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-964I - STEVENS, JOANNE  | AMERICAN FUNDS 2040 TARGET DATE-A | 0.00                 | 33.83               | 0.00               | 33.83             | 10.0 | 3.38                 |
|  | ACCOUNT #: 00083942663         | BUY 0 Units @0.0000               |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-770I - HOULIHAN,        | AMERICAN FUNDS 2040 TARGET DATE-A | 0.00                 | 0.60                | 0.00               | 0.60              | 10.0 | 0.06                 |
|  | ACCOUNT #: 00084102059         | BUY 0 Units @0.0000               |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-848I - GARDNER, ANGELA  | AMERICAN FUNDS 2040 TARGET DATE-A | 0.00                 | 27.71               | 0.00               | 27.71             | 10.0 | 2.77                 |
|  | ACCOUNT #: 00084433052         | BUY 0 Units @0.0000               |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-331I - EBERWEIN,        | AMERICAN FUNDS 2040 TARGET DATE-A | 0.00                 | 5.07                | 0.00               | 5.07              | 10.0 | 0.51                 |
|  | ACCOUNT #: 00084747564         | BUY 0 Units @0.0000               |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-634I - HOGUE, KELLY     | AMERICAN FUNDS 2040 TARGET DATE-A | 0.00                 | 125.43              | 0.00               | 125.43            | 10.0 | 12.54                |
|  | ACCOUNT #: 00085231905         | BUY 0 Units @0.0000               |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-465I - MAASS, CARLY     | AMERICAN FUNDS 2040 TARGET DATE-A | 0.00                 | 7.08                | 0.00               | 7.08              | 10.0 | 0.71                 |
|  | ACCOUNT #: 00085354648         | BUY 0 Units @0.0000               |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-876I - CRAIG, ELIZABETH | AMERICAN FUNDS 2040 TARGET DATE-A | 0.00                 | 29.17               | 0.00               | 29.17             | 10.0 | 2.92                 |
|  | ACCOUNT #: 00085434624         | BUY 0 Units @0.0000               |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-76IR - CRAIG, ELIZABETH | AMERICAN FUNDS 2040 TARGET DATE-A | 0.00                 | 9.79                | 0.00               | 9.79              | 10.0 | 0.98                 |
|  | ACCOUNT #: 00085434632         | BUY 0 Units @0.0000               |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-935I - STROMER, CAROLYN | AMERICAN FUNDS 2040 TARGET DATE-A | 0.00                 | 4.27                | 0.00               | 4.27              | 10.0 | 0.43                 |
|  | ACCOUNT #: 00085768400         | BUY 0 Units @0.0000               |                      |                     |                    |                   |      |                      |



# COMMISSION STATEMENT

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| DATE   | CLIENT   | INVESTMENT   | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|--|--|--|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b>BROKER TRANSACTIONS (continued)</b>                       |  |  |                      |                     |                    |                   |      |                      |
| <b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</b> |  |  |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-348I - ROZENCWAIG,<br>ACCOUNT #: 00086031045      | AMERICAN FUNDS 2040 TARGET DATE-A<br>BUY 0 Units @0.0000 | 0.00                 | 28.83               | 0.00               | 28.83             | 10.0 | 2.88                 |
| 03/01/2018   | ***-**-61SI - EUGENE, PATRICIA<br>ACCOUNT #: 00086411841 | AMERICAN FUNDS 2040 TARGET DATE-A<br>BUY 0 Units @0.0000 | 0.00                 | 169.15              | 0.00               | 169.15            | 10.0 | 16.92                |
| 03/01/2018   | ***-**-306I - LEWIS, ERIC<br>ACCOUNT #: 00086486674      | AMERICAN FUNDS 2040 TARGET DATE-A<br>BUY 0 Units @0.0000 | 0.00                 | 9.87                | 0.00               | 9.87              | 10.0 | 0.99                 |
| 03/01/2018   | ***-**-935I - LUBRANO, ROSARIO<br>ACCOUNT #: 00087158080 | AMERICAN FUNDS 2040 TARGET DATE-A<br>BUY 0 Units @0.0000 | 0.00                 | 44.12               | 0.00               | 44.12             | 10.0 | 4.41                 |
| 03/01/2018   | ***-**-914I - ZUKERBERG,<br>ACCOUNT #: 00087158099       | AMERICAN FUNDS 2040 TARGET DATE-A<br>BUY 0 Units @0.0000 | 0.00                 | 15.44               | 0.00               | 15.44             | 10.0 | 1.54                 |
| 03/01/2018   | ***-**-636I - PETERSEN, BRENDA<br>ACCOUNT #: 00087215967 | AMERICAN FUNDS 2040 TARGET DATE-A<br>BUY 0 Units @0.0000 | 0.00                 | 43.85               | 0.00               | 43.85             | 10.0 | 4.39                 |
| 03/01/2018   | ***-**-5184 - BLUM, ANDREW<br>ACCOUNT #: 00087681904     | AMERICAN FUNDS 2040 TARGET DATE-A<br>BUY 0 Units @0.0000 | 0.00                 | 122.22              | 0.00               | 122.22            | 10.0 | 12.22                |
| 03/01/2018   | ***-**-292I - MILAD,<br>ACCOUNT #: 00088234347           | AMERICAN FUNDS 2040 TARGET DATE-A<br>BUY 0 Units @0.0000 | 0.00                 | 13.17               | 0.00               | 13.17             | 10.0 | 1.32                 |
| 03/01/2018   | ***-**-115P - VIJAYAKUMAR,<br>ACCOUNT #: 00067679775     | AMERICAN FUNDS 2045 TARGET DATE-A<br>BUY 0 Units @0.0000 | 0.00                 | 23.79               | 0.00               | 23.79             | 10.0 | 2.38                 |
| 03/01/2018   | ***-**-97IR - SMITH, RACHEL<br>ACCOUNT #: 00068166023    | AMERICAN FUNDS 2045 TARGET DATE-A<br>BUY 0 Units @0.0000 | 0.00                 | 1.76                | 0.00               | 1.76              | 10.0 | 0.18                 |
| 03/01/2018   | ***-**-115P - VIJAYAKUMAR,<br>ACCOUNT #: 00068736530     | AMERICAN FUNDS 2045 TARGET DATE-A<br>BUY 0 Units @0.0000 | 0.00                 | 60.25               | 0.00               | 60.25             | 10.0 | 6.03                 |
| 03/01/2018   | ***-**-296I - ROZENCWAIG,<br>ACCOUNT #: 00073024936      | AMERICAN FUNDS 2045 TARGET DATE-A<br>BUY 0 Units @0.0000 | 0.00                 | 49.74               | 0.00               | 49.74             | 10.0 | 4.97                 |
| 03/01/2018   | ***-**-597I - SMITH, RACHEL<br>ACCOUNT #: 00083293682    | AMERICAN FUNDS 2045 TARGET DATE-A<br>BUY 0 Units @0.0000 | 0.00                 | 11.12               | 0.00               | 11.12             | 10.0 | 1.11                 |
| 03/01/2018   | ***-**-26IN - STIGLITZ, AMY<br>ACCOUNT #: 00084285773    | AMERICAN FUNDS 2045 TARGET DATE-A<br>BUY 0 Units @0.0000 | 0.00                 | 21.61               | 0.00               | 21.61             | 10.0 | 2.16                 |
| 03/01/2018   | ***-**-13IR - LABUE, CHRISTINE<br>ACCOUNT #: 00085542538 | AMERICAN FUNDS 2045 TARGET DATE-A<br>BUY 0 Units @0.0000 | 0.00                 | 3.82                | 0.00               | 3.82              | 10.0 | 0.38                 |
| 03/01/2018   | ***-**-588I - LYDECKER, LAUREL<br>ACCOUNT #: 00085858423 | AMERICAN FUNDS 2045 TARGET DATE-A<br>BUY 0 Units @0.0000 | 0.00                 | 19.08               | 0.00               | 19.08             | 10.0 | 1.91                 |



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|--|--|--|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b>BROKER TRANSACTIONS (continued)</b>                       |  |  |                      |                     |                    |                   |      |                      |
| <b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</b> |  |  |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-186I - HALKA, DANIEL<br>ACCOUNT #: 00086469786    | AMERICAN FUNDS 2045 TARGET DATE-A<br>BUY 0 Units @0.0000 | 0.00                 | 115.42              | 0.00               | 115.42            | 10.0 | 11.54                |
| 03/01/2018   | ***-**-504I - MARSHALL,<br>ACCOUNT #: 00086486770        | AMERICAN FUNDS 2045 TARGET DATE-A<br>BUY 0 Units @0.0000 | 0.00                 | 61.98               | 0.00               | 61.98             | 10.0 | 6.20                 |
| 03/01/2018   | ***-**-714I - BROZIC, JENNIFER<br>ACCOUNT #: 00086511758 | AMERICAN FUNDS 2045 TARGET DATE-A<br>BUY 0 Units @0.0000 | 0.00                 | 120.31              | 0.00               | 120.31            | 10.0 | 12.03                |
| 03/01/2018   | ***-**-504I - MARSHALL,<br>ACCOUNT #: 00086714414        | AMERICAN FUNDS 2045 TARGET DATE-A<br>BUY 0 Units @0.0000 | 0.00                 | 10.91               | 0.00               | 10.91             | 10.0 | 1.09                 |
| 03/01/2018   | ***-**-504I - MARSHALL,<br>ACCOUNT #: 00086866329        | AMERICAN FUNDS 2045 TARGET DATE-A<br>BUY 0 Units @0.0000 | 0.00                 | 11.58               | 0.00               | 11.58             | 10.0 | 1.16                 |
| 03/01/2018   | ***-**-887I - IM, RICHARD<br>ACCOUNT #: 00086890294      | AMERICAN FUNDS 2045 TARGET DATE-A<br>BUY 0 Units @0.0000 | 0.00                 | 146.05              | 0.00               | 146.05            | 10.0 | 14.61                |
| 03/01/2018   | ***-**-6438 - IM, KATE<br>ACCOUNT #: 00086890363         | AMERICAN FUNDS 2045 TARGET DATE-A<br>BUY 0 Units @0.0000 | 0.00                 | 28.32               | 0.00               | 28.32             | 10.0 | 2.83                 |
| 03/01/2018   | ***-**-714I - BROZIC, JENNIFER<br>ACCOUNT #: 00087250839 | AMERICAN FUNDS 2045 TARGET DATE-A<br>BUY 0 Units @0.0000 | 0.00                 | 13.81               | 0.00               | 13.81             | 10.0 | 1.38                 |
| 03/01/2018   | ***-**-46SI - ROWELL, JULIE<br>ACCOUNT #: 00087645452    | AMERICAN FUNDS 2045 TARGET DATE-A<br>BUY 0 Units @0.0000 | 0.00                 | 56.48               | 0.00               | 56.48             | 10.0 | 5.65                 |
| 03/01/2018   | ***-**-616I - COMOGLIO,<br>ACCOUNT #: 00088274749        | AMERICAN FUNDS 2045 TARGET DATE-A<br>BUY 0 Units @0.0000 | 0.00                 | 31.91               | 0.00               | 31.91             | 10.0 | 3.19                 |
| 03/01/2018   | ***-**-271I - DIROSA, ANGELO<br>ACCOUNT #: 00088972440   | AMERICAN FUNDS 2045 TARGET DATE-A<br>BUY 0 Units @0.0000 | 0.00                 | 10.54               | 0.00               | 10.54             | 10.0 | 1.05                 |
| 03/01/2018   | ***-**-2822 - FRANGOULIS,<br>ACCOUNT #: 04000297016      | AMERICAN FUNDS 2045 TARGET DATE-A<br>BUY 0 Units @0.0000 | 0.00                 | 0.73                | 0.00               | 0.73              | 10.0 | 0.07                 |
| 03/01/2018   | ***-**-9707 - SETLEN, JAMIE<br>ACCOUNT #: 04000428014    | AMERICAN FUNDS 2045 TARGET DATE-A<br>BUY 0 Units @0.0000 | 0.00                 | 0.30                | 0.00               | 0.30              | 10.0 | 0.03                 |
| 03/01/2018   | ***-**-306I - STONE, CASIE<br>ACCOUNT #: 00086486740     | AMERICAN FUNDS 2050 TARGET DATE-A<br>BUY 0 Units @0.0000 | 0.00                 | 0.17                | 0.00               | 0.17              | 10.0 | 0.02                 |
| 03/01/2018   | ***-**-08SI - MYERS, SCOTT<br>ACCOUNT #: 00087537739     | AMERICAN FUNDS 2050 TARGET DATE-A<br>BUY 0 Units @0.0000 | 0.00                 | 3.29                | 0.00               | 3.29              | 10.0 | 0.33                 |
| 03/01/2018   | ***-**-11SI - KEOGH, JOSHUA<br>ACCOUNT #: 00087537776    | AMERICAN FUNDS 2050 TARGET DATE-A<br>BUY 0 Units @0.0000 | 0.00                 | 7.15                | 0.00               | 7.15              | 10.0 | 0.72                 |



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|--|--------------------------------|-------------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b>BROKER TRANSACTIONS (continued)</b>                       |                                |                                     |                      |                     |                    |                   |      |                      |
| <b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</b> |                                |                                     |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-94SI - BOGGS, BRENT     | AMERICAN FUNDS 2050 TARGET DATE-A   | 0.00                 | 7.03                | 0.00               | 7.03              | 10.0 | 0.70                 |
|  | ACCOUNT #: 00087537777         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-19SI - MITCHELL,        | AMERICAN FUNDS 2050 TARGET DATE-A   | 0.00                 | 6.03                | 0.00               | 6.03              | 10.0 | 0.60                 |
|  | ACCOUNT #: 00087537788         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-6540 - PAK, GRACE       | AMERICAN FUNDS 2050 TARGET DATE-A   | 0.00                 | 3.25                | 0.00               | 3.25              | 10.0 | 0.33                 |
|  | ACCOUNT #: 00089936611         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-9004 - KRASNER, DAVID   | AMERICAN FUNDS 2055 TARGET DATE-A   | 0.00                 | 0.18                | 0.00               | 0.18              | 10.0 | 0.02                 |
|  | ACCOUNT #: 04000492680         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-235P - SCHEIDT,         | AMERICAN FUNDS 649280807            | 0.00                 | 0.71                | 0.00               | 0.71              | 10.0 | 0.07                 |
|  | ACCOUNT #: 00083183853         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-235P - SCHEIDT,         | AMERICAN FUNDS 649280807            | 0.00                 | 0.71                | 0.00               | 0.71              | 10.0 | 0.07                 |
|  | ACCOUNT #: 00083183938         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-235P - SCHEIDT,         | AMERICAN FUNDS 649280807            | 0.00                 | 0.71                | 0.00               | 0.71              | 10.0 | 0.07                 |
|  | ACCOUNT #: 00083184088         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-225P - GRIMMETT, RODNEY | AMERICAN FUNDS 649280807            | 0.00                 | 0.37                | 0.00               | 0.37              | 10.0 | 0.04                 |
|  | ACCOUNT #: 00083527964         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-235P - SCHEIDT,         | AMERICAN FUNDS 649280807            | 0.00                 | 0.82                | 0.00               | 0.82              | 10.0 | 0.08                 |
|  | ACCOUNT #: 00084738567         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-235P - SCHEIDT,         | AMERICAN FUNDS 649280807            | 0.00                 | 0.82                | 0.00               | 0.82              | 10.0 | 0.08                 |
|  | ACCOUNT #: 00084738585         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-235P - SCHEIDT,         | AMERICAN FUNDS 649280807            | 0.00                 | 0.80                | 0.00               | 0.80              | 10.0 | 0.08                 |
|  | ACCOUNT #: 00086445473         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-074J - MARSIGLIA, HARRY | AMERICAN FUNDS BLNCD PORTFOLIO CL A | 0.00                 | 18.05               | 0.00               | 18.05             | 10.0 | 1.81                 |
|  | ACCOUNT #: 00087619431         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-659I - ADAMS, JOSHUA    | AMERICAN FUNDS GRWTH & INCOME PORT  | 0.00                 | 4.27                | 0.00               | 4.27              | 10.0 | 0.43                 |
|  | ACCOUNT #: 00089094219         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-887I - IM, RICHARD      | AMERICAN FUNDS GRWTH & INCOME PORT  | 0.00                 | 59.94               | 0.00               | 59.94             | 10.0 | 5.99                 |
|  | ACCOUNT #: 00086890530         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-415P - TARANTINO, SCOTT | AMERICAN FUNDS GRWTH & INCOME PORT  | 0.00                 | 97.30               | 0.00               | 97.30             | 10.0 | 9.73                 |
|  | ACCOUNT #: 00087442563         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-13IR - CULBERT,         | AMERICAN FUNDS GRWTH & INCOME PORT  | 0.00                 | 13.12               | 0.00               | 13.12             | 10.0 | 1.31                 |
|  | ACCOUNT #: 00087534885         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |



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|--|--------------------------------|------------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b>BROKER TRANSACTIONS (continued)</b>                       |                                |                                    |                      |                     |                    |                   |      |                      |
| <b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</b> |                                |                                    |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-86CL - ASHER, CLIENTS   | AMERICAN FUNDS GRWTH & INCOME PORT | 0.00                 | 19.17               | 0.00               | 19.17             | 10.0 | 1.92                 |
|  | ACCOUNT #: 00087552886         | BUY 0 Units @0.0000                |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-86CL - ASHER, CLIENTS   | AMERICAN FUNDS GRWTH & INCOME PORT | 0.00                 | 17.70               | 0.00               | 17.70             | 10.0 | 1.77                 |
|  | ACCOUNT #: 00087552955         | BUY 0 Units @0.0000                |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-074J - MARSIGLIA, HARRY | AMERICAN FUNDS GRWTH & INCOME PORT | 0.00                 | 18.77               | 0.00               | 18.77             | 10.0 | 1.88                 |
|  | ACCOUNT #: 00087619431         | BUY 0 Units @0.0000                |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-415P - TARANTINO, SCOTT | AMERICAN FUNDS INCOME PORT CL A    | 0.00                 | 105.51              | 0.00               | 105.51            | 10.0 | 10.55                |
|  | ACCOUNT #: 00087442563         | BUY 0 Units @0.0000                |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-415P - TARANTINO, SCOTT | AMERICAN GLOBAL BALANCED CLASS A   | 0.00                 | 7.26                | 0.00               | 7.26              | 10.0 | 0.73                 |
|  | ACCOUNT #: 00087447990         | BUY 0 Units @0.0000                |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-755P - PITTAWAY,        | AMERICAN HIGH-INCOME TRUST-A       | 0.00                 | 0.86                | 0.00               | 0.86              | 10.0 | 0.09                 |
|  | ACCOUNT #: 00068654520         | BUY 0 Units @0.0000                |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-287I - BELLINO, VALERIE | AMERICAN HIGH-INCOME TRUST-A       | 0.00                 | 1.00                | 0.00               | 1.00              | 10.0 | 0.10                 |
|  | ACCOUNT #: 00081674809         | BUY 0 Units @0.0000                |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-979I - HEDLUND, CYNTHIA | AMERICAN HIGH-INCOME TRUST-A       | 0.00                 | 0.17                | 0.00               | 0.17              | 10.0 | 0.02                 |
|  | ACCOUNT #: 00083722809         | BUY 0 Units @0.0000                |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-195I - APPEL, NADIA     | AMERICAN HIGH-INCOME TRUST-A       | 0.00                 | 0.15                | 0.00               | 0.15              | 10.0 | 0.02                 |
|  | ACCOUNT #: 00083770169         | BUY 0 Units @0.0000                |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-29IN - LITMAN, WENDY    | AMERICAN HIGH-INCOME TRUST-A       | 0.00                 | 4.96                | 0.00               | 4.96              | 10.0 | 0.50                 |
|  | ACCOUNT #: 00068524068         | BUY 0 Units @0.0000                |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-015P - VICKERS, BARBARA | AMERICAN HIGH-INCOME TRUST-A       | 0.00                 | 0.08                | 0.00               | 0.08              | 10.0 | 0.01                 |
|  | ACCOUNT #: 00068567314         | BUY 0 Units @0.0000                |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-415P - TARANTINO, SCOTT | AMERICAN HIGH-INCOME TRUST-A       | 0.00                 | 7.24                | 0.00               | 7.24              | 10.0 | 0.72                 |
|  | ACCOUNT #: 00087447990         | BUY 0 Units @0.0000                |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-885P - PITTAWAY, JAMES  | AMERICAN HIGH-INCOME TRUST-C       | 0.00                 | 3.44                | 0.00               | 3.44              | 10.0 | 0.34                 |
|  | ACCOUNT #: 00068654518         | BUY 0 Units @0.0000                |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-445P - PRAGER, TIFFANY  | AMERICAN MUTUAL FUND-529A          | 0.00                 | 24.91               | 0.00               | 24.91             | 10.0 | 2.49                 |
|  | ACCOUNT #: 00073887960         | BUY 0 Units @0.0000                |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-015P - SEVERE, DAVID    | AMERICAN MUTUAL FUND-529A          | 0.00                 | 0.13                | 0.00               | 0.13              | 10.0 | 0.01                 |
|  | ACCOUNT #: 00075266090         | BUY 0 Units @0.0000                |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-305P - ALOOR, RAVI      | AMERICAN MUTUAL FUND-529A          | 0.00                 | 15.43               | 0.00               | 15.43             | 10.0 | 1.54                 |
|  | ACCOUNT #: 00081141529         | BUY 0 Units @0.0000                |                      |                     |                    |                   |      |                      |



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|--|--------------------------------|---------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b>BROKER TRANSACTIONS (continued)</b>                       |                                |                           |                      |                     |                    |                   |      |                      |
| <b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</b> |                                |                           |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-615P - DOWLA, JAMES     | AMERICAN MUTUAL FUND-529A | 0.00                 | 4.41                | 0.00               | 4.41              | 10.0 | 0.44                 |
|  | ACCOUNT #: 00081235869         | BUY 0 Units @0.0000       |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-615P - DOWLA, JAMES     | AMERICAN MUTUAL FUND-529A | 0.00                 | 4.41                | 0.00               | 4.41              | 10.0 | 0.44                 |
|  | ACCOUNT #: 00081235942         | BUY 0 Units @0.0000       |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-745P - MILETO, LEO      | AMERICAN MUTUAL FUND-529A | 0.00                 | 7.14                | 0.00               | 7.14              | 10.0 | 0.71                 |
|  | ACCOUNT #: 00081348773         | BUY 0 Units @0.0000       |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-045P - RAMESHKUMAR,     | AMERICAN MUTUAL FUND-529A | 0.00                 | 7.22                | 0.00               | 7.22              | 10.0 | 0.72                 |
|  | ACCOUNT #: 00081777057         | BUY 0 Units @0.0000       |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-265P - MILETO, LINDA    | AMERICAN MUTUAL FUND-529A | 0.00                 | 5.08                | 0.00               | 5.08              | 10.0 | 0.51                 |
|  | ACCOUNT #: 00082236188         | BUY 0 Units @0.0000       |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-885P - PERTNOY, LOGAN   | AMERICAN MUTUAL FUND-529A | 0.00                 | 1.47                | 0.00               | 1.47              | 10.0 | 0.15                 |
|  | ACCOUNT #: 00082384738         | BUY 0 Units @0.0000       |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-015P - SEVERE, DAVID    | AMERICAN MUTUAL FUND-529A | 0.00                 | 24.15               | 0.00               | 24.15             | 10.0 | 2.42                 |
|  | ACCOUNT #: 00082698692         | BUY 0 Units @0.0000       |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-955P - STARTZEL, MARCUS | AMERICAN MUTUAL FUND-529A | 0.00                 | 16.06               | 0.00               | 16.06             | 10.0 | 1.61                 |
|  | ACCOUNT #: 00082708555         | BUY 0 Units @0.0000       |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-025P - MAASS, JEFF      | AMERICAN MUTUAL FUND-529A | 0.00                 | 0.26                | 0.00               | 0.26              | 10.0 | 0.03                 |
|  | ACCOUNT #: 00083404336         | BUY 0 Units @0.0000       |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-895P - TERODEMOS,       | AMERICAN MUTUAL FUND-529A | 0.00                 | 0.29                | 0.00               | 0.29              | 10.0 | 0.03                 |
|  | ACCOUNT #: 00083755824         | BUY 0 Units @0.0000       |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-785P - TRAUT, ASHLEY    | AMERICAN MUTUAL FUND-529A | 0.00                 | 10.52               | 0.00               | 10.52             | 10.0 | 1.05                 |
|  | ACCOUNT #: 00084318664         | BUY 0 Units @0.0000       |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-245P - GALFORD, DAVID   | AMERICAN MUTUAL FUND-529A | 0.00                 | 5.09                | 0.00               | 5.09              | 10.0 | 0.51                 |
|  | ACCOUNT #: 00084737271         | BUY 0 Units @0.0000       |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-215P - FLOREY, JILL     | AMERICAN MUTUAL FUND-529A | 0.00                 | 1.38                | 0.00               | 1.38              | 10.0 | 0.14                 |
|  | ACCOUNT #: 00085208452         | BUY 0 Units @0.0000       |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-865P - FRIEDMAN, ALAN   | AMERICAN MUTUAL FUND-529A | 0.00                 | 3.58                | 0.00               | 3.58              | 10.0 | 0.36                 |
|  | ACCOUNT #: 00085595847         | BUY 0 Units @0.0000       |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-015P - SEVERE, DAVID    | AMERICAN MUTUAL FUND-529A | 0.00                 | 6.90                | 0.00               | 6.90              | 10.0 | 0.69                 |
|  | ACCOUNT #: 00086510141         | BUY 0 Units @0.0000       |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-225P - GRIMMETT, RODNEY | AMERICAN MUTUAL FUND-529E | 0.00                 | 0.47                | 0.00               | 0.47              | 10.0 | 0.05                 |
|  | ACCOUNT #: 00083527897         | BUY 0 Units @0.0000       |                      |                     |                    |                   |      |                      |



# COMMISSION STATEMENT

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ALEX GEORGIEV  
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Rochester, NY 14623

BROKER #: AGJ  
BRANCH #01001 - LifeMark Home Office

| DATE   | CLIENT   | INVESTMENT                                    | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|--|--|---|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b>BROKER TRANSACTIONS (continued)</b>                       |  |   |                      |                     |                    |                   |      |                      |
| <b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</b> |  |   |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-88RI - GRASSMUCK,<br>ACCOUNT #: 00057245423       | AMERICAN MUTUAL FUND-A<br>BUY 0 Units @0.0000 | 0.00                 | 18.00               | 0.00               | 18.00             | 10.0 | 1.80                 |
| 03/01/2018   | ***-**-17IN - OPPER, ARLENE<br>ACCOUNT #: 00057350830    | AMERICAN MUTUAL FUND-A<br>BUY 0 Units @0.0000 | 0.00                 | 9.48                | 0.00               | 9.48              | 10.0 | 0.95                 |
| 03/01/2018   | ***-**-245P - KELBER, JEFFRY<br>ACCOUNT #: 00059587254   | AMERICAN MUTUAL FUND-A<br>BUY 0 Units @0.0000 | 0.00                 | 63.97               | 0.00               | 63.97             | 10.0 | 6.40                 |
| 03/01/2018   | ***-**-559I - BERROL, WILLIAM<br>ACCOUNT #: 00060972445  | AMERICAN MUTUAL FUND-A<br>BUY 0 Units @0.0000 | 0.00                 | 47.49               | 0.00               | 47.49             | 10.0 | 4.75                 |
| 03/01/2018   | ***-**-204I - COPE, JO<br>ACCOUNT #: 00062104564         | AMERICAN MUTUAL FUND-A<br>BUY 0 Units @0.0000 | 0.00                 | 0.46                | 0.00               | 0.46              | 10.0 | 0.05                 |
| 03/01/2018   | ***-**-598O - BAIS, RAM<br>ACCOUNT #: 00062603215        | AMERICAN MUTUAL FUND-A<br>BUY 0 Units @0.0000 | 0.00                 | 6.40                | 0.00               | 6.40              | 10.0 | 0.64                 |
| 03/01/2018   | ***-**-595P - VAUGHN, STEVEN<br>ACCOUNT #: 00062966826   | AMERICAN MUTUAL FUND-A<br>BUY 0 Units @0.0000 | 0.00                 | 0.03                | 0.00               | 0.03              | 10.0 | 0.00                 |
| 03/01/2018   | ***-**-375P - KAVI, KRISHNA<br>ACCOUNT #: 00066909129    | AMERICAN MUTUAL FUND-A<br>BUY 0 Units @0.0000 | 0.00                 | 16.51               | 0.00               | 16.51             | 10.0 | 1.65                 |
| 03/01/2018   | ***-**-375P - KAVI, KRISHNA<br>ACCOUNT #: 00066909137    | AMERICAN MUTUAL FUND-A<br>BUY 0 Units @0.0000 | 0.00                 | 87.46               | 0.00               | 87.46             | 10.0 | 8.75                 |
| 03/01/2018   | ***-**-375P - KAVI, KRISHNA<br>ACCOUNT #: 00066909138    | AMERICAN MUTUAL FUND-A<br>BUY 0 Units @0.0000 | 0.00                 | 20.47               | 0.00               | 20.47             | 10.0 | 2.05                 |
| 03/01/2018   | ***-**-135P - MITCHELL, GLORIA<br>ACCOUNT #: 00073656408 | AMERICAN MUTUAL FUND-A<br>BUY 0 Units @0.0000 | 0.00                 | 1.03                | 0.00               | 1.03              | 10.0 | 0.10                 |
| 03/01/2018   | ***-**-065P - BEAULIEU, DANIKA<br>ACCOUNT #: 00073656411 | AMERICAN MUTUAL FUND-A<br>BUY 0 Units @0.0000 | 0.00                 | 3.07                | 0.00               | 3.07              | 10.0 | 0.31                 |
| 03/01/2018   | ***-**-975P - BOUDREAU,<br>ACCOUNT #: 00073656413        | AMERICAN MUTUAL FUND-A<br>BUY 0 Units @0.0000 | 0.00                 | 9.42                | 0.00               | 9.42              | 10.0 | 0.94                 |
| 03/01/2018   | ***-**-175P - MELSON, BRANDEN<br>ACCOUNT #: 00073951405  | AMERICAN MUTUAL FUND-A<br>BUY 0 Units @0.0000 | 0.00                 | 0.29                | 0.00               | 0.29              | 10.0 | 0.03                 |
| 03/01/2018   | ***-**-042I - SHUMWAY, AUDREY<br>ACCOUNT #: 00074353289  | AMERICAN MUTUAL FUND-A<br>BUY 0 Units @0.0000 | 0.00                 | 0.27                | 0.00               | 0.27              | 10.0 | 0.03                 |
| 03/01/2018   | ***-**-87IR - BATES, JACOB<br>ACCOUNT #: 00081418240     | AMERICAN MUTUAL FUND-A<br>BUY 0 Units @0.0000 | 0.00                 | 1.30                | 0.00               | 1.30              | 10.0 | 0.13                 |





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|--|--------------------------------|------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b>BROKER TRANSACTIONS (continued)</b>                       |                                |                        |                      |                     |                    |                   |      |                      |
| <b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</b> |                                |                        |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-415P - BARNABY, GORDON  | AMERICAN MUTUAL FUND-A | 0.00                 | 41.46               | 0.00               | 41.46             | 10.0 | 4.15                 |
|  | ACCOUNT #: 00081781947         | BUY 0 Units @0.0000    |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-27IR - POSSEE, DIANE    | AMERICAN MUTUAL FUND-A | 0.00                 | 5.53                | 0.00               | 5.53              | 10.0 | 0.55                 |
|  | ACCOUNT #: 00082953732         | BUY 0 Units @0.0000    |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-975P - BOUDREAU,        | AMERICAN MUTUAL FUND-A | 0.00                 | 7.88                | 0.00               | 7.88              | 10.0 | 0.79                 |
|  | ACCOUNT #: 00086966419         | BUY 0 Units @0.0000    |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-5428 - FIGUEROA/BENE,   | AMERICAN MUTUAL FUND-A | 0.00                 | 92.08               | 0.00               | 92.08             | 10.0 | 9.21                 |
|  | ACCOUNT #: 00087791132         | BUY 0 Units @0.0000    |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-5428 - FIGUEROA/BENE,   | AMERICAN MUTUAL FUND-A | 0.00                 | 7.72                | 0.00               | 7.72              | 10.0 | 0.77                 |
|  | ACCOUNT #: 00087791148         | BUY 0 Units @0.0000    |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-8126 - BROWN, BEVERLY   | AMERICAN MUTUAL FUND-A | 0.00                 | 6.67                | 0.00               | 6.67              | 10.0 | 0.67                 |
|  | ACCOUNT #: 00082099688         | BUY 0 Units @0.0000    |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-9658 - CARAPPELLA, SEAN | AMERICAN MUTUAL FUND-A | 0.00                 | 0.43                | 0.00               | 0.43              | 10.0 | 0.04                 |
|  | ACCOUNT #: 00062835884         | BUY 0 Units @0.0000    |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-275P - BALDWIN, JUSTIN  | AMERICAN MUTUAL FUND-A | 0.00                 | 1.26                | 0.00               | 1.26              | 10.0 | 0.13                 |
|  | ACCOUNT #: 00067340502         | BUY 0 Units @0.0000    |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-8594 - LEITZELL, THOMAS | AMERICAN MUTUAL FUND-A | 0.00                 | 6.85                | 0.00               | 6.85              | 10.0 | 0.69                 |
|  | ACCOUNT #: 00074396415         | BUY 0 Units @0.0000    |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-802J - MAASS, CARLY     | AMERICAN MUTUAL FUND-A | 0.00                 | 29.19               | 0.00               | 29.19             | 10.0 | 2.92                 |
|  | ACCOUNT #: 00074618503         | BUY 0 Units @0.0000    |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-72IN - THUMULURU,       | AMERICAN MUTUAL FUND-A | 0.00                 | 16.64               | 0.00               | 16.64             | 10.0 | 1.66                 |
|  | ACCOUNT #: 00074749751         | BUY 0 Units @0.0000    |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-32SI - FERRARA, FABIO   | AMERICAN MUTUAL FUND-A | 0.00                 | 5.11                | 0.00               | 5.11              | 10.0 | 0.51                 |
|  | ACCOUNT #: 00074879556         | BUY 0 Units @0.0000    |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-17SI - CARSON, JEAN     | AMERICAN MUTUAL FUND-A | 0.00                 | 2.41                | 0.00               | 2.41              | 10.0 | 0.24                 |
|  | ACCOUNT #: 00075399997         | BUY 0 Units @0.0000    |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-439I - SHILOACH,        | AMERICAN MUTUAL FUND-A | 0.00                 | 2.82                | 0.00               | 2.82              | 10.0 | 0.28                 |
|  | ACCOUNT #: 00081137739         | BUY 0 Units @0.0000    |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-106I - SHILOACH, MOLLIE | AMERICAN MUTUAL FUND-A | 0.00                 | 3.15                | 0.00               | 3.15              | 10.0 | 0.32                 |
|  | ACCOUNT #: 00081181291         | BUY 0 Units @0.0000    |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-203I - SHILOACH, SHARON | AMERICAN MUTUAL FUND-A | 0.00                 | 2.77                | 0.00               | 2.77              | 10.0 | 0.28                 |
|  | ACCOUNT #: 00081205944         | BUY 0 Units @0.0000    |                      |                     |                    |                   |      |                      |



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|--|--------------------------------|-------------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b>BROKER TRANSACTIONS (continued)</b>                       |                                |                                     |                      |                     |                    |                   |      |                      |
| <b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</b> |                                |                                     |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-565P - DANIEL, MARK     | AMERICAN MUTUAL FUND-A              | 0.00                 | 5.56                | 0.00               | 5.56              | 10.0 | 0.56                 |
|  | ACCOUNT #: 00081582840         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-721I - SHILOACH, JOSEPH | AMERICAN MUTUAL FUND-A              | 0.00                 | 25.11               | 0.00               | 25.11             | 10.0 | 2.51                 |
|  | ACCOUNT #: 00081655924         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-500I - MUPPIDI, JAYA    | AMERICAN MUTUAL FUND-A              | 0.00                 | 23.21               | 0.00               | 23.21             | 10.0 | 2.32                 |
|  | ACCOUNT #: 00082114542         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-267I - MUPPIDI, LATHA   | AMERICAN MUTUAL FUND-A              | 0.00                 | 1.81                | 0.00               | 1.81              | 10.0 | 0.18                 |
|  | ACCOUNT #: 00082114548         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-745P - ZAVALA, ROXANA   | AMERICAN MUTUAL FUND-A              | 0.00                 | 0.08                | 0.00               | 0.08              | 10.0 | 0.01                 |
|  | ACCOUNT #: 00082480869         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-747I - ROY, JESSICA     | AMERICAN MUTUAL FUND-A              | 0.00                 | 3.07                | 0.00               | 3.07              | 10.0 | 0.31                 |
|  | ACCOUNT #: 00083742202         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-452J - GARDNER, DANIEL  | AMERICAN MUTUAL FUND-A              | 0.00                 | 7.66                | 0.00               | 7.66              | 10.0 | 0.77                 |
|  | ACCOUNT #: 00084433333         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-635P - SCOTT, JAMES     | AMERICAN WASHINGTON MUTUAL INVESTOR | 0.00                 | 28.27               | 0.00               | 28.27             | 10.0 | 2.83                 |
|  | ACCOUNT #: 00068920074         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-195I -                  | AMERICAN WASHINGTON MUTUAL INVESTOR | 0.00                 | 8.56                | 0.00               | 8.56              | 10.0 | 0.86                 |
|  | ACCOUNT #: 00067738827         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-375P - SINNO, FADY      | AMERICAN WASHINGTON MUTUAL INVESTOR | 0.00                 | 69.34               | 0.00               | 69.34             | 10.0 | 6.93                 |
|  | ACCOUNT #: 00068297392         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-504I - MARSHALL,        | AMERICAN WASHINGTON MUTUAL INVESTOR | 0.00                 | 1.11                | 0.00               | 1.11              | 10.0 | 0.11                 |
|  | ACCOUNT #: 00086486770         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/09/2018   | ***-**-73IS - LICHTFUSS,       | CALVERT 131618704                   | 0.00                 | 3.30                | 0.00               | 3.30              | 10.0 | 0.33                 |
|  | ACCOUNT #: 00007176105         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/09/2018   | ***-**-32SI - STEWART, VOLKER  | CALVERT 131620304                   | 0.00                 | 2.26                | 0.00               | 2.26              | 10.0 | 0.23                 |
|  | ACCOUNT #: 00007203900         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/09/2018   | ***-**-9887 - SMITH, COLIN     | CALVERT AGGRESSIVE ALLOCATION FUND- | 0.00                 | 0.36                | 0.00               | 0.36              | 10.0 | 0.04                 |
|  | ACCOUNT #: 00000107319         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/09/2018   | ***-**-269I - SANCHEZ, SARAH   | CALVERT AGGRESSIVE ALLOCATION FUND- | 0.00                 | 0.70                | 0.00               | 0.70              | 10.0 | 0.07                 |
|  | ACCOUNT #: 00006107627         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/09/2018   | ***-**-492I - CARROLL, KAREN   | CALVERT AGGRESSIVE ALLOCATION FUND- | 0.00                 | 0.33                | 0.00               | 0.33              | 10.0 | 0.03                 |
|  | ACCOUNT #: 00007164446         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |



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|--|--|--|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b>BROKER TRANSACTIONS (continued)</b>                       |  |  |                      |                     |                    |                   |      |                      |
| <b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</b> |  |  |                      |                     |                    |                   |      |                      |
| 03/09/2018   | ***-**-001I - SURGES, AMANI<br>ACCOUNT #: 00006092007    | CALVERT AGGRESSIVE ALLOCATION FUND-<br>BUY 0 Units @0.0000 | 0.00                 | 7.90                | 0.00               | 7.90              | 10.0 | 0.79                 |
| 03/09/2018   | ***-**-977I - BROWN, ERIC<br>ACCOUNT #: 00006121814      | CALVERT AGGRESSIVE ALLOCATION FUND-<br>BUY 0 Units @0.0000 | 0.00                 | 2.81                | 0.00               | 2.81              | 10.0 | 0.28                 |
| 03/09/2018   | ***-**-029I - BRENNEMAN, EMILY<br>ACCOUNT #: 00007164450 | CALVERT AGGRESSIVE ALLOCATION FUND-<br>BUY 0 Units @0.0000 | 0.00                 | 5.46                | 0.00               | 5.46              | 10.0 | 0.55                 |
| 03/09/2018   | ***-**-230I - PAULICK, FAITH<br>ACCOUNT #: 00007164889   | CALVERT AGGRESSIVE ALLOCATION FUND-<br>BUY 0 Units @0.0000 | 0.00                 | 0.27                | 0.00               | 0.27              | 10.0 | 0.03                 |
| 03/09/2018   | ***-**-826I - NEWMAN, DAVID<br>ACCOUNT #: 00007164902    | CALVERT AGGRESSIVE ALLOCATION FUND-<br>BUY 0 Units @0.0000 | 0.00                 | 2.09                | 0.00               | 2.09              | 10.0 | 0.21                 |
| 03/09/2018   | ***-**-11IR - MARTIN, ABIGAIL<br>ACCOUNT #: 00007180380  | CALVERT AGGRESSIVE ALLOCATION FUND-<br>BUY 0 Units @0.0000 | 0.00                 | 2.26                | 0.00               | 2.26              | 10.0 | 0.23                 |
| 03/09/2018   | ***-**-91IR - MARTIN, BRENDAN<br>ACCOUNT #: 00007180384  | CALVERT AGGRESSIVE ALLOCATION FUND-<br>BUY 0 Units @0.0000 | 0.00                 | 1.28                | 0.00               | 1.28              | 10.0 | 0.13                 |
| 03/09/2018   | ***-**-584I - MARTORELLA,<br>ACCOUNT #: 00007180767      | CALVERT AGGRESSIVE ALLOCATION FUND-<br>BUY 0 Units @0.0000 | 0.00                 | 4.49                | 0.00               | 4.49              | 10.0 | 0.45                 |
| 03/09/2018   | ***-**-01IR - SURGES, AMANI<br>ACCOUNT #: 00007180771    | CALVERT AGGRESSIVE ALLOCATION FUND-<br>BUY 0 Units @0.0000 | 0.00                 | 5.10                | 0.00               | 5.10              | 10.0 | 0.51                 |
| 03/09/2018   | ***-**-79SI - CREEGAN, THOMAS<br>ACCOUNT #: 00007203830  | CALVERT AGGRESSIVE ALLOCATION FUND-<br>BUY 0 Units @0.0000 | 0.00                 | 14.93               | 0.00               | 14.93             | 10.0 | 1.49                 |
| 03/09/2018   | ***-**-18SI - FRAZIER, STEPHEN<br>ACCOUNT #: 00007203904 | CALVERT AGGRESSIVE ALLOCATION FUND-<br>BUY 0 Units @0.0000 | 0.00                 | 15.22               | 0.00               | 15.22             | 10.0 | 1.52                 |
| 03/09/2018   | ***-**-82SI - PERRY, ROBERT<br>ACCOUNT #: 00007203908    | CALVERT AGGRESSIVE ALLOCATION FUND-<br>BUY 0 Units @0.0000 | 0.00                 | 1.22                | 0.00               | 1.22              | 10.0 | 0.12                 |
| 03/09/2018   | ***-**-317I - CARSON, JEAN<br>ACCOUNT #: 00007203940     | CALVERT AGGRESSIVE ALLOCATION FUND-<br>BUY 0 Units @0.0000 | 0.00                 | 1.01                | 0.00               | 1.01              | 10.0 | 0.10                 |
| 03/09/2018   | ***-**-27SI - CAMPBELL, JOHN<br>ACCOUNT #: 00007204023   | CALVERT AGGRESSIVE ALLOCATION FUND-<br>BUY 0 Units @0.0000 | 0.00                 | 1.36                | 0.00               | 1.36              | 10.0 | 0.14                 |
| 03/09/2018   | ***-**-46IS - BAINBRIDGE, ERIC<br>ACCOUNT #: 00007225284 | CALVERT AGGRESSIVE ALLOCATION FUND-<br>BUY 0 Units @0.0000 | 0.00                 | 1.92                | 0.00               | 1.92              | 10.0 | 0.19                 |
| 03/09/2018   | ***-**-69SI - LETOURNEAU, JOY<br>ACCOUNT #: 00007225288  | CALVERT AGGRESSIVE ALLOCATION FUND-<br>BUY 0 Units @0.0000 | 0.00                 | 0.36                | 0.00               | 0.36              | 10.0 | 0.04                 |



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| DATE   | CLIENT   | INVESTMENT   | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|--|--|--|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b>BROKER TRANSACTIONS (continued)</b>                       |  |  |                      |                     |                    |                   |      |                      |
| <b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</b> |  |  |                      |                     |                    |                   |      |                      |
| 03/09/2018   | ***-**-47SI - NIEVES, TAMARA<br>ACCOUNT #: 00007225292   | CALVERT AGGRESSIVE ALLOCATION FUND-<br>BUY 0 Units @0.0000 | 0.00                 | 3.20                | 0.00               | 3.20              | 10.0 | 0.32                 |
| 03/09/2018   | ***-**-67SI - VIRKUS, AMANDA<br>ACCOUNT #: 00007225296   | CALVERT AGGRESSIVE ALLOCATION FUND-<br>BUY 0 Units @0.0000 | 0.00                 | 3.50                | 0.00               | 3.50              | 10.0 | 0.35                 |
| 03/09/2018   | ***-**-90SI - PULTZ, JOSEPH<br>ACCOUNT #: 00007225304    | CALVERT AGGRESSIVE ALLOCATION FUND-<br>BUY 0 Units @0.0000 | 0.00                 | 3.64                | 0.00               | 3.64              | 10.0 | 0.36                 |
| 03/09/2018   | ***-**-24SI - RINI, VICTOR<br>ACCOUNT #: 00007227183     | CALVERT AGGRESSIVE ALLOCATION FUND-<br>BUY 0 Units @0.0000 | 0.00                 | 5.28                | 0.00               | 5.28              | 10.0 | 0.53                 |
| 03/09/2018   | ***-**-462I - SMITH, SUZETTE<br>ACCOUNT #: 00007252534   | CALVERT AGGRESSIVE ALLOCATION FUND-<br>BUY 0 Units @0.0000 | 0.00                 | 0.42                | 0.00               | 0.42              | 10.0 | 0.04                 |
| 03/09/2018   | ***-**-269I - SANCHEZ, SARAH<br>ACCOUNT #: 00006107627   | CALVERT BALANCED PORTFOLIO - A<br>BUY 0 Units @0.0000      | 0.00                 | 0.59                | 0.00               | 0.59              | 10.0 | 0.06                 |
| 03/09/2018   | ***-**-989I - YANOWITZ, BARRY<br>ACCOUNT #: 00006121422  | CALVERT BALANCED PORTFOLIO - A<br>BUY 0 Units @0.0000      | 0.00                 | 1.11                | 0.00               | 1.11              | 10.0 | 0.11                 |
| 03/09/2018   | ***-**-028I - JEFF, STUART<br>ACCOUNT #: 00006860773     | CALVERT BALANCED PORTFOLIO - A<br>BUY 0 Units @0.0000      | 0.00                 | 14.15               | 0.00               | 14.15             | 10.0 | 1.42                 |
| 03/09/2018   | ***-**-626I - TAYLOR, JAMES<br>ACCOUNT #: 00007164449    | CALVERT BALANCED PORTFOLIO - A<br>BUY 0 Units @0.0000      | 0.00                 | 3.90                | 0.00               | 3.90              | 10.0 | 0.39                 |
| 03/09/2018   | ***-**-230I - PAULICK, FAITH<br>ACCOUNT #: 00007164889   | CALVERT BALANCED PORTFOLIO - A<br>BUY 0 Units @0.0000      | 0.00                 | 0.09                | 0.00               | 0.09              | 10.0 | 0.01                 |
| 03/09/2018   | ***-**-042I - HIRSCHMAN, JOEL<br>ACCOUNT #: 00007168599  | CALVERT BALANCED PORTFOLIO - A<br>BUY 0 Units @0.0000      | 0.00                 | 1.15                | 0.00               | 1.15              | 10.0 | 0.12                 |
| 03/09/2018   | ***-**-82SI - PERRY, ROBERT<br>ACCOUNT #: 00007203908    | CALVERT BALANCED PORTFOLIO - A<br>BUY 0 Units @0.0000      | 0.00                 | 5.34                | 0.00               | 5.34              | 10.0 | 0.53                 |
| 03/09/2018   | ***-**-2095 - YUHANICK, JOHN<br>ACCOUNT #: 00006120103   | CALVERT CAPITAL ACCUMULATION - A<br>BUY 0 Units @0.0000    | 0.00                 | 0.13                | 0.00               | 0.13              | 10.0 | 0.01                 |
| 03/09/2018   | ***-**-13IR - PRICE, ZACHARY<br>ACCOUNT #: 00007164069   | CALVERT CAPITAL ACCUMULATION - A<br>BUY 0 Units @0.0000    | 0.00                 | 0.82                | 0.00               | 0.82              | 10.0 | 0.08                 |
| 03/09/2018   | ***-**-18SI - FRAZIER, STEPHEN<br>ACCOUNT #: 00007203904 | CALVERT CAPITAL ACCUMULATION - A<br>BUY 0 Units @0.0000    | 0.00                 | 5.40                | 0.00               | 5.40              | 10.0 | 0.54                 |
| 03/09/2018   | ***-**-00IN - BECKER, DONALD<br>ACCOUNT #: 00007220068   | CALVERT CAPITAL ACCUMULATION - A<br>BUY 0 Units @0.0000    | 0.00                 | 0.47                | 0.00               | 0.47              | 10.0 | 0.05                 |



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|--|--------------------------------|-------------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b>BROKER TRANSACTIONS (continued)</b>                       |                                |                                     |                      |                     |                    |                   |      |                      |
| <b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</b> |                                |                                     |                      |                     |                    |                   |      |                      |
| 03/09/2018   | ***-**-842I - BERRY, EDWARD    | CALVERT CONSERVATIVE ALLOCATION FUN | 0.00                 | 0.13                | 0.00               | 0.13              | 10.0 | 0.01                 |
|  | ACCOUNT #: 00007164418         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/09/2018   | ***-**-091I - STENTZ, DANIEL   | CALVERT CONSERVATIVE ALLOCATION FUN | 0.00                 | 4.13                | 0.00               | 4.13              | 10.0 | 0.41                 |
|  | ACCOUNT #: 00007164422         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/09/2018   | ***-**-944I - BARCUS, MARK     | CALVERT CONSERVATIVE ALLOCATION FUN | 0.00                 | 0.21                | 0.00               | 0.21              | 10.0 | 0.02                 |
|  | ACCOUNT #: 00007164885         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/09/2018   | ***-**-587I - GRESKO, PAUL     | CALVERT CONSERVATIVE ALLOCATION FUN | 0.00                 | 1.76                | 0.00               | 1.76              | 10.0 | 0.18                 |
|  | ACCOUNT #: 00007164897         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/09/2018   | ***-**-86CL - ASHER, CLIENTS   | CALVERT CONSERVATIVE ALLOCATION FUN | 0.00                 | 2.45                | 0.00               | 2.45              | 10.0 | 0.25                 |
|  | ACCOUNT #: 00007223946         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/09/2018   | ***-**-79SI - CREEGAN, THOMAS  | CALVERT GLOBAL ALTERNATIVE ENERGY F | 0.00                 | 10.72               | 0.00               | 10.72             | 10.0 | 1.07                 |
|  | ACCOUNT #: 00007203830         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/09/2018   | ***-**-32SI - STEWART, VOLKER  | CALVERT GLOBAL ALTERNATIVE ENERGY F | 0.00                 | 0.62                | 0.00               | 0.62              | 10.0 | 0.06                 |
|  | ACCOUNT #: 00007203900         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/09/2018   | ***-**-18SI - FRAZIER, STEPHEN | CALVERT GLOBAL WATER FUND CLASS A   | 0.00                 | 3.19                | 0.00               | 3.19              | 10.0 | 0.32                 |
|  | ACCOUNT #: 00007203904         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/09/2018   | ***-**-18SI - FRAZIER, STEPHEN | CALVERT INCOME FUND - A             | 0.00                 | 2.55                | 0.00               | 2.55              | 10.0 | 0.26                 |
|  | ACCOUNT #: 00007203904         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/09/2018   | ***-**-626I - TAYLOR, JAMES    | CALVERT LONG-TERM INCOME FUND       | 0.00                 | 1.02                | 0.00               | 1.02              | 10.0 | 0.10                 |
|  | ACCOUNT #: 00007164449         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/09/2018   | ***-**-311I - SILVER, RICHARD  | CALVERT MODERATE ALLOCATION FUND-A  | 0.00                 | 7.80                | 0.00               | 7.80              | 10.0 | 0.78                 |
|  | ACCOUNT #: 00007164426         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/09/2018   | ***-**-222I - SCHULTE, WILLIAM | CALVERT MODERATE ALLOCATION FUND-A  | 0.00                 | 0.84                | 0.00               | 0.84              | 10.0 | 0.08                 |
|  | ACCOUNT #: 00007164430         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/09/2018   | ***-**-454I - LYLES, ROBYNE    | CALVERT MODERATE ALLOCATION FUND-A  | 0.00                 | 29.27               | 0.00               | 29.27             | 10.0 | 2.93                 |
|  | ACCOUNT #: 00007164434         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/09/2018   | ***-**-700I - THISTEL, MARK    | CALVERT MODERATE ALLOCATION FUND-A  | 0.00                 | 29.55               | 0.00               | 29.55             | 10.0 | 2.96                 |
|  | ACCOUNT #: 00007164445         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/09/2018   | ***-**-626I - TAYLOR, JAMES    | CALVERT MODERATE ALLOCATION FUND-A  | 0.00                 | 4.00                | 0.00               | 4.00              | 10.0 | 0.40                 |
|  | ACCOUNT #: 00007164449         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/09/2018   | ***-**-170I - CARLSON, JAMES   | CALVERT MODERATE ALLOCATION FUND-A  | 0.00                 | 2.76                | 0.00               | 2.76              | 10.0 | 0.28                 |
|  | ACCOUNT #: 00007164548         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |



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|---|--|--|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b><u>BROKER TRANSACTIONS (continued)</u></b>                       |  |  |                      |                     |                    |                   |      |                      |
| <b><u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</u></b> |  |  |                      |                     |                    |                   |      |                      |
| 03/09/2018  | ***-**-826I - NEWMAN, DAVID<br>ACCOUNT #: 00007164902    | CALVERT MODERATE ALLOCATION FUND-A<br>BUY 0 Units @0.0000  | 0.00                 | 1.82                | 0.00               | 1.82              | 10.0 | 0.18                 |
| 03/09/2018  | ***-**-32SI - STEWART, VOLKER<br>ACCOUNT #: 00007203900  | CALVERT MODERATE ALLOCATION FUND-A<br>BUY 0 Units @0.0000  | 0.00                 | 41.18               | 0.00               | 41.18             | 10.0 | 4.12                 |
| 03/09/2018  | ***-**-18SI - FRAZIER, STEPHEN<br>ACCOUNT #: 00007203904 | CALVERT MODERATE ALLOCATION FUND-A<br>BUY 0 Units @0.0000  | 0.00                 | 6.84                | 0.00               | 6.84              | 10.0 | 0.68                 |
| 03/09/2018  | ***-**-6653 - RIGGIERI,<br>ACCOUNT #: 00007223239        | CALVERT MODERATE ALLOCATION FUND-A<br>BUY 0 Units @0.0000  | 0.00                 | 19.93               | 0.00               | 19.93             | 10.0 | 1.99                 |
| 03/09/2018  | ***-**-2454 - KOVACIC,<br>ACCOUNT #: 00007223247         | CALVERT MODERATE ALLOCATION FUND-A<br>BUY 0 Units @0.0000  | 0.00                 | 20.90               | 0.00               | 20.90             | 10.0 | 2.09                 |
| 03/09/2018  | ***-**-46IS - BAINBRIDGE, ERIC<br>ACCOUNT #: 00007225284 | CALVERT MODERATE ALLOCATION FUND-A<br>BUY 0 Units @0.0000  | 0.00                 | 1.81                | 0.00               | 1.81              | 10.0 | 0.18                 |
| 03/09/2018  | ***-**-462I - SMITH, SUZETTE<br>ACCOUNT #: 00007252534   | CALVERT MODERATE ALLOCATION FUND-A<br>BUY 0 Units @0.0000  | 0.00                 | 0.39                | 0.00               | 0.39              | 10.0 | 0.04                 |
| 03/09/2018  | ***-**-82SI - PERRY, ROBERT<br>ACCOUNT #: 00007203908    | CALVERT SMALL CAP VALUE FUND<br>BUY 0 Units @0.0000        | 0.00                 | 1.38                | 0.00               | 1.38              | 10.0 | 0.14                 |
| 03/09/2018  | ***-**-2095 - YUHANICK, JOHN<br>ACCOUNT #: 00006120103   | CALVERT SOCIAL INVESTMENT FD EQUITY<br>BUY 0 Units @0.0000 | 0.00                 | 0.13                | 0.00               | 0.13              | 10.0 | 0.01                 |
| 03/09/2018  | ***-**-214I - FOLDEN, JAMES<br>ACCOUNT #: 00007164442    | CALVERT SOCIAL INVESTMENT FD EQUITY<br>BUY 0 Units @0.0000 | 0.00                 | 0.72                | 0.00               | 0.72              | 10.0 | 0.07                 |
| 03/09/2018  | ***-**-378I - SCREPKA, RICARDO<br>ACCOUNT #: 00007164901 | CALVERT SOCIAL INVESTMENT FD EQUITY<br>BUY 0 Units @0.0000 | 0.00                 | 1.38                | 0.00               | 1.38              | 10.0 | 0.14                 |
| 03/09/2018  | ***-**-82SI - PERRY, ROBERT<br>ACCOUNT #: 00007203908    | CALVERT SOCIAL INVESTMENT FD EQUITY<br>BUY 0 Units @0.0000 | 0.00                 | 1.36                | 0.00               | 1.36              | 10.0 | 0.14                 |
| 03/09/2018  | ***-**-626I - TAYLOR, JAMES<br>ACCOUNT #: 00007164449    | CALVERT SOCIAL INVESTMENT FUND BOND<br>BUY 0 Units @0.0000 | 0.00                 | 1.02                | 0.00               | 1.02              | 10.0 | 0.10                 |
| 03/09/2018  | ***-**-944I - BARCUS, MARK<br>ACCOUNT #: 00007164885     | CALVERT ULTRA SHORT INCOME - A<br>BUY 0 Units @0.0000      | 0.00                 | 0.22                | 0.00               | 0.22              | 10.0 | 0.02                 |
| 03/01/2018  | ***-**-885P - PITTAWAY, JAMES<br>ACCOUNT #: 00068654518  | CAPITAL INCOME BUILDER CLASS C<br>BUY 0 Units @0.0000      | 0.00                 | 0.18                | 0.00               | 0.18              | 10.0 | 0.02                 |
| 03/01/2018  | ***-**-755P - PITTAWAY,<br>ACCOUNT #: 00068654520        | CAPITAL INCOME BUILDER CLASS C<br>BUY 0 Units @0.0000      | 0.00                 | 0.17                | 0.00               | 0.17              | 10.0 | 0.02                 |



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|--|--------------------------------|-----------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b>BROKER TRANSACTIONS (continued)</b>                       |                                |                             |                      |                     |                    |                   |      |                      |
| <b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</b> |                                |                             |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-3422 - GLICKMAN, NEIL   | CAPITAL INCOME BUILDER-529A | 0.00                 | 8.09                | 0.00               | 8.09              | 10.0 | 0.81                 |
|  | ACCOUNT #: 00068663396         | BUY 0 Units @0.0000         |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-733I - ANDERSEN,        | CAPITAL INCOME BUILDER-529A | 0.00                 | 1.89                | 0.00               | 1.89              | 10.0 | 0.19                 |
|  | ACCOUNT #: 00085128729         | BUY 0 Units @0.0000         |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-635P - HARRISON, NATHAN | CAPITAL INCOME BUILDER-529A | 0.00                 | 0.52                | 0.00               | 0.52              | 10.0 | 0.05                 |
|  | ACCOUNT #: 00085387286         | BUY 0 Units @0.0000         |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-765P - BOWLER,          | CAPITAL INCOME BUILDER-529A | 0.00                 | 0.81                | 0.00               | 0.81              | 10.0 | 0.08                 |
|  | ACCOUNT #: 00087610452         | BUY 0 Units @0.0000         |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-445P - PRAGER, TIFFANY  | CAPITAL INCOME BUILDER-529A | 0.00                 | 5.45                | 0.00               | 5.45              | 10.0 | 0.55                 |
|  | ACCOUNT #: 00073887960         | BUY 0 Units @0.0000         |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-955P - STARTZEL, MARCUS | CAPITAL INCOME BUILDER-529A | 0.00                 | 3.36                | 0.00               | 3.36              | 10.0 | 0.34                 |
|  | ACCOUNT #: 00082708555         | BUY 0 Units @0.0000         |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-2802 - MAASS, TY        | CAPITAL INCOME BUILDER-529A | 0.00                 | 2.32                | 0.00               | 2.32              | 10.0 | 0.23                 |
|  | ACCOUNT #: 00086550207         | BUY 0 Units @0.0000         |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-266I - GLICKMAN, PAMELA | CAPITAL INCOME BUILDER-529A | 0.00                 | 4.24                | 0.00               | 4.24              | 10.0 | 0.42                 |
|  | ACCOUNT #: 04000763706         | BUY 0 Units @0.0000         |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-245P - KELBER, JEFFRY   | CAPITAL INCOME BUILDER-A    | 0.00                 | 104.73              | 0.00               | 104.73            | 10.0 | 10.47                |
|  | ACCOUNT #: 00059587254         | BUY 0 Units @0.0000         |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-16IN - MIDDLETON, BETTY | CAPITAL INCOME BUILDER-A    | 0.00                 | 35.61               | 0.00               | 35.61             | 10.0 | 3.56                 |
|  | ACCOUNT #: 00060743431         | BUY 0 Units @0.0000         |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-335P - MCKENZIE, BRIAN  | CAPITAL INCOME BUILDER-A    | 0.00                 | 1.98                | 0.00               | 1.98              | 10.0 | 0.20                 |
|  | ACCOUNT #: 00061637534         | BUY 0 Units @0.0000         |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-230P - KEESE, MINDI     | CAPITAL INCOME BUILDER-A    | 0.00                 | 10.27               | 0.00               | 10.27             | 10.0 | 1.03                 |
|  | ACCOUNT #: 00061765270         | BUY 0 Units @0.0000         |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-56IN - TRAVIS, DANIEL   | CAPITAL INCOME BUILDER-A    | 0.00                 | 9.49                | 0.00               | 9.49              | 10.0 | 0.95                 |
|  | ACCOUNT #: 00062313582         | BUY 0 Units @0.0000         |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-905P - SPECTOR, DEBORAH | CAPITAL INCOME BUILDER-A    | 0.00                 | 6.93                | 0.00               | 6.93              | 10.0 | 0.69                 |
|  | ACCOUNT #: 00062814043         | BUY 0 Units @0.0000         |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-821I - POLANCIC, DAVID  | CAPITAL INCOME BUILDER-A    | 0.00                 | 1.28                | 0.00               | 1.28              | 10.0 | 0.13                 |
|  | ACCOUNT #: 00063170477         | BUY 0 Units @0.0000         |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-611I - LOY, RENEE       | CAPITAL INCOME BUILDER-A    | 0.00                 | 3.86                | 0.00               | 3.86              | 10.0 | 0.39                 |
|  | ACCOUNT #: 00063488184         | BUY 0 Units @0.0000         |                      |                     |                    |                   |      |                      |



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|--|--------------------------------|--------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b>BROKER TRANSACTIONS (continued)</b>                       |                                |                          |                      |                     |                    |                   |      |                      |
| <b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</b> |                                |                          |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-675P - MCNAIR, JAMES    | CAPITAL INCOME BUILDER-A | 0.00                 | 2.19                | 0.00               | 2.19              | 10.0 | 0.22                 |
|  | ACCOUNT #: 00063780949         | BUY 0 Units @0.0000      |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-227I - RAMIREZ, ANNA    | CAPITAL INCOME BUILDER-A | 0.00                 | 3.94                | 0.00               | 3.94              | 10.0 | 0.39                 |
|  | ACCOUNT #: 00063786299         | BUY 0 Units @0.0000      |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-056I - HARRIS, DAN      | CAPITAL INCOME BUILDER-A | 0.00                 | 0.33                | 0.00               | 0.33              | 10.0 | 0.03                 |
|  | ACCOUNT #: 00064426320         | BUY 0 Units @0.0000      |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-18IN - CRAWFORD,        | CAPITAL INCOME BUILDER-A | 0.00                 | 11.05               | 0.00               | 11.05             | 10.0 | 1.11                 |
|  | ACCOUNT #: 00069017221         | BUY 0 Units @0.0000      |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-378I - LITTLES, MYRTLE  | CAPITAL INCOME BUILDER-A | 0.00                 | 0.12                | 0.00               | 0.12              | 10.0 | 0.01                 |
|  | ACCOUNT #: 00073652589         | BUY 0 Units @0.0000      |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-974I - GOLDBERG, KAY    | CAPITAL INCOME BUILDER-A | 0.00                 | 7.05                | 0.00               | 7.05              | 10.0 | 0.71                 |
|  | ACCOUNT #: 00074796752         | BUY 0 Units @0.0000      |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-830I - ENGBRETSON,      | CAPITAL INCOME BUILDER-A | 0.00                 | 0.20                | 0.00               | 0.20              | 10.0 | 0.02                 |
|  | ACCOUNT #: 00075742129         | BUY 0 Units @0.0000      |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-155P - VOYLES, PAULA    | CAPITAL INCOME BUILDER-A | 0.00                 | 1.13                | 0.00               | 1.13              | 10.0 | 0.11                 |
|  | ACCOUNT #: 00081602503         | BUY 0 Units @0.0000      |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-424I - QUINERLY,        | CAPITAL INCOME BUILDER-A | 0.00                 | 6.64                | 0.00               | 6.64              | 10.0 | 0.66                 |
|  | ACCOUNT #: 00081769587         | BUY 0 Units @0.0000      |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-037I - DELL, MARIAH     | CAPITAL INCOME BUILDER-A | 0.00                 | 0.42                | 0.00               | 0.42              | 10.0 | 0.04                 |
|  | ACCOUNT #: 00082213922         | BUY 0 Units @0.0000      |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-525P - MATIS, DAMARIS   | CAPITAL INCOME BUILDER-A | 0.00                 | 7.61                | 0.00               | 7.61              | 10.0 | 0.76                 |
|  | ACCOUNT #: 00082217486         | BUY 0 Units @0.0000      |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-800B - FISCHER, MATTHEW | CAPITAL INCOME BUILDER-A | 0.00                 | 1.67                | 0.00               | 1.67              | 10.0 | 0.17                 |
|  | ACCOUNT #: 00082321139         | BUY 0 Units @0.0000      |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-427I - KRUEGER, JOHN    | CAPITAL INCOME BUILDER-A | 0.00                 | 11.95               | 0.00               | 11.95             | 10.0 | 1.20                 |
|  | ACCOUNT #: 00082686514         | BUY 0 Units @0.0000      |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-116J - KRUEGER, JOHN    | CAPITAL INCOME BUILDER-A | 0.00                 | 0.29                | 0.00               | 0.29              | 10.0 | 0.03                 |
|  | ACCOUNT #: 00082687579         | BUY 0 Units @0.0000      |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-818I - YOUNG, BRANDI    | CAPITAL INCOME BUILDER-A | 0.00                 | 1.09                | 0.00               | 1.09              | 10.0 | 0.11                 |
|  | ACCOUNT #: 00082828085         | BUY 0 Units @0.0000      |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-186I - JACOBSON, MARINA | CAPITAL INCOME BUILDER-A | 0.00                 | 48.68               | 0.00               | 48.68             | 10.0 | 4.87                 |
|  | ACCOUNT #: 00083731526         | BUY 0 Units @0.0000      |                      |                     |                    |                   |      |                      |





# COMMISSION STATEMENT

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|--|--------------------------------|--------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b>BROKER TRANSACTIONS (continued)</b>                       |                                |                          |                      |                     |                    |                   |      |                      |
| <b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</b> |                                |                          |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-721I - JACOBSON, STUART | CAPITAL INCOME BUILDER-A | 0.00                 | 0.55                | 0.00               | 0.55              | 10.0 | 0.06                 |
|  | ACCOUNT #: 00083731770         | BUY 0 Units @0.0000      |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-944I - PIETRUCHA, JASON | CAPITAL INCOME BUILDER-A | 0.00                 | 0.63                | 0.00               | 0.63              | 10.0 | 0.06                 |
|  | ACCOUNT #: 00083733042         | BUY 0 Units @0.0000      |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-173I - MATUSIEWICZ,     | CAPITAL INCOME BUILDER-A | 0.00                 | 5.82                | 0.00               | 5.82              | 10.0 | 0.58                 |
|  | ACCOUNT #: 00083738493         | BUY 0 Units @0.0000      |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-160I - MAZZEI, ANN      | CAPITAL INCOME BUILDER-A | 0.00                 | 0.77                | 0.00               | 0.77              | 10.0 | 0.08                 |
|  | ACCOUNT #: 00083759830         | BUY 0 Units @0.0000      |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-063I - O'SULLIVAN,      | CAPITAL INCOME BUILDER-A | 0.00                 | 1.50                | 0.00               | 1.50              | 10.0 | 0.15                 |
|  | ACCOUNT #: 00083760627         | BUY 0 Units @0.0000      |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-60IR - MAZZEI, ANN      | CAPITAL INCOME BUILDER-A | 0.00                 | 0.77                | 0.00               | 0.77              | 10.0 | 0.08                 |
|  | ACCOUNT #: 00083763987         | BUY 0 Units @0.0000      |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-537I - DIVALERIO, KATHY | CAPITAL INCOME BUILDER-A | 0.00                 | 15.48               | 0.00               | 15.48             | 10.0 | 1.55                 |
|  | ACCOUNT #: 00083765927         | BUY 0 Units @0.0000      |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-195I - APPEL, NADIA     | CAPITAL INCOME BUILDER-A | 0.00                 | 0.31                | 0.00               | 0.31              | 10.0 | 0.03                 |
|  | ACCOUNT #: 00083770169         | BUY 0 Units @0.0000      |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-291I - COLBURN, CHRISSY | CAPITAL INCOME BUILDER-A | 0.00                 | 0.35                | 0.00               | 0.35              | 10.0 | 0.04                 |
|  | ACCOUNT #: 00083776039         | BUY 0 Units @0.0000      |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-573I - CLARK-BROWN,     | CAPITAL INCOME BUILDER-A | 0.00                 | 2.53                | 0.00               | 2.53              | 10.0 | 0.25                 |
|  | ACCOUNT #: 00083776067         | BUY 0 Units @0.0000      |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-685I - MAZZEI, MICHAEL  | CAPITAL INCOME BUILDER-A | 0.00                 | 0.66                | 0.00               | 0.66              | 10.0 | 0.07                 |
|  | ACCOUNT #: 00083789465         | BUY 0 Units @0.0000      |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-85IR - MAZZEI, MICHAEL  | CAPITAL INCOME BUILDER-A | 0.00                 | 0.71                | 0.00               | 0.71              | 10.0 | 0.07                 |
|  | ACCOUNT #: 00083793983         | BUY 0 Units @0.0000      |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-579I - PERKINS, CHARLES | CAPITAL INCOME BUILDER-A | 0.00                 | 0.01                | 0.00               | 0.01              | 10.0 | 0.00                 |
|  | ACCOUNT #: 00083860249         | BUY 0 Units @0.0000      |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-22IR - ROGUE, GINA      | CAPITAL INCOME BUILDER-A | 0.00                 | 0.10                | 0.00               | 0.10              | 10.0 | 0.01                 |
|  | ACCOUNT #: 00083879358         | BUY 0 Units @0.0000      |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-225I - WEBER, MICHAEL   | CAPITAL INCOME BUILDER-A | 0.00                 | 8.97                | 0.00               | 8.97              | 10.0 | 0.90                 |
|  | ACCOUNT #: 00083883804         | BUY 0 Units @0.0000      |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-73IR - CLARK-BROWN,     | CAPITAL INCOME BUILDER-A | 0.00                 | 0.51                | 0.00               | 0.51              | 10.0 | 0.05                 |
|  | ACCOUNT #: 00083923759         | BUY 0 Units @0.0000      |                      |                     |                    |                   |      |                      |



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|--|--------------------------------|--------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b>BROKER TRANSACTIONS (continued)</b>                       |                                |                          |                      |                     |                    |                   |      |                      |
| <b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</b> |                                |                          |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-956I - MCGUANE, KELLI   | CAPITAL INCOME BUILDER-A | 0.00                 | 1.11                | 0.00               | 1.11              | 10.0 | 0.11                 |
|  | ACCOUNT #: 00084004988         | BUY 0 Units @0.0000      |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-529I - HINKEBEIN, AGNES | CAPITAL INCOME BUILDER-A | 0.00                 | 0.45                | 0.00               | 0.45              | 10.0 | 0.05                 |
|  | ACCOUNT #: 00084150337         | BUY 0 Units @0.0000      |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-514I - BOTERO, NATALIA  | CAPITAL INCOME BUILDER-A | 0.00                 | 0.98                | 0.00               | 0.98              | 10.0 | 0.10                 |
|  | ACCOUNT #: 00084169039         | BUY 0 Units @0.0000      |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-837I - NEVIN, LEN       | CAPITAL INCOME BUILDER-A | 0.00                 | 0.35                | 0.00               | 0.35              | 10.0 | 0.04                 |
|  | ACCOUNT #: 00084174825         | BUY 0 Units @0.0000      |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-95IN - MILLER, TRAVIS   | CAPITAL INCOME BUILDER-A | 0.00                 | 1.63                | 0.00               | 1.63              | 10.0 | 0.16                 |
|  | ACCOUNT #: 00084396354         | BUY 0 Units @0.0000      |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-82IR - TURGISS, MEGHAN  | CAPITAL INCOME BUILDER-A | 0.00                 | 1.20                | 0.00               | 1.20              | 10.0 | 0.12                 |
|  | ACCOUNT #: 00085170032         | BUY 0 Units @0.0000      |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-76IR - BOWLER,          | CAPITAL INCOME BUILDER-A | 0.00                 | 0.31                | 0.00               | 0.31              | 10.0 | 0.03                 |
|  | ACCOUNT #: 00085699343         | BUY 0 Units @0.0000      |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-341I - FIREMAN, NOAH    | CAPITAL INCOME BUILDER-A | 0.00                 | 1.08                | 0.00               | 1.08              | 10.0 | 0.11                 |
|  | ACCOUNT #: 00087760602         | BUY 0 Units @0.0000      |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-5428 - FIGUEROA/BENE,   | CAPITAL INCOME BUILDER-A | 0.00                 | 6.74                | 0.00               | 6.74              | 10.0 | 0.67                 |
|  | ACCOUNT #: 00087791148         | BUY 0 Units @0.0000      |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-495P - WALLACE, RACHAEL | CAPITAL INCOME BUILDER-A | 0.00                 | 1.63                | 0.00               | 1.63              | 10.0 | 0.16                 |
|  | ACCOUNT #: 00073772445         | BUY 0 Units @0.0000      |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-691I - COLLINS, PAMELA  | CAPITAL INCOME BUILDER-A | 0.00                 | 1.56                | 0.00               | 1.56              | 10.0 | 0.16                 |
|  | ACCOUNT #: 00074006244         | BUY 0 Units @0.0000      |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-025P - PADRO, PILAR     | CAPITAL INCOME BUILDER-A | 0.00                 | 1.74                | 0.00               | 1.74              | 10.0 | 0.17                 |
|  | ACCOUNT #: 00074164733         | BUY 0 Units @0.0000      |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-721J - KONANUR,         | CAPITAL INCOME BUILDER-A | 0.00                 | 33.60               | 0.00               | 33.60             | 10.0 | 3.36                 |
|  | ACCOUNT #: 00074931174         | BUY 0 Units @0.0000      |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-01IN - SEVERE, EMILY    | CAPITAL INCOME BUILDER-A | 0.00                 | 33.32               | 0.00               | 33.32             | 10.0 | 3.33                 |
|  | ACCOUNT #: 00075266202         | BUY 0 Units @0.0000      |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-04IN - MURPHY, PAUL     | CAPITAL INCOME BUILDER-A | 0.00                 | 36.58               | 0.00               | 36.58             | 10.0 | 3.66                 |
|  | ACCOUNT #: 00075938729         | BUY 0 Units @0.0000      |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-3172 - ERTER, MONALEE   | CAPITAL INCOME BUILDER-A | 0.00                 | 14.00               | 0.00               | 14.00             | 10.0 | 1.40                 |
|  | ACCOUNT #: 00082209165         | BUY 0 Units @0.0000      |                      |                     |                    |                   |      |                      |



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|--|--------------------------------|------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b>BROKER TRANSACTIONS (continued)</b>                       |                                |                              |                      |                     |                    |                   |      |                      |
| <b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</b> |                                |                              |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-82IN - TEN, JT          | CAPITAL INCOME BUILDER-A     | 0.00                 | 23.90               | 0.00               | 23.90             | 10.0 | 2.39                 |
|  | ACCOUNT #: 00082421077         | BUY 0 Units @0.0000          |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-185P - KONIZESKI, DELIA | CAPITAL INCOME BUILDER-A     | 0.00                 | 3.58                | 0.00               | 3.58              | 10.0 | 0.36                 |
|  | ACCOUNT #: 00082792992         | BUY 0 Units @0.0000          |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-91IN - COLLINS, PAMELA  | CAPITAL INCOME BUILDER-A     | 0.00                 | 1.38                | 0.00               | 1.38              | 10.0 | 0.14                 |
|  | ACCOUNT #: 00083125017         | BUY 0 Units @0.0000          |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-064J - HALL, AMY        | CAPITAL INCOME BUILDER-A     | 0.00                 | 49.82               | 0.00               | 49.82             | 10.0 | 4.98                 |
|  | ACCOUNT #: 00083146232         | BUY 0 Units @0.0000          |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-452J - GARDNER, DANIEL  | CAPITAL INCOME BUILDER-A     | 0.00                 | 6.12                | 0.00               | 6.12              | 10.0 | 0.61                 |
|  | ACCOUNT #: 00084433333         | BUY 0 Units @0.0000          |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-415P - TARANTINO, SCOTT | CAPITAL INCOME BUILDER-A     | 0.00                 | 19.82               | 0.00               | 19.82             | 10.0 | 1.98                 |
|  | ACCOUNT #: 00087447990         | BUY 0 Units @0.0000          |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-18IR - OLNEY, DAVID     | CAPITAL INCOME BUILDER-A     | 0.00                 | 0.45                | 0.00               | 0.45              | 10.0 | 0.05                 |
|  | ACCOUNT #: 00084410693         | BUY 0 Units @0.0000          |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-5239 - TERRELL, EMILY   | CAPITAL WORLD BOND FUND-529A | 0.00                 | 6.47                | 0.00               | 6.47              | 10.0 | 0.65                 |
|  | ACCOUNT #: 00083570795         | BUY 0 Units @0.0000          |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-5239 - TERRELL, EMILY   | CAPITAL WORLD BOND FUND-529A | 0.00                 | 5.09                | 0.00               | 5.09              | 10.0 | 0.51                 |
|  | ACCOUNT #: 00083571087         | BUY 0 Units @0.0000          |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-635P - HARRISON, NATHAN | CAPITAL WORLD BOND FUND-529A | 0.00                 | 0.42                | 0.00               | 0.42              | 10.0 | 0.04                 |
|  | ACCOUNT #: 00085387286         | BUY 0 Units @0.0000          |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-41IN - EISENMANN,       | CAPITAL WORLD BOND FUND-A    | 0.00                 | 14.34               | 0.00               | 14.34             | 10.0 | 1.43                 |
|  | ACCOUNT #: 00062073038         | BUY 0 Units @0.0000          |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-144I - EISENMANN,       | CAPITAL WORLD BOND FUND-A    | 0.00                 | 13.40               | 0.00               | 13.40             | 10.0 | 1.34                 |
|  | ACCOUNT #: 00062138472         | BUY 0 Units @0.0000          |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-465P - HOLT, DAVID      | CAPITAL WORLD BOND FUND-A    | 0.00                 | 24.20               | 0.00               | 24.20             | 10.0 | 2.42                 |
|  | ACCOUNT #: 00066795968         | BUY 0 Units @0.0000          |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-981I - SIMPSON, JEFFREY | CAPITAL WORLD BOND FUND-A    | 0.00                 | 10.87               | 0.00               | 10.87             | 10.0 | 1.09                 |
|  | ACCOUNT #: 00073298869         | BUY 0 Units @0.0000          |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-529I - HINKEBEIN, AGNES | CAPITAL WORLD BOND FUND-A    | 0.00                 | 0.34                | 0.00               | 0.34              | 10.0 | 0.03                 |
|  | ACCOUNT #: 00084150337         | BUY 0 Units @0.0000          |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-76SI - JONES, MARCIE    | CAPITAL WORLD BOND FUND-A    | 0.00                 | 6.00                | 0.00               | 6.00              | 10.0 | 0.60                 |
|  | ACCOUNT #: 00081719052         | BUY 0 Units @0.0000          |                      |                     |                    |                   |      |                      |



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|--|--------------------------------|-------------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b>BROKER TRANSACTIONS (continued)</b>                       |                                |                                     |                      |                     |                    |                   |      |                      |
| <b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</b> |                                |                                     |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-295P - HOGAN, ANN       | CAPITAL WORLD GROWTH AND INCOME FUN | 0.00                 | 84.34               | 0.00               | 84.34             | 10.0 | 8.43                 |
|  | ACCOUNT #: 00074253253         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-815P - WESTON, JOHN     | CAPITAL WORLD GROWTH AND INCOME FUN | 0.00                 | 0.81                | 0.00               | 0.81              | 10.0 | 0.08                 |
|  | ACCOUNT #: 00062099562         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-715P - EMERY, ELIZABETH | CAPITAL WORLD GROWTH AND INCOME FUN | 0.00                 | 24.74               | 0.00               | 24.74             | 10.0 | 2.47                 |
|  | ACCOUNT #: 00062101930         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-452I - KELLNER, MICHAEL | CAPITAL WORLD GROWTH AND INCOME FUN | 0.00                 | 17.22               | 0.00               | 17.22             | 10.0 | 1.72                 |
|  | ACCOUNT #: 00062550448         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-155P - SCHRANK, ELAINE  | CAPITAL WORLD GROWTH AND INCOME FUN | 0.00                 | 21.34               | 0.00               | 21.34             | 10.0 | 2.13                 |
|  | ACCOUNT #: 00063151997         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-611I - LOY, RENEE       | CAPITAL WORLD GROWTH AND INCOME FUN | 0.00                 | 5.69                | 0.00               | 5.69              | 10.0 | 0.57                 |
|  | ACCOUNT #: 00063488184         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-465P - HOLT, DAVID      | CAPITAL WORLD GROWTH AND INCOME FUN | 0.00                 | 48.04               | 0.00               | 48.04             | 10.0 | 4.80                 |
|  | ACCOUNT #: 00066795968         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-448P - MOSS, HEATHER    | CAPITAL WORLD GROWTH AND INCOME FUN | 0.00                 | 1.19                | 0.00               | 1.19              | 10.0 | 0.12                 |
|  | ACCOUNT #: 00066848271         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-375P - KAVI, KRISHNA    | CAPITAL WORLD GROWTH AND INCOME FUN | 0.00                 | 5.76                | 0.00               | 5.76              | 10.0 | 0.58                 |
|  | ACCOUNT #: 00066909129         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-375P - KAVI, KRISHNA    | CAPITAL WORLD GROWTH AND INCOME FUN | 0.00                 | 48.91               | 0.00               | 48.91             | 10.0 | 4.89                 |
|  | ACCOUNT #: 00066909137         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-375P - KAVI, KRISHNA    | CAPITAL WORLD GROWTH AND INCOME FUN | 0.00                 | 5.53                | 0.00               | 5.53              | 10.0 | 0.55                 |
|  | ACCOUNT #: 00066909138         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-01IN - ADAMS, BILLY     | CAPITAL WORLD GROWTH AND INCOME FUN | 0.00                 | 9.66                | 0.00               | 9.66              | 10.0 | 0.97                 |
|  | ACCOUNT #: 00067699318         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-885P - PITTAWAY, JAMES  | CAPITAL WORLD GROWTH AND INCOME FUN | 0.00                 | 1.15                | 0.00               | 1.15              | 10.0 | 0.12                 |
|  | ACCOUNT #: 00068654518         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-185P - SHERPY, RONALD   | CAPITAL WORLD GROWTH AND INCOME FUN | 0.00                 | 24.05               | 0.00               | 24.05             | 10.0 | 2.41                 |
|  | ACCOUNT #: 00069112525         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-135P - MITCHELL, GLORIA | CAPITAL WORLD GROWTH AND INCOME FUN | 0.00                 | 1.25                | 0.00               | 1.25              | 10.0 | 0.13                 |
|  | ACCOUNT #: 00073656408         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-065P - BEAULIEU, DANIKA | CAPITAL WORLD GROWTH AND INCOME FUN | 0.00                 | 4.64                | 0.00               | 4.64              | 10.0 | 0.46                 |
|  | ACCOUNT #: 00073656411         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |



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ALEX GEORGIEV  
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Rochester, NY 14623

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BRANCH #01001 - LifeMark Home Office

| DATE   | CLIENT   | INVESTMENT   | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|--|--|--|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b>BROKER TRANSACTIONS (continued)</b>                       |  |  |                      |                     |                    |                   |      |                      |
| <b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</b> |  |  |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-975P - BOUDREAU,<br>ACCOUNT #: 00073656413        | CAPITAL WORLD GROWTH AND INCOME FUN<br>BUY 0 Units @0.0000 | 0.00                 | 8.92                | 0.00               | 8.92              | 10.0 | 0.89                 |
| 03/01/2018   | ***-**-695P - LASH, NORMAN<br>ACCOUNT #: 00073656418     | CAPITAL WORLD GROWTH AND INCOME FUN<br>BUY 0 Units @0.0000 | 0.00                 | 138.85              | 0.00               | 138.85            | 10.0 | 13.89                |
| 03/01/2018   | ***-**-295P - LASH, ROBIN<br>ACCOUNT #: 00073656431      | CAPITAL WORLD GROWTH AND INCOME FUN<br>BUY 0 Units @0.0000 | 0.00                 | 112.15              | 0.00               | 112.15            | 10.0 | 11.22                |
| 03/01/2018   | ***-**-265P - SULHAM,<br>ACCOUNT #: 00073727222          | CAPITAL WORLD GROWTH AND INCOME FUN<br>BUY 0 Units @0.0000 | 0.00                 | 3.24                | 0.00               | 3.24              | 10.0 | 0.32                 |
| 03/01/2018   | ***-**-715P - STAMPER, TAMARA<br>ACCOUNT #: 00074344296  | CAPITAL WORLD GROWTH AND INCOME FUN<br>BUY 0 Units @0.0000 | 0.00                 | 0.22                | 0.00               | 0.22              | 10.0 | 0.02                 |
| 03/01/2018   | ***-**-675P - STAMPER, SCOTT<br>ACCOUNT #: 00074344325   | CAPITAL WORLD GROWTH AND INCOME FUN<br>BUY 0 Units @0.0000 | 0.00                 | 0.67                | 0.00               | 0.67              | 10.0 | 0.07                 |
| 03/01/2018   | ***-**-51IR - HEATH, KAREN<br>ACCOUNT #: 00074747791     | CAPITAL WORLD GROWTH AND INCOME FUN<br>BUY 0 Units @0.0000 | 0.00                 | 12.27               | 0.00               | 12.27             | 10.0 | 1.23                 |
| 03/01/2018   | ***-**-906I - STASSEL, JOY<br>ACCOUNT #: 00074778097     | CAPITAL WORLD GROWTH AND INCOME FUN<br>BUY 0 Units @0.0000 | 0.00                 | 4.16                | 0.00               | 4.16              | 10.0 | 0.42                 |
| 03/01/2018   | ***-**-974I - GOLDBERG, KAY<br>ACCOUNT #: 00074796752    | CAPITAL WORLD GROWTH AND INCOME FUN<br>BUY 0 Units @0.0000 | 0.00                 | 3.48                | 0.00               | 3.48              | 10.0 | 0.35                 |
| 03/01/2018   | ***-**-145P - GALLAGHER, DONNA<br>ACCOUNT #: 00074828908 | CAPITAL WORLD GROWTH AND INCOME FUN<br>BUY 0 Units @0.0000 | 0.00                 | 0.17                | 0.00               | 0.17              | 10.0 | 0.02                 |
| 03/01/2018   | ***-**-745P - TERRONEZ,<br>ACCOUNT #: 00075093015        | CAPITAL WORLD GROWTH AND INCOME FUN<br>BUY 0 Units @0.0000 | 0.00                 | 15.54               | 0.00               | 15.54             | 10.0 | 1.55                 |
| 03/01/2018   | ***-**-830I - ENGBRETSON,<br>ACCOUNT #: 00075742129      | CAPITAL WORLD GROWTH AND INCOME FUN<br>BUY 0 Units @0.0000 | 0.00                 | 0.35                | 0.00               | 0.35              | 10.0 | 0.04                 |
| 03/01/2018   | ***-**-155P - VOYLES, PAULA<br>ACCOUNT #: 00081602503    | CAPITAL WORLD GROWTH AND INCOME FUN<br>BUY 0 Units @0.0000 | 0.00                 | 1.45                | 0.00               | 1.45              | 10.0 | 0.15                 |
| 03/01/2018   | ***-**-705P - SPAULDING, JOHN<br>ACCOUNT #: 00081781375  | CAPITAL WORLD GROWTH AND INCOME FUN<br>BUY 0 Units @0.0000 | 0.00                 | 5.26                | 0.00               | 5.26              | 10.0 | 0.53                 |
| 03/01/2018   | ***-**-803I - O'ROURKE, SHERRI<br>ACCOUNT #: 00082008552 | CAPITAL WORLD GROWTH AND INCOME FUN<br>BUY 0 Units @0.0000 | 0.00                 | 8.56                | 0.00               | 8.56              | 10.0 | 0.86                 |
| 03/01/2018   | ***-**-037I - DELL, MARIAH<br>ACCOUNT #: 00082213922     | CAPITAL WORLD GROWTH AND INCOME FUN<br>BUY 0 Units @0.0000 | 0.00                 | 0.48                | 0.00               | 0.48              | 10.0 | 0.05                 |



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|--|--------------------------------|-------------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b>BROKER TRANSACTIONS (continued)</b>                       |                                |                                     |                      |                     |                    |                   |      |                      |
| <b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</b> |                                |                                     |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-525P - MATIS, DAMARIS   | CAPITAL WORLD GROWTH AND INCOME FUN | 0.00                 | 4.42                | 0.00               | 4.42              | 10.0 | 0.44                 |
|  | ACCOUNT #: 00082217486         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-800B - FISCHER, MATTHEW | CAPITAL WORLD GROWTH AND INCOME FUN | 0.00                 | 2.02                | 0.00               | 2.02              | 10.0 | 0.20                 |
|  | ACCOUNT #: 00082321139         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-903I - MAGGIACOMO,      | CAPITAL WORLD GROWTH AND INCOME FUN | 0.00                 | 10.14               | 0.00               | 10.14             | 10.0 | 1.01                 |
|  | ACCOUNT #: 00082403777         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-584I - MAGGIACOMO,      | CAPITAL WORLD GROWTH AND INCOME FUN | 0.00                 | 35.65               | 0.00               | 35.65             | 10.0 | 3.57                 |
|  | ACCOUNT #: 00082403811         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-685P - TAYLOR, AMANDA   | CAPITAL WORLD GROWTH AND INCOME FUN | 0.00                 | 0.89                | 0.00               | 0.89              | 10.0 | 0.09                 |
|  | ACCOUNT #: 00082469804         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-427I - KRUEGER, JOHN    | CAPITAL WORLD GROWTH AND INCOME FUN | 0.00                 | 10.72               | 0.00               | 10.72             | 10.0 | 1.07                 |
|  | ACCOUNT #: 00082686514         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-116J - KRUEGER, JOHN    | CAPITAL WORLD GROWTH AND INCOME FUN | 0.00                 | 1.76                | 0.00               | 1.76              | 10.0 | 0.18                 |
|  | ACCOUNT #: 00082687579         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-58UG - SHEA, CHANCE     | CAPITAL WORLD GROWTH AND INCOME FUN | 0.00                 | 2.15                | 0.00               | 2.15              | 10.0 | 0.22                 |
|  | ACCOUNT #: 00082921652         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-27IR - POSSEE, DIANE    | CAPITAL WORLD GROWTH AND INCOME FUN | 0.00                 | 4.81                | 0.00               | 4.81              | 10.0 | 0.48                 |
|  | ACCOUNT #: 00082953732         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-9414 - MACDONALD,       | CAPITAL WORLD GROWTH AND INCOME FUN | 0.00                 | 9.77                | 0.00               | 9.77              | 10.0 | 0.98                 |
|  | ACCOUNT #: 00082994026         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-618I - HULLS, JENNIFER  | CAPITAL WORLD GROWTH AND INCOME FUN | 0.00                 | 8.52                | 0.00               | 8.52              | 10.0 | 0.85                 |
|  | ACCOUNT #: 00083732568         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-944I - PIETRUCHA, JASON | CAPITAL WORLD GROWTH AND INCOME FUN | 0.00                 | 0.60                | 0.00               | 0.60              | 10.0 | 0.06                 |
|  | ACCOUNT #: 00083733042         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-173I - MATUSIEWICZ,     | CAPITAL WORLD GROWTH AND INCOME FUN | 0.00                 | 1.60                | 0.00               | 1.60              | 10.0 | 0.16                 |
|  | ACCOUNT #: 00083738493         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-063I - O'SULLIVAN,      | CAPITAL WORLD GROWTH AND INCOME FUN | 0.00                 | 0.92                | 0.00               | 0.92              | 10.0 | 0.09                 |
|  | ACCOUNT #: 00083760627         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-291I - COLBURN, CHRISSY | CAPITAL WORLD GROWTH AND INCOME FUN | 0.00                 | 0.51                | 0.00               | 0.51              | 10.0 | 0.05                 |
|  | ACCOUNT #: 00083776039         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-470I - FLUETTE, RANDY   | CAPITAL WORLD GROWTH AND INCOME FUN | 0.00                 | 24.95               | 0.00               | 24.95             | 10.0 | 2.50                 |
|  | ACCOUNT #: 00083852141         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |



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|--|--------------------------------|-------------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b>BROKER TRANSACTIONS (continued)</b>                       |                                |                                     |                      |                     |                    |                   |      |                      |
| <b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</b> |                                |                                     |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-579I - PERKINS, CHARLES | CAPITAL WORLD GROWTH AND INCOME FUN | 0.00                 | 0.06                | 0.00               | 0.06              | 10.0 | 0.01                 |
|  | ACCOUNT #: 00083860249         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-22IR - ROGUE, GINA      | CAPITAL WORLD GROWTH AND INCOME FUN | 0.00                 | 0.22                | 0.00               | 0.22              | 10.0 | 0.02                 |
|  | ACCOUNT #: 00083879358         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-225I - WEBER, MICHAEL   | CAPITAL WORLD GROWTH AND INCOME FUN | 0.00                 | 2.75                | 0.00               | 2.75              | 10.0 | 0.28                 |
|  | ACCOUNT #: 00083883804         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-751I - SPRINGER,        | CAPITAL WORLD GROWTH AND INCOME FUN | 0.00                 | 0.60                | 0.00               | 0.60              | 10.0 | 0.06                 |
|  | ACCOUNT #: 00083955094         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-956I - MCGUANE, KELLI   | CAPITAL WORLD GROWTH AND INCOME FUN | 0.00                 | 1.37                | 0.00               | 1.37              | 10.0 | 0.14                 |
|  | ACCOUNT #: 00084004988         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-529I - HINKEBEIN, AGNES | CAPITAL WORLD GROWTH AND INCOME FUN | 0.00                 | 0.63                | 0.00               | 0.63              | 10.0 | 0.06                 |
|  | ACCOUNT #: 00084150337         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-514I - BOTERO, NATALIA  | CAPITAL WORLD GROWTH AND INCOME FUN | 0.00                 | 1.65                | 0.00               | 1.65              | 10.0 | 0.17                 |
|  | ACCOUNT #: 00084169039         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-837I - NEVIN, LEN       | CAPITAL WORLD GROWTH AND INCOME FUN | 0.00                 | 0.39                | 0.00               | 0.39              | 10.0 | 0.04                 |
|  | ACCOUNT #: 00084174825         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-34IR - HARDY, VICTOR    | CAPITAL WORLD GROWTH AND INCOME FUN | 0.00                 | 5.40                | 0.00               | 5.40              | 10.0 | 0.54                 |
|  | ACCOUNT #: 00084794059         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-91IR - ADAMS, KATHY     | CAPITAL WORLD GROWTH AND INCOME FUN | 0.00                 | 1.65                | 0.00               | 1.65              | 10.0 | 0.17                 |
|  | ACCOUNT #: 00085157011         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-498I - LAPP, ZACHARY    | CAPITAL WORLD GROWTH AND INCOME FUN | 0.00                 | 3.61                | 0.00               | 3.61              | 10.0 | 0.36                 |
|  | ACCOUNT #: 00085273613         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-266I - REDGATE, PATRICK | CAPITAL WORLD GROWTH AND INCOME FUN | 0.00                 | 1.10                | 0.00               | 1.10              | 10.0 | 0.11                 |
|  | ACCOUNT #: 00085273627         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-975P - BOUDREAU,        | CAPITAL WORLD GROWTH AND INCOME FUN | 0.00                 | 7.40                | 0.00               | 7.40              | 10.0 | 0.74                 |
|  | ACCOUNT #: 00086966419         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-270I - ORMOND, JENNIFER | CAPITAL WORLD GROWTH AND INCOME FUN | 0.00                 | 0.77                | 0.00               | 0.77              | 10.0 | 0.08                 |
|  | ACCOUNT #: 00088565488         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-270I - ORMOND, JENNIFER | CAPITAL WORLD GROWTH AND INCOME FUN | 0.00                 | 0.77                | 0.00               | 0.77              | 10.0 | 0.08                 |
|  | ACCOUNT #: 00088565503         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-270I - ORMOND, JENNIFER | CAPITAL WORLD GROWTH AND INCOME FUN | 0.00                 | 0.77                | 0.00               | 0.77              | 10.0 | 0.08                 |
|  | ACCOUNT #: 00088565510         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |



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| <b>BROKER TRANSACTIONS (continued)</b>                       |                                |                                     |                      |                     |                    |                   |      |                      |
| <b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</b> |                                |                                     |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-298P - FRANKEL, SANDRA  | CAPITAL WORLD GROWTH AND INCOME FUN | 0.00                 | 2.24                | 0.00               | 2.24              | 10.0 | 0.22                 |
|  | ACCOUNT #: 00312401762         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-825P - KAUFMAN, WENDY   | CAPITAL WORLD GROWTH AND INCOME FUN | 0.00                 | 4.17                | 0.00               | 4.17              | 10.0 | 0.42                 |
|  | ACCOUNT #: 00065109106         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-22IR - RUDO, BRIAN      | CAPITAL WORLD GROWTH AND INCOME FUN | 0.00                 | 24.04               | 0.00               | 24.04             | 10.0 | 2.40                 |
|  | ACCOUNT #: 00065173876         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-495P - WALLACE, RACHAEL | CAPITAL WORLD GROWTH AND INCOME FUN | 0.00                 | 11.88               | 0.00               | 11.88             | 10.0 | 1.19                 |
|  | ACCOUNT #: 00066725827         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-825P - REED, MICHELE    | CAPITAL WORLD GROWTH AND INCOME FUN | 0.00                 | 14.62               | 0.00               | 14.62             | 10.0 | 1.46                 |
|  | ACCOUNT #: 00066767510         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-645P - CRAIG, MARK      | CAPITAL WORLD GROWTH AND INCOME FUN | 0.00                 | 12.13               | 0.00               | 12.13             | 10.0 | 1.21                 |
|  | ACCOUNT #: 00066866912         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-205P - CRAIG, HENRYKA   | CAPITAL WORLD GROWTH AND INCOME FUN | 0.00                 | 12.13               | 0.00               | 12.13             | 10.0 | 1.21                 |
|  | ACCOUNT #: 00066866913         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-985P - DAIUTO, MICHAEL  | CAPITAL WORLD GROWTH AND INCOME FUN | 0.00                 | 51.87               | 0.00               | 51.87             | 10.0 | 5.19                 |
|  | ACCOUNT #: 00067117965         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-601I - FALCK, ROBERT    | CAPITAL WORLD GROWTH AND INCOME FUN | 0.00                 | 18.23               | 0.00               | 18.23             | 10.0 | 1.82                 |
|  | ACCOUNT #: 00068513111         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-405P - STEWART,         | CAPITAL WORLD GROWTH AND INCOME FUN | 0.00                 | 4.36                | 0.00               | 4.36              | 10.0 | 0.44                 |
|  | ACCOUNT #: 00069014456         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-60RI - DUGGAN, TERESA   | CAPITAL WORLD GROWTH AND INCOME FUN | 0.00                 | 6.21                | 0.00               | 6.21              | 10.0 | 0.62                 |
|  | ACCOUNT #: 00073561351         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-245P - KURMAN, MICHELLE | CAPITAL WORLD GROWTH AND INCOME FUN | 0.00                 | 18.61               | 0.00               | 18.61             | 10.0 | 1.86                 |
|  | ACCOUNT #: 00073571102         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-89IR - JOHNSON, JASON   | CAPITAL WORLD GROWTH AND INCOME FUN | 0.00                 | 4.55                | 0.00               | 4.55              | 10.0 | 0.46                 |
|  | ACCOUNT #: 00073872552         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-025P - PADRO, PILAR     | CAPITAL WORLD GROWTH AND INCOME FUN | 0.00                 | 3.61                | 0.00               | 3.61              | 10.0 | 0.36                 |
|  | ACCOUNT #: 00073903493         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-055P - MCADOO, ERICA    | CAPITAL WORLD GROWTH AND INCOME FUN | 0.00                 | 9.59                | 0.00               | 9.59              | 10.0 | 0.96                 |
|  | ACCOUNT #: 00073903597         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-8594 - LEITZELL, THOMAS | CAPITAL WORLD GROWTH AND INCOME FUN | 0.00                 | 6.89                | 0.00               | 6.89              | 10.0 | 0.69                 |
|  | ACCOUNT #: 00074396415         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |





# COMMISSION STATEMENT

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ALEX GEORGIEV  
400 West Metro Park  
Rochester, NY 14623

BROKER #: AGJ  
BRANCH #01001 - LifeMark Home Office

| DATE   | CLIENT   | INVESTMENT   | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|--|--|--|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b>BROKER TRANSACTIONS (continued)</b>                       |  |  |                      |                     |                    |                   |      |                      |
| <b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</b> |  |  |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-655P - ANDREWS-MURRAY,<br>ACCOUNT #: 00074396716  | CAPITAL WORLD GROWTH AND INCOME FUN<br>BUY 0 Units @0.0000 | 0.00                 | 12.89               | 0.00               | 12.89             | 10.0 | 1.29                 |
| 03/01/2018   | ***-**-802J - MAASS, CARLY<br>ACCOUNT #: 00074618503     | CAPITAL WORLD GROWTH AND INCOME FUN<br>BUY 0 Units @0.0000 | 0.00                 | 25.35               | 0.00               | 25.35             | 10.0 | 2.54                 |
| 03/01/2018   | ***-**-72IN - THUMULURU,<br>ACCOUNT #: 00074749751       | CAPITAL WORLD GROWTH AND INCOME FUN<br>BUY 0 Units @0.0000 | 0.00                 | 13.68               | 0.00               | 13.68             | 10.0 | 1.37                 |
| 03/01/2018   | ***-**-305P - FELMEY, JONATHAN<br>ACCOUNT #: 00074808923 | CAPITAL WORLD GROWTH AND INCOME FUN<br>BUY 0 Units @0.0000 | 0.00                 | 11.13               | 0.00               | 11.13             | 10.0 | 1.11                 |
| 03/01/2018   | ***-**-32SI - FERRARA, FABIO<br>ACCOUNT #: 00074879556   | CAPITAL WORLD GROWTH AND INCOME FUN<br>BUY 0 Units @0.0000 | 0.00                 | 14.67               | 0.00               | 14.67             | 10.0 | 1.47                 |
| 03/01/2018   | ***-**-721J - KONANUR,<br>ACCOUNT #: 00074931174         | CAPITAL WORLD GROWTH AND INCOME FUN<br>BUY 0 Units @0.0000 | 0.00                 | 31.41               | 0.00               | 31.41             | 10.0 | 3.14                 |
| 03/01/2018   | ***-**-6588 - SUMMO, RODNEY<br>ACCOUNT #: 00074983224    | CAPITAL WORLD GROWTH AND INCOME FUN<br>BUY 0 Units @0.0000 | 0.00                 | 1.09                | 0.00               | 1.09              | 10.0 | 0.11                 |
| 03/01/2018   | ***-**-655P - DUDAS, DANIELLE<br>ACCOUNT #: 00075306339  | CAPITAL WORLD GROWTH AND INCOME FUN<br>BUY 0 Units @0.0000 | 0.00                 | 7.74                | 0.00               | 7.74              | 10.0 | 0.77                 |
| 03/01/2018   | ***-**-325P - WHITE, LOUISE<br>ACCOUNT #: 00075534398    | CAPITAL WORLD GROWTH AND INCOME FUN<br>BUY 0 Units @0.0000 | 0.00                 | 0.08                | 0.00               | 0.08              | 10.0 | 0.01                 |
| 03/01/2018   | ***-**-625P - OSBORNE, ASA J<br>ACCOUNT #: 00081116910   | CAPITAL WORLD GROWTH AND INCOME FUN<br>BUY 0 Units @0.0000 | 0.00                 | 15.88               | 0.00               | 15.88             | 10.0 | 1.59                 |
| 03/01/2018   | ***-**-439I - SHILOACH,<br>ACCOUNT #: 00081137739        | CAPITAL WORLD GROWTH AND INCOME FUN<br>BUY 0 Units @0.0000 | 0.00                 | 2.61                | 0.00               | 2.61              | 10.0 | 0.26                 |
| 03/01/2018   | ***-**-106I - SHILOACH, MOLLIE<br>ACCOUNT #: 00081181291 | CAPITAL WORLD GROWTH AND INCOME FUN<br>BUY 0 Units @0.0000 | 0.00                 | 2.87                | 0.00               | 2.87              | 10.0 | 0.29                 |
| 03/01/2018   | ***-**-203I - SHILOACH, SHARON<br>ACCOUNT #: 00081205944 | CAPITAL WORLD GROWTH AND INCOME FUN<br>BUY 0 Units @0.0000 | 0.00                 | 2.53                | 0.00               | 2.53              | 10.0 | 0.25                 |
| 03/01/2018   | ***-**-335P - MCCANN, COLIN<br>ACCOUNT #: 00081438545    | CAPITAL WORLD GROWTH AND INCOME FUN<br>BUY 0 Units @0.0000 | 0.00                 | 1.06                | 0.00               | 1.06              | 10.0 | 0.11                 |
| 03/01/2018   | ***-**-565P - DANIEL, MARK<br>ACCOUNT #: 00081582840     | CAPITAL WORLD GROWTH AND INCOME FUN<br>BUY 0 Units @0.0000 | 0.00                 | 4.94                | 0.00               | 4.94              | 10.0 | 0.49                 |
| 03/01/2018   | ***-**-721I - SHILOACH, JOSEPH<br>ACCOUNT #: 00081655924 | CAPITAL WORLD GROWTH AND INCOME FUN<br>BUY 0 Units @0.0000 | 0.00                 | 20.77               | 0.00               | 20.77             | 10.0 | 2.08                 |



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|--|--|--|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b>BROKER TRANSACTIONS (continued)</b>                       |  |  |                      |                     |                    |                   |      |                      |
| <b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</b> |  |  |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-76SI - JONES, MARCIE<br>ACCOUNT #: 00081719052    | CAPITAL WORLD GROWTH AND INCOME FUN<br>BUY 0 Units @0.0000 | 0.00                 | 23.76               | 0.00               | 23.76             | 10.0 | 2.38                 |
| 03/01/2018   | ***-**-500I - MUPPIDI, JAYA<br>ACCOUNT #: 00082114542    | CAPITAL WORLD GROWTH AND INCOME FUN<br>BUY 0 Units @0.0000 | 0.00                 | 19.70               | 0.00               | 19.70             | 10.0 | 1.97                 |
| 03/01/2018   | ***-**-267I - MUPPIDI, LATHA<br>ACCOUNT #: 00082114548   | CAPITAL WORLD GROWTH AND INCOME FUN<br>BUY 0 Units @0.0000 | 0.00                 | 1.66                | 0.00               | 1.66              | 10.0 | 0.17                 |
| 03/01/2018   | ***-**-055P - BOO, ROBERT<br>ACCOUNT #: 00082197715      | CAPITAL WORLD GROWTH AND INCOME FUN<br>BUY 0 Units @0.0000 | 0.00                 | 0.05                | 0.00               | 0.05              | 10.0 | 0.01                 |
| 03/01/2018   | ***-**-185P - KONIZESKI, DELIA<br>ACCOUNT #: 00082792992 | CAPITAL WORLD GROWTH AND INCOME FUN<br>BUY 0 Units @0.0000 | 0.00                 | 4.17                | 0.00               | 4.17              | 10.0 | 0.42                 |
| 03/01/2018   | ***-**-3602 - RAINES, THOMAS<br>ACCOUNT #: 00083471955   | CAPITAL WORLD GROWTH AND INCOME FUN<br>BUY 0 Units @0.0000 | 0.00                 | 6.40                | 0.00               | 6.40              | 10.0 | 0.64                 |
| 03/01/2018   | ***-**-415P - TARANTINO, SCOTT<br>ACCOUNT #: 00087447990 | CAPITAL WORLD GROWTH AND INCOME FUN<br>BUY 0 Units @0.0000 | 0.00                 | 18.66               | 0.00               | 18.66             | 10.0 | 1.87                 |
| 03/01/2018   | ***-**-345P -<br>ACCOUNT #: 00067128072                  | CAPITAL WORLD GROWTH AND INCOME FUN<br>BUY 0 Units @0.0000 | 0.00                 | 158.53              | 0.00               | 158.53            | 10.0 | 15.85                |
| 03/01/2018   | ***-**-815P - SIMPSON, JARED<br>ACCOUNT #: 00073284461   | CAPITAL WORLD GROWTH AND INCOME-529<br>BUY 0 Units @0.0000 | 0.00                 | 0.55                | 0.00               | 0.55              | 10.0 | 0.06                 |
| 03/01/2018   | ***-**-275P - KRUEGER, PAULA<br>ACCOUNT #: 00082687532   | CAPITAL WORLD GROWTH AND INCOME-529<br>BUY 0 Units @0.0000 | 0.00                 | 1.62                | 0.00               | 1.62              | 10.0 | 0.16                 |
| 03/01/2018   | ***-**-0619 - SHORB, STANLEY<br>ACCOUNT #: 00083330700   | CAPITAL WORLD GROWTH AND INCOME-529<br>BUY 0 Units @0.0000 | 0.00                 | 2.14                | 0.00               | 2.14              | 10.0 | 0.21                 |
| 03/01/2018   | ***-**-5239 - TERRELL, EMILY<br>ACCOUNT #: 00083570795   | CAPITAL WORLD GROWTH AND INCOME-529<br>BUY 0 Units @0.0000 | 0.00                 | 12.72               | 0.00               | 12.72             | 10.0 | 1.27                 |
| 03/01/2018   | ***-**-5239 - TERRELL, EMILY<br>ACCOUNT #: 00083571087   | CAPITAL WORLD GROWTH AND INCOME-529<br>BUY 0 Units @0.0000 | 0.00                 | 10.77               | 0.00               | 10.77             | 10.0 | 1.08                 |
| 03/01/2018   | ***-**-0619 - SHORB, STANLEY<br>ACCOUNT #: 00087534220   | CAPITAL WORLD GROWTH AND INCOME-529<br>BUY 0 Units @0.0000 | 0.00                 | 4.82                | 0.00               | 4.82              | 10.0 | 0.48                 |
| 03/01/2018   | ***-**-0619 - SHORB, STANLEY<br>ACCOUNT #: 00087534228   | CAPITAL WORLD GROWTH AND INCOME-529<br>BUY 0 Units @0.0000 | 0.00                 | 4.70                | 0.00               | 4.70              | 10.0 | 0.47                 |
| 03/01/2018   | ***-**-235P - SCHEIDT,<br>ACCOUNT #: 00083183853         | CAPITAL WORLD GROWTH AND INCOME-529<br>BUY 0 Units @0.0000 | 0.00                 | 0.90                | 0.00               | 0.90              | 10.0 | 0.09                 |



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|---|--|--|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b><u>BROKER TRANSACTIONS (continued)</u></b>                       |  |  |                      |                     |                    |                   |      |                      |
| <b><u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</u></b> |  |  |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-235P - SCHEIDT,<br>ACCOUNT #: 00083183938         | CAPITAL WORLD GROWTH AND INCOME-529<br>BUY 0 Units @0.0000 | 0.00                 | 0.90                | 0.00               | 0.90              | 10.0 | 0.09                 |
| 03/01/2018  | ***-**-235P - SCHEIDT,<br>ACCOUNT #: 00083184088         | CAPITAL WORLD GROWTH AND INCOME-529<br>BUY 0 Units @0.0000 | 0.00                 | 0.90                | 0.00               | 0.90              | 10.0 | 0.09                 |
| 03/01/2018  | ***-**-225P - GRIMMETT, RODNEY<br>ACCOUNT #: 00083527897 | CAPITAL WORLD GROWTH AND INCOME-529<br>BUY 0 Units @0.0000 | 0.00                 | 0.40                | 0.00               | 0.40              | 10.0 | 0.04                 |
| 03/01/2018  | ***-**-225P - GRIMMETT, RODNEY<br>ACCOUNT #: 00083527964 | CAPITAL WORLD GROWTH AND INCOME-529<br>BUY 0 Units @0.0000 | 0.00                 | 0.29                | 0.00               | 0.29              | 10.0 | 0.03                 |
| 03/01/2018  | ***-**-235P - SCHEIDT,<br>ACCOUNT #: 00084738567         | CAPITAL WORLD GROWTH AND INCOME-529<br>BUY 0 Units @0.0000 | 0.00                 | 1.02                | 0.00               | 1.02              | 10.0 | 0.10                 |
| 03/01/2018  | ***-**-235P - SCHEIDT,<br>ACCOUNT #: 00084738585         | CAPITAL WORLD GROWTH AND INCOME-529<br>BUY 0 Units @0.0000 | 0.00                 | 1.02                | 0.00               | 1.02              | 10.0 | 0.10                 |
| 03/01/2018  | ***-**-235P - SCHEIDT,<br>ACCOUNT #: 00086445473         | CAPITAL WORLD GROWTH AND INCOME-529<br>BUY 0 Units @0.0000 | 0.00                 | 0.98                | 0.00               | 0.98              | 10.0 | 0.10                 |
| 03/01/2018  | ***-**-495P - WALLACE, RACHAEL<br>ACCOUNT #: 00067969420 | CAPITAL WORLD GROWTH AND INCOME-529<br>BUY 0 Units @0.0000 | 0.00                 | 3.71                | 0.00               | 3.71              | 10.0 | 0.37                 |
| 03/01/2018  | ***-**-445P - PRAGER, TIFFANY<br>ACCOUNT #: 00073887960  | CAPITAL WORLD GROWTH AND INCOME-529<br>BUY 0 Units @0.0000 | 0.00                 | 10.18               | 0.00               | 10.18             | 10.0 | 1.02                 |
| 03/01/2018  | ***-**-385P - LITMAN, WENDY<br>ACCOUNT #: 00074632301    | CAPITAL WORLD GROWTH AND INCOME-529<br>BUY 0 Units @0.0000 | 0.00                 | 12.21               | 0.00               | 12.21             | 10.0 | 1.22                 |
| 03/01/2018  | ***-**-425P - LEWIS, SALLY<br>ACCOUNT #: 00074632483     | CAPITAL WORLD GROWTH AND INCOME-529<br>BUY 0 Units @0.0000 | 0.00                 | 10.07               | 0.00               | 10.07             | 10.0 | 1.01                 |
| 03/01/2018  | ***-**-015P - SEVERE, DAVID<br>ACCOUNT #: 00075266090    | CAPITAL WORLD GROWTH AND INCOME-529<br>BUY 0 Units @0.0000 | 0.00                 | 0.12                | 0.00               | 0.12              | 10.0 | 0.01                 |
| 03/01/2018  | ***-**-305P - ALOOR, RAVI<br>ACCOUNT #: 00081141529      | CAPITAL WORLD GROWTH AND INCOME-529<br>BUY 0 Units @0.0000 | 0.00                 | 15.42               | 0.00               | 15.42             | 10.0 | 1.54                 |
| 03/01/2018  | ***-**-615P - DOWLA, JAMES<br>ACCOUNT #: 00081235869     | CAPITAL WORLD GROWTH AND INCOME-529<br>BUY 0 Units @0.0000 | 0.00                 | 3.88                | 0.00               | 3.88              | 10.0 | 0.39                 |
| 03/01/2018  | ***-**-615P - DOWLA, JAMES<br>ACCOUNT #: 00081235942     | CAPITAL WORLD GROWTH AND INCOME-529<br>BUY 0 Units @0.0000 | 0.00                 | 3.88                | 0.00               | 3.88              | 10.0 | 0.39                 |
| 03/01/2018  | ***-**-745P - MILETO, LEO<br>ACCOUNT #: 00081348773      | CAPITAL WORLD GROWTH AND INCOME-529<br>BUY 0 Units @0.0000 | 0.00                 | 8.90                | 0.00               | 8.90              | 10.0 | 0.89                 |



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|--|--|--|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b>BROKER TRANSACTIONS (continued)</b>                       |  |  |                      |                     |                    |                   |      |                      |
| <b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</b> |  |  |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-045P - RAMESHKUMAR,<br>ACCOUNT #: 00081777057     | CAPITAL WORLD GROWTH AND INCOME-529<br>BUY 0 Units @0.0000 | 0.00                 | 6.24                | 0.00               | 6.24              | 10.0 | 0.62                 |
| 03/01/2018   | ***-**-265P - MILETO, LINDA<br>ACCOUNT #: 00082236188    | CAPITAL WORLD GROWTH AND INCOME-529<br>BUY 0 Units @0.0000 | 0.00                 | 2.07                | 0.00               | 2.07              | 10.0 | 0.21                 |
| 03/01/2018   | ***-**-885P - PERTNOY, LOGAN<br>ACCOUNT #: 00082384738   | CAPITAL WORLD GROWTH AND INCOME-529<br>BUY 0 Units @0.0000 | 0.00                 | 1.34                | 0.00               | 1.34              | 10.0 | 0.13                 |
| 03/01/2018   | ***-**-015P - SEVERE, DAVID<br>ACCOUNT #: 00082698692    | CAPITAL WORLD GROWTH AND INCOME-529<br>BUY 0 Units @0.0000 | 0.00                 | 20.36               | 0.00               | 20.36             | 10.0 | 2.04                 |
| 03/01/2018   | ***-**-955P - STARTZEL, MARCUS<br>ACCOUNT #: 00082708555 | CAPITAL WORLD GROWTH AND INCOME-529<br>BUY 0 Units @0.0000 | 0.00                 | 13.62               | 0.00               | 13.62             | 10.0 | 1.36                 |
| 03/01/2018   | ***-**-025P - MAASS, JEFF<br>ACCOUNT #: 00083404336      | CAPITAL WORLD GROWTH AND INCOME-529<br>BUY 0 Units @0.0000 | 0.00                 | 0.27                | 0.00               | 0.27              | 10.0 | 0.03                 |
| 03/01/2018   | ***-**-895P - TERODEMOS,<br>ACCOUNT #: 00083755824       | CAPITAL WORLD GROWTH AND INCOME-529<br>BUY 0 Units @0.0000 | 0.00                 | 0.29                | 0.00               | 0.29              | 10.0 | 0.03                 |
| 03/01/2018   | ***-**-785P - TRAUT, ASHLEY<br>ACCOUNT #: 00084318664    | CAPITAL WORLD GROWTH AND INCOME-529<br>BUY 0 Units @0.0000 | 0.00                 | 9.25                | 0.00               | 9.25              | 10.0 | 0.93                 |
| 03/01/2018   | ***-**-245P - GALFORD, DAVID<br>ACCOUNT #: 00084737271   | CAPITAL WORLD GROWTH AND INCOME-529<br>BUY 0 Units @0.0000 | 0.00                 | 4.70                | 0.00               | 4.70              | 10.0 | 0.47                 |
| 03/01/2018   | ***-**-825P - MARKS, JACOB<br>ACCOUNT #: 00085088195     | CAPITAL WORLD GROWTH AND INCOME-529<br>BUY 0 Units @0.0000 | 0.00                 | 5.07                | 0.00               | 5.07              | 10.0 | 0.51                 |
| 03/01/2018   | ***-**-825P - MARKS, JACOB<br>ACCOUNT #: 00085088223     | CAPITAL WORLD GROWTH AND INCOME-529<br>BUY 0 Units @0.0000 | 0.00                 | 5.07                | 0.00               | 5.07              | 10.0 | 0.51                 |
| 03/01/2018   | ***-**-825P - MARKS, JACOB<br>ACCOUNT #: 00085088240     | CAPITAL WORLD GROWTH AND INCOME-529<br>BUY 0 Units @0.0000 | 0.00                 | 5.07                | 0.00               | 5.07              | 10.0 | 0.51                 |
| 03/01/2018   | ***-**-215P - FLOREY, JILL<br>ACCOUNT #: 00085208452     | CAPITAL WORLD GROWTH AND INCOME-529<br>BUY 0 Units @0.0000 | 0.00                 | 1.22                | 0.00               | 1.22              | 10.0 | 0.12                 |
| 03/01/2018   | ***-**-2802 - MAASS, TY<br>ACCOUNT #: 00085284547        | CAPITAL WORLD GROWTH AND INCOME-529<br>BUY 0 Units @0.0000 | 0.00                 | 0.13                | 0.00               | 0.13              | 10.0 | 0.01                 |
| 03/01/2018   | ***-**-865P - FRIEDMAN, ALAN<br>ACCOUNT #: 00085595847   | CAPITAL WORLD GROWTH AND INCOME-529<br>BUY 0 Units @0.0000 | 0.00                 | 3.13                | 0.00               | 3.13              | 10.0 | 0.31                 |
| 03/01/2018   | ***-**-015P - SEVERE, DAVID<br>ACCOUNT #: 00086510141    | CAPITAL WORLD GROWTH AND INCOME-529<br>BUY 0 Units @0.0000 | 0.00                 | 3.85                | 0.00               | 3.85              | 10.0 | 0.39                 |



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| <b>BROKER TRANSACTIONS (continued)</b>                       |                                |                                     |                      |                     |                    |                   |      |                      |
| <b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</b> |                                |                                     |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-005P - SIRCY, PATRICK   | CAPITAL WORLD GROWTH AND INCOME-529 | 0.00                 | 7.22                | 0.00               | 7.22              | 10.0 | 0.72                 |
|  | ACCOUNT #: 00081938666         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-345P -                  | CAPITAL WORLD GROWTH AND INCOME-F1  | 0.00                 | 6.71                | 0.00               | 6.71              | 10.0 | 0.67                 |
|  | ACCOUNT #: 00067128072         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-105P - REDDIAR,         | COLLEGE 2018 FUND-529A              | 0.00                 | 35.19               | 0.00               | 35.19             | 10.0 | 3.52                 |
|  | ACCOUNT #: 00068500024         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-855P - HELFAND, JEREMY  | COLLEGE 2018 FUND-529A              | 0.00                 | 193.40              | 0.00               | 193.40            | 10.0 | 19.34                |
|  | ACCOUNT #: 00068955194         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-865P - BECKER, SEAN     | COLLEGE 2018 FUND-529A              | 0.00                 | 3.05                | 0.00               | 3.05              | 10.0 | 0.31                 |
|  | ACCOUNT #: 00073126111         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-2410 - PUTHIYA-VEETIL,  | COLLEGE 2018 FUND-529A              | 0.00                 | 6.92                | 0.00               | 6.92              | 10.0 | 0.69                 |
|  | ACCOUNT #: 00073508689         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-485P - FRAZEE, SCOTT    | COLLEGE 2018 FUND-529A              | 0.00                 | 18.87               | 0.00               | 18.87             | 10.0 | 1.89                 |
|  | ACCOUNT #: 00074297457         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-4064 - BOCCIA, EMMA     | COLLEGE 2018 FUND-529A              | 0.00                 | 77.90               | 0.00               | 77.90             | 10.0 | 7.79                 |
|  | ACCOUNT #: 00083146208         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-915P - FRIEDMAN, KEITH  | COLLEGE 2018 FUND-529A              | 0.00                 | 47.22               | 0.00               | 47.22             | 10.0 | 4.72                 |
|  | ACCOUNT #: 00083404020         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-205P - VAN DYK,         | COLLEGE 2018 FUND-529A              | 0.00                 | 13.98               | 0.00               | 13.98             | 10.0 | 1.40                 |
|  | ACCOUNT #: 00084319083         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-415P - TARANTINO, SCOTT | COLLEGE 2018 FUND-529A              | 0.00                 | 21.12               | 0.00               | 21.12             | 10.0 | 2.11                 |
|  | ACCOUNT #: 00087442846         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-865P - BECKER, SEAN     | COLLEGE 2018 FUND-529C              | 0.00                 | 8.45                | 0.00               | 8.45              | 10.0 | 0.85                 |
|  | ACCOUNT #: 00073126111         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-625P - KAGEN, BRANDON   | COLLEGE 2021 FUND-529A              | 0.00                 | 68.64               | 0.00               | 68.64             | 10.0 | 6.86                 |
|  | ACCOUNT #: 00067841579         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-705P - KAGEN, JUSTIN    | COLLEGE 2021 FUND-529A              | 0.00                 | 107.61              | 0.00               | 107.61            | 10.0 | 10.76                |
|  | ACCOUNT #: 00067841580         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-315P - EBERWEIN,        | COLLEGE 2021 FUND-529A              | 0.00                 | 3.19                | 0.00               | 3.19              | 10.0 | 0.32                 |
|  | ACCOUNT #: 00068196369         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-715P - INSCORE, ANJELI  | COLLEGE 2021 FUND-529A              | 0.00                 | 79.86               | 0.00               | 79.86             | 10.0 | 7.99                 |
|  | ACCOUNT #: 00068199980         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |



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| DATE   | CLIENT                        | INVESTMENT             | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|--|-------------------------------|------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b>BROKER TRANSACTIONS (continued)</b>                       |                               |                        |                      |                     |                    |                   |      |                      |
| <b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</b> |                               |                        |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-855P - HELFAND, JEREMY | COLLEGE 2021 FUND-529A | 0.00                 | 129.66              | 0.00               | 129.66            | 10.0 | 12.97                |
|  | ACCOUNT #: 00068955196        | BUY 0 Units @0.0000    |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-965P - ROZENCWAIG,     | COLLEGE 2021 FUND-529A | 0.00                 | 32.16               | 0.00               | 32.16             | 10.0 | 3.22                 |
|  | ACCOUNT #: 00074006097        | BUY 0 Units @0.0000    |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-485P - FRAZEE, SCOTT   | COLLEGE 2021 FUND-529A | 0.00                 | 29.51               | 0.00               | 29.51             | 10.0 | 2.95                 |
|  | ACCOUNT #: 00074297355        | BUY 0 Units @0.0000    |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-595P - FRAZEE, FRANKIE | COLLEGE 2021 FUND-529A | 0.00                 | 29.30               | 0.00               | 29.30             | 10.0 | 2.93                 |
|  | ACCOUNT #: 00074297387        | BUY 0 Units @0.0000    |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-375P - APPLEFELD, EMME | COLLEGE 2021 FUND-529A | 0.00                 | 7.11                | 0.00               | 7.11              | 10.0 | 0.71                 |
|  | ACCOUNT #: 00081414868        | BUY 0 Units @0.0000    |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-50IS - DAILEY, JESSICA | COLLEGE 2021 FUND-529A | 0.00                 | 11.66               | 0.00               | 11.66             | 10.0 | 1.17                 |
|  | ACCOUNT #: 00082663538        | BUY 0 Units @0.0000    |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-549I - BOXMAN, KENNETH | COLLEGE 2021 FUND-529A | 0.00                 | 3.56                | 0.00               | 3.56              | 10.0 | 0.36                 |
|  | ACCOUNT #: 00084815726        | BUY 0 Units @0.0000    |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-43FB - FISHER, BETH    | COLLEGE 2021 FUND-529A | 0.00                 | 44.75               | 0.00               | 44.75             | 10.0 | 4.48                 |
|  | ACCOUNT #: 00087645860        | BUY 0 Units @0.0000    |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-425P - RADINSKY,       | COLLEGE 2024 FUND-529A | 0.00                 | 17.59               | 0.00               | 17.59             | 10.0 | 1.76                 |
|  | ACCOUNT #: 00068975130        | BUY 0 Units @0.0000    |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-95IR - WEISMAN, DAVID  | COLLEGE 2024 FUND-529A | 0.00                 | 31.56               | 0.00               | 31.56             | 10.0 | 3.16                 |
|  | ACCOUNT #: 00075230643        | BUY 0 Units @0.0000    |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-95IR - WEISMAN, DAVID  | COLLEGE 2024 FUND-529A | 0.00                 | 31.56               | 0.00               | 31.56             | 10.0 | 3.16                 |
|  | ACCOUNT #: 00075230711        | BUY 0 Units @0.0000    |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-855P - HELFAND, JEREMY | COLLEGE 2024 FUND-529A | 0.00                 | 138.71              | 0.00               | 138.71            | 10.0 | 13.87                |
|  | ACCOUNT #: 00075566133        | BUY 0 Units @0.0000    |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-945P - APPLEFELD,      | COLLEGE 2024 FUND-529A | 0.00                 | 7.82                | 0.00               | 7.82              | 10.0 | 0.78                 |
|  | ACCOUNT #: 00081414819        | BUY 0 Units @0.0000    |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-238I - STELLER, KEITH  | COLLEGE 2024 FUND-529A | 0.00                 | 20.38               | 0.00               | 20.38             | 10.0 | 2.04                 |
|  | ACCOUNT #: 00081574508        | BUY 0 Units @0.0000    |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-515P - FELICE,         | COLLEGE 2024 FUND-529A | 0.00                 | 36.18               | 0.00               | 36.18             | 10.0 | 3.62                 |
|  | ACCOUNT #: 00081839848        | BUY 0 Units @0.0000    |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-485P - AVRAHAM, NOA    | COLLEGE 2024 FUND-529A | 0.00                 | 9.32                | 0.00               | 9.32              | 10.0 | 0.93                 |
|  | ACCOUNT #: 00082008704        | BUY 0 Units @0.0000    |                      |                     |                    |                   |      |                      |



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|--|--------------------------------|------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b>BROKER TRANSACTIONS (continued)</b>                       |                                |                        |                      |                     |                    |                   |      |                      |
| <b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</b> |                                |                        |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-535P - INSCORE, DAVID   | COLLEGE 2024 FUND-529A | 0.00                 | 83.06               | 0.00               | 83.06             | 10.0 | 8.31                 |
|  | ACCOUNT #: 00082313940         | BUY 0 Units @0.0000    |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-845P - BLUM, ANDREW     | COLLEGE 2024 FUND-529A | 0.00                 | 12.70               | 0.00               | 12.70             | 10.0 | 1.27                 |
|  | ACCOUNT #: 00082640817         | BUY 0 Units @0.0000    |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-255P - ERTER, SIANNA    | COLLEGE 2024 FUND-529A | 0.00                 | 98.39               | 0.00               | 98.39             | 10.0 | 9.84                 |
|  | ACCOUNT #: 00082794518         | BUY 0 Units @0.0000    |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-5966 - BOCCIA, BROCK    | COLLEGE 2024 FUND-529A | 0.00                 | 53.59               | 0.00               | 53.59             | 10.0 | 5.36                 |
|  | ACCOUNT #: 00083146222         | BUY 0 Units @0.0000    |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-915P - FRIEDMAN, KEITH  | COLLEGE 2024 FUND-529A | 0.00                 | 33.83               | 0.00               | 33.83             | 10.0 | 3.38                 |
|  | ACCOUNT #: 00083403951         | BUY 0 Units @0.0000    |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-025P - MAASS, JEFF      | COLLEGE 2024 FUND-529A | 0.00                 | 11.81               | 0.00               | 11.81             | 10.0 | 1.18                 |
|  | ACCOUNT #: 00083404336         | BUY 0 Units @0.0000    |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-095P - BECKER, STEPHEN  | COLLEGE 2024 FUND-529A | 0.00                 | 13.51               | 0.00               | 13.51             | 10.0 | 1.35                 |
|  | ACCOUNT #: 00083497419         | BUY 0 Units @0.0000    |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-245P - WALTER, CHARLES  | COLLEGE 2024 FUND-529A | 0.00                 | 12.40               | 0.00               | 12.40             | 10.0 | 1.24                 |
|  | ACCOUNT #: 00083638410         | BUY 0 Units @0.0000    |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-411N - PUTHIYA-VEETIL,  | COLLEGE 2024 FUND-529A | 0.00                 | 6.39                | 0.00               | 6.39              | 10.0 | 0.64                 |
|  | ACCOUNT #: 00083895119         | BUY 0 Units @0.0000    |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-165P - STRONG, THUY     | COLLEGE 2024 FUND-529A | 0.00                 | 17.17               | 0.00               | 17.17             | 10.0 | 1.72                 |
|  | ACCOUNT #: 00084926295         | BUY 0 Units @0.0000    |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-415P - TARANTINO, SCOTT | COLLEGE 2024 FUND-529A | 0.00                 | 23.34               | 0.00               | 23.34             | 10.0 | 2.33                 |
|  | ACCOUNT #: 00087442831         | BUY 0 Units @0.0000    |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-915P - ANAND, POOJA     | COLLEGE 2024 FUND-529A | 0.00                 | 26.07               | 0.00               | 26.07             | 10.0 | 2.61                 |
|  | ACCOUNT #: 00087471634         | BUY 0 Units @0.0000    |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-43FB - FISHER, BETH     | COLLEGE 2024 FUND-529A | 0.00                 | 44.02               | 0.00               | 44.02             | 10.0 | 4.40                 |
|  | ACCOUNT #: 00087645856         | BUY 0 Units @0.0000    |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-911N - FRIEDMAN, KEITH  | COLLEGE 2027 FUND-529A | 0.00                 | 31.42               | 0.00               | 31.42             | 10.0 | 3.14                 |
|  | ACCOUNT #: 00084072810         | BUY 0 Units @0.0000    |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-385P - STELLER, KEITH   | COLLEGE 2027 FUND-529A | 0.00                 | 13.52               | 0.00               | 13.52             | 10.0 | 1.35                 |
|  | ACCOUNT #: 00084096050         | BUY 0 Units @0.0000    |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-3204 - MURPHY, PAUL     | COLLEGE 2027 FUND-529A | 0.00                 | 55.99               | 0.00               | 55.99             | 10.0 | 5.60                 |
|  | ACCOUNT #: 00084140220         | BUY 0 Units @0.0000    |                      |                     |                    |                   |      |                      |



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|--|--------------------------------|------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b>BROKER TRANSACTIONS (continued)</b>                       |                                |                        |                      |                     |                    |                   |      |                      |
| <b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</b> |                                |                        |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-7623 - BESTIMT, JASON   | COLLEGE 2027 FUND-529A | 0.00                 | 41.26               | 0.00               | 41.26             | 10.0 | 4.13                 |
|  | ACCOUNT #: 00084698857         | BUY 0 Units @0.0000    |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-5184 - BLUM, ANDREW     | COLLEGE 2027 FUND-529A | 0.00                 | 8.53                | 0.00               | 8.53              | 10.0 | 0.85                 |
|  | ACCOUNT #: 00084715208         | BUY 0 Units @0.0000    |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-4651 - FELICE,          | COLLEGE 2027 FUND-529A | 0.00                 | 23.35               | 0.00               | 23.35             | 10.0 | 2.34                 |
|  | ACCOUNT #: 00084886630         | BUY 0 Units @0.0000    |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-2802 - MAASS, TY        | COLLEGE 2027 FUND-529A | 0.00                 | 19.54               | 0.00               | 19.54             | 10.0 | 1.95                 |
|  | ACCOUNT #: 00085284547         | BUY 0 Units @0.0000    |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-715P - WIEZOREK, STEVEN | COLLEGE 2027 FUND-529A | 0.00                 | 21.95               | 0.00               | 21.95             | 10.0 | 2.20                 |
|  | ACCOUNT #: 00085664947         | BUY 0 Units @0.0000    |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-555P - FUCHS, JEFF      | COLLEGE 2027 FUND-529A | 0.00                 | 36.71               | 0.00               | 36.71             | 10.0 | 3.67                 |
|  | ACCOUNT #: 00085687170         | BUY 0 Units @0.0000    |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-095P - BECKER, STEPHEN  | COLLEGE 2027 FUND-529A | 0.00                 | 10.09               | 0.00               | 10.09             | 10.0 | 1.01                 |
|  | ACCOUNT #: 00085704555         | BUY 0 Units @0.0000    |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-172I - ERTER, AARON     | COLLEGE 2027 FUND-529A | 0.00                 | 58.53               | 0.00               | 58.53             | 10.0 | 5.85                 |
|  | ACCOUNT #: 00085967170         | BUY 0 Units @0.0000    |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-145P - ZUKERBERG,       | COLLEGE 2027 FUND-529A | 0.00                 | 1.10                | 0.00               | 1.10              | 10.0 | 0.11                 |
|  | ACCOUNT #: 00089641045         | BUY 0 Units @0.0000    |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-5184 - BLUM, ANDREW     | COLLEGE 2030 FUND-529A | 0.00                 | 8.21                | 0.00               | 8.21              | 10.0 | 0.82                 |
|  | ACCOUNT #: 00086418332         | BUY 0 Units @0.0000    |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-735P - STEVENS, SCOTT   | COLLEGE 2030 FUND-529A | 0.00                 | 14.39               | 0.00               | 14.39             | 10.0 | 1.44                 |
|  | ACCOUNT #: 00086510410         | BUY 0 Units @0.0000    |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-3204 - MURPHY, PAUL     | COLLEGE 2030 FUND-529A | 0.00                 | 30.43               | 0.00               | 30.43             | 10.0 | 3.04                 |
|  | ACCOUNT #: 00086597475         | BUY 0 Units @0.0000    |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-235P - BESTIMT, JASON   | COLLEGE 2030 FUND-529A | 0.00                 | 26.05               | 0.00               | 26.05             | 10.0 | 2.61                 |
|  | ACCOUNT #: 00087180468         | BUY 0 Units @0.0000    |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-875P - IM, RICHARD      | COLLEGE 2030 FUND-529A | 0.00                 | 19.75               | 0.00               | 19.75             | 10.0 | 1.98                 |
|  | ACCOUNT #: 00087215160         | BUY 0 Units @0.0000    |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-665P - WOLLNER, DAVIDA  | COLLEGE 2030 FUND-529A | 0.00                 | 4.90                | 0.00               | 4.90              | 10.0 | 0.49                 |
|  | ACCOUNT #: 00087215180         | BUY 0 Units @0.0000    |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-185P - BROZIC, MICHAEL  | COLLEGE 2030 FUND-529A | 0.00                 | 14.19               | 0.00               | 14.19             | 10.0 | 1.42                 |
|  | ACCOUNT #: 00087251237         | BUY 0 Units @0.0000    |                      |                     |                    |                   |      |                      |





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|--|--------------------------------|---------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b>BROKER TRANSACTIONS (continued)</b>                       |                                |                                 |                      |                     |                    |                   |      |                      |
| <b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</b> |                                |                                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-86CL - ASHER, CLIENTS   | COLLEGE 2030 FUND-529A          | 0.00                 | 2.05                | 0.00               | 2.05              | 10.0 | 0.21                 |
|  | ACCOUNT #: 00087512963         | BUY 0 Units @0.0000             |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-045P - MARSHALL,        | COLLEGE 2030 FUND-529A          | 0.00                 | 6.77                | 0.00               | 6.77              | 10.0 | 0.68                 |
|  | ACCOUNT #: 00087648239         | BUY 0 Units @0.0000             |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-715P - WIEZOREK, STEVEN | COLLEGE 2030 FUND-529A          | 0.00                 | 14.06               | 0.00               | 14.06             | 10.0 | 1.41                 |
|  | ACCOUNT #: 00087693003         | BUY 0 Units @0.0000             |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-457I - CRAIG, EDWARD    | COLLEGE 2030 FUND-529A          | 0.00                 | 2.45                | 0.00               | 2.45              | 10.0 | 0.25                 |
|  | ACCOUNT #: 00087736955         | BUY 0 Units @0.0000             |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-735P - MARKSAMER,       | COLLEGE 2030 FUND-529A          | 0.00                 | 5.45                | 0.00               | 5.45              | 10.0 | 0.55                 |
|  | ACCOUNT #: 00088255929         | BUY 0 Units @0.0000             |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-145P - ZUKERBERG,       | COLLEGE 2030 FUND-529A          | 0.00                 | 1.18                | 0.00               | 1.18              | 10.0 | 0.12                 |
|  | ACCOUNT #: 00089641028         | BUY 0 Units @0.0000             |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-1014 -                  | COLLEGE 2030 FUND-529A          | 0.00                 | 0.90                | 0.00               | 0.90              | 10.0 | 0.09                 |
|  | ACCOUNT #: 04000140755         | BUY 0 Units @0.0000             |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-865P - BECKER, SEAN     | COLLEGE ENROLLMENT FUND-529C    | 0.00                 | 1.85                | 0.00               | 1.85              | 10.0 | 0.19                 |
|  | ACCOUNT #: 00073126126         | BUY 0 Units @0.0000             |                      |                     |                    |                   |      |                      |
| 03/08/2018   | ***-**-4202 - CORAPI, MARIA C  | DREYFUS MF TRAILS               | 0.00                 | 6.24                | 0.00               | 6.24              | 10.0 | 0.62                 |
|  | ACCOUNT #: 0129106191          | BUY 0 Units @0.0000             |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-95SI -                  | EUROPACIFIC GROWTH FUND CLASS C | 0.00                 | 32.71               | 0.00               | 32.71             | 10.0 | 3.27                 |
|  | ACCOUNT #: 00084372328         | BUY 0 Units @0.0000             |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-375P - SINNO, FADY      | EUROPACIFIC GROWTH FUND CLASS F | 0.00                 | 46.27               | 0.00               | 46.27             | 10.0 | 4.63                 |
|  | ACCOUNT #: 00068297392         | BUY 0 Units @0.0000             |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-815P - SIMPSON, JARED   | EUROPACIFIC GROWTH FUND-529A    | 0.00                 | 0.42                | 0.00               | 0.42              | 10.0 | 0.04                 |
|  | ACCOUNT #: 00073284461         | BUY 0 Units @0.0000             |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-275P - KRUEGER, PAULA   | EUROPACIFIC GROWTH FUND-529A    | 0.00                 | 1.33                | 0.00               | 1.33              | 10.0 | 0.13                 |
|  | ACCOUNT #: 00082687532         | BUY 0 Units @0.0000             |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-915P - GOCHNAUER,       | EUROPACIFIC GROWTH FUND-529A    | 0.00                 | 5.62                | 0.00               | 5.62              | 10.0 | 0.56                 |
|  | ACCOUNT #: 00081493706         | BUY 0 Units @0.0000             |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-005P - MUPPIDI, ASHISH  | EUROPACIFIC GROWTH FUND-529A    | 0.00                 | 1.55                | 0.00               | 1.55              | 10.0 | 0.16                 |
|  | ACCOUNT #: 00082114467         | BUY 0 Units @0.0000             |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-015P - SEVERE, DAVID    | EUROPACIFIC GROWTH FUND-529A    | 0.00                 | 11.26               | 0.00               | 11.26             | 10.0 | 1.13                 |
|  | ACCOUNT #: 00082698692         | BUY 0 Units @0.0000             |                      |                     |                    |                   |      |                      |



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BROKER #: AGJ  
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| DATE   | CLIENT  | INVESTMENT  | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|--|---|---|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b>BROKER TRANSACTIONS (continued)</b>                       |   |   |                      |                     |                    |                   |      |                      |
| <b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</b> |   |   |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-525P - GARDNER, DANIEL<br>ACCOUNT #: 00084433353 | EUROPACIFIC GROWTH FUND-529A<br>BUY 0 Units @0.0000 | 0.00                 | 14.97               | 0.00               | 14.97             | 10.0 | 1.50                 |
| 03/01/2018   | ***-**-825P - MARKS, JACOB<br>ACCOUNT #: 00085088195    | EUROPACIFIC GROWTH FUND-529A<br>BUY 0 Units @0.0000 | 0.00                 | 2.19                | 0.00               | 2.19              | 10.0 | 0.22                 |
| 03/01/2018   | ***-**-825P - MARKS, JACOB<br>ACCOUNT #: 00085088223    | EUROPACIFIC GROWTH FUND-529A<br>BUY 0 Units @0.0000 | 0.00                 | 2.19                | 0.00               | 2.19              | 10.0 | 0.22                 |
| 03/01/2018   | ***-**-825P - MARKS, JACOB<br>ACCOUNT #: 00085088240    | EUROPACIFIC GROWTH FUND-529A<br>BUY 0 Units @0.0000 | 0.00                 | 2.19                | 0.00               | 2.19              | 10.0 | 0.22                 |
| 03/01/2018   | ***-**-2802 - MAASS, TY<br>ACCOUNT #: 00085284547       | EUROPACIFIC GROWTH FUND-529A<br>BUY 0 Units @0.0000 | 0.00                 | 0.13                | 0.00               | 0.13              | 10.0 | 0.01                 |
| 03/01/2018   | ***-**-735P - MARKSAMER,<br>ACCOUNT #: 00086018329      | EUROPACIFIC GROWTH FUND-529A<br>BUY 0 Units @0.0000 | 0.00                 | 4.62                | 0.00               | 4.62              | 10.0 | 0.46                 |
| 03/01/2018   | ***-**-845P - TRAUT, SHEILA<br>ACCOUNT #: 00086023465   | EUROPACIFIC GROWTH FUND-529A<br>BUY 0 Units @0.0000 | 0.00                 | 1.98                | 0.00               | 1.98              | 10.0 | 0.20                 |
| 03/01/2018   | ***-**-845P - TRAUT, SHEILA<br>ACCOUNT #: 00086023476   | EUROPACIFIC GROWTH FUND-529A<br>BUY 0 Units @0.0000 | 0.00                 | 1.98                | 0.00               | 1.98              | 10.0 | 0.20                 |
| 03/01/2018   | ***-**-525P - GARDNER, DANIEL<br>ACCOUNT #: 00086081038 | EUROPACIFIC GROWTH FUND-529A<br>BUY 0 Units @0.0000 | 0.00                 | 6.73                | 0.00               | 6.73              | 10.0 | 0.67                 |
| 03/01/2018   | ***-**-185P - BROZIC, MICHAEL<br>ACCOUNT #: 00086510064 | EUROPACIFIC GROWTH FUND-529A<br>BUY 0 Units @0.0000 | 0.00                 | 6.09                | 0.00               | 6.09              | 10.0 | 0.61                 |
| 03/01/2018   | ***-**-295P - HOGAN, ANN<br>ACCOUNT #: 00074253253      | EUROPACIFIC GROWTH FUND-A<br>BUY 0 Units @0.0000    | 0.00                 | 19.65               | 0.00               | 19.65             | 10.0 | 1.97                 |
| 03/01/2018   | ***-**-055P - BALTZ, BERNARD<br>ACCOUNT #: 00059862483  | EUROPACIFIC GROWTH FUND-A<br>BUY 0 Units @0.0000    | 0.00                 | 3.65                | 0.00               | 3.65              | 10.0 | 0.37                 |
| 03/01/2018   | ***-**-715P - BALTZ, JULIE<br>ACCOUNT #: 00059862484    | EUROPACIFIC GROWTH FUND-A<br>BUY 0 Units @0.0000    | 0.00                 | 2.52                | 0.00               | 2.52              | 10.0 | 0.25                 |
| 03/01/2018   | ***-**-635P - RYAN, FRED<br>ACCOUNT #: 00060626935      | EUROPACIFIC GROWTH FUND-A<br>BUY 0 Units @0.0000    | 0.00                 | 0.02                | 0.00               | 0.02              | 10.0 | 0.00                 |
| 03/01/2018   | ***-**-70IN - PESCHE, SUSAN<br>ACCOUNT #: 00061196180   | EUROPACIFIC GROWTH FUND-A<br>BUY 0 Units @0.0000    | 0.00                 | 18.84               | 0.00               | 18.84             | 10.0 | 1.88                 |
| 03/01/2018   | ***-**-71UT - GROSSBLATT,<br>ACCOUNT #: 00061230950     | EUROPACIFIC GROWTH FUND-A<br>BUY 0 Units @0.0000    | 0.00                 | 0.95                | 0.00               | 0.95              | 10.0 | 0.10                 |



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|--|---|--|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b>BROKER TRANSACTIONS (continued)</b>                       |   |  |                      |                     |                    |                   |      |                      |
| <b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</b> |   |  |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-843P - FERRENTINO,<br>ACCOUNT #: 00061255404     | EUROPACIFIC GROWTH FUND-A<br>BUY 0 Units @0.0000 | 0.00                 | 4.84                | 0.00               | 4.84              | 10.0 | 0.48                 |
| 03/01/2018   | ***-**-12UT - BASTEN, ASHLEY<br>ACCOUNT #: 00061604201  | EUROPACIFIC GROWTH FUND-A<br>BUY 0 Units @0.0000 | 0.00                 | 2.29                | 0.00               | 2.29              | 10.0 | 0.23                 |
| 03/01/2018   | ***-**-675P - LEONARD, CRAIG<br>ACCOUNT #: 00061651661  | EUROPACIFIC GROWTH FUND-A<br>BUY 0 Units @0.0000 | 0.00                 | 7.29                | 0.00               | 7.29              | 10.0 | 0.73                 |
| 03/01/2018   | ***-**-795P - MYERS, JOHN<br>ACCOUNT #: 00061900969     | EUROPACIFIC GROWTH FUND-A<br>BUY 0 Units @0.0000 | 0.00                 | 2.58                | 0.00               | 2.58              | 10.0 | 0.26                 |
| 03/01/2018   | ***-**-385P - SHEETS, JAYSON<br>ACCOUNT #: 00062566017  | EUROPACIFIC GROWTH FUND-A<br>BUY 0 Units @0.0000 | 0.00                 | 2.33                | 0.00               | 2.33              | 10.0 | 0.23                 |
| 03/01/2018   | ***-**-635P - LOGRASSO,<br>ACCOUNT #: 00062853008       | EUROPACIFIC GROWTH FUND-A<br>BUY 0 Units @0.0000 | 0.00                 | 1.30                | 0.00               | 1.30              | 10.0 | 0.13                 |
| 03/01/2018   | ***-**-129P - KALILI, LADAN<br>ACCOUNT #: 00063420361   | EUROPACIFIC GROWTH FUND-A<br>BUY 0 Units @0.0000 | 0.00                 | 0.53                | 0.00               | 0.53              | 10.0 | 0.05                 |
| 03/01/2018   | ***-**-415P - RYAN, DEBORAH<br>ACCOUNT #: 00063501625   | EUROPACIFIC GROWTH FUND-A<br>BUY 0 Units @0.0000 | 0.00                 | 0.12                | 0.00               | 0.12              | 10.0 | 0.01                 |
| 03/01/2018   | ***-**-04IR - GRODZICKI,<br>ACCOUNT #: 00063592510      | EUROPACIFIC GROWTH FUND-A<br>BUY 0 Units @0.0000 | 0.00                 | 8.38                | 0.00               | 8.38              | 10.0 | 0.84                 |
| 03/01/2018   | ***-**-575P - ANDERSON, SUSAN<br>ACCOUNT #: 00063941162 | EUROPACIFIC GROWTH FUND-A<br>BUY 0 Units @0.0000 | 0.00                 | 18.29               | 0.00               | 18.29             | 10.0 | 1.83                 |
| 03/01/2018   | ***-**-155P - NAHAMOU,<br>ACCOUNT #: 00064023902        | EUROPACIFIC GROWTH FUND-A<br>BUY 0 Units @0.0000 | 0.00                 | 20.05               | 0.00               | 20.05             | 10.0 | 2.01                 |
| 03/01/2018   | ***-**-005P - PERRY, KARON<br>ACCOUNT #: 00064102786    | EUROPACIFIC GROWTH FUND-A<br>BUY 0 Units @0.0000 | 0.00                 | 0.98                | 0.00               | 0.98              | 10.0 | 0.10                 |
| 03/01/2018   | ***-**-15IN - NAHAMOU,<br>ACCOUNT #: 00064112290        | EUROPACIFIC GROWTH FUND-A<br>BUY 0 Units @0.0000 | 0.00                 | 3.42                | 0.00               | 3.42              | 10.0 | 0.34                 |
| 03/01/2018   | ***-**-04IR -<br>ACCOUNT #: 00064326662                 | EUROPACIFIC GROWTH FUND-A<br>BUY 0 Units @0.0000 | 0.00                 | 0.96                | 0.00               | 0.96              | 10.0 | 0.10                 |
| 03/01/2018   | ***-**-371I - SMITH, LEOLA<br>ACCOUNT #: 00064360066    | EUROPACIFIC GROWTH FUND-A<br>BUY 0 Units @0.0000 | 0.00                 | 4.89                | 0.00               | 4.89              | 10.0 | 0.49                 |
| 03/01/2018   | ***-**-056I - HARRIS, DAN<br>ACCOUNT #: 00064426320     | EUROPACIFIC GROWTH FUND-A<br>BUY 0 Units @0.0000 | 0.00                 | 0.28                | 0.00               | 0.28              | 10.0 | 0.03                 |



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|--|--|--|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b>BROKER TRANSACTIONS (continued)</b>                       |  |  |                      |                     |                    |                   |      |                      |
| <b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</b> |  |  |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-095P - MISSICK, GREG<br>ACCOUNT #: 00064440775    | EUROPACIFIC GROWTH FUND-A<br>BUY 0 Units @0.0000 | 0.00                 | 4.71                | 0.00               | 4.71              | 10.0 | 0.47                 |
| 03/01/2018   | ***-**-4943 - RAMACHANDRAN,<br>ACCOUNT #: 00064472681    | EUROPACIFIC GROWTH FUND-A<br>BUY 0 Units @0.0000 | 0.00                 | 17.65               | 0.00               | 17.65             | 10.0 | 1.77                 |
| 03/01/2018   | ***-**-98RI - BENNET,<br>ACCOUNT #: 00064633625          | EUROPACIFIC GROWTH FUND-A<br>BUY 0 Units @0.0000 | 0.00                 | 8.89                | 0.00               | 8.89              | 10.0 | 0.89                 |
| 03/01/2018   | ***-**-43SI - KASA, MATTHEW<br>ACCOUNT #: 00064989865    | EUROPACIFIC GROWTH FUND-A<br>BUY 0 Units @0.0000 | 0.00                 | 0.23                | 0.00               | 0.23              | 10.0 | 0.02                 |
| 03/01/2018   | ***-**-515P - MEYER, MICHAEL<br>ACCOUNT #: 00066722060   | EUROPACIFIC GROWTH FUND-A<br>BUY 0 Units @0.0000 | 0.00                 | 12.27               | 0.00               | 12.27             | 10.0 | 1.23                 |
| 03/01/2018   | ***-**-978I - ENRIGHT,<br>ACCOUNT #: 00066747757         | EUROPACIFIC GROWTH FUND-A<br>BUY 0 Units @0.0000 | 0.00                 | 2.39                | 0.00               | 2.39              | 10.0 | 0.24                 |
| 03/01/2018   | ***-**-61RI - HADSOCK, HUGH<br>ACCOUNT #: 00068200969    | EUROPACIFIC GROWTH FUND-A<br>BUY 0 Units @0.0000 | 0.00                 | 3.53                | 0.00               | 3.53              | 10.0 | 0.35                 |
| 03/01/2018   | ***-**-975P - OSBORNE, SUE<br>ACCOUNT #: 00073569391     | EUROPACIFIC GROWTH FUND-A<br>BUY 0 Units @0.0000 | 0.00                 | 0.60                | 0.00               | 0.60              | 10.0 | 0.06                 |
| 03/01/2018   | ***-**-687P - KAUFMAN, RACHEL<br>ACCOUNT #: 00074695277  | EUROPACIFIC GROWTH FUND-A<br>BUY 0 Units @0.0000 | 0.00                 | 0.90                | 0.00               | 0.90              | 10.0 | 0.09                 |
| 03/01/2018   | ***-**-285P - JONES, DAWN<br>ACCOUNT #: 00081394564      | EUROPACIFIC GROWTH FUND-A<br>BUY 0 Units @0.0000 | 0.00                 | 4.32                | 0.00               | 4.32              | 10.0 | 0.43                 |
| 03/01/2018   | ***-**-287I - BELLINO, VALERIE<br>ACCOUNT #: 00081674809 | EUROPACIFIC GROWTH FUND-A<br>BUY 0 Units @0.0000 | 0.00                 | 0.04                | 0.00               | 0.04              | 10.0 | 0.00                 |
| 03/01/2018   | ***-**-525P - MATIS, DAMARIS<br>ACCOUNT #: 00082217486   | EUROPACIFIC GROWTH FUND-A<br>BUY 0 Units @0.0000 | 0.00                 | 3.85                | 0.00               | 3.85              | 10.0 | 0.39                 |
| 03/01/2018   | ***-**-045P - SWEENEY, ROBERT<br>ACCOUNT #: 00082400759  | EUROPACIFIC GROWTH FUND-A<br>BUY 0 Units @0.0000 | 0.00                 | 6.45                | 0.00               | 6.45              | 10.0 | 0.65                 |
| 03/01/2018   | ***-**-945P - SWEENEY, DENISE<br>ACCOUNT #: 00082400766  | EUROPACIFIC GROWTH FUND-A<br>BUY 0 Units @0.0000 | 0.00                 | 1.70                | 0.00               | 1.70              | 10.0 | 0.17                 |
| 03/01/2018   | ***-**-427I - KRUEGER, JOHN<br>ACCOUNT #: 00082686514    | EUROPACIFIC GROWTH FUND-A<br>BUY 0 Units @0.0000 | 0.00                 | 9.48                | 0.00               | 9.48              | 10.0 | 0.95                 |
| 03/01/2018   | ***-**-116J - KRUEGER, JOHN<br>ACCOUNT #: 00082687579    | EUROPACIFIC GROWTH FUND-A<br>BUY 0 Units @0.0000 | 0.00                 | 1.50                | 0.00               | 1.50              | 10.0 | 0.15                 |



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|--|--------------------------------|---------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b>BROKER TRANSACTIONS (continued)</b>                       |                                |                           |                      |                     |                    |                   |      |                      |
| <b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</b> |                                |                           |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-618I - HULLS, JENNIFER  | EUROPACIFIC GROWTH FUND-A | 0.00                 | 8.02                | 0.00               | 8.02              | 10.0 | 0.80                 |
|  | ACCOUNT #: 00083732568         | BUY 0 Units @0.0000       |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-944I - PIETRUCHA, JASON | EUROPACIFIC GROWTH FUND-A | 0.00                 | 0.22                | 0.00               | 0.22              | 10.0 | 0.02                 |
|  | ACCOUNT #: 00083733042         | BUY 0 Units @0.0000       |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-173I - MATUSIEWICZ,     | EUROPACIFIC GROWTH FUND-A | 0.00                 | 1.41                | 0.00               | 1.41              | 10.0 | 0.14                 |
|  | ACCOUNT #: 00083738493         | BUY 0 Units @0.0000       |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-160I - MAZZEI, ANN      | EUROPACIFIC GROWTH FUND-A | 0.00                 | 0.36                | 0.00               | 0.36              | 10.0 | 0.04                 |
|  | ACCOUNT #: 00083759830         | BUY 0 Units @0.0000       |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-063I - O'SULLIVAN,      | EUROPACIFIC GROWTH FUND-A | 0.00                 | 0.83                | 0.00               | 0.83              | 10.0 | 0.08                 |
|  | ACCOUNT #: 00083760627         | BUY 0 Units @0.0000       |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-60IR - MAZZEI, ANN      | EUROPACIFIC GROWTH FUND-A | 0.00                 | 0.38                | 0.00               | 0.38              | 10.0 | 0.04                 |
|  | ACCOUNT #: 00083763987         | BUY 0 Units @0.0000       |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-291I - COLBURN, CHRISSY | EUROPACIFIC GROWTH FUND-A | 0.00                 | 0.45                | 0.00               | 0.45              | 10.0 | 0.05                 |
|  | ACCOUNT #: 00083776039         | BUY 0 Units @0.0000       |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-685I - MAZZEI, MICHAEL  | EUROPACIFIC GROWTH FUND-A | 0.00                 | 0.32                | 0.00               | 0.32              | 10.0 | 0.03                 |
|  | ACCOUNT #: 00083789465         | BUY 0 Units @0.0000       |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-85IR - MAZZEI, MICHAEL  | EUROPACIFIC GROWTH FUND-A | 0.00                 | 0.34                | 0.00               | 0.34              | 10.0 | 0.03                 |
|  | ACCOUNT #: 00083793983         | BUY 0 Units @0.0000       |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-579I - PERKINS, CHARLES | EUROPACIFIC GROWTH FUND-A | 0.00                 | 0.01                | 0.00               | 0.01              | 10.0 | 0.00                 |
|  | ACCOUNT #: 00083860249         | BUY 0 Units @0.0000       |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-22IR - ROGUE, GINA      | EUROPACIFIC GROWTH FUND-A | 0.00                 | 0.20                | 0.00               | 0.20              | 10.0 | 0.02                 |
|  | ACCOUNT #: 00083879358         | BUY 0 Units @0.0000       |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-225I - WEBER, MICHAEL   | EUROPACIFIC GROWTH FUND-A | 0.00                 | 4.84                | 0.00               | 4.84              | 10.0 | 0.48                 |
|  | ACCOUNT #: 00083883804         | BUY 0 Units @0.0000       |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-751I - SPRINGER,        | EUROPACIFIC GROWTH FUND-A | 0.00                 | 0.53                | 0.00               | 0.53              | 10.0 | 0.05                 |
|  | ACCOUNT #: 00083955094         | BUY 0 Units @0.0000       |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-956I - MCGUANE, KELLI   | EUROPACIFIC GROWTH FUND-A | 0.00                 | 1.23                | 0.00               | 1.23              | 10.0 | 0.12                 |
|  | ACCOUNT #: 00084004988         | BUY 0 Units @0.0000       |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-529I - HINKEBEIN, AGNES | EUROPACIFIC GROWTH FUND-A | 0.00                 | 0.54                | 0.00               | 0.54              | 10.0 | 0.05                 |
|  | ACCOUNT #: 00084150337         | BUY 0 Units @0.0000       |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-514I - BOTERO, NATALIA  | EUROPACIFIC GROWTH FUND-A | 0.00                 | 1.45                | 0.00               | 1.45              | 10.0 | 0.15                 |
|  | ACCOUNT #: 00084169039         | BUY 0 Units @0.0000       |                      |                     |                    |                   |      |                      |



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| <b>BROKER TRANSACTIONS (continued)</b>                       |                                |                           |                      |                     |                    |                   |      |                      |
| <b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</b> |                                |                           |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-837I - NEVIN, LEN       | EUROPACIFIC GROWTH FUND-A | 0.00                 | 0.38                | 0.00               | 0.38              | 10.0 | 0.04                 |
|  | ACCOUNT #: 00084174825         | BUY 0 Units @0.0000       |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-341I - FIREMAN, NOAH    | EUROPACIFIC GROWTH FUND-A | 0.00                 | 11.54               | 0.00               | 11.54             | 10.0 | 1.15                 |
|  | ACCOUNT #: 00087760602         | BUY 0 Units @0.0000       |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-298P - FRANKEL, SANDRA  | EUROPACIFIC GROWTH FUND-A | 0.00                 | 0.28                | 0.00               | 0.28              | 10.0 | 0.03                 |
|  | ACCOUNT #: 00312401762         | BUY 0 Units @0.0000       |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-515P - COGGESHALL,      | EUROPACIFIC GROWTH FUND-A | 0.00                 | 0.70                | 0.00               | 0.70              | 10.0 | 0.07                 |
|  | ACCOUNT #: 00075314098         | BUY 0 Units @0.0000       |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-11IR - SCHAFTEL, AMY    | EUROPACIFIC GROWTH FUND-A | 0.00                 | 1.18                | 0.00               | 1.18              | 10.0 | 0.12                 |
|  | ACCOUNT #: 00063600878         | BUY 0 Units @0.0000       |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-485P - TRIESCHMAN,      | EUROPACIFIC GROWTH FUND-A | 0.00                 | 0.56                | 0.00               | 0.56              | 10.0 | 0.06                 |
|  | ACCOUNT #: 00065098004         | BUY 0 Units @0.0000       |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-275P - BALDWIN, JUSTIN  | EUROPACIFIC GROWTH FUND-A | 0.00                 | 0.31                | 0.00               | 0.31              | 10.0 | 0.03                 |
|  | ACCOUNT #: 00067340502         | BUY 0 Units @0.0000       |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-29IN - LITMAN, WENDY    | EUROPACIFIC GROWTH FUND-A | 0.00                 | 5.63                | 0.00               | 5.63              | 10.0 | 0.56                 |
|  | ACCOUNT #: 00068524068         | BUY 0 Units @0.0000       |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-015P - VICKERS, BARBARA | EUROPACIFIC GROWTH FUND-A | 0.00                 | 0.12                | 0.00               | 0.12              | 10.0 | 0.01                 |
|  | ACCOUNT #: 00068567314         | BUY 0 Units @0.0000       |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-295P - AMSEL, PATTI     | EUROPACIFIC GROWTH FUND-A | 0.00                 | 40.42               | 0.00               | 40.42             | 10.0 | 4.04                 |
|  | ACCOUNT #: 00073772424         | BUY 0 Units @0.0000       |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-802J - MAASS, CARLY     | EUROPACIFIC GROWTH FUND-A | 0.00                 | 21.21               | 0.00               | 21.21             | 10.0 | 2.12                 |
|  | ACCOUNT #: 00074618503         | BUY 0 Units @0.0000       |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-17SI - CARSON, JEAN     | EUROPACIFIC GROWTH FUND-A | 0.00                 | 1.94                | 0.00               | 1.94              | 10.0 | 0.19                 |
|  | ACCOUNT #: 00075399997         | BUY 0 Units @0.0000       |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-795P - CREEGAN, THOMAS  | EUROPACIFIC GROWTH FUND-A | 0.00                 | 13.17               | 0.00               | 13.17             | 10.0 | 1.32                 |
|  | ACCOUNT #: 00075748864         | BUY 0 Units @0.0000       |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-04IN - MURPHY, PAUL     | EUROPACIFIC GROWTH FUND-A | 0.00                 | 37.75               | 0.00               | 37.75             | 10.0 | 3.78                 |
|  | ACCOUNT #: 00075938729         | BUY 0 Units @0.0000       |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-122I - SHILOACH,        | EUROPACIFIC GROWTH FUND-A | 0.00                 | 2.26                | 0.00               | 2.26              | 10.0 | 0.23                 |
|  | ACCOUNT #: 00081137646         | BUY 0 Units @0.0000       |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-95IN - STARTZEL,        | EUROPACIFIC GROWTH FUND-A | 0.00                 | 6.98                | 0.00               | 6.98              | 10.0 | 0.70                 |
|  | ACCOUNT #: 00081317740         | BUY 0 Units @0.0000       |                      |                     |                    |                   |      |                      |



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| DATE   | CLIENT                         | INVESTMENT                         | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|--|--------------------------------|------------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b>BROKER TRANSACTIONS (continued)</b>                       |                                |                                    |                      |                     |                    |                   |      |                      |
| <b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</b> |                                |                                    |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-815P - AUCLAIR, LAURA   | EUROPACIFIC GROWTH FUND-A          | 0.00                 | 6.01                | 0.00               | 6.01              | 10.0 | 0.60                 |
|  | ACCOUNT #: 00081468633         | BUY 0 Units @0.0000                |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-045P - RAMESHKUMAR,     | EUROPACIFIC GROWTH FUND-A          | 0.00                 | 13.89               | 0.00               | 13.89             | 10.0 | 1.39                 |
|  | ACCOUNT #: 00081655955         | BUY 0 Units @0.0000                |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-76SI - JONES, MARCIE    | EUROPACIFIC GROWTH FUND-A          | 0.00                 | 9.74                | 0.00               | 9.74              | 10.0 | 0.97                 |
|  | ACCOUNT #: 00081719052         | BUY 0 Units @0.0000                |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-055P - BOO, ROBERT      | EUROPACIFIC GROWTH FUND-A          | 0.00                 | 0.03                | 0.00               | 0.03              | 10.0 | 0.00                 |
|  | ACCOUNT #: 00082197715         | BUY 0 Units @0.0000                |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-82IN - TEN, JT          | EUROPACIFIC GROWTH FUND-A          | 0.00                 | 19.12               | 0.00               | 19.12             | 10.0 | 1.91                 |
|  | ACCOUNT #: 00082421077         | BUY 0 Units @0.0000                |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-064J - HALL, AMY        | EUROPACIFIC GROWTH FUND-A          | 0.00                 | 46.15               | 0.00               | 46.15             | 10.0 | 4.62                 |
|  | ACCOUNT #: 00083146232         | BUY 0 Units @0.0000                |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-391J - FRIEDMAN, KEITH  | EUROPACIFIC GROWTH FUND-A          | 0.00                 | 23.03               | 0.00               | 23.03             | 10.0 | 2.30                 |
|  | ACCOUNT #: 00083404691         | BUY 0 Units @0.0000                |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-747I - ROY, JESSICA     | EUROPACIFIC GROWTH FUND-A          | 0.00                 | 2.46                | 0.00               | 2.46              | 10.0 | 0.25                 |
|  | ACCOUNT #: 00083742202         | BUY 0 Units @0.0000                |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-112I - KOONTZ, LEROY    | EUROPACIFIC GROWTH FUND-A          | 0.00                 | 4.46                | 0.00               | 4.46              | 10.0 | 0.45                 |
|  | ACCOUNT #: 00084075301         | BUY 0 Units @0.0000                |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-452J - GARDNER, DANIEL  | EUROPACIFIC GROWTH FUND-A          | 0.00                 | 0.51                | 0.00               | 0.51              | 10.0 | 0.05                 |
|  | ACCOUNT #: 00084433333         | BUY 0 Units @0.0000                |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-564J - CRAIG, MARK      | EUROPACIFIC GROWTH FUND-A          | 0.00                 | 4.77                | 0.00               | 4.77              | 10.0 | 0.48                 |
|  | ACCOUNT #: 00084581027         | BUY 0 Units @0.0000                |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-415P - TARANTINO, SCOTT | EUROPACIFIC GROWTH FUND-A          | 0.00                 | 20.67               | 0.00               | 20.67             | 10.0 | 2.07                 |
|  | ACCOUNT #: 00087447990         | BUY 0 Units @0.0000                |                      |                     |                    |                   |      |                      |
| 03/07/2018   | ***-**-2667 - BETTINI, ROBERT  | FIDELITY ADV BALANCED CL A         | 0.00                 | 5.34                | 0.00               | 5.34              | 10.0 | 0.53                 |
|  | ACCOUNT #: 00655086841         | BUY 0 Units @0.0000                |                      |                     |                    |                   |      |                      |
| 03/07/2018   | ***-**-5216 - BETTINI, MELANIE | FIDELITY ADV BALANCED CL A         | 0.00                 | 0.91                | 0.00               | 0.91              | 10.0 | 0.09                 |
|  | ACCOUNT #: 00656054053         | BUY 0 Units @0.0000                |                      |                     |                    |                   |      |                      |
| 03/07/2018   | ***-**-65CL - WOLFOLK, CLIENTS | FIDELITY ADV DIVIDEND GROWTH FD CL | 0.00                 | 0.22                | 0.00               | 0.22              | 10.0 | 0.02                 |
|  | ACCOUNT #: 01473078036         | BUY 0 Units @0.0000                |                      |                     |                    |                   |      |                      |
| 03/07/2018   | ***-**-514I - MIKUS, BETTY     | FIDELITY ADV DIVIDEND GROWTH FD CL | 0.00                 | 1.76                | 0.00               | 1.76              | 10.0 | 0.18                 |
|  | ACCOUNT #: 00065290959         | BUY 0 Units @0.0000                |                      |                     |                    |                   |      |                      |



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|--|--------------------------------|------------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b>BROKER TRANSACTIONS (continued)</b>                       |                                |                                    |                      |                     |                    |                   |      |                      |
| <b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</b> |                                |                                    |                      |                     |                    |                   |      |                      |
| 03/07/2018   | ***-**-020I - MIKUS, JERRY     | FIDELITY ADV DIVIDEND GROWTH FD CL | 0.00                 | 1.74                | 0.00               | 1.74              | 10.0 | 0.17                 |
|  | ACCOUNT #: 00065296808         | BUY 0 Units @0.0000                |                      |                     |                    |                   |      |                      |
| 03/07/2018   | ***-**-958J - HOULE, MARTIN    | FIDELITY ADV DIVIDEND GROWTH FD CL | 0.00                 | 7.60                | 0.00               | 7.60              | 10.0 | 0.76                 |
|  | ACCOUNT #: 00065345647         | BUY 0 Units @0.0000                |                      |                     |                    |                   |      |                      |
| 03/07/2018   | ***-**-7814 - LYNCH, JOHN      | FIDELITY ADV DIVIDEND GROWTH FD CL | 0.00                 | 1.77                | 0.00               | 1.77              | 10.0 | 0.18                 |
|  | ACCOUNT #: 00618825269         | BUY 0 Units @0.0000                |                      |                     |                    |                   |      |                      |
| 03/07/2018   | ***-**-7846 - BIELAS           | FIDELITY ADV EQUITY GROWTH CL A    | 0.00                 | 0.75                | 0.00               | 0.75              | 10.0 | 0.08                 |
|  | ACCOUNT #: 00498533249         | BUY 0 Units @0.0000                |                      |                     |                    |                   |      |                      |
| 03/07/2018   | ***-**-2667 - BETTINI, ROBERT  | FIDELITY ADV EQUITY GROWTH CL A    | 0.00                 | 6.01                | 0.00               | 6.01              | 10.0 | 0.60                 |
|  | ACCOUNT #: 00655086841         | BUY 0 Units @0.0000                |                      |                     |                    |                   |      |                      |
| 03/07/2018   | ***-**-566T - JURAK, DANIEL    | FIDELITY ADV EQUITY GROWTH CL A    | 0.00                 | 7.62                | 0.00               | 7.62              | 10.0 | 0.76                 |
|  | ACCOUNT #: 00656153608         | BUY 0 Units @0.0000                |                      |                     |                    |                   |      |                      |
| 03/07/2018   | ***-**-598O - BAIS, RAM        | FIDELITY ADV EQUITY GROWTH CL A    | 0.00                 | 4.26                | 0.00               | 4.26              | 10.0 | 0.43                 |
|  | ACCOUNT #: 00689986586         | BUY 0 Units @0.0000                |                      |                     |                    |                   |      |                      |
| 03/07/2018   | ***-**-91IN - MONT-LABUTTE,    | FIDELITY ADV EQUITY GROWTH CL A    | 0.00                 | 3.14                | 0.00               | 3.14              | 10.0 | 0.31                 |
|  | ACCOUNT #: 00503941965         | BUY 0 Units @0.0000                |                      |                     |                    |                   |      |                      |
| 03/07/2018   | ***-**-1140 - HARDER, KATHLEEN | FIDELITY ADV EQUITY GROWTH CL T    | 0.00                 | 30.32               | 0.00               | 30.32             | 10.0 | 3.03                 |
|  | ACCOUNT #: 00006621181         | BUY 0 Units @0.0000                |                      |                     |                    |                   |      |                      |
| 03/07/2018   | ***-**-4741 - STEINER, GARY    | FIDELITY ADV EQUITY GROWTH CL T    | 0.00                 | 7.10                | 0.00               | 7.10              | 10.0 | 0.71                 |
|  | ACCOUNT #: 00531302438         | BUY 0 Units @0.0000                |                      |                     |                    |                   |      |                      |
| 03/07/2018   | ***-**-5659 - POLACEK,         | FIDELITY ADV EQUITY INCOME CL A    | 0.00                 | 0.23                | 0.00               | 0.23              | 10.0 | 0.02                 |
|  | ACCOUNT #: 00065386575         | BUY 0 Units @0.0000                |                      |                     |                    |                   |      |                      |
| 03/07/2018   | ***-**-4413 - COREY, PEGGY     | FIDELITY ADV EQUITY INCOME CL A    | 0.00                 | 0.91                | 0.00               | 0.91              | 10.0 | 0.09                 |
|  | ACCOUNT #: 00501474076         | BUY 0 Units @0.0000                |                      |                     |                    |                   |      |                      |
| 03/07/2018   | ***-**-2412 - COREY, MARSHALL  | FIDELITY ADV EQUITY INCOME CL A    | 0.00                 | 7.65                | 0.00               | 7.65              | 10.0 | 0.77                 |
|  | ACCOUNT #: 00501474225         | BUY 0 Units @0.0000                |                      |                     |                    |                   |      |                      |
| 03/07/2018   | ***-**-2667 - BETTINI, ROBERT  | FIDELITY ADV EQUITY INCOME CL A    | 0.00                 | 6.64                | 0.00               | 6.64              | 10.0 | 0.66                 |
|  | ACCOUNT #: 00655086841         | BUY 0 Units @0.0000                |                      |                     |                    |                   |      |                      |
| 03/07/2018   | ***-**-65CL - WOLFOLK, CLIENTS | FIDELITY ADV EQUITY INCOME CL A    | 0.00                 | 0.21                | 0.00               | 0.21              | 10.0 | 0.02                 |
|  | ACCOUNT #: 01473078036         | BUY 0 Units @0.0000                |                      |                     |                    |                   |      |                      |
| 03/07/2018   | ***-**-7846 - BIELAS           | FIDELITY ADV FINANCIAL SERVICES CL | 0.00                 | 0.79                | 0.00               | 0.79              | 10.0 | 0.08                 |
|  | ACCOUNT #: 00498533249         | BUY 0 Units @0.0000                |                      |                     |                    |                   |      |                      |





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|--|--------------------------------|-------------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b>BROKER TRANSACTIONS (continued)</b>                       |                                |                                     |                      |                     |                    |                   |      |                      |
| <b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</b> |                                |                                     |                      |                     |                    |                   |      |                      |
| 03/07/2018   | ***-**-429I - ZIER, RUSSELL    | FIDELITY ADV FREEDOM 2015-CL T      | 0.00                 | 5.19                | 0.00               | 5.19              | 10.0 | 0.52                 |
|  | ACCOUNT #: 01449917788         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/07/2018   | ***-**-474I - STEINER, GARY    | FIDELITY ADV GROWTH & INCOME CL T   | 0.00                 | 6.01                | 0.00               | 6.01              | 10.0 | 0.60                 |
|  | ACCOUNT #: 00531302438         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/07/2018   | ***-**-776J - HALE, MICHAEL    | FIDELITY ADV GROWTH OPPORT CL A     | 0.00                 | 5.22                | 0.00               | 5.22              | 10.0 | 0.52                 |
|  | ACCOUNT #: 00063408405         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/07/2018   | ***-**-5659 - POLACEK,         | FIDELITY ADV GROWTH OPPORT CL A     | 0.00                 | 0.20                | 0.00               | 0.20              | 10.0 | 0.02                 |
|  | ACCOUNT #: 00065386575         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/07/2018   | ***-**-9768 - MUELLER          | FIDELITY ADV GROWTH OPPORT CL A     | 0.00                 | 0.39                | 0.00               | 0.39              | 10.0 | 0.04                 |
|  | ACCOUNT #: 00700411440         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/07/2018   | ***-**-9005 - SCHECHTER,       | FIDELITY ADV GROWTH OPPORT CL T     | 0.00                 | 2.11                | 0.00               | 2.11              | 10.0 | 0.21                 |
|  | ACCOUNT #: 00006744283         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/07/2018   | ***-**-115P - SCHECHTER, MAYA  | FIDELITY ADV GROWTH OPPORT CL T     | 0.00                 | 2.11                | 0.00               | 2.11              | 10.0 | 0.21                 |
|  | ACCOUNT #: 00006744363         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/07/2018   | ***-**-958J - HOULE, MARTIN    | FIDELITY ADV GROWTH OPPORT CL T     | 0.00                 | 6.35                | 0.00               | 6.35              | 10.0 | 0.64                 |
|  | ACCOUNT #: 00065345647         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/07/2018   | ***-**-4219 - WARGEL           | FIDELITY ADV GROWTH OPPORT CL T     | 0.00                 | 1.85                | 0.00               | 1.85              | 10.0 | 0.19                 |
|  | ACCOUNT #: 00655314359         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/07/2018   | ***-**-566T - JURAK, DANIEL    | FIDELITY ADV HEALTH CARE-CL A       | 0.00                 | 14.06               | 0.00               | 14.06             | 10.0 | 1.41                 |
|  | ACCOUNT #: 00656153608         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/07/2018   | ***-**-564I - PALERMO, RONALD  | FIDELITY ADV INTL SMALL CAP OPPS-CL | 0.00                 | 0.40                | 0.00               | 0.40              | 10.0 | 0.04                 |
|  | ACCOUNT #: 00655381416         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/07/2018   | ***-**-65CL - WOLFOLK, CLIENTS | FIDELITY ADV INTL SMALL CAP-CL A    | 0.00                 | 0.22                | 0.00               | 0.22              | 10.0 | 0.02                 |
|  | ACCOUNT #: 01473078036         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/07/2018   | ***-**-65CL - WOLFOLK, CLIENTS | FIDELITY ADV JAPAN-CL A             | 0.00                 | 0.62                | 0.00               | 0.62              | 10.0 | 0.06                 |
|  | ACCOUNT #: 01473078036         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/07/2018   | ***-**-5659 - POLACEK,         | FIDELITY ADV LARGE CAP-CL A         | 0.00                 | 0.26                | 0.00               | 0.26              | 10.0 | 0.03                 |
|  | ACCOUNT #: 00065386575         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/07/2018   | ***-**-564I - PALERMO, RONALD  | FIDELITY ADV LEVERAGED CO STOCK CL  | 0.00                 | 1.28                | 0.00               | 1.28              | 10.0 | 0.13                 |
|  | ACCOUNT #: 00655381416         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/07/2018   | ***-**-6745 - DIAMOND, RANDI   | FIDELITY ADV NEW INSIGHTS-CL C      | 0.00                 | 0.57                | 0.00               | 0.57              | 10.0 | 0.06                 |
|  | ACCOUNT #: 00505801316         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |



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|--|--|--|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b>BROKER TRANSACTIONS (continued)</b>                       |  |  |                      |                     |                    |                   |      |                      |
| <b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</b> |  |  |                      |                     |                    |                   |      |                      |
| 03/07/2018   | ***-**-429I - ZIER, RUSSELL<br>ACCOUNT #: 01449917788    | FIDELITY ADV OVERSEAS CL T<br>BUY 0 Units @0.0000          | 0.00                 | 1.70                | 0.00               | 1.70              | 10.0 | 0.17                 |
| 03/07/2018   | ***-**-429I - ZIER, RUSSELL<br>ACCOUNT #: 01449917788    | FIDELITY ADV SMALL CAP CL T<br>BUY 0 Units @0.0000         | 0.00                 | 2.39                | 0.00               | 2.39              | 10.0 | 0.24                 |
| 03/07/2018   | ***-**-5659 - POLACEK,<br>ACCOUNT #: 00065386575         | FIDELITY ADV TECHNOLOGY CL A<br>BUY 0 Units @0.0000        | 0.00                 | 0.22                | 0.00               | 0.22              | 10.0 | 0.02                 |
| 03/07/2018   | ***-**-7846 - BIELAS<br>ACCOUNT #: 00498533249           | FIDELITY ADV TECHNOLOGY CL A<br>BUY 0 Units @0.0000        | 0.00                 | 1.65                | 0.00               | 1.65              | 10.0 | 0.17                 |
| 03/07/2018   | ***-**-45IN - MANJULA, FNU<br>ACCOUNT #: 00655901528     | FIDELITY ADV TECHNOLOGY CL A<br>BUY 0 Units @0.0000        | 0.00                 | 4.07                | 0.00               | 4.07              | 10.0 | 0.41                 |
| 03/07/2018   | ***-**-2471 - MUSCA, BRENDA<br>ACCOUNT #: 00689535201    | FIDELITY ADV TECHNOLOGY CL A<br>BUY 0 Units @0.0000        | 0.00                 | 1.98                | 0.00               | 1.98              | 10.0 | 0.20                 |
| 03/07/2018   | ***-**-682I - HALE, MICHAEL<br>ACCOUNT #: 00655724136    | FIDELITY ADV TECHNOLOGY CLASS C<br>BUY 0 Units @0.0000     | 0.00                 | 12.12               | 0.00               | 12.12             | 10.0 | 1.21                 |
| 03/07/2018   | ***-**-6745 - DIAMOND, RANDI<br>ACCOUNT #: 00505801316   | FIDELITY ADV TECHNOLOGY CLASS C<br>BUY 0 Units @0.0000     | 0.00                 | 0.46                | 0.00               | 0.46              | 10.0 | 0.05                 |
| 03/07/2018   | ***-**-564I - PALERMO, RONALD<br>ACCOUNT #: 00655381416  | FIDELITY ADV TECHNOLOGY CLASS C<br>BUY 0 Units @0.0000     | 0.00                 | 1.09                | 0.00               | 1.09              | 10.0 | 0.11                 |
| 03/07/2018   | ***-**-65CL - WOLFOLK, CLIENTS<br>ACCOUNT #: 01473078036 | FIDELITY ADV UTILITIES CL A<br>BUY 0 Units @0.0000         | 0.00                 | 5.86                | 0.00               | 5.86              | 10.0 | 0.59                 |
| 03/07/2018   | ***-**-682I - HALE, MICHAEL<br>ACCOUNT #: 00655724136    | FIDELITY ADV UTILITIES CL C<br>BUY 0 Units @0.0000         | 0.00                 | 9.63                | 0.00               | 9.63              | 10.0 | 0.96                 |
| 03/07/2018   | ***-**-91IN - MONT-LABUTTE,<br>ACCOUNT #: 00503941965    | FIDELITY ADV VALUE STRATEGIES-CL A<br>BUY 0 Units @0.0000  | 0.00                 | 3.60                | 0.00               | 3.60              | 10.0 | 0.36                 |
| 03/07/2018   | ***-**-4741 - STEINER, GARY<br>ACCOUNT #: 00531302438    | FIDELITY ADVISOR BALANCED CLASS T<br>BUY 0 Units @0.0000   | 0.00                 | 1.30                | 0.00               | 1.30              | 10.0 | 0.13                 |
| 03/07/2018   | ***-**-7846 - BIELAS<br>ACCOUNT #: 00498533249           | FIDELITY ADVISOR GROWTH AND INCOME<br>BUY 0 Units @0.0000  | 0.00                 | 1.64                | 0.00               | 1.64              | 10.0 | 0.16                 |
| 03/07/2018   | ***-**-9768 - MUELLER<br>ACCOUNT #: 00700411440          | FIDELITY ADVISOR GROWTH AND INCOME<br>BUY 0 Units @0.0000  | 0.00                 | 0.35                | 0.00               | 0.35              | 10.0 | 0.04                 |
| 03/07/2018   | ***-**-429I - ZIER, RUSSELL<br>ACCOUNT #: 01449917788    | FIDELITY ADVISOR HIGH INCOME ADVANT<br>BUY 0 Units @0.0000 | 0.00                 | 1.14                | 0.00               | 1.14              | 10.0 | 0.11                 |



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| DATE   | CLIENT                         | INVESTMENT                          | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|--|--------------------------------|-------------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b>BROKER TRANSACTIONS (continued)</b>                       |                                |                                     |                      |                     |                    |                   |      |                      |
| <b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</b> |                                |                                     |                      |                     |                    |                   |      |                      |
| 03/07/2018   | ***-**-2667 - BETTINI, ROBERT  | FIDELITY ADVISOR INTERNAT'L CAPITAL | 0.00                 | 4.03                | 0.00               | 4.03              | 10.0 | 0.40                 |
|  | ACCOUNT #: 00655086841         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/07/2018   | ***-**-7846 - BIELAS           | FIDELITY ADVISOR MID CAP STOCK CL A | 0.00                 | 1.04                | 0.00               | 1.04              | 10.0 | 0.10                 |
|  | ACCOUNT #: 00498533249         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/07/2018   | ***-**-4413 - COREY, PEGGY     | FIDELITY ADVISOR MID CAP STOCK CL A | 0.00                 | 5.28                | 0.00               | 5.28              | 10.0 | 0.53                 |
|  | ACCOUNT #: 00501474076         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/07/2018   | ***-**-2412 - COREY, MARSHALL  | FIDELITY ADVISOR MID CAP STOCK CL A | 0.00                 | 2.81                | 0.00               | 2.81              | 10.0 | 0.28                 |
|  | ACCOUNT #: 00501474225         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/07/2018   | ***-**-2667 - BETTINI, ROBERT  | FIDELITY ADVISOR MID CAP STOCK CL A | 0.00                 | 4.85                | 0.00               | 4.85              | 10.0 | 0.49                 |
|  | ACCOUNT #: 00655086841         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/07/2018   | ***-**-911N - MONT-LABUTTE,    | FIDELITY ADVISOR MID CAP STOCK CL A | 0.00                 | 3.54                | 0.00               | 3.54              | 10.0 | 0.35                 |
|  | ACCOUNT #: 00503941965         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/07/2018   | ***-**-4741 - STEINER, GARY    | FIDELITY ADVISOR MID CAP STOCK CL T | 0.00                 | 2.10                | 0.00               | 2.10              | 10.0 | 0.21                 |
|  | ACCOUNT #: 00531302438         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/07/2018   | ***-**-429I - ZIER, RUSSELL    | FIDELITY ADVISOR MID CAP STOCK CL T | 0.00                 | 2.56                | 0.00               | 2.56              | 10.0 | 0.26                 |
|  | ACCOUNT #: 01449917788         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/07/2018   | ***-**-65CL - WOLFOLK, CLIENTS | FIDELITY ADVISOR SMALL-CAP GROWTH F | 0.00                 | 1.47                | 0.00               | 1.47              | 10.0 | 0.15                 |
|  | ACCOUNT #: 01473078036         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/07/2018   | ***-**-7846 - BIELAS           | FIDELITY ADVISOR STK SELECTOR ALL C | 0.00                 | 0.80                | 0.00               | 0.80              | 10.0 | 0.08                 |
|  | ACCOUNT #: 00498533249         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/07/2018   | ***-**-429I - ZIER, RUSSELL    | FIDELITY ADVISOR VALUE STRAT CL T   | 0.00                 | 2.58                | 0.00               | 2.58              | 10.0 | 0.26                 |
|  | ACCOUNT #: 01449917788         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-5239 - TERRELL, EMILY   | FUNDAMENTAL INVESTORS-529A          | 0.00                 | 13.62               | 0.00               | 13.62             | 10.0 | 1.36                 |
|  | ACCOUNT #: 00083570795         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-5239 - TERRELL, EMILY   | FUNDAMENTAL INVESTORS-529A          | 0.00                 | 12.25               | 0.00               | 12.25             | 10.0 | 1.23                 |
|  | ACCOUNT #: 00083571087         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-733I - ANDERSEN,        | FUNDAMENTAL INVESTORS-529A          | 0.00                 | 2.55                | 0.00               | 2.55              | 10.0 | 0.26                 |
|  | ACCOUNT #: 00085128729         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-735P - MARKSAMER,       | FUNDAMENTAL INVESTORS-529A          | 0.00                 | 6.82                | 0.00               | 6.82              | 10.0 | 0.68                 |
|  | ACCOUNT #: 00086018329         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-845P - TRAUT, SHEILA    | FUNDAMENTAL INVESTORS-529A          | 0.00                 | 3.52                | 0.00               | 3.52              | 10.0 | 0.35                 |
|  | ACCOUNT #: 00086023465         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |



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|--|---|---|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b>BROKER TRANSACTIONS (continued)</b>                       |   |   |                      |                     |                    |                   |      |                      |
| <b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</b> |   |   |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-845P - TRAUT, SHEILA<br>ACCOUNT #: 00086023476   | FUNDAMENTAL INVESTORS-529A<br>BUY 0 Units @0.0000 | 0.00                 | 3.52                | 0.00               | 3.52              | 10.0 | 0.35                 |
| 03/01/2018   | ***-**-525P - GARDNER, DANIEL<br>ACCOUNT #: 00086081038 | FUNDAMENTAL INVESTORS-529A<br>BUY 0 Units @0.0000 | 0.00                 | 7.34                | 0.00               | 7.34              | 10.0 | 0.73                 |
| 03/01/2018   | ***-**-185P - BROZIC, MICHAEL<br>ACCOUNT #: 00086510064 | FUNDAMENTAL INVESTORS-529A<br>BUY 0 Units @0.0000 | 0.00                 | 8.03                | 0.00               | 8.03              | 10.0 | 0.80                 |
| 03/01/2018   | ***-**-2802 - MAASS, TY<br>ACCOUNT #: 00086550207       | FUNDAMENTAL INVESTORS-529A<br>BUY 0 Units @0.0000 | 0.00                 | 4.04                | 0.00               | 4.04              | 10.0 | 0.40                 |
| 03/01/2018   | ***-**-005P - SIRCY, PATRICK<br>ACCOUNT #: 00081938666  | FUNDAMENTAL INVESTORS-529A<br>BUY 0 Units @0.0000 | 0.00                 | 6.04                | 0.00               | 6.04              | 10.0 | 0.60                 |
| 03/01/2018   | ***-**-17IN - OPPER, ARLENE<br>ACCOUNT #: 00057350830   | FUNDAMENTAL INVESTORS-A<br>BUY 0 Units @0.0000    | 0.00                 | 13.37               | 0.00               | 13.37             | 10.0 | 1.34                 |
| 03/01/2018   | ***-**-584I - KULISICH, JOHN<br>ACCOUNT #: 00060114682  | FUNDAMENTAL INVESTORS-A<br>BUY 0 Units @0.0000    | 0.00                 | 63.09               | 0.00               | 63.09             | 10.0 | 6.31                 |
| 03/01/2018   | ***-**-45IN - INTIHAR, CHRIS<br>ACCOUNT #: 00060636309  | FUNDAMENTAL INVESTORS-A<br>BUY 0 Units @0.0000    | 0.00                 | 21.91               | 0.00               | 21.91             | 10.0 | 2.19                 |
| 03/01/2018   | ***-**-843P - FERRENTINO,<br>ACCOUNT #: 00061255404     | FUNDAMENTAL INVESTORS-A<br>BUY 0 Units @0.0000    | 0.00                 | 1.86                | 0.00               | 1.86              | 10.0 | 0.19                 |
| 03/01/2018   | ***-**-12UT - BASTEN, ASHLEY<br>ACCOUNT #: 00061604201  | FUNDAMENTAL INVESTORS-A<br>BUY 0 Units @0.0000    | 0.00                 | 3.09                | 0.00               | 3.09              | 10.0 | 0.31                 |
| 03/01/2018   | ***-**-675P - LEONARD, CRAIG<br>ACCOUNT #: 00061651661  | FUNDAMENTAL INVESTORS-A<br>BUY 0 Units @0.0000    | 0.00                 | 67.02               | 0.00               | 67.02             | 10.0 | 6.70                 |
| 03/01/2018   | ***-**-230P - KEESE, MINDI<br>ACCOUNT #: 00061765270    | FUNDAMENTAL INVESTORS-A<br>BUY 0 Units @0.0000    | 0.00                 | 14.68               | 0.00               | 14.68             | 10.0 | 1.47                 |
| 03/01/2018   | ***-**-41IN - EISENMANN,<br>ACCOUNT #: 00062073038      | FUNDAMENTAL INVESTORS-A<br>BUY 0 Units @0.0000    | 0.00                 | 38.94               | 0.00               | 38.94             | 10.0 | 3.89                 |
| 03/01/2018   | ***-**-144I - EISENMANN,<br>ACCOUNT #: 00062138472      | FUNDAMENTAL INVESTORS-A<br>BUY 0 Units @0.0000    | 0.00                 | 38.15               | 0.00               | 38.15             | 10.0 | 3.82                 |
| 03/01/2018   | ***-**-785P - FRENCH 25%,<br>ACCOUNT #: 00062453419     | FUNDAMENTAL INVESTORS-A<br>BUY 0 Units @0.0000    | 0.00                 | 151.82              | 0.00               | 151.82            | 10.0 | 15.18                |
| 03/01/2018   | ***-**-078I - LEWYN, GLORIA<br>ACCOUNT #: 00062512615   | FUNDAMENTAL INVESTORS-A<br>BUY 0 Units @0.0000    | 0.00                 | 150.94              | 0.00               | 150.94            | 10.0 | 15.09                |



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|--|--------------------------------|-------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b>BROKER TRANSACTIONS (continued)</b>                       |                                |                         |                      |                     |                    |                   |      |                      |
| <b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</b> |                                |                         |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-595P - VAUGHN, STEVEN   | FUNDAMENTAL INVESTORS-A | 0.00                 | 0.08                | 0.00               | 0.08              | 10.0 | 0.01                 |
|  | ACCOUNT #: 00062966826         | BUY 0 Units @0.0000     |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-155P - SCHRANK, ELAINE  | FUNDAMENTAL INVESTORS-A | 0.00                 | 19.39               | 0.00               | 19.39             | 10.0 | 1.94                 |
|  | ACCOUNT #: 00063151997         | BUY 0 Units @0.0000     |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-061I - MAGGIO,          | FUNDAMENTAL INVESTORS-A | 0.00                 | 1.16                | 0.00               | 1.16              | 10.0 | 0.12                 |
|  | ACCOUNT #: 00063184205         | BUY 0 Units @0.0000     |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-995P - WESORICK, KURT   | FUNDAMENTAL INVESTORS-A | 0.00                 | 57.25               | 0.00               | 57.25             | 10.0 | 5.73                 |
|  | ACCOUNT #: 00063224334         | BUY 0 Units @0.0000     |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-641P - BAUGHMAN, KATHY  | FUNDAMENTAL INVESTORS-A | 0.00                 | 0.49                | 0.00               | 0.49              | 10.0 | 0.05                 |
|  | ACCOUNT #: 00063267614         | BUY 0 Units @0.0000     |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-415P - RYAN, DEBORAH    | FUNDAMENTAL INVESTORS-A | 0.00                 | 0.09                | 0.00               | 0.09              | 10.0 | 0.01                 |
|  | ACCOUNT #: 00063501625         | BUY 0 Units @0.0000     |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-575P - ANDERSON, SUSAN  | FUNDAMENTAL INVESTORS-A | 0.00                 | 5.23                | 0.00               | 5.23              | 10.0 | 0.52                 |
|  | ACCOUNT #: 00063941162         | BUY 0 Units @0.0000     |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-095P - ZAPPI, DENISE    | FUNDAMENTAL INVESTORS-A | 0.00                 | 1.06                | 0.00               | 1.06              | 10.0 | 0.11                 |
|  | ACCOUNT #: 00064285100         | BUY 0 Units @0.0000     |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-825P - PRATURLON, GARY  | FUNDAMENTAL INVESTORS-A | 0.00                 | 2.08                | 0.00               | 2.08              | 10.0 | 0.21                 |
|  | ACCOUNT #: 00064415639         | BUY 0 Units @0.0000     |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-98RI - BENNET,          | FUNDAMENTAL INVESTORS-A | 0.00                 | 21.35               | 0.00               | 21.35             | 10.0 | 2.14                 |
|  | ACCOUNT #: 00064633625         | BUY 0 Units @0.0000     |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-235P - ANDERSON,        | FUNDAMENTAL INVESTORS-A | 0.00                 | 5.68                | 0.00               | 5.68              | 10.0 | 0.57                 |
|  | ACCOUNT #: 00064812306         | BUY 0 Units @0.0000     |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-485P - ANDERSON, PAUL   | FUNDAMENTAL INVESTORS-A | 0.00                 | 5.68                | 0.00               | 5.68              | 10.0 | 0.57                 |
|  | ACCOUNT #: 00064812307         | BUY 0 Units @0.0000     |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-67IN - CALDWELL,        | FUNDAMENTAL INVESTORS-A | 0.00                 | 1.89                | 0.00               | 1.89              | 10.0 | 0.19                 |
|  | ACCOUNT #: 00064898692         | BUY 0 Units @0.0000     |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-935P - CALDWELL, CONNIE | FUNDAMENTAL INVESTORS-A | 0.00                 | 1.95                | 0.00               | 1.95              | 10.0 | 0.20                 |
|  | ACCOUNT #: 00064952289         | BUY 0 Units @0.0000     |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-978I - ENRIGHT,         | FUNDAMENTAL INVESTORS-A | 0.00                 | 4.02                | 0.00               | 4.02              | 10.0 | 0.40                 |
|  | ACCOUNT #: 00066747757         | BUY 0 Units @0.0000     |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-465P - HOLT, DAVID      | FUNDAMENTAL INVESTORS-A | 0.00                 | 58.89               | 0.00               | 58.89             | 10.0 | 5.89                 |
|  | ACCOUNT #: 00066795968         | BUY 0 Units @0.0000     |                      |                     |                    |                   |      |                      |



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| <b>BROKER TRANSACTIONS (continued)</b>                       |                                |                         |                      |                     |                    |                   |      |                      |
| <b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</b> |                                |                         |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-375P - KAVI, KRISHNA    | FUNDAMENTAL INVESTORS-A | 0.00                 | 6.91                | 0.00               | 6.91              | 10.0 | 0.69                 |
|  | ACCOUNT #: 00066909129         | BUY 0 Units @0.0000     |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-375P - KAVI, KRISHNA    | FUNDAMENTAL INVESTORS-A | 0.00                 | 37.79               | 0.00               | 37.79             | 10.0 | 3.78                 |
|  | ACCOUNT #: 00066909137         | BUY 0 Units @0.0000     |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-575P - ANTHONY,         | FUNDAMENTAL INVESTORS-A | 0.00                 | 0.94                | 0.00               | 0.94              | 10.0 | 0.09                 |
|  | ACCOUNT #: 00067818034         | BUY 0 Units @0.0000     |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-737I - NEWGAARD, JERI   | FUNDAMENTAL INVESTORS-A | 0.00                 | 12.70               | 0.00               | 12.70             | 10.0 | 1.27                 |
|  | ACCOUNT #: 00073125186         | BUY 0 Units @0.0000     |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-0185 - BRINKLEY, JANE   | FUNDAMENTAL INVESTORS-A | 0.00                 | 6.83                | 0.00               | 6.83              | 10.0 | 0.68                 |
|  | ACCOUNT #: 00075722405         | BUY 0 Units @0.0000     |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-685P - TAYLOR, AMANDA   | FUNDAMENTAL INVESTORS-A | 0.00                 | 15.88               | 0.00               | 15.88             | 10.0 | 1.59                 |
|  | ACCOUNT #: 00082469804         | BUY 0 Units @0.0000     |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-186I - JACOBSON, MARINA | FUNDAMENTAL INVESTORS-A | 0.00                 | 25.95               | 0.00               | 25.95             | 10.0 | 2.60                 |
|  | ACCOUNT #: 00083731526         | BUY 0 Units @0.0000     |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-721I - JACOBSON, STUART | FUNDAMENTAL INVESTORS-A | 0.00                 | 0.47                | 0.00               | 0.47              | 10.0 | 0.05                 |
|  | ACCOUNT #: 00083731770         | BUY 0 Units @0.0000     |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-618I - HULLS, JENNIFER  | FUNDAMENTAL INVESTORS-A | 0.00                 | 10.11               | 0.00               | 10.11             | 10.0 | 1.01                 |
|  | ACCOUNT #: 00083732568         | BUY 0 Units @0.0000     |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-173I - MATUSIEWICZ,     | FUNDAMENTAL INVESTORS-A | 0.00                 | 1.96                | 0.00               | 1.96              | 10.0 | 0.20                 |
|  | ACCOUNT #: 00083738493         | BUY 0 Units @0.0000     |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-160I - MAZZEI, ANN      | FUNDAMENTAL INVESTORS-A | 0.00                 | 0.40                | 0.00               | 0.40              | 10.0 | 0.04                 |
|  | ACCOUNT #: 00083759830         | BUY 0 Units @0.0000     |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-60IR - MAZZEI, ANN      | FUNDAMENTAL INVESTORS-A | 0.00                 | 0.42                | 0.00               | 0.42              | 10.0 | 0.04                 |
|  | ACCOUNT #: 00083763987         | BUY 0 Units @0.0000     |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-537I - DIVALERIO, KATHY | FUNDAMENTAL INVESTORS-A | 0.00                 | 19.13               | 0.00               | 19.13             | 10.0 | 1.91                 |
|  | ACCOUNT #: 00083765927         | BUY 0 Units @0.0000     |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-573I - CLARK-BROWN,     | FUNDAMENTAL INVESTORS-A | 0.00                 | 0.14                | 0.00               | 0.14              | 10.0 | 0.01                 |
|  | ACCOUNT #: 00083776067         | BUY 0 Units @0.0000     |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-685I - MAZZEI, MICHAEL  | FUNDAMENTAL INVESTORS-A | 0.00                 | 0.33                | 0.00               | 0.33              | 10.0 | 0.03                 |
|  | ACCOUNT #: 00083789465         | BUY 0 Units @0.0000     |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-85IR - MAZZEI, MICHAEL  | FUNDAMENTAL INVESTORS-A | 0.00                 | 0.37                | 0.00               | 0.37              | 10.0 | 0.04                 |
|  | ACCOUNT #: 00083793983         | BUY 0 Units @0.0000     |                      |                     |                    |                   |      |                      |



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| <b>BROKER TRANSACTIONS (continued)</b>                       |  |   |                      |                     |                    |                   |      |                      |
| <b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</b> |  |   |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-73IR - CLARK-BROWN,<br>ACCOUNT #: 00083923759     | FUNDAMENTAL INVESTORS-A<br>BUY 0 Units @0.0000        | 0.00                 | 0.23                | 0.00               | 0.23              | 10.0 | 0.02                 |
| 03/01/2018   | ***-**-95IN - MILLER, TRAVIS<br>ACCOUNT #: 00084396354   | FUNDAMENTAL INVESTORS-A<br>BUY 0 Units @0.0000        | 0.00                 | 2.23                | 0.00               | 2.23              | 10.0 | 0.22                 |
| 03/01/2018   | ***-**-98SI - LAMSON, MARY<br>ACCOUNT #: 00084483081     | FUNDAMENTAL INVESTORS-A<br>BUY 0 Units @0.0000        | 0.00                 | 38.75               | 0.00               | 38.75             | 10.0 | 3.88                 |
| 03/01/2018   | ***-**-953I - KOSTER, JENNIFER<br>ACCOUNT #: 00085349001 | FUNDAMENTAL INVESTORS-A<br>BUY 0 Units @0.0000        | 0.00                 | 10.87               | 0.00               | 10.87             | 10.0 | 1.09                 |
| 03/01/2018   | ***-**-95IN - LARSON, JOEL<br>ACCOUNT #: 00086113566     | FUNDAMENTAL INVESTORS-A<br>BUY 0 Units @0.0000        | 0.00                 | 5.62                | 0.00               | 5.62              | 10.0 | 0.56                 |
| 03/01/2018   | ***-**-515P - COGGESHALL,<br>ACCOUNT #: 00075314098      | FUNDAMENTAL INVESTORS-A<br>BUY 0 Units @0.0000        | 0.00                 | 0.66                | 0.00               | 0.66              | 10.0 | 0.07                 |
| 03/01/2018   | ***-**-675P - MORRISON, MARK<br>ACCOUNT #: 00067573193   | FUNDAMENTAL INVESTORS-A<br>BUY 0 Units @0.0000        | 0.00                 | 1.88                | 0.00               | 1.88              | 10.0 | 0.19                 |
| 03/01/2018   | ***-**-29IN - LITMAN, WENDY<br>ACCOUNT #: 00068524068    | FUNDAMENTAL INVESTORS-A<br>BUY 0 Units @0.0000        | 0.00                 | 5.11                | 0.00               | 5.11              | 10.0 | 0.51                 |
| 03/01/2018   | ***-**-065P - DJENADIC, GORAN<br>ACCOUNT #: 00069014458  | FUNDAMENTAL INVESTORS-A<br>BUY 0 Units @0.0000        | 0.00                 | 7.41                | 0.00               | 7.41              | 10.0 | 0.74                 |
| 03/01/2018   | ***-**-01IN - SEVERE, EMILY<br>ACCOUNT #: 00075266202    | FUNDAMENTAL INVESTORS-A<br>BUY 0 Units @0.0000        | 0.00                 | 7.10                | 0.00               | 7.10              | 10.0 | 0.71                 |
| 03/01/2018   | ***-**-415P - TARANTINO, SCOTT<br>ACCOUNT #: 00087447990 | FUNDAMENTAL INVESTORS-A<br>BUY 0 Units @0.0000        | 0.00                 | 21.51               | 0.00               | 21.51             | 10.0 | 2.15                 |
| 03/01/2018   | ***-**-36IN - PETERSEN, BRENDA<br>ACCOUNT #: 00084738624 | GLOBAL GROWTH PORTFOLIO-A<br>BUY 0 Units @0.0000      | 0.00                 | 46.27               | 0.00               | 46.27             | 10.0 | 4.63                 |
| 03/01/2018   | ***-**-887I - IM, RICHARD<br>ACCOUNT #: 00086890530      | GLOBAL GROWTH PORTFOLIO-A<br>BUY 0 Units @0.0000      | 0.00                 | 64.80               | 0.00               | 64.80             | 10.0 | 6.48                 |
| 03/01/2018   | ***-**-915P - FRIEDMAN, KEITH<br>ACCOUNT #: 00087230952  | GLOBAL GROWTH PORTFOLIO-A<br>BUY 0 Units @0.0000      | 0.00                 | 130.43              | 0.00               | 130.43            | 10.0 | 13.04                |
| 03/01/2018   | ***-**-635P - SCOTT, JAMES<br>ACCOUNT #: 00068920074     | GROWTH FUND OF AMERICA CLASS F<br>BUY 0 Units @0.0000 | 0.00                 | 31.88               | 0.00               | 31.88             | 10.0 | 3.19                 |
| 03/01/2018   | ***-**-09IR - BECKER, STEPHEN<br>ACCOUNT #: 00067495593  | GROWTH FUND OF AMERICA CLASS F<br>BUY 0 Units @0.0000 | 0.00                 | 11.52               | 0.00               | 11.52             | 10.0 | 1.15                 |



# COMMISSION STATEMENT

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ALEX GEORGIEV  
400 West Metro Park  
Rochester, NY 14623

BROKER #: AGJ  
BRANCH #01001 - LifeMark Home Office

| DATE   | CLIENT                         | INVESTMENT                          | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|--|--------------------------------|-------------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b>BROKER TRANSACTIONS (continued)</b>                       |                                |                                     |                      |                     |                    |                   |      |                      |
| <b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</b> |                                |                                     |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-655P - SINNO, RIMA      | GROWTH FUND OF AMERICA CLASS F      | 0.00                 | 43.03               | 0.00               | 43.03             | 10.0 | 4.30                 |
|  | ACCOUNT #: 00068297390         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-375P - SINNO, FADY      | GROWTH FUND OF AMERICA CLASS F      | 0.00                 | 78.94               | 0.00               | 78.94             | 10.0 | 7.89                 |
|  | ACCOUNT #: 00068297392         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/12/2018   | ***-**-8658 - SOLOFF, MIRIAM   | GUGGENHEIM STYLPLUS MIDCAP GRWTH ST | 0.00                 | 2.49                | 0.00               | 2.49              | 10.0 | 0.25                 |
|  | ACCOUNT #: LSR105201           | BUY 1 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-16IN - MIDDLETON, BETTY | INTERMEDIATE BOND FUND OF AMERICA-A | 0.00                 | 18.20               | 0.00               | 18.20             | 10.0 | 1.82                 |
|  | ACCOUNT #: 00060743431         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-229I - NOWAKOWSKI,      | INTERMEDIATE BOND FUND OF AMERICA-A | 0.00                 | 14.04               | 0.00               | 14.04             | 10.0 | 1.40                 |
|  | ACCOUNT #: 00061749920         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-525P - ARCHAMBAULT,     | INTERMEDIATE BOND FUND OF AMERICA-A | 0.00                 | 6.53                | 0.00               | 6.53              | 10.0 | 0.65                 |
|  | ACCOUNT #: 00062052940         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-7060 - GARLAND, BARBARA | INTERMEDIATE BOND FUND OF AMERICA-A | 0.00                 | 43.41               | 0.00               | 43.41             | 10.0 | 4.34                 |
|  | ACCOUNT #: 00063496789         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-465P - HOLT, DAVID      | INTERMEDIATE BOND FUND OF AMERICA-A | 0.00                 | 18.54               | 0.00               | 18.54             | 10.0 | 1.85                 |
|  | ACCOUNT #: 00066795968         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-448P - MOSS, HEATHER    | INTERMEDIATE BOND FUND OF AMERICA-A | 0.00                 | 0.46                | 0.00               | 0.46              | 10.0 | 0.05                 |
|  | ACCOUNT #: 00066848271         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-554P - SHULL, HAZEL     | INTERMEDIATE BOND FUND OF AMERICA-A | 0.00                 | 10.26               | 0.00               | 10.26             | 10.0 | 1.03                 |
|  | ACCOUNT #: 00068030482         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-265P - CLIFFORD, JAMES  | INTERMEDIATE BOND FUND OF AMERICA-A | 0.00                 | 10.98               | 0.00               | 10.98             | 10.0 | 1.10                 |
|  | ACCOUNT #: 00073275609         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-975P - OSBORNE, SUE     | INTERMEDIATE BOND FUND OF AMERICA-A | 0.00                 | 0.58                | 0.00               | 0.58              | 10.0 | 0.06                 |
|  | ACCOUNT #: 00073569391         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-818I - YOUNG, BRANDI    | INTERMEDIATE BOND FUND OF AMERICA-A | 0.00                 | 0.41                | 0.00               | 0.41              | 10.0 | 0.04                 |
|  | ACCOUNT #: 00082828085         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-953I - KOSTER, JENNIFER | INTERMEDIATE BOND FUND OF AMERICA-A | 0.00                 | 1.33                | 0.00               | 1.33              | 10.0 | 0.13                 |
|  | ACCOUNT #: 00085349001         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-994B - EARLES, PHYLLIS  | INTERMEDIATE BOND FUND OF AMERICA-A | 0.00                 | 1.00                | 0.00               | 1.00              | 10.0 | 0.10                 |
|  | ACCOUNT #: 02001074291         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-452J - GARDNER, DANIEL  | INTERMEDIATE BOND FUND OF AMERICA-A | 0.00                 | 0.40                | 0.00               | 0.40              | 10.0 | 0.04                 |
|  | ACCOUNT #: 00084433333         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |





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|--|--------------------------------|-------------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b>BROKER TRANSACTIONS (continued)</b>                       |                                |                                     |                      |                     |                    |                   |      |                      |
| <b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</b> |                                |                                     |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-785P - TRAUT, ASHLEY    | INTERNATIONAL GROWTH AND INCOME-529 | 0.00                 | 4.99                | 0.00               | 4.99              | 10.0 | 0.50                 |
|  | ACCOUNT #: 00086549630         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-953I - KOSTER, JENNIFER | INTERNATIONAL GROWTH AND INCOME-A   | 0.00                 | 4.82                | 0.00               | 4.82              | 10.0 | 0.48                 |
|  | ACCOUNT #: 00085349001         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-601I - FALCK, ROBERT    | INTERNATIONAL GROWTH AND INCOME-A   | 0.00                 | 14.93               | 0.00               | 14.93             | 10.0 | 1.49                 |
|  | ACCOUNT #: 00068513111         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-72IN - THUMULURU,       | INTERNATIONAL GROWTH AND INCOME-A   | 0.00                 | 9.82                | 0.00               | 9.82              | 10.0 | 0.98                 |
|  | ACCOUNT #: 00074749751         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-95IN - STARTZEL,        | INTERNATIONAL GROWTH AND INCOME-A   | 0.00                 | 2.18                | 0.00               | 2.18              | 10.0 | 0.22                 |
|  | ACCOUNT #: 00081317740         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-064J - HALL, AMY        | INTERNATIONAL GROWTH AND INCOME-A   | 0.00                 | 27.42               | 0.00               | 27.42             | 10.0 | 2.74                 |
|  | ACCOUNT #: 00083146232         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-452J - GARDNER, DANIEL  | INTERNATIONAL GROWTH AND INCOME-A   | 0.00                 | 7.61                | 0.00               | 7.61              | 10.0 | 0.76                 |
|  | ACCOUNT #: 00084433333         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-885P - PITTAWAY, JAMES  | INTERNATIONAL GROWTH AND INCOME-C   | 0.00                 | 0.18                | 0.00               | 0.18              | 10.0 | 0.02                 |
|  | ACCOUNT #: 00068654518         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-755P - PITTAWAY,        | INTERNATIONAL GROWTH AND INCOME-C   | 0.00                 | 0.17                | 0.00               | 0.17              | 10.0 | 0.02                 |
|  | ACCOUNT #: 00068654520         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/12/2018   | ***-**-458I - KLAG, SCOTT      | INVESCO AMERICAN FRANCHISE FUND -CL | 0.00                 | 1.34                | 0.00               | 1.34              | 10.0 | 0.13                 |
|  | ACCOUNT #: LSR010282           | BUY 1 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/12/2018   | ***-**-22SI - PROUL, JEFFRY    | INVESCO AMERICAN FRANCHISE FUND -CL | 0.00                 | 1.67                | 0.00               | 1.67              | 10.0 | 0.17                 |
|  | ACCOUNT #: LSR000175           | BUY 1 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/12/2018   | ***-**-64IN - SHAPIRO, JAY     | INVESCO VAN KAMPEN COMSTOCK CLASS A | 0.00                 | 0.52                | 0.00               | 0.52              | 10.0 | 0.05                 |
|  | ACCOUNT #: LSR012137           | BUY 1 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/12/2018   | ***-**-034I - YEARY, LYNETTE   | INVESCO VAN KAMPEN COMSTOCK CLASS A | 0.00                 | 0.89                | 0.00               | 0.89              | 10.0 | 0.09                 |
|  | ACCOUNT #: LSR012190           | BUY 1 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/12/2018   | ***-**-60IN - METCHIS, STACY   | INVESCO VAN KAMPEN COMSTOCK CLASS A | 0.00                 | 0.05                | 0.00               | 0.05              | 10.0 | 0.01                 |
|  | ACCOUNT #: LSR012198           | BUY 1 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/12/2018   | ***-**-60TR - BLANCHARD TRUST, | INVESCO VAN KAMPEN EQUITY AND INCOM | 0.00                 | 3.87                | 0.00               | 3.87              | 10.0 | 0.39                 |
|  | ACCOUNT #: LSR010327           | BUY 1 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/12/2018   | ***-**-430I - GRYNSPAN, ELLEN  | INVESCO VAN KAMPEN EQUITY AND INCOM | 0.00                 | 0.37                | 0.00               | 0.37              | 10.0 | 0.04                 |
|  | ACCOUNT #: LSR012131           | BUY 1 Units @0.0000                 |                      |                     |                    |                   |      |                      |



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|--|--|--|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b>BROKER TRANSACTIONS (continued)</b>                       |  |  |                      |                     |                    |                   |      |                      |
| <b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</b> |  |  |                      |                     |                    |                   |      |                      |
| 03/12/2018   | ***-**-034I - YEARY, LYNETTE<br>ACCOUNT #: LSR012190   | INVESCO VAN KAMPEN EQUITY AND INCOM<br>BUY 1 Units @0.0000 | 0.00                 | 0.83                | 0.00               | 0.83              | 10.0 | 0.08                 |
| 03/01/2018   | ***-**-345P -<br>ACCOUNT #: 00067128072                | INVESTMENT COMPANY OF AMERICA CLASS<br>BUY 0 Units @0.0000 | 0.00                 | 0.10                | 0.00               | 0.10              | 10.0 | 0.01                 |
| 03/12/2018   | ***-**-07SI - BODDIE, FBO<br>ACCOUNT #: LSR007161      | IVK GROWTH AND INCOME FUND - CLASS<br>BUY 1 Units @0.0000  | 0.00                 | 3.43                | 0.00               | 3.43              | 10.0 | 0.34                 |
| 03/12/2018   | ***-**-60TR - BLANCHARD TRUST,<br>ACCOUNT #: LSR010327 | IVK GROWTH AND INCOME FUND - CLASS<br>BUY 1 Units @0.0000  | 0.00                 | 6.22                | 0.00               | 6.22              | 10.0 | 0.62                 |
| 03/12/2018   | ***-**-034I - YEARY, LYNETTE<br>ACCOUNT #: LSR012190   | IVK GROWTH AND INCOME FUND - CLASS<br>BUY 1 Units @0.0000  | 0.00                 | 0.96                | 0.00               | 0.96              | 10.0 | 0.10                 |
| 03/12/2018   | ***-**-3125 - ROSENGARTEN,<br>ACCOUNT #: LSR105147     | MFS EMERGING GROWTH FUND CLASS A<br>BUY 1 Units @0.0000    | 0.00                 | 1.37                | 0.00               | 1.37              | 10.0 | 0.14                 |
| 03/12/2018   | ***-**-8658 - SOLOFF, MIRIAM<br>ACCOUNT #: LSR105201   | MFS EMERGING GROWTH FUND CLASS A<br>BUY 1 Units @0.0000    | 0.00                 | 1.91                | 0.00               | 1.91              | 10.0 | 0.19                 |
| 03/01/2018   | ***-**-925P - WILLIAMS,<br>ACCOUNT #: 00074498681      | NEW PERSPECTIVE FUND-529A<br>BUY 0 Units @0.0000           | 0.00                 | 2.03                | 0.00               | 2.03              | 10.0 | 0.20                 |
| 03/01/2018   | ***-**-925P - WILLIAMS,<br>ACCOUNT #: 00074498718      | NEW PERSPECTIVE FUND-529A<br>BUY 0 Units @0.0000           | 0.00                 | 0.63                | 0.00               | 0.63              | 10.0 | 0.06                 |
| 03/01/2018   | ***-**-425P - RADINSKY,<br>ACCOUNT #: 00006895131      | NEW PERSPECTIVE FUND-529A<br>BUY 0 Units @0.0000           | 0.00                 | 2.42                | 0.00               | 2.42              | 10.0 | 0.24                 |
| 03/01/2018   | ***-**-425P - RADINSKY,<br>ACCOUNT #: 00068975133      | NEW PERSPECTIVE FUND-529A<br>BUY 0 Units @0.0000           | 0.00                 | 21.67               | 0.00               | 21.67             | 10.0 | 2.17                 |
| 03/01/2018   | ***-**-115P - BEG, ASIF<br>ACCOUNT #: 00081438568      | NEW PERSPECTIVE FUND-529A<br>BUY 0 Units @0.0000           | 0.00                 | 4.02                | 0.00               | 4.02              | 10.0 | 0.40                 |
| 03/01/2018   | ***-**-015P - SEVERE, DAVID<br>ACCOUNT #: 00086510141  | NEW PERSPECTIVE FUND-529A<br>BUY 0 Units @0.0000           | 0.00                 | 4.68                | 0.00               | 4.68              | 10.0 | 0.47                 |
| 03/01/2018   | ***-**-925P - WILLIAMS,<br>ACCOUNT #: 00074498681      | NEW PERSPECTIVE FUND-529C<br>BUY 0 Units @0.0000           | 0.00                 | 0.97                | 0.00               | 0.97              | 10.0 | 0.10                 |
| 03/01/2018   | ***-**-925P - WILLIAMS,<br>ACCOUNT #: 00074498718      | NEW PERSPECTIVE FUND-529C<br>BUY 0 Units @0.0000           | 0.00                 | 0.30                | 0.00               | 0.30              | 10.0 | 0.03                 |
| 03/01/2018   | ***-**-295P - HOGAN, ANN<br>ACCOUNT #: 00074253253     | NEW PERSPECTIVE FUND-A<br>BUY 0 Units @0.0000              | 0.00                 | 35.54               | 0.00               | 35.54             | 10.0 | 3.55                 |



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|--|--------------------------------|------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b>BROKER TRANSACTIONS (continued)</b>                       |                                |                        |                      |                     |                    |                   |      |                      |
| <b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</b> |                                |                        |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-660I - COLLINGE, ZANDRA | NEW PERSPECTIVE FUND-A | 0.00                 | 86.25               | 0.00               | 86.25             | 10.0 | 8.63                 |
|  | ACCOUNT #: 00058784444         | BUY 0 Units @0.0000    |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-239I - TERRELL, LAURA   | NEW PERSPECTIVE FUND-A | 0.00                 | 21.40               | 0.00               | 21.40             | 10.0 | 2.14                 |
|  | ACCOUNT #: 00058786069         | BUY 0 Units @0.0000    |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-239P - TERRELL, LAURA   | NEW PERSPECTIVE FUND-A | 0.00                 | 17.25               | 0.00               | 17.25             | 10.0 | 1.73                 |
|  | ACCOUNT #: 00058801744         | BUY 0 Units @0.0000    |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-055P - BALTZ, BERNARD   | NEW PERSPECTIVE FUND-A | 0.00                 | 4.44                | 0.00               | 4.44              | 10.0 | 0.44                 |
|  | ACCOUNT #: 00059862483         | BUY 0 Units @0.0000    |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-715P - BALTZ, JULIE     | NEW PERSPECTIVE FUND-A | 0.00                 | 2.12                | 0.00               | 2.12              | 10.0 | 0.21                 |
|  | ACCOUNT #: 00059862484         | BUY 0 Units @0.0000    |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-559I - PARSONS, TERRIE  | NEW PERSPECTIVE FUND-A | 0.00                 | 22.94               | 0.00               | 22.94             | 10.0 | 2.29                 |
|  | ACCOUNT #: 00060653359         | BUY 0 Units @0.0000    |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-395P - NISSON/SEP,      | NEW PERSPECTIVE FUND-A | 0.00                 | 5.03                | 0.00               | 5.03              | 10.0 | 0.50                 |
|  | ACCOUNT #: 00061194368         | BUY 0 Units @0.0000    |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-70IN - PESCHE, SUSAN    | NEW PERSPECTIVE FUND-A | 0.00                 | 94.62               | 0.00               | 94.62             | 10.0 | 9.46                 |
|  | ACCOUNT #: 00061196180         | BUY 0 Units @0.0000    |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-371I - GLEASON, JAMES   | NEW PERSPECTIVE FUND-A | 0.00                 | 13.90               | 0.00               | 13.90             | 10.0 | 1.39                 |
|  | ACCOUNT #: 00061535105         | BUY 0 Units @0.0000    |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-229I - NOWAKOWSKI,      | NEW PERSPECTIVE FUND-A | 0.00                 | 16.22               | 0.00               | 16.22             | 10.0 | 1.62                 |
|  | ACCOUNT #: 00061749920         | BUY 0 Units @0.0000    |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-230P - KEESE, MINDI     | NEW PERSPECTIVE FUND-A | 0.00                 | 14.47               | 0.00               | 14.47             | 10.0 | 1.45                 |
|  | ACCOUNT #: 00061765270         | BUY 0 Units @0.0000    |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-795P - MYERS, JOHN      | NEW PERSPECTIVE FUND-A | 0.00                 | 15.72               | 0.00               | 15.72             | 10.0 | 1.57                 |
|  | ACCOUNT #: 00061900969         | BUY 0 Units @0.0000    |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-525P - ARCHAMBAULT,     | NEW PERSPECTIVE FUND-A | 0.00                 | 5.11                | 0.00               | 5.11              | 10.0 | 0.51                 |
|  | ACCOUNT #: 00062052940         | BUY 0 Units @0.0000    |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-41IN - EISENMANN,       | NEW PERSPECTIVE FUND-A | 0.00                 | 38.43               | 0.00               | 38.43             | 10.0 | 3.84                 |
|  | ACCOUNT #: 00062073038         | BUY 0 Units @0.0000    |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-144I - EISENMANN,       | NEW PERSPECTIVE FUND-A | 0.00                 | 37.22               | 0.00               | 37.22             | 10.0 | 3.72                 |
|  | ACCOUNT #: 00062138472         | BUY 0 Units @0.0000    |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-078I - LEWYN, GLORIA    | NEW PERSPECTIVE FUND-A | 0.00                 | 35.33               | 0.00               | 35.33             | 10.0 | 3.53                 |
|  | ACCOUNT #: 00062512615         | BUY 0 Units @0.0000    |                      |                     |                    |                   |      |                      |



# COMMISSION STATEMENT

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ALEX GEORGIEV  
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BRANCH #01001 - LifeMark Home Office

| DATE   | CLIENT                         | INVESTMENT             | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|--|--------------------------------|------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b>BROKER TRANSACTIONS (continued)</b>                       |                                |                        |                      |                     |                    |                   |      |                      |
| <b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</b> |                                |                        |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-855P - DRAPER, NATANYA  | NEW PERSPECTIVE FUND-A | 0.00                 | 0.03                | 0.00               | 0.03              | 10.0 | 0.00                 |
|  | ACCOUNT #: 00063017946         | BUY 0 Units @0.0000    |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-715P - HILLIER, LISA    | NEW PERSPECTIVE FUND-A | 0.00                 | 0.69                | 0.00               | 0.69              | 10.0 | 0.07                 |
|  | ACCOUNT #: 00063171693         | BUY 0 Units @0.0000    |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-295P - HILLIER, LISA    | NEW PERSPECTIVE FUND-A | 0.00                 | 0.67                | 0.00               | 0.67              | 10.0 | 0.07                 |
|  | ACCOUNT #: 00063171694         | BUY 0 Units @0.0000    |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-345P - RAMIREZ, ARTHUR  | NEW PERSPECTIVE FUND-A | 0.00                 | 5.72                | 0.00               | 5.72              | 10.0 | 0.57                 |
|  | ACCOUNT #: 00063300331         | BUY 0 Units @0.0000    |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-975P - RAMIREZ, GILBERT | NEW PERSPECTIVE FUND-A | 0.00                 | 12.59               | 0.00               | 12.59             | 10.0 | 1.26                 |
|  | ACCOUNT #: 00063300332         | BUY 0 Units @0.0000    |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-150B - FRANKLYN, LINDA  | NEW PERSPECTIVE FUND-A | 0.00                 | 21.99               | 0.00               | 21.99             | 10.0 | 2.20                 |
|  | ACCOUNT #: 00063389891         | BUY 0 Units @0.0000    |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-235P - BATEMAN, WILLIAM | NEW PERSPECTIVE FUND-A | 0.00                 | 0.87                | 0.00               | 0.87              | 10.0 | 0.09                 |
|  | ACCOUNT #: 00063427011         | BUY 0 Units @0.0000    |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-7060 - GARLAND, BARBARA | NEW PERSPECTIVE FUND-A | 0.00                 | 37.62               | 0.00               | 37.62             | 10.0 | 3.76                 |
|  | ACCOUNT #: 00063496789         | BUY 0 Units @0.0000    |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-041R - GRODZICKI,       | NEW PERSPECTIVE FUND-A | 0.00                 | 11.46               | 0.00               | 11.46             | 10.0 | 1.15                 |
|  | ACCOUNT #: 00063592510         | BUY 0 Units @0.0000    |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-735P - SICA, RONALD     | NEW PERSPECTIVE FUND-A | 0.00                 | 59.71               | 0.00               | 59.71             | 10.0 | 5.97                 |
|  | ACCOUNT #: 00063674033         | BUY 0 Units @0.0000    |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-225P - HERMAN, ROBERT   | NEW PERSPECTIVE FUND-A | 0.00                 | 6.44                | 0.00               | 6.44              | 10.0 | 0.64                 |
|  | ACCOUNT #: 00063788304         | BUY 0 Units @0.0000    |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-155P - NAHAMOU,         | NEW PERSPECTIVE FUND-A | 0.00                 | 15.44               | 0.00               | 15.44             | 10.0 | 1.54                 |
|  | ACCOUNT #: 00064023902         | BUY 0 Units @0.0000    |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-15IN - NAHAMOU,         | NEW PERSPECTIVE FUND-A | 0.00                 | 7.67                | 0.00               | 7.67              | 10.0 | 0.77                 |
|  | ACCOUNT #: 00064112290         | BUY 0 Units @0.0000    |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-542I - TUTTLE, WILLIAM  | NEW PERSPECTIVE FUND-A | 0.00                 | 48.47               | 0.00               | 48.47             | 10.0 | 4.85                 |
|  | ACCOUNT #: 00064137177         | BUY 0 Units @0.0000    |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-895P - BIANCAVILLA,     | NEW PERSPECTIVE FUND-A | 0.00                 | 14.78               | 0.00               | 14.78             | 10.0 | 1.48                 |
|  | ACCOUNT #: 00064213390         | BUY 0 Units @0.0000    |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-041R -                  | NEW PERSPECTIVE FUND-A | 0.00                 | 1.21                | 0.00               | 1.21              | 10.0 | 0.12                 |
|  | ACCOUNT #: 00064326662         | BUY 0 Units @0.0000    |                      |                     |                    |                   |      |                      |



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|--|--------------------------------|------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b>BROKER TRANSACTIONS (continued)</b>                       |                                |                        |                      |                     |                    |                   |      |                      |
| <b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</b> |                                |                        |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-371I - SMITH, LEOLA     | NEW PERSPECTIVE FUND-A | 0.00                 | 4.76                | 0.00               | 4.76              | 10.0 | 0.48                 |
|  | ACCOUNT #: 00064360066         | BUY 0 Units @0.0000    |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-34IN - RAMIREZ, ARTHUR  | NEW PERSPECTIVE FUND-A | 0.00                 | 4.98                | 0.00               | 4.98              | 10.0 | 0.50                 |
|  | ACCOUNT #: 00064433485         | BUY 0 Units @0.0000    |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-205P - PORTER, ASUNCION | NEW PERSPECTIVE FUND-A | 0.00                 | 50.36               | 0.00               | 50.36             | 10.0 | 5.04                 |
|  | ACCOUNT #: 00064463082         | BUY 0 Units @0.0000    |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-796I - PORTER, GROVER   | NEW PERSPECTIVE FUND-A | 0.00                 | 50.36               | 0.00               | 50.36             | 10.0 | 5.04                 |
|  | ACCOUNT #: 00064463083         | BUY 0 Units @0.0000    |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-98RI - BENNET,          | NEW PERSPECTIVE FUND-A | 0.00                 | 15.05               | 0.00               | 15.05             | 10.0 | 1.51                 |
|  | ACCOUNT #: 00064633625         | BUY 0 Units @0.0000    |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-72IR - GOLSON, LINDA    | NEW PERSPECTIVE FUND-A | 0.00                 | 0.21                | 0.00               | 0.21              | 10.0 | 0.02                 |
|  | ACCOUNT #: 00064793860         | BUY 0 Units @0.0000    |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-935P - CALDWELL, CONNIE | NEW PERSPECTIVE FUND-A | 0.00                 | 1.93                | 0.00               | 1.93              | 10.0 | 0.19                 |
|  | ACCOUNT #: 00064952289         | BUY 0 Units @0.0000    |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-335P - GARCIA, KRIS     | NEW PERSPECTIVE FUND-A | 0.00                 | 0.25                | 0.00               | 0.25              | 10.0 | 0.03                 |
|  | ACCOUNT #: 00065126914         | BUY 0 Units @0.0000    |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-335P - GARCIA, KRIS     | NEW PERSPECTIVE FUND-A | 0.00                 | 0.55                | 0.00               | 0.55              | 10.0 | 0.06                 |
|  | ACCOUNT #: 00065126915         | BUY 0 Units @0.0000    |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-668J - TERRELL, TODD    | NEW PERSPECTIVE FUND-A | 0.00                 | 2.21                | 0.00               | 2.21              | 10.0 | 0.22                 |
|  | ACCOUNT #: 00065172793         | BUY 0 Units @0.0000    |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-668J - TERRELL, TODD    | NEW PERSPECTIVE FUND-A | 0.00                 | 1.15                | 0.00               | 1.15              | 10.0 | 0.12                 |
|  | ACCOUNT #: 00066536786         | BUY 0 Units @0.0000    |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-53IR - WEINER, GERALD   | NEW PERSPECTIVE FUND-A | 0.00                 | 3.40                | 0.00               | 3.40              | 10.0 | 0.34                 |
|  | ACCOUNT #: 00066583783         | BUY 0 Units @0.0000    |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-465P - HOLT, DAVID      | NEW PERSPECTIVE FUND-A | 0.00                 | 19.30               | 0.00               | 19.30             | 10.0 | 1.93                 |
|  | ACCOUNT #: 00066795968         | BUY 0 Units @0.0000    |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-448P - MOSS, HEATHER    | NEW PERSPECTIVE FUND-A | 0.00                 | 1.14                | 0.00               | 1.14              | 10.0 | 0.11                 |
|  | ACCOUNT #: 00066848271         | BUY 0 Units @0.0000    |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-405P - DEVERS, MAREN    | NEW PERSPECTIVE FUND-A | 0.00                 | 9.83                | 0.00               | 9.83              | 10.0 | 0.98                 |
|  | ACCOUNT #: 00067307317         | BUY 0 Units @0.0000    |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-51SI - MCGLUMPHY, BRIAN | NEW PERSPECTIVE FUND-A | 0.00                 | 0.21                | 0.00               | 0.21              | 10.0 | 0.02                 |
|  | ACCOUNT #: 00067469346         | BUY 0 Units @0.0000    |                      |                     |                    |                   |      |                      |



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|--|--|---|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b>BROKER TRANSACTIONS (continued)</b>                       |  |   |                      |                     |                    |                   |      |                      |
| <b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</b> |  |   |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-969P - SHOEMAKE,<br>ACCOUNT #: 00067750762        | NEW PERSPECTIVE FUND-A<br>BUY 0 Units @0.0000 | 0.00                 | 5.87                | 0.00               | 5.87              | 10.0 | 0.59                 |
| 03/01/2018   | ***-**-515P - TASSOUL, MICHAEL<br>ACCOUNT #: 00068195206 | NEW PERSPECTIVE FUND-A<br>BUY 0 Units @0.0000 | 0.00                 | 14.95               | 0.00               | 14.95             | 10.0 | 1.50                 |
| 03/01/2018   | ***-**-61RI - HADSOCK, HUGH<br>ACCOUNT #: 00068200969    | NEW PERSPECTIVE FUND-A<br>BUY 0 Units @0.0000 | 0.00                 | 4.20                | 0.00               | 4.20              | 10.0 | 0.42                 |
| 03/01/2018   | ***-**-657I - NEWELL, JODI<br>ACCOUNT #: 00068704319     | NEW PERSPECTIVE FUND-A<br>BUY 0 Units @0.0000 | 0.00                 | 6.58                | 0.00               | 6.58              | 10.0 | 0.66                 |
| 03/01/2018   | ***-**-929I - ILG-SCHMIDT,<br>ACCOUNT #: 00068860620     | NEW PERSPECTIVE FUND-A<br>BUY 0 Units @0.0000 | 0.00                 | 5.09                | 0.00               | 5.09              | 10.0 | 0.51                 |
| 03/01/2018   | ***-**-465P - MCAVOY, EMMANUEL<br>ACCOUNT #: 00069111594 | NEW PERSPECTIVE FUND-A<br>BUY 0 Units @0.0000 | 0.00                 | 3.94                | 0.00               | 3.94              | 10.0 | 0.39                 |
| 03/01/2018   | ***-**-185P - SHERPY, RONALD<br>ACCOUNT #: 00069112525   | NEW PERSPECTIVE FUND-A<br>BUY 0 Units @0.0000 | 0.00                 | 27.52               | 0.00               | 27.52             | 10.0 | 2.75                 |
| 03/01/2018   | ***-**-737I - NEWGAARD, JERI<br>ACCOUNT #: 00073125186   | NEW PERSPECTIVE FUND-A<br>BUY 0 Units @0.0000 | 0.00                 | 4.50                | 0.00               | 4.50              | 10.0 | 0.45                 |
| 03/01/2018   | ***-**-265P - CLIFFORD, JAMES<br>ACCOUNT #: 00073275609  | NEW PERSPECTIVE FUND-A<br>BUY 0 Units @0.0000 | 0.00                 | 18.67               | 0.00               | 18.67             | 10.0 | 1.87                 |
| 03/01/2018   | ***-**-727I - POSSEE, DIANE<br>ACCOUNT #: 00075475535    | NEW PERSPECTIVE FUND-A<br>BUY 0 Units @0.0000 | 0.00                 | 3.93                | 0.00               | 3.93              | 10.0 | 0.39                 |
| 03/01/2018   | ***-**-254I - RICE, PAUL<br>ACCOUNT #: 00075963800       | NEW PERSPECTIVE FUND-A<br>BUY 0 Units @0.0000 | 0.00                 | 9.33                | 0.00               | 9.33              | 10.0 | 0.93                 |
| 03/01/2018   | ***-**-401I - NEWELL, JEFFREY<br>ACCOUNT #: 00082402147  | NEW PERSPECTIVE FUND-A<br>BUY 0 Units @0.0000 | 0.00                 | 12.69               | 0.00               | 12.69             | 10.0 | 1.27                 |
| 03/01/2018   | ***-**-95IN - MILLER, TRAVIS<br>ACCOUNT #: 00084396354   | NEW PERSPECTIVE FUND-A<br>BUY 0 Units @0.0000 | 0.00                 | 1.67                | 0.00               | 1.67              | 10.0 | 0.17                 |
| 03/01/2018   | ***-**-86IN - KIZER, THOMAS<br>ACCOUNT #: 00085361207    | NEW PERSPECTIVE FUND-A<br>BUY 0 Units @0.0000 | 0.00                 | 5.60                | 0.00               | 5.60              | 10.0 | 0.56                 |
| 03/01/2018   | ***-**-341I - FIREMAN, NOAH<br>ACCOUNT #: 00087760602    | NEW PERSPECTIVE FUND-A<br>BUY 0 Units @0.0000 | 0.00                 | 3.37                | 0.00               | 3.37              | 10.0 | 0.34                 |
| 03/01/2018   | ***-**-515P - COGGESHALL,<br>ACCOUNT #: 00075314098      | NEW PERSPECTIVE FUND-A<br>BUY 0 Units @0.0000 | 0.00                 | 1.54                | 0.00               | 1.54              | 10.0 | 0.15                 |



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|--|--------------------------------|-------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b>BROKER TRANSACTIONS (continued)</b>                       |                                |                         |                      |                     |                    |                   |      |                      |
| <b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</b> |                                |                         |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-3299 - RAMIREZ, JOSE    | NEW PERSPECTIVE FUND-A  | 0.00                 | 10.99               | 0.00               | 10.99             | 10.0 | 1.10                 |
|  | ACCOUNT #: 00068281046         | BUY 0 Units @0.0000     |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-22IR - RUDO, BRIAN      | NEW PERSPECTIVE FUND-A  | 0.00                 | 14.63               | 0.00               | 14.63             | 10.0 | 1.46                 |
|  | ACCOUNT #: 00065173876         | BUY 0 Units @0.0000     |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-275P - BALDWIN, JUSTIN  | NEW PERSPECTIVE FUND-A  | 0.00                 | 0.37                | 0.00               | 0.37              | 10.0 | 0.04                 |
|  | ACCOUNT #: 00067340502         | BUY 0 Units @0.0000     |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-29IN - LITMAN, WENDY    | NEW PERSPECTIVE FUND-A  | 0.00                 | 5.40                | 0.00               | 5.40              | 10.0 | 0.54                 |
|  | ACCOUNT #: 00068524068         | BUY 0 Units @0.0000     |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-87IN - BREZNICK, BURTON | NEW PERSPECTIVE FUND-A  | 0.00                 | 6.79                | 0.00               | 6.79              | 10.0 | 0.68                 |
|  | ACCOUNT #: 00068891495         | BUY 0 Units @0.0000     |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-065P - DJENADIC, GORAN  | NEW PERSPECTIVE FUND-A  | 0.00                 | 3.20                | 0.00               | 3.20              | 10.0 | 0.32                 |
|  | ACCOUNT #: 00069014458         | BUY 0 Units @0.0000     |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-582I - ROZENCWAIG, ERIC | NEW PERSPECTIVE FUND-A  | 0.00                 | 9.74                | 0.00               | 9.74              | 10.0 | 0.97                 |
|  | ACCOUNT #: 00073025002         | BUY 0 Units @0.0000     |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-475P - LURIA, BENNETT   | NEW PERSPECTIVE FUND-A  | 0.00                 | 10.23               | 0.00               | 10.23             | 10.0 | 1.02                 |
|  | ACCOUNT #: 00073101452         | BUY 0 Units @0.0000     |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-09IR - BECKER, STEPHEN  | NEW PERSPECTIVE FUND-F1 | 0.00                 | 12.83               | 0.00               | 12.83             | 10.0 | 1.28                 |
|  | ACCOUNT #: 00067495593         | BUY 0 Units @0.0000     |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-238I - STELLER, KEITH   | NEW PERSPECTIVE FUND-F1 | 0.00                 | 18.65               | 0.00               | 18.65             | 10.0 | 1.87                 |
|  | ACCOUNT #: 00067515962         | BUY 0 Units @0.0000     |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-655P - SINNO, RIMA      | NEW PERSPECTIVE FUND-F1 | 0.00                 | 42.07               | 0.00               | 42.07             | 10.0 | 4.21                 |
|  | ACCOUNT #: 00068297390         | BUY 0 Units @0.0000     |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-275P - KRUEGER, PAULA   | NEW WORLD FUND-529A     | 0.00                 | 1.35                | 0.00               | 1.35              | 10.0 | 0.14                 |
|  | ACCOUNT #: 00082687532         | BUY 0 Units @0.0000     |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-5239 - TERRELL, EMILY   | NEW WORLD FUND-529A     | 0.00                 | 4.91                | 0.00               | 4.91              | 10.0 | 0.49                 |
|  | ACCOUNT #: 00083570795         | BUY 0 Units @0.0000     |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-5239 - TERRELL, EMILY   | NEW WORLD FUND-529A     | 0.00                 | 0.99                | 0.00               | 0.99              | 10.0 | 0.10                 |
|  | ACCOUNT #: 00083571087         | BUY 0 Units @0.0000     |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-615P - DOWLA, JAMES     | NEW WORLD FUND-529A     | 0.00                 | 0.82                | 0.00               | 0.82              | 10.0 | 0.08                 |
|  | ACCOUNT #: 00081235869         | BUY 0 Units @0.0000     |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-615P - DOWLA, JAMES     | NEW WORLD FUND-529A     | 0.00                 | 0.82                | 0.00               | 0.82              | 10.0 | 0.08                 |
|  | ACCOUNT #: 00081235942         | BUY 0 Units @0.0000     |                      |                     |                    |                   |      |                      |



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| DATE   | CLIENT                         | INVESTMENT          | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|--|--------------------------------|---------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b>BROKER TRANSACTIONS (continued)</b>                       |                                |                     |                      |                     |                    |                   |      |                      |
| <b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</b> |                                |                     |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-525P - GARDNER, DANIEL  | NEW WORLD FUND-529A | 0.00                 | 8.28                | 0.00               | 8.28              | 10.0 | 0.83                 |
|  | ACCOUNT #: 00084433353         | BUY 0 Units @0.0000 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-17IN - OPPER, ARLENE    | NEW WORLD FUND-A    | 0.00                 | 0.33                | 0.00               | 0.33              | 10.0 | 0.03                 |
|  | ACCOUNT #: 00057350830         | BUY 0 Units @0.0000 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-70IN - PESCHE, SUSAN    | NEW WORLD FUND-A    | 0.00                 | 28.49               | 0.00               | 28.49             | 10.0 | 2.85                 |
|  | ACCOUNT #: 00061196180         | BUY 0 Units @0.0000 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-715P - EMERY, ELIZABETH | NEW WORLD FUND-A    | 0.00                 | 10.32               | 0.00               | 10.32             | 10.0 | 1.03                 |
|  | ACCOUNT #: 00062101930         | BUY 0 Units @0.0000 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-53IR - WEINER, GERALD   | NEW WORLD FUND-A    | 0.00                 | 2.91                | 0.00               | 2.91              | 10.0 | 0.29                 |
|  | ACCOUNT #: 00066583783         | BUY 0 Units @0.0000 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-375P - KAVI, KRISHNA    | NEW WORLD FUND-A    | 0.00                 | 4.56                | 0.00               | 4.56              | 10.0 | 0.46                 |
|  | ACCOUNT #: 00066909129         | BUY 0 Units @0.0000 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-375P - KAVI, KRISHNA    | NEW WORLD FUND-A    | 0.00                 | 38.52               | 0.00               | 38.52             | 10.0 | 3.85                 |
|  | ACCOUNT #: 00066909137         | BUY 0 Units @0.0000 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-265P - SULHAM,          | NEW WORLD FUND-A    | 0.00                 | 3.64                | 0.00               | 3.64              | 10.0 | 0.36                 |
|  | ACCOUNT #: 00073727222         | BUY 0 Units @0.0000 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-40SI - HETZEL, ANGELA   | NEW WORLD FUND-A    | 0.00                 | 2.30                | 0.00               | 2.30              | 10.0 | 0.23                 |
|  | ACCOUNT #: 00074473141         | BUY 0 Units @0.0000 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-392I - WILLIAMS, JERRI  | NEW WORLD FUND-A    | 0.00                 | 3.91                | 0.00               | 3.91              | 10.0 | 0.39                 |
|  | ACCOUNT #: 00074739592         | BUY 0 Units @0.0000 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-955P - PROFFITT,        | NEW WORLD FUND-A    | 0.00                 | 1.81                | 0.00               | 1.81              | 10.0 | 0.18                 |
|  | ACCOUNT #: 00074806217         | BUY 0 Units @0.0000 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-025P - PRUITT, MITCHELL | NEW WORLD FUND-A    | 0.00                 | 2.29                | 0.00               | 2.29              | 10.0 | 0.23                 |
|  | ACCOUNT #: 00075056497         | BUY 0 Units @0.0000 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-830I - ENGBRETSON,      | NEW WORLD FUND-A    | 0.00                 | 0.41                | 0.00               | 0.41              | 10.0 | 0.04                 |
|  | ACCOUNT #: 00075742129         | BUY 0 Units @0.0000 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-254I - RICE, PAUL       | NEW WORLD FUND-A    | 0.00                 | 1.29                | 0.00               | 1.29              | 10.0 | 0.13                 |
|  | ACCOUNT #: 00075963800         | BUY 0 Units @0.0000 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-037I - DELL, MARIAH     | NEW WORLD FUND-A    | 0.00                 | 0.67                | 0.00               | 0.67              | 10.0 | 0.07                 |
|  | ACCOUNT #: 00082213922         | BUY 0 Units @0.0000 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-525P - MATIS, DAMARIS   | NEW WORLD FUND-A    | 0.00                 | 14.99               | 0.00               | 14.99             | 10.0 | 1.50                 |
|  | ACCOUNT #: 00082217486         | BUY 0 Units @0.0000 |                      |                     |                    |                   |      |                      |





# COMMISSION STATEMENT

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ALEX GEORGIEV  
400 West Metro Park  
Rochester, NY 14623

BROKER #: AGJ  
BRANCH #01001 - LifeMark Home Office

| DATE   | CLIENT                         | INVESTMENT          | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|--|--------------------------------|---------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b>BROKER TRANSACTIONS (continued)</b>                       |                                |                     |                      |                     |                    |                   |      |                      |
| <b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</b> |                                |                     |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-50UT - FETTO, FAY       | NEW WORLD FUND-A    | 0.00                 | 10.03               | 0.00               | 10.03             | 10.0 | 1.00                 |
|  | ACCOUNT #: 00082350929         | BUY 0 Units @0.0000 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-427I - KRUEGER, JOHN    | NEW WORLD FUND-A    | 0.00                 | 12.12               | 0.00               | 12.12             | 10.0 | 1.21                 |
|  | ACCOUNT #: 00082686514         | BUY 0 Units @0.0000 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-116J - KRUEGER, JOHN    | NEW WORLD FUND-A    | 0.00                 | 1.54                | 0.00               | 1.54              | 10.0 | 0.15                 |
|  | ACCOUNT #: 00082687579         | BUY 0 Units @0.0000 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-58UG - SHEA, CHANCE     | NEW WORLD FUND-A    | 0.00                 | 1.86                | 0.00               | 1.86              | 10.0 | 0.19                 |
|  | ACCOUNT #: 00082921652         | BUY 0 Units @0.0000 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-186I - JACOBSON, MARINA | NEW WORLD FUND-A    | 0.00                 | 14.68               | 0.00               | 14.68             | 10.0 | 1.47                 |
|  | ACCOUNT #: 00083731526         | BUY 0 Units @0.0000 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-721I - JACOBSON, STUART | NEW WORLD FUND-A    | 0.00                 | 0.32                | 0.00               | 0.32              | 10.0 | 0.03                 |
|  | ACCOUNT #: 00083731770         | BUY 0 Units @0.0000 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-618I - HULLS, JENNIFER  | NEW WORLD FUND-A    | 0.00                 | 7.75                | 0.00               | 7.75              | 10.0 | 0.78                 |
|  | ACCOUNT #: 00083732568         | BUY 0 Units @0.0000 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-944I - PIETRUCHA, JASON | NEW WORLD FUND-A    | 0.00                 | 0.62                | 0.00               | 0.62              | 10.0 | 0.06                 |
|  | ACCOUNT #: 00083733042         | BUY 0 Units @0.0000 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-173I - MATUSIEWICZ,     | NEW WORLD FUND-A    | 0.00                 | 2.64                | 0.00               | 2.64              | 10.0 | 0.26                 |
|  | ACCOUNT #: 00083738493         | BUY 0 Units @0.0000 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-160I - MAZZEI, ANN      | NEW WORLD FUND-A    | 0.00                 | 0.34                | 0.00               | 0.34              | 10.0 | 0.03                 |
|  | ACCOUNT #: 00083759830         | BUY 0 Units @0.0000 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-063I - O'SULLIVAN,      | NEW WORLD FUND-A    | 0.00                 | 0.78                | 0.00               | 0.78              | 10.0 | 0.08                 |
|  | ACCOUNT #: 00083760627         | BUY 0 Units @0.0000 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-60IR - MAZZEI, ANN      | NEW WORLD FUND-A    | 0.00                 | 0.34                | 0.00               | 0.34              | 10.0 | 0.03                 |
|  | ACCOUNT #: 00083763987         | BUY 0 Units @0.0000 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-537I - DIVALERIO, KATHY | NEW WORLD FUND-A    | 0.00                 | 7.95                | 0.00               | 7.95              | 10.0 | 0.80                 |
|  | ACCOUNT #: 00083765927         | BUY 0 Units @0.0000 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-291I - COLBURN, CHRISSY | NEW WORLD FUND-A    | 0.00                 | 0.42                | 0.00               | 0.42              | 10.0 | 0.04                 |
|  | ACCOUNT #: 00083776039         | BUY 0 Units @0.0000 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-685I - MAZZEI, MICHAEL  | NEW WORLD FUND-A    | 0.00                 | 0.29                | 0.00               | 0.29              | 10.0 | 0.03                 |
|  | ACCOUNT #: 00083789465         | BUY 0 Units @0.0000 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-85IR - MAZZEI, MICHAEL  | NEW WORLD FUND-A    | 0.00                 | 0.32                | 0.00               | 0.32              | 10.0 | 0.03                 |
|  | ACCOUNT #: 00083793983         | BUY 0 Units @0.0000 |                      |                     |                    |                   |      |                      |



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|--|--------------------------------|---------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b>BROKER TRANSACTIONS (continued)</b>                       |                                |                     |                      |                     |                    |                   |      |                      |
| <b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</b> |                                |                     |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-579I - PERKINS, CHARLES | NEW WORLD FUND-A    | 0.00                 | 0.05                | 0.00               | 0.05              | 10.0 | 0.01                 |
|  | ACCOUNT #: 00083860249         | BUY 0 Units @0.0000 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-22IR - ROGUE, GINA      | NEW WORLD FUND-A    | 0.00                 | 0.18                | 0.00               | 0.18              | 10.0 | 0.02                 |
|  | ACCOUNT #: 00083879358         | BUY 0 Units @0.0000 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-225I - WEBER, MICHAEL   | NEW WORLD FUND-A    | 0.00                 | 7.11                | 0.00               | 7.11              | 10.0 | 0.71                 |
|  | ACCOUNT #: 00083883804         | BUY 0 Units @0.0000 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-956I - MCGUANE, KELLI   | NEW WORLD FUND-A    | 0.00                 | 1.15                | 0.00               | 1.15              | 10.0 | 0.12                 |
|  | ACCOUNT #: 00084004988         | BUY 0 Units @0.0000 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-514I - BOTERO, NATALIA  | NEW WORLD FUND-A    | 0.00                 | 1.72                | 0.00               | 1.72              | 10.0 | 0.17                 |
|  | ACCOUNT #: 00084169039         | BUY 0 Units @0.0000 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-837I - NEVIN, LEN       | NEW WORLD FUND-A    | 0.00                 | 0.36                | 0.00               | 0.36              | 10.0 | 0.04                 |
|  | ACCOUNT #: 00084174825         | BUY 0 Units @0.0000 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-282I - CROWE, KATHRYN   | NEW WORLD FUND-A    | 0.00                 | 11.66               | 0.00               | 11.66             | 10.0 | 1.17                 |
|  | ACCOUNT #: 00084245265         | BUY 0 Units @0.0000 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-91IR - ADAMS, KATHY     | NEW WORLD FUND-A    | 0.00                 | 1.48                | 0.00               | 1.48              | 10.0 | 0.15                 |
|  | ACCOUNT #: 00085157011         | BUY 0 Units @0.0000 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-26IR - HETHERINGTON,    | NEW WORLD FUND-A    | 0.00                 | 3.29                | 0.00               | 3.29              | 10.0 | 0.33                 |
|  | ACCOUNT #: 00085730879         | BUY 0 Units @0.0000 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-341I - FIREMAN, NOAH    | NEW WORLD FUND-A    | 0.00                 | 12.90               | 0.00               | 12.90             | 10.0 | 1.29                 |
|  | ACCOUNT #: 00087760602         | BUY 0 Units @0.0000 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-270I - ORMOND, JENNIFER | NEW WORLD FUND-A    | 0.00                 | 1.99                | 0.00               | 1.99              | 10.0 | 0.20                 |
|  | ACCOUNT #: 00088565488         | BUY 0 Units @0.0000 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-270I - ORMOND, JENNIFER | NEW WORLD FUND-A    | 0.00                 | 1.99                | 0.00               | 1.99              | 10.0 | 0.20                 |
|  | ACCOUNT #: 00088565503         | BUY 0 Units @0.0000 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-270I - ORMOND, JENNIFER | NEW WORLD FUND-A    | 0.00                 | 1.99                | 0.00               | 1.99              | 10.0 | 0.20                 |
|  | ACCOUNT #: 00088565510         | BUY 0 Units @0.0000 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-2240 - KEOGH, MICHAEL   | NEW WORLD FUND-A    | 0.00                 | 0.08                | 0.00               | 0.08              | 10.0 | 0.01                 |
|  | ACCOUNT #: 00083120802         | BUY 0 Units @0.0000 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-72IN - THUMULURU,       | NEW WORLD FUND-A    | 0.00                 | 8.79                | 0.00               | 8.79              | 10.0 | 0.88                 |
|  | ACCOUNT #: 00074749751         | BUY 0 Units @0.0000 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-721J - KONANUR,         | NEW WORLD FUND-A    | 0.00                 | 19.51               | 0.00               | 19.51             | 10.0 | 1.95                 |
|  | ACCOUNT #: 00074931174         | BUY 0 Units @0.0000 |                      |                     |                    |                   |      |                      |



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|--|--------------------------------|---------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b>BROKER TRANSACTIONS (continued)</b>                       |                                |                     |                      |                     |                    |                   |      |                      |
| <b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</b> |                                |                     |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-04IN - MURPHY, PAUL     | NEW WORLD FUND-A    | 0.00                 | 37.95               | 0.00               | 37.95             | 10.0 | 3.80                 |
|  | ACCOUNT #: 00075938729         | BUY 0 Units @0.0000 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-305P - ALOOR, RAVI      | NEW WORLD FUND-A    | 0.00                 | 13.16               | 0.00               | 13.16             | 10.0 | 1.32                 |
|  | ACCOUNT #: 00081137427         | BUY 0 Units @0.0000 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-985P - SUZUKI, RACHEL   | NEW WORLD FUND-A    | 0.00                 | 1.22                | 0.00               | 1.22              | 10.0 | 0.12                 |
|  | ACCOUNT #: 00081275928         | BUY 0 Units @0.0000 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-95IN - STARTZEL,        | NEW WORLD FUND-A    | 0.00                 | 11.79               | 0.00               | 11.79             | 10.0 | 1.18                 |
|  | ACCOUNT #: 00081317740         | BUY 0 Units @0.0000 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-045P - RAMESHKUMAR,     | NEW WORLD FUND-A    | 0.00                 | 6.86                | 0.00               | 6.86              | 10.0 | 0.69                 |
|  | ACCOUNT #: 00081655955         | BUY 0 Units @0.0000 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-76SI - JONES, MARCIE    | NEW WORLD FUND-A    | 0.00                 | 8.27                | 0.00               | 8.27              | 10.0 | 0.83                 |
|  | ACCOUNT #: 00081719052         | BUY 0 Units @0.0000 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-055P - BOO, ROBERT      | NEW WORLD FUND-A    | 0.00                 | 0.04                | 0.00               | 0.04              | 10.0 | 0.00                 |
|  | ACCOUNT #: 00082197715         | BUY 0 Units @0.0000 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-82IN - TEN, JT          | NEW WORLD FUND-A    | 0.00                 | 9.98                | 0.00               | 9.98              | 10.0 | 1.00                 |
|  | ACCOUNT #: 00082421077         | BUY 0 Units @0.0000 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-745P - ZAVALA, ROXANA   | NEW WORLD FUND-A    | 0.00                 | 0.05                | 0.00               | 0.05              | 10.0 | 0.01                 |
|  | ACCOUNT #: 00082480869         | BUY 0 Units @0.0000 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-064J - HALL, AMY        | NEW WORLD FUND-A    | 0.00                 | 44.10               | 0.00               | 44.10             | 10.0 | 4.41                 |
|  | ACCOUNT #: 00083146232         | BUY 0 Units @0.0000 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-391J - FRIEDMAN, KEITH  | NEW WORLD FUND-A    | 0.00                 | 21.96               | 0.00               | 21.96             | 10.0 | 2.20                 |
|  | ACCOUNT #: 00083404691         | BUY 0 Units @0.0000 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-452J - GARDNER, DANIEL  | NEW WORLD FUND-A    | 0.00                 | 6.79                | 0.00               | 6.79              | 10.0 | 0.68                 |
|  | ACCOUNT #: 00084433333         | BUY 0 Units @0.0000 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-415P - TARANTINO, SCOTT | NEW WORLD FUND-A    | 0.00                 | 19.81               | 0.00               | 19.81             | 10.0 | 1.98                 |
|  | ACCOUNT #: 00087447990         | BUY 0 Units @0.0000 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-635P - SCOTT, JAMES     | NEW WORLD FUND-C    | 0.00                 | 21.59               | 0.00               | 21.59             | 10.0 | 2.16                 |
|  | ACCOUNT #: 00068920074         | BUY 0 Units @0.0000 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-09IR - BECKER, STEPHEN  | NEW WORLD FUND-C    | 0.00                 | 12.62               | 0.00               | 12.62             | 10.0 | 1.26                 |
|  | ACCOUNT #: 00067495593         | BUY 0 Units @0.0000 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-635P - SCOTT, JAMES     | NEW WORLD FUND-F1   | 0.00                 | 27.00               | 0.00               | 27.00             | 10.0 | 2.70                 |
|  | ACCOUNT #: 00068920074         | BUY 0 Units @0.0000 |                      |                     |                    |                   |      |                      |



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| DATE   | CLIENT                         | INVESTMENT                          | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|--|--------------------------------|-------------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b>BROKER TRANSACTIONS (continued)</b>                       |                                |                                     |                      |                     |                    |                   |      |                      |
| <b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</b> |                                |                                     |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-09IR - BECKER, STEPHEN  | NEW WORLD FUND-F1                   | 0.00                 | 3.67                | 0.00               | 3.67              | 10.0 | 0.37                 |
|  | ACCOUNT #: 00067495593         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-375P - SINNO, FADY      | NEW WORLD FUND-F1                   | 0.00                 | 20.15               | 0.00               | 20.15             | 10.0 | 2.02                 |
|  | ACCOUNT #: 00069308202         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-504I - MARSHALL,        | NEW WORLD FUND-F1                   | 0.00                 | 1.13                | 0.00               | 1.13              | 10.0 | 0.11                 |
|  | ACCOUNT #: 00086486770         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-86CL - ASHER, CLIENTS   | PRESERVATION PORTFOLIO-A            | 0.00                 | 13.44               | 0.00               | 13.44             | 10.0 | 1.34                 |
|  | ACCOUNT #: 00087552886         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-86CL - ASHER, CLIENTS   | PRESERVATION PORTFOLIO-A            | 0.00                 | 12.54               | 0.00               | 12.54             | 10.0 | 1.25                 |
|  | ACCOUNT #: 00087552955         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/12/2018   | ***-**-71IO - HULSLANDER,      | PRUDENTIAL QMA LARGE CAP CORE EQUIT | 0.00                 | 7.07                | 0.00               | 7.07              | 10.0 | 0.71                 |
|  | ACCOUNT #: LSR011715           | BUY 1 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/12/2018   | ***-**-955P - MILLER, RANDALL  | QUALIFIED PLAN SUMMARY              | 0.00                 | 13.38               | 0.00               | 13.38             | 10.0 | 1.34                 |
|  | ACCOUNT #: 00081700476         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/06/2018   | ***-**-60TR - BLANCHARD TRUST, | RESOURCE REAL ESTATES-NFS           | 0.00                 | 2.91                | 0.00               | 2.91              | 10.0 | 0.29                 |
|  | ACCOUNT #: LSR010327           | BUY 1 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/06/2018   | ***-**-60TR - BLANCHARD TRUST, | RESOURCE REAL ESTATES-NFS           | 0.00                 | 2.90                | 0.00               | 2.90              | 10.0 | 0.29                 |
|  | ACCOUNT #: LSR010327           | BUY 1 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/06/2018   | ***-**-60TR - BLANCHARD TRUST, | RESOURCE REAL ESTATES-NFS           | 0.00                 | 2.81                | 0.00               | 2.81              | 10.0 | 0.28                 |
|  | ACCOUNT #: LSR010327           | BUY 1 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-525P - ARCHAMBAULT,     | SHORT-TERM BOND FUND OF AMERICA - A | 0.00                 | 5.72                | 0.00               | 5.72              | 10.0 | 0.57                 |
|  | ACCOUNT #: 00062052940         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-7060 - GARLAND, BARBARA | SHORT-TERM BOND FUND OF AMERICA - A | 0.00                 | 18.23               | 0.00               | 18.23             | 10.0 | 1.82                 |
|  | ACCOUNT #: 00063496789         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-225P - HERMAN, ROBERT   | SHORT-TERM BOND FUND OF AMERICA - A | 0.00                 | 0.55                | 0.00               | 0.55              | 10.0 | 0.06                 |
|  | ACCOUNT #: 00063788304         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-737I - NEWGAARD, JERI   | SHORT-TERM BOND FUND OF AMERICA - A | 0.00                 | 0.18                | 0.00               | 0.18              | 10.0 | 0.02                 |
|  | ACCOUNT #: 00073125186         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-042I - SHUMWAY, AUDREY  | SHORT-TERM BOND FUND OF AMERICA - A | 0.00                 | 34.74               | 0.00               | 34.74             | 10.0 | 3.47                 |
|  | ACCOUNT #: 00074353289         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-95IN - LARSON, JOEL     | SHORT-TERM BOND FUND OF AMERICA - A | 0.00                 | 5.48                | 0.00               | 5.48              | 10.0 | 0.55                 |
|  | ACCOUNT #: 00086113566         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |



# COMMISSION STATEMENT

March 12, 2018

ALEX GEORGIEV  
400 West Metro Park  
Rochester, NY 14623

BROKER #: AGJ  
BRANCH #01001 - LifeMark Home Office

| DATE   | CLIENT   | INVESTMENT   | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|--|--|--|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b>BROKER TRANSACTIONS (continued)</b>                       |  |  |                      |                     |                    |                   |      |                      |
| <b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</b> |  |  |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-994B - EARLES, PHYLLIS<br>ACCOUNT #: 02001074291  | SHORT-TERM BOND FUND OF AMERICA - A<br>BUY 0 Units @0.0000 | 0.00                 | 1.04                | 0.00               | 1.04              | 10.0 | 0.10                 |
| 03/01/2018   | ***-**-0619 - SHORB, STANLEY<br>ACCOUNT #: 00083330700   | SHORT-TERM BOND FUND OF AMERICA-529<br>BUY 0 Units @0.0000 | 0.00                 | 8.76                | 0.00               | 8.76              | 10.0 | 0.88                 |
| 03/01/2018   | ***-**-0619 - SHORB, STANLEY<br>ACCOUNT #: 00087534220   | SHORT-TERM BOND FUND OF AMERICA-529<br>BUY 0 Units @0.0000 | 0.00                 | 12.76               | 0.00               | 12.76             | 10.0 | 1.28                 |
| 03/01/2018   | ***-**-0619 - SHORB, STANLEY<br>ACCOUNT #: 00087534228   | SHORT-TERM BOND FUND OF AMERICA-529<br>BUY 0 Units @0.0000 | 0.00                 | 11.64               | 0.00               | 11.64             | 10.0 | 1.16                 |
| 03/01/2018   | ***-**-41IN - EISENMANN,<br>ACCOUNT #: 00068144331       | SMALLCAP WORLD FUND-529A<br>BUY 0 Units @0.0000            | 0.00                 | 0.12                | 0.00               | 0.12              | 10.0 | 0.01                 |
| 03/01/2018   | ***-**-41IN - EISENMANN,<br>ACCOUNT #: 00068144333       | SMALLCAP WORLD FUND-529A<br>BUY 0 Units @0.0000            | 0.00                 | 2.80                | 0.00               | 2.80              | 10.0 | 0.28                 |
| 03/01/2018   | ***-**-275P - KRUEGER, PAULA<br>ACCOUNT #: 00082687532   | SMALLCAP WORLD FUND-529A<br>BUY 0 Units @0.0000            | 0.00                 | 1.85                | 0.00               | 1.85              | 10.0 | 0.19                 |
| 03/01/2018   | ***-**-0619 - SHORB, STANLEY<br>ACCOUNT #: 00083330700   | SMALLCAP WORLD FUND-529A<br>BUY 0 Units @0.0000            | 0.00                 | 1.08                | 0.00               | 1.08              | 10.0 | 0.11                 |
| 03/01/2018   | ***-**-635P - HARRISON, NATHAN<br>ACCOUNT #: 00085387286 | SMALLCAP WORLD FUND-529A<br>BUY 0 Units @0.0000            | 0.00                 | 0.39                | 0.00               | 0.39              | 10.0 | 0.04                 |
| 03/01/2018   | ***-**-0619 - SHORB, STANLEY<br>ACCOUNT #: 00087534220   | SMALLCAP WORLD FUND-529A<br>BUY 0 Units @0.0000            | 0.00                 | 1.90                | 0.00               | 1.90              | 10.0 | 0.19                 |
| 03/01/2018   | ***-**-0619 - SHORB, STANLEY<br>ACCOUNT #: 00087534228   | SMALLCAP WORLD FUND-529A<br>BUY 0 Units @0.0000            | 0.00                 | 3.06                | 0.00               | 3.06              | 10.0 | 0.31                 |
| 03/01/2018   | ***-**-915P - GOCHNAUER,<br>ACCOUNT #: 00081493668       | SMALLCAP WORLD FUND-529A<br>BUY 0 Units @0.0000            | 0.00                 | 7.15                | 0.00               | 7.15              | 10.0 | 0.72                 |
| 03/01/2018   | ***-**-525P - GARDNER, DANIEL<br>ACCOUNT #: 00084433353  | SMALLCAP WORLD FUND-529A<br>BUY 0 Units @0.0000            | 0.00                 | 13.62               | 0.00               | 13.62             | 10.0 | 1.36                 |
| 03/01/2018   | ***-**-825P - MARKS, JACOB<br>ACCOUNT #: 00085088195     | SMALLCAP WORLD FUND-529A<br>BUY 0 Units @0.0000            | 0.00                 | 2.86                | 0.00               | 2.86              | 10.0 | 0.29                 |
| 03/01/2018   | ***-**-825P - MARKS, JACOB<br>ACCOUNT #: 00085088223     | SMALLCAP WORLD FUND-529A<br>BUY 0 Units @0.0000            | 0.00                 | 2.86                | 0.00               | 2.86              | 10.0 | 0.29                 |
| 03/01/2018   | ***-**-825P - MARKS, JACOB<br>ACCOUNT #: 00085088240     | SMALLCAP WORLD FUND-529A<br>BUY 0 Units @0.0000            | 0.00                 | 2.86                | 0.00               | 2.86              | 10.0 | 0.29                 |



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|--|-------------------------------|--------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b>BROKER TRANSACTIONS (continued)</b>                       |                               |                          |                      |                     |                    |                   |      |                      |
| <b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</b> |                               |                          |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-2802 - MAASS, TY       | SMALLCAP WORLD FUND-529A | 0.00                 | 0.13                | 0.00               | 0.13              | 10.0 | 0.01                 |
|  | ACCOUNT #: 00085284547        | BUY 0 Units @0.0000      |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-735P - MARKSAMER,      | SMALLCAP WORLD FUND-529A | 0.00                 | 4.27                | 0.00               | 4.27              | 10.0 | 0.43                 |
|  | ACCOUNT #: 00086018329        | BUY 0 Units @0.0000      |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-845P - TRAUT, SHEILA   | SMALLCAP WORLD FUND-529A | 0.00                 | 1.43                | 0.00               | 1.43              | 10.0 | 0.14                 |
|  | ACCOUNT #: 00086023465        | BUY 0 Units @0.0000      |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-845P - TRAUT, SHEILA   | SMALLCAP WORLD FUND-529A | 0.00                 | 1.43                | 0.00               | 1.43              | 10.0 | 0.14                 |
|  | ACCOUNT #: 00086023476        | BUY 0 Units @0.0000      |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-525P - GARDNER, DANIEL | SMALLCAP WORLD FUND-529A | 0.00                 | 4.82                | 0.00               | 4.82              | 10.0 | 0.48                 |
|  | ACCOUNT #: 00086081038        | BUY 0 Units @0.0000      |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-185P - BROZIC, MICHAEL | SMALLCAP WORLD FUND-529A | 0.00                 | 5.32                | 0.00               | 5.32              | 10.0 | 0.53                 |
|  | ACCOUNT #: 00086510064        | BUY 0 Units @0.0000      |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-2802 - MAASS, TY       | SMALLCAP WORLD FUND-529A | 0.00                 | 3.46                | 0.00               | 3.46              | 10.0 | 0.35                 |
|  | ACCOUNT #: 00086550207        | BUY 0 Units @0.0000      |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-005P - SIRCY, PATRICK  | SMALLCAP WORLD FUND-529A | 0.00                 | 10.76               | 0.00               | 10.76             | 10.0 | 1.08                 |
|  | ACCOUNT #: 00081938666        | BUY 0 Units @0.0000      |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-295P - HOGAN, ANN      | SMALLCAP WORLD FUND-A    | 0.00                 | 72.58               | 0.00               | 72.58             | 10.0 | 7.26                 |
|  | ACCOUNT #: 00074253253        | BUY 0 Units @0.0000      |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-239I - TERRELL, LAURA  | SMALLCAP WORLD FUND-A    | 0.00                 | 30.81               | 0.00               | 30.81             | 10.0 | 3.08                 |
|  | ACCOUNT #: 00058786069        | BUY 0 Units @0.0000      |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-635P - RYAN, FRED      | SMALLCAP WORLD FUND-A    | 0.00                 | 0.05                | 0.00               | 0.05              | 10.0 | 0.01                 |
|  | ACCOUNT #: 00060626935        | BUY 0 Units @0.0000      |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-481I - ARNOLD, JAMES   | SMALLCAP WORLD FUND-A    | 0.00                 | 2.90                | 0.00               | 2.90              | 10.0 | 0.29                 |
|  | ACCOUNT #: 00061445765        | BUY 0 Units @0.0000      |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-12UT - BASTEN, ASHLEY  | SMALLCAP WORLD FUND-A    | 0.00                 | 1.89                | 0.00               | 1.89              | 10.0 | 0.19                 |
|  | ACCOUNT #: 00061604201        | BUY 0 Units @0.0000      |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-675P - LEONARD, CRAIG  | SMALLCAP WORLD FUND-A    | 0.00                 | 9.82                | 0.00               | 9.82              | 10.0 | 0.98                 |
|  | ACCOUNT #: 00061651661        | BUY 0 Units @0.0000      |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-230P - KEESE, MINDI    | SMALLCAP WORLD FUND-A    | 0.00                 | 7.69                | 0.00               | 7.69              | 10.0 | 0.77                 |
|  | ACCOUNT #: 00061765270        | BUY 0 Units @0.0000      |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-41IN - EISENMANN,      | SMALLCAP WORLD FUND-A    | 0.00                 | 29.37               | 0.00               | 29.37             | 10.0 | 2.94                 |
|  | ACCOUNT #: 00062073038        | BUY 0 Units @0.0000      |                      |                     |                    |                   |      |                      |



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|--|--------------------------------|-----------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b>BROKER TRANSACTIONS (continued)</b>                       |                                |                       |                      |                     |                    |                   |      |                      |
| <b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</b> |                                |                       |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-815P - WESTON, JOHN     | SMALLCAP WORLD FUND-A | 0.00                 | 0.22                | 0.00               | 0.22              | 10.0 | 0.02                 |
|  | ACCOUNT #: 00062099562         | BUY 0 Units @0.0000   |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-715P - EMERY, ELIZABETH | SMALLCAP WORLD FUND-A | 0.00                 | 52.98               | 0.00               | 52.98             | 10.0 | 5.30                 |
|  | ACCOUNT #: 00062101930         | BUY 0 Units @0.0000   |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-144I - EISENMANN,       | SMALLCAP WORLD FUND-A | 0.00                 | 28.94               | 0.00               | 28.94             | 10.0 | 2.89                 |
|  | ACCOUNT #: 00062138472         | BUY 0 Units @0.0000   |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-56IN - TRAVIS, DANIEL   | SMALLCAP WORLD FUND-A | 0.00                 | 8.54                | 0.00               | 8.54              | 10.0 | 0.85                 |
|  | ACCOUNT #: 00062313582         | BUY 0 Units @0.0000   |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-415P - RYAN, DEBORAH    | SMALLCAP WORLD FUND-A | 0.00                 | 0.18                | 0.00               | 0.18              | 10.0 | 0.02                 |
|  | ACCOUNT #: 00063501625         | BUY 0 Units @0.0000   |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-875P - SICA, BRENDA     | SMALLCAP WORLD FUND-A | 0.00                 | 37.23               | 0.00               | 37.23             | 10.0 | 3.72                 |
|  | ACCOUNT #: 00063674032         | BUY 0 Units @0.0000   |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-575P - ANDERSON, SUSAN  | SMALLCAP WORLD FUND-A | 0.00                 | 3.13                | 0.00               | 3.13              | 10.0 | 0.31                 |
|  | ACCOUNT #: 00063941162         | BUY 0 Units @0.0000   |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-005P - PERRY, KARON     | SMALLCAP WORLD FUND-A | 0.00                 | 1.40                | 0.00               | 1.40              | 10.0 | 0.14                 |
|  | ACCOUNT #: 00064102786         | BUY 0 Units @0.0000   |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-165P - MCCARVILLE,      | SMALLCAP WORLD FUND-A | 0.00                 | 0.06                | 0.00               | 0.06              | 10.0 | 0.01                 |
|  | ACCOUNT #: 00064226294         | BUY 0 Units @0.0000   |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-371I - SMITH, LEOLA     | SMALLCAP WORLD FUND-A | 0.00                 | 7.11                | 0.00               | 7.11              | 10.0 | 0.71                 |
|  | ACCOUNT #: 00064360066         | BUY 0 Units @0.0000   |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-448P - MOSS, HEATHER    | SMALLCAP WORLD FUND-A | 0.00                 | 0.63                | 0.00               | 0.63              | 10.0 | 0.06                 |
|  | ACCOUNT #: 00066848271         | BUY 0 Units @0.0000   |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-425I - FARACI, JOHN     | SMALLCAP WORLD FUND-A | 0.00                 | 31.45               | 0.00               | 31.45             | 10.0 | 3.15                 |
|  | ACCOUNT #: 00066994858         | BUY 0 Units @0.0000   |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-975P - OSBORNE, SUE     | SMALLCAP WORLD FUND-A | 0.00                 | 0.35                | 0.00               | 0.35              | 10.0 | 0.04                 |
|  | ACCOUNT #: 00073569391         | BUY 0 Units @0.0000   |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-0185 - BRINKLEY, JANE   | SMALLCAP WORLD FUND-A | 0.00                 | 12.04               | 0.00               | 12.04             | 10.0 | 1.20                 |
|  | ACCOUNT #: 00075722405         | BUY 0 Units @0.0000   |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-427I - KRUEGER, JOHN    | SMALLCAP WORLD FUND-A | 0.00                 | 12.82               | 0.00               | 12.82             | 10.0 | 1.28                 |
|  | ACCOUNT #: 00082686514         | BUY 0 Units @0.0000   |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-116J - KRUEGER, JOHN    | SMALLCAP WORLD FUND-A | 0.00                 | 1.99                | 0.00               | 1.99              | 10.0 | 0.20                 |
|  | ACCOUNT #: 00082687579         | BUY 0 Units @0.0000   |                      |                     |                    |                   |      |                      |



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|--|--------------------------------|-----------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b>BROKER TRANSACTIONS (continued)</b>                       |                                |                       |                      |                     |                    |                   |      |                      |
| <b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</b> |                                |                       |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-818I - YOUNG, BRANDI    | SMALLCAP WORLD FUND-A | 0.00                 | 0.71                | 0.00               | 0.71              | 10.0 | 0.07                 |
|  | ACCOUNT #: 00082828085         | BUY 0 Units @0.0000   |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-470I - FLUETTE, RANDY   | SMALLCAP WORLD FUND-A | 0.00                 | 20.28               | 0.00               | 20.28             | 10.0 | 2.03                 |
|  | ACCOUNT #: 00083852141         | BUY 0 Units @0.0000   |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-95IN - MILLER, TRAVIS   | SMALLCAP WORLD FUND-A | 0.00                 | 1.90                | 0.00               | 1.90              | 10.0 | 0.19                 |
|  | ACCOUNT #: 00084396354         | BUY 0 Units @0.0000   |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-86IN - KIZER, THOMAS    | SMALLCAP WORLD FUND-A | 0.00                 | 2.68                | 0.00               | 2.68              | 10.0 | 0.27                 |
|  | ACCOUNT #: 00085361207         | BUY 0 Units @0.0000   |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-3299 - RAMIREZ, JOSE    | SMALLCAP WORLD FUND-A | 0.00                 | 12.74               | 0.00               | 12.74             | 10.0 | 1.27                 |
|  | ACCOUNT #: 00068281046         | BUY 0 Units @0.0000   |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-11IR - SCHAFTEL, AMY    | SMALLCAP WORLD FUND-A | 0.00                 | 1.64                | 0.00               | 1.64              | 10.0 | 0.16                 |
|  | ACCOUNT #: 00063600878         | BUY 0 Units @0.0000   |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-085P - RAINEY, JAMES    | SMALLCAP WORLD FUND-A | 0.00                 | 3.11                | 0.00               | 3.11              | 10.0 | 0.31                 |
|  | ACCOUNT #: 00065050651         | BUY 0 Units @0.0000   |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-485P - TRIESCHMAN,      | SMALLCAP WORLD FUND-A | 0.00                 | 1.15                | 0.00               | 1.15              | 10.0 | 0.12                 |
|  | ACCOUNT #: 00065098004         | BUY 0 Units @0.0000   |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-275P - BALDWIN, JUSTIN  | SMALLCAP WORLD FUND-A | 0.00                 | 0.38                | 0.00               | 0.38              | 10.0 | 0.04                 |
|  | ACCOUNT #: 00067340502         | BUY 0 Units @0.0000   |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-601I - FALCK, ROBERT    | SMALLCAP WORLD FUND-A | 0.00                 | 19.59               | 0.00               | 19.59             | 10.0 | 1.96                 |
|  | ACCOUNT #: 00068513111         | BUY 0 Units @0.0000   |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-29IN - LITMAN, WENDY    | SMALLCAP WORLD FUND-A | 0.00                 | 5.67                | 0.00               | 5.67              | 10.0 | 0.57                 |
|  | ACCOUNT #: 00068524068         | BUY 0 Units @0.0000   |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-015P - VICKERS, BARBARA | SMALLCAP WORLD FUND-A | 0.00                 | 0.16                | 0.00               | 0.16              | 10.0 | 0.02                 |
|  | ACCOUNT #: 00068567314         | BUY 0 Units @0.0000   |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-065P - DJENADIC, GORAN  | SMALLCAP WORLD FUND-A | 0.00                 | 3.51                | 0.00               | 3.51              | 10.0 | 0.35                 |
|  | ACCOUNT #: 00069014458         | BUY 0 Units @0.0000   |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-915P - ELIAS, CAROLINA  | SMALLCAP WORLD FUND-A | 0.00                 | 14.59               | 0.00               | 14.59             | 10.0 | 1.46                 |
|  | ACCOUNT #: 00069223122         | BUY 0 Units @0.0000   |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-475P - LURIA, BENNETT   | SMALLCAP WORLD FUND-A | 0.00                 | 10.53               | 0.00               | 10.53             | 10.0 | 1.05                 |
|  | ACCOUNT #: 00073101452         | BUY 0 Units @0.0000   |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-245P - KURMAN, MICHELLE | SMALLCAP WORLD FUND-A | 0.00                 | 11.98               | 0.00               | 11.98             | 10.0 | 1.20                 |
|  | ACCOUNT #: 00073571102         | BUY 0 Units @0.0000   |                      |                     |                    |                   |      |                      |





# COMMISSION STATEMENT

March 12, 2018

ALEX GEORGIEV  
400 West Metro Park  
Rochester, NY 14623

BROKER #: AGJ  
BRANCH #01001 - LifeMark Home Office

| DATE   | CLIENT                         | INVESTMENT            | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|--|--------------------------------|-----------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b>BROKER TRANSACTIONS (continued)</b>                       |                                |                       |                      |                     |                    |                   |      |                      |
| <b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</b> |                                |                       |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-691I - COLLINS, PAMELA  | SMALLCAP WORLD FUND-A | 0.00                 | 7.06                | 0.00               | 7.06              | 10.0 | 0.71                 |
|  | ACCOUNT #: 00074006244         | BUY 0 Units @0.0000   |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-802J - MAASS, CARLY     | SMALLCAP WORLD FUND-A | 0.00                 | 23.01               | 0.00               | 23.01             | 10.0 | 2.30                 |
|  | ACCOUNT #: 00074618503         | BUY 0 Units @0.0000   |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-72IN - THUMULURU,       | SMALLCAP WORLD FUND-A | 0.00                 | 11.10               | 0.00               | 11.10             | 10.0 | 1.11                 |
|  | ACCOUNT #: 00074749751         | BUY 0 Units @0.0000   |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-17SI - CARSON, JEAN     | SMALLCAP WORLD FUND-A | 0.00                 | 2.48                | 0.00               | 2.48              | 10.0 | 0.25                 |
|  | ACCOUNT #: 00075399997         | BUY 0 Units @0.0000   |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-965P - HORNICK, SCOTT   | SMALLCAP WORLD FUND-A | 0.00                 | 12.70               | 0.00               | 12.70             | 10.0 | 1.27                 |
|  | ACCOUNT #: 00075539423         | BUY 0 Units @0.0000   |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-795P - CREEGAN, THOMAS  | SMALLCAP WORLD FUND-A | 0.00                 | 16.87               | 0.00               | 16.87             | 10.0 | 1.69                 |
|  | ACCOUNT #: 00075748864         | BUY 0 Units @0.0000   |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-305P - ALOOR, RAVI      | SMALLCAP WORLD FUND-A | 0.00                 | 15.04               | 0.00               | 15.04             | 10.0 | 1.50                 |
|  | ACCOUNT #: 00081137427         | BUY 0 Units @0.0000   |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-721I - SHILOACH, JOSEPH | SMALLCAP WORLD FUND-A | 0.00                 | 4.54                | 0.00               | 4.54              | 10.0 | 0.45                 |
|  | ACCOUNT #: 00081205994         | BUY 0 Units @0.0000   |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-95IN - STARTZEL,        | SMALLCAP WORLD FUND-A | 0.00                 | 14.32               | 0.00               | 14.32             | 10.0 | 1.43                 |
|  | ACCOUNT #: 00081317740         | BUY 0 Units @0.0000   |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-045P - RAMESHKUMAR,     | SMALLCAP WORLD FUND-A | 0.00                 | 18.10               | 0.00               | 18.10             | 10.0 | 1.81                 |
|  | ACCOUNT #: 00081655955         | BUY 0 Units @0.0000   |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-76SI - JONES, MARCIE    | SMALLCAP WORLD FUND-A | 0.00                 | 8.78                | 0.00               | 8.78              | 10.0 | 0.88                 |
|  | ACCOUNT #: 00081719052         | BUY 0 Units @0.0000   |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-82IN - TEN, JT          | SMALLCAP WORLD FUND-A | 0.00                 | 23.52               | 0.00               | 23.52             | 10.0 | 2.35                 |
|  | ACCOUNT #: 00082421077         | BUY 0 Units @0.0000   |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-185P - KONIZESKI, DELIA | SMALLCAP WORLD FUND-A | 0.00                 | 1.98                | 0.00               | 1.98              | 10.0 | 0.20                 |
|  | ACCOUNT #: 00082792992         | BUY 0 Units @0.0000   |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-064J - HALL, AMY        | SMALLCAP WORLD FUND-A | 0.00                 | 55.17               | 0.00               | 55.17             | 10.0 | 5.52                 |
|  | ACCOUNT #: 00083146232         | BUY 0 Units @0.0000   |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-391J - FRIEDMAN, KEITH  | SMALLCAP WORLD FUND-A | 0.00                 | 28.07               | 0.00               | 28.07             | 10.0 | 2.81                 |
|  | ACCOUNT #: 00083404691         | BUY 0 Units @0.0000   |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-747I - ROY, JESSICA     | SMALLCAP WORLD FUND-A | 0.00                 | 3.13                | 0.00               | 3.13              | 10.0 | 0.31                 |
|  | ACCOUNT #: 00083742202         | BUY 0 Units @0.0000   |                      |                     |                    |                   |      |                      |



# COMMISSION STATEMENT

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|--|--------------------------------|---------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b>BROKER TRANSACTIONS (continued)</b>                       |                                |                                 |                      |                     |                    |                   |      |                      |
| <b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</b> |                                |                                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-452J - GARDNER, DANIEL  | SMALLCAP WORLD FUND-A           | 0.00                 | 6.77                | 0.00               | 6.77              | 10.0 | 0.68                 |
|  | ACCOUNT #: 0008443333          | BUY 0 Units @0.0000             |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-415P - TARANTINO, SCOTT | SMALLCAP WORLD FUND-A           | 0.00                 | 22.14               | 0.00               | 22.14             | 10.0 | 2.21                 |
|  | ACCOUNT #: 00087447990         | BUY 0 Units @0.0000             |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-375P - SINNO, FADY      | SMALLCAP WORLD FUND-F1          | 0.00                 | 33.76               | 0.00               | 33.76             | 10.0 | 3.38                 |
|  | ACCOUNT #: 00068297392         | BUY 0 Units @0.0000             |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-66FB - VERSTANDIG, CARL | TAX-EXEMPT BOND FUND OF AMERICA | 0.00                 | 3.30                | 0.00               | 3.30              | 10.0 | 0.33                 |
|  | ACCOUNT #: 00068370962         | BUY 0 Units @0.0000             |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-29IN - LITMAN, WENDY    | TAX-EXEMPT BOND FUND OF AMERICA | 0.00                 | 4.53                | 0.00               | 4.53              | 10.0 | 0.45                 |
|  | ACCOUNT #: 00068524068         | BUY 0 Units @0.0000             |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-04IN - MURPHY, PAUL     | TAX-EXEMPT BOND FUND OF AMERICA | 0.00                 | 12.49               | 0.00               | 12.49             | 10.0 | 1.25                 |
|  | ACCOUNT #: 00075938729         | BUY 0 Units @0.0000             |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-95IN - STARTZEL,        | TAX-EXEMPT BOND FUND OF AMERICA | 0.00                 | 9.52                | 0.00               | 9.52              | 10.0 | 0.95                 |
|  | ACCOUNT #: 00081317740         | BUY 0 Units @0.0000             |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-064J - HALL, AMY        | TAX-EXEMPT BOND FUND OF AMERICA | 0.00                 | 21.04               | 0.00               | 21.04             | 10.0 | 2.10                 |
|  | ACCOUNT #: 00083146232         | BUY 0 Units @0.0000             |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-391J - FRIEDMAN, KEITH  | TAX-EXEMPT BOND FUND OF AMERICA | 0.00                 | 14.28               | 0.00               | 14.28             | 10.0 | 1.43                 |
|  | ACCOUNT #: 00083404691         | BUY 0 Units @0.0000             |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-452J - GARDNER, DANIEL  | TAX-EXEMPT BOND FUND OF AMERICA | 0.00                 | 0.43                | 0.00               | 0.43              | 10.0 | 0.04                 |
|  | ACCOUNT #: 0008443333          | BUY 0 Units @0.0000             |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-887I - IM, RICHARD      | TAX-EXEMPT BOND FUND OF AMERICA | 0.00                 | 13.40               | 0.00               | 13.40             | 10.0 | 1.34                 |
|  | ACCOUNT #: 00086890530         | BUY 0 Units @0.0000             |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-415P - TARANTINO, SCOTT | TAX-EXEMPT BOND FUND OF AMERICA | 0.00                 | 20.51               | 0.00               | 20.51             | 10.0 | 2.05                 |
|  | ACCOUNT #: 00087447990         | BUY 0 Units @0.0000             |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-074J - MARSIGLIA, HARRY | TAX-EXEMPT BOND FUND OF AMERICA | 0.00                 | 7.28                | 0.00               | 7.28              | 10.0 | 0.73                 |
|  | ACCOUNT #: 00087619431         | BUY 0 Units @0.0000             |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-755P - FROHMADER, GINA  | THE BOND FUND OF AMERICA-529A   | 0.00                 | 0.90                | 0.00               | 0.90              | 10.0 | 0.09                 |
|  | ACCOUNT #: 00069265498         | BUY 0 Units @0.0000             |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-815P - SIMPSON, JARED   | THE BOND FUND OF AMERICA-529A   | 0.00                 | 0.23                | 0.00               | 0.23              | 10.0 | 0.02                 |
|  | ACCOUNT #: 00073284461         | BUY 0 Units @0.0000             |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-905P - JUSTUS,          | THE BOND FUND OF AMERICA-529A   | 0.00                 | 3.73                | 0.00               | 3.73              | 10.0 | 0.37                 |
|  | ACCOUNT #: 00081237301         | BUY 0 Units @0.0000             |                      |                     |                    |                   |      |                      |



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|--|--------------------------------|-------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b>BROKER TRANSACTIONS (continued)</b>                       |                                |                               |                      |                     |                    |                   |      |                      |
| <b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</b> |                                |                               |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-5239 - TERRELL, EMILY   | THE BOND FUND OF AMERICA-529A | 0.00                 | 6.83                | 0.00               | 6.83              | 10.0 | 0.68                 |
|  | ACCOUNT #: 00083570795         | BUY 0 Units @0.0000           |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-5239 - TERRELL, EMILY   | THE BOND FUND OF AMERICA-529A | 0.00                 | 5.50                | 0.00               | 5.50              | 10.0 | 0.55                 |
|  | ACCOUNT #: 00083571087         | BUY 0 Units @0.0000           |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-445P - WITKINS, JINA    | THE BOND FUND OF AMERICA-529A | 0.00                 | 0.16                | 0.00               | 0.16              | 10.0 | 0.02                 |
|  | ACCOUNT #: 00087816854         | BUY 0 Units @0.0000           |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-525P - GARDNER, DANIEL  | THE BOND FUND OF AMERICA-529A | 0.00                 | 2.22                | 0.00               | 2.22              | 10.0 | 0.22                 |
|  | ACCOUNT #: 00084433353         | BUY 0 Units @0.0000           |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-005P - SIRCY, PATRICK   | THE BOND FUND OF AMERICA-529A | 0.00                 | 3.18                | 0.00               | 3.18              | 10.0 | 0.32                 |
|  | ACCOUNT #: 00081938666         | BUY 0 Units @0.0000           |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-295P - HOGAN, ANN       | THE BOND FUND OF AMERICA-A    | 0.00                 | 22.41               | 0.00               | 22.41             | 10.0 | 2.24                 |
|  | ACCOUNT #: 00074253253         | BUY 0 Units @0.0000           |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-245P - KELBER, JEFFRY   | THE BOND FUND OF AMERICA-A    | 0.00                 | 73.56               | 0.00               | 73.56             | 10.0 | 7.36                 |
|  | ACCOUNT #: 00059587254         | BUY 0 Units @0.0000           |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-45IN - INTIHAR, CHRIS   | THE BOND FUND OF AMERICA-A    | 0.00                 | 15.94               | 0.00               | 15.94             | 10.0 | 1.59                 |
|  | ACCOUNT #: 00060636309         | BUY 0 Units @0.0000           |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-973P - INTIHAR, SANDRA  | THE BOND FUND OF AMERICA-A    | 0.00                 | 19.60               | 0.00               | 19.60             | 10.0 | 1.96                 |
|  | ACCOUNT #: 00060992035         | BUY 0 Units @0.0000           |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-675P - LEONARD, CRAIG   | THE BOND FUND OF AMERICA-A    | 0.00                 | 2.88                | 0.00               | 2.88              | 10.0 | 0.29                 |
|  | ACCOUNT #: 00061651661         | BUY 0 Units @0.0000           |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-229I - NOWAKOWSKI,      | THE BOND FUND OF AMERICA-A    | 0.00                 | 20.57               | 0.00               | 20.57             | 10.0 | 2.06                 |
|  | ACCOUNT #: 00061749920         | BUY 0 Units @0.0000           |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-973I - INTIHAR, SANDRA  | THE BOND FUND OF AMERICA-A    | 0.00                 | 12.80               | 0.00               | 12.80             | 10.0 | 1.28                 |
|  | ACCOUNT #: 00061923377         | BUY 0 Units @0.0000           |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-773I - MAGGIO, GIUSEPPE | THE BOND FUND OF AMERICA-A    | 0.00                 | 4.96                | 0.00               | 4.96              | 10.0 | 0.50                 |
|  | ACCOUNT #: 00063184206         | BUY 0 Units @0.0000           |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-7060 - GARLAND, BARBARA | THE BOND FUND OF AMERICA-A    | 0.00                 | 36.35               | 0.00               | 36.35             | 10.0 | 3.64                 |
|  | ACCOUNT #: 00063496789         | BUY 0 Units @0.0000           |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-895P - BIANCAVILLA,     | THE BOND FUND OF AMERICA-A    | 0.00                 | 162.98              | 0.00               | 162.98            | 10.0 | 16.30                |
|  | ACCOUNT #: 00064213390         | BUY 0 Units @0.0000           |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-465P - HOLT, DAVID      | THE BOND FUND OF AMERICA-A    | 0.00                 | 19.78               | 0.00               | 19.78             | 10.0 | 1.98                 |
|  | ACCOUNT #: 00066795968         | BUY 0 Units @0.0000           |                      |                     |                    |                   |      |                      |



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|--|--------------------------------|----------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b>BROKER TRANSACTIONS (continued)</b>                       |                                |                            |                      |                     |                    |                   |      |                      |
| <b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</b> |                                |                            |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-375P - KAVI, KRISHNA    | THE BOND FUND OF AMERICA-A | 0.00                 | 5.68                | 0.00               | 5.68              | 10.0 | 0.57                 |
|  | ACCOUNT #: 00066909129         | BUY 0 Units @0.0000        |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-375P - KAVI, KRISHNA    | THE BOND FUND OF AMERICA-A | 0.00                 | 37.59               | 0.00               | 37.59             | 10.0 | 3.76                 |
|  | ACCOUNT #: 00066909137         | BUY 0 Units @0.0000        |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-375P - KAVI, KRISHNA    | THE BOND FUND OF AMERICA-A | 0.00                 | 6.94                | 0.00               | 6.94              | 10.0 | 0.69                 |
|  | ACCOUNT #: 00066909138         | BUY 0 Units @0.0000        |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-23IN - SHULL, HAZEL     | THE BOND FUND OF AMERICA-A | 0.00                 | 8.20                | 0.00               | 8.20              | 10.0 | 0.82                 |
|  | ACCOUNT #: 00068030481         | BUY 0 Units @0.0000        |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-515P - TASSOUL, MICHAEL | THE BOND FUND OF AMERICA-A | 0.00                 | 2.57                | 0.00               | 2.57              | 10.0 | 0.26                 |
|  | ACCOUNT #: 00068195206         | BUY 0 Units @0.0000        |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-657I - NEWELL, JODI     | THE BOND FUND OF AMERICA-A | 0.00                 | 10.58               | 0.00               | 10.58             | 10.0 | 1.06                 |
|  | ACCOUNT #: 00068704319         | BUY 0 Units @0.0000        |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-737I - NEWGAARD, JERI   | THE BOND FUND OF AMERICA-A | 0.00                 | 2.59                | 0.00               | 2.59              | 10.0 | 0.26                 |
|  | ACCOUNT #: 00073125186         | BUY 0 Units @0.0000        |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-265P - CLIFFORD, JAMES  | THE BOND FUND OF AMERICA-A | 0.00                 | 5.88                | 0.00               | 5.88              | 10.0 | 0.59                 |
|  | ACCOUNT #: 00073275609         | BUY 0 Units @0.0000        |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-715P - STAMPER, TAMARA  | THE BOND FUND OF AMERICA-A | 0.00                 | 0.93                | 0.00               | 0.93              | 10.0 | 0.09                 |
|  | ACCOUNT #: 00074344296         | BUY 0 Units @0.0000        |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-675P - STAMPER, SCOTT   | THE BOND FUND OF AMERICA-A | 0.00                 | 0.30                | 0.00               | 0.30              | 10.0 | 0.03                 |
|  | ACCOUNT #: 00074344325         | BUY 0 Units @0.0000        |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-025P - PRUITT, MITCHELL | THE BOND FUND OF AMERICA-A | 0.00                 | 0.72                | 0.00               | 0.72              | 10.0 | 0.07                 |
|  | ACCOUNT #: 00075056497         | BUY 0 Units @0.0000        |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-727I - POSSEE, DIANE    | THE BOND FUND OF AMERICA-A | 0.00                 | 2.11                | 0.00               | 2.11              | 10.0 | 0.21                 |
|  | ACCOUNT #: 00075475535         | BUY 0 Units @0.0000        |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-424I - QUINERLY,        | THE BOND FUND OF AMERICA-A | 0.00                 | 5.48                | 0.00               | 5.48              | 10.0 | 0.55                 |
|  | ACCOUNT #: 00081769587         | BUY 0 Units @0.0000        |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-045P - SWEENEY, ROBERT  | THE BOND FUND OF AMERICA-A | 0.00                 | 4.47                | 0.00               | 4.47              | 10.0 | 0.45                 |
|  | ACCOUNT #: 00082400759         | BUY 0 Units @0.0000        |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-401I - NEWELL, JEFFREY  | THE BOND FUND OF AMERICA-A | 0.00                 | 5.43                | 0.00               | 5.43              | 10.0 | 0.54                 |
|  | ACCOUNT #: 00082402147         | BUY 0 Units @0.0000        |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-818I - YOUNG, BRANDI    | THE BOND FUND OF AMERICA-A | 0.00                 | 0.45                | 0.00               | 0.45              | 10.0 | 0.05                 |
|  | ACCOUNT #: 00082828085         | BUY 0 Units @0.0000        |                      |                     |                    |                   |      |                      |



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| <b>BROKER TRANSACTIONS (continued)</b>                       |                                |                                 |                      |                     |                    |                   |      |                      |
| <b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</b> |                                |                                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-994B - EARLES, PHYLLIS  | THE BOND FUND OF AMERICA-A      | 0.00                 | 1.82                | 0.00               | 1.82              | 10.0 | 0.18                 |
|  | ACCOUNT #: 02001074291         | BUY 0 Units @0.0000             |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-8126 - BROWN, BEVERLY   | THE BOND FUND OF AMERICA-A      | 0.00                 | 2.14                | 0.00               | 2.14              | 10.0 | 0.21                 |
|  | ACCOUNT #: 00082099688         | BUY 0 Units @0.0000             |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-065P - MULHOLLAND,      | THE BOND FUND OF AMERICA-A      | 0.00                 | 0.38                | 0.00               | 0.38              | 10.0 | 0.04                 |
|  | ACCOUNT #: 00065098009         | BUY 0 Units @0.0000             |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-601I - FALCK, ROBERT    | THE BOND FUND OF AMERICA-A      | 0.00                 | 15.28               | 0.00               | 15.28             | 10.0 | 1.53                 |
|  | ACCOUNT #: 00068513111         | BUY 0 Units @0.0000             |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-015P - VICKERS, BARBARA | THE BOND FUND OF AMERICA-A      | 0.00                 | 0.10                | 0.00               | 0.10              | 10.0 | 0.01                 |
|  | ACCOUNT #: 00068567314         | BUY 0 Units @0.0000             |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-691I - COLLINS, PAMELA  | THE BOND FUND OF AMERICA-A      | 0.00                 | 0.40                | 0.00               | 0.40              | 10.0 | 0.04                 |
|  | ACCOUNT #: 00074006244         | BUY 0 Units @0.0000             |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-17SI - CARSON, JEAN     | THE BOND FUND OF AMERICA-A      | 0.00                 | 1.49                | 0.00               | 1.49              | 10.0 | 0.15                 |
|  | ACCOUNT #: 00075399997         | BUY 0 Units @0.0000             |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-064J - HALL, AMY        | THE BOND FUND OF AMERICA-A      | 0.00                 | 22.45               | 0.00               | 22.45             | 10.0 | 2.25                 |
|  | ACCOUNT #: 00083146232         | BUY 0 Units @0.0000             |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-416I - KETNER, SANDRA   | THE BOND FUND OF AMERICA-A      | 0.00                 | 16.75               | 0.00               | 16.75             | 10.0 | 1.68                 |
|  | ACCOUNT #: 00085170636         | BUY 0 Units @0.0000             |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-415P - TARANTINO, SCOTT | THE BOND FUND OF AMERICA-A      | 0.00                 | 6.78                | 0.00               | 6.78              | 10.0 | 0.68                 |
|  | ACCOUNT #: 00087447990         | BUY 0 Units @0.0000             |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-635P - SCOTT, JAMES     | THE BOND FUND OF AMERICA-C      | 0.00                 | 16.87               | 0.00               | 16.87             | 10.0 | 1.69                 |
|  | ACCOUNT #: 00068920074         | BUY 0 Units @0.0000             |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-635P - SCOTT, JAMES     | THE BOND FUND OF AMERICA-F1     | 0.00                 | 15.77               | 0.00               | 15.77             | 10.0 | 1.58                 |
|  | ACCOUNT #: 00068920074         | BUY 0 Units @0.0000             |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-675P - WHITAKER, SYDNEY | THE GROWTH FUND OF AMERICA-529A | 0.00                 | 2.11                | 0.00               | 2.11              | 10.0 | 0.21                 |
|  | ACCOUNT #: 00069250849         | BUY 0 Units @0.0000             |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-815P - SIMPSON, JARED   | THE GROWTH FUND OF AMERICA-529A | 0.00                 | 0.61                | 0.00               | 0.61              | 10.0 | 0.06                 |
|  | ACCOUNT #: 00073284461         | BUY 0 Units @0.0000             |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-215P - LUNA, SELENA     | THE GROWTH FUND OF AMERICA-529A | 0.00                 | 1.02                | 0.00               | 1.02              | 10.0 | 0.10                 |
|  | ACCOUNT #: 00074060730         | BUY 0 Units @0.0000             |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-515P - ELLEDGE, HANNAH  | THE GROWTH FUND OF AMERICA-529A | 0.00                 | 1.76                | 0.00               | 1.76              | 10.0 | 0.18                 |
|  | ACCOUNT #: 00074671035         | BUY 0 Units @0.0000             |                      |                     |                    |                   |      |                      |



# COMMISSION STATEMENT

March 12, 2018

ALEX GEORGIEV  
400 West Metro Park  
Rochester, NY 14623

BROKER #: AGJ  
BRANCH #01001 - LifeMark Home Office

| DATE   | CLIENT  | INVESTMENT   | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|--|---|--|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b>BROKER TRANSACTIONS (continued)</b>                       |   |  |                      |                     |                    |                   |      |                      |
| <b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</b> |   |  |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-5473 - GRIMES, AMBER<br>ACCOUNT #: 00081224073   | THE GROWTH FUND OF AMERICA-529A<br>BUY 0 Units @0.0000 | 0.00                 | 4.42                | 0.00               | 4.42              | 10.0 | 0.44                 |
| 03/01/2018   | ***-**-685P - VEAL, MICHAEL<br>ACCOUNT #: 00081923626   | THE GROWTH FUND OF AMERICA-529A<br>BUY 0 Units @0.0000 | 0.00                 | 4.86                | 0.00               | 4.86              | 10.0 | 0.49                 |
| 03/01/2018   | ***-**-0619 - SHORB, STANLEY<br>ACCOUNT #: 00083330700  | THE GROWTH FUND OF AMERICA-529A<br>BUY 0 Units @0.0000 | 0.00                 | 1.32                | 0.00               | 1.32              | 10.0 | 0.13                 |
| 03/01/2018   | ***-**-425P - RADINSKY,<br>ACCOUNT #: 00068975127       | THE GROWTH FUND OF AMERICA-529A<br>BUY 0 Units @0.0000 | 0.00                 | 23.71               | 0.00               | 23.71             | 10.0 | 2.37                 |
| 03/01/2018   | ***-**-425P - RADINSKY,<br>ACCOUNT #: 00068975129       | THE GROWTH FUND OF AMERICA-529A<br>BUY 0 Units @0.0000 | 0.00                 | 18.23               | 0.00               | 18.23             | 10.0 | 1.82                 |
| 03/01/2018   | ***-**-115P - BEG, ASIF<br>ACCOUNT #: 00081438568       | THE GROWTH FUND OF AMERICA-529A<br>BUY 0 Units @0.0000 | 0.00                 | 4.06                | 0.00               | 4.06              | 10.0 | 0.41                 |
| 03/01/2018   | ***-**-015P - SEVERE, DAVID<br>ACCOUNT #: 00082698692   | THE GROWTH FUND OF AMERICA-529A<br>BUY 0 Units @0.0000 | 0.00                 | 14.86               | 0.00               | 14.86             | 10.0 | 1.49                 |
| 03/01/2018   | ***-**-425P - LEWIS, SALLY<br>ACCOUNT #: 00082721773    | THE GROWTH FUND OF AMERICA-529A<br>BUY 0 Units @0.0000 | 0.00                 | 7.89                | 0.00               | 7.89              | 10.0 | 0.79                 |
| 03/01/2018   | ***-**-525P - GARDNER, DANIEL<br>ACCOUNT #: 00084433353 | THE GROWTH FUND OF AMERICA-529A<br>BUY 0 Units @0.0000 | 0.00                 | 23.57               | 0.00               | 23.57             | 10.0 | 2.36                 |
| 03/01/2018   | ***-**-825P - MARKS, JACOB<br>ACCOUNT #: 00085088195    | THE GROWTH FUND OF AMERICA-529A<br>BUY 0 Units @0.0000 | 0.00                 | 6.76                | 0.00               | 6.76              | 10.0 | 0.68                 |
| 03/01/2018   | ***-**-825P - MARKS, JACOB<br>ACCOUNT #: 00085088223    | THE GROWTH FUND OF AMERICA-529A<br>BUY 0 Units @0.0000 | 0.00                 | 6.76                | 0.00               | 6.76              | 10.0 | 0.68                 |
| 03/01/2018   | ***-**-825P - MARKS, JACOB<br>ACCOUNT #: 00085088240    | THE GROWTH FUND OF AMERICA-529A<br>BUY 0 Units @0.0000 | 0.00                 | 6.76                | 0.00               | 6.76              | 10.0 | 0.68                 |
| 03/01/2018   | ***-**-2802 - MAASS, TY<br>ACCOUNT #: 00085284547       | THE GROWTH FUND OF AMERICA-529A<br>BUY 0 Units @0.0000 | 0.00                 | 0.13                | 0.00               | 0.13              | 10.0 | 0.01                 |
| 03/01/2018   | ***-**-2802 - MAASS, TY<br>ACCOUNT #: 00086550207       | THE GROWTH FUND OF AMERICA-529A<br>BUY 0 Units @0.0000 | 0.00                 | 5.47                | 0.00               | 5.47              | 10.0 | 0.55                 |
| 03/01/2018   | ***-**-005P - SIRCY, PATRICK<br>ACCOUNT #: 00081938666  | THE GROWTH FUND OF AMERICA-529A<br>BUY 0 Units @0.0000 | 0.00                 | 12.29               | 0.00               | 12.29             | 10.0 | 1.23                 |
| 03/01/2018   | ***-**-235P - SCHEIDT,<br>ACCOUNT #: 00083183853        | THE GROWTH FUND OF AMERICA-529E<br>BUY 0 Units @0.0000 | 0.00                 | 0.94                | 0.00               | 0.94              | 10.0 | 0.09                 |



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|--|---|--|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b>BROKER TRANSACTIONS (continued)</b>                       |   |  |                      |                     |                    |                   |      |                      |
| <b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</b> |   |  |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-235P - SCHEIDT,<br>ACCOUNT #: 00083183938        | THE GROWTH FUND OF AMERICA-529E<br>BUY 0 Units @0.0000 | 0.00                 | 0.94                | 0.00               | 0.94              | 10.0 | 0.09                 |
| 03/01/2018   | ***-**-235P - SCHEIDT,<br>ACCOUNT #: 00083184088        | THE GROWTH FUND OF AMERICA-529E<br>BUY 0 Units @0.0000 | 0.00                 | 0.94                | 0.00               | 0.94              | 10.0 | 0.09                 |
| 03/01/2018   | ***-**-235P - SCHEIDT,<br>ACCOUNT #: 00084738567        | THE GROWTH FUND OF AMERICA-529E<br>BUY 0 Units @0.0000 | 0.00                 | 1.19                | 0.00               | 1.19              | 10.0 | 0.12                 |
| 03/01/2018   | ***-**-235P - SCHEIDT,<br>ACCOUNT #: 00084738585        | THE GROWTH FUND OF AMERICA-529E<br>BUY 0 Units @0.0000 | 0.00                 | 1.19                | 0.00               | 1.19              | 10.0 | 0.12                 |
| 03/01/2018   | ***-**-235P - SCHEIDT,<br>ACCOUNT #: 00086445473        | THE GROWTH FUND OF AMERICA-529E<br>BUY 0 Units @0.0000 | 0.00                 | 1.16                | 0.00               | 1.16              | 10.0 | 0.12                 |
| 03/01/2018   | ***-**-295P - HOGAN, ANN<br>ACCOUNT #: 00074253253      | THE GROWTH FUND OF AMERICA-A<br>BUY 0 Units @0.0000    | 0.00                 | 98.77               | 0.00               | 98.77             | 10.0 | 9.88                 |
| 03/01/2018   | ***-**-12UG - UNTIL AGE 21,<br>ACCOUNT #: 00081727206   | THE GROWTH FUND OF AMERICA-A<br>BUY 0 Units @0.0000    | 0.00                 | 12.16               | 0.00               | 12.16             | 10.0 | 1.22                 |
| 03/01/2018   | ***-**-921I - COLLINGE, JOHN<br>ACCOUNT #: 00058784445  | THE GROWTH FUND OF AMERICA-A<br>BUY 0 Units @0.0000    | 0.00                 | 82.34               | 0.00               | 82.34             | 10.0 | 8.23                 |
| 03/01/2018   | ***-**-286I - KAPP, RODERICK<br>ACCOUNT #: 00059874815  | THE GROWTH FUND OF AMERICA-A<br>BUY 0 Units @0.0000    | 0.00                 | 4.05                | 0.00               | 4.05              | 10.0 | 0.41                 |
| 03/01/2018   | ***-**-584I - KULISICH, JOHN<br>ACCOUNT #: 00060114682  | THE GROWTH FUND OF AMERICA-A<br>BUY 0 Units @0.0000    | 0.00                 | 58.14               | 0.00               | 58.14             | 10.0 | 5.81                 |
| 03/01/2018   | ***-**-635P - RYAN, FRED<br>ACCOUNT #: 00060626935      | THE GROWTH FUND OF AMERICA-A<br>BUY 0 Units @0.0000    | 0.00                 | 0.03                | 0.00               | 0.03              | 10.0 | 0.00                 |
| 03/01/2018   | ***-**-49TR - PERKINS, TARAH<br>ACCOUNT #: 00060755242  | THE GROWTH FUND OF AMERICA-A<br>BUY 0 Units @0.0000    | 0.00                 | 5.96                | 0.00               | 5.96              | 10.0 | 0.60                 |
| 03/01/2018   | ***-**-70IN - PESCHE, SUSAN<br>ACCOUNT #: 00061196180   | THE GROWTH FUND OF AMERICA-A<br>BUY 0 Units @0.0000    | 0.00                 | 32.37               | 0.00               | 32.37             | 10.0 | 3.24                 |
| 03/01/2018   | ***-**-843P - FERRENTINO,<br>ACCOUNT #: 00061255404     | THE GROWTH FUND OF AMERICA-A<br>BUY 0 Units @0.0000    | 0.00                 | 9.39                | 0.00               | 9.39              | 10.0 | 0.94                 |
| 03/01/2018   | ***-**-68IN - PARSONS, JOSEPH<br>ACCOUNT #: 00061277766 | THE GROWTH FUND OF AMERICA-A<br>BUY 0 Units @0.0000    | 0.00                 | 1.45                | 0.00               | 1.45              | 10.0 | 0.15                 |
| 03/01/2018   | ***-**-12UT - BASTEN, ASHLEY<br>ACCOUNT #: 00061604201  | THE GROWTH FUND OF AMERICA-A<br>BUY 0 Units @0.0000    | 0.00                 | 8.13                | 0.00               | 8.13              | 10.0 | 0.81                 |



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|--|--------------------------------|------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b>BROKER TRANSACTIONS (continued)</b>                       |                                |                              |                      |                     |                    |                   |      |                      |
| <b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</b> |                                |                              |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-140I - ANTHONY, JANICE  | THE GROWTH FUND OF AMERICA-A | 0.00                 | 8.18                | 0.00               | 8.18              | 10.0 | 0.82                 |
|  | ACCOUNT #: 00061728759         | BUY 0 Units @0.0000          |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-795P - MYERS, JOHN      | THE GROWTH FUND OF AMERICA-A | 0.00                 | 36.57               | 0.00               | 36.57             | 10.0 | 3.66                 |
|  | ACCOUNT #: 00061900969         | BUY 0 Units @0.0000          |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-204I - COPE, JO         | THE GROWTH FUND OF AMERICA-A | 0.00                 | 1.85                | 0.00               | 1.85              | 10.0 | 0.19                 |
|  | ACCOUNT #: 00062104564         | BUY 0 Units @0.0000          |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-503I - COPE, KENNETH    | THE GROWTH FUND OF AMERICA-A | 0.00                 | 0.67                | 0.00               | 0.67              | 10.0 | 0.07                 |
|  | ACCOUNT #: 00062104566         | BUY 0 Units @0.0000          |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-175P - DAVIS, JUANITA   | THE GROWTH FUND OF AMERICA-A | 0.00                 | 0.06                | 0.00               | 0.06              | 10.0 | 0.01                 |
|  | ACCOUNT #: 00062239166         | BUY 0 Units @0.0000          |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-56IN - TRAVIS, DANIEL   | THE GROWTH FUND OF AMERICA-A | 0.00                 | 8.54                | 0.00               | 8.54              | 10.0 | 0.85                 |
|  | ACCOUNT #: 00062313582         | BUY 0 Units @0.0000          |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-598O - BAIS, RAM        | THE GROWTH FUND OF AMERICA-A | 0.00                 | 12.60               | 0.00               | 12.60             | 10.0 | 1.26                 |
|  | ACCOUNT #: 00062603215         | BUY 0 Units @0.0000          |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-905P - SPECTOR, DEBORAH | THE GROWTH FUND OF AMERICA-A | 0.00                 | 18.34               | 0.00               | 18.34             | 10.0 | 1.83                 |
|  | ACCOUNT #: 00062814043         | BUY 0 Units @0.0000          |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-635P - LOGRASSO,        | THE GROWTH FUND OF AMERICA-A | 0.00                 | 1.40                | 0.00               | 1.40              | 10.0 | 0.14                 |
|  | ACCOUNT #: 00062853008         | BUY 0 Units @0.0000          |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-50IR - RENDELL, IAN     | THE GROWTH FUND OF AMERICA-A | 0.00                 | 45.03               | 0.00               | 45.03             | 10.0 | 4.50                 |
|  | ACCOUNT #: 00063243823         | BUY 0 Units @0.0000          |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-04IR - GRODZICKI,       | THE GROWTH FUND OF AMERICA-A | 0.00                 | 4.73                | 0.00               | 4.73              | 10.0 | 0.47                 |
|  | ACCOUNT #: 00063592510         | BUY 0 Units @0.0000          |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-575P - NOVAK, BROOKE    | THE GROWTH FUND OF AMERICA-A | 0.00                 | 1.82                | 0.00               | 1.82              | 10.0 | 0.18                 |
|  | ACCOUNT #: 00063762338         | BUY 0 Units @0.0000          |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-575P - ANDERSON, SUSAN  | THE GROWTH FUND OF AMERICA-A | 0.00                 | 4.22                | 0.00               | 4.22              | 10.0 | 0.42                 |
|  | ACCOUNT #: 00063941162         | BUY 0 Units @0.0000          |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-02IR - FRERKER, ROBERT  | THE GROWTH FUND OF AMERICA-A | 0.00                 | 20.93               | 0.00               | 20.93             | 10.0 | 2.09                 |
|  | ACCOUNT #: 00064066205         | BUY 0 Units @0.0000          |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-998P - MCMINN, SARAH    | THE GROWTH FUND OF AMERICA-A | 0.00                 | 5.30                | 0.00               | 5.30              | 10.0 | 0.53                 |
|  | ACCOUNT #: 00064071275         | BUY 0 Units @0.0000          |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-515P - MCGUIRE, MELISSA | THE GROWTH FUND OF AMERICA-A | 0.00                 | 1.45                | 0.00               | 1.45              | 10.0 | 0.15                 |
|  | ACCOUNT #: 00064101087         | BUY 0 Units @0.0000          |                      |                     |                    |                   |      |                      |





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|--|---|---|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b>BROKER TRANSACTIONS (continued)</b>                       |   |   |                      |                     |                    |                   |      |                      |
| <b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</b> |   |   |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-15IN - NAHAMOU,<br>ACCOUNT #: 00064112290        | THE GROWTH FUND OF AMERICA-A<br>BUY 0 Units @0.0000 | 0.00                 | 17.76               | 0.00               | 17.76             | 10.0 | 1.78                 |
| 03/01/2018   | ***-**-165P - MCCARVILLE,<br>ACCOUNT #: 00064226294     | THE GROWTH FUND OF AMERICA-A<br>BUY 0 Units @0.0000 | 0.00                 | 0.01                | 0.00               | 0.01              | 10.0 | 0.00                 |
| 03/01/2018   | ***-**-04IR -<br>ACCOUNT #: 00064326662                 | THE GROWTH FUND OF AMERICA-A<br>BUY 0 Units @0.0000 | 0.00                 | 4.00                | 0.00               | 4.00              | 10.0 | 0.40                 |
| 03/01/2018   | ***-**-371I - SMITH, LEOLA<br>ACCOUNT #: 00064360066    | THE GROWTH FUND OF AMERICA-A<br>BUY 0 Units @0.0000 | 0.00                 | 4.20                | 0.00               | 4.20              | 10.0 | 0.42                 |
| 03/01/2018   | ***-**-98RI - BENNET,<br>ACCOUNT #: 00064633625         | THE GROWTH FUND OF AMERICA-A<br>BUY 0 Units @0.0000 | 0.00                 | 27.65               | 0.00               | 27.65             | 10.0 | 2.77                 |
| 03/01/2018   | ***-**-86UT - BRUNNORTH,<br>ACCOUNT #: 00064647659      | THE GROWTH FUND OF AMERICA-A<br>BUY 0 Units @0.0000 | 0.00                 | 1.72                | 0.00               | 1.72              | 10.0 | 0.17                 |
| 03/01/2018   | ***-**-245P - MULVANEY,<br>ACCOUNT #: 00064703199       | THE GROWTH FUND OF AMERICA-A<br>BUY 0 Units @0.0000 | 0.00                 | 0.22                | 0.00               | 0.22              | 10.0 | 0.02                 |
| 03/01/2018   | ***-**-515P - AMOAKO, DOUGLAS<br>ACCOUNT #: 00064756380 | THE GROWTH FUND OF AMERICA-A<br>BUY 0 Units @0.0000 | 0.00                 | 11.04               | 0.00               | 11.04             | 10.0 | 1.10                 |
| 03/01/2018   | ***-**-235P - ANDERSON,<br>ACCOUNT #: 00064812306       | THE GROWTH FUND OF AMERICA-A<br>BUY 0 Units @0.0000 | 0.00                 | 4.80                | 0.00               | 4.80              | 10.0 | 0.48                 |
| 03/01/2018   | ***-**-485P - ANDERSON, PAUL<br>ACCOUNT #: 00064812307  | THE GROWTH FUND OF AMERICA-A<br>BUY 0 Units @0.0000 | 0.00                 | 4.80                | 0.00               | 4.80              | 10.0 | 0.48                 |
| 03/01/2018   | ***-**-985P - NOVAK, LAUREN<br>ACCOUNT #: 00064821219   | THE GROWTH FUND OF AMERICA-A<br>BUY 0 Units @0.0000 | 0.00                 | 7.86                | 0.00               | 7.86              | 10.0 | 0.79                 |
| 03/01/2018   | ***-**-67IN - CALDWELL,<br>ACCOUNT #: 00064898692       | THE GROWTH FUND OF AMERICA-A<br>BUY 0 Units @0.0000 | 0.00                 | 2.21                | 0.00               | 2.21              | 10.0 | 0.22                 |
| 03/01/2018   | ***-**-675P - CALDWELL,<br>ACCOUNT #: 00064952287       | THE GROWTH FUND OF AMERICA-A<br>BUY 0 Units @0.0000 | 0.00                 | 2.45                | 0.00               | 2.45              | 10.0 | 0.25                 |
| 03/01/2018   | ***-**-852I - CALKINS, EDWARD<br>ACCOUNT #: 00064994033 | THE GROWTH FUND OF AMERICA-A<br>BUY 0 Units @0.0000 | 0.00                 | 10.51               | 0.00               | 10.51             | 10.0 | 1.05                 |
| 03/01/2018   | ***-**-595P - WOOD, TINA<br>ACCOUNT #: 00065009855      | THE GROWTH FUND OF AMERICA-A<br>BUY 0 Units @0.0000 | 0.00                 | 0.14                | 0.00               | 0.14              | 10.0 | 0.01                 |
| 03/01/2018   | ***-**-305P - KEESE, MINDI<br>ACCOUNT #: 00065035647    | THE GROWTH FUND OF AMERICA-A<br>BUY 0 Units @0.0000 | 0.00                 | 22.77               | 0.00               | 22.77             | 10.0 | 2.28                 |



# COMMISSION STATEMENT

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ALEX GEORGIEV  
400 West Metro Park  
Rochester, NY 14623

BROKER #: AGJ  
BRANCH #01001 - LifeMark Home Office

| DATE   | CLIENT                         | INVESTMENT                   | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|--|--------------------------------|------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b>BROKER TRANSACTIONS (continued)</b>                       |                                |                              |                      |                     |                    |                   |      |                      |
| <b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</b> |                                |                              |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-335P - GARCIA, KRIS     | THE GROWTH FUND OF AMERICA-A | 0.00                 | 0.51                | 0.00               | 0.51              | 10.0 | 0.05                 |
|  | ACCOUNT #: 00065126915         | BUY 0 Units @0.0000          |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-03IN - WOLF, BRETT      | THE GROWTH FUND OF AMERICA-A | 0.00                 | 0.51                | 0.00               | 0.51              | 10.0 | 0.05                 |
|  | ACCOUNT #: 00066538315         | BUY 0 Units @0.0000          |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-74IR - KINT, JAMES      | THE GROWTH FUND OF AMERICA-A | 0.00                 | 6.95                | 0.00               | 6.95              | 10.0 | 0.70                 |
|  | ACCOUNT #: 00066540691         | BUY 0 Units @0.0000          |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-02IR - FRERKER, ROBERT  | THE GROWTH FUND OF AMERICA-A | 0.00                 | 3.75                | 0.00               | 3.75              | 10.0 | 0.38                 |
|  | ACCOUNT #: 00066549586         | BUY 0 Units @0.0000          |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-045P - IM, HANNAH       | THE GROWTH FUND OF AMERICA-A | 0.00                 | 5.21                | 0.00               | 5.21              | 10.0 | 0.52                 |
|  | ACCOUNT #: 00066555536         | BUY 0 Units @0.0000          |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-280I - HAMILTON, CURTIS | THE GROWTH FUND OF AMERICA-A | 0.00                 | 6.34                | 0.00               | 6.34              | 10.0 | 0.63                 |
|  | ACCOUNT #: 00066718162         | BUY 0 Units @0.0000          |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-323I - HAMILTON, CHRIS  | THE GROWTH FUND OF AMERICA-A | 0.00                 | 6.34                | 0.00               | 6.34              | 10.0 | 0.63                 |
|  | ACCOUNT #: 00066718163         | BUY 0 Units @0.0000          |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-515P - MEYER, MICHAEL   | THE GROWTH FUND OF AMERICA-A | 0.00                 | 53.09               | 0.00               | 53.09             | 10.0 | 5.31                 |
|  | ACCOUNT #: 00066722060         | BUY 0 Units @0.0000          |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-717P - FEARS, TIFFANY   | THE GROWTH FUND OF AMERICA-A | 0.00                 | 0.51                | 0.00               | 0.51              | 10.0 | 0.05                 |
|  | ACCOUNT #: 00066842972         | BUY 0 Units @0.0000          |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-448P - MOSS, HEATHER    | THE GROWTH FUND OF AMERICA-A | 0.00                 | 3.79                | 0.00               | 3.79              | 10.0 | 0.38                 |
|  | ACCOUNT #: 00066848271         | BUY 0 Units @0.0000          |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-425I - FARACI, JOHN     | THE GROWTH FUND OF AMERICA-A | 0.00                 | 33.11               | 0.00               | 33.11             | 10.0 | 3.31                 |
|  | ACCOUNT #: 00066994858         | BUY 0 Units @0.0000          |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-486I - CERCIELLO, LARRY | THE GROWTH FUND OF AMERICA-A | 0.00                 | 43.22               | 0.00               | 43.22             | 10.0 | 4.32                 |
|  | ACCOUNT #: 00067164979         | BUY 0 Units @0.0000          |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-695I - CERCIELLO, KANDY | THE GROWTH FUND OF AMERICA-A | 0.00                 | 35.82               | 0.00               | 35.82             | 10.0 | 3.58                 |
|  | ACCOUNT #: 00067164981         | BUY 0 Units @0.0000          |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-055P - PLANTS, THOR     | THE GROWTH FUND OF AMERICA-A | 0.00                 | 0.29                | 0.00               | 0.29              | 10.0 | 0.03                 |
|  | ACCOUNT #: 00067164983         | BUY 0 Units @0.0000          |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-485P - MESSINA, JAKE    | THE GROWTH FUND OF AMERICA-A | 0.00                 | 1.10                | 0.00               | 1.10              | 10.0 | 0.11                 |
|  | ACCOUNT #: 00067283552         | BUY 0 Units @0.0000          |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-925P - OSBOURNE, LAUREN | THE GROWTH FUND OF AMERICA-A | 0.00                 | 0.51                | 0.00               | 0.51              | 10.0 | 0.05                 |
|  | ACCOUNT #: 00067307316         | BUY 0 Units @0.0000          |                      |                     |                    |                   |      |                      |



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|--|--------------------------------|------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b>BROKER TRANSACTIONS (continued)</b>                       |                                |                              |                      |                     |                    |                   |      |                      |
| <b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</b> |                                |                              |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-405P - DEVERS, MAREN    | THE GROWTH FUND OF AMERICA-A | 0.00                 | 9.57                | 0.00               | 9.57              | 10.0 | 0.96                 |
|  | ACCOUNT #: 00067307317         | BUY 0 Units @0.0000          |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-765P - PIERRE, YOLETTE  | THE GROWTH FUND OF AMERICA-A | 0.00                 | 36.73               | 0.00               | 36.73             | 10.0 | 3.67                 |
|  | ACCOUNT #: 00067468481         | BUY 0 Units @0.0000          |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-51SI - MCGLUMPHY, BRIAN | THE GROWTH FUND OF AMERICA-A | 0.00                 | 0.02                | 0.00               | 0.02              | 10.0 | 0.00                 |
|  | ACCOUNT #: 00067469346         | BUY 0 Units @0.0000          |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-777I - HATHAWAY, LAUREN | THE GROWTH FUND OF AMERICA-A | 0.00                 | 0.87                | 0.00               | 0.87              | 10.0 | 0.09                 |
|  | ACCOUNT #: 00067509756         | BUY 0 Units @0.0000          |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-895P - CASIDA, HEATHER  | THE GROWTH FUND OF AMERICA-A | 0.00                 | 5.77                | 0.00               | 5.77              | 10.0 | 0.58                 |
|  | ACCOUNT #: 00067513590         | BUY 0 Units @0.0000          |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-38IR - SAALE, KEVIN     | THE GROWTH FUND OF AMERICA-A | 0.00                 | 4.04                | 0.00               | 4.04              | 10.0 | 0.40                 |
|  | ACCOUNT #: 00067526644         | BUY 0 Units @0.0000          |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-01IN - ADAMS, BILLY     | THE GROWTH FUND OF AMERICA-A | 0.00                 | 28.45               | 0.00               | 28.45             | 10.0 | 2.85                 |
|  | ACCOUNT #: 00067699318         | BUY 0 Units @0.0000          |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-969P - SHOEMAKE,        | THE GROWTH FUND OF AMERICA-A | 0.00                 | 5.87                | 0.00               | 5.87              | 10.0 | 0.59                 |
|  | ACCOUNT #: 00067750762         | BUY 0 Units @0.0000          |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-515P - TASSOUL, MICHAEL | THE GROWTH FUND OF AMERICA-A | 0.00                 | 7.60                | 0.00               | 7.60              | 10.0 | 0.76                 |
|  | ACCOUNT #: 00068195206         | BUY 0 Units @0.0000          |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-61RI - HADSOCK, HUGH    | THE GROWTH FUND OF AMERICA-A | 0.00                 | 6.30                | 0.00               | 6.30              | 10.0 | 0.63                 |
|  | ACCOUNT #: 00068200969         | BUY 0 Units @0.0000          |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-885P - PITTAWAY, JAMES  | THE GROWTH FUND OF AMERICA-A | 0.00                 | 0.48                | 0.00               | 0.48              | 10.0 | 0.05                 |
|  | ACCOUNT #: 00068654518         | BUY 0 Units @0.0000          |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-755P - PITTAWAY,        | THE GROWTH FUND OF AMERICA-A | 0.00                 | 0.55                | 0.00               | 0.55              | 10.0 | 0.06                 |
|  | ACCOUNT #: 00068654520         | BUY 0 Units @0.0000          |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-657I - NEWELL, JODI     | THE GROWTH FUND OF AMERICA-A | 0.00                 | 3.75                | 0.00               | 3.75              | 10.0 | 0.38                 |
|  | ACCOUNT #: 00068704319         | BUY 0 Units @0.0000          |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-148I - BLOOMQUIST,      | THE GROWTH FUND OF AMERICA-A | 0.00                 | 1.05                | 0.00               | 1.05              | 10.0 | 0.11                 |
|  | ACCOUNT #: 00068755039         | BUY 0 Units @0.0000          |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-190I - SANDERSON,       | THE GROWTH FUND OF AMERICA-A | 0.00                 | 6.81                | 0.00               | 6.81              | 10.0 | 0.68                 |
|  | ACCOUNT #: 00069083303         | BUY 0 Units @0.0000          |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-465P - MCAVOY, EMMANUEL | THE GROWTH FUND OF AMERICA-A | 0.00                 | 5.61                | 0.00               | 5.61              | 10.0 | 0.56                 |
|  | ACCOUNT #: 00069111594         | BUY 0 Units @0.0000          |                      |                     |                    |                   |      |                      |



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|--|--------------------------------|------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b>BROKER TRANSACTIONS (continued)</b>                       |                                |                              |                      |                     |                    |                   |      |                      |
| <b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</b> |                                |                              |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-185P - SHERPY, RONALD   | THE GROWTH FUND OF AMERICA-A | 0.00                 | 49.88               | 0.00               | 49.88             | 10.0 | 4.99                 |
|  | ACCOUNT #: 00069112525         | BUY 0 Units @0.0000          |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-41IR - ANDERSON, LELAND | THE GROWTH FUND OF AMERICA-A | 0.00                 | 3.48                | 0.00               | 3.48              | 10.0 | 0.35                 |
|  | ACCOUNT #: 00073561455         | BUY 0 Units @0.0000          |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-961I - CAMPBELL, DONALD | THE GROWTH FUND OF AMERICA-A | 0.00                 | 3.94                | 0.00               | 3.94              | 10.0 | 0.39                 |
|  | ACCOUNT #: 00073828322         | BUY 0 Units @0.0000          |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-715P - STAMPER, TAMARA  | THE GROWTH FUND OF AMERICA-A | 0.00                 | 1.42                | 0.00               | 1.42              | 10.0 | 0.14                 |
|  | ACCOUNT #: 00074344296         | BUY 0 Units @0.0000          |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-675P - STAMPER, SCOTT   | THE GROWTH FUND OF AMERICA-A | 0.00                 | 1.56                | 0.00               | 1.56              | 10.0 | 0.16                 |
|  | ACCOUNT #: 00074344325         | BUY 0 Units @0.0000          |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-40SI - HETZEL, ANGELA   | THE GROWTH FUND OF AMERICA-A | 0.00                 | 3.80                | 0.00               | 3.80              | 10.0 | 0.38                 |
|  | ACCOUNT #: 00074473141         | BUY 0 Units @0.0000          |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-385P - RODRIGUEZ,       | THE GROWTH FUND OF AMERICA-A | 0.00                 | 0.72                | 0.00               | 0.72              | 10.0 | 0.07                 |
|  | ACCOUNT #: 00074785412         | BUY 0 Units @0.0000          |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-145P - GALLAGHER, DONNA | THE GROWTH FUND OF AMERICA-A | 0.00                 | 0.17                | 0.00               | 0.17              | 10.0 | 0.02                 |
|  | ACCOUNT #: 00074828908         | BUY 0 Units @0.0000          |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-465I - BRUNO, NICHOL    | THE GROWTH FUND OF AMERICA-A | 0.00                 | 0.24                | 0.00               | 0.24              | 10.0 | 0.02                 |
|  | ACCOUNT #: 00075310695         | BUY 0 Units @0.0000          |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-0185 - BRINKLEY, JANE   | THE GROWTH FUND OF AMERICA-A | 0.00                 | 13.75               | 0.00               | 13.75             | 10.0 | 1.38                 |
|  | ACCOUNT #: 00075722405         | BUY 0 Units @0.0000          |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-830I - ENGBRETSON,      | THE GROWTH FUND OF AMERICA-A | 0.00                 | 0.24                | 0.00               | 0.24              | 10.0 | 0.02                 |
|  | ACCOUNT #: 00075742129         | BUY 0 Units @0.0000          |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-254I - RICE, PAUL       | THE GROWTH FUND OF AMERICA-A | 0.00                 | 13.58               | 0.00               | 13.58             | 10.0 | 1.36                 |
|  | ACCOUNT #: 00075963800         | BUY 0 Units @0.0000          |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-861I - MCKINNEY, MYRA   | THE GROWTH FUND OF AMERICA-A | 0.00                 | 1.93                | 0.00               | 1.93              | 10.0 | 0.19                 |
|  | ACCOUNT #: 00081217031         | BUY 0 Units @0.0000          |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-045P - SULTAN, REBECCA  | THE GROWTH FUND OF AMERICA-A | 0.00                 | 4.68                | 0.00               | 4.68              | 10.0 | 0.47                 |
|  | ACCOUNT #: 00081332040         | BUY 0 Units @0.0000          |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-285P - JONES, DAWN      | THE GROWTH FUND OF AMERICA-A | 0.00                 | 6.04                | 0.00               | 6.04              | 10.0 | 0.60                 |
|  | ACCOUNT #: 00081394564         | BUY 0 Units @0.0000          |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-705P - SPAULDING, JOHN  | THE GROWTH FUND OF AMERICA-A | 0.00                 | 2.72                | 0.00               | 2.72              | 10.0 | 0.27                 |
|  | ACCOUNT #: 00081781375         | BUY 0 Units @0.0000          |                      |                     |                    |                   |      |                      |



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|--|---|---|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b>BROKER TRANSACTIONS (continued)</b>                       |   |   |                      |                     |                    |                   |      |                      |
| <b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</b> |   |   |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-037I - DELL, MARIAH<br>ACCOUNT #: 00082213922      | THE GROWTH FUND OF AMERICA-A<br>BUY 0 Units @0.0000 | 0.00                 | 0.63                | 0.00               | 0.63              | 10.0 | 0.06                 |
| 03/01/2018   | ***-**-525P - MATIS, DAMARIS<br>ACCOUNT #: 00082217486    | THE GROWTH FUND OF AMERICA-A<br>BUY 0 Units @0.0000 | 0.00                 | 5.88                | 0.00               | 5.88              | 10.0 | 0.59                 |
| 03/01/2018   | ***-**-335P - MCHUGH, SHAUN<br>ACCOUNT #: 00082347935     | THE GROWTH FUND OF AMERICA-A<br>BUY 0 Units @0.0000 | 0.00                 | 3.11                | 0.00               | 3.11              | 10.0 | 0.31                 |
| 03/01/2018   | ***-**-725P - MCHUGH, DAWN<br>ACCOUNT #: 00082347971      | THE GROWTH FUND OF AMERICA-A<br>BUY 0 Units @0.0000 | 0.00                 | 1.77                | 0.00               | 1.77              | 10.0 | 0.18                 |
| 03/01/2018   | ***-**-045P - SWEENEY, ROBERT<br>ACCOUNT #: 00082400759   | THE GROWTH FUND OF AMERICA-A<br>BUY 0 Units @0.0000 | 0.00                 | 9.61                | 0.00               | 9.61              | 10.0 | 0.96                 |
| 03/01/2018   | ***-**-945P - SWEENEY, DENISE<br>ACCOUNT #: 00082400766   | THE GROWTH FUND OF AMERICA-A<br>BUY 0 Units @0.0000 | 0.00                 | 2.42                | 0.00               | 2.42              | 10.0 | 0.24                 |
| 03/01/2018   | ***-**-401I - NEWELL, JEFFREY<br>ACCOUNT #: 00082402147   | THE GROWTH FUND OF AMERICA-A<br>BUY 0 Units @0.0000 | 0.00                 | 18.29               | 0.00               | 18.29             | 10.0 | 1.83                 |
| 03/01/2018   | ***-**-203I - SPILMAN, BALIA<br>ACCOUNT #: 00082433564    | THE GROWTH FUND OF AMERICA-A<br>BUY 0 Units @0.0000 | 0.00                 | 5.47                | 0.00               | 5.47              | 10.0 | 0.55                 |
| 03/01/2018   | ***-**-685P - TAYLOR, AMANDA<br>ACCOUNT #: 00082469804    | THE GROWTH FUND OF AMERICA-A<br>BUY 0 Units @0.0000 | 0.00                 | 2.38                | 0.00               | 2.38              | 10.0 | 0.24                 |
| 03/01/2018   | ***-**-818I - YOUNG, BRANDI<br>ACCOUNT #: 00082828085     | THE GROWTH FUND OF AMERICA-A<br>BUY 0 Units @0.0000 | 0.00                 | 1.64                | 0.00               | 1.64              | 10.0 | 0.16                 |
| 03/01/2018   | ***-**-09IR - LY, MUOI<br>ACCOUNT #: 00083185117          | THE GROWTH FUND OF AMERICA-A<br>BUY 0 Units @0.0000 | 0.00                 | 19.87               | 0.00               | 19.87             | 10.0 | 1.99                 |
| 03/01/2018   | ***-**-618I - HULLS, JENNIFER<br>ACCOUNT #: 00083732568   | THE GROWTH FUND OF AMERICA-A<br>BUY 0 Units @0.0000 | 0.00                 | 10.16               | 0.00               | 10.16             | 10.0 | 1.02                 |
| 03/01/2018   | ***-**-470I - FLUETTE, RANDY<br>ACCOUNT #: 00083852141    | THE GROWTH FUND OF AMERICA-A<br>BUY 0 Units @0.0000 | 0.00                 | 14.53               | 0.00               | 14.53             | 10.0 | 1.45                 |
| 03/01/2018   | ***-**-85IN - LAMB DIN, MICHAEL<br>ACCOUNT #: 00083876832 | THE GROWTH FUND OF AMERICA-A<br>BUY 0 Units @0.0000 | 0.00                 | 6.69                | 0.00               | 6.69              | 10.0 | 0.67                 |
| 03/01/2018   | ***-**-98SI - LAMSON, MARY<br>ACCOUNT #: 00084483081      | THE GROWTH FUND OF AMERICA-A<br>BUY 0 Units @0.0000 | 0.00                 | 39.71               | 0.00               | 39.71             | 10.0 | 3.97                 |
| 03/01/2018   | ***-**-34IR - HARDY, VICTOR<br>ACCOUNT #: 00084794059     | THE GROWTH FUND OF AMERICA-A<br>BUY 0 Units @0.0000 | 0.00                 | 6.39                | 0.00               | 6.39              | 10.0 | 0.64                 |



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|--|--------------------------------|------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b>BROKER TRANSACTIONS (continued)</b>                       |                                |                              |                      |                     |                    |                   |      |                      |
| <b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</b> |                                |                              |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-15IE - DEHAVEN, ADAM    | THE GROWTH FUND OF AMERICA-A | 0.00                 | 6.43                | 0.00               | 6.43              | 10.0 | 0.64                 |
|  | ACCOUNT #: 00085155624         | BUY 0 Units @0.0000          |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-03IE - DEHAVEN, DEANNA  | THE GROWTH FUND OF AMERICA-A | 0.00                 | 28.99               | 0.00               | 28.99             | 10.0 | 2.90                 |
|  | ACCOUNT #: 00085155649         | BUY 0 Units @0.0000          |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-82IR - TURGISS, MEGHAN  | THE GROWTH FUND OF AMERICA-A | 0.00                 | 1.43                | 0.00               | 1.43              | 10.0 | 0.14                 |
|  | ACCOUNT #: 00085170032         | BUY 0 Units @0.0000          |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-86IN - KIZER, THOMAS    | THE GROWTH FUND OF AMERICA-A | 0.00                 | 3.23                | 0.00               | 3.23              | 10.0 | 0.32                 |
|  | ACCOUNT #: 00085361207         | BUY 0 Units @0.0000          |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-50IN - WILKENFELD,      | THE GROWTH FUND OF AMERICA-A | 0.00                 | 39.48               | 0.00               | 39.48             | 10.0 | 3.95                 |
|  | ACCOUNT #: 00087284237         | BUY 0 Units @0.0000          |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-34II - FIREMAN, NOAH    | THE GROWTH FUND OF AMERICA-A | 0.00                 | 7.41                | 0.00               | 7.41              | 10.0 | 0.74                 |
|  | ACCOUNT #: 00087760602         | BUY 0 Units @0.0000          |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-5428 - FIGUEROA/BENE,   | THE GROWTH FUND OF AMERICA-A | 0.00                 | 12.01               | 0.00               | 12.01             | 10.0 | 1.20                 |
|  | ACCOUNT #: 00087791148         | BUY 0 Units @0.0000          |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-270I - ORMOND, JENNIFER | THE GROWTH FUND OF AMERICA-A | 0.00                 | 3.97                | 0.00               | 3.97              | 10.0 | 0.40                 |
|  | ACCOUNT #: 00088565488         | BUY 0 Units @0.0000          |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-270I - ORMOND, JENNIFER | THE GROWTH FUND OF AMERICA-A | 0.00                 | 3.97                | 0.00               | 3.97              | 10.0 | 0.40                 |
|  | ACCOUNT #: 00088565503         | BUY 0 Units @0.0000          |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-270I - ORMOND, JENNIFER | THE GROWTH FUND OF AMERICA-A | 0.00                 | 3.97                | 0.00               | 3.97              | 10.0 | 0.40                 |
|  | ACCOUNT #: 00088565510         | BUY 0 Units @0.0000          |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-816I - DESANTIS, MARK   | THE GROWTH FUND OF AMERICA-A | 0.00                 | 0.33                | 0.00               | 0.33              | 10.0 | 0.03                 |
|  | ACCOUNT #: 00089986044         | BUY 0 Units @0.0000          |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-298P - FRANKEL, SANDRA  | THE GROWTH FUND OF AMERICA-A | 0.00                 | 0.56                | 0.00               | 0.56              | 10.0 | 0.06                 |
|  | ACCOUNT #: 00312401762         | BUY 0 Units @0.0000          |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-9658 - CARAPELLA, SEAN  | THE GROWTH FUND OF AMERICA-A | 0.00                 | 0.59                | 0.00               | 0.59              | 10.0 | 0.06                 |
|  | ACCOUNT #: 00062835884         | BUY 0 Units @0.0000          |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-3299 - RAMIREZ, JOSE    | THE GROWTH FUND OF AMERICA-A | 0.00                 | 1.35                | 0.00               | 1.35              | 10.0 | 0.14                 |
|  | ACCOUNT #: 00068281046         | BUY 0 Units @0.0000          |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-085P - RAINEY, JAMES    | THE GROWTH FUND OF AMERICA-A | 0.00                 | 2.49                | 0.00               | 2.49              | 10.0 | 0.25                 |
|  | ACCOUNT #: 00065050651         | BUY 0 Units @0.0000          |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-485P - TRIESCHMAN,      | THE GROWTH FUND OF AMERICA-A | 0.00                 | 0.71                | 0.00               | 0.71              | 10.0 | 0.07                 |
|  | ACCOUNT #: 00065098004         | BUY 0 Units @0.0000          |                      |                     |                    |                   |      |                      |



# COMMISSION STATEMENT

March 12, 2018

ALEX GEORGIEV  
400 West Metro Park  
Rochester, NY 14623

BROKER #: AGJ  
BRANCH #01001 - LifeMark Home Office

| DATE   | CLIENT   | INVESTMENT  | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|--|--|---|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b>BROKER TRANSACTIONS (continued)</b>                       |  |   |                      |                     |                    |                   |      |                      |
| <b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</b> |  |   |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-065P - MULHOLLAND,<br>ACCOUNT #: 00065098009      | THE GROWTH FUND OF AMERICA-A<br>BUY 0 Units @0.0000 | 0.00                 | 6.96                | 0.00               | 6.96              | 10.0 | 0.70                 |
| 03/01/2018   | ***-**-825P - KAUFMAN, WENDY<br>ACCOUNT #: 00065109106   | THE GROWTH FUND OF AMERICA-A<br>BUY 0 Units @0.0000 | 0.00                 | 10.75               | 0.00               | 10.75             | 10.0 | 1.08                 |
| 03/01/2018   | ***-**-825P - REED, MICHELE<br>ACCOUNT #: 00066767510    | THE GROWTH FUND OF AMERICA-A<br>BUY 0 Units @0.0000 | 0.00                 | 15.02               | 0.00               | 15.02             | 10.0 | 1.50                 |
| 03/01/2018   | ***-**-295P - KRINER, VICKI<br>ACCOUNT #: 00067206657    | THE GROWTH FUND OF AMERICA-A<br>BUY 0 Units @0.0000 | 0.00                 | 0.13                | 0.00               | 0.13              | 10.0 | 0.01                 |
| 03/01/2018   | ***-**-275P - BALDWIN, JUSTIN<br>ACCOUNT #: 00067340502  | THE GROWTH FUND OF AMERICA-A<br>BUY 0 Units @0.0000 | 0.00                 | 1.11                | 0.00               | 1.11              | 10.0 | 0.11                 |
| 03/01/2018   | ***-**-685P - FREDA, ANTHONY<br>ACCOUNT #: 00068279893   | THE GROWTH FUND OF AMERICA-A<br>BUY 0 Units @0.0000 | 0.00                 | 6.46                | 0.00               | 6.46              | 10.0 | 0.65                 |
| 03/01/2018   | ***-**-601I - FALCK, ROBERT<br>ACCOUNT #: 00068513111    | THE GROWTH FUND OF AMERICA-A<br>BUY 0 Units @0.0000 | 0.00                 | 19.42               | 0.00               | 19.42             | 10.0 | 1.94                 |
| 03/01/2018   | ***-**-29IN - LITMAN, WENDY<br>ACCOUNT #: 00068524068    | THE GROWTH FUND OF AMERICA-A<br>BUY 0 Units @0.0000 | 0.00                 | 5.72                | 0.00               | 5.72              | 10.0 | 0.57                 |
| 03/01/2018   | ***-**-37SI - JOHNSON, JESSICA<br>ACCOUNT #: 00068553317 | THE GROWTH FUND OF AMERICA-A<br>BUY 0 Units @0.0000 | 0.00                 | 1.36                | 0.00               | 1.36              | 10.0 | 0.14                 |
| 03/01/2018   | ***-**-015P - VICKERS, BARBARA<br>ACCOUNT #: 00068567314 | THE GROWTH FUND OF AMERICA-A<br>BUY 0 Units @0.0000 | 0.00                 | 0.35                | 0.00               | 0.35              | 10.0 | 0.04                 |
| 03/01/2018   | ***-**-685P - FREDA, ANTHONY<br>ACCOUNT #: 00068745534   | THE GROWTH FUND OF AMERICA-A<br>BUY 0 Units @0.0000 | 0.00                 | 1.22                | 0.00               | 1.22              | 10.0 | 0.12                 |
| 03/01/2018   | ***-**-925P - FREDA, BEVERLY<br>ACCOUNT #: 00068745536   | THE GROWTH FUND OF AMERICA-A<br>BUY 0 Units @0.0000 | 0.00                 | 1.22                | 0.00               | 1.22              | 10.0 | 0.12                 |
| 03/01/2018   | ***-**-87IN - BREZNICK, BURTON<br>ACCOUNT #: 00068891495 | THE GROWTH FUND OF AMERICA-A<br>BUY 0 Units @0.0000 | 0.00                 | 12.18               | 0.00               | 12.18             | 10.0 | 1.22                 |
| 03/01/2018   | ***-**-405P - STEWART,<br>ACCOUNT #: 00069014456         | THE GROWTH FUND OF AMERICA-A<br>BUY 0 Units @0.0000 | 0.00                 | 9.18                | 0.00               | 9.18              | 10.0 | 0.92                 |
| 03/01/2018   | ***-**-582I - ROZENCWAIG, ERIC<br>ACCOUNT #: 00073025002 | THE GROWTH FUND OF AMERICA-A<br>BUY 0 Units @0.0000 | 0.00                 | 15.61               | 0.00               | 15.61             | 10.0 | 1.56                 |
| 03/01/2018   | ***-**-475P - LURIA, BENNETT<br>ACCOUNT #: 00073101452   | THE GROWTH FUND OF AMERICA-A<br>BUY 0 Units @0.0000 | 0.00                 | 10.14               | 0.00               | 10.14             | 10.0 | 1.01                 |



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| DATE   | CLIENT                         | INVESTMENT                   | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|--|--------------------------------|------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b>BROKER TRANSACTIONS (continued)</b>                       |                                |                              |                      |                     |                    |                   |      |                      |
| <b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</b> |                                |                              |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-245P - KURMAN, MICHELLE | THE GROWTH FUND OF AMERICA-A | 0.00                 | 20.18               | 0.00               | 20.18             | 10.0 | 2.02                 |
|  | ACCOUNT #: 00073571102         | BUY 0 Units @0.0000          |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-295P - AMSEL, PATTI     | THE GROWTH FUND OF AMERICA-A | 0.00                 | 11.12               | 0.00               | 11.12             | 10.0 | 1.11                 |
|  | ACCOUNT #: 00073772424         | BUY 0 Units @0.0000          |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-691I - COLLINS, PAMELA  | THE GROWTH FUND OF AMERICA-A | 0.00                 | 7.13                | 0.00               | 7.13              | 10.0 | 0.71                 |
|  | ACCOUNT #: 00074006244         | BUY 0 Units @0.0000          |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-965P - HORNICK, SCOTT   | THE GROWTH FUND OF AMERICA-A | 0.00                 | 12.97               | 0.00               | 12.97             | 10.0 | 1.30                 |
|  | ACCOUNT #: 00075539423         | BUY 0 Units @0.0000          |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-04IN - MURPHY, PAUL     | THE GROWTH FUND OF AMERICA-A | 0.00                 | 52.93               | 0.00               | 52.93             | 10.0 | 5.29                 |
|  | ACCOUNT #: 00075938729         | BUY 0 Units @0.0000          |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-305P - ALOOR, RAVI      | THE GROWTH FUND OF AMERICA-A | 0.00                 | 17.55               | 0.00               | 17.55             | 10.0 | 1.76                 |
|  | ACCOUNT #: 00081137427         | BUY 0 Units @0.0000          |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-122I - SHILOACH,        | THE GROWTH FUND OF AMERICA-A | 0.00                 | 2.96                | 0.00               | 2.96              | 10.0 | 0.30                 |
|  | ACCOUNT #: 00081137646         | BUY 0 Units @0.0000          |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-985P - SUZUKI, RACHEL   | THE GROWTH FUND OF AMERICA-A | 0.00                 | 1.41                | 0.00               | 1.41              | 10.0 | 0.14                 |
|  | ACCOUNT #: 00081275928         | BUY 0 Units @0.0000          |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-95IN - STARTZEL,        | THE GROWTH FUND OF AMERICA-A | 0.00                 | 16.36               | 0.00               | 16.36             | 10.0 | 1.64                 |
|  | ACCOUNT #: 00081317740         | BUY 0 Units @0.0000          |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-045P - RAMESHKUMAR,     | THE GROWTH FUND OF AMERICA-A | 0.00                 | 20.36               | 0.00               | 20.36             | 10.0 | 2.04                 |
|  | ACCOUNT #: 00081655955         | BUY 0 Units @0.0000          |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-805P - WOLFE, CHERLY    | THE GROWTH FUND OF AMERICA-A | 0.00                 | 0.58                | 0.00               | 0.58              | 10.0 | 0.06                 |
|  | ACCOUNT #: 00082091523         | BUY 0 Units @0.0000          |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-005P - MUPPIDI, ASHISH  | THE GROWTH FUND OF AMERICA-A | 0.00                 | 5.75                | 0.00               | 5.75              | 10.0 | 0.58                 |
|  | ACCOUNT #: 00082114497         | BUY 0 Units @0.0000          |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-675P - MUPPIDI, LATHA   | THE GROWTH FUND OF AMERICA-A | 0.00                 | 5.75                | 0.00               | 5.75              | 10.0 | 0.58                 |
|  | ACCOUNT #: 00082114520         | BUY 0 Units @0.0000          |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-185P - KONIZESKI, DELIA | THE GROWTH FUND OF AMERICA-A | 0.00                 | 5.54                | 0.00               | 5.54              | 10.0 | 0.55                 |
|  | ACCOUNT #: 00082792992         | BUY 0 Units @0.0000          |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-064J - HALL, AMY        | THE GROWTH FUND OF AMERICA-A | 0.00                 | 64.03               | 0.00               | 64.03             | 10.0 | 6.40                 |
|  | ACCOUNT #: 00083146232         | BUY 0 Units @0.0000          |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-3602 - RAINES, THOMAS   | THE GROWTH FUND OF AMERICA-A | 0.00                 | 8.46                | 0.00               | 8.46              | 10.0 | 0.85                 |
|  | ACCOUNT #: 00083471955         | BUY 0 Units @0.0000          |                      |                     |                    |                   |      |                      |





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|--|---|--|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b>BROKER TRANSACTIONS (continued)</b>                       |   |  |                      |                     |                    |                   |      |                      |
| <b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</b> |   |  |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-747I - ROY, JESSICA<br>ACCOUNT #: 00083742202    | THE GROWTH FUND OF AMERICA-A<br>BUY 0 Units @0.0000    | 0.00                 | 3.63                | 0.00               | 3.63              | 10.0 | 0.36                 |
| 03/01/2018   | ***-**-112I - KOONTZ, LEROY<br>ACCOUNT #: 00084075301   | THE GROWTH FUND OF AMERICA-A<br>BUY 0 Units @0.0000    | 0.00                 | 6.47                | 0.00               | 6.47              | 10.0 | 0.65                 |
| 03/01/2018   | ***-**-805P - DUDAS, DEAN<br>ACCOUNT #: 07366655519     | THE GROWTH FUND OF AMERICA-A<br>BUY 0 Units @0.0000    | 0.00                 | 11.48               | 0.00               | 11.48             | 10.0 | 1.15                 |
| 03/01/2018   | ***-**-18IR - OLNEY, DAVID<br>ACCOUNT #: 00084410693    | THE GROWTH FUND OF AMERICA-A<br>BUY 0 Units @0.0000    | 0.00                 | 0.64                | 0.00               | 0.64              | 10.0 | 0.06                 |
| 03/01/2018   | ***-**-6350 - SAMSON, ANDREA<br>ACCOUNT #: 00066878246  | THE GROWTH FUND OF AMERICA-A<br>BUY 0 Units @0.0000    | 0.00                 | 8.95                | 0.00               | 8.95              | 10.0 | 0.90                 |
| 03/01/2018   | ***-**-635P - SCOTT, JAMES<br>ACCOUNT #: 00068920074    | THE GROWTH FUND OF AMERICA-C<br>BUY 0 Units @0.0000    | 0.00                 | 32.78               | 0.00               | 32.78             | 10.0 | 3.28                 |
| 03/01/2018   | ***-**-46IN - MCAVOY, GRETA<br>ACCOUNT #: 00069285104   | THE GROWTH FUND OF AMERICA-C<br>BUY 0 Units @0.0000    | 0.00                 | 18.33               | 0.00               | 18.33             | 10.0 | 1.83                 |
| 03/01/2018   | ***-**-95SI -<br>ACCOUNT #: 00084372328                 | THE GROWTH FUND OF AMERICA-C<br>BUY 0 Units @0.0000    | 0.00                 | 48.93               | 0.00               | 48.93             | 10.0 | 4.89                 |
| 03/01/2018   | ***-**-3422 - GLICKMAN, NEIL<br>ACCOUNT #: 00068663396  | THE INCOME FUND OF AMERICA-529A<br>BUY 0 Units @0.0000 | 0.00                 | 8.95                | 0.00               | 8.95              | 10.0 | 0.90                 |
| 03/01/2018   | ***-**-733I - ANDERSEN,<br>ACCOUNT #: 00085128729       | THE INCOME FUND OF AMERICA-529A<br>BUY 0 Units @0.0000 | 0.00                 | 2.00                | 0.00               | 2.00              | 10.0 | 0.20                 |
| 03/01/2018   | ***-**-525P - GARDNER, DANIEL<br>ACCOUNT #: 00084433353 | THE INCOME FUND OF AMERICA-529A<br>BUY 0 Units @0.0000 | 0.00                 | 8.19                | 0.00               | 8.19              | 10.0 | 0.82                 |
| 03/01/2018   | ***-**-825P - MARKS, JACOB<br>ACCOUNT #: 00085088195    | THE INCOME FUND OF AMERICA-529A<br>BUY 0 Units @0.0000 | 0.00                 | 5.05                | 0.00               | 5.05              | 10.0 | 0.51                 |
| 03/01/2018   | ***-**-825P - MARKS, JACOB<br>ACCOUNT #: 00085088223    | THE INCOME FUND OF AMERICA-529A<br>BUY 0 Units @0.0000 | 0.00                 | 5.05                | 0.00               | 5.05              | 10.0 | 0.51                 |
| 03/01/2018   | ***-**-825P - MARKS, JACOB<br>ACCOUNT #: 00085088240    | THE INCOME FUND OF AMERICA-529A<br>BUY 0 Units @0.0000 | 0.00                 | 5.05                | 0.00               | 5.05              | 10.0 | 0.51                 |
| 03/01/2018   | ***-**-2802 - MAASS, TY<br>ACCOUNT #: 00085284547       | THE INCOME FUND OF AMERICA-529A<br>BUY 0 Units @0.0000 | 0.00                 | 0.13                | 0.00               | 0.13              | 10.0 | 0.01                 |
| 03/01/2018   | ***-**-2802 - MAASS, TY<br>ACCOUNT #: 00086550207       | THE INCOME FUND OF AMERICA-529A<br>BUY 0 Units @0.0000 | 0.00                 | 2.66                | 0.00               | 2.66              | 10.0 | 0.27                 |



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|--|--------------------------------|---------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b>BROKER TRANSACTIONS (continued)</b>                       |                                |                                 |                      |                     |                    |                   |      |                      |
| <b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</b> |                                |                                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-266I - GLICKMAN, PAMELA | THE INCOME FUND OF AMERICA-529A | 0.00                 | 4.71                | 0.00               | 4.71              | 10.0 | 0.47                 |
|  | ACCOUNT #: 04000763706         | BUY 0 Units @0.0000             |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-210I - DOYLE, CAROL     | THE INCOME FUND OF AMERICA-A    | 0.00                 | 8.07                | 0.00               | 8.07              | 10.0 | 0.81                 |
|  | ACCOUNT #: 00056733204         | BUY 0 Units @0.0000             |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-11TR - WOOD, STEVE &    | THE INCOME FUND OF AMERICA-A    | 0.00                 | 0.09                | 0.00               | 0.09              | 10.0 | 0.01                 |
|  | ACCOUNT #: 00058075557         | BUY 0 Units @0.0000             |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-10TR - WOOD, STEVE &    | THE INCOME FUND OF AMERICA-A    | 0.00                 | 0.22                | 0.00               | 0.22              | 10.0 | 0.02                 |
|  | ACCOUNT #: 00058075558         | BUY 0 Units @0.0000             |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-245P - KELBER, JEFFRY   | THE INCOME FUND OF AMERICA-A    | 0.00                 | 76.87               | 0.00               | 76.87             | 10.0 | 7.69                 |
|  | ACCOUNT #: 00059587254         | BUY 0 Units @0.0000             |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-584I - KULISICH, JOHN   | THE INCOME FUND OF AMERICA-A    | 0.00                 | 38.51               | 0.00               | 38.51             | 10.0 | 3.85                 |
|  | ACCOUNT #: 00060114682         | BUY 0 Units @0.0000             |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-49TR - PERKINS, TARAH   | THE INCOME FUND OF AMERICA-A    | 0.00                 | 2.68                | 0.00               | 2.68              | 10.0 | 0.27                 |
|  | ACCOUNT #: 00060755242         | BUY 0 Units @0.0000             |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-02IN - PINARD, RAYMOND  | THE INCOME FUND OF AMERICA-A    | 0.00                 | 12.19               | 0.00               | 12.19             | 10.0 | 1.22                 |
|  | ACCOUNT #: 00062368172         | BUY 0 Units @0.0000             |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-695P - RAMEY/CALA,      | THE INCOME FUND OF AMERICA-A    | 0.00                 | 2.59                | 0.00               | 2.59              | 10.0 | 0.26                 |
|  | ACCOUNT #: 00064622625         | BUY 0 Units @0.0000             |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-78IN - HOLLAND, MARY    | THE INCOME FUND OF AMERICA-A    | 0.00                 | 8.71                | 0.00               | 8.71              | 10.0 | 0.87                 |
|  | ACCOUNT #: 00067668797         | BUY 0 Units @0.0000             |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-951I - BATES, CATHERINE | THE INCOME FUND OF AMERICA-A    | 0.00                 | 25.43               | 0.00               | 25.43             | 10.0 | 2.54                 |
|  | ACCOUNT #: 00073359487         | BUY 0 Units @0.0000             |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-475P - WOOD, JOAN       | THE INCOME FUND OF AMERICA-A    | 0.00                 | 22.76               | 0.00               | 22.76             | 10.0 | 2.28                 |
|  | ACCOUNT #: 00074828090         | BUY 0 Units @0.0000             |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-51IN - WOOD, ANDREW     | THE INCOME FUND OF AMERICA-A    | 0.00                 | 0.41                | 0.00               | 0.41              | 10.0 | 0.04                 |
|  | ACCOUNT #: 00075044495         | BUY 0 Units @0.0000             |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-707I - FRANKS, MARIA    | THE INCOME FUND OF AMERICA-A    | 0.00                 | 34.51               | 0.00               | 34.51             | 10.0 | 3.45                 |
|  | ACCOUNT #: 00083776078         | BUY 0 Units @0.0000             |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-470I - FLUETTE, RANDY   | THE INCOME FUND OF AMERICA-A    | 0.00                 | 20.00               | 0.00               | 20.00             | 10.0 | 2.00                 |
|  | ACCOUNT #: 00083852141         | BUY 0 Units @0.0000             |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-63IR - POAGE, BENNY     | THE INCOME FUND OF AMERICA-A    | 0.00                 | 4.08                | 0.00               | 4.08              | 10.0 | 0.41                 |
|  | ACCOUNT #: 00085156983         | BUY 0 Units @0.0000             |                      |                     |                    |                   |      |                      |



# COMMISSION STATEMENT

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ALEX GEORGIEV  
400 West Metro Park  
Rochester, NY 14623

BROKER #: AGJ  
BRANCH #01001 - LifeMark Home Office

| DATE   | CLIENT                        | INVESTMENT                   | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|--|-------------------------------|------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b>BROKER TRANSACTIONS (continued)</b>                       |                               |                              |                      |                     |                    |                   |      |                      |
| <b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</b> |                               |                              |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-995P - RODIBAUGH, KYLE | THE INCOME FUND OF AMERICA-A | 0.00                 | 2.29                | 0.00               | 2.29              | 10.0 | 0.23                 |
|  | ACCOUNT #: 00086581876        | BUY 0 Units @0.0000          |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-721I - DALICK, MARILYN | THE INCOME FUND OF AMERICA-A | 0.00                 | 13.94               | 0.00               | 13.94             | 10.0 | 1.39                 |
|  | ACCOUNT #: 00086991782        | BUY 0 Units @0.0000          |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-11IR - SCHAFTEL, AMY   | THE INCOME FUND OF AMERICA-A | 0.00                 | 2.86                | 0.00               | 2.86              | 10.0 | 0.29                 |
|  | ACCOUNT #: 00063600878        | BUY 0 Units @0.0000          |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-485P - TRIESCHMAN,     | THE INCOME FUND OF AMERICA-A | 0.00                 | 0.97                | 0.00               | 0.97              | 10.0 | 0.10                 |
|  | ACCOUNT #: 00065098004        | BUY 0 Units @0.0000          |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-065P - MULHOLLAND,     | THE INCOME FUND OF AMERICA-A | 0.00                 | 0.69                | 0.00               | 0.69              | 10.0 | 0.07                 |
|  | ACCOUNT #: 00065098009        | BUY 0 Units @0.0000          |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-275P - BALDWIN, JUSTIN | THE INCOME FUND OF AMERICA-A | 0.00                 | 0.27                | 0.00               | 0.27              | 10.0 | 0.03                 |
|  | ACCOUNT #: 00067340502        | BUY 0 Units @0.0000          |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-975P - SENSIBAUGH,     | THE INCOME FUND OF AMERICA-A | 0.00                 | 0.63                | 0.00               | 0.63              | 10.0 | 0.06                 |
|  | ACCOUNT #: 00067437234        | BUY 0 Units @0.0000          |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-905P - SCALLY, KAREN   | THE INCOME FUND OF AMERICA-A | 0.00                 | 0.13                | 0.00               | 0.13              | 10.0 | 0.01                 |
|  | ACCOUNT #: 00067437236        | BUY 0 Units @0.0000          |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-601I - FALCK, ROBERT   | THE INCOME FUND OF AMERICA-A | 0.00                 | 15.82               | 0.00               | 15.82             | 10.0 | 1.58                 |
|  | ACCOUNT #: 00068513111        | BUY 0 Units @0.0000          |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-29IN - LITMAN, WENDY   | THE INCOME FUND OF AMERICA-A | 0.00                 | 5.06                | 0.00               | 5.06              | 10.0 | 0.51                 |
|  | ACCOUNT #: 00068524068        | BUY 0 Units @0.0000          |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-135P - TRAIN, TIMOTHY  | THE INCOME FUND OF AMERICA-A | 0.00                 | 16.53               | 0.00               | 16.53             | 10.0 | 1.65                 |
|  | ACCOUNT #: 00068656658        | BUY 0 Units @0.0000          |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-685P - FREDA, ANTHONY  | THE INCOME FUND OF AMERICA-A | 0.00                 | 6.90                | 0.00               | 6.90              | 10.0 | 0.69                 |
|  | ACCOUNT #: 00068745532        | BUY 0 Units @0.0000          |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-665P - MUSICK, ARNOLD  | THE INCOME FUND OF AMERICA-A | 0.00                 | 24.35               | 0.00               | 24.35             | 10.0 | 2.44                 |
|  | ACCOUNT #: 00068841796        | BUY 0 Units @0.0000          |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-475P - LURIA, BENNETT  | THE INCOME FUND OF AMERICA-A | 0.00                 | 7.87                | 0.00               | 7.87              | 10.0 | 0.79                 |
|  | ACCOUNT #: 00073101452        | BUY 0 Units @0.0000          |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-705P - LIYANAGE,       | THE INCOME FUND OF AMERICA-A | 0.00                 | 9.54                | 0.00               | 9.54              | 10.0 | 0.95                 |
|  | ACCOUNT #: 00073654569        | BUY 0 Units @0.0000          |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-025P - PADRO, PILAR    | THE INCOME FUND OF AMERICA-A | 0.00                 | 9.30                | 0.00               | 9.30              | 10.0 | 0.93                 |
|  | ACCOUNT #: 00073903493        | BUY 0 Units @0.0000          |                      |                     |                    |                   |      |                      |



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|--|--|---|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b>BROKER TRANSACTIONS (continued)</b>                       |  |   |                      |                     |                    |                   |      |                      |
| <b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</b> |  |   |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-691I - COLLINS, PAMELA<br>ACCOUNT #: 00074006244  | THE INCOME FUND OF AMERICA-A<br>BUY 0 Units @0.0000 | 0.00                 | 5.57                | 0.00               | 5.57              | 10.0 | 0.56                 |
| 03/01/2018   | ***-**-91IR - COLLINS, PAMELA<br>ACCOUNT #: 00074006280  | THE INCOME FUND OF AMERICA-A<br>BUY 0 Units @0.0000 | 0.00                 | 19.10               | 0.00               | 19.10             | 10.0 | 1.91                 |
| 03/01/2018   | ***-**-655P - ANDREWS-MURRAY,<br>ACCOUNT #: 00074396716  | THE INCOME FUND OF AMERICA-A<br>BUY 0 Units @0.0000 | 0.00                 | 10.69               | 0.00               | 10.69             | 10.0 | 1.07                 |
| 03/01/2018   | ***-**-802J - MAASS, CARLY<br>ACCOUNT #: 00074618503     | THE INCOME FUND OF AMERICA-A<br>BUY 0 Units @0.0000 | 0.00                 | 29.32               | 0.00               | 29.32             | 10.0 | 2.93                 |
| 03/01/2018   | ***-**-17SI - CARSON, JEAN<br>ACCOUNT #: 00075399997     | THE INCOME FUND OF AMERICA-A<br>BUY 0 Units @0.0000 | 0.00                 | 2.21                | 0.00               | 2.21              | 10.0 | 0.22                 |
| 03/01/2018   | ***-**-305P - ALOOR, RAVI<br>ACCOUNT #: 00081137427      | THE INCOME FUND OF AMERICA-A<br>BUY 0 Units @0.0000 | 0.00                 | 28.11               | 0.00               | 28.11             | 10.0 | 2.81                 |
| 03/01/2018   | ***-**-95IN - STARTZEL,<br>ACCOUNT #: 00081317740        | THE INCOME FUND OF AMERICA-A<br>BUY 0 Units @0.0000 | 0.00                 | 25.81               | 0.00               | 25.81             | 10.0 | 2.58                 |
| 03/01/2018   | ***-**-045P - RAMESHKUMAR,<br>ACCOUNT #: 00081655955     | THE INCOME FUND OF AMERICA-A<br>BUY 0 Units @0.0000 | 0.00                 | 15.64               | 0.00               | 15.64             | 10.0 | 1.56                 |
| 03/01/2018   | ***-**-08IN - SHAAB, KERRY<br>ACCOUNT #: 00082254619     | THE INCOME FUND OF AMERICA-A<br>BUY 0 Units @0.0000 | 0.00                 | 6.11                | 0.00               | 6.11              | 10.0 | 0.61                 |
| 03/01/2018   | ***-**-82IN - TEN, JT<br>ACCOUNT #: 00082421077          | THE INCOME FUND OF AMERICA-A<br>BUY 0 Units @0.0000 | 0.00                 | 27.45               | 0.00               | 27.45             | 10.0 | 2.75                 |
| 03/01/2018   | ***-**-745P - ZAVALA, ROXANA<br>ACCOUNT #: 00082480869   | THE INCOME FUND OF AMERICA-A<br>BUY 0 Units @0.0000 | 0.00                 | 0.06                | 0.00               | 0.06              | 10.0 | 0.01                 |
| 03/01/2018   | ***-**-064J - HALL, AMY<br>ACCOUNT #: 00083146232        | THE INCOME FUND OF AMERICA-A<br>BUY 0 Units @0.0000 | 0.00                 | 56.14               | 0.00               | 56.14             | 10.0 | 5.61                 |
| 03/01/2018   | ***-**-391J - FRIEDMAN, KEITH<br>ACCOUNT #: 00083404691  | THE INCOME FUND OF AMERICA-A<br>BUY 0 Units @0.0000 | 0.00                 | 43.13               | 0.00               | 43.13             | 10.0 | 4.31                 |
| 03/01/2018   | ***-**-112I - KOONTZ, LEROY<br>ACCOUNT #: 00084075301    | THE INCOME FUND OF AMERICA-A<br>BUY 0 Units @0.0000 | 0.00                 | 10.35               | 0.00               | 10.35             | 10.0 | 1.04                 |
| 03/01/2018   | ***-**-36IN - PETERSEN, BRENDA<br>ACCOUNT #: 00084738624 | THE INCOME FUND OF AMERICA-A<br>BUY 0 Units @0.0000 | 0.00                 | 75.20               | 0.00               | 75.20             | 10.0 | 7.52                 |
| 03/01/2018   | ***-**-415P - TARANTINO, SCOTT<br>ACCOUNT #: 00087447990 | THE INCOME FUND OF AMERICA-A<br>BUY 0 Units @0.0000 | 0.00                 | 21.05               | 0.00               | 21.05             | 10.0 | 2.11                 |



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|--|--|--|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b>BROKER TRANSACTIONS (continued)</b>                       |  |  |                      |                     |                    |                   |      |                      |
| <b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</b> |  |  |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-655P - SINNO, RIMA<br>ACCOUNT #: 00068297390    | THE INCOME FUND OF AMERICA-F1<br>BUY 0 Units @0.0000       | 0.00                 | 32.65               | 0.00               | 32.65             | 10.0 | 3.27                 |
| 03/01/2018   | ***-**-165P - BIRGE, AUSTIN<br>ACCOUNT #: 00074542492  | THE INVESTMENT COMPANY OF AMERICA-5<br>BUY 0 Units @0.0000 | 0.00                 | 0.98                | 0.00               | 0.98              | 10.0 | 0.10                 |
| 03/01/2018   | ***-**-165P - BIRGE, AUSTIN<br>ACCOUNT #: 00074542492  | THE INVESTMENT COMPANY OF AMERICA-5<br>BUY 0 Units @0.0000 | 0.00                 | 0.47                | 0.00               | 0.47              | 10.0 | 0.05                 |
| 03/01/2018   | ***-**-3422 - GLICKMAN, NEIL<br>ACCOUNT #: 00068663396 | THE INVESTMENT COMPANY OF AMERICA-5<br>BUY 0 Units @0.0000 | 0.00                 | 10.43               | 0.00               | 10.43             | 10.0 | 1.04                 |
| 03/01/2018   | ***-**-2228 - MILLER, ANDREW<br>ACCOUNT #: 00068813028 | THE INVESTMENT COMPANY OF AMERICA-5<br>BUY 0 Units @0.0000 | 0.00                 | 1.03                | 0.00               | 1.03              | 10.0 | 0.10                 |
| 03/01/2018   | ***-**-2228 - MILLER, ANDREW<br>ACCOUNT #: 00073198392 | THE INVESTMENT COMPANY OF AMERICA-5<br>BUY 0 Units @0.0000 | 0.00                 | 0.32                | 0.00               | 0.32              | 10.0 | 0.03                 |
| 03/01/2018   | ***-**-215P - LUNA, SELENA<br>ACCOUNT #: 00074060730   | THE INVESTMENT COMPANY OF AMERICA-5<br>BUY 0 Units @0.0000 | 0.00                 | 0.86                | 0.00               | 0.86              | 10.0 | 0.09                 |
| 03/01/2018   | ***-**-325P - COLLINS, GENNY<br>ACCOUNT #: 00082376045 | THE INVESTMENT COMPANY OF AMERICA-5<br>BUY 0 Units @0.0000 | 0.00                 | 7.36                | 0.00               | 7.36              | 10.0 | 0.74                 |
| 03/01/2018   | ***-**-325P - COLLINS, GENNY<br>ACCOUNT #: 00082376306 | THE INVESTMENT COMPANY OF AMERICA-5<br>BUY 0 Units @0.0000 | 0.00                 | 7.36                | 0.00               | 7.36              | 10.0 | 0.74                 |
| 03/01/2018   | ***-**-685P - SNYDER, EVA<br>ACCOUNT #: 00068671556    | THE INVESTMENT COMPANY OF AMERICA-5<br>BUY 0 Units @0.0000 | 0.00                 | 0.12                | 0.00               | 0.12              | 10.0 | 0.01                 |
| 03/01/2018   | ***-**-425P - RADINSKY,<br>ACCOUNT #: 00068975128      | THE INVESTMENT COMPANY OF AMERICA-5<br>BUY 0 Units @0.0000 | 0.00                 | 21.60               | 0.00               | 21.60             | 10.0 | 2.16                 |
| 03/01/2018   | ***-**-425P - RADINSKY,<br>ACCOUNT #: 00068975131      | THE INVESTMENT COMPANY OF AMERICA-5<br>BUY 0 Units @0.0000 | 0.00                 | 23.34               | 0.00               | 23.34             | 10.0 | 2.33                 |
| 03/01/2018   | ***-**-425P - RADINSKY,<br>ACCOUNT #: 00068975132      | THE INVESTMENT COMPANY OF AMERICA-5<br>BUY 0 Units @0.0000 | 0.00                 | 11.65               | 0.00               | 11.65             | 10.0 | 1.17                 |
| 03/01/2018   | ***-**-475P - LURIA, BENNETT<br>ACCOUNT #: 00073095222 | THE INVESTMENT COMPANY OF AMERICA-5<br>BUY 0 Units @0.0000 | 0.00                 | 12.43               | 0.00               | 12.43             | 10.0 | 1.24                 |
| 03/01/2018   | ***-**-575P - JOHNSON,<br>ACCOUNT #: 00073872115       | THE INVESTMENT COMPANY OF AMERICA-5<br>BUY 0 Units @0.0000 | 0.00                 | 3.88                | 0.00               | 3.88              | 10.0 | 0.39                 |
| 03/01/2018   | ***-**-825P - MARKS, JACOB<br>ACCOUNT #: 00085088195   | THE INVESTMENT COMPANY OF AMERICA-5<br>BUY 0 Units @0.0000 | 0.00                 | 6.15                | 0.00               | 6.15              | 10.0 | 0.62                 |



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|--|--------------------------------|-------------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b>BROKER TRANSACTIONS (continued)</b>                       |                                |                                     |                      |                     |                    |                   |      |                      |
| <b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</b> |                                |                                     |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-825P - MARKS, JACOB     | THE INVESTMENT COMPANY OF AMERICA-5 | 0.00                 | 6.15                | 0.00               | 6.15              | 10.0 | 0.62                 |
|  | ACCOUNT #: 00085088223         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-825P - MARKS, JACOB     | THE INVESTMENT COMPANY OF AMERICA-5 | 0.00                 | 6.15                | 0.00               | 6.15              | 10.0 | 0.62                 |
|  | ACCOUNT #: 00085088240         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-266I - GLICKMAN, PAMELA | THE INVESTMENT COMPANY OF AMERICA-5 | 0.00                 | 5.58                | 0.00               | 5.58              | 10.0 | 0.56                 |
|  | ACCOUNT #: 04000763706         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-17IN - OPPER, ARLENE    | THE INVESTMENT COMPANY OF AMERICA-A | 0.00                 | 36.66               | 0.00               | 36.66             | 10.0 | 3.67                 |
|  | ACCOUNT #: 00057350830         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-286I - KAPP, RODERICK   | THE INVESTMENT COMPANY OF AMERICA-A | 0.00                 | 3.72                | 0.00               | 3.72              | 10.0 | 0.37                 |
|  | ACCOUNT #: 00059874815         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-559I - PARSONS, TERRIE  | THE INVESTMENT COMPANY OF AMERICA-A | 0.00                 | 2.73                | 0.00               | 2.73              | 10.0 | 0.27                 |
|  | ACCOUNT #: 00060653359         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-229I - NOWAKOWSKI,      | THE INVESTMENT COMPANY OF AMERICA-A | 0.00                 | 17.01               | 0.00               | 17.01             | 10.0 | 1.70                 |
|  | ACCOUNT #: 00061749920         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-795P - MYERS, JOHN      | THE INVESTMENT COMPANY OF AMERICA-A | 0.00                 | 27.69               | 0.00               | 27.69             | 10.0 | 2.77                 |
|  | ACCOUNT #: 00061900969         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-503I - COPE, KENNETH    | THE INVESTMENT COMPANY OF AMERICA-A | 0.00                 | 0.41                | 0.00               | 0.41              | 10.0 | 0.04                 |
|  | ACCOUNT #: 00062104566         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-135P - THONGSAVATH,     | THE INVESTMENT COMPANY OF AMERICA-A | 0.00                 | 24.43               | 0.00               | 24.43             | 10.0 | 2.44                 |
|  | ACCOUNT #: 00062480894         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-078I - LEWYN, GLORIA    | THE INVESTMENT COMPANY OF AMERICA-A | 0.00                 | 101.87              | 0.00               | 101.87            | 10.0 | 10.19                |
|  | ACCOUNT #: 00062512615         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-311I - DIERKES, ANGELA  | THE INVESTMENT COMPANY OF AMERICA-A | 0.00                 | 15.86               | 0.00               | 15.86             | 10.0 | 1.59                 |
|  | ACCOUNT #: 00062517818         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-74UT - BUANGSUWON,      | THE INVESTMENT COMPANY OF AMERICA-A | 0.00                 | 346.67              | 0.00               | 346.67            | 10.0 | 34.67                |
|  | ACCOUNT #: 00062685948         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-43RI - HARRER, WILLIAM  | THE INVESTMENT COMPANY OF AMERICA-A | 0.00                 | 84.46               | 0.00               | 84.46             | 10.0 | 8.45                 |
|  | ACCOUNT #: 00062710107         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-73IN - SICA, RONALD     | THE INVESTMENT COMPANY OF AMERICA-A | 0.00                 | 17.86               | 0.00               | 17.86             | 10.0 | 1.79                 |
|  | ACCOUNT #: 00062831287         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-38IN - SAALE, KEVIN     | THE INVESTMENT COMPANY OF AMERICA-A | 0.00                 | 36.52               | 0.00               | 36.52             | 10.0 | 3.65                 |
|  | ACCOUNT #: 00063022709         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |



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|--|--------------------------------|-------------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b>BROKER TRANSACTIONS (continued)</b>                       |                                |                                     |                      |                     |                    |                   |      |                      |
| <b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</b> |                                |                                     |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-67UG - GRIMMETT, RYAN   | THE INVESTMENT COMPANY OF AMERICA-A | 0.00                 | 0.17                | 0.00               | 0.17              | 10.0 | 0.02                 |
|  | ACCOUNT #: 00063055247         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-715P - HILLIER, LISA    | THE INVESTMENT COMPANY OF AMERICA-A | 0.00                 | 0.30                | 0.00               | 0.30              | 10.0 | 0.03                 |
|  | ACCOUNT #: 00063171693         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-295P - HILLIER, LISA    | THE INVESTMENT COMPANY OF AMERICA-A | 0.00                 | 0.30                | 0.00               | 0.30              | 10.0 | 0.03                 |
|  | ACCOUNT #: 00063171694         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-785P - SERRATO, RAUL    | THE INVESTMENT COMPANY OF AMERICA-A | 0.00                 | 1.79                | 0.00               | 1.79              | 10.0 | 0.18                 |
|  | ACCOUNT #: 00063224331         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-645P - HARDIN, SHERRELL | THE INVESTMENT COMPANY OF AMERICA-A | 0.00                 | 56.89               | 0.00               | 56.89             | 10.0 | 5.69                 |
|  | ACCOUNT #: 00063239496         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-50UG - GRIMMETT, REGAN  | THE INVESTMENT COMPANY OF AMERICA-A | 0.00                 | 0.20                | 0.00               | 0.20              | 10.0 | 0.02                 |
|  | ACCOUNT #: 00063574298         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-415P - ELINE, ARRON     | THE INVESTMENT COMPANY OF AMERICA-A | 0.00                 | 2.14                | 0.00               | 2.14              | 10.0 | 0.21                 |
|  | ACCOUNT #: 00064013646         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-155P - NAHAMOU,         | THE INVESTMENT COMPANY OF AMERICA-A | 0.00                 | 20.82               | 0.00               | 20.82             | 10.0 | 2.08                 |
|  | ACCOUNT #: 00064023902         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-515P - MCGUIRE, MELISSA | THE INVESTMENT COMPANY OF AMERICA-A | 0.00                 | 1.29                | 0.00               | 1.29              | 10.0 | 0.13                 |
|  | ACCOUNT #: 00064101087         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-19IR - GALINSKY, YELENA | THE INVESTMENT COMPANY OF AMERICA-A | 0.00                 | 0.97                | 0.00               | 0.97              | 10.0 | 0.10                 |
|  | ACCOUNT #: 00064103353         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-15IN - NAHAMOU,         | THE INVESTMENT COMPANY OF AMERICA-A | 0.00                 | 5.68                | 0.00               | 5.68              | 10.0 | 0.57                 |
|  | ACCOUNT #: 00064112290         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-296I - BAKER, REBECCA   | THE INVESTMENT COMPANY OF AMERICA-A | 0.00                 | 1.21                | 0.00               | 1.21              | 10.0 | 0.12                 |
|  | ACCOUNT #: 00064128524         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-689I - DAUSTER, DANIEL  | THE INVESTMENT COMPANY OF AMERICA-A | 0.00                 | 6.57                | 0.00               | 6.57              | 10.0 | 0.66                 |
|  | ACCOUNT #: 00064162390         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-04IR -                  | THE INVESTMENT COMPANY OF AMERICA-A | 0.00                 | 1.01                | 0.00               | 1.01              | 10.0 | 0.10                 |
|  | ACCOUNT #: 00064326662         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-371I - SMITH, LEOLA     | THE INVESTMENT COMPANY OF AMERICA-A | 0.00                 | 1.39                | 0.00               | 1.39              | 10.0 | 0.14                 |
|  | ACCOUNT #: 00064360066         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-056I - HARRIS, DAN      | THE INVESTMENT COMPANY OF AMERICA-A | 0.00                 | 0.35                | 0.00               | 0.35              | 10.0 | 0.04                 |
|  | ACCOUNT #: 00064426320         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |



# COMMISSION STATEMENT

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ALEX GEORGIEV  
400 West Metro Park  
Rochester, NY 14623

BROKER #: AGJ  
BRANCH #01001 - LifeMark Home Office

| DATE   | CLIENT   | INVESTMENT   | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|--|--|--|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b>BROKER TRANSACTIONS (continued)</b>                       |  |  |                      |                     |                    |                   |      |                      |
| <b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</b> |  |  |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-532I - BRISENO, RUBEN<br>ACCOUNT #: 00064426327   | THE INVESTMENT COMPANY OF AMERICA-A<br>BUY 0 Units @0.0000 | 0.00                 | 20.24               | 0.00               | 20.24             | 10.0 | 2.02                 |
| 03/01/2018   | ***-**-888I - AUGER, GARRETT<br>ACCOUNT #: 00064426329   | THE INVESTMENT COMPANY OF AMERICA-A<br>BUY 0 Units @0.0000 | 0.00                 | 0.15                | 0.00               | 0.15              | 10.0 | 0.02                 |
| 03/01/2018   | ***-**-30UG - VERVAECKE,<br>ACCOUNT #: 00064484252       | THE INVESTMENT COMPANY OF AMERICA-A<br>BUY 0 Units @0.0000 | 0.00                 | 9.22                | 0.00               | 9.22              | 10.0 | 0.92                 |
| 03/01/2018   | ***-**-24UG - VERVAECKE,<br>ACCOUNT #: 00064484254       | THE INVESTMENT COMPANY OF AMERICA-A<br>BUY 0 Units @0.0000 | 0.00                 | 7.05                | 0.00               | 7.05              | 10.0 | 0.71                 |
| 03/01/2018   | ***-**-03IR - DIBAGNO, DANIEL<br>ACCOUNT #: 00064708638  | THE INVESTMENT COMPANY OF AMERICA-A<br>BUY 0 Units @0.0000 | 0.00                 | 3.98                | 0.00               | 3.98              | 10.0 | 0.40                 |
| 03/01/2018   | ***-**-675P - CALDWELL,<br>ACCOUNT #: 00064952287        | THE INVESTMENT COMPANY OF AMERICA-A<br>BUY 0 Units @0.0000 | 0.00                 | 1.14                | 0.00               | 1.14              | 10.0 | 0.11                 |
| 03/01/2018   | ***-**-94SI - LYNN, MARK<br>ACCOUNT #: 00064989877       | THE INVESTMENT COMPANY OF AMERICA-A<br>BUY 0 Units @0.0000 | 0.00                 | 3.74                | 0.00               | 3.74              | 10.0 | 0.37                 |
| 03/01/2018   | ***-**-665P - JONES, DAVID<br>ACCOUNT #: 00065063555     | THE INVESTMENT COMPANY OF AMERICA-A<br>BUY 0 Units @0.0000 | 0.00                 | 5.38                | 0.00               | 5.38              | 10.0 | 0.54                 |
| 03/01/2018   | ***-**-63IR - CIHLAR, LILLIAN<br>ACCOUNT #: 00065180037  | THE INVESTMENT COMPANY OF AMERICA-A<br>BUY 0 Units @0.0000 | 0.00                 | 11.59               | 0.00               | 11.59             | 10.0 | 1.16                 |
| 03/01/2018   | ***-**-135P - LEW, STEVEN<br>ACCOUNT #: 00066702705      | THE INVESTMENT COMPANY OF AMERICA-A<br>BUY 0 Units @0.0000 | 0.00                 | 7.38                | 0.00               | 7.38              | 10.0 | 0.74                 |
| 03/01/2018   | ***-**-515P - MEYER, MICHAEL<br>ACCOUNT #: 00066722060   | THE INVESTMENT COMPANY OF AMERICA-A<br>BUY 0 Units @0.0000 | 0.00                 | 48.45               | 0.00               | 48.45             | 10.0 | 4.85                 |
| 03/01/2018   | ***-**-80UT - BUANGSUWON, ALEX<br>ACCOUNT #: 00066932706 | THE INVESTMENT COMPANY OF AMERICA-A<br>BUY 0 Units @0.0000 | 0.00                 | 189.84              | 0.00               | 189.84            | 10.0 | 18.98                |
| 03/01/2018   | ***-**-204I - LOY, STEVEN<br>ACCOUNT #: 00067215893      | THE INVESTMENT COMPANY OF AMERICA-A<br>BUY 0 Units @0.0000 | 0.00                 | 3.99                | 0.00               | 3.99              | 10.0 | 0.40                 |
| 03/01/2018   | ***-**-777I - HATHAWAY, LAUREN<br>ACCOUNT #: 00067509756 | THE INVESTMENT COMPANY OF AMERICA-A<br>BUY 0 Units @0.0000 | 0.00                 | 0.30                | 0.00               | 0.30              | 10.0 | 0.03                 |
| 03/01/2018   | ***-**-01IN - ADAMS, BILLY<br>ACCOUNT #: 00067699318     | THE INVESTMENT COMPANY OF AMERICA-A<br>BUY 0 Units @0.0000 | 0.00                 | 15.46               | 0.00               | 15.46             | 10.0 | 1.55                 |
| 03/01/2018   | ***-**-84IR - GREEN, HENRY<br>ACCOUNT #: 00067900078     | THE INVESTMENT COMPANY OF AMERICA-A<br>BUY 0 Units @0.0000 | 0.00                 | 15.35               | 0.00               | 15.35             | 10.0 | 1.54                 |





# COMMISSION STATEMENT

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ALEX GEORGIEV  
400 West Metro Park  
Rochester, NY 14623

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BRANCH #01001 - LifeMark Home Office

| DATE   | CLIENT                         | INVESTMENT                          | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|--|--------------------------------|-------------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b>BROKER TRANSACTIONS (continued)</b>                       |                                |                                     |                      |                     |                    |                   |      |                      |
| <b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</b> |                                |                                     |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-515P - TASSOUL, MICHAEL | THE INVESTMENT COMPANY OF AMERICA-A | 0.00                 | 5.88                | 0.00               | 5.88              | 10.0 | 0.59                 |
|  | ACCOUNT #: 00068195206         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-015P - NEWELL, JEFFREY  | THE INVESTMENT COMPANY OF AMERICA-A | 0.00                 | 8.60                | 0.00               | 8.60              | 10.0 | 0.86                 |
|  | ACCOUNT #: 00068860548         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-9291 - ILG-SCHMIDT,     | THE INVESTMENT COMPANY OF AMERICA-A | 0.00                 | 4.22                | 0.00               | 4.22              | 10.0 | 0.42                 |
|  | ACCOUNT #: 00068860620         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-185P - SHERPY, RONALD   | THE INVESTMENT COMPANY OF AMERICA-A | 0.00                 | 17.95               | 0.00               | 17.95             | 10.0 | 1.80                 |
|  | ACCOUNT #: 00069112525         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-715P - STAMPER, TAMARA  | THE INVESTMENT COMPANY OF AMERICA-A | 0.00                 | 0.46                | 0.00               | 0.46              | 10.0 | 0.05                 |
|  | ACCOUNT #: 00074344296         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-675P - STAMPER, SCOTT   | THE INVESTMENT COMPANY OF AMERICA-A | 0.00                 | 1.21                | 0.00               | 1.21              | 10.0 | 0.12                 |
|  | ACCOUNT #: 00074344325         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-875P - COMER, JAMES     | THE INVESTMENT COMPANY OF AMERICA-A | 0.00                 | 4.89                | 0.00               | 4.89              | 10.0 | 0.49                 |
|  | ACCOUNT #: 00074873113         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-025P - PRUITT, MITCHELL | THE INVESTMENT COMPANY OF AMERICA-A | 0.00                 | 1.31                | 0.00               | 1.31              | 10.0 | 0.13                 |
|  | ACCOUNT #: 00075056497         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-97TR - GOERS, SHARON    | THE INVESTMENT COMPANY OF AMERICA-A | 0.00                 | 8.44                | 0.00               | 8.44              | 10.0 | 0.84                 |
|  | ACCOUNT #: 00075198612         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-805P - MOSLEY, DAVID    | THE INVESTMENT COMPANY OF AMERICA-A | 0.00                 | 2.95                | 0.00               | 2.95              | 10.0 | 0.30                 |
|  | ACCOUNT #: 00075230456         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-727I - POSSEE, DIANE    | THE INVESTMENT COMPANY OF AMERICA-A | 0.00                 | 3.68                | 0.00               | 3.68              | 10.0 | 0.37                 |
|  | ACCOUNT #: 00075475535         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-610I - LUNTE, DOUGLAS   | THE INVESTMENT COMPANY OF AMERICA-A | 0.00                 | 7.21                | 0.00               | 7.21              | 10.0 | 0.72                 |
|  | ACCOUNT #: 00075957434         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-685P - TAYLOR, AMANDA   | THE INVESTMENT COMPANY OF AMERICA-A | 0.00                 | 0.95                | 0.00               | 0.95              | 10.0 | 0.10                 |
|  | ACCOUNT #: 00082469804         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-818I - YOUNG, BRANDI    | THE INVESTMENT COMPANY OF AMERICA-A | 0.00                 | 2.16                | 0.00               | 2.16              | 10.0 | 0.22                 |
|  | ACCOUNT #: 00082828085         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-751I - SPRINGER,        | THE INVESTMENT COMPANY OF AMERICA-A | 0.00                 | 0.91                | 0.00               | 0.91              | 10.0 | 0.09                 |
|  | ACCOUNT #: 00083955094         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-298P - FRANKEL, SANDRA  | THE INVESTMENT COMPANY OF AMERICA-A | 0.00                 | 1.04                | 0.00               | 1.04              | 10.0 | 0.10                 |
|  | ACCOUNT #: 00312401762         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |



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BRANCH #01001 - LifeMark Home Office

| DATE   | CLIENT                         | INVESTMENT                          | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|--|--------------------------------|-------------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b>BROKER TRANSACTIONS (continued)</b>                       |                                |                                     |                      |                     |                    |                   |      |                      |
| <b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</b> |                                |                                     |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-755P - ALLEN, STEPHANIE | THE INVESTMENT COMPANY OF AMERICA-A | 0.00                 | 8.08                | 0.00               | 8.08              | 10.0 | 0.81                 |
|  | ACCOUNT #: 00933968197         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-8294 - ANDERSON, JODY   | THE INVESTMENT COMPANY OF AMERICA-A | 0.00                 | 14.89               | 0.00               | 14.89             | 10.0 | 1.49                 |
|  | ACCOUNT #: 00062435954         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-825P - KAUFMAN, WENDY   | THE INVESTMENT COMPANY OF AMERICA-A | 0.00                 | 5.28                | 0.00               | 5.28              | 10.0 | 0.53                 |
|  | ACCOUNT #: 00065109106         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-22IR - RUDO, BRIAN      | THE INVESTMENT COMPANY OF AMERICA-A | 0.00                 | 27.96               | 0.00               | 27.96             | 10.0 | 2.80                 |
|  | ACCOUNT #: 00065173876         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-825P - REED, MICHELE    | THE INVESTMENT COMPANY OF AMERICA-A | 0.00                 | 12.40               | 0.00               | 12.40             | 10.0 | 1.24                 |
|  | ACCOUNT #: 00066767510         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-985P - DAIUTO, MICHAEL  | THE INVESTMENT COMPANY OF AMERICA-A | 0.00                 | 48.88               | 0.00               | 48.88             | 10.0 | 4.89                 |
|  | ACCOUNT #: 00067117965         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-155P - RICHARDSON,      | THE INVESTMENT COMPANY OF AMERICA-A | 0.00                 | 13.03               | 0.00               | 13.03             | 10.0 | 1.30                 |
|  | ACCOUNT #: 00067493924         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-775P - GARRISON, LISA   | THE INVESTMENT COMPANY OF AMERICA-A | 0.00                 | 1.89                | 0.00               | 1.89              | 10.0 | 0.19                 |
|  | ACCOUNT #: 00067557608         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-245P - KURMAN, MICHELLE | THE INVESTMENT COMPANY OF AMERICA-A | 0.00                 | 6.18                | 0.00               | 6.18              | 10.0 | 0.62                 |
|  | ACCOUNT #: 00067625015         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-195P - CRUM, SCOTT      | THE INVESTMENT COMPANY OF AMERICA-A | 0.00                 | 11.35               | 0.00               | 11.35             | 10.0 | 1.14                 |
|  | ACCOUNT #: 00067668651         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-365P - SHARKEY, PEGGY   | THE INVESTMENT COMPANY OF AMERICA-A | 0.00                 | 9.70                | 0.00               | 9.70              | 10.0 | 0.97                 |
|  | ACCOUNT #: 00068060484         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-025P - TILLERY, MIRIAM  | THE INVESTMENT COMPANY OF AMERICA-A | 0.00                 | 25.51               | 0.00               | 25.51             | 10.0 | 2.55                 |
|  | ACCOUNT #: 00068439025         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-385P - LITMAN, WENDY    | THE INVESTMENT COMPANY OF AMERICA-A | 0.00                 | 11.00               | 0.00               | 11.00             | 10.0 | 1.10                 |
|  | ACCOUNT #: 00069039210         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-915P - ELIAS, CAROLINA  | THE INVESTMENT COMPANY OF AMERICA-A | 0.00                 | 20.40               | 0.00               | 20.40             | 10.0 | 2.04                 |
|  | ACCOUNT #: 00069223122         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-335P - MCCANN, COLIN    | THE INVESTMENT COMPANY OF AMERICA-A | 0.00                 | 4.46                | 0.00               | 4.46              | 10.0 | 0.45                 |
|  | ACCOUNT #: 00073450296         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-885P - BOWERS, SARA     | THE INVESTMENT COMPANY OF AMERICA-A | 0.00                 | 4.42                | 0.00               | 4.42              | 10.0 | 0.44                 |
|  | ACCOUNT #: 00073555810         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |



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| DATE   | CLIENT                         | INVESTMENT                          | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|--|--------------------------------|-------------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b>BROKER TRANSACTIONS (continued)</b>                       |                                |                                     |                      |                     |                    |                   |      |                      |
| <b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</b> |                                |                                     |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-60RI - DUGGAN, TERESA   | THE INVESTMENT COMPANY OF AMERICA-A | 0.00                 | 17.40               | 0.00               | 17.40             | 10.0 | 1.74                 |
|  | ACCOUNT #: 00073561351         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-495P - WALLACE, RACHAEL | THE INVESTMENT COMPANY OF AMERICA-A | 0.00                 | 30.42               | 0.00               | 30.42             | 10.0 | 3.04                 |
|  | ACCOUNT #: 00073772445         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-055P - MCADOO, ERICA    | THE INVESTMENT COMPANY OF AMERICA-A | 0.00                 | 16.67               | 0.00               | 16.67             | 10.0 | 1.67                 |
|  | ACCOUNT #: 00073903597         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-405P - FELMEY, KATHY    | THE INVESTMENT COMPANY OF AMERICA-A | 0.00                 | 12.06               | 0.00               | 12.06             | 10.0 | 1.21                 |
|  | ACCOUNT #: 00074808907         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-345P - TYLER, CYNTHIA   | THE INVESTMENT COMPANY OF AMERICA-A | 0.00                 | 1.07                | 0.00               | 1.07              | 10.0 | 0.11                 |
|  | ACCOUNT #: 00081501360         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-805P - WOLFE, CHERLY    | THE INVESTMENT COMPANY OF AMERICA-A | 0.00                 | 0.38                | 0.00               | 0.38              | 10.0 | 0.04                 |
|  | ACCOUNT #: 00082091523         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-050I - DAILEY, JESSICA  | THE INVESTMENT COMPANY OF AMERICA-A | 0.00                 | 0.27                | 0.00               | 0.27              | 10.0 | 0.03                 |
|  | ACCOUNT #: 00082663575         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-13IN - LABUE, CHRISTINE | THE INVESTMENT COMPANY OF AMERICA-A | 0.00                 | 0.77                | 0.00               | 0.77              | 10.0 | 0.08                 |
|  | ACCOUNT #: 00933551034         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-192I - JOHNSON, BELINDA | THE INVESTMENT COMPANY OF AMERICA-F | 0.00                 | 1.66                | 0.00               | 1.66              | 10.0 | 0.17                 |
|  | ACCOUNT #: 00067696522         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-795P - WILLIAMS,        | THE INVESTMENT COMPANY OF AMERICA-F | 0.00                 | 1.97                | 0.00               | 1.97              | 10.0 | 0.20                 |
|  | ACCOUNT #: 00073900845         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-345P -                  | THE INVESTMENT COMPANY OF AMERICA-F | 0.00                 | 64.80               | 0.00               | 64.80             | 10.0 | 6.48                 |
|  | ACCOUNT #: 00067128072         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-375P - SINNO, FADY      | THE INVESTMENT COMPANY OF AMERICA-F | 0.00                 | 17.04               | 0.00               | 17.04             | 10.0 | 1.70                 |
|  | ACCOUNT #: 00069308202         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-015P - SEVERE, DAVID    | THE NEW ECONOMY FUND-529A           | 0.00                 | 0.09                | 0.00               | 0.09              | 10.0 | 0.01                 |
|  | ACCOUNT #: 00075266090         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-015P - SEVERE, DAVID    | THE NEW ECONOMY FUND-529A           | 0.00                 | 5.22                | 0.00               | 5.22              | 10.0 | 0.52                 |
|  | ACCOUNT #: 00086510141         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-005P - SIRCY, PATRICK   | THE NEW ECONOMY FUND-529A           | 0.00                 | 16.39               | 0.00               | 16.39             | 10.0 | 1.64                 |
|  | ACCOUNT #: 00081938666         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-295P - HOGAN, ANN       | THE NEW ECONOMY FUND-A              | 0.00                 | 41.39               | 0.00               | 41.39             | 10.0 | 4.14                 |
|  | ACCOUNT #: 00074253253         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |



# COMMISSION STATEMENT

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BROKER #: AGJ  
BRANCH #01001 - LifeMark Home Office

| DATE   | CLIENT                         | INVESTMENT             | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|--|--------------------------------|------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b>BROKER TRANSACTIONS (continued)</b>                       |                                |                        |                      |                     |                    |                   |      |                      |
| <b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</b> |                                |                        |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-559I - PARSONS, TERRIE  | THE NEW ECONOMY FUND-A | 0.00                 | 19.04               | 0.00               | 19.04             | 10.0 | 1.90                 |
|  | ACCOUNT #: 00060653359         | BUY 0 Units @0.0000    |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-806I - PATEL, VINODBHAI | THE NEW ECONOMY FUND-A | 0.00                 | 10.59               | 0.00               | 10.59             | 10.0 | 1.06                 |
|  | ACCOUNT #: 00060688726         | BUY 0 Units @0.0000    |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-559I - BERROL, WILLIAM  | THE NEW ECONOMY FUND-A | 0.00                 | 56.39               | 0.00               | 56.39             | 10.0 | 5.64                 |
|  | ACCOUNT #: 00060972445         | BUY 0 Units @0.0000    |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-395P - NISSON/SEP,      | THE NEW ECONOMY FUND-A | 0.00                 | 3.39                | 0.00               | 3.39              | 10.0 | 0.34                 |
|  | ACCOUNT #: 00061194368         | BUY 0 Units @0.0000    |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-70IN - PESCHE, SUSAN    | THE NEW ECONOMY FUND-A | 0.00                 | 20.76               | 0.00               | 20.76             | 10.0 | 2.08                 |
|  | ACCOUNT #: 00061196180         | BUY 0 Units @0.0000    |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-875P - SICA, BRENDA     | THE NEW ECONOMY FUND-A | 0.00                 | 46.34               | 0.00               | 46.34             | 10.0 | 4.63                 |
|  | ACCOUNT #: 00063674032         | BUY 0 Units @0.0000    |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-689J - DAUSTER, DANIEL  | THE NEW ECONOMY FUND-A | 0.00                 | 0.84                | 0.00               | 0.84              | 10.0 | 0.08                 |
|  | ACCOUNT #: 00064162391         | BUY 0 Units @0.0000    |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-03IR - DIBAGNO, DANIEL  | THE NEW ECONOMY FUND-A | 0.00                 | 3.31                | 0.00               | 3.31              | 10.0 | 0.33                 |
|  | ACCOUNT #: 00064708638         | BUY 0 Units @0.0000    |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-94SI - LYNN, MARK       | THE NEW ECONOMY FUND-A | 0.00                 | 5.08                | 0.00               | 5.08              | 10.0 | 0.51                 |
|  | ACCOUNT #: 00064989877         | BUY 0 Units @0.0000    |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-135P - LEW, STEVEN      | THE NEW ECONOMY FUND-A | 0.00                 | 4.35                | 0.00               | 4.35              | 10.0 | 0.44                 |
|  | ACCOUNT #: 00066702705         | BUY 0 Units @0.0000    |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-515P - MEYER, MICHAEL   | THE NEW ECONOMY FUND-A | 0.00                 | 15.21               | 0.00               | 15.21             | 10.0 | 1.52                 |
|  | ACCOUNT #: 00066722060         | BUY 0 Units @0.0000    |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-433I - GLEESON, KIM     | THE NEW ECONOMY FUND-A | 0.00                 | 0.10                | 0.00               | 0.10              | 10.0 | 0.01                 |
|  | ACCOUNT #: 00083630955         | BUY 0 Units @0.0000    |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-298P - FRANKEL, SANDRA  | THE NEW ECONOMY FUND-A | 0.00                 | 0.38                | 0.00               | 0.38              | 10.0 | 0.04                 |
|  | ACCOUNT #: 00312401762         | BUY 0 Units @0.0000    |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-9658 - CARAPELLA, SEAN  | THE NEW ECONOMY FUND-A | 0.00                 | 0.46                | 0.00               | 0.46              | 10.0 | 0.05                 |
|  | ACCOUNT #: 00062835884         | BUY 0 Units @0.0000    |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-3299 - RAMIREZ, JOSE    | THE NEW ECONOMY FUND-A | 0.00                 | 12.96               | 0.00               | 12.96             | 10.0 | 1.30                 |
|  | ACCOUNT #: 00068281046         | BUY 0 Units @0.0000    |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-085P - RAINEY, JAMES    | THE NEW ECONOMY FUND-A | 0.00                 | 8.68                | 0.00               | 8.68              | 10.0 | 0.87                 |
|  | ACCOUNT #: 00065050651         | BUY 0 Units @0.0000    |                      |                     |                    |                   |      |                      |



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|--|--|--|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b>BROKER TRANSACTIONS (continued)</b>                       |  |  |                      |                     |                    |                   |      |                      |
| <b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</b> |  |  |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-485P - TRIESCHMAN,<br>ACCOUNT #: 00065098004      | THE NEW ECONOMY FUND-A<br>BUY 0 Units @0.0000              | 0.00                 | 0.42                | 0.00               | 0.42              | 10.0 | 0.04                 |
| 03/01/2018   | ***-**-065P - MULHOLLAND,<br>ACCOUNT #: 00065098009      | THE NEW ECONOMY FUND-A<br>BUY 0 Units @0.0000              | 0.00                 | 7.72                | 0.00               | 7.72              | 10.0 | 0.77                 |
| 03/01/2018   | ***-**-295P - KRINER, VICKI<br>ACCOUNT #: 00067206657    | THE NEW ECONOMY FUND-A<br>BUY 0 Units @0.0000              | 0.00                 | 0.49                | 0.00               | 0.49              | 10.0 | 0.05                 |
| 03/01/2018   | ***-**-275P - BALDWIN, JUSTIN<br>ACCOUNT #: 00067340502  | THE NEW ECONOMY FUND-A<br>BUY 0 Units @0.0000              | 0.00                 | 0.41                | 0.00               | 0.41              | 10.0 | 0.04                 |
| 03/01/2018   | ***-**-405P - STEWART,<br>ACCOUNT #: 00069014456         | THE NEW ECONOMY FUND-A<br>BUY 0 Units @0.0000              | 0.00                 | 5.18                | 0.00               | 5.18              | 10.0 | 0.52                 |
| 03/01/2018   | ***-**-691I - COLLINS, PAMELA<br>ACCOUNT #: 00074006244  | THE NEW ECONOMY FUND-A<br>BUY 0 Units @0.0000              | 0.00                 | 5.95                | 0.00               | 5.95              | 10.0 | 0.60                 |
| 03/01/2018   | ***-**-72IN - THUMULURU,<br>ACCOUNT #: 00074749751       | THE NEW ECONOMY FUND-A<br>BUY 0 Units @0.0000              | 0.00                 | 12.68               | 0.00               | 12.68             | 10.0 | 1.27                 |
| 03/01/2018   | ***-**-95IN - STARTZEL,<br>ACCOUNT #: 00081317740        | THE NEW ECONOMY FUND-A<br>BUY 0 Units @0.0000              | 0.00                 | 14.16               | 0.00               | 14.16             | 10.0 | 1.42                 |
| 03/01/2018   | ***-**-31TR - SAWYER, EARLIN<br>ACCOUNT #: 00066852799   | THE TAX-EXEMPT FUND OF CALIFORNIA-A<br>BUY 0 Units @0.0000 | 0.00                 | 0.37                | 0.00               | 0.37              | 10.0 | 0.04                 |
| 03/01/2018   | ***-**-31TR - SAWYER, EARLIN<br>ACCOUNT #: 00066852801   | THE TAX-EXEMPT FUND OF CALIFORNIA-A<br>BUY 0 Units @0.0000 | 0.00                 | 0.51                | 0.00               | 0.51              | 10.0 | 0.05                 |
| 03/07/2018   | ***-**-5292 - REDDING, JEFFERY<br>ACCOUNT #: 00065194722 | TREASURY FUND - DAILY MONEY CLASS<br>BUY 0 Units @0.0000   | 0.00                 | 10.69               | 0.00               | 10.69             | 10.0 | 1.07                 |
| 03/07/2018   | ***-**-4741 - STEINER, GARY<br>ACCOUNT #: 00531302438    | TREASURY FUND - DAILY MONEY CLASS<br>BUY 0 Units @0.0000   | 0.00                 | 1.08                | 0.00               | 1.08              | 10.0 | 0.11                 |
| 03/01/2018   | ***-**-609I - FONCANNON,<br>ACCOUNT #: 00063811154       | U.S. GOVERNMENT SECURITIES FUND CLA<br>BUY 0 Units @0.0000 | 0.00                 | 0.06                | 0.00               | 0.06              | 10.0 | 0.01                 |
| 03/01/2018   | ***-**-515P - AMOAKO, DOUGLAS<br>ACCOUNT #: 00064756380  | U.S. GOVERNMENT SECURITIES FUND CLA<br>BUY 0 Units @0.0000 | 0.00                 | 3.03                | 0.00               | 3.03              | 10.0 | 0.30                 |
| 03/01/2018   | ***-**-529I - HINKEBEIN, AGNES<br>ACCOUNT #: 00084150337 | U.S. GOVERNMENT SECURITIES FUND CLA<br>BUY 0 Units @0.0000 | 0.00                 | 0.32                | 0.00               | 0.32              | 10.0 | 0.03                 |
| 03/01/2018   | ***-**-994B - EARLES, PHYLLIS<br>ACCOUNT #: 02001074291  | U.S. GOVERNMENT SECURITIES FUND CLA<br>BUY 0 Units @0.0000 | 0.00                 | 1.18                | 0.00               | 1.18              | 10.0 | 0.12                 |



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|--|-------------------------------|---------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b>BROKER TRANSACTIONS (continued)</b>                       |                               |                     |                      |                     |                    |                   |      |                      |
| <b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</b> |                               |                     |                      |                     |                    |                   |      |                      |
| 03/12/2018   | ***-**-316I - MCCUNE, MICHAEL | VAN KAMPEN1         | 0.00                 | 1.43                | 0.00               | 1.43              | 10.0 | 0.14                 |
|  | ACCOUNT #: LSR009995          | BUY 1 Units @0.0000 |                      |                     |                    |                   |      |                      |
| 03/12/2018   | ***-**-89TR - FAM TR DTD      | VIRTUS MF TRAILS    | 0.00                 | 17.86               | 0.00               | 17.86             | 10.0 | 1.79                 |
|  |                               | BUY 0 Units @0.0000 |                      |                     |                    |                   |      |                      |
| 03/12/2018   | ***-**-0711 - MICHAEL, GEORGE | VIRTUS MF TRAILS    | 0.00                 | 40.10               | 0.00               | 40.10             | 10.0 | 4.01                 |
|  |                               | BUY 0 Units @0.0000 |                      |                     |                    |                   |      |                      |
| 03/12/2018   | ***-**-629I - O'TOOLE, JOHN   | VIRTUS MF TRAILS    | 0.00                 | 31.91               | 0.00               | 31.91             | 10.0 | 3.19                 |
|  |                               | BUY 0 Units @0.0000 |                      |                     |                    |                   |      |                      |
| 03/12/2018   | ***-**-4223 - SOBIERAJ, AGNES | VIRTUS MF TRAILS    | 0.00                 | 18.45               | 0.00               | 18.45             | 10.0 | 1.85                 |
|  |                               | BUY 0 Units @0.0000 |                      |                     |                    |                   |      |                      |
| 03/12/2018   | ***-**-5751 - TAUB-FERN, FERN | VIRTUS MF TRAILS    | 0.00                 | 31.53               | 0.00               | 31.53             | 10.0 | 3.15                 |
|  |                               | BUY 0 Units @0.0000 |                      |                     |                    |                   |      |                      |
| 03/12/2018   | ***-**-4991 - RUNO, EDWARD    | VIRTUS MF TRAILS    | 0.00                 | 18.24               | 0.00               | 18.24             | 10.0 | 1.82                 |
|  |                               | BUY 0 Units @0.0000 |                      |                     |                    |                   |      |                      |
| 03/12/2018   | ***-**-377I - DONNELLY, MARY  | VIRTUS MF TRAILS    | 0.00                 | 11.30               | 0.00               | 11.30             | 10.0 | 1.13                 |
|  |                               | BUY 0 Units @0.0000 |                      |                     |                    |                   |      |                      |
| 03/12/2018   | ***-**-4166 - QUEENAN, THOMAS | VIRTUS MF TRAILS    | 0.00                 | 19.07               | 0.00               | 19.07             | 10.0 | 1.91                 |
|  |                               | BUY 0 Units @0.0000 |                      |                     |                    |                   |      |                      |
| 03/12/2018   | ***-**-4166 - QUEENAN, THOMAS | VIRTUS MF TRAILS    | 0.00                 | 33.26               | 0.00               | 33.26             | 10.0 | 3.33                 |
|  |                               | BUY 0 Units @0.0000 |                      |                     |                    |                   |      |                      |
| 03/12/2018   | ***-**-03CL - GEORGIEV,       | VIRTUS MF TRAILS    | 0.00                 | 124.25              | 0.00               | 124.25            | 10.0 | 12.43                |
|  |                               | BUY 0 Units @0.0000 |                      |                     |                    |                   |      |                      |
| 03/12/2018   | ***-**-82UG - HOLLABAUGH,     | VIRTUS MF TRAILS    | 0.00                 | 0.99                | 0.00               | 0.99              | 10.0 | 0.10                 |
|  |                               | BUY 0 Units @0.0000 |                      |                     |                    |                   |      |                      |
| 03/12/2018   | ***-**-59UG - NEVILLE, JACOB  | VIRTUS MF TRAILS    | 0.00                 | 0.47                | 0.00               | 0.47              | 10.0 | 0.05                 |
|  |                               | BUY 0 Units @0.0000 |                      |                     |                    |                   |      |                      |
| 03/12/2018   | ***-**-545P - WEAVER, CYNTHIA | VIRTUS MF TRAILS    | 0.00                 | 0.03                | 0.00               | 0.03              | 10.0 | 0.00                 |
|  |                               | BUY 0 Units @0.0000 |                      |                     |                    |                   |      |                      |
| 03/12/2018   | ***-**-7972 - DEGIROLAMO,     | VIRTUS MF TRAILS    | 0.00                 | 9.35                | 0.00               | 9.35              | 10.0 | 0.94                 |
|  |                               | BUY 0 Units @0.0000 |                      |                     |                    |                   |      |                      |
| 03/12/2018   | ***-**-5610 - DEGIROLAMO,     | VIRTUS MF TRAILS    | 0.00                 | 8.96                | 0.00               | 8.96              | 10.0 | 0.90                 |
|  |                               | BUY 0 Units @0.0000 |                      |                     |                    |                   |      |                      |



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|--|--|--|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b>BROKER TRANSACTIONS (continued)</b>                       |  |  |                      |                     |                    |                   |      |                      |
| <b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</b> |  |  |                      |                     |                    |                   |      |                      |
| 03/12/2018   | ***-**-600I - TROIA, NINO                                | VIRTUS MF TRAILS<br>BUY 0 Units @0.0000                    | 0.00                 | 1.46                | 0.00               | 1.46              | 10.0 | 0.15                 |
| 03/01/2018   | ***-**-375P - VER DUIN,<br>ACCOUNT #: 00067684331        | WASHINGTON MUTUAL INVESTORS FUND-52<br>BUY 0 Units @0.0000 | 0.00                 | 0.79                | 0.00               | 0.79              | 10.0 | 0.08                 |
| 03/01/2018   | ***-**-815P - SIMPSON, JARED<br>ACCOUNT #: 00073284461   | WASHINGTON MUTUAL INVESTORS FUND-52<br>BUY 0 Units @0.0000 | 0.00                 | 0.36                | 0.00               | 0.36              | 10.0 | 0.04                 |
| 03/01/2018   | ***-**-215P - LUNA, SELENA<br>ACCOUNT #: 00074060730     | WASHINGTON MUTUAL INVESTORS FUND-52<br>BUY 0 Units @0.0000 | 0.00                 | 0.68                | 0.00               | 0.68              | 10.0 | 0.07                 |
| 03/01/2018   | ***-**-685P - VEAL, MICHAEL<br>ACCOUNT #: 00081923626    | WASHINGTON MUTUAL INVESTORS FUND-52<br>BUY 0 Units @0.0000 | 0.00                 | 4.38                | 0.00               | 4.38              | 10.0 | 0.44                 |
| 03/01/2018   | ***-**-0619 - SHORB, STANLEY<br>ACCOUNT #: 00083330700   | WASHINGTON MUTUAL INVESTORS FUND-52<br>BUY 0 Units @0.0000 | 0.00                 | 5.05                | 0.00               | 5.05              | 10.0 | 0.51                 |
| 03/01/2018   | ***-**-0619 - SHORB, STANLEY<br>ACCOUNT #: 00087534220   | WASHINGTON MUTUAL INVESTORS FUND-52<br>BUY 0 Units @0.0000 | 0.00                 | 6.47                | 0.00               | 6.47              | 10.0 | 0.65                 |
| 03/01/2018   | ***-**-0619 - SHORB, STANLEY<br>ACCOUNT #: 00087534228   | WASHINGTON MUTUAL INVESTORS FUND-52<br>BUY 0 Units @0.0000 | 0.00                 | 3.78                | 0.00               | 3.78              | 10.0 | 0.38                 |
| 03/01/2018   | ***-**-495P - WALLACE, RACHAEL<br>ACCOUNT #: 00067969420 | WASHINGTON MUTUAL INVESTORS FUND-52<br>BUY 0 Units @0.0000 | 0.00                 | 3.87                | 0.00               | 3.87              | 10.0 | 0.39                 |
| 03/01/2018   | ***-**-88RI - GRASSMUCK,<br>ACCOUNT #: 00057245423       | WASHINGTON MUTUAL INVESTORS FUND-A<br>BUY 0 Units @0.0000  | 0.00                 | 28.40               | 0.00               | 28.40             | 10.0 | 2.84                 |
| 03/01/2018   | ***-**-71IN - KOLLHOFF,<br>ACCOUNT #: 00058635609        | WASHINGTON MUTUAL INVESTORS FUND-A<br>BUY 0 Units @0.0000  | 0.00                 | 47.95               | 0.00               | 47.95             | 10.0 | 4.80                 |
| 03/01/2018   | ***-**-7638 - J THOMAS MC HUGH<br>ACCOUNT #: 00058807294 | WASHINGTON MUTUAL INVESTORS FUND-A<br>BUY 0 Units @0.0000  | 0.00                 | 0.09                | 0.00               | 0.09              | 10.0 | 0.01                 |
| 03/01/2018   | ***-**-559I - PARSONS, TERRIE<br>ACCOUNT #: 00060653359  | WASHINGTON MUTUAL INVESTORS FUND-A<br>BUY 0 Units @0.0000  | 0.00                 | 4.38                | 0.00               | 4.38              | 10.0 | 0.44                 |
| 03/01/2018   | ***-**-395P - NISSON/SEP,<br>ACCOUNT #: 00061194368      | WASHINGTON MUTUAL INVESTORS FUND-A<br>BUY 0 Units @0.0000  | 0.00                 | 3.92                | 0.00               | 3.92              | 10.0 | 0.39                 |
| 03/01/2018   | ***-**-70IN - PESCHE, SUSAN<br>ACCOUNT #: 00061196180    | WASHINGTON MUTUAL INVESTORS FUND-A<br>BUY 0 Units @0.0000  | 0.00                 | 30.07               | 0.00               | 30.07             | 10.0 | 3.01                 |
| 03/01/2018   | ***-**-039B - DONOHUE, MICHAEL<br>ACCOUNT #: 00061198087 | WASHINGTON MUTUAL INVESTORS FUND-A<br>BUY 0 Units @0.0000  | 0.00                 | 1.45                | 0.00               | 1.45              | 10.0 | 0.15                 |



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|--|--|---|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b>BROKER TRANSACTIONS (continued)</b>                       |  |   |                      |                     |                    |                   |      |                      |
| <b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</b> |  |   |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-71IN - GLEASON, JAMES<br>ACCOUNT #: 00061293006   | WASHINGTON MUTUAL INVESTORS FUND-A<br>BUY 0 Units @0.0000 | 0.00                 | 4.76                | 0.00               | 4.76              | 10.0 | 0.48                 |
| 03/01/2018   | ***-**-481I - ARNOLD, JAMES<br>ACCOUNT #: 00061445765    | WASHINGTON MUTUAL INVESTORS FUND-A<br>BUY 0 Units @0.0000 | 0.00                 | 2.81                | 0.00               | 2.81              | 10.0 | 0.28                 |
| 03/01/2018   | ***-**-12UT - BASTEN, ASHLEY<br>ACCOUNT #: 00061604201   | WASHINGTON MUTUAL INVESTORS FUND-A<br>BUY 0 Units @0.0000 | 0.00                 | 3.93                | 0.00               | 3.93              | 10.0 | 0.39                 |
| 03/01/2018   | ***-**-099I - KREJCA, KIM<br>ACCOUNT #: 00061695961      | WASHINGTON MUTUAL INVESTORS FUND-A<br>BUY 0 Units @0.0000 | 0.00                 | 23.99               | 0.00               | 23.99             | 10.0 | 2.40                 |
| 03/01/2018   | ***-**-229I - NOWAKOWSKI,<br>ACCOUNT #: 00061749920      | WASHINGTON MUTUAL INVESTORS FUND-A<br>BUY 0 Units @0.0000 | 0.00                 | 20.62               | 0.00               | 20.62             | 10.0 | 2.06                 |
| 03/01/2018   | ***-**-795P - MYERS, JOHN<br>ACCOUNT #: 00061900969      | WASHINGTON MUTUAL INVESTORS FUND-A<br>BUY 0 Units @0.0000 | 0.00                 | 34.96               | 0.00               | 34.96             | 10.0 | 3.50                 |
| 03/01/2018   | ***-**-102I - HUFF, MARK<br>ACCOUNT #: 00061915937       | WASHINGTON MUTUAL INVESTORS FUND-A<br>BUY 0 Units @0.0000 | 0.00                 | 1.60                | 0.00               | 1.60              | 10.0 | 0.16                 |
| 03/01/2018   | ***-**-511I - MOGANNAM, KAREN<br>ACCOUNT #: 00061931362  | WASHINGTON MUTUAL INVESTORS FUND-A<br>BUY 0 Units @0.0000 | 0.00                 | 3.74                | 0.00               | 3.74              | 10.0 | 0.37                 |
| 03/01/2018   | ***-**-525P - ARCHAMBAULT,<br>ACCOUNT #: 00062052940     | WASHINGTON MUTUAL INVESTORS FUND-A<br>BUY 0 Units @0.0000 | 0.00                 | 35.03               | 0.00               | 35.03             | 10.0 | 3.50                 |
| 03/01/2018   | ***-**-428I - DAPRA, STEPHANIE<br>ACCOUNT #: 00062101764 | WASHINGTON MUTUAL INVESTORS FUND-A<br>BUY 0 Units @0.0000 | 0.00                 | 38.11               | 0.00               | 38.11             | 10.0 | 3.81                 |
| 03/01/2018   | ***-**-715P - EMERY, ELIZABETH<br>ACCOUNT #: 00062101930 | WASHINGTON MUTUAL INVESTORS FUND-A<br>BUY 0 Units @0.0000 | 0.00                 | 30.68               | 0.00               | 30.68             | 10.0 | 3.07                 |
| 03/01/2018   | ***-**-28IN - WASSERMAN, MARK<br>ACCOUNT #: 00062451646  | WASHINGTON MUTUAL INVESTORS FUND-A<br>BUY 0 Units @0.0000 | 0.00                 | 0.69                | 0.00               | 0.69              | 10.0 | 0.07                 |
| 03/01/2018   | ***-**-78IN - ROSSI, THOMAS<br>ACCOUNT #: 00062504792    | WASHINGTON MUTUAL INVESTORS FUND-A<br>BUY 0 Units @0.0000 | 0.00                 | 8.13                | 0.00               | 8.13              | 10.0 | 0.81                 |
| 03/01/2018   | ***-**-385P - SHEETS, JAYSON<br>ACCOUNT #: 00062566017   | WASHINGTON MUTUAL INVESTORS FUND-A<br>BUY 0 Units @0.0000 | 0.00                 | 1.91                | 0.00               | 1.91              | 10.0 | 0.19                 |
| 03/01/2018   | ***-**-598O - BAIS, RAM<br>ACCOUNT #: 00062603215        | WASHINGTON MUTUAL INVESTORS FUND-A<br>BUY 0 Units @0.0000 | 0.00                 | 6.37                | 0.00               | 6.37              | 10.0 | 0.64                 |
| 03/01/2018   | ***-**-345P - BROWN, ABIGAIL<br>ACCOUNT #: 00062618359   | WASHINGTON MUTUAL INVESTORS FUND-A<br>BUY 0 Units @0.0000 | 0.00                 | 3.21                | 0.00               | 3.21              | 10.0 | 0.32                 |





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ALEX GEORGIEV  
400 West Metro Park  
Rochester, NY 14623

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BRANCH #01001 - LifeMark Home Office

| DATE   | CLIENT                          | INVESTMENT                         | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|--|---------------------------------|------------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b>BROKER TRANSACTIONS (continued)</b>                       |                                 |                                    |                      |                     |                    |                   |      |                      |
| <b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</b> |                                 |                                    |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-***-765P - WALZ, NICHOLAS   | WASHINGTON MUTUAL INVESTORS FUND-A | 0.00                 | 7.12                | 0.00               | 7.12              | 10.0 | 0.71                 |
|  | ACCOUNT #: 00062621788          | BUY 0 Units @0.0000                |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-***-713I - KLINE, RAYMOND   | WASHINGTON MUTUAL INVESTORS FUND-A | 0.00                 | 150.91              | 0.00               | 150.91            | 10.0 | 15.09                |
|  | ACCOUNT #: 00062624673          | BUY 0 Units @0.0000                |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-***-21UT - COOMBS, KATIE    | WASHINGTON MUTUAL INVESTORS FUND-A | 0.00                 | 6.55                | 0.00               | 6.55              | 10.0 | 0.66                 |
|  | ACCOUNT #: 00062818380          | BUY 0 Units @0.0000                |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-***-025P - COOMBS, JULIE    | WASHINGTON MUTUAL INVESTORS FUND-A | 0.00                 | 6.55                | 0.00               | 6.55              | 10.0 | 0.66                 |
|  | ACCOUNT #: 00062818381          | BUY 0 Units @0.0000                |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-***-595P - VAUGHN, STEVEN   | WASHINGTON MUTUAL INVESTORS FUND-A | 0.00                 | 0.01                | 0.00               | 0.01              | 10.0 | 0.00                 |
|  | ACCOUNT #: 00062966826          | BUY 0 Units @0.0000                |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-***-821I - POLANCIC, DAVID  | WASHINGTON MUTUAL INVESTORS FUND-A | 0.00                 | 2.84                | 0.00               | 2.84              | 10.0 | 0.28                 |
|  | ACCOUNT #: 00063170477          | BUY 0 Units @0.0000                |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-***-061I - MAGGIO,          | WASHINGTON MUTUAL INVESTORS FUND-A | 0.00                 | 1.95                | 0.00               | 1.95              | 10.0 | 0.20                 |
|  | ACCOUNT #: 00063184205          | BUY 0 Units @0.0000                |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-***-773I - MAGGIO, GIUSEPPE | WASHINGTON MUTUAL INVESTORS FUND-A | 0.00                 | 23.74               | 0.00               | 23.74             | 10.0 | 2.37                 |
|  | ACCOUNT #: 00063184206          | BUY 0 Units @0.0000                |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-***-645P - HARDIN, SHERRELL | WASHINGTON MUTUAL INVESTORS FUND-A | 0.00                 | 52.79               | 0.00               | 52.79             | 10.0 | 5.28                 |
|  | ACCOUNT #: 00063239496          | BUY 0 Units @0.0000                |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-***-955P - MARTINEZ, DIANA  | WASHINGTON MUTUAL INVESTORS FUND-A | 0.00                 | 12.57               | 0.00               | 12.57             | 10.0 | 1.26                 |
|  | ACCOUNT #: 00063300366          | BUY 0 Units @0.0000                |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-***-585P - RYEN, THEODORE   | WASHINGTON MUTUAL INVESTORS FUND-A | 0.00                 | 4.13                | 0.00               | 4.13              | 10.0 | 0.41                 |
|  | ACCOUNT #: 00063313413          | BUY 0 Units @0.0000                |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-***-945P - KNOPF, KEVIN     | WASHINGTON MUTUAL INVESTORS FUND-A | 0.00                 | 1.33                | 0.00               | 1.33              | 10.0 | 0.13                 |
|  | ACCOUNT #: 00063352500          | BUY 0 Units @0.0000                |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-***-642T - JURAK, DANIEL    | WASHINGTON MUTUAL INVESTORS FUND-A | 0.00                 | 22.24               | 0.00               | 22.24             | 10.0 | 2.22                 |
|  | ACCOUNT #: 00063352504          | BUY 0 Units @0.0000                |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-***-150B - FRANKLYN, LINDA  | WASHINGTON MUTUAL INVESTORS FUND-A | 0.00                 | 16.10               | 0.00               | 16.10             | 10.0 | 1.61                 |
|  | ACCOUNT #: 00063389891          | BUY 0 Units @0.0000                |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-***-235P - BATEMAN, WILLIAM | WASHINGTON MUTUAL INVESTORS FUND-A | 0.00                 | 0.09                | 0.00               | 0.09              | 10.0 | 0.01                 |
|  | ACCOUNT #: 00063427011          | BUY 0 Units @0.0000                |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-***-7060 - GARLAND, BARBARA | WASHINGTON MUTUAL INVESTORS FUND-A | 0.00                 | 43.82               | 0.00               | 43.82             | 10.0 | 4.38                 |
|  | ACCOUNT #: 00063496789          | BUY 0 Units @0.0000                |                      |                     |                    |                   |      |                      |



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|--|--------------------------------|------------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b>BROKER TRANSACTIONS (continued)</b>                       |                                |                                    |                      |                     |                    |                   |      |                      |
| <b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</b> |                                |                                    |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-415P - RYAN, DEBORAH    | WASHINGTON MUTUAL INVESTORS FUND-A | 0.00                 | 0.01                | 0.00               | 0.01              | 10.0 | 0.00                 |
|  | ACCOUNT #: 00063501625         | BUY 0 Units @0.0000                |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-041R - GRODZICKI,       | WASHINGTON MUTUAL INVESTORS FUND-A | 0.00                 | 3.75                | 0.00               | 3.75              | 10.0 | 0.38                 |
|  | ACCOUNT #: 00063592510         | BUY 0 Units @0.0000                |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-215P - WARREN, JOHN     | WASHINGTON MUTUAL INVESTORS FUND-A | 0.00                 | 7.60                | 0.00               | 7.60              | 10.0 | 0.76                 |
|  | ACCOUNT #: 00063606566         | BUY 0 Units @0.0000                |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-235P - TASKOSKI, RONALD | WASHINGTON MUTUAL INVESTORS FUND-A | 0.00                 | 0.65                | 0.00               | 0.65              | 10.0 | 0.07                 |
|  | ACCOUNT #: 00063668431         | BUY 0 Units @0.0000                |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-875P - SICA, BRENDA     | WASHINGTON MUTUAL INVESTORS FUND-A | 0.00                 | 40.84               | 0.00               | 40.84             | 10.0 | 4.08                 |
|  | ACCOUNT #: 00063674032         | BUY 0 Units @0.0000                |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-795P - TARPLEY,         | WASHINGTON MUTUAL INVESTORS FUND-A | 0.00                 | 0.86                | 0.00               | 0.86              | 10.0 | 0.09                 |
|  | ACCOUNT #: 00063680598         | BUY 0 Units @0.0000                |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-795P - WARD, MIKE       | WASHINGTON MUTUAL INVESTORS FUND-A | 0.00                 | 0.37                | 0.00               | 0.37              | 10.0 | 0.04                 |
|  | ACCOUNT #: 00063773175         | BUY 0 Units @0.0000                |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-675P - MCNAIR, JAMES    | WASHINGTON MUTUAL INVESTORS FUND-A | 0.00                 | 2.77                | 0.00               | 2.77              | 10.0 | 0.28                 |
|  | ACCOUNT #: 00063780949         | BUY 0 Units @0.0000                |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-225P - HERMAN, ROBERT   | WASHINGTON MUTUAL INVESTORS FUND-A | 0.00                 | 2.48                | 0.00               | 2.48              | 10.0 | 0.25                 |
|  | ACCOUNT #: 00063788304         | BUY 0 Units @0.0000                |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-161I - GROVER, WILLIE   | WASHINGTON MUTUAL INVESTORS FUND-A | 0.00                 | 3.20                | 0.00               | 3.20              | 10.0 | 0.32                 |
|  | ACCOUNT #: 00063811157         | BUY 0 Units @0.0000                |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-691I - GORDON, JONATHAN | WASHINGTON MUTUAL INVESTORS FUND-A | 0.00                 | 32.83               | 0.00               | 32.83             | 10.0 | 3.28                 |
|  | ACCOUNT #: 00063812327         | BUY 0 Units @0.0000                |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-628P - YUNKUN, GLADYS   | WASHINGTON MUTUAL INVESTORS FUND-A | 0.00                 | 10.95               | 0.00               | 10.95             | 10.0 | 1.10                 |
|  | ACCOUNT #: 00063812676         | BUY 0 Units @0.0000                |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-935P - RODRIGUEZ, MARIA | WASHINGTON MUTUAL INVESTORS FUND-A | 0.00                 | 1.56                | 0.00               | 1.56              | 10.0 | 0.16                 |
|  | ACCOUNT #: 00063909169         | BUY 0 Units @0.0000                |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-575P - ANDERSON, SUSAN  | WASHINGTON MUTUAL INVESTORS FUND-A | 0.00                 | 10.73               | 0.00               | 10.73             | 10.0 | 1.07                 |
|  | ACCOUNT #: 00063941162         | BUY 0 Units @0.0000                |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-561R - LAI, ANITA       | WASHINGTON MUTUAL INVESTORS FUND-A | 0.00                 | 15.77               | 0.00               | 15.77             | 10.0 | 1.58                 |
|  | ACCOUNT #: 00064000781         | BUY 0 Units @0.0000                |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-155P - NAHAMOU,         | WASHINGTON MUTUAL INVESTORS FUND-A | 0.00                 | 20.10               | 0.00               | 20.10             | 10.0 | 2.01                 |
|  | ACCOUNT #: 00064023902         | BUY 0 Units @0.0000                |                      |                     |                    |                   |      |                      |



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|--|--------------------------------|------------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b>BROKER TRANSACTIONS (continued)</b>                       |                                |                                    |                      |                     |                    |                   |      |                      |
| <b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</b> |                                |                                    |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-05IN - BEHRMANN, SHELLY | WASHINGTON MUTUAL INVESTORS FUND-A | 0.00                 | 1.96                | 0.00               | 1.96              | 10.0 | 0.20                 |
|  | ACCOUNT #: 00064148099         | BUY 0 Units @0.0000                |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-93UT - CRITES, KELSEY   | WASHINGTON MUTUAL INVESTORS FUND-A | 0.00                 | 2.26                | 0.00               | 2.26              | 10.0 | 0.23                 |
|  | ACCOUNT #: 00064180917         | BUY 0 Units @0.0000                |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-105P - THOMPSON,        | WASHINGTON MUTUAL INVESTORS FUND-A | 0.00                 | 3.93                | 0.00               | 3.93              | 10.0 | 0.39                 |
|  | ACCOUNT #: 00064244485         | BUY 0 Units @0.0000                |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-04IR -                  | WASHINGTON MUTUAL INVESTORS FUND-A | 0.00                 | 0.71                | 0.00               | 0.71              | 10.0 | 0.07                 |
|  | ACCOUNT #: 00064326662         | BUY 0 Units @0.0000                |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-371I - SMITH, LEOLA     | WASHINGTON MUTUAL INVESTORS FUND-A | 0.00                 | 1.44                | 0.00               | 1.44              | 10.0 | 0.14                 |
|  | ACCOUNT #: 00064360066         | BUY 0 Units @0.0000                |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-695P - RAMEY/CALA,      | WASHINGTON MUTUAL INVESTORS FUND-A | 0.00                 | 2.65                | 0.00               | 2.65              | 10.0 | 0.27                 |
|  | ACCOUNT #: 00064622625         | BUY 0 Units @0.0000                |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-03IR - DIBAGNO, DANIEL  | WASHINGTON MUTUAL INVESTORS FUND-A | 0.00                 | 4.07                | 0.00               | 4.07              | 10.0 | 0.41                 |
|  | ACCOUNT #: 00064708638         | BUY 0 Units @0.0000                |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-515P - AMOAKO, DOUGLAS  | WASHINGTON MUTUAL INVESTORS FUND-A | 0.00                 | 8.36                | 0.00               | 8.36              | 10.0 | 0.84                 |
|  | ACCOUNT #: 00064756380         | BUY 0 Units @0.0000                |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-335P - GARCIA, KRIS     | WASHINGTON MUTUAL INVESTORS FUND-A | 0.00                 | 0.23                | 0.00               | 0.23              | 10.0 | 0.02                 |
|  | ACCOUNT #: 00065126915         | BUY 0 Units @0.0000                |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-995P - BILLAKANTI,      | WASHINGTON MUTUAL INVESTORS FUND-A | 0.00                 | 3.56                | 0.00               | 3.56              | 10.0 | 0.36                 |
|  | ACCOUNT #: 00066724821         | BUY 0 Units @0.0000                |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-978I - ENRIGHT,         | WASHINGTON MUTUAL INVESTORS FUND-A | 0.00                 | 3.69                | 0.00               | 3.69              | 10.0 | 0.37                 |
|  | ACCOUNT #: 00066747757         | BUY 0 Units @0.0000                |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-425I - FARACI, JOHN     | WASHINGTON MUTUAL INVESTORS FUND-A | 0.00                 | 29.50               | 0.00               | 29.50             | 10.0 | 2.95                 |
|  | ACCOUNT #: 00066994858         | BUY 0 Units @0.0000                |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-165P - IACOBELLIS,      | WASHINGTON MUTUAL INVESTORS FUND-A | 0.00                 | 3.98                | 0.00               | 3.98              | 10.0 | 0.40                 |
|  | ACCOUNT #: 00067010870         | BUY 0 Units @0.0000                |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-204I - LOY, STEVEN      | WASHINGTON MUTUAL INVESTORS FUND-A | 0.00                 | 6.30                | 0.00               | 6.30              | 10.0 | 0.63                 |
|  | ACCOUNT #: 00067215893         | BUY 0 Units @0.0000                |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-895P - CASIDA, HEATHER  | WASHINGTON MUTUAL INVESTORS FUND-A | 0.00                 | 4.94                | 0.00               | 4.94              | 10.0 | 0.49                 |
|  | ACCOUNT #: 00067513590         | BUY 0 Units @0.0000                |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-969P - SHOEMAKE,        | WASHINGTON MUTUAL INVESTORS FUND-A | 0.00                 | 4.70                | 0.00               | 4.70              | 10.0 | 0.47                 |
|  | ACCOUNT #: 00067750762         | BUY 0 Units @0.0000                |                      |                     |                    |                   |      |                      |



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|--|--|---|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b>BROKER TRANSACTIONS (continued)</b>                       |  |   |                      |                     |                    |                   |      |                      |
| <b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</b> |  |   |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-499J - LEINWEBER,<br>ACCOUNT #: 00067791255       | WASHINGTON MUTUAL INVESTORS FUND-A<br>BUY 0 Units @0.0000 | 0.00                 | 3.49                | 0.00               | 3.49              | 10.0 | 0.35                 |
| 03/01/2018   | ***-**-735P - SICA, RONALD<br>ACCOUNT #: 00067799074     | WASHINGTON MUTUAL INVESTORS FUND-A<br>BUY 0 Units @0.0000 | 0.00                 | 4.22                | 0.00               | 4.22              | 10.0 | 0.42                 |
| 03/01/2018   | ***-**-61RI - HADSOCK, HUGH<br>ACCOUNT #: 00068200969    | WASHINGTON MUTUAL INVESTORS FUND-A<br>BUY 0 Units @0.0000 | 0.00                 | 5.18                | 0.00               | 5.18              | 10.0 | 0.52                 |
| 03/01/2018   | ***-**-657I - NEWELL, JODI<br>ACCOUNT #: 00068704319     | WASHINGTON MUTUAL INVESTORS FUND-A<br>BUY 0 Units @0.0000 | 0.00                 | 6.73                | 0.00               | 6.73              | 10.0 | 0.67                 |
| 03/01/2018   | ***-**-148I - BLOOMQUIST,<br>ACCOUNT #: 00068755039      | WASHINGTON MUTUAL INVESTORS FUND-A<br>BUY 0 Units @0.0000 | 0.00                 | 0.68                | 0.00               | 0.68              | 10.0 | 0.07                 |
| 03/01/2018   | ***-**-845P - MCAVOY, GRETA<br>ACCOUNT #: 00069111596    | WASHINGTON MUTUAL INVESTORS FUND-A<br>BUY 0 Units @0.0000 | 0.00                 | 0.34                | 0.00               | 0.34              | 10.0 | 0.03                 |
| 03/01/2018   | ***-**-465P - MCGOVERN,<br>ACCOUNT #: 00073205016        | WASHINGTON MUTUAL INVESTORS FUND-A<br>BUY 0 Units @0.0000 | 0.00                 | 13.82               | 0.00               | 13.82             | 10.0 | 1.38                 |
| 03/01/2018   | ***-**-475P - HORN, GARY<br>ACCOUNT #: 00073239800       | WASHINGTON MUTUAL INVESTORS FUND-A<br>BUY 0 Units @0.0000 | 0.00                 | 10.81               | 0.00               | 10.81             | 10.0 | 1.08                 |
| 03/01/2018   | ***-**-41IR - ANDERSON, LELAND<br>ACCOUNT #: 00073561455 | WASHINGTON MUTUAL INVESTORS FUND-A<br>BUY 0 Units @0.0000 | 0.00                 | 2.87                | 0.00               | 2.87              | 10.0 | 0.29                 |
| 03/01/2018   | ***-**-975P - OSBORNE, SUE<br>ACCOUNT #: 00073569391     | WASHINGTON MUTUAL INVESTORS FUND-A<br>BUY 0 Units @0.0000 | 0.00                 | 1.38                | 0.00               | 1.38              | 10.0 | 0.14                 |
| 03/01/2018   | ***-**-042I - SHUMWAY, AUDREY<br>ACCOUNT #: 00074353289  | WASHINGTON MUTUAL INVESTORS FUND-A<br>BUY 0 Units @0.0000 | 0.00                 | 0.24                | 0.00               | 0.24              | 10.0 | 0.02                 |
| 03/01/2018   | ***-**-567I - GRAY, KEVIN<br>ACCOUNT #: 00074476631      | WASHINGTON MUTUAL INVESTORS FUND-A<br>BUY 0 Units @0.0000 | 0.00                 | 23.08               | 0.00               | 23.08             | 10.0 | 2.31                 |
| 03/01/2018   | ***-**-727I - POSSEE, DIANE<br>ACCOUNT #: 00075475535    | WASHINGTON MUTUAL INVESTORS FUND-A<br>BUY 0 Units @0.0000 | 0.00                 | 16.40               | 0.00               | 16.40             | 10.0 | 1.64                 |
| 03/01/2018   | ***-**-287I - BELLINO, VALERIE<br>ACCOUNT #: 00081674809 | WASHINGTON MUTUAL INVESTORS FUND-A<br>BUY 0 Units @0.0000 | 0.00                 | 0.38                | 0.00               | 0.38              | 10.0 | 0.04                 |
| 03/01/2018   | ***-**-037I - DELL, MARIAH<br>ACCOUNT #: 00082213922     | WASHINGTON MUTUAL INVESTORS FUND-A<br>BUY 0 Units @0.0000 | 0.00                 | 0.14                | 0.00               | 0.14              | 10.0 | 0.01                 |
| 03/01/2018   | ***-**-525P - MATIS, DAMARIS<br>ACCOUNT #: 00082217486   | WASHINGTON MUTUAL INVESTORS FUND-A<br>BUY 0 Units @0.0000 | 0.00                 | 5.45                | 0.00               | 5.45              | 10.0 | 0.55                 |



# COMMISSION STATEMENT

March 12, 2018

ALEX GEORGIEV  
400 West Metro Park  
Rochester, NY 14623

BROKER #: AGJ  
BRANCH #01001 - LifeMark Home Office

| DATE   | CLIENT   | INVESTMENT  | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|--|--|---|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b>BROKER TRANSACTIONS (continued)</b>                       |  |   |                      |                     |                    |                   |      |                      |
| <b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</b> |  |   |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-685P - TAYLOR, AMANDA<br>ACCOUNT #: 00082469804   | WASHINGTON MUTUAL INVESTORS FUND-A<br>BUY 0 Units @0.0000 | 0.00                 | 15.08               | 0.00               | 15.08             | 10.0 | 1.51                 |
| 03/01/2018   | ***-**-427I - KRUEGER, JOHN<br>ACCOUNT #: 00082686514    | WASHINGTON MUTUAL INVESTORS FUND-A<br>BUY 0 Units @0.0000 | 0.00                 | 13.30               | 0.00               | 13.30             | 10.0 | 1.33                 |
| 03/01/2018   | ***-**-116J - KRUEGER, JOHN<br>ACCOUNT #: 00082687579    | WASHINGTON MUTUAL INVESTORS FUND-A<br>BUY 0 Units @0.0000 | 0.00                 | 0.29                | 0.00               | 0.29              | 10.0 | 0.03                 |
| 03/01/2018   | ***-**-95IN - LARSON, JOEL<br>ACCOUNT #: 00086113566     | WASHINGTON MUTUAL INVESTORS FUND-A<br>BUY 0 Units @0.0000 | 0.00                 | 5.39                | 0.00               | 5.39              | 10.0 | 0.54                 |
| 03/01/2018   | ***-**-50IN - WILKENFELD,<br>ACCOUNT #: 00087284237      | WASHINGTON MUTUAL INVESTORS FUND-A<br>BUY 0 Units @0.0000 | 0.00                 | 36.50               | 0.00               | 36.50             | 10.0 | 3.65                 |
| 03/01/2018   | ***-**-270I - ORMOND, JENNIFER<br>ACCOUNT #: 00088565488 | WASHINGTON MUTUAL INVESTORS FUND-A<br>BUY 0 Units @0.0000 | 0.00                 | 5.52                | 0.00               | 5.52              | 10.0 | 0.55                 |
| 03/01/2018   | ***-**-270I - ORMOND, JENNIFER<br>ACCOUNT #: 00088565503 | WASHINGTON MUTUAL INVESTORS FUND-A<br>BUY 0 Units @0.0000 | 0.00                 | 5.54                | 0.00               | 5.54              | 10.0 | 0.55                 |
| 03/01/2018   | ***-**-270I - ORMOND, JENNIFER<br>ACCOUNT #: 00088565510 | WASHINGTON MUTUAL INVESTORS FUND-A<br>BUY 0 Units @0.0000 | 0.00                 | 5.54                | 0.00               | 5.54              | 10.0 | 0.55                 |
| 03/01/2018   | ***-**-23IN - SCHENKEL,<br>ACCOUNT #: 00925358750        | WASHINGTON MUTUAL INVESTORS FUND-A<br>BUY 0 Units @0.0000 | 0.00                 | 13.55               | 0.00               | 13.55             | 10.0 | 1.36                 |
| 03/01/2018   | ***-**-8306 - ELKIIN, ALICE<br>ACCOUNT #: 04000342655    | WASHINGTON MUTUAL INVESTORS FUND-A<br>BUY 0 Units @0.0000 | 0.00                 | 50.97               | 0.00               | 50.97             | 10.0 | 5.10                 |
| 03/01/2018   | ***-**-8306 - CONSOPLANO,<br>ACCOUNT #: 04000342681      | WASHINGTON MUTUAL INVESTORS FUND-A<br>BUY 0 Units @0.0000 | 0.00                 | 50.97               | 0.00               | 50.97             | 10.0 | 5.10                 |
| 03/01/2018   | ***-**-6603 - WARE, CHARLES<br>ACCOUNT #: 00062435970    | WASHINGTON MUTUAL INVESTORS FUND-A<br>BUY 0 Units @0.0000 | 0.00                 | 2.66                | 0.00               | 2.66              | 10.0 | 0.27                 |
| 03/01/2018   | ***-**-065P - MULHOLLAND,<br>ACCOUNT #: 00065098009      | WASHINGTON MUTUAL INVESTORS FUND-A<br>BUY 0 Units @0.0000 | 0.00                 | 1.24                | 0.00               | 1.24              | 10.0 | 0.12                 |
| 03/01/2018   | ***-**-275P - BALDWIN, JUSTIN<br>ACCOUNT #: 00067340502  | WASHINGTON MUTUAL INVESTORS FUND-A<br>BUY 0 Units @0.0000 | 0.00                 | 1.07                | 0.00               | 1.07              | 10.0 | 0.11                 |
| 03/01/2018   | ***-**-29IN - LITMAN, WENDY<br>ACCOUNT #: 00068524068    | WASHINGTON MUTUAL INVESTORS FUND-A<br>BUY 0 Units @0.0000 | 0.00                 | 5.67                | 0.00               | 5.67              | 10.0 | 0.57                 |
| 03/01/2018   | ***-**-395P - BISCOTTI,<br>ACCOUNT #: 00068553315        | WASHINGTON MUTUAL INVESTORS FUND-A<br>BUY 0 Units @0.0000 | 0.00                 | 0.37                | 0.00               | 0.37              | 10.0 | 0.04                 |



# COMMISSION STATEMENT

March 12, 2018

ALEX GEORGIEV  
400 West Metro Park  
Rochester, NY 14623

BROKER #: AGJ  
BRANCH #01001 - LifeMark Home Office

| DATE   | CLIENT                         | INVESTMENT                          | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION  | RATE | BROKER<br>COMMISSION |
|--|--------------------------------|-------------------------------------|----------------------|---------------------|--------------------|--------------------|------|----------------------|
| <b>BROKER TRANSACTIONS (continued)</b>                       |                                |                                     |                      |                     |                    |                    |      |                      |
| <b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</b> |                                |                                     |                      |                     |                    |                    |      |                      |
| 03/01/2018   | ***-**-015P - VICKERS, BARBARA | WASHINGTON MUTUAL INVESTORS FUND-A  | 0.00                 | 0.07                | 0.00               | 0.07               | 10.0 | 0.01                 |
|  | ACCOUNT #: 00068567314         | BUY 0 Units @0.0000                 |                      |                     |                    |                    |      |                      |
| 03/01/2018   | ***-**-915P - ELIAS, CAROLINA  | WASHINGTON MUTUAL INVESTORS FUND-A  | 0.00                 | 20.18               | 0.00               | 20.18              | 10.0 | 2.02                 |
|  | ACCOUNT #: 00069223122         | BUY 0 Units @0.0000                 |                      |                     |                    |                    |      |                      |
| 03/01/2018   | ***-**-582I - ROZENCWAIG, ERIC | WASHINGTON MUTUAL INVESTORS FUND-A  | 0.00                 | 8.21                | 0.00               | 8.21               | 10.0 | 0.82                 |
|  | ACCOUNT #: 00073025002         | BUY 0 Units @0.0000                 |                      |                     |                    |                    |      |                      |
| 03/01/2018   | ***-**-691I - COLLINS, PAMELA  | WASHINGTON MUTUAL INVESTORS FUND-A  | 0.00                 | 1.05                | 0.00               | 1.05               | 10.0 | 0.11                 |
|  | ACCOUNT #: 00074006244         | BUY 0 Units @0.0000                 |                      |                     |                    |                    |      |                      |
| 03/01/2018   | ***-**-045P - RAMESHKUMAR,     | WASHINGTON MUTUAL INVESTORS FUND-A  | 0.00                 | 9.51                | 0.00               | 9.51               | 10.0 | 0.95                 |
|  | ACCOUNT #: 00081655955         | BUY 0 Units @0.0000                 |                      |                     |                    |                    |      |                      |
| 03/01/2018   | ***-**-064J - HALL, AMY        | WASHINGTON MUTUAL INVESTORS FUND-A  | 0.00                 | 36.25               | 0.00               | 36.25              | 10.0 | 3.63                 |
|  | ACCOUNT #: 00083146232         | BUY 0 Units @0.0000                 |                      |                     |                    |                    |      |                      |
| 03/01/2018   | ***-**-635P - SCOTT, JAMES     | WASHINGTON MUTUAL INVESTORS FUND-C  | 0.00                 | 31.45               | 0.00               | 31.45              | 10.0 | 3.15                 |
|  | ACCOUNT #: 00068920074         | BUY 0 Units @0.0000                 |                      |                     |                    |                    |      |                      |
| 03/09/2018   | ***-**-32SI - STEWART, VOLKER  | WORLD VALUES INTERNATIONAL EQUITY - | 0.00                 | 4.17                | 0.00               | 4.17               | 10.0 | 0.42                 |
|  | ACCOUNT #: 00007203900         | BUY 0 Units @0.0000                 |                      |                     |                    |                    |      |                      |
| 03/09/2018   | ***-**-82SI - PERRY, ROBERT    | WORLD VALUES INTERNATIONAL EQUITY - | 0.00                 | 1.83                | 0.00               | 1.83               | 10.0 | 0.18                 |
|  | ACCOUNT #: 00007203908         | BUY 0 Units @0.0000                 |                      |                     |                    |                    |      |                      |
| <b>* MUTUAL FUND 12B1 TRAILS SUBTOTAL *</b>                  |                                |                                     | <b>\$0.00</b>        | <b>\$29,183.63</b>  | <b>\$0.00</b>      | <b>\$29,183.63</b> |      | <b>\$2,919.43</b>    |
| <b>PRODUCT CATEGORY: VARIABLE ANNUITY 12B1 TRAILS</b>        |                                |                                     |                      |                     |                    |                    |      |                      |
| 02/17/2018   | ***-**-797I - FITZSIMONS,      | TA LANDMARK VARIABLE ANNUITY        | 0.00                 | 4.12                | 0.00               | 4.12               | 10.0 | 0.41                 |
|  | ACCOUNT #: 110539LK1           | BUY 0 Units @0.0000                 |                      |                     |                    |                    |      |                      |
| 02/12/2018   | ***-**-7434 - MISTRY, SUZY     | GENWORTH 37250G301                  | 0.00                 | 6.94                | 0.00               | 6.94               | 10.0 | 0.69                 |
|  | ACCOUNT #: T02751688           | BUY 0 Units @0.0000                 |                      |                     |                    |                    |      |                      |
| 02/12/2018   | ***-**-7433 - MISTRY,          | GENWORTH 37250G301                  | 0.00                 | 6.46                | 0.00               | 6.46               | 10.0 | 0.65                 |
|  | ACCOUNT #: T02751687           | BUY 0 Units @0.0000                 |                      |                     |                    |                    |      |                      |
| 02/13/2018   | ***-**-99IN - CASSIDY, GERALD  | GENWORTH 37250G301                  | 0.00                 | 12.51               | 0.00               | 12.51              | 10.0 | 1.25                 |
|  | ACCOUNT #: T02759899           | BUY 0 Units @0.0000                 |                      |                     |                    |                    |      |                      |
| 02/13/2018   | ***-**-6891 - JANDALI, AMER    | GENWORTH 37250G301                  | 0.00                 | 118.27              | 0.00               | 118.27             | 10.0 | 11.83                |
|  | ACCOUNT #: T02770188           | BUY 0 Units @0.0000                 |                      |                     |                    |                    |      |                      |
| 02/13/2018   | ***-**-03CL - GEORGIEV,        | GENWORTH 37250G301                  | 0.00                 | 3.74                | 0.00               | 3.74               | 10.0 | 0.37                 |
|  | ACCOUNT #: T02748105           | BUY 0 Units @0.0000                 |                      |                     |                    |                    |      |                      |



# COMMISSION STATEMENT

March 12, 2018

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400 West Metro Park  
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BRANCH #01001 - LifeMark Home Office

| DATE  | CLIENT  | INVESTMENT                                | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|---|---|---|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b>BROKER TRANSACTIONS (continued)</b>                            |   |   |                      |                     |                    |                   |      |                      |
| <b>PRODUCT CATEGORY: VARIABLE ANNUITY 12B1 TRAILS (continued)</b> |   |   |                      |                     |                    |                   |      |                      |
| 02/13/2018  | ***-**-03CL - GEORGIEV,<br>ACCOUNT #: T02748106         | GENWORTH 37250G301<br>BUY 0 Units @0.0000 | 0.00                 | 5.63                | 0.00               | 5.63              | 10.0 | 0.56                 |
| 02/14/2018  | ***-**-875I - CHLEBOWSKI,<br>ACCOUNT #: T02765513       | GENWORTH 37250G301<br>BUY 0 Units @0.0000 | 0.00                 | 3.49                | 0.00               | 3.49              | 10.0 | 0.35                 |
| 02/14/2018  | ***-**-875I - CHLEBOWSKI,<br>ACCOUNT #: T02765514       | GENWORTH 37250G301<br>BUY 0 Units @0.0000 | 0.00                 | 5.47                | 0.00               | 5.47              | 10.0 | 0.55                 |
| 02/15/2018  | ***-**-03CL - GEORGIEV,<br>ACCOUNT #: T02737056         | GENWORTH 37250G301<br>BUY 0 Units @0.0000 | 0.00                 | 2.62                | 0.00               | 2.62              | 10.0 | 0.26                 |
| 02/20/2018  | ***-**-1519 - WAHBAH, AMAL<br>ACCOUNT #: T02762314      | GENWORTH 37250G301<br>BUY 0 Units @0.0000 | 0.00                 | 3.72                | 0.00               | 3.72              | 10.0 | 0.37                 |
| 02/21/2018  | ***-**-5926 - BROWNE, GAY<br>ACCOUNT #: T02762863       | GENWORTH 37250G301<br>BUY 0 Units @0.0000 | 0.00                 | 32.38               | 0.00               | 32.38             | 10.0 | 3.24                 |
| 02/21/2018  | ***-**-8359 - SOLIMAN, NERMINE<br>ACCOUNT #: T02776351  | GENWORTH 37250G301<br>BUY 0 Units @0.0000 | 0.00                 | 2.21                | 0.00               | 2.21              | 10.0 | 0.22                 |
| 02/26/2018  | ***-**-8198 - GOLDSTICKER,<br>ACCOUNT #: T02764847      | GENWORTH 37250G301<br>BUY 0 Units @0.0000 | 0.00                 | 3.42                | 0.00               | 3.42              | 10.0 | 0.34                 |
| 02/28/2018  | ***-**-9137 - NICOLAS, EDWARD<br>ACCOUNT #: T02757909   | GENWORTH 37250G301<br>BUY 0 Units @0.0000 | 0.00                 | 2.39                | 0.00               | 2.39              | 10.0 | 0.24                 |
| 03/01/2018  | ***-**-03CL - GEORGIEV,<br>ACCOUNT #: T02761495         | GENWORTH 37250G301<br>BUY 0 Units @0.0000 | 0.00                 | 22.86               | 0.00               | 22.86             | 10.0 | 2.29                 |
| 03/02/2018  | ***-**-9308 - RASCOE, THOMAS<br>ACCOUNT #: T02759125    | GENWORTH 37250G301<br>BUY 0 Units @0.0000 | 0.00                 | 9.55                | 0.00               | 9.55              | 10.0 | 0.96                 |
| 03/06/2018  | ***-**-18IN - GREANEY, STEPHEN<br>ACCOUNT #: T02740155  | GENWORTH 37250G301<br>BUY 0 Units @0.0000 | 0.00                 | 2.10                | 0.00               | 2.10              | 10.0 | 0.21                 |
| 02/27/2018  | ***-**-7799 - SAVICKAS, LORI<br>ACCOUNT #: T02762584    | GENWORTH 37250G475<br>BUY 0 Units @0.0000 | 0.00                 | 19.51               | 0.00               | 19.51             | 10.0 | 1.95                 |
| 03/07/2018  | ***-**-285P - NOSCHESSE, LOUIS<br>ACCOUNT #: C035430-MN | ING VA 008148108<br>BUY 0 Units @0.0000   | 0.00                 | 33.53               | 0.00               | 33.53             | 10.0 | 3.35                 |
| 03/05/2018  | ***-**-41IN - SCHWEITZER,<br>ACCOUNT #: C264458-OW      | ING VA 380789701<br>BUY 0 Units @0.0000   | 0.00                 | 6.14                | 0.00               | 6.14              | 10.0 | 0.61                 |
| 03/06/2018  | ***-**-1218 - BURFORD, BLAIR<br>ACCOUNT #: 4826122      | LINCOLN 534222492<br>BUY 0 Units @0.0000  | 0.00                 | 24.69               | 0.00               | 24.69             | 10.0 | 2.47                 |



# COMMISSION STATEMENT

March 12, 2018

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| DATE   | CLIENT  | INVESTMENT                                     | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION  | RATE | BROKER<br>COMMISSION |
|--|---|--|----------------------|---------------------|--------------------|--------------------|------|----------------------|
| <b><u>BROKER TRANSACTIONS (continued)</u></b>                            |   |  |                      |                     |                    |                    |      |                      |
| <b><u>PRODUCT CATEGORY: VARIABLE ANNUITY 12B1 TRAILS (continued)</u></b> |   |  |                      |                     |                    |                    |      |                      |
| 03/12/2018   | ***--03CL - GEORGIEV,                               | MASS MUTUAL VA TRAILS<br>BUY 1 Units @0.0000   | 0.00                 | 70.63               | 0.00               | 70.63              | 10.0 | 7.06                 |
| 03/05/2018   | ***--132P - COPPA, CARMELA<br>ACCOUNT #: VR02004713 | PACIFIC LIFE INNOV-SELE<br>BUY 0 Units @0.0000 | 0.00                 | 115.81              | 0.00               | 115.81             | 10.0 | 11.58                |
| 03/06/2018   | ***--03CL - GEORGIEV,<br>ACCOUNT #: 5092023         | PRINCIPAL 74254L291<br>BUY 0 Units @0.0000     | 0.00                 | 0.85                | 0.00               | 0.85               | 10.0 | 0.09                 |
| <b>* VARIABLE ANNUITY 12B1 TRAILS SUBTOTAL *</b>                         |   |  | <b>\$0.00</b>        | <b>\$519.04</b>     | <b>\$0.00</b>      | <b>\$519.04</b>    |      | <b>\$51.90</b>       |
| <b>*** BROKER TRANSACTIONS TOTAL ***</b>                                 |   |  | <b>\$44,314.85</b>   | <b>\$31,064.83</b>  | <b>\$18.00</b>     | <b>\$31,046.83</b> |      | <b>\$3,089.72</b>    |

## ADJUSTMENTS

|                                  |                                     |      |               |               |               |               |  |                 |
|----------------------------------|-------------------------------------|------|---------------|---------------|---------------|---------------|--|-----------------|
| 03/07/2018                       | MISCELLANEOUS: MISC - ADDITIONAL MC | 0.00 | 0.00          | 0.00          | 0.00          |               |  | 168.89          |
| <b>*** ADJUSTMENTS TOTAL ***</b> |                                     |      | <b>\$0.00</b> | <b>\$0.00</b> | <b>\$0.00</b> | <b>\$0.00</b> |  | <b>\$168.89</b> |

## BROKER COMMISSION TOTALS

|                       |            |
|-----------------------|------------|
| Broker Transactions   | \$3,089.72 |
| Split Transactions    | \$0.00     |
| Override Transactions | \$0.00     |
| Adjustments           | \$0.00     |
| Payroll Draw          | \$0.00     |
| Base Salary           | \$0.00     |
| Prior Period Balance  | \$0.00     |
| FINRA Assessment      | \$0.00     |
| SIPC Assessment       | \$0.00     |

Please Retain for Your Records  
THERE WILL BE NO PAYMENT THIS PERIOD

|                              |               |
|------------------------------|---------------|
| <b>Balance Forward</b>       | <b>\$0.00</b> |
| <b>Year-to-date Earnings</b> | <b>\$0.00</b> |





# COMMISSION STATEMENT

March 12, 2018

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| DATE  | CLIENT                         | INVESTMENT                          | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|---|--------------------------------|-------------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b><u>BROKER TRANSACTIONS</u></b>                       |                                |                                     |                      |                     |                    |                   |      |                      |
| <b><u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u></b> |                                |                                     |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-489I - SAPSTEIN, COREY  | AMERICAN BALANCED FUND-A            | 0.00                 | 4.12                | 0.00               | 4.12              | 50.0 | 2.06                 |
|   | ACCOUNT #: 00083883729         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-303I - SANDERS,         | AMERICAN BALANCED FUND-A            | 0.00                 | 44.37               | 0.00               | 44.37             | 50.0 | 22.19                |
|   | ACCOUNT #: 00088011011         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-401I - SCLAFANI, MONICA | AMERICAN DEVELOPING WRLD GRWTH & IN | 0.00                 | 4.26                | 0.00               | 4.26              | 50.0 | 2.13                 |
|   | ACCOUNT #: 00068856198         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-489I - SAPSTEIN, COREY  | AMERICAN HIGH-INCOME TRUST-A        | 0.00                 | 2.84                | 0.00               | 2.84              | 50.0 | 1.42                 |
|   | ACCOUNT #: 00083883729         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-489I - SAPSTEIN, COREY  | CAPITAL INCOME BUILDER-A            | 0.00                 | 9.90                | 0.00               | 9.90              | 50.0 | 4.95                 |
|   | ACCOUNT #: 00083883729         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-6579 - SNOW, JOE        | CAPITAL WORLD BOND FUND-A           | 0.00                 | 21.90               | 0.00               | 21.90             | 50.0 | 10.95                |
|   | ACCOUNT #: 04000358073         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-745I - DINELLO, DANA    | CAPITAL WORLD GROWTH AND INCOME FUN | 0.00                 | 0.38                | 0.00               | 0.38              | 50.0 | 0.19                 |
|   | ACCOUNT #: 00083731955         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-6579 - SNOW, JOE        | CAPITAL WORLD GROWTH AND INCOME FUN | 0.00                 | 0.15                | 0.00               | 0.15              | 50.0 | 0.08                 |
|   | ACCOUNT #: 04000358073         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-745I - DINELLO, DANA    | EUROPACIFIC GROWTH FUND-A           | 0.00                 | 0.35                | 0.00               | 0.35              | 50.0 | 0.18                 |
|   | ACCOUNT #: 00083731955         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-745I - DINELLO, DANA    | FUNDAMENTAL INVESTORS-A             | 0.00                 | 0.42                | 0.00               | 0.42              | 50.0 | 0.21                 |
|   | ACCOUNT #: 00083731955         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-745I - DINELLO, DANA    | NEW WORLD FUND-A                    | 0.00                 | 1.48                | 0.00               | 1.48              | 50.0 | 0.74                 |
|   | ACCOUNT #: 00083731955         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-29IN - NARDI, STEPHEN   | THE GROWTH FUND OF AMERICA-A        | 0.00                 | 0.71                | 0.00               | 0.71              | 50.0 | 0.36                 |
|   | ACCOUNT #: 00066591106         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-29IN - NARDI, STEPHEN   | THE INVESTMENT COMPANY OF AMERICA-A | 0.00                 | 0.37                | 0.00               | 0.37              | 50.0 | 0.19                 |
|   | ACCOUNT #: 00066591106         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-04UG - HANNEL, BENJAMIN | THE INVESTMENT COMPANY OF AMERICA-A | 0.00                 | 1.31                | 0.00               | 1.31              | 50.0 | 0.66                 |
|   | ACCOUNT #: 00086696018         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| <b>* MUTUAL FUND 12B1 TRAILS SUBTOTAL *</b>             |                                |                                     | <b>\$0.00</b>        | <b>\$92.56</b>      | <b>\$0.00</b>      | <b>\$92.56</b>    |      | <b>\$46.31</b>       |
| <b>*** BROKER TRANSACTIONS TOTAL ***</b>                |                                |                                     | <b>\$0.00</b>        | <b>\$92.56</b>      | <b>\$0.00</b>      | <b>\$92.56</b>    |      | <b>\$46.31</b>       |



BROKER #: AGN  
BRANCH #01001 - LifeMark Home Office

|                                      |        | INVESTMENT | GROSS      | CLEARING              | NET        | BROKER     |
|--------------------------------------|--------|------------|------------|-----------------------|------------|------------|
| DATE                                 | CLIENT | AMOUNT     | COMMISSION | CHARGE                | COMMISSION | COMMISSION |
| <div>BROKER COMMISSION TOTALS</div>  |        |            |            |                       |            |            |
|                                      |        |            |            | Broker Transactions   |            | \$46.31    |
|                                      |        |            |            | Split Transactions    |            | \$0.00     |
|                                      |        |            |            | Override Transactions |            | \$0.00     |
|                                      |        |            |            | Adjustments           |            | \$0.00     |
|                                      |        |            |            | Payroll Draw          |            | \$0.00     |
|                                      |        |            |            | Base Salary           |            | \$0.00     |
|                                      |        |            |            | Prior Period Balance  |            | \$0.00     |
|                                      |        |            |            | FINRA Assessment      |            | \$0.00     |
|                                      |        |            |            | SIPC Assessment       |            | \$0.00     |
|                                      |        |            |            |                       |            |            |
| Please Retain for Your Records       |        |            |            | Balance Forward       |            | \$0.00     |
| THERE WILL BE NO PAYMENT THIS PERIOD |        |            |            | Year-to-date Earnings |            | \$0.00     |



# COMMISSION STATEMENT

March 12, 2018

ZACHARY GIBSON  
1353 Jeffco Blvd  
Arnold, MO 63010

BROKER #: 719 Terminated 12/31/2009  
BRANCH #01001 - LifeMark Home Office

| DATE   | CLIENT | INVESTMENT                      | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE    | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|--|--------|---------------------------------|----------------------|---------------------|-----------------------|-------------------|------|----------------------|
| <div>ADJUSTMENTS</div>   |        |                                 |                      |                     |                       |                   |      |                      |
| 03/07/2018   |        | PRIOR PERIOD BALANCE(SEE BELOW) | 0.00                 | 0.00                | 0.00                  | 0.00              |      | 0.00                 |
| *** ADJUSTMENTS TOTAL ***  |        |                                 | \$0.00               | \$0.00              | \$0.00                | \$0.00            |      | \$0.00               |
| <div>BROKER COMMISSION TOTALS</div>                                    |        |                                 |                      |                     |                       |                   |      |                      |
|  |        |                                 |                      |                     | Broker Transactions   |                   |      | \$0.00               |
|  |        |                                 |                      |                     | Split Transactions    |                   |      | \$0.00               |
|  |        |                                 |                      |                     | Override Transactions |                   |      | \$0.00               |
|  |        |                                 |                      |                     | Adjustments           |                   |      | \$0.00               |
|  |        |                                 |                      |                     | Payroll Draw          |                   |      | \$0.00               |
|  |        |                                 |                      |                     | Base Salary           |                   |      | \$0.00               |
|  |        |                                 |                      |                     | Prior Period Balance  |                   |      | \$0.00               |
|  |        |                                 |                      |                     | FINRA Assessment      |                   |      | \$0.00               |
|  |        |                                 |                      |                     | SIPC Assessment       |                   |      | \$0.00               |
| Please Retain for Your Records<br>THERE WILL BE NO PAYMENT THIS PERIOD |        |                                 |                      |                     | Balance Forward       |                   |      | \$0.00               |
|  |        |                                 |                      |                     | Year-to-date Earnings |                   |      | \$0.00               |



# COMMISSION STATEMENT

## March 12, 2018

BERT GOLDBERG  
1048 W. Myrna Lane  
Tempe, AZ 85284

BROKER #: 698  
BRANCH #01001 - LifeMark Home Office

| DATE  | CLIENT                         | INVESTMENT                          | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|---|--------------------------------|-------------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b><u>BROKER TRANSACTIONS</u></b>                       |                                |                                     |                      |                     |                    |                   |      |                      |
| <b><u>PRODUCT CATEGORY: LIFE INSURANCE</u></b>          |                                |                                     |                      |                     |                    |                   |      |                      |
| 03/06/2018  | ***-**-2708 - GEIMER, PAUL     | NATIONWIDE NEXT GENERATION II       | 250.00               | 5.00                | 0.00               | 5.00              | 70.0 | 3.50                 |
|   | ACCOUNT #: N101782740          | BUY 1 Units @250.0000               |                      |                     |                    |                   |      |                      |
| 03/06/2018  | ***-**-60IN - HUNGERFORD,      | NATIONWIDE YOURLIFE PROTECTION VUL  | 150.00               | 1.50                | 0.00               | 1.50              | 70.0 | 1.05                 |
|   | ACCOUNT #: N550070100          | BUY 1 Units @150.0000               |                      |                     |                    |                   |      |                      |
| 03/06/2018  | ***-**-60IN - HUNGERFORD,      | NATIONWIDE YOURLIFE PROTECTION VUL  | 150.00               | 1.50                | 0.00               | 1.50              | 70.0 | 1.05                 |
|   | ACCOUNT #: N550070100          | BUY 1 Units @150.0000               |                      |                     |                    |                   |      |                      |
| <b>* LIFE INSURANCE SUBTOTAL *</b>                      |                                |                                     | <b>\$550.00</b>      | <b>\$8.00</b>       | <b>\$0.00</b>      | <b>\$8.00</b>     |      | <b>\$5.60</b>        |
| <b><u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u></b> |                                |                                     |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-805P - IPPOLITO, NICOLE | AMCAP FUND-A                        | 0.00                 | 11.24               | 0.00               | 11.24             | 70.0 | 7.87                 |
|   | ACCOUNT #: 00063922927         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-515P - BAUMANN, ROBERT  | AMCAP FUND-A                        | 0.00                 | 1.35                | 0.00               | 1.35              | 70.0 | 0.95                 |
|   | ACCOUNT #: 00063922931         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-195P - BAUMANN, TERESA  | AMCAP FUND-A                        | 0.00                 | 3.47                | 0.00               | 3.47              | 70.0 | 2.43                 |
|   | ACCOUNT #: 00063922933         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-492I - SELL, MICHAEL    | AMCAP FUND-A                        | 0.00                 | 1.85                | 0.00               | 1.85              | 70.0 | 1.30                 |
|   | ACCOUNT #: 00075946748         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-579I - SELL, PATRICIA   | AMCAP FUND-A                        | 0.00                 | 1.85                | 0.00               | 1.85              | 70.0 | 1.30                 |
|   | ACCOUNT #: 00075946796         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-1654 - ROSTAD, BARABARA | AMERICAN FUNDS BLNCD PORTFOLIO CL A | 0.00                 | 1.25                | 0.00               | 1.25              | 70.0 | 0.88                 |
|   | ACCOUNT #: 00073080525         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-755I - ROSTAD, HOWARD   | AMERICAN FUNDS BLNCD PORTFOLIO CL A | 0.00                 | 0.84                | 0.00               | 0.84              | 70.0 | 0.59                 |
|   | ACCOUNT #: 00073613202         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-492I - SELL, MICHAEL    | AMERICAN HIGH-INCOME TRUST-A        | 0.00                 | 0.35                | 0.00               | 0.35              | 70.0 | 0.25                 |
|   | ACCOUNT #: 00075946748         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-579I - SELL, PATRICIA   | AMERICAN HIGH-INCOME TRUST-A        | 0.00                 | 0.35                | 0.00               | 0.35              | 70.0 | 0.25                 |
|   | ACCOUNT #: 00075946796         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-805P - IPPOLITO, NICOLE | AMERICAN MUTUAL FUND-A              | 0.00                 | 5.42                | 0.00               | 5.42              | 70.0 | 3.79                 |
|   | ACCOUNT #: 00063922927         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-515P - BAUMANN, ROBERT  | AMERICAN MUTUAL FUND-A              | 0.00                 | 1.32                | 0.00               | 1.32              | 70.0 | 0.92                 |
|   | ACCOUNT #: 00063922931         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-195P - BAUMANN, TERESA  | AMERICAN MUTUAL FUND-A              | 0.00                 | 3.38                | 0.00               | 3.38              | 70.0 | 2.37                 |
|   | ACCOUNT #: 00063922933         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |



# COMMISSION STATEMENT

March 12, 2018

BERT GOLDBERG  
1048 W. Myrna Lane  
Tempe, AZ 85284

BROKER #: 698  
BRANCH #01001 - LifeMark Home Office

| DATE   | CLIENT                         | INVESTMENT                          | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|--|--------------------------------|-------------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b>BROKER TRANSACTIONS (continued)</b>                       |                                |                                     |                      |                     |                    |                   |      |                      |
| <b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</b> |                                |                                     |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-755I - ROSTAD, HOWARD   | AMERICAN MUTUAL FUND-A              | 0.00                 | 10.33               | 0.00               | 10.33             | 70.0 | 7.23                 |
|  | ACCOUNT #: 00073613202         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-515P - BAUMANN, ROBERT  | CAPITAL INCOME BUILDER-A            | 0.00                 | 1.09                | 0.00               | 1.09              | 70.0 | 0.76                 |
|  | ACCOUNT #: 00063922931         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-492I - SELL, MICHAEL    | CAPITAL INCOME BUILDER-A            | 0.00                 | 0.93                | 0.00               | 0.93              | 70.0 | 0.65                 |
|  | ACCOUNT #: 00075946748         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-579I - SELL, PATRICIA   | CAPITAL INCOME BUILDER-A            | 0.00                 | 0.93                | 0.00               | 0.93              | 70.0 | 0.65                 |
|  | ACCOUNT #: 00075946796         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-875P - LANGILL,         | CAPITAL INCOME BUILDER-A            | 0.00                 | 0.03                | 0.00               | 0.03              | 70.0 | 0.02                 |
|  | ACCOUNT #: 00082197082         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-805P - IPPOLITO, NICOLE | CAPITAL WORLD GROWTH AND INCOME FUN | 0.00                 | 5.48                | 0.00               | 5.48              | 70.0 | 3.84                 |
|  | ACCOUNT #: 00063922927         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-492I - SELL, MICHAEL    | CAPITAL WORLD GROWTH AND INCOME FUN | 0.00                 | 1.75                | 0.00               | 1.75              | 70.0 | 1.23                 |
|  | ACCOUNT #: 00075946748         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-579I - SELL, PATRICIA   | CAPITAL WORLD GROWTH AND INCOME FUN | 0.00                 | 1.75                | 0.00               | 1.75              | 70.0 | 1.23                 |
|  | ACCOUNT #: 00075946796         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-875P - LANGILL,         | CAPITAL WORLD GROWTH AND INCOME FUN | 0.00                 | 0.14                | 0.00               | 0.14              | 70.0 | 0.10                 |
|  | ACCOUNT #: 00082197082         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/12/2018   | ***-**-0737 - SCHROEDER, JACK  | DELAWARE EXTENDED DURATION BOND FUN | 0.00                 | 0.03                | 0.00               | 0.03              | 70.0 | 0.02                 |
|  | ACCOUNT #: LSR105112           | BUY 1 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-875P - LANGILL,         | EUROPACIFIC GROWTH FUND-A           | 0.00                 | 0.06                | 0.00               | 0.06              | 70.0 | 0.04                 |
|  | ACCOUNT #: 00082197082         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-805P - IPPOLITO, NICOLE | FUNDAMENTAL INVESTORS-A             | 0.00                 | 12.22               | 0.00               | 12.22             | 70.0 | 8.55                 |
|  | ACCOUNT #: 00063922927         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-515P - BAUMANN, ROBERT  | FUNDAMENTAL INVESTORS-A             | 0.00                 | 1.30                | 0.00               | 1.30              | 70.0 | 0.91                 |
|  | ACCOUNT #: 00063922931         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-195P - BAUMANN, TERESA  | FUNDAMENTAL INVESTORS-A             | 0.00                 | 3.29                | 0.00               | 3.29              | 70.0 | 2.30                 |
|  | ACCOUNT #: 00063922933         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-875P - LANGILL,         | FUNDAMENTAL INVESTORS-A             | 0.00                 | 0.18                | 0.00               | 0.18              | 70.0 | 0.13                 |
|  | ACCOUNT #: 00082197082         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-1654 - ROSTAD, BARABARA | GLOBAL GROWTH PORTFOLIO-A           | 0.00                 | 0.36                | 0.00               | 0.36              | 70.0 | 0.25                 |
|  | ACCOUNT #: 00073080525         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |



# COMMISSION STATEMENT

March 12, 2018

BERT GOLDBERG  
1048 W. Myrna Lane  
Tempe, AZ 85284

BROKER #: 698  
BRANCH #01001 - LifeMark Home Office

| DATE   | CLIENT                         | INVESTMENT                         | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|--|--------------------------------|------------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b>BROKER TRANSACTIONS (continued)</b>                       |                                |                                    |                      |                     |                    |                   |      |                      |
| <b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</b> |                                |                                    |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-755I - ROSTAD, HOWARD   | GLOBAL GROWTH PORTFOLIO-A          | 0.00                 | 0.50                | 0.00               | 0.50              | 70.0 | 0.35                 |
|  | ACCOUNT #: 00073613202         | BUY 0 Units @0.0000                |                      |                     |                    |                   |      |                      |
| 03/12/2018   | ***-**-5594 - BISHOP, SHANNON  | MASS INVESTORS GROWTH STOCK FUND-A | 0.00                 | 0.96                | 0.00               | 0.96              | 70.0 | 0.67                 |
|  | ACCOUNT #: LSR105392           | BUY 1 Units @0.0000                |                      |                     |                    |                   |      |                      |
| 03/12/2018   | ***-**-0737 - SCHROEDER, JACK  | MFS DIVERSIFIED INCOME FD CL A     | 0.00                 | 10.64               | 0.00               | 10.64             | 70.0 | 7.45                 |
|  | ACCOUNT #: LSR105112           | BUY 1 Units @0.0000                |                      |                     |                    |                   |      |                      |
| 03/12/2018   | ***-**-514I - BERGIN, JOSEPH   | MFS EMERGING MARKETS DEBT FUND-A   | 0.00                 | 0.73                | 0.00               | 0.73              | 70.0 | 0.51                 |
|  | ACCOUNT #: LSR004910           | BUY 1 Units @0.0000                |                      |                     |                    |                   |      |                      |
| 03/12/2018   | ***-**-0737 - SCHROEDER, JACK  | MFS EMERGING MARKETS DEBT FUND-A   | 0.00                 | 2.98                | 0.00               | 2.98              | 70.0 | 2.09                 |
|  | ACCOUNT #: LSR105112           | BUY 1 Units @0.0000                |                      |                     |                    |                   |      |                      |
| 03/12/2018   | ***-**-5712 - RAMSEY, GUSSIE   | MFS EMERGING MARKETS DEBT FUND-A   | 0.00                 | 1.21                | 0.00               | 1.21              | 70.0 | 0.85                 |
|  | ACCOUNT #: LSR105929           | BUY 1 Units @0.0000                |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-1654 - ROSTAD, BARABARA | NEW PERSPECTIVE FUND-A             | 0.00                 | 4.37                | 0.00               | 4.37              | 70.0 | 3.06                 |
|  | ACCOUNT #: 00073080525         | BUY 0 Units @0.0000                |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-755I - ROSTAD, HOWARD   | NEW PERSPECTIVE FUND-A             | 0.00                 | 6.06                | 0.00               | 6.06              | 70.0 | 4.24                 |
|  | ACCOUNT #: 00073613202         | BUY 0 Units @0.0000                |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-1654 - ROSTAD, BARABARA | PRESERVATION PORTFOLIO-A           | 0.00                 | 0.49                | 0.00               | 0.49              | 70.0 | 0.34                 |
|  | ACCOUNT #: 00073080525         | BUY 0 Units @0.0000                |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-755I - ROSTAD, HOWARD   | PRESERVATION PORTFOLIO-A           | 0.00                 | 0.34                | 0.00               | 0.34              | 70.0 | 0.24                 |
|  | ACCOUNT #: 00073613202         | BUY 0 Units @0.0000                |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-492I - SELL, MICHAEL    | SMALLCAP WORLD FUND-A              | 0.00                 | 0.52                | 0.00               | 0.52              | 70.0 | 0.36                 |
|  | ACCOUNT #: 00075946748         | BUY 0 Units @0.0000                |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-579I - SELL, PATRICIA   | SMALLCAP WORLD FUND-A              | 0.00                 | 0.52                | 0.00               | 0.52              | 70.0 | 0.36                 |
|  | ACCOUNT #: 00075946796         | BUY 0 Units @0.0000                |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-1654 - ROSTAD, BARABARA | THE BOND FUND OF AMERICA-A         | 0.00                 | 3.27                | 0.00               | 3.27              | 70.0 | 2.29                 |
|  | ACCOUNT #: 00073080525         | BUY 0 Units @0.0000                |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-755I - ROSTAD, HOWARD   | THE BOND FUND OF AMERICA-A         | 0.00                 | 1.58                | 0.00               | 1.58              | 70.0 | 1.11                 |
|  | ACCOUNT #: 00073613202         | BUY 0 Units @0.0000                |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-492I - SELL, MICHAEL    | THE BOND FUND OF AMERICA-A         | 0.00                 | 1.46                | 0.00               | 1.46              | 70.0 | 1.02                 |
|  | ACCOUNT #: 00075946748         | BUY 0 Units @0.0000                |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-579I - SELL, PATRICIA   | THE BOND FUND OF AMERICA-A         | 0.00                 | 1.46                | 0.00               | 1.46              | 70.0 | 1.02                 |
|  | ACCOUNT #: 00075946796         | BUY 0 Units @0.0000                |                      |                     |                    |                   |      |                      |



# COMMISSION STATEMENT

March 12, 2018

BERT GOLDBERG  
1048 W. Myrna Lane  
Tempe, AZ 85284

BROKER #: 698  
BRANCH #01001 - LifeMark Home Office

| DATE   | CLIENT                         | INVESTMENT                          | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|--|--------------------------------|-------------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b>BROKER TRANSACTIONS (continued)</b>                       |                                |                                     |                      |                     |                    |                   |      |                      |
| <b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</b> |                                |                                     |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-805P - IPPOLITO, NICOLE | THE GROWTH FUND OF AMERICA-A        | 0.00                 | 11.90               | 0.00               | 11.90             | 70.0 | 8.33                 |
|  | ACCOUNT #: 00063922927         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-515P - BAUMANN, ROBERT  | THE GROWTH FUND OF AMERICA-A        | 0.00                 | 1.32                | 0.00               | 1.32              | 70.0 | 0.92                 |
|  | ACCOUNT #: 00063922931         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-195P - BAUMANN, TERESA  | THE GROWTH FUND OF AMERICA-A        | 0.00                 | 3.33                | 0.00               | 3.33              | 70.0 | 2.33                 |
|  | ACCOUNT #: 00063922933         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-1654 - ROSTAD, BARABARA | THE GROWTH FUND OF AMERICA-A        | 0.00                 | 2.67                | 0.00               | 2.67              | 70.0 | 1.87                 |
|  | ACCOUNT #: 00073080525         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-755I - ROSTAD, HOWARD   | THE GROWTH FUND OF AMERICA-A        | 0.00                 | 2.51                | 0.00               | 2.51              | 70.0 | 1.76                 |
|  | ACCOUNT #: 00073613202         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-875P - LANGILL,         | THE GROWTH FUND OF AMERICA-A        | 0.00                 | 0.18                | 0.00               | 0.18              | 70.0 | 0.13                 |
|  | ACCOUNT #: 00082197082         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-195P - BAUMANN, TERESA  | THE INCOME FUND OF AMERICA-A        | 0.00                 | 2.93                | 0.00               | 2.93              | 70.0 | 2.05                 |
|  | ACCOUNT #: 00063922933         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-875P - LANGILL,         | THE INCOME FUND OF AMERICA-A        | 0.00                 | 0.07                | 0.00               | 0.07              | 70.0 | 0.05                 |
|  | ACCOUNT #: 00082197082         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-515P - BAUMANN, ROBERT  | THE INVESTMENT COMPANY OF AMERICA-A | 0.00                 | 1.36                | 0.00               | 1.36              | 70.0 | 0.95                 |
|  | ACCOUNT #: 00063922931         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-195P - BAUMANN, TERESA  | THE INVESTMENT COMPANY OF AMERICA-A | 0.00                 | 3.46                | 0.00               | 3.46              | 70.0 | 2.42                 |
|  | ACCOUNT #: 00063922933         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-805P - IPPOLITO, NICOLE | THE NEW ECONOMY FUND-A              | 0.00                 | 12.40               | 0.00               | 12.40             | 70.0 | 8.68                 |
|  | ACCOUNT #: 00063922927         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-515P - BAUMANN, ROBERT  | THE NEW ECONOMY FUND-A              | 0.00                 | 1.32                | 0.00               | 1.32              | 70.0 | 0.92                 |
|  | ACCOUNT #: 00063922931         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-195P - BAUMANN, TERESA  | THE NEW ECONOMY FUND-A              | 0.00                 | 3.38                | 0.00               | 3.38              | 70.0 | 2.37                 |
|  | ACCOUNT #: 00063922933         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-515P - BAUMANN, ROBERT  | WASHINGTON MUTUAL INVESTORS FUND-A  | 0.00                 | 1.35                | 0.00               | 1.35              | 70.0 | 0.95                 |
|  | ACCOUNT #: 00063922931         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-195P - BAUMANN, TERESA  | WASHINGTON MUTUAL INVESTORS FUND-A  | 0.00                 | 3.47                | 0.00               | 3.47              | 70.0 | 2.43                 |
|  | ACCOUNT #: 00063922933         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-1654 - ROSTAD, BARABARA | WASHINGTON MUTUAL INVESTORS FUND-A  | 0.00                 | 15.25               | 0.00               | 15.25             | 70.0 | 10.68                |
|  | ACCOUNT #: 00073080525         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |



# COMMISSION STATEMENT

March 12, 2018

BERT GOLDBERG  
1048 W. Myrna Lane  
Tempe, AZ 85284

BROKER #: 698  
BRANCH #01001 - LifeMark Home Office

| DATE   | CLIENT                        | INVESTMENT                                       | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|--|-------------------------------|--|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b>BROKER TRANSACTIONS (continued)</b>                       |                               |  |                      |                     |                    |                   |      |                      |
| <b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</b> |                               |  |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-492I - SELL, MICHAEL   | WASHINGTON MUTUAL INVESTORS FUND-A               | 0.00                 | 2.64                | 0.00               | 2.64              | 70.0 | 1.85                 |
|  | ACCOUNT #: 00075946748        | BUY 0 Units @0.0000                              |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-579I - SELL, PATRICIA  | WASHINGTON MUTUAL INVESTORS FUND-A               | 0.00                 | 2.64                | 0.00               | 2.64              | 70.0 | 1.85                 |
|  | ACCOUNT #: 00075946796        | BUY 0 Units @0.0000                              |                      |                     |                    |                   |      |                      |
|  |                               | <b>* MUTUAL FUND 12B1 TRAILS SUBTOTAL *</b>      | <b>\$0.00</b>        | <b>\$181.81</b>     | <b>\$0.00</b>      | <b>\$181.81</b>   |      | <b>\$127.31</b>      |
| <b>PRODUCT CATEGORY: VARIABLE ANNUITY 12B1 TRAILS</b>        |                               |  |                      |                     |                    |                   |      |                      |
| 03/12/2018   | ***-**-0235 - RKS, PLUMBING & | JOHN HANCOCK VA TRAILS                           | 0.00                 | 799.42              | 0.00               | 799.42            | 70.0 | 559.59               |
|  | ACCOUNT #: 26983              | BUY 1 Units @0.0000                              |                      |                     |                    |                   |      |                      |
|  |                               | <b>* VARIABLE ANNUITY 12B1 TRAILS SUBTOTAL *</b> | <b>\$0.00</b>        | <b>\$799.42</b>     | <b>\$0.00</b>      | <b>\$799.42</b>   |      | <b>\$559.59</b>      |
|  |                               | <b>*** BROKER TRANSACTIONS TOTAL ***</b>         | <b>\$550.00</b>      | <b>\$989.23</b>     | <b>\$0.00</b>      | <b>\$989.23</b>   |      | <b>\$692.50</b>      |

## BROKER COMMISSION TOTALS

|                       |          |
|-----------------------|----------|
| Broker Transactions   | \$692.50 |
| Split Transactions    | \$0.00   |
| Override Transactions | \$0.00   |
| Adjustments           | \$0.00   |
| Payroll Draw          | \$0.00   |
| Base Salary           | \$0.00   |
| Prior Period Balance  | \$0.00   |
| FINRA Assessment      | \$0.00   |
| SIPC Assessment       | \$0.00   |

Please Retain for Your Records  
THERE WILL BE NO PAYMENT THIS PERIOD

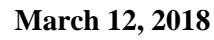
|                              |               |
|------------------------------|---------------|
| <b>Balance Forward</b>       | <b>\$0.00</b> |
| <b>Year-to-date Earnings</b> | <b>\$0.00</b> |





BROKER #: 773      Terminated 12/31/2007  
BRANCH #01001 - LifeMark Home Office

| DATE   | CLIENT | INVESTMENT                      | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE  | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION         |
|--|--------|---------------------------------|----------------------|---------------------|---|-------------------|------|------------------------------|
| <div>ADJUSTMENTS</div>   |        |                                 |                      |                     |   |                   |      |                              |
| 03/07/2018   |        | PRIOR PERIOD BALANCE(SEE BELOW) | 0.00                 | 0.00                | 0.00  | 0.00              |      | 0.00                         |
|  |        | *** ADJUSTMENTS TOTAL ***       | \$0.00               | \$0.00              | \$0.00  | \$0.00            |      | \$0.00                       |
| <div>BROKER COMMISSION TOTALS</div>                                    |        |                                 |                      |                     |   |                   |      |                              |
|  |        |                                 |                      |                     |   |                   |      | Broker Transactions \$0.00   |
|  |        |                                 |                      |                     |   |                   |      | Split Transactions \$0.00    |
|  |        |                                 |                      |                     |   |                   |      | Override Transactions \$0.00 |
|  |        |                                 |                      |                     |   |                   |      | Adjustments \$0.00           |
|  |        |                                 |                      |                     |   |                   |      | Payroll Draw \$0.00          |
|  |        |                                 |                      |                     |   |                   |      | Base Salary \$0.00           |
|  |        |                                 |                      |                     |   |                   |      | Prior Period Balance \$0.00  |
|  |        |                                 |                      |                     |   |                   |      | FINRA Assessment \$0.00      |
|  |        |                                 |                      |                     |   |                   |      | SIPC Assessment \$0.00       |
| Please Retain for Your Records<br>THERE WILL BE NO PAYMENT THIS PERIOD |        |                                 |                      |                     | <div><div>Balance Forward \$0.00</div><div>Year-to-date Earnings \$0.00</div></div> |                   |      |                              |



BROKER #: 990      Terminated 12/31/2008  
BRANCH #01001 - LifeMark Home Office

| DATE   | CLIENT | INVESTMENT                      | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE  | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION         |
|--|--------|---------------------------------|----------------------|---------------------|---|-------------------|------|------------------------------|
| <div>ADJUSTMENTS</div>   |        |                                 |                      |                     |   |                   |      |                              |
| 03/07/2018   |        | PRIOR PERIOD BALANCE(SEE BELOW) | 0.00                 | 0.00                | 0.00  | 0.00              |      | 0.00                         |
|  |        | *** ADJUSTMENTS TOTAL ***       | \$0.00               | \$0.00              | \$0.00  | \$0.00            |      | \$0.00                       |
| <div>BROKER COMMISSION TOTALS</div>                                    |        |                                 |                      |                     |   |                   |      |                              |
|  |        |                                 |                      |                     |   |                   |      | Broker Transactions \$0.00   |
|  |        |                                 |                      |                     |   |                   |      | Split Transactions \$0.00    |
|  |        |                                 |                      |                     |   |                   |      | Override Transactions \$0.00 |
|  |        |                                 |                      |                     |   |                   |      | Adjustments \$0.00           |
|  |        |                                 |                      |                     |   |                   |      | Payroll Draw \$0.00          |
|  |        |                                 |                      |                     |   |                   |      | Base Salary \$0.00           |
|  |        |                                 |                      |                     |   |                   |      | Prior Period Balance \$0.00  |
|  |        |                                 |                      |                     |   |                   |      | FINRA Assessment \$0.00      |
|  |        |                                 |                      |                     |   |                   |      | SIPC Assessment \$0.00       |
| Please Retain for Your Records<br>THERE WILL BE NO PAYMENT THIS PERIOD |        |                                 |                      |                     | <div>Balance Forward \$0.00</div> <div>Year-to-date Earnings \$0.00</div> |                   |      |                              |



# COMMISSION STATEMENT

March 12, 2018

GRADY GORMAN  
7105 West 44th Ave  
Wheatridge, CO 80033

BROKER #: A97  
BRANCH #01001 - LifeMark Home Office

| DATE   | CLIENT                      | INVESTMENT                                 | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|--|-----------------------------|--|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b><u>BROKER TRANSACTIONS</u></b>                        |                             |  |                      |                     |                    |                   |      |                      |
| <b><u>PRODUCT CATEGORY: EQUITY INDEXED ANNUITIES</u></b> |                             |  |                      |                     |                    |                   |      |                      |
| 02/07/2018   | ***-**-1156 - CAPUNE, DAVID | ALLIANZ 222 EIA<br>BUY 1 Units @37000.0000 | 38,106.54            | 2,476.93            | 0.00               | 2,476.93          | 90.0 | 2,229.24             |
| * EQUITY INDEXED ANNUITIES SUBTOTAL *                    |                             |  | <u>\$38,106.54</u>   | <u>\$2,476.93</u>   | <u>\$0.00</u>      | <u>\$2,476.93</u> |      | <u>\$2,229.24</u>    |
| *** BROKER TRANSACTIONS TOTAL ***                        |                             |  | <u>\$38,106.54</u>   | <u>\$2,476.93</u>   | <u>\$0.00</u>      | <u>\$2,476.93</u> |      | <u>\$2,229.24</u>    |

## **BROKER COMMISSION TOTALS**

|                       |            |
|-----------------------|------------|
| Broker Transactions   | \$2,229.24 |
| Split Transactions    | \$0.00     |
| Override Transactions | \$0.00     |
| Adjustments           | \$0.00     |
| Payroll Draw          | \$0.00     |
| Base Salary           | \$0.00     |
| Prior Period Balance  | \$0.00     |
| FINRA Assessment      | \$0.00     |
| SIPC Assessment       | \$0.00     |

Please Retain for Your Records  
THERE WILL BE NO PAYMENT THIS PERIOD

|                              |               |
|------------------------------|---------------|
| <b>Balance Forward</b>       | <b>\$0.00</b> |
| <b>Year-to-date Earnings</b> | <b>\$0.00</b> |



# COMMISSION STATEMENT

March 12, 2018

ALEXANDRE GUEORGUIEV  
400 West Metro Park  
Rochester, NY 14623

BROKER #: 708  
BRANCH #01001 - LifeMark Home Office

| DATE  | CLIENT                         | INVESTMENT                        | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|---|--------------------------------|-----------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b><u>BROKER TRANSACTIONS</u></b>                       |                                |                                   |                      |                     |                    |                   |      |                      |
| <b><u>PRODUCT CATEGORY: 529 PLAN</u></b>                |                                |                                   |                      |                     |                    |                   |      |                      |
| 03/12/2018  | ***-**-24IN - SPIEGEL, DAVID   | AGGRESSIVE PORTFOLIO A            | 50.00                | 2.38                | 0.00               | 2.38              | 90.0 | 2.14                 |
|   | ACCOUNT #: 77349113201         | BUY 0 Units @0.0000               |                      |                     |                    |                   |      |                      |
| 03/12/2018  | ***-**-9062 - DERION, KIMBERLY | NEW YORK 529 TRAILS               | 0.00                 | 2.42                | 0.00               | 2.42              | 90.0 | 2.18                 |
|   | ACCOUNT #: 77074558301         | BUY 0 Units @0.0000               |                      |                     |                    |                   |      |                      |
| 03/12/2018  | ***-**-24IN - SPIEGEL, DAVID   | NEW YORK 529 TRAILS               | 0.00                 | 1.57                | 0.00               | 1.57              | 90.0 | 1.41                 |
|   | ACCOUNT #: 77349113201         | BUY 0 Units @0.0000               |                      |                     |                    |                   |      |                      |
| 03/12/2018  | ***-**-895P - BAKER, MICHAEL   | NEW YORK 529 TRAILS               | 0.00                 | 0.13                | 0.00               | 0.13              | 90.0 | 0.12                 |
|   | ACCOUNT #: 77623456201         | BUY 0 Units @0.0000               |                      |                     |                    |                   |      |                      |
| 03/12/2018  | ***-**-0071 - LUIS, ADAM       | NEW YORK 529 TRAILS               | 0.00                 | 0.25                | 0.00               | 0.25              | 90.0 | 0.23                 |
|   | ACCOUNT #: 77841355501         | BUY 0 Units @0.0000               |                      |                     |                    |                   |      |                      |
| 03/12/2018  | ***-**-895P - BAKER, MICHAEL   | NYA JPM 529 AGGR AGE-BASE A       | 50.00                | 2.38                | 0.00               | 2.38              | 90.0 | 2.14                 |
|   | ACCOUNT #: 77623456201         | BUY 0 Units @0.0000               |                      |                     |                    |                   |      |                      |
| 03/12/2018  | ***-**-0071 - LUIS, ADAM       | NYA JPM 529 AGGR AGE-BASE A       | 80.00                | 3.80                | 0.00               | 3.80              | 90.0 | 3.42                 |
|   | ACCOUNT #: 77841355501         | BUY 0 Units @0.0000               |                      |                     |                    |                   |      |                      |
| 03/12/2018  | ***-**-9062 - DERION, KIMBERLY | NYA JPM 529 MOD AGE-BASED A       | 175.00               | 7.62                | 0.00               | 7.62              | 90.0 | 6.86                 |
|   | ACCOUNT #: 77074558301         | BUY 0 Units @0.0000               |                      |                     |                    |                   |      |                      |
| * 529 PLAN SUBTOTAL *                                   |                                |                                   | \$355.00             | \$20.55             | \$0.00             | \$20.55           |      | \$18.50              |
| <b><u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u></b> |                                |                                   |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-7140 - CLARK, KATELYNN  | AMERICAN FUNDS 2050 TARGET DATE-A | 0.00                 | 7.25                | 0.00               | 7.25              | 90.0 | 6.53                 |
|   | ACCOUNT #: 00089142694         | BUY 0 Units @0.0000               |                      |                     |                    |                   |      |                      |
| * MUTUAL FUND 12B1 TRAILS SUBTOTAL *                    |                                |                                   | \$0.00               | \$7.25              | \$0.00             | \$7.25            |      | \$6.53               |
| *** BROKER TRANSACTIONS TOTAL ***                       |                                |                                   | \$355.00             | \$27.80             | \$0.00             | \$27.80           |      | \$25.03              |



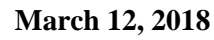
# COMMISSION STATEMENT

March 12, 2018

ALEXANDRE GUEORGUIEV  
400 West Metro Park  
Rochester, NY 14623

BROKER #: 708  
BRANCH #01001 - LifeMark Home Office

| DATE   | CLIENT | INVESTMENT | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE                         | BROKER<br>COMMISSION         |
|--|--------|------------|----------------------|---------------------|--------------------|-------------------|------------------------------|------------------------------|
| <b><u>BROKER COMMISSION TOTALS</u></b>                                 |        |            |                      |                     |                    |                   |                              |                              |
|  |        |            |                      |                     |                    |                   |                              | Broker Transactions \$25.03  |
|  |        |            |                      |                     |                    |                   |                              | Split Transactions \$0.00    |
|  |        |            |                      |                     |                    |                   |                              | Override Transactions \$0.00 |
|  |        |            |                      |                     |                    |                   |                              | Adjustments \$0.00           |
|  |        |            |                      |                     |                    |                   |                              | Payroll Draw \$0.00          |
|  |        |            |                      |                     |                    |                   |                              | Base Salary \$0.00           |
|  |        |            |                      |                     |                    |                   |                              | Prior Period Balance \$0.00  |
|  |        |            |                      |                     |                    |                   |                              | FINRA Assessment \$0.00      |
|  |        |            |                      |                     |                    |                   |                              | SIPC Assessment \$0.00       |
| Please Retain for Your Records<br>THERE WILL BE NO PAYMENT THIS PERIOD |        |            |                      |                     |                    |                   |                              |                              |
|  |        |            |                      |                     |                    |                   | <b>Balance Forward</b>       | <b>\$0.00</b>                |
|  |        |            |                      |                     |                    |                   | <b>Year-to-date Earnings</b> | <b>\$0.00</b>                |



BROKER #: A61      Terminated 01/24/2017  
BRANCH #01001 - LifeMark Home Office

| DATE   | CLIENT | INVESTMENT | INVESTMENT<br>AMOUNT            | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION  | RATE   | BROKER<br>COMMISSION |
|--|--------|------------|---------------------------------|---------------------|--------------------|--|--------|----------------------|
| <div>ADJUSTMENTS</div>   |        |            |                                 |                     |                    |  |        |                      |
| /  | /      |            | PRIOR PERIOD BALANCE(SEE BELOW) | 0.00                | 0.00               | 0.00   | 0.00   | 0.00                 |
|  |        |            | *** ADJUSTMENTS TOTAL ***       | \$0.00              | \$0.00             | \$0.00   | \$0.00 | \$0.00               |
|  |        |            |                                 |                     |                    | <div>BROKER COMMISSION TOTALS</div>                              |        |                      |
|  |        |            |                                 |                     |                    | Broker Transactions  |        | \$0.00               |
|  |        |            |                                 |                     |                    | Split Transactions   |        | \$0.00               |
|  |        |            |                                 |                     |                    | Override Transactions  |        | \$0.00               |
|  |        |            |                                 |                     |                    | Adjustments  |        | \$0.00               |
|  |        |            |                                 |                     |                    | Payroll Draw   |        | \$0.00               |
|  |        |            |                                 |                     |                    | Base Salary  |        | \$0.00               |
|  |        |            |                                 |                     |                    | Prior Period Balance   |        | \$0.00               |
|  |        |            |                                 |                     |                    | FINRA Assessment   |        | \$0.00               |
|  |        |            |                                 |                     |                    | SIPC Assessment  |        | \$0.00               |
| Please Retain for Your Records<br>THERE WILL BE NO PAYMENT THIS PERIOD |        |            |                                 |                     |                    | <div>Balance Forward\$0.00<br/>Year-to-date Earnings\$0.00</div> |        |                      |



# COMMISSION STATEMENT

March 12, 2018

ALEXANDER HACKLEY  
2305 E Arapahoe Rd. #235  
Centennial, CO 80122

BROKER #: B04  
BRANCH #01001 - LifeMark Home Office

| DATE   | CLIENT                        | INVESTMENT                                       | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|--|-------------------------------|--|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b><u>BROKER TRANSACTIONS</u></b>                            |                               |  |                      |                     |                    |                   |      |                      |
| <b><u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u></b>      |                               |  |                      |                     |                    |                   |      |                      |
| 03/12/2018   | ***-**-679I - VIGIL, ELLI     | DELAWARE EXTENDED DURATION BOND FUN              | 0.00                 | 17.73               | 0.00               | 17.73             | 75.0 | 13.30                |
|  | ACCOUNT #: LSR011852          | BUY 1 Units @0.0000                              |                      |                     |                    |                   |      |                      |
| 03/12/2018   | ***-**-7700 - WEBER, F DIANNE | MFS VALUE FUND-A                                 | 0.00                 | 2.41                | 0.00               | 2.41              | 75.0 | 1.81                 |
|  | ACCOUNT #: LSR011972          | BUY 1 Units @0.0000                              |                      |                     |                    |                   |      |                      |
| 03/12/2018   | ***-**-66IR - RONS, JANICE    | NUVEEN SHORT TERM BOND CL A                      | 0.00                 | 0.68                | 0.00               | 0.68              | 75.0 | 0.51                 |
|  | ACCOUNT #: LSR012039          | BUY 1 Units @0.0000                              |                      |                     |                    |                   |      |                      |
|  |                               | <b>* MUTUAL FUND 12B1 TRAILS SUBTOTAL *</b>      | <b>\$0.00</b>        | <b>\$20.82</b>      | <b>\$0.00</b>      | <b>\$20.82</b>    |      | <b>\$15.62</b>       |
| <b><u>PRODUCT CATEGORY: VARIABLE ANNUITY 12B1 TRAILS</u></b> |                               |  |                      |                     |                    |                   |      |                      |
| 02/15/2018   | ***-**-4240 - WEBER, DONALD   | TA LANDMARK VARIABLE ANNUITY                     | 0.00                 | 43.78               | 0.00               | 43.78             | 75.0 | 32.84                |
|  | ACCOUNT #: 111290LK3          | BUY 0 Units @0.0000                              |                      |                     |                    |                   |      |                      |
|  |                               | <b>* VARIABLE ANNUITY 12B1 TRAILS SUBTOTAL *</b> | <b>\$0.00</b>        | <b>\$43.78</b>      | <b>\$0.00</b>      | <b>\$43.78</b>    |      | <b>\$32.84</b>       |
|  |                               | <b>*** BROKER TRANSACTIONS TOTAL ***</b>         | <b>\$0.00</b>        | <b>\$64.60</b>      | <b>\$0.00</b>      | <b>\$64.60</b>    |      | <b>\$48.46</b>       |

## **BROKER COMMISSION TOTALS**

|                       |         |
|-----------------------|---------|
| Broker Transactions   | \$48.46 |
| Split Transactions    | \$0.00  |
| Override Transactions | \$0.00  |
| Adjustments           | \$0.00  |
| Payroll Draw          | \$0.00  |
| Base Salary           | \$0.00  |
| Prior Period Balance  | \$0.00  |
| FINRA Assessment      | \$0.00  |
| SIPC Assessment       | \$0.00  |

Please Retain for Your Records  
THERE WILL BE NO PAYMENT THIS PERIOD

|                              |               |
|------------------------------|---------------|
| <b>Balance Forward</b>       | <b>\$0.00</b> |
| <b>Year-to-date Earnings</b> | <b>\$0.00</b> |



# COMMISSION STATEMENT

March 12, 2018

JEFFREY HANRETTY  
8365 Seneca Turnpike  
New Hartford, NY 13413

BROKER #: B08  
BRANCH #01001 - LifeMark Home Office

| DATE   | CLIENT                        | INVESTMENT                        | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|--|-------------------------------|-----------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b><u>BROKER TRANSACTIONS</u></b>            |                               |                                   |                      |                     |                    |                   |      |                      |
| <b><u>PRODUCT CATEGORY: MUTUAL FUNDS</u></b> |                               |                                   |                      |                     |                    |                   |      |                      |
| 02/27/2018                                   | ***-**-4540 - NELSON, RORY    | AMCAP FUND-A                      | 18.75                | 0.38                | 0.00               | 0.38              | 75.0 | 0.29                 |
|  | ACCOUNT #: 00073748857        | BUY 1 Units @34.2300              |                      |                     |                    |                   |      |                      |
| 02/27/2018                                   | ***-**-4540 - NELSON, RORY    | AMCAP FUND-A                      | 6.24                 | 0.12                | 0.00               | 0.12              | 75.0 | 0.09                 |
|  | ACCOUNT #: 00073748857        | BUY 0 Units @34.2300              |                      |                     |                    |                   |      |                      |
| 02/27/2018                                   | ***-**-381I - ZARNOCK, MARTIN | AMCAP FUND-A                      | 62.50                | 1.25                | 0.00               | 1.25              | 75.0 | 0.94                 |
|  | ACCOUNT #: 00073744276        | BUY 2 Units @34.2300              |                      |                     |                    |                   |      |                      |
| 02/27/2018                                   | ***-**-381I - ZARNOCK, MARTIN | AMCAP FUND-A                      | 5.53                 | 0.11                | 0.00               | 0.11              | 75.0 | 0.08                 |
|  | ACCOUNT #: 00073744276        | BUY 0 Units @34.2300              |                      |                     |                    |                   |      |                      |
| 02/27/2018                                   | ***-**-381I - ZARNOCK, MARTIN | AMERICAN BALANCED FUND-A          | 62.50                | 1.25                | 0.00               | 1.25              | 75.0 | 0.94                 |
|  | ACCOUNT #: 00073744276        | BUY 2 Units @27.9900              |                      |                     |                    |                   |      |                      |
| 02/27/2018                                   | ***-**-381I - ZARNOCK, MARTIN | AMERICAN BALANCED FUND-A          | 5.53                 | 0.11                | 0.00               | 0.11              | 75.0 | 0.08                 |
|  | ACCOUNT #: 00073744276        | BUY 0 Units @27.9900              |                      |                     |                    |                   |      |                      |
| 02/27/2018                                   | ***-**-5124 - DEE, ALAN       | AMERICAN FUNDS 2020 TARGET DATE-A | 25.00                | 0.50                | 0.00               | 0.50              | 75.0 | 0.38                 |
|  | ACCOUNT #: 00086069280        | BUY 2 Units @12.9600              |                      |                     |                    |                   |      |                      |
| 02/27/2018                                   | ***-**-5124 - DEE, ALAN       | AMERICAN FUNDS 2020 TARGET DATE-A | 11.25                | 0.23                | 0.00               | 0.23              | 75.0 | 0.17                 |
|  | ACCOUNT #: 00086069280        | BUY 1 Units @12.9600              |                      |                     |                    |                   |      |                      |
| 02/27/2018                                   | ***-**-1060 - DUNLAP, DONNA   | AMERICAN FUNDS 2020 TARGET DATE-A | 50.00                | 1.88                | 0.00               | 1.88              | 75.0 | 1.41                 |
|  | ACCOUNT #: 00085629087        | BUY 4 Units @13.2400              |                      |                     |                    |                   |      |                      |
| 02/27/2018                                   | ***-**-1060 - DUNLAP, DONNA   | AMERICAN FUNDS 2020 TARGET DATE-A | 31.90                | 1.20                | 0.00               | 1.20              | 75.0 | 0.90                 |
|  | ACCOUNT #: 00085629087        | BUY 2 Units @13.2400              |                      |                     |                    |                   |      |                      |
| 02/28/2018                                   | ***-**-2420 - WRIGHT, ROBERT  | AMERICAN FUNDS 2025 TARGET DATE-A | 3,000.00             | 150.00              | 0.00               | 150.00            | 75.0 | 112.50               |
|  | ACCOUNT #: 00088528064        | BUY 209 Units @14.3400            |                      |                     |                    |                   |      |                      |
| 03/01/2018                                   | ***-**-6382 - ZOGBY, KAREN    | AMERICAN FUNDS 2030 TARGET DATE-A | 100.00               | 5.00                | 0.00               | 5.00              | 75.0 | 3.75                 |
|  | ACCOUNT #: 00089152479        | BUY 7 Units @15.3500              |                      |                     |                    |                   |      |                      |
| 03/01/2018                                   | ***-**-2478 - ALAGIC, INDIRA  | AMERICAN FUNDS 2030 TARGET DATE-A | 2,083.33             | 104.17              | 0.00               | 104.17            | 75.0 | 78.13                |
|  | ACCOUNT #: 04000400299        | BUY 136 Units @15.3500            |                      |                     |                    |                   |      |                      |
| 03/01/2018                                   | ***-**-2478 - ALAGIC, INDIRA  | AMERICAN FUNDS 2030 TARGET DATE-A | 67.68                | 3.38                | 0.00               | 3.38              | 75.0 | 2.54                 |
|  | ACCOUNT #: 04000400299        | BUY 4 Units @15.3500              |                      |                     |                    |                   |      |                      |
| 02/27/2018                                   | ***-**-8758 - RIOLO, LAWRENCE | AMERICAN FUNDS 2035 TARGET DATE-A | 49.20                | 1.85                | 0.00               | 1.85              | 75.0 | 1.39                 |
|  | ACCOUNT #: 04000070058        | BUY 3 Units @15.9300              |                      |                     |                    |                   |      |                      |
| 02/27/2018                                   | ***-**-8758 - RIOLO, LAWRENCE | AMERICAN FUNDS 2035 TARGET DATE-A | 57.08                | 2.14                | 0.00               | 2.14              | 75.0 | 1.61                 |
|  | ACCOUNT #: 04000070058        | BUY 4 Units @15.9300              |                      |                     |                    |                   |      |                      |





# COMMISSION STATEMENT

March 12, 2018

JEFFREY HANRETTY  
8365 Seneca Turnpike  
New Hartford, NY 13413

BROKER #: B08  
BRANCH #01001 - LifeMark Home Office

| DATE  | CLIENT  | INVESTMENT  | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|---|---|---|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b>BROKER TRANSACTIONS (continued)</b>            |   |   |                      |                     |                    |                   |      |                      |
| <b>PRODUCT CATEGORY: MUTUAL FUNDS (continued)</b> |   |   |                      |                     |                    |                   |      |                      |
| 02/27/2018  | ***-**-7692 - SCHERMERHORN,<br>ACCOUNT #: 00087922386   | AMERICAN FUNDS BALANCED PORT CL C<br>BUY 7 Units @14.9200   | 98.31                | 0.98                | 0.00               | 0.98              | 75.0 | 0.74                 |
| 02/27/2018  | ***-**-7692 - SCHERMERHORN,<br>ACCOUNT #: 00087922386   | AMERICAN FUNDS BALANCED PORT CL C<br>BUY 10 Units @14.9200  | 149.92               | 1.50                | 0.00               | 1.50              | 75.0 | 1.13                 |
| 03/01/2018  | ***-**-3569 - YOZZO, ROSA<br>ACCOUNT #: 00083468583     | CAPITAL INCOME BUILDER CLASS C<br>BUY 1 Units @61.4600      | 35.77                | 0.36                | 0.00               | 0.36              | 75.0 | 0.27                 |
| 03/01/2018  | ***-**-3569 - YOZZO, ROSA<br>ACCOUNT #: 00083468583     | CAPITAL INCOME BUILDER CLASS C<br>BUY 0 Units @61.4600      | 3.17                 | 0.03                | 0.00               | 0.03              | 75.0 | 0.02                 |
| 03/01/2018  | ***-**-2542 - OGIYEVICH,<br>ACCOUNT #: 00083468551      | CAPITAL INCOME BUILDER CLASS C<br>BUY 0 Units @61.4600      | 12.50                | 0.13                | 0.00               | 0.13              | 75.0 | 0.10                 |
| 03/01/2018  | ***-**-2542 - OGIYEVICH,<br>ACCOUNT #: 00083468551      | CAPITAL INCOME BUILDER CLASS C<br>BUY 0 Units @61.4600      | 3.70                 | 0.04                | 0.00               | 0.04              | 75.0 | 0.03                 |
| 03/01/2018  | ***-**-2354 - PENDOLF, NANCY<br>ACCOUNT #: 00083468545  | CAPITAL INCOME BUILDER CLASS C<br>BUY 0 Units @61.4600      | 6.25                 | 0.06                | 0.00               | 0.06              | 75.0 | 0.05                 |
| 03/01/2018  | ***-**-2354 - PENDOLF, NANCY<br>ACCOUNT #: 00083468545  | CAPITAL INCOME BUILDER CLASS C<br>BUY 0 Units @61.4600      | 1.63                 | 0.02                | 0.00               | 0.02              | 75.0 | 0.02                 |
| 03/01/2018  | ***-**-3569 - YOZZO, ROSA<br>ACCOUNT #: 00083468583     | CAPITAL WORLD BOND FUND-C<br>BUY 1 Units @19.8600           | 17.88                | 0.18                | 0.00               | 0.18              | 75.0 | 0.14                 |
| 03/01/2018  | ***-**-3569 - YOZZO, ROSA<br>ACCOUNT #: 00083468583     | CAPITAL WORLD BOND FUND-C<br>BUY 0 Units @19.8600           | 1.58                 | 0.02                | 0.00               | 0.02              | 75.0 | 0.02                 |
| 02/27/2018  | ***-**-9027 - NELSON,<br>ACCOUNT #: 00073744742         | CAPITAL WORLD GROWTH AND INCOME FUN<br>BUY 1 Units @54.1800 | 31.25                | 0.63                | 0.00               | 0.63              | 75.0 | 0.47                 |
| 02/27/2018  | ***-**-9027 - NELSON,<br>ACCOUNT #: 00073744742         | CAPITAL WORLD GROWTH AND INCOME FUN<br>BUY 0 Units @54.1800 | 5.45                 | 0.11                | 0.00               | 0.11              | 75.0 | 0.08                 |
| 02/27/2018  | ***-**-381I - ZARNOCK, MARTIN<br>ACCOUNT #: 00073744335 | CAPITAL WORLD GROWTH AND INCOME FUN<br>BUY 1 Units @54.1800 | 31.25                | 0.63                | 0.00               | 0.63              | 75.0 | 0.47                 |
| 02/27/2018  | ***-**-381I - ZARNOCK, MARTIN<br>ACCOUNT #: 00073744335 | CAPITAL WORLD GROWTH AND INCOME FUN<br>BUY 0 Units @54.1800 | 7.40                 | 0.15                | 0.00               | 0.15              | 75.0 | 0.11                 |
| 02/27/2018  | ***-**-7287 - VINCI, DAVID<br>ACCOUNT #: 00085629076    | CAPITAL WORLD GROWTH AND INCOME FUN<br>BUY 1 Units @55.3200 | 53.00                | 1.99                | 0.00               | 1.99              | 75.0 | 1.49                 |
| 02/27/2018  | ***-**-7287 - VINCI, DAVID<br>ACCOUNT #: 00085629076    | CAPITAL WORLD GROWTH AND INCOME FUN<br>BUY 0 Units @55.3200 | 20.40                | 0.77                | 0.00               | 0.77              | 75.0 | 0.58                 |



# COMMISSION STATEMENT

March 12, 2018

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8365 Seneca Turnpike  
New Hartford, NY 13413

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BRANCH #01001 - LifeMark Home Office

| DATE  | CLIENT                       | INVESTMENT                          | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|---|------------------------------|-------------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b>BROKER TRANSACTIONS (continued)</b>            |                              |                                     |                      |                     |                    |                   |      |                      |
| <b>PRODUCT CATEGORY: MUTUAL FUNDS (continued)</b> |                              |                                     |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-3569 - YOZZO, ROSA    | CAPITAL WORLD GROWTH AND INCOME FUN | 35.75                | 0.36                | 0.00               | 0.36              | 75.0 | 0.27                 |
|   | ACCOUNT #: 00083468583       | BUY 1 Units @51.0700                |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-3569 - YOZZO, ROSA    | CAPITAL WORLD GROWTH AND INCOME FUN | 3.17                 | 0.03                | 0.00               | 0.03              | 75.0 | 0.02                 |
|   | ACCOUNT #: 00083468583       | BUY 0 Units @51.0700                |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-2542 - OGIYEVICH,     | CAPITAL WORLD GROWTH AND INCOME FUN | 12.50                | 0.13                | 0.00               | 0.13              | 75.0 | 0.10                 |
|   | ACCOUNT #: 00083468551       | BUY 0 Units @51.0700                |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-2542 - OGIYEVICH,     | CAPITAL WORLD GROWTH AND INCOME FUN | 3.70                 | 0.04                | 0.00               | 0.04              | 75.0 | 0.03                 |
|   | ACCOUNT #: 00083468551       | BUY 0 Units @51.0700                |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-2354 - PENDOLF, NANCY | CAPITAL WORLD GROWTH AND INCOME FUN | 6.25                 | 0.06                | 0.00               | 0.06              | 75.0 | 0.05                 |
|   | ACCOUNT #: 00083468545       | BUY 0 Units @51.0700                |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-2354 - PENDOLF, NANCY | CAPITAL WORLD GROWTH AND INCOME FUN | 1.63                 | 0.02                | 0.00               | 0.02              | 75.0 | 0.02                 |
|   | ACCOUNT #: 00083468545       | BUY 0 Units @51.0700                |                      |                     |                    |                   |      |                      |
| 02/27/2018  | ***-**-4540 - NELSON, RORY   | FUNDAMENTAL INVESTORS-A             | 6.23                 | 0.12                | 0.00               | 0.12              | 75.0 | 0.09                 |
|   | ACCOUNT #: 00073748857       | BUY 0 Units @65.6900                |                      |                     |                    |                   |      |                      |
| 02/27/2018  | ***-**-4540 - NELSON, RORY   | FUNDAMENTAL INVESTORS-A             | 18.75                | 0.38                | 0.00               | 0.38              | 75.0 | 0.29                 |
|   | ACCOUNT #: 00073748857       | BUY 0 Units @65.6900                |                      |                     |                    |                   |      |                      |
| 02/28/2018  | ***-**-9137 - YOZZO, JOSEPH  | FUNDAMENTAL INVESTORS-A             | 150.00               | 5.63                | 0.00               | 5.63              | 75.0 | 4.22                 |
|   | ACCOUNT #: 00082276628       | BUY 2 Units @66.2300                |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-3569 - YOZZO, ROSA    | FUNDAMENTAL INVESTORS-C             | 32.79                | 0.33                | 0.00               | 0.33              | 75.0 | 0.25                 |
|   | ACCOUNT #: 00083468583       | BUY 1 Units @62.1100                |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-3569 - YOZZO, ROSA    | FUNDAMENTAL INVESTORS-C             | 2.90                 | 0.03                | 0.00               | 0.03              | 75.0 | 0.02                 |
|   | ACCOUNT #: 00083468583       | BUY 0 Units @62.1100                |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-3569 - YOZZO, ROSA    | INCOME FUND OF AMERICA CLASS C      | 32.79                | 0.33                | 0.00               | 0.33              | 75.0 | 0.25                 |
|   | ACCOUNT #: 00083468583       | BUY 1 Units @22.6600                |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-3569 - YOZZO, ROSA    | INCOME FUND OF AMERICA CLASS C      | 2.90                 | 0.03                | 0.00               | 0.03              | 75.0 | 0.02                 |
|   | ACCOUNT #: 00083468583       | BUY 0 Units @22.6600                |                      |                     |                    |                   |      |                      |
| 02/27/2018  | ***-**-4540 - NELSON, RORY   | NEW PERSPECTIVE FUND-A              | 18.75                | 0.38                | 0.00               | 0.38              | 75.0 | 0.29                 |
|   | ACCOUNT #: 00073748857       | BUY 0 Units @46.4900                |                      |                     |                    |                   |      |                      |
| 02/27/2018  | ***-**-4540 - NELSON, RORY   | NEW PERSPECTIVE FUND-A              | 6.24                 | 0.12                | 0.00               | 0.12              | 75.0 | 0.09                 |
|   | ACCOUNT #: 00073748857       | BUY 0 Units @46.4900                |                      |                     |                    |                   |      |                      |
| 02/28/2018  | ***-**-9137 - YOZZO, JOSEPH  | NEW PERSPECTIVE FUND-A              | 50.00                | 1.88                | 0.00               | 1.88              | 75.0 | 1.41                 |
|   | ACCOUNT #: 00082276628       | BUY 1 Units @47.0200                |                      |                     |                    |                   |      |                      |



# COMMISSION STATEMENT

March 12, 2018

JEFFREY HANRETTY  
8365 Seneca Turnpike  
New Hartford, NY 13413

BROKER #: B08  
BRANCH #01001 - LifeMark Home Office

| DATE  | CLIENT                        | INVESTMENT                         | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|---|-------------------------------|------------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b>BROKER TRANSACTIONS (continued)</b>            |                               |                                    |                      |                     |                    |                   |      |                      |
| <b>PRODUCT CATEGORY: MUTUAL FUNDS (continued)</b> |                               |                                    |                      |                     |                    |                   |      |                      |
| 02/27/2018  | ***-**-381I - ZARNOCK, MARTIN | NEW WORLD FUND-A                   | 62.50                | 1.25                | 0.00               | 1.25              | 75.0 | 0.94                 |
|   | ACCOUNT #: 00073744276        | BUY 1 Units @70.6700               |                      |                     |                    |                   |      |                      |
| 02/27/2018  | ***-**-381I - ZARNOCK, MARTIN | NEW WORLD FUND-A                   | 5.51                 | 0.11                | 0.00               | 0.11              | 75.0 | 0.08                 |
|   | ACCOUNT #: 00073744276        | BUY 0 Units @70.6700               |                      |                     |                    |                   |      |                      |
| 02/27/2018  | ***-**-7287 - VINCI, DAVID    | NEW WORLD FUND-A                   | 53.00                | 1.99                | 0.00               | 1.99              | 75.0 | 1.49                 |
|   | ACCOUNT #: 00085629076        | BUY 1 Units @72.1500               |                      |                     |                    |                   |      |                      |
| 02/27/2018  | ***-**-7287 - VINCI, DAVID    | NEW WORLD FUND-A                   | 20.40                | 0.77                | 0.00               | 0.77              | 75.0 | 0.58                 |
|   | ACCOUNT #: 00085629076        | BUY 0 Units @72.1500               |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-3569 - YOZZO, ROSA     | NEW WORLD FUND-C                   | 32.79                | 0.33                | 0.00               | 0.33              | 75.0 | 0.25                 |
|   | ACCOUNT #: 00083468583        | BUY 1 Units @65.4000               |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-3569 - YOZZO, ROSA     | NEW WORLD FUND-C                   | 2.90                 | 0.03                | 0.00               | 0.03              | 75.0 | 0.02                 |
|   | ACCOUNT #: 00083468583        | BUY 0 Units @65.4000               |                      |                     |                    |                   |      |                      |
| 03/12/2018  | ***-**-3618 - BROWN, KURT     | PIMCO INCOME A                     | 3,768.94             | 122.49              | 0.00               | 122.49            | 75.0 | 91.87                |
|   | ACCOUNT #: 7050063142         | BUY 0 Units @0.0000                |                      |                     |                    |                   |      |                      |
| 03/12/2018  | ***-**-3618 - BROWN, KURT     | PIMCO INVESTMENT GRADE CORP BOND A | 4,000.00             | 130.00              | 0.00               | 130.00            | 75.0 | 97.50                |
|   |                               | BUY 0 Units @0.0000                |                      |                     |                    |                   |      |                      |
| 03/12/2018  | ***-**-3618 - BROWN, KURT     | PIMCO RAE FUNAMENTAL EMG MKTS A    | 4,000.00             | 130.00              | 0.00               | 130.00            | 75.0 | 97.50                |
|   |                               | BUY 0 Units @0.0000                |                      |                     |                    |                   |      |                      |
| 03/12/2018  | ***-**-3618 - BROWN, KURT     | PIMCO RAE FUNDAMENTAL US A         | 4,000.00             | 130.00              | 0.00               | 130.00            | 75.0 | 97.50                |
|   |                               | BUY 0 Units @0.0000                |                      |                     |                    |                   |      |                      |
| 03/12/2018  | ***-**-3618 - BROWN, KURT     | PIMCO RAE FUNDAMENTAL US SMALL A   | 4,000.00             | 130.00              | 0.00               | 130.00            | 75.0 | 97.50                |
|   |                               | BUY 0 Units @0.0000                |                      |                     |                    |                   |      |                      |
| 03/12/2018  | ***-**-3618 - BROWN, KURT     | PIMCO RAE FUNDMNTL GLOBAL EX-US A  | 4,000.00             | 130.00              | 0.00               | 130.00            | 75.0 | 97.50                |
|   |                               | BUY 0 Units @0.0000                |                      |                     |                    |                   |      |                      |
| 02/27/2018  | ***-**-4540 - NELSON, RORY    | SMALLCAP WORLD FUND-A              | 18.75                | 0.38                | 0.00               | 0.38              | 75.0 | 0.29                 |
|   | ACCOUNT #: 00073748857        | BUY 0 Units @58.4800               |                      |                     |                    |                   |      |                      |
| 02/27/2018  | ***-**-4540 - NELSON, RORY    | SMALLCAP WORLD FUND-A              | 6.24                 | 0.12                | 0.00               | 0.12              | 75.0 | 0.09                 |
|   | ACCOUNT #: 00073748857        | BUY 0 Units @58.4800               |                      |                     |                    |                   |      |                      |
| 02/27/2018  | ***-**-381I - ZARNOCK, MARTIN | SMALLCAP WORLD FUND-A              | 62.50                | 1.25                | 0.00               | 1.25              | 75.0 | 0.94                 |
|   | ACCOUNT #: 00073744276        | BUY 1 Units @58.4800               |                      |                     |                    |                   |      |                      |
| 02/27/2018  | ***-**-381I - ZARNOCK, MARTIN | SMALLCAP WORLD FUND-A              | 5.53                 | 0.11                | 0.00               | 0.11              | 75.0 | 0.08                 |
|   | ACCOUNT #: 00073744276        | BUY 0 Units @58.4800               |                      |                     |                    |                   |      |                      |



# COMMISSION STATEMENT

March 12, 2018

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BROKER #: B08  
BRANCH #01001 - LifeMark Home Office

| DATE  | CLIENT                        | INVESTMENT                   | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|---|-------------------------------|------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b>BROKER TRANSACTIONS (continued)</b>            |                               |                              |                      |                     |                    |                   |      |                      |
| <b>PRODUCT CATEGORY: MUTUAL FUNDS (continued)</b> |                               |                              |                      |                     |                    |                   |      |                      |
| 02/27/2018  | ***-**-7287 - VINCI, DAVID    | SMALLCAP WORLD FUND-A        | 53.00                | 1.99                | 0.00               | 1.99              | 75.0 | 1.49                 |
|   | ACCOUNT #: 00085629076        | BUY 1 Units @59.7100         |                      |                     |                    |                   |      |                      |
| 02/27/2018  | ***-**-7287 - VINCI, DAVID    | SMALLCAP WORLD FUND-A        | 20.40                | 0.77                | 0.00               | 0.77              | 75.0 | 0.58                 |
|   | ACCOUNT #: 00085629076        | BUY 0 Units @59.7100         |                      |                     |                    |                   |      |                      |
| 02/28/2018  | ***-**-9137 - YOZZO, JOSEPH   | SMALLCAP WORLD FUND-A        | 50.00                | 1.88                | 0.00               | 1.88              | 75.0 | 1.41                 |
|   | ACCOUNT #: 00082276628        | BUY 1 Units @59.1200         |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-3569 - YOZZO, ROSA     | SMALLCAP WORLD FUND-C        | 32.79                | 0.33                | 0.00               | 0.33              | 75.0 | 0.25                 |
|   | ACCOUNT #: 00083468583        | BUY 1 Units @49.3000         |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-3569 - YOZZO, ROSA     | SMALLCAP WORLD FUND-C        | 2.90                 | 0.03                | 0.00               | 0.03              | 75.0 | 0.02                 |
|   | ACCOUNT #: 00083468583        | BUY 0 Units @49.3000         |                      |                     |                    |                   |      |                      |
| 02/27/2018  | ***-**-381I - ZARNOCK, MARTIN | THE BOND FUND OF AMERICA-A   | 7.40                 | 0.15                | 0.00               | 0.15              | 75.0 | 0.11                 |
|   | ACCOUNT #: 00073744335        | BUY 1 Units @12.9000         |                      |                     |                    |                   |      |                      |
| 02/27/2018  | ***-**-381I - ZARNOCK, MARTIN | THE BOND FUND OF AMERICA-A   | 31.25                | 0.63                | 0.00               | 0.63              | 75.0 | 0.47                 |
|   | ACCOUNT #: 00073744335        | BUY 2 Units @12.9000         |                      |                     |                    |                   |      |                      |
| 02/27/2018  | ***-**-7287 - VINCI, DAVID    | THE BOND FUND OF AMERICA-A   | 20.40                | 0.61                | 0.00               | 0.61              | 75.0 | 0.46                 |
|   | ACCOUNT #: 00085629076        | BUY 2 Units @13.0700         |                      |                     |                    |                   |      |                      |
| 02/27/2018  | ***-**-7287 - VINCI, DAVID    | THE BOND FUND OF AMERICA-A   | 53.00                | 1.59                | 0.00               | 1.59              | 75.0 | 1.19                 |
|   | ACCOUNT #: 00085629076        | BUY 4 Units @13.0700         |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-2542 - OGIYEVICH,      | THE BOND FUND OF AMERICA-C   | 12.50                | 0.13                | 0.00               | 0.13              | 75.0 | 0.10                 |
|   | ACCOUNT #: 00083468551        | BUY 1 Units @12.6300         |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-2542 - OGIYEVICH,      | THE BOND FUND OF AMERICA-C   | 3.71                 | 0.04                | 0.00               | 0.04              | 75.0 | 0.03                 |
|   | ACCOUNT #: 00083468551        | BUY 0 Units @12.6300         |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-2354 - PENDOLF, NANCY  | THE BOND FUND OF AMERICA-C   | 6.25                 | 0.06                | 0.00               | 0.06              | 75.0 | 0.05                 |
|   | ACCOUNT #: 00083468545        | BUY 0 Units @12.6300         |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-2354 - PENDOLF, NANCY  | THE BOND FUND OF AMERICA-C   | 1.64                 | 0.02                | 0.00               | 0.02              | 75.0 | 0.02                 |
|   | ACCOUNT #: 00083468545        | BUY 0 Units @12.6300         |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-3569 - YOZZO, ROSA     | THE BOND FUND OF AMERICA-C   | 26.83                | 0.27                | 0.00               | 0.27              | 75.0 | 0.20                 |
|   | ACCOUNT #: 00083468583        | BUY 2 Units @12.6300         |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-3569 - YOZZO, ROSA     | THE BOND FUND OF AMERICA-C   | 2.39                 | 0.02                | 0.00               | 0.02              | 75.0 | 0.02                 |
|   | ACCOUNT #: 00083468583        | BUY 0 Units @12.6300         |                      |                     |                    |                   |      |                      |
| 02/27/2018  | ***-**-9027 - NELSON,         | THE GROWTH FUND OF AMERICA-A | 31.25                | 0.63                | 0.00               | 0.63              | 75.0 | 0.47                 |
|   | ACCOUNT #: 00073744742        | BUY 1 Units @53.9800         |                      |                     |                    |                   |      |                      |



# COMMISSION STATEMENT

March 12, 2018

JEFFREY HANRETTY  
8365 Seneca Turnpike  
New Hartford, NY 13413

BROKER #: B08  
BRANCH #01001 - LifeMark Home Office

| DATE  | CLIENT  | INVESTMENT   | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|---|---|--|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b>BROKER TRANSACTIONS (continued)</b>            |   |  |                      |                     |                    |                   |      |                      |
| <b>PRODUCT CATEGORY: MUTUAL FUNDS (continued)</b> |   |  |                      |                     |                    |                   |      |                      |
| 02/27/2018  | ***-**-9027 - NELSON,<br>ACCOUNT #: 00073744742         | THE GROWTH FUND OF AMERICA-A<br>BUY 0 Units @53.9800 | 5.45                 | 0.11                | 0.00               | 0.11              | 75.0 | 0.08                 |
| 02/27/2018  | ***-**-381I - ZARNOCK, MARTIN<br>ACCOUNT #: 00073744335 | THE GROWTH FUND OF AMERICA-A<br>BUY 1 Units @53.9800 | 31.25                | 0.63                | 0.00               | 0.63              | 75.0 | 0.47                 |
| 02/27/2018  | ***-**-381I - ZARNOCK, MARTIN<br>ACCOUNT #: 00073744335 | THE GROWTH FUND OF AMERICA-A<br>BUY 0 Units @53.9800 | 7.40                 | 0.15                | 0.00               | 0.15              | 75.0 | 0.11                 |
| 02/27/2018  | ***-**-7287 - VINCI, DAVID<br>ACCOUNT #: 00085629076    | THE GROWTH FUND OF AMERICA-A<br>BUY 1 Units @55.1100 | 53.00                | 1.99                | 0.00               | 1.99              | 75.0 | 1.49                 |
| 02/27/2018  | ***-**-7287 - VINCI, DAVID<br>ACCOUNT #: 00085629076    | THE GROWTH FUND OF AMERICA-A<br>BUY 0 Units @55.1100 | 20.40                | 0.77                | 0.00               | 0.77              | 75.0 | 0.58                 |
| 02/28/2018  | ***-**-9137 - YOZZO, JOSEPH<br>ACCOUNT #: 00082276628   | THE GROWTH FUND OF AMERICA-A<br>BUY 2 Units @54.5800 | 100.00               | 3.75                | 0.00               | 3.75              | 75.0 | 2.81                 |
| 03/01/2018  | ***-**-2542 - OGIYEVICH,<br>ACCOUNT #: 00083468551      | THE GROWTH FUND OF AMERICA-C<br>BUY 0 Units @47.7400 | 12.50                | 0.13                | 0.00               | 0.13              | 75.0 | 0.10                 |
| 03/01/2018  | ***-**-2542 - OGIYEVICH,<br>ACCOUNT #: 00083468551      | THE GROWTH FUND OF AMERICA-C<br>BUY 0 Units @47.7400 | 3.70                 | 0.04                | 0.00               | 0.04              | 75.0 | 0.03                 |
| 03/01/2018  | ***-**-2354 - PENDOLF, NANCY<br>ACCOUNT #: 00083468545  | THE GROWTH FUND OF AMERICA-C<br>BUY 0 Units @47.7400 | 6.25                 | 0.06                | 0.00               | 0.06              | 75.0 | 0.05                 |
| 03/01/2018  | ***-**-2354 - PENDOLF, NANCY<br>ACCOUNT #: 00083468545  | THE GROWTH FUND OF AMERICA-C<br>BUY 0 Units @47.7400 | 1.63                 | 0.02                | 0.00               | 0.02              | 75.0 | 0.02                 |
| 03/01/2018  | ***-**-3569 - YOZZO, ROSA<br>ACCOUNT #: 00083468583     | THE GROWTH FUND OF AMERICA-C<br>BUY 1 Units @47.7400 | 26.83                | 0.27                | 0.00               | 0.27              | 75.0 | 0.20                 |
| 03/01/2018  | ***-**-3569 - YOZZO, ROSA<br>ACCOUNT #: 00083468583     | THE GROWTH FUND OF AMERICA-C<br>BUY 0 Units @47.7400 | 2.38                 | 0.02                | 0.00               | 0.02              | 75.0 | 0.02                 |
| 02/27/2018  | ***-**-381I - ZARNOCK, MARTIN<br>ACCOUNT #: 00073744335 | THE INCOME FUND OF AMERICA-A<br>BUY 1 Units @23.9100 | 31.25                | 0.63                | 0.00               | 0.63              | 75.0 | 0.47                 |
| 02/27/2018  | ***-**-381I - ZARNOCK, MARTIN<br>ACCOUNT #: 00073744335 | THE INCOME FUND OF AMERICA-A<br>BUY 0 Units @23.9100 | 7.38                 | 0.15                | 0.00               | 0.15              | 75.0 | 0.11                 |
| 02/27/2018  | ***-**-9027 - NELSON,<br>ACCOUNT #: 00073744742         | THE INCOME FUND OF AMERICA-A<br>BUY 1 Units @23.9100 | 31.25                | 0.63                | 0.00               | 0.63              | 75.0 | 0.47                 |
| 02/27/2018  | ***-**-9027 - NELSON,<br>ACCOUNT #: 00073744742         | THE INCOME FUND OF AMERICA-A<br>BUY 0 Units @23.9100 | 5.45                 | 0.11                | 0.00               | 0.11              | 75.0 | 0.08                 |



# COMMISSION STATEMENT

## March 12, 2018

JEFFREY HANRETTY  
8365 Seneca Turnpike  
New Hartford, NY 13413

BROKER #: B08  
BRANCH #01001 - LifeMark Home Office

| DATE   | CLIENT                        | INVESTMENT                          | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|--|-------------------------------|-------------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b><u>BROKER TRANSACTIONS (continued)</u></b>            |                               |                                     |                      |                     |                    |                   |      |                      |
| <b><u>PRODUCT CATEGORY: MUTUAL FUNDS (continued)</u></b> |                               |                                     |                      |                     |                    |                   |      |                      |
| 02/28/2018   | ***-**-9137 - YOZZO, JOSEPH   | THE NEW ECONOMY FUND-A              | 50.00                | 1.88                | 0.00               | 1.88              | 75.0 | 1.41                 |
|  | ACCOUNT #: 00082276628        | BUY 1 Units @49.7700                |                      |                     |                    |                   |      |                      |
| 02/28/2018   | ***-**-9137 - YOZZO, JOSEPH   | THE NEW ECONOMY FUND-A              | 50.00                | 1.88                | 0.00               | 1.88              | 75.0 | 1.41                 |
|  | ACCOUNT #: 00082276628        | BUY 1 Units @49.7700                |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-3569 - YOZZO, ROSA     | U.S. GOVERNMENT SECURITIES FUND-C   | 23.85                | 0.24                | 0.00               | 0.24              | 75.0 | 0.18                 |
|  | ACCOUNT #: 00083468583        | BUY 2 Units @13.3900                |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-3569 - YOZZO, ROSA     | U.S. GOVERNMENT SECURITIES FUND-C   | 2.11                 | 0.02                | 0.00               | 0.02              | 75.0 | 0.02                 |
|  | ACCOUNT #: 00083468583        | BUY 0 Units @13.3900                |                      |                     |                    |                   |      |                      |
| 02/27/2018   | ***-**-9027 - NELSON,         | WASHINGTON MUTUAL INVESTORS FUND-A  | 31.25                | 0.63                | 0.00               | 0.63              | 75.0 | 0.47                 |
|  | ACCOUNT #: 00073744742        | BUY 1 Units @47.8200                |                      |                     |                    |                   |      |                      |
| 02/27/2018   | ***-**-9027 - NELSON,         | WASHINGTON MUTUAL INVESTORS FUND-A  | 5.45                 | 0.11                | 0.00               | 0.11              | 75.0 | 0.08                 |
|  | ACCOUNT #: 00073744742        | BUY 0 Units @47.8200                |                      |                     |                    |                   |      |                      |
| <b>* MUTUAL FUNDS SUBTOTAL *</b>                         |                               |                                     | <b>\$31,403.85</b>   | <b>\$1,093.24</b>   | <b>\$0.00</b>      | <b>\$1,093.24</b> |      | <b>\$820.00</b>      |
| <b><u>PRODUCT CATEGORY: RIA</u></b>                      |                               |                                     |                      |                     |                    |                   |      |                      |
| 03/12/2018   | ***-**-80IO - MAMMONE, JOANN  | NFS MANAGED FEES                    | 0.00                 | 427.40              | 0.00               | 427.40            | 75.0 | 320.55               |
|  |                               | BUY 1 Units @541675.610             |                      |                     |                    |                   |      |                      |
| 03/12/2018   | ***-**-80IO - MAMMONE, JOANN  | NFS MANAGED FEES                    | 0.00                 | 35.61               | 0.00               | 35.61             | 75.0 | 26.71                |
|  |                               | BUY 1 Units @45124.9600             |                      |                     |                    |                   |      |                      |
| <b>* RIA SUBTOTAL *</b>                                  |                               |                                     | <b>\$0.00</b>        | <b>\$463.01</b>     | <b>\$0.00</b>      | <b>\$463.01</b>   |      | <b>\$347.26</b>      |
| <b><u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u></b>  |                               |                                     |                      |                     |                    |                   |      |                      |
| 03/12/2018   | ***-**-491I - JONES, CECILE   | AIM GLOBAL AGGRESSIVE GROWTH FUND C | 0.00                 | 1.80                | 0.00               | 1.80              | 75.0 | 1.35                 |
|  | ACCOUNT #: LSR012023          | BUY 1 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-3335 - YEH, WHI        | AMCAP FUND-A                        | 0.00                 | 9.14                | 0.00               | 9.14              | 75.0 | 6.86                 |
|  | ACCOUNT #: 00068616678        | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-633J - CHRISTIANO,     | AMCAP FUND-A                        | 0.00                 | 12.11               | 0.00               | 12.11             | 75.0 | 9.08                 |
|  | ACCOUNT #: 00068639252        | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-381I - ZARNOCK, MARTIN | AMCAP FUND-A                        | 0.00                 | 11.49               | 0.00               | 11.49             | 75.0 | 8.62                 |
|  | ACCOUNT #: 00073744276        | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-4540 - NELSON, RORY    | AMCAP FUND-A                        | 0.00                 | 6.98                | 0.00               | 6.98              | 75.0 | 5.24                 |
|  | ACCOUNT #: 00073748857        | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |



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| DATE   | CLIENT                        | INVESTMENT               | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|--|-------------------------------|--------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b>BROKER TRANSACTIONS (continued)</b>                       |                               |                          |                      |                     |                    |                   |      |                      |
| <b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</b> |                               |                          |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-6906 - ROMANO, PAUL    | AMCAP FUND-A             | 0.00                 | 5.08                | 0.00               | 5.08              | 75.0 | 3.81                 |
|  | ACCOUNT #: 00073848770        | BUY 0 Units @0.0000      |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-9871 - LACOVISSI,      | AMCAP FUND-A             | 0.00                 | 0.50                | 0.00               | 0.50              | 75.0 | 0.38                 |
|  | ACCOUNT #: 00075995210        | BUY 0 Units @0.0000      |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-1489 - MARR, RICHARD   | AMCAP FUND-A             | 0.00                 | 4.61                | 0.00               | 4.61              | 75.0 | 3.46                 |
|  | ACCOUNT #: 00081380894        | BUY 0 Units @0.0000      |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-2451 - DECARR, EDWARD  | AMCAP FUND-A             | 0.00                 | 4.57                | 0.00               | 4.57              | 75.0 | 3.43                 |
|  | ACCOUNT #: 00081650302        | BUY 0 Units @0.0000      |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-5157 - ADAMS, BARBARA  | AMCAP FUND-A             | 0.00                 | 2.12                | 0.00               | 2.12              | 75.0 | 1.59                 |
|  | ACCOUNT #: 00081925599        | BUY 0 Units @0.0000      |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-0585 - HOLLENBECK,     | AMCAP FUND-A             | 0.00                 | 0.45                | 0.00               | 0.45              | 75.0 | 0.34                 |
|  | ACCOUNT #: 00088454124        | BUY 0 Units @0.0000      |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-7671 - REILLY, RICHARD | AMERICAN BALANCED FUND-A | 0.00                 | 21.69               | 0.00               | 21.69             | 75.0 | 16.27                |
|  | ACCOUNT #: 00063488673        | BUY 0 Units @0.0000      |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-2009 - CHRISTIANO,     | AMERICAN BALANCED FUND-A | 0.00                 | 2.08                | 0.00               | 2.08              | 75.0 | 1.56                 |
|  | ACCOUNT #: 00068289182        | BUY 0 Units @0.0000      |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-33IN - CHRISTIANO,     | AMERICAN BALANCED FUND-A | 0.00                 | 1.85                | 0.00               | 1.85              | 75.0 | 1.39                 |
|  | ACCOUNT #: 00068289183        | BUY 0 Units @0.0000      |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-3335 - YEH, WHI        | AMERICAN BALANCED FUND-A | 0.00                 | 8.10                | 0.00               | 8.10              | 75.0 | 6.08                 |
|  | ACCOUNT #: 00068616678        | BUY 0 Units @0.0000      |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-633J - CHRISTIANO,     | AMERICAN BALANCED FUND-A | 0.00                 | 21.52               | 0.00               | 21.52             | 75.0 | 16.14                |
|  | ACCOUNT #: 00068639252        | BUY 0 Units @0.0000      |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-9311 - YOZZO, JOSEPH   | AMERICAN BALANCED FUND-A | 0.00                 | 8.21                | 0.00               | 8.21              | 75.0 | 6.16                 |
|  | ACCOUNT #: 00068838818        | BUY 0 Units @0.0000      |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-5376 - CARROCK, LOUIS  | AMERICAN BALANCED FUND-A | 0.00                 | 10.46               | 0.00               | 10.46             | 75.0 | 7.85                 |
|  | ACCOUNT #: 00069250497        | BUY 0 Units @0.0000      |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-381I - ZARNOCK, MARTIN | AMERICAN BALANCED FUND-A | 0.00                 | 9.99                | 0.00               | 9.99              | 75.0 | 7.49                 |
|  | ACCOUNT #: 00073744276        | BUY 0 Units @0.0000      |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-9871 - LACOVISSI,      | AMERICAN BALANCED FUND-A | 0.00                 | 1.85                | 0.00               | 1.85              | 75.0 | 1.39                 |
|  | ACCOUNT #: 00075995210        | BUY 0 Units @0.0000      |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-1489 - MARR, RICHARD   | AMERICAN BALANCED FUND-A | 0.00                 | 2.34                | 0.00               | 2.34              | 75.0 | 1.76                 |
|  | ACCOUNT #: 00081380894        | BUY 0 Units @0.0000      |                      |                     |                    |                   |      |                      |



# COMMISSION STATEMENT

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BROKER #: B08  
BRANCH #01001 - LifeMark Home Office

| DATE   | CLIENT                         | INVESTMENT                        | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|--|--------------------------------|-----------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b>BROKER TRANSACTIONS (continued)</b>                       |                                |                                   |                      |                     |                    |                   |      |                      |
| <b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</b> |                                |                                   |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-3123 - BALIO, SHAWN     | AMERICAN BALANCED FUND-A          | 0.00                 | 1.35                | 0.00               | 1.35              | 75.0 | 1.01                 |
|  | ACCOUNT #: 00083684779         | BUY 0 Units @0.0000               |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-2713 - KAPRAL, RICHARD  | AMERICAN BALANCED FUND-A          | 0.00                 | 4.98                | 0.00               | 4.98              | 75.0 | 3.74                 |
|  | ACCOUNT #: 00083705143         | BUY 0 Units @0.0000               |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-0521 - CRUMRINE, MONICA | AMERICAN BALANCED FUND-A          | 0.00                 | 5.64                | 0.00               | 5.64              | 75.0 | 4.23                 |
|  | ACCOUNT #: 00084226912         | BUY 0 Units @0.0000               |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-9398 - BRENNAN, ROBIN   | AMERICAN BALANCED FUND-A          | 0.00                 | 2.49                | 0.00               | 2.49              | 75.0 | 1.87                 |
|  | ACCOUNT #: 00087403470         | BUY 0 Units @0.0000               |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-3771 - KENNELTY, SEAN   | AMERICAN BALANCED FUND-A          | 0.00                 | 6.84                | 0.00               | 6.84              | 75.0 | 5.13                 |
|  | ACCOUNT #: 00088439056         | BUY 0 Units @0.0000               |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-5943 - CORR, KATHLEEN   | AMERICAN BALANCED FUND-A          | 0.00                 | 1.53                | 0.00               | 1.53              | 75.0 | 1.15                 |
|  | ACCOUNT #: 00089491976         | BUY 0 Units @0.0000               |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-6130 - SCHOEN, THOMAS   | AMERICAN BALANCED FUND-C          | 0.00                 | 9.62                | 0.00               | 9.62              | 75.0 | 7.22                 |
|  | ACCOUNT #: 00086062285         | BUY 0 Units @0.0000               |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-2221 - SKARADEK,        | AMERICAN BALANCED FUND-C          | 0.00                 | 10.08               | 0.00               | 10.08             | 75.0 | 7.56                 |
|  | ACCOUNT #: 00086835048         | BUY 0 Units @0.0000               |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-7778 - SKARADEK, ERIN   | AMERICAN BALANCED FUND-C          | 0.00                 | 22.68               | 0.00               | 22.68             | 75.0 | 17.01                |
|  | ACCOUNT #: 00086837544         | BUY 0 Units @0.0000               |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-1475 - PIERCE, RICHARD  | AMERICAN BALANCED FUND-C          | 0.00                 | 18.13               | 0.00               | 18.13             | 75.0 | 13.60                |
|  | ACCOUNT #: 00087763816         | BUY 0 Units @0.0000               |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-3503 - SPINELLA,        | AMERICAN FUNDS 2015 TARGET DATE-A | 0.00                 | 10.71               | 0.00               | 10.71             | 75.0 | 8.03                 |
|  | ACCOUNT #: 00081866339         | BUY 0 Units @0.0000               |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-6101 - CRAFT, RICHARD   | AMERICAN FUNDS 2015 TARGET DATE-A | 0.00                 | 105.90              | 0.00               | 105.90            | 75.0 | 79.43                |
|  | ACCOUNT #: 00088512096         | BUY 0 Units @0.0000               |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-2227 - WRIGHT, BRIGETTE | AMERICAN FUNDS 2015 TARGET DATE-A | 0.00                 | 2.98                | 0.00               | 2.98              | 75.0 | 2.24                 |
|  | ACCOUNT #: 00088532253         | BUY 0 Units @0.0000               |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-0934 - OLIVER, DAWN     | AMERICAN FUNDS 2015 TARGET DATE-A | 0.00                 | 0.68                | 0.00               | 0.68              | 75.0 | 0.51                 |
|  | ACCOUNT #: 00089086055         | BUY 0 Units @0.0000               |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-4984 - JACKSON, CRESTA  | AMERICAN FUNDS 2015 TARGET DATE-A | 0.00                 | 1.17                | 0.00               | 1.17              | 75.0 | 0.88                 |
|  | ACCOUNT #: 00089572453         | BUY 0 Units @0.0000               |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-1445 - CRUMB, DIANE     | AMERICAN FUNDS 2015 TARGET DATE-C | 0.00                 | 154.88              | 0.00               | 154.88            | 75.0 | 116.16               |
|  | ACCOUNT #: 00088371577         | BUY 0 Units @0.0000               |                      |                     |                    |                   |      |                      |





# COMMISSION STATEMENT

March 12, 2018

JEFFREY HANRETTY  
8365 Seneca Turnpike  
New Hartford, NY 13413

BROKER #: B08  
BRANCH #01001 - LifeMark Home Office

| DATE   | CLIENT                         | INVESTMENT                        | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|--|--------------------------------|-----------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b>BROKER TRANSACTIONS (continued)</b>                       |                                |                                   |                      |                     |                    |                   |      |                      |
| <b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</b> |                                |                                   |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-4459 - CRAFT, ROSEANNE  | AMERICAN FUNDS 2020 TARGET DATE-A | 0.00                 | 1.03                | 0.00               | 1.03              | 75.0 | 0.77                 |
|  | ACCOUNT #: 00081619958         | BUY 0 Units @0.0000               |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-3503 - SPINELLA,        | AMERICAN FUNDS 2020 TARGET DATE-A | 0.00                 | 11.19               | 0.00               | 11.19             | 75.0 | 8.39                 |
|  | ACCOUNT #: 00081866339         | BUY 0 Units @0.0000               |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-1595 - FERRONE, PAUL    | AMERICAN FUNDS 2020 TARGET DATE-A | 0.00                 | 3.50                | 0.00               | 3.50              | 75.0 | 2.63                 |
|  | ACCOUNT #: 00082857686         | BUY 0 Units @0.0000               |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-3123 - BALIO, SHAWN     | AMERICAN FUNDS 2020 TARGET DATE-A | 0.00                 | 4.77                | 0.00               | 4.77              | 75.0 | 3.58                 |
|  | ACCOUNT #: 00083684779         | BUY 0 Units @0.0000               |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-1060 - DUNLAP, DONNA    | AMERICAN FUNDS 2020 TARGET DATE-A | 0.00                 | 10.47               | 0.00               | 10.47             | 75.0 | 7.85                 |
|  | ACCOUNT #: 00085629087         | BUY 0 Units @0.0000               |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-6060 - ROBINSON,        | AMERICAN FUNDS 2020 TARGET DATE-A | 0.00                 | 2.17                | 0.00               | 2.17              | 75.0 | 1.63                 |
|  | ACCOUNT #: 00085852774         | BUY 0 Units @0.0000               |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-5124 - DEE, ALAN        | AMERICAN FUNDS 2020 TARGET DATE-A | 0.00                 | 10.22               | 0.00               | 10.22             | 75.0 | 7.67                 |
|  | ACCOUNT #: 00086069280         | BUY 0 Units @0.0000               |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-3771 - KENNELTY, SEAN   | AMERICAN FUNDS 2020 TARGET DATE-A | 0.00                 | 10.45               | 0.00               | 10.45             | 75.0 | 7.84                 |
|  | ACCOUNT #: 00088439056         | BUY 0 Units @0.0000               |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-6101 - CRAFT, RICHARD   | AMERICAN FUNDS 2020 TARGET DATE-A | 0.00                 | 143.92              | 0.00               | 143.92            | 75.0 | 107.94               |
|  | ACCOUNT #: 00088512096         | BUY 0 Units @0.0000               |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-2227 - WRIGHT, BRIGETTE | AMERICAN FUNDS 2020 TARGET DATE-A | 0.00                 | 13.23               | 0.00               | 13.23             | 75.0 | 9.92                 |
|  | ACCOUNT #: 00088532253         | BUY 0 Units @0.0000               |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-7437 - FERRONE, KAREN   | AMERICAN FUNDS 2020 TARGET DATE-A | 0.00                 | 2.28                | 0.00               | 2.28              | 75.0 | 1.71                 |
|  | ACCOUNT #: 00089328587         | BUY 0 Units @0.0000               |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-5943 - CORR, KATHLEEN   | AMERICAN FUNDS 2020 TARGET DATE-A | 0.00                 | 3.89                | 0.00               | 3.89              | 75.0 | 2.92                 |
|  | ACCOUNT #: 00089491976         | BUY 0 Units @0.0000               |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-5515 - JACKSON, JOSEPH  | AMERICAN FUNDS 2020 TARGET DATE-A | 0.00                 | 1.19                | 0.00               | 1.19              | 75.0 | 0.89                 |
|  | ACCOUNT #: 00089572377         | BUY 0 Units @0.0000               |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-4984 - JACKSON, CRESTA  | AMERICAN FUNDS 2020 TARGET DATE-A | 0.00                 | 0.50                | 0.00               | 0.50              | 75.0 | 0.38                 |
|  | ACCOUNT #: 00089572453         | BUY 0 Units @0.0000               |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-3335 - YEH, WHI         | AMERICAN FUNDS 2025 TARGET DATE-A | 0.00                 | 1.31                | 0.00               | 1.31              | 75.0 | 0.98                 |
|  | ACCOUNT #: 00068616678         | BUY 0 Units @0.0000               |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-9871 - LACOVISSI,       | AMERICAN FUNDS 2025 TARGET DATE-A | 0.00                 | 4.32                | 0.00               | 4.32              | 75.0 | 3.24                 |
|  | ACCOUNT #: 00075995210         | BUY 0 Units @0.0000               |                      |                     |                    |                   |      |                      |



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| DATE   | CLIENT   | INVESTMENT   | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|--|--|--|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b>BROKER TRANSACTIONS (continued)</b>                       |  |  |                      |                     |                    |                   |      |                      |
| <b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</b> |  |  |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-3503 - SPINELLA,<br>ACCOUNT #: 00081866339        | AMERICAN FUNDS 2025 TARGET DATE-A<br>BUY 0 Units @0.0000 | 0.00                 | 7.08                | 0.00               | 7.08              | 75.0 | 5.31                 |
| 03/01/2018   | ***-**-6354 - NICOTERA,<br>ACCOUNT #: 00082525497        | AMERICAN FUNDS 2025 TARGET DATE-A<br>BUY 0 Units @0.0000 | 0.00                 | 5.01                | 0.00               | 5.01              | 75.0 | 3.76                 |
| 03/01/2018   | ***-**-8441 - SHAW, MARY<br>ACCOUNT #: 00082629278       | AMERICAN FUNDS 2025 TARGET DATE-A<br>BUY 0 Units @0.0000 | 0.00                 | 2.18                | 0.00               | 2.18              | 75.0 | 1.64                 |
| 03/01/2018   | ***-**-1595 - FERRONE, PAUL<br>ACCOUNT #: 00082857686    | AMERICAN FUNDS 2025 TARGET DATE-A<br>BUY 0 Units @0.0000 | 0.00                 | 2.97                | 0.00               | 2.97              | 75.0 | 2.23                 |
| 03/01/2018   | ***-**-4547 - NORWOOD, CLINTON<br>ACCOUNT #: 00083594601 | AMERICAN FUNDS 2025 TARGET DATE-A<br>BUY 0 Units @0.0000 | 0.00                 | 4.02                | 0.00               | 4.02              | 75.0 | 3.02                 |
| 03/01/2018   | ***-**-3123 - BALIO, SHAWN<br>ACCOUNT #: 00083684779     | AMERICAN FUNDS 2025 TARGET DATE-A<br>BUY 0 Units @0.0000 | 0.00                 | 3.08                | 0.00               | 3.08              | 75.0 | 2.31                 |
| 03/01/2018   | ***-**-3474 - LORRAINE, DEBRA<br>ACCOUNT #: 00085801437  | AMERICAN FUNDS 2025 TARGET DATE-A<br>BUY 0 Units @0.0000 | 0.00                 | 1.82                | 0.00               | 1.82              | 75.0 | 1.37                 |
| 03/01/2018   | ***-**-7478 - FEMIA, NATE<br>ACCOUNT #: 00087227295      | AMERICAN FUNDS 2025 TARGET DATE-A<br>BUY 0 Units @0.0000 | 0.00                 | 5.31                | 0.00               | 5.31              | 75.0 | 3.98                 |
| 03/01/2018   | ***-**-2771 - CESARE, CYNTHIA<br>ACCOUNT #: 00088331327  | AMERICAN FUNDS 2025 TARGET DATE-A<br>BUY 0 Units @0.0000 | 0.00                 | 3.16                | 0.00               | 3.16              | 75.0 | 2.37                 |
| 03/01/2018   | ***-**-3771 - KENNELTY, SEAN<br>ACCOUNT #: 00088439056   | AMERICAN FUNDS 2025 TARGET DATE-A<br>BUY 0 Units @0.0000 | 0.00                 | 8.03                | 0.00               | 8.03              | 75.0 | 6.02                 |
| 03/01/2018   | ***-**-2420 - WRIGHT, ROBERT<br>ACCOUNT #: 00088528064   | AMERICAN FUNDS 2025 TARGET DATE-A<br>BUY 0 Units @0.0000 | 0.00                 | 1.61                | 0.00               | 1.61              | 75.0 | 1.21                 |
| 03/01/2018   | ***-**-2227 - WRIGHT, BRIGETTE<br>ACCOUNT #: 00088532253 | AMERICAN FUNDS 2025 TARGET DATE-A<br>BUY 0 Units @0.0000 | 0.00                 | 7.88                | 0.00               | 7.88              | 75.0 | 5.91                 |
| 03/01/2018   | ***-**-7437 - FERRONE, KAREN<br>ACCOUNT #: 00089328587   | AMERICAN FUNDS 2025 TARGET DATE-A<br>BUY 0 Units @0.0000 | 0.00                 | 2.36                | 0.00               | 2.36              | 75.0 | 1.77                 |
| 03/01/2018   | ***-**-5515 - JACKSON, JOSEPH<br>ACCOUNT #: 00089572377  | AMERICAN FUNDS 2025 TARGET DATE-A<br>BUY 0 Units @0.0000 | 0.00                 | 0.50                | 0.00               | 0.50              | 75.0 | 0.38                 |
| 03/01/2018   | ***-**-3123 - BALIO, SHAWN<br>ACCOUNT #: 00083684779     | AMERICAN FUNDS 2030 TARGET DATE-A<br>BUY 0 Units @0.0000 | 0.00                 | 3.23                | 0.00               | 3.23              | 75.0 | 2.42                 |
| 03/01/2018   | ***-**-5913 - SNYDER, JAMES<br>ACCOUNT #: 00086069268    | AMERICAN FUNDS 2030 TARGET DATE-A<br>BUY 0 Units @0.0000 | 0.00                 | 7.12                | 0.00               | 7.12              | 75.0 | 5.34                 |



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|--|---|--|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b>BROKER TRANSACTIONS (continued)</b>                       |   |  |                      |                     |                    |                   |      |                      |
| <b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</b> |   |  |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-7478 - FEMIA, NATE<br>ACCOUNT #: 00087227295     | AMERICAN FUNDS 2030 TARGET DATE-A<br>BUY 0 Units @0.0000 | 0.00                 | 3.05                | 0.00               | 3.05              | 75.0 | 2.29                 |
| 03/01/2018   | ***-**-3771 - KENNELTY, SEAN<br>ACCOUNT #: 00087352911  | AMERICAN FUNDS 2030 TARGET DATE-A<br>BUY 0 Units @0.0000 | 0.00                 | 14.23               | 0.00               | 14.23             | 75.0 | 10.67                |
| 03/01/2018   | ***-**-1475 - PIERCE, RICHARD<br>ACCOUNT #: 00087763816 | AMERICAN FUNDS 2030 TARGET DATE-A<br>BUY 0 Units @0.0000 | 0.00                 | 9.87                | 0.00               | 9.87              | 75.0 | 7.40                 |
| 03/01/2018   | ***-**-6187 - PIERCE,<br>ACCOUNT #: 00087763847         | AMERICAN FUNDS 2030 TARGET DATE-A<br>BUY 0 Units @0.0000 | 0.00                 | 9.42                | 0.00               | 9.42              | 75.0 | 7.07                 |
| 03/01/2018   | ***-**-2420 - WRIGHT, ROBERT<br>ACCOUNT #: 00088528064  | AMERICAN FUNDS 2030 TARGET DATE-A<br>BUY 0 Units @0.0000 | 0.00                 | 6.54                | 0.00               | 6.54              | 75.0 | 4.91                 |
| 03/01/2018   | ***-**-6382 - ZOGBY, KAREN<br>ACCOUNT #: 00089152479    | AMERICAN FUNDS 2030 TARGET DATE-A<br>BUY 0 Units @0.0000 | 0.00                 | 6.04                | 0.00               | 6.04              | 75.0 | 4.53                 |
| 03/01/2018   | ***-**-2478 - ALAGIC, INDIRA<br>ACCOUNT #: 04000400299  | AMERICAN FUNDS 2030 TARGET DATE-A<br>BUY 0 Units @0.0000 | 0.00                 | 7.67                | 0.00               | 7.67              | 75.0 | 5.75                 |
| 03/01/2018   | ***-**-9137 - YOZZO, JOSEPH<br>ACCOUNT #: 04000501282   | AMERICAN FUNDS 2030 TARGET DATE-A<br>BUY 0 Units @0.0000 | 0.00                 | 0.20                | 0.00               | 0.20              | 75.0 | 0.15                 |
| 03/01/2018   | ***-**-4719 - MARTIN, KRISTY<br>ACCOUNT #: 00088870706  | AMERICAN FUNDS 2035 TARGET DATE-A<br>BUY 0 Units @0.0000 | 0.00                 | 3.33                | 0.00               | 3.33              | 75.0 | 2.50                 |
| 03/01/2018   | ***-**-5456 - ANKEN, NICHOLAS<br>ACCOUNT #: 00089412850 | AMERICAN FUNDS 2035 TARGET DATE-A<br>BUY 0 Units @0.0000 | 0.00                 | 0.64                | 0.00               | 0.64              | 75.0 | 0.48                 |
| 03/01/2018   | ***-**-8758 - RIOLO, LAWRENCE<br>ACCOUNT #: 04000070058 | AMERICAN FUNDS 2035 TARGET DATE-A<br>BUY 0 Units @0.0000 | 0.00                 | 0.70                | 0.00               | 0.70              | 75.0 | 0.53                 |
| 03/01/2018   | ***-**-9137 - YOZZO, JOSEPH<br>ACCOUNT #: 04000501282   | AMERICAN FUNDS 2035 TARGET DATE-A<br>BUY 0 Units @0.0000 | 0.00                 | 0.21                | 0.00               | 0.21              | 75.0 | 0.16                 |
| 03/01/2018   | ***-**-9137 - YOZZO, JOSEPH<br>ACCOUNT #: 04000501282   | AMERICAN FUNDS 2040 TARGET DATE-A<br>BUY 0 Units @0.0000 | 0.00                 | 0.29                | 0.00               | 0.29              | 75.0 | 0.22                 |
| 03/01/2018   | ***-**-0801 - ALLEN, TINA<br>ACCOUNT #: 04000747642     | AMERICAN FUNDS 2040 TARGET DATE-A<br>BUY 0 Units @0.0000 | 0.00                 | 0.21                | 0.00               | 0.21              | 75.0 | 0.16                 |
| 03/01/2018   | ***-**-3291 - REILLY, BETHANY<br>ACCOUNT #: 04000139353 | AMERICAN FUNDS 2045 TARGET DATE-A<br>BUY 0 Units @0.0000 | 0.00                 | 0.89                | 0.00               | 0.89              | 75.0 | 0.67                 |
| 03/01/2018   | ***-**-0801 - ALLEN, TINA<br>ACCOUNT #: 04000747642     | AMERICAN FUNDS 2045 TARGET DATE-A<br>BUY 0 Units @0.0000 | 0.00                 | 0.05                | 0.00               | 0.05              | 75.0 | 0.04                 |



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|--|---|--|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b>BROKER TRANSACTIONS (continued)</b>                       |   |  |                      |                     |                    |                   |      |                      |
| <b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</b> |   |  |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-8243 - MURRAY, DOREEN<br>ACCOUNT #: 00087405934  | AMERICAN FUNDS BLNCD PORTFOLIO CL A<br>BUY 0 Units @0.0000 | 0.00                 | 3.56                | 0.00               | 3.56              | 75.0 | 2.67                 |
| 03/01/2018   | ***-**-7778 - SKARADEK, ERIN<br>ACCOUNT #: 00086837544  | AMERICAN FUNDS INCOME PORT CL C<br>BUY 0 Units @0.0000     | 0.00                 | 15.73               | 0.00               | 15.73             | 75.0 | 11.80                |
| 03/01/2018   | ***-**-2221 - SKARADEK,<br>ACCOUNT #: 00086835048       | AMERICAN FUNDS MORTGAGE FD CL C<br>BUY 0 Units @0.0000     | 0.00                 | 6.00                | 0.00               | 6.00              | 75.0 | 4.50                 |
| 03/01/2018   | ***-**-7778 - SKARADEK, ERIN<br>ACCOUNT #: 00086837544  | AMERICAN FUNDS MORTGAGE FD CL C<br>BUY 0 Units @0.0000     | 0.00                 | 9.01                | 0.00               | 9.01              | 75.0 | 6.76                 |
| 03/01/2018   | ***-**-2221 - SKARADEK,<br>ACCOUNT #: 00086835048       | AMERICAN FUNDS PRESERVATION PORT C<br>BUY 0 Units @0.0000  | 0.00                 | 5.80                | 0.00               | 5.80              | 75.0 | 4.35                 |
| 03/01/2018   | ***-**-2221 - SKARADEK,<br>ACCOUNT #: 00086835048       | AMERICAN GLOBAL BALANCED CL C<br>BUY 0 Units @0.0000       | 0.00                 | 8.59                | 0.00               | 8.59              | 75.0 | 6.44                 |
| 03/01/2018   | ***-**-7778 - SKARADEK, ERIN<br>ACCOUNT #: 00086837544  | AMERICAN GLOBAL BALANCED CL C<br>BUY 0 Units @0.0000       | 0.00                 | 19.33               | 0.00               | 19.33             | 75.0 | 14.50                |
| 03/01/2018   | ***-**-3335 - YEH, WHI<br>ACCOUNT #: 00068616678        | AMERICAN GLOBAL BALANCED CLASS A<br>BUY 0 Units @0.0000    | 0.00                 | 2.13                | 0.00               | 2.13              | 75.0 | 1.60                 |
| 03/01/2018   | ***-**-5919 - YEH, CHANG<br>ACCOUNT #: 00068616715      | AMERICAN GLOBAL BALANCED CLASS A<br>BUY 0 Units @0.0000    | 0.00                 | 1.90                | 0.00               | 1.90              | 75.0 | 1.43                 |
| 03/01/2018   | ***-**-9871 - LACOVISSI,<br>ACCOUNT #: 00075995210      | AMERICAN GLOBAL BALANCED CLASS A<br>BUY 0 Units @0.0000    | 0.00                 | 2.21                | 0.00               | 2.21              | 75.0 | 1.66                 |
| 03/01/2018   | ***-**-3771 - KENNELTY, SEAN<br>ACCOUNT #: 00088439056  | AMERICAN GLOBAL BALANCED CLASS A<br>BUY 0 Units @0.0000    | 0.00                 | 2.22                | 0.00               | 2.22              | 75.0 | 1.67                 |
| 03/01/2018   | ***-**-6663 - ZOGBY, KAMIL<br>ACCOUNT #: 00081998971    | AMERICAN HIGH INCOME CLASS F1<br>BUY 0 Units @0.0000       | 0.00                 | 0.35                | 0.00               | 0.35              | 75.0 | 0.26                 |
| 03/01/2018   | ***-**-1445 - CRUMB, DIANE<br>ACCOUNT #: 00088371577    | AMERICAN HIGH INCOME CLASS F1<br>BUY 0 Units @0.0000       | 0.00                 | 2.95                | 0.00               | 2.95              | 75.0 | 2.21                 |
| 03/01/2018   | ***-**-7671 - REILLY, RICHARD<br>ACCOUNT #: 00063488673 | AMERICAN HIGH-INCOME TRUST-A<br>BUY 0 Units @0.0000        | 0.00                 | 11.59               | 0.00               | 11.59             | 75.0 | 8.69                 |
| 03/01/2018   | ***-**-8307 - REILLY, KATHY<br>ACCOUNT #: 00063488674   | AMERICAN HIGH-INCOME TRUST-A<br>BUY 0 Units @0.0000        | 0.00                 | 7.02                | 0.00               | 7.02              | 75.0 | 5.27                 |
| 03/01/2018   | ***-**-2009 - CHRISTIANO,<br>ACCOUNT #: 00068289182     | AMERICAN HIGH-INCOME TRUST-A<br>BUY 0 Units @0.0000        | 0.00                 | 1.45                | 0.00               | 1.45              | 75.0 | 1.09                 |



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|--|--|---|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b>BROKER TRANSACTIONS (continued)</b>                       |  |   |                      |                     |                    |                   |      |                      |
| <b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</b> |  |   |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-33IN - CHRISTIANO,<br>ACCOUNT #: 00068289183      | AMERICAN HIGH-INCOME TRUST-A<br>BUY 0 Units @0.0000 | 0.00                 | 2.66                | 0.00               | 2.66              | 75.0 | 2.00                 |
| 03/01/2018   | ***-**-3335 - YEH, WHI<br>ACCOUNT #: 00068616678         | AMERICAN HIGH-INCOME TRUST-A<br>BUY 0 Units @0.0000 | 0.00                 | 1.53                | 0.00               | 1.53              | 75.0 | 1.15                 |
| 03/01/2018   | ***-**-5919 - YEH, CHANG<br>ACCOUNT #: 00068616715       | AMERICAN HIGH-INCOME TRUST-A<br>BUY 0 Units @0.0000 | 0.00                 | 0.81                | 0.00               | 0.81              | 75.0 | 0.61                 |
| 03/01/2018   | ***-**-9311 - YOZZO, JOSEPH<br>ACCOUNT #: 00068838818    | AMERICAN HIGH-INCOME TRUST-A<br>BUY 0 Units @0.0000 | 0.00                 | 5.43                | 0.00               | 5.43              | 75.0 | 4.07                 |
| 03/01/2018   | ***-**-9871 - LACOVISSI,<br>ACCOUNT #: 00075995210       | AMERICAN HIGH-INCOME TRUST-A<br>BUY 0 Units @0.0000 | 0.00                 | 2.87                | 0.00               | 2.87              | 75.0 | 2.15                 |
| 03/01/2018   | ***-**-2451 - DECARR, EDWARD<br>ACCOUNT #: 00081650302   | AMERICAN HIGH-INCOME TRUST-A<br>BUY 0 Units @0.0000 | 0.00                 | 4.34                | 0.00               | 4.34              | 75.0 | 3.26                 |
| 03/01/2018   | ***-**-3503 - SPINELLA,<br>ACCOUNT #: 00081866339        | AMERICAN HIGH-INCOME TRUST-A<br>BUY 0 Units @0.0000 | 0.00                 | 2.25                | 0.00               | 2.25              | 75.0 | 1.69                 |
| 03/01/2018   | ***-**-7162 - BORIS, STANLEY<br>ACCOUNT #: 00081937036   | AMERICAN HIGH-INCOME TRUST-A<br>BUY 0 Units @0.0000 | 0.00                 | 3.67                | 0.00               | 3.67              | 75.0 | 2.75                 |
| 03/01/2018   | ***-**-995J - ADAMS, JOHN<br>ACCOUNT #: 00082044078      | AMERICAN HIGH-INCOME TRUST-A<br>BUY 0 Units @0.0000 | 0.00                 | 4.24                | 0.00               | 4.24              | 75.0 | 3.18                 |
| 03/01/2018   | ***-**-7576 - MATTHEWS,<br>ACCOUNT #: 00082716712        | AMERICAN HIGH-INCOME TRUST-A<br>BUY 0 Units @0.0000 | 0.00                 | 2.49                | 0.00               | 2.49              | 75.0 | 1.87                 |
| 03/01/2018   | ***-**-84IN - ROBINSON, CHERYL<br>ACCOUNT #: 00082727886 | AMERICAN HIGH-INCOME TRUST-A<br>BUY 0 Units @0.0000 | 0.00                 | 1.45                | 0.00               | 1.45              | 75.0 | 1.09                 |
| 03/01/2018   | ***-**-3164 - SKARADEK, KAREN<br>ACCOUNT #: 00083221144  | AMERICAN HIGH-INCOME TRUST-A<br>BUY 0 Units @0.0000 | 0.00                 | 5.33                | 0.00               | 5.33              | 75.0 | 4.00                 |
| 03/01/2018   | ***-**-7079 - VERENTI, DEANA<br>ACCOUNT #: 00083685230   | AMERICAN HIGH-INCOME TRUST-A<br>BUY 0 Units @0.0000 | 0.00                 | 0.86                | 0.00               | 0.86              | 75.0 | 0.65                 |
| 03/01/2018   | ***-**-2713 - KAPRAL, RICHARD<br>ACCOUNT #: 00083705143  | AMERICAN HIGH-INCOME TRUST-A<br>BUY 0 Units @0.0000 | 0.00                 | 2.60                | 0.00               | 2.60              | 75.0 | 1.95                 |
| 03/01/2018   | ***-**-4301 - GUARNIERI,<br>ACCOUNT #: 00085628463       | AMERICAN HIGH-INCOME TRUST-A<br>BUY 0 Units @0.0000 | 0.00                 | 21.25               | 0.00               | 21.25             | 75.0 | 15.94                |
| 03/01/2018   | ***-**-7706 - DECARR,<br>ACCOUNT #: 00086438656          | AMERICAN HIGH-INCOME TRUST-A<br>BUY 0 Units @0.0000 | 0.00                 | 3.49                | 0.00               | 3.49              | 75.0 | 2.62                 |



# COMMISSION STATEMENT

March 12, 2018

JEFFREY HANRETTY  
8365 Seneca Turnpike  
New Hartford, NY 13413

BROKER #: B08  
BRANCH #01001 - LifeMark Home Office

| DATE   | CLIENT                        | INVESTMENT                   | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|--|-------------------------------|------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b>BROKER TRANSACTIONS (continued)</b>                       |                               |                              |                      |                     |                    |                   |      |                      |
| <b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</b> |                               |                              |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-7478 - FEMIA, NATE     | AMERICAN HIGH-INCOME TRUST-A | 0.00                 | 1.46                | 0.00               | 1.46              | 75.0 | 1.10                 |
|  | ACCOUNT #: 00087227295        | BUY 0 Units @0.0000          |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-3771 - KENNELTY, SEAN  | AMERICAN HIGH-INCOME TRUST-A | 0.00                 | 0.94                | 0.00               | 0.94              | 75.0 | 0.71                 |
|  | ACCOUNT #: 00087352911        | BUY 0 Units @0.0000          |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-9398 - BRENNAN, ROBIN  | AMERICAN HIGH-INCOME TRUST-A | 0.00                 | 3.51                | 0.00               | 3.51              | 75.0 | 2.63                 |
|  | ACCOUNT #: 00087403470        | BUY 0 Units @0.0000          |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-8670 - EDWARDS, SUSAN  | AMERICAN HIGH-INCOME TRUST-A | 0.00                 | 6.84                | 0.00               | 6.84              | 75.0 | 5.13                 |
|  | ACCOUNT #: 00088252231        | BUY 0 Units @0.0000          |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-2771 - CESARE, CYNTHIA | AMERICAN HIGH-INCOME TRUST-A | 0.00                 | 3.07                | 0.00               | 3.07              | 75.0 | 2.30                 |
|  | ACCOUNT #: 00088331327        | BUY 0 Units @0.0000          |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-3771 - KENNELTY, SEAN  | AMERICAN HIGH-INCOME TRUST-A | 0.00                 | 11.82               | 0.00               | 11.82             | 75.0 | 8.87                 |
|  | ACCOUNT #: 00088439056        | BUY 0 Units @0.0000          |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-6130 - SCHOEN, THOMAS  | AMERICAN HIGH-INCOME TRUST-C | 0.00                 | 6.33                | 0.00               | 6.33              | 75.0 | 4.75                 |
|  | ACCOUNT #: 00086062285        | BUY 0 Units @0.0000          |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-2221 - SKARADEK,       | AMERICAN HIGH-INCOME TRUST-C | 0.00                 | 10.98               | 0.00               | 10.98             | 75.0 | 8.24                 |
|  | ACCOUNT #: 00086835048        | BUY 0 Units @0.0000          |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-7778 - SKARADEK, ERIN  | AMERICAN HIGH-INCOME TRUST-C | 0.00                 | 16.47               | 0.00               | 16.47             | 75.0 | 12.35                |
|  | ACCOUNT #: 00086837544        | BUY 0 Units @0.0000          |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-1475 - PIERCE, RICHARD | AMERICAN HIGH-INCOME TRUST-C | 0.00                 | 16.47               | 0.00               | 16.47             | 75.0 | 12.35                |
|  | ACCOUNT #: 00087763816        | BUY 0 Units @0.0000          |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-3664 - DOMION, DAWN    | AMERICAN HIGH-INCOME TRUST-C | 0.00                 | 2.37                | 0.00               | 2.37              | 75.0 | 1.78                 |
|  | ACCOUNT #: 00088289886        | BUY 0 Units @0.0000          |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-9871 - LACOVISSI,      | AMERICAN MUTUAL FUND-A       | 0.00                 | 0.35                | 0.00               | 0.35              | 75.0 | 0.26                 |
|  | ACCOUNT #: 00075995210        | BUY 0 Units @0.0000          |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-5157 - ADAMS, BARBARA  | AMERICAN MUTUAL FUND-A       | 0.00                 | 1.59                | 0.00               | 1.59              | 75.0 | 1.19                 |
|  | ACCOUNT #: 00081925599        | BUY 0 Units @0.0000          |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-8441 - SHAW, MARY      | AMERICAN MUTUAL FUND-A       | 0.00                 | 2.48                | 0.00               | 2.48              | 75.0 | 1.86                 |
|  | ACCOUNT #: 00082629278        | BUY 0 Units @0.0000          |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-3164 - SKARADEK, KAREN | AMERICAN MUTUAL FUND-A       | 0.00                 | 6.68                | 0.00               | 6.68              | 75.0 | 5.01                 |
|  | ACCOUNT #: 00083221144        | BUY 0 Units @0.0000          |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-5943 - CORR, KATHLEEN  | AMERICAN MUTUAL FUND-A       | 0.00                 | 1.54                | 0.00               | 1.54              | 75.0 | 1.16                 |
|  | ACCOUNT #: 00089491976        | BUY 0 Units @0.0000          |                      |                     |                    |                   |      |                      |



# COMMISSION STATEMENT

March 12, 2018

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BROKER #: B08  
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| DATE   | CLIENT  | INVESTMENT  | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|--|---|---|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b>BROKER TRANSACTIONS (continued)</b>                       |   |   |                      |                     |                    |                   |      |                      |
| <b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</b> |   |   |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-2221 - SKARADEK,<br>ACCOUNT #: 00086835048       | AMERICAN MUTUAL FUND-C<br>BUY 0 Units @0.0000         | 0.00                 | 10.92               | 0.00               | 10.92             | 75.0 | 8.19                 |
| 03/01/2018   | ***-**-2354 - PENDOLF, NANCY<br>ACCOUNT #: 00083468545  | CAPITAL INCOME BUILDER CLASS C<br>BUY 0 Units @0.0000 | 0.00                 | 0.02                | 0.00               | 0.02              | 75.0 | 0.02                 |
| 03/01/2018   | ***-**-2542 - OGIYEVICH,<br>ACCOUNT #: 00083468551      | CAPITAL INCOME BUILDER CLASS C<br>BUY 0 Units @0.0000 | 0.00                 | 21.65               | 0.00               | 21.65             | 75.0 | 16.24                |
| 03/01/2018   | ***-**-3569 - YOZZO, ROSA<br>ACCOUNT #: 00083468583     | CAPITAL INCOME BUILDER CLASS C<br>BUY 0 Units @0.0000 | 0.00                 | 54.78               | 0.00               | 54.78             | 75.0 | 41.09                |
| 03/01/2018   | ***-**-7894 - BENSON, HEIDI<br>ACCOUNT #: 00084750362   | CAPITAL INCOME BUILDER CLASS C<br>BUY 0 Units @0.0000 | 0.00                 | 52.17               | 0.00               | 52.17             | 75.0 | 39.13                |
| 03/01/2018   | ***-**-6060 - ROBINSON,<br>ACCOUNT #: 00085852774       | CAPITAL INCOME BUILDER CLASS C<br>BUY 0 Units @0.0000 | 0.00                 | 4.64                | 0.00               | 4.64              | 75.0 | 3.48                 |
| 03/01/2018   | ***-**-6130 - SCHOEN, THOMAS<br>ACCOUNT #: 00086062285  | CAPITAL INCOME BUILDER CLASS C<br>BUY 0 Units @0.0000 | 0.00                 | 6.06                | 0.00               | 6.06              | 75.0 | 4.55                 |
| 03/01/2018   | ***-**-2221 - SKARADEK,<br>ACCOUNT #: 00086835048       | CAPITAL INCOME BUILDER CLASS C<br>BUY 0 Units @0.0000 | 0.00                 | 21.39               | 0.00               | 21.39             | 75.0 | 16.04                |
| 03/01/2018   | ***-**-7778 - SKARADEK, ERIN<br>ACCOUNT #: 00086837544  | CAPITAL INCOME BUILDER CLASS C<br>BUY 0 Units @0.0000 | 0.00                 | 32.09               | 0.00               | 32.09             | 75.0 | 24.07                |
| 03/01/2018   | ***-**-1475 - PIERCE, RICHARD<br>ACCOUNT #: 00087763816 | CAPITAL INCOME BUILDER CLASS C<br>BUY 0 Units @0.0000 | 0.00                 | 17.19               | 0.00               | 17.19             | 75.0 | 12.89                |
| 03/01/2018   | ***-**-3664 - DOMION, DAWN<br>ACCOUNT #: 00088289886    | CAPITAL INCOME BUILDER CLASS C<br>BUY 0 Units @0.0000 | 0.00                 | 6.25                | 0.00               | 6.25              | 75.0 | 4.69                 |
| 03/01/2018   | ***-**-1445 - CRUMB, DIANE<br>ACCOUNT #: 00088371577    | CAPITAL INCOME BUILDER CLASS C<br>BUY 0 Units @0.0000 | 0.00                 | 15.11               | 0.00               | 15.11             | 75.0 | 11.33                |
| 03/01/2018   | ***-**-7671 - REILLY, RICHARD<br>ACCOUNT #: 00063488673 | CAPITAL INCOME BUILDER-A<br>BUY 0 Units @0.0000       | 0.00                 | 11.11               | 0.00               | 11.11             | 75.0 | 8.33                 |
| 03/01/2018   | ***-**-8307 - REILLY, KATHY<br>ACCOUNT #: 00063488674   | CAPITAL INCOME BUILDER-A<br>BUY 0 Units @0.0000       | 0.00                 | 24.33               | 0.00               | 24.33             | 75.0 | 18.25                |
| 03/01/2018   | ***-**-2009 - CHRISTIANO,<br>ACCOUNT #: 00068289182     | CAPITAL INCOME BUILDER-A<br>BUY 0 Units @0.0000       | 0.00                 | 2.12                | 0.00               | 2.12              | 75.0 | 1.59                 |
| 03/01/2018   | ***-**-3335 - YEH, WHI<br>ACCOUNT #: 00068616678        | CAPITAL INCOME BUILDER-A<br>BUY 0 Units @0.0000       | 0.00                 | 6.80                | 0.00               | 6.80              | 75.0 | 5.10                 |



# COMMISSION STATEMENT

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| DATE   | CLIENT  | INVESTMENT                                      | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|--|---|---|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b>BROKER TRANSACTIONS (continued)</b>                       |   |   |                      |                     |                    |                   |      |                      |
| <b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</b> |   |   |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-9311 - YOZZO, JOSEPH<br>ACCOUNT #: 00068838818   | CAPITAL INCOME BUILDER-A<br>BUY 0 Units @0.0000 | 0.00                 | 14.88               | 0.00               | 14.88             | 75.0 | 11.16                |
| 03/01/2018   | ***-**-9099 - AUSTIN, RONDA<br>ACCOUNT #: 00073043547   | CAPITAL INCOME BUILDER-A<br>BUY 0 Units @0.0000 | 0.00                 | 4.05                | 0.00               | 4.05              | 75.0 | 3.04                 |
| 03/01/2018   | ***-**-6906 - ROMANO, PAUL<br>ACCOUNT #: 00073848770    | CAPITAL INCOME BUILDER-A<br>BUY 0 Units @0.0000 | 0.00                 | 0.64                | 0.00               | 0.64              | 75.0 | 0.48                 |
| 03/01/2018   | ***-**-9871 - LACOVISSI,<br>ACCOUNT #: 00075995210      | CAPITAL INCOME BUILDER-A<br>BUY 0 Units @0.0000 | 0.00                 | 3.45                | 0.00               | 3.45              | 75.0 | 2.59                 |
| 03/01/2018   | ***-**-1489 - MARR, RICHARD<br>ACCOUNT #: 00081380894   | CAPITAL INCOME BUILDER-A<br>BUY 0 Units @0.0000 | 0.00                 | 2.29                | 0.00               | 2.29              | 75.0 | 1.72                 |
| 03/01/2018   | ***-**-4459 - CRAFT, ROSEANNE<br>ACCOUNT #: 00081619958 | CAPITAL INCOME BUILDER-A<br>BUY 0 Units @0.0000 | 0.00                 | 1.55                | 0.00               | 1.55              | 75.0 | 1.16                 |
| 03/01/2018   | ***-**-2451 - DECARR, EDWARD<br>ACCOUNT #: 00081650302  | CAPITAL INCOME BUILDER-A<br>BUY 0 Units @0.0000 | 0.00                 | 10.71               | 0.00               | 10.71             | 75.0 | 8.03                 |
| 03/01/2018   | ***-**-3503 - SPINELLA,<br>ACCOUNT #: 00081866339       | CAPITAL INCOME BUILDER-A<br>BUY 0 Units @0.0000 | 0.00                 | 10.30               | 0.00               | 10.30             | 75.0 | 7.73                 |
| 03/01/2018   | ***-**-3560 - MCEVOY, MICHAEL<br>ACCOUNT #: 00081868334 | CAPITAL INCOME BUILDER-A<br>BUY 0 Units @0.0000 | 0.00                 | 1.15                | 0.00               | 1.15              | 75.0 | 0.86                 |
| 03/01/2018   | ***-**-5157 - ADAMS, BARBARA<br>ACCOUNT #: 00081925599  | CAPITAL INCOME BUILDER-A<br>BUY 0 Units @0.0000 | 0.00                 | 1.19                | 0.00               | 1.19              | 75.0 | 0.89                 |
| 03/01/2018   | ***-**-7162 - BORIS, STANLEY<br>ACCOUNT #: 00081937036  | CAPITAL INCOME BUILDER-A<br>BUY 0 Units @0.0000 | 0.00                 | 1.54                | 0.00               | 1.54              | 75.0 | 1.16                 |
| 03/01/2018   | ***-**-995J - ADAMS, JOHN<br>ACCOUNT #: 00082044078     | CAPITAL INCOME BUILDER-A<br>BUY 0 Units @0.0000 | 0.00                 | 8.53                | 0.00               | 8.53              | 75.0 | 6.40                 |
| 03/01/2018   | ***-**-9137 - YOZZO, JOSEPH<br>ACCOUNT #: 00082276628   | CAPITAL INCOME BUILDER-A<br>BUY 0 Units @0.0000 | 0.00                 | 2.27                | 0.00               | 2.27              | 75.0 | 1.70                 |
| 03/01/2018   | ***-**-1973 - MCEVOY, KATHY<br>ACCOUNT #: 00082284150   | CAPITAL INCOME BUILDER-A<br>BUY 0 Units @0.0000 | 0.00                 | 1.21                | 0.00               | 1.21              | 75.0 | 0.91                 |
| 03/01/2018   | ***-**-3720 - MARCOCCIA,<br>ACCOUNT #: 00082308736      | CAPITAL INCOME BUILDER-A<br>BUY 0 Units @0.0000 | 0.00                 | 2.28                | 0.00               | 2.28              | 75.0 | 1.71                 |
| 03/01/2018   | ***-**-5513 - KUPIEC, RICHARD<br>ACCOUNT #: 00082449672 | CAPITAL INCOME BUILDER-A<br>BUY 0 Units @0.0000 | 0.00                 | 1.37                | 0.00               | 1.37              | 75.0 | 1.03                 |





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| DATE   | CLIENT   | INVESTMENT                                      | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|--|--|---|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b>BROKER TRANSACTIONS (continued)</b>                       |  |   |                      |                     |                    |                   |      |                      |
| <b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</b> |  |   |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-6354 - NICOTERA,<br>ACCOUNT #: 00082525497        | CAPITAL INCOME BUILDER-A<br>BUY 0 Units @0.0000 | 0.00                 | 0.69                | 0.00               | 0.69              | 75.0 | 0.52                 |
| 03/01/2018   | ***-**-8441 - SHAW, MARY<br>ACCOUNT #: 00082629278       | CAPITAL INCOME BUILDER-A<br>BUY 0 Units @0.0000 | 0.00                 | 4.67                | 0.00               | 4.67              | 75.0 | 3.50                 |
| 03/01/2018   | ***-**-7576 - MATTHEWS,<br>ACCOUNT #: 00082716712        | CAPITAL INCOME BUILDER-A<br>BUY 0 Units @0.0000 | 0.00                 | 5.50                | 0.00               | 5.50              | 75.0 | 4.13                 |
| 03/01/2018   | ***-**-841N - ROBINSON, CHERYL<br>ACCOUNT #: 00082727886 | CAPITAL INCOME BUILDER-A<br>BUY 0 Units @0.0000 | 0.00                 | 9.07                | 0.00               | 9.07              | 75.0 | 6.80                 |
| 03/01/2018   | ***-**-1595 - FERRONE, PAUL<br>ACCOUNT #: 00082857686    | CAPITAL INCOME BUILDER-A<br>BUY 0 Units @0.0000 | 0.00                 | 2.68                | 0.00               | 2.68              | 75.0 | 2.01                 |
| 03/01/2018   | ***-**-3164 - SKARADEK, KAREN<br>ACCOUNT #: 00083221144  | CAPITAL INCOME BUILDER-A<br>BUY 0 Units @0.0000 | 0.00                 | 18.52               | 0.00               | 18.52             | 75.0 | 13.89                |
| 03/01/2018   | ***-**-1701 - NOFFER, THOMAS<br>ACCOUNT #: 00083444381   | CAPITAL INCOME BUILDER-A<br>BUY 0 Units @0.0000 | 0.00                 | 0.75                | 0.00               | 0.75              | 75.0 | 0.56                 |
| 03/01/2018   | ***-**-7079 - VERENTI, DEANA<br>ACCOUNT #: 00083685230   | CAPITAL INCOME BUILDER-A<br>BUY 0 Units @0.0000 | 0.00                 | 3.22                | 0.00               | 3.22              | 75.0 | 2.42                 |
| 03/01/2018   | ***-**-2713 - KAPRAL, RICHARD<br>ACCOUNT #: 00083705143  | CAPITAL INCOME BUILDER-A<br>BUY 0 Units @0.0000 | 0.00                 | 4.02                | 0.00               | 4.02              | 75.0 | 3.02                 |
| 03/01/2018   | ***-**-0949 - WEAVER, WILLIAM<br>ACCOUNT #: 00084071170  | CAPITAL INCOME BUILDER-A<br>BUY 0 Units @0.0000 | 0.00                 | 6.02                | 0.00               | 6.02              | 75.0 | 4.52                 |
| 03/01/2018   | ***-**-162J - BORIS, STANLEY<br>ACCOUNT #: 00084254479   | CAPITAL INCOME BUILDER-A<br>BUY 0 Units @0.0000 | 0.00                 | 25.84               | 0.00               | 25.84             | 75.0 | 19.38                |
| 03/01/2018   | ***-**-4301 - GUARNIERI,<br>ACCOUNT #: 00085628463       | CAPITAL INCOME BUILDER-A<br>BUY 0 Units @0.0000 | 0.00                 | 15.03               | 0.00               | 15.03             | 75.0 | 11.27                |
| 03/01/2018   | ***-**-3474 - LORRAINE, DEBRA<br>ACCOUNT #: 00085801437  | CAPITAL INCOME BUILDER-A<br>BUY 0 Units @0.0000 | 0.00                 | 0.78                | 0.00               | 0.78              | 75.0 | 0.59                 |
| 03/01/2018   | ***-**-7706 - DECARR,<br>ACCOUNT #: 00086438656          | CAPITAL INCOME BUILDER-A<br>BUY 0 Units @0.0000 | 0.00                 | 9.69                | 0.00               | 9.69              | 75.0 | 7.27                 |
| 03/01/2018   | ***-**-7478 - FEMIA, NATE<br>ACCOUNT #: 00087227295      | CAPITAL INCOME BUILDER-A<br>BUY 0 Units @0.0000 | 0.00                 | 2.38                | 0.00               | 2.38              | 75.0 | 1.79                 |
| 03/01/2018   | ***-**-3771 - KENNELTY, SEAN<br>ACCOUNT #: 00087352911   | CAPITAL INCOME BUILDER-A<br>BUY 0 Units @0.0000 | 0.00                 | 1.04                | 0.00               | 1.04              | 75.0 | 0.78                 |



# COMMISSION STATEMENT

March 12, 2018

JEFFREY HANRETTY  
8365 Seneca Turnpike  
New Hartford, NY 13413

BROKER #: B08  
BRANCH #01001 - LifeMark Home Office

| DATE   | CLIENT  | INVESTMENT                                       | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|--|---|--|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b>BROKER TRANSACTIONS (continued)</b>                       |   |  |                      |                     |                    |                   |      |                      |
| <b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</b> |   |  |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-9398 - BRENNAN, ROBIN<br>ACCOUNT #: 00087403470  | CAPITAL INCOME BUILDER-A<br>BUY 0 Units @0.0000  | 0.00                 | 3.47                | 0.00               | 3.47              | 75.0 | 2.60                 |
| 03/01/2018   | ***-**-8670 - EDWARDS, SUSAN<br>ACCOUNT #: 00088252231  | CAPITAL INCOME BUILDER-A<br>BUY 0 Units @0.0000  | 0.00                 | 7.60                | 0.00               | 7.60              | 75.0 | 5.70                 |
| 03/01/2018   | ***-**-2771 - CESARE, CYNTHIA<br>ACCOUNT #: 00088331327 | CAPITAL INCOME BUILDER-A<br>BUY 0 Units @0.0000  | 0.00                 | 3.07                | 0.00               | 3.07              | 75.0 | 2.30                 |
| 03/01/2018   | ***-**-3771 - KENNELTY, SEAN<br>ACCOUNT #: 00088439056  | CAPITAL INCOME BUILDER-A<br>BUY 0 Units @0.0000  | 0.00                 | 11.10               | 0.00               | 11.10             | 75.0 | 8.33                 |
| 03/01/2018   | ***-**-5943 - CORR, KATHLEEN<br>ACCOUNT #: 00089491976  | CAPITAL INCOME BUILDER-A<br>BUY 0 Units @0.0000  | 0.00                 | 1.50                | 0.00               | 1.50              | 75.0 | 1.13                 |
| 03/01/2018   | ***-**-6663 - ZOGBY, KAMIL<br>ACCOUNT #: 00081998971    | CAPITAL INCOME BUILDER-F1<br>BUY 0 Units @0.0000 | 0.00                 | 1.24                | 0.00               | 1.24              | 75.0 | 0.93                 |
| 03/01/2018   | ***-**-1445 - CRUMB, DIANE<br>ACCOUNT #: 00088371577    | CAPITAL INCOME BUILDER-F1<br>BUY 0 Units @0.0000 | 0.00                 | 8.38                | 0.00               | 8.38              | 75.0 | 6.29                 |
| 03/01/2018   | ***-**-7671 - REILLY, RICHARD<br>ACCOUNT #: 00063488673 | CAPITAL WORLD BOND FUND-A<br>BUY 0 Units @0.0000 | 0.00                 | 6.68                | 0.00               | 6.68              | 75.0 | 5.01                 |
| 03/01/2018   | ***-**-8307 - REILLY, KATHY<br>ACCOUNT #: 00063488674   | CAPITAL WORLD BOND FUND-A<br>BUY 0 Units @0.0000 | 0.00                 | 10.83               | 0.00               | 10.83             | 75.0 | 8.12                 |
| 03/01/2018   | ***-**-3335 - YEH, WHI<br>ACCOUNT #: 00068616678        | CAPITAL WORLD BOND FUND-A<br>BUY 0 Units @0.0000 | 0.00                 | 1.62                | 0.00               | 1.62              | 75.0 | 1.22                 |
| 03/01/2018   | ***-**-5919 - YEH, CHANG<br>ACCOUNT #: 00068616715      | CAPITAL WORLD BOND FUND-A<br>BUY 0 Units @0.0000 | 0.00                 | 1.84                | 0.00               | 1.84              | 75.0 | 1.38                 |
| 03/01/2018   | ***-**-9311 - YOZZO, JOSEPH<br>ACCOUNT #: 00068838818   | CAPITAL WORLD BOND FUND-A<br>BUY 0 Units @0.0000 | 0.00                 | 4.09                | 0.00               | 4.09              | 75.0 | 3.07                 |
| 03/01/2018   | ***-**-9871 - LACOVISSI,<br>ACCOUNT #: 00075995210      | CAPITAL WORLD BOND FUND-A<br>BUY 0 Units @0.0000 | 0.00                 | 2.32                | 0.00               | 2.32              | 75.0 | 1.74                 |
| 03/01/2018   | ***-**-2451 - DECARR, EDWARD<br>ACCOUNT #: 00081650302  | CAPITAL WORLD BOND FUND-A<br>BUY 0 Units @0.0000 | 0.00                 | 3.35                | 0.00               | 3.35              | 75.0 | 2.51                 |
| 03/01/2018   | ***-**-3503 - SPINELLA,<br>ACCOUNT #: 00081866339       | CAPITAL WORLD BOND FUND-A<br>BUY 0 Units @0.0000 | 0.00                 | 1.74                | 0.00               | 1.74              | 75.0 | 1.31                 |
| 03/01/2018   | ***-**-995J - ADAMS, JOHN<br>ACCOUNT #: 00082044078     | CAPITAL WORLD BOND FUND-A<br>BUY 0 Units @0.0000 | 0.00                 | 2.64                | 0.00               | 2.64              | 75.0 | 1.98                 |



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| DATE   | CLIENT                         | INVESTMENT                | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|--|--------------------------------|---------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b>BROKER TRANSACTIONS (continued)</b>                       |                                |                           |                      |                     |                    |                   |      |                      |
| <b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</b> |                                |                           |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-9137 - YOZZO, JOSEPH    | CAPITAL WORLD BOND FUND-A | 0.00                 | 0.77                | 0.00               | 0.77              | 75.0 | 0.58                 |
|  | ACCOUNT #: 00082276628         | BUY 0 Units @0.0000       |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-3720 - MARCOCCIA,       | CAPITAL WORLD BOND FUND-A | 0.00                 | 1.71                | 0.00               | 1.71              | 75.0 | 1.28                 |
|  | ACCOUNT #: 00082308736         | BUY 0 Units @0.0000       |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-5513 - KUPIEC, RICHARD  | CAPITAL WORLD BOND FUND-A | 0.00                 | 0.85                | 0.00               | 0.85              | 75.0 | 0.64                 |
|  | ACCOUNT #: 00082449672         | BUY 0 Units @0.0000       |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-6354 - NICOTERA,        | CAPITAL WORLD BOND FUND-A | 0.00                 | 0.64                | 0.00               | 0.64              | 75.0 | 0.48                 |
|  | ACCOUNT #: 00082525497         | BUY 0 Units @0.0000       |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-8441 - SHAW, MARY       | CAPITAL WORLD BOND FUND-A | 0.00                 | 1.56                | 0.00               | 1.56              | 75.0 | 1.17                 |
|  | ACCOUNT #: 00082629278         | BUY 0 Units @0.0000       |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-7576 - MATTHEWS,        | CAPITAL WORLD BOND FUND-A | 0.00                 | 2.22                | 0.00               | 2.22              | 75.0 | 1.67                 |
|  | ACCOUNT #: 00082716712         | BUY 0 Units @0.0000       |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-84IN - ROBINSON, CHERYL | CAPITAL WORLD BOND FUND-A | 0.00                 | 7.72                | 0.00               | 7.72              | 75.0 | 5.79                 |
|  | ACCOUNT #: 00082727886         | BUY 0 Units @0.0000       |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-3164 - SKARADEK, KAREN  | CAPITAL WORLD BOND FUND-A | 0.00                 | 9.93                | 0.00               | 9.93              | 75.0 | 7.45                 |
|  | ACCOUNT #: 00083221144         | BUY 0 Units @0.0000       |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-7079 - VERENTI, DEANA   | CAPITAL WORLD BOND FUND-A | 0.00                 | 1.12                | 0.00               | 1.12              | 75.0 | 0.84                 |
|  | ACCOUNT #: 00083685230         | BUY 0 Units @0.0000       |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-2713 - KAPRAL, RICHARD  | CAPITAL WORLD BOND FUND-A | 0.00                 | 1.92                | 0.00               | 1.92              | 75.0 | 1.44                 |
|  | ACCOUNT #: 00083705143         | BUY 0 Units @0.0000       |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-4301 - GUARNIERI,       | CAPITAL WORLD BOND FUND-A | 0.00                 | 3.98                | 0.00               | 3.98              | 75.0 | 2.99                 |
|  | ACCOUNT #: 00085628463         | BUY 0 Units @0.0000       |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-7706 - DECARR,          | CAPITAL WORLD BOND FUND-A | 0.00                 | 1.94                | 0.00               | 1.94              | 75.0 | 1.46                 |
|  | ACCOUNT #: 00086438656         | BUY 0 Units @0.0000       |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-3771 - KENNELTY, SEAN   | CAPITAL WORLD BOND FUND-A | 0.00                 | 0.87                | 0.00               | 0.87              | 75.0 | 0.65                 |
|  | ACCOUNT #: 00087352911         | BUY 0 Units @0.0000       |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-9398 - BRENNAN, ROBIN   | CAPITAL WORLD BOND FUND-A | 0.00                 | 2.88                | 0.00               | 2.88              | 75.0 | 2.16                 |
|  | ACCOUNT #: 00087403470         | BUY 0 Units @0.0000       |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-8670 - EDWARDS, SUSAN   | CAPITAL WORLD BOND FUND-A | 0.00                 | 6.31                | 0.00               | 6.31              | 75.0 | 4.73                 |
|  | ACCOUNT #: 00088252231         | BUY 0 Units @0.0000       |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-3771 - KENNELTY, SEAN   | CAPITAL WORLD BOND FUND-A | 0.00                 | 6.08                | 0.00               | 6.08              | 75.0 | 4.56                 |
|  | ACCOUNT #: 00088439056         | BUY 0 Units @0.0000       |                      |                     |                    |                   |      |                      |



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| DATE   | CLIENT                        | INVESTMENT                          | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|--|-------------------------------|-------------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b>BROKER TRANSACTIONS (continued)</b>                       |                               |                                     |                      |                     |                    |                   |      |                      |
| <b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</b> |                               |                                     |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-3569 - YOZZO, ROSA     | CAPITAL WORLD BOND FUND-C           | 0.00                 | 20.60               | 0.00               | 20.60             | 75.0 | 15.45                |
|  | ACCOUNT #: 00083468583        | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-0532 - GUARDI, MAX     | CAPITAL WORLD BOND FUND-C           | 0.00                 | 1.82                | 0.00               | 1.82              | 75.0 | 1.37                 |
|  | ACCOUNT #: 00085418120        | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-6130 - SCHOEN, THOMAS  | CAPITAL WORLD BOND FUND-C           | 0.00                 | 1.16                | 0.00               | 1.16              | 75.0 | 0.87                 |
|  | ACCOUNT #: 00086062285        | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-2221 - SKARADEK,       | CAPITAL WORLD BOND FUND-C           | 0.00                 | 5.97                | 0.00               | 5.97              | 75.0 | 4.48                 |
|  | ACCOUNT #: 00086835048        | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-7778 - SKARADEK, ERIN  | CAPITAL WORLD BOND FUND-C           | 0.00                 | 8.95                | 0.00               | 8.95              | 75.0 | 6.71                 |
|  | ACCOUNT #: 00086837544        | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-1475 - PIERCE, RICHARD | CAPITAL WORLD BOND FUND-C           | 0.00                 | 15.30               | 0.00               | 15.30             | 75.0 | 11.48                |
|  | ACCOUNT #: 00087763816        | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-6187 - PIERCE,         | CAPITAL WORLD BOND FUND-C           | 0.00                 | 14.29               | 0.00               | 14.29             | 75.0 | 10.72                |
|  | ACCOUNT #: 00087763847        | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-3664 - DOMION, DAWN    | CAPITAL WORLD BOND FUND-C           | 0.00                 | 2.02                | 0.00               | 2.02              | 75.0 | 1.52                 |
|  | ACCOUNT #: 00088289886        | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-7671 - REILLY, RICHARD | CAPITAL WORLD GROWTH AND INCOME FUN | 0.00                 | 15.67               | 0.00               | 15.67             | 75.0 | 11.75                |
|  | ACCOUNT #: 00063488673        | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-8307 - REILLY, KATHY   | CAPITAL WORLD GROWTH AND INCOME FUN | 0.00                 | 7.83                | 0.00               | 7.83              | 75.0 | 5.87                 |
|  | ACCOUNT #: 00063488674        | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-2009 - CHRISTIANO,     | CAPITAL WORLD GROWTH AND INCOME FUN | 0.00                 | 1.82                | 0.00               | 1.82              | 75.0 | 1.37                 |
|  | ACCOUNT #: 00068289182        | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-33IN - CHRISTIANO,     | CAPITAL WORLD GROWTH AND INCOME FUN | 0.00                 | 1.43                | 0.00               | 1.43              | 75.0 | 1.07                 |
|  | ACCOUNT #: 00068289183        | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-6663 - ZOGBY, KAMIL    | CAPITAL WORLD GROWTH AND INCOME FUN | 0.00                 | 1.98                | 0.00               | 1.98              | 75.0 | 1.49                 |
|  | ACCOUNT #: 00068396826        | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-3335 - YEH, WHI        | CAPITAL WORLD GROWTH AND INCOME FUN | 0.00                 | 7.33                | 0.00               | 7.33              | 75.0 | 5.50                 |
|  | ACCOUNT #: 00068616678        | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-5919 - YEH, CHANG      | CAPITAL WORLD GROWTH AND INCOME FUN | 0.00                 | 8.04                | 0.00               | 8.04              | 75.0 | 6.03                 |
|  | ACCOUNT #: 00068616715        | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-9311 - YOZZO, JOSEPH   | CAPITAL WORLD GROWTH AND INCOME FUN | 0.00                 | 33.72               | 0.00               | 33.72             | 75.0 | 25.29                |
|  | ACCOUNT #: 00068838818        | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |



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| DATE   | CLIENT  | INVESTMENT   | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|--|---|--|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b>BROKER TRANSACTIONS (continued)</b>                       |   |  |                      |                     |                    |                   |      |                      |
| <b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</b> |   |  |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-5376 - CARROCK, LOUIS<br>ACCOUNT #: 00069250497  | CAPITAL WORLD GROWTH AND INCOME FUN<br>BUY 0 Units @0.0000 | 0.00                 | 0.52                | 0.00               | 0.52              | 75.0 | 0.39                 |
| 03/01/2018   | ***-**-9099 - AUSTIN, RONDA<br>ACCOUNT #: 00073043547   | CAPITAL WORLD GROWTH AND INCOME FUN<br>BUY 0 Units @0.0000 | 0.00                 | 0.62                | 0.00               | 0.62              | 75.0 | 0.47                 |
| 03/01/2018   | ***-**-381I - ZARNOCK, MARTIN<br>ACCOUNT #: 00073744335 | CAPITAL WORLD GROWTH AND INCOME FUN<br>BUY 0 Units @0.0000 | 0.00                 | 12.31               | 0.00               | 12.31             | 75.0 | 9.23                 |
| 03/01/2018   | ***-**-9027 - NELSON,<br>ACCOUNT #: 00073744742         | CAPITAL WORLD GROWTH AND INCOME FUN<br>BUY 0 Units @0.0000 | 0.00                 | 10.98               | 0.00               | 10.98             | 75.0 | 8.24                 |
| 03/01/2018   | ***-**-6906 - ROMANO, PAUL<br>ACCOUNT #: 00073848770    | CAPITAL WORLD GROWTH AND INCOME FUN<br>BUY 0 Units @0.0000 | 0.00                 | 5.04                | 0.00               | 5.04              | 75.0 | 3.78                 |
| 03/01/2018   | ***-**-9871 - LACOVISSI,<br>ACCOUNT #: 00075995210      | CAPITAL WORLD GROWTH AND INCOME FUN<br>BUY 0 Units @0.0000 | 0.00                 | 5.05                | 0.00               | 5.05              | 75.0 | 3.79                 |
| 03/01/2018   | ***-**-1489 - MARR, RICHARD<br>ACCOUNT #: 00081380894   | CAPITAL WORLD GROWTH AND INCOME FUN<br>BUY 0 Units @0.0000 | 0.00                 | 2.71                | 0.00               | 2.71              | 75.0 | 2.03                 |
| 03/01/2018   | ***-**-8166 - SUYDAM, JERRY<br>ACCOUNT #: 00081494036   | CAPITAL WORLD GROWTH AND INCOME FUN<br>BUY 0 Units @0.0000 | 0.00                 | 18.56               | 0.00               | 18.56             | 75.0 | 13.92                |
| 03/01/2018   | ***-**-4459 - CRAFT, ROSEANNE<br>ACCOUNT #: 00081619958 | CAPITAL WORLD GROWTH AND INCOME FUN<br>BUY 0 Units @0.0000 | 0.00                 | 1.79                | 0.00               | 1.79              | 75.0 | 1.34                 |
| 03/01/2018   | ***-**-2451 - DECARR, EDWARD<br>ACCOUNT #: 00081650302  | CAPITAL WORLD GROWTH AND INCOME FUN<br>BUY 0 Units @0.0000 | 0.00                 | 10.70               | 0.00               | 10.70             | 75.0 | 8.03                 |
| 03/01/2018   | ***-**-3503 - SPINELLA,<br>ACCOUNT #: 00081866339       | CAPITAL WORLD GROWTH AND INCOME FUN<br>BUY 0 Units @0.0000 | 0.00                 | 13.73               | 0.00               | 13.73             | 75.0 | 10.30                |
| 03/01/2018   | ***-**-3560 - MCEVOY, MICHAEL<br>ACCOUNT #: 00081868334 | CAPITAL WORLD GROWTH AND INCOME FUN<br>BUY 0 Units @0.0000 | 0.00                 | 1.26                | 0.00               | 1.26              | 75.0 | 0.95                 |
| 03/01/2018   | ***-**-5157 - ADAMS, BARBARA<br>ACCOUNT #: 00081925599  | CAPITAL WORLD GROWTH AND INCOME FUN<br>BUY 0 Units @0.0000 | 0.00                 | 1.36                | 0.00               | 1.36              | 75.0 | 1.02                 |
| 03/01/2018   | ***-**-7162 - BORIS, STANLEY<br>ACCOUNT #: 00081937036  | CAPITAL WORLD GROWTH AND INCOME FUN<br>BUY 0 Units @0.0000 | 0.00                 | 1.82                | 0.00               | 1.82              | 75.0 | 1.37                 |
| 03/01/2018   | ***-**-995J - ADAMS, JOHN<br>ACCOUNT #: 00082044078     | CAPITAL WORLD GROWTH AND INCOME FUN<br>BUY 0 Units @0.0000 | 0.00                 | 7.48                | 0.00               | 7.48              | 75.0 | 5.61                 |
| 03/01/2018   | ***-**-9137 - YOZZO, JOSEPH<br>ACCOUNT #: 00082276628   | CAPITAL WORLD GROWTH AND INCOME FUN<br>BUY 0 Units @0.0000 | 0.00                 | 3.00                | 0.00               | 3.00              | 75.0 | 2.25                 |



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|--|--------------------------------|-------------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b>BROKER TRANSACTIONS (continued)</b>                       |                                |                                     |                      |                     |                    |                   |      |                      |
| <b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</b> |                                |                                     |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-1973 - MCEVOY, KATHY    | CAPITAL WORLD GROWTH AND INCOME FUN | 0.00                 | 1.03                | 0.00               | 1.03              | 75.0 | 0.77                 |
|  | ACCOUNT #: 00082284150         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-3720 - MARCOCCIA,       | CAPITAL WORLD GROWTH AND INCOME FUN | 0.00                 | 1.54                | 0.00               | 1.54              | 75.0 | 1.16                 |
|  | ACCOUNT #: 00082308736         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-5513 - KUPIEC, RICHARD  | CAPITAL WORLD GROWTH AND INCOME FUN | 0.00                 | 1.55                | 0.00               | 1.55              | 75.0 | 1.16                 |
|  | ACCOUNT #: 00082449672         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-6354 - NICOTERA,        | CAPITAL WORLD GROWTH AND INCOME FUN | 0.00                 | 1.74                | 0.00               | 1.74              | 75.0 | 1.31                 |
|  | ACCOUNT #: 00082525497         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-8441 - SHAW, MARY       | CAPITAL WORLD GROWTH AND INCOME FUN | 0.00                 | 4.17                | 0.00               | 4.17              | 75.0 | 3.13                 |
|  | ACCOUNT #: 00082629278         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-4913 - ELSENBECK, DAVID | CAPITAL WORLD GROWTH AND INCOME FUN | 0.00                 | 2.15                | 0.00               | 2.15              | 75.0 | 1.61                 |
|  | ACCOUNT #: 00082651124         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-7576 - MATTHEWS,        | CAPITAL WORLD GROWTH AND INCOME FUN | 0.00                 | 5.68                | 0.00               | 5.68              | 75.0 | 4.26                 |
|  | ACCOUNT #: 00082716712         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-841N - ROBINSON, CHERYL | CAPITAL WORLD GROWTH AND INCOME FUN | 0.00                 | 4.93                | 0.00               | 4.93              | 75.0 | 3.70                 |
|  | ACCOUNT #: 00082727886         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-1595 - FERRONE, PAUL    | CAPITAL WORLD GROWTH AND INCOME FUN | 0.00                 | 1.93                | 0.00               | 1.93              | 75.0 | 1.45                 |
|  | ACCOUNT #: 00082857686         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-3164 - SKARADEK, KAREN  | CAPITAL WORLD GROWTH AND INCOME FUN | 0.00                 | 15.12               | 0.00               | 15.12             | 75.0 | 11.34                |
|  | ACCOUNT #: 00083221144         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-1701 - NOFFER, THOMAS   | CAPITAL WORLD GROWTH AND INCOME FUN | 0.00                 | 6.54                | 0.00               | 6.54              | 75.0 | 4.91                 |
|  | ACCOUNT #: 00083444381         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-3123 - BALIO, SHAWN     | CAPITAL WORLD GROWTH AND INCOME FUN | 0.00                 | 2.39                | 0.00               | 2.39              | 75.0 | 1.79                 |
|  | ACCOUNT #: 00083684779         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-7079 - VERENTI, DEANA   | CAPITAL WORLD GROWTH AND INCOME FUN | 0.00                 | 2.77                | 0.00               | 2.77              | 75.0 | 2.08                 |
|  | ACCOUNT #: 00083685230         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-2713 - KAPRAL, RICHARD  | CAPITAL WORLD GROWTH AND INCOME FUN | 0.00                 | 5.22                | 0.00               | 5.22              | 75.0 | 3.92                 |
|  | ACCOUNT #: 00083705143         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-0949 - WEAVER, WILLIAM  | CAPITAL WORLD GROWTH AND INCOME FUN | 0.00                 | 7.56                | 0.00               | 7.56              | 75.0 | 5.67                 |
|  | ACCOUNT #: 00084071170         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-0521 - CRUMRINE, MONICA | CAPITAL WORLD GROWTH AND INCOME FUN | 0.00                 | 8.75                | 0.00               | 8.75              | 75.0 | 6.56                 |
|  | ACCOUNT #: 00084226912         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |



# COMMISSION STATEMENT

March 12, 2018

JEFFREY HANRETTY  
8365 Seneca Turnpike  
New Hartford, NY 13413

BROKER #: B08  
BRANCH #01001 - LifeMark Home Office

| DATE   | CLIENT  | INVESTMENT   | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|--|---|--|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b>BROKER TRANSACTIONS (continued)</b>                       |   |  |                      |                     |                    |                   |      |                      |
| <b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</b> |   |  |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-4301 - GUARNIERI,<br>ACCOUNT #: 00085628463      | CAPITAL WORLD GROWTH AND INCOME FUN<br>BUY 0 Units @0.0000 | 0.00                 | 9.23                | 0.00               | 9.23              | 75.0 | 6.92                 |
| 03/01/2018   | ***-**-7287 - VINCI, DAVID<br>ACCOUNT #: 00085629076    | CAPITAL WORLD GROWTH AND INCOME FUN<br>BUY 0 Units @0.0000 | 0.00                 | 7.13                | 0.00               | 7.13              | 75.0 | 5.35                 |
| 03/01/2018   | ***-**-3474 - LORRAINE, DEBRA<br>ACCOUNT #: 00085801437 | CAPITAL WORLD GROWTH AND INCOME FUN<br>BUY 0 Units @0.0000 | 0.00                 | 0.87                | 0.00               | 0.87              | 75.0 | 0.65                 |
| 03/01/2018   | ***-**-6060 - ROBINSON,<br>ACCOUNT #: 00085852774       | CAPITAL WORLD GROWTH AND INCOME FUN<br>BUY 0 Units @0.0000 | 0.00                 | 3.97                | 0.00               | 3.97              | 75.0 | 2.98                 |
| 03/01/2018   | ***-**-7706 - DECARR,<br>ACCOUNT #: 00086438656         | CAPITAL WORLD GROWTH AND INCOME FUN<br>BUY 0 Units @0.0000 | 0.00                 | 5.87                | 0.00               | 5.87              | 75.0 | 4.40                 |
| 03/01/2018   | ***-**-7478 - FEMIA, NATE<br>ACCOUNT #: 00087227295     | CAPITAL WORLD GROWTH AND INCOME FUN<br>BUY 0 Units @0.0000 | 0.00                 | 3.83                | 0.00               | 3.83              | 75.0 | 2.87                 |
| 03/01/2018   | ***-**-3771 - KENNELTY, SEAN<br>ACCOUNT #: 00087352911  | CAPITAL WORLD GROWTH AND INCOME FUN<br>BUY 0 Units @0.0000 | 0.00                 | 1.90                | 0.00               | 1.90              | 75.0 | 1.43                 |
| 03/01/2018   | ***-**-9398 - BRENNAN, ROBIN<br>ACCOUNT #: 00087403470  | CAPITAL WORLD GROWTH AND INCOME FUN<br>BUY 0 Units @0.0000 | 0.00                 | 3.93                | 0.00               | 3.93              | 75.0 | 2.95                 |
| 03/01/2018   | ***-**-8670 - EDWARDS, SUSAN<br>ACCOUNT #: 00088252231  | CAPITAL WORLD GROWTH AND INCOME FUN<br>BUY 0 Units @0.0000 | 0.00                 | 6.79                | 0.00               | 6.79              | 75.0 | 5.09                 |
| 03/01/2018   | ***-**-2771 - CESARE, CYNTHIA<br>ACCOUNT #: 00088331327 | CAPITAL WORLD GROWTH AND INCOME FUN<br>BUY 0 Units @0.0000 | 0.00                 | 3.39                | 0.00               | 3.39              | 75.0 | 2.54                 |
| 03/01/2018   | ***-**-3771 - KENNELTY, SEAN<br>ACCOUNT #: 00088439056  | CAPITAL WORLD GROWTH AND INCOME FUN<br>BUY 0 Units @0.0000 | 0.00                 | 7.18                | 0.00               | 7.18              | 75.0 | 5.39                 |
| 03/01/2018   | ***-**-2354 - PENDOLF, NANCY<br>ACCOUNT #: 00083468545  | CAPITAL WORLD GROWTH AND INCOME FUN<br>BUY 0 Units @0.0000 | 0.00                 | 0.04                | 0.00               | 0.04              | 75.0 | 0.03                 |
| 03/01/2018   | ***-**-2542 - OGIYEVICH,<br>ACCOUNT #: 00083468551      | CAPITAL WORLD GROWTH AND INCOME FUN<br>BUY 0 Units @0.0000 | 0.00                 | 24.94               | 0.00               | 24.94             | 75.0 | 18.71                |
| 03/01/2018   | ***-**-3569 - YOZZO, ROSA<br>ACCOUNT #: 00083468583     | CAPITAL WORLD GROWTH AND INCOME FUN<br>BUY 0 Units @0.0000 | 0.00                 | 63.18               | 0.00               | 63.18             | 75.0 | 47.39                |
| 03/01/2018   | ***-**-7894 - BENSON, HEIDI<br>ACCOUNT #: 00084750362   | CAPITAL WORLD GROWTH AND INCOME FUN<br>BUY 0 Units @0.0000 | 0.00                 | 60.04               | 0.00               | 60.04             | 75.0 | 45.03                |
| 03/01/2018   | ***-**-0532 - GUARDI, MAX<br>ACCOUNT #: 00085418120     | CAPITAL WORLD GROWTH AND INCOME FUN<br>BUY 0 Units @0.0000 | 0.00                 | 4.53                | 0.00               | 4.53              | 75.0 | 3.40                 |



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| DATE   | CLIENT  | INVESTMENT   | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|--|---|--|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b>BROKER TRANSACTIONS (continued)</b>                       |   |  |                      |                     |                    |                   |      |                      |
| <b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</b> |   |  |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-6130 - SCHOEN, THOMAS<br>ACCOUNT #: 00086062285  | CAPITAL WORLD GROWTH AND INCOME FUN<br>BUY 0 Units @0.0000 | 0.00                 | 8.39                | 0.00               | 8.39              | 75.0 | 6.29                 |
| 03/01/2018   | ***-**-2221 - SKARADEK,<br>ACCOUNT #: 00086835048       | CAPITAL WORLD GROWTH AND INCOME FUN<br>BUY 0 Units @0.0000 | 0.00                 | 10.82               | 0.00               | 10.82             | 75.0 | 8.12                 |
| 03/01/2018   | ***-**-7778 - SKARADEK, ERIN<br>ACCOUNT #: 00086837544  | CAPITAL WORLD GROWTH AND INCOME FUN<br>BUY 0 Units @0.0000 | 0.00                 | 20.28               | 0.00               | 20.28             | 75.0 | 15.21                |
| 03/01/2018   | ***-**-1475 - PIERCE, RICHARD<br>ACCOUNT #: 00087763816 | CAPITAL WORLD GROWTH AND INCOME FUN<br>BUY 0 Units @0.0000 | 0.00                 | 18.92               | 0.00               | 18.92             | 75.0 | 14.19                |
| 03/01/2018   | ***-**-6187 - PIERCE,<br>ACCOUNT #: 00087763847         | CAPITAL WORLD GROWTH AND INCOME FUN<br>BUY 0 Units @0.0000 | 0.00                 | 17.65               | 0.00               | 17.65             | 75.0 | 13.24                |
| 03/01/2018   | ***-**-3664 - DOMION, DAWN<br>ACCOUNT #: 00088289886    | CAPITAL WORLD GROWTH AND INCOME FUN<br>BUY 0 Units @0.0000 | 0.00                 | 9.26                | 0.00               | 9.26              | 75.0 | 6.95                 |
| 03/01/2018   | ***-**-1445 - CRUMB, DIANE<br>ACCOUNT #: 00088371577    | CAPITAL WORLD GROWTH AND INCOME FUN<br>BUY 0 Units @0.0000 | 0.00                 | 13.10               | 0.00               | 13.10             | 75.0 | 9.83                 |
| 03/01/2018   | ***-**-7266 - ZUMPANO, ANDREA<br>ACCOUNT #: 00081727500 | CAPITAL WORLD GROWTH AND INCOME-529<br>BUY 0 Units @0.0000 | 0.00                 | 2.98                | 0.00               | 2.98              | 75.0 | 2.24                 |
| 03/01/2018   | ***-**-1445 - CRUMB, DIANE<br>ACCOUNT #: 00088371577    | CAPITAL WORLD GROWTH AND INCOME-F1<br>BUY 0 Units @0.0000  | 0.00                 | 8.30                | 0.00               | 8.30              | 75.0 | 6.23                 |
| 03/01/2018   | ***-**-6663 - ZOGBY, KAMIL<br>ACCOUNT #: 00081998971    | CAPITAL WPRLD BOND FUND-F1<br>BUY 0 Units @0.0000          | 0.00                 | 0.34                | 0.00               | 0.34              | 75.0 | 0.26                 |
| 03/01/2018   | ***-**-1445 - CRUMB, DIANE<br>ACCOUNT #: 00088371577    | CAPITAL WPRLD BOND FUND-F1<br>BUY 0 Units @0.0000          | 0.00                 | 2.46                | 0.00               | 2.46              | 75.0 | 1.85                 |
| 03/01/2018   | ***-**-1445 - CRUMB, DIANE<br>ACCOUNT #: 00088371577    | EUROPACIFIC GROWTH FUND CLASS F<br>BUY 0 Units @0.0000     | 0.00                 | 1.79                | 0.00               | 1.79              | 75.0 | 1.34                 |
| 03/01/2018   | ***-**-9311 - YOZZO, JOSEPH<br>ACCOUNT #: 00068838818   | EUROPACIFIC GROWTH FUND-A<br>BUY 0 Units @0.0000           | 0.00                 | 18.66               | 0.00               | 18.66             | 75.0 | 14.00                |
| 03/01/2018   | ***-**-3538 - CARROLL, LESLIE<br>ACCOUNT #: 00073366696 | EUROPACIFIC GROWTH FUND-A<br>BUY 0 Units @0.0000           | 0.00                 | 4.22                | 0.00               | 4.22              | 75.0 | 3.17                 |
| 03/01/2018   | ***-**-6906 - ROMANO, PAUL<br>ACCOUNT #: 00073848770    | EUROPACIFIC GROWTH FUND-A<br>BUY 0 Units @0.0000           | 0.00                 | 4.95                | 0.00               | 4.95              | 75.0 | 3.71                 |
| 03/01/2018   | ***-**-9871 - LACOVISSI,<br>ACCOUNT #: 00075995210      | EUROPACIFIC GROWTH FUND-A<br>BUY 0 Units @0.0000           | 0.00                 | 3.25                | 0.00               | 3.25              | 75.0 | 2.44                 |





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|--|--------------------------------|------------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b>BROKER TRANSACTIONS (continued)</b>                       |                                |                                    |                      |                     |                    |                   |      |                      |
| <b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</b> |                                |                                    |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-1489 - MARR, RICHARD    | EUROPACIFIC GROWTH FUND-A          | 0.00                 | 0.97                | 0.00               | 0.97              | 75.0 | 0.73                 |
|  | ACCOUNT #: 00081380894         | BUY 0 Units @0.0000                |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-8166 - SUYDAM, JERRY    | EUROPACIFIC GROWTH FUND-A          | 0.00                 | 16.19               | 0.00               | 16.19             | 75.0 | 12.14                |
|  | ACCOUNT #: 00081494036         | BUY 0 Units @0.0000                |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-3720 - MARCOCCIA,       | EUROPACIFIC GROWTH FUND-A          | 0.00                 | 1.37                | 0.00               | 1.37              | 75.0 | 1.03                 |
|  | ACCOUNT #: 00082308736         | BUY 0 Units @0.0000                |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-8441 - SHAW, MARY       | EUROPACIFIC GROWTH FUND-A          | 0.00                 | 1.38                | 0.00               | 1.38              | 75.0 | 1.04                 |
|  | ACCOUNT #: 00082629278         | BUY 0 Units @0.0000                |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-7576 - MATTHEWS,        | EUROPACIFIC GROWTH FUND-A          | 0.00                 | 2.79                | 0.00               | 2.79              | 75.0 | 2.09                 |
|  | ACCOUNT #: 00082716712         | BUY 0 Units @0.0000                |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-3164 - SKARADEK, KAREN  | EUROPACIFIC GROWTH FUND-A          | 0.00                 | 4.41                | 0.00               | 4.41              | 75.0 | 3.31                 |
|  | ACCOUNT #: 00083221144         | BUY 0 Units @0.0000                |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-2713 - KAPRAL, RICHARD  | EUROPACIFIC GROWTH FUND-A          | 0.00                 | 2.19                | 0.00               | 2.19              | 75.0 | 1.64                 |
|  | ACCOUNT #: 00083705143         | BUY 0 Units @0.0000                |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-0949 - WEAVER, WILLIAM  | EUROPACIFIC GROWTH FUND-A          | 0.00                 | 4.75                | 0.00               | 4.75              | 75.0 | 3.56                 |
|  | ACCOUNT #: 00084071170         | BUY 0 Units @0.0000                |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-3771 - KENNELTY, SEAN   | EUROPACIFIC GROWTH FUND-A          | 0.00                 | 2.45                | 0.00               | 2.45              | 75.0 | 1.84                 |
|  | ACCOUNT #: 00088439056         | BUY 0 Units @0.0000                |                      |                     |                    |                   |      |                      |
| 03/07/2018   | ***-**-0559 - LASCALA, LEONARD | FA SHORT TERM BOND A               | 0.00                 | 0.78                | 0.00               | 0.78              | 75.0 | 0.59                 |
|  | ACCOUNT #: 01426932115         | BUY 0 Units @0.0000                |                      |                     |                    |                   |      |                      |
| 03/07/2018   | ***-**-3781 - GOULD, ROBERT    | FA SHORT TERM BOND T               | 0.00                 | 0.96                | 0.00               | 0.96              | 75.0 | 0.72                 |
|  | ACCOUNT #: 01490923172         | BUY 0 Units @0.0000                |                      |                     |                    |                   |      |                      |
| 03/07/2018   | ***-**-1970 - CZEBIENIAK,      | FIDELITY ADV 01480463155           | 0.00                 | 0.60                | 0.00               | 0.60              | 75.0 | 0.45                 |
|  | ACCOUNT #: 01486582578         | BUY 0 Units @0.0000                |                      |                     |                    |                   |      |                      |
| 03/07/2018   | ***-**-7266 - ZUMPARO, ANDREA  | FIDELITY ADV BIOTECHNOLOGY-CL A    | 0.00                 | 0.13                | 0.00               | 0.13              | 75.0 | 0.10                 |
|  | ACCOUNT #: 03900215235         | BUY 0 Units @0.0000                |                      |                     |                    |                   |      |                      |
| 03/07/2018   | ***-**-0559 - LASCALA, LEONARD | FIDELITY ADV DIVIDEND GROWTH FD CL | 0.00                 | 6.31                | 0.00               | 6.31              | 75.0 | 4.73                 |
|  | ACCOUNT #: 01426932115         | BUY 0 Units @0.0000                |                      |                     |                    |                   |      |                      |
| 03/07/2018   | ***-**-0559 - LASCALA, LEONARD | FIDELITY ADV EMERGING MRKTS INC CL | 0.00                 | 12.09               | 0.00               | 12.09             | 75.0 | 9.07                 |
|  | ACCOUNT #: 01426932115         | BUY 0 Units @0.0000                |                      |                     |                    |                   |      |                      |
| 03/07/2018   | ***-**-0559 - LASCALA, LEONARD | FIDELITY ADV ENERGY-CL A           | 0.00                 | 2.24                | 0.00               | 2.24              | 75.0 | 1.68                 |
|  | ACCOUNT #: 01426932115         | BUY 0 Units @0.0000                |                      |                     |                    |                   |      |                      |



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| DATE   | CLIENT                         | INVESTMENT                           | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|--|--------------------------------|--------------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b>BROKER TRANSACTIONS (continued)</b>                       |                                |                                      |                      |                     |                    |                   |      |                      |
| <b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</b> |                                |                                      |                      |                     |                    |                   |      |                      |
| 03/07/2018   | ***-**-3781 - GOULD, ROBERT    | FIDELITY ADV EQUITY GROWTH CL T      | 0.00                 | 14.82               | 0.00               | 14.82             | 75.0 | 11.12                |
|  | ACCOUNT #: 01490923172         | BUY 0 Units @0.0000                  |                      |                     |                    |                   |      |                      |
| 03/07/2018   | ***-**-0559 - LASCALA, LEONARD | FIDELITY ADV EQUITY INCOME CL A      | 0.00                 | 7.84                | 0.00               | 7.84              | 75.0 | 5.88                 |
|  | ACCOUNT #: 01426932115         | BUY 0 Units @0.0000                  |                      |                     |                    |                   |      |                      |
| 03/07/2018   | ***-**-0559 - LASCALA, LEONARD | FIDELITY ADV EQUITY VALUE CL A       | 0.00                 | 13.36               | 0.00               | 13.36             | 75.0 | 10.02                |
|  | ACCOUNT #: 01426932115         | BUY 0 Units @0.0000                  |                      |                     |                    |                   |      |                      |
| 03/07/2018   | ***-**-0559 - LASCALA, LEONARD | FIDELITY ADV FLOATING RATE HIGH INC  | 0.00                 | 3.16                | 0.00               | 3.16              | 75.0 | 2.37                 |
|  | ACCOUNT #: 01426932115         | BUY 0 Units @0.0000                  |                      |                     |                    |                   |      |                      |
| 03/07/2018   | ***-**-1970 - CZEBIENIAK,      | FIDELITY ADV FREEDOM 2015-CL C       | 0.00                 | 0.50                | 0.00               | 0.50              | 75.0 | 0.38                 |
|  | ACCOUNT #: 01486582578         | BUY 0 Units @0.0000                  |                      |                     |                    |                   |      |                      |
| 03/07/2018   | ***-**-1970 - CZEBIENIAK,      | FIDELITY ADV FREEDOM 2020-CL C       | 0.00                 | 0.43                | 0.00               | 0.43              | 75.0 | 0.32                 |
|  | ACCOUNT #: 01486582578         | BUY 0 Units @0.0000                  |                      |                     |                    |                   |      |                      |
| 03/07/2018   | ***-**-1543 - FALCHI, GARY     | FIDELITY ADV FREEDOM 2025-CL A       | 0.00                 | 1.39                | 0.00               | 1.39              | 75.0 | 1.04                 |
|  | ACCOUNT #: 01475399455         | BUY 0 Units @0.0000                  |                      |                     |                    |                   |      |                      |
| 03/07/2018   | ***-**-1970 - CZEBIENIAK,      | FIDELITY ADV FREEDOM 2025-CL C       | 0.00                 | 0.56                | 0.00               | 0.56              | 75.0 | 0.42                 |
|  | ACCOUNT #: 01486582578         | BUY 0 Units @0.0000                  |                      |                     |                    |                   |      |                      |
| 03/07/2018   | ***-**-7266 - ZUMPANO, ANDREA  | FIDELITY ADV FREEDOM 2030-CL A       | 0.00                 | 0.13                | 0.00               | 0.13              | 75.0 | 0.10                 |
|  | ACCOUNT #: 03900215235         | BUY 0 Units @0.0000                  |                      |                     |                    |                   |      |                      |
| 03/07/2018   | ***-**-7266 - ZUMPANO, ANDREA  | FIDELITY ADV FREEDOM 2035-CL A       | 0.00                 | 0.17                | 0.00               | 0.17              | 75.0 | 0.13                 |
|  | ACCOUNT #: 03900215235         | BUY 0 Units @0.0000                  |                      |                     |                    |                   |      |                      |
| 03/07/2018   | ***-**-3781 - GOULD, ROBERT    | FIDELITY ADV GROWTH OPPORT CL T      | 0.00                 | 10.27               | 0.00               | 10.27             | 75.0 | 7.70                 |
|  | ACCOUNT #: 01490923172         | BUY 0 Units @0.0000                  |                      |                     |                    |                   |      |                      |
| 03/07/2018   | ***-**-0559 - LASCALA, LEONARD | FIDELITY ADV HIGH INCOME ADVANTAGE   | 0.00                 | 6.07                | 0.00               | 6.07              | 75.0 | 4.55                 |
|  | ACCOUNT #: 01426932115         | BUY 0 Units @0.0000                  |                      |                     |                    |                   |      |                      |
| 03/07/2018   | ***-**-0559 - LASCALA, LEONARD | FIDELITY ADV INFLATION PROTECTED BD  | 0.00                 | 2.19                | 0.00               | 2.19              | 75.0 | 1.64                 |
|  | ACCOUNT #: 01426932115         | BUY 0 Units @0.0000                  |                      |                     |                    |                   |      |                      |
| 03/07/2018   | ***-**-0559 - LASCALA, LEONARD | FIDELITY ADV INTERMEDIATE BOND-CL A  | 0.00                 | 4.14                | 0.00               | 4.14              | 75.0 | 3.11                 |
|  | ACCOUNT #: 01426932115         | BUY 0 Units @0.0000                  |                      |                     |                    |                   |      |                      |
| 03/07/2018   | ***-**-7266 - ZUMPANO, ANDREA  | FIDELITY ADV INTL DISCOVERY-CL A     | 0.00                 | 0.09                | 0.00               | 0.09              | 75.0 | 0.07                 |
|  | ACCOUNT #: 03900215235         | BUY 0 Units @0.0000                  |                      |                     |                    |                   |      |                      |
| 03/07/2018   | ***-**-0559 - LASCALA, LEONARD | FIDELITY ADV INTL SMALL CAP OPPTS-CL | 0.00                 | 8.31                | 0.00               | 8.31              | 75.0 | 6.23                 |
|  | ACCOUNT #: 01426932115         | BUY 0 Units @0.0000                  |                      |                     |                    |                   |      |                      |



# COMMISSION STATEMENT

March 12, 2018

JEFFREY HANRETTY  
8365 Seneca Turnpike  
New Hartford, NY 13413

BROKER #: B08  
BRANCH #01001 - LifeMark Home Office

| DATE   | CLIENT                         | INVESTMENT                          | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|--|--------------------------------|-------------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b>BROKER TRANSACTIONS (continued)</b>                       |                                |                                     |                      |                     |                    |                   |      |                      |
| <b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</b> |                                |                                     |                      |                     |                    |                   |      |                      |
| 03/07/2018   | ***-**-0559 - LASCALA, LEONARD | FIDELITY ADV LARGE CAP VALUE-CL A   | 0.00                 | 8.17                | 0.00               | 8.17              | 75.0 | 6.13                 |
|  | ACCOUNT #: 01426932115         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/07/2018   | ***-**-0559 - LASCALA, LEONARD | FIDELITY ADV LEVERAGED CO STOCK CL  | 0.00                 | 12.82               | 0.00               | 12.82             | 75.0 | 9.62                 |
|  | ACCOUNT #: 01426932115         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/07/2018   | ***-**-0559 - LASCALA, LEONARD | FIDELITY ADV MATERIALS-CL A         | 0.00                 | 5.60                | 0.00               | 5.60              | 75.0 | 4.20                 |
|  | ACCOUNT #: 01426932115         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/07/2018   | ***-**-5381 - ZARNOCK, MARTIN  | FIDELITY ADV MATERIALS-CL A         | 0.00                 | 1.17                | 0.00               | 1.17              | 75.0 | 0.88                 |
|  | ACCOUNT #: 01482293584         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/07/2018   | ***-**-5381 - ZARNOCK, MARTIN  | FIDELITY ADV MID CAP II-CL A        | 0.00                 | 1.26                | 0.00               | 1.26              | 75.0 | 0.95                 |
|  | ACCOUNT #: 01482293584         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/07/2018   | ***-**-0559 - LASCALA, LEONARD | FIDELITY ADV NEW INSIGHTS-CL A      | 0.00                 | 10.67               | 0.00               | 10.67             | 75.0 | 8.00                 |
|  | ACCOUNT #: 01426932115         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/07/2018   | ***-**-5381 - ZARNOCK, MARTIN  | FIDELITY ADV NEW INSIGHTS-CL A      | 0.00                 | 1.50                | 0.00               | 1.50              | 75.0 | 1.13                 |
|  | ACCOUNT #: 01482293584         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/07/2018   | ***-**-7266 - ZUMPANO, ANDREA  | FIDELITY ADV NEW INSIGHTS-CL A      | 0.00                 | 0.13                | 0.00               | 0.13              | 75.0 | 0.10                 |
|  | ACCOUNT #: 03900215235         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/07/2018   | ***-**-0559 - LASCALA, LEONARD | FIDELITY ADV STRATEGIC INCOME CL A  | 0.00                 | 7.07                | 0.00               | 7.07              | 75.0 | 5.30                 |
|  | ACCOUNT #: 01426932115         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/07/2018   | ***-**-0559 - LASCALA, LEONARD | FIDELITY ADV STRATEGIC REAL RETURN- | 0.00                 | 5.31                | 0.00               | 5.31              | 75.0 | 3.98                 |
|  | ACCOUNT #: 01426932115         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/07/2018   | ***-**-7266 - ZUMPANO, ANDREA  | FIDELITY ADV TECHNOLOGY CL A        | 0.00                 | 0.13                | 0.00               | 0.13              | 75.0 | 0.10                 |
|  | ACCOUNT #: 03900215235         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/07/2018   | ***-**-0559 - LASCALA, LEONARD | FIDELITY ADV TOTAL BOND-CL A        | 0.00                 | 5.08                | 0.00               | 5.08              | 75.0 | 3.81                 |
|  | ACCOUNT #: 01426932115         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/07/2018   | ***-**-7266 - ZUMPANO, ANDREA  | FIDELITY ADV TOTAL BOND-CL A        | 0.00                 | 0.09                | 0.00               | 0.09              | 75.0 | 0.07                 |
|  | ACCOUNT #: 03900215235         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/07/2018   | ***-**-0559 - LASCALA, LEONARD | FIDELITY ADVISOR DIVERSIFIED INTL F | 0.00                 | 6.36                | 0.00               | 6.36              | 75.0 | 4.77                 |
|  | ACCOUNT #: 01426932115         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/07/2018   | ***-**-0559 - LASCALA, LEONARD | FIDELITY ADVISOR EMERGING MARKETS F | 0.00                 | 5.77                | 0.00               | 5.77              | 75.0 | 4.33                 |
|  | ACCOUNT #: 01426932115         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/07/2018   | ***-**-7266 - ZUMPANO, ANDREA  | FIDELITY ADVISOR EMERGING MARKETS F | 0.00                 | 0.09                | 0.00               | 0.09              | 75.0 | 0.07                 |
|  | ACCOUNT #: 03900215235         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |



# COMMISSION STATEMENT

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New Hartford, NY 13413

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| DATE   | CLIENT                         | INVESTMENT                          | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|--|--------------------------------|-------------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b>BROKER TRANSACTIONS (continued)</b>                       |                                |                                     |                      |                     |                    |                   |      |                      |
| <b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</b> |                                |                                     |                      |                     |                    |                   |      |                      |
| 03/07/2018   | ***-**-0559 - LASCALA, LEONARD | FIDELITY ADVISOR GOVERNMENT INCOME  | 0.00                 | 5.20                | 0.00               | 5.20              | 75.0 | 3.90                 |
|  | ACCOUNT #: 01426932115         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/07/2018   | ***-**-0559 - LASCALA, LEONARD | FIDELITY ADVISOR GROWTH AND INCOME  | 0.00                 | 11.49               | 0.00               | 11.49             | 75.0 | 8.62                 |
|  | ACCOUNT #: 01426932115         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/07/2018   | ***-**-3781 - GOULD, ROBERT    | FIDELITY ADVISOR INTERMEDIATE BOND  | 0.00                 | 1.75                | 0.00               | 1.75              | 75.0 | 1.31                 |
|  | ACCOUNT #: 01490923172         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/07/2018   | ***-**-0559 - LASCALA, LEONARD | FIDELITY ADVISOR REAL ESTATE FUND C | 0.00                 | 5.05                | 0.00               | 5.05              | 75.0 | 3.79                 |
|  | ACCOUNT #: 01426932115         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/07/2018   | ***-**-0559 - LASCALA, LEONARD | FIDELITY ADVISOR STK SELECTOR ALL C | 0.00                 | 10.70               | 0.00               | 10.70             | 75.0 | 8.03                 |
|  | ACCOUNT #: 01426932115         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/07/2018   | ***-**-0559 - LASCALA, LEONARD | FIDELITY ADVISORS TRAILS            | 0.00                 | 7.57                | 0.00               | 7.57              | 75.0 | 5.68                 |
|  | ACCOUNT #: 01426932115         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/07/2018   | ***-**-7401 - RUNDLE, AARON    | FIDELITY GOVT MMKT DAILY MONEY CLAS | 0.00                 | 1.05                | 0.00               | 1.05              | 75.0 | 0.79                 |
|  | ACCOUNT #: 01483068944         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/07/2018   | ***-**-0559 - LASCALA, LEONARD | FIDELITY SDVISOR EUROPE FND CL A    | 0.00                 | 2.22                | 0.00               | 2.22              | 75.0 | 1.67                 |
|  | ACCOUNT #: 01426932115         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-1445 - CRUMB, DIANE     | FUNDAMENTAL INVESTORS FUND CLASS F  | 0.00                 | 8.63                | 0.00               | 8.63              | 75.0 | 6.47                 |
|  | ACCOUNT #: 00088371577         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-7266 - ZUMPARO, ANDREA  | FUNDAMENTAL INVESTORS-529A          | 0.00                 | 3.73                | 0.00               | 3.73              | 75.0 | 2.80                 |
|  | ACCOUNT #: 00081727500         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-7671 - REILLY, RICHARD  | FUNDAMENTAL INVESTORS-A             | 0.00                 | 19.99               | 0.00               | 19.99             | 75.0 | 14.99                |
|  | ACCOUNT #: 00063488673         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-8307 - REILLY, KATHY    | FUNDAMENTAL INVESTORS-A             | 0.00                 | 10.34               | 0.00               | 10.34             | 75.0 | 7.76                 |
|  | ACCOUNT #: 00063488674         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-9311 - YOZZO, JOSEPH    | FUNDAMENTAL INVESTORS-A             | 0.00                 | 13.98               | 0.00               | 13.98             | 75.0 | 10.49                |
|  | ACCOUNT #: 00068838818         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-5376 - CARROCK, LOUIS   | FUNDAMENTAL INVESTORS-A             | 0.00                 | 0.62                | 0.00               | 0.62              | 75.0 | 0.47                 |
|  | ACCOUNT #: 00069250497         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-3538 - CARROLL, LESLIE  | FUNDAMENTAL INVESTORS-A             | 0.00                 | 16.20               | 0.00               | 16.20             | 75.0 | 12.15                |
|  | ACCOUNT #: 00073366696         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-4540 - NELSON, RORY     | FUNDAMENTAL INVESTORS-A             | 0.00                 | 7.45                | 0.00               | 7.45              | 75.0 | 5.59                 |
|  | ACCOUNT #: 00073748857         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |



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|--|-------------------------------|-------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b>BROKER TRANSACTIONS (continued)</b>                       |                               |                         |                      |                     |                    |                   |      |                      |
| <b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</b> |                               |                         |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-6906 - ROMANO, PAUL    | FUNDAMENTAL INVESTORS-A | 0.00                 | 5.12                | 0.00               | 5.12              | 75.0 | 3.84                 |
|  | ACCOUNT #: 00073848770        | BUY 0 Units @0.0000     |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-9871 - LACOVISSI,      | FUNDAMENTAL INVESTORS-A | 0.00                 | 3.85                | 0.00               | 3.85              | 75.0 | 2.89                 |
|  | ACCOUNT #: 00075995210        | BUY 0 Units @0.0000     |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-1001 - FLAHERTY, KELLY | FUNDAMENTAL INVESTORS-A | 0.00                 | 6.76                | 0.00               | 6.76              | 75.0 | 5.07                 |
|  | ACCOUNT #: 00081241053        | BUY 0 Units @0.0000     |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-1489 - MARR, RICHARD   | FUNDAMENTAL INVESTORS-A | 0.00                 | 3.28                | 0.00               | 3.28              | 75.0 | 2.46                 |
|  | ACCOUNT #: 00081380894        | BUY 0 Units @0.0000     |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-8166 - SUYDAM, JERRY   | FUNDAMENTAL INVESTORS-A | 0.00                 | 33.52               | 0.00               | 33.52             | 75.0 | 25.14                |
|  | ACCOUNT #: 00081494036        | BUY 0 Units @0.0000     |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-4459 - CRAFT, ROSEANNE | FUNDAMENTAL INVESTORS-A | 0.00                 | 2.28                | 0.00               | 2.28              | 75.0 | 1.71                 |
|  | ACCOUNT #: 00081619958        | BUY 0 Units @0.0000     |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-3503 - SPINELLA,       | FUNDAMENTAL INVESTORS-A | 0.00                 | 14.76               | 0.00               | 14.76             | 75.0 | 11.07                |
|  | ACCOUNT #: 00081866339        | BUY 0 Units @0.0000     |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-3560 - MCEVOY, MICHAEL | FUNDAMENTAL INVESTORS-A | 0.00                 | 1.63                | 0.00               | 1.63              | 75.0 | 1.22                 |
|  | ACCOUNT #: 00081868334        | BUY 0 Units @0.0000     |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-995J - ADAMS, JOHN     | FUNDAMENTAL INVESTORS-A | 0.00                 | 7.39                | 0.00               | 7.39              | 75.0 | 5.54                 |
|  | ACCOUNT #: 00082044078        | BUY 0 Units @0.0000     |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-9137 - YOZZO, JOSEPH   | FUNDAMENTAL INVESTORS-A | 0.00                 | 2.99                | 0.00               | 2.99              | 75.0 | 2.24                 |
|  | ACCOUNT #: 00082276628        | BUY 0 Units @0.0000     |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-1973 - MCEVOY, KATHY   | FUNDAMENTAL INVESTORS-A | 0.00                 | 1.01                | 0.00               | 1.01              | 75.0 | 0.76                 |
|  | ACCOUNT #: 00082284150        | BUY 0 Units @0.0000     |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-3720 - MARCOCCIA,      | FUNDAMENTAL INVESTORS-A | 0.00                 | 1.96                | 0.00               | 1.96              | 75.0 | 1.47                 |
|  | ACCOUNT #: 00082308736        | BUY 0 Units @0.0000     |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-5513 - KUPIEC, RICHARD | FUNDAMENTAL INVESTORS-A | 0.00                 | 1.97                | 0.00               | 1.97              | 75.0 | 1.48                 |
|  | ACCOUNT #: 00082449672        | BUY 0 Units @0.0000     |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-6354 - NICOTERA,       | FUNDAMENTAL INVESTORS-A | 0.00                 | 0.66                | 0.00               | 0.66              | 75.0 | 0.50                 |
|  | ACCOUNT #: 00082525497        | BUY 0 Units @0.0000     |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-8441 - SHAW, MARY      | FUNDAMENTAL INVESTORS-A | 0.00                 | 2.71                | 0.00               | 2.71              | 75.0 | 2.03                 |
|  | ACCOUNT #: 00082629278        | BUY 0 Units @0.0000     |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-7576 - MATTHEWS,       | FUNDAMENTAL INVESTORS-A | 0.00                 | 6.12                | 0.00               | 6.12              | 75.0 | 4.59                 |
|  | ACCOUNT #: 00082716712        | BUY 0 Units @0.0000     |                      |                     |                    |                   |      |                      |



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|--|--------------------------------|-------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b>BROKER TRANSACTIONS (continued)</b>                       |                                |                         |                      |                     |                    |                   |      |                      |
| <b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</b> |                                |                         |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-841N - ROBINSON, CHERYL | FUNDAMENTAL INVESTORS-A | 0.00                 | 6.64                | 0.00               | 6.64              | 75.0 | 4.98                 |
|  | ACCOUNT #: 00082727886         | BUY 0 Units @0.0000     |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-1595 - FERRONE, PAUL    | FUNDAMENTAL INVESTORS-A | 0.00                 | 2.41                | 0.00               | 2.41              | 75.0 | 1.81                 |
|  | ACCOUNT #: 00082857686         | BUY 0 Units @0.0000     |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-3164 - SKARADEK, KAREN  | FUNDAMENTAL INVESTORS-A | 0.00                 | 13.50               | 0.00               | 13.50             | 75.0 | 10.13                |
|  | ACCOUNT #: 00083221144         | BUY 0 Units @0.0000     |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-3123 - BALIO, SHAWN     | FUNDAMENTAL INVESTORS-A | 0.00                 | 2.81                | 0.00               | 2.81              | 75.0 | 2.11                 |
|  | ACCOUNT #: 00083684779         | BUY 0 Units @0.0000     |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-7079 - VERENTI, DEANA   | FUNDAMENTAL INVESTORS-A | 0.00                 | 2.86                | 0.00               | 2.86              | 75.0 | 2.15                 |
|  | ACCOUNT #: 00083685230         | BUY 0 Units @0.0000     |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-2713 - KAPRAL, RICHARD  | FUNDAMENTAL INVESTORS-A | 0.00                 | 4.44                | 0.00               | 4.44              | 75.0 | 3.33                 |
|  | ACCOUNT #: 00083705143         | BUY 0 Units @0.0000     |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-0949 - WEAVER, WILLIAM  | FUNDAMENTAL INVESTORS-A | 0.00                 | 5.52                | 0.00               | 5.52              | 75.0 | 4.14                 |
|  | ACCOUNT #: 00084071170         | BUY 0 Units @0.0000     |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-0532 - GUARDI, MAX      | FUNDAMENTAL INVESTORS-A | 0.00                 | 0.92                | 0.00               | 0.92              | 75.0 | 0.69                 |
|  | ACCOUNT #: 00085418120         | BUY 0 Units @0.0000     |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-4301 - GUARNIERI,       | FUNDAMENTAL INVESTORS-A | 0.00                 | 20.53               | 0.00               | 20.53             | 75.0 | 15.40                |
|  | ACCOUNT #: 00085628463         | BUY 0 Units @0.0000     |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-6060 - ROBINSON,        | FUNDAMENTAL INVESTORS-A | 0.00                 | 3.21                | 0.00               | 3.21              | 75.0 | 2.41                 |
|  | ACCOUNT #: 00085852774         | BUY 0 Units @0.0000     |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-7478 - FEMIA, NATE      | FUNDAMENTAL INVESTORS-A | 0.00                 | 4.49                | 0.00               | 4.49              | 75.0 | 3.37                 |
|  | ACCOUNT #: 00087227295         | BUY 0 Units @0.0000     |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-3771 - KENNELTY, SEAN   | FUNDAMENTAL INVESTORS-A | 0.00                 | 1.32                | 0.00               | 1.32              | 75.0 | 0.99                 |
|  | ACCOUNT #: 00087352911         | BUY 0 Units @0.0000     |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-9398 - BRENNAN, ROBIN   | FUNDAMENTAL INVESTORS-A | 0.00                 | 2.97                | 0.00               | 2.97              | 75.0 | 2.23                 |
|  | ACCOUNT #: 00087403470         | BUY 0 Units @0.0000     |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-8670 - EDWARDS, SUSAN   | FUNDAMENTAL INVESTORS-A | 0.00                 | 7.75                | 0.00               | 7.75              | 75.0 | 5.81                 |
|  | ACCOUNT #: 00088252231         | BUY 0 Units @0.0000     |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-2771 - CESARE, CYNTHIA  | FUNDAMENTAL INVESTORS-A | 0.00                 | 3.58                | 0.00               | 3.58              | 75.0 | 2.69                 |
|  | ACCOUNT #: 00088331327         | BUY 0 Units @0.0000     |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-3771 - KENNELTY, SEAN   | FUNDAMENTAL INVESTORS-A | 0.00                 | 6.90                | 0.00               | 6.90              | 75.0 | 5.18                 |
|  | ACCOUNT #: 00088439056         | BUY 0 Units @0.0000     |                      |                     |                    |                   |      |                      |



# COMMISSION STATEMENT

March 12, 2018

JEFFREY HANRETTY  
8365 Seneca Turnpike  
New Hartford, NY 13413

BROKER #: B08  
BRANCH #01001 - LifeMark Home Office

| DATE   | CLIENT                        | INVESTMENT                          | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|--|-------------------------------|-------------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b>BROKER TRANSACTIONS (continued)</b>                       |                               |                                     |                      |                     |                    |                   |      |                      |
| <b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</b> |                               |                                     |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-3569 - YOZZO, ROSA     | FUNDAMENTAL INVESTORS-C             | 0.00                 | 70.26               | 0.00               | 70.26             | 75.0 | 52.70                |
|  | ACCOUNT #: 00083468583        | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-7894 - BENSON, HEIDI   | FUNDAMENTAL INVESTORS-C             | 0.00                 | 68.85               | 0.00               | 68.85             | 75.0 | 51.64                |
|  | ACCOUNT #: 00084750362        | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-6130 - SCHOEN, THOMAS  | FUNDAMENTAL INVESTORS-C             | 0.00                 | 11.42               | 0.00               | 11.42             | 75.0 | 8.57                 |
|  | ACCOUNT #: 00086062285        | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-7778 - SKARADEK, ERIN  | FUNDAMENTAL INVESTORS-C             | 0.00                 | 24.10               | 0.00               | 24.10             | 75.0 | 18.08                |
|  | ACCOUNT #: 00086837544        | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-1475 - PIERCE, RICHARD | FUNDAMENTAL INVESTORS-C             | 0.00                 | 20.34               | 0.00               | 20.34             | 75.0 | 15.26                |
|  | ACCOUNT #: 00087763816        | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-3664 - DOMION, DAWN    | FUNDAMENTAL INVESTORS-C             | 0.00                 | 9.94                | 0.00               | 9.94              | 75.0 | 7.46                 |
|  | ACCOUNT #: 00088289886        | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-1445 - CRUMB, DIANE    | FUNDAMENTAL INVESTORS-C             | 0.00                 | 11.06               | 0.00               | 11.06             | 75.0 | 8.30                 |
|  | ACCOUNT #: 00088371577        | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-1445 - CRUMB, DIANE    | GROWTH FUND OF AMERICA CLASS F      | 0.00                 | 7.01                | 0.00               | 7.01              | 75.0 | 5.26                 |
|  | ACCOUNT #: 00088371577        | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-7851 - SMITH, BRIAN    | INCOME FUND OF AMERICA CLASS C      | 0.00                 | 1.15                | 0.00               | 1.15              | 75.0 | 0.86                 |
|  | ACCOUNT #: 00073261410        | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-3569 - YOZZO, ROSA     | INCOME FUND OF AMERICA CLASS C      | 0.00                 | 55.40               | 0.00               | 55.40             | 75.0 | 41.55                |
|  | ACCOUNT #: 00083468583        | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-2221 - SKARADEK,       | INCOME FUND OF AMERICA CLASS C      | 0.00                 | 9.40                | 0.00               | 9.40              | 75.0 | 7.05                 |
|  | ACCOUNT #: 00086835048        | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-6187 - PIERCE,         | INCOME FUND OF AMERICA CLASS C      | 0.00                 | 16.50               | 0.00               | 16.50             | 75.0 | 12.38                |
|  | ACCOUNT #: 00087763847        | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-5943 - CORR, KATHLEEN  | INFLATION LINKED BOND FUND-A        | 0.00                 | 3.00                | 0.00               | 3.00              | 75.0 | 2.25                 |
|  | ACCOUNT #: 00089491976        | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-8307 - REILLY, KATHY   | INTERMEDIATE BOND FUND OF AMERICA-A | 0.00                 | 6.17                | 0.00               | 6.17              | 75.0 | 4.63                 |
|  | ACCOUNT #: 00063488674        | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-9311 - YOZZO, JOSEPH   | INTERMEDIATE BOND FUND OF AMERICA-A | 0.00                 | 4.80                | 0.00               | 4.80              | 75.0 | 3.60                 |
|  | ACCOUNT #: 00068838818        | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-4301 - GUARNIERI,      | INTERMEDIATE BOND FUND OF AMERICA-A | 0.00                 | 16.55               | 0.00               | 16.55             | 75.0 | 12.41                |
|  | ACCOUNT #: 00085628463        | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |



# COMMISSION STATEMENT

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BROKER #: B08  
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| DATE   | CLIENT   | INVESTMENT   | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|--|--|--|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b>BROKER TRANSACTIONS (continued)</b>                       |  |  |                      |                     |                    |                   |      |                      |
| <b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</b> |  |  |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-8670 - EDWARDS, SUSAN<br>ACCOUNT #: 00088252231   | INTERMEDIATE BOND FUND OF AMERICA-A<br>BUY 0 Units @0.0000 | 0.00                 | 10.84               | 0.00               | 10.84             | 75.0 | 8.13                 |
| 03/01/2018   | ***-**-3771 - KENNELTY, SEAN<br>ACCOUNT #: 00088439056   | INTERMEDIATE BOND FUND OF AMERICA-A<br>BUY 0 Units @0.0000 | 0.00                 | 4.48                | 0.00               | 4.48              | 75.0 | 3.36                 |
| 03/01/2018   | ***-**-5943 - CORR, KATHLEEN<br>ACCOUNT #: 00089491976   | INTERMEDIATE BOND FUND OF AMERICA-A<br>BUY 0 Units @0.0000 | 0.00                 | 4.47                | 0.00               | 4.47              | 75.0 | 3.35                 |
| 03/01/2018   | ***-**-8307 - REILLY, KATHY<br>ACCOUNT #: 00063488674    | INTERNATIONAL GROWTH AND INCOME-A<br>BUY 0 Units @0.0000   | 0.00                 | 11.84               | 0.00               | 11.84             | 75.0 | 8.88                 |
| 03/01/2018   | ***-**-3335 - YEH, WHI<br>ACCOUNT #: 00068616678         | INTERNATIONAL GROWTH AND INCOME-A<br>BUY 0 Units @0.0000   | 0.00                 | 3.58                | 0.00               | 3.58              | 75.0 | 2.69                 |
| 03/01/2018   | ***-**-5919 - YEH, CHANG<br>ACCOUNT #: 00068616715       | INTERNATIONAL GROWTH AND INCOME-A<br>BUY 0 Units @0.0000   | 0.00                 | 4.15                | 0.00               | 4.15              | 75.0 | 3.11                 |
| 03/01/2018   | ***-**-9871 - LACOVISSI,<br>ACCOUNT #: 00075995210       | INTERNATIONAL GROWTH AND INCOME-A<br>BUY 0 Units @0.0000   | 0.00                 | 2.45                | 0.00               | 2.45              | 75.0 | 1.84                 |
| 03/01/2018   | ***-**-3503 - SPINELLA,<br>ACCOUNT #: 00081866339        | INTERNATIONAL GROWTH AND INCOME-A<br>BUY 0 Units @0.0000   | 0.00                 | 5.34                | 0.00               | 5.34              | 75.0 | 4.01                 |
| 03/01/2018   | ***-**-9137 - YOZZO, JOSEPH<br>ACCOUNT #: 00082276628    | INTERNATIONAL GROWTH AND INCOME-A<br>BUY 0 Units @0.0000   | 0.00                 | 0.88                | 0.00               | 0.88              | 75.0 | 0.66                 |
| 03/01/2018   | ***-**-8441 - SHAW, MARY<br>ACCOUNT #: 00082629278       | INTERNATIONAL GROWTH AND INCOME-A<br>BUY 0 Units @0.0000   | 0.00                 | 1.64                | 0.00               | 1.64              | 75.0 | 1.23                 |
| 03/01/2018   | ***-**-841N - ROBINSON, CHERYL<br>ACCOUNT #: 00082727886 | INTERNATIONAL GROWTH AND INCOME-A<br>BUY 0 Units @0.0000   | 0.00                 | 2.30                | 0.00               | 2.30              | 75.0 | 1.73                 |
| 03/01/2018   | ***-**-7079 - VERENTI, DEANA<br>ACCOUNT #: 00083685230   | INTERNATIONAL GROWTH AND INCOME-A<br>BUY 0 Units @0.0000   | 0.00                 | 0.94                | 0.00               | 0.94              | 75.0 | 0.71                 |
| 03/01/2018   | ***-**-4301 - GUARNIERI,<br>ACCOUNT #: 00085628463       | INTERNATIONAL GROWTH AND INCOME-A<br>BUY 0 Units @0.0000   | 0.00                 | 6.78                | 0.00               | 6.78              | 75.0 | 5.09                 |
| 03/01/2018   | ***-**-7706 - DECARR,<br>ACCOUNT #: 00086438656          | INTERNATIONAL GROWTH AND INCOME-A<br>BUY 0 Units @0.0000   | 0.00                 | 3.99                | 0.00               | 3.99              | 75.0 | 2.99                 |
| 03/01/2018   | ***-**-3771 - KENNELTY, SEAN<br>ACCOUNT #: 00087352911   | INTERNATIONAL GROWTH AND INCOME-A<br>BUY 0 Units @0.0000   | 0.00                 | 1.63                | 0.00               | 1.63              | 75.0 | 1.22                 |
| 03/01/2018   | ***-**-9398 - BRENNAN, ROBIN<br>ACCOUNT #: 00087403470   | INTERNATIONAL GROWTH AND INCOME-A<br>BUY 0 Units @0.0000   | 0.00                 | 3.64                | 0.00               | 3.64              | 75.0 | 2.73                 |





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| DATE   | CLIENT  | INVESTMENT   | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|--|---|--|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b>BROKER TRANSACTIONS (continued)</b>                       |   |  |                      |                     |                    |                   |      |                      |
| <b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</b> |   |  |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-3771 - KENNELTY, SEAN<br>ACCOUNT #: 00088439056  | INTERNATIONAL GROWTH AND INCOME-A<br>BUY 0 Units @0.0000   | 0.00                 | 1.70                | 0.00               | 1.70              | 75.0 | 1.28                 |
| 03/01/2018   | ***-**-0532 - GUARDI, MAX<br>ACCOUNT #: 00085418120     | INTERNATIONAL GROWTH AND INCOME-C<br>BUY 0 Units @0.0000   | 0.00                 | 2.57                | 0.00               | 2.57              | 75.0 | 1.93                 |
| 03/01/2018   | ***-**-6130 - SCHOEN, THOMAS<br>ACCOUNT #: 00086062285  | INTERNATIONAL GROWTH AND INCOME-C<br>BUY 0 Units @0.0000   | 0.00                 | 6.69                | 0.00               | 6.69              | 75.0 | 5.02                 |
| 03/12/2018   | ***-**-491I - JONES, CECILE<br>ACCOUNT #: LSR012023     | INVESCO STRUCTURED CORE FUND -CLASS<br>BUY 1 Units @0.0000 | 0.00                 | 1.64                | 0.00               | 1.64              | 75.0 | 1.23                 |
| 03/01/2018   | ***-**-7851 - SMITH, BRIAN<br>ACCOUNT #: 00073261410    | INVESTMENT COMPANY OF AMERICA CLASS<br>BUY 0 Units @0.0000 | 0.00                 | 1.41                | 0.00               | 1.41              | 75.0 | 1.06                 |
| 03/01/2018   | ***-**-2221 - SKARADEK,<br>ACCOUNT #: 00086835048       | INVESTMENT COMPANY OF AMERICA CLASS<br>BUY 0 Units @0.0000 | 0.00                 | 12.24               | 0.00               | 12.24             | 75.0 | 9.18                 |
| 03/01/2018   | ***-**-7778 - SKARADEK, ERIN<br>ACCOUNT #: 00086837544  | INVESTMENT COMPANY OF AMERICA CLASS<br>BUY 0 Units @0.0000 | 0.00                 | 22.68               | 0.00               | 22.68             | 75.0 | 17.01                |
| 03/01/2018   | ***-**-1445 - CRUMB, DIANE<br>ACCOUNT #: 00088371577    | INVESTMENT COMPANY OF AMERICA CLASS<br>BUY 0 Units @0.0000 | 0.00                 | 10.49               | 0.00               | 10.49             | 75.0 | 7.87                 |
| 03/01/2018   | ***-**-633J - CHRISTIANO,<br>ACCOUNT #: 00068639252     | LIMITED TERM TAX- EXEMPT BOND FUND<br>BUY 0 Units @0.0000  | 0.00                 | 8.96                | 0.00               | 8.96              | 75.0 | 6.72                 |
| 03/01/2018   | ***-**-7671 - REILLY, RICHARD<br>ACCOUNT #: 00063488673 | NEW PERSPECTIVE FUND-A<br>BUY 0 Units @0.0000              | 0.00                 | 12.79               | 0.00               | 12.79             | 75.0 | 9.59                 |
| 03/01/2018   | ***-**-8307 - REILLY, KATHY<br>ACCOUNT #: 00063488674   | NEW PERSPECTIVE FUND-A<br>BUY 0 Units @0.0000              | 0.00                 | 11.95               | 0.00               | 11.95             | 75.0 | 8.96                 |
| 03/01/2018   | ***-**-5919 - YEH, CHANG<br>ACCOUNT #: 00068616715      | NEW PERSPECTIVE FUND-A<br>BUY 0 Units @0.0000              | 0.00                 | 8.57                | 0.00               | 8.57              | 75.0 | 6.43                 |
| 03/01/2018   | ***-**-9311 - YOZZO, JOSEPH<br>ACCOUNT #: 00068838818   | NEW PERSPECTIVE FUND-A<br>BUY 0 Units @0.0000              | 0.00                 | 6.50                | 0.00               | 6.50              | 75.0 | 4.88                 |
| 03/01/2018   | ***-**-7345 - NOLE, KAREN<br>ACCOUNT #: 00073063006     | NEW PERSPECTIVE FUND-A<br>BUY 0 Units @0.0000              | 0.00                 | 1.85                | 0.00               | 1.85              | 75.0 | 1.39                 |
| 03/01/2018   | ***-**-3538 - CARROLL, LESLIE<br>ACCOUNT #: 00073366696 | NEW PERSPECTIVE FUND-A<br>BUY 0 Units @0.0000              | 0.00                 | 5.96                | 0.00               | 5.96              | 75.0 | 4.47                 |
| 03/01/2018   | ***-**-4540 - NELSON, RORY<br>ACCOUNT #: 00073748857    | NEW PERSPECTIVE FUND-A<br>BUY 0 Units @0.0000              | 0.00                 | 6.93                | 0.00               | 6.93              | 75.0 | 5.20                 |



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| DATE   | CLIENT  | INVESTMENT                                     | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|--|---|--|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b>BROKER TRANSACTIONS (continued)</b>                       |   |  |                      |                     |                    |                   |      |                      |
| <b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</b> |   |  |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-6906 - ROMANO, PAUL<br>ACCOUNT #: 00073848770    | NEW PERSPECTIVE FUND-A<br>BUY 0 Units @0.0000  | 0.00                 | 5.07                | 0.00               | 5.07              | 75.0 | 3.80                 |
| 03/01/2018   | ***-**-8166 - SUYDAM, JERRY<br>ACCOUNT #: 00081494036   | NEW PERSPECTIVE FUND-A<br>BUY 0 Units @0.0000  | 0.00                 | 25.43               | 0.00               | 25.43             | 75.0 | 19.07                |
| 03/01/2018   | ***-**-3503 - SPINELLA,<br>ACCOUNT #: 00081866339       | NEW PERSPECTIVE FUND-A<br>BUY 0 Units @0.0000  | 0.00                 | 8.25                | 0.00               | 8.25              | 75.0 | 6.19                 |
| 03/01/2018   | ***-**-995J - ADAMS, JOHN<br>ACCOUNT #: 00082044078     | NEW PERSPECTIVE FUND-A<br>BUY 0 Units @0.0000  | 0.00                 | 4.08                | 0.00               | 4.08              | 75.0 | 3.06                 |
| 03/01/2018   | ***-**-9137 - YOZZO, JOSEPH<br>ACCOUNT #: 00082276628   | NEW PERSPECTIVE FUND-A<br>BUY 0 Units @0.0000  | 0.00                 | 3.52                | 0.00               | 3.52              | 75.0 | 2.64                 |
| 03/01/2018   | ***-**-6354 - NICOTERA,<br>ACCOUNT #: 00082525497       | NEW PERSPECTIVE FUND-A<br>BUY 0 Units @0.0000  | 0.00                 | 0.62                | 0.00               | 0.62              | 75.0 | 0.47                 |
| 03/01/2018   | ***-**-0949 - WEAVER, WILLIAM<br>ACCOUNT #: 00084071170 | NEW PERSPECTIVE FUND-A<br>BUY 0 Units @0.0000  | 0.00                 | 5.82                | 0.00               | 5.82              | 75.0 | 4.37                 |
| 03/01/2018   | ***-**-7778 - SKARADEK, ERIN<br>ACCOUNT #: 00086837544  | NEW PERSPECTIVE FUND-C<br>BUY 0 Units @0.0000  | 0.00                 | 13.18               | 0.00               | 13.18             | 75.0 | 9.89                 |
| 03/01/2018   | ***-**-1445 - CRUMB, DIANE<br>ACCOUNT #: 00088371577    | NEW PERSPECTIVE FUND-C<br>BUY 0 Units @0.0000  | 0.00                 | 4.67                | 0.00               | 4.67              | 75.0 | 3.50                 |
| 03/01/2018   | ***-**-1445 - CRUMB, DIANE<br>ACCOUNT #: 00088371577    | NEW PERSPECTIVE FUND-F1<br>BUY 0 Units @0.0000 | 0.00                 | 0.20                | 0.00               | 0.20              | 75.0 | 0.15                 |
| 03/01/2018   | ***-**-7671 - REILLY, RICHARD<br>ACCOUNT #: 00063488673 | NEW WORLD FUND-A<br>BUY 0 Units @0.0000        | 0.00                 | 13.89               | 0.00               | 13.89             | 75.0 | 10.42                |
| 03/01/2018   | ***-**-8307 - REILLY, KATHY<br>ACCOUNT #: 00063488674   | NEW WORLD FUND-A<br>BUY 0 Units @0.0000        | 0.00                 | 3.80                | 0.00               | 3.80              | 75.0 | 2.85                 |
| 03/01/2018   | ***-**-3335 - YEH, WHI<br>ACCOUNT #: 00068616678        | NEW WORLD FUND-A<br>BUY 0 Units @0.0000        | 0.00                 | 4.45                | 0.00               | 4.45              | 75.0 | 3.34                 |
| 03/01/2018   | ***-**-5919 - YEH, CHANG<br>ACCOUNT #: 00068616715      | NEW WORLD FUND-A<br>BUY 0 Units @0.0000        | 0.00                 | 8.69                | 0.00               | 8.69              | 75.0 | 6.52                 |
| 03/01/2018   | ***-**-9311 - YOZZO, JOSEPH<br>ACCOUNT #: 00068838818   | NEW WORLD FUND-A<br>BUY 0 Units @0.0000        | 0.00                 | 21.90               | 0.00               | 21.90             | 75.0 | 16.43                |
| 03/01/2018   | ***-**-5376 - CARROCK, LOUIS<br>ACCOUNT #: 00069250497  | NEW WORLD FUND-A<br>BUY 0 Units @0.0000        | 0.00                 | 0.46                | 0.00               | 0.46              | 75.0 | 0.35                 |



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|--|--------------------------------|---------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b>BROKER TRANSACTIONS (continued)</b>                       |                                |                     |                      |                     |                    |                   |      |                      |
| <b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</b> |                                |                     |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-2078 - BLAZEK, DENNIS   | NEW WORLD FUND-A    | 0.00                 | 5.67                | 0.00               | 5.67              | 75.0 | 4.25                 |
|  | ACCOUNT #: 00069255315         | BUY 0 Units @0.0000 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-3538 - CARROLL, LESLIE  | NEW WORLD FUND-A    | 0.00                 | 5.95                | 0.00               | 5.95              | 75.0 | 4.46                 |
|  | ACCOUNT #: 00073366696         | BUY 0 Units @0.0000 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-381I - ZARNOCK, MARTIN  | NEW WORLD FUND-A    | 0.00                 | 9.08                | 0.00               | 9.08              | 75.0 | 6.81                 |
|  | ACCOUNT #: 00073744276         | BUY 0 Units @0.0000 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-6906 - ROMANO, PAUL     | NEW WORLD FUND-A    | 0.00                 | 5.15                | 0.00               | 5.15              | 75.0 | 3.86                 |
|  | ACCOUNT #: 00073848770         | BUY 0 Units @0.0000 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-9871 - LACOVISSI,       | NEW WORLD FUND-A    | 0.00                 | 3.40                | 0.00               | 3.40              | 75.0 | 2.55                 |
|  | ACCOUNT #: 00075995210         | BUY 0 Units @0.0000 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-1489 - MARR, RICHARD    | NEW WORLD FUND-A    | 0.00                 | 1.08                | 0.00               | 1.08              | 75.0 | 0.81                 |
|  | ACCOUNT #: 00081380894         | BUY 0 Units @0.0000 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-4459 - CRAFT, ROSEANNE  | NEW WORLD FUND-A    | 0.00                 | 1.14                | 0.00               | 1.14              | 75.0 | 0.86                 |
|  | ACCOUNT #: 00081619958         | BUY 0 Units @0.0000 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-3503 - SPINELLA,        | NEW WORLD FUND-A    | 0.00                 | 7.72                | 0.00               | 7.72              | 75.0 | 5.79                 |
|  | ACCOUNT #: 00081866339         | BUY 0 Units @0.0000 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-9137 - YOZZO, JOSEPH    | NEW WORLD FUND-A    | 0.00                 | 4.15                | 0.00               | 4.15              | 75.0 | 3.11                 |
|  | ACCOUNT #: 00082276628         | BUY 0 Units @0.0000 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-3720 - MARCOCCIA,       | NEW WORLD FUND-A    | 0.00                 | 1.41                | 0.00               | 1.41              | 75.0 | 1.06                 |
|  | ACCOUNT #: 00082308736         | BUY 0 Units @0.0000 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-8441 - SHAW, MARY       | NEW WORLD FUND-A    | 0.00                 | 3.12                | 0.00               | 3.12              | 75.0 | 2.34                 |
|  | ACCOUNT #: 00082629278         | BUY 0 Units @0.0000 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-7576 - MATTHEWS,        | NEW WORLD FUND-A    | 0.00                 | 2.81                | 0.00               | 2.81              | 75.0 | 2.11                 |
|  | ACCOUNT #: 00082716712         | BUY 0 Units @0.0000 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-84IN - ROBINSON, CHERYL | NEW WORLD FUND-A    | 0.00                 | 5.10                | 0.00               | 5.10              | 75.0 | 3.83                 |
|  | ACCOUNT #: 00082727886         | BUY 0 Units @0.0000 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-3359 - ROBELLARD,       | NEW WORLD FUND-A    | 0.00                 | 1.23                | 0.00               | 1.23              | 75.0 | 0.92                 |
|  | ACCOUNT #: 00082729631         | BUY 0 Units @0.0000 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-1595 - FERRONE, PAUL    | NEW WORLD FUND-A    | 0.00                 | 1.73                | 0.00               | 1.73              | 75.0 | 1.30                 |
|  | ACCOUNT #: 00082857686         | BUY 0 Units @0.0000 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-3164 - SKARADEK, KAREN  | NEW WORLD FUND-A    | 0.00                 | 6.23                | 0.00               | 6.23              | 75.0 | 4.67                 |
|  | ACCOUNT #: 00083221144         | BUY 0 Units @0.0000 |                      |                     |                    |                   |      |                      |



# COMMISSION STATEMENT

March 12, 2018

JEFFREY HANRETTY  
8365 Seneca Turnpike  
New Hartford, NY 13413

BROKER #: B08  
BRANCH #01001 - LifeMark Home Office

| DATE   | CLIENT                        | INVESTMENT          | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|--|-------------------------------|---------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b>BROKER TRANSACTIONS (continued)</b>                       |                               |                     |                      |                     |                    |                   |      |                      |
| <b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</b> |                               |                     |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-1701 - NOFFER, THOMAS  | NEW WORLD FUND-A    | 0.00                 | 0.51                | 0.00               | 0.51              | 75.0 | 0.38                 |
|  | ACCOUNT #: 00083444381        | BUY 0 Units @0.0000 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-3123 - BALIO, SHAWN    | NEW WORLD FUND-A    | 0.00                 | 2.11                | 0.00               | 2.11              | 75.0 | 1.58                 |
|  | ACCOUNT #: 00083684779        | BUY 0 Units @0.0000 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-7079 - VERENTI, DEANA  | NEW WORLD FUND-A    | 0.00                 | 2.30                | 0.00               | 2.30              | 75.0 | 1.73                 |
|  | ACCOUNT #: 00083685230        | BUY 0 Units @0.0000 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-2713 - KAPRAL, RICHARD | NEW WORLD FUND-A    | 0.00                 | 2.03                | 0.00               | 2.03              | 75.0 | 1.52                 |
|  | ACCOUNT #: 00083705143        | BUY 0 Units @0.0000 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-0949 - WEAVER, WILLIAM | NEW WORLD FUND-A    | 0.00                 | 4.10                | 0.00               | 4.10              | 75.0 | 3.08                 |
|  | ACCOUNT #: 00084071170        | BUY 0 Units @0.0000 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-4301 - GUARNIERI,      | NEW WORLD FUND-A    | 0.00                 | 7.33                | 0.00               | 7.33              | 75.0 | 5.50                 |
|  | ACCOUNT #: 00085628463        | BUY 0 Units @0.0000 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-7287 - VINCI, DAVID    | NEW WORLD FUND-A    | 0.00                 | 6.74                | 0.00               | 6.74              | 75.0 | 5.06                 |
|  | ACCOUNT #: 00085629076        | BUY 0 Units @0.0000 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-7478 - FEMIA, NATE     | NEW WORLD FUND-A    | 0.00                 | 3.43                | 0.00               | 3.43              | 75.0 | 2.57                 |
|  | ACCOUNT #: 00087227295        | BUY 0 Units @0.0000 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-3771 - KENNELTY, SEAN  | NEW WORLD FUND-A    | 0.00                 | 1.78                | 0.00               | 1.78              | 75.0 | 1.34                 |
|  | ACCOUNT #: 00087352911        | BUY 0 Units @0.0000 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-9398 - BRENNAN, ROBIN  | NEW WORLD FUND-A    | 0.00                 | 4.24                | 0.00               | 4.24              | 75.0 | 3.18                 |
|  | ACCOUNT #: 00087403470        | BUY 0 Units @0.0000 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-8670 - EDWARDS, SUSAN  | NEW WORLD FUND-A    | 0.00                 | 3.78                | 0.00               | 3.78              | 75.0 | 2.84                 |
|  | ACCOUNT #: 00088252231        | BUY 0 Units @0.0000 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-2771 - CESARE, CYNTHIA | NEW WORLD FUND-A    | 0.00                 | 3.44                | 0.00               | 3.44              | 75.0 | 2.58                 |
|  | ACCOUNT #: 00088331327        | BUY 0 Units @0.0000 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-3771 - KENNELTY, SEAN  | NEW WORLD FUND-A    | 0.00                 | 9.55                | 0.00               | 9.55              | 75.0 | 7.16                 |
|  | ACCOUNT #: 00088439056        | BUY 0 Units @0.0000 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-3569 - YOZZO, ROSA     | NEW WORLD FUND-C    | 0.00                 | 50.57               | 0.00               | 50.57             | 75.0 | 37.93                |
|  | ACCOUNT #: 00083468583        | BUY 0 Units @0.0000 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-6130 - SCHOEN, THOMAS  | NEW WORLD FUND-C    | 0.00                 | 6.97                | 0.00               | 6.97              | 75.0 | 5.23                 |
|  | ACCOUNT #: 00086062285        | BUY 0 Units @0.0000 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-2221 - SKARADEK,       | NEW WORLD FUND-C    | 0.00                 | 8.91                | 0.00               | 8.91              | 75.0 | 6.68                 |
|  | ACCOUNT #: 00086835048        | BUY 0 Units @0.0000 |                      |                     |                    |                   |      |                      |



# COMMISSION STATEMENT

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BROKER #: B08  
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| DATE   | CLIENT                        | INVESTMENT                          | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|--|-------------------------------|-------------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b>BROKER TRANSACTIONS (continued)</b>                       |                               |                                     |                      |                     |                    |                   |      |                      |
| <b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</b> |                               |                                     |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-7778 - SKARADEK, ERIN  | NEW WORLD FUND-C                    | 0.00                 | 16.71               | 0.00               | 16.71             | 75.0 | 12.53                |
|  | ACCOUNT #: 00086837544        | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-1475 - PIERCE, RICHARD | NEW WORLD FUND-C                    | 0.00                 | 19.00               | 0.00               | 19.00             | 75.0 | 14.25                |
|  | ACCOUNT #: 00087763816        | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-6187 - PIERCE,         | NEW WORLD FUND-C                    | 0.00                 | 17.76               | 0.00               | 17.76             | 75.0 | 13.32                |
|  | ACCOUNT #: 00087763847        | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-3664 - DOMION, DAWN    | NEW WORLD FUND-C                    | 0.00                 | 5.95                | 0.00               | 5.95              | 75.0 | 4.46                 |
|  | ACCOUNT #: 00088289886        | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-1445 - CRUMB, DIANE    | NEW WORLD FUND-F1                   | 0.00                 | 3.68                | 0.00               | 3.68              | 75.0 | 2.76                 |
|  | ACCOUNT #: 00088371577        | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-4301 - GUARNIERI,      | SHORT-TERM BOND FUND OF AMERICA - A | 0.00                 | 9.38                | 0.00               | 9.38              | 75.0 | 7.04                 |
|  | ACCOUNT #: 00085628463        | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-3771 - KENNELTY, SEAN  | SHORT-TERM BOND FUND OF AMERICA - A | 0.00                 | 2.29                | 0.00               | 2.29              | 75.0 | 1.72                 |
|  | ACCOUNT #: 00088439056        | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-5943 - CORR, KATHLEEN  | SHORT-TERM BOND FUND OF AMERICA - A | 0.00                 | 4.49                | 0.00               | 4.49              | 75.0 | 3.37                 |
|  | ACCOUNT #: 00089491976        | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-7266 - ZUMPANO, ANDREA | SMALLCAP WORLD FUND-529A            | 0.00                 | 3.37                | 0.00               | 3.37              | 75.0 | 2.53                 |
|  | ACCOUNT #: 00081727500        | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-7671 - REILLY, RICHARD | SMALLCAP WORLD FUND-A               | 0.00                 | 17.83               | 0.00               | 17.83             | 75.0 | 13.37                |
|  | ACCOUNT #: 00063488673        | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-8307 - REILLY, KATHY   | SMALLCAP WORLD FUND-A               | 0.00                 | 12.53               | 0.00               | 12.53             | 75.0 | 9.40                 |
|  | ACCOUNT #: 00063488674        | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-2349 - KULPA, KEITH    | SMALLCAP WORLD FUND-A               | 0.00                 | 5.89                | 0.00               | 5.89              | 75.0 | 4.42                 |
|  | ACCOUNT #: 00068275136        | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-6663 - ZOGBY, KAMIL    | SMALLCAP WORLD FUND-A               | 0.00                 | 1.15                | 0.00               | 1.15              | 75.0 | 0.86                 |
|  | ACCOUNT #: 00068396826        | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-3335 - YEH, WHI        | SMALLCAP WORLD FUND-A               | 0.00                 | 4.30                | 0.00               | 4.30              | 75.0 | 3.23                 |
|  | ACCOUNT #: 00068616678        | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-5919 - YEH, CHANG      | SMALLCAP WORLD FUND-A               | 0.00                 | 11.41               | 0.00               | 11.41             | 75.0 | 8.56                 |
|  | ACCOUNT #: 00068616715        | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-633J - CHRISTIANO,     | SMALLCAP WORLD FUND-A               | 0.00                 | 13.36               | 0.00               | 13.36             | 75.0 | 10.02                |
|  | ACCOUNT #: 00068639252        | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |



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| DATE   | CLIENT  | INVESTMENT                                   | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|--|---|--|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b>BROKER TRANSACTIONS (continued)</b>                       |   |  |                      |                     |                    |                   |      |                      |
| <b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</b> |   |  |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-9311 - YOZZO, JOSEPH<br>ACCOUNT #: 00068838818   | SMALLCAP WORLD FUND-A<br>BUY 0 Units @0.0000 | 0.00                 | 18.29               | 0.00               | 18.29             | 75.0 | 13.72                |
| 03/01/2018   | ***-**-5376 - CARROCK, LOUIS<br>ACCOUNT #: 00069250497  | SMALLCAP WORLD FUND-A<br>BUY 0 Units @0.0000 | 0.00                 | 0.90                | 0.00               | 0.90              | 75.0 | 0.68                 |
| 03/01/2018   | ***-**-7345 - NOLE, KAREN<br>ACCOUNT #: 00073063006     | SMALLCAP WORLD FUND-A<br>BUY 0 Units @0.0000 | 0.00                 | 1.91                | 0.00               | 1.91              | 75.0 | 1.43                 |
| 03/01/2018   | ***-**-3538 - CARROLL, LESLIE<br>ACCOUNT #: 00073366696 | SMALLCAP WORLD FUND-A<br>BUY 0 Units @0.0000 | 0.00                 | 15.19               | 0.00               | 15.19             | 75.0 | 11.39                |
| 03/01/2018   | ***-**-381I - ZARNOCK, MARTIN<br>ACCOUNT #: 00073744276 | SMALLCAP WORLD FUND-A<br>BUY 0 Units @0.0000 | 0.00                 | 10.54               | 0.00               | 10.54             | 75.0 | 7.91                 |
| 03/01/2018   | ***-**-4540 - NELSON, RORY<br>ACCOUNT #: 00073748857    | SMALLCAP WORLD FUND-A<br>BUY 0 Units @0.0000 | 0.00                 | 6.83                | 0.00               | 6.83              | 75.0 | 5.12                 |
| 03/01/2018   | ***-**-6906 - ROMANO, PAUL<br>ACCOUNT #: 00073848770    | SMALLCAP WORLD FUND-A<br>BUY 0 Units @0.0000 | 0.00                 | 5.05                | 0.00               | 5.05              | 75.0 | 3.79                 |
| 03/01/2018   | ***-**-9871 - LACOVISSI,<br>ACCOUNT #: 00075995210      | SMALLCAP WORLD FUND-A<br>BUY 0 Units @0.0000 | 0.00                 | 4.69                | 0.00               | 4.69              | 75.0 | 3.52                 |
| 03/01/2018   | ***-**-1489 - MARR, RICHARD<br>ACCOUNT #: 00081380894   | SMALLCAP WORLD FUND-A<br>BUY 0 Units @0.0000 | 0.00                 | 4.23                | 0.00               | 4.23              | 75.0 | 3.17                 |
| 03/01/2018   | ***-**-8166 - SUYDAM, JERRY<br>ACCOUNT #: 00081494036   | SMALLCAP WORLD FUND-A<br>BUY 0 Units @0.0000 | 0.00                 | 30.87               | 0.00               | 30.87             | 75.0 | 23.15                |
| 03/01/2018   | ***-**-4459 - CRAFT, ROSEANNE<br>ACCOUNT #: 00081619958 | SMALLCAP WORLD FUND-A<br>BUY 0 Units @0.0000 | 0.00                 | 2.02                | 0.00               | 2.02              | 75.0 | 1.52                 |
| 03/01/2018   | ***-**-2451 - DECARR, EDWARD<br>ACCOUNT #: 00081650302  | SMALLCAP WORLD FUND-A<br>BUY 0 Units @0.0000 | 0.00                 | 4.78                | 0.00               | 4.78              | 75.0 | 3.59                 |
| 03/01/2018   | ***-**-3503 - SPINELLA,<br>ACCOUNT #: 00081866339       | SMALLCAP WORLD FUND-A<br>BUY 0 Units @0.0000 | 0.00                 | 10.36               | 0.00               | 10.36             | 75.0 | 7.77                 |
| 03/01/2018   | ***-**-3560 - MCEVOY, MICHAEL<br>ACCOUNT #: 00081868334 | SMALLCAP WORLD FUND-A<br>BUY 0 Units @0.0000 | 0.00                 | 1.61                | 0.00               | 1.61              | 75.0 | 1.21                 |
| 03/01/2018   | ***-**-7162 - BORIS, STANLEY<br>ACCOUNT #: 00081937036  | SMALLCAP WORLD FUND-A<br>BUY 0 Units @0.0000 | 0.00                 | 8.27                | 0.00               | 8.27              | 75.0 | 6.20                 |
| 03/01/2018   | ***-**-995J - ADAMS, JOHN<br>ACCOUNT #: 00082044078     | SMALLCAP WORLD FUND-A<br>BUY 0 Units @0.0000 | 0.00                 | 7.65                | 0.00               | 7.65              | 75.0 | 5.74                 |



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| DATE   | CLIENT                         | INVESTMENT            | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|--|--------------------------------|-----------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b>BROKER TRANSACTIONS (continued)</b>                       |                                |                       |                      |                     |                    |                   |      |                      |
| <b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</b> |                                |                       |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-9137 - YOZZO, JOSEPH    | SMALLCAP WORLD FUND-A | 0.00                 | 3.33                | 0.00               | 3.33              | 75.0 | 2.50                 |
|  | ACCOUNT #: 00082276628         | BUY 0 Units @0.0000   |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-1973 - MCEVOY, KATHY    | SMALLCAP WORLD FUND-A | 0.00                 | 1.09                | 0.00               | 1.09              | 75.0 | 0.82                 |
|  | ACCOUNT #: 00082284150         | BUY 0 Units @0.0000   |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-3720 - MARCOCCIA,       | SMALLCAP WORLD FUND-A | 0.00                 | 2.85                | 0.00               | 2.85              | 75.0 | 2.14                 |
|  | ACCOUNT #: 00082308736         | BUY 0 Units @0.0000   |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-5513 - KUPIEC, RICHARD  | SMALLCAP WORLD FUND-A | 0.00                 | 1.67                | 0.00               | 1.67              | 75.0 | 1.25                 |
|  | ACCOUNT #: 00082449672         | BUY 0 Units @0.0000   |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-6354 - NICOTERA,        | SMALLCAP WORLD FUND-A | 0.00                 | 0.84                | 0.00               | 0.84              | 75.0 | 0.63                 |
|  | ACCOUNT #: 00082525497         | BUY 0 Units @0.0000   |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-8441 - SHAW, MARY       | SMALLCAP WORLD FUND-A | 0.00                 | 3.70                | 0.00               | 3.70              | 75.0 | 2.78                 |
|  | ACCOUNT #: 00082629278         | BUY 0 Units @0.0000   |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-7576 - MATTHEWS,        | SMALLCAP WORLD FUND-A | 0.00                 | 5.16                | 0.00               | 5.16              | 75.0 | 3.87                 |
|  | ACCOUNT #: 00082716712         | BUY 0 Units @0.0000   |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-841N - ROBINSON, CHERYL | SMALLCAP WORLD FUND-A | 0.00                 | 6.76                | 0.00               | 6.76              | 75.0 | 5.07                 |
|  | ACCOUNT #: 00082727886         | BUY 0 Units @0.0000   |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-1595 - FERRONE, PAUL    | SMALLCAP WORLD FUND-A | 0.00                 | 2.04                | 0.00               | 2.04              | 75.0 | 1.53                 |
|  | ACCOUNT #: 00082857686         | BUY 0 Units @0.0000   |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-3164 - SKARADEK, KAREN  | SMALLCAP WORLD FUND-A | 0.00                 | 8.53                | 0.00               | 8.53              | 75.0 | 6.40                 |
|  | ACCOUNT #: 00083221144         | BUY 0 Units @0.0000   |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-1701 - NOFFER, THOMAS   | SMALLCAP WORLD FUND-A | 0.00                 | 0.71                | 0.00               | 0.71              | 75.0 | 0.53                 |
|  | ACCOUNT #: 00083444381         | BUY 0 Units @0.0000   |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-3123 - BALIO, SHAWN     | SMALLCAP WORLD FUND-A | 0.00                 | 2.45                | 0.00               | 2.45              | 75.0 | 1.84                 |
|  | ACCOUNT #: 00083684779         | BUY 0 Units @0.0000   |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-7079 - VERENTI, DEANA   | SMALLCAP WORLD FUND-A | 0.00                 | 3.28                | 0.00               | 3.28              | 75.0 | 2.46                 |
|  | ACCOUNT #: 00083685230         | BUY 0 Units @0.0000   |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-2713 - KAPRAL, RICHARD  | SMALLCAP WORLD FUND-A | 0.00                 | 2.93                | 0.00               | 2.93              | 75.0 | 2.20                 |
|  | ACCOUNT #: 00083705143         | BUY 0 Units @0.0000   |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-0949 - WEAVER, WILLIAM  | SMALLCAP WORLD FUND-A | 0.00                 | 5.32                | 0.00               | 5.32              | 75.0 | 3.99                 |
|  | ACCOUNT #: 00084071170         | BUY 0 Units @0.0000   |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-4301 - GUARNIERI,       | SMALLCAP WORLD FUND-A | 0.00                 | 9.50                | 0.00               | 9.50              | 75.0 | 7.13                 |
|  | ACCOUNT #: 00085628463         | BUY 0 Units @0.0000   |                      |                     |                    |                   |      |                      |



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BROKER #: B08  
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| DATE   | CLIENT                        | INVESTMENT            | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|--|-------------------------------|-----------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b>BROKER TRANSACTIONS (continued)</b>                       |                               |                       |                      |                     |                    |                   |      |                      |
| <b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</b> |                               |                       |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-7287 - VINCI, DAVID    | SMALLCAP WORLD FUND-A | 0.00                 | 7.38                | 0.00               | 7.38              | 75.0 | 5.54                 |
|  | ACCOUNT #: 00085629076        | BUY 0 Units @0.0000   |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-3474 - LORRAINE, DEBRA | SMALLCAP WORLD FUND-A | 0.00                 | 0.89                | 0.00               | 0.89              | 75.0 | 0.67                 |
|  | ACCOUNT #: 00085801437        | BUY 0 Units @0.0000   |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-6060 - ROBINSON,       | SMALLCAP WORLD FUND-A | 0.00                 | 1.25                | 0.00               | 1.25              | 75.0 | 0.94                 |
|  | ACCOUNT #: 00085852774        | BUY 0 Units @0.0000   |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-7478 - FEMIA, NATE     | SMALLCAP WORLD FUND-A | 0.00                 | 3.94                | 0.00               | 3.94              | 75.0 | 2.96                 |
|  | ACCOUNT #: 00087227295        | BUY 0 Units @0.0000   |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-3771 - KENNELTY, SEAN  | SMALLCAP WORLD FUND-A | 0.00                 | 1.98                | 0.00               | 1.98              | 75.0 | 1.49                 |
|  | ACCOUNT #: 00087352911        | BUY 0 Units @0.0000   |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-9398 - BRENNAN, ROBIN  | SMALLCAP WORLD FUND-A | 0.00                 | 4.13                | 0.00               | 4.13              | 75.0 | 3.10                 |
|  | ACCOUNT #: 00087403470        | BUY 0 Units @0.0000   |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-8670 - EDWARDS, SUSAN  | SMALLCAP WORLD FUND-A | 0.00                 | 4.32                | 0.00               | 4.32              | 75.0 | 3.24                 |
|  | ACCOUNT #: 00088252231        | BUY 0 Units @0.0000   |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-2771 - CESARE, CYNTHIA | SMALLCAP WORLD FUND-A | 0.00                 | 3.48                | 0.00               | 3.48              | 75.0 | 2.61                 |
|  | ACCOUNT #: 00088331327        | BUY 0 Units @0.0000   |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-3771 - KENNELTY, SEAN  | SMALLCAP WORLD FUND-A | 0.00                 | 12.40               | 0.00               | 12.40             | 75.0 | 9.30                 |
|  | ACCOUNT #: 00088439056        | BUY 0 Units @0.0000   |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-0585 - HOLLENBECK,     | SMALLCAP WORLD FUND-A | 0.00                 | 0.48                | 0.00               | 0.48              | 75.0 | 0.36                 |
|  | ACCOUNT #: 00088454124        | BUY 0 Units @0.0000   |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-7851 - SMITH, BRIAN    | SMALLCAP WORLD FUND-C | 0.00                 | 1.35                | 0.00               | 1.35              | 75.0 | 1.01                 |
|  | ACCOUNT #: 00073261410        | BUY 0 Units @0.0000   |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-3569 - YOZZO, ROSA     | SMALLCAP WORLD FUND-C | 0.00                 | 63.15               | 0.00               | 63.15             | 75.0 | 47.36                |
|  | ACCOUNT #: 00083468583        | BUY 0 Units @0.0000   |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-7894 - BENSON, HEIDI   | SMALLCAP WORLD FUND-C | 0.00                 | 64.79               | 0.00               | 64.79             | 75.0 | 48.59                |
|  | ACCOUNT #: 00084750362        | BUY 0 Units @0.0000   |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-0532 - GUARDI, MAX     | SMALLCAP WORLD FUND-C | 0.00                 | 4.76                | 0.00               | 4.76              | 75.0 | 3.57                 |
|  | ACCOUNT #: 00085418120        | BUY 0 Units @0.0000   |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-6130 - SCHOEN, THOMAS  | SMALLCAP WORLD FUND-C | 0.00                 | 10.01               | 0.00               | 10.01             | 75.0 | 7.51                 |
|  | ACCOUNT #: 00086062285        | BUY 0 Units @0.0000   |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-2221 - SKARADEK,       | SMALLCAP WORLD FUND-C | 0.00                 | 11.48               | 0.00               | 11.48             | 75.0 | 8.61                 |
|  | ACCOUNT #: 00086835048        | BUY 0 Units @0.0000   |                      |                     |                    |                   |      |                      |





# COMMISSION STATEMENT

March 12, 2018

JEFFREY HANRETTY  
8365 Seneca Turnpike  
New Hartford, NY 13413

BROKER #: B08  
BRANCH #01001 - LifeMark Home Office

| DATE   | CLIENT                        | INVESTMENT                    | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|--|-------------------------------|-------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b>BROKER TRANSACTIONS (continued)</b>                       |                               |                               |                      |                     |                    |                   |      |                      |
| <b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</b> |                               |                               |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-7778 - SKARADEK, ERIN  | SMALLCAP WORLD FUND-C         | 0.00                 | 21.52               | 0.00               | 21.52             | 75.0 | 16.14                |
|  | ACCOUNT #: 00086837544        | BUY 0 Units @0.0000           |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-1475 - PIERCE, RICHARD | SMALLCAP WORLD FUND-C         | 0.00                 | 19.44               | 0.00               | 19.44             | 75.0 | 14.58                |
|  | ACCOUNT #: 00087763816        | BUY 0 Units @0.0000           |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-6187 - PIERCE,         | SMALLCAP WORLD FUND-C         | 0.00                 | 18.10               | 0.00               | 18.10             | 75.0 | 13.58                |
|  | ACCOUNT #: 00087763847        | BUY 0 Units @0.0000           |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-3664 - DOMION, DAWN    | SMALLCAP WORLD FUND-C         | 0.00                 | 6.43                | 0.00               | 6.43              | 75.0 | 4.82                 |
|  | ACCOUNT #: 00088289886        | BUY 0 Units @0.0000           |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-1445 - CRUMB, DIANE    | SMALLCAP WORLD FUND-C         | 0.00                 | 9.79                | 0.00               | 9.79              | 75.0 | 7.34                 |
|  | ACCOUNT #: 00088371577        | BUY 0 Units @0.0000           |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-1445 - CRUMB, DIANE    | SMALLCAP WORLD FUND-F1        | 0.00                 | 4.54                | 0.00               | 4.54              | 75.0 | 3.41                 |
|  | ACCOUNT #: 00088371577        | BUY 0 Units @0.0000           |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-7266 - ZUMPANO, ANDREA | THE BOND FUND OF AMERICA-529A | 0.00                 | 2.01                | 0.00               | 2.01              | 75.0 | 1.51                 |
|  | ACCOUNT #: 00081727500        | BUY 0 Units @0.0000           |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-7671 - REILLY, RICHARD | THE BOND FUND OF AMERICA-A    | 0.00                 | 10.37               | 0.00               | 10.37             | 75.0 | 7.78                 |
|  | ACCOUNT #: 00063488673        | BUY 0 Units @0.0000           |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-8307 - REILLY, KATHY   | THE BOND FUND OF AMERICA-A    | 0.00                 | 12.38               | 0.00               | 12.38             | 75.0 | 9.29                 |
|  | ACCOUNT #: 00063488674        | BUY 0 Units @0.0000           |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-3335 - YEH, WHI        | THE BOND FUND OF AMERICA-A    | 0.00                 | 4.59                | 0.00               | 4.59              | 75.0 | 3.44                 |
|  | ACCOUNT #: 00068616678        | BUY 0 Units @0.0000           |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-5919 - YEH, CHANG      | THE BOND FUND OF AMERICA-A    | 0.00                 | 6.76                | 0.00               | 6.76              | 75.0 | 5.07                 |
|  | ACCOUNT #: 00068616715        | BUY 0 Units @0.0000           |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-9311 - YOZZO, JOSEPH   | THE BOND FUND OF AMERICA-A    | 0.00                 | 18.43               | 0.00               | 18.43             | 75.0 | 13.82                |
|  | ACCOUNT #: 00068838818        | BUY 0 Units @0.0000           |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-6893 - CONDON, TRACY   | THE BOND FUND OF AMERICA-A    | 0.00                 | 0.49                | 0.00               | 0.49              | 75.0 | 0.37                 |
|  | ACCOUNT #: 00069059968        | BUY 0 Units @0.0000           |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-2078 - BLAZEK, DENNIS  | THE BOND FUND OF AMERICA-A    | 0.00                 | 3.19                | 0.00               | 3.19              | 75.0 | 2.39                 |
|  | ACCOUNT #: 00069255315        | BUY 0 Units @0.0000           |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-9099 - AUSTIN, RONDA   | THE BOND FUND OF AMERICA-A    | 0.00                 | 0.42                | 0.00               | 0.42              | 75.0 | 0.32                 |
|  | ACCOUNT #: 00073043547        | BUY 0 Units @0.0000           |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-7345 - NOLE, KAREN     | THE BOND FUND OF AMERICA-A    | 0.00                 | 0.79                | 0.00               | 0.79              | 75.0 | 0.59                 |
|  | ACCOUNT #: 00073063006        | BUY 0 Units @0.0000           |                      |                     |                    |                   |      |                      |



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| DATE   | CLIENT                        | INVESTMENT                 | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|--|-------------------------------|----------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b>BROKER TRANSACTIONS (continued)</b>                       |                               |                            |                      |                     |                    |                   |      |                      |
| <b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</b> |                               |                            |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-3538 - CARROLL, LESLIE | THE BOND FUND OF AMERICA-A | 0.00                 | 8.01                | 0.00               | 8.01              | 75.0 | 6.01                 |
|  | ACCOUNT #: 00073366696        | BUY 0 Units @0.0000        |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-381I - ZARNOCK, MARTIN | THE BOND FUND OF AMERICA-A | 0.00                 | 8.36                | 0.00               | 8.36              | 75.0 | 6.27                 |
|  | ACCOUNT #: 00073744335        | BUY 0 Units @0.0000        |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-6906 - ROMANO, PAUL    | THE BOND FUND OF AMERICA-A | 0.00                 | 4.60                | 0.00               | 4.60              | 75.0 | 3.45                 |
|  | ACCOUNT #: 00073848770        | BUY 0 Units @0.0000        |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-9871 - LACOVISSI,      | THE BOND FUND OF AMERICA-A | 0.00                 | 2.58                | 0.00               | 2.58              | 75.0 | 1.94                 |
|  | ACCOUNT #: 00075995210        | BUY 0 Units @0.0000        |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-1489 - MARR, RICHARD   | THE BOND FUND OF AMERICA-A | 0.00                 | 2.79                | 0.00               | 2.79              | 75.0 | 2.09                 |
|  | ACCOUNT #: 00081380894        | BUY 0 Units @0.0000        |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-4459 - CRAFT, ROSEANNE | THE BOND FUND OF AMERICA-A | 0.00                 | 1.21                | 0.00               | 1.21              | 75.0 | 0.91                 |
|  | ACCOUNT #: 00081619958        | BUY 0 Units @0.0000        |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-2451 - DECARR, EDWARD  | THE BOND FUND OF AMERICA-A | 0.00                 | 4.94                | 0.00               | 4.94              | 75.0 | 3.71                 |
|  | ACCOUNT #: 00081650302        | BUY 0 Units @0.0000        |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-3503 - SPINELLA,       | THE BOND FUND OF AMERICA-A | 0.00                 | 4.35                | 0.00               | 4.35              | 75.0 | 3.26                 |
|  | ACCOUNT #: 00081866339        | BUY 0 Units @0.0000        |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-5157 - ADAMS, BARBARA  | THE BOND FUND OF AMERICA-A | 0.00                 | 0.98                | 0.00               | 0.98              | 75.0 | 0.74                 |
|  | ACCOUNT #: 00081925599        | BUY 0 Units @0.0000        |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-7162 - BORIS, STANLEY  | THE BOND FUND OF AMERICA-A | 0.00                 | 1.18                | 0.00               | 1.18              | 75.0 | 0.89                 |
|  | ACCOUNT #: 00081937036        | BUY 0 Units @0.0000        |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-995J - ADAMS, JOHN     | THE BOND FUND OF AMERICA-A | 0.00                 | 4.08                | 0.00               | 4.08              | 75.0 | 3.06                 |
|  | ACCOUNT #: 00082044078        | BUY 0 Units @0.0000        |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-9137 - YOZZO, JOSEPH   | THE BOND FUND OF AMERICA-A | 0.00                 | 0.80                | 0.00               | 0.80              | 75.0 | 0.60                 |
|  | ACCOUNT #: 00082276628        | BUY 0 Units @0.0000        |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-1973 - MCEVOY, KATHY   | THE BOND FUND OF AMERICA-A | 0.00                 | 0.81                | 0.00               | 0.81              | 75.0 | 0.61                 |
|  | ACCOUNT #: 00082284150        | BUY 0 Units @0.0000        |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-3720 - MARCOCCIA,      | THE BOND FUND OF AMERICA-A | 0.00                 | 2.01                | 0.00               | 2.01              | 75.0 | 1.51                 |
|  | ACCOUNT #: 00082308736        | BUY 0 Units @0.0000        |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-5513 - KUPIEC, RICHARD | THE BOND FUND OF AMERICA-A | 0.00                 | 1.16                | 0.00               | 1.16              | 75.0 | 0.87                 |
|  | ACCOUNT #: 00082449672        | BUY 0 Units @0.0000        |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-6354 - NICOTERA,       | THE BOND FUND OF AMERICA-A | 0.00                 | 0.65                | 0.00               | 0.65              | 75.0 | 0.49                 |
|  | ACCOUNT #: 00082525497        | BUY 0 Units @0.0000        |                      |                     |                    |                   |      |                      |



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| DATE   | CLIENT                         | INVESTMENT                 | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|--|--------------------------------|----------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b>BROKER TRANSACTIONS (continued)</b>                       |                                |                            |                      |                     |                    |                   |      |                      |
| <b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</b> |                                |                            |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-8441 - SHAW, MARY       | THE BOND FUND OF AMERICA-A | 0.00                 | 3.94                | 0.00               | 3.94              | 75.0 | 2.96                 |
|  | ACCOUNT #: 00082629278         | BUY 0 Units @0.0000        |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-7576 - MATTHEWS,        | THE BOND FUND OF AMERICA-A | 0.00                 | 4.02                | 0.00               | 4.02              | 75.0 | 3.02                 |
|  | ACCOUNT #: 00082716712         | BUY 0 Units @0.0000        |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-841N - ROBINSON, CHERYL | THE BOND FUND OF AMERICA-A | 0.00                 | 3.96                | 0.00               | 3.96              | 75.0 | 2.97                 |
|  | ACCOUNT #: 00082727886         | BUY 0 Units @0.0000        |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-1595 - FERRONE, PAUL    | THE BOND FUND OF AMERICA-A | 0.00                 | 1.91                | 0.00               | 1.91              | 75.0 | 1.43                 |
|  | ACCOUNT #: 00082857686         | BUY 0 Units @0.0000        |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-3164 - SKARADEK, KAREN  | THE BOND FUND OF AMERICA-A | 0.00                 | 13.66               | 0.00               | 13.66             | 75.0 | 10.25                |
|  | ACCOUNT #: 00083221144         | BUY 0 Units @0.0000        |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-1701 - NOFFER, THOMAS   | THE BOND FUND OF AMERICA-A | 0.00                 | 0.63                | 0.00               | 0.63              | 75.0 | 0.47                 |
|  | ACCOUNT #: 00083444381         | BUY 0 Units @0.0000        |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-3123 - BALIO, SHAWN     | THE BOND FUND OF AMERICA-A | 0.00                 | 1.02                | 0.00               | 1.02              | 75.0 | 0.77                 |
|  | ACCOUNT #: 00083684779         | BUY 0 Units @0.0000        |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-7079 - VERENTI, DEANA   | THE BOND FUND OF AMERICA-A | 0.00                 | 1.57                | 0.00               | 1.57              | 75.0 | 1.18                 |
|  | ACCOUNT #: 00083685230         | BUY 0 Units @0.0000        |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-2713 - KAPRAL, RICHARD  | THE BOND FUND OF AMERICA-A | 0.00                 | 2.41                | 0.00               | 2.41              | 75.0 | 1.81                 |
|  | ACCOUNT #: 00083705143         | BUY 0 Units @0.0000        |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-0521 - CRUMRINE, MONICA | THE BOND FUND OF AMERICA-A | 0.00                 | 1.39                | 0.00               | 1.39              | 75.0 | 1.04                 |
|  | ACCOUNT #: 00084226912         | BUY 0 Units @0.0000        |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-162J - BORIS, STANLEY   | THE BOND FUND OF AMERICA-A | 0.00                 | 19.54               | 0.00               | 19.54             | 75.0 | 14.66                |
|  | ACCOUNT #: 00084254479         | BUY 0 Units @0.0000        |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-4301 - GUARNIERI,       | THE BOND FUND OF AMERICA-A | 0.00                 | 36.97               | 0.00               | 36.97             | 75.0 | 27.73                |
|  | ACCOUNT #: 00085628463         | BUY 0 Units @0.0000        |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-7287 - VINCI, DAVID     | THE BOND FUND OF AMERICA-A | 0.00                 | 3.52                | 0.00               | 3.52              | 75.0 | 2.64                 |
|  | ACCOUNT #: 00085629076         | BUY 0 Units @0.0000        |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-3474 - LORRAINE, DEBRA  | THE BOND FUND OF AMERICA-A | 0.00                 | 1.72                | 0.00               | 1.72              | 75.0 | 1.29                 |
|  | ACCOUNT #: 00085801437         | BUY 0 Units @0.0000        |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-7706 - DECARR,          | THE BOND FUND OF AMERICA-A | 0.00                 | 9.06                | 0.00               | 9.06              | 75.0 | 6.80                 |
|  | ACCOUNT #: 00086438656         | BUY 0 Units @0.0000        |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-7478 - FEMIA, NATE      | THE BOND FUND OF AMERICA-A | 0.00                 | 1.34                | 0.00               | 1.34              | 75.0 | 1.01                 |
|  | ACCOUNT #: 00087227295         | BUY 0 Units @0.0000        |                      |                     |                    |                   |      |                      |



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| DATE   | CLIENT  | INVESTMENT  | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|--|---|---|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b>BROKER TRANSACTIONS (continued)</b>                       |   |   |                      |                     |                    |                   |      |                      |
| <b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</b> |   |   |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-3771 - KENNELTY, SEAN<br>ACCOUNT #: 00087352911  | THE BOND FUND OF AMERICA-A<br>BUY 0 Units @0.0000 | 0.00                 | 1.48                | 0.00               | 1.48              | 75.0 | 1.11                 |
| 03/01/2018   | ***-**-9398 - BRENNAN, ROBIN<br>ACCOUNT #: 00087403470  | THE BOND FUND OF AMERICA-A<br>BUY 0 Units @0.0000 | 0.00                 | 3.84                | 0.00               | 3.84              | 75.0 | 2.88                 |
| 03/01/2018   | ***-**-8670 - EDWARDS, SUSAN<br>ACCOUNT #: 00088252231  | THE BOND FUND OF AMERICA-A<br>BUY 0 Units @0.0000 | 0.00                 | 15.85               | 0.00               | 15.85             | 75.0 | 11.89                |
| 03/01/2018   | ***-**-2771 - CESARE, CYNTHIA<br>ACCOUNT #: 00088331327 | THE BOND FUND OF AMERICA-A<br>BUY 0 Units @0.0000 | 0.00                 | 2.78                | 0.00               | 2.78              | 75.0 | 2.09                 |
| 03/01/2018   | ***-**-3771 - KENNELTY, SEAN<br>ACCOUNT #: 00088439056  | THE BOND FUND OF AMERICA-A<br>BUY 0 Units @0.0000 | 0.00                 | 11.78               | 0.00               | 11.78             | 75.0 | 8.84                 |
| 03/01/2018   | ***-**-5943 - CORR, KATHLEEN<br>ACCOUNT #: 00089491976  | THE BOND FUND OF AMERICA-A<br>BUY 0 Units @0.0000 | 0.00                 | 4.49                | 0.00               | 4.49              | 75.0 | 3.37                 |
| 03/01/2018   | ***-**-3618 - BROWN, KURT<br>ACCOUNT #: 00075560827     | THE BOND FUND OF AMERICA-C<br>BUY 0 Units @0.0000 | 0.00                 | 17.63               | 0.00               | 17.63             | 75.0 | 13.22                |
| 03/01/2018   | ***-**-2354 - PENDOLF, NANCY<br>ACCOUNT #: 00083468545  | THE BOND FUND OF AMERICA-C<br>BUY 0 Units @0.0000 | 0.00                 | 0.02                | 0.00               | 0.02              | 75.0 | 0.02                 |
| 03/01/2018   | ***-**-2542 - OGIYEVICH,<br>ACCOUNT #: 00083468551      | THE BOND FUND OF AMERICA-C<br>BUY 0 Units @0.0000 | 0.00                 | 16.94               | 0.00               | 16.94             | 75.0 | 12.71                |
| 03/01/2018   | ***-**-3569 - YOZZO, ROSA<br>ACCOUNT #: 00083468583     | THE BOND FUND OF AMERICA-C<br>BUY 0 Units @0.0000 | 0.00                 | 31.81               | 0.00               | 31.81             | 75.0 | 23.86                |
| 03/01/2018   | ***-**-7894 - BENSON, HEIDI<br>ACCOUNT #: 00084750362   | THE BOND FUND OF AMERICA-C<br>BUY 0 Units @0.0000 | 0.00                 | 37.98               | 0.00               | 37.98             | 75.0 | 28.49                |
| 03/01/2018   | ***-**-0532 - GUARDI, MAX<br>ACCOUNT #: 00085418120     | THE BOND FUND OF AMERICA-C<br>BUY 0 Units @0.0000 | 0.00                 | 2.45                | 0.00               | 2.45              | 75.0 | 1.84                 |
| 03/01/2018   | ***-**-6130 - SCHOEN, THOMAS<br>ACCOUNT #: 00086062285  | THE BOND FUND OF AMERICA-C<br>BUY 0 Units @0.0000 | 0.00                 | 5.92                | 0.00               | 5.92              | 75.0 | 4.44                 |
| 03/01/2018   | ***-**-2221 - SKARADEK,<br>ACCOUNT #: 00086835048       | THE BOND FUND OF AMERICA-C<br>BUY 0 Units @0.0000 | 0.00                 | 27.67               | 0.00               | 27.67             | 75.0 | 20.75                |
| 03/01/2018   | ***-**-7778 - SKARADEK, ERIN<br>ACCOUNT #: 00086837544  | THE BOND FUND OF AMERICA-C<br>BUY 0 Units @0.0000 | 0.00                 | 29.98               | 0.00               | 29.98             | 75.0 | 22.49                |
| 03/01/2018   | ***-**-1475 - PIERCE, RICHARD<br>ACCOUNT #: 00087763816 | THE BOND FUND OF AMERICA-C<br>BUY 0 Units @0.0000 | 0.00                 | 15.04               | 0.00               | 15.04             | 75.0 | 11.28                |



# COMMISSION STATEMENT

March 12, 2018

JEFFREY HANRETTY  
8365 Seneca Turnpike  
New Hartford, NY 13413

BROKER #: B08  
BRANCH #01001 - LifeMark Home Office

| DATE   | CLIENT  | INVESTMENT   | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|--|---|--|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b>BROKER TRANSACTIONS (continued)</b>                       |   |  |                      |                     |                    |                   |      |                      |
| <b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</b> |   |  |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-6187 - PIERCE,<br>ACCOUNT #: 00087763847         | THE BOND FUND OF AMERICA-C<br>BUY 0 Units @0.0000      | 0.00                 | 28.03               | 0.00               | 28.03             | 75.0 | 21.02                |
| 03/01/2018   | ***-**-3664 - DOMION, DAWN<br>ACCOUNT #: 00088289886    | THE BOND FUND OF AMERICA-C<br>BUY 0 Units @0.0000      | 0.00                 | 3.66                | 0.00               | 3.66              | 75.0 | 2.75                 |
| 03/01/2018   | ***-**-1445 - CRUMB, DIANE<br>ACCOUNT #: 00088371577    | THE BOND FUND OF AMERICA-C<br>BUY 0 Units @0.0000      | 0.00                 | 10.75               | 0.00               | 10.75             | 75.0 | 8.06                 |
| 03/01/2018   | ***-**-3618 - BROWN, KURT<br>ACCOUNT #: 00075560827     | THE BOND FUND OF AMERICA-F1<br>BUY 0 Units @0.0000     | 0.00                 | 2.53                | 0.00               | 2.53              | 75.0 | 1.90                 |
| 03/01/2018   | ***-**-6663 - ZOGBY, KAMIL<br>ACCOUNT #: 00081998971    | THE BOND FUND OF AMERICA-F1<br>BUY 0 Units @0.0000     | 0.00                 | 0.29                | 0.00               | 0.29              | 75.0 | 0.22                 |
| 03/01/2018   | ***-**-1445 - CRUMB, DIANE<br>ACCOUNT #: 00088371577    | THE BOND FUND OF AMERICA-F1<br>BUY 0 Units @0.0000     | 0.00                 | 4.73                | 0.00               | 4.73              | 75.0 | 3.55                 |
| 03/01/2018   | ***-**-7266 - ZUMPANO, ANDREA<br>ACCOUNT #: 00081727500 | THE GROWTH FUND OF AMERICA-529A<br>BUY 0 Units @0.0000 | 0.00                 | 3.62                | 0.00               | 3.62              | 75.0 | 2.72                 |
| 03/01/2018   | ***-**-7671 - REILLY, RICHARD<br>ACCOUNT #: 00063488673 | THE GROWTH FUND OF AMERICA-A<br>BUY 0 Units @0.0000    | 0.00                 | 12.64               | 0.00               | 12.64             | 75.0 | 9.48                 |
| 03/01/2018   | ***-**-8307 - REILLY, KATHY<br>ACCOUNT #: 00063488674   | THE GROWTH FUND OF AMERICA-A<br>BUY 0 Units @0.0000    | 0.00                 | 8.57                | 0.00               | 8.57              | 75.0 | 6.43                 |
| 03/01/2018   | ***-**-2349 - KULPA, KEITH<br>ACCOUNT #: 00068275136    | THE GROWTH FUND OF AMERICA-A<br>BUY 0 Units @0.0000    | 0.00                 | 8.52                | 0.00               | 8.52              | 75.0 | 6.39                 |
| 03/01/2018   | ***-**-6663 - ZOGBY, KAMIL<br>ACCOUNT #: 00068396826    | THE GROWTH FUND OF AMERICA-A<br>BUY 0 Units @0.0000    | 0.00                 | 2.51                | 0.00               | 2.51              | 75.0 | 1.88                 |
| 03/01/2018   | ***-**-3335 - YEH, WHI<br>ACCOUNT #: 00068616678        | THE GROWTH FUND OF AMERICA-A<br>BUY 0 Units @0.0000    | 0.00                 | 7.85                | 0.00               | 7.85              | 75.0 | 5.89                 |
| 03/01/2018   | ***-**-5919 - YEH, CHANG<br>ACCOUNT #: 00068616715      | THE GROWTH FUND OF AMERICA-A<br>BUY 0 Units @0.0000    | 0.00                 | 17.26               | 0.00               | 17.26             | 75.0 | 12.95                |
| 03/01/2018   | ***-**-633J - CHRISTIANO,<br>ACCOUNT #: 00068639252     | THE GROWTH FUND OF AMERICA-A<br>BUY 0 Units @0.0000    | 0.00                 | 13.17               | 0.00               | 13.17             | 75.0 | 9.88                 |
| 03/01/2018   | ***-**-9311 - YOZZO, JOSEPH<br>ACCOUNT #: 00068838818   | THE GROWTH FUND OF AMERICA-A<br>BUY 0 Units @0.0000    | 0.00                 | 32.72               | 0.00               | 32.72             | 75.0 | 24.54                |
| 03/01/2018   | ***-**-6893 - CONDON, TRACY<br>ACCOUNT #: 00069059968   | THE GROWTH FUND OF AMERICA-A<br>BUY 0 Units @0.0000    | 0.00                 | 1.23                | 0.00               | 1.23              | 75.0 | 0.92                 |



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| DATE   | CLIENT                        | INVESTMENT                   | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|--|-------------------------------|------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b>BROKER TRANSACTIONS (continued)</b>                       |                               |                              |                      |                     |                    |                   |      |                      |
| <b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</b> |                               |                              |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-2078 - BLAZEK, DENNIS  | THE GROWTH FUND OF AMERICA-A | 0.00                 | 11.27               | 0.00               | 11.27             | 75.0 | 8.45                 |
|  | ACCOUNT #: 00069255315        | BUY 0 Units @0.0000          |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-9099 - AUSTIN, RONDA   | THE GROWTH FUND OF AMERICA-A | 0.00                 | 3.26                | 0.00               | 3.26              | 75.0 | 2.45                 |
|  | ACCOUNT #: 00073043547        | BUY 0 Units @0.0000          |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-7345 - NOLE, KAREN     | THE GROWTH FUND OF AMERICA-A | 0.00                 | 3.76                | 0.00               | 3.76              | 75.0 | 2.82                 |
|  | ACCOUNT #: 00073063006        | BUY 0 Units @0.0000          |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-7851 - SMITH, BRIAN    | THE GROWTH FUND OF AMERICA-A | 0.00                 | 0.67                | 0.00               | 0.67              | 75.0 | 0.50                 |
|  | ACCOUNT #: 00073261410        | BUY 0 Units @0.0000          |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-3538 - CARROLL, LESLIE | THE GROWTH FUND OF AMERICA-A | 0.00                 | 15.15               | 0.00               | 15.15             | 75.0 | 11.36                |
|  | ACCOUNT #: 00073366696        | BUY 0 Units @0.0000          |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-381I - ZARNOCK, MARTIN | THE GROWTH FUND OF AMERICA-A | 0.00                 | 14.40               | 0.00               | 14.40             | 75.0 | 10.80                |
|  | ACCOUNT #: 00073744335        | BUY 0 Units @0.0000          |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-9027 - NELSON,         | THE GROWTH FUND OF AMERICA-A | 0.00                 | 13.04               | 0.00               | 13.04             | 75.0 | 9.78                 |
|  | ACCOUNT #: 00073744742        | BUY 0 Units @0.0000          |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-6906 - ROMANO, PAUL    | THE GROWTH FUND OF AMERICA-A | 0.00                 | 5.12                | 0.00               | 5.12              | 75.0 | 3.84                 |
|  | ACCOUNT #: 00073848770        | BUY 0 Units @0.0000          |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-9871 - LACOVISSI,      | THE GROWTH FUND OF AMERICA-A | 0.00                 | 5.38                | 0.00               | 5.38              | 75.0 | 4.04                 |
|  | ACCOUNT #: 00075995210        | BUY 0 Units @0.0000          |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-8166 - SUYDAM, JERRY   | THE GROWTH FUND OF AMERICA-A | 0.00                 | 97.13               | 0.00               | 97.13             | 75.0 | 72.85                |
|  | ACCOUNT #: 00081494036        | BUY 0 Units @0.0000          |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-4459 - CRAFT, ROSEANNE | THE GROWTH FUND OF AMERICA-A | 0.00                 | 2.29                | 0.00               | 2.29              | 75.0 | 1.72                 |
|  | ACCOUNT #: 00081619958        | BUY 0 Units @0.0000          |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-2451 - DECARR, EDWARD  | THE GROWTH FUND OF AMERICA-A | 0.00                 | 5.39                | 0.00               | 5.39              | 75.0 | 4.04                 |
|  | ACCOUNT #: 00081650302        | BUY 0 Units @0.0000          |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-3503 - SPINELLA,       | THE GROWTH FUND OF AMERICA-A | 0.00                 | 15.24               | 0.00               | 15.24             | 75.0 | 11.43                |
|  | ACCOUNT #: 00081866339        | BUY 0 Units @0.0000          |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-3560 - MCEVOY, MICHAEL | THE GROWTH FUND OF AMERICA-A | 0.00                 | 1.71                | 0.00               | 1.71              | 75.0 | 1.28                 |
|  | ACCOUNT #: 00081868334        | BUY 0 Units @0.0000          |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-7162 - BORIS, STANLEY  | THE GROWTH FUND OF AMERICA-A | 0.00                 | 15.05               | 0.00               | 15.05             | 75.0 | 11.29                |
|  | ACCOUNT #: 00081937036        | BUY 0 Units @0.0000          |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-995J - ADAMS, JOHN     | THE GROWTH FUND OF AMERICA-A | 0.00                 | 8.91                | 0.00               | 8.91              | 75.0 | 6.68                 |
|  | ACCOUNT #: 00082044078        | BUY 0 Units @0.0000          |                      |                     |                    |                   |      |                      |



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| DATE   | CLIENT   | INVESTMENT  | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|--|--|---|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b>BROKER TRANSACTIONS (continued)</b>                       |  |   |                      |                     |                    |                   |      |                      |
| <b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</b> |  |   |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-9137 - YOZZO, JOSEPH<br>ACCOUNT #: 00082276628    | THE GROWTH FUND OF AMERICA-A<br>BUY 0 Units @0.0000 | 0.00                 | 4.09                | 0.00               | 4.09              | 75.0 | 3.07                 |
| 03/01/2018   | ***-**-1973 - MCEVOY, KATHY<br>ACCOUNT #: 00082284150    | THE GROWTH FUND OF AMERICA-A<br>BUY 0 Units @0.0000 | 0.00                 | 1.21                | 0.00               | 1.21              | 75.0 | 0.91                 |
| 03/01/2018   | ***-**-3720 - MARCOCCIA,<br>ACCOUNT #: 00082308736       | THE GROWTH FUND OF AMERICA-A<br>BUY 0 Units @0.0000 | 0.00                 | 3.09                | 0.00               | 3.09              | 75.0 | 2.32                 |
| 03/01/2018   | ***-**-5513 - KUPIEC, RICHARD<br>ACCOUNT #: 00082449672  | THE GROWTH FUND OF AMERICA-A<br>BUY 0 Units @0.0000 | 0.00                 | 1.89                | 0.00               | 1.89              | 75.0 | 1.42                 |
| 03/01/2018   | ***-**-6354 - NICOTERA,<br>ACCOUNT #: 00082525497        | THE GROWTH FUND OF AMERICA-A<br>BUY 0 Units @0.0000 | 0.00                 | 2.32                | 0.00               | 2.32              | 75.0 | 1.74                 |
| 03/01/2018   | ***-**-8441 - SHAW, MARY<br>ACCOUNT #: 00082629278       | THE GROWTH FUND OF AMERICA-A<br>BUY 0 Units @0.0000 | 0.00                 | 4.60                | 0.00               | 4.60              | 75.0 | 3.45                 |
| 03/01/2018   | ***-**-4913 - ELSENBECK, DAVID<br>ACCOUNT #: 00082651124 | THE GROWTH FUND OF AMERICA-A<br>BUY 0 Units @0.0000 | 0.00                 | 1.82                | 0.00               | 1.82              | 75.0 | 1.37                 |
| 03/01/2018   | ***-**-7576 - MATTHEWS,<br>ACCOUNT #: 00082716712        | THE GROWTH FUND OF AMERICA-A<br>BUY 0 Units @0.0000 | 0.00                 | 6.27                | 0.00               | 6.27              | 75.0 | 4.70                 |
| 03/01/2018   | ***-**-841N - ROBINSON, CHERYL<br>ACCOUNT #: 00082727886 | THE GROWTH FUND OF AMERICA-A<br>BUY 0 Units @0.0000 | 0.00                 | 6.80                | 0.00               | 6.80              | 75.0 | 5.10                 |
| 03/01/2018   | ***-**-1595 - FERRONE, PAUL<br>ACCOUNT #: 00082857686    | THE GROWTH FUND OF AMERICA-A<br>BUY 0 Units @0.0000 | 0.00                 | 2.33                | 0.00               | 2.33              | 75.0 | 1.75                 |
| 03/01/2018   | ***-**-3164 - SKARADEK, KAREN<br>ACCOUNT #: 00083221144  | THE GROWTH FUND OF AMERICA-A<br>BUY 0 Units @0.0000 | 0.00                 | 7.54                | 0.00               | 7.54              | 75.0 | 5.66                 |
| 03/01/2018   | ***-**-1701 - NOFFER, THOMAS<br>ACCOUNT #: 00083444381   | THE GROWTH FUND OF AMERICA-A<br>BUY 0 Units @0.0000 | 0.00                 | 7.55                | 0.00               | 7.55              | 75.0 | 5.66                 |
| 03/01/2018   | ***-**-3123 - BALIO, SHAWN<br>ACCOUNT #: 00083684779     | THE GROWTH FUND OF AMERICA-A<br>BUY 0 Units @0.0000 | 0.00                 | 2.78                | 0.00               | 2.78              | 75.0 | 2.09                 |
| 03/01/2018   | ***-**-7079 - VERENTI, DEANA<br>ACCOUNT #: 00083685230   | THE GROWTH FUND OF AMERICA-A<br>BUY 0 Units @0.0000 | 0.00                 | 4.41                | 0.00               | 4.41              | 75.0 | 3.31                 |
| 03/01/2018   | ***-**-2713 - KAPRAL, RICHARD<br>ACCOUNT #: 00083705143  | THE GROWTH FUND OF AMERICA-A<br>BUY 0 Units @0.0000 | 0.00                 | 3.29                | 0.00               | 3.29              | 75.0 | 2.47                 |
| 03/01/2018   | ***-**-0949 - WEAVER, WILLIAM<br>ACCOUNT #: 00084071170  | THE GROWTH FUND OF AMERICA-A<br>BUY 0 Units @0.0000 | 0.00                 | 5.60                | 0.00               | 5.60              | 75.0 | 4.20                 |



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|--|--------------------------------|------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b>BROKER TRANSACTIONS (continued)</b>                       |                                |                              |                      |                     |                    |                   |      |                      |
| <b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</b> |                                |                              |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-0521 - CRUMRINE, MONICA | THE GROWTH FUND OF AMERICA-A | 0.00                 | 6.97                | 0.00               | 6.97              | 75.0 | 5.23                 |
|  | ACCOUNT #: 00084226912         | BUY 0 Units @0.0000          |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-4301 - GUARNIERI,       | THE GROWTH FUND OF AMERICA-A | 0.00                 | 20.89               | 0.00               | 20.89             | 75.0 | 15.67                |
|  | ACCOUNT #: 00085628463         | BUY 0 Units @0.0000          |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-7287 - VINCI, DAVID     | THE GROWTH FUND OF AMERICA-A | 0.00                 | 8.09                | 0.00               | 8.09              | 75.0 | 6.07                 |
|  | ACCOUNT #: 00085629076         | BUY 0 Units @0.0000          |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-3474 - LORRAINE, DEBRA  | THE GROWTH FUND OF AMERICA-A | 0.00                 | 1.01                | 0.00               | 1.01              | 75.0 | 0.76                 |
|  | ACCOUNT #: 00085801437         | BUY 0 Units @0.0000          |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-6060 - ROBINSON,        | THE GROWTH FUND OF AMERICA-A | 0.00                 | 5.07                | 0.00               | 5.07              | 75.0 | 3.80                 |
|  | ACCOUNT #: 00085852774         | BUY 0 Units @0.0000          |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-7706 - DECARR,          | THE GROWTH FUND OF AMERICA-A | 0.00                 | 6.67                | 0.00               | 6.67              | 75.0 | 5.00                 |
|  | ACCOUNT #: 00086438656         | BUY 0 Units @0.0000          |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-7478 - FEMIA, NATE      | THE GROWTH FUND OF AMERICA-A | 0.00                 | 4.60                | 0.00               | 4.60              | 75.0 | 3.45                 |
|  | ACCOUNT #: 00087227295         | BUY 0 Units @0.0000          |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-3771 - KENNELTY, SEAN   | THE GROWTH FUND OF AMERICA-A | 0.00                 | 2.20                | 0.00               | 2.20              | 75.0 | 1.65                 |
|  | ACCOUNT #: 00087352911         | BUY 0 Units @0.0000          |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-9398 - BRENNAN, ROBIN   | THE GROWTH FUND OF AMERICA-A | 0.00                 | 3.11                | 0.00               | 3.11              | 75.0 | 2.33                 |
|  | ACCOUNT #: 00087403470         | BUY 0 Units @0.0000          |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-8670 - EDWARDS, SUSAN   | THE GROWTH FUND OF AMERICA-A | 0.00                 | 4.64                | 0.00               | 4.64              | 75.0 | 3.48                 |
|  | ACCOUNT #: 00088252231         | BUY 0 Units @0.0000          |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-2771 - CESARE, CYNTHIA  | THE GROWTH FUND OF AMERICA-A | 0.00                 | 3.59                | 0.00               | 3.59              | 75.0 | 2.69                 |
|  | ACCOUNT #: 00088331327         | BUY 0 Units @0.0000          |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-3771 - KENNELTY, SEAN   | THE GROWTH FUND OF AMERICA-A | 0.00                 | 8.27                | 0.00               | 8.27              | 75.0 | 6.20                 |
|  | ACCOUNT #: 00088439056         | BUY 0 Units @0.0000          |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-7851 - SMITH, BRIAN     | THE GROWTH FUND OF AMERICA-C | 0.00                 | 1.53                | 0.00               | 1.53              | 75.0 | 1.15                 |
|  | ACCOUNT #: 00073261410         | BUY 0 Units @0.0000          |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-2354 - PENDOLF, NANCY   | THE GROWTH FUND OF AMERICA-C | 0.00                 | 0.73                | 0.00               | 0.73              | 75.0 | 0.55                 |
|  | ACCOUNT #: 00083468545         | BUY 0 Units @0.0000          |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-2542 - OGIYEVICH,       | THE GROWTH FUND OF AMERICA-C | 0.00                 | 30.23               | 0.00               | 30.23             | 75.0 | 22.67                |
|  | ACCOUNT #: 00083468551         | BUY 0 Units @0.0000          |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-3569 - YOZZO, ROSA      | THE GROWTH FUND OF AMERICA-C | 0.00                 | 58.45               | 0.00               | 58.45             | 75.0 | 43.84                |
|  | ACCOUNT #: 00083468583         | BUY 0 Units @0.0000          |                      |                     |                    |                   |      |                      |





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| DATE   | CLIENT  | INVESTMENT   | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|--|---|--|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b>BROKER TRANSACTIONS (continued)</b>                       |   |  |                      |                     |                    |                   |      |                      |
| <b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</b> |   |  |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-7894 - BENSON, HEIDI<br>ACCOUNT #: 00084750362   | THE GROWTH FUND OF AMERICA-C<br>BUY 0 Units @0.0000    | 0.00                 | 75.04               | 0.00               | 75.04             | 75.0 | 56.28                |
| 03/01/2018   | ***-**-0532 - GUARDI, MAX<br>ACCOUNT #: 00085418120     | THE GROWTH FUND OF AMERICA-C<br>BUY 0 Units @0.0000    | 0.00                 | 5.69                | 0.00               | 5.69              | 75.0 | 4.27                 |
| 03/01/2018   | ***-**-6130 - SCHOEN, THOMAS<br>ACCOUNT #: 00086062285  | THE GROWTH FUND OF AMERICA-C<br>BUY 0 Units @0.0000    | 0.00                 | 11.00               | 0.00               | 11.00             | 75.0 | 8.25                 |
| 03/01/2018   | ***-**-2221 - SKARADEK,<br>ACCOUNT #: 00086835048       | THE GROWTH FUND OF AMERICA-C<br>BUY 0 Units @0.0000    | 0.00                 | 13.49               | 0.00               | 13.49             | 75.0 | 10.12                |
| 03/01/2018   | ***-**-7778 - SKARADEK, ERIN<br>ACCOUNT #: 00086837544  | THE GROWTH FUND OF AMERICA-C<br>BUY 0 Units @0.0000    | 0.00                 | 25.30               | 0.00               | 25.30             | 75.0 | 18.98                |
| 03/01/2018   | ***-**-1475 - PIERCE, RICHARD<br>ACCOUNT #: 00087763816 | THE GROWTH FUND OF AMERICA-C<br>BUY 0 Units @0.0000    | 0.00                 | 20.49               | 0.00               | 20.49             | 75.0 | 15.37                |
| 03/01/2018   | ***-**-6187 - PIERCE,<br>ACCOUNT #: 00087763847         | THE GROWTH FUND OF AMERICA-C<br>BUY 0 Units @0.0000    | 0.00                 | 19.18               | 0.00               | 19.18             | 75.0 | 14.39                |
| 03/01/2018   | ***-**-3664 - DOMION, DAWN<br>ACCOUNT #: 00088289886    | THE GROWTH FUND OF AMERICA-C<br>BUY 0 Units @0.0000    | 0.00                 | 7.30                | 0.00               | 7.30              | 75.0 | 5.48                 |
| 03/01/2018   | ***-**-1445 - CRUMB, DIANE<br>ACCOUNT #: 00088371577    | THE GROWTH FUND OF AMERICA-C<br>BUY 0 Units @0.0000    | 0.00                 | 11.20               | 0.00               | 11.20             | 75.0 | 8.40                 |
| 03/01/2018   | ***-**-7266 - ZUMPANO, ANDREA<br>ACCOUNT #: 00081727500 | THE INCOME FUND OF AMERICA-529A<br>BUY 0 Units @0.0000 | 0.00                 | 2.89                | 0.00               | 2.89              | 75.0 | 2.17                 |
| 03/01/2018   | ***-**-2349 - KULPA, KEITH<br>ACCOUNT #: 00068275136    | THE INCOME FUND OF AMERICA-A<br>BUY 0 Units @0.0000    | 0.00                 | 1.23                | 0.00               | 1.23              | 75.0 | 0.92                 |
| 03/01/2018   | ***-**-33IN - CHRISTIANO,<br>ACCOUNT #: 00068289183     | THE INCOME FUND OF AMERICA-A<br>BUY 0 Units @0.0000    | 0.00                 | 1.47                | 0.00               | 1.47              | 75.0 | 1.10                 |
| 03/01/2018   | ***-**-5919 - YEH, CHANG<br>ACCOUNT #: 00068616715      | THE INCOME FUND OF AMERICA-A<br>BUY 0 Units @0.0000    | 0.00                 | 10.72               | 0.00               | 10.72             | 75.0 | 8.04                 |
| 03/01/2018   | ***-**-633J - CHRISTIANO,<br>ACCOUNT #: 00068639252     | THE INCOME FUND OF AMERICA-A<br>BUY 0 Units @0.0000    | 0.00                 | 28.80               | 0.00               | 28.80             | 75.0 | 21.60                |
| 03/01/2018   | ***-**-9311 - YOZZO, JOSEPH<br>ACCOUNT #: 00068838818   | THE INCOME FUND OF AMERICA-A<br>BUY 0 Units @0.0000    | 0.00                 | 8.37                | 0.00               | 8.37              | 75.0 | 6.28                 |
| 03/01/2018   | ***-**-6893 - CONDON, TRACY<br>ACCOUNT #: 00069059968   | THE INCOME FUND OF AMERICA-A<br>BUY 0 Units @0.0000    | 0.00                 | 0.91                | 0.00               | 0.91              | 75.0 | 0.68                 |



# COMMISSION STATEMENT

March 12, 2018

JEFFREY HANRETTY  
8365 Seneca Turnpike  
New Hartford, NY 13413

BROKER #: B08  
BRANCH #01001 - LifeMark Home Office

| DATE   | CLIENT                        | INVESTMENT                   | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|--|-------------------------------|------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b>BROKER TRANSACTIONS (continued)</b>                       |                               |                              |                      |                     |                    |                   |      |                      |
| <b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</b> |                               |                              |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-2078 - BLAZEK, DENNIS  | THE INCOME FUND OF AMERICA-A | 0.00                 | 5.68                | 0.00               | 5.68              | 75.0 | 4.26                 |
|  | ACCOUNT #: 00069255315        | BUY 0 Units @0.0000          |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-7345 - NOLE, KAREN     | THE INCOME FUND OF AMERICA-A | 0.00                 | 2.81                | 0.00               | 2.81              | 75.0 | 2.11                 |
|  | ACCOUNT #: 00073063006        | BUY 0 Units @0.0000          |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-3538 - CARROLL, LESLIE | THE INCOME FUND OF AMERICA-A | 0.00                 | 11.66               | 0.00               | 11.66             | 75.0 | 8.75                 |
|  | ACCOUNT #: 00073366696        | BUY 0 Units @0.0000          |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-381I - ZARNOCK, MARTIN | THE INCOME FUND OF AMERICA-A | 0.00                 | 11.36               | 0.00               | 11.36             | 75.0 | 8.52                 |
|  | ACCOUNT #: 00073744335        | BUY 0 Units @0.0000          |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-9027 - NELSON,         | THE INCOME FUND OF AMERICA-A | 0.00                 | 10.19               | 0.00               | 10.19             | 75.0 | 7.64                 |
|  | ACCOUNT #: 00073744742        | BUY 0 Units @0.0000          |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-6906 - ROMANO, PAUL    | THE INCOME FUND OF AMERICA-A | 0.00                 | 4.79                | 0.00               | 4.79              | 75.0 | 3.59                 |
|  | ACCOUNT #: 00073848770        | BUY 0 Units @0.0000          |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-9871 - LACOVISSI,      | THE INCOME FUND OF AMERICA-A | 0.00                 | 2.14                | 0.00               | 2.14              | 75.0 | 1.61                 |
|  | ACCOUNT #: 00075995210        | BUY 0 Units @0.0000          |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-1489 - MARR, RICHARD   | THE INCOME FUND OF AMERICA-A | 0.00                 | 2.60                | 0.00               | 2.60              | 75.0 | 1.95                 |
|  | ACCOUNT #: 00081380894        | BUY 0 Units @0.0000          |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-8166 - SUYDAM, JERRY   | THE INCOME FUND OF AMERICA-A | 0.00                 | 28.65               | 0.00               | 28.65             | 75.0 | 21.49                |
|  | ACCOUNT #: 00081494036        | BUY 0 Units @0.0000          |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-4459 - CRAFT, ROSEANNE | THE INCOME FUND OF AMERICA-A | 0.00                 | 2.34                | 0.00               | 2.34              | 75.0 | 1.76                 |
|  | ACCOUNT #: 00081619958        | BUY 0 Units @0.0000          |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-2451 - DECARR, EDWARD  | THE INCOME FUND OF AMERICA-A | 0.00                 | 12.79               | 0.00               | 12.79             | 75.0 | 9.59                 |
|  | ACCOUNT #: 00081650302        | BUY 0 Units @0.0000          |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-7162 - BORIS, STANLEY  | THE INCOME FUND OF AMERICA-A | 0.00                 | 2.34                | 0.00               | 2.34              | 75.0 | 1.76                 |
|  | ACCOUNT #: 00081937036        | BUY 0 Units @0.0000          |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-995J - ADAMS, JOHN     | THE INCOME FUND OF AMERICA-A | 0.00                 | 9.65                | 0.00               | 9.65              | 75.0 | 7.24                 |
|  | ACCOUNT #: 00082044078        | BUY 0 Units @0.0000          |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-3720 - MARCOCCIA,      | THE INCOME FUND OF AMERICA-A | 0.00                 | 2.09                | 0.00               | 2.09              | 75.0 | 1.57                 |
|  | ACCOUNT #: 00082308736        | BUY 0 Units @0.0000          |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-5513 - KUPIEC, RICHARD | THE INCOME FUND OF AMERICA-A | 0.00                 | 1.05                | 0.00               | 1.05              | 75.0 | 0.79                 |
|  | ACCOUNT #: 00082449672        | BUY 0 Units @0.0000          |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-6354 - NICOTERA,       | THE INCOME FUND OF AMERICA-A | 0.00                 | 0.52                | 0.00               | 0.52              | 75.0 | 0.39                 |
|  | ACCOUNT #: 00082525497        | BUY 0 Units @0.0000          |                      |                     |                    |                   |      |                      |



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| DATE   | CLIENT  | INVESTMENT   | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|--|---|--|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b>BROKER TRANSACTIONS (continued)</b>                       |   |  |                      |                     |                    |                   |      |                      |
| <b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</b> |   |  |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-8441 - SHAW, MARY<br>ACCOUNT #: 00082629278      | THE INCOME FUND OF AMERICA-A<br>BUY 0 Units @0.0000        | 0.00                 | 2.58                | 0.00               | 2.58              | 75.0 | 1.94                 |
| 03/01/2018   | ***-**-7576 - MATTHEWS,<br>ACCOUNT #: 00082716712       | THE INCOME FUND OF AMERICA-A<br>BUY 0 Units @0.0000        | 0.00                 | 5.81                | 0.00               | 5.81              | 75.0 | 4.36                 |
| 03/01/2018   | ***-**-3164 - SKARADEK, KAREN<br>ACCOUNT #: 00083221144 | THE INCOME FUND OF AMERICA-A<br>BUY 0 Units @0.0000        | 0.00                 | 11.30               | 0.00               | 11.30             | 75.0 | 8.48                 |
| 03/01/2018   | ***-**-0949 - WEAVER, WILLIAM<br>ACCOUNT #: 00084071170 | THE INCOME FUND OF AMERICA-A<br>BUY 0 Units @0.0000        | 0.00                 | 0.71                | 0.00               | 0.71              | 75.0 | 0.53                 |
| 03/01/2018   | ***-**-162J - BORIS, STANLEY<br>ACCOUNT #: 00084254479  | THE INCOME FUND OF AMERICA-A<br>BUY 0 Units @0.0000        | 0.00                 | 31.61               | 0.00               | 31.61             | 75.0 | 23.71                |
| 03/01/2018   | ***-**-4301 - GUARNIERI,<br>ACCOUNT #: 00085628463      | THE INCOME FUND OF AMERICA-A<br>BUY 0 Units @0.0000        | 0.00                 | 16.73               | 0.00               | 16.73             | 75.0 | 12.55                |
| 03/01/2018   | ***-**-3474 - LORRAINE, DEBRA<br>ACCOUNT #: 00085801437 | THE INCOME FUND OF AMERICA-A<br>BUY 0 Units @0.0000        | 0.00                 | 1.96                | 0.00               | 1.96              | 75.0 | 1.47                 |
| 03/01/2018   | ***-**-7706 - DECARR,<br>ACCOUNT #: 00086438656         | THE INCOME FUND OF AMERICA-A<br>BUY 0 Units @0.0000        | 0.00                 | 9.92                | 0.00               | 9.92              | 75.0 | 7.44                 |
| 03/01/2018   | ***-**-8670 - EDWARDS, SUSAN<br>ACCOUNT #: 00088252231  | THE INCOME FUND OF AMERICA-A<br>BUY 0 Units @0.0000        | 0.00                 | 11.43               | 0.00               | 11.43             | 75.0 | 8.57                 |
| 03/01/2018   | ***-**-3771 - KENNELTY, SEAN<br>ACCOUNT #: 00088439056  | THE INCOME FUND OF AMERICA-A<br>BUY 0 Units @0.0000        | 0.00                 | 12.01               | 0.00               | 12.01             | 75.0 | 9.01                 |
| 03/01/2018   | ***-**-0585 - HOLLENBECK,<br>ACCOUNT #: 00088454124     | THE INCOME FUND OF AMERICA-A<br>BUY 0 Units @0.0000        | 0.00                 | 0.44                | 0.00               | 0.44              | 75.0 | 0.33                 |
| 03/01/2018   | ***-**-5943 - CORR, KATHLEEN<br>ACCOUNT #: 00089491976  | THE INCOME FUND OF AMERICA-A<br>BUY 0 Units @0.0000        | 0.00                 | 1.51                | 0.00               | 1.51              | 75.0 | 1.13                 |
| 03/01/2018   | ***-**-3618 - BROWN, KURT<br>ACCOUNT #: 00075560827     | THE INCOME FUND OF AMERICA-F1<br>BUY 0 Units @0.0000       | 0.00                 | 1.50                | 0.00               | 1.50              | 75.0 | 1.13                 |
| 03/01/2018   | ***-**-1445 - CRUMB, DIANE<br>ACCOUNT #: 00088371577    | THE INCOME FUND OF AMERICA-F1<br>BUY 0 Units @0.0000       | 0.00                 | 3.07                | 0.00               | 3.07              | 75.0 | 2.30                 |
| 03/01/2018   | ***-**-3335 - YEH, WHI<br>ACCOUNT #: 00068616678        | THE INVESTMENT COMPANY OF AMERICA-A<br>BUY 0 Units @0.0000 | 0.00                 | 10.22               | 0.00               | 10.22             | 75.0 | 7.67                 |
| 03/01/2018   | ***-**-633J - CHRISTIANO,<br>ACCOUNT #: 00068639252     | THE INVESTMENT COMPANY OF AMERICA-A<br>BUY 0 Units @0.0000 | 0.00                 | 31.04               | 0.00               | 31.04             | 75.0 | 23.28                |



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| DATE   | CLIENT  | INVESTMENT   | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|--|---|--|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b>BROKER TRANSACTIONS (continued)</b>                       |   |  |                      |                     |                    |                   |      |                      |
| <b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</b> |   |  |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-9311 - YOZZO, JOSEPH<br>ACCOUNT #: 00068838818   | THE INVESTMENT COMPANY OF AMERICA-A<br>BUY 0 Units @0.0000 | 0.00                 | 12.30               | 0.00               | 12.30             | 75.0 | 9.23                 |
| 03/01/2018   | ***-**-6893 - CONDON, TRACY<br>ACCOUNT #: 00069059968   | THE INVESTMENT COMPANY OF AMERICA-A<br>BUY 0 Units @0.0000 | 0.00                 | 0.82                | 0.00               | 0.82              | 75.0 | 0.62                 |
| 03/01/2018   | ***-**-2078 - BLAZEK, DENNIS<br>ACCOUNT #: 00069255315  | THE INVESTMENT COMPANY OF AMERICA-A<br>BUY 0 Units @0.0000 | 0.00                 | 7.85                | 0.00               | 7.85              | 75.0 | 5.89                 |
| 03/01/2018   | ***-**-9099 - AUSTIN, RONDA<br>ACCOUNT #: 00073043547   | THE INVESTMENT COMPANY OF AMERICA-A<br>BUY 0 Units @0.0000 | 0.00                 | 3.52                | 0.00               | 3.52              | 75.0 | 2.64                 |
| 03/01/2018   | ***-**-7345 - NOLE, KAREN<br>ACCOUNT #: 00073063006     | THE INVESTMENT COMPANY OF AMERICA-A<br>BUY 0 Units @0.0000 | 0.00                 | 3.01                | 0.00               | 3.01              | 75.0 | 2.26                 |
| 03/01/2018   | ***-**-3538 - CARROLL, LESLIE<br>ACCOUNT #: 00073366696 | THE INVESTMENT COMPANY OF AMERICA-A<br>BUY 0 Units @0.0000 | 0.00                 | 12.97               | 0.00               | 12.97             | 75.0 | 9.73                 |
| 03/01/2018   | ***-**-6906 - ROMANO, PAUL<br>ACCOUNT #: 00073848770    | THE INVESTMENT COMPANY OF AMERICA-A<br>BUY 0 Units @0.0000 | 0.00                 | 5.21                | 0.00               | 5.21              | 75.0 | 3.91                 |
| 03/01/2018   | ***-**-8166 - SUYDAM, JERRY<br>ACCOUNT #: 00081494036   | THE INVESTMENT COMPANY OF AMERICA-A<br>BUY 0 Units @0.0000 | 0.00                 | 41.69               | 0.00               | 41.69             | 75.0 | 31.27                |
| 03/01/2018   | ***-**-4459 - CRAFT, ROSEANNE<br>ACCOUNT #: 00081619958 | THE INVESTMENT COMPANY OF AMERICA-A<br>BUY 0 Units @0.0000 | 0.00                 | 1.21                | 0.00               | 1.21              | 75.0 | 0.91                 |
| 03/01/2018   | ***-**-2451 - DECARR, EDWARD<br>ACCOUNT #: 00081650302  | THE INVESTMENT COMPANY OF AMERICA-A<br>BUY 0 Units @0.0000 | 0.00                 | 6.83                | 0.00               | 6.83              | 75.0 | 5.12                 |
| 03/01/2018   | ***-**-3503 - SPINELLA,<br>ACCOUNT #: 00081866339       | THE INVESTMENT COMPANY OF AMERICA-A<br>BUY 0 Units @0.0000 | 0.00                 | 12.72               | 0.00               | 12.72             | 75.0 | 9.54                 |
| 03/01/2018   | ***-**-7162 - BORIS, STANLEY<br>ACCOUNT #: 00081937036  | THE INVESTMENT COMPANY OF AMERICA-A<br>BUY 0 Units @0.0000 | 0.00                 | 2.15                | 0.00               | 2.15              | 75.0 | 1.61                 |
| 03/01/2018   | ***-**-995J - ADAMS, JOHN<br>ACCOUNT #: 00082044078     | THE INVESTMENT COMPANY OF AMERICA-A<br>BUY 0 Units @0.0000 | 0.00                 | 6.64                | 0.00               | 6.64              | 75.0 | 4.98                 |
| 03/01/2018   | ***-**-3720 - MARCOCCIA,<br>ACCOUNT #: 00082308736      | THE INVESTMENT COMPANY OF AMERICA-A<br>BUY 0 Units @0.0000 | 0.00                 | 1.70                | 0.00               | 1.70              | 75.0 | 1.28                 |
| 03/01/2018   | ***-**-6354 - NICOTERA,<br>ACCOUNT #: 00082525497       | THE INVESTMENT COMPANY OF AMERICA-A<br>BUY 0 Units @0.0000 | 0.00                 | 0.49                | 0.00               | 0.49              | 75.0 | 0.37                 |
| 03/01/2018   | ***-**-7576 - MATTHEWS,<br>ACCOUNT #: 00082716712       | THE INVESTMENT COMPANY OF AMERICA-A<br>BUY 0 Units @0.0000 | 0.00                 | 3.79                | 0.00               | 3.79              | 75.0 | 2.84                 |



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| DATE   | CLIENT                         | INVESTMENT                          | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|--|--------------------------------|-------------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b>BROKER TRANSACTIONS (continued)</b>                       |                                |                                     |                      |                     |                    |                   |      |                      |
| <b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</b> |                                |                                     |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-841N - ROBINSON, CHERYL | THE INVESTMENT COMPANY OF AMERICA-A | 0.00                 | 6.21                | 0.00               | 6.21              | 75.0 | 4.66                 |
|  | ACCOUNT #: 00082727886         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-0949 - WEAVER, WILLIAM  | THE INVESTMENT COMPANY OF AMERICA-A | 0.00                 | 3.66                | 0.00               | 3.66              | 75.0 | 2.75                 |
|  | ACCOUNT #: 00084071170         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-8670 - EDWARDS, SUSAN   | THE INVESTMENT COMPANY OF AMERICA-A | 0.00                 | 6.53                | 0.00               | 6.53              | 75.0 | 4.90                 |
|  | ACCOUNT #: 00088252231         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-3771 - KENNELTY, SEAN   | THE INVESTMENT COMPANY OF AMERICA-A | 0.00                 | 3.77                | 0.00               | 3.77              | 75.0 | 2.83                 |
|  | ACCOUNT #: 00088439056         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-0585 - HOLLENBECK,      | THE INVESTMENT COMPANY OF AMERICA-A | 0.00                 | 0.49                | 0.00               | 0.49              | 75.0 | 0.37                 |
|  | ACCOUNT #: 00088454124         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-1445 - CRUMB, DIANE     | THE INVESTMENT COMPANY OF AMERICA-F | 0.00                 | 7.90                | 0.00               | 7.90              | 75.0 | 5.93                 |
|  | ACCOUNT #: 00088371577         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-7671 - REILLY, RICHARD  | THE NEW ECONOMY FUND-A              | 0.00                 | 22.61               | 0.00               | 22.61             | 75.0 | 16.96                |
|  | ACCOUNT #: 00063488673         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-8307 - REILLY, KATHY    | THE NEW ECONOMY FUND-A              | 0.00                 | 20.74               | 0.00               | 20.74             | 75.0 | 15.56                |
|  | ACCOUNT #: 00063488674         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-2009 - CHRISTIANO,      | THE NEW ECONOMY FUND-A              | 0.00                 | 2.04                | 0.00               | 2.04              | 75.0 | 1.53                 |
|  | ACCOUNT #: 00068289182         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-331N - CHRISTIANO,      | THE NEW ECONOMY FUND-A              | 0.00                 | 1.76                | 0.00               | 1.76              | 75.0 | 1.32                 |
|  | ACCOUNT #: 00068289183         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-3335 - YEH, WHI         | THE NEW ECONOMY FUND-A              | 0.00                 | 10.88               | 0.00               | 10.88             | 75.0 | 8.16                 |
|  | ACCOUNT #: 00068616678         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-9311 - YOZZO, JOSEPH    | THE NEW ECONOMY FUND-A              | 0.00                 | 8.50                | 0.00               | 8.50              | 75.0 | 6.38                 |
|  | ACCOUNT #: 00068838818         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-7345 - NOLE, KAREN      | THE NEW ECONOMY FUND-A              | 0.00                 | 2.09                | 0.00               | 2.09              | 75.0 | 1.57                 |
|  | ACCOUNT #: 00073063006         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-7851 - SMITH, BRIAN     | THE NEW ECONOMY FUND-A              | 0.00                 | 0.55                | 0.00               | 0.55              | 75.0 | 0.41                 |
|  | ACCOUNT #: 00073261410         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-9871 - LACOVISSI,       | THE NEW ECONOMY FUND-A              | 0.00                 | 3.69                | 0.00               | 3.69              | 75.0 | 2.77                 |
|  | ACCOUNT #: 00075995210         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-9137 - YOZZO, JOSEPH    | THE NEW ECONOMY FUND-A              | 0.00                 | 4.07                | 0.00               | 4.07              | 75.0 | 3.05                 |
|  | ACCOUNT #: 00082276628         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |



# COMMISSION STATEMENT

March 12, 2018

JEFFREY HANRETTY  
8365 Seneca Turnpike  
New Hartford, NY 13413

BROKER #: B08  
BRANCH #01001 - LifeMark Home Office

| DATE   | CLIENT                         | INVESTMENT                          | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|--|--------------------------------|-------------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b>BROKER TRANSACTIONS (continued)</b>                       |                                |                                     |                      |                     |                    |                   |      |                      |
| <b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</b> |                                |                                     |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-84IN - ROBINSON, CHERYL | THE NEW ECONOMY FUND-A              | 0.00                 | 7.24                | 0.00               | 7.24              | 75.0 | 5.43                 |
|  | ACCOUNT #: 00082727886         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-3164 - SKARADEK, KAREN  | THE NEW ECONOMY FUND-A              | 0.00                 | 7.68                | 0.00               | 7.68              | 75.0 | 5.76                 |
|  | ACCOUNT #: 00083221144         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-0532 - GUARDI, MAX      | THE NEW ECONOMY FUND-A              | 0.00                 | 0.90                | 0.00               | 0.90              | 75.0 | 0.68                 |
|  | ACCOUNT #: 00085418120         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-7478 - FEMIA, NATE      | THE NEW ECONOMY FUND-A              | 0.00                 | 2.08                | 0.00               | 2.08              | 75.0 | 1.56                 |
|  | ACCOUNT #: 00087227295         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-3771 - KENNELTY, SEAN   | THE NEW ECONOMY FUND-A              | 0.00                 | 2.13                | 0.00               | 2.13              | 75.0 | 1.60                 |
|  | ACCOUNT #: 00087352911         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-2771 - CESARE, CYNTHIA  | THE NEW ECONOMY FUND-A              | 0.00                 | 3.66                | 0.00               | 3.66              | 75.0 | 2.75                 |
|  | ACCOUNT #: 00088331327         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-3771 - KENNELTY, SEAN   | THE NEW ECONOMY FUND-A              | 0.00                 | 5.25                | 0.00               | 5.25              | 75.0 | 3.94                 |
|  | ACCOUNT #: 00088439056         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-7851 - SMITH, BRIAN     | THE NEW ECONOMY FUND-C              | 0.00                 | 1.62                | 0.00               | 1.62              | 75.0 | 1.22                 |
|  | ACCOUNT #: 00073261410         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-3618 - BROWN, KURT      | U.S. GOVERNMENT SECURITIES FND-F1   | 0.00                 | 3.64                | 0.00               | 3.64              | 75.0 | 2.73                 |
|  | ACCOUNT #: 00075560827         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-7671 - REILLY, RICHARD  | U.S. GOVERNMENT SECURITIES FUND CLA | 0.00                 | 5.81                | 0.00               | 5.81              | 75.0 | 4.36                 |
|  | ACCOUNT #: 00063488673         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-8307 - REILLY, KATHY    | U.S. GOVERNMENT SECURITIES FUND CLA | 0.00                 | 9.49                | 0.00               | 9.49              | 75.0 | 7.12                 |
|  | ACCOUNT #: 00063488674         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-2009 - CHRISTIANO,      | U.S. GOVERNMENT SECURITIES FUND CLA | 0.00                 | 0.79                | 0.00               | 0.79              | 75.0 | 0.59                 |
|  | ACCOUNT #: 00068289182         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-33IN - CHRISTIANO,      | U.S. GOVERNMENT SECURITIES FUND CLA | 0.00                 | 1.55                | 0.00               | 1.55              | 75.0 | 1.16                 |
|  | ACCOUNT #: 00068289183         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-633J - CHRISTIANO,      | U.S. GOVERNMENT SECURITIES FUND CLA | 0.00                 | 9.09                | 0.00               | 9.09              | 75.0 | 6.82                 |
|  | ACCOUNT #: 00068639252         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-1489 - MARR, RICHARD    | U.S. GOVERNMENT SECURITIES FUND CLA | 0.00                 | 2.10                | 0.00               | 2.10              | 75.0 | 1.58                 |
|  | ACCOUNT #: 00081380894         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-4459 - CRAFT, ROSEANNE  | U.S. GOVERNMENT SECURITIES FUND CLA | 0.00                 | 1.42                | 0.00               | 1.42              | 75.0 | 1.07                 |
|  | ACCOUNT #: 00081619958         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |



# COMMISSION STATEMENT

March 12, 2018

JEFFREY HANRETTY  
8365 Seneca Turnpike  
New Hartford, NY 13413

BROKER #: B08  
BRANCH #01001 - LifeMark Home Office

| DATE   | CLIENT  | INVESTMENT   | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|--|---|--|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b>BROKER TRANSACTIONS (continued)</b>                       |   |  |                      |                     |                    |                   |      |                      |
| <b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</b> |   |  |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-2451 - DECARR, EDWARD<br>ACCOUNT #: 00081650302  | U.S. GOVERNMENT SECURITIES FUND CLA<br>BUY 0 Units @0.0000 | 0.00                 | 3.91                | 0.00               | 3.91              | 75.0 | 2.93                 |
| 03/01/2018   | ***-**-995J - ADAMS, JOHN<br>ACCOUNT #: 00082044078     | U.S. GOVERNMENT SECURITIES FUND CLA<br>BUY 0 Units @0.0000 | 0.00                 | 4.08                | 0.00               | 4.08              | 75.0 | 3.06                 |
| 03/01/2018   | ***-**-7576 - MATTHEWS,<br>ACCOUNT #: 00082716712       | U.S. GOVERNMENT SECURITIES FUND CLA<br>BUY 0 Units @0.0000 | 0.00                 | 0.44                | 0.00               | 0.44              | 75.0 | 0.33                 |
| 03/01/2018   | ***-**-3164 - SKARADEK, KAREN<br>ACCOUNT #: 00083221144 | U.S. GOVERNMENT SECURITIES FUND CLA<br>BUY 0 Units @0.0000 | 0.00                 | 13.73               | 0.00               | 13.73             | 75.0 | 10.30                |
| 03/01/2018   | ***-**-2713 - KAPRAL, RICHARD<br>ACCOUNT #: 00083705143 | U.S. GOVERNMENT SECURITIES FUND CLA<br>BUY 0 Units @0.0000 | 0.00                 | 1.95                | 0.00               | 1.95              | 75.0 | 1.46                 |
| 03/01/2018   | ***-**-4301 - GUARNIERI,<br>ACCOUNT #: 00085628463      | U.S. GOVERNMENT SECURITIES FUND CLA<br>BUY 0 Units @0.0000 | 0.00                 | 34.70               | 0.00               | 34.70             | 75.0 | 26.03                |
| 03/01/2018   | ***-**-9398 - BRENNAN, ROBIN<br>ACCOUNT #: 00087403470  | U.S. GOVERNMENT SECURITIES FUND CLA<br>BUY 0 Units @0.0000 | 0.00                 | 3.22                | 0.00               | 3.22              | 75.0 | 2.42                 |
| 03/01/2018   | ***-**-8670 - EDWARDS, SUSAN<br>ACCOUNT #: 00088252231  | U.S. GOVERNMENT SECURITIES FUND CLA<br>BUY 0 Units @0.0000 | 0.00                 | 17.05               | 0.00               | 17.05             | 75.0 | 12.79                |
| 03/01/2018   | ***-**-3771 - KENNELTY, SEAN<br>ACCOUNT #: 00088439056  | U.S. GOVERNMENT SECURITIES FUND CLA<br>BUY 0 Units @0.0000 | 0.00                 | 11.26               | 0.00               | 11.26             | 75.0 | 8.45                 |
| 03/01/2018   | ***-**-5943 - CORR, KATHLEEN<br>ACCOUNT #: 00089491976  | U.S. GOVERNMENT SECURITIES FUND CLA<br>BUY 0 Units @0.0000 | 0.00                 | 4.43                | 0.00               | 4.43              | 75.0 | 3.32                 |
| 03/01/2018   | ***-**-3618 - BROWN, KURT<br>ACCOUNT #: 00075560827     | U.S. GOVERNMENT SECURITIES FUND-C<br>BUY 0 Units @0.0000   | 0.00                 | 3.65                | 0.00               | 3.65              | 75.0 | 2.74                 |
| 03/01/2018   | ***-**-3569 - YOZZO, ROSA<br>ACCOUNT #: 00083468583     | U.S. GOVERNMENT SECURITIES FUND-C<br>BUY 0 Units @0.0000   | 0.00                 | 26.70               | 0.00               | 26.70             | 75.0 | 20.03                |
| 03/01/2018   | ***-**-6130 - SCHOEN, THOMAS<br>ACCOUNT #: 00086062285  | U.S. GOVERNMENT SECURITIES FUND-C<br>BUY 0 Units @0.0000   | 0.00                 | 4.77                | 0.00               | 4.77              | 75.0 | 3.58                 |
| 03/01/2018   | ***-**-2221 - SKARADEK,<br>ACCOUNT #: 00086835048       | U.S. GOVERNMENT SECURITIES FUND-C<br>BUY 0 Units @0.0000   | 0.00                 | 26.19               | 0.00               | 26.19             | 75.0 | 19.64                |
| 03/01/2018   | ***-**-7778 - SKARADEK, ERIN<br>ACCOUNT #: 00086837544  | U.S. GOVERNMENT SECURITIES FUND-C<br>BUY 0 Units @0.0000   | 0.00                 | 28.38               | 0.00               | 28.38             | 75.0 | 21.29                |
| 03/01/2018   | ***-**-6187 - PIERCE,<br>ACCOUNT #: 00087763847         | U.S. GOVERNMENT SECURITIES FUND-C<br>BUY 0 Units @0.0000   | 0.00                 | 13.64               | 0.00               | 13.64             | 75.0 | 10.23                |



# COMMISSION STATEMENT

March 12, 2018

JEFFREY HANRETTY  
8365 Seneca Turnpike  
New Hartford, NY 13413

BROKER #: B08  
BRANCH #01001 - LifeMark Home Office

| DATE  | CLIENT  | INVESTMENT  | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|---|---|---|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b><u>BROKER TRANSACTIONS (continued)</u></b>                       |   |   |                      |                     |                    |                   |      |                      |
| <b><u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</u></b> |   |   |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-3664 - DOMION, DAWN<br>ACCOUNT #: 00088289886    | U.S. GOVERNMENT SECURITIES FUND-C<br>BUY 0 Units @0.0000  | 0.00                 | 3.50                | 0.00               | 3.50              | 75.0 | 2.63                 |
| 03/01/2018  | ***-**-7671 - REILLY, RICHARD<br>ACCOUNT #: 00063488673 | WASHINGTON MUTUAL INVESTORS FUND-A<br>BUY 0 Units @0.0000 | 0.00                 | 16.03               | 0.00               | 16.03             | 75.0 | 12.02                |
| 03/01/2018  | ***-**-8307 - REILLY, KATHY<br>ACCOUNT #: 00063488674   | WASHINGTON MUTUAL INVESTORS FUND-A<br>BUY 0 Units @0.0000 | 0.00                 | 11.82               | 0.00               | 11.82             | 75.0 | 8.87                 |
| 03/01/2018  | ***-**-5919 - YEH, CHANG<br>ACCOUNT #: 00068616715      | WASHINGTON MUTUAL INVESTORS FUND-A<br>BUY 0 Units @0.0000 | 0.00                 | 11.18               | 0.00               | 11.18             | 75.0 | 8.39                 |
| 03/01/2018  | ***-**-9027 - NELSON,<br>ACCOUNT #: 00073744742         | WASHINGTON MUTUAL INVESTORS FUND-A<br>BUY 0 Units @0.0000 | 0.00                 | 11.96               | 0.00               | 11.96             | 75.0 | 8.97                 |
| 03/01/2018  | ***-**-7079 - VERENTI, DEANA<br>ACCOUNT #: 00083685230  | WASHINGTON MUTUAL INVESTORS FUND-A<br>BUY 0 Units @0.0000 | 0.00                 | 1.41                | 0.00               | 1.41              | 75.0 | 1.06                 |
| 03/01/2018  | ***-**-3771 - KENNELTY, SEAN<br>ACCOUNT #: 00088439056  | WASHINGTON MUTUAL INVESTORS FUND-A<br>BUY 0 Units @0.0000 | 0.00                 | 4.05                | 0.00               | 4.05              | 75.0 | 3.04                 |
| 03/01/2018  | ***-**-6187 - PIERCE,<br>ACCOUNT #: 00087763847         | WASHINGTON MUTUAL INVESTORS FUND-C<br>BUY 0 Units @0.0000 | 0.00                 | 18.13               | 0.00               | 18.13             | 75.0 | 13.60                |
| <b>* MUTUAL FUND 12B1 TRAILS SUBTOTAL *</b>                         |   |   | <b>\$0.00</b>        | <b>\$6,464.90</b>   | <b>\$0.00</b>      | <b>\$6,464.90</b> |      | <b>\$4,849.74</b>    |
| <b>*** BROKER TRANSACTIONS TOTAL ***</b>                            |   |   | <b>\$31,403.85</b>   | <b>\$8,021.15</b>   | <b>\$0.00</b>      | <b>\$8,021.15</b> |      | <b>\$6,017.00</b>    |





# COMMISSION STATEMENT

March 12, 2018

JEFFREY HANRETTY  
8365 Seneca Turnpike  
New Hartford, NY 13413

BROKER #: B08  
BRANCH #01001 - LifeMark Home Office

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

## BROKER COMMISSION TOTALS

|                       |            |
|-----------------------|------------|
| Broker Transactions   | \$6,017.00 |
| Split Transactions    | \$0.00     |
| Override Transactions | \$0.00     |
| Adjustments           | \$0.00     |
| Payroll Draw          | \$0.00     |
| Base Salary           | \$0.00     |
| Prior Period Balance  | \$0.00     |
| FINRA Assessment      | \$0.00     |
| SIPC Assessment       | \$0.00     |

Please Retain for Your Records  
THERE WILL BE NO PAYMENT THIS PERIOD

|                       |        |
|-----------------------|--------|
| Balance Forward       | \$0.00 |
| Year-to-date Earnings | \$0.00 |



BROKER #: A18      Terminated 12/06/2013  
BRANCH #01001 - LifeMark Home Office

| DATE   | CLIENT | INVESTMENT | INVESTMENT<br>AMOUNT            | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION     | RATE   | BROKER<br>COMMISSION |
|--|--------|------------|---------------------------------|---------------------|--------------------|-----------------------|--------|----------------------|
| <div>ADJUSTMENTS</div>   |        |            |                                 |                     |                    |                       |        |                      |
| /  | /      |            | PRIOR PERIOD BALANCE(SEE BELOW) | 0.00                | 0.00               | 0.00                  | 0.00   | 0.00                 |
|  |        |            | *** ADJUSTMENTS TOTAL ***       | \$0.00              | \$0.00             | \$0.00                | \$0.00 | \$0.00               |
| <div>BROKER COMMISSION TOTALS</div>                                    |        |            |                                 |                     |                    |                       |        |                      |
|  |        |            |                                 |                     |                    | Broker Transactions   |        | \$0.00               |
|  |        |            |                                 |                     |                    | Split Transactions    |        | \$0.00               |
|  |        |            |                                 |                     |                    | Override Transactions |        | \$0.00               |
|  |        |            |                                 |                     |                    | Adjustments           |        | \$0.00               |
|  |        |            |                                 |                     |                    | Payroll Draw          |        | \$0.00               |
|  |        |            |                                 |                     |                    | Base Salary           |        | \$0.00               |
|  |        |            |                                 |                     |                    | Prior Period Balance  |        | \$0.00               |
|  |        |            |                                 |                     |                    | FINRA Assessment      |        | \$0.00               |
|  |        |            |                                 |                     |                    | SIPC Assessment       |        | \$0.00               |
| Please Retain for Your Records<br>THERE WILL BE NO PAYMENT THIS PERIOD |        |            |                                 |                     |                    | Balance Forward       |        | \$0.00               |
|  |        |            |                                 |                     |                    | Year-to-date Earnings |        | \$0.00               |



# COMMISSION STATEMENT

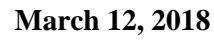
March 12, 2018

ROBERT HARSHA  
1430 Country Manor Blvd.  
Suite 2  
Billings, MT 59102

BROKER #: 768 Terminated 02/28/2014  
BRANCH #01001 - LifeMark Home Office

| DATE                                   | CLIENT | INVESTMENT                      | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION                |
|--|--------|---------------------------------|----------------------|---------------------|--------------------|-------------------|------|-------------------------------------|
| <b><u>ADJUSTMENTS</u></b>              |        |                                 |                      |                     |                    |                   |      |                                     |
| 03/07/2018                             |        | PRIOR PERIOD BALANCE(SEE BELOW) | 0.00                 | 0.00                | 0.00               | 0.00              |      | 0.00                                |
| *** ADJUSTMENTS TOTAL ***              |        |                                 | <u>\$0.00</u>        | <u>\$0.00</u>       | <u>\$0.00</u>      | <u>\$0.00</u>     |      | <u>\$0.00</u>                       |
| <b><u>BROKER COMMISSION TOTALS</u></b> |        |                                 |                      |                     |                    |                   |      |                                     |
|  |        |                                 |                      |                     |                    |                   |      | Broker Transactions \$0.00          |
|  |        |                                 |                      |                     |                    |                   |      | Split Transactions \$0.00           |
|  |        |                                 |                      |                     |                    |                   |      | Override Transactions \$0.00        |
|  |        |                                 |                      |                     |                    |                   |      | Adjustments \$0.00                  |
|  |        |                                 |                      |                     |                    |                   |      | Payroll Draw \$0.00                 |
|  |        |                                 |                      |                     |                    |                   |      | Base Salary \$0.00                  |
|  |        |                                 |                      |                     |                    |                   |      | Prior Period Balance \$0.00         |
|  |        |                                 |                      |                     |                    |                   |      | FINRA Assessment \$0.00             |
|  |        |                                 |                      |                     |                    |                   |      | SIPC Assessment \$0.00              |
|  |        |                                 |                      |                     |                    |                   |      |                                     |
|  |        |                                 |                      |                     |                    |                   |      | <b>Balance Forward \$0.00</b>       |
|  |        |                                 |                      |                     |                    |                   |      | <b>Year-to-date Earnings \$0.00</b> |

Please Retain for Your Records  
THERE WILL BE NO PAYMENT THIS PERIOD



BROKER #: A46      Terminated 12/31/2014  
BRANCH #01001 - LifeMark Home Office

| DATE   | CLIENT | INVESTMENT | INVESTMENT<br>AMOUNT            | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION     | RATE   | BROKER<br>COMMISSION |
|--|--------|------------|---------------------------------|---------------------|--------------------|-----------------------|--------|----------------------|
| <div>ADJUSTMENTS</div>   |        |            |                                 |                     |                    |                       |        |                      |
| /  | /      |            | PRIOR PERIOD BALANCE(SEE BELOW) | 0.00                | 0.00               | 0.00                  | 0.00   | 0.00                 |
|  |        |            | *** ADJUSTMENTS TOTAL ***       | \$0.00              | \$0.00             | \$0.00                | \$0.00 | \$0.00               |
| <div>BROKER COMMISSION TOTALS</div>                                    |        |            |                                 |                     |                    |                       |        |                      |
|  |        |            |                                 |                     |                    | Broker Transactions   |        | \$0.00               |
|  |        |            |                                 |                     |                    | Split Transactions    |        | \$0.00               |
|  |        |            |                                 |                     |                    | Override Transactions |        | \$0.00               |
|  |        |            |                                 |                     |                    | Adjustments           |        | \$0.00               |
|  |        |            |                                 |                     |                    | Payroll Draw          |        | \$0.00               |
|  |        |            |                                 |                     |                    | Base Salary           |        | \$0.00               |
|  |        |            |                                 |                     |                    | Prior Period Balance  |        | \$0.00               |
|  |        |            |                                 |                     |                    | FINRA Assessment      |        | \$0.00               |
|  |        |            |                                 |                     |                    | SIPC Assessment       |        | \$0.00               |
| Please Retain for Your Records<br>THERE WILL BE NO PAYMENT THIS PERIOD |        |            |                                 |                     |                    | Balance Forward       |        | \$0.00               |
|  |        |            |                                 |                     |                    | Year-to-date Earnings |        | \$0.00               |



# COMMISSION STATEMENT

March 12, 2018

JON HEDDLESON  
1021 Park Ave.  
Elyria, OH 44035

BROKER #: A55  
BRANCH #01001 - LifeMark Home Office

| DATE   | CLIENT   | INVESTMENT  | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|--|--|---|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b><u>BROKER TRANSACTIONS</u></b>            |  |   |                      |                     |                    |                   |      |                      |
| <b><u>PRODUCT CATEGORY: MUTUAL FUNDS</u></b> |  |   |                      |                     |                    |                   |      |                      |
| 03/12/2018                                   | ***-**-79IN - HARTLEY,                                   | :PIMCO HIGH YIELD A<br>BUY 0 Units @0.0000                  | 44.00                | 1.77                | 0.00               | 1.77              | 80.0 | 1.42                 |
| 02/28/2018                                   | ***-**-48IN - COOPER, BRIANNE<br>ACCOUNT #: 00086664615  | AMERICAN BALANCED FUND-A<br>BUY 1 Units @28.7500            | 25.00                | 1.25                | 0.00               | 1.25              | 80.0 | 1.00                 |
| 03/01/2018                                   | ***-**-81IN - JACKSON,<br>ACCOUNT #: 00081681468         | AMERICAN BALANCED FUND-A<br>BUY 2 Units @28.2200            | 53.75                | 2.02                | 0.00               | 2.02              | 80.0 | 1.62                 |
| 02/28/2018                                   | ***-**-88IN - HAYES, JOSHUA<br>ACCOUNT #: 00086747463    | AMERICAN FUNDS 2050 TARGET DATE-A<br>BUY 9 Units @16.3500   | 150.00               | 7.50                | 0.00               | 7.50              | 80.0 | 6.00                 |
| 02/28/2018                                   | ***-**-14CL - HEDDELSON,<br>ACCOUNT #: 00085916338       | AMERICAN GLOBAL BALANCED CLASS A<br>BUY 1 Units @34.6900    | 25.00                | 1.25                | 0.00               | 1.25              | 80.0 | 1.00                 |
| 03/01/2018                                   | ***-**-05IN - LEIKALA, JOSH<br>ACCOUNT #: 00085956564    | AMERICAN GLOBAL BALANCED CLASS A<br>BUY 1 Units @34.5500    | 25.00                | 1.25                | 0.00               | 1.25              | 80.0 | 1.00                 |
| 03/01/2018                                   | ***-**-13IN - BEMENT, JERRY<br>ACCOUNT #: 00088836397    | AMERICAN HIGH-INCOME TRUST-C<br>BUY 1 Units @10.2700        | 10.00                | 0.10                | 0.00               | 0.10              | 80.0 | 0.08                 |
| 03/02/2018                                   | ***-**-37IN - SALSBUURY, SARAH<br>ACCOUNT #: 00088864053 | AMERICAN HIGH-INCOME TRUST-C<br>BUY 1 Units @10.2400        | 8.00                 | 0.08                | 0.00               | 0.08              | 80.0 | 0.06                 |
| 03/01/2018                                   | ***-**-99IN - ENDERLE, ANGELA<br>ACCOUNT #: 00083270336  | AMERICAN MUTUAL FUND-C<br>BUY 1 Units @39.8600              | 25.00                | 0.25                | 0.00               | 0.25              | 80.0 | 0.20                 |
| 03/12/2018                                   | ***-**-795P - HARTLEY,<br>ACCOUNT #: 5290022275          | BLACK ROCK ALL CAP ENERGY & RESOURC<br>BUY 0 Units @0.0000  | 20.00                | 1.00                | 0.00               | 1.00              | 80.0 | 0.80                 |
| 03/12/2018                                   | ***-**-88IN - HAYES, JOSHUA<br>ACCOUNT #: 50722446       | BLACK ROCK ALL CAP ENERGY & RESOURC<br>BUY 0 Units @0.0000  | 100.00               | 1.00                | 0.00               | 1.00              | 80.0 | 0.80                 |
| 02/27/2018                                   | ***-**-75IN - WELLS, CAROL<br>ACCOUNT #: 00953303928     | CAPITAL INCOME BUILDER-A<br>BUY 1 Units @66.1100            | 75.00                | 3.75                | 0.00               | 3.75              | 80.0 | 3.00                 |
| 03/01/2018                                   | ***-**-71IN - HLAS, LEE<br>ACCOUNT #: 00075194043        | CAPITAL INCOME BUILDER-A<br>BUY 1 Units @64.6900            | 50.00                | 2.13                | 0.00               | 2.13              | 80.0 | 1.70                 |
| 03/01/2018                                   | ***-**-13IN - BEMENT, JERRY<br>ACCOUNT #: 00088836397    | CAPITAL WORLD BOND FUND-C<br>BUY 1 Units @19.8600           | 12.50                | 0.13                | 0.00               | 0.13              | 80.0 | 0.10                 |
| 03/02/2018                                   | ***-**-37IN - SALSBUURY, SARAH<br>ACCOUNT #: 00088864053 | CAPITAL WORLD BOND FUND-C<br>BUY 1 Units @19.8800           | 10.00                | 0.10                | 0.00               | 0.10              | 80.0 | 0.08                 |
| 02/27/2018                                   | ***-**-45IN - INGERSOLL, LORNA<br>ACCOUNT #: 00075090099 | CAPITAL WORLD GROWTH AND INCOME FUN<br>BUY 1 Units @55.6100 | 57.69                | 2.45                | 0.00               | 2.45              | 80.0 | 1.96                 |



# COMMISSION STATEMENT

March 12, 2018

JON HEDDLESON  
1021 Park Ave.  
Elyria, OH 44035

BROKER #: A55  
BRANCH #01001 - LifeMark Home Office

| DATE   | CLIENT                         | INVESTMENT                          | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|--|--------------------------------|-------------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b><u>BROKER TRANSACTIONS (continued)</u></b>            |                                |                                     |                      |                     |                    |                   |      |                      |
| <b><u>PRODUCT CATEGORY: MUTUAL FUNDS (continued)</u></b> |                                |                                     |                      |                     |                    |                   |      |                      |
| 02/27/2018   | ***-**-45IN - INGERSOLL, LORNA | CAPITAL WORLD GROWTH AND INCOME FUN | 34.62                | 1.47                | 0.00               | 1.47              | 80.0 | 1.18                 |
|  | ACCOUNT #: 00075090099         | BUY 1 Units @55.6100                |                      |                     |                    |                   |      |                      |
| 02/27/2018   | ***-**-75IN - WELLS, CAROL     | CAPITAL WORLD GROWTH AND INCOME FUN | 75.00                | 3.75                | 0.00               | 3.75              | 80.0 | 3.00                 |
|  | ACCOUNT #: 00977979325         | BUY 1 Units @56.0500                |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-81IN - JACKSON,         | CAPITAL WORLD GROWTH AND INCOME FUN | 53.75                | 2.02                | 0.00               | 2.02              | 80.0 | 1.62                 |
|  | ACCOUNT #: 00081681468         | BUY 1 Units @54.1300                |                      |                     |                    |                   |      |                      |
| 02/27/2018   | ***-**-07IN - WARD, DANIEL     | EUROPACIFIC GROWTH FUND-A           | 27.00                | 1.15                | 0.00               | 1.15              | 80.0 | 0.92                 |
|  | ACCOUNT #: 00075090142         | BUY 0 Units @60.8900                |                      |                     |                    |                   |      |                      |
| 02/27/2018   | ***-**-07IN - WARD, DANIEL     | EUROPACIFIC GROWTH FUND-A           | 27.00                | 1.15                | 0.00               | 1.15              | 80.0 | 0.92                 |
|  | ACCOUNT #: 00075090142         | BUY 0 Units @60.8900                |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-17IN - METZGER-GASIOR,  | EUROPACIFIC GROWTH FUND-A           | 75.00                | 3.75                | 0.00               | 3.75              | 80.0 | 3.00                 |
|  | ACCOUNT #: 00084959995         | BUY 1 Units @60.1400                |                      |                     |                    |                   |      |                      |
| 03/02/2018   | ***-**-439B - KOETH, JEFFREY   | FRANKLIN INTERNATIONAL GROWTH FUND  | 19.50                | 0.20                | 0.00               | 0.20              | 80.0 | 0.16                 |
|  | ACCOUNT #: 000000000008882     | BUY 1 Units @14.0500                |                      |                     |                    |                   |      |                      |
| 03/02/2018   | ***-**-728B - SPENCER, KRISTEN | FRANKLIN INTERNATIONAL GROWTH FUND  | 11.25                | 0.11                | 0.00               | 0.11              | 80.0 | 0.09                 |
|  | ACCOUNT #: 000000000008918     | BUY 1 Units @14.0500                |                      |                     |                    |                   |      |                      |
| 03/02/2018   | ***-**-50IN - PIEHL, DAVID     | FRANKLIN INTERNATIONAL GROWTH FUND  | 52.50                | 0.53                | 0.00               | 0.53              | 80.0 | 0.42                 |
|  | ACCOUNT #: 0000000000010241    | BUY 4 Units @14.0500                |                      |                     |                    |                   |      |                      |
| 03/02/2018   | ***-**-39IN - KOETH, JEFFREY   | FRANKLIN SMALL CAP VALUE C          | 48.10                | 0.48                | 0.00               | 0.48              | 80.0 | 0.38                 |
|  | ACCOUNT #: 000000000871133     | BUY 1 Units @48.1300                |                      |                     |                    |                   |      |                      |
| 03/02/2018   | ***-**-28IN - SPENCER, KRISTEN | FRANKLIN SMALL CAP VALUE C          | 27.75                | 0.28                | 0.00               | 0.28              | 80.0 | 0.22                 |
|  | ACCOUNT #: 000000000871172     | BUY 1 Units @48.1300                |                      |                     |                    |                   |      |                      |
| 03/02/2018   | ***-**-50IN - PIEHL, DAVID     | FRANKLIN SMALL CAP VALUE C          | 129.50               | 1.30                | 0.00               | 1.30              | 80.0 | 1.04                 |
|  | ACCOUNT #: 000000000871792     | BUY 3 Units @48.1300                |                      |                     |                    |                   |      |                      |
| 03/02/2018   | ***-**-439B - KOETH, JEFFREY   | FRANKLIN STRATEGIC INCOME C         | 23.40                | 0.23                | 0.00               | 0.23              | 80.0 | 0.18                 |
|  | ACCOUNT #: 000000001352576     | BUY 2 Units @9.6600                 |                      |                     |                    |                   |      |                      |
| 03/02/2018   | ***-**-728B - SPENCER, KRISTEN | FRANKLIN STRATEGIC INCOME C         | 13.50                | 0.14                | 0.00               | 0.14              | 80.0 | 0.11                 |
|  | ACCOUNT #: 000000001353604     | BUY 1 Units @9.6600                 |                      |                     |                    |                   |      |                      |
| 03/02/2018   | ***-**-50IN - PIEHL, DAVID     | FRANKLIN STRATEGIC INCOME C         | 63.00                | 0.63                | 0.00               | 0.63              | 80.0 | 0.50                 |
|  | ACCOUNT #: 000000001393228     | BUY 7 Units @9.6600                 |                      |                     |                    |                   |      |                      |
| 03/02/2018   | ***-**-439B - KOETH, JEFFREY   | FRK AGE HIGH INC FND - CL C         | 10.40                | 0.10                | 0.00               | 0.10              | 80.0 | 0.08                 |
|  | ACCOUNT #: 000000001268592     | BUY 6 Units @1.8700                 |                      |                     |                    |                   |      |                      |



# COMMISSION STATEMENT

March 12, 2018

JON HEDDLESON  
1021 Park Ave.  
Elyria, OH 44035

BROKER #: A55  
BRANCH #01001 - LifeMark Home Office

| DATE  | CLIENT                        | INVESTMENT                          | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|---|-------------------------------|-------------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b>BROKER TRANSACTIONS (continued)</b>            |                               |                                     |                      |                     |                    |                   |      |                      |
| <b>PRODUCT CATEGORY: MUTUAL FUNDS (continued)</b> |                               |                                     |                      |                     |                    |                   |      |                      |
| 03/02/2018  | ***-**-50IN - PIEHL, DAVID    | FRK AGE HIGH INC FND - CL C         | 28.00                | 0.28                | 0.00               | 0.28              | 80.0 | 0.22                 |
|   | ACCOUNT #: 000000001283074    | BUY 15 Units @1.8700                |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-13IN - BEMENT, JERRY   | INTERMEDIATE BOND FUND OF AMERICA-A | 11.25                | 0.23                | 0.00               | 0.23              | 80.0 | 0.18                 |
|   | ACCOUNT #: 00088836397        | BUY 1 Units @13.5200                |                      |                     |                    |                   |      |                      |
| 03/02/2018  | ***-**-37IN - SALSURY, SARAH  | INTERMEDIATE BOND FUND OF AMERICA-A | 9.00                 | 0.18                | 0.00               | 0.18              | 80.0 | 0.14                 |
|   | ACCOUNT #: 00088864053        | BUY 1 Units @13.5100                |                      |                     |                    |                   |      |                      |
| 02/28/2018  | ***-**-13IN - BEMENT, JERRY   | INTERNATIONAL GROWTH AND INCOME-529 | 75.00                | 3.19                | 0.00               | 3.19              | 80.0 | 2.55                 |
|   | ACCOUNT #: 00085039368        | BUY 2 Units @37.2900                |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-17IN - METZGER-GASIOR, | INTERNATIONAL GROWTH AND INCOME-A   | 75.00                | 3.75                | 0.00               | 3.75              | 80.0 | 3.00                 |
|   | ACCOUNT #: 00084959995        | BUY 2 Units @37.4000                |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-13IN - BEMENT, JERRY   | INTERNATIONAL GROWTH AND INCOME-C   | 18.75                | 0.19                | 0.00               | 0.19              | 80.0 | 0.15                 |
|   | ACCOUNT #: 00088836397        | BUY 1 Units @35.1100                |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-99IN - ENDERLE, ANGELA | INTERNATIONAL GROWTH AND INCOME-C   | 25.00                | 0.25                | 0.00               | 0.25              | 80.0 | 0.20                 |
|   | ACCOUNT #: 00083270336        | BUY 1 Units @35.1100                |                      |                     |                    |                   |      |                      |
| 03/02/2018  | ***-**-37IN - SALSURY, SARAH  | INTERNATIONAL GROWTH AND INCOME-C   | 15.00                | 0.15                | 0.00               | 0.15              | 80.0 | 0.12                 |
|   | ACCOUNT #: 00088864053        | BUY 0 Units @35.1400                |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-13IN - BEMENT, JERRY   | NEW PERSPECTIVE FUND-C              | 10.00                | 0.10                | 0.00               | 0.10              | 80.0 | 0.08                 |
|   | ACCOUNT #: 00088836397        | BUY 0 Units @42.5800                |                      |                     |                    |                   |      |                      |
| 03/02/2018  | ***-**-37IN - SALSURY, SARAH  | NEW PERSPECTIVE FUND-C              | 8.00                 | 0.08                | 0.00               | 0.08              | 80.0 | 0.06                 |
|   | ACCOUNT #: 00088864053        | BUY 0 Units @42.8000                |                      |                     |                    |                   |      |                      |
| 02/27/2018  | ***-**-0083 - MASSEY, TONY    | NEW WORLD FUND-A                    | 13.50                | 0.57                | 0.00               | 0.57              | 80.0 | 0.46                 |
|   | ACCOUNT #: 00089986382        | BUY 0 Units @72.5300                |                      |                     |                    |                   |      |                      |
| 02/27/2018  | ***-**-0083 - MASSEY, TONY    | NEW WORLD FUND-A                    | 13.50                | 0.57                | 0.00               | 0.57              | 80.0 | 0.46                 |
|   | ACCOUNT #: 00089986382        | BUY 0 Units @72.5300                |                      |                     |                    |                   |      |                      |
| 02/28/2018  | ***-**-14CL - HEDDELSON,      | NEW WORLD FUND-A                    | 25.00                | 1.25                | 0.00               | 1.25              | 80.0 | 1.00                 |
|   | ACCOUNT #: 00085916338        | BUY 0 Units @72.3900                |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-13IN - BEMENT, JERRY   | NEW WORLD FUND-C                    | 7.50                 | 0.08                | 0.00               | 0.08              | 80.0 | 0.06                 |
|   | ACCOUNT #: 00088836397        | BUY 0 Units @65.4000                |                      |                     |                    |                   |      |                      |
| 03/02/2018  | ***-**-37IN - SALSURY, SARAH  | NEW WORLD FUND-C                    | 6.00                 | 0.06                | 0.00               | 0.06              | 80.0 | 0.05                 |
|   | ACCOUNT #: 00088864053        | BUY 0 Units @65.6200                |                      |                     |                    |                   |      |                      |
| 02/27/2018  | ***-**-0083 - MASSEY, TONY    | SMALLCAP WORLD FUND-A               | 13.50                | 0.57                | 0.00               | 0.57              | 80.0 | 0.46                 |
|   | ACCOUNT #: 00089986382        | BUY 0 Units @60.0200                |                      |                     |                    |                   |      |                      |



# COMMISSION STATEMENT

March 12, 2018

JON HEDDLESON  
1021 Park Ave.  
Elyria, OH 44035

BROKER #: A55  
BRANCH #01001 - LifeMark Home Office

| DATE  | CLIENT                         | INVESTMENT                          | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|---|--------------------------------|-------------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b>BROKER TRANSACTIONS (continued)</b>            |                                |                                     |                      |                     |                    |                   |      |                      |
| <b>PRODUCT CATEGORY: MUTUAL FUNDS (continued)</b> |                                |                                     |                      |                     |                    |                   |      |                      |
| 02/27/2018  | ***-**-0083 - MASSEY, TONY     | SMALLCAP WORLD FUND-A               | 13.50                | 0.57                | 0.00               | 0.57              | 80.0 | 0.46                 |
|   | ACCOUNT #: 00089986382         | BUY 0 Units @60.0200                |                      |                     |                    |                   |      |                      |
| 02/28/2018  | ***-**-48IN - COOPER, BRIANNE  | SMALLCAP WORLD FUND-A               | 25.00                | 1.25                | 0.00               | 1.25              | 80.0 | 1.00                 |
|   | ACCOUNT #: 00086664615         | BUY 0 Units @59.9000                |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-99IN - ENDERLE, ANGELA  | SMALLCAP WORLD FUND-C               | 25.00                | 0.25                | 0.00               | 0.25              | 80.0 | 0.20                 |
|   | ACCOUNT #: 00083270336         | BUY 1 Units @49.3000                |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-13IN - BEMENT, JERRY    | SMALLCAP WORLD FUND-C               | 35.00                | 0.35                | 0.00               | 0.35              | 80.0 | 0.28                 |
|   | ACCOUNT #: 00088836397         | BUY 1 Units @49.3000                |                      |                     |                    |                   |      |                      |
| 03/02/2018  | ***-**-37IN - SALSBURY, SARAH  | SMALLCAP WORLD FUND-C               | 28.00                | 0.28                | 0.00               | 0.28              | 80.0 | 0.22                 |
|   | ACCOUNT #: 00088864053         | BUY 1 Units @49.7100                |                      |                     |                    |                   |      |                      |
| 03/02/2018  | ***-**-439B - KOETH, JEFFREY   | TEM EMERGING MARKETS SMALL CAP FD - | 10.40                | 0.10                | 0.00               | 0.10              | 80.0 | 0.08                 |
|   | ACCOUNT #: 000000000110611     | BUY 1 Units @14.5200                |                      |                     |                    |                   |      |                      |
| 03/02/2018  | ***-**-728B - SPENCER, KRISTEN | TEM EMERGING MARKETS SMALL CAP FD - | 6.00                 | 0.06                | 0.00               | 0.06              | 80.0 | 0.05                 |
|   | ACCOUNT #: 000000000110700     | BUY 0 Units @14.5200                |                      |                     |                    |                   |      |                      |
| 03/02/2018  | ***-**-50IN - PIEHL, DAVID     | TEM EMERGING MARKETS SMALL CAP FD - | 28.00                | 0.28                | 0.00               | 0.28              | 80.0 | 0.22                 |
|   | ACCOUNT #: 000000000114924     | BUY 2 Units @14.5200                |                      |                     |                    |                   |      |                      |
| 03/02/2018  | ***-**-39IN - KOETH, JEFFREY   | TEM GLOBAL TOTAL RETURN FUND - CLAS | 18.20                | 0.18                | 0.00               | 0.18              | 80.0 | 0.14                 |
|   | ACCOUNT #: 000000000199772     | BUY 2 Units @11.9700                |                      |                     |                    |                   |      |                      |
| 03/02/2018  | ***-**-50IN - PIEHL, DAVID     | TEM GLOBAL TOTAL RETURN FUND - CLAS | 49.00                | 0.49                | 0.00               | 0.49              | 80.0 | 0.39                 |
|   | ACCOUNT #: 000000000199784     | BUY 4 Units @11.9700                |                      |                     |                    |                   |      |                      |
| 03/02/2018  | ***-**-28IN - SPENCER, KRISTEN | TEM GLOBAL TOTAL RETURN FUND - CLAS | 10.50                | 0.11                | 0.00               | 0.11              | 80.0 | 0.09                 |
|   | ACCOUNT #: 000000000199796     | BUY 1 Units @11.9700                |                      |                     |                    |                   |      |                      |
| 02/27/2018  | ***-**-45IN - INGERSOLL, LORNA | THE GROWTH FUND OF AMERICA-A        | 34.61                | 1.47                | 0.00               | 1.47              | 80.0 | 1.18                 |
|   | ACCOUNT #: 00075090099         | BUY 1 Units @55.4000                |                      |                     |                    |                   |      |                      |
| 02/27/2018  | ***-**-45IN - INGERSOLL, LORNA | THE GROWTH FUND OF AMERICA-A        | 57.69                | 2.45                | 0.00               | 2.45              | 80.0 | 1.96                 |
|   | ACCOUNT #: 00075090099         | BUY 1 Units @55.4000                |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-71IN - HLAS, LEE        | THE GROWTH FUND OF AMERICA-A        | 50.00                | 2.13                | 0.00               | 2.13              | 80.0 | 1.70                 |
|   | ACCOUNT #: 00074169955         | BUY 1 Units @54.2500                |                      |                     |                    |                   |      |                      |
| 02/28/2018  | ***-**-14CL - HEDDELSON,       | WASHINGTON MUTUAL INVESTORS FUND-A  | 25.00                | 1.25                | 0.00               | 1.25              | 80.0 | 1.00                 |
|   | ACCOUNT #: 00085916338         | BUY 1 Units @48.8500                |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-71IN - HLAS, LEE        | WASHINGTON MUTUAL INVESTORS FUND-A  | 50.00                | 2.13                | 0.00               | 2.13              | 80.0 | 1.70                 |
|   | ACCOUNT #: 00075194043         | BUY 1 Units @47.8700                |                      |                     |                    |                   |      |                      |





# COMMISSION STATEMENT

## March 12, 2018

JON HEDDLESON  
1021 Park Ave.  
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BROKER #: A55  
BRANCH #01001 - LifeMark Home Office

| DATE  | CLIENT                        | INVESTMENT                         | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|---|-------------------------------|------------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b>BROKER TRANSACTIONS (continued)</b>            |                               |                                    |                      |                     |                    |                   |      |                      |
| <b>PRODUCT CATEGORY: MUTUAL FUNDS (continued)</b> |                               |                                    |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-13IN - BEMENT, JERRY   | WASHINGTON MUTUAL INVESTORS FUND-C | 20.00                | 0.20                | 0.00               | 0.20              | 80.0 | 0.16                 |
|   | ACCOUNT #: 00088836397        | BUY 0 Units @44.8500               |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-99IN - ENDERLE, ANGELA | WASHINGTON MUTUAL INVESTORS FUND-C | 25.00                | 0.25                | 0.00               | 0.25              | 80.0 | 0.20                 |
|   | ACCOUNT #: 00083270336        | BUY 1 Units @44.8500               |                      |                     |                    |                   |      |                      |
| 03/02/2018  | ***-**-37IN - SALSURY, SARAH  | WASHINGTON MUTUAL INVESTORS FUND-C | 16.00                | 0.16                | 0.00               | 0.16              | 80.0 | 0.13                 |
|   | ACCOUNT #: 00088864053        | BUY 0 Units @45.0400               |                      |                     |                    |                   |      |                      |
| <b>* MUTUAL FUNDS SUBTOTAL *</b>                  |                               |                                    | <b>\$2,263.11</b>    | <b>\$68.78</b>      | <b>\$0.00</b>      | <b>\$68.78</b>    |      | <b>\$54.99</b>       |
| <b>PRODUCT CATEGORY: RIA</b>                      |                               |                                    |                      |                     |                    |                   |      |                      |
| 03/08/2018  | ***-**-14FB - KRASE, MELINDA  | AMHERST SCHOOLS                    | 66.48                | 66.48               | 0.00               | 66.48             | 80.0 | 53.18                |
|   | ACCOUNT #: 102892301          | BUY 0 Units @0.0000                |                      |                     |                    |                   |      |                      |
| 03/08/2018  | ***-**-46FB - TAYLOR, KELLY   | AMHERST SCHOOLS                    | 23.22                | 23.22               | 0.00               | 23.22             | 80.0 | 18.58                |
|   | ACCOUNT #: 102892401          | BUY 0 Units @0.0000                |                      |                     |                    |                   |      |                      |
| 03/08/2018  | ***-**-50FB - ANDERSON, DAVID | AMHERST SCHOOLS                    | 56.29                | 56.29               | 0.00               | 56.29             | 80.0 | 45.03                |
|   | ACCOUNT #: 102897501          | BUY 0 Units @0.0000                |                      |                     |                    |                   |      |                      |
| 03/08/2018  | ***-**-74FB - ANDERSON,       | AMHERST SCHOOLS                    | 86.39                | 86.39               | 0.00               | 86.39             | 80.0 | 69.11                |
|   | ACCOUNT #: 102897601          | BUY 0 Units @0.0000                |                      |                     |                    |                   |      |                      |
| 03/08/2018  | ***-**-29FB - PECZE, SCOTT    | AMHERST SCHOOLS                    | 20.94                | 20.94               | 0.00               | 20.94             | 80.0 | 16.75                |
|   | ACCOUNT #: 102897701          | BUY 0 Units @0.0000                |                      |                     |                    |                   |      |                      |
| 03/08/2018  | ***-**-06FB - WOLFE, MAUREEN  | AMHERST SCHOOLS                    | 12.62                | 12.62               | 0.00               | 12.62             | 80.0 | 10.10                |
|   | ACCOUNT #: 102897801          | BUY 0 Units @0.0000                |                      |                     |                    |                   |      |                      |
| 03/08/2018  | ***-**-80FB - MELVIN, JOEL    | AMHERST SCHOOLS                    | 0.66                 | 0.66                | 0.00               | 0.66              | 80.0 | 0.53                 |
|   | ACCOUNT #: 102925001          | BUY 0 Units @0.0000                |                      |                     |                    |                   |      |                      |
| 03/08/2018  | ***-**-60FB - SCHNEIDER,      | AMHERST SCHOOLS                    | 34.15                | 34.15               | 0.00               | 34.15             | 80.0 | 27.32                |
|   | ACCOUNT #: 102940101          | BUY 0 Units @0.0000                |                      |                     |                    |                   |      |                      |
| 03/08/2018  | ***-**-81FB - HARCULA, LISA   | AMHERST SCHOOLS                    | 1.73                 | 1.73                | 0.00               | 1.73              | 80.0 | 1.38                 |
|   | ACCOUNT #: 103034101          | BUY 0 Units @0.0000                |                      |                     |                    |                   |      |                      |
| 03/08/2018  | ***-**-74FB - HARCULA, ROBERT | AMHERST SCHOOLS                    | 21.12                | 21.12               | 0.00               | 21.12             | 80.0 | 16.90                |
|   | ACCOUNT #: 103034201          | BUY 0 Units @0.0000                |                      |                     |                    |                   |      |                      |
| 03/08/2018  | ***-**-76FB - SCHENK, LISA    | AMHERST SCHOOLS                    | 23.35                | 23.35               | 0.00               | 23.35             | 80.0 | 18.68                |
|   | ACCOUNT #: 103061801          | BUY 0 Units @0.0000                |                      |                     |                    |                   |      |                      |
| 03/08/2018  | ***-**-14IN - HOBBER, GIA     | AMHERST SCHOOLS                    | 32.42                | 32.42               | 0.00               | 32.42             | 80.0 | 25.94                |
|   | ACCOUNT #: 103127901          | BUY 0 Units @0.0000                |                      |                     |                    |                   |      |                      |



# COMMISSION STATEMENT

March 12, 2018

JON HEDDLESON  
1021 Park Ave.  
Elyria, OH 44035

BROKER #: A55  
BRANCH #01001 - LifeMark Home Office

| DATE                                     | CLIENT   | INVESTMENT  | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|--|--|---|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b>BROKER TRANSACTIONS (continued)</b>   |  |   |                      |                     |                    |                   |      |                      |
| <b>PRODUCT CATEGORY: RIA (continued)</b> |  |   |                      |                     |                    |                   |      |                      |
| 03/08/2018                               | ***-**-1850 - JARMUSZ, MEGAN<br>ACCOUNT #: 103297701   | AMHERST SCHOOLS<br>BUY 0 Units @0.0000                | 0.61                 | 0.61                | 0.00               | 0.61              | 80.0 | 0.49                 |
| 03/08/2018                               | ***-**-56FB - TOMER, ANDREA<br>ACCOUNT #: 102874901    | BARBERTON CITY SCHOOL DISTRICT<br>BUY 0 Units @0.0000 | 2.66                 | 2.66                | 0.00               | 2.66              | 80.0 | 2.13                 |
| 03/08/2018                               | ***-**-05FB - LEIKALA, JOSH<br>ACCOUNT #: 102930201    | CHARDON LOCAL<br>BUY 0 Units @0.0000                  | 0.35                 | 0.35                | 0.00               | 0.35              | 80.0 | 0.28                 |
| 03/08/2018                               | ***-**-51FB - GINLEY, ERIN<br>ACCOUNT #: 102700001     | CLOVERLEAF LOCAL SCHOOLS<br>BUY 0 Units @0.0000       | 18.77                | 18.77               | 0.00               | 18.77             | 80.0 | 15.02                |
| 03/08/2018                               | ***-**-74FB - COLLUM, LEANNE<br>ACCOUNT #: 102700101   | CLOVERLEAF LOCAL SCHOOLS<br>BUY 0 Units @0.0000       | 72.66                | 72.66               | 0.00               | 72.66             | 80.0 | 58.13                |
| 03/08/2018                               | ***-**-90FB - URSEM-FRUIT, ACCOUNT #: 102798201        | CLOVERLEAF LOCAL SCHOOLS<br>BUY 0 Units @0.0000       | 4.18                 | 4.18                | 0.00               | 4.18              | 80.0 | 3.34                 |
| 03/08/2018                               | ***-**-25FB - ROCKHOLD, MARK<br>ACCOUNT #: 102835401   | CLOVERLEAF LOCAL SCHOOLS<br>BUY 0 Units @0.0000       | 18.62                | 18.62               | 0.00               | 18.62             | 80.0 | 14.90                |
| 03/08/2018                               | ***-**-80FB - DALESSANDRO,<br>ACCOUNT #: 103041501     | CLOVERLEAF LOCAL SCHOOLS<br>BUY 0 Units @0.0000       | 36.36                | 36.36               | 0.00               | 36.36             | 80.0 | 29.09                |
| 03/08/2018                               | ***-**-12FB - HEWIS, KRISTINA<br>ACCOUNT #: 102814301  | EUCLID CITY SCHOOLS<br>BUY 0 Units @0.0000            | 42.83                | 42.83               | 0.00               | 42.83             | 80.0 | 34.26                |
| 03/08/2018                               | ***-**-81FB - SHAMBLIN,<br>ACCOUNT #: 102827001        | EUCLID CITY SCHOOLS<br>BUY 0 Units @0.0000            | 22.13                | 22.13               | 0.00               | 22.13             | 80.0 | 17.70                |
| 03/08/2018                               | ***-**-76FB - MADENFORT,<br>ACCOUNT #: 102866101       | GREEN LOCAL SCHOOL DISTRICT<br>BUY 0 Units @0.0000    | 38.49                | 38.49               | 0.00               | 38.49             | 80.0 | 30.79                |
| 03/08/2018                               | ***-**-10FB - RADDISH, CHARLEE<br>ACCOUNT #: 102907801 | GREEN LOCAL SCHOOL DISTRICT<br>BUY 0 Units @0.0000    | 29.01                | 29.01               | 0.00               | 29.01             | 80.0 | 23.21                |
| 03/08/2018                               | ***-**-60FB - BINNS, THERESA<br>ACCOUNT #: 102910201   | GREEN LOCAL SCHOOL DISTRICT<br>BUY 0 Units @0.0000    | 27.82                | 27.82               | 0.00               | 27.82             | 80.0 | 22.26                |
| 03/08/2018                               | ***-**-24FB - MADENFORT,<br>ACCOUNT #: 102989501       | GREEN LOCAL SCHOOL DISTRICT<br>BUY 0 Units @0.0000    | 4.40                 | 4.40                | 0.00               | 4.40              | 80.0 | 3.52                 |
| 03/08/2018                               | ***-**-58FB - STECKER, LACEY<br>ACCOUNT #: 103050801   | GREEN LOCAL SCHOOL DISTRICT<br>BUY 0 Units @0.0000    | 1.60                 | 1.60                | 0.00               | 1.60              | 80.0 | 1.28                 |
| 03/08/2018                               | ***-**-58FB - STECKER, LACEY<br>ACCOUNT #: 103050802   | GREEN LOCAL SCHOOL DISTRICT<br>BUY 0 Units @0.0000    | 0.06                 | 0.06                | 0.00               | 0.06              | 80.0 | 0.05                 |



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| DATE  | CLIENT                         | INVESTMENT                    | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|---|--------------------------------|-------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b><u>BROKER TRANSACTIONS (continued)</u></b>   |                                |                               |                      |                     |                    |                   |      |                      |
| <b><u>PRODUCT CATEGORY: RIA (continued)</u></b> |                                |                               |                      |                     |                    |                   |      |                      |
| 03/08/2018                                      | ***-**-47FB - DOLATA, TANYA    | HIGHLAND LOCAL SCHOOLS        | 32.09                | 32.09               | 0.00               | 32.09             | 80.0 | 25.67                |
|   | ACCOUNT #: 102803501           | BUY 0 Units @0.0000           |                      |                     |                    |                   |      |                      |
| 03/08/2018                                      | ***-**-88FB - WHITNEY, ABIGAIL | HIGHLAND LOCAL SCHOOLS        | 0.44                 | 0.44                | 0.00               | 0.44              | 80.0 | 0.35                 |
|   | ACCOUNT #: 102803601           | BUY 0 Units @0.0000           |                      |                     |                    |                   |      |                      |
| 03/08/2018                                      | ***-**-49FB - VALENTASIS,      | HIGHLAND LOCAL SCHOOLS        | 57.24                | 57.24               | 0.00               | 57.24             | 80.0 | 45.79                |
|   | ACCOUNT #: 102803701           | BUY 0 Units @0.0000           |                      |                     |                    |                   |      |                      |
| 03/08/2018                                      | ***-**-54FB - BOND, LINDSAY    | HIGHLAND LOCAL SCHOOLS        | 8.87                 | 8.87                | 0.00               | 8.87              | 80.0 | 7.10                 |
|   | ACCOUNT #: 102920601           | BUY 0 Units @0.0000           |                      |                     |                    |                   |      |                      |
| 03/08/2018                                      | ***-**-31FB - WATERS, MONIQUE  | HIGHLAND LOCAL SCHOOLS        | 1.13                 | 1.13                | 0.00               | 1.13              | 80.0 | 0.90                 |
|   | ACCOUNT #: 103182501           | BUY 0 Units @0.0000           |                      |                     |                    |                   |      |                      |
| 03/08/2018                                      | ***-**-08FB - KISH, MAURA      | MAYFIELD CITY SCHOOL DISTRICT | 57.07                | 57.07               | 0.00               | 57.07             | 80.0 | 45.66                |
|   | ACCOUNT #: 102706601           | BUY 0 Units @0.0000           |                      |                     |                    |                   |      |                      |
| 03/08/2018                                      | ***-**-83FB - LUBIN, MATTHEW   | MAYFIELD CITY SCHOOL DISTRICT | 74.42                | 74.42               | 0.00               | 74.42             | 80.0 | 59.54                |
|   | ACCOUNT #: 102707601           | BUY 0 Units @0.0000           |                      |                     |                    |                   |      |                      |
| 03/08/2018                                      | ***-**-10FB - SHERWOOD, KATE   | MAYFIELD CITY SCHOOL DISTRICT | 7.32                 | 7.32                | 0.00               | 7.32              | 80.0 | 5.86                 |
|   | ACCOUNT #: 102710901           | BUY 0 Units @0.0000           |                      |                     |                    |                   |      |                      |
| 03/08/2018                                      | ***-**-79FB - SAUNDERS,        | MAYFIELD CITY SCHOOL DISTRICT | 17.70                | 17.70               | 0.00               | 17.70             | 80.0 | 14.16                |
|   | ACCOUNT #: 102712201           | BUY 0 Units @0.0000           |                      |                     |                    |                   |      |                      |
| 03/08/2018                                      | ***-**-59FB - GOLEM, ALLISON   | MAYFIELD CITY SCHOOL DISTRICT | 44.22                | 44.22               | 0.00               | 44.22             | 80.0 | 35.38                |
|   | ACCOUNT #: 102802001           | BUY 0 Units @0.0000           |                      |                     |                    |                   |      |                      |
| 03/08/2018                                      | ***-**-70FB - ELLIS, MICHAEL   | MAYFIELD CITY SCHOOL DISTRICT | 7.14                 | 7.14                | 0.00               | 7.14              | 80.0 | 5.71                 |
|   | ACCOUNT #: 102808201           | BUY 0 Units @0.0000           |                      |                     |                    |                   |      |                      |
| 03/08/2018                                      | ***-**-70FB - FINI-SANSON,     | MAYFIELD CITY SCHOOL DISTRICT | 26.71                | 26.71               | 0.00               | 26.71             | 80.0 | 21.37                |
|   | ACCOUNT #: 102809101           | BUY 0 Units @0.0000           |                      |                     |                    |                   |      |                      |
| 03/08/2018                                      | ***-**-67FB - BECERRA, BEN     | MAYFIELD CITY SCHOOL DISTRICT | 2.80                 | 2.80                | 0.00               | 2.80              | 80.0 | 2.24                 |
|   | ACCOUNT #: 102846601           | BUY 0 Units @0.0000           |                      |                     |                    |                   |      |                      |
| 03/08/2018                                      | ***-**-68FB - HASTINGS, JACLYN | MAYFIELD CITY SCHOOL DISTRICT | 0.74                 | 0.74                | 0.00               | 0.74              | 80.0 | 0.59                 |
|   | ACCOUNT #: 103080101           | BUY 0 Units @0.0000           |                      |                     |                    |                   |      |                      |
| 03/08/2018                                      | ***-**-14FB - WESTFALL, EMILY  | MAYFIELD CITY SCHOOL DISTRICT | 0.74                 | 0.74                | 0.00               | 0.74              | 80.0 | 0.59                 |
|   | ACCOUNT #: 103081701           | BUY 0 Units @0.0000           |                      |                     |                    |                   |      |                      |
| 03/08/2018                                      | ***-**-18FB - EBERHARDT, TODD  | OLMSTED FALLS CITY SCHOOLS    | 81.74                | 81.74               | 0.00               | 81.74             | 80.0 | 65.39                |
|   | ACCOUNT #: 102881801           | BUY 0 Units @0.0000           |                      |                     |                    |                   |      |                      |



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| DATE   | CLIENT                         | INVESTMENT                   | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|--|--------------------------------|------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b>BROKER TRANSACTIONS (continued)</b>           |                                |                              |                      |                     |                    |                   |      |                      |
| <b>PRODUCT CATEGORY: RIA (continued)</b>         |                                |                              |                      |                     |                    |                   |      |                      |
| 03/08/2018                                       | ***-**-92FB - TROMBA, HEATHER  | PERRY LOCAL SD               | 9.26                 | 9.26                | 0.00               | 9.26              | 80.0 | 7.41                 |
|  | ACCOUNT #: 102700801           | BUY 0 Units @0.0000          |                      |                     |                    |                   |      |                      |
| 03/08/2018                                       | ***-**-65FB - TRAINA, KATHLEEN | PERRY LOCAL SD               | 43.03                | 43.03               | 0.00               | 43.03             | 80.0 | 34.42                |
|  | ACCOUNT #: 102700901           | BUY 0 Units @0.0000          |                      |                     |                    |                   |      |                      |
| 03/08/2018                                       | ***-**-88FB - WARD, PAIGE      | PERRY LOCAL SD               | 66.64                | 66.64               | 0.00               | 66.64             | 80.0 | 53.31                |
|  | ACCOUNT #: 102701001           | BUY 0 Units @0.0000          |                      |                     |                    |                   |      |                      |
| 03/08/2018                                       | ***-**-52FB - ROBERTS, TAMARA  | PERRY LOCAL SD               | 44.69                | 44.69               | 0.00               | 44.69             | 80.0 | 35.75                |
|  | ACCOUNT #: 102722801           | BUY 0 Units @0.0000          |                      |                     |                    |                   |      |                      |
| 03/08/2018                                       | ***-**-88FB - WEISBARTH,       | SHAKER HEIGHTS CITY SD (BOE) | 40.77                | 40.77               | 0.00               | 40.77             | 80.0 | 32.62                |
|  | ACCOUNT #: 102898001           | BUY 0 Units @0.0000          |                      |                     |                    |                   |      |                      |
| 03/08/2018                                       | ***-**-00FB - DAWSON, DAWN     | WESTLAKE CITY SD (BOE)       | 106.24               | 106.24              | 0.00               | 106.24            | 80.0 | 84.99                |
|  | ACCOUNT #: 102984201           | BUY 0 Units @0.0000          |                      |                     |                    |                   |      |                      |
| 03/08/2018                                       | ***-**-07FB - PADO, KRISTEN    | WESTLAKE CITY SD (BOE)       | 57.45                | 57.45               | 0.00               | 57.45             | 80.0 | 45.96                |
|  | ACCOUNT #: 102984301           | BUY 0 Units @0.0000          |                      |                     |                    |                   |      |                      |
| 03/08/2018                                       | ***-**-52FB - CLARK, MINDY     | WESTLAKE CITY SD (BOE)       | 40.27                | 40.27               | 0.00               | 40.27             | 80.0 | 32.22                |
|  | ACCOUNT #: 102984501           | BUY 0 Units @0.0000          |                      |                     |                    |                   |      |                      |
| 03/08/2018                                       | ***-**-27FB - DIETERICH, DONNA | WESTLAKE CITY SD (BOE)       | 78.70                | 78.70               | 0.00               | 78.70             | 80.0 | 62.96                |
|  | ACCOUNT #: 102984901           | BUY 0 Units @0.0000          |                      |                     |                    |                   |      |                      |
| 03/08/2018                                       | ***-**-93FB - ZUK, LISA        | WESTLAKE CITY SD (BOE)       | 80.52                | 80.52               | 0.00               | 80.52             | 80.0 | 64.42                |
|  | ACCOUNT #: 102985001           | BUY 0 Units @0.0000          |                      |                     |                    |                   |      |                      |
| 03/08/2018                                       | ***-**-0759 - ROYCE, BRIDGET   | WESTLAKE CITY SD (BOE)       | 3.99                 | 3.99                | 0.00               | 3.99              | 80.0 | 3.19                 |
|  | ACCOUNT #: 103152801           | BUY 0 Units @0.0000          |                      |                     |                    |                   |      |                      |
| 03/08/2018                                       | ***-**-58FB - MUSSELMAN,       | WESTLAKE CITY SD (BOE)       | 1.00                 | 1.00                | 0.00               | 1.00              | 80.0 | 0.80                 |
|  | ACCOUNT #: 103303601           | BUY 0 Units @0.0000          |                      |                     |                    |                   |      |                      |
| <b>* RIA SUBTOTAL *</b>                          |                                |                              | <b>\$1,692.85</b>    | <b>\$1,692.85</b>   | <b>\$0.00</b>      | <b>\$1,692.85</b> |      | <b>\$1,354.30</b>    |
| <b>PRODUCT CATEGORY: VARIABLE UNIVERSAL LIFE</b> |                                |                              |                      |                     |                    |                   |      |                      |
| 03/12/2018                                       | ***-**-153I - MCCLINTOCK,      | SBL TRAILS                   | 150.00               | 7.50                | 0.00               | 7.50              | 80.0 | 6.00                 |
|  | ACCOUNT #: 271646153           | BUY 1 Units @150.0000        |                      |                     |                    |                   |      |                      |
| 03/12/2018                                       | ***-**-153I - MCCLINTOCK,      | SBL TRAILS                   | 0.00                 | 5.18                | 0.00               | 5.18              | 80.0 | 4.14                 |
|  | ACCOUNT #: 271646153           | BUY 1 Units @0.0000          |                      |                     |                    |                   |      |                      |
| 03/12/2018                                       | ***-**-31IN - EIDAM, ROBYN     | SBL TRAILS                   | 0.00                 | 88.70               | 0.00               | 88.70             | 80.0 | 70.96                |
|  | ACCOUNT #: 277723831           | BUY 1 Units @0.0000          |                      |                     |                    |                   |      |                      |



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|---|--------------------------------|---|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b>BROKER TRANSACTIONS (continued)</b>                              |                                |   |                      |                     |                    |                   |      |                      |
| <b><u>PRODUCT CATEGORY: VARIABLE UNIVERSAL LIFE (continued)</u></b> |                                |   |                      |                     |                    |                   |      |                      |
| 03/12/2018  | ***-**-55IN - CZECH, MANDY     | SBL TRAILS                                  | 0.00                 | 31.20               | 0.00               | 31.20             | 80.0 | 24.96                |
|   | ACCOUNT #: 269902555           | BUY 1 Units @0.0000                         |                      |                     |                    |                   |      |                      |
|   |                                | <b>* VARIABLE UNIVERSAL LIFE SUBTOTAL *</b> | <b>\$150.00</b>      | <b>\$132.58</b>     | <b>\$0.00</b>      | <b>\$132.58</b>   |      | <b>\$106.06</b>      |
| <b><u>PRODUCT CATEGORY: 529 PLAN</u></b>                            |                                |   |                      |                     |                    |                   |      |                      |
| 02/28/2018  | ***-**-13IN - BEMENT, JERRY    | NEW PERSPECTIVE FUND-529A                   | 75.00                | 3.19                | 0.00               | 3.19              | 80.0 | 2.55                 |
|   | ACCOUNT #: 00085039368         | BUY 2 Units @46.7100                        |                      |                     |                    |                   |      |                      |
|   |                                | <b>* 529 PLAN SUBTOTAL *</b>                | <b>\$75.00</b>       | <b>\$3.19</b>       | <b>\$0.00</b>      | <b>\$3.19</b>     |      | <b>\$2.55</b>        |
| <b><u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u></b>             |                                |   |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-11IN - GILLILAND,       | AMERICAN BALANCED FUND-529A                 | 0.00                 | 6.44                | 0.00               | 6.44              | 80.0 | 5.15                 |
|   | ACCOUNT #: 00084651910         | BUY 0 Units @0.0000                         |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-25IN - SCHLOSSER, SCOTT | AMERICAN BALANCED FUND-529A                 | 0.00                 | 3.43                | 0.00               | 3.43              | 80.0 | 2.74                 |
|   | ACCOUNT #: 04000615940         | BUY 0 Units @0.0000                         |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-57IN - TEITSWORTH,      | AMERICAN BALANCED FUND-A                    | 0.00                 | 4.86                | 0.00               | 4.86              | 80.0 | 3.89                 |
|   | ACCOUNT #: 00068272837         | BUY 0 Units @0.0000                         |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-45IN - INGERSOLL, LORNA | AMERICAN BALANCED FUND-A                    | 0.00                 | 2.37                | 0.00               | 2.37              | 80.0 | 1.90                 |
|   | ACCOUNT #: 00075090099         | BUY 0 Units @0.0000                         |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-94IN - THEIS, JENNIFER  | AMERICAN BALANCED FUND-A                    | 0.00                 | 0.71                | 0.00               | 0.71              | 80.0 | 0.57                 |
|   | ACCOUNT #: 00075772834         | BUY 0 Units @0.0000                         |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-94IN - THEIS, JENNIFER  | AMERICAN BALANCED FUND-A                    | 0.00                 | 0.71                | 0.00               | 0.71              | 80.0 | 0.57                 |
|   | ACCOUNT #: 00075772934         | BUY 0 Units @0.0000                         |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-81IN - JACKSON,         | AMERICAN BALANCED FUND-A                    | 0.00                 | 6.31                | 0.00               | 6.31              | 80.0 | 5.05                 |
|   | ACCOUNT #: 00081681468         | BUY 0 Units @0.0000                         |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-48IN - COOPER, BRIANNE  | AMERICAN BALANCED FUND-A                    | 0.00                 | 2.45                | 0.00               | 2.45              | 80.0 | 1.96                 |
|   | ACCOUNT #: 00086664615         | BUY 0 Units @0.0000                         |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-82IN - NICOTERA, ANGELO | AMERICAN BALANCED FUND-C                    | 0.00                 | 28.76               | 0.00               | 28.76             | 80.0 | 23.01                |
|   | ACCOUNT #: 00085293200         | BUY 0 Units @0.0000                         |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-88IN - HAYES, JOSHUA    | AMERICAN FUNDS 2050 TARGET DATE-A           | 0.00                 | 9.23                | 0.00               | 9.23              | 80.0 | 7.38                 |
|   | ACCOUNT #: 00086747463         | BUY 0 Units @0.0000                         |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-14CL - HEDDELSON,       | AMERICAN GLOBAL BALANCED CLASS A            | 0.00                 | 2.06                | 0.00               | 2.06              | 80.0 | 1.65                 |
|   | ACCOUNT #: 00085916338         | BUY 0 Units @0.0000                         |                      |                     |                    |                   |      |                      |



# COMMISSION STATEMENT

## March 12, 2018

JON HEDDLESON  
1021 Park Ave.  
Elyria, OH 44035

BROKER #: A55  
BRANCH #01001 - LifeMark Home Office

| DATE   | CLIENT                         | INVESTMENT                       | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|--|--------------------------------|----------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b>BROKER TRANSACTIONS (continued)</b>                       |                                |                                  |                      |                     |                    |                   |      |                      |
| <b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</b> |                                |                                  |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-99IN - ENDERLE, ANGELA  | AMERICAN GLOBAL BALANCED CLASS A | 0.00                 | 4.68                | 0.00               | 4.68              | 80.0 | 3.74                 |
|  | ACCOUNT #: 00085935182         | BUY 0 Units @0.0000              |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-05IN - LEIKALA, JOSH    | AMERICAN GLOBAL BALANCED CLASS A | 0.00                 | 2.64                | 0.00               | 2.64              | 80.0 | 2.11                 |
|  | ACCOUNT #: 00085956564         | BUY 0 Units @0.0000              |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-57IN - TEITSWORTH,      | AMERICAN HIGH-INCOME TRUST-A     | 0.00                 | 0.61                | 0.00               | 0.61              | 80.0 | 0.49                 |
|  | ACCOUNT #: 00068272837         | BUY 0 Units @0.0000              |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-25IN - ROCKHOLD, MARK   | AMERICAN HIGH-INCOME TRUST-A     | 0.00                 | 0.58                | 0.00               | 0.58              | 80.0 | 0.46                 |
|  | ACCOUNT #: 00068272839         | BUY 0 Units @0.0000              |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-13IN - BEMENT, JERRY    | AMERICAN HIGH-INCOME TRUST-C     | 0.00                 | 5.48                | 0.00               | 5.48              | 80.0 | 4.38                 |
|  | ACCOUNT #: 00088836397         | BUY 0 Units @0.0000              |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-37IN - SALSBURY, SARAH  | AMERICAN HIGH-INCOME TRUST-C     | 0.00                 | 1.00                | 0.00               | 1.00              | 80.0 | 0.80                 |
|  | ACCOUNT #: 00088864053         | BUY 0 Units @0.0000              |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-57IN - TEITSWORTH,      | AMERICAN MUTUAL FUND-A           | 0.00                 | 5.53                | 0.00               | 5.53              | 80.0 | 4.42                 |
|  | ACCOUNT #: 00068272837         | BUY 0 Units @0.0000              |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-25IN - ROCKHOLD, MARK   | AMERICAN MUTUAL FUND-A           | 0.00                 | 1.71                | 0.00               | 1.71              | 80.0 | 1.37                 |
|  | ACCOUNT #: 00068272839         | BUY 0 Units @0.0000              |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-99IN - ENDERLE, ANGELA  | AMERICAN MUTUAL FUND-C           | 0.00                 | 26.74               | 0.00               | 26.74             | 80.0 | 21.39                |
|  | ACCOUNT #: 00083270336         | BUY 0 Units @0.0000              |                      |                     |                    |                   |      |                      |
| 03/06/2018   | ***-**-27IN - DIETERICH, DONNA | BLACKROCK TRAILS                 | 0.00                 | 1.00                | 0.00               | 1.00              | 80.0 | 0.80                 |
|  | ACCOUNT #: 5086087             | BUY 0 Units @0.0000              |                      |                     |                    |                   |      |                      |
| 03/06/2018   | ***-**-948I - SCHWAN, KIMBERLY | BLACKROCK TRAILS                 | 0.00                 | 0.61                | 0.00               | 0.61              | 80.0 | 0.49                 |
|  | ACCOUNT #: 5356159             | BUY 0 Units @0.0000              |                      |                     |                    |                   |      |                      |
| 03/06/2018   | ***-**-88IN - HAYES, JOSHUA    | BLACKROCK TRAILS                 | 0.00                 | 0.47                | 0.00               | 0.47              | 80.0 | 0.38                 |
|  | ACCOUNT #: 50722446            | BUY 0 Units @0.0000              |                      |                     |                    |                   |      |                      |
| 03/06/2018   | ***-**-27IN - DIETERICH, DONNA | BLACKROCK TRAILS                 | 0.00                 | 1.22                | 0.00               | 1.22              | 80.0 | 0.98                 |
|  | ACCOUNT #: 5086087             | BUY 0 Units @0.0000              |                      |                     |                    |                   |      |                      |
| 03/06/2018   | ***-**-52IN - CLARK, MINDY     | BLACKROCK TRAILS                 | 0.00                 | 0.58                | 0.00               | 0.58              | 80.0 | 0.46                 |
|  | ACCOUNT #: 50117761            | BUY 0 Units @0.0000              |                      |                     |                    |                   |      |                      |
| 03/06/2018   | ***-**-52IN - CLARK, MINDY     | BLACKROCK TRAILS                 | 0.00                 | 0.54                | 0.00               | 0.54              | 80.0 | 0.43                 |
|  | ACCOUNT #: 50117761            | BUY 0 Units @0.0000              |                      |                     |                    |                   |      |                      |
| 03/06/2018   | ***-**-88IN - HAYES, JOSHUA    | BLACKROCK TRAILS                 | 0.00                 | 0.47                | 0.00               | 0.47              | 80.0 | 0.38                 |
|  | ACCOUNT #: 50722446            | BUY 0 Units @0.0000              |                      |                     |                    |                   |      |                      |



# COMMISSION STATEMENT

March 12, 2018

JON HEDDLESON  
1021 Park Ave.  
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BRANCH #01001 - LifeMark Home Office

| DATE   | CLIENT                         | INVESTMENT                     | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|--|--------------------------------|--------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b>BROKER TRANSACTIONS (continued)</b>                       |                                |                                |                      |                     |                    |                   |      |                      |
| <b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</b> |                                |                                |                      |                     |                    |                   |      |                      |
| 03/06/2018   | ***-**-27IN - DIETERICH, DONNA | BLACKROCK TRAILS               | 0.00                 | 1.10                | 0.00               | 1.10              | 80.0 | 0.88                 |
|  | ACCOUNT #: 5086087             | BUY 0 Units @0.0000            |                      |                     |                    |                   |      |                      |
| 03/06/2018   | ***-**-948I - SCHWAN, KIMBERLY | BLACKROCK TRAILS               | 0.00                 | 0.56                | 0.00               | 0.56              | 80.0 | 0.45                 |
|  | ACCOUNT #: 5356159             | BUY 0 Units @0.0000            |                      |                     |                    |                   |      |                      |
| 03/06/2018   | ***-**-14IN - KRASE, MELINDA   | BLACKROCK TRAILS               | 0.00                 | 0.58                | 0.00               | 0.58              | 80.0 | 0.46                 |
|  | ACCOUNT #: 49761729            | BUY 0 Units @0.0000            |                      |                     |                    |                   |      |                      |
| 03/06/2018   | ***-**-52IN - CLARK, MINDY     | BLACKROCK TRAILS               | 0.00                 | 0.52                | 0.00               | 0.52              | 80.0 | 0.42                 |
|  | ACCOUNT #: 50117761            | BUY 0 Units @0.0000            |                      |                     |                    |                   |      |                      |
| 03/06/2018   | ***-**-88IN - HAYES, JOSHUA    | BLACKROCK TRAILS               | 0.00                 | 0.47                | 0.00               | 0.47              | 80.0 | 0.38                 |
|  | ACCOUNT #: 50722446            | BUY 0 Units @0.0000            |                      |                     |                    |                   |      |                      |
| 03/06/2018   | ***-**-49IN - SCOTT, DYANA     | BLACKROCK TRAILS               | 0.00                 | 0.67                | 0.00               | 0.67              | 80.0 | 0.54                 |
|  | ACCOUNT #: 5293080221          | BUY 0 Units @0.0000            |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-82IN - NICOTERA, ANGELO | CAPITAL INCOME BUILDER CLASS C | 0.00                 | 24.19               | 0.00               | 24.19             | 80.0 | 19.35                |
|  | ACCOUNT #: 00085293200         | BUY 0 Units @0.0000            |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-13IN - WHITE, SUZANNE   | CAPITAL INCOME BUILDER CLASS C | 0.00                 | 25.63               | 0.00               | 25.63             | 80.0 | 20.50                |
|  | ACCOUNT #: 00085949091         | BUY 0 Units @0.0000            |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-43IN - SCHNEIDER,       | CAPITAL INCOME BUILDER-529A    | 0.00                 | 4.79                | 0.00               | 4.79              | 80.0 | 3.83                 |
|  | ACCOUNT #: 00083718452         | BUY 0 Units @0.0000            |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-27IN - DIETERICH, DONNA | CAPITAL INCOME BUILDER-529A    | 0.00                 | 1.23                | 0.00               | 1.23              | 80.0 | 0.98                 |
|  | ACCOUNT #: 00085649975         | BUY 0 Units @0.0000            |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-27IN - DIETERICH, DONNA | CAPITAL INCOME BUILDER-529A    | 0.00                 | 0.61                | 0.00               | 0.61              | 80.0 | 0.49                 |
|  | ACCOUNT #: 00085650042         | BUY 0 Units @0.0000            |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-57IN - TEITSWORTH,      | CAPITAL INCOME BUILDER-A       | 0.00                 | 0.89                | 0.00               | 0.89              | 80.0 | 0.71                 |
|  | ACCOUNT #: 00068272837         | BUY 0 Units @0.0000            |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-25IN - ROCKHOLD, MARK   | CAPITAL INCOME BUILDER-A       | 0.00                 | 2.44                | 0.00               | 2.44              | 80.0 | 1.95                 |
|  | ACCOUNT #: 00068272839         | BUY 0 Units @0.0000            |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-57IN - TEITSWORTH,      | CAPITAL INCOME BUILDER-A       | 0.00                 | 2.21                | 0.00               | 2.21              | 80.0 | 1.77                 |
|  | ACCOUNT #: 00068339985         | BUY 0 Units @0.0000            |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-71IN - HLAS, LEE        | CAPITAL INCOME BUILDER-A       | 0.00                 | 4.66                | 0.00               | 4.66              | 80.0 | 3.73                 |
|  | ACCOUNT #: 00075194043         | BUY 0 Units @0.0000            |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-19IN - ALGIER, JANET    | CAPITAL INCOME BUILDER-A       | 0.00                 | 2.44                | 0.00               | 2.44              | 80.0 | 1.95                 |
|  | ACCOUNT #: 00081759112         | BUY 0 Units @0.0000            |                      |                     |                    |                   |      |                      |



# COMMISSION STATEMENT

March 12, 2018

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| DATE   | CLIENT   | INVESTMENT   | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|--|--|--|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b>BROKER TRANSACTIONS (continued)</b>                       |  |  |                      |                     |                    |                   |      |                      |
| <b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</b> |  |  |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-86IN - THOMPSON,<br>ACCOUNT #: 00082746787        | CAPITAL INCOME BUILDER-A<br>BUY 0 Units @0.0000            | 0.00                 | 1.45                | 0.00               | 1.45              | 80.0 | 1.16                 |
| 03/01/2018   | ***-**-82IN - EIDAM, DANIEL<br>ACCOUNT #: 00085374639    | CAPITAL INCOME BUILDER-A<br>BUY 0 Units @0.0000            | 0.00                 | 3.13                | 0.00               | 3.13              | 80.0 | 2.50                 |
| 03/01/2018   | ***-**-77IN - CULVER, VICTORIA<br>ACCOUNT #: 00085376656 | CAPITAL INCOME BUILDER-A<br>BUY 0 Units @0.0000            | 0.00                 | 3.19                | 0.00               | 3.19              | 80.0 | 2.55                 |
| 03/01/2018   | ***-**-39IN - ENDERLE, CHAD<br>ACCOUNT #: 00085935118    | CAPITAL INCOME BUILDER-A<br>BUY 0 Units @0.0000            | 0.00                 | 0.01                | 0.00               | 0.01              | 80.0 | 0.01                 |
| 03/01/2018   | ***-**-75IN - WELLS, CAROL<br>ACCOUNT #: 00953303928     | CAPITAL INCOME BUILDER-A<br>BUY 0 Units @0.0000            | 0.00                 | 5.17                | 0.00               | 5.17              | 80.0 | 4.14                 |
| 03/01/2018   | ***-**-13IN - WHITE, SUZANNE<br>ACCOUNT #: 00085949091   | CAPITAL WORLD BOND FUND-C<br>BUY 0 Units @0.0000           | 0.00                 | 11.89               | 0.00               | 11.89             | 80.0 | 9.51                 |
| 03/01/2018   | ***-**-13IN - BEMENT, JERRY<br>ACCOUNT #: 00088836397    | CAPITAL WORLD BOND FUND-C<br>BUY 0 Units @0.0000           | 0.00                 | 6.00                | 0.00               | 6.00              | 80.0 | 4.80                 |
| 03/01/2018   | ***-**-37IN - SALSURY, SARAH<br>ACCOUNT #: 00088864053   | CAPITAL WORLD BOND FUND-C<br>BUY 0 Units @0.0000           | 0.00                 | 1.14                | 0.00               | 1.14              | 80.0 | 0.91                 |
| 03/01/2018   | ***-**-57IN - TEITSWORTH,<br>ACCOUNT #: 00068272837      | CAPITAL WORLD GROWTH AND INCOME FUN<br>BUY 0 Units @0.0000 | 0.00                 | 1.07                | 0.00               | 1.07              | 80.0 | 0.86                 |
| 03/01/2018   | ***-**-25IN - ROCKHOLD, MARK<br>ACCOUNT #: 00068272839   | CAPITAL WORLD GROWTH AND INCOME FUN<br>BUY 0 Units @0.0000 | 0.00                 | 0.69                | 0.00               | 0.69              | 80.0 | 0.55                 |
| 03/01/2018   | ***-**-57IN - TEITSWORTH,<br>ACCOUNT #: 00068339985      | CAPITAL WORLD GROWTH AND INCOME FUN<br>BUY 0 Units @0.0000 | 0.00                 | 0.85                | 0.00               | 0.85              | 80.0 | 0.68                 |
| 03/01/2018   | ***-**-71IN - HLAS, LEE<br>ACCOUNT #: 00074169955        | CAPITAL WORLD GROWTH AND INCOME FUN<br>BUY 0 Units @0.0000 | 0.00                 | 2.82                | 0.00               | 2.82              | 80.0 | 2.26                 |
| 03/01/2018   | ***-**-45IN - INGERSOLL, LORNA<br>ACCOUNT #: 00075090099 | CAPITAL WORLD GROWTH AND INCOME FUN<br>BUY 0 Units @0.0000 | 0.00                 | 7.10                | 0.00               | 7.10              | 80.0 | 5.68                 |
| 03/01/2018   | ***-**-81IN - JACKSON,<br>ACCOUNT #: 00081681468         | CAPITAL WORLD GROWTH AND INCOME FUN<br>BUY 0 Units @0.0000 | 0.00                 | 16.24               | 0.00               | 16.24             | 80.0 | 12.99                |
| 03/01/2018   | ***-**-86IN - THOMPSON,<br>ACCOUNT #: 00082746787        | CAPITAL WORLD GROWTH AND INCOME FUN<br>BUY 0 Units @0.0000 | 0.00                 | 1.65                | 0.00               | 1.65              | 80.0 | 1.32                 |
| 03/01/2018   | ***-**-72IN - TARQUINIO-ZAJAC,<br>ACCOUNT #: 00083078469 | CAPITAL WORLD GROWTH AND INCOME FUN<br>BUY 0 Units @0.0000 | 0.00                 | 0.89                | 0.00               | 0.89              | 80.0 | 0.71                 |





# COMMISSION STATEMENT

March 12, 2018

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| DATE   | CLIENT                         | INVESTMENT                          | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|--|--------------------------------|-------------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b>BROKER TRANSACTIONS (continued)</b>                       |                                |                                     |                      |                     |                    |                   |      |                      |
| <b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</b> |                                |                                     |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-99IN - ENDERLE, ANGELA  | CAPITAL WORLD GROWTH AND INCOME FUN | 0.00                 | 2.32                | 0.00               | 2.32              | 80.0 | 1.86                 |
|  | ACCOUNT #: 00083270336         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-90IN - SCHMUHL, MATTHEW | CAPITAL WORLD GROWTH AND INCOME FUN | 0.00                 | 2.62                | 0.00               | 2.62              | 80.0 | 2.10                 |
|  | ACCOUNT #: 00084157078         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-90IN - SCHMUHL, MATTHEW | CAPITAL WORLD GROWTH AND INCOME FUN | 0.00                 | 8.29                | 0.00               | 8.29              | 80.0 | 6.63                 |
|  | ACCOUNT #: 00084165247         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-82IN - EIDAM, DANIEL    | CAPITAL WORLD GROWTH AND INCOME FUN | 0.00                 | 3.73                | 0.00               | 3.73              | 80.0 | 2.98                 |
|  | ACCOUNT #: 00085374639         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-77IN - CULVER, VICTORIA | CAPITAL WORLD GROWTH AND INCOME FUN | 0.00                 | 3.72                | 0.00               | 3.72              | 80.0 | 2.98                 |
|  | ACCOUNT #: 00085376656         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-75IN - WELLS, CAROL     | CAPITAL WORLD GROWTH AND INCOME FUN | 0.00                 | 5.92                | 0.00               | 5.92              | 80.0 | 4.74                 |
|  | ACCOUNT #: 00977979325         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-80IN - GRIMM, JEFFREY   | CAPITAL WORLD GROWTH AND INCOME FUN | 0.00                 | 26.97               | 0.00               | 26.97             | 80.0 | 21.58                |
|  | ACCOUNT #: 00978003628         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-43IN - SCHNEIDER,       | CAPITAL WORLD GROWTH AND INCOME-529 | 0.00                 | 5.61                | 0.00               | 5.61              | 80.0 | 4.49                 |
|  | ACCOUNT #: 00083718452         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-25IN - SCHLOSSER, SCOTT | CAPITAL WORLD GROWTH AND INCOME-529 | 0.00                 | 5.63                | 0.00               | 5.63              | 80.0 | 4.50                 |
|  | ACCOUNT #: 04000615940         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-55IN - CZECH, MANDY     | EUROPACIFIC GROWTH FUND-529A        | 0.00                 | 4.25                | 0.00               | 4.25              | 80.0 | 3.40                 |
|  | ACCOUNT #: 00084938764         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-25IN - ROCKHOLD, MARK   | EUROPACIFIC GROWTH FUND-A           | 0.00                 | 0.63                | 0.00               | 0.63              | 80.0 | 0.50                 |
|  | ACCOUNT #: 00068272839         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-07IN - WARD, DANIEL     | EUROPACIFIC GROWTH FUND-A           | 0.00                 | 0.14                | 0.00               | 0.14              | 80.0 | 0.11                 |
|  | ACCOUNT #: 00075090142         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-45IN - INGERSOLL, LORNA | EUROPACIFIC GROWTH FUND-A           | 0.00                 | 0.89                | 0.00               | 0.89              | 80.0 | 0.71                 |
|  | ACCOUNT #: 00075859835         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-86IN - THOMPSON,        | EUROPACIFIC GROWTH FUND-A           | 0.00                 | 1.47                | 0.00               | 1.47              | 80.0 | 1.18                 |
|  | ACCOUNT #: 00082746787         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-72IN - TARQUINIO-ZAJAC, | EUROPACIFIC GROWTH FUND-A           | 0.00                 | 0.68                | 0.00               | 0.68              | 80.0 | 0.54                 |
|  | ACCOUNT #: 00083078469         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-90IN - SCHMUHL, MATTHEW | EUROPACIFIC GROWTH FUND-A           | 0.00                 | 7.34                | 0.00               | 7.34              | 80.0 | 5.87                 |
|  | ACCOUNT #: 00084165247         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |



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| DATE   | CLIENT                         | INVESTMENT                          | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|--|--------------------------------|-------------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b>BROKER TRANSACTIONS (continued)</b>                       |                                |                                     |                      |                     |                    |                   |      |                      |
| <b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</b> |                                |                                     |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-17IN - METZGER-GASIOR,  | EUROPACIFIC GROWTH FUND-A           | 0.00                 | 3.77                | 0.00               | 3.77              | 80.0 | 3.02                 |
|  | ACCOUNT #: 00084959995         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-27IN - DIETERICH, DONNA | FUNDAMENTAL INVESTORS-529A          | 0.00                 | 2.07                | 0.00               | 2.07              | 80.0 | 1.66                 |
|  | ACCOUNT #: 00085649975         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-27IN - DIETERICH, DONNA | FUNDAMENTAL INVESTORS-529A          | 0.00                 | 1.19                | 0.00               | 1.19              | 80.0 | 0.95                 |
|  | ACCOUNT #: 00085650042         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-57IN - TEITSWORTH,      | FUNDAMENTAL INVESTORS-A             | 0.00                 | 7.04                | 0.00               | 7.04              | 80.0 | 5.63                 |
|  | ACCOUNT #: 00068272837         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-25IN - ROCKHOLD, MARK   | FUNDAMENTAL INVESTORS-A             | 0.00                 | 2.10                | 0.00               | 2.10              | 80.0 | 1.68                 |
|  | ACCOUNT #: 00068272839         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-45IN - INGERSOLL, LORNA | FUNDAMENTAL INVESTORS-A             | 0.00                 | 1.09                | 0.00               | 1.09              | 80.0 | 0.87                 |
|  | ACCOUNT #: 00075859835         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-90IN - SCHMUHL, MATTHEW | FUNDAMENTAL INVESTORS-A             | 0.00                 | 11.28               | 0.00               | 11.28             | 80.0 | 9.02                 |
|  | ACCOUNT #: 00084165247         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-382J - EIDAM, DANIEL    | FUNDAMENTAL INVESTORS-C             | 0.00                 | 0.88                | 0.00               | 0.88              | 80.0 | 0.70                 |
|  | ACCOUNT #: 00083172474         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-27IN - DIETERICH, DONNA | GLOBAL BALANCED FUND-529A           | 0.00                 | 2.65                | 0.00               | 2.65              | 80.0 | 2.12                 |
|  | ACCOUNT #: 00085649975         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-27IN - DIETERICH, DONNA | GLOBAL BALANCED FUND-529A           | 0.00                 | 2.65                | 0.00               | 2.65              | 80.0 | 2.12                 |
|  | ACCOUNT #: 00085650042         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-82IN - NICOTERA, ANGELO | INCOME FUND OF AMERICA CLASS C      | 0.00                 | 29.41               | 0.00               | 29.41             | 80.0 | 23.53                |
|  | ACCOUNT #: 00085293200         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-13IN - WHITE, SUZANNE   | INCOME FUND OF AMERICA CLASS C      | 0.00                 | 28.65               | 0.00               | 28.65             | 80.0 | 22.92                |
|  | ACCOUNT #: 00085949091         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-13IN - BEMENT, JERRY    | INTERMEDIATE BOND FUND OF AMERICA-A | 0.00                 | 1.29                | 0.00               | 1.29              | 80.0 | 1.03                 |
|  | ACCOUNT #: 00088836397         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-37IN - SALSBUURY, SARAH | INTERMEDIATE BOND FUND OF AMERICA-A | 0.00                 | 0.28                | 0.00               | 0.28              | 80.0 | 0.22                 |
|  | ACCOUNT #: 00088864053         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-28IN - SPENCER, KRISTEN | INTERNATIONAL GROWTH AND INCOME-529 | 0.00                 | 1.36                | 0.00               | 1.36              | 80.0 | 1.09                 |
|  | ACCOUNT #: 00084914013         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-13IN - BEMENT, JERRY    | INTERNATIONAL GROWTH AND INCOME-529 | 0.00                 | 0.40                | 0.00               | 0.40              | 80.0 | 0.32                 |
|  | ACCOUNT #: 00085039368         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |



# COMMISSION STATEMENT

March 12, 2018

JON HEDDLESON  
1021 Park Ave.  
Elyria, OH 44035

BROKER #: A55  
BRANCH #01001 - LifeMark Home Office

| DATE   | CLIENT                         | INVESTMENT                        | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|--|--------------------------------|-----------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b>BROKER TRANSACTIONS (continued)</b>                       |                                |                                   |                      |                     |                    |                   |      |                      |
| <b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</b> |                                |                                   |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-90IN - SCHMUHL, MATTHEW | INTERNATIONAL GROWTH AND INCOME-A | 0.00                 | 4.64                | 0.00               | 4.64              | 80.0 | 3.71                 |
|  | ACCOUNT #: 00084157078         | BUY 0 Units @0.0000               |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-90IN - SCHMUHL, MATTHEW | INTERNATIONAL GROWTH AND INCOME-A | 0.00                 | 6.63                | 0.00               | 6.63              | 80.0 | 5.30                 |
|  | ACCOUNT #: 00084165247         | BUY 0 Units @0.0000               |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-17IN - METZGER-GASIOR,  | INTERNATIONAL GROWTH AND INCOME-A | 0.00                 | 3.55                | 0.00               | 3.55              | 80.0 | 2.84                 |
|  | ACCOUNT #: 00084959995         | BUY 0 Units @0.0000               |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-99IN - ENDERLE, ANGELA  | INTERNATIONAL GROWTH AND INCOME-C | 0.00                 | 26.84               | 0.00               | 26.84             | 80.0 | 21.47                |
|  | ACCOUNT #: 00083270336         | BUY 0 Units @0.0000               |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-13IN - BEMENT, JERRY    | INTERNATIONAL GROWTH AND INCOME-C | 0.00                 | 11.33               | 0.00               | 11.33             | 80.0 | 9.06                 |
|  | ACCOUNT #: 00088836397         | BUY 0 Units @0.0000               |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-37IN - SALSBURY, SARAH  | INTERNATIONAL GROWTH AND INCOME-C | 0.00                 | 2.06                | 0.00               | 2.06              | 80.0 | 1.65                 |
|  | ACCOUNT #: 00088864053         | BUY 0 Units @0.0000               |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-13IN - BEMENT, JERRY    | NEW PERSPECTIVE FUND-529A         | 0.00                 | 0.30                | 0.00               | 0.30              | 80.0 | 0.24                 |
|  | ACCOUNT #: 00085039368         | BUY 0 Units @0.0000               |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-27IN - DIETERICH, DONNA | NEW PERSPECTIVE FUND-529A         | 0.00                 | 5.17                | 0.00               | 5.17              | 80.0 | 4.14                 |
|  | ACCOUNT #: 00085649975         | BUY 0 Units @0.0000               |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-27IN - DIETERICH, DONNA | NEW PERSPECTIVE FUND-529A         | 0.00                 | 4.41                | 0.00               | 4.41              | 80.0 | 3.53                 |
|  | ACCOUNT #: 00085650042         | BUY 0 Units @0.0000               |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-57IN - TEITSWORTH,      | NEW PERSPECTIVE FUND-A            | 0.00                 | 9.88                | 0.00               | 9.88              | 80.0 | 7.90                 |
|  | ACCOUNT #: 00068272837         | BUY 0 Units @0.0000               |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-25IN - ROCKHOLD, MARK   | NEW PERSPECTIVE FUND-A            | 0.00                 | 3.89                | 0.00               | 3.89              | 80.0 | 3.11                 |
|  | ACCOUNT #: 00068272839         | BUY 0 Units @0.0000               |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-86IN - THOMPSON,        | NEW PERSPECTIVE FUND-A            | 0.00                 | 1.83                | 0.00               | 1.83              | 80.0 | 1.46                 |
|  | ACCOUNT #: 00082746787         | BUY 0 Units @0.0000               |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-39IN - ENDERLE, CHAD    | NEW PERSPECTIVE FUND-A            | 0.00                 | 5.66                | 0.00               | 5.66              | 80.0 | 4.53                 |
|  | ACCOUNT #: 00085935118         | BUY 0 Units @0.0000               |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-13IN - BEMENT, JERRY    | NEW PERSPECTIVE FUND-C            | 0.00                 | 6.36                | 0.00               | 6.36              | 80.0 | 5.09                 |
|  | ACCOUNT #: 00088836397         | BUY 0 Units @0.0000               |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-37IN - SALSBURY, SARAH  | NEW PERSPECTIVE FUND-C            | 0.00                 | 1.16                | 0.00               | 1.16              | 80.0 | 0.93                 |
|  | ACCOUNT #: 00088864053         | BUY 0 Units @0.0000               |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-5103 - WILLINGHAM JR,   | NEW WORLD FUND-529A               | 0.00                 | 1.01                | 0.00               | 1.01              | 80.0 | 0.81                 |
|  | ACCOUNT #: 00075648924         | BUY 0 Units @0.0000               |                      |                     |                    |                   |      |                      |



# COMMISSION STATEMENT

March 12, 2018

JON HEDDLESON  
1021 Park Ave.  
Elyria, OH 44035

BROKER #: A55  
BRANCH #01001 - LifeMark Home Office

| DATE   | CLIENT  | INVESTMENT   | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|--|---|--|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b>BROKER TRANSACTIONS (continued)</b>                       |   |  |                      |                     |                    |                   |      |                      |
| <b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</b> |   |  |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-5103 - WILLINGHAM JR,<br>ACCOUNT #: 00075651255  | NEW WORLD FUND-529A<br>BUY 0 Units @0.0000           | 0.00                 | 1.01                | 0.00               | 1.01              | 80.0 | 0.81                 |
| 03/01/2018   | ***-**-43IN - SCHNEIDER,<br>ACCOUNT #: 00083718452      | NEW WORLD FUND-529A<br>BUY 0 Units @0.0000           | 0.00                 | 4.92                | 0.00               | 4.92              | 80.0 | 3.94                 |
| 03/01/2018   | ***-**-25IN - ROCKHOLD, MARK<br>ACCOUNT #: 00068272839  | NEW WORLD FUND-A<br>BUY 0 Units @0.0000              | 0.00                 | 0.63                | 0.00               | 0.63              | 80.0 | 0.50                 |
| 03/01/2018   | ***-**-14CL - HEDDELSON,<br>ACCOUNT #: 00085916338      | NEW WORLD FUND-A<br>BUY 0 Units @0.0000              | 0.00                 | 0.87                | 0.00               | 0.87              | 80.0 | 0.70                 |
| 03/01/2018   | ***-**-99IN - ENDERLE, ANGELA<br>ACCOUNT #: 00085935182 | NEW WORLD FUND-A<br>BUY 0 Units @0.0000              | 0.00                 | 0.01                | 0.00               | 0.01              | 80.0 | 0.01                 |
| 03/01/2018   | ***-**-0083 - MASSEY, TONY<br>ACCOUNT #: 00089986382    | NEW WORLD FUND-A<br>BUY 0 Units @0.0000              | 0.00                 | 0.13                | 0.00               | 0.13              | 80.0 | 0.10                 |
| 03/01/2018   | ***-**-13IN - BEMENT, JERRY<br>ACCOUNT #: 00088836397   | NEW WORLD FUND-C<br>BUY 0 Units @0.0000              | 0.00                 | 4.90                | 0.00               | 4.90              | 80.0 | 3.92                 |
| 03/01/2018   | ***-**-37IN - SALSBURY, SARAH<br>ACCOUNT #: 00088864053 | NEW WORLD FUND-C<br>BUY 0 Units @0.0000              | 0.00                 | 0.88                | 0.00               | 0.88              | 80.0 | 0.70                 |
| 03/01/2018   | ***-**-49IN - SCOTT, DYANA<br>ACCOUNT #: 00063753209    | SMALLCAP WORLD FUND-A<br>BUY 0 Units @0.0000         | 0.00                 | 2.05                | 0.00               | 2.05              | 80.0 | 1.64                 |
| 03/01/2018   | ***-**-48IN - COOPER, BRIANNE<br>ACCOUNT #: 00086664615 | SMALLCAP WORLD FUND-A<br>BUY 0 Units @0.0000         | 0.00                 | 1.56                | 0.00               | 1.56              | 80.0 | 1.25                 |
| 03/01/2018   | ***-**-0083 - MASSEY, TONY<br>ACCOUNT #: 00089986382    | SMALLCAP WORLD FUND-A<br>BUY 0 Units @0.0000         | 0.00                 | 0.13                | 0.00               | 0.13              | 80.0 | 0.10                 |
| 03/01/2018   | ***-**-99IN - ENDERLE, ANGELA<br>ACCOUNT #: 00083270336 | SMALLCAP WORLD FUND-C<br>BUY 0 Units @0.0000         | 0.00                 | 29.34               | 0.00               | 29.34             | 80.0 | 23.47                |
| 03/01/2018   | ***-**-13IN - BEMENT, JERRY<br>ACCOUNT #: 00088836397   | SMALLCAP WORLD FUND-C<br>BUY 0 Units @0.0000         | 0.00                 | 22.79               | 0.00               | 22.79             | 80.0 | 18.23                |
| 03/01/2018   | ***-**-37IN - SALSBURY, SARAH<br>ACCOUNT #: 00088864053 | SMALLCAP WORLD FUND-C<br>BUY 0 Units @0.0000         | 0.00                 | 4.02                | 0.00               | 4.02              | 80.0 | 3.22                 |
| 03/01/2018   | ***-**-11IN - GILLILAND,<br>ACCOUNT #: 00084651910      | THE BOND FUND OF AMERICA-529A<br>BUY 0 Units @0.0000 | 0.00                 | 3.59                | 0.00               | 3.59              | 80.0 | 2.87                 |
| 03/01/2018   | ***-**-57IN - TEITSWORTH,<br>ACCOUNT #: 00068272837     | THE GROWTH FUND OF AMERICA-A<br>BUY 0 Units @0.0000  | 0.00                 | 8.21                | 0.00               | 8.21              | 80.0 | 6.57                 |



# COMMISSION STATEMENT

March 12, 2018

JON HEDDLESON  
1021 Park Ave.  
Elyria, OH 44035

BROKER #: A55  
BRANCH #01001 - LifeMark Home Office

| DATE   | CLIENT                         | INVESTMENT                          | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|--|--------------------------------|-------------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b>BROKER TRANSACTIONS (continued)</b>                       |                                |                                     |                      |                     |                    |                   |      |                      |
| <b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</b> |                                |                                     |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-25IN - ROCKHOLD, MARK   | THE GROWTH FUND OF AMERICA-A        | 0.00                 | 2.24                | 0.00               | 2.24              | 80.0 | 1.79                 |
|  | ACCOUNT #: 00068272839         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-57IN - TEITSWORTH,      | THE GROWTH FUND OF AMERICA-A        | 0.00                 | 4.37                | 0.00               | 4.37              | 80.0 | 3.50                 |
|  | ACCOUNT #: 00068339985         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-71IN - HLAS, LEE        | THE GROWTH FUND OF AMERICA-A        | 0.00                 | 5.87                | 0.00               | 5.87              | 80.0 | 4.70                 |
|  | ACCOUNT #: 00074169955         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-45IN - INGERSOLL, LORNA | THE GROWTH FUND OF AMERICA-A        | 0.00                 | 9.20                | 0.00               | 9.20              | 80.0 | 7.36                 |
|  | ACCOUNT #: 00075090099         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-90IN - SCHMUHL, MATTHEW | THE GROWTH FUND OF AMERICA-A        | 0.00                 | 11.36               | 0.00               | 11.36             | 80.0 | 9.09                 |
|  | ACCOUNT #: 00084165247         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-382J - EIDAM, DANIEL    | THE GROWTH FUND OF AMERICA-C        | 0.00                 | 0.89                | 0.00               | 0.89              | 80.0 | 0.71                 |
|  | ACCOUNT #: 00083172474         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-57IN - TEITSWORTH,      | THE INCOME FUND OF AMERICA-A        | 0.00                 | 8.70                | 0.00               | 8.70              | 80.0 | 6.96                 |
|  | ACCOUNT #: 00068272837         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-57IN - TEITSWORTH,      | THE INCOME FUND OF AMERICA-A        | 0.00                 | 1.40                | 0.00               | 1.40              | 80.0 | 1.12                 |
|  | ACCOUNT #: 00068339985         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-57IN - TEITSWORTH,      | THE INVESTMENT COMPANY OF AMERICA-A | 0.00                 | 1.28                | 0.00               | 1.28              | 80.0 | 1.02                 |
|  | ACCOUNT #: 00068272837         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-57IN - TEITSWORTH,      | THE INVESTMENT COMPANY OF AMERICA-A | 0.00                 | 0.96                | 0.00               | 0.96              | 80.0 | 0.77                 |
|  | ACCOUNT #: 00068339985         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-71IN - HLAS, LEE        | THE INVESTMENT COMPANY OF AMERICA-A | 0.00                 | 1.87                | 0.00               | 1.87              | 80.0 | 1.50                 |
|  | ACCOUNT #: 00074169955         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-99IN - ENDERLE, ANGELA  | THE INVESTMENT COMPANY OF AMERICA-A | 0.00                 | 0.17                | 0.00               | 0.17              | 80.0 | 0.14                 |
|  | ACCOUNT #: 00085935182         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-27IN - DIETERICH, DONNA | THE NEW ECONOMY FUND-529A           | 0.00                 | 2.29                | 0.00               | 2.29              | 80.0 | 1.83                 |
|  | ACCOUNT #: 00085649975         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-27IN - DIETERICH, DONNA | THE NEW ECONOMY FUND-529A           | 0.00                 | 1.35                | 0.00               | 1.35              | 80.0 | 1.08                 |
|  | ACCOUNT #: 00085650042         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-25IN - ROCKHOLD, MARK   | THE NEW ECONOMY FUND-A              | 0.00                 | 1.22                | 0.00               | 1.22              | 80.0 | 0.98                 |
|  | ACCOUNT #: 00068272839         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-94IN - THEIS, JENNIFER  | THE NEW ECONOMY FUND-A              | 0.00                 | 0.90                | 0.00               | 0.90              | 80.0 | 0.72                 |
|  | ACCOUNT #: 00075772834         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |



# COMMISSION STATEMENT

March 12, 2018

JON HEDDLESON  
1021 Park Ave.  
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BROKER #: A55  
BRANCH #01001 - LifeMark Home Office

| DATE   | CLIENT                        | INVESTMENT                         | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|--|-------------------------------|------------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b>BROKER TRANSACTIONS (continued)</b>                       |                               |                                    |                      |                     |                    |                   |      |                      |
| <b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</b> |                               |                                    |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-94IN - THEIS, JENNIFER | THE NEW ECONOMY FUND-A             | 0.00                 | 0.90                | 0.00               | 0.90              | 80.0 | 0.72                 |
|  | ACCOUNT #: 00075772934        | BUY 0 Units @0.0000                |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-49IN - SCOTT, DYANA    | WASHINGTON MUTUAL INVESTORS FUND-A | 0.00                 | 3.04                | 0.00               | 3.04              | 80.0 | 2.43                 |
|  | ACCOUNT #: 00063753209        | BUY 0 Units @0.0000                |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-57IN - TEITSWORTH,     | WASHINGTON MUTUAL INVESTORS FUND-A | 0.00                 | 5.57                | 0.00               | 5.57              | 80.0 | 4.46                 |
|  | ACCOUNT #: 00068272837        | BUY 0 Units @0.0000                |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-25IN - ROCKHOLD, MARK  | WASHINGTON MUTUAL INVESTORS FUND-A | 0.00                 | 1.61                | 0.00               | 1.61              | 80.0 | 1.29                 |
|  | ACCOUNT #: 00068272839        | BUY 0 Units @0.0000                |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-71IN - HLAS, LEE       | WASHINGTON MUTUAL INVESTORS FUND-A | 0.00                 | 6.26                | 0.00               | 6.26              | 80.0 | 5.01                 |
|  | ACCOUNT #: 00075194043        | BUY 0 Units @0.0000                |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-14CL - HEDDELSON,      | WASHINGTON MUTUAL INVESTORS FUND-A | 0.00                 | 0.94                | 0.00               | 0.94              | 80.0 | 0.75                 |
|  | ACCOUNT #: 00085916338        | BUY 0 Units @0.0000                |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-39IN - ENDERLE, CHAD   | WASHINGTON MUTUAL INVESTORS FUND-A | 0.00                 | 0.17                | 0.00               | 0.17              | 80.0 | 0.14                 |
|  | ACCOUNT #: 00085935118        | BUY 0 Units @0.0000                |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-99IN - ENDERLE, ANGELA | WASHINGTON MUTUAL INVESTORS FUND-C | 0.00                 | 27.88               | 0.00               | 27.88             | 80.0 | 22.30                |
|  | ACCOUNT #: 00083270336        | BUY 0 Units @0.0000                |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-13IN - BEMENT, JERRY   | WASHINGTON MUTUAL INVESTORS FUND-C | 0.00                 | 12.84               | 0.00               | 12.84             | 80.0 | 10.27                |
|  | ACCOUNT #: 00088836397        | BUY 0 Units @0.0000                |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-37IN - SALSURY, SARAH  | WASHINGTON MUTUAL INVESTORS FUND-C | 0.00                 | 2.32                | 0.00               | 2.32              | 80.0 | 1.86                 |
|  | ACCOUNT #: 00088864053        | BUY 0 Units @0.0000                |                      |                     |                    |                   |      |                      |
| <b>* MUTUAL FUND 12B1 TRAILS SUBTOTAL *</b>                  |                               |                                    | <b>\$0.00</b>        | <b>\$729.15</b>     | <b>\$0.00</b>      | <b>\$729.15</b>   |      | <b>\$583.32</b>      |
| <b>PRODUCT CATEGORY: VARIABLE ANNUITY 12B1 TRAILS</b>        |                               |                                    |                      |                     |                    |                   |      |                      |
| 02/21/2018   | ***-**-66IN - FIATAL, LINDA   | TRANSAMERICA EXTRA                 | 0.00                 | 135.04              | 0.00               | 135.04            | 80.0 | 108.03               |
|  | ACCOUNT #: 103783EV8          | BUY 0 Units @0.0000                |                      |                     |                    |                   |      |                      |
| <b>* VARIABLE ANNUITY 12B1 TRAILS SUBTOTAL *</b>             |                               |                                    | <b>\$0.00</b>        | <b>\$135.04</b>     | <b>\$0.00</b>      | <b>\$135.04</b>   |      | <b>\$108.03</b>      |
| <b>*** BROKER TRANSACTIONS TOTAL ***</b>                     |                               |                                    | <b>\$4,180.96</b>    | <b>\$2,761.59</b>   | <b>\$0.00</b>      | <b>\$2,761.59</b> |      | <b>\$2,209.25</b>    |



**COMMISSION STATEMENT**  
**March 12, 2018**

JON HEDDLESON  
1021 Park Ave.  
Elyria, OH 44035

**BROKER #:** A55  
**BRANCH** #01001 - LifeMark Home Office

| DATE   | CLIENT | INVESTMENT | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION            | RATE | BROKER<br>COMMISSION |
|--|--------|------------|----------------------|---------------------|--------------------|------------------------------|------|----------------------|
| <b><u>BROKER COMMISSION TOTALS</u></b>                                 |        |            |                      |                     |                    |                              |      |                      |
| Broker Transactions  |        |            |                      |                     |                    |                              |      | \$2,209.25           |
| Split Transactions   |        |            |                      |                     |                    |                              |      | \$0.00               |
| Override Transactions  |        |            |                      |                     |                    |                              |      | \$0.00               |
| Adjustments  |        |            |                      |                     |                    |                              |      | \$0.00               |
| Payroll Draw   |        |            |                      |                     |                    |                              |      | \$0.00               |
| Base Salary  |        |            |                      |                     |                    |                              |      | \$0.00               |
| Prior Period Balance   |        |            |                      |                     |                    |                              |      | \$0.00               |
| FINRA Assessment   |        |            |                      |                     |                    |                              |      | \$0.00               |
| SIPC Assessment  |        |            |                      |                     |                    |                              |      | \$0.00               |
| <hr/>  |        |            |                      |                     |                    |                              |      |                      |
| Please Retain for Your Records<br>THERE WILL BE NO PAYMENT THIS PERIOD |        |            |                      |                     |                    | <b>Balance Forward</b>       |      | <b>\$0.00</b>        |
|  |        |            |                      |                     |                    | <b>Year-to-date Earnings</b> |      | <b>\$0.00</b>        |



BROKER #: 991      Terminated 08/05/2008  
BRANCH #01001 - LifeMark Home Office

| DATE   | CLIENT | INVESTMENT                      | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE  | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION         |
|--|--------|---------------------------------|----------------------|---------------------|---|-------------------|------|------------------------------|
| <div>ADJUSTMENTS</div>   |        |                                 |                      |                     |   |                   |      |                              |
| 03/07/2018   |        | PRIOR PERIOD BALANCE(SEE BELOW) | 0.00                 | 0.00                | 0.00  | 0.00              |      | 0.00                         |
|  |        | *** ADJUSTMENTS TOTAL ***       | \$0.00               | \$0.00              | \$0.00  | \$0.00            |      | \$0.00                       |
| <div>BROKER COMMISSION TOTALS</div>                                    |        |                                 |                      |                     |   |                   |      |                              |
|  |        |                                 |                      |                     |   |                   |      | Broker Transactions \$0.00   |
|  |        |                                 |                      |                     |   |                   |      | Split Transactions \$0.00    |
|  |        |                                 |                      |                     |   |                   |      | Override Transactions \$0.00 |
|  |        |                                 |                      |                     |   |                   |      | Adjustments \$0.00           |
|  |        |                                 |                      |                     |   |                   |      | Payroll Draw \$0.00          |
|  |        |                                 |                      |                     |   |                   |      | Base Salary \$0.00           |
|  |        |                                 |                      |                     |   |                   |      | Prior Period Balance \$0.00  |
|  |        |                                 |                      |                     |   |                   |      | FINRA Assessment \$0.00      |
|  |        |                                 |                      |                     |   |                   |      | SIPC Assessment \$0.00       |
| Please Retain for Your Records<br>THERE WILL BE NO PAYMENT THIS PERIOD |        |                                 |                      |                     | <div><div>Balance Forward \$0.00</div><div>Year-to-date Earnings \$0.00</div></div> |                   |      |                              |





# COMMISSION STATEMENT

March 12, 2018

BRIAN HILSENHOFF  
408 NADIG DR  
FORT ATKINSON, WI 53538

BROKER #: A54 Terminated 07/21/2014  
BRANCH #01001 - LifeMark Home Office

| DATE                      | CLIENT | INVESTMENT                      | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|---------------------------|--------|---------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b><u>ADJUSTMENTS</u></b> |        |                                 |                      |                     |                    |                   |      |                      |
| / /                       |        | PRIOR PERIOD BALANCE(SEE BELOW) | 0.00                 | 0.00                | 0.00               | 0.00              |      | 0.00                 |
|                           |        | *** ADJUSTMENTS TOTAL ***       | <u>\$0.00</u>        | <u>\$0.00</u>       | <u>\$0.00</u>      | <u>\$0.00</u>     |      | <u>\$0.00</u>        |

## **BROKER COMMISSION TOTALS**

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

Please Retain for Your Records  
THERE WILL BE NO PAYMENT THIS PERIOD

|                              |               |
|------------------------------|---------------|
| <b>Balance Forward</b>       | <b>\$0.00</b> |
| <b>Year-to-date Earnings</b> | <b>\$0.00</b> |



# COMMISSION STATEMENT

March 12, 2018

LOUIS HORWIN  
7670 E La Junta Rd  
Scottsdale, AZ 85255

BROKER #: A92  
BRANCH #01001 - LifeMark Home Office

| DATE                                   | CLIENT                        | INVESTMENT                          | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|--|-------------------------------|-------------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b><u>BROKER TRANSACTIONS</u></b>      |                               |                                     |                      |                     |                    |                   |      |                      |
| <b><u>PRODUCT CATEGORY: STOCKS</u></b> |                               |                                     |                      |                     |                    |                   |      |                      |
| 03/07/2018                             | ***-**-648K - PARADY, STEPHEN | CALAMOS CONV &HIGH INCOME FD COM SH | 26,165.43            | 298.00              | 58.58              | 239.42            | 50.0 | 119.71               |
|  | ACCOUNT #: LSR011461          | SELL 2179 Units @12.0080            |                      |                     |                    |                   |      |                      |
| 03/07/2018                             | ***-**-648K - PARADY, STEPHEN | CALAMOS CONV OPP AND INC FD SH BEN  | 22,390.80            | 223.26              | 54.70              | 168.56            | 50.0 | 84.28                |
|  | ACCOUNT #: LSR011461          | BUY 1985 Units @11.2800             |                      |                     |                    |                   |      |                      |
| 03/07/2018                             | ***-**-648K - PARADY, STEPHEN | CALAMOS CONV OPP AND INC FD SH BEN  | 2,479.40             | 24.74               | 4.40               | 20.34             | 50.0 | 10.17                |
|  | ACCOUNT #: LSR011461          | BUY 220 Units @11.2700              |                      |                     |                    |                   |      |                      |
| 03/07/2018                             | ***-**-648K - PARADY, STEPHEN | CORNERSTONE STRATEGIC VALUE FD COM  | 31,125.62            | 311.00              | 55.10              | 255.90            | 50.0 | 127.95               |
|  | ACCOUNT #: LSR011461          | SELL 2005 Units @15.5240            |                      |                     |                    |                   |      |                      |
| 03/07/2018                             | ***-**-648K - PARADY, STEPHEN | CORNERSTONE TOTAL RTRN FD INC COM P | 31,231.91            | 312.00              | 55.18              | 256.82            | 50.0 | 128.41               |
|  | ACCOUNT #: LSR011461          | BUY 2009 Units @15.5460             |                      |                     |                    |                   |      |                      |
| * STOCKS SUBTOTAL *                    |                               |                                     | <b>\$113,393.16</b>  | <b>\$1,169.00</b>   | <b>\$227.96</b>    | <b>\$941.04</b>   |      | <b>\$470.52</b>      |
| *** BROKER TRANSACTIONS TOTAL ***      |                               |                                     | <b>\$113,393.16</b>  | <b>\$1,169.00</b>   | <b>\$227.96</b>    | <b>\$941.04</b>   |      | <b>\$470.52</b>      |

## **BROKER COMMISSION TOTALS**

|                       |          |
|-----------------------|----------|
| Broker Transactions   | \$470.52 |
| Split Transactions    | \$0.00   |
| Override Transactions | \$0.00   |
| Adjustments           | \$0.00   |
| Payroll Draw          | \$0.00   |
| Base Salary           | \$0.00   |
| Prior Period Balance  | \$0.00   |
| FINRA Assessment      | \$0.00   |
| SIPC Assessment       | \$0.00   |

Please Retain for Your Records  
THERE WILL BE NO PAYMENT THIS PERIOD

|                              |               |
|------------------------------|---------------|
| <b>Balance Forward</b>       | <b>\$0.00</b> |
| <b>Year-to-date Earnings</b> | <b>\$0.00</b> |



# COMMISSION STATEMENT

March 12, 2018

**LIFEMARK HOUSE**  
400 West Metro Financial Ctr  
Rochester, NY 14623

**BROKER #: LMSHO**  
BRANCH #01001 - LifeMark Home Office

| DATE   | CLIENT | INVESTMENT                      | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE    | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|--|--------|---------------------------------|----------------------|---------------------|-----------------------|-------------------|------|----------------------|
| <div>ADJUSTMENTS</div>   |        |                                 |                      |                     |                       |                   |      |                      |
| 03/07/2018   |        | PRIOR PERIOD BALANCE(SEE BELOW) | 0.00                 | 0.00                | 0.00                  | 0.00              |      | 0.00                 |
| *** ADJUSTMENTS TOTAL ***  |        |                                 | \$0.00               | \$0.00              | \$0.00                | \$0.00            |      | \$0.00               |
| <div>BROKER COMMISSION TOTALS</div>                                    |        |                                 |                      |                     |                       |                   |      |                      |
|  |        |                                 |                      |                     | Broker Transactions   |                   |      | \$0.00               |
|  |        |                                 |                      |                     | Split Transactions    |                   |      | \$0.00               |
|  |        |                                 |                      |                     | Override Transactions |                   |      | \$0.00               |
|  |        |                                 |                      |                     | Adjustments           |                   |      | \$0.00               |
|  |        |                                 |                      |                     | Payroll Draw          |                   |      | \$0.00               |
|  |        |                                 |                      |                     | Base Salary           |                   |      | \$0.00               |
|  |        |                                 |                      |                     | Prior Period Balance  |                   |      | \$0.00               |
|  |        |                                 |                      |                     | FINRA Assessment      |                   |      | \$0.00               |
|  |        |                                 |                      |                     | SIPC Assessment       |                   |      | \$0.00               |
| Please Retain for Your Records<br>THERE WILL BE NO PAYMENT THIS PERIOD |        |                                 |                      |                     | Balance Forward       |                   |      | \$0.00               |
|  |        |                                 |                      |                     | Year-to-date Earnings |                   |      | \$0.00               |



# COMMISSION STATEMENT

March 12, 2018

ALPHONSO HOUSTON  
3208 Spriggs Request Way  
Mitchellville, MD 20721

BROKER #: A51  
BRANCH #01001 - LifeMark Home Office

| DATE  | CLIENT                        | INVESTMENT                                  | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|---|-------------------------------|---|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b><u>BROKER TRANSACTIONS</u></b>                       |                               |   |                      |                     |                    |                   |      |                      |
| <b><u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u></b> |                               |   |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-705I - JOHNSON-HARRIS, | NEW PERSPECTIVE FUND-A                      | 0.00                 | 25.53               | 0.00               | 25.53             | 50.0 | 12.77                |
|   | ACCOUNT #: 00057152745        | BUY 0 Units @0.0000                         |                      |                     |                    |                   |      |                      |
|   |                               | <b>* MUTUAL FUND 12B1 TRAILS SUBTOTAL *</b> | <b>\$0.00</b>        | <b>\$25.53</b>      | <b>\$0.00</b>      | <b>\$25.53</b>    |      | <b>\$12.77</b>       |
|   |                               | <b>*** BROKER TRANSACTIONS TOTAL ***</b>    | <b>\$0.00</b>        | <b>\$25.53</b>      | <b>\$0.00</b>      | <b>\$25.53</b>    |      | <b>\$12.77</b>       |

## **BROKER COMMISSION TOTALS**

|                       |         |
|-----------------------|---------|
| Broker Transactions   | \$12.77 |
| Split Transactions    | \$0.00  |
| Override Transactions | \$0.00  |
| Adjustments           | \$0.00  |
| Payroll Draw          | \$0.00  |
| Base Salary           | \$0.00  |
| Prior Period Balance  | \$0.00  |
| FINRA Assessment      | \$0.00  |
| SIPC Assessment       | \$0.00  |

Please Retain for Your Records  
THERE WILL BE NO PAYMENT THIS PERIOD

|                              |               |
|------------------------------|---------------|
| <b>Balance Forward</b>       | <b>\$0.00</b> |
| <b>Year-to-date Earnings</b> | <b>\$0.00</b> |



BROKER #: A23      Terminated 12/31/2012  
BRANCH #01001 - LifeMark Home Office

| DATE   | CLIENT | INVESTMENT | INVESTMENT<br>AMOUNT            | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION  | RATE   | BROKER<br>COMMISSION |
|--|--------|------------|---------------------------------|---------------------|--------------------|--|--------|----------------------|
| <div>ADJUSTMENTS</div>   |        |            |                                 |                     |                    |  |        |                      |
| /  | /      |            | PRIOR PERIOD BALANCE(SEE BELOW) | 0.00                | 0.00               | 0.00   | 0.00   | 0.00                 |
|  |        |            | *** ADJUSTMENTS TOTAL ***       | \$0.00              | \$0.00             | \$0.00   | \$0.00 | \$0.00               |
|  |        |            |                                 |                     |                    | <div>BROKER COMMISSION TOTALS</div>                              |        |                      |
|  |        |            |                                 |                     |                    | Broker Transactions  |        | \$0.00               |
|  |        |            |                                 |                     |                    | Split Transactions   |        | \$0.00               |
|  |        |            |                                 |                     |                    | Override Transactions  |        | \$0.00               |
|  |        |            |                                 |                     |                    | Adjustments  |        | \$0.00               |
|  |        |            |                                 |                     |                    | Payroll Draw   |        | \$0.00               |
|  |        |            |                                 |                     |                    | Base Salary  |        | \$0.00               |
|  |        |            |                                 |                     |                    | Prior Period Balance   |        | \$0.00               |
|  |        |            |                                 |                     |                    | FINRA Assessment   |        | \$0.00               |
|  |        |            |                                 |                     |                    | SIPC Assessment  |        | \$0.00               |
| Please Retain for Your Records<br>THERE WILL BE NO PAYMENT THIS PERIOD |        |            |                                 |                     |                    | <div>Balance Forward\$0.00<br/>Year-to-date Earnings\$0.00</div> |        |                      |



# COMMISSION STATEMENT

## March 12, 2018

DAVID IOBST  
323 Paddington Dr  
Bear, DE 19701

BROKER #: B01  
BRANCH #01001 - LifeMark Home Office

| DATE  | CLIENT                       | INVESTMENT                        | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|---|------------------------------|-----------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b><u>BROKER TRANSACTIONS</u></b>                       |                              |                                   |                      |                     |                    |                   |      |                      |
| <b><u>PRODUCT CATEGORY: MUTUAL FUNDS</u></b>            |                              |                                   |                      |                     |                    |                   |      |                      |
| 02/27/2018  | ***-**-211J - IOBST, DAVID   | AMERICAN FUNDS 02629M587          | 100.00               | 3.50                | 0.00               | 3.50              | 60.0 | 2.10                 |
|   | ACCOUNT #: 04000582066       | BUY 8 Units @12.4900              |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-5144 - DI BLASI,      | AMERICAN FUNDS 2025 TARGET DATE-A | 34.66                | 1.73                | 0.00               | 1.73              | 60.0 | 1.04                 |
|   | ACCOUNT #: 04000741295       | BUY 2 Units @14.2700              |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-5144 - DI BLASI,      | AMERICAN FUNDS 2025 TARGET DATE-A | 34.66                | 1.73                | 0.00               | 1.73              | 60.0 | 1.04                 |
|   | ACCOUNT #: 04000741295       | BUY 2 Units @14.2700              |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-6420 - BROWN, JIM     | SMALLCAP WORLD FUND-A             | 57.00                | 2.85                | 0.00               | 2.85              | 60.0 | 1.71                 |
|   | ACCOUNT #: 04000695528       | BUY 1 Units @59.5300              |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-6420 - BROWN, JIM     | SMALLCAP WORLD FUND-A             | 57.00                | 2.85                | 0.00               | 2.85              | 60.0 | 1.71                 |
|   | ACCOUNT #: 04000695528       | BUY 1 Units @59.5300              |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-6420 - BROWN, JIM     | THE GROWTH FUND OF AMERICA-A      | 57.00                | 2.85                | 0.00               | 2.85              | 60.0 | 1.71                 |
|   | ACCOUNT #: 04000695528       | BUY 1 Units @54.6800              |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-6420 - BROWN, JIM     | THE GROWTH FUND OF AMERICA-A      | 57.00                | 2.85                | 0.00               | 2.85              | 60.0 | 1.71                 |
|   | ACCOUNT #: 04000695528       | BUY 1 Units @54.6800              |                      |                     |                    |                   |      |                      |
| * MUTUAL FUNDS SUBTOTAL *                               |                              |                                   | \$397.32             | \$18.36             | \$0.00             | \$18.36           |      | \$11.02              |
| <b><u>PRODUCT CATEGORY: VARIABLE UNIVERSAL LIFE</u></b> |                              |                                   |                      |                     |                    |                   |      |                      |
| 03/12/2018  | ***-**-2394 - IOBST, BARBARA | SBL TRAILS                        | 0.00                 | 815.45              | 0.00               | 815.45            | 60.0 | 489.27               |
|   |                              | BUY 1 Units @0.0000               |                      |                     |                    |                   |      |                      |
| * VARIABLE UNIVERSAL LIFE SUBTOTAL *                    |                              |                                   | \$0.00               | \$815.45            | \$0.00             | \$815.45          |      | \$489.27             |
| <b><u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u></b> |                              |                                   |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-211J - IOBST, DAVID   | AMERICAN FUNDS 02629M587          | 0.00                 | 4.11                | 0.00               | 4.11              | 60.0 | 2.47                 |
|   | ACCOUNT #: 04000582066       | BUY 0 Units @0.0000               |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-5144 - DI BLASI,      | AMERICAN FUNDS 2025 TARGET DATE-A | 0.00                 | 0.01                | 0.00               | 0.01              | 60.0 | 0.01                 |
|   | ACCOUNT #: 04000741295       | BUY 0 Units @0.0000               |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-6420 - BROWN, JIM     | SMALLCAP WORLD FUND-A             | 0.00                 | 0.04                | 0.00               | 0.04              | 60.0 | 0.02                 |
|   | ACCOUNT #: 04000695528       | BUY 0 Units @0.0000               |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-6420 - BROWN, JIM     | THE GROWTH FUND OF AMERICA-A      | 0.00                 | 0.04                | 0.00               | 0.04              | 60.0 | 0.02                 |
|   | ACCOUNT #: 04000695528       | BUY 0 Units @0.0000               |                      |                     |                    |                   |      |                      |
| * MUTUAL FUND 12B1 TRAILS SUBTOTAL *                    |                              |                                   | \$0.00               | \$4.20              | \$0.00             | \$4.20            |      | \$2.52               |
| *** BROKER TRANSACTIONS TOTAL ***                       |                              |                                   | \$397.32             | \$838.01            | \$0.00             | \$838.01          |      | \$502.81             |



BROKER #: B01  
BRANCH #01001 - LifeMark Home Office

|  |        | INVESTMENT | GROSS      | CLEARING              | NET        | BROKER     |
|--|--------|------------|------------|-----------------------|------------|------------|
| DATE   | CLIENT | AMOUNT     | COMMISSION | CHARGE                | COMMISSION | COMMISSION |
| <div>BROKER COMMISSION TOTALS</div>                                    |        |            |            |                       |            |            |
|  |        |            |            | Broker Transactions   |            | \$502.81   |
|  |        |            |            | Split Transactions    |            | \$0.00     |
|  |        |            |            | Override Transactions |            | \$0.00     |
|  |        |            |            | Adjustments           |            | \$0.00     |
|  |        |            |            | Payroll Draw          |            | \$0.00     |
|  |        |            |            | Base Salary           |            | \$0.00     |
|  |        |            |            | Prior Period Balance  |            | \$0.00     |
|  |        |            |            | FINRA Assessment      |            | \$0.00     |
|  |        |            |            | SIPC Assessment       |            | \$0.00     |
| Please Retain for Your Records<br>THERE WILL BE NO PAYMENT THIS PERIOD |        |            |            | Balance Forward       |            | \$0.00     |
|  |        |            |            | Year-to-date Earnings |            | \$0.00     |



# COMMISSION STATEMENT

## March 12, 2018

TODD JESSOP  
400 West Metro Park  
SUITE 700  
Rochester, NY 14623

BROKER #: 693  
BRANCH #01001 - LifeMark Home Office

| DATE  | CLIENT  | INVESTMENT  | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|---|---|---|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b><u>BROKER TRANSACTIONS</u></b>                       |   |   |                      |                     |                    |                   |      |                      |
| <b><u>PRODUCT CATEGORY: ALTERNATIVE INVESTMENTS</u></b> |   |   |                      |                     |                    |                   |      |                      |
| 02/08/2018  | ***-**-0517 - RUSSELL, EDWARD                               | GWG L BOND - 3YR<br>BUY 45 Units @1000.0000               | 44,895.00            | 2,244.75            | 0.00               | 2,244.75          | 90.0 | 2,020.28             |
|   |   | <b>* ALTERNATIVE INVESTMENTS SUBTOTAL *</b>               | <b>\$44,895.00</b>   | <b>\$2,244.75</b>   | <b>\$0.00</b>      | <b>\$2,244.75</b> |      | <b>\$2,020.28</b>    |
| <b><u>PRODUCT CATEGORY: MUTUAL FUNDS</u></b>            |   |   |                      |                     |                    |                   |      |                      |
| 02/26/2018  | ***-**-657I - JESSOP, SEAN<br>ACCOUNT #: 00084419361        | CAPITAL INCOME BUILDER-A<br>BUY 3 Units @66.3700          | 200.00               | 8.50                | 0.00               | 8.50              | 90.0 | 7.65                 |
| 02/27/2018  | ***-**-97CL - JESSOP, CLIENTS<br>ACCOUNT #: 000001977123647 | TEMPLETON GROWTH FUND CLASS A<br>BUY 2 Units @29.2100     | 50.00                | 2.50                | 0.00               | 2.50              | 90.0 | 2.25                 |
|   |   | <b>* MUTUAL FUNDS SUBTOTAL *</b>                          | <b>\$250.00</b>      | <b>\$11.00</b>      | <b>\$0.00</b>      | <b>\$11.00</b>    |      | <b>\$9.90</b>        |
| <b><u>PRODUCT CATEGORY: LIFE INSURANCE</u></b>          |   |   |                      |                     |                    |                   |      |                      |
| 03/06/2018  | ***-**-3491 - STEVENS, BRIAN<br>ACCOUNT #: N101690600       | NATIONWIDE MARKET FLEX NY<br>BUY 1 Units @83.3300         | 83.33                | 1.34                | 0.00               | 1.34              | 90.0 | 1.21                 |
|   |   | <b>* LIFE INSURANCE SUBTOTAL *</b>                        | <b>\$83.33</b>       | <b>\$1.34</b>       | <b>\$0.00</b>      | <b>\$1.34</b>     |      | <b>\$1.21</b>        |
| <b><u>PRODUCT CATEGORY: 529 PLAN</u></b>                |   |   |                      |                     |                    |                   |      |                      |
| 03/12/2018  | ***-**-275P - MEYER, JEFFREY<br>ACCOUNT #: 77757844801      | NEW YORK 529 TRAILS<br>BUY 0 Units @0.0000                | 0.00                 | 6.90                | 0.00               | 6.90              | 90.0 | 6.21                 |
|   |   | <b>* 529 PLAN SUBTOTAL *</b>                              | <b>\$0.00</b>        | <b>\$6.90</b>       | <b>\$0.00</b>      | <b>\$6.90</b>     |      | <b>\$6.21</b>        |
| <b><u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u></b> |   |   |                      |                     |                    |                   |      |                      |
| 03/12/2018  | ***-**-59IR - HALLAHAN, ELLEN<br>ACCOUNT #: LSR010357       | AIM CHARTER FUND - CLASS A<br>BUY 1 Units @0.0000         | 0.00                 | 3.08                | 0.00               | 3.08              | 90.0 | 2.77                 |
| 03/12/2018  | ***-**-593I - NOKER, DAVID<br>ACCOUNT #: LSR011260          | AIM DIVERSIFIED DIVIDEND FUND - CL<br>BUY 1 Units @0.0000 | 0.00                 | 5.87                | 0.00               | 5.87              | 90.0 | 5.28                 |
| 03/12/2018  | ***-**-673I - RICHARDSON, FBO<br>ACCOUNT #: LSR000639       | AIM REAL ESTATE FUND - CLASS A<br>BUY 1 Units @0.0000     | 0.00                 | 1.57                | 0.00               | 1.57              | 90.0 | 1.41                 |
| 03/12/2018  | ***-**-662J - SOLAZZO, GREGORY<br>ACCOUNT #: LSR001139      | AIM REAL ESTATE FUND - CLASS A<br>BUY 1 Units @0.0000     | 0.00                 | 0.99                | 0.00               | 0.99              | 90.0 | 0.89                 |
| 03/12/2018  | ***-**-82UT - SELLER CUST,<br>ACCOUNT #: LSR001732          | AIM REAL ESTATE FUND - CLASS A<br>BUY 1 Units @0.0000     | 0.00                 | 1.34                | 0.00               | 1.34              | 90.0 | 1.21                 |
| 03/12/2018  | ***-**-047I - WILDE, FBO NANCY<br>ACCOUNT #: LSR003492      | AIM REAL ESTATE FUND - CLASS A<br>BUY 1 Units @0.0000     | 0.00                 | 2.16                | 0.00               | 2.16              | 90.0 | 1.94                 |





# COMMISSION STATEMENT

March 12, 2018

TODD JESSOP

400 West Metro Park  
SUITE 700  
Rochester, NY 14623

BROKER #: 693

BRANCH #01001 - LifeMark Home Office

| DATE   | CLIENT   | INVESTMENT   | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|--|--|--|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b>BROKER TRANSACTIONS (continued)</b>                       |  |  |                      |                     |                    |                   |      |                      |
| <b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</b> |  |  |                      |                     |                    |                   |      |                      |
| 03/12/2018   | ***-**-068X - NOLL, CHERYL<br>ACCOUNT #: LSR010083       | AIM REAL ESTATE FUND - CLASS A<br>BUY 1 Units @0.0000      | 0.00                 | 5.29                | 0.00               | 5.29              | 90.0 | 4.76                 |
| 03/12/2018   | ***-**-7485 - PFENDLER,<br>ACCOUNT #: LSR102555          | ALLIANCEBERNSTEIN EMERG MKT DEBT A<br>BUY 1 Units @0.0000  | 0.00                 | 0.73                | 0.00               | 0.73              | 90.0 | 0.66                 |
| 03/12/2018   | ***-**-97UT - RICHTER CUST,<br>ACCOUNT #: LSR002429      | ALLIANCEBERNSTEIN LARGE-CAP GROWTH<br>BUY 1 Units @0.0000  | 0.00                 | 1.45                | 0.00               | 1.45              | 90.0 | 1.31                 |
| 03/12/2018   | ***-**-96I2 - PTAK, ROSETTE<br>ACCOUNT #: LSR006050      | ALLIANCEBERNSTEIN MUNI INCOME-NY A<br>BUY 1 Units @0.0000  | 0.00                 | 1.05                | 0.00               | 1.05              | 90.0 | 0.95                 |
| 03/01/2018   | ***-**-646I - STEELE, JOHN<br>ACCOUNT #: 00074237129     | AMCAP FUND-A<br>BUY 0 Units @0.0000                        | 0.00                 | 7.81                | 0.00               | 7.81              | 90.0 | 7.03                 |
| 03/01/2018   | ***-**-814I - STEELE, PATRICIA<br>ACCOUNT #: 00074237213 | AMCAP FUND-A<br>BUY 0 Units @0.0000                        | 0.00                 | 1.57                | 0.00               | 1.57              | 90.0 | 1.41                 |
| 03/01/2018   | ***-**-645P - TOMIDY, MILDRED<br>ACCOUNT #: 00074740837  | AMCAP FUND-A<br>BUY 0 Units @0.0000                        | 0.00                 | 8.86                | 0.00               | 8.86              | 90.0 | 7.97                 |
| 03/01/2018   | ***-**-98IR - WELLMAN, DAWN<br>ACCOUNT #: 00075028128    | AMCAP FUND-A<br>BUY 0 Units @0.0000                        | 0.00                 | 3.59                | 0.00               | 3.59              | 90.0 | 3.23                 |
| 03/01/2018   | ***-**-636I - WITZEL, KENNETH<br>ACCOUNT #: 00075751436  | AMCAP FUND-A<br>BUY 0 Units @0.0000                        | 0.00                 | 16.41               | 0.00               | 16.41             | 90.0 | 14.77                |
| 03/01/2018   | ***-**-179I - WADSWORTH,<br>ACCOUNT #: 00082623849       | AMCAP FUND-A<br>BUY 0 Units @0.0000                        | 0.00                 | 1.25                | 0.00               | 1.25              | 90.0 | 1.13                 |
| 03/01/2018   | ***-**-023I - GAGNE, SUSAN<br>ACCOUNT #: 00085765020     | AMCAP FUND-A<br>BUY 0 Units @0.0000                        | 0.00                 | 2.85                | 0.00               | 2.85              | 90.0 | 2.57                 |
| 03/01/2018   | ***-**-766I - ARCESE, BEN<br>ACCOUNT #: 00073872663      | AMCAP FUND-F1<br>BUY 0 Units @0.0000                       | 0.00                 | 5.37                | 0.00               | 5.37              | 90.0 | 4.83                 |
| 03/01/2018   | ***-**-5910 - MCCANN,<br>ACCOUNT #: 00085464503          | AMERICAN BALANCED FUND-529A<br>BUY 0 Units @0.0000         | 0.00                 | 4.55                | 0.00               | 4.55              | 90.0 | 4.10                 |
| 03/01/2018   | ***-**-234I - SCHULTZ, SCOTT<br>ACCOUNT #: 00084515079   | AMERICAN BALANCED FUND-A<br>BUY 0 Units @0.0000            | 0.00                 | 5.64                | 0.00               | 5.64              | 90.0 | 5.08                 |
| 03/01/2018   | ***-**-21IN - SFORMO, MICHELE<br>ACCOUNT #: 00086760284  | AMERICAN FUNDS BLNCD PORTFOLIO CL A<br>BUY 0 Units @0.0000 | 0.00                 | 13.97               | 0.00               | 13.97             | 90.0 | 12.57                |
| 03/01/2018   | ***-**-775I - PRENDERGAST,<br>ACCOUNT #: 00082624522     | AMERICAN HIGH-INCOME MUNI BOND FUND<br>BUY 0 Units @0.0000 | 0.00                 | 8.10                | 0.00               | 8.10              | 90.0 | 7.29                 |



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| DATE   | CLIENT   | INVESTMENT   | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|--|--|--|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b>BROKER TRANSACTIONS (continued)</b>                       |  |  |                      |                     |                    |                   |      |                      |
| <b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</b> |  |  |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-555P - WADSWORTH,<br>ACCOUNT #: 00073786372       | AMERICAN HIGH-INCOME TRUST-A<br>BUY 0 Units @0.0000        | 0.00                 | 6.77                | 0.00               | 6.77              | 90.0 | 6.09                 |
| 03/01/2018   | ***-**-814I - STEELE, PATRICIA<br>ACCOUNT #: 00074237213 | AMERICAN HIGH-INCOME TRUST-A<br>BUY 0 Units @0.0000        | 0.00                 | 6.00                | 0.00               | 6.00              | 90.0 | 5.40                 |
| 03/01/2018   | ***-**-636I - WITZEL, KENNETH<br>ACCOUNT #: 00075751436  | AMERICAN HIGH-INCOME TRUST-A<br>BUY 0 Units @0.0000        | 0.00                 | 5.57                | 0.00               | 5.57              | 90.0 | 5.01                 |
| 03/01/2018   | ***-**-10IR - PRENDERGAST,<br>ACCOUNT #: 00082644641     | AMERICAN HIGH-INCOME TRUST-A<br>BUY 0 Units @0.0000        | 0.00                 | 1.66                | 0.00               | 1.66              | 90.0 | 1.49                 |
| 03/01/2018   | ***-**-138I - KIBLER, MARY<br>ACCOUNT #: 00082842777     | AMERICAN HIGH-INCOME TRUST-A<br>BUY 0 Units @0.0000        | 0.00                 | 1.02                | 0.00               | 1.02              | 90.0 | 0.92                 |
| 03/01/2018   | ***-**-591O - MCCANN,<br>ACCOUNT #: 00085464503          | AMERICAN MUTUAL FUND-529A<br>BUY 0 Units @0.0000           | 0.00                 | 4.91                | 0.00               | 4.91              | 90.0 | 4.42                 |
| 03/01/2018   | ***-**-555P - WADSWORTH,<br>ACCOUNT #: 00073786372       | AMERICAN MUTUAL FUND-A<br>BUY 0 Units @0.0000              | 0.00                 | 4.50                | 0.00               | 4.50              | 90.0 | 4.05                 |
| 03/01/2018   | ***-**-636I - WITZEL, KENNETH<br>ACCOUNT #: 00075751436  | AMERICAN MUTUAL FUND-A<br>BUY 0 Units @0.0000              | 0.00                 | 8.98                | 0.00               | 8.98              | 90.0 | 8.08                 |
| 03/01/2018   | ***-**-182B - WOOD, ELLEN<br>ACCOUNT #: 00086558716      | AMERICAN MUTUAL FUND-A<br>BUY 0 Units @0.0000              | 0.00                 | 0.01                | 0.00               | 0.01              | 90.0 | 0.01                 |
| 03/01/2018   | ***-**-838B - MOGAVERO, KELLY<br>ACCOUNT #: 00086558723  | AMERICAN MUTUAL FUND-A<br>BUY 0 Units @0.0000              | 0.00                 | 0.11                | 0.00               | 0.11              | 90.0 | 0.10                 |
| 03/12/2018   | ***-**-20I2 - LANGEN, JOSEPH<br>ACCOUNT #: LSR006220     | CALVERT GLOBAL ALTERNATIVE ENERGY F<br>BUY 1 Units @0.0000 | 0.00                 | 0.51                | 0.00               | 0.51              | 90.0 | 0.46                 |
| 03/09/2018   | ***-**-922J - RICHARDSON, LISA<br>ACCOUNT #: 00006878237 | CALVERT ULTRA SHORT INCOME - A<br>BUY 0 Units @0.0000      | 0.00                 | 4.40                | 0.00               | 4.40              | 90.0 | 3.96                 |
| 03/01/2018   | ***-**-575P - BRICKWOOD, ERINN<br>ACCOUNT #: 00073395145 | CAPITAL INCOME BUILDER-529A<br>BUY 0 Units @0.0000         | 0.00                 | 2.65                | 0.00               | 2.65              | 90.0 | 2.39                 |
| 03/01/2018   | ***-**-591O - MCCANN,<br>ACCOUNT #: 00085464503          | CAPITAL INCOME BUILDER-529A<br>BUY 0 Units @0.0000         | 0.00                 | 3.96                | 0.00               | 3.96              | 90.0 | 3.56                 |
| 03/01/2018   | ***-**-59IN - MEYER, DOUGLAS<br>ACCOUNT #: 00068666611   | CAPITAL INCOME BUILDER-A<br>BUY 0 Units @0.0000            | 0.00                 | 7.33                | 0.00               | 7.33              | 90.0 | 6.60                 |
| 03/01/2018   | ***-**-555P - WADSWORTH,<br>ACCOUNT #: 00073786372       | CAPITAL INCOME BUILDER-A<br>BUY 0 Units @0.0000            | 0.00                 | 17.26               | 0.00               | 17.26             | 90.0 | 15.53                |



# COMMISSION STATEMENT

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| DATE   | CLIENT                         | INVESTMENT                          | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|--|--------------------------------|-------------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b>BROKER TRANSACTIONS (continued)</b>                       |                                |                                     |                      |                     |                    |                   |      |                      |
| <b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</b> |                                |                                     |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-645P - TOMIDY, MILDRED  | CAPITAL INCOME BUILDER-A            | 0.00                 | 4.59                | 0.00               | 4.59              | 90.0 | 4.13                 |
|  | ACCOUNT #: 00073851274         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-646I - STEELE, JOHN     | CAPITAL INCOME BUILDER-A            | 0.00                 | 1.02                | 0.00               | 1.02              | 90.0 | 0.92                 |
|  | ACCOUNT #: 00074237129         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-814I - STEELE, PATRICIA | CAPITAL INCOME BUILDER-A            | 0.00                 | 1.83                | 0.00               | 1.83              | 90.0 | 1.65                 |
|  | ACCOUNT #: 00074237213         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-265P - PASQUALE, LISA   | CAPITAL INCOME BUILDER-A            | 0.00                 | 1.78                | 0.00               | 1.78              | 90.0 | 1.60                 |
|  | ACCOUNT #: 00074248949         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-855P - PASQUALE, JOHN   | CAPITAL INCOME BUILDER-A            | 0.00                 | 1.78                | 0.00               | 1.78              | 90.0 | 1.60                 |
|  | ACCOUNT #: 00074249028         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-645P - TOMIDY, MILDRED  | CAPITAL INCOME BUILDER-A            | 0.00                 | 6.02                | 0.00               | 6.02              | 90.0 | 5.42                 |
|  | ACCOUNT #: 00074740837         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-205P - RODGERS, TAMMIE  | CAPITAL INCOME BUILDER-A            | 0.00                 | 1.64                | 0.00               | 1.64              | 90.0 | 1.48                 |
|  | ACCOUNT #: 00074773020         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-375P - MCELHENY, ANDREW | CAPITAL INCOME BUILDER-A            | 0.00                 | 0.34                | 0.00               | 0.34              | 90.0 | 0.31                 |
|  | ACCOUNT #: 00075437341         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-375P - MCELHENY, ANDREW | CAPITAL INCOME BUILDER-A            | 0.00                 | 0.27                | 0.00               | 0.27              | 90.0 | 0.24                 |
|  | ACCOUNT #: 00075751478         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-495P - BRINDUSE,        | CAPITAL INCOME BUILDER-A            | 0.00                 | 0.94                | 0.00               | 0.94              | 90.0 | 0.85                 |
|  | ACCOUNT #: 00082094339         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-39IR - KELSEY, DONNA    | CAPITAL INCOME BUILDER-A            | 0.00                 | 1.51                | 0.00               | 1.51              | 90.0 | 1.36                 |
|  | ACCOUNT #: 00082283557         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-68IR - PRENERGAST, JOHN | CAPITAL INCOME BUILDER-A            | 0.00                 | 1.80                | 0.00               | 1.80              | 90.0 | 1.62                 |
|  | ACCOUNT #: 00082644770         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-96RI - HEIT, DONALD     | CAPITAL INCOME BUILDER-A            | 0.00                 | 10.82               | 0.00               | 10.82             | 90.0 | 9.74                 |
|  | ACCOUNT #: 00083808684         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-657I - JESSOP, SEAN     | CAPITAL INCOME BUILDER-A            | 0.00                 | 19.92               | 0.00               | 19.92             | 90.0 | 17.93                |
|  | ACCOUNT #: 00084419361         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-495P - BRINDUSE,        | CAPITAL WORLD GROWTH AND INCOME FUN | 0.00                 | 1.10                | 0.00               | 1.10              | 90.0 | 0.99                 |
|  | ACCOUNT #: 00082094339         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-591O - MCCANN,          | CAPITAL WORLD GROWTH AND INCOME-529 | 0.00                 | 4.54                | 0.00               | 4.54              | 90.0 | 4.09                 |
|  | ACCOUNT #: 00085464503         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |



# COMMISSION STATEMENT

## March 12, 2018

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BRANCH #01001 - LifeMark Home Office

| DATE  | CLIENT                         | INVESTMENT                          | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|---|--------------------------------|-------------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b><u>BROKER TRANSACTIONS (continued)</u></b>                       |                                |                                     |                      |                     |                    |                   |      |                      |
| <b><u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</u></b> |                                |                                     |                      |                     |                    |                   |      |                      |
| 03/08/2018  | ***-**-9520 - LANGEN, JOSEPH G | DREYFUS MF TRAILS                   | 0.00                 | 4.66                | 0.00               | 4.66              | 90.0 | 4.19                 |
|   | ACCOUNT #: 0981620875          | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-575P - BRICKWOOD, ERINN | EUROPACIFIC GROWTH FUND-529A        | 0.00                 | 0.67                | 0.00               | 0.67              | 90.0 | 0.60                 |
|   | ACCOUNT #: 00075975352         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-198I - MODICA, MARLA    | EUROPACIFIC GROWTH FUND-A           | 0.00                 | 5.01                | 0.00               | 5.01              | 90.0 | 4.51                 |
|   | ACCOUNT #: 00074319594         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-461I - MCBRIDE, PHIL    | EUROPACIFIC GROWTH FUND-A           | 0.00                 | 8.03                | 0.00               | 8.03              | 90.0 | 7.23                 |
|   | ACCOUNT #: 00074656810         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-636I - WITZEL, KENNETH  | EUROPACIFIC GROWTH FUND-A           | 0.00                 | 11.97               | 0.00               | 11.97             | 90.0 | 10.77                |
|   | ACCOUNT #: 00075751436         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-375P - MCELHENY, ANDREW | EUROPACIFIC GROWTH FUND-A           | 0.00                 | 0.26                | 0.00               | 0.26              | 90.0 | 0.23                 |
|   | ACCOUNT #: 00075751478         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-437I - LEVEY, LARRY     | EUROPACIFIC GROWTH FUND-A           | 0.00                 | 0.70                | 0.00               | 0.70              | 90.0 | 0.63                 |
|   | ACCOUNT #: 00082288158         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-179I - WADSWORTH,       | EUROPACIFIC GROWTH FUND-A           | 0.00                 | 0.89                | 0.00               | 0.89              | 90.0 | 0.80                 |
|   | ACCOUNT #: 00082623849         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-10IR - PRENDERGAST,     | EUROPACIFIC GROWTH FUND-A           | 0.00                 | 1.36                | 0.00               | 1.36              | 90.0 | 1.22                 |
|   | ACCOUNT #: 00082644641         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-138I - KIBLER, MARY     | EUROPACIFIC GROWTH FUND-A           | 0.00                 | 0.78                | 0.00               | 0.78              | 90.0 | 0.70                 |
|   | ACCOUNT #: 00082842777         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-67IN - KORPER, ELAINE   | EUROPACIFIC GROWTH FUND-A           | 0.00                 | 38.00               | 0.00               | 38.00             | 90.0 | 34.20                |
|   | ACCOUNT #: 00059398972         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-67IN - KORPER, ELAINE   | EUROPACIFIC GROWTH FUND-A           | 0.00                 | 36.59               | 0.00               | 36.59             | 90.0 | 32.93                |
|   | ACCOUNT #: 00060743147         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/07/2018  | ***-**-8846 - GERTNER, STEPHEN | FIDELITY ADV EQUITY GROWTH CL T     | 0.00                 | 5.04                | 0.00               | 5.04              | 90.0 | 4.54                 |
|   | ACCOUNT #: 00006820056         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/07/2018  | ***-**-8846 - GERTNER, STEPHEN | FIDELITY ADVISOR EQUITY INCOME CL T | 0.00                 | 1.37                | 0.00               | 1.37              | 90.0 | 1.23                 |
|   | ACCOUNT #: 00006820056         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-091I - MCBRIDE,         | FUNDAMENTAL INVESTORS-A             | 0.00                 | 11.80               | 0.00               | 11.80             | 90.0 | 10.62                |
|   | ACCOUNT #: 00074656898         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-103I - WATSON, ERVIN    | FUNDAMENTAL INVESTORS-A             | 0.00                 | 3.08                | 0.00               | 3.08              | 90.0 | 2.77                 |
|   | ACCOUNT #: 00082189848         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |



# COMMISSION STATEMENT

March 12, 2018

TODD JESSOP

400 West Metro Park  
SUITE 700  
Rochester, NY 14623

BROKER #: 693

BRANCH #01001 - LifeMark Home Office

| DATE   | CLIENT                         | INVESTMENT                          | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|--|--------------------------------|-------------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b>BROKER TRANSACTIONS (continued)</b>                       |                                |                                     |                      |                     |                    |                   |      |                      |
| <b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</b> |                                |                                     |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-636I - WITZEL, KENNETH  | INTERMEDIATE BOND FUND OF AMERICA-A | 0.00                 | 6.96                | 0.00               | 6.96              | 90.0 | 6.26                 |
|  | ACCOUNT #: 00075751436         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/12/2018   | ***-**-7485 - PFENDLER,        | INVESCO AMERICAN FRANCHISE FUND -CL | 0.00                 | 0.75                | 0.00               | 0.75              | 90.0 | 0.68                 |
|  | ACCOUNT #: LSR102555           | BUY 1 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/12/2018   | ***-**-06IR - EVANS, FBO       | INVESCO INCOME ALLOCATION FUND - CL | 0.00                 | 3.01                | 0.00               | 3.01              | 90.0 | 2.71                 |
|  | ACCOUNT #: LSR010411           | BUY 1 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/12/2018   | ***-**-593I - NOKER, DAVID     | INVESCO INCOME ALLOCATION FUND - CL | 0.00                 | 5.86                | 0.00               | 5.86              | 90.0 | 5.27                 |
|  | ACCOUNT #: LSR011260           | BUY 1 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/12/2018   | ***-**-38IR - HALLAHAN, FBO    | MFS CONSERVATIVE ALLOCATION FUND-B  | 0.00                 | 3.35                | 0.00               | 3.35              | 90.0 | 3.02                 |
|  | ACCOUNT #: LSR010362           | BUY 1 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/12/2018   | ***-**-67IR - HALLAHAN, FBO    | MFS CONSERVATIVE ALLOCATION FUND-B  | 0.00                 | 3.41                | 0.00               | 3.41              | 90.0 | 3.07                 |
|  | ACCOUNT #: LSR010368           | BUY 1 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/12/2018   | ***-**-42IR - HALLAHAN, FBO    | MFS CONSERVATIVE ALLOCATION FUND-B  | 0.00                 | 3.41                | 0.00               | 3.41              | 90.0 | 3.07                 |
|  | ACCOUNT #: LSR010369           | BUY 1 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/12/2018   | ***-**-57IO - MCCUE, THERESA   | MFS CONSERVATIVE ALLOCATION FUND-B  | 0.00                 | 7.36                | 0.00               | 7.36              | 90.0 | 6.62                 |
|  | ACCOUNT #: LSR011565           | BUY 1 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/12/2018   | ***-**-41IN - SMEAD, BRIAN     | MFS CORE EQUITY FUND-A              | 0.00                 | 0.63                | 0.00               | 0.63              | 90.0 | 0.57                 |
|  | ACCOUNT #: LSR007480           | BUY 1 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/12/2018   | ***-**-926I - SINCLAIR, LINDA  | MFS GLOBAL GROWTH FUND-B            | 0.00                 | 6.07                | 0.00               | 6.07              | 90.0 | 5.46                 |
|  | ACCOUNT #: LSR010408           | BUY 1 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/12/2018   | ***-**-926I - SINCLAIR, LINDA  | MFS GLOBAL TOTAL RETURN FUND-B      | 0.00                 | 5.39                | 0.00               | 5.39              | 90.0 | 4.85                 |
|  | ACCOUNT #: LSR010408           | BUY 1 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/12/2018   | ***-**-996O - PTAK, ROSETTE    | MFS GLOBAL TOTAL RETURN FUND-B      | 0.00                 | 5.42                | 0.00               | 5.42              | 90.0 | 4.88                 |
|  | ACCOUNT #: LSR011589           | BUY 1 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/12/2018   | ***-**-0874 - RUSSELL, DOROTHY | MFS GLOBAL TOTAL RETURN FUND-B      | 0.00                 | 4.34                | 0.00               | 4.34              | 90.0 | 3.91                 |
|  | ACCOUNT #: LSR105341           | BUY 1 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/12/2018   | ***-**-47IR - REDDING, PHYLLIS | MFS HIGH INCOME FUND-B              | 0.00                 | 1.03                | 0.00               | 1.03              | 90.0 | 0.93                 |
|  | ACCOUNT #: LSR006068           | BUY 1 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/12/2018   | ***-**-35IN - WICK, MARTHA     | MFS HIGH INCOME FUND-B              | 0.00                 | 3.73                | 0.00               | 3.73              | 90.0 | 3.36                 |
|  | ACCOUNT #: LSR009091           | BUY 1 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/12/2018   | ***-**-602I - JACKSON, NSPS    | MFS INTERNATIONAL GROWTH FUND-B     | 0.00                 | 4.75                | 0.00               | 4.75              | 90.0 | 4.28                 |
|  | ACCOUNT #: LSR011096           | BUY 1 Units @0.0000                 |                      |                     |                    |                   |      |                      |



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| DATE   | CLIENT                         | INVESTMENT                   | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|--|--------------------------------|------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b>BROKER TRANSACTIONS (continued)</b>                       |                                |                              |                      |                     |                    |                   |      |                      |
| <b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</b> |                                |                              |                      |                     |                    |                   |      |                      |
| 03/12/2018   | ***-**-222I - HOLCOMB, DUANE   | MFS MODERATE ALLOCATION CL B | 0.00                 | 3.34                | 0.00               | 3.34              | 90.0 | 3.01                 |
|  | ACCOUNT #: LSR010204           | BUY 1 Units @0.0000          |                      |                     |                    |                   |      |                      |
| 03/12/2018   | ***-**-38IO - RUSSELL, JOHN    | MFS MODERATE ALLOCATION CL B | 0.00                 | 4.40                | 0.00               | 4.40              | 90.0 | 3.96                 |
|  | ACCOUNT #: LSR010669           | BUY 1 Units @0.0000          |                      |                     |                    |                   |      |                      |
| 03/12/2018   | ***-**-38IR - HALLAHAN, FBO    | MFS NEW DISCOVERY FUND-B     | 0.00                 | 1.19                | 0.00               | 1.19              | 90.0 | 1.07                 |
|  | ACCOUNT #: LSR010362           | BUY 1 Units @0.0000          |                      |                     |                    |                   |      |                      |
| 03/12/2018   | ***-**-67IR - HALLAHAN, FBO    | MFS NEW DISCOVERY FUND-B     | 0.00                 | 1.13                | 0.00               | 1.13              | 90.0 | 1.02                 |
|  | ACCOUNT #: LSR010368           | BUY 1 Units @0.0000          |                      |                     |                    |                   |      |                      |
| 03/12/2018   | ***-**-42IR - HALLAHAN, FBO    | MFS NEW DISCOVERY FUND-B     | 0.00                 | 1.13                | 0.00               | 1.13              | 90.0 | 1.02                 |
|  | ACCOUNT #: LSR010369           | BUY 1 Units @0.0000          |                      |                     |                    |                   |      |                      |
| 03/12/2018   | ***-**-926I - SINCLAIR, LINDA  | MFS RESEARCH BOND FUND-B     | 0.00                 | 2.54                | 0.00               | 2.54              | 90.0 | 2.29                 |
|  | ACCOUNT #: LSR010408           | BUY 1 Units @0.0000          |                      |                     |                    |                   |      |                      |
| 03/12/2018   | ***-**-602I - JACKSON, NSPS    | MFS RESEARCH BOND FUND-B     | 0.00                 | 4.88                | 0.00               | 4.88              | 90.0 | 4.39                 |
|  | ACCOUNT #: LSR011096           | BUY 1 Units @0.0000          |                      |                     |                    |                   |      |                      |
| 03/12/2018   | ***-**-996O - PTAK, ROSETTE    | MFS RESEARCH BOND FUND-B     | 0.00                 | 2.67                | 0.00               | 2.67              | 90.0 | 2.40                 |
|  | ACCOUNT #: LSR011589           | BUY 1 Units @0.0000          |                      |                     |                    |                   |      |                      |
| 03/12/2018   | ***-**-0874 - RUSSELL, DOROTHY | MFS RESEARCH BOND FUND-B     | 0.00                 | 4.12                | 0.00               | 4.12              | 90.0 | 3.71                 |
|  | ACCOUNT #: LSR105341           | BUY 1 Units @0.0000          |                      |                     |                    |                   |      |                      |
| 03/12/2018   | ***-**-09IO - BODINE, LYNN     | MFS TOTAL RETURN FUND-B      | 0.00                 | 0.85                | 0.00               | 0.85              | 90.0 | 0.77                 |
|  | ACCOUNT #: LSR010891           | BUY 1 Units @0.0000          |                      |                     |                    |                   |      |                      |
| 03/12/2018   | ***-**-38IR - HALLAHAN, FBO    | MFS VALUE FUND-B             | 0.00                 | 1.37                | 0.00               | 1.37              | 90.0 | 1.23                 |
|  | ACCOUNT #: LSR010362           | BUY 1 Units @0.0000          |                      |                     |                    |                   |      |                      |
| 03/12/2018   | ***-**-67IR - HALLAHAN, FBO    | MFS VALUE FUND-B             | 0.00                 | 1.37                | 0.00               | 1.37              | 90.0 | 1.23                 |
|  | ACCOUNT #: LSR010368           | BUY 1 Units @0.0000          |                      |                     |                    |                   |      |                      |
| 03/12/2018   | ***-**-42IR - HALLAHAN, FBO    | MFS VALUE FUND-B             | 0.00                 | 1.37                | 0.00               | 1.37              | 90.0 | 1.23                 |
|  | ACCOUNT #: LSR010369           | BUY 1 Units @0.0000          |                      |                     |                    |                   |      |                      |
| 03/12/2018   | ***-**-926I - SINCLAIR, LINDA  | MFS VALUE FUND-B             | 0.00                 | 5.21                | 0.00               | 5.21              | 90.0 | 4.69                 |
|  | ACCOUNT #: LSR010408           | BUY 1 Units @0.0000          |                      |                     |                    |                   |      |                      |
| 03/12/2018   | ***-**-602I - JACKSON, NSPS    | MFS VALUE FUND-B             | 0.00                 | 4.71                | 0.00               | 4.71              | 90.0 | 4.24                 |
|  | ACCOUNT #: LSR011096           | BUY 1 Units @0.0000          |                      |                     |                    |                   |      |                      |
| 03/12/2018   | ***-**-996O - PTAK, ROSETTE    | MFS VALUE FUND-B             | 0.00                 | 5.43                | 0.00               | 5.43              | 90.0 | 4.89                 |
|  | ACCOUNT #: LSR011589           | BUY 1 Units @0.0000          |                      |                     |                    |                   |      |                      |



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| DATE   | CLIENT                         | INVESTMENT                          | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|--|--------------------------------|-------------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b>BROKER TRANSACTIONS (continued)</b>                       |                                |                                     |                      |                     |                    |                   |      |                      |
| <b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</b> |                                |                                     |                      |                     |                    |                   |      |                      |
| 03/12/2018   | ***-**-0874 - RUSSELL, DOROTHY | MFS VALUE FUND-B                    | 0.00                 | 6.94                | 0.00               | 6.94              | 90.0 | 6.25                 |
|  | ACCOUNT #: LSR105341           | BUY 1 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-555P - WADSWORTH,       | NEW PERSPECTIVE FUND-A              | 0.00                 | 25.98               | 0.00               | 25.98             | 90.0 | 23.38                |
|  | ACCOUNT #: 00073786372         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-385P - RUSSELL, JOHN    | NEW PERSPECTIVE FUND-A              | 0.00                 | 3.46                | 0.00               | 3.46              | 90.0 | 3.11                 |
|  | ACCOUNT #: 00082174557         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-68IR - PRENERGAST, JOHN | NEW PERSPECTIVE FUND-A              | 0.00                 | 0.71                | 0.00               | 0.71              | 90.0 | 0.64                 |
|  | ACCOUNT #: 00082644770         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-375P - MCELHENY, ANDREW | NEW WORLD FUND-A                    | 0.00                 | 0.82                | 0.00               | 0.82              | 90.0 | 0.74                 |
|  | ACCOUNT #: 00075437341         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/12/2018   | ***-**-96I2 - PTAK, ROSETTE    | PRUDENTIAL CONSERV ALLOCATION CL A  | 0.00                 | 22.43               | 0.00               | 22.43             | 90.0 | 20.19                |
|  | ACCOUNT #: LSR006050           | BUY 1 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/12/2018   | ***-**-35IN - WICK, MARTHA     | PRUDENTIAL JENNISON EQUITY INCOME C | 0.00                 | 6.09                | 0.00               | 6.09              | 90.0 | 5.48                 |
|  | ACCOUNT #: LSR009091           | BUY 1 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/12/2018   | ***-**-35IN - WICK, MARTHA     | PRUDENTIAL JENNISON NATURAL RESOURC | 0.00                 | 0.65                | 0.00               | 0.65              | 90.0 | 0.59                 |
|  | ACCOUNT #: LSR009091           | BUY 1 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/12/2018   | ***-**-83IR - SHOEMAKER,       | PRUDENTIAL SHORT TERM CORP BOND CL  | 0.00                 | 0.19                | 0.00               | 0.19              | 90.0 | 0.17                 |
|  | ACCOUNT #: LSR005738           | BUY 1 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/12/2018   | ***-**-205P - LANGEN, JOSEPH   | SAMMONS MF TRAILS                   | 0.00                 | 3.84                | 0.00               | 3.84              | 90.0 | 3.46                 |
|  | ACCOUNT #: 7200005342          | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/12/2018   | ***-**-205P - LANGEN, JOSEPH   | SAMMONS MF TRAILS                   | 0.00                 | 6.98                | 0.00               | 6.98              | 90.0 | 6.28                 |
|  | ACCOUNT #: 7200005343          | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-555P - WADSWORTH,       | SMALLCAP WORLD FUND-A               | 0.00                 | 5.33                | 0.00               | 5.33              | 90.0 | 4.80                 |
|  | ACCOUNT #: 00073786372         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-375P - MCELHENY, ANDREW | SMALLCAP WORLD FUND-A               | 0.00                 | 0.54                | 0.00               | 0.54              | 90.0 | 0.49                 |
|  | ACCOUNT #: 00075437341         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-375P - MCELHENY, ANDREW | SMALLCAP WORLD FUND-A               | 0.00                 | 0.71                | 0.00               | 0.71              | 90.0 | 0.64                 |
|  | ACCOUNT #: 00075751478         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-44IN - HALLAHAN,        | TAX-EXEMPT BOND FUND OF AMERICA     | 0.00                 | 4.63                | 0.00               | 4.63              | 90.0 | 4.17                 |
|  | ACCOUNT #: 00081721520         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-775I - PRENDERGAST,     | TAX-EXEMPT BOND FUND OF AMERICA     | 0.00                 | 19.12               | 0.00               | 19.12             | 90.0 | 17.21                |
|  | ACCOUNT #: 00082624522         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |



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| <b>BROKER TRANSACTIONS (continued)</b>                       |                                |                                 |                      |                     |                    |                   |      |                      |
| <b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</b> |                                |                                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-265P - POPE, GREGORY    | THE BOND FUND OF AMERICA-529A   | 0.00                 | 0.21                | 0.00               | 0.21              | 90.0 | 0.19                 |
|  | ACCOUNT #: 00068140582         | BUY 0 Units @0.0000             |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-76IR - GOMBORONE, CAROL | THE BOND FUND OF AMERICA-A      | 0.00                 | 10.62               | 0.00               | 10.62             | 90.0 | 9.56                 |
|  | ACCOUNT #: 00068752210         | BUY 0 Units @0.0000             |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-13IN - KIBLER, MARY     | THE BOND FUND OF AMERICA-A      | 0.00                 | 3.34                | 0.00               | 3.34              | 90.0 | 3.01                 |
|  | ACCOUNT #: 00073060131         | BUY 0 Units @0.0000             |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-555P - WADSWORTH,       | THE BOND FUND OF AMERICA-A      | 0.00                 | 6.18                | 0.00               | 6.18              | 90.0 | 5.56                 |
|  | ACCOUNT #: 00073786372         | BUY 0 Units @0.0000             |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-814I - STEELE, PATRICIA | THE BOND FUND OF AMERICA-A      | 0.00                 | 12.27               | 0.00               | 12.27             | 90.0 | 11.04                |
|  | ACCOUNT #: 00074237213         | BUY 0 Units @0.0000             |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-461I - MCBRIDE, PHIL    | THE BOND FUND OF AMERICA-A      | 0.00                 | 8.40                | 0.00               | 8.40              | 90.0 | 7.56                 |
|  | ACCOUNT #: 00074656810         | BUY 0 Units @0.0000             |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-636I - WITZEL, KENNETH  | THE BOND FUND OF AMERICA-A      | 0.00                 | 6.62                | 0.00               | 6.62              | 90.0 | 5.96                 |
|  | ACCOUNT #: 00075751436         | BUY 0 Units @0.0000             |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-755P - PRENDERGAST,     | THE GROWTH FUND OF AMERICA-529A | 0.00                 | 0.60                | 0.00               | 0.60              | 90.0 | 0.54                 |
|  | ACCOUNT #: 00068371050         | BUY 0 Units @0.0000             |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-755P - PRENDERGAST,     | THE GROWTH FUND OF AMERICA-529A | 0.00                 | 0.39                | 0.00               | 0.39              | 90.0 | 0.35                 |
|  | ACCOUNT #: 00075352555         | BUY 0 Units @0.0000             |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-575P - BRICKWOOD, ERINN | THE GROWTH FUND OF AMERICA-529A | 0.00                 | 0.98                | 0.00               | 0.98              | 90.0 | 0.88                 |
|  | ACCOUNT #: 00075975352         | BUY 0 Units @0.0000             |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-175P - BISHOP, MASON    | THE GROWTH FUND OF AMERICA-529A | 0.00                 | 4.12                | 0.00               | 4.12              | 90.0 | 3.71                 |
|  | ACCOUNT #: 00082841529         | BUY 0 Units @0.0000             |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-755P - PRENDERGAST,     | THE GROWTH FUND OF AMERICA-529A | 0.00                 | 0.29                | 0.00               | 0.29              | 90.0 | 0.26                 |
|  | ACCOUNT #: 00083820738         | BUY 0 Units @0.0000             |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-825P - VESTER, MICHAEL  | THE GROWTH FUND OF AMERICA-529A | 0.00                 | 6.81                | 0.00               | 6.81              | 90.0 | 6.13                 |
|  | ACCOUNT #: 00085928539         | BUY 0 Units @0.0000             |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-825P - VESTER, MICHAEL  | THE GROWTH FUND OF AMERICA-529A | 0.00                 | 6.81                | 0.00               | 6.81              | 90.0 | 6.13                 |
|  | ACCOUNT #: 00085928560         | BUY 0 Units @0.0000             |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-35IR - WICK, MARTHA     | THE GROWTH FUND OF AMERICA-A    | 0.00                 | 3.68                | 0.00               | 3.68              | 90.0 | 3.31                 |
|  | ACCOUNT #: 00065037793         | BUY 0 Units @0.0000             |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-16IN - REIMANN,         | THE GROWTH FUND OF AMERICA-A    | 0.00                 | 4.58                | 0.00               | 4.58              | 90.0 | 4.12                 |
|  | ACCOUNT #: 00073553532         | BUY 0 Units @0.0000             |                      |                     |                    |                   |      |                      |





# COMMISSION STATEMENT

March 12, 2018

TODD JESSOP

400 West Metro Park  
SUITE 700  
Rochester, NY 14623

BROKER #: 693

BRANCH #01001 - LifeMark Home Office

| DATE   | CLIENT                         | INVESTMENT                          | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|--|--------------------------------|-------------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b>BROKER TRANSACTIONS (continued)</b>                       |                                |                                     |                      |                     |                    |                   |      |                      |
| <b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</b> |                                |                                     |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-11IR - JESSOP, CYNTHIA  | THE GROWTH FUND OF AMERICA-A        | 0.00                 | 3.88                | 0.00               | 3.88              | 90.0 | 3.49                 |
|  | ACCOUNT #: 00073600477         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-09UG - LAROCQUE,        | THE GROWTH FUND OF AMERICA-A        | 0.00                 | 1.63                | 0.00               | 1.63              | 90.0 | 1.47                 |
|  | ACCOUNT #: 00073777797         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-555P - WADSWORTH,       | THE GROWTH FUND OF AMERICA-A        | 0.00                 | 31.52               | 0.00               | 31.52             | 90.0 | 28.37                |
|  | ACCOUNT #: 00073786372         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-646I - STEELE, JOHN     | THE GROWTH FUND OF AMERICA-A        | 0.00                 | 3.44                | 0.00               | 3.44              | 90.0 | 3.10                 |
|  | ACCOUNT #: 00074237129         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-814I - STEELE, PATRICIA | THE GROWTH FUND OF AMERICA-A        | 0.00                 | 0.75                | 0.00               | 0.75              | 90.0 | 0.68                 |
|  | ACCOUNT #: 00074237213         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-198I - MODICA, MARLA    | THE GROWTH FUND OF AMERICA-A        | 0.00                 | 7.96                | 0.00               | 7.96              | 90.0 | 7.16                 |
|  | ACCOUNT #: 00074319594         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-37IN - JAMIESON,        | THE GROWTH FUND OF AMERICA-A        | 0.00                 | 1.08                | 0.00               | 1.08              | 90.0 | 0.97                 |
|  | ACCOUNT #: 00075306416         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-495P - BRINDUSE,        | THE GROWTH FUND OF AMERICA-A        | 0.00                 | 1.30                | 0.00               | 1.30              | 90.0 | 1.17                 |
|  | ACCOUNT #: 00082094339         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-44UG - LAROQUE, NY/UTMA | THE GROWTH FUND OF AMERICA-A        | 0.00                 | 1.32                | 0.00               | 1.32              | 90.0 | 1.19                 |
|  | ACCOUNT #: 00082828880         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-78UG - LAROQUE, NY/UTMA | THE GROWTH FUND OF AMERICA-A        | 0.00                 | 1.28                | 0.00               | 1.28              | 90.0 | 1.15                 |
|  | ACCOUNT #: 00082837091         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-96RI - HEIT, DONALD     | THE GROWTH FUND OF AMERICA-A        | 0.00                 | 13.10               | 0.00               | 13.10             | 90.0 | 11.79                |
|  | ACCOUNT #: 00083808684         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-702J - SELLER, MARK     | THE GROWTH FUND OF AMERICA-A        | 0.00                 | 7.44                | 0.00               | 7.44              | 90.0 | 6.70                 |
|  | ACCOUNT #: 00085575414         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-265P - POPE, GREGORY    | THE INCOME FUND OF AMERICA-529A     | 0.00                 | 0.25                | 0.00               | 0.25              | 90.0 | 0.23                 |
|  | ACCOUNT #: 00068140582         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-175P - BISHOP, MASON    | THE INVESTMENT COMPANY OF AMERICA-5 | 0.00                 | 4.06                | 0.00               | 4.06              | 90.0 | 3.65                 |
|  | ACCOUNT #: 00082886995         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-755P - PRENDERGAST,     | THE INVESTMENT COMPANY OF AMERICA-5 | 0.00                 | 0.21                | 0.00               | 0.21              | 90.0 | 0.19                 |
|  | ACCOUNT #: 00083820738         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-725P - HIGGINS, BARBARA | THE INVESTMENT COMPANY OF AMERICA-A | 0.00                 | 175.77              | 0.00               | 175.77            | 90.0 | 158.19               |
|  | ACCOUNT #: 00059423291         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |



# COMMISSION STATEMENT

March 12, 2018

TODD JESSOP

400 West Metro Park  
SUITE 700  
Rochester, NY 14623

BROKER #: 693

BRANCH #01001 - LifeMark Home Office

| DATE   | CLIENT   | INVESTMENT   | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|--|--|--|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b>BROKER TRANSACTIONS (continued)</b>                       |  |  |                      |                     |                    |                   |      |                      |
| <b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</b> |  |  |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-068J - PRENERGAST,<br>ACCOUNT #: 00063486287      | THE INVESTMENT COMPANY OF AMERICA-A<br>BUY 0 Units @0.0000 | 0.00                 | 2.08                | 0.00               | 2.08              | 90.0 | 1.87                 |
| 03/01/2018   | ***-**-13IN - KIBLER, MARY<br>ACCOUNT #: 00073060131     | THE INVESTMENT COMPANY OF AMERICA-A<br>BUY 0 Units @0.0000 | 0.00                 | 6.79                | 0.00               | 6.79              | 90.0 | 6.11                 |
| 03/01/2018   | ***-**-461I - MCBRIDE, PHIL<br>ACCOUNT #: 00074656810    | THE INVESTMENT COMPANY OF AMERICA-A<br>BUY 0 Units @0.0000 | 0.00                 | 8.90                | 0.00               | 8.90              | 90.0 | 8.01                 |
| 03/01/2018   | ***-**-636I - WITZEL, KENNETH<br>ACCOUNT #: 00075751436  | THE INVESTMENT COMPANY OF AMERICA-A<br>BUY 0 Units @0.0000 | 0.00                 | 17.70               | 0.00               | 17.70             | 90.0 | 15.93                |
| 03/01/2018   | ***-**-385P - RUSSELL, JOHN<br>ACCOUNT #: 00082174557    | THE INVESTMENT COMPANY OF AMERICA-A<br>BUY 0 Units @0.0000 | 0.00                 | 3.26                | 0.00               | 3.26              | 90.0 | 2.93                 |
| 03/01/2018   | ***-**-67IN - KORPER, ELAINE<br>ACCOUNT #: 00059398972   | THE INVESTMENT COMPANY OF AMERICA-A<br>BUY 0 Units @0.0000 | 0.00                 | 32.35               | 0.00               | 32.35             | 90.0 | 29.12                |
| 03/01/2018   | ***-**-67IN - KORPER, ELAINE<br>ACCOUNT #: 00060743147   | THE NEW ECONOMY FUND-A<br>BUY 0 Units @0.0000              | 0.00                 | 13.57               | 0.00               | 13.57             | 90.0 | 12.21                |
| 03/01/2018   | ***-**-182B - WOOD, ELLEN<br>ACCOUNT #: 00086558716      | THE NEW ECONOMY FUND-A<br>BUY 0 Units @0.0000              | 0.00                 | 0.06                | 0.00               | 0.06              | 90.0 | 0.05                 |
| 03/01/2018   | ***-**-555P - WADSWORTH,<br>ACCOUNT #: 00073786372       | U.S. GOVERNMENT SECURITIES FUND CLA<br>BUY 0 Units @0.0000 | 0.00                 | 4.58                | 0.00               | 4.58              | 90.0 | 4.12                 |
| 03/01/2018   | ***-**-814I - STEELE, PATRICIA<br>ACCOUNT #: 00074237213 | U.S. GOVERNMENT SECURITIES FUND CLA<br>BUY 0 Units @0.0000 | 0.00                 | 3.38                | 0.00               | 3.38              | 90.0 | 3.04                 |
| 03/01/2018   | ***-**-755P - PRENDERGAST,<br>ACCOUNT #: 00068371050     | WASHINGTON MUTUAL INVESTORS FUND-52<br>BUY 0 Units @0.0000 | 0.00                 | 0.34                | 0.00               | 0.34              | 90.0 | 0.31                 |
| 03/01/2018   | ***-**-175P - BISHOP, MASON<br>ACCOUNT #: 00074056953    | WASHINGTON MUTUAL INVESTORS FUND-52<br>BUY 0 Units @0.0000 | 0.00                 | 4.97                | 0.00               | 4.97              | 90.0 | 4.47                 |
| 03/01/2018   | ***-**-755P - PRENDERGAST,<br>ACCOUNT #: 00075352555     | WASHINGTON MUTUAL INVESTORS FUND-52<br>BUY 0 Units @0.0000 | 0.00                 | 0.26                | 0.00               | 0.26              | 90.0 | 0.23                 |
| 03/01/2018   | ***-**-11IR - JESSOP, CYNTHIA<br>ACCOUNT #: 00073600477  | WASHINGTON MUTUAL INVESTORS FUND-A<br>BUY 0 Units @0.0000  | 0.00                 | 3.21                | 0.00               | 3.21              | 90.0 | 2.89                 |
| 03/01/2018   | ***-**-555P - WADSWORTH,<br>ACCOUNT #: 00073786372       | WASHINGTON MUTUAL INVESTORS FUND-A<br>BUY 0 Units @0.0000  | 0.00                 | 40.47               | 0.00               | 40.47             | 90.0 | 36.42                |
| 03/01/2018   | ***-**-646I - STEELE, JOHN<br>ACCOUNT #: 00074237129     | WASHINGTON MUTUAL INVESTORS FUND-A<br>BUY 0 Units @0.0000  | 0.00                 | 7.17                | 0.00               | 7.17              | 90.0 | 6.45                 |



# COMMISSION STATEMENT

March 12, 2018

TODD JESSOP

400 West Metro Park  
SUITE 700  
Rochester, NY 14623

BROKER #: 693

BRANCH #01001 - LifeMark Home Office

| DATE   | CLIENT                                      | INVESTMENT                         | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|--|---|------------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b>BROKER TRANSACTIONS (continued)</b>                       |   |                                    |                      |                     |                    |                   |      |                      |
| <b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</b> |   |                                    |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-814I - STEELE, PATRICIA              | WASHINGTON MUTUAL INVESTORS FUND-A | 0.00                 | 3.71                | 0.00               | 3.71              | 90.0 | 3.34                 |
|  | ACCOUNT #: 00074237213                      | BUY 0 Units @0.0000                |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-265P - PASQUALE, LISA                | WASHINGTON MUTUAL INVESTORS FUND-A | 0.00                 | 2.09                | 0.00               | 2.09              | 90.0 | 1.88                 |
|  | ACCOUNT #: 00074248949                      | BUY 0 Units @0.0000                |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-855P - PASQUALE, JOHN                | WASHINGTON MUTUAL INVESTORS FUND-A | 0.00                 | 2.09                | 0.00               | 2.09              | 90.0 | 1.88                 |
|  | ACCOUNT #: 00074249028                      | BUY 0 Units @0.0000                |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-091I - MCBRIDE,                      | WASHINGTON MUTUAL INVESTORS FUND-A | 0.00                 | 9.84                | 0.00               | 9.84              | 90.0 | 8.86                 |
|  | ACCOUNT #: 00074656898                      | BUY 0 Units @0.0000                |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-105P - WELLMAN, LEONARD              | WASHINGTON MUTUAL INVESTORS FUND-A | 0.00                 | 3.34                | 0.00               | 3.34              | 90.0 | 3.01                 |
|  | ACCOUNT #: 00075028081                      | BUY 0 Units @0.0000                |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-67IN - KORPER, ELAINE                | WASHINGTON MUTUAL INVESTORS FUND-A | 0.00                 | 107.90              | 0.00               | 107.90            | 90.0 | 97.11                |
|  | ACCOUNT #: 00060743147                      | BUY 0 Units @0.0000                |                      |                     |                    |                   |      |                      |
|  | <b>* MUTUAL FUND 12B1 TRAILS SUBTOTAL *</b> |                                    | <b>\$0.00</b>        | <b>\$1,197.80</b>   | <b>\$0.00</b>      | <b>\$1,197.80</b> |      | <b>\$1,078.07</b>    |
|  | <b>*** BROKER TRANSACTIONS TOTAL ***</b>    |                                    | <b>\$45,228.33</b>   | <b>\$3,461.79</b>   | <b>\$0.00</b>      | <b>\$3,461.79</b> |      | <b>\$3,115.67</b>    |

## BROKER COMMISSION TOTALS

|                       |            |
|-----------------------|------------|
| Broker Transactions   | \$3,115.67 |
| Split Transactions    | \$0.00     |
| Override Transactions | \$0.00     |
| Adjustments           | \$0.00     |
| Payroll Draw          | \$0.00     |
| Base Salary           | \$0.00     |
| Prior Period Balance  | \$0.00     |
| FINRA Assessment      | \$0.00     |
| SIPC Assessment       | \$0.00     |

Please Retain for Your Records  
THERE WILL BE NO PAYMENT THIS PERIOD

|                              |               |
|------------------------------|---------------|
| <b>Balance Forward</b>       | <b>\$0.00</b> |
| <b>Year-to-date Earnings</b> | <b>\$0.00</b> |



# COMMISSION STATEMENT

## March 12, 2018

STEVEN JOEL  
404 Chateau Drive  
Buffalo Grove, IL 60089-6708

BROKER #: 592  
BRANCH #01001 - LifeMark Home Office

| DATE  | CLIENT   | INVESTMENT   | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|---|--|--|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b><u>BROKER TRANSACTIONS</u></b>                       |  |  |                      |                     |                    |                   |      |                      |
| <b><u>PRODUCT CATEGORY: MUTUAL FUNDS</u></b>            |  |  |                      |                     |                    |                   |      |                      |
| 03/02/2018  | ***-**-0821 - PIZANO,<br>ACCOUNT #: 04000084453          | AMERICAN FUNDS 2040 TARGET DATE-A<br>BUY 9 Units @16.2100  | 138.48               | 5.89                | 0.00               | 5.89              | 60.0 | 3.53                 |
| 03/02/2018  | ***-**-0821 - PIZANO,<br>ACCOUNT #: 04000084453          | AMERICAN FUNDS 2040 TARGET DATE-A<br>BUY 3 Units @16.2100  | 51.93                | 2.21                | 0.00               | 2.21              | 60.0 | 1.33                 |
| 03/02/2018  | ***-**-0477 - ELIAS, ADI<br>ACCOUNT #: 04000084445       | AMERICAN FUNDS 2050 TARGET DATE-A<br>BUY 11 Units @16.1500 | 180.00               | 7.65                | 0.00               | 7.65              | 60.0 | 4.59                 |
| 03/02/2018  | ***-**-0477 - ELIAS, ADI<br>ACCOUNT #: 04000084445       | AMERICAN FUNDS 2050 TARGET DATE-A<br>BUY 4 Units @16.1500  | 67.50                | 2.87                | 0.00               | 2.87              | 60.0 | 1.72                 |
| 03/02/2018  | ***-**-2300 - GOMEZ, LAURA<br>ACCOUNT #: 04000084436     | AMERICAN FUNDS 2050 TARGET DATE-A<br>BUY 2 Units @16.1500  | 37.50                | 1.59                | 0.00               | 1.59              | 60.0 | 0.95                 |
| 03/02/2018  | ***-**-2300 - GOMEZ, LAURA<br>ACCOUNT #: 04000084436     | AMERICAN FUNDS 2050 TARGET DATE-A<br>BUY 2 Units @16.1500  | 37.50                | 1.59                | 0.00               | 1.59              | 60.0 | 0.95                 |
| 03/02/2018  | ***-**-03IN - SINGER, CRAIG<br>ACCOUNT #: 04000083887    | AMERICAN FUNDS 2050 TARGET DATE-A<br>BUY 50 Units @16.1500 | 800.00               | 34.00               | 0.00               | 34.00             | 60.0 | 20.40                |
| 03/02/2018  | ***-**-03IN - SINGER, CRAIG<br>ACCOUNT #: 04000083887    | AMERICAN FUNDS 2050 TARGET DATE-A<br>BUY 15 Units @16.1500 | 240.00               | 10.20               | 0.00               | 10.20             | 60.0 | 6.12                 |
| <b>* MUTUAL FUNDS SUBTOTAL *</b>                        |  |  | <b>\$1,552.91</b>    | <b>\$66.00</b>      | <b>\$0.00</b>      | <b>\$66.00</b>    |      | <b>\$39.59</b>       |
| <b><u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u></b> |  |  |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-495P - LOVE, MELODY<br>ACCOUNT #: 00065095650     | AMCAP FUND-A<br>BUY 0 Units @0.0000                        | 0.00                 | 9.97                | 0.00               | 9.97              | 60.0 | 5.98                 |
| 03/01/2018  | ***-**-89CL - JOEL, CLIENTS OF<br>ACCOUNT #: 00086987116 | AMCAP FUND-A<br>BUY 0 Units @0.0000                        | 0.00                 | 399.35              | 0.00               | 399.35            | 60.0 | 239.61               |
| 03/01/2018  | ***-**-9025 - LOIZZO, LETA<br>ACCOUNT #: 00084717399     | AMERICAN BALANCED FUND-529A<br>BUY 0 Units @0.0000         | 0.00                 | 13.12               | 0.00               | 13.12             | 60.0 | 7.87                 |
| 03/01/2018  | ***-**-9025 - LOIZZO, LETA<br>ACCOUNT #: 00084717411     | AMERICAN BALANCED FUND-529A<br>BUY 0 Units @0.0000         | 0.00                 | 0.75                | 0.00               | 0.75              | 60.0 | 0.45                 |
| 03/01/2018  | ***-**-0972 - ALLEN, ROBERT<br>ACCOUNT #: 00064956307    | AMERICAN BALANCED FUND-A<br>BUY 0 Units @0.0000            | 0.00                 | 13.45               | 0.00               | 13.45             | 60.0 | 8.07                 |
| 03/01/2018  | ***-**-605P - BRUEGMANN, FRED<br>ACCOUNT #: 00066948683  | AMERICAN BALANCED FUND-A<br>BUY 0 Units @0.0000            | 0.00                 | 10.39               | 0.00               | 10.39             | 60.0 | 6.23                 |
| 03/01/2018  | ***-**-095P - BUSH, PAMELA<br>ACCOUNT #: 00067011775     | AMERICAN BALANCED FUND-A<br>BUY 0 Units @0.0000            | 0.00                 | 2.92                | 0.00               | 2.92              | 60.0 | 1.75                 |



# COMMISSION STATEMENT

March 12, 2018

STEVEN JOEL  
404 Chateau Drive  
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BROKER #: 592  
BRANCH #01001 - LifeMark Home Office

| DATE   | CLIENT                         | INVESTMENT               | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|--|--------------------------------|--------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b>BROKER TRANSACTIONS (continued)</b>                       |                                |                          |                      |                     |                    |                   |      |                      |
| <b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</b> |                                |                          |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-585P - LOIZZO, JULIO    | AMERICAN BALANCED FUND-A | 0.00                 | 183.06              | 0.00               | 183.06            | 60.0 | 109.84               |
|  | ACCOUNT #: 00067324484         | BUY 0 Units @0.0000      |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-04IN - LOIZZO, JULIO    | AMERICAN BALANCED FUND-A | 0.00                 | 23.86               | 0.00               | 23.86             | 60.0 | 14.32                |
|  | ACCOUNT #: 00067658168         | BUY 0 Units @0.0000      |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-51IN - ORLOV, BRANDON   | AMERICAN BALANCED FUND-A | 0.00                 | 18.99               | 0.00               | 18.99             | 60.0 | 11.39                |
|  | ACCOUNT #: 00073504122         | BUY 0 Units @0.0000      |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-878P - BAUER, LISA      | AMERICAN BALANCED FUND-A | 0.00                 | 73.14               | 0.00               | 73.14             | 60.0 | 43.88                |
|  | ACCOUNT #: 00074154281         | BUY 0 Units @0.0000      |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-025I - LOIZZO, LETA     | AMERICAN BALANCED FUND-A | 0.00                 | 25.70               | 0.00               | 25.70             | 60.0 | 15.42                |
|  | ACCOUNT #: 00074579234         | BUY 0 Units @0.0000      |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-435P - TAYLOR, DANA     | AMERICAN BALANCED FUND-A | 0.00                 | 1.59                | 0.00               | 1.59              | 60.0 | 0.95                 |
|  | ACCOUNT #: 00074869684         | BUY 0 Units @0.0000      |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-105P - SANDONATO, MARY  | AMERICAN BALANCED FUND-A | 0.00                 | 35.35               | 0.00               | 35.35             | 60.0 | 21.21                |
|  | ACCOUNT #: 00075521006         | BUY 0 Units @0.0000      |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-37IR - PONTA, SHAOPING  | AMERICAN BALANCED FUND-A | 0.00                 | 0.39                | 0.00               | 0.39              | 60.0 | 0.23                 |
|  | ACCOUNT #: 00085591406         | BUY 0 Units @0.0000      |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-637I - PONTA, SHAOPING  | AMERICAN BALANCED FUND-A | 0.00                 | 4.25                | 0.00               | 4.25              | 60.0 | 2.55                 |
|  | ACCOUNT #: 00085591549         | BUY 0 Units @0.0000      |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-76IR - AFRICK, MICHAEL  | AMERICAN BALANCED FUND-A | 0.00                 | 11.51               | 0.00               | 11.51             | 60.0 | 6.91                 |
|  | ACCOUNT #: 00085641981         | BUY 0 Units @0.0000      |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-76II - AFRICK, MICHAEL  | AMERICAN BALANCED FUND-A | 0.00                 | 244.41              | 0.00               | 244.41            | 60.0 | 146.65               |
|  | ACCOUNT #: 00085642001         | BUY 0 Units @0.0000      |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-245I - LIVELY, DAVID    | AMERICAN BALANCED FUND-A | 0.00                 | 3.90                | 0.00               | 3.90              | 60.0 | 2.34                 |
|  | ACCOUNT #: 00086438336         | BUY 0 Units @0.0000      |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-89CL - JOEL, CLIENTS OF | AMERICAN BALANCED FUND-A | 0.00                 | 166.22              | 0.00               | 166.22            | 60.0 | 99.73                |
|  | ACCOUNT #: 00086987116         | BUY 0 Units @0.0000      |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-2146 - REYES, ALVARO    | AMERICAN BALANCED FUND-A | 0.00                 | 0.63                | 0.00               | 0.63              | 60.0 | 0.38                 |
|  | ACCOUNT #: 04000589054         | BUY 0 Units @0.0000      |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-2146 - REYES, ALVARO    | AMERICAN BALANCED FUND-A | 0.00                 | 0.26                | 0.00               | 0.26              | 60.0 | 0.16                 |
|  | ACCOUNT #: 04000589102         | BUY 0 Units @0.0000      |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-8719 - MELESIO, JULIA   | AMERICAN BALANCED FUND-A | 0.00                 | 7.44                | 0.00               | 7.44              | 60.0 | 4.46                 |
|  | ACCOUNT #: 04000636916         | BUY 0 Units @0.0000      |                      |                     |                    |                   |      |                      |



# COMMISSION STATEMENT

March 12, 2018

STEVEN JOEL  
404 Chateau Drive  
Buffalo Grove, IL 60089-6708

BROKER #: 592  
BRANCH #01001 - LifeMark Home Office

| DATE   | CLIENT                         | INVESTMENT                          | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|--|--------------------------------|-------------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b>BROKER TRANSACTIONS (continued)</b>                       |                                |                                     |                      |                     |                    |                   |      |                      |
| <b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</b> |                                |                                     |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-2172 - MELESIO, DANIEL  | AMERICAN BALANCED FUND-A            | 0.00                 | 217.32              | 0.00               | 217.32            | 60.0 | 130.39               |
|  | ACCOUNT #: 04000637125         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-03IN - SINGER, CRAIG    | AMERICAN DEVELOPING WRLD GRWTH & IN | 0.00                 | 2.16                | 0.00               | 2.16              | 60.0 | 1.30                 |
|  | ACCOUNT #: 00088262268         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-00IN - HOUPY, JESSICA   | AMERICAN FUNDS 02629M587            | 0.00                 | 0.30                | 0.00               | 0.30              | 60.0 | 0.18                 |
|  | ACCOUNT #: 04000756032         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-0700 - SHAEFER, THERESE | AMERICAN FUNDS 2035 TARGET DATE-A   | 0.00                 | 4.65                | 0.00               | 4.65              | 60.0 | 2.79                 |
|  | ACCOUNT #: 00089954408         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-0821 - PIZANO,          | AMERICAN FUNDS 2040 TARGET DATE-A   | 0.00                 | 1.42                | 0.00               | 1.42              | 60.0 | 0.85                 |
|  | ACCOUNT #: 04000084453         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-3975 - LACEK, JULIA     | AMERICAN FUNDS 2040 TARGET DATE-A   | 0.00                 | 0.64                | 0.00               | 0.64              | 60.0 | 0.38                 |
|  | ACCOUNT #: 04000732795         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-3462 - LACEK, MADELYN   | AMERICAN FUNDS 2040 TARGET DATE-A   | 0.00                 | 0.64                | 0.00               | 0.64              | 60.0 | 0.38                 |
|  | ACCOUNT #: 04000732800         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-000I - CONTE, JESSICA   | AMERICAN FUNDS 2050 TARGET DATE-A   | 0.00                 | 18.44               | 0.00               | 18.44             | 60.0 | 11.06                |
|  | ACCOUNT #: 00087134378         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-03IN - SINGER, CRAIG    | AMERICAN FUNDS 2050 TARGET DATE-A   | 0.00                 | 5.81                | 0.00               | 5.81              | 60.0 | 3.49                 |
|  | ACCOUNT #: 04000083887         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-2300 - GOMEZ, LAURA     | AMERICAN FUNDS 2050 TARGET DATE-A   | 0.00                 | 0.56                | 0.00               | 0.56              | 60.0 | 0.34                 |
|  | ACCOUNT #: 04000084436         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-0477 - ELIAS, ADI       | AMERICAN FUNDS 2050 TARGET DATE-A   | 0.00                 | 1.78                | 0.00               | 1.78              | 60.0 | 1.07                 |
|  | ACCOUNT #: 04000084445         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-2300 - GOMEZ, LAURA     | AMERICAN FUNDS 2050 TARGET DATE-A   | 0.00                 | 5.74                | 0.00               | 5.74              | 60.0 | 3.44                 |
|  | ACCOUNT #: 04000578590         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-6826 - LARSON, MELINDA  | AMERICAN FUNDS 2050 TARGET DATE-A   | 0.00                 | 10.07               | 0.00               | 10.07             | 60.0 | 6.04                 |
|  | ACCOUNT #: 04000438862         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-89CL - JOEL, CLIENTS OF | AMERICAN MUTUAL FUND-A              | 0.00                 | 190.06              | 0.00               | 190.06            | 60.0 | 114.04               |
|  | ACCOUNT #: 00086987116         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-04IN - LOIZZO, JULIO    | CAPITAL INCOME BUILDER-A            | 0.00                 | 19.38               | 0.00               | 19.38             | 60.0 | 11.63                |
|  | ACCOUNT #: 00067658168         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-635P - LIVINGSTON,      | CAPITAL WORLD BOND FUND-529A        | 0.00                 | 0.35                | 0.00               | 0.35              | 60.0 | 0.21                 |
|  | ACCOUNT #: 00075754299         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |



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March 12, 2018

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| DATE   | CLIENT   | INVESTMENT   | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|--|--|--|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b>BROKER TRANSACTIONS (continued)</b>                       |  |  |                      |                     |                    |                   |      |                      |
| <b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</b> |  |  |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-635P - LIVINGSTON,<br>ACCOUNT #: 00075754390      | CAPITAL WORLD BOND FUND-529A<br>BUY 0 Units @0.0000        | 0.00                 | 0.35                | 0.00               | 0.35              | 60.0 | 0.21                 |
| 03/01/2018   | ***-**-585P - LOIZZO, JULIO<br>ACCOUNT #: 00067324484    | CAPITAL WORLD BOND FUND-A<br>BUY 0 Units @0.0000           | 0.00                 | 1.37                | 0.00               | 1.37              | 60.0 | 0.82                 |
| 03/01/2018   | ***-**-45IN - RYBARSKI,<br>ACCOUNT #: 00085604036        | CAPITAL WORLD BOND FUND-A<br>BUY 0 Units @0.0000           | 0.00                 | 0.56                | 0.00               | 0.56              | 60.0 | 0.34                 |
| 03/01/2018   | ***-**-565P - MELESIO, BRYON<br>ACCOUNT #: 00062870931   | CAPITAL WORLD GROWTH AND INCOME FUN<br>BUY 0 Units @0.0000 | 0.00                 | 1.66                | 0.00               | 1.66              | 60.0 | 1.00                 |
| 03/01/2018   | ***-**-525P - MISTRATA, THOMAS<br>ACCOUNT #: 00063695600 | CAPITAL WORLD GROWTH AND INCOME FUN<br>BUY 0 Units @0.0000 | 0.00                 | 10.70               | 0.00               | 10.70             | 60.0 | 6.42                 |
| 03/01/2018   | ***-**-0972 - ALLEN, ROBERT<br>ACCOUNT #: 00064956307    | CAPITAL WORLD GROWTH AND INCOME FUN<br>BUY 0 Units @0.0000 | 0.00                 | 14.69               | 0.00               | 14.69             | 60.0 | 8.81                 |
| 03/01/2018   | ***-**-095P - BUSH, PAMELA<br>ACCOUNT #: 00067011775     | CAPITAL WORLD GROWTH AND INCOME FUN<br>BUY 0 Units @0.0000 | 0.00                 | 4.20                | 0.00               | 4.20              | 60.0 | 2.52                 |
| 03/01/2018   | ***-**-04IN - LOIZZO, JULIO<br>ACCOUNT #: 00067658168    | CAPITAL WORLD GROWTH AND INCOME FUN<br>BUY 0 Units @0.0000 | 0.00                 | 22.87               | 0.00               | 22.87             | 60.0 | 13.72                |
| 03/01/2018   | ***-**-827I - LACEK, WILLIAM<br>ACCOUNT #: 00068705900   | CAPITAL WORLD GROWTH AND INCOME FUN<br>BUY 0 Units @0.0000 | 0.00                 | 27.05               | 0.00               | 27.05             | 60.0 | 16.23                |
| 03/01/2018   | ***-**-878P - BAUER, LISA<br>ACCOUNT #: 00074154281      | CAPITAL WORLD GROWTH AND INCOME FUN<br>BUY 0 Units @0.0000 | 0.00                 | 76.94               | 0.00               | 76.94             | 60.0 | 46.16                |
| 03/01/2018   | ***-**-025I - LOIZZO, LETA<br>ACCOUNT #: 00074579234     | CAPITAL WORLD GROWTH AND INCOME FUN<br>BUY 0 Units @0.0000 | 0.00                 | 51.61               | 0.00               | 51.61             | 60.0 | 30.97                |
| 03/01/2018   | ***-**-435P - TAYLOR, DANA<br>ACCOUNT #: 00074869684     | CAPITAL WORLD GROWTH AND INCOME FUN<br>BUY 0 Units @0.0000 | 0.00                 | 1.59                | 0.00               | 1.59              | 60.0 | 0.95                 |
| 03/01/2018   | ***-**-105P - SANDONATO, MARY<br>ACCOUNT #: 00075521006  | CAPITAL WORLD GROWTH AND INCOME FUN<br>BUY 0 Units @0.0000 | 0.00                 | 35.00               | 0.00               | 35.00             | 60.0 | 21.00                |
| 03/01/2018   | ***-**-37IR - PONTA, SHAOPING<br>ACCOUNT #: 00085591406  | CAPITAL WORLD GROWTH AND INCOME FUN<br>BUY 0 Units @0.0000 | 0.00                 | 0.36                | 0.00               | 0.36              | 60.0 | 0.22                 |
| 03/01/2018   | ***-**-637I - PONTA, SHAOPING<br>ACCOUNT #: 00085591549  | CAPITAL WORLD GROWTH AND INCOME FUN<br>BUY 0 Units @0.0000 | 0.00                 | 3.97                | 0.00               | 3.97              | 60.0 | 2.38                 |
| 03/01/2018   | ***-**-618I - THIEMEYER, ERIN<br>ACCOUNT #: 00085591631  | CAPITAL WORLD GROWTH AND INCOME FUN<br>BUY 0 Units @0.0000 | 0.00                 | 2.09                | 0.00               | 2.09              | 60.0 | 1.25                 |



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| DATE   | CLIENT                         | INVESTMENT                          | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|--|--------------------------------|-------------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b>BROKER TRANSACTIONS (continued)</b>                       |                                |                                     |                      |                     |                    |                   |      |                      |
| <b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</b> |                                |                                     |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-245I - LIVELY, DAVID    | CAPITAL WORLD GROWTH AND INCOME FUN | 0.00                 | 2.58                | 0.00               | 2.58              | 60.0 | 1.55                 |
|  | ACCOUNT #: 00086438336         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-89CL - JOEL, CLIENTS OF | CAPITAL WORLD GROWTH AND INCOME FUN | 0.00                 | 62.04               | 0.00               | 62.04             | 60.0 | 37.22                |
|  | ACCOUNT #: 00086987116         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-03IN - SINGER, CRAIG    | CAPITAL WORLD GROWTH AND INCOME FUN | 0.00                 | 2.27                | 0.00               | 2.27              | 60.0 | 1.36                 |
|  | ACCOUNT #: 00088262268         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-375P - BARRENS JR,      | CAPITAL WORLD GROWTH AND INCOME FUN | 0.00                 | 31.25               | 0.00               | 31.25             | 60.0 | 18.75                |
|  | ACCOUNT #: 04000492653         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-275P - LACEK, MADELYN   | CAPITAL WORLD GROWTH AND INCOME-529 | 0.00                 | 7.56                | 0.00               | 7.56              | 60.0 | 4.54                 |
|  | ACCOUNT #: 00068731922         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-275P - LACEK, MADELYN   | CAPITAL WORLD GROWTH AND INCOME-529 | 0.00                 | 7.56                | 0.00               | 7.56              | 60.0 | 4.54                 |
|  | ACCOUNT #: 00068731923         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-635P - LIVINGSTON,      | CAPITAL WORLD GROWTH AND INCOME-529 | 0.00                 | 0.49                | 0.00               | 0.49              | 60.0 | 0.29                 |
|  | ACCOUNT #: 00075754299         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-635P - LIVINGSTON,      | CAPITAL WORLD GROWTH AND INCOME-529 | 0.00                 | 0.49                | 0.00               | 0.49              | 60.0 | 0.29                 |
|  | ACCOUNT #: 00075754390         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-275P - LACEK, MADELYN   | CAPITAL WORLD GROWTH AND INCOME-529 | 0.00                 | 5.71                | 0.00               | 5.71              | 60.0 | 3.43                 |
|  | ACCOUNT #: 00075954551         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-9025 - LOIZZO, LETA     | CAPITAL WORLD GROWTH AND INCOME-529 | 0.00                 | 16.70               | 0.00               | 16.70             | 60.0 | 10.02                |
|  | ACCOUNT #: 00084717399         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-9025 - LOIZZO, LETA     | CAPITAL WORLD GROWTH AND INCOME-529 | 0.00                 | 0.82                | 0.00               | 0.82              | 60.0 | 0.49                 |
|  | ACCOUNT #: 00084717411         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-585I - ENGLISH, DAVID   | COLLEGE 2018 FUND-529A              | 0.00                 | 0.99                | 0.00               | 0.99              | 60.0 | 0.59                 |
|  | ACCOUNT #: 00089972730         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-585I - ENGLISH, DAVID   | COLLEGE 2021 FUND-529A              | 0.00                 | 1.01                | 0.00               | 1.01              | 60.0 | 0.61                 |
|  | ACCOUNT #: 00089972758         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-275P - LACEK, MADELYN   | EUROPACIFIC GROWTH FUND-529A        | 0.00                 | 7.78                | 0.00               | 7.78              | 60.0 | 4.67                 |
|  | ACCOUNT #: 00068731922         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-275P - LACEK, MADELYN   | EUROPACIFIC GROWTH FUND-529A        | 0.00                 | 7.78                | 0.00               | 7.78              | 60.0 | 4.67                 |
|  | ACCOUNT #: 00068731923         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-275P - LACEK, MADELYN   | EUROPACIFIC GROWTH FUND-529A        | 0.00                 | 5.81                | 0.00               | 5.81              | 60.0 | 3.49                 |
|  | ACCOUNT #: 00075954551         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |





# COMMISSION STATEMENT

March 12, 2018

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| DATE   | CLIENT   | INVESTMENT                                       | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|--|--|--|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b>BROKER TRANSACTIONS (continued)</b>                       |  |  |                      |                     |                    |                   |      |                      |
| <b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</b> |  |  |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-285P - TRULLINGER,<br>ACCOUNT #: 00060945583      | EUROPACIFIC GROWTH FUND-A<br>BUY 0 Units @0.0000 | 0.00                 | 27.54               | 0.00               | 27.54             | 60.0 | 16.52                |
| 03/01/2018   | ***-**-525P - MISTRATA, THOMAS<br>ACCOUNT #: 00063695600 | EUROPACIFIC GROWTH FUND-A<br>BUY 0 Units @0.0000 | 0.00                 | 5.19                | 0.00               | 5.19              | 60.0 | 3.11                 |
| 03/01/2018   | ***-**-502I - FREEBURG, ALISON<br>ACCOUNT #: 00064621192 | EUROPACIFIC GROWTH FUND-A<br>BUY 0 Units @0.0000 | 0.00                 | 0.72                | 0.00               | 0.72              | 60.0 | 0.43                 |
| 03/01/2018   | ***-**-827I - LACEK, WILLIAM<br>ACCOUNT #: 00068705900   | EUROPACIFIC GROWTH FUND-A<br>BUY 0 Units @0.0000 | 0.00                 | 24.89               | 0.00               | 24.89             | 60.0 | 14.93                |
| 03/01/2018   | ***-**-37IR - PONTA, SHAOPING<br>ACCOUNT #: 00085591406  | EUROPACIFIC GROWTH FUND-A<br>BUY 0 Units @0.0000 | 0.00                 | 0.30                | 0.00               | 0.30              | 60.0 | 0.18                 |
| 03/01/2018   | ***-**-637I - PONTA, SHAOPING<br>ACCOUNT #: 00085591549  | EUROPACIFIC GROWTH FUND-A<br>BUY 0 Units @0.0000 | 0.00                 | 3.35                | 0.00               | 3.35              | 60.0 | 2.01                 |
| 03/01/2018   | ***-**-45IN - RYBARSKI,<br>ACCOUNT #: 00085604036        | EUROPACIFIC GROWTH FUND-A<br>BUY 0 Units @0.0000 | 0.00                 | 0.43                | 0.00               | 0.43              | 60.0 | 0.26                 |
| 03/01/2018   | ***-**-76IR - AFRICK, MICHAEL<br>ACCOUNT #: 00085641981  | EUROPACIFIC GROWTH FUND-A<br>BUY 0 Units @0.0000 | 0.00                 | 1.78                | 0.00               | 1.78              | 60.0 | 1.07                 |
| 03/01/2018   | ***-**-76II - AFRICK, MICHAEL<br>ACCOUNT #: 00085642001  | EUROPACIFIC GROWTH FUND-A<br>BUY 0 Units @0.0000 | 0.00                 | 52.45               | 0.00               | 52.45             | 60.0 | 31.47                |
| 03/01/2018   | ***-**-245I - LIVELY, DAVID<br>ACCOUNT #: 00086438336    | EUROPACIFIC GROWTH FUND-A<br>BUY 0 Units @0.0000 | 0.00                 | 2.08                | 0.00               | 2.08              | 60.0 | 1.25                 |
| 03/01/2018   | ***-**-475P - ORLOV, JACK<br>ACCOUNT #: 00059538511      | FUNDAMENTAL INVESTORS-A<br>BUY 0 Units @0.0000   | 0.00                 | 47.23               | 0.00               | 47.23             | 60.0 | 28.34                |
| 03/01/2018   | ***-**-705P - MYERS, DANIEL<br>ACCOUNT #: 00062273544    | FUNDAMENTAL INVESTORS-A<br>BUY 0 Units @0.0000   | 0.00                 | 12.14               | 0.00               | 12.14             | 60.0 | 7.28                 |
| 03/01/2018   | ***-**-502I - FREEBURG, ALISON<br>ACCOUNT #: 00064621192 | FUNDAMENTAL INVESTORS-A<br>BUY 0 Units @0.0000   | 0.00                 | 1.92                | 0.00               | 1.92              | 60.0 | 1.15                 |
| 03/01/2018   | ***-**-095P - BUSH, PAMELA<br>ACCOUNT #: 00067011775     | FUNDAMENTAL INVESTORS-A<br>BUY 0 Units @0.0000   | 0.00                 | 5.25                | 0.00               | 5.25              | 60.0 | 3.15                 |
| 03/01/2018   | ***-**-025I - LOIZZO, LETA<br>ACCOUNT #: 00074579234     | FUNDAMENTAL INVESTORS-A<br>BUY 0 Units @0.0000   | 0.00                 | 43.87               | 0.00               | 43.87             | 60.0 | 26.32                |
| 03/01/2018   | ***-**-618I - THIEMEYER, ERIN<br>ACCOUNT #: 00085591631  | FUNDAMENTAL INVESTORS-A<br>BUY 0 Units @0.0000   | 0.00                 | 2.59                | 0.00               | 2.59              | 60.0 | 1.55                 |



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| DATE   | CLIENT                         | INVESTMENT                          | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|--|--------------------------------|-------------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b>BROKER TRANSACTIONS (continued)</b>                       |                                |                                     |                      |                     |                    |                   |      |                      |
| <b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</b> |                                |                                     |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-89CL - JOEL, CLIENTS OF | FUNDAMENTAL INVESTORS-A             | 0.00                 | 423.15              | 0.00               | 423.15            | 60.0 | 253.89               |
|  | ACCOUNT #: 00086987116         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-375P - BARRENS JR,      | FUNDAMENTAL INVESTORS-A             | 0.00                 | 31.45               | 0.00               | 31.45             | 60.0 | 18.87                |
|  | ACCOUNT #: 04000492653         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-37IR - PONTA, SHAOPING  | INTERMEDIATE BOND FUND OF AMERICA-A | 0.00                 | 0.02                | 0.00               | 0.02              | 60.0 | 0.01                 |
|  | ACCOUNT #: 00085591406         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-637I - PONTA, SHAOPING  | INTERMEDIATE BOND FUND OF AMERICA-A | 0.00                 | 0.21                | 0.00               | 0.21              | 60.0 | 0.13                 |
|  | ACCOUNT #: 00085591549         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-705P - MYERS, DANIEL    | NEW PERSPECTIVE FUND-A              | 0.00                 | 14.65               | 0.00               | 14.65             | 60.0 | 8.79                 |
|  | ACCOUNT #: 00062273544         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-565P - MELESIO, BRYON   | NEW PERSPECTIVE FUND-A              | 0.00                 | 3.38                | 0.00               | 3.38              | 60.0 | 2.03                 |
|  | ACCOUNT #: 00062870931         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-525P - MISTRATA, THOMAS | NEW PERSPECTIVE FUND-A              | 0.00                 | 8.41                | 0.00               | 8.41              | 60.0 | 5.05                 |
|  | ACCOUNT #: 00063695600         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-655P - MELESIO, HELEN   | NEW PERSPECTIVE FUND-A              | 0.00                 | 2.44                | 0.00               | 2.44              | 60.0 | 1.46                 |
|  | ACCOUNT #: 00064382472         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-99IR - RAMIREZ, JOSE    | NEW PERSPECTIVE FUND-A              | 0.00                 | 3.01                | 0.00               | 3.01              | 60.0 | 1.81                 |
|  | ACCOUNT #: 00085204139         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-618I - THIEMEYER, ERIN  | NEW PERSPECTIVE FUND-A              | 0.00                 | 3.64                | 0.00               | 3.64              | 60.0 | 2.18                 |
|  | ACCOUNT #: 00085591631         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-03IN - SINGER, CRAIG    | NEW PERSPECTIVE FUND-A              | 0.00                 | 2.37                | 0.00               | 2.37              | 60.0 | 1.42                 |
|  | ACCOUNT #: 00088262268         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-375P - BARRENS JR,      | NEW PERSPECTIVE FUND-A              | 0.00                 | 30.88               | 0.00               | 30.88             | 60.0 | 18.53                |
|  | ACCOUNT #: 04000492653         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-03IN - SINGER, CRAIG    | NEW WORLD FUND-A                    | 0.00                 | 2.30                | 0.00               | 2.30              | 60.0 | 1.38                 |
|  | ACCOUNT #: 00088262268         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-635P - LIVINGSTON,      | SMALLCAP WORLD FUND-529A            | 0.00                 | 0.36                | 0.00               | 0.36              | 60.0 | 0.22                 |
|  | ACCOUNT #: 00075754299         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-635P - LIVINGSTON,      | SMALLCAP WORLD FUND-529A            | 0.00                 | 0.36                | 0.00               | 0.36              | 60.0 | 0.22                 |
|  | ACCOUNT #: 00075754390         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-705P - MYERS, DANIEL    | SMALLCAP WORLD FUND-A               | 0.00                 | 12.00               | 0.00               | 12.00             | 60.0 | 7.20                 |
|  | ACCOUNT #: 00062273544         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |



# COMMISSION STATEMENT

March 12, 2018

STEVEN JOEL  
404 Chateau Drive  
Buffalo Grove, IL 60089-6708

BROKER #: 592  
BRANCH #01001 - LifeMark Home Office

| DATE   | CLIENT                         | INVESTMENT                      | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|--|--------------------------------|---------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b>BROKER TRANSACTIONS (continued)</b>                       |                                |                                 |                      |                     |                    |                   |      |                      |
| <b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</b> |                                |                                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-502I - FREEBURG, ALISON | SMALLCAP WORLD FUND-A           | 0.00                 | 0.81                | 0.00               | 0.81              | 60.0 | 0.49                 |
|  | ACCOUNT #: 00064621192         | BUY 0 Units @0.0000             |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-99IR - RAMIREZ, JOSE    | SMALLCAP WORLD FUND-A           | 0.00                 | 2.95                | 0.00               | 2.95              | 60.0 | 1.77                 |
|  | ACCOUNT #: 00085204139         | BUY 0 Units @0.0000             |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-37IR - PONTA, SHAOPING  | SMALLCAP WORLD FUND-A           | 0.00                 | 0.55                | 0.00               | 0.55              | 60.0 | 0.33                 |
|  | ACCOUNT #: 00085591406         | BUY 0 Units @0.0000             |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-637I - PONTA, SHAOPING  | SMALLCAP WORLD FUND-A           | 0.00                 | 6.04                | 0.00               | 6.04              | 60.0 | 3.62                 |
|  | ACCOUNT #: 00085591549         | BUY 0 Units @0.0000             |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-45IN - RYBARSKI,        | SMALLCAP WORLD FUND-A           | 0.00                 | 0.60                | 0.00               | 0.60              | 60.0 | 0.36                 |
|  | ACCOUNT #: 00085604036         | BUY 0 Units @0.0000             |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-095P - BUSH, PAMELA     | THE BOND FUND OF AMERICA-A      | 0.00                 | 1.37                | 0.00               | 1.37              | 60.0 | 0.82                 |
|  | ACCOUNT #: 00067011775         | BUY 0 Units @0.0000             |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-585P - LOIZZO, JULIO    | THE BOND FUND OF AMERICA-A      | 0.00                 | 149.68              | 0.00               | 149.68            | 60.0 | 89.81                |
|  | ACCOUNT #: 00067324484         | BUY 0 Units @0.0000             |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-2146 - REYES, ALVARO    | THE BOND FUND OF AMERICA-A      | 0.00                 | 0.20                | 0.00               | 0.20              | 60.0 | 0.12                 |
|  | ACCOUNT #: 04000589054         | BUY 0 Units @0.0000             |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-2146 - REYES, ALVARO    | THE BOND FUND OF AMERICA-A      | 0.00                 | 0.07                | 0.00               | 0.07              | 60.0 | 0.04                 |
|  | ACCOUNT #: 04000589102         | BUY 0 Units @0.0000             |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-275P - LACEK, MADELYN   | THE GROWTH FUND OF AMERICA-529A | 0.00                 | 7.89                | 0.00               | 7.89              | 60.0 | 4.73                 |
|  | ACCOUNT #: 00068731922         | BUY 0 Units @0.0000             |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-275P - LACEK, MADELYN   | THE GROWTH FUND OF AMERICA-529A | 0.00                 | 7.89                | 0.00               | 7.89              | 60.0 | 4.73                 |
|  | ACCOUNT #: 00068731923         | BUY 0 Units @0.0000             |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-275P - LACEK, MADELYN   | THE GROWTH FUND OF AMERICA-529A | 0.00                 | 5.86                | 0.00               | 5.86              | 60.0 | 3.52                 |
|  | ACCOUNT #: 00075954551         | BUY 0 Units @0.0000             |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-9025 - LOIZZO, LETA     | THE GROWTH FUND OF AMERICA-529A | 0.00                 | 17.51               | 0.00               | 17.51             | 60.0 | 10.51                |
|  | ACCOUNT #: 00084717399         | BUY 0 Units @0.0000             |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-9025 - LOIZZO, LETA     | THE GROWTH FUND OF AMERICA-529A | 0.00                 | 0.94                | 0.00               | 0.94              | 60.0 | 0.56                 |
|  | ACCOUNT #: 00084717411         | BUY 0 Units @0.0000             |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-0972 - ALLEN, ROBERT    | THE GROWTH FUND OF AMERICA-A    | 0.00                 | 17.14               | 0.00               | 17.14             | 60.0 | 10.28                |
|  | ACCOUNT #: 00064956307         | BUY 0 Units @0.0000             |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-495P - LOVE, MELODY     | THE GROWTH FUND OF AMERICA-A    | 0.00                 | 8.91                | 0.00               | 8.91              | 60.0 | 5.35                 |
|  | ACCOUNT #: 00065095650         | BUY 0 Units @0.0000             |                      |                     |                    |                   |      |                      |



# COMMISSION STATEMENT

March 12, 2018

STEVEN JOEL  
404 Chateau Drive  
Buffalo Grove, IL 60089-6708

BROKER #: 592  
BRANCH #01001 - LifeMark Home Office

| DATE   | CLIENT                         | INVESTMENT                      | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|--|--------------------------------|---------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b>BROKER TRANSACTIONS (continued)</b>                       |                                |                                 |                      |                     |                    |                   |      |                      |
| <b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</b> |                                |                                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-605P - BRUEGMANN, FRED  | THE GROWTH FUND OF AMERICA-A    | 0.00                 | 23.94               | 0.00               | 23.94             | 60.0 | 14.36                |
|  | ACCOUNT #: 00066948683         | BUY 0 Units @0.0000             |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-827I - LACEK, WILLIAM   | THE GROWTH FUND OF AMERICA-A    | 0.00                 | 27.33               | 0.00               | 27.33             | 60.0 | 16.40                |
|  | ACCOUNT #: 00068705900         | BUY 0 Units @0.0000             |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-99IR - RAMIREZ, JOSE    | THE GROWTH FUND OF AMERICA-A    | 0.00                 | 4.85                | 0.00               | 4.85              | 60.0 | 2.91                 |
|  | ACCOUNT #: 00085204139         | BUY 0 Units @0.0000             |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-45IN - RYBARSKI,        | THE GROWTH FUND OF AMERICA-A    | 0.00                 | 0.65                | 0.00               | 0.65              | 60.0 | 0.39                 |
|  | ACCOUNT #: 00085604036         | BUY 0 Units @0.0000             |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-76IR - AFRICK, MICHAEL  | THE GROWTH FUND OF AMERICA-A    | 0.00                 | 5.69                | 0.00               | 5.69              | 60.0 | 3.41                 |
|  | ACCOUNT #: 00085641981         | BUY 0 Units @0.0000             |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-76II - AFRICK, MICHAEL  | THE GROWTH FUND OF AMERICA-A    | 0.00                 | 127.83              | 0.00               | 127.83            | 60.0 | 76.70                |
|  | ACCOUNT #: 00085642001         | BUY 0 Units @0.0000             |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-89CL - JOEL, CLIENTS OF | THE GROWTH FUND OF AMERICA-A    | 0.00                 | 439.13              | 0.00               | 439.13            | 60.0 | 263.48               |
|  | ACCOUNT #: 00086987116         | BUY 0 Units @0.0000             |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-03IN - SINGER, CRAIG    | THE GROWTH FUND OF AMERICA-A    | 0.00                 | 2.48                | 0.00               | 2.48              | 60.0 | 1.49                 |
|  | ACCOUNT #: 00088262268         | BUY 0 Units @0.0000             |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-9025 - LOIZZO, LETA     | THE GROWTH FUND OF AMERICA-A    | 0.00                 | 9.72                | 0.00               | 9.72              | 60.0 | 5.83                 |
|  | ACCOUNT #: 04000165411         | BUY 0 Units @0.0000             |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-2146 - REYES, ALVARO    | THE GROWTH FUND OF AMERICA-A    | 0.00                 | 1.46                | 0.00               | 1.46              | 60.0 | 0.88                 |
|  | ACCOUNT #: 04000589054         | BUY 0 Units @0.0000             |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-2146 - REYES, ALVARO    | THE GROWTH FUND OF AMERICA-A    | 0.00                 | 0.59                | 0.00               | 0.59              | 60.0 | 0.35                 |
|  | ACCOUNT #: 04000589102         | BUY 0 Units @0.0000             |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-275P - LACEK, MADELYN   | THE INCOME FUND OF AMERICA-529A | 0.00                 | 6.98                | 0.00               | 6.98              | 60.0 | 4.19                 |
|  | ACCOUNT #: 00068731922         | BUY 0 Units @0.0000             |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-275P - LACEK, MADELYN   | THE INCOME FUND OF AMERICA-529A | 0.00                 | 6.98                | 0.00               | 6.98              | 60.0 | 4.19                 |
|  | ACCOUNT #: 00068731923         | BUY 0 Units @0.0000             |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-275P - LACEK, MADELYN   | THE INCOME FUND OF AMERICA-529A | 0.00                 | 5.16                | 0.00               | 5.16              | 60.0 | 3.10                 |
|  | ACCOUNT #: 00075954551         | BUY 0 Units @0.0000             |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-9025 - LOIZZO, LETA     | THE INCOME FUND OF AMERICA-529A | 0.00                 | 13.07               | 0.00               | 13.07             | 60.0 | 7.84                 |
|  | ACCOUNT #: 00084717399         | BUY 0 Units @0.0000             |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-9025 - LOIZZO, LETA     | THE INCOME FUND OF AMERICA-529A | 0.00                 | 0.75                | 0.00               | 0.75              | 60.0 | 0.45                 |
|  | ACCOUNT #: 00084717411         | BUY 0 Units @0.0000             |                      |                     |                    |                   |      |                      |



# COMMISSION STATEMENT

March 12, 2018

STEVEN JOEL  
404 Chateau Drive  
Buffalo Grove, IL 60089-6708

BROKER #: 592  
BRANCH #01001 - LifeMark Home Office

| DATE   | CLIENT                         | INVESTMENT                   | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|--|--------------------------------|------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b>BROKER TRANSACTIONS (continued)</b>                       |                                |                              |                      |                     |                    |                   |      |                      |
| <b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</b> |                                |                              |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-475P - ORLOV, JACK      | THE INCOME FUND OF AMERICA-A | 0.00                 | 40.57               | 0.00               | 40.57             | 60.0 | 24.34                |
|  | ACCOUNT #: 00059538511         | BUY 0 Units @0.0000          |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-525P - MISTRATA, THOMAS | THE INCOME FUND OF AMERICA-A | 0.00                 | 10.57               | 0.00               | 10.57             | 60.0 | 6.34                 |
|  | ACCOUNT #: 00063695600         | BUY 0 Units @0.0000          |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-0972 - ALLEN, ROBERT    | THE INCOME FUND OF AMERICA-A | 0.00                 | 13.22               | 0.00               | 13.22             | 60.0 | 7.93                 |
|  | ACCOUNT #: 00064956307         | BUY 0 Units @0.0000          |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-495P - LOVE, MELODY     | THE INCOME FUND OF AMERICA-A | 0.00                 | 11.10               | 0.00               | 11.10             | 60.0 | 6.66                 |
|  | ACCOUNT #: 00065095650         | BUY 0 Units @0.0000          |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-095P - BUSH, PAMELA     | THE INCOME FUND OF AMERICA-A | 0.00                 | 3.63                | 0.00               | 3.63              | 60.0 | 2.18                 |
|  | ACCOUNT #: 00067011775         | BUY 0 Units @0.0000          |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-585P - LOIZZO, JULIO    | THE INCOME FUND OF AMERICA-A | 0.00                 | 182.36              | 0.00               | 182.36            | 60.0 | 109.42               |
|  | ACCOUNT #: 00067324484         | BUY 0 Units @0.0000          |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-827I - LACEK, WILLIAM   | THE INCOME FUND OF AMERICA-A | 0.00                 | 19.36               | 0.00               | 19.36             | 60.0 | 11.62                |
|  | ACCOUNT #: 00068705900         | BUY 0 Units @0.0000          |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-51IN - ORLOV, BRANDON   | THE INCOME FUND OF AMERICA-A | 0.00                 | 18.85               | 0.00               | 18.85             | 60.0 | 11.31                |
|  | ACCOUNT #: 00073504122         | BUY 0 Units @0.0000          |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-878P - BAUER, LISA      | THE INCOME FUND OF AMERICA-A | 0.00                 | 74.03               | 0.00               | 74.03             | 60.0 | 44.42                |
|  | ACCOUNT #: 00074154281         | BUY 0 Units @0.0000          |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-025I - LOIZZO, LETA     | THE INCOME FUND OF AMERICA-A | 0.00                 | 52.02               | 0.00               | 52.02             | 60.0 | 31.21                |
|  | ACCOUNT #: 00074579234         | BUY 0 Units @0.0000          |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-435P - TAYLOR, DANA     | THE INCOME FUND OF AMERICA-A | 0.00                 | 1.37                | 0.00               | 1.37              | 60.0 | 0.82                 |
|  | ACCOUNT #: 00074869684         | BUY 0 Units @0.0000          |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-105P - SANDONATO, MARY  | THE INCOME FUND OF AMERICA-A | 0.00                 | 33.94               | 0.00               | 33.94             | 60.0 | 20.36                |
|  | ACCOUNT #: 00075521006         | BUY 0 Units @0.0000          |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-37IR - PONTA, SHAOPING  | THE INCOME FUND OF AMERICA-A | 0.00                 | 0.05                | 0.00               | 0.05              | 60.0 | 0.03                 |
|  | ACCOUNT #: 00085591406         | BUY 0 Units @0.0000          |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-637I - PONTA, SHAOPING  | THE INCOME FUND OF AMERICA-A | 0.00                 | 1.27                | 0.00               | 1.27              | 60.0 | 0.76                 |
|  | ACCOUNT #: 00085591549         | BUY 0 Units @0.0000          |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-618I - THIEMEYER, ERIN  | THE INCOME FUND OF AMERICA-A | 0.00                 | 0.72                | 0.00               | 0.72              | 60.0 | 0.43                 |
|  | ACCOUNT #: 00085591631         | BUY 0 Units @0.0000          |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-45IN - RYBARSKI,        | THE INCOME FUND OF AMERICA-A | 0.00                 | 1.52                | 0.00               | 1.52              | 60.0 | 0.91                 |
|  | ACCOUNT #: 00085604036         | BUY 0 Units @0.0000          |                      |                     |                    |                   |      |                      |



# COMMISSION STATEMENT

March 12, 2018

STEVEN JOEL  
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BROKER #: 592  
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| DATE   | CLIENT   | INVESTMENT   | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|--|--|--|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b>BROKER TRANSACTIONS (continued)</b>                       |  |  |                      |                     |                    |                   |      |                      |
| <b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</b> |  |  |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-475P - ORLOV, JACK<br>ACCOUNT #: 00059538511      | THE INVESTMENT COMPANY OF AMERICA-A<br>BUY 0 Units @0.0000 | 0.00                 | 45.60               | 0.00               | 45.60             | 60.0 | 27.36                |
| 03/01/2018   | ***-**-025P - FREEBURG, ALISON<br>ACCOUNT #: 00062874114 | THE INVESTMENT COMPANY OF AMERICA-A<br>BUY 0 Units @0.0000 | 0.00                 | 2.63                | 0.00               | 2.63              | 60.0 | 1.58                 |
| 03/01/2018   | ***-**-0972 - ALLEN, ROBERT<br>ACCOUNT #: 00064956307    | THE INVESTMENT COMPANY OF AMERICA-A<br>BUY 0 Units @0.0000 | 0.00                 | 6.74                | 0.00               | 6.74              | 60.0 | 4.04                 |
| 03/01/2018   | ***-**-025I - LOIZZO, LETA<br>ACCOUNT #: 00074579234     | THE INVESTMENT COMPANY OF AMERICA-A<br>BUY 0 Units @0.0000 | 0.00                 | 50.70               | 0.00               | 50.70             | 60.0 | 30.42                |
| 03/01/2018   | ***-**-105P - SANDONATO, MARY<br>ACCOUNT #: 00075521006  | THE INVESTMENT COMPANY OF AMERICA-A<br>BUY 0 Units @0.0000 | 0.00                 | 33.58               | 0.00               | 33.58             | 60.0 | 20.15                |
| 03/01/2018   | ***-**-89CL - JOEL, CLIENTS OF<br>ACCOUNT #: 00086987116 | THE INVESTMENT COMPANY OF AMERICA-A<br>BUY 0 Units @0.0000 | 0.00                 | 197.86              | 0.00               | 197.86            | 60.0 | 118.72               |
| 03/01/2018   | ***-**-635P - LIVINGSTON,<br>ACCOUNT #: 00075754299      | THE NEW ECONOMY FUND-529A<br>BUY 0 Units @0.0000           | 0.00                 | 0.31                | 0.00               | 0.31              | 60.0 | 0.19                 |
| 03/01/2018   | ***-**-635P - LIVINGSTON,<br>ACCOUNT #: 00075754390      | THE NEW ECONOMY FUND-529A<br>BUY 0 Units @0.0000           | 0.00                 | 0.31                | 0.00               | 0.31              | 60.0 | 0.19                 |
| 03/01/2018   | ***-**-475P - ORLOV, JACK<br>ACCOUNT #: 00059538511      | THE NEW ECONOMY FUND-A<br>BUY 0 Units @0.0000              | 0.00                 | 37.65               | 0.00               | 37.65             | 60.0 | 22.59                |
| 03/01/2018   | ***-**-495P - LOVE, MELODY<br>ACCOUNT #: 00065095650     | THE NEW ECONOMY FUND-A<br>BUY 0 Units @0.0000              | 0.00                 | 9.07                | 0.00               | 9.07              | 60.0 | 5.44                 |
| 03/01/2018   | ***-**-99IR - RAMIREZ, JOSE<br>ACCOUNT #: 00085204139    | THE NEW ECONOMY FUND-A<br>BUY 0 Units @0.0000              | 0.00                 | 3.84                | 0.00               | 3.84              | 60.0 | 2.30                 |
| 03/01/2018   | ***-**-45IN - RYBARSKI,<br>ACCOUNT #: 00085604036        | U.S. GOVERNMENT SECURITIES FUND CLA<br>BUY 0 Units @0.0000 | 0.00                 | 0.40                | 0.00               | 0.40              | 60.0 | 0.24                 |
| 03/12/2018   | ***-**-1388 - JOEL, JOSEPH                               | VIRTUS MF TRAILS<br>BUY 0 Units @0.0000                    | 0.00                 | 15.04               | 0.00               | 15.04             | 60.0 | 9.02                 |
| 03/01/2018   | ***-**-275P - LACEK, MADELYN<br>ACCOUNT #: 00068731922   | WASHINGTON MUTUAL INVESTORS FUND-52<br>BUY 0 Units @0.0000 | 0.00                 | 7.76                | 0.00               | 7.76              | 60.0 | 4.66                 |
| 03/01/2018   | ***-**-275P - LACEK, MADELYN<br>ACCOUNT #: 00068731923   | WASHINGTON MUTUAL INVESTORS FUND-52<br>BUY 0 Units @0.0000 | 0.00                 | 7.76                | 0.00               | 7.76              | 60.0 | 4.66                 |
| 03/01/2018   | ***-**-275P - LACEK, MADELYN<br>ACCOUNT #: 00075954551   | WASHINGTON MUTUAL INVESTORS FUND-52<br>BUY 0 Units @0.0000 | 0.00                 | 5.62                | 0.00               | 5.62              | 60.0 | 3.37                 |



# COMMISSION STATEMENT

March 12, 2018

STEVEN JOEL  
404 Chateau Drive  
Buffalo Grove, IL 60089-6708

BROKER #: 592  
BRANCH #01001 - LifeMark Home Office

| DATE   | CLIENT                         | INVESTMENT                          | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|--|--------------------------------|-------------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b>BROKER TRANSACTIONS (continued)</b>                       |                                |                                     |                      |                     |                    |                   |      |                      |
| <b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</b> |                                |                                     |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-9025 - LOIZZO, LETA     | WASHINGTON MUTUAL INVESTORS FUND-52 | 0.00                 | 13.84               | 0.00               | 13.84             | 60.0 | 8.30                 |
|  | ACCOUNT #: 00084717399         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-9025 - LOIZZO, LETA     | WASHINGTON MUTUAL INVESTORS FUND-52 | 0.00                 | 0.74                | 0.00               | 0.74              | 60.0 | 0.44                 |
|  | ACCOUNT #: 00084717411         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-705P - MYERS, DANIEL    | WASHINGTON MUTUAL INVESTORS FUND-A  | 0.00                 | 9.44                | 0.00               | 9.44              | 60.0 | 5.66                 |
|  | ACCOUNT #: 00062273544         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-565P - MELESIO, BRYON   | WASHINGTON MUTUAL INVESTORS FUND-A  | 0.00                 | 2.44                | 0.00               | 2.44              | 60.0 | 1.46                 |
|  | ACCOUNT #: 00062870931         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-025P - FREEBURG, ALISON | WASHINGTON MUTUAL INVESTORS FUND-A  | 0.00                 | 2.12                | 0.00               | 2.12              | 60.0 | 1.27                 |
|  | ACCOUNT #: 00062874114         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-525P - MISTRATA, THOMAS | WASHINGTON MUTUAL INVESTORS FUND-A  | 0.00                 | 11.98               | 0.00               | 11.98             | 60.0 | 7.19                 |
|  | ACCOUNT #: 00063695600         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-605P - BRUEGMANN, FRED  | WASHINGTON MUTUAL INVESTORS FUND-A  | 0.00                 | 10.31               | 0.00               | 10.31             | 60.0 | 6.19                 |
|  | ACCOUNT #: 00066948683         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-585P - LOIZZO, JULIO    | WASHINGTON MUTUAL INVESTORS FUND-A  | 0.00                 | 181.17              | 0.00               | 181.17            | 60.0 | 108.70               |
|  | ACCOUNT #: 00067324484         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-04IN - LOIZZO, JULIO    | WASHINGTON MUTUAL INVESTORS FUND-A  | 0.00                 | 26.16               | 0.00               | 26.16             | 60.0 | 15.70                |
|  | ACCOUNT #: 00067658168         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-827I - LACEK, WILLIAM   | WASHINGTON MUTUAL INVESTORS FUND-A  | 0.00                 | 22.32               | 0.00               | 22.32             | 60.0 | 13.39                |
|  | ACCOUNT #: 00068705900         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-51IN - ORLOV, BRANDON   | WASHINGTON MUTUAL INVESTORS FUND-A  | 0.00                 | 19.08               | 0.00               | 19.08             | 60.0 | 11.45                |
|  | ACCOUNT #: 00073504122         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-025I - LOIZZO, LETA     | WASHINGTON MUTUAL INVESTORS FUND-A  | 0.00                 | 51.16               | 0.00               | 51.16             | 60.0 | 30.70                |
|  | ACCOUNT #: 00074579234         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-45IN - RYBARSKI,        | WASHINGTON MUTUAL INVESTORS FUND-A  | 0.00                 | 1.01                | 0.00               | 1.01              | 60.0 | 0.61                 |
|  | ACCOUNT #: 00085604036         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-76IR - AFRICK, MICHAEL  | WASHINGTON MUTUAL INVESTORS FUND-A  | 0.00                 | 5.56                | 0.00               | 5.56              | 60.0 | 3.34                 |
|  | ACCOUNT #: 00085641981         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-76II - AFRICK, MICHAEL  | WASHINGTON MUTUAL INVESTORS FUND-A  | 0.00                 | 110.72              | 0.00               | 110.72            | 60.0 | 66.43                |
|  | ACCOUNT #: 00085642001         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-89CL - JOEL, CLIENTS OF | WASHINGTON MUTUAL INVESTORS FUND-A  | 0.00                 | 234.22              | 0.00               | 234.22            | 60.0 | 140.53               |
|  | ACCOUNT #: 00086987116         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| <b>* MUTUAL FUND 12B1 TRAILS SUBTOTAL *</b>                  |                                |                                     | <b>\$0.00</b>        | <b>\$5,412.92</b>   | <b>\$0.00</b>      | <b>\$5,412.92</b> |      | <b>\$3,247.73</b>    |



# COMMISSION STATEMENT

March 12, 2018

STEVEN JOEL  
404 Chateau Drive  
Buffalo Grove, IL 60089-6708

BROKER #: 592  
BRANCH #01001 - LifeMark Home Office

| DATE                              | CLIENT | INVESTMENT | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|-----------------------------------|--------|------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| *** BROKER TRANSACTIONS TOTAL *** |        |            | \$1,552.91           | \$5,478.92          | \$0.00             | \$5,478.92        |      | \$3,287.32           |

## BROKER COMMISSION TOTALS

|                       |            |
|-----------------------|------------|
| Broker Transactions   | \$3,287.32 |
| Split Transactions    | \$0.00     |
| Override Transactions | \$0.00     |
| Adjustments           | \$0.00     |
| Payroll Draw          | \$0.00     |
| Base Salary           | \$0.00     |
| Prior Period Balance  | \$0.00     |
| FINRA Assessment      | \$0.00     |
| SIPC Assessment       | \$0.00     |

Please Retain for Your Records  
THERE WILL BE NO PAYMENT THIS PERIOD

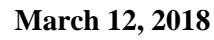
|                       |        |
|-----------------------|--------|
| Balance Forward       | \$0.00 |
| Year-to-date Earnings | \$0.00 |





BROKER #: 988      Terminated 08/31/2017  
BRANCH #01001 - LifeMark Home Office

| DATE   | CLIENT | INVESTMENT                      | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE  | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION         |                 |        |                       |        |
|--|--------|---------------------------------|----------------------|---------------------|---|-------------------|------|------------------------------|-----------------|--------|-----------------------|--------|
| <u>ADJUSTMENTS</u>   |        |                                 |                      |                     |   |                   |      |                              |                 |        |                       |        |
| 03/07/2018   |        | PRIOR PERIOD BALANCE(SEE BELOW) | 0.00                 | 0.00                | 0.00  | 0.00              |      | 0.00                         |                 |        |                       |        |
|  |        | *** ADJUSTMENTS TOTAL ***       | <u>\$0.00</u>        | <u>\$0.00</u>       | <u>\$0.00</u>   | <u>\$0.00</u>     |      | <u>\$0.00</u>                |                 |        |                       |        |
| <u>BROKER COMMISSION TOTALS</u>  |        |                                 |                      |                     |   |                   |      |                              |                 |        |                       |        |
|  |        |                                 |                      |                     |   |                   |      | Broker Transactions \$0.00   |                 |        |                       |        |
|  |        |                                 |                      |                     |   |                   |      | Split Transactions \$0.00    |                 |        |                       |        |
|  |        |                                 |                      |                     |   |                   |      | Override Transactions \$0.00 |                 |        |                       |        |
|  |        |                                 |                      |                     |   |                   |      | Adjustments \$0.00           |                 |        |                       |        |
|  |        |                                 |                      |                     |   |                   |      | Payroll Draw \$0.00          |                 |        |                       |        |
|  |        |                                 |                      |                     |   |                   |      | Base Salary \$0.00           |                 |        |                       |        |
|  |        |                                 |                      |                     |   |                   |      | Prior Period Balance \$0.00  |                 |        |                       |        |
|  |        |                                 |                      |                     |   |                   |      | FINRA Assessment \$0.00      |                 |        |                       |        |
|  |        |                                 |                      |                     |   |                   |      | SIPC Assessment \$0.00       |                 |        |                       |        |
| Please Retain for Your Records<br>THERE WILL BE NO PAYMENT THIS PERIOD |        |                                 |                      |                     | <table><tr><td>Balance Forward</td><td>\$0.00</td></tr><tr><td>Year-to-date Earnings</td><td>\$0.00</td></tr></table> |                   |      |                              | Balance Forward | \$0.00 | Year-to-date Earnings | \$0.00 |
| Balance Forward  | \$0.00 |                                 |                      |                     |   |                   |      |                              |                 |        |                       |        |
| Year-to-date Earnings  | \$0.00 |                                 |                      |                     |   |                   |      |                              |                 |        |                       |        |



BROKER #: 671      Terminated 12/31/2009  
BRANCH #01001 - LifeMark Home Office

| DATE   | CLIENT | INVESTMENT                      | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE  | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION         |
|--|--------|---------------------------------|----------------------|---------------------|---|-------------------|------|------------------------------|
| <div>ADJUSTMENTS</div>   |        |                                 |                      |                     |   |                   |      |                              |
| 03/07/2018   |        | PRIOR PERIOD BALANCE(SEE BELOW) | 0.00                 | 0.00                | 0.00  | 0.00              |      | 0.00                         |
|  |        | *** ADJUSTMENTS TOTAL ***       | \$0.00               | \$0.00              | \$0.00  | \$0.00            |      | \$0.00                       |
| <div>BROKER COMMISSION TOTALS</div>                                    |        |                                 |                      |                     |   |                   |      |                              |
|  |        |                                 |                      |                     |   |                   |      | Broker Transactions \$0.00   |
|  |        |                                 |                      |                     |   |                   |      | Split Transactions \$0.00    |
|  |        |                                 |                      |                     |   |                   |      | Override Transactions \$0.00 |
|  |        |                                 |                      |                     |   |                   |      | Adjustments \$0.00           |
|  |        |                                 |                      |                     |   |                   |      | Payroll Draw \$0.00          |
|  |        |                                 |                      |                     |   |                   |      | Base Salary \$0.00           |
|  |        |                                 |                      |                     |   |                   |      | Prior Period Balance \$0.00  |
|  |        |                                 |                      |                     |   |                   |      | FINRA Assessment \$0.00      |
|  |        |                                 |                      |                     |   |                   |      | SIPC Assessment \$0.00       |
| Please Retain for Your Records<br>THERE WILL BE NO PAYMENT THIS PERIOD |        |                                 |                      |                     | <div><div>Balance Forward \$0.00</div><div>Year-to-date Earnings \$0.00</div></div> |                   |      |                              |



# COMMISSION STATEMENT

March 12, 2018

STANLEY (DARRELL) KEATHLEY  
9724 Kingston Pike, Suite 103  
Knoxville, TN 37934

BROKER #: B07  
BRANCH #01001 - LifeMark Home Office

| DATE  | CLIENT                         | INVESTMENT                          | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE  | BROKER<br>COMMISSION |
|---|--------------------------------|-------------------------------------|----------------------|---------------------|--------------------|-------------------|-------|----------------------|
| <b><u>BROKER TRANSACTIONS</u></b>                       |                                |                                     |                      |                     |                    |                   |       |                      |
| <b><u>PRODUCT CATEGORY: MUTUAL FUNDS</u></b>            |                                |                                     |                      |                     |                    |                   |       |                      |
| 03/02/2018  | ***-**-20IR - PFAFF, SHEILA    | CAPITAL INCOME BUILDER-A            | 40,000.01            | 1,700.00            | 18.00              | 1,682.00          | 80.0  | 1,345.60             |
|   | ACCOUNT #: LSR011999           | BUY 618 Units @64.7700              |                      |                     |                    |                   |       |                      |
| 03/08/2018  | ***-**-820J - PFAFF, ROBERT    | HCM DIVIDEND SECTOR PLUS FND CL A-N | 40,000.00            | 0.00                | 18.00              | -18.00            | 100.0 | -18.00               |
|   | ACCOUNT #: LSR012004           | SELL 3035 Units @13.1800            |                      |                     |                    |                   |       |                      |
| 03/08/2018  | ***-**-814I - SELVIDGE, SHELIA | HCM DIVIDEND SECTOR PLUS FND CL A-N | 47,593.24            | 0.00                | 18.00              | -18.00            | 100.0 | -18.00               |
|   | ACCOUNT #: LSR012009           | SELL 3611 Units @13.1800            |                      |                     |                    |                   |       |                      |
| 03/02/2018  | ***-**-20IR - PFAFF, SHEILA    | TRANSAMERICA LARGE CAP VALUE CL A   | 25,000.00            | 1,187.50            | 18.00              | 1,169.50          | 80.0  | 935.60               |
|   | ACCOUNT #: LSR011999           | BUY 1929 Units @12.9600             |                      |                     |                    |                   |       |                      |
| 03/02/2018  | ***-**-20IR - PFAFF, SHEILA    | TRS SMALL/MID CAP VALUE A NFS       | 17,999.99            | 855.00              | 18.00              | 837.00            | 80.0  | 669.60               |
|   | ACCOUNT #: LSR011999           | BUY 633 Units @28.4400              |                      |                     |                    |                   |       |                      |
| * MUTUAL FUNDS SUBTOTAL *                               |                                |                                     | <b>\$170,593.24</b>  | <b>\$3,742.50</b>   | <b>\$90.00</b>     | <b>\$3,652.50</b> |       | <b>\$2,914.80</b>    |
| <b><u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u></b> |                                |                                     |                      |                     |                    |                   |       |                      |
| 03/02/2018  | ***-**-20IR - PFAFF, SHEILA    | SUNAMERICA FOCUSED DIVIDEND STRAT C | 26,500.01            | 1,060.00            | 0.00               | 1,060.00          | 80.0  | 848.00               |
|   | ACCOUNT #: LSR011999           | BUY 1369 Units @19.3600             |                      |                     |                    |                   |       |                      |
| * MUTUAL FUND 12B1 TRAILS SUBTOTAL *                    |                                |                                     | <b>\$26,500.01</b>   | <b>\$1,060.00</b>   | <b>\$0.00</b>      | <b>\$1,060.00</b> |       | <b>\$848.00</b>      |
| *** BROKER TRANSACTIONS TOTAL ***                       |                                |                                     | <b>\$197,093.25</b>  | <b>\$4,802.50</b>   | <b>\$90.00</b>     | <b>\$4,712.50</b> |       | <b>\$3,762.80</b>    |



BROKER #: B07  
BRANCH #01001 - LifeMark Home Office

|                                      |        | INVESTMENT | GROSS      | CLEARING                               | NET        | BROKER        |
|--------------------------------------|--------|------------|------------|--|------------|---------------|
| DATE                                 | CLIENT | AMOUNT     | COMMISSION | CHARGE                                 | COMMISSION | COMMISSION    |
| <hr/>                                |        |            |            |  |            |               |
|                                      |        |            |            | <b><u>BROKER COMMISSION TOTALS</u></b> |            |               |
|                                      |        |            |            | Broker Transactions                    | \$3,762.80 |               |
|                                      |        |            |            | Split Transactions                     | \$0.00     |               |
|                                      |        |            |            | Override Transactions                  | \$0.00     |               |
|                                      |        |            |            | Adjustments                            | \$0.00     |               |
|                                      |        |            |            | Payroll Draw                           | \$0.00     |               |
|                                      |        |            |            | Base Salary                            | \$0.00     |               |
|                                      |        |            |            | Prior Period Balance                   | \$0.00     |               |
|                                      |        |            |            | FINRA Assessment                       | \$0.00     |               |
|                                      |        |            |            | SIPC Assessment                        | \$0.00     |               |
|                                      |        |            |            | <hr/>                                  |            |               |
| Please Retain for Your Records       |        |            |            | <b>Balance Forward</b>                 |            | <b>\$0.00</b> |
| THERE WILL BE NO PAYMENT THIS PERIOD |        |            |            | <b>Year-to-date Earnings</b>           |            | <b>\$0.00</b> |



# COMMISSION STATEMENT

March 12, 2018

JOHN KELLY  
2400 E. Arizona Biltmore Cir.  
Suite 1100  
Phoenix, AZ 85016

BROKER #: 279  
BRANCH #01001 - LifeMark Home Office

| DATE   | CLIENT                         | INVESTMENT                          | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|--|--------------------------------|-------------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b><u>BROKER TRANSACTIONS</u></b>            |                                |                                     |                      |                     |                    |                   |      |                      |
| <b><u>PRODUCT CATEGORY: MUTUAL FUNDS</u></b> |                                |                                     |                      |                     |                    |                   |      |                      |
| 03/01/2018                                   | ***-**-645P - DICARLO, MICHELE | AMCAP FUND-A                        | 60.00                | 1.20                | 0.00               | 1.20              | 90.0 | 1.08                 |
|  | ACCOUNT #: 00087877714         | BUY 2 Units @33.5600                |                      |                     |                    |                   |      |                      |
| 03/01/2018                                   | ***-**-645P - DICARLO, MICHELE | AMCAP FUND-A                        | 186.83               | 3.74                | 0.00               | 3.74              | 90.0 | 3.37                 |
|  | ACCOUNT #: 00087877714         | BUY 6 Units @33.5600                |                      |                     |                    |                   |      |                      |
| 03/02/2018                                   | ***-**-6863 - MARTIN, MITCHELL | AMCAP FUND-C                        | 2.40                 | 0.02                | 0.00               | 0.02              | 90.0 | 0.02                 |
|  | ACCOUNT #: 04000003339         | BUY 0 Units @29.1800                |                      |                     |                    |                   |      |                      |
| 03/02/2018                                   | ***-**-0900 - SMITH, PATRICK   | AMERICAN 2035 TARGET DATE RETIREMNT | 39.00                | 0.39                | 0.00               | 0.39              | 90.0 | 0.35                 |
|  | ACCOUNT #: 00089949168         | BUY 3 Units @14.7800                |                      |                     |                    |                   |      |                      |
| 03/02/2018                                   | ***-**-6890 - MARKS, MARK      | AMERICAN 2035 TARGET DATE RETIREMNT | 20.00                | 0.20                | 0.00               | 0.20              | 90.0 | 0.18                 |
|  | ACCOUNT #: 04000001565         | BUY 1 Units @14.7800                |                      |                     |                    |                   |      |                      |
| 03/02/2018                                   | ***-**-6584 - BACON, ANDREA    | AMERICAN 2040 TARGET DATE RETIREMNT | 20.00                | 0.20                | 0.00               | 0.20              | 90.0 | 0.18                 |
|  | ACCOUNT #: 00089949172         | BUY 1 Units @15.1600                |                      |                     |                    |                   |      |                      |
| 03/02/2018                                   | ***-**-1727 - PETERSON, JON    | AMERICAN FUNDS 2030 TARGET DATE-C   | 10.00                | 0.10                | 0.00               | 0.10              | 90.0 | 0.09                 |
|  | ACCOUNT #: 00089973868         | BUY 1 Units @14.2900                |                      |                     |                    |                   |      |                      |
| 03/02/2018                                   | ***-**-6863 - MARTIN, MITCHELL | AMERICAN MUTUAL FUND-C              | 3.00                 | 0.03                | 0.00               | 0.03              | 90.0 | 0.03                 |
|  | ACCOUNT #: 04000003339         | BUY 0 Units @39.9800                |                      |                     |                    |                   |      |                      |
| 03/02/2018                                   | ***-**-6863 - MARTIN, MITCHELL | EUROPACIFIC GROWTH FUND CLASS C     | 6.00                 | 0.06                | 0.00               | 0.06              | 90.0 | 0.05                 |
|  | ACCOUNT #: 04000003339         | BUY 0 Units @55.4700                |                      |                     |                    |                   |      |                      |
| 03/01/2018                                   | ***-**-645P - DICARLO, MICHELE | EUROPACIFIC GROWTH FUND-A           | 85.00                | 1.70                | 0.00               | 1.70              | 90.0 | 1.53                 |
|  | ACCOUNT #: 00087877714         | BUY 1 Units @58.1300                |                      |                     |                    |                   |      |                      |
| 03/01/2018                                   | ***-**-645P - DICARLO, MICHELE | EUROPACIFIC GROWTH FUND-A           | 264.68               | 5.29                | 0.00               | 5.29              | 90.0 | 4.76                 |
|  | ACCOUNT #: 00087877714         | BUY 5 Units @58.1300                |                      |                     |                    |                   |      |                      |
| 03/02/2018                                   | ***-**-6863 - MARTIN, MITCHELL | INVESTMENT COMPANY OF AMERICA CLASS | 3.00                 | 0.03                | 0.00               | 0.03              | 90.0 | 0.03                 |
|  | ACCOUNT #: 04000003339         | BUY 0 Units @40.4700                |                      |                     |                    |                   |      |                      |
| 03/01/2018                                   | ***-**-645P - DICARLO, MICHELE | NEW WORLD FUND-A                    | 20.00                | 0.40                | 0.00               | 0.40              | 90.0 | 0.36                 |
|  | ACCOUNT #: 00087877714         | BUY 0 Units @69.4800                |                      |                     |                    |                   |      |                      |
| 03/01/2018                                   | ***-**-645P - DICARLO, MICHELE | NEW WORLD FUND-A                    | 62.28                | 1.25                | 0.00               | 1.25              | 90.0 | 1.13                 |
|  | ACCOUNT #: 00087877714         | BUY 1 Units @69.4800                |                      |                     |                    |                   |      |                      |
| 03/02/2018                                   | ***-**-6863 - MARTIN, MITCHELL | NEW WORLD FUND-C                    | 2.10                 | 0.02                | 0.00               | 0.02              | 90.0 | 0.02                 |
|  | ACCOUNT #: 04000003339         | BUY 0 Units @65.6200                |                      |                     |                    |                   |      |                      |
| 03/01/2018                                   | ***-**-645P - DICARLO, MICHELE | SMALLCAP WORLD FUND-A               | 25.00                | 0.50                | 0.00               | 0.50              | 90.0 | 0.45                 |
|  | ACCOUNT #: 00087877714         | BUY 0 Units @57.5500                |                      |                     |                    |                   |      |                      |



# COMMISSION STATEMENT

March 12, 2018

JOHN KELLY  
2400 E. Arizona Biltmore Cir.  
Suite 1100  
Phoenix, AZ 85016

BROKER #: 279  
BRANCH #01001 - LifeMark Home Office

| DATE  | CLIENT                         | INVESTMENT                          | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|---|--------------------------------|-------------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b>BROKER TRANSACTIONS (continued)</b>            |                                |                                     |                      |                     |                    |                   |      |                      |
| <b>PRODUCT CATEGORY: MUTUAL FUNDS (continued)</b> |                                |                                     |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-645P - DICARLO, MICHELE | SMALLCAP WORLD FUND-A               | 77.85                | 1.56                | 0.00               | 1.56              | 90.0 | 1.40                 |
|   | ACCOUNT #: 00087877714         | BUY 1 Units @57.5500                |                      |                     |                    |                   |      |                      |
| 03/02/2018  | ***-**-6863 - MARTIN, MITCHELL | SMALLCAP WORLD FUND-C               | 4.50                 | 0.05                | 0.00               | 0.05              | 90.0 | 0.05                 |
|   | ACCOUNT #: 04000003339         | BUY 0 Units @49.7100                |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-645P - DICARLO, MICHELE | THE BOND FUND OF AMERICA-A          | 85.00                | 1.70                | 0.00               | 1.70              | 90.0 | 1.53                 |
|   | ACCOUNT #: 00087877714         | BUY 7 Units @12.9500                |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-645P - DICARLO, MICHELE | THE BOND FUND OF AMERICA-A          | 264.68               | 5.29                | 0.00               | 5.29              | 90.0 | 4.76                 |
|   | ACCOUNT #: 00087877714         | BUY 20 Units @12.9500               |                      |                     |                    |                   |      |                      |
| 03/02/2018  | ***-**-6863 - MARTIN, MITCHELL | THE BOND FUND OF AMERICA-C          | 1.50                 | 0.02                | 0.00               | 0.02              | 90.0 | 0.02                 |
|   | ACCOUNT #: 04000003339         | BUY 0 Units @12.5900                |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-645P - DICARLO, MICHELE | THE GROWTH FUND OF AMERICA-A        | 100.00               | 2.00                | 0.00               | 2.00              | 90.0 | 1.80                 |
|   | ACCOUNT #: 00087877714         | BUY 2 Units @52.8600                |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-645P - DICARLO, MICHELE | THE GROWTH FUND OF AMERICA-A        | 311.39               | 6.23                | 0.00               | 6.23              | 90.0 | 5.61                 |
|   | ACCOUNT #: 00087877714         | BUY 6 Units @52.8600                |                      |                     |                    |                   |      |                      |
| 03/02/2018  | ***-**-6863 - MARTIN, MITCHELL | THE GROWTH FUND OF AMERICA-C        | 5.40                 | 0.05                | 0.00               | 0.05              | 90.0 | 0.05                 |
|   | ACCOUNT #: 04000003339         | BUY 0 Units @48.0700                |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-645P - DICARLO, MICHELE | THE INVESTMENT COMPANY OF AMERICA-A | 100.00               | 2.00                | 0.00               | 2.00              | 90.0 | 1.80                 |
|   | ACCOUNT #: 00087877714         | BUY 2 Units @41.7700                |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-645P - DICARLO, MICHELE | THE INVESTMENT COMPANY OF AMERICA-A | 311.39               | 6.23                | 0.00               | 6.23              | 90.0 | 5.61                 |
|   | ACCOUNT #: 00087877714         | BUY 7 Units @41.7700                |                      |                     |                    |                   |      |                      |
| 03/02/2018  | ***-**-6863 - MARTIN, MITCHELL | THE NEW ECONOMY FUND-C              | 2.10                 | 0.02                | 0.00               | 0.02              | 90.0 | 0.02                 |
|   | ACCOUNT #: 04000003339         | BUY 0 Units @42.7400                |                      |                     |                    |                   |      |                      |
| * MUTUAL FUNDS SUBTOTAL *                         |                                |                                     | \$2,073.10           | \$40.28             | \$0.00             | \$40.28           |      | \$36.28              |
| <b>PRODUCT CATEGORY: VARIABLE ANNUITIES</b>       |                                |                                     |                      |                     |                    |                   |      |                      |
| 03/07/2018  | ***-**-8270 - KELLY, PAMELA    | PACIFIC LIFE DTCC RENEWAL           | 416.67               | 8.33                | 0.00               | 8.33              | 90.0 | 7.50                 |
|   | ACCOUNT #: VP60088270          | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/06/2018  | ***-**-125P - CANNADY, JAKE    | PACIFIC LIFE EXEC II DTCC           | 800.00               | 15.84               | 0.00               | 15.84             | 90.0 | 14.26                |
|   | ACCOUNT #: VP61059840          | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| * VARIABLE ANNUITIES SUBTOTAL *                   |                                |                                     | \$1,216.67           | \$24.17             | \$0.00             | \$24.17           |      | \$21.76              |



# COMMISSION STATEMENT

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BRANCH #01001 - LifeMark Home Office

| DATE  | CLIENT   | INVESTMENT   | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|---|--|--|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b><u>BROKER TRANSACTIONS (continued)</u></b>           |  |  |                      |                     |                    |                   |      |                      |
| <b><u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u></b> |  |  |                      |                     |                    |                   |      |                      |
| 03/12/2018  | ***-**-85TR - KELLY TRUST,<br>ACCOUNT #: LSR005290       | AIM DEVELOPING MARKETS FUND CLASS A<br>BUY 1 Units @0.0000 | 0.00                 | 7.83                | 0.00               | 7.83              | 90.0 | 7.05                 |
| 03/12/2018  | ***-**-85TR - KELLY TRUST,<br>ACCOUNT #: LSR005290       | AIM GLOBAL AGGRESSIVE GROWTH FUND C<br>BUY 1 Units @0.0000 | 0.00                 | 6.84                | 0.00               | 6.84              | 90.0 | 6.16                 |
| 03/01/2018  | ***-**-785P - DIXON, GRANT<br>ACCOUNT #: 00068689712     | AMCAP FUND-529A<br>BUY 0 Units @0.0000                     | 0.00                 | 0.23                | 0.00               | 0.23              | 90.0 | 0.21                 |
| 03/01/2018  | ***-**-785P - DIXON, GRANT<br>ACCOUNT #: 00068689716     | AMCAP FUND-529A<br>BUY 0 Units @0.0000                     | 0.00                 | 0.48                | 0.00               | 0.48              | 90.0 | 0.43                 |
| 03/01/2018  | ***-**-435P - DICARLO, KEITH<br>ACCOUNT #: 00074509353   | AMCAP FUND-529A<br>BUY 0 Units @0.0000                     | 0.00                 | 23.83               | 0.00               | 23.83             | 90.0 | 21.45                |
| 03/01/2018  | ***-**-125P - CANNADY, JAKE<br>ACCOUNT #: 00081514967    | AMCAP FUND-529A<br>BUY 0 Units @0.0000                     | 0.00                 | 1.18                | 0.00               | 1.18              | 90.0 | 1.06                 |
| 03/01/2018  | ***-**-125P - CANNADY, JAKE<br>ACCOUNT #: 00081514980    | AMCAP FUND-529A<br>BUY 0 Units @0.0000                     | 0.00                 | 1.45                | 0.00               | 1.45              | 90.0 | 1.31                 |
| 03/01/2018  | ***-**-225P - GOGTE, PANA<br>ACCOUNT #: 00081653809      | AMCAP FUND-529A<br>BUY 0 Units @0.0000                     | 0.00                 | 0.27                | 0.00               | 0.27              | 90.0 | 0.24                 |
| 03/01/2018  | ***-**-225P - GOGTE, PANA<br>ACCOUNT #: 00081653905      | AMCAP FUND-529A<br>BUY 0 Units @0.0000                     | 0.00                 | 0.27                | 0.00               | 0.27              | 90.0 | 0.24                 |
| 03/01/2018  | ***-**-795P - AWAR, KATYA<br>ACCOUNT #: 00081851897      | AMCAP FUND-529A<br>BUY 0 Units @0.0000                     | 0.00                 | 0.82                | 0.00               | 0.82              | 90.0 | 0.74                 |
| 03/01/2018  | ***-**-855P - KELLY, PAMELA<br>ACCOUNT #: 00082304099    | AMCAP FUND-529A<br>BUY 0 Units @0.0000                     | 0.00                 | 2.11                | 0.00               | 2.11              | 90.0 | 1.90                 |
| 03/01/2018  | ***-**-435P - DICARLO, KEITH<br>ACCOUNT #: 00082709258   | AMCAP FUND-529A<br>BUY 0 Units @0.0000                     | 0.00                 | 20.09               | 0.00               | 20.09             | 90.0 | 18.08                |
| 03/01/2018  | ***-**-895P - ENDERS, ROBERT<br>ACCOUNT #: 00083008892   | AMCAP FUND-529A<br>BUY 0 Units @0.0000                     | 0.00                 | 0.38                | 0.00               | 0.38              | 90.0 | 0.34                 |
| 03/01/2018  | ***-**-895P - ENDERS, ROBERT<br>ACCOUNT #: 00085418297   | AMCAP FUND-529A<br>BUY 0 Units @0.0000                     | 0.00                 | 0.37                | 0.00               | 0.37              | 90.0 | 0.33                 |
| 03/01/2018  | ***-**-895P - ENDERS, ROBERT<br>ACCOUNT #: 00085418437   | AMCAP FUND-529A<br>BUY 0 Units @0.0000                     | 0.00                 | 0.37                | 0.00               | 0.37              | 90.0 | 0.33                 |
| 03/01/2018  | ***-**-34IN - SAHASRANAM, PREM<br>ACCOUNT #: 00086652940 | AMCAP FUND-529A<br>BUY 0 Units @0.0000                     | 0.00                 | 6.59                | 0.00               | 6.59              | 90.0 | 5.93                 |



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|--|--------------------------------|---------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b>BROKER TRANSACTIONS (continued)</b>                       |                                |                     |                      |                     |                    |                   |      |                      |
| <b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</b> |                                |                     |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-34IN - SAHASRANAM, PREM | AMCAP FUND-529A     | 0.00                 | 6.59                | 0.00               | 6.59              | 90.0 | 5.93                 |
|  | ACCOUNT #: 00086652972         | BUY 0 Units @0.0000 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-255P - SHARMA, PRIYA    | AMCAP FUND-529A     | 0.00                 | 4.50                | 0.00               | 4.50              | 90.0 | 4.05                 |
|  | ACCOUNT #: 00086767512         | BUY 0 Units @0.0000 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-015P - GARCHA,          | AMCAP FUND-529A     | 0.00                 | 1.26                | 0.00               | 1.26              | 90.0 | 1.13                 |
|  | ACCOUNT #: 00087584124         | BUY 0 Units @0.0000 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-015P - GARCHA,          | AMCAP FUND-529A     | 0.00                 | 1.26                | 0.00               | 1.26              | 90.0 | 1.13                 |
|  | ACCOUNT #: 00087584201         | BUY 0 Units @0.0000 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-01SI - BAZABAL, GENE    | AMCAP FUND-A        | 0.00                 | 0.50                | 0.00               | 0.50              | 90.0 | 0.45                 |
|  | ACCOUNT #: 00089905927         | BUY 0 Units @0.0000 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-405P - RICHARDS, ROSS   | AMCAP FUND-A        | 0.00                 | 1.70                | 0.00               | 1.70              | 90.0 | 1.53                 |
|  | ACCOUNT #: 00065155614         | BUY 0 Units @0.0000 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-944P - FULLER, DANIELLE | AMCAP FUND-A        | 0.00                 | 6.21                | 0.00               | 6.21              | 90.0 | 5.59                 |
|  | ACCOUNT #: 00073950287         | BUY 0 Units @0.0000 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-921I - OSBORNE, DARIN   | AMCAP FUND-A        | 0.00                 | 1.91                | 0.00               | 1.91              | 90.0 | 1.72                 |
|  | ACCOUNT #: 00074802208         | BUY 0 Units @0.0000 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-209I - SPARACO, MICHAEL | AMCAP FUND-A        | 0.00                 | 1.95                | 0.00               | 1.95              | 90.0 | 1.76                 |
|  | ACCOUNT #: 00074802243         | BUY 0 Units @0.0000 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-145P - GUHARROY, SUJATA | AMCAP FUND-A        | 0.00                 | 2.17                | 0.00               | 2.17              | 90.0 | 1.95                 |
|  | ACCOUNT #: 00074950977         | BUY 0 Units @0.0000 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-515P - DAS, SUGATA      | AMCAP FUND-A        | 0.00                 | 3.25                | 0.00               | 3.25              | 90.0 | 2.93                 |
|  | ACCOUNT #: 00074950986         | BUY 0 Units @0.0000 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-525P - ENDERS,          | AMCAP FUND-A        | 0.00                 | 0.55                | 0.00               | 0.55              | 90.0 | 0.50                 |
|  | ACCOUNT #: 00075140556         | BUY 0 Units @0.0000 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-0924 - BALAJI'S         | AMCAP FUND-A        | 0.00                 | 0.31                | 0.00               | 0.31              | 90.0 | 0.28                 |
|  | ACCOUNT #: 00081674290         | BUY 0 Units @0.0000 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-305P - TURTLE BAY       | AMCAP FUND-A        | 0.00                 | 107.20              | 0.00               | 107.20            | 90.0 | 96.48                |
|  | ACCOUNT #: 00081907646         | BUY 0 Units @0.0000 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-379I - DEVORE, LESLIE   | AMCAP FUND-A        | 0.00                 | 8.87                | 0.00               | 8.87              | 90.0 | 7.98                 |
|  | ACCOUNT #: 00082764859         | BUY 0 Units @0.0000 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-10IR - SUBBU, MAHESH    | AMCAP FUND-A        | 0.00                 | 1.71                | 0.00               | 1.71              | 90.0 | 1.54                 |
|  | ACCOUNT #: 00085479554         | BUY 0 Units @0.0000 |                      |                     |                    |                   |      |                      |





# COMMISSION STATEMENT

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| DATE   | CLIENT                         | INVESTMENT                          | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|--|--------------------------------|-------------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b>BROKER TRANSACTIONS (continued)</b>                       |                                |                                     |                      |                     |                    |                   |      |                      |
| <b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</b> |                                |                                     |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-928I - HARRISON, LESLEY | AMCAP FUND-A                        | 0.00                 | 7.60                | 0.00               | 7.60              | 90.0 | 6.84                 |
|  | ACCOUNT #: 00085790202         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-503I - HARRISON, BLAKE  | AMCAP FUND-A                        | 0.00                 | 3.16                | 0.00               | 3.16              | 90.0 | 2.84                 |
|  | ACCOUNT #: 00085790218         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-83RI - HERRERA,         | AMCAP FUND-A                        | 0.00                 | 0.57                | 0.00               | 0.57              | 90.0 | 0.51                 |
|  | ACCOUNT #: 00085966537         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-474I - THOMPSON,        | AMCAP FUND-A                        | 0.00                 | 7.20                | 0.00               | 7.20              | 90.0 | 6.48                 |
|  | ACCOUNT #: 00086109936         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-229I - LESTER, JEANNE   | AMCAP FUND-A                        | 0.00                 | 7.88                | 0.00               | 7.88              | 90.0 | 7.09                 |
|  | ACCOUNT #: 00087033260         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-550I - YANCEY-FELLER,   | AMCAP FUND-A                        | 0.00                 | 14.81               | 0.00               | 14.81             | 90.0 | 13.33                |
|  | ACCOUNT #: 00087178980         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-983I - BARNETT, ROBERT  | AMCAP FUND-A                        | 0.00                 | 12.65               | 0.00               | 12.65             | 90.0 | 11.39                |
|  | ACCOUNT #: 00087778257         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-645P - DICARLO, MICHELE | AMCAP FUND-A                        | 0.00                 | 4.01                | 0.00               | 4.01              | 90.0 | 3.61                 |
|  | ACCOUNT #: 00087877714         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-600I - DASHKOFF, PETER  | AMCAP FUND-A                        | 0.00                 | 14.15               | 0.00               | 14.15             | 90.0 | 12.74                |
|  | ACCOUNT #: 00087980430         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-229I - LESTER, JEANNE   | AMCAP FUND-A                        | 0.00                 | 4.34                | 0.00               | 4.34              | 90.0 | 3.91                 |
|  | ACCOUNT #: 00088263122         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-148I - ZAMORA, KIMBERLY | AMCAP FUND-C                        | 0.00                 | 1.24                | 0.00               | 1.24              | 90.0 | 1.12                 |
|  | ACCOUNT #: 00089888453         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-6863 - MARTIN, MITCHELL | AMCAP FUND-C                        | 0.00                 | 0.03                | 0.00               | 0.03              | 90.0 | 0.03                 |
|  | ACCOUNT #: 04000003339         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-875P - WILBUR, JOHN     | AMCAP FUND-C                        | 0.00                 | 3.19                | 0.00               | 3.19              | 90.0 | 2.87                 |
|  | ACCOUNT #: 00082129490         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-875P - WILBUR, JOHN     | AMCAP FUND-F1                       | 0.00                 | 0.65                | 0.00               | 0.65              | 90.0 | 0.59                 |
|  | ACCOUNT #: 00082129490         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-1112 - HODGES, PATRICK  | AMCAP FUND-R2                       | 0.00                 | 8.21                | 0.00               | 8.21              | 90.0 | 7.39                 |
|  | ACCOUNT #: 00089356994         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-0900 - SMITH, PATRICK   | AMERICAN 2035 TARGET DATE RETIREMNT | 0.00                 | 0.51                | 0.00               | 0.51              | 90.0 | 0.46                 |
|  | ACCOUNT #: 00089949168         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |



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|--|---|--|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b>BROKER TRANSACTIONS (continued)</b>                       |   |  |                      |                     |                    |                   |      |                      |
| <b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</b> |   |  |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-6890 - MARKS, MARK<br>ACCOUNT #: 04000001565     | AMERICAN 2035 TARGET DATE RETIREMNT<br>BUY 0 Units @0.0000 | 0.00                 | 0.20                | 0.00               | 0.20              | 90.0 | 0.18                 |
| 03/01/2018   | ***-**-6584 - BACON, ANDREA<br>ACCOUNT #: 00089949172   | AMERICAN 2040 TARGET DATE RETIREMNT<br>BUY 0 Units @0.0000 | 0.00                 | 0.92                | 0.00               | 0.92              | 90.0 | 0.83                 |
| 03/01/2018   | ***-**-135P - MARKS, FAMILY<br>ACCOUNT #: 00089949244   | AMERICAN 2040 TARGET DATE RETIREMNT<br>BUY 0 Units @0.0000 | 0.00                 | 27.21               | 0.00               | 27.21             | 90.0 | 24.49                |
| 03/01/2018   | ***-**-135P - MARKS, FAMILY<br>ACCOUNT #: 00089949217   | AMERICAN 2045 TARGET DATE RETIREMNT<br>BUY 0 Units @0.0000 | 0.00                 | 28.78               | 0.00               | 28.78             | 90.0 | 25.90                |
| 03/01/2018   | ***-**-0726 - DAHL, KEVIN<br>ACCOUNT #: 00074415913     | AMERICAN BALANCED FUND-529E<br>BUY 0 Units @0.0000         | 0.00                 | 1.42                | 0.00               | 1.42              | 90.0 | 1.28                 |
| 03/01/2018   | ***-**-0726 - DAHL, KEVIN<br>ACCOUNT #: 00074415931     | AMERICAN BALANCED FUND-529E<br>BUY 0 Units @0.0000         | 0.00                 | 31.71               | 0.00               | 31.71             | 90.0 | 28.54                |
| 03/01/2018   | ***-**-034I - DAHL, ROXANNE<br>ACCOUNT #: 00068183767   | AMERICAN BALANCED FUND-C<br>BUY 0 Units @0.0000            | 0.00                 | 20.94               | 0.00               | 20.94             | 90.0 | 18.85                |
| 03/01/2018   | ***-**-034I - DAHL, ROXANNE<br>ACCOUNT #: 00068183767   | AMERICAN BALANCED FUND-F1<br>BUY 0 Units @0.0000           | 0.00                 | 22.09               | 0.00               | 22.09             | 90.0 | 19.88                |
| 03/01/2018   | ***-**-135P - MARKS, FAMILY<br>ACCOUNT #: 00089240102   | AMERICAN FUNDS 02629M587<br>BUY 0 Units @0.0000            | 0.00                 | 4.63                | 0.00               | 4.63              | 90.0 | 4.17                 |
| 03/01/2018   | ***-**-135P - MARKS, FAMILY<br>ACCOUNT #: 04000529710   | AMERICAN FUNDS 02629M587<br>BUY 0 Units @0.0000            | 0.00                 | 1.54                | 0.00               | 1.54              | 90.0 | 1.39                 |
| 03/01/2018   | ***-**-144I - HINZ, LINDA<br>ACCOUNT #: 00061893124     | AMERICAN FUNDS 2015 TARGET DATE-A<br>BUY 0 Units @0.0000   | 0.00                 | 107.77              | 0.00               | 107.77            | 90.0 | 96.99                |
| 03/01/2018   | ***-**-727I - HINZ, JAMES<br>ACCOUNT #: 00084498655     | AMERICAN FUNDS 2015 TARGET DATE-A<br>BUY 0 Units @0.0000   | 0.00                 | 115.00              | 0.00               | 115.00            | 90.0 | 103.50               |
| 03/01/2018   | ***-**-1727 - PETERSON, JON<br>ACCOUNT #: 00089973868   | AMERICAN FUNDS 2030 TARGET DATE-C<br>BUY 0 Units @0.0000   | 0.00                 | 0.11                | 0.00               | 0.11              | 90.0 | 0.10                 |
| 03/01/2018   | ***-**-2235 - BAZABAL, KEITH<br>ACCOUNT #: 00089671678  | AMERICAN FUNDS 2040 TARGET DATE-A<br>BUY 0 Units @0.0000   | 0.00                 | 33.67               | 0.00               | 33.67             | 90.0 | 30.30                |
| 03/01/2018   | ***-**-8489 - BARNICLE, ALANA<br>ACCOUNT #: 00089590415 | AMERICAN FUNDS 2050 TARGET DATE-A<br>BUY 0 Units @0.0000   | 0.00                 | 4.66                | 0.00               | 4.66              | 90.0 | 4.19                 |
| 03/01/2018   | ***-**-1289 - MOORE, MICAH<br>ACCOUNT #: 00089973895    | AMERICAN FUNDS 2050 TARGET DATE-C<br>BUY 0 Units @0.0000   | 0.00                 | 0.38                | 0.00               | 0.38              | 90.0 | 0.34                 |



# COMMISSION STATEMENT

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JOHN KELLY

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BROKER #: 279

BRANCH #01001 - LifeMark Home Office

| DATE   | CLIENT                         | INVESTMENT                      | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|--|--------------------------------|---------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b>BROKER TRANSACTIONS (continued)</b>                       |                                |                                 |                      |                     |                    |                   |      |                      |
| <b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</b> |                                |                                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-1481 - ZAMORA, KIMBERLY | AMERICAN FUNDS MORTGAGE FD CL C | 0.00                 | 1.04                | 0.00               | 1.04              | 90.0 | 0.94                 |
|  | ACCOUNT #: 00089888453         | BUY 0 Units @0.0000             |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-01SI - BAZABAL, GENE    | AMERICAN HIGH-INCOME TRUST-A    | 0.00                 | 0.43                | 0.00               | 0.43              | 90.0 | 0.39                 |
|  | ACCOUNT #: 00089905927         | BUY 0 Units @0.0000             |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-0924 - BALAJI'S         | AMERICAN HIGH-INCOME TRUST-A    | 0.00                 | 0.21                | 0.00               | 0.21              | 90.0 | 0.19                 |
|  | ACCOUNT #: 00081674290         | BUY 0 Units @0.0000             |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-01SI - BAZABAL, GENE    | AMERICAN MUTUAL FUND-A          | 0.00                 | 0.73                | 0.00               | 0.73              | 90.0 | 0.66                 |
|  | ACCOUNT #: 00089905927         | BUY 0 Units @0.0000             |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-405P - RICHARDS, ROSS   | AMERICAN MUTUAL FUND-A          | 0.00                 | 4.01                | 0.00               | 4.01              | 90.0 | 3.61                 |
|  | ACCOUNT #: 00065155614         | BUY 0 Units @0.0000             |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-525P - ENDERS,          | AMERICAN MUTUAL FUND-A          | 0.00                 | 1.06                | 0.00               | 1.06              | 90.0 | 0.95                 |
|  | ACCOUNT #: 00075140556         | BUY 0 Units @0.0000             |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-983I - BARNETT, ROBERT  | AMERICAN MUTUAL FUND-A          | 0.00                 | 24.15               | 0.00               | 24.15             | 90.0 | 21.74                |
|  | ACCOUNT #: 00087778257         | BUY 0 Units @0.0000             |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-1481 - ZAMORA, KIMBERLY | AMERICAN MUTUAL FUND-C          | 0.00                 | 2.44                | 0.00               | 2.44              | 90.0 | 2.20                 |
|  | ACCOUNT #: 00089888453         | BUY 0 Units @0.0000             |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-6863 - MARTIN, MITCHELL | AMERICAN MUTUAL FUND-C          | 0.00                 | 0.03                | 0.00               | 0.03              | 90.0 | 0.03                 |
|  | ACCOUNT #: 04000003339         | BUY 0 Units @0.0000             |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-1112 - HODGES, PATRICK  | AMERICAN MUTUAL FUND-R2         | 0.00                 | 15.94               | 0.00               | 15.94             | 90.0 | 14.35                |
|  | ACCOUNT #: 00089356994         | BUY 0 Units @0.0000             |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-875P - WILBUR, JOHN     | AMERICAN NEW ECONOMY CLASS F1   | 0.00                 | 0.78                | 0.00               | 0.78              | 90.0 | 0.70                 |
|  | ACCOUNT #: 00082129490         | BUY 0 Units @0.0000             |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-135P - MARKS, FAMILY    | COLLEGE 2024 FUND-529A          | 0.00                 | 4.19                | 0.00               | 4.19              | 90.0 | 3.77                 |
|  | ACCOUNT #: 00089240083         | BUY 0 Units @0.0000             |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-135P - MARKS, FAMILY    | COLLEGE 2027 FUND-529A          | 0.00                 | 4.33                | 0.00               | 4.33              | 90.0 | 3.90                 |
|  | ACCOUNT #: 00089240053         | BUY 0 Units @0.0000             |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-835P - BARNETT, ROBERT  | COLLEGE 2027 FUND-529A          | 0.00                 | 2.68                | 0.00               | 2.68              | 90.0 | 2.41                 |
|  | ACCOUNT #: 00089237420         | BUY 0 Units @0.0000             |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-135P - MARKS, FAMILY    | COLLEGE 2030 FUND-529A          | 0.00                 | 4.49                | 0.00               | 4.49              | 90.0 | 4.04                 |
|  | ACCOUNT #: 00089240114         | BUY 0 Units @0.0000             |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-1481 - ZAMORA, KIMBERLY | EUROPACIFIC GROWTH FUND CLASS C | 0.00                 | 4.68                | 0.00               | 4.68              | 90.0 | 4.21                 |
|  | ACCOUNT #: 00089888453         | BUY 0 Units @0.0000             |                      |                     |                    |                   |      |                      |



# COMMISSION STATEMENT

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| DATE   | CLIENT                         | INVESTMENT                      | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|--|--------------------------------|---------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b>BROKER TRANSACTIONS (continued)</b>                       |                                |                                 |                      |                     |                    |                   |      |                      |
| <b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</b> |                                |                                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-6863 - MARTIN, MITCHELL | EUROPACIFIC GROWTH FUND CLASS C | 0.00                 | 0.07                | 0.00               | 0.07              | 90.0 | 0.06                 |
|  | ACCOUNT #: 04000003339         | BUY 0 Units @0.0000             |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-6919 - WILBUR DRYWALL   | EUROPACIFIC GROWTH FUND CLASS C | 0.00                 | 2.71                | 0.00               | 2.71              | 90.0 | 2.44                 |
|  | ACCOUNT #: 00082129282         | BUY 0 Units @0.0000             |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-875P - WILBUR, JOHN     | EUROPACIFIC GROWTH FUND CLASS C | 0.00                 | 4.24                | 0.00               | 4.24              | 90.0 | 3.82                 |
|  | ACCOUNT #: 00082129490         | BUY 0 Units @0.0000             |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-6919 - WILBUR DRYWALL   | EUROPACIFIC GROWTH FUND CLASS F | 0.00                 | 0.41                | 0.00               | 0.41              | 90.0 | 0.37                 |
|  | ACCOUNT #: 00082129282         | BUY 0 Units @0.0000             |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-875P - WILBUR, JOHN     | EUROPACIFIC GROWTH FUND CLASS F | 0.00                 | 0.94                | 0.00               | 0.94              | 90.0 | 0.85                 |
|  | ACCOUNT #: 00082129490         | BUY 0 Units @0.0000             |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-785P - DIXON, GRANT     | EUROPACIFIC GROWTH FUND-529A    | 0.00                 | 0.78                | 0.00               | 0.78              | 90.0 | 0.70                 |
|  | ACCOUNT #: 00068689712         | BUY 0 Units @0.0000             |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-785P - DIXON, GRANT     | EUROPACIFIC GROWTH FUND-529A    | 0.00                 | 0.66                | 0.00               | 0.66              | 90.0 | 0.59                 |
|  | ACCOUNT #: 00068689716         | BUY 0 Units @0.0000             |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-435P - DICARLO, KEITH   | EUROPACIFIC GROWTH FUND-529A    | 0.00                 | 9.26                | 0.00               | 9.26              | 90.0 | 8.33                 |
|  | ACCOUNT #: 00074509353         | BUY 0 Units @0.0000             |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-125P - CANNADY, JAKE    | EUROPACIFIC GROWTH FUND-529A    | 0.00                 | 5.31                | 0.00               | 5.31              | 90.0 | 4.78                 |
|  | ACCOUNT #: 00081514967         | BUY 0 Units @0.0000             |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-125P - CANNADY, JAKE    | EUROPACIFIC GROWTH FUND-529A    | 0.00                 | 5.04                | 0.00               | 5.04              | 90.0 | 4.54                 |
|  | ACCOUNT #: 00081514980         | BUY 0 Units @0.0000             |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-225P - GOGTE, PANA      | EUROPACIFIC GROWTH FUND-529A    | 0.00                 | 0.26                | 0.00               | 0.26              | 90.0 | 0.23                 |
|  | ACCOUNT #: 00081653809         | BUY 0 Units @0.0000             |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-225P - GOGTE, PANA      | EUROPACIFIC GROWTH FUND-529A    | 0.00                 | 0.26                | 0.00               | 0.26              | 90.0 | 0.23                 |
|  | ACCOUNT #: 00081653905         | BUY 0 Units @0.0000             |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-795P - AWAR, KATYA      | EUROPACIFIC GROWTH FUND-529A    | 0.00                 | 0.69                | 0.00               | 0.69              | 90.0 | 0.62                 |
|  | ACCOUNT #: 00081851897         | BUY 0 Units @0.0000             |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-855P - KELLY, PAMELA    | EUROPACIFIC GROWTH FUND-529A    | 0.00                 | 2.67                | 0.00               | 2.67              | 90.0 | 2.40                 |
|  | ACCOUNT #: 00082304099         | BUY 0 Units @0.0000             |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-435P - DICARLO, KEITH   | EUROPACIFIC GROWTH FUND-529A    | 0.00                 | 5.39                | 0.00               | 5.39              | 90.0 | 4.85                 |
|  | ACCOUNT #: 00082709258         | BUY 0 Units @0.0000             |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-895P - ENDERS, ROBERT   | EUROPACIFIC GROWTH FUND-529A    | 0.00                 | 0.60                | 0.00               | 0.60              | 90.0 | 0.54                 |
|  | ACCOUNT #: 00083008892         | BUY 0 Units @0.0000             |                      |                     |                    |                   |      |                      |



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| DATE   | CLIENT                         | INVESTMENT                   | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|--|--------------------------------|------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b>BROKER TRANSACTIONS (continued)</b>                       |                                |                              |                      |                     |                    |                   |      |                      |
| <b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</b> |                                |                              |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-895P - ENDERS, ROBERT   | EUROPACIFIC GROWTH FUND-529A | 0.00                 | 0.55                | 0.00               | 0.55              | 90.0 | 0.50                 |
|  | ACCOUNT #: 00085418297         | BUY 0 Units @0.0000          |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-895P - ENDERS, ROBERT   | EUROPACIFIC GROWTH FUND-529A | 0.00                 | 0.55                | 0.00               | 0.55              | 90.0 | 0.50                 |
|  | ACCOUNT #: 00085418437         | BUY 0 Units @0.0000          |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-795P - SHEDLOCK,        | EUROPACIFIC GROWTH FUND-529A | 0.00                 | 0.50                | 0.00               | 0.50              | 90.0 | 0.45                 |
|  | ACCOUNT #: 00086098316         | BUY 0 Units @0.0000          |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-795P - SHEDLOCK,        | EUROPACIFIC GROWTH FUND-529A | 0.00                 | 0.50                | 0.00               | 0.50              | 90.0 | 0.45                 |
|  | ACCOUNT #: 00086098331         | BUY 0 Units @0.0000          |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-34IN - SAHASRANAM, PREM | EUROPACIFIC GROWTH FUND-529A | 0.00                 | 12.48               | 0.00               | 12.48             | 90.0 | 11.23                |
|  | ACCOUNT #: 00086652940         | BUY 0 Units @0.0000          |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-34IN - SAHASRANAM, PREM | EUROPACIFIC GROWTH FUND-529A | 0.00                 | 12.48               | 0.00               | 12.48             | 90.0 | 11.23                |
|  | ACCOUNT #: 00086652972         | BUY 0 Units @0.0000          |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-255P - SHARMA, PRIYA    | EUROPACIFIC GROWTH FUND-529A | 0.00                 | 8.41                | 0.00               | 8.41              | 90.0 | 7.57                 |
|  | ACCOUNT #: 00086767512         | BUY 0 Units @0.0000          |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-015P - GARCHA,          | EUROPACIFIC GROWTH FUND-529A | 0.00                 | 2.89                | 0.00               | 2.89              | 90.0 | 2.60                 |
|  | ACCOUNT #: 00087584124         | BUY 0 Units @0.0000          |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-015P - GARCHA,          | EUROPACIFIC GROWTH FUND-529A | 0.00                 | 2.89                | 0.00               | 2.89              | 90.0 | 2.60                 |
|  | ACCOUNT #: 00087584201         | BUY 0 Units @0.0000          |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-01SI - BAZABAL, GENE    | EUROPACIFIC GROWTH FUND-A    | 0.00                 | 1.01                | 0.00               | 1.01              | 90.0 | 0.91                 |
|  | ACCOUNT #: 00089905927         | BUY 0 Units @0.0000          |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-970I - KLEVER, JAMES    | EUROPACIFIC GROWTH FUND-A    | 0.00                 | 4.19                | 0.00               | 4.19              | 90.0 | 3.77                 |
|  | ACCOUNT #: 00059834143         | BUY 0 Units @0.0000          |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-095P - CERRETA,         | EUROPACIFIC GROWTH FUND-A    | 0.00                 | 2.73                | 0.00               | 2.73              | 90.0 | 2.46                 |
|  | ACCOUNT #: 00064544133         | BUY 0 Units @0.0000          |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-615P - CERRETA,         | EUROPACIFIC GROWTH FUND-A    | 0.00                 | 2.73                | 0.00               | 2.73              | 90.0 | 2.46                 |
|  | ACCOUNT #: 00064544135         | BUY 0 Units @0.0000          |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-405P - RICHARDS, ROSS   | EUROPACIFIC GROWTH FUND-A    | 0.00                 | 7.19                | 0.00               | 7.19              | 90.0 | 6.47                 |
|  | ACCOUNT #: 00065155614         | BUY 0 Units @0.0000          |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-944P - FULLER, DANIELLE | EUROPACIFIC GROWTH FUND-A    | 0.00                 | 6.75                | 0.00               | 6.75              | 90.0 | 6.08                 |
|  | ACCOUNT #: 00073950287         | BUY 0 Units @0.0000          |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-921I - OSBORNE, DARIN   | EUROPACIFIC GROWTH FUND-A    | 0.00                 | 3.39                | 0.00               | 3.39              | 90.0 | 3.05                 |
|  | ACCOUNT #: 00074802208         | BUY 0 Units @0.0000          |                      |                     |                    |                   |      |                      |



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|--|--------------------------------|---------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b>BROKER TRANSACTIONS (continued)</b>                       |                                |                           |                      |                     |                    |                   |      |                      |
| <b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</b> |                                |                           |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-209I - SPARACO, MICHAEL | EUROPACIFIC GROWTH FUND-A | 0.00                 | 3.45                | 0.00               | 3.45              | 90.0 | 3.11                 |
|  | ACCOUNT #: 00074802243         | BUY 0 Units @0.0000       |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-145P - GUHARROY, SUJATA | EUROPACIFIC GROWTH FUND-A | 0.00                 | 2.79                | 0.00               | 2.79              | 90.0 | 2.51                 |
|  | ACCOUNT #: 00074950977         | BUY 0 Units @0.0000       |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-515P - DAS, SUGATA      | EUROPACIFIC GROWTH FUND-A | 0.00                 | 4.05                | 0.00               | 4.05              | 90.0 | 3.65                 |
|  | ACCOUNT #: 00074950986         | BUY 0 Units @0.0000       |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-525P - ENDERS,          | EUROPACIFIC GROWTH FUND-A | 0.00                 | 1.99                | 0.00               | 1.99              | 90.0 | 1.79                 |
|  | ACCOUNT #: 00075140556         | BUY 0 Units @0.0000       |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-0924 - BALAJI'S         | EUROPACIFIC GROWTH FUND-A | 0.00                 | 0.41                | 0.00               | 0.41              | 90.0 | 0.37                 |
|  | ACCOUNT #: 00081674290         | BUY 0 Units @0.0000       |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-305P - TURTLE BAY       | EUROPACIFIC GROWTH FUND-A | 0.00                 | 147.00              | 0.00               | 147.00            | 90.0 | 132.30               |
|  | ACCOUNT #: 00081907646         | BUY 0 Units @0.0000       |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-379I - DEVORE, LESLIE   | EUROPACIFIC GROWTH FUND-A | 0.00                 | 9.37                | 0.00               | 9.37              | 90.0 | 8.43                 |
|  | ACCOUNT #: 00082764859         | BUY 0 Units @0.0000       |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-10IR - SUBBU, MAHESH    | EUROPACIFIC GROWTH FUND-A | 0.00                 | 1.53                | 0.00               | 1.53              | 90.0 | 1.38                 |
|  | ACCOUNT #: 00085479554         | BUY 0 Units @0.0000       |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-928I - HARRISON, LESLEY | EUROPACIFIC GROWTH FUND-A | 0.00                 | 8.69                | 0.00               | 8.69              | 90.0 | 7.82                 |
|  | ACCOUNT #: 00085790202         | BUY 0 Units @0.0000       |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-503I - HARRISON, BLAKE  | EUROPACIFIC GROWTH FUND-A | 0.00                 | 5.11                | 0.00               | 5.11              | 90.0 | 4.60                 |
|  | ACCOUNT #: 00085790218         | BUY 0 Units @0.0000       |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-83RI - HERRERA,         | EUROPACIFIC GROWTH FUND-A | 0.00                 | 0.03                | 0.00               | 0.03              | 90.0 | 0.03                 |
|  | ACCOUNT #: 00085966537         | BUY 0 Units @0.0000       |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-474I - THOMPSON,        | EUROPACIFIC GROWTH FUND-A | 0.00                 | 4.88                | 0.00               | 4.88              | 90.0 | 4.39                 |
|  | ACCOUNT #: 00086109936         | BUY 0 Units @0.0000       |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-229I - LESTER, JEANNE   | EUROPACIFIC GROWTH FUND-A | 0.00                 | 11.92               | 0.00               | 11.92             | 90.0 | 10.73                |
|  | ACCOUNT #: 00087033260         | BUY 0 Units @0.0000       |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-550I - YANCEY-FELLER,   | EUROPACIFIC GROWTH FUND-A | 0.00                 | 22.10               | 0.00               | 22.10             | 90.0 | 19.89                |
|  | ACCOUNT #: 00087178980         | BUY 0 Units @0.0000       |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-983I - BARNETT, ROBERT  | EUROPACIFIC GROWTH FUND-A | 0.00                 | 43.96               | 0.00               | 43.96             | 90.0 | 39.56                |
|  | ACCOUNT #: 00087778257         | BUY 0 Units @0.0000       |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-645P - DICARLO, MICHELE | EUROPACIFIC GROWTH FUND-A | 0.00                 | 4.04                | 0.00               | 4.04              | 90.0 | 3.64                 |
|  | ACCOUNT #: 00087877714         | BUY 0 Units @0.0000       |                      |                     |                    |                   |      |                      |



# COMMISSION STATEMENT

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JOHN KELLY

2400 E. Arizona Biltmore Cir.  
Suite 1100  
Phoenix, AZ 85016

BROKER #: 279

BRANCH #01001 - LifeMark Home Office

| DATE   | CLIENT                         | INVESTMENT                          | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|--|--------------------------------|-------------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b>BROKER TRANSACTIONS (continued)</b>                       |                                |                                     |                      |                     |                    |                   |      |                      |
| <b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</b> |                                |                                     |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-600I - DASHKOFF, PETER  | EUROPACIFIC GROWTH FUND-A           | 0.00                 | 18.71               | 0.00               | 18.71             | 90.0 | 16.84                |
|  | ACCOUNT #: 00087980430         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-229I - LESTER, JEANNE   | EUROPACIFIC GROWTH FUND-A           | 0.00                 | 7.78                | 0.00               | 7.78              | 90.0 | 7.00                 |
|  | ACCOUNT #: 00088263122         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-1112 - HODGES, PATRICK  | EUROPACIFIC GROWTH FUND-R2          | 0.00                 | 27.07               | 0.00               | 27.07             | 90.0 | 24.36                |
|  | ACCOUNT #: 00089356994         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-535P - BEYER, ZANE      | FUNDAMENTAL INVESTORS-529A          | 0.00                 | 5.07                | 0.00               | 5.07              | 90.0 | 4.56                 |
|  | ACCOUNT #: 00082515501         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-405P - RICHARDS, ROSS   | FUNDAMENTAL INVESTORS-A             | 0.00                 | 8.94                | 0.00               | 8.94              | 90.0 | 8.05                 |
|  | ACCOUNT #: 00065155614         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-921I - OSBORNE, DARIN   | FUNDAMENTAL INVESTORS-A             | 0.00                 | 5.70                | 0.00               | 5.70              | 90.0 | 5.13                 |
|  | ACCOUNT #: 00074802208         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-209I - SPARACO, MICHAEL | FUNDAMENTAL INVESTORS-A             | 0.00                 | 5.79                | 0.00               | 5.79              | 90.0 | 5.21                 |
|  | ACCOUNT #: 00074802243         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-6919 - WILBUR DRYWALL   | GROWTH FUND OF AMERICA CLASS F      | 0.00                 | 0.64                | 0.00               | 0.64              | 90.0 | 0.58                 |
|  | ACCOUNT #: 00082129282         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-875P - WILBUR, JOHN     | GROWTH FUND OF AMERICA CLASS F      | 0.00                 | 1.46                | 0.00               | 1.46              | 90.0 | 1.31                 |
|  | ACCOUNT #: 00082129490         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-6919 - WILBUR DRYWALL   | GROWTH FUND OF AMERICA CLASS F      | 0.00                 | 0.82                | 0.00               | 0.82              | 90.0 | 0.74                 |
|  | ACCOUNT #: 00082144029         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-01SI - BAZABAL, GENE    | INFLATION LINKED BOND FUND-A        | 0.00                 | 1.39                | 0.00               | 1.39              | 90.0 | 1.25                 |
|  | ACCOUNT #: 00089905927         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-525P - ENDERS,          | INFLATION LINKED BOND FUND-A        | 0.00                 | 0.91                | 0.00               | 0.91              | 90.0 | 0.82                 |
|  | ACCOUNT #: 00075140556         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-983I - BARNETT, ROBERT  | INFLATION LINKED BOND FUND-A        | 0.00                 | 21.29               | 0.00               | 21.29             | 90.0 | 19.16                |
|  | ACCOUNT #: 00087778257         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-1112 - HODGES, PATRICK  | INFLATION LINKED BOND FUND-R2       | 0.00                 | 13.64               | 0.00               | 13.64             | 90.0 | 12.28                |
|  | ACCOUNT #: 00089356994         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-785P - DIXON, GRANT     | INTERMEDIATE BOND FUND OF AMERICA-5 | 0.00                 | 0.23                | 0.00               | 0.23              | 90.0 | 0.21                 |
|  | ACCOUNT #: 00068689712         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-785P - DIXON, GRANT     | INTERMEDIATE BOND FUND OF AMERICA-5 | 0.00                 | 0.34                | 0.00               | 0.34              | 90.0 | 0.31                 |
|  | ACCOUNT #: 00068689716         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |



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BROKER #: 279

BRANCH #01001 - LifeMark Home Office

| DATE   | CLIENT                         | INVESTMENT                          | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|--|--------------------------------|-------------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b>BROKER TRANSACTIONS (continued)</b>                       |                                |                                     |                      |                     |                    |                   |      |                      |
| <b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</b> |                                |                                     |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-435P - DICARLO, KEITH   | INTERMEDIATE BOND FUND OF AMERICA-5 | 0.00                 | 1.43                | 0.00               | 1.43              | 90.0 | 1.29                 |
|  | ACCOUNT #: 00074509353         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-225P - GOGTE, PANA      | INTERMEDIATE BOND FUND OF AMERICA-5 | 0.00                 | 0.19                | 0.00               | 0.19              | 90.0 | 0.17                 |
|  | ACCOUNT #: 00081653809         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-225P - GOGTE, PANA      | INTERMEDIATE BOND FUND OF AMERICA-5 | 0.00                 | 0.19                | 0.00               | 0.19              | 90.0 | 0.17                 |
|  | ACCOUNT #: 00081653905         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-435P - DICARLO, KEITH   | INTERMEDIATE BOND FUND OF AMERICA-5 | 0.00                 | 0.88                | 0.00               | 0.88              | 90.0 | 0.79                 |
|  | ACCOUNT #: 00082709258         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-895P - ENDERS, ROBERT   | INTERMEDIATE BOND FUND OF AMERICA-5 | 0.00                 | 0.35                | 0.00               | 0.35              | 90.0 | 0.32                 |
|  | ACCOUNT #: 00083008892         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-895P - ENDERS, ROBERT   | INTERMEDIATE BOND FUND OF AMERICA-5 | 0.00                 | 0.30                | 0.00               | 0.30              | 90.0 | 0.27                 |
|  | ACCOUNT #: 00085418297         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-895P - ENDERS, ROBERT   | INTERMEDIATE BOND FUND OF AMERICA-5 | 0.00                 | 0.30                | 0.00               | 0.30              | 90.0 | 0.27                 |
|  | ACCOUNT #: 00085418437         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-944P - FULLER, DANIELLE | INTERMEDIATE BOND FUND OF AMERICA-A | 0.00                 | 1.99                | 0.00               | 1.99              | 90.0 | 1.79                 |
|  | ACCOUNT #: 00073950287         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-145P - GUHARROY, SUJATA | INTERMEDIATE BOND FUND OF AMERICA-A | 0.00                 | 1.47                | 0.00               | 1.47              | 90.0 | 1.32                 |
|  | ACCOUNT #: 00074950977         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-515P - DAS, SUGATA      | INTERMEDIATE BOND FUND OF AMERICA-A | 0.00                 | 2.14                | 0.00               | 2.14              | 90.0 | 1.93                 |
|  | ACCOUNT #: 00074950986         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-0924 - BALAJI'S         | INTERMEDIATE BOND FUND OF AMERICA-A | 0.00                 | 0.31                | 0.00               | 0.31              | 90.0 | 0.28                 |
|  | ACCOUNT #: 00081674290         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-305P - TURTLE BAY       | INTERMEDIATE BOND FUND OF AMERICA-A | 0.00                 | 26.39               | 0.00               | 26.39             | 90.0 | 23.75                |
|  | ACCOUNT #: 00081907646         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-83RI - HERRERA,         | INTERMEDIATE BOND FUND OF AMERICA-A | 0.00                 | 0.70                | 0.00               | 0.70              | 90.0 | 0.63                 |
|  | ACCOUNT #: 00085966537         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/12/2018   | ***-**-85TR - KELLY TRUST,     | INVESCO VAN KAMPEN COMSTOCK CLASS A | 0.00                 | 13.51               | 0.00               | 13.51             | 90.0 | 12.16                |
|  | ACCOUNT #: LSR005290           | BUY 1 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-1481 - ZAMORA, KIMBERLY | INVESTMENT COMPANY OF AMERICA CLASS | 0.00                 | 2.50                | 0.00               | 2.50              | 90.0 | 2.25                 |
|  | ACCOUNT #: 00089888453         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-6863 - MARTIN, MITCHELL | INVESTMENT COMPANY OF AMERICA CLASS | 0.00                 | 0.03                | 0.00               | 0.03              | 90.0 | 0.03                 |
|  | ACCOUNT #: 04000003339         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |





# COMMISSION STATEMENT

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BROKER #: 279  
BRANCH #01001 - LifeMark Home Office

| DATE   | CLIENT                       | INVESTMENT                          | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|--|------------------------------|-------------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b>BROKER TRANSACTIONS (continued)</b>                       |                              |                                     |                      |                     |                    |                   |      |                      |
| <b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</b> |                              |                                     |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-6919 - WILBUR DRYWALL | INVESTMENT COMPANY OF AMERICA CLASS | 0.00                 | 3.50                | 0.00               | 3.50              | 90.0 | 3.15                 |
|  | ACCOUNT #: 00082129282       | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-875P - WILBUR, JOHN   | INVESTMENT COMPANY OF AMERICA CLASS | 0.00                 | 5.79                | 0.00               | 5.79              | 90.0 | 5.21                 |
|  | ACCOUNT #: 00082129490       | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-6919 - WILBUR DRYWALL | INVESTMENT COMPANY OF AMERICA CLASS | 0.00                 | 5.16                | 0.00               | 5.16              | 90.0 | 4.64                 |
|  | ACCOUNT #: 00082144029       | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-6919 - WILBUR DRYWALL | INVESTMENT COMPANY OF AMERICA CLASS | 0.00                 | 0.01                | 0.00               | 0.01              | 90.0 | 0.01                 |
|  | ACCOUNT #: 00082144262       | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/12/2018   | ***-**-0726 - DAHL, KEVIN    | MFS HIGH-YIELD OPPORTUNITIES FUND C | 0.00                 | 0.59                | 0.00               | 0.59              | 90.0 | 0.53                 |
|  | ACCOUNT #: LSR107425         | BUY 1 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/12/2018   | ***-**-7034 - DAHL, ROXANNE  | MFS HIGH-YIELD OPPORTUNITIES FUND C | 0.00                 | 1.36                | 0.00               | 1.36              | 90.0 | 1.22                 |
|  | ACCOUNT #: LSR108782         | BUY 1 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-255P - SHARMA, PRIYA  | NEW PERSPECTIVE FUND-529A           | 0.00                 | 4.60                | 0.00               | 4.60              | 90.0 | 4.14                 |
|  | ACCOUNT #: 00086767512       | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-015P - GARCHA,        | NEW PERSPECTIVE FUND-529A           | 0.00                 | 1.33                | 0.00               | 1.33              | 90.0 | 1.20                 |
|  | ACCOUNT #: 00087584124       | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-015P - GARCHA,        | NEW PERSPECTIVE FUND-529A           | 0.00                 | 1.33                | 0.00               | 1.33              | 90.0 | 1.20                 |
|  | ACCOUNT #: 00087584201       | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-405P - RICHARDS, ROSS | NEW PERSPECTIVE FUND-A              | 0.00                 | 2.23                | 0.00               | 2.23              | 90.0 | 2.01                 |
|  | ACCOUNT #: 00065155614       | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-10IR - SUBBU, MAHESH  | NEW PERSPECTIVE FUND-A              | 0.00                 | 0.48                | 0.00               | 0.48              | 90.0 | 0.43                 |
|  | ACCOUNT #: 00085479554       | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-785P - DIXON, GRANT   | NEW WORLD FUND-529A                 | 0.00                 | 0.21                | 0.00               | 0.21              | 90.0 | 0.19                 |
|  | ACCOUNT #: 00068689712       | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-785P - DIXON, GRANT   | NEW WORLD FUND-529A                 | 0.00                 | 0.18                | 0.00               | 0.18              | 90.0 | 0.16                 |
|  | ACCOUNT #: 00068689716       | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-435P - DICARLO, KEITH | NEW WORLD FUND-529A                 | 0.00                 | 2.44                | 0.00               | 2.44              | 90.0 | 2.20                 |
|  | ACCOUNT #: 00074509353       | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-125P - CANNADY, JAKE  | NEW WORLD FUND-529A                 | 0.00                 | 0.60                | 0.00               | 0.60              | 90.0 | 0.54                 |
|  | ACCOUNT #: 00081514967       | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-125P - CANNADY, JAKE  | NEW WORLD FUND-529A                 | 0.00                 | 0.79                | 0.00               | 0.79              | 90.0 | 0.71                 |
|  | ACCOUNT #: 00081514980       | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |



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| DATE   | CLIENT                         | INVESTMENT          | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|--|--------------------------------|---------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b>BROKER TRANSACTIONS (continued)</b>                       |                                |                     |                      |                     |                    |                   |      |                      |
| <b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</b> |                                |                     |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-435P - DICARLO, KEITH   | NEW WORLD FUND-529A | 0.00                 | 1.31                | 0.00               | 1.31              | 90.0 | 1.18                 |
|  | ACCOUNT #: 00082709258         | BUY 0 Units @0.0000 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-895P - ENDERS, ROBERT   | NEW WORLD FUND-529A | 0.00                 | 0.16                | 0.00               | 0.16              | 90.0 | 0.14                 |
|  | ACCOUNT #: 00083008892         | BUY 0 Units @0.0000 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-795P - SHEDLOCK,        | NEW WORLD FUND-529A | 0.00                 | 0.45                | 0.00               | 0.45              | 90.0 | 0.41                 |
|  | ACCOUNT #: 00086098316         | BUY 0 Units @0.0000 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-795P - SHEDLOCK,        | NEW WORLD FUND-529A | 0.00                 | 0.45                | 0.00               | 0.45              | 90.0 | 0.41                 |
|  | ACCOUNT #: 00086098331         | BUY 0 Units @0.0000 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-34IN - SAHASRANAM, PREM | NEW WORLD FUND-529A | 0.00                 | 3.14                | 0.00               | 3.14              | 90.0 | 2.83                 |
|  | ACCOUNT #: 00086652940         | BUY 0 Units @0.0000 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-34IN - SAHASRANAM, PREM | NEW WORLD FUND-529A | 0.00                 | 3.14                | 0.00               | 3.14              | 90.0 | 2.83                 |
|  | ACCOUNT #: 00086652972         | BUY 0 Units @0.0000 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-970I - KLEVER, JAMES    | NEW WORLD FUND-A    | 0.00                 | 1.63                | 0.00               | 1.63              | 90.0 | 1.47                 |
|  | ACCOUNT #: 00059834143         | BUY 0 Units @0.0000 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-405P - RICHARDS, ROSS   | NEW WORLD FUND-A    | 0.00                 | 2.83                | 0.00               | 2.83              | 90.0 | 2.55                 |
|  | ACCOUNT #: 00065155614         | BUY 0 Units @0.0000 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-944P - FULLER, DANIELLE | NEW WORLD FUND-A    | 0.00                 | 3.66                | 0.00               | 3.66              | 90.0 | 3.29                 |
|  | ACCOUNT #: 00073950287         | BUY 0 Units @0.0000 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-921I - OSBORNE, DARIN   | NEW WORLD FUND-A    | 0.00                 | 0.97                | 0.00               | 0.97              | 90.0 | 0.87                 |
|  | ACCOUNT #: 00074802208         | BUY 0 Units @0.0000 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-209I - SPARACO, MICHAEL | NEW WORLD FUND-A    | 0.00                 | 0.99                | 0.00               | 0.99              | 90.0 | 0.89                 |
|  | ACCOUNT #: 00074802243         | BUY 0 Units @0.0000 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-145P - GUHARROY, SUJATA | NEW WORLD FUND-A    | 0.00                 | 0.75                | 0.00               | 0.75              | 90.0 | 0.68                 |
|  | ACCOUNT #: 00074950977         | BUY 0 Units @0.0000 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-515P - DAS, SUGATA      | NEW WORLD FUND-A    | 0.00                 | 1.09                | 0.00               | 1.09              | 90.0 | 0.98                 |
|  | ACCOUNT #: 00074950986         | BUY 0 Units @0.0000 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-525P - ENDERS,          | NEW WORLD FUND-A    | 0.00                 | 0.60                | 0.00               | 0.60              | 90.0 | 0.54                 |
|  | ACCOUNT #: 00075140556         | BUY 0 Units @0.0000 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-0924 - BALAJI'S         | NEW WORLD FUND-A    | 0.00                 | 0.22                | 0.00               | 0.22              | 90.0 | 0.20                 |
|  | ACCOUNT #: 00081674290         | BUY 0 Units @0.0000 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-305P - TURTLE BAY       | NEW WORLD FUND-A    | 0.00                 | 39.52               | 0.00               | 39.52             | 90.0 | 35.57                |
|  | ACCOUNT #: 00081907646         | BUY 0 Units @0.0000 |                      |                     |                    |                   |      |                      |



# COMMISSION STATEMENT

March 12, 2018

JOHN KELLY

2400 E. Arizona Biltmore Cir.  
Suite 1100  
Phoenix, AZ 85016

BROKER #: 279

BRANCH #01001 - LifeMark Home Office

| DATE   | CLIENT                         | INVESTMENT             | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|--|--------------------------------|------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b>BROKER TRANSACTIONS (continued)</b>                       |                                |                        |                      |                     |                    |                   |      |                      |
| <b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</b> |                                |                        |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-379I - DEVORE, LESLIE   | NEW WORLD FUND-A       | 0.00                 | 2.37                | 0.00               | 2.37              | 90.0 | 2.13                 |
|  | ACCOUNT #: 00082764859         | BUY 0 Units @0.0000    |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-96IR - SUBBU, SONAL     | NEW WORLD FUND-A       | 0.00                 | 0.95                | 0.00               | 0.95              | 90.0 | 0.86                 |
|  | ACCOUNT #: 00085479556         | BUY 0 Units @0.0000    |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-928I - HARRISON, LESLEY | NEW WORLD FUND-A       | 0.00                 | 1.94                | 0.00               | 1.94              | 90.0 | 1.75                 |
|  | ACCOUNT #: 00085790202         | BUY 0 Units @0.0000    |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-503I - HARRISON, BLAKE  | NEW WORLD FUND-A       | 0.00                 | 2.42                | 0.00               | 2.42              | 90.0 | 2.18                 |
|  | ACCOUNT #: 00085790218         | BUY 0 Units @0.0000    |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-474I - THOMPSON,        | NEW WORLD FUND-A       | 0.00                 | 5.67                | 0.00               | 5.67              | 90.0 | 5.10                 |
|  | ACCOUNT #: 00086109936         | BUY 0 Units @0.0000    |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-229I - LESTER, JEANNE   | NEW WORLD FUND-A       | 0.00                 | 16.00               | 0.00               | 16.00             | 90.0 | 14.40                |
|  | ACCOUNT #: 00087033260         | BUY 0 Units @0.0000    |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-550I - YANCEY-FELLER,   | NEW WORLD FUND-A       | 0.00                 | 10.08               | 0.00               | 10.08             | 90.0 | 9.07                 |
|  | ACCOUNT #: 00087178980         | BUY 0 Units @0.0000    |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-983I - BARNETT, ROBERT  | NEW WORLD FUND-A       | 0.00                 | 12.93               | 0.00               | 12.93             | 90.0 | 11.64                |
|  | ACCOUNT #: 00087778257         | BUY 0 Units @0.0000    |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-645P - DICARLO, MICHELE | NEW WORLD FUND-A       | 0.00                 | 0.96                | 0.00               | 0.96              | 90.0 | 0.86                 |
|  | ACCOUNT #: 00087877714         | BUY 0 Units @0.0000    |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-600I - DASHKOFF, PETER  | NEW WORLD FUND-A       | 0.00                 | 4.35                | 0.00               | 4.35              | 90.0 | 3.92                 |
|  | ACCOUNT #: 00087980430         | BUY 0 Units @0.0000    |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-229I - LESTER, JEANNE   | NEW WORLD FUND-A       | 0.00                 | 11.14               | 0.00               | 11.14             | 90.0 | 10.03                |
|  | ACCOUNT #: 00088263122         | BUY 0 Units @0.0000    |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-148I - ZAMORA, KIMBERLY | NEW WORLD FUND-C       | 0.00                 | 1.40                | 0.00               | 1.40              | 90.0 | 1.26                 |
|  | ACCOUNT #: 00089888453         | BUY 0 Units @0.0000    |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-6863 - MARTIN, MITCHELL | NEW WORLD FUND-C       | 0.00                 | 0.03                | 0.00               | 0.03              | 90.0 | 0.03                 |
|  | ACCOUNT #: 04000003339         | BUY 0 Units @0.0000    |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-1112 - HODGES, PATRICK  | NEW WORLD FUND-R2      | 0.00                 | 8.19                | 0.00               | 8.19              | 90.0 | 7.37                 |
|  | ACCOUNT #: 00089356994         | BUY 0 Units @0.0000    |                      |                     |                    |                   |      |                      |
| 03/12/2018   | ***-**-8849 - SUGATA DAS MD    | QUALIFIED PLAN SUMMARY | 0.00                 | 1,224.49            | 0.00               | 1,224.49          | 90.0 | 1,102.05             |
|  | ACCOUNT #: 00081272040         | BUY 0 Units @0.0000    |                      |                     |                    |                   |      |                      |
| 03/12/2018   | ***-**-98JK - VESTAR           | QUALIFIED PLAN SUMMARY | 0.00                 | 4,859.77            | 0.00               | 4,859.77          | 90.0 | 4,373.80             |
|  | ACCOUNT #: 00927754907         | BUY 0 Units @0.0000    |                      |                     |                    |                   |      |                      |



# COMMISSION STATEMENT

March 12, 2018

JOHN KELLY  
2400 E. Arizona Biltmore Cir.  
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BROKER #: 279  
BRANCH #01001 - LifeMark Home Office

| DATE   | CLIENT                         | INVESTMENT               | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|--|--------------------------------|--------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b>BROKER TRANSACTIONS (continued)</b>                       |                                |                          |                      |                     |                    |                   |      |                      |
| <b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</b> |                                |                          |                      |                     |                    |                   |      |                      |
| 03/12/2018   | ***-**-1366 - AZ CNTR FOR      | QUALIFIED PLAN SUMMARY   | 0.00                 | 60.37               | 0.00               | 60.37             | 90.0 | 54.34                |
|  | ACCOUNT #: 00082206502         | BUY 0 Units @0.0000      |                      |                     |                    |                   |      |                      |
| 03/12/2018   | ***-**-4660 - CS MEDICAL, LLC, | QUALIFIED PLAN SUMMARY   | 0.00                 | 618.35              | 0.00               | 618.35            | 90.0 | 556.51               |
|  | ACCOUNT #: 00069436973         | BUY 0 Units @0.0000      |                      |                     |                    |                   |      |                      |
| 03/12/2018   | ***-**-9229 - TAPASH DAS, MD   | QUALIFIED PLAN SUMMARY   | 0.00                 | 953.82              | 0.00               | 953.82            | 90.0 | 858.44               |
|  | ACCOUNT #: 00087043353         | BUY 0 Units @0.0000      |                      |                     |                    |                   |      |                      |
| 03/12/2018   | ***-**-0275 - CWI COACHING,    | QUALIFIED PLAN SUMMARY   | 0.00                 | 201.28              | 0.00               | 201.28            | 90.0 | 181.16               |
|  | ACCOUNT #: 00087155933         | BUY 0 Units @0.0000      |                      |                     |                    |                   |      |                      |
| 03/12/2018   | ***-**-1723 - CENTRAL CA,      | QUALIFIED PLAN SUMMARY   | 0.00                 | 5,162.37            | 0.00               | 5,162.37          | 90.0 | 4,646.13             |
|  | ACCOUNT #: 00088733858         | BUY 0 Units @0.0000      |                      |                     |                    |                   |      |                      |
| 03/12/2018   | ***-**-0655 - KM DICKSON       | QUALIFIED PLAN SUMMARY   | 0.00                 | 250.74              | 0.00               | 250.74            | 90.0 | 225.67               |
|  | ACCOUNT #: 00087363000         | BUY 0 Units @0.0000      |                      |                     |                    |                   |      |                      |
| 03/12/2018   | ***-**-8844 - SUNBURST         | QUALIFIED PLAN SUMMARY   | 0.00                 | 65.71               | 0.00               | 65.71             | 90.0 | 59.14                |
|  | ACCOUNT #: 04000007328         | BUY 0 Units @0.0000      |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-785P - DIXON, GRANT     | SMALLCAP WORLD FUND-529A | 0.00                 | 0.29                | 0.00               | 0.29              | 90.0 | 0.26                 |
|  | ACCOUNT #: 00068689712         | BUY 0 Units @0.0000      |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-785P - DIXON, GRANT     | SMALLCAP WORLD FUND-529A | 0.00                 | 0.24                | 0.00               | 0.24              | 90.0 | 0.22                 |
|  | ACCOUNT #: 00068689716         | BUY 0 Units @0.0000      |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-435P - DICARLO, KEITH   | SMALLCAP WORLD FUND-529A | 0.00                 | 6.10                | 0.00               | 6.10              | 90.0 | 5.49                 |
|  | ACCOUNT #: 00074509353         | BUY 0 Units @0.0000      |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-125P - CANNADY, JAKE    | SMALLCAP WORLD FUND-529A | 0.00                 | 1.00                | 0.00               | 1.00              | 90.0 | 0.90                 |
|  | ACCOUNT #: 00081514967         | BUY 0 Units @0.0000      |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-125P - CANNADY, JAKE    | SMALLCAP WORLD FUND-529A | 0.00                 | 0.80                | 0.00               | 0.80              | 90.0 | 0.72                 |
|  | ACCOUNT #: 00081514980         | BUY 0 Units @0.0000      |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-855P - KELLY, PAMELA    | SMALLCAP WORLD FUND-529A | 0.00                 | 1.81                | 0.00               | 1.81              | 90.0 | 1.63                 |
|  | ACCOUNT #: 00082304099         | BUY 0 Units @0.0000      |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-435P - DICARLO, KEITH   | SMALLCAP WORLD FUND-529A | 0.00                 | 3.31                | 0.00               | 3.31              | 90.0 | 2.98                 |
|  | ACCOUNT #: 00082709258         | BUY 0 Units @0.0000      |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-895P - ENDERS, ROBERT   | SMALLCAP WORLD FUND-529A | 0.00                 | 0.22                | 0.00               | 0.22              | 90.0 | 0.20                 |
|  | ACCOUNT #: 00083008892         | BUY 0 Units @0.0000      |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-795P - SHEDLOCK,        | SMALLCAP WORLD FUND-529A | 0.00                 | 0.89                | 0.00               | 0.89              | 90.0 | 0.80                 |
|  | ACCOUNT #: 00086098316         | BUY 0 Units @0.0000      |                      |                     |                    |                   |      |                      |



# COMMISSION STATEMENT

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BROKER #: 279  
BRANCH #01001 - LifeMark Home Office

| DATE   | CLIENT   | INVESTMENT                                      | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|--|--|---|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b>BROKER TRANSACTIONS (continued)</b>                       |  |   |                      |                     |                    |                   |      |                      |
| <b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</b> |  |   |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-795P - SHEDLOCK,<br>ACCOUNT #: 00086098331        | SMALLCAP WORLD FUND-529A<br>BUY 0 Units @0.0000 | 0.00                 | 0.89                | 0.00               | 0.89              | 90.0 | 0.80                 |
| 03/01/2018   | ***-**-34IN - SAHASRANAM, PREM<br>ACCOUNT #: 00086652940 | SMALLCAP WORLD FUND-529A<br>BUY 0 Units @0.0000 | 0.00                 | 6.63                | 0.00               | 6.63              | 90.0 | 5.97                 |
| 03/01/2018   | ***-**-34IN - SAHASRANAM, PREM<br>ACCOUNT #: 00086652972 | SMALLCAP WORLD FUND-529A<br>BUY 0 Units @0.0000 | 0.00                 | 6.63                | 0.00               | 6.63              | 90.0 | 5.97                 |
| 03/01/2018   | ***-**-255P - SHARMA, PRIYA<br>ACCOUNT #: 00086767512    | SMALLCAP WORLD FUND-529A<br>BUY 0 Units @0.0000 | 0.00                 | 13.71               | 0.00               | 13.71             | 90.0 | 12.34                |
| 03/01/2018   | ***-**-015P - GARCHA,<br>ACCOUNT #: 00087584124          | SMALLCAP WORLD FUND-529A<br>BUY 0 Units @0.0000 | 0.00                 | 3.90                | 0.00               | 3.90              | 90.0 | 3.51                 |
| 03/01/2018   | ***-**-015P - GARCHA,<br>ACCOUNT #: 00087584201          | SMALLCAP WORLD FUND-529A<br>BUY 0 Units @0.0000 | 0.00                 | 3.90                | 0.00               | 3.90              | 90.0 | 3.51                 |
| 03/01/2018   | ***-**-01SI - BAZABAL, GENE<br>ACCOUNT #: 00089905927    | SMALLCAP WORLD FUND-A<br>BUY 0 Units @0.0000    | 0.00                 | 0.50                | 0.00               | 0.50              | 90.0 | 0.45                 |
| 03/01/2018   | ***-**-970I - KLEVER, JAMES<br>ACCOUNT #: 00059834143    | SMALLCAP WORLD FUND-A<br>BUY 0 Units @0.0000    | 0.00                 | 3.30                | 0.00               | 3.30              | 90.0 | 2.97                 |
| 03/01/2018   | ***-**-405P - RICHARDS, ROSS<br>ACCOUNT #: 00065155614   | SMALLCAP WORLD FUND-A<br>BUY 0 Units @0.0000    | 0.00                 | 2.16                | 0.00               | 2.16              | 90.0 | 1.94                 |
| 03/01/2018   | ***-**-944P - FULLER, DANIELLE<br>ACCOUNT #: 00073950287 | SMALLCAP WORLD FUND-A<br>BUY 0 Units @0.0000    | 0.00                 | 6.18                | 0.00               | 6.18              | 90.0 | 5.56                 |
| 03/01/2018   | ***-**-921I - OSBORNE, DARIN<br>ACCOUNT #: 00074802208   | SMALLCAP WORLD FUND-A<br>BUY 0 Units @0.0000    | 0.00                 | 2.12                | 0.00               | 2.12              | 90.0 | 1.91                 |
| 03/01/2018   | ***-**-209I - SPARACO, MICHAEL<br>ACCOUNT #: 00074802243 | SMALLCAP WORLD FUND-A<br>BUY 0 Units @0.0000    | 0.00                 | 2.15                | 0.00               | 2.15              | 90.0 | 1.94                 |
| 03/01/2018   | ***-**-145P - GUHARROY, SUJATA<br>ACCOUNT #: 00074950977 | SMALLCAP WORLD FUND-A<br>BUY 0 Units @0.0000    | 0.00                 | 1.02                | 0.00               | 1.02              | 90.0 | 0.92                 |
| 03/01/2018   | ***-**-515P - DAS, SUGATA<br>ACCOUNT #: 00074950986      | SMALLCAP WORLD FUND-A<br>BUY 0 Units @0.0000    | 0.00                 | 1.47                | 0.00               | 1.47              | 90.0 | 1.32                 |
| 03/01/2018   | ***-**-525P - ENDERS,<br>ACCOUNT #: 00075140556          | SMALLCAP WORLD FUND-A<br>BUY 0 Units @0.0000    | 0.00                 | 1.49                | 0.00               | 1.49              | 90.0 | 1.34                 |
| 03/01/2018   | ***-**-0924 - BALAJI'S<br>ACCOUNT #: 00081674290         | SMALLCAP WORLD FUND-A<br>BUY 0 Units @0.0000    | 0.00                 | 0.77                | 0.00               | 0.77              | 90.0 | 0.69                 |



# COMMISSION STATEMENT

March 12, 2018

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BRANCH #01001 - LifeMark Home Office

| DATE   | CLIENT                         | INVESTMENT             | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|--|--------------------------------|------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b>BROKER TRANSACTIONS (continued)</b>                       |                                |                        |                      |                     |                    |                   |      |                      |
| <b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</b> |                                |                        |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-305P - TURTLE BAY       | SMALLCAP WORLD FUND-A  | 0.00                 | 92.29               | 0.00               | 92.29             | 90.0 | 83.06                |
|  | ACCOUNT #: 00081907646         | BUY 0 Units @0.0000    |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-379I - DEVORE, LESLIE   | SMALLCAP WORLD FUND-A  | 0.00                 | 5.67                | 0.00               | 5.67              | 90.0 | 5.10                 |
|  | ACCOUNT #: 00082764859         | BUY 0 Units @0.0000    |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-10IR - SUBBU, MAHESH    | SMALLCAP WORLD FUND-A  | 0.00                 | 0.55                | 0.00               | 0.55              | 90.0 | 0.50                 |
|  | ACCOUNT #: 00085479554         | BUY 0 Units @0.0000    |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-928I - HARRISON, LESLEY | SMALLCAP WORLD FUND-A  | 0.00                 | 2.85                | 0.00               | 2.85              | 90.0 | 2.57                 |
|  | ACCOUNT #: 00085790202         | BUY 0 Units @0.0000    |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-503I - HARRISON, BLAKE  | SMALLCAP WORLD FUND-A  | 0.00                 | 8.55                | 0.00               | 8.55              | 90.0 | 7.70                 |
|  | ACCOUNT #: 00085790218         | BUY 0 Units @0.0000    |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-474I - THOMPSON,        | SMALLCAP WORLD FUND-A  | 0.00                 | 3.64                | 0.00               | 3.64              | 90.0 | 3.28                 |
|  | ACCOUNT #: 00086109936         | BUY 0 Units @0.0000    |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-229I - LESTER, JEANNE   | SMALLCAP WORLD FUND-A  | 0.00                 | 20.97               | 0.00               | 20.97             | 90.0 | 18.87                |
|  | ACCOUNT #: 00087033260         | BUY 0 Units @0.0000    |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-550I - YANCEY-FELLER,   | SMALLCAP WORLD FUND-A  | 0.00                 | 38.68               | 0.00               | 38.68             | 90.0 | 34.81                |
|  | ACCOUNT #: 00087178980         | BUY 0 Units @0.0000    |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-983I - BARNETT, ROBERT  | SMALLCAP WORLD FUND-A  | 0.00                 | 33.07               | 0.00               | 33.07             | 90.0 | 29.76                |
|  | ACCOUNT #: 00087778257         | BUY 0 Units @0.0000    |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-645P - DICARLO, MICHELE | SMALLCAP WORLD FUND-A  | 0.00                 | 1.23                | 0.00               | 1.23              | 90.0 | 1.11                 |
|  | ACCOUNT #: 00087877714         | BUY 0 Units @0.0000    |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-600I - DASHKOFF, PETER  | SMALLCAP WORLD FUND-A  | 0.00                 | 5.84                | 0.00               | 5.84              | 90.0 | 5.26                 |
|  | ACCOUNT #: 00087980430         | BUY 0 Units @0.0000    |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-229I - LESTER, JEANNE   | SMALLCAP WORLD FUND-A  | 0.00                 | 12.76               | 0.00               | 12.76             | 90.0 | 11.48                |
|  | ACCOUNT #: 00088263122         | BUY 0 Units @0.0000    |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-148I - ZAMORA, KIMBERLY | SMALLCAP WORLD FUND-C  | 0.00                 | 3.45                | 0.00               | 3.45              | 90.0 | 3.11                 |
|  | ACCOUNT #: 00089888453         | BUY 0 Units @0.0000    |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-6863 - MARTIN, MITCHELL | SMALLCAP WORLD FUND-C  | 0.00                 | 0.05                | 0.00               | 0.05              | 90.0 | 0.05                 |
|  | ACCOUNT #: 04000003339         | BUY 0 Units @0.0000    |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-875P - WILBUR, JOHN     | SMALLCAP WORLD FUND-C  | 0.00                 | 2.97                | 0.00               | 2.97              | 90.0 | 2.67                 |
|  | ACCOUNT #: 00082129490         | BUY 0 Units @0.0000    |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-875P - WILBUR, JOHN     | SMALLCAP WORLD FUND-F1 | 0.00                 | 0.58                | 0.00               | 0.58              | 90.0 | 0.52                 |
|  | ACCOUNT #: 00082129490         | BUY 0 Units @0.0000    |                      |                     |                    |                   |      |                      |



# COMMISSION STATEMENT

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| DATE   | CLIENT                         | INVESTMENT                    | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|--|--------------------------------|-------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b>BROKER TRANSACTIONS (continued)</b>                       |                                |                               |                      |                     |                    |                   |      |                      |
| <b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</b> |                                |                               |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-1112 - HODGES, PATRICK  | SMALLCAP WORLD FUND-R2        | 0.00                 | 21.33               | 0.00               | 21.33             | 90.0 | 19.20                |
|  | ACCOUNT #: 00089356994         | BUY 0 Units @0.0000           |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-785P - DIXON, GRANT     | THE BOND FUND OF AMERICA-529A | 0.00                 | 0.13                | 0.00               | 0.13              | 90.0 | 0.12                 |
|  | ACCOUNT #: 00068689712         | BUY 0 Units @0.0000           |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-785P - DIXON, GRANT     | THE BOND FUND OF AMERICA-529A | 0.00                 | 0.11                | 0.00               | 0.11              | 90.0 | 0.10                 |
|  | ACCOUNT #: 00068689716         | BUY 0 Units @0.0000           |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-125P - CANNADY, JAKE    | THE BOND FUND OF AMERICA-529A | 0.00                 | 0.89                | 0.00               | 0.89              | 90.0 | 0.80                 |
|  | ACCOUNT #: 00081514967         | BUY 0 Units @0.0000           |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-125P - CANNADY, JAKE    | THE BOND FUND OF AMERICA-529A | 0.00                 | 1.03                | 0.00               | 1.03              | 90.0 | 0.93                 |
|  | ACCOUNT #: 00081514980         | BUY 0 Units @0.0000           |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-795P - AWAR, KATYA      | THE BOND FUND OF AMERICA-529A | 0.00                 | 1.01                | 0.00               | 1.01              | 90.0 | 0.91                 |
|  | ACCOUNT #: 00081851897         | BUY 0 Units @0.0000           |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-855P - KELLY, PAMELA    | THE BOND FUND OF AMERICA-529A | 0.00                 | 1.20                | 0.00               | 1.20              | 90.0 | 1.08                 |
|  | ACCOUNT #: 00082304099         | BUY 0 Units @0.0000           |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-535P - BEYER, ZANE      | THE BOND FUND OF AMERICA-529A | 0.00                 | 2.54                | 0.00               | 2.54              | 90.0 | 2.29                 |
|  | ACCOUNT #: 00082515501         | BUY 0 Units @0.0000           |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-895P - ENDERS, ROBERT   | THE BOND FUND OF AMERICA-529A | 0.00                 | 0.11                | 0.00               | 0.11              | 90.0 | 0.10                 |
|  | ACCOUNT #: 00083008892         | BUY 0 Units @0.0000           |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-795P - SHEDLOCK,        | THE BOND FUND OF AMERICA-529A | 0.00                 | 0.68                | 0.00               | 0.68              | 90.0 | 0.61                 |
|  | ACCOUNT #: 00086098316         | BUY 0 Units @0.0000           |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-795P - SHEDLOCK,        | THE BOND FUND OF AMERICA-529A | 0.00                 | 0.68                | 0.00               | 0.68              | 90.0 | 0.61                 |
|  | ACCOUNT #: 00086098331         | BUY 0 Units @0.0000           |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-34IN - SAHASRANAM, PREM | THE BOND FUND OF AMERICA-529A | 0.00                 | 4.98                | 0.00               | 4.98              | 90.0 | 4.48                 |
|  | ACCOUNT #: 00086652940         | BUY 0 Units @0.0000           |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-34IN - SAHASRANAM, PREM | THE BOND FUND OF AMERICA-529A | 0.00                 | 4.98                | 0.00               | 4.98              | 90.0 | 4.48                 |
|  | ACCOUNT #: 00086652972         | BUY 0 Units @0.0000           |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-255P - SHARMA, PRIYA    | THE BOND FUND OF AMERICA-529A | 0.00                 | 13.33               | 0.00               | 13.33             | 90.0 | 12.00                |
|  | ACCOUNT #: 00086767512         | BUY 0 Units @0.0000           |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-015P - GARCHA,          | THE BOND FUND OF AMERICA-529A | 0.00                 | 4.36                | 0.00               | 4.36              | 90.0 | 3.92                 |
|  | ACCOUNT #: 00087584124         | BUY 0 Units @0.0000           |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-015P - GARCHA,          | THE BOND FUND OF AMERICA-529A | 0.00                 | 4.36                | 0.00               | 4.36              | 90.0 | 3.92                 |
|  | ACCOUNT #: 00087584201         | BUY 0 Units @0.0000           |                      |                     |                    |                   |      |                      |



# COMMISSION STATEMENT

March 12, 2018

JOHN KELLY  
2400 E. Arizona Biltmore Cir.  
Suite 1100  
Phoenix, AZ 85016

BROKER #: 279  
BRANCH #01001 - LifeMark Home Office

| DATE   | CLIENT                         | INVESTMENT                 | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|--|--------------------------------|----------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b>BROKER TRANSACTIONS (continued)</b>                       |                                |                            |                      |                     |                    |                   |      |                      |
| <b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</b> |                                |                            |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-01SI - BAZABAL, GENE    | THE BOND FUND OF AMERICA-A | 0.00                 | 2.46                | 0.00               | 2.46              | 90.0 | 2.21                 |
|  | ACCOUNT #: 00089905927         | BUY 0 Units @0.0000        |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-970I - KLEVER, JAMES    | THE BOND FUND OF AMERICA-A | 0.00                 | 9.00                | 0.00               | 9.00              | 90.0 | 8.10                 |
|  | ACCOUNT #: 00059834143         | BUY 0 Units @0.0000        |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-145P - GUHARROY, SUJATA | THE BOND FUND OF AMERICA-A | 0.00                 | 0.48                | 0.00               | 0.48              | 90.0 | 0.43                 |
|  | ACCOUNT #: 00074950977         | BUY 0 Units @0.0000        |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-515P - DAS, SUGATA      | THE BOND FUND OF AMERICA-A | 0.00                 | 0.70                | 0.00               | 0.70              | 90.0 | 0.63                 |
|  | ACCOUNT #: 00074950986         | BUY 0 Units @0.0000        |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-525P - ENDERS,          | THE BOND FUND OF AMERICA-A | 0.00                 | 0.92                | 0.00               | 0.92              | 90.0 | 0.83                 |
|  | ACCOUNT #: 00075140556         | BUY 0 Units @0.0000        |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-0924 - BALAJI'S         | THE BOND FUND OF AMERICA-A | 0.00                 | 0.49                | 0.00               | 0.49              | 90.0 | 0.44                 |
|  | ACCOUNT #: 00081674290         | BUY 0 Units @0.0000        |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-379I - DEVORE, LESLIE   | THE BOND FUND OF AMERICA-A | 0.00                 | 4.04                | 0.00               | 4.04              | 90.0 | 3.64                 |
|  | ACCOUNT #: 00082764859         | BUY 0 Units @0.0000        |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-10IR - SUBBU, MAHESH    | THE BOND FUND OF AMERICA-A | 0.00                 | 1.18                | 0.00               | 1.18              | 90.0 | 1.06                 |
|  | ACCOUNT #: 00085479554         | BUY 0 Units @0.0000        |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-928I - HARRISON, LESLEY | THE BOND FUND OF AMERICA-A | 0.00                 | 6.69                | 0.00               | 6.69              | 90.0 | 6.02                 |
|  | ACCOUNT #: 00085790202         | BUY 0 Units @0.0000        |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-503I - HARRISON, BLAKE  | THE BOND FUND OF AMERICA-A | 0.00                 | 7.87                | 0.00               | 7.87              | 90.0 | 7.08                 |
|  | ACCOUNT #: 00085790218         | BUY 0 Units @0.0000        |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-83RI - HERRERA,         | THE BOND FUND OF AMERICA-A | 0.00                 | 0.84                | 0.00               | 0.84              | 90.0 | 0.76                 |
|  | ACCOUNT #: 00085966537         | BUY 0 Units @0.0000        |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-474I - THOMPSON,        | THE BOND FUND OF AMERICA-A | 0.00                 | 4.21                | 0.00               | 4.21              | 90.0 | 3.79                 |
|  | ACCOUNT #: 00086109936         | BUY 0 Units @0.0000        |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-229I - LESTER, JEANNE   | THE BOND FUND OF AMERICA-A | 0.00                 | 11.75               | 0.00               | 11.75             | 90.0 | 10.58                |
|  | ACCOUNT #: 00087033260         | BUY 0 Units @0.0000        |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-550I - YANCEY-FELLER,   | THE BOND FUND OF AMERICA-A | 0.00                 | 32.32               | 0.00               | 32.32             | 90.0 | 29.09                |
|  | ACCOUNT #: 00087178980         | BUY 0 Units @0.0000        |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-983I - BARNETT, ROBERT  | THE BOND FUND OF AMERICA-A | 0.00                 | 21.53               | 0.00               | 21.53             | 90.0 | 19.38                |
|  | ACCOUNT #: 00087778257         | BUY 0 Units @0.0000        |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-645P - DICARLO, MICHELE | THE BOND FUND OF AMERICA-A | 0.00                 | 0.25                | 0.00               | 0.25              | 90.0 | 0.23                 |
|  | ACCOUNT #: 00087877714         | BUY 0 Units @0.0000        |                      |                     |                    |                   |      |                      |





# COMMISSION STATEMENT

March 12, 2018

JOHN KELLY

2400 E. Arizona Biltmore Cir.  
Suite 1100  
Phoenix, AZ 85016

BROKER #: 279

BRANCH #01001 - LifeMark Home Office

| DATE   | CLIENT                         | INVESTMENT                      | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|--|--------------------------------|---------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b>BROKER TRANSACTIONS (continued)</b>                       |                                |                                 |                      |                     |                    |                   |      |                      |
| <b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</b> |                                |                                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-600I - DASHKOFF, PETER  | THE BOND FUND OF AMERICA-A      | 0.00                 | 16.11               | 0.00               | 16.11             | 90.0 | 14.50                |
|  | ACCOUNT #: 00087980430         | BUY 0 Units @0.0000             |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-229I - LESTER, JEANNE   | THE BOND FUND OF AMERICA-A      | 0.00                 | 9.60                | 0.00               | 9.60              | 90.0 | 8.64                 |
|  | ACCOUNT #: 00088263122         | BUY 0 Units @0.0000             |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-148I - ZAMORA, KIMBERLY | THE BOND FUND OF AMERICA-C      | 0.00                 | 3.16                | 0.00               | 3.16              | 90.0 | 2.84                 |
|  | ACCOUNT #: 00089888453         | BUY 0 Units @0.0000             |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-6863 - MARTIN, MITCHELL | THE BOND FUND OF AMERICA-C      | 0.00                 | 0.01                | 0.00               | 0.01              | 90.0 | 0.01                 |
|  | ACCOUNT #: 04000003339         | BUY 0 Units @0.0000             |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-895I - WILBUR, ROBERT   | THE BOND FUND OF AMERICA-C      | 0.00                 | 0.53                | 0.00               | 0.53              | 90.0 | 0.48                 |
|  | ACCOUNT #: 00082129023         | BUY 0 Units @0.0000             |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-875P - WILBUR, PATRICIA | THE BOND FUND OF AMERICA-C      | 0.00                 | 0.53                | 0.00               | 0.53              | 90.0 | 0.48                 |
|  | ACCOUNT #: 00082129131         | BUY 0 Units @0.0000             |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-6919 - WILBUR DRYWALL   | THE BOND FUND OF AMERICA-C      | 0.00                 | 3.83                | 0.00               | 3.83              | 90.0 | 3.45                 |
|  | ACCOUNT #: 00082129282         | BUY 0 Units @0.0000             |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-875P - WILBUR, JOHN     | THE BOND FUND OF AMERICA-C      | 0.00                 | 1.49                | 0.00               | 1.49              | 90.0 | 1.34                 |
|  | ACCOUNT #: 00082129490         | BUY 0 Units @0.0000             |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-6919 - WILBUR DRYWALL   | THE BOND FUND OF AMERICA-C      | 0.00                 | 5.55                | 0.00               | 5.55              | 90.0 | 5.00                 |
|  | ACCOUNT #: 00082144029         | BUY 0 Units @0.0000             |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-6919 - WILBUR DRYWALL   | THE BOND FUND OF AMERICA-C      | 0.00                 | 0.03                | 0.00               | 0.03              | 90.0 | 0.03                 |
|  | ACCOUNT #: 00082144262         | BUY 0 Units @0.0000             |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-6919 - WILBUR DRYWALL   | THE BOND FUND OF AMERICA-F1     | 0.00                 | 0.73                | 0.00               | 0.73              | 90.0 | 0.66                 |
|  | ACCOUNT #: 00082129282         | BUY 0 Units @0.0000             |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-875P - WILBUR, JOHN     | THE BOND FUND OF AMERICA-F1     | 0.00                 | 0.42                | 0.00               | 0.42              | 90.0 | 0.38                 |
|  | ACCOUNT #: 00082129490         | BUY 0 Units @0.0000             |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-6919 - WILBUR DRYWALL   | THE BOND FUND OF AMERICA-F1     | 0.00                 | 0.94                | 0.00               | 0.94              | 90.0 | 0.85                 |
|  | ACCOUNT #: 00082144029         | BUY 0 Units @0.0000             |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-6919 - WILBUR DRYWALL   | THE BOND FUND OF AMERICA-F1     | 0.00                 | 0.01                | 0.00               | 0.01              | 90.0 | 0.01                 |
|  | ACCOUNT #: 00082144262         | BUY 0 Units @0.0000             |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-1112 - HODGES, PATRICK  | THE BOND FUND OF AMERICA-R2     | 0.00                 | 13.51               | 0.00               | 13.51             | 90.0 | 12.16                |
|  | ACCOUNT #: 00089356994         | BUY 0 Units @0.0000             |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-785P - DIXON, GRANT     | THE GROWTH FUND OF AMERICA-529A | 0.00                 | 1.18                | 0.00               | 1.18              | 90.0 | 1.06                 |
|  | ACCOUNT #: 00068689712         | BUY 0 Units @0.0000             |                      |                     |                    |                   |      |                      |



# COMMISSION STATEMENT

March 12, 2018

JOHN KELLY

2400 E. Arizona Biltmore Cir.  
Suite 1100  
Phoenix, AZ 85016

BROKER #: 279

BRANCH #01001 - LifeMark Home Office

| DATE   | CLIENT   | INVESTMENT   | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|--|--|--|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b>BROKER TRANSACTIONS (continued)</b>                       |  |  |                      |                     |                    |                   |      |                      |
| <b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</b> |  |  |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-785P - DIXON, GRANT<br>ACCOUNT #: 00068689716     | THE GROWTH FUND OF AMERICA-529A<br>BUY 0 Units @0.0000 | 0.00                 | 1.00                | 0.00               | 1.00              | 90.0 | 0.90                 |
| 03/01/2018   | ***-**-435P - DICARLO, KEITH<br>ACCOUNT #: 00074509353   | THE GROWTH FUND OF AMERICA-529A<br>BUY 0 Units @0.0000 | 0.00                 | 13.37               | 0.00               | 13.37             | 90.0 | 12.03                |
| 03/01/2018   | ***-**-125P - CANNADY, JAKE<br>ACCOUNT #: 00081514967    | THE GROWTH FUND OF AMERICA-529A<br>BUY 0 Units @0.0000 | 0.00                 | 2.29                | 0.00               | 2.29              | 90.0 | 2.06                 |
| 03/01/2018   | ***-**-125P - CANNADY, JAKE<br>ACCOUNT #: 00081514980    | THE GROWTH FUND OF AMERICA-529A<br>BUY 0 Units @0.0000 | 0.00                 | 2.29                | 0.00               | 2.29              | 90.0 | 2.06                 |
| 03/01/2018   | ***-**-225P - GOGTE, PANA V<br>ACCOUNT #: 00081653809    | THE GROWTH FUND OF AMERICA-529A<br>BUY 0 Units @0.0000 | 0.00                 | 0.38                | 0.00               | 0.38              | 90.0 | 0.34                 |
| 03/01/2018   | ***-**-225P - GOGTE, PANA V<br>ACCOUNT #: 00081653905    | THE GROWTH FUND OF AMERICA-529A<br>BUY 0 Units @0.0000 | 0.00                 | 0.38                | 0.00               | 0.38              | 90.0 | 0.34                 |
| 03/01/2018   | ***-**-795P - AWAR, KATYA<br>ACCOUNT #: 00081851897      | THE GROWTH FUND OF AMERICA-529A<br>BUY 0 Units @0.0000 | 0.00                 | 1.74                | 0.00               | 1.74              | 90.0 | 1.57                 |
| 03/01/2018   | ***-**-855P - KELLY, PAMELA<br>ACCOUNT #: 00082304099    | THE GROWTH FUND OF AMERICA-529A<br>BUY 0 Units @0.0000 | 0.00                 | 3.95                | 0.00               | 3.95              | 90.0 | 3.56                 |
| 03/01/2018   | ***-**-535P - BEYER, ZANE<br>ACCOUNT #: 00082515501      | THE GROWTH FUND OF AMERICA-529A<br>BUY 0 Units @0.0000 | 0.00                 | 5.21                | 0.00               | 5.21              | 90.0 | 4.69                 |
| 03/01/2018   | ***-**-435P - DICARLO, KEITH<br>ACCOUNT #: 00082709258   | THE GROWTH FUND OF AMERICA-529A<br>BUY 0 Units @0.0000 | 0.00                 | 7.40                | 0.00               | 7.40              | 90.0 | 6.66                 |
| 03/01/2018   | ***-**-895P - ENDERS, ROBERT<br>ACCOUNT #: 00083008892   | THE GROWTH FUND OF AMERICA-529A<br>BUY 0 Units @0.0000 | 0.00                 | 0.91                | 0.00               | 0.91              | 90.0 | 0.82                 |
| 03/01/2018   | ***-**-895P - ENDERS, ROBERT<br>ACCOUNT #: 00085418297   | THE GROWTH FUND OF AMERICA-529A<br>BUY 0 Units @0.0000 | 0.00                 | 0.70                | 0.00               | 0.70              | 90.0 | 0.63                 |
| 03/01/2018   | ***-**-895P - ENDERS, ROBERT<br>ACCOUNT #: 00085418437   | THE GROWTH FUND OF AMERICA-529A<br>BUY 0 Units @0.0000 | 0.00                 | 0.70                | 0.00               | 0.70              | 90.0 | 0.63                 |
| 03/01/2018   | ***-**-795P - SHEDLOCK,<br>ACCOUNT #: 00086098316        | THE GROWTH FUND OF AMERICA-529A<br>BUY 0 Units @0.0000 | 0.00                 | 0.70                | 0.00               | 0.70              | 90.0 | 0.63                 |
| 03/01/2018   | ***-**-795P - SHEDLOCK,<br>ACCOUNT #: 00086098331        | THE GROWTH FUND OF AMERICA-529A<br>BUY 0 Units @0.0000 | 0.00                 | 0.70                | 0.00               | 0.70              | 90.0 | 0.63                 |
| 03/01/2018   | ***-**-341N - SAHASRANAM, PREM<br>ACCOUNT #: 00086652940 | THE GROWTH FUND OF AMERICA-529A<br>BUY 0 Units @0.0000 | 0.00                 | 17.71               | 0.00               | 17.71             | 90.0 | 15.94                |



# COMMISSION STATEMENT

March 12, 2018

JOHN KELLY

2400 E. Arizona Biltmore Cir.  
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BROKER #: 279

BRANCH #01001 - LifeMark Home Office

| DATE   | CLIENT                         | INVESTMENT                      | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|--|--------------------------------|---------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b>BROKER TRANSACTIONS (continued)</b>                       |                                |                                 |                      |                     |                    |                   |      |                      |
| <b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</b> |                                |                                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-34IN - SAHASRANAM, PREM | THE GROWTH FUND OF AMERICA-529A | 0.00                 | 17.71               | 0.00               | 17.71             | 90.0 | 15.94                |
|  | ACCOUNT #: 00086652972         | BUY 0 Units @0.0000             |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-255P - SHARMA, PRIYA    | THE GROWTH FUND OF AMERICA-529A | 0.00                 | 17.49               | 0.00               | 17.49             | 90.0 | 15.74                |
|  | ACCOUNT #: 00086767512         | BUY 0 Units @0.0000             |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-015P - GARCHA,          | THE GROWTH FUND OF AMERICA-529A | 0.00                 | 2.79                | 0.00               | 2.79              | 90.0 | 2.51                 |
|  | ACCOUNT #: 00087584124         | BUY 0 Units @0.0000             |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-015P - GARCHA,          | THE GROWTH FUND OF AMERICA-529A | 0.00                 | 2.79                | 0.00               | 2.79              | 90.0 | 2.51                 |
|  | ACCOUNT #: 00087584201         | BUY 0 Units @0.0000             |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-01SI - BAZABAL, GENE    | THE GROWTH FUND OF AMERICA-A    | 0.00                 | 0.66                | 0.00               | 0.66              | 90.0 | 0.59                 |
|  | ACCOUNT #: 00089905927         | BUY 0 Units @0.0000             |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-970I - KLEVER, JAMES    | THE GROWTH FUND OF AMERICA-A    | 0.00                 | 6.31                | 0.00               | 6.31              | 90.0 | 5.68                 |
|  | ACCOUNT #: 00059834143         | BUY 0 Units @0.0000             |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-405P - RICHARDS, ROSS   | THE GROWTH FUND OF AMERICA-A    | 0.00                 | 3.90                | 0.00               | 3.90              | 90.0 | 3.51                 |
|  | ACCOUNT #: 00065155614         | BUY 0 Units @0.0000             |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-944P - FULLER, DANIELLE | THE GROWTH FUND OF AMERICA-A    | 0.00                 | 9.08                | 0.00               | 9.08              | 90.0 | 8.17                 |
|  | ACCOUNT #: 00073950287         | BUY 0 Units @0.0000             |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-921I - OSBORNE, DARIN   | THE GROWTH FUND OF AMERICA-A    | 0.00                 | 4.41                | 0.00               | 4.41              | 90.0 | 3.97                 |
|  | ACCOUNT #: 00074802208         | BUY 0 Units @0.0000             |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-209I - SPARACO, MICHAEL | THE GROWTH FUND OF AMERICA-A    | 0.00                 | 4.49                | 0.00               | 4.49              | 90.0 | 4.04                 |
|  | ACCOUNT #: 00074802243         | BUY 0 Units @0.0000             |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-145P - GUHARROY, SUJATA | THE GROWTH FUND OF AMERICA-A    | 0.00                 | 4.14                | 0.00               | 4.14              | 90.0 | 3.73                 |
|  | ACCOUNT #: 00074950977         | BUY 0 Units @0.0000             |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-515P - DAS, SUGATA      | THE GROWTH FUND OF AMERICA-A    | 0.00                 | 6.00                | 0.00               | 6.00              | 90.0 | 5.40                 |
|  | ACCOUNT #: 00074950986         | BUY 0 Units @0.0000             |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-525P - ENDERS,          | THE GROWTH FUND OF AMERICA-A    | 0.00                 | 1.71                | 0.00               | 1.71              | 90.0 | 1.54                 |
|  | ACCOUNT #: 00075140556         | BUY 0 Units @0.0000             |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-0924 - BALAJI'S         | THE GROWTH FUND OF AMERICA-A    | 0.00                 | 0.60                | 0.00               | 0.60              | 90.0 | 0.54                 |
|  | ACCOUNT #: 00081674290         | BUY 0 Units @0.0000             |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-305P - TURTLE BAY       | THE GROWTH FUND OF AMERICA-A    | 0.00                 | 211.89              | 0.00               | 211.89            | 90.0 | 190.70               |
|  | ACCOUNT #: 00081907646         | BUY 0 Units @0.0000             |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-379I - DEVORE, LESLIE   | THE GROWTH FUND OF AMERICA-A    | 0.00                 | 19.21               | 0.00               | 19.21             | 90.0 | 17.29                |
|  | ACCOUNT #: 00082764859         | BUY 0 Units @0.0000             |                      |                     |                    |                   |      |                      |



# COMMISSION STATEMENT

March 12, 2018

JOHN KELLY

2400 E. Arizona Biltmore Cir.  
Suite 1100  
Phoenix, AZ 85016

BROKER #: 279

BRANCH #01001 - LifeMark Home Office

| DATE   | CLIENT                         | INVESTMENT                   | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|--|--------------------------------|------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b>BROKER TRANSACTIONS (continued)</b>                       |                                |                              |                      |                     |                    |                   |      |                      |
| <b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</b> |                                |                              |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-10IR - SUBBU, MAHESH    | THE GROWTH FUND OF AMERICA-A | 0.00                 | 2.88                | 0.00               | 2.88              | 90.0 | 2.59                 |
|  | ACCOUNT #: 00085479554         | BUY 0 Units @0.0000          |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-928I - HARRISON, LESLEY | THE GROWTH FUND OF AMERICA-A | 0.00                 | 13.29               | 0.00               | 13.29             | 90.0 | 11.96                |
|  | ACCOUNT #: 00085790202         | BUY 0 Units @0.0000          |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-503I - HARRISON, BLAKE  | THE GROWTH FUND OF AMERICA-A | 0.00                 | 6.65                | 0.00               | 6.65              | 90.0 | 5.99                 |
|  | ACCOUNT #: 00085790218         | BUY 0 Units @0.0000          |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-83RI - HERRERA,         | THE GROWTH FUND OF AMERICA-A | 0.00                 | 0.55                | 0.00               | 0.55              | 90.0 | 0.50                 |
|  | ACCOUNT #: 00085966537         | BUY 0 Units @0.0000          |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-474I - THOMPSON,        | THE GROWTH FUND OF AMERICA-A | 0.00                 | 21.22               | 0.00               | 21.22             | 90.0 | 19.10                |
|  | ACCOUNT #: 00086109936         | BUY 0 Units @0.0000          |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-229I - LESTER, JEANNE   | THE GROWTH FUND OF AMERICA-A | 0.00                 | 24.46               | 0.00               | 24.46             | 90.0 | 22.01                |
|  | ACCOUNT #: 00087033260         | BUY 0 Units @0.0000          |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-550I - YANCEY-FELLER,   | THE GROWTH FUND OF AMERICA-A | 0.00                 | 30.67               | 0.00               | 30.67             | 90.0 | 27.60                |
|  | ACCOUNT #: 00087178980         | BUY 0 Units @0.0000          |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-983I - BARNETT, ROBERT  | THE GROWTH FUND OF AMERICA-A | 0.00                 | 38.67               | 0.00               | 38.67             | 90.0 | 34.80                |
|  | ACCOUNT #: 00087778257         | BUY 0 Units @0.0000          |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-645P - DICARLO, MICHELE | THE GROWTH FUND OF AMERICA-A | 0.00                 | 8.53                | 0.00               | 8.53              | 90.0 | 7.68                 |
|  | ACCOUNT #: 00087877714         | BUY 0 Units @0.0000          |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-600I - DASHKOFF, PETER  | THE GROWTH FUND OF AMERICA-A | 0.00                 | 24.80               | 0.00               | 24.80             | 90.0 | 22.32                |
|  | ACCOUNT #: 00087980430         | BUY 0 Units @0.0000          |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-229I - LESTER, JEANNE   | THE GROWTH FUND OF AMERICA-A | 0.00                 | 14.01               | 0.00               | 14.01             | 90.0 | 12.61                |
|  | ACCOUNT #: 00088263122         | BUY 0 Units @0.0000          |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-148I - ZAMORA, KIMBERLY | THE GROWTH FUND OF AMERICA-C | 0.00                 | 3.99                | 0.00               | 3.99              | 90.0 | 3.59                 |
|  | ACCOUNT #: 00089888453         | BUY 0 Units @0.0000          |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-6863 - MARTIN, MITCHELL | THE GROWTH FUND OF AMERICA-C | 0.00                 | 0.04                | 0.00               | 0.04              | 90.0 | 0.04                 |
|  | ACCOUNT #: 04000003339         | BUY 0 Units @0.0000          |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-6919 - WILBUR DRYWALL   | THE GROWTH FUND OF AMERICA-C | 0.00                 | 4.06                | 0.00               | 4.06              | 90.0 | 3.65                 |
|  | ACCOUNT #: 00082129282         | BUY 0 Units @0.0000          |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-875P - WILBUR, JOHN     | THE GROWTH FUND OF AMERICA-C | 0.00                 | 6.32                | 0.00               | 6.32              | 90.0 | 5.69                 |
|  | ACCOUNT #: 00082129490         | BUY 0 Units @0.0000          |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-6919 - WILBUR DRYWALL   | THE GROWTH FUND OF AMERICA-C | 0.00                 | 5.86                | 0.00               | 5.86              | 90.0 | 5.27                 |
|  | ACCOUNT #: 00082144029         | BUY 0 Units @0.0000          |                      |                     |                    |                   |      |                      |



# COMMISSION STATEMENT

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BROKER #: 279

BRANCH #01001 - LifeMark Home Office

| DATE   | CLIENT                        | INVESTMENT                          | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|--|-------------------------------|-------------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b>BROKER TRANSACTIONS (continued)</b>                       |                               |                                     |                      |                     |                    |                   |      |                      |
| <b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</b> |                               |                                     |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-1112 - HODGES, PATRICK | THE GROWTH FUND OF AMERICA-R2       | 0.00                 | 25.01               | 0.00               | 25.01             | 90.0 | 22.51                |
|  | ACCOUNT #: 00089356994        | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-83RI - HERRERA,        | THE INCOME FUND OF AMERICA-A        | 0.00                 | 0.32                | 0.00               | 0.32              | 90.0 | 0.29                 |
|  | ACCOUNT #: 00085966537        | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-229I - LESTER, JEANNE  | THE INCOME FUND OF AMERICA-A        | 0.00                 | 11.71               | 0.00               | 11.71             | 90.0 | 10.54                |
|  | ACCOUNT #: 00087033260        | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-229I - LESTER, JEANNE  | THE INCOME FUND OF AMERICA-A        | 0.00                 | 7.66                | 0.00               | 7.66              | 90.0 | 6.89                 |
|  | ACCOUNT #: 00088263122        | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-785P - DIXON, GRANT    | THE INVESTMENT COMPANY OF AMERICA-5 | 0.00                 | 1.02                | 0.00               | 1.02              | 90.0 | 0.92                 |
|  | ACCOUNT #: 00068689712        | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-785P - DIXON, GRANT    | THE INVESTMENT COMPANY OF AMERICA-5 | 0.00                 | 0.87                | 0.00               | 0.87              | 90.0 | 0.78                 |
|  | ACCOUNT #: 00068689716        | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-435P - DICARLO, KEITH  | THE INVESTMENT COMPANY OF AMERICA-5 | 0.00                 | 12.04               | 0.00               | 12.04             | 90.0 | 10.84                |
|  | ACCOUNT #: 00074509353        | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-125P - CANNADY, JAKE   | THE INVESTMENT COMPANY OF AMERICA-5 | 0.00                 | 3.86                | 0.00               | 3.86              | 90.0 | 3.47                 |
|  | ACCOUNT #: 00081514967        | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-125P - CANNADY, JAKE   | THE INVESTMENT COMPANY OF AMERICA-5 | 0.00                 | 3.88                | 0.00               | 3.88              | 90.0 | 3.49                 |
|  | ACCOUNT #: 00081514980        | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-225P - GOGTE, PANA V   | THE INVESTMENT COMPANY OF AMERICA-5 | 0.00                 | 0.33                | 0.00               | 0.33              | 90.0 | 0.30                 |
|  | ACCOUNT #: 00081653809        | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-225P - GOGTE, PANA V   | THE INVESTMENT COMPANY OF AMERICA-5 | 0.00                 | 0.33                | 0.00               | 0.33              | 90.0 | 0.30                 |
|  | ACCOUNT #: 00081653905        | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-795P - AWAR, KATYA     | THE INVESTMENT COMPANY OF AMERICA-5 | 0.00                 | 1.61                | 0.00               | 1.61              | 90.0 | 1.45                 |
|  | ACCOUNT #: 00081851897        | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-855P - KELLY, PAMELA   | THE INVESTMENT COMPANY OF AMERICA-5 | 0.00                 | 3.52                | 0.00               | 3.52              | 90.0 | 3.17                 |
|  | ACCOUNT #: 00082304099        | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-535P - BEYER, ZANE     | THE INVESTMENT COMPANY OF AMERICA-5 | 0.00                 | 4.67                | 0.00               | 4.67              | 90.0 | 4.20                 |
|  | ACCOUNT #: 00082515501        | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-435P - DICARLO, KEITH  | THE INVESTMENT COMPANY OF AMERICA-5 | 0.00                 | 6.81                | 0.00               | 6.81              | 90.0 | 6.13                 |
|  | ACCOUNT #: 00082709258        | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-895P - ENDERS, ROBERT  | THE INVESTMENT COMPANY OF AMERICA-5 | 0.00                 | 0.82                | 0.00               | 0.82              | 90.0 | 0.74                 |
|  | ACCOUNT #: 00083008892        | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |



# COMMISSION STATEMENT

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JOHN KELLY  
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BROKER #: 279  
BRANCH #01001 - LifeMark Home Office

| DATE   | CLIENT   | INVESTMENT   | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|--|--|--|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b>BROKER TRANSACTIONS (continued)</b>                       |  |  |                      |                     |                    |                   |      |                      |
| <b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</b> |  |  |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-895P - ENDERS, ROBERT<br>ACCOUNT #: 00085418297   | THE INVESTMENT COMPANY OF AMERICA-5<br>BUY 0 Units @0.0000 | 0.00                 | 0.64                | 0.00               | 0.64              | 90.0 | 0.58                 |
| 03/01/2018   | ***-**-895P - ENDERS, ROBERT<br>ACCOUNT #: 00085418437   | THE INVESTMENT COMPANY OF AMERICA-5<br>BUY 0 Units @0.0000 | 0.00                 | 0.64                | 0.00               | 0.64              | 90.0 | 0.58                 |
| 03/01/2018   | ***-**-795P - SHEDLOCK,<br>ACCOUNT #: 00086098316        | THE INVESTMENT COMPANY OF AMERICA-5<br>BUY 0 Units @0.0000 | 0.00                 | 1.28                | 0.00               | 1.28              | 90.0 | 1.15                 |
| 03/01/2018   | ***-**-795P - SHEDLOCK,<br>ACCOUNT #: 00086098331        | THE INVESTMENT COMPANY OF AMERICA-5<br>BUY 0 Units @0.0000 | 0.00                 | 1.28                | 0.00               | 1.28              | 90.0 | 1.15                 |
| 03/01/2018   | ***-**-34IN - SAHASRANAM, PREM<br>ACCOUNT #: 00086652940 | THE INVESTMENT COMPANY OF AMERICA-5<br>BUY 0 Units @0.0000 | 0.00                 | 13.14               | 0.00               | 13.14             | 90.0 | 11.83                |
| 03/01/2018   | ***-**-34IN - SAHASRANAM, PREM<br>ACCOUNT #: 00086652972 | THE INVESTMENT COMPANY OF AMERICA-5<br>BUY 0 Units @0.0000 | 0.00                 | 13.14               | 0.00               | 13.14             | 90.0 | 11.83                |
| 03/01/2018   | ***-**-255P - SHARMA, PRIYA<br>ACCOUNT #: 00086767512    | THE INVESTMENT COMPANY OF AMERICA-5<br>BUY 0 Units @0.0000 | 0.00                 | 23.73               | 0.00               | 23.73             | 90.0 | 21.36                |
| 03/01/2018   | ***-**-015P - GARCHA,<br>ACCOUNT #: 00087584124          | THE INVESTMENT COMPANY OF AMERICA-5<br>BUY 0 Units @0.0000 | 0.00                 | 5.31                | 0.00               | 5.31              | 90.0 | 4.78                 |
| 03/01/2018   | ***-**-015P - GARCHA,<br>ACCOUNT #: 00087584201          | THE INVESTMENT COMPANY OF AMERICA-5<br>BUY 0 Units @0.0000 | 0.00                 | 5.31                | 0.00               | 5.31              | 90.0 | 4.78                 |
| 03/01/2018   | ***-**-01SI - BAZABAL, GENE<br>ACCOUNT #: 00089905927    | THE INVESTMENT COMPANY OF AMERICA-A<br>BUY 0 Units @0.0000 | 0.00                 | 0.75                | 0.00               | 0.75              | 90.0 | 0.68                 |
| 03/01/2018   | ***-**-970I - KLEVER, JAMES<br>ACCOUNT #: 00059834143    | THE INVESTMENT COMPANY OF AMERICA-A<br>BUY 0 Units @0.0000 | 0.00                 | 7.30                | 0.00               | 7.30              | 90.0 | 6.57                 |
| 03/01/2018   | ***-**-405P - RICHARDS, ROSS<br>ACCOUNT #: 00065155614   | THE INVESTMENT COMPANY OF AMERICA-A<br>BUY 0 Units @0.0000 | 0.00                 | 2.88                | 0.00               | 2.88              | 90.0 | 2.59                 |
| 03/01/2018   | ***-**-944P - FULLER, DANIELLE<br>ACCOUNT #: 00073950287 | THE INVESTMENT COMPANY OF AMERICA-A<br>BUY 0 Units @0.0000 | 0.00                 | 8.12                | 0.00               | 8.12              | 90.0 | 7.31                 |
| 03/01/2018   | ***-**-145P - GUHARROY, SUJATA<br>ACCOUNT #: 00074950977 | THE INVESTMENT COMPANY OF AMERICA-A<br>BUY 0 Units @0.0000 | 0.00                 | 3.62                | 0.00               | 3.62              | 90.0 | 3.26                 |
| 03/01/2018   | ***-**-515P - DAS, SUGATA<br>ACCOUNT #: 00074950986      | THE INVESTMENT COMPANY OF AMERICA-A<br>BUY 0 Units @0.0000 | 0.00                 | 5.27                | 0.00               | 5.27              | 90.0 | 4.74                 |
| 03/01/2018   | ***-**-525P - ENDERS,<br>ACCOUNT #: 00075140556          | THE INVESTMENT COMPANY OF AMERICA-A<br>BUY 0 Units @0.0000 | 0.00                 | 1.08                | 0.00               | 1.08              | 90.0 | 0.97                 |



# COMMISSION STATEMENT

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BRANCH #01001 - LifeMark Home Office

| DATE   | CLIENT   | INVESTMENT   | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|--|--|--|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b>BROKER TRANSACTIONS (continued)</b>                       |  |  |                      |                     |                    |                   |      |                      |
| <b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</b> |  |  |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-0924 - BALAJI'S<br>ACCOUNT #: 00081674290         | THE INVESTMENT COMPANY OF AMERICA-A<br>BUY 0 Units @0.0000 | 0.00                 | 0.27                | 0.00               | 0.27              | 90.0 | 0.24                 |
| 03/01/2018   | ***-**-305P - TURTLE BAY<br>ACCOUNT #: 00081907646       | THE INVESTMENT COMPANY OF AMERICA-A<br>BUY 0 Units @0.0000 | 0.00                 | 189.01              | 0.00               | 189.01            | 90.0 | 170.11               |
| 03/01/2018   | ***-**-379I - DEVORE, LESLIE<br>ACCOUNT #: 00082764859   | THE INVESTMENT COMPANY OF AMERICA-A<br>BUY 0 Units @0.0000 | 0.00                 | 14.51               | 0.00               | 14.51             | 90.0 | 13.06                |
| 03/01/2018   | ***-**-10IR - SUBBU, MAHESH<br>ACCOUNT #: 00085479554    | THE INVESTMENT COMPANY OF AMERICA-A<br>BUY 0 Units @0.0000 | 0.00                 | 2.68                | 0.00               | 2.68              | 90.0 | 2.41                 |
| 03/01/2018   | ***-**-928I - HARRISON, LESLEY<br>ACCOUNT #: 00085790202 | THE INVESTMENT COMPANY OF AMERICA-A<br>BUY 0 Units @0.0000 | 0.00                 | 12.49               | 0.00               | 12.49             | 90.0 | 11.24                |
| 03/01/2018   | ***-**-503I - HARRISON, BLAKE<br>ACCOUNT #: 00085790218  | THE INVESTMENT COMPANY OF AMERICA-A<br>BUY 0 Units @0.0000 | 0.00                 | 12.49               | 0.00               | 12.49             | 90.0 | 11.24                |
| 03/01/2018   | ***-**-83RI - HERRERA,<br>ACCOUNT #: 00085966537         | THE INVESTMENT COMPANY OF AMERICA-A<br>BUY 0 Units @0.0000 | 0.00                 | 0.57                | 0.00               | 0.57              | 90.0 | 0.51                 |
| 03/01/2018   | ***-**-474I - THOMPSON,<br>ACCOUNT #: 00086109936        | THE INVESTMENT COMPANY OF AMERICA-A<br>BUY 0 Units @0.0000 | 0.00                 | 30.90               | 0.00               | 30.90             | 90.0 | 27.81                |
| 03/01/2018   | ***-**-229I - LESTER, JEANNE<br>ACCOUNT #: 00087033260   | THE INVESTMENT COMPANY OF AMERICA-A<br>BUY 0 Units @0.0000 | 0.00                 | 15.18               | 0.00               | 15.18             | 90.0 | 13.66                |
| 03/01/2018   | ***-**-550I - YANCEY-FELLER,<br>ACCOUNT #: 00087178980   | THE INVESTMENT COMPANY OF AMERICA-A<br>BUY 0 Units @0.0000 | 0.00                 | 57.89               | 0.00               | 57.89             | 90.0 | 52.10                |
| 03/01/2018   | ***-**-983I - BARNETT, ROBERT<br>ACCOUNT #: 00087778257  | THE INVESTMENT COMPANY OF AMERICA-A<br>BUY 0 Units @0.0000 | 0.00                 | 24.55               | 0.00               | 24.55             | 90.0 | 22.10                |
| 03/01/2018   | ***-**-645P - DICARLO, MICHELE<br>ACCOUNT #: 00087877714 | THE INVESTMENT COMPANY OF AMERICA-A<br>BUY 0 Units @0.0000 | 0.00                 | 4.94                | 0.00               | 4.94              | 90.0 | 4.45                 |
| 03/01/2018   | ***-**-600I - DASHKOFF, PETER<br>ACCOUNT #: 00087980430  | THE INVESTMENT COMPANY OF AMERICA-A<br>BUY 0 Units @0.0000 | 0.00                 | 23.51               | 0.00               | 23.51             | 90.0 | 21.16                |
| 03/01/2018   | ***-**-229I - LESTER, JEANNE<br>ACCOUNT #: 00088263122   | THE INVESTMENT COMPANY OF AMERICA-A<br>BUY 0 Units @0.0000 | 0.00                 | 8.69                | 0.00               | 8.69              | 90.0 | 7.82                 |
| 03/01/2018   | ***-**-6919 - WILBUR DRYWALL<br>ACCOUNT #: 00082129282   | THE INVESTMENT COMPANY OF AMERICA-F<br>BUY 0 Units @0.0000 | 0.00                 | 0.49                | 0.00               | 0.49              | 90.0 | 0.44                 |
| 03/01/2018   | ***-**-875P - WILBUR, JOHN<br>ACCOUNT #: 00082129490     | THE INVESTMENT COMPANY OF AMERICA-F<br>BUY 0 Units @0.0000 | 0.00                 | 1.31                | 0.00               | 1.31              | 90.0 | 1.18                 |



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|--|--------------------------------|-------------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b>BROKER TRANSACTIONS (continued)</b>                       |                                |                                     |                      |                     |                    |                   |      |                      |
| <b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</b> |                                |                                     |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-6919 - WILBUR DRYWALL   | THE INVESTMENT COMPANY OF AMERICA-F | 0.00                 | 0.65                | 0.00               | 0.65              | 90.0 | 0.59                 |
|  | ACCOUNT #: 00082144029         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-1112 - HODGES, PATRICK  | THE INVESTMENT COMPANY OF AMERICA-R | 0.00                 | 16.34               | 0.00               | 16.34             | 90.0 | 14.71                |
|  | ACCOUNT #: 00089356994         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-435P - DICARLO, KEITH   | THE NEW ECONOMY FUND-529A           | 0.00                 | 7.41                | 0.00               | 7.41              | 90.0 | 6.67                 |
|  | ACCOUNT #: 00074509353         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-855P - KELLY, PAMELA    | THE NEW ECONOMY FUND-529A           | 0.00                 | 2.37                | 0.00               | 2.37              | 90.0 | 2.13                 |
|  | ACCOUNT #: 00082304099         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-435P - DICARLO, KEITH   | THE NEW ECONOMY FUND-529A           | 0.00                 | 4.00                | 0.00               | 4.00              | 90.0 | 3.60                 |
|  | ACCOUNT #: 00082709258         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-01SI - BAZABAL, GENE    | THE NEW ECONOMY FUND-A              | 0.00                 | 0.55                | 0.00               | 0.55              | 90.0 | 0.50                 |
|  | ACCOUNT #: 00089905927         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-405P - RICHARDS, ROSS   | THE NEW ECONOMY FUND-A              | 0.00                 | 3.98                | 0.00               | 3.98              | 90.0 | 3.58                 |
|  | ACCOUNT #: 00065155614         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-944P - FULLER, DANIELLE | THE NEW ECONOMY FUND-A              | 0.00                 | 4.49                | 0.00               | 4.49              | 90.0 | 4.04                 |
|  | ACCOUNT #: 00073950287         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-921I - OSBORNE, DARIN   | THE NEW ECONOMY FUND-A              | 0.00                 | 2.51                | 0.00               | 2.51              | 90.0 | 2.26                 |
|  | ACCOUNT #: 00074802208         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-209I - SPARACO, MICHAEL | THE NEW ECONOMY FUND-A              | 0.00                 | 2.55                | 0.00               | 2.55              | 90.0 | 2.30                 |
|  | ACCOUNT #: 00074802243         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-525P - ENDERS,          | THE NEW ECONOMY FUND-A              | 0.00                 | 0.61                | 0.00               | 0.61              | 90.0 | 0.55                 |
|  | ACCOUNT #: 00075140556         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-305P - TURTLE BAY       | THE NEW ECONOMY FUND-A              | 0.00                 | 115.14              | 0.00               | 115.14            | 90.0 | 103.63               |
|  | ACCOUNT #: 00081907646         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-983I - BARNETT, ROBERT  | THE NEW ECONOMY FUND-A              | 0.00                 | 13.42               | 0.00               | 13.42             | 90.0 | 12.08                |
|  | ACCOUNT #: 00087778257         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-148I - ZAMORA, KIMBERLY | THE NEW ECONOMY FUND-C              | 0.00                 | 1.43                | 0.00               | 1.43              | 90.0 | 1.29                 |
|  | ACCOUNT #: 00089888453         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-6863 - MARTIN, MITCHELL | THE NEW ECONOMY FUND-C              | 0.00                 | 0.03                | 0.00               | 0.03              | 90.0 | 0.03                 |
|  | ACCOUNT #: 04000003339         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-875P - WILBUR, JOHN     | THE NEW ECONOMY FUND-C              | 0.00                 | 3.65                | 0.00               | 3.65              | 90.0 | 3.29                 |
|  | ACCOUNT #: 00082129490         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |





# COMMISSION STATEMENT

March 12, 2018

JOHN KELLY  
2400 E. Arizona Biltmore Cir.  
Suite 1100  
Phoenix, AZ 85016

BROKER #: 279  
BRANCH #01001 - LifeMark Home Office

| DATE  | CLIENT                               | INVESTMENT                          | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|---|--------------------------------------|-------------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| BROKER TRANSACTIONS (continued)                       |                                      |                                     |                      |                     |                    |                   |      |                      |
| PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued) |                                      |                                     |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-1112 - HODGES, PATRICK        | THE NEW ECONOMY FUND-R2             | 0.00                 | 8.44                | 0.00               | 8.44              | 90.0 | 7.60                 |
|   | ACCOUNT #: 00089356994               | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-01SI - BAZABAL, GENE          | U.S. GOVERNMENT SECURITIES FUND CLA | 0.00                 | 0.97                | 0.00               | 0.97              | 90.0 | 0.87                 |
|   | ACCOUNT #: 00089905927               | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-0924 - BALAJI'S               | U.S. GOVERNMENT SECURITIES FUND CLA | 0.00                 | 0.34                | 0.00               | 0.34              | 90.0 | 0.31                 |
|   | ACCOUNT #: 00081674290               | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
|   | * MUTUAL FUND 12B1 TRAILS SUBTOTAL * |                                     | \$0.00               | \$16,778.25         | \$0.00             | \$16,778.25       |      | \$15,100.69          |
| PRODUCT CATEGORY: VARIABLE ANNUITY 12B1 TRAILS        |                                      |                                     |                      |                     |                    |                   |      |                      |
| 03/12/2018  | ***-**-58CL - KELLY, CLIENTS         | ING VARIABLE ANNUITIES TRAILS       | 0.00                 | 0.10                | 0.00               | 0.10              | 90.0 | 0.09                 |
|   | ACCOUNT #: PHE434                    | BUY 1 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/12/2018  | ***-**-58CL - KELLY, CLIENTS         | ING VARIABLE ANNUITIES TRAILS       | 0.00                 | 0.55                | 0.00               | 0.55              | 90.0 | 0.50                 |
|   | ACCOUNT #: PHD277                    | BUY 1 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/12/2018  | ***-**-5031 - VICI PROPERTIES        | JOHN HANCOCK VA TRAILS              | 0.00                 | 1,448.71            | 0.00               | 1,448.71          | 90.0 | 1,303.84             |
|   | ACCOUNT #: 131264                    | BUY 1 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/12/2018  | ***-**-0664 - FOCUS                  | JOHN HANCOCK VA TRAILS              | 0.00                 | 827.50              | 0.00               | 827.50            | 90.0 | 744.75               |
|   | ACCOUNT #: 114317                    | BUY 1 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/12/2018  | ***-**-5760 - KR SALINE, &           | QUALIFIED PLAN SUMMARY              | 0.00                 | 3,246.46            | 0.00               | 3,246.46          | 90.0 | 2,921.81             |
|   | ACCOUNT #: GH2068                    | BUY 1 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/12/2018  | ***-**-2436 - RT MANAGEMENT,         | QUALIFIED PLAN SUMMARY              | 0.00                 | 3.69                | 0.00               | 3.69              | 90.0 | 3.32                 |
|   | ACCOUNT #: PHJ287                    | BUY 1 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/12/2018  | ***-**-7053 - VISHWANATH MD          | QUALIFIED PLAN SUMMARY              | 0.00                 | 440.24              | 0.00               | 440.24            | 90.0 | 396.22               |
|   | ACCOUNT #: 87501                     | BUY 1 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/12/2018  | ***-**-7528 - ELLIOTT                | QUALIFIED PLAN SUMMARY              | 0.00                 | 95.71               | 0.00               | 95.71             | 90.0 | 86.14                |
|   | ACCOUNT #: 23170                     | BUY 1 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/12/2018  | ***-**-8042 - JCM AMERICAN           | QUALIFIED PLAN SUMMARY              | 0.00                 | 1,411.72            | 0.00               | 1,411.72          | 90.0 | 1,270.55             |
|   | ACCOUNT #: 130807                    | BUY 1 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/12/2018  | ***-**-74JK - RSI ENTERPRISES,       | QUALIFIED PLAN SUMMARY              | 0.00                 | 523.09              | 0.00               | 523.09            | 90.0 | 470.78               |
|   | ACCOUNT #: 129968                    | BUY 1 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/12/2018  | ***-**-2744 - SHREE GANESH LLC       | QUALIFIED PLAN SUMMARY              | 0.00                 | 37.98               | 0.00               | 37.98             | 90.0 | 34.18                |
|   | ACCOUNT #: 127802                    | BUY 1 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/12/2018  | ***-**-2070 - TCH LAW PLC 401K       | QUALIFIED PLAN SUMMARY              | 0.00                 | 420.77              | 0.00               | 420.77            | 90.0 | 378.69               |
|   | ACCOUNT #: 123577                    | BUY 1 Units @0.0000                 |                      |                     |                    |                   |      |                      |



# COMMISSION STATEMENT

March 12, 2018

JOHN KELLY  
2400 E. Arizona Biltmore Cir.  
Suite 1100  
Phoenix, AZ 85016

BROKER #: 279  
BRANCH #01001 - LifeMark Home Office

| DATE  | CLIENT                         | INVESTMENT             | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION  | RATE | BROKER<br>COMMISSION |
|---|--------------------------------|------------------------|----------------------|---------------------|--------------------|--------------------|------|----------------------|
| <b>BROKER TRANSACTIONS (continued)</b>                            |                                |                        |                      |                     |                    |                    |      |                      |
| <b>PRODUCT CATEGORY: VARIABLE ANNUITY 12B1 TRAILS (continued)</b> |                                |                        |                      |                     |                    |                    |      |                      |
| 03/12/2018  | ***-**-54QP - STAR NURSERY INC | QUALIFIED PLAN SUMMARY | 0.00                 | 1,291.20            | 0.00               | 1,291.20           | 90.0 | 1,162.08             |
|   | ACCOUNT #: 118948              | BUY 1 Units @0.0000    |                      |                     |                    |                    |      |                      |
| 03/12/2018  | ***-**-7584 - MED-SMART,       | QUALIFIED PLAN SUMMARY | 0.00                 | 1,505.27            | 0.00               | 1,505.27           | 90.0 | 1,354.74             |
|   | ACCOUNT #: 116011              | BUY 1 Units @0.0000    |                      |                     |                    |                    |      |                      |
| 03/12/2018  | ***-**-4580 - ROSS AERIAL,     | QUALIFIED PLAN SUMMARY | 0.00                 | 1,142.37            | 0.00               | 1,142.37           | 90.0 | 1,028.13             |
|   | ACCOUNT #: 114840              | BUY 1 Units @0.0000    |                      |                     |                    |                    |      |                      |
| 03/12/2018  | ***-**-888K - MKS GRAPHICS,    | QUALIFIED PLAN SUMMARY | 0.00                 | 1,006.83            | 0.00               | 1,006.83           | 90.0 | 906.15               |
|   | ACCOUNT #: 114333              | BUY 1 Units @0.0000    |                      |                     |                    |                    |      |                      |
| 03/12/2018  | ***-**-728Q - HORSEMEN INC     | QUALIFIED PLAN SUMMARY | 0.00                 | 739.80              | 0.00               | 739.80             | 90.0 | 665.82               |
|   | ACCOUNT #: 109030              | BUY 1 Units @0.0000    |                      |                     |                    |                    |      |                      |
| 03/12/2018  | ***-**-66QP - MVT SERVICES LLC | QUALIFIED PLAN SUMMARY | 0.00                 | 1,803.88            | 0.00               | 1,803.88           | 90.0 | 1,623.49             |
|   | ACCOUNT #: 107713              | BUY 1 Units @0.0000    |                      |                     |                    |                    |      |                      |
| 03/12/2018  | ***-**-0215 - PRO-STEEL        | QUALIFIED PLAN SUMMARY | 0.00                 | 784.71              | 0.00               | 784.71             | 90.0 | 706.24               |
|   | ACCOUNT #: 107166              | BUY 2 Units @0.0000    |                      |                     |                    |                    |      |                      |
| <b>* VARIABLE ANNUITY 12B1 TRAILS SUBTOTAL *</b>                  |                                |                        | <b>\$0.00</b>        | <b>\$16,730.58</b>  | <b>\$0.00</b>      | <b>\$16,730.58</b> |      | <b>\$15,057.52</b>   |
| <b>*** BROKER TRANSACTIONS TOTAL ***</b>                          |                                |                        | <b>\$3,289.77</b>    | <b>\$33,573.28</b>  | <b>\$0.00</b>      | <b>\$33,573.28</b> |      | <b>\$30,216.25</b>   |



# COMMISSION STATEMENT

March 12, 2018

JOHN KELLY  
2400 E. Arizona Biltmore Cir.  
Suite 1100  
Phoenix, AZ 85016

BROKER #: 279  
BRANCH #01001 - LifeMark Home Office

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

## BROKER COMMISSION TOTALS

|                       |             |
|-----------------------|-------------|
| Broker Transactions   | \$19,055.22 |
| Split Transactions    | \$0.00      |
| Override Transactions | \$0.00      |
| Adjustments           | \$0.00      |
| Payroll Draw          | \$0.00      |
| Base Salary           | \$0.00      |
| Prior Period Balance  | \$0.00      |
| FINRA Assessment      | \$0.00      |
| SIPC Assessment       | \$0.00      |

Please Retain for Your Records  
THERE WILL BE NO PAYMENT THIS PERIOD

|                              |               |
|------------------------------|---------------|
| <b>Balance Forward</b>       | <b>\$0.00</b> |
| <b>Year-to-date Earnings</b> | <b>\$0.00</b> |



# COMMISSION STATEMENT

March 12, 2018

SABRINA KELLY  
2750 South Ridgewood Avenue  
Suite B1  
South Daytona, FL 32119

BROKER #: A27 Terminated 12/31/2012  
BRANCH #01001 - LifeMark Home Office

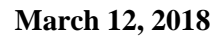
| DATE                      | CLIENT | INVESTMENT                      | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|---------------------------|--------|---------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b><u>ADJUSTMENTS</u></b> |        |                                 |                      |                     |                    |                   |      |                      |
| / /                       |        | PRIOR PERIOD BALANCE(SEE BELOW) | 0.00                 | 0.00                | 0.00               | 0.00              |      | 0.00                 |
|                           |        | *** ADJUSTMENTS TOTAL ***       | <u>\$0.00</u>        | <u>\$0.00</u>       | <u>\$0.00</u>      | <u>\$0.00</u>     |      | <u>\$0.00</u>        |

## **BROKER COMMISSION TOTALS**

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

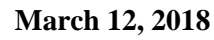
Please Retain for Your Records  
THERE WILL BE NO PAYMENT THIS PERIOD

|                              |               |
|------------------------------|---------------|
| <b>Balance Forward</b>       | <b>\$0.00</b> |
| <b>Year-to-date Earnings</b> | <b>\$0.00</b> |



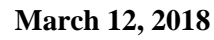
BROKER #: A99      Terminated 07/05/2017  
BRANCH #01001 - LifeMark Home Office

| DATE   | CLIENT | INVESTMENT | INVESTMENT<br>AMOUNT            | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION     | RATE   | BROKER<br>COMMISSION |
|--|--------|------------|---------------------------------|---------------------|--------------------|-----------------------|--------|----------------------|
| <div>ADJUSTMENTS</div>   |        |            |                                 |                     |                    |                       |        |                      |
| /  | /      |            | PRIOR PERIOD BALANCE(SEE BELOW) | 0.00                | 0.00               | 0.00                  | 0.00   | 0.00                 |
|  |        |            | *** ADJUSTMENTS TOTAL ***       | \$0.00              | \$0.00             | \$0.00                | \$0.00 | \$0.00               |
| <div>BROKER COMMISSION TOTALS</div>                                    |        |            |                                 |                     |                    |                       |        |                      |
|  |        |            |                                 |                     |                    | Broker Transactions   |        | \$0.00               |
|  |        |            |                                 |                     |                    | Split Transactions    |        | \$0.00               |
|  |        |            |                                 |                     |                    | Override Transactions |        | \$0.00               |
|  |        |            |                                 |                     |                    | Adjustments           |        | \$0.00               |
|  |        |            |                                 |                     |                    | Payroll Draw          |        | \$0.00               |
|  |        |            |                                 |                     |                    | Base Salary           |        | \$0.00               |
|  |        |            |                                 |                     |                    | Prior Period Balance  |        | \$0.00               |
|  |        |            |                                 |                     |                    | FINRA Assessment      |        | \$0.00               |
|  |        |            |                                 |                     |                    | SIPC Assessment       |        | \$0.00               |
| Please Retain for Your Records<br>THERE WILL BE NO PAYMENT THIS PERIOD |        |            |                                 |                     |                    | Balance Forward       |        | \$0.00               |
|  |        |            |                                 |                     |                    | Year-to-date Earnings |        | \$0.00               |



BROKER #: 735      Terminated 12/31/2012  
BRANCH #01001 - LifeMark Home Office

| DATE   | CLIENT | INVESTMENT                      | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE  | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION         |
|--|--------|---------------------------------|----------------------|---------------------|---|-------------------|------|------------------------------|
| <div>ADJUSTMENTS</div>   |        |                                 |                      |                     |   |                   |      |                              |
| 03/07/2018   |        | PRIOR PERIOD BALANCE(SEE BELOW) | 0.00                 | 0.00                | 0.00  | 0.00              |      | 0.00                         |
|  |        | *** ADJUSTMENTS TOTAL ***       | \$0.00               | \$0.00              | \$0.00  | \$0.00            |      | \$0.00                       |
| <div>BROKER COMMISSION TOTALS</div>                                    |        |                                 |                      |                     |   |                   |      |                              |
|  |        |                                 |                      |                     |   |                   |      | Broker Transactions \$0.00   |
|  |        |                                 |                      |                     |   |                   |      | Split Transactions \$0.00    |
|  |        |                                 |                      |                     |   |                   |      | Override Transactions \$0.00 |
|  |        |                                 |                      |                     |   |                   |      | Adjustments \$0.00           |
|  |        |                                 |                      |                     |   |                   |      | Payroll Draw \$0.00          |
|  |        |                                 |                      |                     |   |                   |      | Base Salary \$0.00           |
|  |        |                                 |                      |                     |   |                   |      | Prior Period Balance \$0.00  |
|  |        |                                 |                      |                     |   |                   |      | FINRA Assessment \$0.00      |
|  |        |                                 |                      |                     |   |                   |      | SIPC Assessment \$0.00       |
| Please Retain for Your Records<br>THERE WILL BE NO PAYMENT THIS PERIOD |        |                                 |                      |                     | <div><div>Balance Forward \$0.00</div><div>Year-to-date Earnings \$0.00</div></div> |                   |      |                              |



BROKER #: 744      Terminated 03/02/2010  
BRANCH #01001 - LifeMark Home Office

| DATE   | CLIENT | INVESTMENT                      | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE  | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION         |
|--|--------|---------------------------------|----------------------|---------------------|---|-------------------|------|------------------------------|
| <div>ADJUSTMENTS</div>   |        |                                 |                      |                     |   |                   |      |                              |
| 03/07/2018   |        | PRIOR PERIOD BALANCE(SEE BELOW) | 0.00                 | 0.00                | 0.00  | 0.00              |      | 0.00                         |
|  |        | *** ADJUSTMENTS TOTAL ***       | \$0.00               | \$0.00              | \$0.00  | \$0.00            |      | \$0.00                       |
| <div>BROKER COMMISSION TOTALS</div>                                    |        |                                 |                      |                     |   |                   |      |                              |
|  |        |                                 |                      |                     |   |                   |      | Broker Transactions \$0.00   |
|  |        |                                 |                      |                     |   |                   |      | Split Transactions \$0.00    |
|  |        |                                 |                      |                     |   |                   |      | Override Transactions \$0.00 |
|  |        |                                 |                      |                     |   |                   |      | Adjustments \$0.00           |
|  |        |                                 |                      |                     |   |                   |      | Payroll Draw \$0.00          |
|  |        |                                 |                      |                     |   |                   |      | Base Salary \$0.00           |
|  |        |                                 |                      |                     |   |                   |      | Prior Period Balance \$0.00  |
|  |        |                                 |                      |                     |   |                   |      | FINRA Assessment \$0.00      |
|  |        |                                 |                      |                     |   |                   |      | SIPC Assessment \$0.00       |
| Please Retain for Your Records<br>THERE WILL BE NO PAYMENT THIS PERIOD |        |                                 |                      |                     | <div><div>Balance Forward \$0.00</div><div>Year-to-date Earnings \$0.00</div></div> |                   |      |                              |



# COMMISSION STATEMENT

March 12, 2018

LARRY KOVAL  
20301 Blackfoot Ave  
Euclid, OH 44117

BROKER #: B20  
BRANCH #01001 - LifeMark Home Office

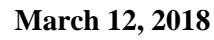
| DATE  | CLIENT   | INVESTMENT  | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|---|--|---|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b><u>BROKER TRANSACTIONS</u></b>                       |  |   |                      |                     |                    |                   |      |                      |
| <b><u>PRODUCT CATEGORY: STOCKS</u></b>                  |  |   |                      |                     |                    |                   |      |                      |
| 03/02/2018  | ***-**-983I - KOVAL, EUGENE<br>ACCOUNT #: LSR012448                                      | CIENA CORP COM NEW ISIN #US17177930<br>BUY 100 Units @23.3500 | 2,335.00             | 54.00               | 17.00              | 37.00             | 78.0 | 28.86                |
| 03/07/2018  | ***-**-57IR - ROCCO, PRESTON<br>ACCOUNT #: LSR012441                                     | GB SCIENCES INC COM<br>BUY 1000 Units @0.5970                 | 597.00               | 56.00               | 18.00              | 38.00             | 78.0 | 29.64                |
| 03/07/2018  | ***-**-26IN - PLATS, TRAVIS<br>ACCOUNT #: LSR012398                                      | PETROTEQ ENERGY INC COM NPV ISIN #C<br>BUY 1500 Units @1.5440 | 2,316.00             | 105.00              | 18.00              | 87.00             | 78.0 | 67.86                |
| 03/07/2018  | ***-**-658I - HAWKINGS,<br>ACCOUNT #: LSR012399  | PETROTEQ ENERGY INC COM NPV ISIN #C<br>BUY 5000 Units @1.5520 | 7,760.00             | 245.00              | 18.00              | 227.00            | 78.0 | 177.06               |
| 03/07/2018  | ***-**-983I - KOVAL, EUGENE<br>ACCOUNT #: LSR012448                                      | PETROTEQ ENERGY INC COM NPV ISIN #C<br>BUY 2500 Units @1.4920 | 3,730.00             | 145.00              | 18.00              | 127.00            | 78.0 | 99.06                |
| * STOCKS SUBTOTAL *                                     |  |   | <b>\$16,738.00</b>   | <b>\$605.00</b>     | <b>\$89.00</b>     | <b>\$516.00</b>   |      | <b>\$402.48</b>      |
| <b><u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u></b> |  |   |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-614J - PONGRACZ, ANDREW AMERICAN BALANCED FUND-529A<br>ACCOUNT #: 00074796753     | BUY 0 Units @0.0000   | 0.00                 | 4.10                | 0.00               | 4.10              | 78.0 | 3.20                 |
| 03/01/2018  | ***-**-614J - PONGRACZ, ANDREW AMERICAN BALANCED FUND-A<br>ACCOUNT #: 00082295508        | BUY 0 Units @0.0000   | 0.00                 | 1.22                | 0.00               | 1.22              | 78.0 | 0.95                 |
| 03/01/2018  | ***-**-614J - PONGRACZ, ANDREW CAPITAL WORLD BOND FUND-529A<br>ACCOUNT #: 00074796753    | BUY 0 Units @0.0000   | 0.00                 | 1.93                | 0.00               | 1.93              | 78.0 | 1.51                 |
| 03/01/2018  | ***-**-614J - PONGRACZ, ANDREW CAPITAL WORLD BOND FUND-A<br>ACCOUNT #: 00082295508       | BUY 0 Units @0.0000   | 0.00                 | 0.62                | 0.00               | 0.62              | 78.0 | 0.48                 |
| 03/12/2018  | ***-**-927O - ACKROYD, COLETTE MFS TOTAL RETURN FUND-A<br>ACCOUNT #: LSR012439           | BUY 1 Units @0.0000   | 0.00                 | 2.08                | 0.00               | 2.08              | 78.0 | 1.62                 |
| 03/01/2018  | ***-**-614J - PONGRACZ, ANDREW THE GROWTH FUND OF AMERICA-529A<br>ACCOUNT #: 00074796753 | BUY 0 Units @0.0000   | 0.00                 | 4.55                | 0.00               | 4.55              | 78.0 | 3.55                 |
| 03/01/2018  | ***-**-614J - PONGRACZ, ANDREW THE GROWTH FUND OF AMERICA-A<br>ACCOUNT #: 00082295508    | BUY 0 Units @0.0000   | 0.00                 | 1.21                | 0.00               | 1.21              | 78.0 | 0.94                 |
| * MUTUAL FUND 12B1 TRAILS SUBTOTAL *                    |  |   | <b>\$0.00</b>        | <b>\$15.71</b>      | <b>\$0.00</b>      | <b>\$15.71</b>    |      | <b>\$12.25</b>       |
| *** BROKER TRANSACTIONS TOTAL ***                       |  |   | <b>\$16,738.00</b>   | <b>\$620.71</b>     | <b>\$89.00</b>     | <b>\$531.71</b>   |      | <b>\$414.73</b>      |





BROKER #: B20  
BRANCH #01001 - LifeMark Home Office

|                                      |        |  | INVESTMENT | GROSS      | CLEARING | NET                      | BROKER |            |
|--------------------------------------|--------|--|------------|------------|----------|--------------------------|--------|------------|
| DATE                                 | CLIENT |  | AMOUNT     | COMMISSION | CHARGE   | COMMISSION               | RATE   | COMMISSION |
|                                      |        |  |            |            |          |                          |        |            |
|                                      |        |  |            |            |          | BROKER COMMISSION TOTALS |        |            |
|                                      |        |  |            |            |          | Broker Transactions      |        | \$414.73   |
|                                      |        |  |            |            |          | Split Transactions       |        | \$0.00     |
|                                      |        |  |            |            |          | Override Transactions    |        | \$0.00     |
|                                      |        |  |            |            |          | Adjustments              |        | \$0.00     |
|                                      |        |  |            |            |          | Payroll Draw             |        | \$0.00     |
|                                      |        |  |            |            |          | Base Salary              |        | \$0.00     |
|                                      |        |  |            |            |          | Prior Period Balance     |        | \$0.00     |
|                                      |        |  |            |            |          | FINRA Assessment         |        | \$0.00     |
|                                      |        |  |            |            |          | SIPC Assessment          |        | \$0.00     |
|                                      |        |  |            |            |          |                          |        |            |
| Please Retain for Your Records       |        |  |            |            |          | Balance Forward          |        | \$0.00     |
| THERE WILL BE NO PAYMENT THIS PERIOD |        |  |            |            |          | Year-to-date Earnings    |        | \$0.00     |



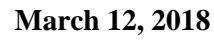
BROKER #: A62      Terminated 12/31/2015  
BRANCH #01001 - LifeMark Home Office

| DATE   | CLIENT | INVESTMENT | INVESTMENT<br>AMOUNT            | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION                   | RATE   | BROKER<br>COMMISSION |
|--|--------|------------|---------------------------------|---------------------|--------------------|-------------------------------------|--------|----------------------|
| <div>ADJUSTMENTS</div>   |        |            |                                 |                     |                    |                                     |        |                      |
| /  | /      |            | PRIOR PERIOD BALANCE(SEE BELOW) | 0.00                | 0.00               | 0.00                                | 0.00   | 0.00                 |
|  |        |            | *** ADJUSTMENTS TOTAL ***       | \$0.00              | \$0.00             | \$0.00                              | \$0.00 | \$0.00               |
|  |        |            |                                 |                     |                    | <div>BROKER COMMISSION TOTALS</div> |        |                      |
|  |        |            |                                 |                     |                    | Broker Transactions                 |        | \$0.00               |
|  |        |            |                                 |                     |                    | Split Transactions                  |        | \$0.00               |
|  |        |            |                                 |                     |                    | Override Transactions               |        | \$0.00               |
|  |        |            |                                 |                     |                    | Adjustments                         |        | \$0.00               |
|  |        |            |                                 |                     |                    | Payroll Draw                        |        | \$0.00               |
|  |        |            |                                 |                     |                    | Base Salary                         |        | \$0.00               |
|  |        |            |                                 |                     |                    | Prior Period Balance                |        | \$0.00               |
|  |        |            |                                 |                     |                    | FINRA Assessment                    |        | \$0.00               |
|  |        |            |                                 |                     |                    | SIPC Assessment                     |        | \$0.00               |
| Please Retain for Your Records<br>THERE WILL BE NO PAYMENT THIS PERIOD |        |            |                                 |                     |                    | Balance Forward                     |        | \$0.00               |
|  |        |            |                                 |                     |                    | Year-to-date Earnings               |        | \$0.00               |



BROKER #: A28      Terminated 12/14/2012  
BRANCH #01001 - LifeMark Home Office

| DATE   | CLIENT | INVESTMENT | INVESTMENT<br>AMOUNT            | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION  | RATE   | BROKER<br>COMMISSION |
|--|--------|------------|---------------------------------|---------------------|--------------------|--|--------|----------------------|
| <div>ADJUSTMENTS</div>   |        |            |                                 |                     |                    |  |        |                      |
| /  | /      |            | PRIOR PERIOD BALANCE(SEE BELOW) | 0.00                | 0.00               | 0.00   | 0.00   | 0.00                 |
|  |        |            | *** ADJUSTMENTS TOTAL ***       | \$0.00              | \$0.00             | \$0.00   | \$0.00 | \$0.00               |
|  |        |            |                                 |                     |                    | <div>BROKER COMMISSION TOTALS</div>                              |        |                      |
|  |        |            |                                 |                     |                    | Broker Transactions  |        | \$0.00               |
|  |        |            |                                 |                     |                    | Split Transactions   |        | \$0.00               |
|  |        |            |                                 |                     |                    | Override Transactions  |        | \$0.00               |
|  |        |            |                                 |                     |                    | Adjustments  |        | \$0.00               |
|  |        |            |                                 |                     |                    | Payroll Draw   |        | \$0.00               |
|  |        |            |                                 |                     |                    | Base Salary  |        | \$0.00               |
|  |        |            |                                 |                     |                    | Prior Period Balance   |        | \$0.00               |
|  |        |            |                                 |                     |                    | FINRA Assessment   |        | \$0.00               |
|  |        |            |                                 |                     |                    | SIPC Assessment  |        | \$0.00               |
| Please Retain for Your Records<br>THERE WILL BE NO PAYMENT THIS PERIOD |        |            |                                 |                     |                    | <div>Balance Forward\$0.00<br/>Year-to-date Earnings\$0.00</div> |        |                      |



BROKER #: 956      Terminated 12/31/2012  
BRANCH #01001 - LifeMark Home Office

| DATE   | CLIENT | INVESTMENT                      | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE  | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION         |
|--|--------|---------------------------------|----------------------|---------------------|---|-------------------|------|------------------------------|
| <div>ADJUSTMENTS</div>   |        |                                 |                      |                     |   |                   |      |                              |
| 03/07/2018   |        | PRIOR PERIOD BALANCE(SEE BELOW) | 0.00                 | 0.00                | 0.00  | 0.00              |      | 0.00                         |
|  |        | *** ADJUSTMENTS TOTAL ***       | \$0.00               | \$0.00              | \$0.00  | \$0.00            |      | \$0.00                       |
| <div>BROKER COMMISSION TOTALS</div>                                    |        |                                 |                      |                     |   |                   |      |                              |
|  |        |                                 |                      |                     |   |                   |      | Broker Transactions \$0.00   |
|  |        |                                 |                      |                     |   |                   |      | Split Transactions \$0.00    |
|  |        |                                 |                      |                     |   |                   |      | Override Transactions \$0.00 |
|  |        |                                 |                      |                     |   |                   |      | Adjustments \$0.00           |
|  |        |                                 |                      |                     |   |                   |      | Payroll Draw \$0.00          |
|  |        |                                 |                      |                     |   |                   |      | Base Salary \$0.00           |
|  |        |                                 |                      |                     |   |                   |      | Prior Period Balance \$0.00  |
|  |        |                                 |                      |                     |   |                   |      | FINRA Assessment \$0.00      |
|  |        |                                 |                      |                     |   |                   |      | SIPC Assessment \$0.00       |
| Please Retain for Your Records<br>THERE WILL BE NO PAYMENT THIS PERIOD |        |                                 |                      |                     | <div>Balance Forward \$0.00</div> <div>Year-to-date Earnings \$0.00</div> |                   |      |                              |



# COMMISSION STATEMENT

March 12, 2018

KENNETH LENFEST  
2307 Pine Avenue  
Niagara Falls, NY 14301

BROKER #: A12 Terminated 02/25/2013  
BRANCH #01001 - LifeMark Home Office

| DATE                                   | CLIENT | INVESTMENT                      | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION                |
|--|--------|---------------------------------|----------------------|---------------------|--------------------|-------------------|------|-------------------------------------|
| <b><u>ADJUSTMENTS</u></b>              |        |                                 |                      |                     |                    |                   |      |                                     |
| 03/07/2018                             |        | PRIOR PERIOD BALANCE(SEE BELOW) | 0.00                 | 0.00                | 0.00               | 0.00              |      | 0.00                                |
| *** ADJUSTMENTS TOTAL ***              |        |                                 | <u>\$0.00</u>        | <u>\$0.00</u>       | <u>\$0.00</u>      | <u>\$0.00</u>     |      | <u>\$0.00</u>                       |
| <b><u>BROKER COMMISSION TOTALS</u></b> |        |                                 |                      |                     |                    |                   |      |                                     |
|  |        |                                 |                      |                     |                    |                   |      | Broker Transactions \$0.00          |
|  |        |                                 |                      |                     |                    |                   |      | Split Transactions \$0.00           |
|  |        |                                 |                      |                     |                    |                   |      | Override Transactions \$0.00        |
|  |        |                                 |                      |                     |                    |                   |      | Adjustments \$0.00                  |
|  |        |                                 |                      |                     |                    |                   |      | Payroll Draw \$0.00                 |
|  |        |                                 |                      |                     |                    |                   |      | Base Salary \$0.00                  |
|  |        |                                 |                      |                     |                    |                   |      | Prior Period Balance \$0.00         |
|  |        |                                 |                      |                     |                    |                   |      | FINRA Assessment \$0.00             |
|  |        |                                 |                      |                     |                    |                   |      | SIPC Assessment \$0.00              |
|  |        |                                 |                      |                     |                    |                   |      |                                     |
|  |        |                                 |                      |                     |                    |                   |      | <b>Balance Forward \$0.00</b>       |
|  |        |                                 |                      |                     |                    |                   |      | <b>Year-to-date Earnings \$0.00</b> |

Please Retain for Your Records  
THERE WILL BE NO PAYMENT THIS PERIOD



# COMMISSION STATEMENT

March 12, 2018

JUAN LEWIS  
135 Ocean Pkwy Ste 1H  
SUITE 1H  
Brooklyn, NY 11218

BROKER #: A71  
BRANCH #01001 - LifeMark Home Office

| DATE                                     | CLIENT                      | INVESTMENT  | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|--|-----------------------------|---|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b><u>BROKER TRANSACTIONS</u></b>        |                             |   |                      |                     |                    |                   |      |                      |
| <b><u>PRODUCT CATEGORY: 529 PLAN</u></b> |                             |   |                      |                     |                    |                   |      |                      |
| 03/12/2018                               | ***-**-535P - HENRY, ARLENE | NEW YORK 529 TRAILS<br>BUY 0 Units @0.0000        | 0.00                 | 6.38                | 0.00               | 6.38              | 50.0 | 3.19                 |
| 03/12/2018                               | ***-**-535P - HENRY, ARLENE | NYA JPM 529 CONSV AGE-BA A<br>BUY 0 Units @0.0000 | 25.00                | 1.01                | 0.00               | 1.01              | 50.0 | 0.51                 |
| * 529 PLAN SUBTOTAL *                    |                             |   | \$25.00              | \$7.39              | \$0.00             | \$7.39            |      | \$3.70               |
| *** BROKER TRANSACTIONS TOTAL ***        |                             |   | \$25.00              | \$7.39              | \$0.00             | \$7.39            |      | \$3.70               |

## **BROKER COMMISSION TOTALS**

|                       |        |
|-----------------------|--------|
| Broker Transactions   | \$3.70 |
| Split Transactions    | \$0.00 |
| Override Transactions | \$0.00 |
| Adjustments           | \$0.00 |
| Payroll Draw          | \$0.00 |
| Base Salary           | \$0.00 |
| Prior Period Balance  | \$0.00 |
| FINRA Assessment      | \$0.00 |
| SIPC Assessment       | \$0.00 |

Please Retain for Your Records  
THERE WILL BE NO PAYMENT THIS PERIOD

|                       |        |
|-----------------------|--------|
| Balance Forward       | \$0.00 |
| Year-to-date Earnings | \$0.00 |



**TODD LISETSKI**  
2273 Conway Street  
SUITE 101  
Fogelsville, PA 18051

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

|            |                                 |      |      |      |      |      |
|------------|---------------------------------|------|------|------|------|------|
| 03/07/2018 | PRIOR PERIOD BALANCE(SEE BELOW) | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 |
|------------|---------------------------------|------|------|------|------|------|

|                           |        |        |        |        |        |
|---------------------------|--------|--------|--------|--------|--------|
| *** ADJUSTMENTS TOTAL *** | \$0.00 | \$0.00 | \$0.00 | \$0.00 | \$0.00 |
|---------------------------|--------|--------|--------|--------|--------|

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

|                       |        |
|-----------------------|--------|
| Balance Forward       | \$0.00 |
| Year-to-date Earnings | \$0.00 |



# COMMISSION STATEMENT

March 12, 2018

JESS LITTLE  
701 Devonshire C9  
Champaign, IL 61821

BROKER #: 89  
BRANCH #01001 - LifeMark Home Office

| DATE  | CLIENT                        | INVESTMENT                             | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|---|-------------------------------|--|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b><u>BROKER TRANSACTIONS</u></b>                       |                               |  |                      |                     |                    |                   |      |                      |
| <b><u>PRODUCT CATEGORY: VARIABLE ANNUITIES</u></b>      |                               |  |                      |                     |                    |                   |      |                      |
| 03/06/2018  | ***-**-6199 - DOHME, HENRY    | SUNLIFE VA TRAILS 866793599            | 286.00               | 2.86                | 0.00               | 2.86              | 60.0 | 1.72                 |
|   | ACCOUNT #: 2220001414         | BUY 0 Units @0.0000                    |                      |                     |                    |                   |      |                      |
|   |                               | <b>* VARIABLE ANNUITIES SUBTOTAL *</b> | <b>\$286.00</b>      | <b>\$2.86</b>       | <b>\$0.00</b>      | <b>\$2.86</b>     |      | <b>\$1.72</b>        |
| <b><u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u></b> |                               |  |                      |                     |                    |                   |      |                      |
| 03/12/2018  | ***-**-955I - JONES, DAVID    | AIM INTERNATIONAL GROWTH FUND - CL     | 0.00                 | 1.92                | 0.00               | 1.92              | 60.0 | 1.15                 |
|   | ACCOUNT #: LSR012455          | BUY 1 Units @0.0000                    |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-415P - PITCHER, CHAD   | AMCAP FUND-A                           | 0.00                 | 15.22               | 0.00               | 15.22             | 60.0 | 9.13                 |
|   | ACCOUNT #: 00069144187        | BUY 0 Units @0.0000                    |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-106I - COCHRAN, DALE   | AMCAP FUND-A                           | 0.00                 | 65.24               | 0.00               | 65.24             | 60.0 | 39.14                |
|   | ACCOUNT #: 00083196876        | BUY 0 Units @0.0000                    |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-549I - BOLTON, KRISTIN | AMCAP FUND-A                           | 0.00                 | 2.32                | 0.00               | 2.32              | 60.0 | 1.39                 |
|   | ACCOUNT #: 00083332863        | BUY 0 Units @0.0000                    |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-86IN - KISSEBERTH,     | AMERICAN BALANCED FUND-A               | 0.00                 | 32.26               | 0.00               | 32.26             | 60.0 | 19.36                |
|   | ACCOUNT #: 00062157723        | BUY 0 Units @0.0000                    |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-835P - FREEHILL, VELDA | AMERICAN BALANCED FUND-A               | 0.00                 | 0.53                | 0.00               | 0.53              | 60.0 | 0.32                 |
|   | ACCOUNT #: 00068537285        | BUY 0 Units @0.0000                    |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-612P - JONES, PAULA    | AMERICAN BALANCED FUND-A               | 0.00                 | 3.27                | 0.00               | 3.27              | 60.0 | 1.96                 |
|   | ACCOUNT #: 00073146096        | BUY 0 Units @0.0000                    |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-128I - SADLER, JAMES   | AMERICAN BALANCED FUND-A               | 0.00                 | 3.63                | 0.00               | 3.63              | 60.0 | 2.18                 |
|   | ACCOUNT #: 00073653382        | BUY 0 Units @0.0000                    |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-435P - SHELDEN, MARY   | AMERICAN BALANCED FUND-A               | 0.00                 | 1.41                | 0.00               | 1.41              | 60.0 | 0.85                 |
|   | ACCOUNT #: 00075195852        | BUY 0 Units @0.0000                    |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-825P - EALY, KATHLEEN  | AMERICAN BALANCED FUND-A               | 0.00                 | 0.01                | 0.00               | 0.01              | 60.0 | 0.01                 |
|   | ACCOUNT #: 00075195868        | BUY 0 Units @0.0000                    |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-88IN - CEKANDER,       | AMERICAN BALANCED FUND-A               | 0.00                 | 11.98               | 0.00               | 11.98             | 60.0 | 7.19                 |
|   | ACCOUNT #: 00081705639        | BUY 0 Units @0.0000                    |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-687I - ALEXANDRIDOU,   | AMERICAN BALANCED FUND-A               | 0.00                 | 0.70                | 0.00               | 0.70              | 60.0 | 0.42                 |
|   | ACCOUNT #: 00082929919        | BUY 0 Units @0.0000                    |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-436I - LITTLE, DELORES | AMERICAN BALANCED FUND-A               | 0.00                 | 16.31               | 0.00               | 16.31             | 60.0 | 9.79                 |
|   | ACCOUNT #: 00084458762        | BUY 0 Units @0.0000                    |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-426I - DVORACHEK, ERIC | AMERICAN BALANCED FUND-A               | 0.00                 | 3.81                | 0.00               | 3.81              | 60.0 | 2.29                 |
|   | ACCOUNT #: 00086505464        | BUY 0 Units @0.0000                    |                      |                     |                    |                   |      |                      |





# COMMISSION STATEMENT

March 12, 2018

JESS LITTLE  
701 Devonshire C9  
Champaign, IL 61821

BROKER #: 89  
BRANCH #01001 - LifeMark Home Office

| DATE   | CLIENT                         | INVESTMENT                        | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|--|--------------------------------|-----------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b>BROKER TRANSACTIONS (continued)</b>                       |                                |                                   |                      |                     |                    |                   |      |                      |
| <b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</b> |                                |                                   |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-434I - FRYE, DONALD     | AMERICAN BALANCED FUND-A          | 0.00                 | 0.94                | 0.00               | 0.94              | 60.0 | 0.56                 |
|  | ACCOUNT #: 00087121680         | BUY 0 Units @0.0000               |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-9912 - BLOSSER, PAMELA  | AMERICAN FUNDS 2020 TARGET DATE-A | 0.00                 | 1.26                | 0.00               | 1.26              | 60.0 | 0.76                 |
|  | ACCOUNT #: 00087616886         | BUY 0 Units @0.0000               |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-9188 - TERWILLIGER,     | AMERICAN FUNDS 2020 TARGET DATE-A | 0.00                 | 3.39                | 0.00               | 3.39              | 60.0 | 2.03                 |
|  | ACCOUNT #: 00087616890         | BUY 0 Units @0.0000               |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-612P - JONES, PAULA     | AMERICAN GLOBAL BALANCED CLASS A  | 0.00                 | 1.96                | 0.00               | 1.96              | 60.0 | 1.18                 |
|  | ACCOUNT #: 00073146096         | BUY 0 Units @0.0000               |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-88IN - CEKANDER,        | AMERICAN GLOBAL BALANCED CLASS A  | 0.00                 | 3.99                | 0.00               | 3.99              | 60.0 | 2.39                 |
|  | ACCOUNT #: 00081705639         | BUY 0 Units @0.0000               |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-40IN - TERRY, GEORGE    | AMERICAN GLOBAL BALANCED CLASS A  | 0.00                 | 92.28               | 0.00               | 92.28             | 60.0 | 55.37                |
|  | ACCOUNT #: 00085851037         | BUY 0 Units @0.0000               |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-489P - LANGENDORF, EDIE | AMERICAN MUTUAL FUND-A            | 0.00                 | 68.23               | 0.00               | 68.23             | 60.0 | 40.94                |
|  | ACCOUNT #: 00061754648         | BUY 0 Units @0.0000               |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-835P - FREEHILL, VELDA  | AMERICAN MUTUAL FUND-A            | 0.00                 | 0.27                | 0.00               | 0.27              | 60.0 | 0.16                 |
|  | ACCOUNT #: 00068537285         | BUY 0 Units @0.0000               |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-645P - KEISTER, TERRY   | AMERICAN MUTUAL FUND-A            | 0.00                 | 9.31                | 0.00               | 9.31              | 60.0 | 5.59                 |
|  | ACCOUNT #: 00068537287         | BUY 0 Units @0.0000               |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-128I - SADLER, JAMES    | AMERICAN MUTUAL FUND-A            | 0.00                 | 3.94                | 0.00               | 3.94              | 60.0 | 2.36                 |
|  | ACCOUNT #: 00073653382         | BUY 0 Units @0.0000               |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-095P - GRIMES, LYNN     | AMERICAN MUTUAL FUND-A            | 0.00                 | 1.42                | 0.00               | 1.42              | 60.0 | 0.85                 |
|  | ACCOUNT #: 00075685269         | BUY 0 Units @0.0000               |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-436I - LITTLE, DELORES  | AMERICAN MUTUAL FUND-A            | 0.00                 | 17.51               | 0.00               | 17.51             | 60.0 | 10.51                |
|  | ACCOUNT #: 00084458762         | BUY 0 Units @0.0000               |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-489P - LANGENDORF, EDIE | CAPITAL INCOME BUILDER-A          | 0.00                 | 38.33               | 0.00               | 38.33             | 60.0 | 23.00                |
|  | ACCOUNT #: 00061754648         | BUY 0 Units @0.0000               |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-39IN - MINGEE, DAVID    | CAPITAL INCOME BUILDER-A          | 0.00                 | 1.85                | 0.00               | 1.85              | 60.0 | 1.11                 |
|  | ACCOUNT #: 00075453540         | BUY 0 Units @0.0000               |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-88IN - CEKANDER,        | CAPITAL INCOME BUILDER-A          | 0.00                 | 11.26               | 0.00               | 11.26             | 60.0 | 6.76                 |
|  | ACCOUNT #: 00081705639         | BUY 0 Units @0.0000               |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-106I - COCHRAN, DALE    | CAPITAL INCOME BUILDER-A          | 0.00                 | 122.74              | 0.00               | 122.74            | 60.0 | 73.64                |
|  | ACCOUNT #: 00083196876         | BUY 0 Units @0.0000               |                      |                     |                    |                   |      |                      |



# COMMISSION STATEMENT

March 12, 2018

JESS LITTLE  
701 Devonshire C9  
Champaign, IL 61821

BROKER #: 89  
BRANCH #01001 - LifeMark Home Office

| DATE   | CLIENT                        | INVESTMENT                          | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|--|-------------------------------|-------------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b>BROKER TRANSACTIONS (continued)</b>                       |                               |                                     |                      |                     |                    |                   |      |                      |
| <b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</b> |                               |                                     |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-212I - WISSNER, CAROL  | CAPITAL INCOME BUILDER-A            | 0.00                 | 3.52                | 0.00               | 3.52              | 60.0 | 2.11                 |
|  | ACCOUNT #: 00085438817        | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-549I - BOLTON, KRISTIN | CAPITAL WORLD BOND FUND-A           | 0.00                 | 1.27                | 0.00               | 1.27              | 60.0 | 0.76                 |
|  | ACCOUNT #: 00083332863        | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-22SI - DALTON, ROGER   | CAPITAL WORLD BOND FUND-A           | 0.00                 | 2.66                | 0.00               | 2.66              | 60.0 | 1.60                 |
|  | ACCOUNT #: 00084944960        | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-612P - JONES, PAULA    | CAPITAL WORLD GROWTH AND INCOME FUN | 0.00                 | 7.48                | 0.00               | 7.48              | 60.0 | 4.49                 |
|  | ACCOUNT #: 00073146096        | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-485P - BREITENFELDT,   | CAPITAL WORLD GROWTH AND INCOME FUN | 0.00                 | 9.48                | 0.00               | 9.48              | 60.0 | 5.69                 |
|  | ACCOUNT #: 00073961219        | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-106I - COCHRAN, DALE   | CAPITAL WORLD GROWTH AND INCOME FUN | 0.00                 | 71.36               | 0.00               | 71.36             | 60.0 | 42.82                |
|  | ACCOUNT #: 00083196876        | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-175P - STEWART,        | EUROPACIFIC GROWTH FUND-A           | 0.00                 | 19.75               | 0.00               | 19.75             | 60.0 | 11.85                |
|  | ACCOUNT #: 00062603546        | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-106I - COCHRAN, DALE   | EUROPACIFIC GROWTH FUND-A           | 0.00                 | 2.85                | 0.00               | 2.85              | 60.0 | 1.71                 |
|  | ACCOUNT #: 00083196876        | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-22SI - DALTON, ROGER   | EUROPACIFIC GROWTH FUND-A           | 0.00                 | 3.70                | 0.00               | 3.70              | 60.0 | 2.22                 |
|  | ACCOUNT #: 00084944960        | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-106I - COCHRAN, DALE   | FUNDAMENTAL INVESTORS-A             | 0.00                 | 103.23              | 0.00               | 103.23            | 60.0 | 61.94                |
|  | ACCOUNT #: 00083196876        | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-865P - NUSSMEYER, AMY  | INTERMEDIATE BOND FUND OF AMERICA-A | 0.00                 | 0.02                | 0.00               | 0.02              | 60.0 | 0.01                 |
|  | ACCOUNT #: 00068537290        | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-734I - MANETTI, MARINA | INTERMEDIATE BOND FUND OF AMERICA-A | 0.00                 | 2.14                | 0.00               | 2.14              | 60.0 | 1.28                 |
|  | ACCOUNT #: 00086077056        | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-732I - WARD, CLAIRE    | INTERMEDIATE BOND FUND OF AMERICA-A | 0.00                 | 3.96                | 0.00               | 3.96              | 60.0 | 2.38                 |
|  | ACCOUNT #: 00086077059        | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-632I - REPTA, JANNA    | INTERMEDIATE BOND FUND OF AMERICA-A | 0.00                 | 1.81                | 0.00               | 1.81              | 60.0 | 1.09                 |
|  | ACCOUNT #: 00086077065        | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-145I - BALSBAUGH,      | INTERMEDIATE BOND FUND OF AMERICA-A | 0.00                 | 1.95                | 0.00               | 1.95              | 60.0 | 1.17                 |
|  | ACCOUNT #: 00086925400        | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-8575 - BAGBY, LUCIANA  | INTERMEDIATE BOND FUND OF AMERICA-A | 0.00                 | 1.77                | 0.00               | 1.77              | 60.0 | 1.06                 |
|  | ACCOUNT #: 00088363568        | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |



# COMMISSION STATEMENT

March 12, 2018

JESS LITTLE  
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Champaign, IL 61821

BROKER #: 89  
BRANCH #01001 - LifeMark Home Office

| DATE   | CLIENT   | INVESTMENT   | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|--|--|--|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b>BROKER TRANSACTIONS (continued)</b>                       |  |  |                      |                     |                    |                   |      |                      |
| <b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</b> |  |  |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-434I - FRYE, DONALD<br>ACCOUNT #: 00087121680     | INTERNATIONAL GROWTH AND INCOME-A<br>BUY 0 Units @0.0000   | 0.00                 | 0.85                | 0.00               | 0.85              | 60.0 | 0.51                 |
| 03/12/2018   | ***-**-299I - JONES, SHARON<br>ACCOUNT #: LSR012454      | INVESCO CORE PLUS BOND FUND CL A<br>BUY 1 Units @0.0000    | 0.00                 | 0.26                | 0.00               | 0.26              | 60.0 | 0.16                 |
| 03/12/2018   | ***-**-955O - JONES, DAVID<br>ACCOUNT #: LSR012453       | INVESCO VAN KAMPEN COMSTOCK CLASS A<br>BUY 1 Units @0.0000 | 0.00                 | 2.07                | 0.00               | 2.07              | 60.0 | 1.24                 |
| 03/12/2018   | ***-**-299I - JONES, SHARON<br>ACCOUNT #: LSR012454      | INVESCO VAN KAMPEN EQUITY AND INCOM<br>BUY 1 Units @0.0000 | 0.00                 | 0.78                | 0.00               | 0.78              | 60.0 | 0.47                 |
| 03/12/2018   | ***-**-955I - JONES, DAVID<br>ACCOUNT #: LSR012455       | IVK AMERICAN VALUE FUND - CLASS A<br>BUY 1 Units @0.0000   | 0.00                 | 0.57                | 0.00               | 0.57              | 60.0 | 0.34                 |
| 03/12/2018   | ***-**-955I - JONES, DAVID<br>ACCOUNT #: LSR012455       | IVK GROWTH AND INCOME FUND - CLASS<br>BUY 1 Units @0.0000  | 0.00                 | 0.65                | 0.00               | 0.65              | 60.0 | 0.39                 |
| 03/01/2018   | ***-**-106I - COCHRAN, DALE<br>ACCOUNT #: 00083196876    | NEW PERSPECTIVE FUND-A<br>BUY 0 Units @0.0000              | 0.00                 | 83.04               | 0.00               | 83.04             | 60.0 | 49.82                |
| 03/01/2018   | ***-**-436I - LITTLE, DELORES<br>ACCOUNT #: 00084458762  | NEW PERSPECTIVE FUND-A<br>BUY 0 Units @0.0000              | 0.00                 | 18.33               | 0.00               | 18.33             | 60.0 | 11.00                |
| 03/01/2018   | ***-**-22SI - DALTON, ROGER<br>ACCOUNT #: 00084944960    | NEW PERSPECTIVE FUND-A<br>BUY 0 Units @0.0000              | 0.00                 | 4.66                | 0.00               | 4.66              | 60.0 | 2.80                 |
| 03/01/2018   | ***-**-255P - MYERSCOUGH, GARY<br>ACCOUNT #: 00064789903 | NEW WORLD FUND-A<br>BUY 0 Units @0.0000                    | 0.00                 | 5.27                | 0.00               | 5.27              | 60.0 | 3.16                 |
| 03/01/2018   | ***-**-155P - SADLER, BARBARA<br>ACCOUNT #: 00068537292  | NEW WORLD FUND-A<br>BUY 0 Units @0.0000                    | 0.00                 | 0.71                | 0.00               | 0.71              | 60.0 | 0.43                 |
| 03/01/2018   | ***-**-612P - JONES, PAULA<br>ACCOUNT #: 00073146096     | NEW WORLD FUND-A<br>BUY 0 Units @0.0000                    | 0.00                 | 5.61                | 0.00               | 5.61              | 60.0 | 3.37                 |
| 03/01/2018   | ***-**-128I - SADLER, JAMES<br>ACCOUNT #: 00073653382    | NEW WORLD FUND-A<br>BUY 0 Units @0.0000                    | 0.00                 | 3.49                | 0.00               | 3.49              | 60.0 | 2.09                 |
| 03/01/2018   | ***-**-88IN - CEKANDER,<br>ACCOUNT #: 00081705639        | NEW WORLD FUND-A<br>BUY 0 Units @0.0000                    | 0.00                 | 3.07                | 0.00               | 3.07              | 60.0 | 1.84                 |
| 03/01/2018   | ***-**-106I - COCHRAN, DALE<br>ACCOUNT #: 00083196876    | NEW WORLD FUND-A<br>BUY 0 Units @0.0000                    | 0.00                 | 73.83               | 0.00               | 73.83             | 60.0 | 44.30                |
| 03/01/2018   | ***-**-106I - COCHRAN, DALE<br>ACCOUNT #: 00083196876    | SMALLCAP WORLD FUND-A<br>BUY 0 Units @0.0000               | 0.00                 | 5.28                | 0.00               | 5.28              | 60.0 | 3.17                 |



# COMMISSION STATEMENT

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| DATE   | CLIENT   | INVESTMENT   | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|--|--|--|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b>BROKER TRANSACTIONS (continued)</b>                       |  |  |                      |                     |                    |                   |      |                      |
| <b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</b> |  |  |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-612P - JONES, PAULA<br>ACCOUNT #: 00073146096     | THE BOND FUND OF AMERICA-A<br>BUY 0 Units @0.0000          | 0.00                 | 0.17                | 0.00               | 0.17              | 60.0 | 0.10                 |
| 03/01/2018   | ***-**-106I - COCHRAN, DALE<br>ACCOUNT #: 00083196876    | THE BOND FUND OF AMERICA-A<br>BUY 0 Units @0.0000          | 0.00                 | 104.96              | 0.00               | 104.96            | 60.0 | 62.98                |
| 03/01/2018   | ***-**-212I - WISSNER, CAROL<br>ACCOUNT #: 00085438817   | THE BOND FUND OF AMERICA-A<br>BUY 0 Units @0.0000          | 0.00                 | 2.76                | 0.00               | 2.76              | 60.0 | 1.66                 |
| 03/01/2018   | ***-**-86IN - KISSEBERTH,<br>ACCOUNT #: 00062157723      | THE GROWTH FUND OF AMERICA-A<br>BUY 0 Units @0.0000        | 0.00                 | 50.42               | 0.00               | 50.42             | 60.0 | 30.25                |
| 03/01/2018   | ***-**-485P - BREITENFELDT,<br>ACCOUNT #: 00073961219    | THE GROWTH FUND OF AMERICA-A<br>BUY 0 Units @0.0000        | 0.00                 | 11.69               | 0.00               | 11.69             | 60.0 | 7.01                 |
| 03/01/2018   | ***-**-265P - PAIGE, ALLISON<br>ACCOUNT #: 00062808372   | THE INCOME FUND OF AMERICA-A<br>BUY 0 Units @0.0000        | 0.00                 | 3.62                | 0.00               | 3.62              | 60.0 | 2.17                 |
| 03/01/2018   | ***-**-128I - SADLER, JAMES<br>ACCOUNT #: 00073653382    | THE INCOME FUND OF AMERICA-A<br>BUY 0 Units @0.0000        | 0.00                 | 3.39                | 0.00               | 3.39              | 60.0 | 2.03                 |
| 03/01/2018   | ***-**-106I - COCHRAN, DALE<br>ACCOUNT #: 00083196876    | THE INCOME FUND OF AMERICA-A<br>BUY 0 Units @0.0000        | 0.00                 | 147.97              | 0.00               | 147.97            | 60.0 | 88.78                |
| 03/01/2018   | ***-**-22SI - DALTON, ROGER<br>ACCOUNT #: 00084944960    | THE INCOME FUND OF AMERICA-A<br>BUY 0 Units @0.0000        | 0.00                 | 4.16                | 0.00               | 4.16              | 60.0 | 2.50                 |
| 03/01/2018   | ***-**-145I - BALSBAUGH,<br>ACCOUNT #: 00086925400       | THE INCOME FUND OF AMERICA-A<br>BUY 0 Units @0.0000        | 0.00                 | 2.65                | 0.00               | 2.65              | 60.0 | 1.59                 |
| 03/01/2018   | ***-**-489P - LANGENDORF, EDIE<br>ACCOUNT #: 00062016311 | THE INVESTMENT COMPANY OF AMERICA-A<br>BUY 0 Units @0.0000 | 0.00                 | 93.15               | 0.00               | 93.15             | 60.0 | 55.89                |
| 03/01/2018   | ***-**-165P - DEMLOW, ABAGAIL<br>ACCOUNT #: 00062704735  | THE INVESTMENT COMPANY OF AMERICA-A<br>BUY 0 Units @0.0000 | 0.00                 | 2.77                | 0.00               | 2.77              | 60.0 | 1.66                 |
| 03/01/2018   | ***-**-145P - FERRAN, MIRANDA<br>ACCOUNT #: 00062800690  | THE INVESTMENT COMPANY OF AMERICA-A<br>BUY 0 Units @0.0000 | 0.00                 | 2.77                | 0.00               | 2.77              | 60.0 | 1.66                 |
| 03/01/2018   | ***-**-495P - WARE, PAMELA<br>ACCOUNT #: 00063513392     | THE INVESTMENT COMPANY OF AMERICA-A<br>BUY 0 Units @0.0000 | 0.00                 | 1.82                | 0.00               | 1.82              | 60.0 | 1.09                 |
| 03/01/2018   | ***-**-405P - SKROBUL, MARY<br>ACCOUNT #: 00063513393    | THE INVESTMENT COMPANY OF AMERICA-A<br>BUY 0 Units @0.0000 | 0.00                 | 0.55                | 0.00               | 0.55              | 60.0 | 0.33                 |
| 03/01/2018   | ***-**-775P - JONES, JESSICA<br>ACCOUNT #: 00067301093   | THE INVESTMENT COMPANY OF AMERICA-A<br>BUY 0 Units @0.0000 | 0.00                 | 2.92                | 0.00               | 2.92              | 60.0 | 1.75                 |



# COMMISSION STATEMENT

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| DATE   | CLIENT                         | INVESTMENT                          | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|--|--------------------------------|-------------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b>BROKER TRANSACTIONS (continued)</b>                       |                                |                                     |                      |                     |                    |                   |      |                      |
| <b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</b> |                                |                                     |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-835P - FREEHILL, VELDA  | THE INVESTMENT COMPANY OF AMERICA-A | 0.00                 | 0.57                | 0.00               | 0.57              | 60.0 | 0.34                 |
|  | ACCOUNT #: 00068537285         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-645P - KEISTER, TERRY   | THE INVESTMENT COMPANY OF AMERICA-A | 0.00                 | 29.33               | 0.00               | 29.33             | 60.0 | 17.60                |
|  | ACCOUNT #: 00068537287         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-705P - KRUPP, CHRISTINE | THE INVESTMENT COMPANY OF AMERICA-A | 0.00                 | 16.00               | 0.00               | 16.00             | 60.0 | 9.60                 |
|  | ACCOUNT #: 00068537288         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-865P - NUSSMEYER, AMY   | THE INVESTMENT COMPANY OF AMERICA-A | 0.00                 | 0.03                | 0.00               | 0.03              | 60.0 | 0.02                 |
|  | ACCOUNT #: 00068537290         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-155P - SADLER, BARBARA  | THE INVESTMENT COMPANY OF AMERICA-A | 0.00                 | 1.19                | 0.00               | 1.19              | 60.0 | 0.71                 |
|  | ACCOUNT #: 00068537292         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-415P - PITCHER, CHAD    | THE INVESTMENT COMPANY OF AMERICA-A | 0.00                 | 14.41               | 0.00               | 14.41             | 60.0 | 8.65                 |
|  | ACCOUNT #: 00069144187         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-435P - SHELLEN, MARY    | THE INVESTMENT COMPANY OF AMERICA-A | 0.00                 | 1.35                | 0.00               | 1.35              | 60.0 | 0.81                 |
|  | ACCOUNT #: 00075195852         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-825P - EALY, KATHLEEN   | THE INVESTMENT COMPANY OF AMERICA-A | 0.00                 | 0.01                | 0.00               | 0.01              | 60.0 | 0.01                 |
|  | ACCOUNT #: 00075195868         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-39IN - MINGEE, DAVID    | THE INVESTMENT COMPANY OF AMERICA-A | 0.00                 | 2.98                | 0.00               | 2.98              | 60.0 | 1.79                 |
|  | ACCOUNT #: 00075453540         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-88IN - CEKANDER,        | THE INVESTMENT COMPANY OF AMERICA-A | 0.00                 | 17.83               | 0.00               | 17.83             | 60.0 | 10.70                |
|  | ACCOUNT #: 00081705639         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-687I - ALEXANDRIDOU,    | THE INVESTMENT COMPANY OF AMERICA-A | 0.00                 | 0.63                | 0.00               | 0.63              | 60.0 | 0.38                 |
|  | ACCOUNT #: 00082929919         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-549I - BOLTON, KRISTIN  | THE INVESTMENT COMPANY OF AMERICA-A | 0.00                 | 4.32                | 0.00               | 4.32              | 60.0 | 2.59                 |
|  | ACCOUNT #: 00083332863         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-684I - HOLLAND, LYNN    | THE INVESTMENT COMPANY OF AMERICA-A | 0.00                 | 10.11               | 0.00               | 10.11             | 60.0 | 6.07                 |
|  | ACCOUNT #: 00084787308         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-535I - KESAR, AMBIKA    | THE INVESTMENT COMPANY OF AMERICA-A | 0.00                 | 8.16                | 0.00               | 8.16              | 60.0 | 4.90                 |
|  | ACCOUNT #: 00084787338         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-426I - DVORACHEK, ERIC  | THE INVESTMENT COMPANY OF AMERICA-A | 0.00                 | 4.21                | 0.00               | 4.21              | 60.0 | 2.53                 |
|  | ACCOUNT #: 00086505464         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-145I - BALSBAUGH,       | THE INVESTMENT COMPANY OF AMERICA-A | 0.00                 | 6.23                | 0.00               | 6.23              | 60.0 | 3.74                 |
|  | ACCOUNT #: 00086925400         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |



# COMMISSION STATEMENT

March 12, 2018

JESS LITTLE  
701 Devonshire C9  
Champaign, IL 61821

BROKER #: 89  
BRANCH #01001 - LifeMark Home Office

| DATE   | CLIENT                         | INVESTMENT                         | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|--|--------------------------------|------------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b>BROKER TRANSACTIONS (continued)</b>                       |                                |                                    |                      |                     |                    |                   |      |                      |
| <b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</b> |                                |                                    |                      |                     |                    |                   |      |                      |
| 03/12/2018   | ***-**-689J - JONES, RICHARD   | VAN KAMPEN1                        | 0.00                 | 32.46               | 0.00               | 32.46             | 60.0 | 19.48                |
|  | ACCOUNT #: LSR008389           | BUY 1 Units @0.0000                |                      |                     |                    |                   |      |                      |
| 03/12/2018   | ***-**-955I - JONES, DAVID     | VAN KAMPEN3                        | 0.00                 | 1.22                | 0.00               | 1.22              | 60.0 | 0.73                 |
|  | ACCOUNT #: LSR012455           | BUY 1 Units @0.0000                |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-489P - LANGENDORF, EDIE | WASHINGTON MUTUAL INVESTORS FUND-A | 0.00                 | 49.52               | 0.00               | 49.52             | 60.0 | 29.71                |
|  | ACCOUNT #: 00061754648         | BUY 0 Units @0.0000                |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-86IN - KISSEBERTH,      | WASHINGTON MUTUAL INVESTORS FUND-A | 0.00                 | 58.88               | 0.00               | 58.88             | 60.0 | 35.33                |
|  | ACCOUNT #: 00062157723         | BUY 0 Units @0.0000                |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-235P - DALTON, ALEXIS   | WASHINGTON MUTUAL INVESTORS FUND-A | 0.00                 | 2.29                | 0.00               | 2.29              | 60.0 | 1.37                 |
|  | ACCOUNT #: 00062865931         | BUY 0 Units @0.0000                |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-005P - EKSTROM, MICHAEL | WASHINGTON MUTUAL INVESTORS FUND-A | 0.00                 | 6.64                | 0.00               | 6.64              | 60.0 | 3.98                 |
|  | ACCOUNT #: 00064258522         | BUY 0 Units @0.0000                |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-495P - BOLTON, KRISTIN  | WASHINGTON MUTUAL INVESTORS FUND-A | 0.00                 | 2.03                | 0.00               | 2.03              | 60.0 | 1.22                 |
|  | ACCOUNT #: 00064668876         | BUY 0 Units @0.0000                |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-775P - JONES, JESSICA   | WASHINGTON MUTUAL INVESTORS FUND-A | 0.00                 | 2.35                | 0.00               | 2.35              | 60.0 | 1.41                 |
|  | ACCOUNT #: 00067301093         | BUY 0 Units @0.0000                |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-835P - FREEHILL, VELDA  | WASHINGTON MUTUAL INVESTORS FUND-A | 0.00                 | 0.20                | 0.00               | 0.20              | 60.0 | 0.12                 |
|  | ACCOUNT #: 00068537285         | BUY 0 Units @0.0000                |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-705P - KRUPP, CHRISTINE | WASHINGTON MUTUAL INVESTORS FUND-A | 0.00                 | 15.97               | 0.00               | 15.97             | 60.0 | 9.58                 |
|  | ACCOUNT #: 00068537288         | BUY 0 Units @0.0000                |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-865P - NUSSMEYER, AMY   | WASHINGTON MUTUAL INVESTORS FUND-A | 0.00                 | 0.03                | 0.00               | 0.03              | 60.0 | 0.02                 |
|  | ACCOUNT #: 00068537290         | BUY 0 Units @0.0000                |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-495P - PEAT, VALINDA    | WASHINGTON MUTUAL INVESTORS FUND-A | 0.00                 | 0.23                | 0.00               | 0.23              | 60.0 | 0.14                 |
|  | ACCOUNT #: 00068537291         | BUY 0 Units @0.0000                |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-155P - SADLER, BARBARA  | WASHINGTON MUTUAL INVESTORS FUND-A | 0.00                 | 0.39                | 0.00               | 0.39              | 60.0 | 0.23                 |
|  | ACCOUNT #: 00068537292         | BUY 0 Units @0.0000                |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-185P - WARNS, ERIN      | WASHINGTON MUTUAL INVESTORS FUND-A | 0.00                 | 2.64                | 0.00               | 2.64              | 60.0 | 1.58                 |
|  | ACCOUNT #: 00068537295         | BUY 0 Units @0.0000                |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-105P - WARREN, JULIE    | WASHINGTON MUTUAL INVESTORS FUND-A | 0.00                 | 42.08               | 0.00               | 42.08             | 60.0 | 25.25                |
|  | ACCOUNT #: 00068537296         | BUY 0 Units @0.0000                |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-612P - JONES, PAULA     | WASHINGTON MUTUAL INVESTORS FUND-A | 0.00                 | 5.15                | 0.00               | 5.15              | 60.0 | 3.09                 |
|  | ACCOUNT #: 00073146096         | BUY 0 Units @0.0000                |                      |                     |                    |                   |      |                      |



# COMMISSION STATEMENT

March 12, 2018

JESS LITTLE  
701 Devonshire C9  
Champaign, IL 61821

BROKER #: 89  
BRANCH #01001 - LifeMark Home Office

| DATE  | CLIENT                                      | INVESTMENT                         | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|---|---|------------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b><u>BROKER TRANSACTIONS (continued)</u></b>                       |   |                                    |                      |                     |                    |                   |      |                      |
| <b><u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</u></b> |   |                                    |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-128I - SADLER, JAMES                 | WASHINGTON MUTUAL INVESTORS FUND-A | 0.00                 | 3.80                | 0.00               | 3.80              | 60.0 | 2.28                 |
|   | ACCOUNT #: 00073653382                      | BUY 0 Units @0.0000                |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-875P - MEYER, DONNA                  | WASHINGTON MUTUAL INVESTORS FUND-A | 0.00                 | 6.62                | 0.00               | 6.62              | 60.0 | 3.97                 |
|   | ACCOUNT #: 00075685309                      | BUY 0 Units @0.0000                |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-475P - EDWARDS, JOAN                 | WASHINGTON MUTUAL INVESTORS FUND-A | 0.00                 | 0.20                | 0.00               | 0.20              | 60.0 | 0.12                 |
|   | ACCOUNT #: 00081631110                      | BUY 0 Units @0.0000                |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-106I - COCHRAN, DALE                 | WASHINGTON MUTUAL INVESTORS FUND-A | 0.00                 | 35.03               | 0.00               | 35.03             | 60.0 | 21.02                |
|   | ACCOUNT #: 00083196876                      | BUY 0 Units @0.0000                |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-436I - LITTLE, DELORES               | WASHINGTON MUTUAL INVESTORS FUND-A | 0.00                 | 17.53               | 0.00               | 17.53             | 60.0 | 10.52                |
|   | ACCOUNT #: 00084458762                      | BUY 0 Units @0.0000                |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-426I - DVORACHEK, ERIC               | WASHINGTON MUTUAL INVESTORS FUND-A | 0.00                 | 4.13                | 0.00               | 4.13              | 60.0 | 2.48                 |
|   | ACCOUNT #: 00086505464                      | BUY 0 Units @0.0000                |                      |                     |                    |                   |      |                      |
|   | <b>* MUTUAL FUND 12B1 TRAILS SUBTOTAL *</b> |                                    | <b>\$0.00</b>        | <b>\$1,825.23</b>   | <b>\$0.00</b>      | <b>\$1,825.23</b> |      | <b>\$1,095.18</b>    |
|   | <b>*** BROKER TRANSACTIONS TOTAL ***</b>    |                                    | <b>\$286.00</b>      | <b>\$1,828.09</b>   | <b>\$0.00</b>      | <b>\$1,828.09</b> |      | <b>\$1,096.90</b>    |

## **BROKER COMMISSION TOTALS**

|                       |            |
|-----------------------|------------|
| Broker Transactions   | \$1,096.90 |
| Split Transactions    | \$0.00     |
| Override Transactions | \$0.00     |
| Adjustments           | \$0.00     |
| Payroll Draw          | \$0.00     |
| Base Salary           | \$0.00     |
| Prior Period Balance  | \$0.00     |
| FINRA Assessment      | \$0.00     |
| SIPC Assessment       | \$0.00     |

Please Retain for Your Records  
THERE WILL BE NO PAYMENT THIS PERIOD

|                              |               |
|------------------------------|---------------|
| <b>Balance Forward</b>       | <b>\$0.00</b> |
| <b>Year-to-date Earnings</b> | <b>\$0.00</b> |



# COMMISSION STATEMENT

March 12, 2018

JORGE LOPES  
5 Roger White Dr.  
New Haven, CT 06511

BROKER #: A49 Terminated 04/30/2015  
BRANCH #01001 - LifeMark Home Office

| DATE   | CLIENT | INVESTMENT                      | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION                |
|--|--------|---------------------------------|----------------------|---------------------|--------------------|-------------------|------|-------------------------------------|
| <b><u>ADJUSTMENTS</u></b>  |        |                                 |                      |                     |                    |                   |      |                                     |
| / /  |        | PRIOR PERIOD BALANCE(SEE BELOW) | 0.00                 | 0.00                | 0.00               | 0.00              |      | 0.00                                |
|  |        | *** ADJUSTMENTS TOTAL ***       | <u>\$0.00</u>        | <u>\$0.00</u>       | <u>\$0.00</u>      | <u>\$0.00</u>     |      | <u>\$0.00</u>                       |
| <b><u>BROKER COMMISSION TOTALS</u></b>                                 |        |                                 |                      |                     |                    |                   |      |                                     |
|  |        |                                 |                      |                     |                    |                   |      | Broker Transactions \$0.00          |
|  |        |                                 |                      |                     |                    |                   |      | Split Transactions \$0.00           |
|  |        |                                 |                      |                     |                    |                   |      | Override Transactions \$0.00        |
|  |        |                                 |                      |                     |                    |                   |      | Adjustments \$0.00                  |
|  |        |                                 |                      |                     |                    |                   |      | Payroll Draw \$0.00                 |
|  |        |                                 |                      |                     |                    |                   |      | Base Salary \$0.00                  |
|  |        |                                 |                      |                     |                    |                   |      | Prior Period Balance \$0.00         |
|  |        |                                 |                      |                     |                    |                   |      | FINRA Assessment \$0.00             |
|  |        |                                 |                      |                     |                    |                   |      | SIPC Assessment \$0.00              |
| Please Retain for Your Records<br>THERE WILL BE NO PAYMENT THIS PERIOD |        |                                 |                      |                     |                    |                   |      |                                     |
|  |        |                                 |                      |                     |                    |                   |      | <b>Balance Forward \$0.00</b>       |
|  |        |                                 |                      |                     |                    |                   |      | <b>Year-to-date Earnings \$0.00</b> |





# COMMISSION STATEMENT

March 12, 2018

ROGER LUNDY  
741 West Allens Lane  
Philadelphia, PA 19119

BROKER #: A01  
BRANCH #01001 - LifeMark Home Office

| DATE  | CLIENT  | INVESTMENT  | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|---|---|---|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b><u>BROKER TRANSACTIONS</u></b>                       |   |   |                      |                     |                    |                   |      |                      |
| <b><u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u></b> |   |   |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-856J - POINDEXTER,<br>ACCOUNT #: 00073034233   | AMERICAN BALANCED FUND-A<br>BUY 0 Units @0.0000           | 0.00                 | 2.26                | 0.00               | 2.26              | 80.0 | 1.81                 |
| 03/01/2018  | ***-**-856J - POINDEXTER,<br>ACCOUNT #: 00073034271   | AMERICAN MUTUAL FUND-A<br>BUY 0 Units @0.0000             | 0.00                 | 0.24                | 0.00               | 0.24              | 80.0 | 0.19                 |
| 03/12/2018  | ***-**-5260 - MASON, YVETTE<br>ACCOUNT #: LSR010962   | NUVEEN PENNSYLVANIA MUNI BD A<br>BUY 1 Units @0.0000      | 0.00                 | 6.89                | 0.00               | 6.89              | 80.0 | 5.51                 |
| 03/12/2018  | ***-**-639J - DAVIS, JAMES<br>ACCOUNT #: LSR011706    | NUVEEN PENNSYLVANIA MUNI BD A<br>BUY 1 Units @0.0000      | 0.00                 | 7.58                | 0.00               | 7.58              | 80.0 | 6.06                 |
| 03/12/2018  | ***-**-26UT - DIXSON UTMA PA,<br>ACCOUNT #: LSR011907 | NUVEEN PENNSYLVANIA MUNI BOND CL C<br>BUY 1 Units @0.0000 | 0.00                 | 0.42                | 0.00               | 0.42              | 80.0 | 0.34                 |
| <b>* MUTUAL FUND 12B1 TRAILS SUBTOTAL *</b>             |   |   | <b>\$0.00</b>        | <b>\$17.39</b>      | <b>\$0.00</b>      | <b>\$17.39</b>    |      | <b>\$13.91</b>       |
| <b>*** BROKER TRANSACTIONS TOTAL ***</b>                |   |   | <b>\$0.00</b>        | <b>\$17.39</b>      | <b>\$0.00</b>      | <b>\$17.39</b>    |      | <b>\$13.91</b>       |

## **BROKER COMMISSION TOTALS**

|                       |         |
|-----------------------|---------|
| Broker Transactions   | \$13.91 |
| Split Transactions    | \$0.00  |
| Override Transactions | \$0.00  |
| Adjustments           | \$0.00  |
| Payroll Draw          | \$0.00  |
| Base Salary           | \$0.00  |
| Prior Period Balance  | \$0.00  |
| FINRA Assessment      | \$0.00  |
| SIPC Assessment       | \$0.00  |

Please Retain for Your Records  
THERE WILL BE NO PAYMENT THIS PERIOD

|                              |               |
|------------------------------|---------------|
| <b>Balance Forward</b>       | <b>\$0.00</b> |
| <b>Year-to-date Earnings</b> | <b>\$0.00</b> |



# COMMISSION STATEMENT

March 12, 2018

EDWARD MAGGIACOMO  
100B Sockanosset Cross Rd  
PO Box 8459  
Cranston, RI 02920

BROKER #: 510 Terminated 12/21/2012  
BRANCH #01001 - LifeMark Home Office

| DATE                                   | CLIENT | INVESTMENT                      | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION                |
|--|--------|---------------------------------|----------------------|---------------------|--------------------|-------------------|------|-------------------------------------|
| <b><u>ADJUSTMENTS</u></b>              |        |                                 |                      |                     |                    |                   |      |                                     |
| 03/07/2018                             |        | PRIOR PERIOD BALANCE(SEE BELOW) | 0.00                 | 0.00                | 0.00               | 0.00              |      | 0.00                                |
| *** ADJUSTMENTS TOTAL ***              |        |                                 | <u>\$0.00</u>        | <u>\$0.00</u>       | <u>\$0.00</u>      | <u>\$0.00</u>     |      | <u>\$0.00</u>                       |
| <b><u>BROKER COMMISSION TOTALS</u></b> |        |                                 |                      |                     |                    |                   |      |                                     |
|  |        |                                 |                      |                     |                    |                   |      | Broker Transactions \$0.00          |
|  |        |                                 |                      |                     |                    |                   |      | Split Transactions \$0.00           |
|  |        |                                 |                      |                     |                    |                   |      | Override Transactions \$0.00        |
|  |        |                                 |                      |                     |                    |                   |      | Adjustments \$0.00                  |
|  |        |                                 |                      |                     |                    |                   |      | Payroll Draw \$0.00                 |
|  |        |                                 |                      |                     |                    |                   |      | Base Salary \$0.00                  |
|  |        |                                 |                      |                     |                    |                   |      | Prior Period Balance \$0.00         |
|  |        |                                 |                      |                     |                    |                   |      | FINRA Assessment \$0.00             |
|  |        |                                 |                      |                     |                    |                   |      | SIPC Assessment \$0.00              |
|  |        |                                 |                      |                     |                    |                   |      |                                     |
|  |        |                                 |                      |                     |                    |                   |      | <b>Balance Forward \$0.00</b>       |
|  |        |                                 |                      |                     |                    |                   |      | <b>Year-to-date Earnings \$0.00</b> |

Please Retain for Your Records  
THERE WILL BE NO PAYMENT THIS PERIOD



# COMMISSION STATEMENT

March 12, 2018

JOHN MAHSHIE  
1101 Fern Hollow Drive  
Liverpool, NY 13088

BROKER #: 271 Terminated 12/22/2011  
BRANCH #01001 - LifeMark Home Office

| DATE                                   | CLIENT | INVESTMENT                      | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION                |
|--|--------|---------------------------------|----------------------|---------------------|--------------------|-------------------|------|-------------------------------------|
| <b><u>ADJUSTMENTS</u></b>              |        |                                 |                      |                     |                    |                   |      |                                     |
| 03/07/2018                             |        | PRIOR PERIOD BALANCE(SEE BELOW) | 0.00                 | 0.00                | 0.00               | 0.00              |      | 0.00                                |
| *** ADJUSTMENTS TOTAL ***              |        |                                 | <u>\$0.00</u>        | <u>\$0.00</u>       | <u>\$0.00</u>      | <u>\$0.00</u>     |      | <u>\$0.00</u>                       |
| <b><u>BROKER COMMISSION TOTALS</u></b> |        |                                 |                      |                     |                    |                   |      |                                     |
|  |        |                                 |                      |                     |                    |                   |      | Broker Transactions \$0.00          |
|  |        |                                 |                      |                     |                    |                   |      | Split Transactions \$0.00           |
|  |        |                                 |                      |                     |                    |                   |      | Override Transactions \$0.00        |
|  |        |                                 |                      |                     |                    |                   |      | Adjustments \$0.00                  |
|  |        |                                 |                      |                     |                    |                   |      | Payroll Draw \$0.00                 |
|  |        |                                 |                      |                     |                    |                   |      | Base Salary \$0.00                  |
|  |        |                                 |                      |                     |                    |                   |      | Prior Period Balance \$0.00         |
|  |        |                                 |                      |                     |                    |                   |      | FINRA Assessment \$0.00             |
|  |        |                                 |                      |                     |                    |                   |      | SIPC Assessment \$0.00              |
|  |        |                                 |                      |                     |                    |                   |      |                                     |
|  |        |                                 |                      |                     |                    |                   |      | <b>Balance Forward \$0.00</b>       |
|  |        |                                 |                      |                     |                    |                   |      | <b>Year-to-date Earnings \$0.00</b> |

Please Retain for Your Records  
THERE WILL BE NO PAYMENT THIS PERIOD



# COMMISSION STATEMENT

March 12, 2018

BRADLEY MAIKRANZ  
2189 E. Presley Drive  
Haubstadt, IN 47639

BROKER #: A30  
BRANCH #01001 - LifeMark Home Office

| DATE                                   | CLIENT                         | INVESTMENT                          | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE  | BROKER<br>COMMISSION |
|--|--------------------------------|-------------------------------------|----------------------|---------------------|--------------------|-------------------|-------|----------------------|
| <b><u>BROKER TRANSACTIONS</u></b>      |                                |                                     |                      |                     |                    |                   |       |                      |
| <b><u>PRODUCT CATEGORY: STOCKS</u></b> |                                |                                     |                      |                     |                    |                   |       |                      |
| 03/02/2018                             | ***-**-76IN - GARLAND, FRANCIS | BRIGHTHOUSE FINL INC COM            | 104.44               | 38.00               | 15.04              | 22.96             | 70.0  | 16.07                |
|  | ACCOUNT #: LSR011458           | SELL 2 Units @52.2190               |                      |                     |                    |                   |       |                      |
| 03/02/2018                             | ***-**-76IN - GARLAND, FRANCIS | METLIFE INC COM                     | 1,089.22             | 48.02               | 15.48              | 32.54             | 70.0  | 22.78                |
|  | ACCOUNT #: LSR011458           | SELL 24 Units @45.3840              |                      |                     |                    |                   |       |                      |
| * STOCKS SUBTOTAL *                    |                                |                                     | <b>\$1,193.66</b>    | <b>\$86.02</b>      | <b>\$30.52</b>     | <b>\$55.50</b>    |       | <b>\$38.85</b>       |
| <b><u>PRODUCT CATEGORY: BONDS</u></b>  |                                |                                     |                      |                     |                    |                   |       |                      |
| 03/05/2018                             | ***-**-476I - GARLAND, FRANCIS | FEDL HOME LN MTG CRP SER 1459 CL M  | 2,969.55             | 0.57                | 24.00              | -23.43            | 100.0 | -23.43               |
|  | ACCOUNT #: LSR011482           | SELL 30 Units @98.9850              |                      |                     |                    |                   |       |                      |
| 03/02/2018                             | ***-**-76IN - GARLAND, FRANCIS | FEDL HOME LN MTG CRP SER 1602 CL H  | 14,861.85            | 9.16                | 24.00              | -14.84            | 100.0 | -14.84               |
|  | ACCOUNT #: LSR011458           | SELL 150 Units @99.0790             |                      |                     |                    |                   |       |                      |
| 03/02/2018                             | ***-**-76IN - GARLAND, FRANCIS | FEDL HOME LN MTG CRP SER 1602 CL H  | 14,861.85            | 9.16                | 24.00              | -14.84            | 100.0 | -14.84               |
|  | ACCOUNT #: LSR011458           | SELL 150 Units @99.0790             |                      |                     |                    |                   |       |                      |
| 03/02/2018                             | ***-**-76IN - GARLAND, FRANCIS | FEDL HOME LN MTG CRP SER 1602 CL H  | -14,861.85           | -9.16               | -24.00             | 14.84             | 70.0  | 10.39                |
|  | ACCOUNT #: LSR011458           | CANCEL 150 Units @99.0790           |                      |                     |                    |                   |       |                      |
| 03/05/2018                             | ***-**-476I - GARLAND, FRANCIS | FEDL HOME LN MTG CRP SER 2996 CL GG | 3,979.00             | 40.00               | 24.00              | 16.00             | 70.0  | 11.20                |
|  | ACCOUNT #: LSR011482           | SELL 40 Units @99.4750              |                      |                     |                    |                   |       |                      |
| 03/02/2018                             | ***-**-76IN - GARLAND, FRANCIS | FEDL HOME LN MTG CRP SER 4091 CL AA | 6,092.31             | 70.00               | 24.00              | 46.00             | 70.0  | 32.20                |
|  | ACCOUNT #: LSR011458           | SELL 70 Units @87.0330              |                      |                     |                    |                   |       |                      |
| 03/05/2018                             | ***-**-476I - GARLAND, FRANCIS | FEDL HOME LN MTG CRP SER G027 C     | 5,938.20             | 1.14                | 24.00              | -22.86            | 100.0 | -22.86               |
|  | ACCOUNT #: LSR011482           | SELL 60 Units @98.9700              |                      |                     |                    |                   |       |                      |
| 03/05/2018                             | ***-**-76IN - GARLAND, FRANCIS | FEDL NATL MTG ASSN SER 1992-125 CL  | 6,928.95             | 1.04                | 24.00              | -22.96            | 100.0 | -22.96               |
|  | ACCOUNT #: LSR011458           | SELL 70 Units @98.9850              |                      |                     |                    |                   |       |                      |
| 03/05/2018                             | ***-**-76IN - GARLAND, FRANCIS | FEDL NATL MTG ASSN SER 1993-82 CL H | 4,949.25             | 2.25                | 24.00              | -21.75            | 100.0 | -21.75               |
|  | ACCOUNT #: LSR011458           | SELL 50 Units @98.9850              |                      |                     |                    |                   |       |                      |
| * BONDS SUBTOTAL *                     |                                |                                     | <b>\$45,719.11</b>   | <b>\$124.16</b>     | <b>\$168.00</b>    | <b>\$-43.84</b>   |       | <b>\$-66.89</b>      |
| *** BROKER TRANSACTIONS TOTAL ***      |                                |                                     | <b>\$46,912.77</b>   | <b>\$210.18</b>     | <b>\$198.52</b>    | <b>\$11.66</b>    |       | <b>\$-28.04</b>      |



**BROKER #:** A30  
BRANCH #01001 - LifeMark Home Office

|  |        |            |        |                       | BROKER                |
|--|--------|------------|--------|-----------------------|-----------------------|
| DATE   | CLIENT | INVESTMENT | AMOUNT | GROSS COMMISSION      | NET BROKER COMMISSION |
| BROKER COMMISSION TOTALS   |        |            |        |                       |                       |
|  |        |            |        | Broker Transactions   | \$-28.04              |
|  |        |            |        | Split Transactions    | \$0.00                |
|  |        |            |        | Override Transactions | \$0.00                |
|  |        |            |        | Adjustments           | \$0.00                |
|  |        |            |        | Payroll Draw          | \$0.00                |
|  |        |            |        | Base Salary           | \$0.00                |
|  |        |            |        | Prior Period Balance  | \$0.00                |
|  |        |            |        | FINRA Assessment      | \$0.00                |
|  |        |            |        | SIPC Assessment       | \$0.00                |
|  |        |            |        |                       |                       |
| Please Retain for Your Records<br>THERE WILL BE NO PAYMENT THIS PERIOD |        |            |        | Balance Forward       | \$0.00                |
|  |        |            |        | Year-to-date Earnings | \$0.00                |



# COMMISSION STATEMENT

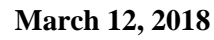
March 12, 2018

MARTY MALAFRONTI  
156 Hoover Avenue  
Bloomfield, NJ 07003

BROKER #: 112 Terminated 09/08/2010  
BRANCH #01001 - LifeMark Home Office

| DATE                                   | CLIENT | INVESTMENT                      | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION                |
|--|--------|---------------------------------|----------------------|---------------------|--------------------|-------------------|------|-------------------------------------|
| <b><u>ADJUSTMENTS</u></b>              |        |                                 |                      |                     |                    |                   |      |                                     |
| 03/07/2018                             |        | PRIOR PERIOD BALANCE(SEE BELOW) | 0.00                 | 0.00                | 0.00               | 0.00              |      | 0.00                                |
| *** ADJUSTMENTS TOTAL ***              |        |                                 | <u>\$0.00</u>        | <u>\$0.00</u>       | <u>\$0.00</u>      | <u>\$0.00</u>     |      | <u>\$0.00</u>                       |
| <b><u>BROKER COMMISSION TOTALS</u></b> |        |                                 |                      |                     |                    |                   |      |                                     |
|  |        |                                 |                      |                     |                    |                   |      | Broker Transactions \$0.00          |
|  |        |                                 |                      |                     |                    |                   |      | Split Transactions \$0.00           |
|  |        |                                 |                      |                     |                    |                   |      | Override Transactions \$0.00        |
|  |        |                                 |                      |                     |                    |                   |      | Adjustments \$0.00                  |
|  |        |                                 |                      |                     |                    |                   |      | Payroll Draw \$0.00                 |
|  |        |                                 |                      |                     |                    |                   |      | Base Salary \$0.00                  |
|  |        |                                 |                      |                     |                    |                   |      | Prior Period Balance \$0.00         |
|  |        |                                 |                      |                     |                    |                   |      | FINRA Assessment \$0.00             |
|  |        |                                 |                      |                     |                    |                   |      | SIPC Assessment \$0.00              |
|  |        |                                 |                      |                     |                    |                   |      |                                     |
|  |        |                                 |                      |                     |                    |                   |      | <b>Balance Forward \$0.00</b>       |
|  |        |                                 |                      |                     |                    |                   |      | <b>Year-to-date Earnings \$0.00</b> |

Please Retain for Your Records  
THERE WILL BE NO PAYMENT THIS PERIOD



BROKER #: A48      Terminated 12/06/2013  
BRANCH #01001 - LifeMark Home Office

| DATE   | CLIENT | INVESTMENT | INVESTMENT<br>AMOUNT            | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION  | RATE   | BROKER<br>COMMISSION |
|--|--------|------------|---------------------------------|---------------------|--------------------|--|--------|----------------------|
| <div>ADJUSTMENTS</div>   |        |            |                                 |                     |                    |  |        |                      |
| /  | /      |            | PRIOR PERIOD BALANCE(SEE BELOW) | 0.00                | 0.00               | 0.00   | 0.00   | 0.00                 |
|  |        |            | *** ADJUSTMENTS TOTAL ***       | \$0.00              | \$0.00             | \$0.00   | \$0.00 | \$0.00               |
|  |        |            |                                 |                     |                    | <div>BROKER COMMISSION TOTALS</div>                              |        |                      |
|  |        |            |                                 |                     |                    | Broker Transactions  |        | \$0.00               |
|  |        |            |                                 |                     |                    | Split Transactions   |        | \$0.00               |
|  |        |            |                                 |                     |                    | Override Transactions  |        | \$0.00               |
|  |        |            |                                 |                     |                    | Adjustments  |        | \$0.00               |
|  |        |            |                                 |                     |                    | Payroll Draw   |        | \$0.00               |
|  |        |            |                                 |                     |                    | Base Salary  |        | \$0.00               |
|  |        |            |                                 |                     |                    | Prior Period Balance   |        | \$0.00               |
|  |        |            |                                 |                     |                    | FINRA Assessment   |        | \$0.00               |
|  |        |            |                                 |                     |                    | SIPC Assessment  |        | \$0.00               |
| Please Retain for Your Records<br>THERE WILL BE NO PAYMENT THIS PERIOD |        |            |                                 |                     |                    | <div>Balance Forward\$0.00<br/>Year-to-date Earnings\$0.00</div> |        |                      |



# COMMISSION STATEMENT

March 12, 2018

RICHARD MARAZZI  
141 South Main St  
Beacon Falls, CT 06403

BROKER #: A72 Terminated 12/21/2016  
BRANCH #01001 - LifeMark Home Office

| DATE                      | CLIENT | INVESTMENT                      | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|---------------------------|--------|---------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b><u>ADJUSTMENTS</u></b> |        |                                 |                      |                     |                    |                   |      |                      |
| / /                       |        | PRIOR PERIOD BALANCE(SEE BELOW) | 0.00                 | 0.00                | 0.00               | 0.00              |      | 0.00                 |
| *** ADJUSTMENTS TOTAL *** |        |                                 | <u>\$0.00</u>        | <u>\$0.00</u>       | <u>\$0.00</u>      | <u>\$0.00</u>     |      | <u>\$0.00</u>        |

## BROKER COMMISSION TOTALS

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

Please Retain for Your Records  
THERE WILL BE NO PAYMENT THIS PERIOD

|                              |               |
|------------------------------|---------------|
| <b>Balance Forward</b>       | <b>\$0.00</b> |
| <b>Year-to-date Earnings</b> | <b>\$0.00</b> |





BROKER #: 695      Terminated 12/31/2010  
BRANCH #01001 - LifeMark Home Office

| DATE   | CLIENT | INVESTMENT                      | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE  | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION         |
|--|--------|---------------------------------|----------------------|---------------------|---|-------------------|------|------------------------------|
| <div>ADJUSTMENTS</div>   |        |                                 |                      |                     |   |                   |      |                              |
| 03/07/2018   |        | PRIOR PERIOD BALANCE(SEE BELOW) | 0.00                 | 0.00                | 0.00  | 0.00              |      | 0.00                         |
|  |        | *** ADJUSTMENTS TOTAL ***       | \$0.00               | \$0.00              | \$0.00  | \$0.00            |      | \$0.00                       |
| <div>BROKER COMMISSION TOTALS</div>                                    |        |                                 |                      |                     |   |                   |      |                              |
|  |        |                                 |                      |                     |   |                   |      | Broker Transactions \$0.00   |
|  |        |                                 |                      |                     |   |                   |      | Split Transactions \$0.00    |
|  |        |                                 |                      |                     |   |                   |      | Override Transactions \$0.00 |
|  |        |                                 |                      |                     |   |                   |      | Adjustments \$0.00           |
|  |        |                                 |                      |                     |   |                   |      | Payroll Draw \$0.00          |
|  |        |                                 |                      |                     |   |                   |      | Base Salary \$0.00           |
|  |        |                                 |                      |                     |   |                   |      | Prior Period Balance \$0.00  |
|  |        |                                 |                      |                     |   |                   |      | FINRA Assessment \$0.00      |
|  |        |                                 |                      |                     |   |                   |      | SIPC Assessment \$0.00       |
| Please Retain for Your Records<br>THERE WILL BE NO PAYMENT THIS PERIOD |        |                                 |                      |                     | <div><div>Balance Forward \$0.00</div><div>Year-to-date Earnings \$0.00</div></div> |                   |      |                              |



# COMMISSION STATEMENT

March 12, 2018

TAMMY MASON  
700 Ridge Rd, Suite 1  
Webster, NY 14580

BROKER #: 984  
BRANCH #01001 - LifeMark Home Office

| DATE  | CLIENT                         | INVESTMENT                                  | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|---|--------------------------------|---|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b><u>BROKER TRANSACTIONS</u></b>                       |                                |   |                      |                     |                    |                   |      |                      |
| <b><u>PRODUCT CATEGORY: 529 PLAN</u></b>                |                                |   |                      |                     |                    |                   |      |                      |
| 03/12/2018  | ***-**-7943 - MASON, TAMMY     | NEW YORK 529 TRAILS                         | 0.00                 | 3.95                | 0.00               | 3.95              | 90.0 | 3.56                 |
|   | ACCOUNT #: 77577804701         | BUY 0 Units @0.0000                         |                      |                     |                    |                   |      |                      |
|   |                                | <b>* 529 PLAN SUBTOTAL *</b>                | <b>\$0.00</b>        | <b>\$3.95</b>       | <b>\$0.00</b>      | <b>\$3.95</b>     |      | <b>\$3.56</b>        |
| <b><u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u></b> |                                |   |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-259I - WINTERMUTE,      | AMCAP FUND-A                                | 0.00                 | 0.44                | 0.00               | 0.44              | 90.0 | 0.40                 |
|   | ACCOUNT #: 00087282271         | BUY 0 Units @0.0000                         |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-837I - MARTORANA, JASON | CAPITAL WORLD GROWTH AND INCOME FUN         | 0.00                 | 1.67                | 0.00               | 1.67              | 90.0 | 1.50                 |
|   | ACCOUNT #: 00088002495         | BUY 0 Units @0.0000                         |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-259I - WINTERMUTE,      | EUROPACIFIC GROWTH FUND-A                   | 0.00                 | 2.16                | 0.00               | 2.16              | 90.0 | 1.94                 |
|   | ACCOUNT #: 00087282271         | BUY 0 Units @0.0000                         |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-837I - MARTORANA, JASON | INTERNATIONAL GROWTH AND INCOME-A           | 0.00                 | 1.42                | 0.00               | 1.42              | 90.0 | 1.28                 |
|   | ACCOUNT #: 00088002495         | BUY 0 Units @0.0000                         |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-259I - WINTERMUTE,      | THE GROWTH FUND OF AMERICA-A                | 0.00                 | 9.78                | 0.00               | 9.78              | 90.0 | 8.80                 |
|   | ACCOUNT #: 00087282271         | BUY 0 Units @0.0000                         |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-837I - MARTORANA, JASON | THE GROWTH FUND OF AMERICA-A                | 0.00                 | 1.97                | 0.00               | 1.97              | 90.0 | 1.77                 |
|   | ACCOUNT #: 00088002495         | BUY 0 Units @0.0000                         |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-259I - WINTERMUTE,      | THE INVESTMENT COMPANY OF AMERICA-A         | 0.00                 | 0.10                | 0.00               | 0.10              | 90.0 | 0.09                 |
|   | ACCOUNT #: 00087282271         | BUY 0 Units @0.0000                         |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-837I - MARTORANA, JASON | THE INVESTMENT COMPANY OF AMERICA-A         | 0.00                 | 1.82                | 0.00               | 1.82              | 90.0 | 1.64                 |
|   | ACCOUNT #: 00088002495         | BUY 0 Units @0.0000                         |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-259I - WINTERMUTE,      | THE NEW ECONOMY FUND-A                      | 0.00                 | 11.00               | 0.00               | 11.00             | 90.0 | 9.90                 |
|   | ACCOUNT #: 00087282271         | BUY 0 Units @0.0000                         |                      |                     |                    |                   |      |                      |
|   |                                | <b>* MUTUAL FUND 12B1 TRAILS SUBTOTAL *</b> | <b>\$0.00</b>        | <b>\$30.36</b>      | <b>\$0.00</b>      | <b>\$30.36</b>    |      | <b>\$27.32</b>       |
|   |                                | <b>*** BROKER TRANSACTIONS TOTAL ***</b>    | <b>\$0.00</b>        | <b>\$34.31</b>      | <b>\$0.00</b>      | <b>\$34.31</b>    |      | <b>\$30.88</b>       |



**BROKER #:** 984  
BRANCH #01001 - LifeMark Home Office

|  |        |            |        |                  | BROKER                         |
|--|--------|------------|--------|------------------|--------------------------------|
| DATE   | CLIENT | INVESTMENT | AMOUNT | GROSS COMMISSION | NET COMMISSION RATE COMMISSION |
|  |        |            |        |                  |                                |
| BROKER COMMISSION TOTALS   |        |            |        |                  |                                |
| Broker Transactions  |        |            |        |                  | \$30.88                        |
| Split Transactions   |        |            |        |                  | \$0.00                         |
| Override Transactions  |        |            |        |                  | \$0.00                         |
| Adjustments  |        |            |        |                  | \$0.00                         |
| Payroll Draw   |        |            |        |                  | \$0.00                         |
| Base Salary  |        |            |        |                  | \$0.00                         |
| Prior Period Balance   |        |            |        |                  | \$0.00                         |
| FINRA Assessment   |        |            |        |                  | \$0.00                         |
| SIPC Assessment  |        |            |        |                  | \$0.00                         |
| Please Retain for Your Records<br>THERE WILL BE NO PAYMENT THIS PERIOD |        |            |        |                  |                                |
| Balance Forward  |        |            |        |                  | \$0.00                         |
| Year-to-date Earnings  |        |            |        |                  | \$0.00                         |



# COMMISSION STATEMENT

March 12, 2018

JOHN MCCUNE  
7223 Erica Lane  
N. Tonawanda, NY 14120

BROKER #: A19 Terminated 10/07/2014  
BRANCH #01001 - LifeMark Home Office

| DATE                      | CLIENT | INVESTMENT                      | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|---------------------------|--------|---------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b><u>ADJUSTMENTS</u></b> |        |                                 |                      |                     |                    |                   |      |                      |
| / /                       |        | PRIOR PERIOD BALANCE(SEE BELOW) | 0.00                 | 0.00                | 0.00               | 0.00              |      | 0.00                 |
|                           |        | *** ADJUSTMENTS TOTAL ***       | <u>\$0.00</u>        | <u>\$0.00</u>       | <u>\$0.00</u>      | <u>\$0.00</u>     |      | <u>\$0.00</u>        |

## **BROKER COMMISSION TOTALS**

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

Please Retain for Your Records  
THERE WILL BE NO PAYMENT THIS PERIOD

|                              |               |
|------------------------------|---------------|
| <b>Balance Forward</b>       | <b>\$0.00</b> |
| <b>Year-to-date Earnings</b> | <b>\$0.00</b> |



# COMMISSION STATEMENT

March 12, 2018

ARCHIBALD MCMICHAEL  
355 West Lancaster Avenue  
Suite 200  
Harverford, PA 19041

BROKER #: A20  
BRANCH #01001 - LifeMark Home Office

| DATE  | CLIENT                         | INVESTMENT  | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|---|--------------------------------|---|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b><u>BROKER TRANSACTIONS</u></b>                       |                                |   |                      |                     |                    |                   |      |                      |
| <b><u>PRODUCT CATEGORY: VARIABLE ANNUITIES</u></b>      |                                |   |                      |                     |                    |                   |      |                      |
| 02/14/2018  | ***-**-81IN - STYNER, MARION   | JACKSON NATIONAL PERSPECTIVE II<br>BUY 1 Units @114000.000                        | 115,451.09           | 8,081.58            | 0.00               | 8,081.58          | 85.0 | 6,869.34             |
|   |                                | <b>* VARIABLE ANNUITIES SUBTOTAL *</b>  | <b>\$115,451.09</b>  | <b>\$8,081.58</b>   | <b>\$0.00</b>      | <b>\$8,081.58</b> |      | <b>\$6,869.34</b>    |
| <b><u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u></b> |                                |   |                      |                     |                    |                   |      |                      |
| 03/12/2018  | ***-**-978J - OVRUTSKY, VICTOR | PRUDENTIAL JENNISON MLP FUND CLASS<br>ACCOUNT #: LSR008869<br>BUY 1 Units @0.0000 | 0.00                 | 2.73                | 0.00               | 2.73              | 85.0 | 2.32                 |
| 03/12/2018  | ***-**-674J - IVINS, WILLIAM   | PRUDENTIAL JENNISON MLP FUND CLASS<br>ACCOUNT #: LSR009563<br>BUY 1 Units @0.0000 | 0.00                 | 2.88                | 0.00               | 2.88              | 85.0 | 2.45                 |
| 03/12/2018  | ***-**-74IN - MINA, JUDY       | PRUDENTIAL JENNISON MLP FUND CLASS<br>ACCOUNT #: LSR010088<br>BUY 1 Units @0.0000 | 0.00                 | 1.96                | 0.00               | 1.96              | 85.0 | 1.67                 |
| 03/12/2018  | ***-**-62IN - ZIMMERMAN,       | PRUDENTIAL JENNISON MLP FUND CLASS<br>ACCOUNT #: LSR010153<br>BUY 1 Units @0.0000 | 0.00                 | 7.68                | 0.00               | 7.68              | 85.0 | 6.53                 |
| 03/12/2018  | ***-**-74IN - MINA, CHARLES    | PRUDENTIAL JENNISON MLP FUND CLASS<br>ACCOUNT #: LSR010167<br>BUY 1 Units @0.0000 | 0.00                 | 1.89                | 0.00               | 1.89              | 85.0 | 1.61                 |
| 03/12/2018  | ***-**-76IN - HOFFMAN, DAVID   | PRUDENTIAL JENNISON MLP FUND CLASS<br>ACCOUNT #: LSR010664<br>BUY 1 Units @0.0000 | 0.00                 | 4.37                | 0.00               | 4.37              | 85.0 | 3.71                 |
|   |                                | <b>* MUTUAL FUND 12B1 TRAILS SUBTOTAL *</b>                                       | <b>\$0.00</b>        | <b>\$21.51</b>      | <b>\$0.00</b>      | <b>\$21.51</b>    |      | <b>\$18.29</b>       |
|   |                                | <b>*** BROKER TRANSACTIONS TOTAL ***</b>  | <b>\$115,451.09</b>  | <b>\$8,103.09</b>   | <b>\$0.00</b>      | <b>\$8,103.09</b> |      | <b>\$6,887.63</b>    |



BROKER #: A20  
BRANCH #01001 - LifeMark Home Office

|                                      |        | INVESTMENT | GROSS      | CLEARING                               | NET        | BROKER        |
|--------------------------------------|--------|------------|------------|--|------------|---------------|
| DATE                                 | CLIENT | AMOUNT     | COMMISSION | CHARGE                                 | COMMISSION | COMMISSION    |
| <hr/>                                |        |            |            |  |            |               |
|                                      |        |            |            | <b><u>BROKER COMMISSION TOTALS</u></b> |            |               |
|                                      |        |            |            | Broker Transactions                    | \$6,887.63 |               |
|                                      |        |            |            | Split Transactions                     | \$0.00     |               |
|                                      |        |            |            | Override Transactions                  | \$0.00     |               |
|                                      |        |            |            | Adjustments                            | \$0.00     |               |
|                                      |        |            |            | Payroll Draw                           | \$0.00     |               |
|                                      |        |            |            | Base Salary                            | \$0.00     |               |
|                                      |        |            |            | Prior Period Balance                   | \$0.00     |               |
|                                      |        |            |            | FINRA Assessment                       | \$0.00     |               |
|                                      |        |            |            | SIPC Assessment                        | \$0.00     |               |
|                                      |        |            |            | <hr/>                                  |            |               |
| Please Retain for Your Records       |        |            |            | <b>Balance Forward</b>                 |            | <b>\$0.00</b> |
| THERE WILL BE NO PAYMENT THIS PERIOD |        |            |            | <b>Year-to-date Earnings</b>           |            | <b>\$0.00</b> |



# COMMISSION STATEMENT

March 12, 2018

KENT MCNARY  
12014 Johns Place  
Fairfax, VA 22033-4647

BROKER #: A80  
BRANCH #01001 - LifeMark Home Office

| DATE   | CLIENT                    | INVESTMENT                        | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|--|---------------------------|-----------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b><u>BROKER TRANSACTIONS</u></b>            |                           |                                   |                      |                     |                    |                   |      |                      |
| <b><u>PRODUCT CATEGORY: MUTUAL FUNDS</u></b> |                           |                                   |                      |                     |                    |                   |      |                      |
| 03/05/2018                                   | ***-**-286I - MCNARY, FBO | MAIN STREET FUND A                | 7,831.50             | 18.00               | 18.00              | 0.00              | 30.0 | 0.00                 |
|  | ACCOUNT #: LSR011118      | SELL 154 Units @50.9200           |                      |                     |                    |                   |      |                      |
|  |                           | * MUTUAL FUNDS SUBTOTAL *         | <u>\$7,831.50</u>    | <u>\$18.00</u>      | <u>\$18.00</u>     | <u>\$0.00</u>     |      | <u>\$0.00</u>        |
|  |                           | *** BROKER TRANSACTIONS TOTAL *** | <u>\$7,831.50</u>    | <u>\$18.00</u>      | <u>\$18.00</u>     | <u>\$0.00</u>     |      | <u>\$0.00</u>        |

## **BROKER COMMISSION TOTALS**

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

Please Retain for Your Records  
THERE WILL BE NO PAYMENT THIS PERIOD

|                              |               |
|------------------------------|---------------|
| <b>Balance Forward</b>       | <b>\$0.00</b> |
| <b>Year-to-date Earnings</b> | <b>\$0.00</b> |



# COMMISSION STATEMENT

March 12, 2018

WILLIAM MILLER  
4063 Center Road  
Brunswick, OH 44212

BROKER #: 747 Terminated 11/06/2009  
BRANCH #01001 - LifeMark Home Office

| DATE                                   | CLIENT | INVESTMENT                      | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION                |
|--|--------|---------------------------------|----------------------|---------------------|--------------------|-------------------|------|-------------------------------------|
| <b><u>ADJUSTMENTS</u></b>              |        |                                 |                      |                     |                    |                   |      |                                     |
| 03/07/2018                             |        | PRIOR PERIOD BALANCE(SEE BELOW) | 0.00                 | 0.00                | 0.00               | 0.00              |      | 0.00                                |
| *** ADJUSTMENTS TOTAL ***              |        |                                 | <u>\$0.00</u>        | <u>\$0.00</u>       | <u>\$0.00</u>      | <u>\$0.00</u>     |      | <u>\$0.00</u>                       |
| <b><u>BROKER COMMISSION TOTALS</u></b> |        |                                 |                      |                     |                    |                   |      |                                     |
|  |        |                                 |                      |                     |                    |                   |      | Broker Transactions \$0.00          |
|  |        |                                 |                      |                     |                    |                   |      | Split Transactions \$0.00           |
|  |        |                                 |                      |                     |                    |                   |      | Override Transactions \$0.00        |
|  |        |                                 |                      |                     |                    |                   |      | Adjustments \$0.00                  |
|  |        |                                 |                      |                     |                    |                   |      | Payroll Draw \$0.00                 |
|  |        |                                 |                      |                     |                    |                   |      | Base Salary \$0.00                  |
|  |        |                                 |                      |                     |                    |                   |      | Prior Period Balance \$0.00         |
|  |        |                                 |                      |                     |                    |                   |      | FINRA Assessment \$0.00             |
|  |        |                                 |                      |                     |                    |                   |      | SIPC Assessment \$0.00              |
|  |        |                                 |                      |                     |                    |                   |      |                                     |
|  |        |                                 |                      |                     |                    |                   |      | <b>Balance Forward \$0.00</b>       |
|  |        |                                 |                      |                     |                    |                   |      | <b>Year-to-date Earnings \$0.00</b> |

Please Retain for Your Records  
THERE WILL BE NO PAYMENT THIS PERIOD





# COMMISSION STATEMENT

March 12, 2018

MICHAEL MINTER  
4102 W. Linebaugh Avenue  
Suite 200  
Tampa, FL 33624

BROKER #: 145  
BRANCH #01001 - LifeMark Home Office

| DATE  | CLIENT                       | INVESTMENT                                  | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|---|------------------------------|---|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b><u>BROKER TRANSACTIONS</u></b>                       |                              |   |                      |                     |                    |                   |      |                      |
| <b><u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u></b> |                              |   |                      |                     |                    |                   |      |                      |
| 03/12/2018  | ***-**-62IN - KLEIN, STEPHAN | SAMMONS MF TRAILS                           | 0.00                 | 18.82               | 0.00               | 18.82             | 85.0 | 16.00                |
|   | ACCOUNT #: 7200010115        | BUY 0 Units @0.0000                         |                      |                     |                    |                   |      |                      |
|   |                              | <b>* MUTUAL FUND 12B1 TRAILS SUBTOTAL *</b> | <b>\$0.00</b>        | <b>\$18.82</b>      | <b>\$0.00</b>      | <b>\$18.82</b>    |      | <b>\$16.00</b>       |
|   |                              | <b>*** BROKER TRANSACTIONS TOTAL ***</b>    | <b>\$0.00</b>        | <b>\$18.82</b>      | <b>\$0.00</b>      | <b>\$18.82</b>    |      | <b>\$16.00</b>       |

## **BROKER COMMISSION TOTALS**

|                       |         |
|-----------------------|---------|
| Broker Transactions   | \$16.00 |
| Split Transactions    | \$0.00  |
| Override Transactions | \$0.00  |
| Adjustments           | \$0.00  |
| Payroll Draw          | \$0.00  |
| Base Salary           | \$0.00  |
| Prior Period Balance  | \$0.00  |
| FINRA Assessment      | \$0.00  |
| SIPC Assessment       | \$0.00  |

Please Retain for Your Records  
THERE WILL BE NO PAYMENT THIS PERIOD

|                              |               |
|------------------------------|---------------|
| <b>Balance Forward</b>       | <b>\$0.00</b> |
| <b>Year-to-date Earnings</b> | <b>\$0.00</b> |



# COMMISSION STATEMENT

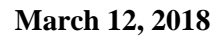
March 12, 2018

JEFF MITCHELL  
11603 Whittier Rd.  
Mitchellville, MD 20721

BROKER #: 749 Terminated 11/09/2017  
BRANCH #01001 - LifeMark Home Office

| DATE                                   | CLIENT | INVESTMENT                      | INVESTMENT<br>AMOUNT         | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|--|--------|---------------------------------|------------------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b><u>ADJUSTMENTS</u></b>              |        |                                 |                              |                     |                    |                   |      |                      |
| 03/07/2018                             |        | PRIOR PERIOD BALANCE(SEE BELOW) | 0.00                         | 0.00                | 0.00               | 0.00              |      | 0.00                 |
| *** ADJUSTMENTS TOTAL ***              |        |                                 | <u>\$0.00</u>                | <u>\$0.00</u>       | <u>\$0.00</u>      | <u>\$0.00</u>     |      | <u>\$0.00</u>        |
| <b><u>BROKER COMMISSION TOTALS</u></b> |        |                                 |                              |                     |                    |                   |      |                      |
|  |        |                                 | Broker Transactions          |                     |                    |                   |      | \$0.00               |
|  |        |                                 | Split Transactions           |                     |                    |                   |      | \$0.00               |
|  |        |                                 | Override Transactions        |                     |                    |                   |      | \$0.00               |
|  |        |                                 | Adjustments                  |                     |                    |                   |      | \$0.00               |
|  |        |                                 | Payroll Draw                 |                     |                    |                   |      | \$0.00               |
|  |        |                                 | Base Salary                  |                     |                    |                   |      | \$0.00               |
|  |        |                                 | Prior Period Balance         |                     |                    |                   |      | \$0.00               |
|  |        |                                 | FINRA Assessment             |                     |                    |                   |      | \$0.00               |
|  |        |                                 | SIPC Assessment              |                     |                    |                   |      | \$0.00               |
|  |        |                                 | <b>Balance Forward</b>       |                     |                    |                   |      | <b>\$0.00</b>        |
|  |        |                                 | <b>Year-to-date Earnings</b> |                     |                    |                   |      | <b>\$0.00</b>        |

Please Retain for Your Records  
THERE WILL BE NO PAYMENT THIS PERIOD



BROKER #: A56      Terminated 07/05/2017  
BRANCH #01001 - LifeMark Home Office

| DATE   | CLIENT | INVESTMENT | INVESTMENT<br>AMOUNT            | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION  | RATE   | BROKER<br>COMMISSION |
|--|--------|------------|---------------------------------|---------------------|--------------------|--|--------|----------------------|
| <div>ADJUSTMENTS</div>   |        |            |                                 |                     |                    |  |        |                      |
| /  | /      |            | PRIOR PERIOD BALANCE(SEE BELOW) | 0.00                | 0.00               | 0.00   | 0.00   | 0.00                 |
|  |        |            | *** ADJUSTMENTS TOTAL ***       | \$0.00              | \$0.00             | \$0.00   | \$0.00 | \$0.00               |
|  |        |            |                                 |                     |                    | <div>BROKER COMMISSION TOTALS</div>                              |        |                      |
|  |        |            |                                 |                     |                    | Broker Transactions  |        | \$0.00               |
|  |        |            |                                 |                     |                    | Split Transactions   |        | \$0.00               |
|  |        |            |                                 |                     |                    | Override Transactions  |        | \$0.00               |
|  |        |            |                                 |                     |                    | Adjustments  |        | \$0.00               |
|  |        |            |                                 |                     |                    | Payroll Draw   |        | \$0.00               |
|  |        |            |                                 |                     |                    | Base Salary  |        | \$0.00               |
|  |        |            |                                 |                     |                    | Prior Period Balance   |        | \$0.00               |
|  |        |            |                                 |                     |                    | FINRA Assessment   |        | \$0.00               |
|  |        |            |                                 |                     |                    | SIPC Assessment  |        | \$0.00               |
| Please Retain for Your Records<br>THERE WILL BE NO PAYMENT THIS PERIOD |        |            |                                 |                     |                    | <div>Balance Forward\$0.00<br/>Year-to-date Earnings\$0.00</div> |        |                      |



# COMMISSION STATEMENT

## March 12, 2018

**GARRETT MORETZ**  
181 North Main Street, Ste 208  
Mooresville, NC 28115

**BROKER #: B09**  
BRANCH #01001 - LifeMark Home Office

| DATE  | CLIENT                         | INVESTMENT                          | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE  | BROKER<br>COMMISSION |
|---|--------------------------------|-------------------------------------|----------------------|---------------------|--------------------|-------------------|-------|----------------------|
| <b><u>BROKER TRANSACTIONS</u></b>                       |                                |                                     |                      |                     |                    |                   |       |                      |
| <b><u>PRODUCT CATEGORY: MUTUAL FUNDS</u></b>            |                                |                                     |                      |                     |                    |                   |       |                      |
| 03/07/2018  | ***-**-384I - HOLDER, DERRICK  | INTERNATIONAL SMALL COMPANY A       | 1,562.12             | 0.00                | 18.00              | -18.00            | 100.0 | -18.00               |
|   | ACCOUNT #: LSR012436           | SELL 31 Units @51.1500              |                      |                     |                    |                   |       |                      |
| 03/07/2018  | ***-**-384I - HOLDER, DERRICK  | JPMORGAN GROWTH ADVANTAGE FUND CL A | 5,540.85             | 0.00                | 18.00              | -18.00            | 100.0 | -18.00               |
|   | ACCOUNT #: LSR012436           | SELL 261 Units @21.2500             |                      |                     |                    |                   |       |                      |
| * MUTUAL FUNDS SUBTOTAL *                               |                                |                                     | <b>\$7,102.97</b>    | <b>\$0.00</b>       | <b>\$36.00</b>     | <b>\$-36.00</b>   |       | <b>\$-36.00</b>      |
| <b><u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u></b> |                                |                                     |                      |                     |                    |                   |       |                      |
| 03/12/2018  | ***-**-94IR - RUSSELL, LYNN    | AB ALL MARKET TOTAL RETURN PORT CLA | 0.00                 | 1.57                | 0.00               | 1.57              | 82.0  | 1.29                 |
|   | ACCOUNT #: LSR011980           | BUY 1 Units @0.0000                 |                      |                     |                    |                   |       |                      |
| 03/01/2018  | ***-**-1570 - YOUNG, ROBERT    | AMCAP FUND-A                        | 0.00                 | 4.78                | 0.00               | 4.78              | 82.0  | 3.92                 |
|   | ACCOUNT #: 00060071420         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |       |                      |
| 03/01/2018  | ***-**-1570 - YOUNG, ROBERT    | AMERICAN MUTUAL FUND-A              | 0.00                 | 4.57                | 0.00               | 4.57              | 82.0  | 3.75                 |
|   | ACCOUNT #: 00060071420         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |       |                      |
| 03/01/2018  | ***-**-5195 - BROWN, SUSAN     | CAPITAL WORLD GROWTH AND INCOME-529 | 0.00                 | 0.20                | 0.00               | 0.20              | 82.0  | 0.16                 |
|   | ACCOUNT #: 00073149394         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |       |                      |
| 03/12/2018  | ***-**-10IR - CLINGON, BILLY   | MFS AGGRESSIVE GROWTH ALLOC CL C    | 0.00                 | 3.94                | 0.00               | 3.94              | 82.0  | 3.23                 |
|   | ACCOUNT #: LSR012010           | BUY 1 Units @0.0000                 |                      |                     |                    |                   |       |                      |
| 03/01/2018  | ***-**-5195 - BROWN, SUSAN     | NEW WORLD FUND-529A                 | 0.00                 | 1.45                | 0.00               | 1.45              | 82.0  | 1.19                 |
|   | ACCOUNT #: 00073149394         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |       |                      |
| 03/12/2018  | ***-**-113I - RUSSELL, MARK    | NUVEEN STRATEGY BAL ALLOC A         | 0.00                 | 2.33                | 0.00               | 2.33              | 82.0  | 1.91                 |
|   | ACCOUNT #: LSR011979           | BUY 1 Units @0.0000                 |                      |                     |                    |                   |       |                      |
| 03/12/2018  | ***-**-677I - LAIL, DWIGHT     | PRUDENTIAL HIGH YIELD CLASS A       | 0.00                 | 1.01                | 0.00               | 1.01              | 82.0  | 0.83                 |
|   | ACCOUNT #: LSR012166           | BUY 1 Units @0.0000                 |                      |                     |                    |                   |       |                      |
| 03/12/2018  | ***-**-440I - BOHNAKER, ANGELA | PRUDENTIAL JENNISON SMALL COMPANY C | 0.00                 | 0.74                | 0.00               | 0.74              | 82.0  | 0.61                 |
|   | ACCOUNT #: LSR012403           | BUY 1 Units @0.0000                 |                      |                     |                    |                   |       |                      |
| 03/01/2018  | ***-**-5195 - BROWN, SUSAN     | THE GROWTH FUND OF AMERICA-529A     | 0.00                 | 2.82                | 0.00               | 2.82              | 82.0  | 2.31                 |
|   | ACCOUNT #: 00073149394         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |       |                      |
| 03/01/2018  | ***-**-5195 - BROWN, SUSAN     | THE INVESTMENT COMPANY OF AMERICA-5 | 0.00                 | 0.56                | 0.00               | 0.56              | 82.0  | 0.46                 |
|   | ACCOUNT #: 00073149394         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |       |                      |
| * MUTUAL FUND 12B1 TRAILS SUBTOTAL *                    |                                |                                     | <b>\$0.00</b>        | <b>\$23.97</b>      | <b>\$0.00</b>      | <b>\$23.97</b>    |       | <b>\$19.66</b>       |
| *** BROKER TRANSACTIONS TOTAL ***                       |                                |                                     | <b>\$7,102.97</b>    | <b>\$23.97</b>      | <b>\$36.00</b>     | <b>\$-12.03</b>   |       | <b>\$-16.34</b>      |



BRANCH #01001 - LifeMark Home Office

|  |        | INVESTMENT | GROSS      | CLEARING              | NET        | BROKER     |
|--|--------|------------|------------|-----------------------|------------|------------|
| DATE   | CLIENT | AMOUNT     | COMMISSION | CHARGE                | COMMISSION | COMMISSION |
| <div>BROKER COMMISSION TOTALS</div>                                    |        |            |            |                       |            |            |
|  |        |            |            | Broker Transactions   |            | \$-16.34   |
|  |        |            |            | Split Transactions    |            | \$0.00     |
|  |        |            |            | Override Transactions |            | \$0.00     |
|  |        |            |            | Adjustments           |            | \$0.00     |
|  |        |            |            | Payroll Draw          |            | \$0.00     |
|  |        |            |            | Base Salary           |            | \$0.00     |
|  |        |            |            | Prior Period Balance  |            | \$0.00     |
|  |        |            |            | FINRA Assessment      |            | \$0.00     |
|  |        |            |            | SIPC Assessment       |            | \$0.00     |
| Please Retain for Your Records<br>THERE WILL BE NO PAYMENT THIS PERIOD |        |            |            | Balance Forward       |            | \$0.00     |
|  |        |            |            | Year-to-date Earnings |            | \$0.00     |



# COMMISSION STATEMENT

March 12, 2018

ABRAHAM MOSKOVITS  
10 Joan Lane  
MONSEY, NY 10952

BROKER #: 687 Terminated 06/10/2009  
BRANCH #01001 - LifeMark Home Office

| DATE               | CLIENT | INVESTMENT                      | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|--------------------|--------|---------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b>ADJUSTMENTS</b> |        |                                 |                      |                     |                    |                   |      |                      |
| 03/07/2018         |        | PRIOR PERIOD BALANCE(SEE BELOW) | 0.00                 | 0.00                | 0.00               | 0.00              |      | 0.00                 |

\*\*\* ADJUSTMENTS TOTAL \*\*\*

\$0.00

\$0.00

\$0.00

\$0.00

\$0.00

## BROKER COMMISSION TOTALS

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

Please Retain for Your Records  
THERE WILL BE NO PAYMENT THIS PERIOD

|                       |        |
|-----------------------|--------|
| Balance Forward       | \$0.00 |
| Year-to-date Earnings | \$0.00 |



# COMMISSION STATEMENT

March 12, 2018

THOMAS MUIR  
2438 LILLIAN MILLER PARKWAY  
SUITE 200  
DENTON, TX 76205

BROKER #: 600 Terminated 12/18/2008  
BRANCH #01001 - LifeMark Home Office

| DATE                                   | CLIENT | INVESTMENT                      | INVESTMENT<br>AMOUNT         | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|--|--------|---------------------------------|------------------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b><u>ADJUSTMENTS</u></b>              |        |                                 |                              |                     |                    |                   |      |                      |
| 03/07/2018                             |        | PRIOR PERIOD BALANCE(SEE BELOW) | 0.00                         | 0.00                | 0.00               | 0.00              |      | 0.00                 |
| *** ADJUSTMENTS TOTAL ***              |        |                                 | <u>\$0.00</u>                | <u>\$0.00</u>       | <u>\$0.00</u>      | <u>\$0.00</u>     |      | <u>\$0.00</u>        |
| <b><u>BROKER COMMISSION TOTALS</u></b> |        |                                 |                              |                     |                    |                   |      |                      |
|  |        |                                 | Broker Transactions          |                     |                    |                   |      | \$0.00               |
|  |        |                                 | Split Transactions           |                     |                    |                   |      | \$0.00               |
|  |        |                                 | Override Transactions        |                     |                    |                   |      | \$0.00               |
|  |        |                                 | Adjustments                  |                     |                    |                   |      | \$0.00               |
|  |        |                                 | Payroll Draw                 |                     |                    |                   |      | \$0.00               |
|  |        |                                 | Base Salary                  |                     |                    |                   |      | \$0.00               |
|  |        |                                 | Prior Period Balance         |                     |                    |                   |      | \$0.00               |
|  |        |                                 | FINRA Assessment             |                     |                    |                   |      | \$0.00               |
|  |        |                                 | SIPC Assessment              |                     |                    |                   |      | \$0.00               |
|  |        |                                 | <b>Balance Forward</b>       |                     |                    |                   |      | <b>\$0.00</b>        |
|  |        |                                 | <b>Year-to-date Earnings</b> |                     |                    |                   |      | <b>\$0.00</b>        |

Please Retain for Your Records  
THERE WILL BE NO PAYMENT THIS PERIOD



# COMMISSION STATEMENT

March 12, 2018

LISA MULVANEY

, NY -

BROKER #: 967 Terminated 11/17/2010

BRANCH #01001 - LifeMark Home Office

| DATE                      | CLIENT | INVESTMENT                      | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|---------------------------|--------|---------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b><u>ADJUSTMENTS</u></b> |        |                                 |                      |                     |                    |                   |      |                      |
| 03/07/2018                |        | PRIOR PERIOD BALANCE(SEE BELOW) | 0.00                 | 0.00                | 0.00               | 0.00              |      | 0.00                 |
| *** ADJUSTMENTS TOTAL *** |        |                                 | <u>\$0.00</u>        | <u>\$0.00</u>       | <u>\$0.00</u>      | <u>\$0.00</u>     |      | <u>\$0.00</u>        |

## **BROKER COMMISSION TOTALS**

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

Please Retain for Your Records  
THERE WILL BE NO PAYMENT THIS PERIOD

|                              |               |
|------------------------------|---------------|
| <b>Balance Forward</b>       | <b>\$0.00</b> |
| <b>Year-to-date Earnings</b> | <b>\$0.00</b> |





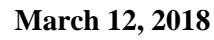
# COMMISSION STATEMENT

March 12, 2018

JOSH PAGAN  
207 River Bend Dr  
London, KY 40744

BROKER #: A94 Terminated 09/29/2017  
BRANCH #01001 - LifeMark Home Office

| DATE   | CLIENT | INVESTMENT                      | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION                |
|--|--------|---------------------------------|----------------------|---------------------|--------------------|-------------------|------|-------------------------------------|
| <b><u>ADJUSTMENTS</u></b>  |        |                                 |                      |                     |                    |                   |      |                                     |
| / /  |        | PRIOR PERIOD BALANCE(SEE BELOW) | 0.00                 | 0.00                | 0.00               | 0.00              |      | 0.00                                |
|  |        | *** ADJUSTMENTS TOTAL ***       | <u>\$0.00</u>        | <u>\$0.00</u>       | <u>\$0.00</u>      | <u>\$0.00</u>     |      | <u>\$0.00</u>                       |
| <b><u>BROKER COMMISSION TOTALS</u></b>                                 |        |                                 |                      |                     |                    |                   |      |                                     |
|  |        |                                 |                      |                     |                    |                   |      | Broker Transactions \$0.00          |
|  |        |                                 |                      |                     |                    |                   |      | Split Transactions \$0.00           |
|  |        |                                 |                      |                     |                    |                   |      | Override Transactions \$0.00        |
|  |        |                                 |                      |                     |                    |                   |      | Adjustments \$0.00                  |
|  |        |                                 |                      |                     |                    |                   |      | Payroll Draw \$0.00                 |
|  |        |                                 |                      |                     |                    |                   |      | Base Salary \$0.00                  |
|  |        |                                 |                      |                     |                    |                   |      | Prior Period Balance \$0.00         |
|  |        |                                 |                      |                     |                    |                   |      | FINRA Assessment \$0.00             |
|  |        |                                 |                      |                     |                    |                   |      | SIPC Assessment \$0.00              |
| Please Retain for Your Records<br>THERE WILL BE NO PAYMENT THIS PERIOD |        |                                 |                      |                     |                    |                   |      |                                     |
|  |        |                                 |                      |                     |                    |                   |      | <b>Balance Forward \$0.00</b>       |
|  |        |                                 |                      |                     |                    |                   |      | <b>Year-to-date Earnings \$0.00</b> |



BROKER #: A82      Terminated 12/21/2016  
BRANCH #01001 - LifeMark Home Office

| DATE   | CLIENT | INVESTMENT | INVESTMENT<br>AMOUNT            | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION                   | RATE   | BROKER<br>COMMISSION |
|--|--------|------------|---------------------------------|---------------------|--------------------|-------------------------------------|--------|----------------------|
| <div>ADJUSTMENTS</div>   |        |            |                                 |                     |                    |                                     |        |                      |
| /  | /      |            | PRIOR PERIOD BALANCE(SEE BELOW) | 0.00                | 0.00               | 0.00                                | 0.00   | 0.00                 |
|  |        |            | *** ADJUSTMENTS TOTAL ***       | \$0.00              | \$0.00             | \$0.00                              | \$0.00 | \$0.00               |
|  |        |            |                                 |                     |                    | <div>BROKER COMMISSION TOTALS</div> |        |                      |
|  |        |            |                                 |                     |                    | Broker Transactions                 |        | \$0.00               |
|  |        |            |                                 |                     |                    | Split Transactions                  |        | \$0.00               |
|  |        |            |                                 |                     |                    | Override Transactions               |        | \$0.00               |
|  |        |            |                                 |                     |                    | Adjustments                         |        | \$0.00               |
|  |        |            |                                 |                     |                    | Payroll Draw                        |        | \$0.00               |
|  |        |            |                                 |                     |                    | Base Salary                         |        | \$0.00               |
|  |        |            |                                 |                     |                    | Prior Period Balance                |        | \$0.00               |
|  |        |            |                                 |                     |                    | FINRA Assessment                    |        | \$0.00               |
|  |        |            |                                 |                     |                    | SIPC Assessment                     |        | \$0.00               |
| Please Retain for Your Records<br>THERE WILL BE NO PAYMENT THIS PERIOD |        |            |                                 |                     |                    | Balance Forward                     |        | \$0.00               |
|  |        |            |                                 |                     |                    | Year-to-date Earnings               |        | \$0.00               |
|  |        |            |                                 |                     |                    |                                     |        |                      |



# COMMISSION STATEMENT

March 12, 2018

DOMINIC PALUMBO  
225 English Rd  
Rochester, NY 14616

BROKER #: A74 Terminated 12/22/2017  
BRANCH #01001 - LifeMark Home Office

| DATE   | CLIENT | INVESTMENT                      | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION                |
|--|--------|---------------------------------|----------------------|---------------------|--------------------|-------------------|------|-------------------------------------|
| <b><u>ADJUSTMENTS</u></b>  |        |                                 |                      |                     |                    |                   |      |                                     |
| / /  |        | PRIOR PERIOD BALANCE(SEE BELOW) | 0.00                 | 0.00                | 0.00               | 0.00              |      | 0.00                                |
|  |        | *** ADJUSTMENTS TOTAL ***       | <u>\$0.00</u>        | <u>\$0.00</u>       | <u>\$0.00</u>      | <u>\$0.00</u>     |      | <u>\$0.00</u>                       |
| <b><u>BROKER COMMISSION TOTALS</u></b>                                 |        |                                 |                      |                     |                    |                   |      |                                     |
|  |        |                                 |                      |                     |                    |                   |      | Broker Transactions \$0.00          |
|  |        |                                 |                      |                     |                    |                   |      | Split Transactions \$0.00           |
|  |        |                                 |                      |                     |                    |                   |      | Override Transactions \$0.00        |
|  |        |                                 |                      |                     |                    |                   |      | Adjustments \$0.00                  |
|  |        |                                 |                      |                     |                    |                   |      | Payroll Draw \$0.00                 |
|  |        |                                 |                      |                     |                    |                   |      | Base Salary \$0.00                  |
|  |        |                                 |                      |                     |                    |                   |      | Prior Period Balance \$0.00         |
|  |        |                                 |                      |                     |                    |                   |      | FINRA Assessment \$0.00             |
|  |        |                                 |                      |                     |                    |                   |      | SIPC Assessment \$0.00              |
| Please Retain for Your Records<br>THERE WILL BE NO PAYMENT THIS PERIOD |        |                                 |                      |                     |                    |                   |      |                                     |
|  |        |                                 |                      |                     |                    |                   |      | <b>Balance Forward \$0.00</b>       |
|  |        |                                 |                      |                     |                    |                   |      | <b>Year-to-date Earnings \$0.00</b> |



# COMMISSION STATEMENT

March 12, 2018

ALICE PANZER  
206 Delaware Street #3  
New Castle, DE 19720

BROKER #: A24  
BRANCH #01001 - LifeMark Home Office

| DATE  | CLIENT                    | INVESTMENT                                  | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|---|---------------------------|---|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b><u>BROKER TRANSACTIONS</u></b>                       |                           |   |                      |                     |                    |                   |      |                      |
| <b><u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u></b> |                           |   |                      |                     |                    |                   |      |                      |
| 03/06/2018  | ***-**-29IO - MACK, CAROL | PIMCO 6933911112-NFS                        | 0.00                 | 0.78                | 0.00               | 0.78              | 50.0 | 0.39                 |
|   | ACCOUNT #: LSR011474      | BUY 1 Units @0.0000                         |                      |                     |                    |                   |      |                      |
|   |                           | <b>* MUTUAL FUND 12B1 TRAILS SUBTOTAL *</b> | <b>\$0.00</b>        | <b>\$0.78</b>       | <b>\$0.00</b>      | <b>\$0.78</b>     |      | <b>\$0.39</b>        |
|   |                           | <b>*** BROKER TRANSACTIONS TOTAL ***</b>    | <b>\$0.00</b>        | <b>\$0.78</b>       | <b>\$0.00</b>      | <b>\$0.78</b>     |      | <b>\$0.39</b>        |

## **BROKER COMMISSION TOTALS**

|                       |        |
|-----------------------|--------|
| Broker Transactions   | \$0.39 |
| Split Transactions    | \$0.00 |
| Override Transactions | \$0.00 |
| Adjustments           | \$0.00 |
| Payroll Draw          | \$0.00 |
| Base Salary           | \$0.00 |
| Prior Period Balance  | \$0.00 |
| FINRA Assessment      | \$0.00 |
| SIPC Assessment       | \$0.00 |

Please Retain for Your Records  
THERE WILL BE NO PAYMENT THIS PERIOD

|                              |               |
|------------------------------|---------------|
| <b>Balance Forward</b>       | <b>\$0.00</b> |
| <b>Year-to-date Earnings</b> | <b>\$0.00</b> |



# COMMISSION STATEMENT

March 12, 2018

LAMONT PARKER

721 Willington Square Way

Newark, DE 19711

BROKER #: A03

BRANCH #01001 - LifeMark Home Office

| DATE                                   | CLIENT | INVESTMENT                      | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION                |
|--|--------|---------------------------------|----------------------|---------------------|--------------------|-------------------|------|-------------------------------------|
| <b><u>ADJUSTMENTS</u></b>              |        |                                 |                      |                     |                    |                   |      |                                     |
| 03/07/2018                             |        | PRIOR PERIOD BALANCE(SEE BELOW) | 0.00                 | 0.00                | 0.00               | 0.00              |      | 0.00                                |
| *** ADJUSTMENTS TOTAL ***              |        |                                 | <u>\$0.00</u>        | <u>\$0.00</u>       | <u>\$0.00</u>      | <u>\$0.00</u>     |      | <u>\$0.00</u>                       |
| <b><u>BROKER COMMISSION TOTALS</u></b> |        |                                 |                      |                     |                    |                   |      |                                     |
|  |        |                                 |                      |                     |                    |                   |      | Broker Transactions \$0.00          |
|  |        |                                 |                      |                     |                    |                   |      | Split Transactions \$0.00           |
|  |        |                                 |                      |                     |                    |                   |      | Override Transactions \$0.00        |
|  |        |                                 |                      |                     |                    |                   |      | Adjustments \$0.00                  |
|  |        |                                 |                      |                     |                    |                   |      | Payroll Draw \$0.00                 |
|  |        |                                 |                      |                     |                    |                   |      | Base Salary \$0.00                  |
|  |        |                                 |                      |                     |                    |                   |      | Prior Period Balance \$0.00         |
|  |        |                                 |                      |                     |                    |                   |      | FINRA Assessment \$0.00             |
|  |        |                                 |                      |                     |                    |                   |      | SIPC Assessment \$0.00              |
|  |        |                                 |                      |                     |                    |                   |      |                                     |
|  |        |                                 |                      |                     |                    |                   |      | <b>Balance Forward \$0.00</b>       |
|  |        |                                 |                      |                     |                    |                   |      | <b>Year-to-date Earnings \$0.00</b> |

Please Retain for Your Records  
THERE WILL BE NO PAYMENT THIS PERIOD



# COMMISSION STATEMENT

March 12, 2018

HOME OFFICE PASCALE

BROKER #: 981A

BRANCH #01001 - LifeMark Home Office

, NY

| DATE                                  | CLIENT                        | INVESTMENT                   | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|---------------------------------------|-------------------------------|------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b><u> OVERRIDE TRANSACTIONS </u></b> |                               |                              |                      |                     |                    |                   |      |                      |
| <b><u>BROKER: JOHN AMBRUSCO</u></b>   |                               |                              |                      |                     |                    |                   |      |                      |
| 03/08/2018                            | ***-**-88IN - CARSON, RICHARD | DREYFUS MF TRAILS            | 0.00                 | 2.57                | 0.00               | 2.57              | 0.5  | 0.01                 |
|                                       | ACCOUNT #: 0616685542         | BUY 0 Units @0.0000          |                      |                     |                    |                   |      |                      |
| 03/08/2018                            | ***-**-8866 - PJURA, ANNE T   | DREYFUS MF TRAILS            | 0.00                 | 24.48               | 0.00               | 24.48             | 0.5  | 0.12                 |
|                                       | ACCOUNT #: 3357369994         | BUY 0 Units @0.0000          |                      |                     |                    |                   |      |                      |
| 03/07/2018                            | ***-**-615P - AMBRUSCO, JOHN  | FA 529 PORT 2025-CL A        | 0.00                 | 1.11                | 0.00               | 1.11              | 0.5  | 0.01                 |
|                                       | ACCOUNT #: 00625334479        | BUY 0 Units @0.0000          |                      |                     |                    |                   |      |                      |
| 03/01/2018                            | ***-**-185P - SOKOLOWSKA,     | FIDELITY ADV MF 040813       | 175.00               | 8.75                | 0.00               | 8.75              | 0.5  | 0.04                 |
|                                       | ACCOUNT #: 01469206344        | BUY 8 Units @21.2200         |                      |                     |                    |                   |      |                      |
| 03/01/2018                            | ***-**-185P - SOKOLOWSKA,     | FIDELITY ADV MF 040813       | 175.00               | 8.75                | 0.00               | 8.75              | 0.5  | 0.04                 |
|                                       | ACCOUNT #: 01487146209        | BUY 8 Units @21.2200         |                      |                     |                    |                   |      |                      |
| 03/01/2018                            | ***-**-185P - SOKOLOWSKA,     | FIDELITY ADV MF 040813       | 175.00               | 8.75                | 0.00               | 8.75              | 0.5  | 0.04                 |
|                                       | ACCOUNT #: 01468375868        | BUY 8 Units @21.2200         |                      |                     |                    |                   |      |                      |
| 03/07/2018                            | ***-**-185P - SOKOLOWSKA,     | FIDELITY ADV MF 040813       | 0.00                 | 3.35                | 0.00               | 3.35              | 0.5  | 0.02                 |
|                                       | ACCOUNT #: 01468375868        | BUY 0 Units @0.0000          |                      |                     |                    |                   |      |                      |
| 03/07/2018                            | ***-**-185P - SOKOLOWSKA,     | FIDELITY ADV MF 040813       | 0.00                 | 3.25                | 0.00               | 3.25              | 0.5  | 0.02                 |
|                                       | ACCOUNT #: 01469206344        | BUY 0 Units @0.0000          |                      |                     |                    |                   |      |                      |
| * JOHN AMBRUSCO SUBTOTAL *            |                               |                              | \$525.00             | \$61.01             | \$0.00             | \$61.01           |      | \$0.30               |
| <b><u>BROKER: NEIL BAUMAN</u></b>     |                               |                              |                      |                     |                    |                   |      |                      |
| 03/01/2018                            | ***-**-259I - WINTERMUTE,     | EUROPACIFIC GROWTH FUND-A    | 0.00                 | 2.16                | 0.00               | 2.16              | 0.5  | 0.01                 |
|                                       | ACCOUNT #: 00087282271        | BUY 0 Units @0.0000          |                      |                     |                    |                   |      |                      |
| 03/01/2018                            | ***-**-259I - WINTERMUTE,     | THE GROWTH FUND OF AMERICA-A | 0.00                 | 9.78                | 0.00               | 9.78              | 0.5  | 0.05                 |
|                                       | ACCOUNT #: 00087282271        | BUY 0 Units @0.0000          |                      |                     |                    |                   |      |                      |
| 03/01/2018                            | ***-**-259I - WINTERMUTE,     | THE NEW ECONOMY FUND-A       | 0.00                 | 11.00               | 0.00               | 11.00             | 0.5  | 0.06                 |
|                                       | ACCOUNT #: 00087282271        | BUY 0 Units @0.0000          |                      |                     |                    |                   |      |                      |
| * NEIL BAUMAN SUBTOTAL *              |                               |                              | \$0.00               | \$22.94             | \$0.00             | \$22.94           |      | \$0.12               |
| <b><u>BROKER: EDWARD FATLA</u></b>    |                               |                              |                      |                     |                    |                   |      |                      |
| 03/01/2018                            | ***-**-275P - SLUSI, VICTORIA | AMCAP FUND-A                 | 0.00                 | 9.79                | 0.00               | 9.79              | 0.5  | 0.05                 |
|                                       | ACCOUNT #: 00087654215        | BUY 0 Units @0.0000          |                      |                     |                    |                   |      |                      |
| 03/01/2018                            | ***-**-590I - SLUSI, PAUL     | AMCAP FUND-A                 | 0.00                 | 10.16               | 0.00               | 10.16             | 0.5  | 0.05                 |
|                                       | ACCOUNT #: 00087654256        | BUY 0 Units @0.0000          |                      |                     |                    |                   |      |                      |



# COMMISSION STATEMENT

March 12, 2018

HOME OFFICE PASCALE

BROKER #: 981A

BRANCH #01001 - LifeMark Home Office

, NY

| DATE  | CLIENT                        | INVESTMENT                        | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|---|-------------------------------|-----------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b><u> OVERRIDE TRANSACTIONS (continued) </u></b> |                               |                                   |                      |                     |                    |                   |      |                      |
| <b><u> BROKER: EDWARD FATLA (continued) </u></b>  |                               |                                   |                      |                     |                    |                   |      |                      |
| 03/02/2018  | ***-**-275P - SLUSI, VICTORIA | AMCAP FUND-A                      | 60.00                | 1.20                | 0.00               | 1.20              | 0.5  | 0.01                 |
|   | ACCOUNT #: 00087654215        | BUY 2 Units @33.8600              |                      |                     |                    |                   |      |                      |
| 03/02/2018  | ***-**-590I - SLUSI, PAUL     | AMCAP FUND-A                      | 60.00                | 1.20                | 0.00               | 1.20              | 0.5  | 0.01                 |
|   | ACCOUNT #: 00087654256        | BUY 2 Units @33.8600              |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-275P - SLUSI, VICTORIA | AMERICAN BALANCED FUND-A          | 0.00                 | 9.01                | 0.00               | 9.01              | 0.5  | 0.05                 |
|   | ACCOUNT #: 00087654215        | BUY 0 Units @0.0000               |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-30SI - SIENKO, STEVEN  | AMERICAN BALANCED FUND-A          | 0.00                 | 2.05                | 0.00               | 2.05              | 0.5  | 0.01                 |
|   | ACCOUNT #: 00087654222        | BUY 0 Units @0.0000               |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-92SI - SPARKS, DAVID   | AMERICAN BALANCED FUND-A          | 0.00                 | 2.97                | 0.00               | 2.97              | 0.5  | 0.01                 |
|   | ACCOUNT #: 00087654239        | BUY 0 Units @0.0000               |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-590I - SLUSI, PAUL     | AMERICAN BALANCED FUND-A          | 0.00                 | 9.34                | 0.00               | 9.34              | 0.5  | 0.05                 |
|   | ACCOUNT #: 00087654256        | BUY 0 Units @0.0000               |                      |                     |                    |                   |      |                      |
| 03/02/2018  | ***-**-590I - SLUSI, PAUL     | AMERICAN BALANCED FUND-A          | 60.00                | 1.20                | 0.00               | 1.20              | 0.5  | 0.01                 |
|   | ACCOUNT #: 00087654256        | BUY 2 Units @27.6700              |                      |                     |                    |                   |      |                      |
| 03/02/2018  | ***-**-275P - SLUSI, VICTORIA | AMERICAN BALANCED FUND-A          | 60.00                | 1.20                | 0.00               | 1.20              | 0.5  | 0.01                 |
|   | ACCOUNT #: 00087654215        | BUY 2 Units @27.6700              |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-590I - SLUSI, PAUL     | AMERICAN BALANCED FUND-C          | 0.00                 | 35.75               | 0.00               | 35.75             | 0.5  | 0.18                 |
|   | ACCOUNT #: 00081339744        | BUY 0 Units @0.0000               |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-590I - SLUSI, PAUL     | AMERICAN BALANCED FUND-F1         | 0.00                 | 21.84               | 0.00               | 21.84             | 0.5  | 0.11                 |
|   | ACCOUNT #: 00081339744        | BUY 0 Units @0.0000               |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-62SI - NILLES, STEVE   | AMERICAN FUNDS 2020 TARGET DATE-A | 0.00                 | 4.08                | 0.00               | 4.08              | 0.5  | 0.02                 |
|   | ACCOUNT #: 00087654249        | BUY 0 Units @0.0000               |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-590I - SLUSI, PAUL     | AMERICAN FUNDS 2020 TARGET DATE-A | 0.00                 | 8.72                | 0.00               | 8.72              | 0.5  | 0.04                 |
|   | ACCOUNT #: 00087654256        | BUY 0 Units @0.0000               |                      |                     |                    |                   |      |                      |
| 03/02/2018  | ***-**-590I - SLUSI, PAUL     | AMERICAN FUNDS 2020 TARGET DATE-A | 60.00                | 1.20                | 0.00               | 1.20              | 0.5  | 0.01                 |
|   | ACCOUNT #: 00087654256        | BUY 5 Units @12.8600              |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-275P - SLUSI, VICTORIA | AMERICAN FUNDS 2025 TARGET DATE-A | 0.00                 | 8.66                | 0.00               | 8.66              | 0.5  | 0.04                 |
|   | ACCOUNT #: 00087654215        | BUY 0 Units @0.0000               |                      |                     |                    |                   |      |                      |
| 03/02/2018  | ***-**-275P - SLUSI, VICTORIA | AMERICAN FUNDS 2025 TARGET DATE-A | 60.00                | 1.20                | 0.00               | 1.20              | 0.5  | 0.01                 |
|   | ACCOUNT #: 00087654215        | BUY 4 Units @13.8300              |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-8658 - WADE, CHAD      | AMERICAN FUNDS 2035 TARGET DATE-A | 0.00                 | 3.41                | 0.00               | 3.41              | 0.5  | 0.02                 |
|   | ACCOUNT #: 00089799621        | BUY 0 Units @0.0000               |                      |                     |                    |                   |      |                      |



# COMMISSION STATEMENT

March 12, 2018

HOME OFFICE PASCALE

BROKER #: 981A

BRANCH #01001 - LifeMark Home Office

, NY

| DATE  | CLIENT  | INVESTMENT  | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|---|---|---|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b><u> OVERRIDE TRANSACTIONS (continued) </u></b> |   |   |                      |                     |                    |                   |      |                      |
| <b><u> BROKER: EDWARD FATLA (continued) </u></b>  |   |   |                      |                     |                    |                   |      |                      |
| 03/02/2018  | ***-**-8658 - WADE, CHAD<br>ACCOUNT #: 00089799621      | AMERICAN FUNDS 2035 TARGET DATE-A<br>BUY 4 Units @15.3900 | 60.85                | 1.22                | 0.00               | 1.22              | 0.5  | 0.01                 |
| 03/02/2018  | ***-**-8658 - WADE, CHAD<br>ACCOUNT #: 00089799621      | AMERICAN FUNDS 2035 TARGET DATE-A<br>BUY 4 Units @15.3900 | 60.85                | 1.22                | 0.00               | 1.22              | 0.5  | 0.01                 |
| 03/01/2018  | ***-**-875I - DISANTO, ROSINA<br>ACCOUNT #: 00058197438 | AMERICAN MUTUAL FUND-A<br>BUY 0 Units @0.0000             | 0.00                 | 97.03               | 0.00               | 97.03             | 0.5  | 0.49                 |
| 03/12/2018  | ***-**-7353 - PASSERO, MICHAEL                          | BRIGHT DIRECTIONS FEE STRUCTURE A<br>BUY 0 Units @0.0000  | 100.00               | 3.00                | 0.00               | 3.00              | 0.5  | 0.02                 |
| 03/12/2018  | ***-**-7353 - PASSERO, MICHAEL                          | BRIGHT DIRECTIONS FEE STRUCTURE A<br>BUY 0 Units @0.0000  | 100.00               | 3.00                | 0.00               | 3.00              | 0.5  | 0.02                 |
| 03/01/2018  | ***-**-590I - SLUSI, PAUL<br>ACCOUNT #: 00081339744     | CAPITAL WORLD GROWTH AND INCOME-F1<br>BUY 0 Units @0.0000 | 0.00                 | 36.23               | 0.00               | 36.23             | 0.5  | 0.18                 |
| 03/01/2018  | ***-**-92SI - SPARKS, DAVID<br>ACCOUNT #: 00087654239   | EUROPACIFIC GROWTH FUND-A<br>BUY 0 Units @0.0000          | 0.00                 | 1.52                | 0.00               | 1.52              | 0.5  | 0.01                 |
| 03/01/2018  | ***-**-30SI - SIENKO, STEVEN<br>ACCOUNT #: 00087654222  | FUNDAMENTAL INVESTORS-A<br>BUY 0 Units @0.0000            | 0.00                 | 2.33                | 0.00               | 2.33              | 0.5  | 0.01                 |
| 03/01/2018  | ***-**-30SI - SIENKO, STEVEN<br>ACCOUNT #: 00087654222  | NEW PERSPECTIVE FUND-A<br>BUY 0 Units @0.0000             | 0.00                 | 2.19                | 0.00               | 2.19              | 0.5  | 0.01                 |
| 03/01/2018  | ***-**-92SI - SPARKS, DAVID<br>ACCOUNT #: 00087654239   | SMALLCAP WORLD FUND-A<br>BUY 0 Units @0.0000              | 0.00                 | 1.57                | 0.00               | 1.57              | 0.5  | 0.01                 |
| 03/01/2018  | ***-**-875I - DISANTO, ROSINA<br>ACCOUNT #: 00058197438 | THE GROWTH FUND OF AMERICA-A<br>BUY 0 Units @0.0000       | 0.00                 | 33.15               | 0.00               | 33.15             | 0.5  | 0.17                 |
| 03/01/2018  | ***-**-30SI - SIENKO, STEVEN<br>ACCOUNT #: 00087654222  | THE GROWTH FUND OF AMERICA-A<br>BUY 0 Units @0.0000       | 0.00                 | 2.30                | 0.00               | 2.30              | 0.5  | 0.01                 |
| 03/01/2018  | ***-**-92SI - SPARKS, DAVID<br>ACCOUNT #: 00087654239   | THE GROWTH FUND OF AMERICA-A<br>BUY 0 Units @0.0000       | 0.00                 | 3.35                | 0.00               | 3.35              | 0.5  | 0.02                 |
| 03/01/2018  | ***-**-275P - SLUSI, VICTORIA<br>ACCOUNT #: 00087654215 | THE INCOME FUND OF AMERICA-A<br>BUY 0 Units @0.0000       | 0.00                 | 8.70                | 0.00               | 8.70              | 0.5  | 0.04                 |
| 03/01/2018  | ***-**-30SI - SIENKO, STEVEN<br>ACCOUNT #: 00087654222  | THE INCOME FUND OF AMERICA-A<br>BUY 0 Units @0.0000       | 0.00                 | 1.97                | 0.00               | 1.97              | 0.5  | 0.01                 |
| 03/01/2018  | ***-**-590I - SLUSI, PAUL<br>ACCOUNT #: 00087654256     | THE INCOME FUND OF AMERICA-A<br>BUY 0 Units @0.0000       | 0.00                 | 9.03                | 0.00               | 9.03              | 0.5  | 0.05                 |





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|--|--|---|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b> OVERRIDE TRANSACTIONS (continued) </b>       |  |   |                      |                     |                    |                   |      |                      |
| <b> <u>BROKER: EDWARD FATLA (continued)</u> </b> |  |   |                      |                     |                    |                   |      |                      |
| 03/02/2018                                       | ***-**-590I - SLUSI, PAUL<br>ACCOUNT #: 00087654256      | THE INCOME FUND OF AMERICA-A<br>BUY 3 Units @23.5700        | 60.00                | 1.20                | 0.00               | 1.20              | 0.5  | 0.01                 |
| 03/02/2018                                       | ***-**-275P - SLUSI, VICTORIA<br>ACCOUNT #: 00087654215  | THE INCOME FUND OF AMERICA-A<br>BUY 3 Units @23.5700        | 60.00                | 1.20                | 0.00               | 1.20              | 0.5  | 0.01                 |
| 03/01/2018                                       | ***-**-275P - SLUSI, VICTORIA<br>ACCOUNT #: 00087654215  | THE INVESTMENT COMPANY OF AMERICA-A<br>BUY 0 Units @0.0000  | 0.00                 | 9.81                | 0.00               | 9.81              | 0.5  | 0.05                 |
| 03/01/2018                                       | ***-**-590I - SLUSI, PAUL<br>ACCOUNT #: 00087654256      | THE INVESTMENT COMPANY OF AMERICA-A<br>BUY 0 Units @0.0000  | 0.00                 | 10.18               | 0.00               | 10.18             | 0.5  | 0.05                 |
| 03/02/2018                                       | ***-**-275P - SLUSI, VICTORIA<br>ACCOUNT #: 00087654215  | THE INVESTMENT COMPANY OF AMERICA-A<br>BUY 1 Units @41.9900 | 60.00                | 1.20                | 0.00               | 1.20              | 0.5  | 0.01                 |
| 03/02/2018                                       | ***-**-590I - SLUSI, PAUL<br>ACCOUNT #: 00087654256      | THE INVESTMENT COMPANY OF AMERICA-A<br>BUY 1 Units @41.9900 | 60.00                | 1.20                | 0.00               | 1.20              | 0.5  | 0.01                 |
| 03/12/2018                                       | ***-**-9556 - LICARI, JANIS                              | VIRTUS MF TRAILS<br>BUY 0 Units @0.0000                     | 0.00                 | 2.64                | 0.00               | 2.64              | 0.5  | 0.01                 |
| 03/12/2018                                       | ***-**-875I - DISANTO, ROSINA                            | VIRTUS MF TRAILS<br>BUY 0 Units @0.0000                     | 0.00                 | 4.13                | 0.00               | 4.13              | 0.5  | 0.02                 |
| 03/01/2018                                       | ***-**-92SI - SPARKS, DAVID<br>ACCOUNT #: 00087654239    | WASHINGTON MUTUAL INVESTORS FUND-A<br>BUY 0 Units @0.0000   | 0.00                 | 3.20                | 0.00               | 3.20              | 0.5  | 0.02                 |
| <b> * EDWARD FATLA SUBTOTAL *</b>                |  |   | <b>\$921.70</b>      | <b>\$375.55</b>     | <b>\$0.00</b>      | <b>\$375.55</b>   |      | <b>\$1.95</b>        |
| <b> <u>BROKER: STEVEN JOEL</u> </b>              |  |   |                      |                     |                    |                   |      |                      |
| 03/01/2018                                       | ***-**-495P - LOVE, MELODY<br>ACCOUNT #: 00065095650     | AMCAP FUND-A<br>BUY 0 Units @0.0000                         | 0.00                 | 9.97                | 0.00               | 9.97              | 0.5  | 0.05                 |
| 03/01/2018                                       | ***-**-89CL - JOEL, CLIENTS OF<br>ACCOUNT #: 00086987116 | AMCAP FUND-A<br>BUY 0 Units @0.0000                         | 0.00                 | 399.35              | 0.00               | 399.35            | 0.5  | 2.00                 |
| 03/01/2018                                       | ***-**-9025 - LOIZZO, LETA<br>ACCOUNT #: 00084717399     | AMERICAN BALANCED FUND-529A<br>BUY 0 Units @0.0000          | 0.00                 | 13.12               | 0.00               | 13.12             | 0.5  | 0.07                 |
| 03/01/2018                                       | ***-**-0972 - ALLEN, ROBERT<br>ACCOUNT #: 00064956307    | AMERICAN BALANCED FUND-A<br>BUY 0 Units @0.0000             | 0.00                 | 13.45               | 0.00               | 13.45             | 0.5  | 0.07                 |
| 03/01/2018                                       | ***-**-605P - BRUEGMANN, FRED<br>ACCOUNT #: 00066948683  | AMERICAN BALANCED FUND-A<br>BUY 0 Units @0.0000             | 0.00                 | 10.39               | 0.00               | 10.39             | 0.5  | 0.05                 |
| 03/01/2018                                       | ***-**-095P - BUSH, PAMELA<br>ACCOUNT #: 00067011775     | AMERICAN BALANCED FUND-A<br>BUY 0 Units @0.0000             | 0.00                 | 2.92                | 0.00               | 2.92              | 0.5  | 0.01                 |



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|---|--------------------------------|-------------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b><u> OVERRIDE TRANSACTIONS (continued) </u></b> |                                |                                     |                      |                     |                    |                   |      |                      |
| <b><u>BROKER: STEVEN JOEL (continued)</u></b>     |                                |                                     |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-585P - LOIZZO, JULIO    | AMERICAN BALANCED FUND-A            | 0.00                 | 183.06              | 0.00               | 183.06            | 0.5  | 0.92                 |
|   | ACCOUNT #: 00067324484         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-04IN - LOIZZO, JULIO    | AMERICAN BALANCED FUND-A            | 0.00                 | 23.86               | 0.00               | 23.86             | 0.5  | 0.12                 |
|   | ACCOUNT #: 00067658168         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-51IN - ORLOV, BRANDON   | AMERICAN BALANCED FUND-A            | 0.00                 | 18.99               | 0.00               | 18.99             | 0.5  | 0.09                 |
|   | ACCOUNT #: 00073504122         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-878P - BAUER, LISA      | AMERICAN BALANCED FUND-A            | 0.00                 | 73.14               | 0.00               | 73.14             | 0.5  | 0.37                 |
|   | ACCOUNT #: 00074154281         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-025I - LOIZZO, LETA     | AMERICAN BALANCED FUND-A            | 0.00                 | 25.70               | 0.00               | 25.70             | 0.5  | 0.13                 |
|   | ACCOUNT #: 00074579234         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-435P - TAYLOR, DANA     | AMERICAN BALANCED FUND-A            | 0.00                 | 1.59                | 0.00               | 1.59              | 0.5  | 0.01                 |
|   | ACCOUNT #: 00074869684         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-105P - SANDONATO, MARY  | AMERICAN BALANCED FUND-A            | 0.00                 | 35.35               | 0.00               | 35.35             | 0.5  | 0.18                 |
|   | ACCOUNT #: 00075521006         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-637I - PONTA, SHAOPING  | AMERICAN BALANCED FUND-A            | 0.00                 | 4.25                | 0.00               | 4.25              | 0.5  | 0.02                 |
|   | ACCOUNT #: 00085591549         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-76IR - AFRICK, MICHAEL  | AMERICAN BALANCED FUND-A            | 0.00                 | 11.51               | 0.00               | 11.51             | 0.5  | 0.06                 |
|   | ACCOUNT #: 00085641981         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-76II - AFRICK, MICHAEL  | AMERICAN BALANCED FUND-A            | 0.00                 | 244.41              | 0.00               | 244.41            | 0.5  | 1.22                 |
|   | ACCOUNT #: 00085642001         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-245I - LIVELY, DAVID    | AMERICAN BALANCED FUND-A            | 0.00                 | 3.90                | 0.00               | 3.90              | 0.5  | 0.02                 |
|   | ACCOUNT #: 00086438336         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-89CL - JOEL, CLIENTS OF | AMERICAN BALANCED FUND-A            | 0.00                 | 166.22              | 0.00               | 166.22            | 0.5  | 0.83                 |
|   | ACCOUNT #: 00086987116         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-8719 - MELESIO, JULIA   | AMERICAN BALANCED FUND-A            | 0.00                 | 7.44                | 0.00               | 7.44              | 0.5  | 0.04                 |
|   | ACCOUNT #: 04000636916         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-2172 - MELESIO, DANIEL  | AMERICAN BALANCED FUND-A            | 0.00                 | 217.32              | 0.00               | 217.32            | 0.5  | 1.09                 |
|   | ACCOUNT #: 04000637125         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-03IN - SINGER, CRAIG    | AMERICAN DEVELOPING WRLD GRWTH & IN | 0.00                 | 2.16                | 0.00               | 2.16              | 0.5  | 0.01                 |
|   | ACCOUNT #: 00088262268         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-0700 - SHAEFER, THERESE | AMERICAN FUNDS 2035 TARGET DATE-A   | 0.00                 | 4.65                | 0.00               | 4.65              | 0.5  | 0.02                 |
|   | ACCOUNT #: 00089954408         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |



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|---|--|--|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b><u> OVERRIDE TRANSACTIONS (continued) </u></b> |  |  |                      |                     |                    |                   |      |                      |
| <b><u>BROKER: STEVEN JOEL (continued)</u></b>     |  |  |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-0821 - PIZANO,<br>ACCOUNT #: 04000084453          | AMERICAN FUNDS 2040 TARGET DATE-A<br>BUY 0 Units @0.0000   | 0.00                 | 1.42                | 0.00               | 1.42              | 0.5  | 0.01                 |
| 03/02/2018  | ***-**-0821 - PIZANO,<br>ACCOUNT #: 04000084453          | AMERICAN FUNDS 2040 TARGET DATE-A<br>BUY 9 Units @16.2100  | 138.48               | 5.89                | 0.00               | 5.89              | 0.5  | 0.03                 |
| 03/02/2018  | ***-**-0821 - PIZANO,<br>ACCOUNT #: 04000084453          | AMERICAN FUNDS 2040 TARGET DATE-A<br>BUY 3 Units @16.2100  | 51.93                | 2.21                | 0.00               | 2.21              | 0.5  | 0.01                 |
| 03/01/2018  | ***-**-000I - CONTE, JESSICA<br>ACCOUNT #: 00087134378   | AMERICAN FUNDS 2050 TARGET DATE-A<br>BUY 0 Units @0.0000   | 0.00                 | 18.44               | 0.00               | 18.44             | 0.5  | 0.09                 |
| 03/01/2018  | ***-**-03IN - SINGER, CRAIG<br>ACCOUNT #: 04000083887    | AMERICAN FUNDS 2050 TARGET DATE-A<br>BUY 0 Units @0.0000   | 0.00                 | 5.81                | 0.00               | 5.81              | 0.5  | 0.03                 |
| 03/01/2018  | ***-**-0477 - ELIAS, ADI<br>ACCOUNT #: 04000084445       | AMERICAN FUNDS 2050 TARGET DATE-A<br>BUY 0 Units @0.0000   | 0.00                 | 1.78                | 0.00               | 1.78              | 0.5  | 0.01                 |
| 03/01/2018  | ***-**-2300 - GOMEZ, LAURA<br>ACCOUNT #: 04000578590     | AMERICAN FUNDS 2050 TARGET DATE-A<br>BUY 0 Units @0.0000   | 0.00                 | 5.74                | 0.00               | 5.74              | 0.5  | 0.03                 |
| 03/01/2018  | ***-**-6826 - LARSON, MELINDA<br>ACCOUNT #: 04000438862  | AMERICAN FUNDS 2050 TARGET DATE-A<br>BUY 0 Units @0.0000   | 0.00                 | 10.07               | 0.00               | 10.07             | 0.5  | 0.05                 |
| 03/02/2018  | ***-**-0477 - ELIAS, ADI<br>ACCOUNT #: 04000084445       | AMERICAN FUNDS 2050 TARGET DATE-A<br>BUY 11 Units @16.1500 | 180.00               | 7.65                | 0.00               | 7.65              | 0.5  | 0.04                 |
| 03/02/2018  | ***-**-0477 - ELIAS, ADI<br>ACCOUNT #: 04000084445       | AMERICAN FUNDS 2050 TARGET DATE-A<br>BUY 4 Units @16.1500  | 67.50                | 2.87                | 0.00               | 2.87              | 0.5  | 0.01                 |
| 03/02/2018  | ***-**-2300 - GOMEZ, LAURA<br>ACCOUNT #: 04000084436     | AMERICAN FUNDS 2050 TARGET DATE-A<br>BUY 2 Units @16.1500  | 37.50                | 1.59                | 0.00               | 1.59              | 0.5  | 0.01                 |
| 03/02/2018  | ***-**-2300 - GOMEZ, LAURA<br>ACCOUNT #: 04000084436     | AMERICAN FUNDS 2050 TARGET DATE-A<br>BUY 2 Units @16.1500  | 37.50                | 1.59                | 0.00               | 1.59              | 0.5  | 0.01                 |
| 03/02/2018  | ***-**-03IN - SINGER, CRAIG<br>ACCOUNT #: 04000083887    | AMERICAN FUNDS 2050 TARGET DATE-A<br>BUY 50 Units @16.1500 | 800.00               | 34.00               | 0.00               | 34.00             | 0.5  | 0.17                 |
| 03/02/2018  | ***-**-03IN - SINGER, CRAIG<br>ACCOUNT #: 04000083887    | AMERICAN FUNDS 2050 TARGET DATE-A<br>BUY 15 Units @16.1500 | 240.00               | 10.20               | 0.00               | 10.20             | 0.5  | 0.05                 |
| 03/01/2018  | ***-**-89CL - JOEL, CLIENTS OF<br>ACCOUNT #: 00086987116 | AMERICAN MUTUAL FUND-A<br>BUY 0 Units @0.0000              | 0.00                 | 190.06              | 0.00               | 190.06            | 0.5  | 0.95                 |
| 03/01/2018  | ***-**-04IN - LOIZZO, JULIO<br>ACCOUNT #: 00067658168    | CAPITAL INCOME BUILDER-A<br>BUY 0 Units @0.0000            | 0.00                 | 19.38               | 0.00               | 19.38             | 0.5  | 0.10                 |



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| <b><u> OVERRIDE TRANSACTIONS (continued) </u></b> |                                |                                     |                      |                     |                    |                   |      |                      |
| <b><u>BROKER: STEVEN JOEL (continued)</u></b>     |                                |                                     |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-585P - LOIZZO, JULIO    | CAPITAL WORLD BOND FUND-A           | 0.00                 | 1.37                | 0.00               | 1.37              | 0.5  | 0.01                 |
|   | ACCOUNT #: 00067324484         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-565P - MELESIO, BRYON   | CAPITAL WORLD GROWTH AND INCOME FUN | 0.00                 | 1.66                | 0.00               | 1.66              | 0.5  | 0.01                 |
|   | ACCOUNT #: 00062870931         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-525P - MISTRATA, THOMAS | CAPITAL WORLD GROWTH AND INCOME FUN | 0.00                 | 10.70               | 0.00               | 10.70             | 0.5  | 0.05                 |
|   | ACCOUNT #: 00063695600         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-0972 - ALLEN, ROBERT    | CAPITAL WORLD GROWTH AND INCOME FUN | 0.00                 | 14.69               | 0.00               | 14.69             | 0.5  | 0.07                 |
|   | ACCOUNT #: 00064956307         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-095P - BUSH, PAMELA     | CAPITAL WORLD GROWTH AND INCOME FUN | 0.00                 | 4.20                | 0.00               | 4.20              | 0.5  | 0.02                 |
|   | ACCOUNT #: 00067011775         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-04IN - LOIZZO, JULIO    | CAPITAL WORLD GROWTH AND INCOME FUN | 0.00                 | 22.87               | 0.00               | 22.87             | 0.5  | 0.11                 |
|   | ACCOUNT #: 00067658168         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-827I - LACEK, WILLIAM   | CAPITAL WORLD GROWTH AND INCOME FUN | 0.00                 | 27.05               | 0.00               | 27.05             | 0.5  | 0.14                 |
|   | ACCOUNT #: 00068705900         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-878P - BAUER, LISA      | CAPITAL WORLD GROWTH AND INCOME FUN | 0.00                 | 76.94               | 0.00               | 76.94             | 0.5  | 0.38                 |
|   | ACCOUNT #: 00074154281         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-025I - LOIZZO, LETA     | CAPITAL WORLD GROWTH AND INCOME FUN | 0.00                 | 51.61               | 0.00               | 51.61             | 0.5  | 0.26                 |
|   | ACCOUNT #: 00074579234         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-435P - TAYLOR, DANA     | CAPITAL WORLD GROWTH AND INCOME FUN | 0.00                 | 1.59                | 0.00               | 1.59              | 0.5  | 0.01                 |
|   | ACCOUNT #: 00074869684         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-105P - SANDONATO, MARY  | CAPITAL WORLD GROWTH AND INCOME FUN | 0.00                 | 35.00               | 0.00               | 35.00             | 0.5  | 0.18                 |
|   | ACCOUNT #: 00075521006         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-637I - PONTA, SHAOPING  | CAPITAL WORLD GROWTH AND INCOME FUN | 0.00                 | 3.97                | 0.00               | 3.97              | 0.5  | 0.02                 |
|   | ACCOUNT #: 00085591549         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-618I - THIEMEYER, ERIN  | CAPITAL WORLD GROWTH AND INCOME FUN | 0.00                 | 2.09                | 0.00               | 2.09              | 0.5  | 0.01                 |
|   | ACCOUNT #: 00085591631         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-245I - LIVELY, DAVID    | CAPITAL WORLD GROWTH AND INCOME FUN | 0.00                 | 2.58                | 0.00               | 2.58              | 0.5  | 0.01                 |
|   | ACCOUNT #: 00086438336         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-89CL - JOEL, CLIENTS OF | CAPITAL WORLD GROWTH AND INCOME FUN | 0.00                 | 62.04               | 0.00               | 62.04             | 0.5  | 0.31                 |
|   | ACCOUNT #: 00086987116         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-03IN - SINGER, CRAIG    | CAPITAL WORLD GROWTH AND INCOME FUN | 0.00                 | 2.27                | 0.00               | 2.27              | 0.5  | 0.01                 |
|   | ACCOUNT #: 00088262268         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |



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| DATE  | CLIENT   | INVESTMENT   | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|---|--|--|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b><u> OVERRIDE TRANSACTIONS (continued) </u></b> |  |  |                      |                     |                    |                   |      |                      |
| <b><u> BROKER: STEVEN JOEL (continued) </u></b>   |  |  |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-375P - BARRENS JR,<br>ACCOUNT #: 04000492653      | CAPITAL WORLD GROWTH AND INCOME FUN<br>BUY 0 Units @0.0000 | 0.00                 | 31.25               | 0.00               | 31.25             | 0.5  | 0.16                 |
| 03/01/2018  | ***-**-275P - LACEK, MADELYN<br>ACCOUNT #: 00068731922   | CAPITAL WORLD GROWTH AND INCOME-529<br>BUY 0 Units @0.0000 | 0.00                 | 7.56                | 0.00               | 7.56              | 0.5  | 0.04                 |
| 03/01/2018  | ***-**-275P - LACEK, MADELYN<br>ACCOUNT #: 00068731923   | CAPITAL WORLD GROWTH AND INCOME-529<br>BUY 0 Units @0.0000 | 0.00                 | 7.56                | 0.00               | 7.56              | 0.5  | 0.04                 |
| 03/01/2018  | ***-**-275P - LACEK, MADELYN<br>ACCOUNT #: 00075954551   | CAPITAL WORLD GROWTH AND INCOME-529<br>BUY 0 Units @0.0000 | 0.00                 | 5.71                | 0.00               | 5.71              | 0.5  | 0.03                 |
| 03/01/2018  | ***-**-9025 - LOIZZO, LETA<br>ACCOUNT #: 00084717399     | CAPITAL WORLD GROWTH AND INCOME-529<br>BUY 0 Units @0.0000 | 0.00                 | 16.70               | 0.00               | 16.70             | 0.5  | 0.08                 |
| 03/01/2018  | ***-**-585I - ENGLISH, DAVID<br>ACCOUNT #: 00089972758   | COLLEGE 2021 FUND-529A<br>BUY 0 Units @0.0000              | 0.00                 | 1.01                | 0.00               | 1.01              | 0.5  | 0.01                 |
| 03/01/2018  | ***-**-275P - LACEK, MADELYN<br>ACCOUNT #: 00068731922   | EUROPACIFIC GROWTH FUND-529A<br>BUY 0 Units @0.0000        | 0.00                 | 7.78                | 0.00               | 7.78              | 0.5  | 0.04                 |
| 03/01/2018  | ***-**-275P - LACEK, MADELYN<br>ACCOUNT #: 00068731923   | EUROPACIFIC GROWTH FUND-529A<br>BUY 0 Units @0.0000        | 0.00                 | 7.78                | 0.00               | 7.78              | 0.5  | 0.04                 |
| 03/01/2018  | ***-**-275P - LACEK, MADELYN<br>ACCOUNT #: 00075954551   | EUROPACIFIC GROWTH FUND-529A<br>BUY 0 Units @0.0000        | 0.00                 | 5.81                | 0.00               | 5.81              | 0.5  | 0.03                 |
| 03/01/2018  | ***-**-285P - TRULLINGER,<br>ACCOUNT #: 00060945583      | EUROPACIFIC GROWTH FUND-A<br>BUY 0 Units @0.0000           | 0.00                 | 27.54               | 0.00               | 27.54             | 0.5  | 0.14                 |
| 03/01/2018  | ***-**-525P - MISTRATA, THOMAS<br>ACCOUNT #: 00063695600 | EUROPACIFIC GROWTH FUND-A<br>BUY 0 Units @0.0000           | 0.00                 | 5.19                | 0.00               | 5.19              | 0.5  | 0.03                 |
| 03/01/2018  | ***-**-827I - LACEK, WILLIAM<br>ACCOUNT #: 00068705900   | EUROPACIFIC GROWTH FUND-A<br>BUY 0 Units @0.0000           | 0.00                 | 24.89               | 0.00               | 24.89             | 0.5  | 0.12                 |
| 03/01/2018  | ***-**-637I - PONTA, SHAOPING<br>ACCOUNT #: 00085591549  | EUROPACIFIC GROWTH FUND-A<br>BUY 0 Units @0.0000           | 0.00                 | 3.35                | 0.00               | 3.35              | 0.5  | 0.02                 |
| 03/01/2018  | ***-**-76IR - AFRICK, MICHAEL<br>ACCOUNT #: 00085641981  | EUROPACIFIC GROWTH FUND-A<br>BUY 0 Units @0.0000           | 0.00                 | 1.78                | 0.00               | 1.78              | 0.5  | 0.01                 |
| 03/01/2018  | ***-**-76II - AFRICK, MICHAEL<br>ACCOUNT #: 00085642001  | EUROPACIFIC GROWTH FUND-A<br>BUY 0 Units @0.0000           | 0.00                 | 52.45               | 0.00               | 52.45             | 0.5  | 0.26                 |
| 03/01/2018  | ***-**-245I - LIVELY, DAVID<br>ACCOUNT #: 00086438336    | EUROPACIFIC GROWTH FUND-A<br>BUY 0 Units @0.0000           | 0.00                 | 2.08                | 0.00               | 2.08              | 0.5  | 0.01                 |



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|---|--------------------------------|-------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b><u> OVERRIDE TRANSACTIONS (continued) </u></b> |                                |                         |                      |                     |                    |                   |      |                      |
| <b><u>BROKER: STEVEN JOEL (continued)</u></b>     |                                |                         |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-475P - ORLOV, JACK      | FUNDAMENTAL INVESTORS-A | 0.00                 | 47.23               | 0.00               | 47.23             | 0.5  | 0.24                 |
|   | ACCOUNT #: 00059538511         | BUY 0 Units @0.0000     |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-705P - MYERS, DANIEL    | FUNDAMENTAL INVESTORS-A | 0.00                 | 12.14               | 0.00               | 12.14             | 0.5  | 0.06                 |
|   | ACCOUNT #: 00062273544         | BUY 0 Units @0.0000     |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-502I - FREEBURG, ALISON | FUNDAMENTAL INVESTORS-A | 0.00                 | 1.92                | 0.00               | 1.92              | 0.5  | 0.01                 |
|   | ACCOUNT #: 00064621192         | BUY 0 Units @0.0000     |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-095P - BUSH, PAMELA     | FUNDAMENTAL INVESTORS-A | 0.00                 | 5.25                | 0.00               | 5.25              | 0.5  | 0.03                 |
|   | ACCOUNT #: 00067011775         | BUY 0 Units @0.0000     |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-025I - LOIZZO, LETA     | FUNDAMENTAL INVESTORS-A | 0.00                 | 43.87               | 0.00               | 43.87             | 0.5  | 0.22                 |
|   | ACCOUNT #: 00074579234         | BUY 0 Units @0.0000     |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-618I - THIEMEYER, ERIN  | FUNDAMENTAL INVESTORS-A | 0.00                 | 2.59                | 0.00               | 2.59              | 0.5  | 0.01                 |
|   | ACCOUNT #: 00085591631         | BUY 0 Units @0.0000     |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-89CL - JOEL, CLIENTS OF | FUNDAMENTAL INVESTORS-A | 0.00                 | 423.15              | 0.00               | 423.15            | 0.5  | 2.12                 |
|   | ACCOUNT #: 00086987116         | BUY 0 Units @0.0000     |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-375P - BARRENS JR,      | FUNDAMENTAL INVESTORS-A | 0.00                 | 31.45               | 0.00               | 31.45             | 0.5  | 0.16                 |
|   | ACCOUNT #: 04000492653         | BUY 0 Units @0.0000     |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-705P - MYERS, DANIEL    | NEW PERSPECTIVE FUND-A  | 0.00                 | 14.65               | 0.00               | 14.65             | 0.5  | 0.07                 |
|   | ACCOUNT #: 00062273544         | BUY 0 Units @0.0000     |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-565P - MELESIO, BRYON   | NEW PERSPECTIVE FUND-A  | 0.00                 | 3.38                | 0.00               | 3.38              | 0.5  | 0.02                 |
|   | ACCOUNT #: 00062870931         | BUY 0 Units @0.0000     |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-525P - MISTRATA, THOMAS | NEW PERSPECTIVE FUND-A  | 0.00                 | 8.41                | 0.00               | 8.41              | 0.5  | 0.04                 |
|   | ACCOUNT #: 00063695600         | BUY 0 Units @0.0000     |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-655P - MELESIO, HELEN   | NEW PERSPECTIVE FUND-A  | 0.00                 | 2.44                | 0.00               | 2.44              | 0.5  | 0.01                 |
|   | ACCOUNT #: 00064382472         | BUY 0 Units @0.0000     |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-99IR - RAMIREZ, JOSE    | NEW PERSPECTIVE FUND-A  | 0.00                 | 3.01                | 0.00               | 3.01              | 0.5  | 0.02                 |
|   | ACCOUNT #: 00085204139         | BUY 0 Units @0.0000     |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-618I - THIEMEYER, ERIN  | NEW PERSPECTIVE FUND-A  | 0.00                 | 3.64                | 0.00               | 3.64              | 0.5  | 0.02                 |
|   | ACCOUNT #: 00085591631         | BUY 0 Units @0.0000     |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-03IN - SINGER, CRAIG    | NEW PERSPECTIVE FUND-A  | 0.00                 | 2.37                | 0.00               | 2.37              | 0.5  | 0.01                 |
|   | ACCOUNT #: 00088262268         | BUY 0 Units @0.0000     |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-375P - BARRENS JR,      | NEW PERSPECTIVE FUND-A  | 0.00                 | 30.88               | 0.00               | 30.88             | 0.5  | 0.15                 |
|   | ACCOUNT #: 04000492653         | BUY 0 Units @0.0000     |                      |                     |                    |                   |      |                      |



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|---|---|--|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b> OVERRIDE TRANSACTIONS (continued) </b>      |   |  |                      |                     |                    |                   |      |                      |
| <b> <u>BROKER: STEVEN JOEL (continued)</u> </b> |   |  |                      |                     |                    |                   |      |                      |
| 03/01/2018                                      | ***-**-03IN - SINGER, CRAIG<br>ACCOUNT #: 00088262268   | NEW WORLD FUND-A<br>BUY 0 Units @0.0000                | 0.00                 | 2.30                | 0.00               | 2.30              | 0.5  | 0.01                 |
| 03/01/2018                                      | ***-**-705P - MYERS, DANIEL<br>ACCOUNT #: 00062273544   | SMALLCAP WORLD FUND-A<br>BUY 0 Units @0.0000           | 0.00                 | 12.00               | 0.00               | 12.00             | 0.5  | 0.06                 |
| 03/01/2018                                      | ***-**-99IR - RAMIREZ, JOSE<br>ACCOUNT #: 00085204139   | SMALLCAP WORLD FUND-A<br>BUY 0 Units @0.0000           | 0.00                 | 2.95                | 0.00               | 2.95              | 0.5  | 0.01                 |
| 03/01/2018                                      | ***-**-637I - PONTA, SHAOPING<br>ACCOUNT #: 00085591549 | SMALLCAP WORLD FUND-A<br>BUY 0 Units @0.0000           | 0.00                 | 6.04                | 0.00               | 6.04              | 0.5  | 0.03                 |
| 03/01/2018                                      | ***-**-095P - BUSH, PAMELA<br>ACCOUNT #: 00067011775    | THE BOND FUND OF AMERICA-A<br>BUY 0 Units @0.0000      | 0.00                 | 1.37                | 0.00               | 1.37              | 0.5  | 0.01                 |
| 03/01/2018                                      | ***-**-585P - LOIZZO, JULIO<br>ACCOUNT #: 00067324484   | THE BOND FUND OF AMERICA-A<br>BUY 0 Units @0.0000      | 0.00                 | 149.68              | 0.00               | 149.68            | 0.5  | 0.75                 |
| 03/01/2018                                      | ***-**-275P - LACEK, MADELYN<br>ACCOUNT #: 00068731922  | THE GROWTH FUND OF AMERICA-529A<br>BUY 0 Units @0.0000 | 0.00                 | 7.89                | 0.00               | 7.89              | 0.5  | 0.04                 |
| 03/01/2018                                      | ***-**-275P - LACEK, MADELYN<br>ACCOUNT #: 00068731923  | THE GROWTH FUND OF AMERICA-529A<br>BUY 0 Units @0.0000 | 0.00                 | 7.89                | 0.00               | 7.89              | 0.5  | 0.04                 |
| 03/01/2018                                      | ***-**-275P - LACEK, MADELYN<br>ACCOUNT #: 00075954551  | THE GROWTH FUND OF AMERICA-529A<br>BUY 0 Units @0.0000 | 0.00                 | 5.86                | 0.00               | 5.86              | 0.5  | 0.03                 |
| 03/01/2018                                      | ***-**-9025 - LOIZZO, LETA<br>ACCOUNT #: 00084717399    | THE GROWTH FUND OF AMERICA-529A<br>BUY 0 Units @0.0000 | 0.00                 | 17.51               | 0.00               | 17.51             | 0.5  | 0.09                 |
| 03/01/2018                                      | ***-**-0972 - ALLEN, ROBERT<br>ACCOUNT #: 00064956307   | THE GROWTH FUND OF AMERICA-A<br>BUY 0 Units @0.0000    | 0.00                 | 17.14               | 0.00               | 17.14             | 0.5  | 0.09                 |
| 03/01/2018                                      | ***-**-495P - LOVE, MELODY<br>ACCOUNT #: 00065095650    | THE GROWTH FUND OF AMERICA-A<br>BUY 0 Units @0.0000    | 0.00                 | 8.91                | 0.00               | 8.91              | 0.5  | 0.04                 |
| 03/01/2018                                      | ***-**-605P - BRUEGMANN, FRED<br>ACCOUNT #: 00066948683 | THE GROWTH FUND OF AMERICA-A<br>BUY 0 Units @0.0000    | 0.00                 | 23.94               | 0.00               | 23.94             | 0.5  | 0.12                 |
| 03/01/2018                                      | ***-**-827I - LACEK, WILLIAM<br>ACCOUNT #: 00068705900  | THE GROWTH FUND OF AMERICA-A<br>BUY 0 Units @0.0000    | 0.00                 | 27.33               | 0.00               | 27.33             | 0.5  | 0.14                 |
| 03/01/2018                                      | ***-**-99IR - RAMIREZ, JOSE<br>ACCOUNT #: 00085204139   | THE GROWTH FUND OF AMERICA-A<br>BUY 0 Units @0.0000    | 0.00                 | 4.85                | 0.00               | 4.85              | 0.5  | 0.02                 |
| 03/01/2018                                      | ***-**-76IR - AFRICK, MICHAEL<br>ACCOUNT #: 00085641981 | THE GROWTH FUND OF AMERICA-A<br>BUY 0 Units @0.0000    | 0.00                 | 5.69                | 0.00               | 5.69              | 0.5  | 0.03                 |



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|---|--------------------------------|---------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b> OVERRIDE TRANSACTIONS (continued) </b>      |                                |                                 |                      |                     |                    |                   |      |                      |
| <b> <u>BROKER: STEVEN JOEL (continued)</u> </b> |                                |                                 |                      |                     |                    |                   |      |                      |
| 03/01/2018                                      | ***-**-76II - AFRICK, MICHAEL  | THE GROWTH FUND OF AMERICA-A    | 0.00                 | 127.83              | 0.00               | 127.83            | 0.5  | 0.64                 |
|   | ACCOUNT #: 00085642001         | BUY 0 Units @0.0000             |                      |                     |                    |                   |      |                      |
| 03/01/2018                                      | ***-**-89CL - JOEL, CLIENTS OF | THE GROWTH FUND OF AMERICA-A    | 0.00                 | 439.13              | 0.00               | 439.13            | 0.5  | 2.20                 |
|   | ACCOUNT #: 00086987116         | BUY 0 Units @0.0000             |                      |                     |                    |                   |      |                      |
| 03/01/2018                                      | ***-**-03IN - SINGER, CRAIG    | THE GROWTH FUND OF AMERICA-A    | 0.00                 | 2.48                | 0.00               | 2.48              | 0.5  | 0.01                 |
|   | ACCOUNT #: 00088262268         | BUY 0 Units @0.0000             |                      |                     |                    |                   |      |                      |
| 03/01/2018                                      | ***-**-9025 - LOIZZO, LETA     | THE GROWTH FUND OF AMERICA-A    | 0.00                 | 9.72                | 0.00               | 9.72              | 0.5  | 0.05                 |
|   | ACCOUNT #: 04000165411         | BUY 0 Units @0.0000             |                      |                     |                    |                   |      |                      |
| 03/01/2018                                      | ***-**-2146 - REYES, ALVARO    | THE GROWTH FUND OF AMERICA-A    | 0.00                 | 1.46                | 0.00               | 1.46              | 0.5  | 0.01                 |
|   | ACCOUNT #: 04000589054         | BUY 0 Units @0.0000             |                      |                     |                    |                   |      |                      |
| 03/01/2018                                      | ***-**-275P - LACEK, MADELYN   | THE INCOME FUND OF AMERICA-529A | 0.00                 | 6.98                | 0.00               | 6.98              | 0.5  | 0.03                 |
|   | ACCOUNT #: 00068731922         | BUY 0 Units @0.0000             |                      |                     |                    |                   |      |                      |
| 03/01/2018                                      | ***-**-275P - LACEK, MADELYN   | THE INCOME FUND OF AMERICA-529A | 0.00                 | 6.98                | 0.00               | 6.98              | 0.5  | 0.03                 |
|   | ACCOUNT #: 00068731923         | BUY 0 Units @0.0000             |                      |                     |                    |                   |      |                      |
| 03/01/2018                                      | ***-**-275P - LACEK, MADELYN   | THE INCOME FUND OF AMERICA-529A | 0.00                 | 5.16                | 0.00               | 5.16              | 0.5  | 0.03                 |
|   | ACCOUNT #: 00075954551         | BUY 0 Units @0.0000             |                      |                     |                    |                   |      |                      |
| 03/01/2018                                      | ***-**-9025 - LOIZZO, LETA     | THE INCOME FUND OF AMERICA-529A | 0.00                 | 13.07               | 0.00               | 13.07             | 0.5  | 0.07                 |
|   | ACCOUNT #: 00084717399         | BUY 0 Units @0.0000             |                      |                     |                    |                   |      |                      |
| 03/01/2018                                      | ***-**-475P - ORLOV, JACK      | THE INCOME FUND OF AMERICA-A    | 0.00                 | 40.57               | 0.00               | 40.57             | 0.5  | 0.20                 |
|   | ACCOUNT #: 00059538511         | BUY 0 Units @0.0000             |                      |                     |                    |                   |      |                      |
| 03/01/2018                                      | ***-**-525P - MISTRATA, THOMAS | THE INCOME FUND OF AMERICA-A    | 0.00                 | 10.57               | 0.00               | 10.57             | 0.5  | 0.05                 |
|   | ACCOUNT #: 00063695600         | BUY 0 Units @0.0000             |                      |                     |                    |                   |      |                      |
| 03/01/2018                                      | ***-**-0972 - ALLEN, ROBERT    | THE INCOME FUND OF AMERICA-A    | 0.00                 | 13.22               | 0.00               | 13.22             | 0.5  | 0.07                 |
|   | ACCOUNT #: 00064956307         | BUY 0 Units @0.0000             |                      |                     |                    |                   |      |                      |
| 03/01/2018                                      | ***-**-495P - LOVE, MELODY     | THE INCOME FUND OF AMERICA-A    | 0.00                 | 11.10               | 0.00               | 11.10             | 0.5  | 0.06                 |
|   | ACCOUNT #: 00065095650         | BUY 0 Units @0.0000             |                      |                     |                    |                   |      |                      |
| 03/01/2018                                      | ***-**-095P - BUSH, PAMELA     | THE INCOME FUND OF AMERICA-A    | 0.00                 | 3.63                | 0.00               | 3.63              | 0.5  | 0.02                 |
|   | ACCOUNT #: 00067011775         | BUY 0 Units @0.0000             |                      |                     |                    |                   |      |                      |
| 03/01/2018                                      | ***-**-585P - LOIZZO, JULIO    | THE INCOME FUND OF AMERICA-A    | 0.00                 | 182.36              | 0.00               | 182.36            | 0.5  | 0.91                 |
|   | ACCOUNT #: 00067324484         | BUY 0 Units @0.0000             |                      |                     |                    |                   |      |                      |
| 03/01/2018                                      | ***-**-827I - LACEK, WILLIAM   | THE INCOME FUND OF AMERICA-A    | 0.00                 | 19.36               | 0.00               | 19.36             | 0.5  | 0.10                 |
|   | ACCOUNT #: 00068705900         | BUY 0 Units @0.0000             |                      |                     |                    |                   |      |                      |





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|---|--------------------------------|-------------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b><u> OVERRIDE TRANSACTIONS (continued) </u></b> |                                |                                     |                      |                     |                    |                   |      |                      |
| <b><u> BROKER: STEVEN JOEL (continued) </u></b>   |                                |                                     |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-51IN - ORLOV, BRANDON   | THE INCOME FUND OF AMERICA-A        | 0.00                 | 18.85               | 0.00               | 18.85             | 0.5  | 0.09                 |
|   | ACCOUNT #: 00073504122         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-878P - BAUER, LISA      | THE INCOME FUND OF AMERICA-A        | 0.00                 | 74.03               | 0.00               | 74.03             | 0.5  | 0.37                 |
|   | ACCOUNT #: 00074154281         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-025I - LOIZZO, LETA     | THE INCOME FUND OF AMERICA-A        | 0.00                 | 52.02               | 0.00               | 52.02             | 0.5  | 0.26                 |
|   | ACCOUNT #: 00074579234         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-435P - TAYLOR, DANA     | THE INCOME FUND OF AMERICA-A        | 0.00                 | 1.37                | 0.00               | 1.37              | 0.5  | 0.01                 |
|   | ACCOUNT #: 00074869684         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-105P - SANDONATO, MARY  | THE INCOME FUND OF AMERICA-A        | 0.00                 | 33.94               | 0.00               | 33.94             | 0.5  | 0.17                 |
|   | ACCOUNT #: 00075521006         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-637I - PONTA, SHAOPING  | THE INCOME FUND OF AMERICA-A        | 0.00                 | 1.27                | 0.00               | 1.27              | 0.5  | 0.01                 |
|   | ACCOUNT #: 00085591549         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-45IN - RYBARSKI,        | THE INCOME FUND OF AMERICA-A        | 0.00                 | 1.52                | 0.00               | 1.52              | 0.5  | 0.01                 |
|   | ACCOUNT #: 00085604036         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-475P - ORLOV, JACK      | THE INVESTMENT COMPANY OF AMERICA-A | 0.00                 | 45.60               | 0.00               | 45.60             | 0.5  | 0.23                 |
|   | ACCOUNT #: 00059538511         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-025P - FREEBURG, ALISON | THE INVESTMENT COMPANY OF AMERICA-A | 0.00                 | 2.63                | 0.00               | 2.63              | 0.5  | 0.01                 |
|   | ACCOUNT #: 00062874114         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-0972 - ALLEN, ROBERT    | THE INVESTMENT COMPANY OF AMERICA-A | 0.00                 | 6.74                | 0.00               | 6.74              | 0.5  | 0.03                 |
|   | ACCOUNT #: 00064956307         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-025I - LOIZZO, LETA     | THE INVESTMENT COMPANY OF AMERICA-A | 0.00                 | 50.70               | 0.00               | 50.70             | 0.5  | 0.25                 |
|   | ACCOUNT #: 00074579234         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-105P - SANDONATO, MARY  | THE INVESTMENT COMPANY OF AMERICA-A | 0.00                 | 33.58               | 0.00               | 33.58             | 0.5  | 0.17                 |
|   | ACCOUNT #: 00075521006         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-89CL - JOEL, CLIENTS OF | THE INVESTMENT COMPANY OF AMERICA-A | 0.00                 | 197.86              | 0.00               | 197.86            | 0.5  | 0.99                 |
|   | ACCOUNT #: 00086987116         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-475P - ORLOV, JACK      | THE NEW ECONOMY FUND-A              | 0.00                 | 37.65               | 0.00               | 37.65             | 0.5  | 0.19                 |
|   | ACCOUNT #: 00059538511         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-495P - LOVE, MELODY     | THE NEW ECONOMY FUND-A              | 0.00                 | 9.07                | 0.00               | 9.07              | 0.5  | 0.05                 |
|   | ACCOUNT #: 00065095650         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-99IR - RAMIREZ, JOSE    | THE NEW ECONOMY FUND-A              | 0.00                 | 3.84                | 0.00               | 3.84              | 0.5  | 0.02                 |
|   | ACCOUNT #: 00085204139         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |



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|---|--|--|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b> OVERRIDE TRANSACTIONS (continued) </b>      |  |  |                      |                     |                    |                   |      |                      |
| <b> <u>BROKER: STEVEN JOEL (continued)</u> </b> |  |  |                      |                     |                    |                   |      |                      |
| 03/12/2018                                      | ***-**-1388 - JOEL, JOSEPH                               | VIRTUS MF TRAILS<br>BUY 0 Units @0.0000                    | 0.00                 | 15.04               | 0.00               | 15.04             | 0.5  | 0.08                 |
| 03/01/2018                                      | ***-**-275P - LACEK, MADELYN<br>ACCOUNT #: 00068731922   | WASHINGTON MUTUAL INVESTORS FUND-52<br>BUY 0 Units @0.0000 | 0.00                 | 7.76                | 0.00               | 7.76              | 0.5  | 0.04                 |
| 03/01/2018                                      | ***-**-275P - LACEK, MADELYN<br>ACCOUNT #: 00068731923   | WASHINGTON MUTUAL INVESTORS FUND-52<br>BUY 0 Units @0.0000 | 0.00                 | 7.76                | 0.00               | 7.76              | 0.5  | 0.04                 |
| 03/01/2018                                      | ***-**-275P - LACEK, MADELYN<br>ACCOUNT #: 00075954551   | WASHINGTON MUTUAL INVESTORS FUND-52<br>BUY 0 Units @0.0000 | 0.00                 | 5.62                | 0.00               | 5.62              | 0.5  | 0.03                 |
| 03/01/2018                                      | ***-**-9025 - LOIZZO, LETA<br>ACCOUNT #: 00084717399     | WASHINGTON MUTUAL INVESTORS FUND-52<br>BUY 0 Units @0.0000 | 0.00                 | 13.84               | 0.00               | 13.84             | 0.5  | 0.07                 |
| 03/01/2018                                      | ***-**-705P - MYERS, DANIEL<br>ACCOUNT #: 00062273544    | WASHINGTON MUTUAL INVESTORS FUND-A<br>BUY 0 Units @0.0000  | 0.00                 | 9.44                | 0.00               | 9.44              | 0.5  | 0.05                 |
| 03/01/2018                                      | ***-**-565P - MELESIO, BRYON<br>ACCOUNT #: 00062870931   | WASHINGTON MUTUAL INVESTORS FUND-A<br>BUY 0 Units @0.0000  | 0.00                 | 2.44                | 0.00               | 2.44              | 0.5  | 0.01                 |
| 03/01/2018                                      | ***-**-025P - FREEBURG, ALISON<br>ACCOUNT #: 00062874114 | WASHINGTON MUTUAL INVESTORS FUND-A<br>BUY 0 Units @0.0000  | 0.00                 | 2.12                | 0.00               | 2.12              | 0.5  | 0.01                 |
| 03/01/2018                                      | ***-**-525P - MISTRATA, THOMAS<br>ACCOUNT #: 00063695600 | WASHINGTON MUTUAL INVESTORS FUND-A<br>BUY 0 Units @0.0000  | 0.00                 | 11.98               | 0.00               | 11.98             | 0.5  | 0.06                 |
| 03/01/2018                                      | ***-**-605P - BRUEGMANN, FRED<br>ACCOUNT #: 00066948683  | WASHINGTON MUTUAL INVESTORS FUND-A<br>BUY 0 Units @0.0000  | 0.00                 | 10.31               | 0.00               | 10.31             | 0.5  | 0.05                 |
| 03/01/2018                                      | ***-**-585P - LOIZZO, JULIO<br>ACCOUNT #: 00067324484    | WASHINGTON MUTUAL INVESTORS FUND-A<br>BUY 0 Units @0.0000  | 0.00                 | 181.17              | 0.00               | 181.17            | 0.5  | 0.91                 |
| 03/01/2018                                      | ***-**-04IN - LOIZZO, JULIO<br>ACCOUNT #: 00067658168    | WASHINGTON MUTUAL INVESTORS FUND-A<br>BUY 0 Units @0.0000  | 0.00                 | 26.16               | 0.00               | 26.16             | 0.5  | 0.13                 |
| 03/01/2018                                      | ***-**-827I - LACEK, WILLIAM<br>ACCOUNT #: 00068705900   | WASHINGTON MUTUAL INVESTORS FUND-A<br>BUY 0 Units @0.0000  | 0.00                 | 22.32               | 0.00               | 22.32             | 0.5  | 0.11                 |
| 03/01/2018                                      | ***-**-51IN - ORLOV, BRANDON<br>ACCOUNT #: 00073504122   | WASHINGTON MUTUAL INVESTORS FUND-A<br>BUY 0 Units @0.0000  | 0.00                 | 19.08               | 0.00               | 19.08             | 0.5  | 0.10                 |
| 03/01/2018                                      | ***-**-025I - LOIZZO, LETA<br>ACCOUNT #: 00074579234     | WASHINGTON MUTUAL INVESTORS FUND-A<br>BUY 0 Units @0.0000  | 0.00                 | 51.16               | 0.00               | 51.16             | 0.5  | 0.26                 |
| 03/01/2018                                      | ***-**-45IN - RYBARSKI,<br>ACCOUNT #: 00085604036        | WASHINGTON MUTUAL INVESTORS FUND-A<br>BUY 0 Units @0.0000  | 0.00                 | 1.01                | 0.00               | 1.01              | 0.5  | 0.01                 |



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|---|--------------------------------|------------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b><u> OVERRIDE TRANSACTIONS (continued) </u></b> |                                |                                    |                      |                     |                    |                   |      |                      |
| <b><u>BROKER: STEVEN JOEL (continued)</u></b>     |                                |                                    |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-76IR - AFRICK, MICHAEL  | WASHINGTON MUTUAL INVESTORS FUND-A | 0.00                 | 5.56                | 0.00               | 5.56              | 0.5  | 0.03                 |
|   | ACCOUNT #: 00085641981         | BUY 0 Units @0.0000                |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-76II - AFRICK, MICHAEL  | WASHINGTON MUTUAL INVESTORS FUND-A | 0.00                 | 110.72              | 0.00               | 110.72            | 0.5  | 0.55                 |
|   | ACCOUNT #: 00085642001         | BUY 0 Units @0.0000                |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-89CL - JOEL, CLIENTS OF | WASHINGTON MUTUAL INVESTORS FUND-A | 0.00                 | 234.22              | 0.00               | 234.22            | 0.5  | 1.17                 |
|   | ACCOUNT #: 00086987116         | BUY 0 Units @0.0000                |                      |                     |                    |                   |      |                      |
|   |                                | <b>* STEVEN JOEL SUBTOTAL *</b>    | <b>\$1,552.91</b>    | <b>\$5,460.25</b>   | <b>\$0.00</b>      | <b>\$5,460.25</b> |      | <b>\$27.39</b>       |
| <b><u>BROKER: JESS LITTLE</u></b>                 |                                |                                    |                      |                     |                    |                   |      |                      |
| 03/12/2018  | ***-**-955I - JONES, DAVID     | AIM INTERNATIONAL GROWTH FUND - CL | 0.00                 | 1.92                | 0.00               | 1.92              | 0.5  | 0.01                 |
|   | ACCOUNT #: LSR012455           | BUY 1 Units @0.0000                |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-415P - PITCHER, CHAD    | AMCAP FUND-A                       | 0.00                 | 15.22               | 0.00               | 15.22             | 0.5  | 0.08                 |
|   | ACCOUNT #: 00069144187         | BUY 0 Units @0.0000                |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-106I - COCHRAN, DALE    | AMCAP FUND-A                       | 0.00                 | 65.24               | 0.00               | 65.24             | 0.5  | 0.33                 |
|   | ACCOUNT #: 00083196876         | BUY 0 Units @0.0000                |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-549I - BOLTON, KRISTIN  | AMCAP FUND-A                       | 0.00                 | 2.32                | 0.00               | 2.32              | 0.5  | 0.01                 |
|   | ACCOUNT #: 00083332863         | BUY 0 Units @0.0000                |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-86IN - KISSEBERTH,      | AMERICAN BALANCED FUND-A           | 0.00                 | 32.26               | 0.00               | 32.26             | 0.5  | 0.16                 |
|   | ACCOUNT #: 00062157723         | BUY 0 Units @0.0000                |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-612P - JONES, PAULA     | AMERICAN BALANCED FUND-A           | 0.00                 | 3.27                | 0.00               | 3.27              | 0.5  | 0.02                 |
|   | ACCOUNT #: 00073146096         | BUY 0 Units @0.0000                |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-128I - SADLER, JAMES    | AMERICAN BALANCED FUND-A           | 0.00                 | 3.63                | 0.00               | 3.63              | 0.5  | 0.02                 |
|   | ACCOUNT #: 00073653382         | BUY 0 Units @0.0000                |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-435P - SHELDEN, MARY    | AMERICAN BALANCED FUND-A           | 0.00                 | 1.41                | 0.00               | 1.41              | 0.5  | 0.01                 |
|   | ACCOUNT #: 00075195852         | BUY 0 Units @0.0000                |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-88IN - CEKANDER,        | AMERICAN BALANCED FUND-A           | 0.00                 | 11.98               | 0.00               | 11.98             | 0.5  | 0.06                 |
|   | ACCOUNT #: 00081705639         | BUY 0 Units @0.0000                |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-436I - LITTLE, DELORES  | AMERICAN BALANCED FUND-A           | 0.00                 | 16.31               | 0.00               | 16.31             | 0.5  | 0.08                 |
|   | ACCOUNT #: 00084458762         | BUY 0 Units @0.0000                |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-426I - DVORACHEK, ERIC  | AMERICAN BALANCED FUND-A           | 0.00                 | 3.81                | 0.00               | 3.81              | 0.5  | 0.02                 |
|   | ACCOUNT #: 00086505464         | BUY 0 Units @0.0000                |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-9912 - BLOSSER, PAMELA  | AMERICAN FUNDS 2020 TARGET DATE-A  | 0.00                 | 1.26                | 0.00               | 1.26              | 0.5  | 0.01                 |
|   | ACCOUNT #: 00087616886         | BUY 0 Units @0.0000                |                      |                     |                    |                   |      |                      |



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|---|--|--|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b><u> OVERRIDE TRANSACTIONS (continued) </u></b> |  |  |                      |                     |                    |                   |      |                      |
| <b><u>BROKER: JESS LITTLE (continued)</u></b>     |  |  |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-9188 - TERWILLIGER,<br>ACCOUNT #: 00087616890     | AMERICAN FUNDS 2020 TARGET DATE-A<br>BUY 0 Units @0.0000 | 0.00                 | 3.39                | 0.00               | 3.39              | 0.5  | 0.02                 |
| 03/01/2018  | ***-**-612P - JONES, PAULA<br>ACCOUNT #: 00073146096     | AMERICAN GLOBAL BALANCED CLASS A<br>BUY 0 Units @0.0000  | 0.00                 | 1.96                | 0.00               | 1.96              | 0.5  | 0.01                 |
| 03/01/2018  | ***-**-88IN - CEKANDER,<br>ACCOUNT #: 00081705639        | AMERICAN GLOBAL BALANCED CLASS A<br>BUY 0 Units @0.0000  | 0.00                 | 3.99                | 0.00               | 3.99              | 0.5  | 0.02                 |
| 03/01/2018  | ***-**-40IN - TERRY, GEORGE<br>ACCOUNT #: 00085851037    | AMERICAN GLOBAL BALANCED CLASS A<br>BUY 0 Units @0.0000  | 0.00                 | 92.28               | 0.00               | 92.28             | 0.5  | 0.46                 |
| 03/01/2018  | ***-**-489P - LANGENDORF, EDIE<br>ACCOUNT #: 00061754648 | AMERICAN MUTUAL FUND-A<br>BUY 0 Units @0.0000            | 0.00                 | 68.23               | 0.00               | 68.23             | 0.5  | 0.34                 |
| 03/01/2018  | ***-**-645P - KEISTER, TERRY<br>ACCOUNT #: 00068537287   | AMERICAN MUTUAL FUND-A<br>BUY 0 Units @0.0000            | 0.00                 | 9.31                | 0.00               | 9.31              | 0.5  | 0.05                 |
| 03/01/2018  | ***-**-128I - SADLER, JAMES<br>ACCOUNT #: 00073653382    | AMERICAN MUTUAL FUND-A<br>BUY 0 Units @0.0000            | 0.00                 | 3.94                | 0.00               | 3.94              | 0.5  | 0.02                 |
| 03/01/2018  | ***-**-095P - GRIMES, LYNN<br>ACCOUNT #: 00075685269     | AMERICAN MUTUAL FUND-A<br>BUY 0 Units @0.0000            | 0.00                 | 1.42                | 0.00               | 1.42              | 0.5  | 0.01                 |
| 03/01/2018  | ***-**-436I - LITTLE, DELORES<br>ACCOUNT #: 00084458762  | AMERICAN MUTUAL FUND-A<br>BUY 0 Units @0.0000            | 0.00                 | 17.51               | 0.00               | 17.51             | 0.5  | 0.09                 |
| 03/01/2018  | ***-**-489P - LANGENDORF, EDIE<br>ACCOUNT #: 00061754648 | CAPITAL INCOME BUILDER-A<br>BUY 0 Units @0.0000          | 0.00                 | 38.33               | 0.00               | 38.33             | 0.5  | 0.19                 |
| 03/01/2018  | ***-**-39IN - MINGEE, DAVID<br>ACCOUNT #: 00075453540    | CAPITAL INCOME BUILDER-A<br>BUY 0 Units @0.0000          | 0.00                 | 1.85                | 0.00               | 1.85              | 0.5  | 0.01                 |
| 03/01/2018  | ***-**-88IN - CEKANDER,<br>ACCOUNT #: 00081705639        | CAPITAL INCOME BUILDER-A<br>BUY 0 Units @0.0000          | 0.00                 | 11.26               | 0.00               | 11.26             | 0.5  | 0.06                 |
| 03/01/2018  | ***-**-106I - COCHRAN, DALE<br>ACCOUNT #: 00083196876    | CAPITAL INCOME BUILDER-A<br>BUY 0 Units @0.0000          | 0.00                 | 122.74              | 0.00               | 122.74            | 0.5  | 0.61                 |
| 03/01/2018  | ***-**-212I - WISSNER, CAROL<br>ACCOUNT #: 00085438817   | CAPITAL INCOME BUILDER-A<br>BUY 0 Units @0.0000          | 0.00                 | 3.52                | 0.00               | 3.52              | 0.5  | 0.02                 |
| 03/01/2018  | ***-**-549I - BOLTON, KRISTIN<br>ACCOUNT #: 00083332863  | CAPITAL WORLD BOND FUND-A<br>BUY 0 Units @0.0000         | 0.00                 | 1.27                | 0.00               | 1.27              | 0.5  | 0.01                 |
| 03/01/2018  | ***-**-22SI - DALTON, ROGER<br>ACCOUNT #: 00084944960    | CAPITAL WORLD BOND FUND-A<br>BUY 0 Units @0.0000         | 0.00                 | 2.66                | 0.00               | 2.66              | 0.5  | 0.01                 |



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| <b><u> OVERRIDE TRANSACTIONS (continued) </u></b> |   |  |                      |                     |                    |                   |      |                      |
| <b><u>BROKER: JESS LITTLE (continued)</u></b>     |   |  |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-612P - JONES, PAULA<br>ACCOUNT #: 00073146096    | CAPITAL WORLD GROWTH AND INCOME FUN<br>BUY 0 Units @0.0000 | 0.00                 | 7.48                | 0.00               | 7.48              | 0.5  | 0.04                 |
| 03/01/2018  | ***-**-485P - BREITENFELDT,<br>ACCOUNT #: 00073961219   | CAPITAL WORLD GROWTH AND INCOME FUN<br>BUY 0 Units @0.0000 | 0.00                 | 9.48                | 0.00               | 9.48              | 0.5  | 0.05                 |
| 03/01/2018  | ***-**-106I - COCHRAN, DALE<br>ACCOUNT #: 00083196876   | CAPITAL WORLD GROWTH AND INCOME FUN<br>BUY 0 Units @0.0000 | 0.00                 | 71.36               | 0.00               | 71.36             | 0.5  | 0.36                 |
| 03/01/2018  | ***-**-175P - STEWART,<br>ACCOUNT #: 00062603546        | EUROPACIFIC GROWTH FUND-A<br>BUY 0 Units @0.0000           | 0.00                 | 19.75               | 0.00               | 19.75             | 0.5  | 0.10                 |
| 03/01/2018  | ***-**-106I - COCHRAN, DALE<br>ACCOUNT #: 00083196876   | EUROPACIFIC GROWTH FUND-A<br>BUY 0 Units @0.0000           | 0.00                 | 2.85                | 0.00               | 2.85              | 0.5  | 0.01                 |
| 03/01/2018  | ***-**-22SI - DALTON, ROGER<br>ACCOUNT #: 00084944960   | EUROPACIFIC GROWTH FUND-A<br>BUY 0 Units @0.0000           | 0.00                 | 3.70                | 0.00               | 3.70              | 0.5  | 0.02                 |
| 03/01/2018  | ***-**-106I - COCHRAN, DALE<br>ACCOUNT #: 00083196876   | FUNDAMENTAL INVESTORS-A<br>BUY 0 Units @0.0000             | 0.00                 | 103.23              | 0.00               | 103.23            | 0.5  | 0.52                 |
| 03/01/2018  | ***-**-734I - MANETTI, MARINA<br>ACCOUNT #: 00086077056 | INTERMEDIATE BOND FUND OF AMERICA-A<br>BUY 0 Units @0.0000 | 0.00                 | 2.14                | 0.00               | 2.14              | 0.5  | 0.01                 |
| 03/01/2018  | ***-**-732I - WARD, CLAIRE<br>ACCOUNT #: 00086077059    | INTERMEDIATE BOND FUND OF AMERICA-A<br>BUY 0 Units @0.0000 | 0.00                 | 3.96                | 0.00               | 3.96              | 0.5  | 0.02                 |
| 03/01/2018  | ***-**-632I - REPTA, JANNA<br>ACCOUNT #: 00086077065    | INTERMEDIATE BOND FUND OF AMERICA-A<br>BUY 0 Units @0.0000 | 0.00                 | 1.81                | 0.00               | 1.81              | 0.5  | 0.01                 |
| 03/01/2018  | ***-**-145I - BALSBAUGH,<br>ACCOUNT #: 00086925400      | INTERMEDIATE BOND FUND OF AMERICA-A<br>BUY 0 Units @0.0000 | 0.00                 | 1.95                | 0.00               | 1.95              | 0.5  | 0.01                 |
| 03/01/2018  | ***-**-8575 - BAGBY, LUCIANA<br>ACCOUNT #: 00088363568  | INTERMEDIATE BOND FUND OF AMERICA-A<br>BUY 0 Units @0.0000 | 0.00                 | 1.77                | 0.00               | 1.77              | 0.5  | 0.01                 |
| 03/12/2018  | ***-**-9550 - JONES, DAVID<br>ACCOUNT #: LSR012453      | INVESCO VAN KAMPEN COMSTOCK CLASS A<br>BUY 1 Units @0.0000 | 0.00                 | 2.07                | 0.00               | 2.07              | 0.5  | 0.01                 |
| 03/01/2018  | ***-**-106I - COCHRAN, DALE<br>ACCOUNT #: 00083196876   | NEW PERSPECTIVE FUND-A<br>BUY 0 Units @0.0000              | 0.00                 | 83.04               | 0.00               | 83.04             | 0.5  | 0.42                 |
| 03/01/2018  | ***-**-436I - LITTLE, DELORES<br>ACCOUNT #: 00084458762 | NEW PERSPECTIVE FUND-A<br>BUY 0 Units @0.0000              | 0.00                 | 18.33               | 0.00               | 18.33             | 0.5  | 0.09                 |
| 03/01/2018  | ***-**-22SI - DALTON, ROGER<br>ACCOUNT #: 00084944960   | NEW PERSPECTIVE FUND-A<br>BUY 0 Units @0.0000              | 0.00                 | 4.66                | 0.00               | 4.66              | 0.5  | 0.02                 |



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|---|--------------------------------|------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b><u> OVERRIDE TRANSACTIONS (continued) </u></b> |                                |                              |                      |                     |                    |                   |      |                      |
| <b><u>BROKER: JESS LITTLE (continued)</u></b>     |                                |                              |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-255P - MYERSCOUGH, GARY | NEW WORLD FUND-A             | 0.00                 | 5.27                | 0.00               | 5.27              | 0.5  | 0.03                 |
|   | ACCOUNT #: 00064789903         | BUY 0 Units @0.0000          |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-612P - JONES, PAULA     | NEW WORLD FUND-A             | 0.00                 | 5.61                | 0.00               | 5.61              | 0.5  | 0.03                 |
|   | ACCOUNT #: 00073146096         | BUY 0 Units @0.0000          |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-128I - SADLER, JAMES    | NEW WORLD FUND-A             | 0.00                 | 3.49                | 0.00               | 3.49              | 0.5  | 0.02                 |
|   | ACCOUNT #: 00073653382         | BUY 0 Units @0.0000          |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-88IN - CEKANDER,        | NEW WORLD FUND-A             | 0.00                 | 3.07                | 0.00               | 3.07              | 0.5  | 0.02                 |
|   | ACCOUNT #: 00081705639         | BUY 0 Units @0.0000          |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-106I - COCHRAN, DALE    | NEW WORLD FUND-A             | 0.00                 | 73.83               | 0.00               | 73.83             | 0.5  | 0.37                 |
|   | ACCOUNT #: 00083196876         | BUY 0 Units @0.0000          |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-106I - COCHRAN, DALE    | SMALLCAP WORLD FUND-A        | 0.00                 | 5.28                | 0.00               | 5.28              | 0.5  | 0.03                 |
|   | ACCOUNT #: 00083196876         | BUY 0 Units @0.0000          |                      |                     |                    |                   |      |                      |
| 03/06/2018  | ***-**-6199 - DOHME, HENRY     | SUNLIFE VA TRAILS 866793599  | 286.00               | 2.86                | 0.00               | 2.86              | 0.5  | 0.01                 |
|   | ACCOUNT #: 2220001414          | BUY 0 Units @0.0000          |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-106I - COCHRAN, DALE    | THE BOND FUND OF AMERICA-A   | 0.00                 | 104.96              | 0.00               | 104.96            | 0.5  | 0.52                 |
|   | ACCOUNT #: 00083196876         | BUY 0 Units @0.0000          |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-212I - WISSNER, CAROL   | THE BOND FUND OF AMERICA-A   | 0.00                 | 2.76                | 0.00               | 2.76              | 0.5  | 0.01                 |
|   | ACCOUNT #: 00085438817         | BUY 0 Units @0.0000          |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-86IN - KISSEBERTH,      | THE GROWTH FUND OF AMERICA-A | 0.00                 | 50.42               | 0.00               | 50.42             | 0.5  | 0.25                 |
|   | ACCOUNT #: 00062157723         | BUY 0 Units @0.0000          |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-485P - BREITENFELDT,    | THE GROWTH FUND OF AMERICA-A | 0.00                 | 11.69               | 0.00               | 11.69             | 0.5  | 0.06                 |
|   | ACCOUNT #: 00073961219         | BUY 0 Units @0.0000          |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-265P - PAIGE, ALLISON   | THE INCOME FUND OF AMERICA-A | 0.00                 | 3.62                | 0.00               | 3.62              | 0.5  | 0.02                 |
|   | ACCOUNT #: 00062808372         | BUY 0 Units @0.0000          |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-128I - SADLER, JAMES    | THE INCOME FUND OF AMERICA-A | 0.00                 | 3.39                | 0.00               | 3.39              | 0.5  | 0.02                 |
|   | ACCOUNT #: 00073653382         | BUY 0 Units @0.0000          |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-106I - COCHRAN, DALE    | THE INCOME FUND OF AMERICA-A | 0.00                 | 147.97              | 0.00               | 147.97            | 0.5  | 0.74                 |
|   | ACCOUNT #: 00083196876         | BUY 0 Units @0.0000          |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-22SI - DALTON, ROGER    | THE INCOME FUND OF AMERICA-A | 0.00                 | 4.16                | 0.00               | 4.16              | 0.5  | 0.02                 |
|   | ACCOUNT #: 00084944960         | BUY 0 Units @0.0000          |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-145I - BALSBAUGH,       | THE INCOME FUND OF AMERICA-A | 0.00                 | 2.65                | 0.00               | 2.65              | 0.5  | 0.01                 |
|   | ACCOUNT #: 00086925400         | BUY 0 Units @0.0000          |                      |                     |                    |                   |      |                      |



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| DATE  | CLIENT                         | INVESTMENT                          | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|---|--------------------------------|-------------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b><u> OVERRIDE TRANSACTIONS (continued) </u></b> |                                |                                     |                      |                     |                    |                   |      |                      |
| <b><u>BROKER: JESS LITTLE (continued)</u></b>     |                                |                                     |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-489P - LANGENDORF, EDIE | THE INVESTMENT COMPANY OF AMERICA-A | 0.00                 | 93.15               | 0.00               | 93.15             | 0.5  | 0.47                 |
|   | ACCOUNT #: 00062016311         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-165P - DEMLOW, ABAGAIL  | THE INVESTMENT COMPANY OF AMERICA-A | 0.00                 | 2.77                | 0.00               | 2.77              | 0.5  | 0.01                 |
|   | ACCOUNT #: 00062704735         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-145P - FERRAN, MIRANDA  | THE INVESTMENT COMPANY OF AMERICA-A | 0.00                 | 2.77                | 0.00               | 2.77              | 0.5  | 0.01                 |
|   | ACCOUNT #: 00062800690         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-495P - WARE, PAMELA     | THE INVESTMENT COMPANY OF AMERICA-A | 0.00                 | 1.82                | 0.00               | 1.82              | 0.5  | 0.01                 |
|   | ACCOUNT #: 00063513392         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-775P - JONES, JESSICA   | THE INVESTMENT COMPANY OF AMERICA-A | 0.00                 | 2.92                | 0.00               | 2.92              | 0.5  | 0.01                 |
|   | ACCOUNT #: 00067301093         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-645P - KEISTER, TERRY   | THE INVESTMENT COMPANY OF AMERICA-A | 0.00                 | 29.33               | 0.00               | 29.33             | 0.5  | 0.15                 |
|   | ACCOUNT #: 00068537287         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-705P - KRUPP, CHRISTINE | THE INVESTMENT COMPANY OF AMERICA-A | 0.00                 | 16.00               | 0.00               | 16.00             | 0.5  | 0.08                 |
|   | ACCOUNT #: 00068537288         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-155P - SADLER, BARBARA  | THE INVESTMENT COMPANY OF AMERICA-A | 0.00                 | 1.19                | 0.00               | 1.19              | 0.5  | 0.01                 |
|   | ACCOUNT #: 00068537292         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-415P - PITCHER, CHAD    | THE INVESTMENT COMPANY OF AMERICA-A | 0.00                 | 14.41               | 0.00               | 14.41             | 0.5  | 0.07                 |
|   | ACCOUNT #: 00069144187         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-435P - SHELDEN, MARY    | THE INVESTMENT COMPANY OF AMERICA-A | 0.00                 | 1.35                | 0.00               | 1.35              | 0.5  | 0.01                 |
|   | ACCOUNT #: 00075195852         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-39IN - MINGEE, DAVID    | THE INVESTMENT COMPANY OF AMERICA-A | 0.00                 | 2.98                | 0.00               | 2.98              | 0.5  | 0.01                 |
|   | ACCOUNT #: 00075453540         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-88IN - CEKANDER,        | THE INVESTMENT COMPANY OF AMERICA-A | 0.00                 | 17.83               | 0.00               | 17.83             | 0.5  | 0.09                 |
|   | ACCOUNT #: 00081705639         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-549I - BOLTON, KRISTIN  | THE INVESTMENT COMPANY OF AMERICA-A | 0.00                 | 4.32                | 0.00               | 4.32              | 0.5  | 0.02                 |
|   | ACCOUNT #: 00083332863         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-684I - HOLLAND, LYNN    | THE INVESTMENT COMPANY OF AMERICA-A | 0.00                 | 10.11               | 0.00               | 10.11             | 0.5  | 0.05                 |
|   | ACCOUNT #: 00084787308         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-535I - KESAR, AMBIKA    | THE INVESTMENT COMPANY OF AMERICA-A | 0.00                 | 8.16                | 0.00               | 8.16              | 0.5  | 0.04                 |
|   | ACCOUNT #: 00084787338         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-426I - DVORACHEK, ERIC  | THE INVESTMENT COMPANY OF AMERICA-A | 0.00                 | 4.21                | 0.00               | 4.21              | 0.5  | 0.02                 |
|   | ACCOUNT #: 00086505464         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |



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|---|--|--|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b><u> OVERRIDE TRANSACTIONS (continued) </u></b> |  |  |                      |                     |                    |                   |      |                      |
| <b><u>BROKER: JESS LITTLE (continued)</u></b>     |  |  |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-1451 - BALSBAUGH,<br>ACCOUNT #: 00086925400       | THE INVESTMENT COMPANY OF AMERICA-A<br>BUY 0 Units @0.0000 | 0.00                 | 6.23                | 0.00               | 6.23              | 0.5  | 0.03                 |
| 03/12/2018  | ***-**-689J - JONES, RICHARD<br>ACCOUNT #: LSR008389     | VAN KAMPEN1<br>BUY 1 Units @0.0000                         | 0.00                 | 32.46               | 0.00               | 32.46             | 0.5  | 0.16                 |
| 03/12/2018  | ***-**-955I - JONES, DAVID<br>ACCOUNT #: LSR012455       | VAN KAMPEN3<br>BUY 1 Units @0.0000                         | 0.00                 | 1.22                | 0.00               | 1.22              | 0.5  | 0.01                 |
| 03/01/2018  | ***-**-489P - LANGENDORF, EDIE<br>ACCOUNT #: 00061754648 | WASHINGTON MUTUAL INVESTORS FUND-A<br>BUY 0 Units @0.0000  | 0.00                 | 49.52               | 0.00               | 49.52             | 0.5  | 0.25                 |
| 03/01/2018  | ***-**-86IN - KISSEBERTH,<br>ACCOUNT #: 00062157723      | WASHINGTON MUTUAL INVESTORS FUND-A<br>BUY 0 Units @0.0000  | 0.00                 | 58.88               | 0.00               | 58.88             | 0.5  | 0.29                 |
| 03/01/2018  | ***-**-235P - DALTON, ALEXIS<br>ACCOUNT #: 00062865931   | WASHINGTON MUTUAL INVESTORS FUND-A<br>BUY 0 Units @0.0000  | 0.00                 | 2.29                | 0.00               | 2.29              | 0.5  | 0.01                 |
| 03/01/2018  | ***-**-005P - EKSTROM, MICHAEL<br>ACCOUNT #: 00064258522 | WASHINGTON MUTUAL INVESTORS FUND-A<br>BUY 0 Units @0.0000  | 0.00                 | 6.64                | 0.00               | 6.64              | 0.5  | 0.03                 |
| 03/01/2018  | ***-**-495P - BOLTON, KRISTIN<br>ACCOUNT #: 00064668876  | WASHINGTON MUTUAL INVESTORS FUND-A<br>BUY 0 Units @0.0000  | 0.00                 | 2.03                | 0.00               | 2.03              | 0.5  | 0.01                 |
| 03/01/2018  | ***-**-775P - JONES, JESSICA<br>ACCOUNT #: 00067301093   | WASHINGTON MUTUAL INVESTORS FUND-A<br>BUY 0 Units @0.0000  | 0.00                 | 2.35                | 0.00               | 2.35              | 0.5  | 0.01                 |
| 03/01/2018  | ***-**-705P - KRUPP, CHRISTINE<br>ACCOUNT #: 00068537288 | WASHINGTON MUTUAL INVESTORS FUND-A<br>BUY 0 Units @0.0000  | 0.00                 | 15.97               | 0.00               | 15.97             | 0.5  | 0.08                 |
| 03/01/2018  | ***-**-185P - WARNS, ERIN<br>ACCOUNT #: 00068537295      | WASHINGTON MUTUAL INVESTORS FUND-A<br>BUY 0 Units @0.0000  | 0.00                 | 2.64                | 0.00               | 2.64              | 0.5  | 0.01                 |
| 03/01/2018  | ***-**-105P - WARREN, JULIE<br>ACCOUNT #: 00068537296    | WASHINGTON MUTUAL INVESTORS FUND-A<br>BUY 0 Units @0.0000  | 0.00                 | 42.08               | 0.00               | 42.08             | 0.5  | 0.21                 |
| 03/01/2018  | ***-**-612P - JONES, PAULA<br>ACCOUNT #: 00073146096     | WASHINGTON MUTUAL INVESTORS FUND-A<br>BUY 0 Units @0.0000  | 0.00                 | 5.15                | 0.00               | 5.15              | 0.5  | 0.03                 |
| 03/01/2018  | ***-**-128I - SADLER, JAMES<br>ACCOUNT #: 00073653382    | WASHINGTON MUTUAL INVESTORS FUND-A<br>BUY 0 Units @0.0000  | 0.00                 | 3.80                | 0.00               | 3.80              | 0.5  | 0.02                 |
| 03/01/2018  | ***-**-875P - MEYER, DONNA<br>ACCOUNT #: 00075685309     | WASHINGTON MUTUAL INVESTORS FUND-A<br>BUY 0 Units @0.0000  | 0.00                 | 6.62                | 0.00               | 6.62              | 0.5  | 0.03                 |
| 03/01/2018  | ***-**-106I - COCHRAN, DALE<br>ACCOUNT #: 00083196876    | WASHINGTON MUTUAL INVESTORS FUND-A<br>BUY 0 Units @0.0000  | 0.00                 | 35.03               | 0.00               | 35.03             | 0.5  | 0.18                 |





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|---|-------------------------------|-------------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b><u> OVERRIDE TRANSACTIONS (continued) </u></b> |                               |                                     |                      |                     |                    |                   |      |                      |
| <b><u>BROKER: JESS LITTLE (continued)</u></b>     |                               |                                     |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-436I - LITTLE, DELORES | WASHINGTON MUTUAL INVESTORS FUND-A  | 0.00                 | 17.53               | 0.00               | 17.53             | 0.5  | 0.09                 |
|   | ACCOUNT #: 00084458762        | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-426I - DVORACHEK, ERIC | WASHINGTON MUTUAL INVESTORS FUND-A  | 0.00                 | 4.13                | 0.00               | 4.13              | 0.5  | 0.02                 |
|   | ACCOUNT #: 00086505464        | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| * JESS LITTLE SUBTOTAL *                          |                               |                                     | \$286.00             | \$1,818.79          | \$0.00             | \$1,818.79        |      | \$9.13               |
| <b><u>BROKER: ANNE PLATSKY</u></b>                |                               |                                     |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-950I - JACKSON, DAVID  | AMCAP FUND-A                        | 0.00                 | 41.82               | 0.00               | 41.82             | 0.5  | 0.21                 |
|   | ACCOUNT #: 00059229216        | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-54IN - GREEN, MICHAEL  | AMCAP FUND-A                        | 0.00                 | 234.98              | 0.00               | 234.98            | 0.5  | 1.17                 |
|   | ACCOUNT #: 00059289942        | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-537I - HORN, ELIZABETH | AMERICAN BALANCED FUND-A            | 0.00                 | 14.68               | 0.00               | 14.68             | 0.5  | 0.07                 |
|   | ACCOUNT #: 00063643210        | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-546I - ZUKOR, RONALD   | AMERICAN BALANCED FUND-A            | 0.00                 | 21.24               | 0.00               | 21.24             | 0.5  | 0.11                 |
|   | ACCOUNT #: 00063643212        | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-06IR - BRUM, ROBERT    | AMERICAN BALANCED FUND-A            | 0.00                 | 24.24               | 0.00               | 24.24             | 0.5  | 0.12                 |
|   | ACCOUNT #: 00073483164        | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-50IS - JACKSON, DAVID  | AMERICAN BALANCED FUND-A            | 0.00                 | 39.39               | 0.00               | 39.39             | 0.5  | 0.20                 |
|   | ACCOUNT #: 00074764055        | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-165I - FISCHER, FELICE | AMERICAN BALANCED FUND-A            | 0.00                 | 18.30               | 0.00               | 18.30             | 0.5  | 0.09                 |
|   | ACCOUNT #: 00085895413        | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-65IN - FISCHER, FELICE | AMERICAN BALANCED FUND-A            | 0.00                 | 1.17                | 0.00               | 1.17              | 0.5  | 0.01                 |
|   | ACCOUNT #: 00086719928        | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-911I - JACKSON,        | AMERICAN MUTUAL FUND-A              | 0.00                 | 9.76                | 0.00               | 9.76              | 0.5  | 0.05                 |
|   | ACCOUNT #: 00073497570        | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/09/2018  | ***-**-537I - HORN, ELIZABETH | CALVERT BALANCED PORTFOLIO - A      | 0.00                 | 3.76                | 0.00               | 3.76              | 0.5  | 0.02                 |
|   | ACCOUNT #: 00003593290        | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/09/2018  | ***-**-546I - ZUKOR, RONALD   | CALVERT BALANCED PORTFOLIO - A      | 0.00                 | 5.33                | 0.00               | 5.33              | 0.5  | 0.03                 |
|   | ACCOUNT #: 00003593332        | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/09/2018  | ***-**-537I - HORN, ELIZABETH | CALVERT SOCIAL INVESTMENT FD EQUITY | 0.00                 | 7.43                | 0.00               | 7.43              | 0.5  | 0.04                 |
|   | ACCOUNT #: 00003593290        | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/09/2018  | ***-**-546I - ZUKOR, RONALD   | CALVERT SOCIAL INVESTMENT FD EQUITY | 0.00                 | 10.50               | 0.00               | 10.50             | 0.5  | 0.05                 |
|   | ACCOUNT #: 00003593332        | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |



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|--|---|--|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b><u>VERRIDE TRANSACTIONS (continued)</u></b> |   |  |                      |                     |                    |                   |      |                      |
| <b><u>BROKER: ANNE PLATSKY (continued)</u></b> |   |  |                      |                     |                    |                   |      |                      |
| 03/01/2018                                     | ***-**-50IS - JACKSON, DAVID<br>ACCOUNT #: 00074764055  | CAPITAL INCOME BUILDER-A<br>BUY 0 Units @0.0000            | 0.00                 | 44.33               | 0.00               | 44.33             | 0.5  | 0.22                 |
| 03/01/2018                                     | ***-**-50IN - SPRING, HENRY<br>ACCOUNT #: 00081967106   | CAPITAL INCOME BUILDER-A<br>BUY 0 Units @0.0000            | 0.00                 | 2.22                | 0.00               | 2.22              | 0.5  | 0.01                 |
| 03/01/2018                                     | ***-**-165I - FISCHER, FELICE<br>ACCOUNT #: 00085895413 | CAPITAL INCOME BUILDER-A<br>BUY 0 Units @0.0000            | 0.00                 | 15.15               | 0.00               | 15.15             | 0.5  | 0.08                 |
| 03/01/2018                                     | ***-**-65IN - FISCHER, FELICE<br>ACCOUNT #: 00086719928 | CAPITAL INCOME BUILDER-A<br>BUY 0 Units @0.0000            | 0.00                 | 1.00                | 0.00               | 1.00              | 0.5  | 0.01                 |
| 03/01/2018                                     | ***-**-386I - SCLAFANI, RENEE<br>ACCOUNT #: 00081355804 | CAPITAL WORLD BOND FUND-A<br>BUY 0 Units @0.0000           | 0.00                 | 21.17               | 0.00               | 21.17             | 0.5  | 0.11                 |
| 03/01/2018                                     | ***-**-50IN - SPRING, HENRY<br>ACCOUNT #: 00081967106   | CAPITAL WORLD BOND FUND-A<br>BUY 0 Units @0.0000           | 0.00                 | 1.93                | 0.00               | 1.93              | 0.5  | 0.01                 |
| 03/01/2018                                     | ***-**-454I - RUDERMAN,<br>ACCOUNT #: 00061201993       | CAPITAL WORLD GROWTH AND INCOME FUN<br>BUY 0 Units @0.0000 | 0.00                 | 13.25               | 0.00               | 13.25             | 0.5  | 0.07                 |
| 03/01/2018                                     | ***-**-852I - BRYSON, LENNOX<br>ACCOUNT #: 00066780144  | CAPITAL WORLD GROWTH AND INCOME FUN<br>BUY 0 Units @0.0000 | 0.00                 | 4.43                | 0.00               | 4.43              | 0.5  | 0.02                 |
| 03/01/2018                                     | ***-**-529I - BRUM, ROSE<br>ACCOUNT #: 00073483195      | CAPITAL WORLD GROWTH AND INCOME FUN<br>BUY 0 Units @0.0000 | 0.00                 | 29.83               | 0.00               | 29.83             | 0.5  | 0.15                 |
| 03/01/2018                                     | ***-**-215P - GLICKMAN-LERIN,<br>ACCOUNT #: 00074018600 | CAPITAL WORLD GROWTH AND INCOME FUN<br>BUY 0 Units @0.0000 | 0.00                 | 6.19                | 0.00               | 6.19              | 0.5  | 0.03                 |
| 03/01/2018                                     | ***-**-50IS - JACKSON, DAVID<br>ACCOUNT #: 00074764055  | CAPITAL WORLD GROWTH AND INCOME FUN<br>BUY 0 Units @0.0000 | 0.00                 | 48.91               | 0.00               | 48.91             | 0.5  | 0.24                 |
| 03/01/2018                                     | ***-**-386I - SCLAFANI, RENEE<br>ACCOUNT #: 00081355804 | CAPITAL WORLD GROWTH AND INCOME FUN<br>BUY 0 Units @0.0000 | 0.00                 | 30.22               | 0.00               | 30.22             | 0.5  | 0.15                 |
| 03/12/2018                                     | ***-**-150I - SPRING, HENRY<br>ACCOUNT #: LSR101109     | DELAWARE GROWTH OPPORTUNITIES FD CL<br>BUY 1 Units @0.0000 | 0.00                 | 1.08                | 0.00               | 1.08              | 0.5  | 0.01                 |
| 03/12/2018                                     | ***-**-8459 - SCLAFANI,<br>ACCOUNT #: LSR102040         | DELAWARE GROWTH OPPORTUNITIES FD CL<br>BUY 1 Units @0.0000 | 0.00                 | 18.93               | 0.00               | 18.93             | 0.5  | 0.09                 |
| 03/01/2018                                     | ***-**-37IN - ZUKOR, RONALD<br>ACCOUNT #: 00061501802   | EUROPACIFIC GROWTH FUND-A<br>BUY 0 Units @0.0000           | 0.00                 | 44.35               | 0.00               | 44.35             | 0.5  | 0.22                 |
| 03/01/2018                                     | ***-**-852I - BRYSON, LENNOX<br>ACCOUNT #: 00066780144  | EUROPACIFIC GROWTH FUND-A<br>BUY 0 Units @0.0000           | 0.00                 | 3.74                | 0.00               | 3.74              | 0.5  | 0.02                 |



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|--|-------------------------------|---------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b><u>VERRIDE TRANSACTIONS (continued)</u></b> |                               |                                 |                      |                     |                    |                   |      |                      |
| <b><u>BROKER: ANNE PLATSKY (continued)</u></b> |                               |                                 |                      |                     |                    |                   |      |                      |
| 03/07/2018                                     | ***-**-003I - LEE, MICHELE    | FIDELITY ADV GROWTH OPPORT CL T | 0.00                 | 6.76                | 0.00               | 6.76              | 0.5  | 0.03                 |
|  | ACCOUNT #: 0006827196         | BUY 0 Units @0.0000             |                      |                     |                    |                   |      |                      |
| 03/01/2018                                     | ***-**-943I - KOULOS, JOHN    | FUNDAMENTAL INVESTORS-A         | 0.00                 | 107.31              | 0.00               | 107.31            | 0.5  | 0.54                 |
|  | ACCOUNT #: 00060686406        | BUY 0 Units @0.0000             |                      |                     |                    |                   |      |                      |
| 03/01/2018                                     | ***-**-565P - EPSTEIN, JOYCE  | FUNDAMENTAL INVESTORS-A         | 0.00                 | 1.94                | 0.00               | 1.94              | 0.5  | 0.01                 |
|  | ACCOUNT #: 00061501653        | BUY 0 Units @0.0000             |                      |                     |                    |                   |      |                      |
| 03/01/2018                                     | ***-**-37IN - ZUKOR, RONALD   | FUNDAMENTAL INVESTORS-A         | 0.00                 | 67.41               | 0.00               | 67.41             | 0.5  | 0.34                 |
|  | ACCOUNT #: 00061501802        | BUY 0 Units @0.0000             |                      |                     |                    |                   |      |                      |
| 03/01/2018                                     | ***-**-529I - BRUM, ROSE      | FUNDAMENTAL INVESTORS-A         | 0.00                 | 40.92               | 0.00               | 40.92             | 0.5  | 0.20                 |
|  | ACCOUNT #: 00073483195        | BUY 0 Units @0.0000             |                      |                     |                    |                   |      |                      |
| 03/01/2018                                     | ***-**-321I - MARSHALL,       | FUNDAMENTAL INVESTORS-A         | 0.00                 | 5.77                | 0.00               | 5.77              | 0.5  | 0.03                 |
|  | ACCOUNT #: 00075914418        | BUY 0 Units @0.0000             |                      |                     |                    |                   |      |                      |
| 03/01/2018                                     | ***-**-165I - FISCHER, FELICE | FUNDAMENTAL INVESTORS-A         | 0.00                 | 21.67               | 0.00               | 21.67             | 0.5  | 0.11                 |
|  | ACCOUNT #: 00085895413        | BUY 0 Units @0.0000             |                      |                     |                    |                   |      |                      |
| 03/01/2018                                     | ***-**-65IN - FISCHER, FELICE | FUNDAMENTAL INVESTORS-A         | 0.00                 | 2.46                | 0.00               | 2.46              | 0.5  | 0.01                 |
|  | ACCOUNT #: 00086719928        | BUY 0 Units @0.0000             |                      |                     |                    |                   |      |                      |
| 03/01/2018                                     | ***-**-37IN - ZUKOR, RONALD   | NEW PERSPECTIVE FUND-A          | 0.00                 | 62.05               | 0.00               | 62.05             | 0.5  | 0.31                 |
|  | ACCOUNT #: 00061501802        | BUY 0 Units @0.0000             |                      |                     |                    |                   |      |                      |
| 03/01/2018                                     | ***-**-06IR - BRUM, ROBERT    | NEW PERSPECTIVE FUND-A          | 0.00                 | 50.54               | 0.00               | 50.54             | 0.5  | 0.25                 |
|  | ACCOUNT #: 00073483164        | BUY 0 Units @0.0000             |                      |                     |                    |                   |      |                      |
| 03/01/2018                                     | ***-**-911I - JACKSON,        | NEW PERSPECTIVE FUND-A          | 0.00                 | 9.74                | 0.00               | 9.74              | 0.5  | 0.05                 |
|  | ACCOUNT #: 00073497570        | BUY 0 Units @0.0000             |                      |                     |                    |                   |      |                      |
| 03/01/2018                                     | ***-**-386I - SCLAFANI, RENEE | NEW PERSPECTIVE FUND-A          | 0.00                 | 35.44               | 0.00               | 35.44             | 0.5  | 0.18                 |
|  | ACCOUNT #: 00081355804        | BUY 0 Units @0.0000             |                      |                     |                    |                   |      |                      |
| 03/01/2018                                     | ***-**-454I - RUDERMAN,       | SMALLCAP WORLD FUND-A           | 0.00                 | 55.46               | 0.00               | 55.46             | 0.5  | 0.28                 |
|  | ACCOUNT #: 00061201993        | BUY 0 Units @0.0000             |                      |                     |                    |                   |      |                      |
| 03/01/2018                                     | ***-**-546I - ZUKOR, RONALD   | SMALLCAP WORLD FUND-A           | 0.00                 | 3.72                | 0.00               | 3.72              | 0.5  | 0.02                 |
|  | ACCOUNT #: 00063643212        | BUY 0 Units @0.0000             |                      |                     |                    |                   |      |                      |
| 03/01/2018                                     | ***-**-165I - FISCHER, FELICE | THE BOND FUND OF AMERICA-A      | 0.00                 | 11.52               | 0.00               | 11.52             | 0.5  | 0.06                 |
|  | ACCOUNT #: 00085895413        | BUY 0 Units @0.0000             |                      |                     |                    |                   |      |                      |
| 03/01/2018                                     | ***-**-454I - RUDERMAN,       | THE GROWTH FUND OF AMERICA-A    | 0.00                 | 9.47                | 0.00               | 9.47              | 0.5  | 0.05                 |
|  | ACCOUNT #: 00061201993        | BUY 0 Units @0.0000             |                      |                     |                    |                   |      |                      |



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|--|---|--|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b><u>VERRIDE TRANSACTIONS (continued)</u></b> |   |  |                      |                     |                    |                   |      |                      |
| <b><u>BROKER: ANNE PLATSKY (continued)</u></b> |   |  |                      |                     |                    |                   |      |                      |
| 03/01/2018                                     | ***-**-37IN - ZUKOR, RONALD<br>ACCOUNT #: 00061501802   | THE GROWTH FUND OF AMERICA-A<br>BUY 0 Units @0.0000        | 0.00                 | 71.08               | 0.00               | 71.08             | 0.5  | 0.36                 |
| 03/01/2018                                     | ***-**-848I - KOSKIE, HEATHER<br>ACCOUNT #: 00067652141 | THE GROWTH FUND OF AMERICA-A<br>BUY 0 Units @0.0000        | 0.00                 | 9.90                | 0.00               | 9.90              | 0.5  | 0.05                 |
| 03/01/2018                                     | ***-**-911I - JACKSON,<br>ACCOUNT #: 00073497570        | THE GROWTH FUND OF AMERICA-A<br>BUY 0 Units @0.0000        | 0.00                 | 7.67                | 0.00               | 7.67              | 0.5  | 0.04                 |
| 03/01/2018                                     | ***-**-215P - GLICKMAN-LERIN,<br>ACCOUNT #: 00074018600 | THE GROWTH FUND OF AMERICA-A<br>BUY 0 Units @0.0000        | 0.00                 | 6.62                | 0.00               | 6.62              | 0.5  | 0.03                 |
| 03/01/2018                                     | ***-**-212I - JACKSON, ROBERT<br>ACCOUNT #: 00075983777 | THE GROWTH FUND OF AMERICA-A<br>BUY 0 Units @0.0000        | 0.00                 | 11.58               | 0.00               | 11.58             | 0.5  | 0.06                 |
| 03/01/2018                                     | ***-**-386I - SCLAFANI, RENEE<br>ACCOUNT #: 00081355804 | THE GROWTH FUND OF AMERICA-A<br>BUY 0 Units @0.0000        | 0.00                 | 37.40               | 0.00               | 37.40             | 0.5  | 0.19                 |
| 03/01/2018                                     | ***-**-537I - HORN, ELIZABETH<br>ACCOUNT #: 00063643210 | THE INCOME FUND OF AMERICA-A<br>BUY 0 Units @0.0000        | 0.00                 | 15.72               | 0.00               | 15.72             | 0.5  | 0.08                 |
| 03/01/2018                                     | ***-**-546I - ZUKOR, RONALD<br>ACCOUNT #: 00063643212   | THE INCOME FUND OF AMERICA-A<br>BUY 0 Units @0.0000        | 0.00                 | 15.92               | 0.00               | 15.92             | 0.5  | 0.08                 |
| 03/01/2018                                     | ***-**-529I - BRUM, ROSE<br>ACCOUNT #: 00073483195      | THE INCOME FUND OF AMERICA-A<br>BUY 0 Units @0.0000        | 0.00                 | 23.45               | 0.00               | 23.45             | 0.5  | 0.12                 |
| 03/01/2018                                     | ***-**-50IS - JACKSON, DAVID<br>ACCOUNT #: 00074764055  | THE INCOME FUND OF AMERICA-A<br>BUY 0 Units @0.0000        | 0.00                 | 10.86               | 0.00               | 10.86             | 0.5  | 0.05                 |
| 03/01/2018                                     | ***-**-386I - SCLAFANI, RENEE<br>ACCOUNT #: 00081355804 | THE INCOME FUND OF AMERICA-A<br>BUY 0 Units @0.0000        | 0.00                 | 29.25               | 0.00               | 29.25             | 0.5  | 0.15                 |
| 03/01/2018                                     | ***-**-57IN - JACKSON, MARY<br>ACCOUNT #: 00059229217   | THE INVESTMENT COMPANY OF AMERICA-A<br>BUY 0 Units @0.0000 | 0.00                 | 38.79               | 0.00               | 38.79             | 0.5  | 0.19                 |
| 03/01/2018                                     | ***-**-54IN - GREEN, MICHAEL<br>ACCOUNT #: 00059289942  | THE INVESTMENT COMPANY OF AMERICA-A<br>BUY 0 Units @0.0000 | 0.00                 | 243.82              | 0.00               | 243.82            | 0.5  | 1.22                 |
| 03/01/2018                                     | ***-**-113I - BRUNCKHORST,<br>ACCOUNT #: 00059670454    | THE INVESTMENT COMPANY OF AMERICA-A<br>BUY 0 Units @0.0000 | 0.00                 | 54.49               | 0.00               | 54.49             | 0.5  | 0.27                 |
| 03/01/2018                                     | ***-**-537I - HORN, ELIZABETH<br>ACCOUNT #: 00063643210 | THE NEW ECONOMY FUND-A<br>BUY 0 Units @0.0000              | 0.00                 | 3.88                | 0.00               | 3.88              | 0.5  | 0.02                 |
| 03/01/2018                                     | ***-**-305I - BRUNCKHORST,<br>ACCOUNT #: 00059677391    | WASHINGTON MUTUAL INVESTORS FUND-A<br>BUY 0 Units @0.0000  | 0.00                 | 74.23               | 0.00               | 74.23             | 0.5  | 0.37                 |



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|---|---|--|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b><u> OVERRIDE TRANSACTIONS (continued) </u></b> |   |  |                      |                     |                    |                   |      |                      |
| <b><u> BROKER: ANNE PLATSKY (continued) </u></b>  |   |  |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-537I - HORN, ELIZABETH<br>ACCOUNT #: 00063643210 | WASHINGTON MUTUAL INVESTORS FUND-A<br>BUY 0 Units @0.0000  | 0.00                 | 10.57               | 0.00               | 10.57             | 0.5  | 0.05                 |
| 03/01/2018  | ***-**-546I - ZUKOR, RONALD<br>ACCOUNT #: 00063643212   | WASHINGTON MUTUAL INVESTORS FUND-A<br>BUY 0 Units @0.0000  | 0.00                 | 13.36               | 0.00               | 13.36             | 0.5  | 0.07                 |
| * ANNE PLATSKY SUBTOTAL *                         |   |  | \$0.00               | \$1,890.10          | \$0.00             | \$1,890.10        |      | \$9.48               |
| <b><u> BROKER: JEFFRY PROUL </u></b>              |   |  |                      |                     |                    |                   |      |                      |
| 03/12/2018  | ***-**-1522 - PROUL, JEFFRY<br>ACCOUNT #: LSR101168     | AIM GLOBAL HEALTH CARE FUND CLASS A<br>BUY 1 Units @0.0000 | 0.00                 | 4.12                | 0.00               | 4.12              | 0.5  | 0.02                 |
| 03/01/2018  | ***-**-405P - RODMAN, BRIAN<br>ACCOUNT #: 00073598244   | AMCAP FUND-A<br>BUY 0 Units @0.0000                        | 0.00                 | 11.28               | 0.00               | 11.28             | 0.5  | 0.06                 |
| 03/01/2018  | ***-**-435P - PROUL, ARIANNA<br>ACCOUNT #: 00068467207  | AMERICAN BALANCED FUND-529A<br>BUY 0 Units @0.0000         | 0.00                 | 27.38               | 0.00               | 27.38             | 0.5  | 0.14                 |
| 03/01/2018  | ***-**-935P - HEURISTICS INC<br>ACCOUNT #: 00058553029  | AMERICAN BALANCED FUND-A<br>BUY 0 Units @0.0000            | 0.00                 | 7.63                | 0.00               | 7.63              | 0.5  | 0.04                 |
| 03/01/2018  | ***-**-4496 - HARRY, KIRK<br>ACCOUNT #: 00058823513     | AMERICAN BALANCED FUND-A<br>BUY 0 Units @0.0000            | 0.00                 | 29.87               | 0.00               | 29.87             | 0.5  | 0.15                 |
| 03/01/2018  | ***-**-9346 - KEY-BELL INC<br>ACCOUNT #: 00058823515    | AMERICAN BALANCED FUND-A<br>BUY 0 Units @0.0000            | 0.00                 | 2.57                | 0.00               | 2.57              | 0.5  | 0.01                 |
| 03/01/2018  | ***-**-2069 - CORPORATION,<br>ACCOUNT #: 00058823519    | AMERICAN BALANCED FUND-A<br>BUY 0 Units @0.0000            | 0.00                 | 21.38               | 0.00               | 21.38             | 0.5  | 0.11                 |
| 03/01/2018  | ***-**-2069 - CORPORATION,<br>ACCOUNT #: 00059944967    | AMERICAN BALANCED FUND-A<br>BUY 0 Units @0.0000            | 0.00                 | 10.75               | 0.00               | 10.75             | 0.5  | 0.05                 |
| 03/01/2018  | ***-**-1682 - LEDDY, MIKE<br>ACCOUNT #: 00061083265     | AMERICAN BALANCED FUND-A<br>BUY 0 Units @0.0000            | 0.00                 | 6.28                | 0.00               | 6.28              | 0.5  | 0.03                 |
| 03/01/2018  | ***-**-705P - WALDER/SAR SEP,<br>ACCOUNT #: 00061278811 | AMERICAN BALANCED FUND-A<br>BUY 0 Units @0.0000            | 0.00                 | 9.61                | 0.00               | 9.61              | 0.5  | 0.05                 |
| 03/01/2018  | ***-**-135P - MEADOWS, LAURA<br>ACCOUNT #: 00061278813  | AMERICAN BALANCED FUND-A<br>BUY 0 Units @0.0000            | 0.00                 | 22.35               | 0.00               | 22.35             | 0.5  | 0.11                 |
| 03/01/2018  | ***-**-525P - KEY-BELL INC<br>ACCOUNT #: 00069333525    | AMERICAN BALANCED FUND-A<br>BUY 0 Units @0.0000            | 0.00                 | 9.03                | 0.00               | 9.03              | 0.5  | 0.05                 |
| 03/01/2018  | ***-**-755P - HYETT, JANE<br>ACCOUNT #: 00081807419     | AMERICAN BALANCED FUND-A<br>BUY 0 Units @0.0000            | 0.00                 | 15.10               | 0.00               | 15.10             | 0.5  | 0.08                 |



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|---|--------------------------------|-------------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b><u> OVERRIDE TRANSACTIONS (continued) </u></b> |                                |                                     |                      |                     |                    |                   |      |                      |
| <b><u>BROKER: JEFFRY PROUL (continued)</u></b>    |                                |                                     |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-755P - HYETT, JANE      | AMERICAN BALANCED FUND-A            | 0.00                 | 10.30               | 0.00               | 10.30             | 0.5  | 0.05                 |
|   | ACCOUNT #: 00081867407         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-1240 - RODMAN, BRIAN    | AMERICAN BALANCED FUND-A            | 0.00                 | 10.50               | 0.00               | 10.50             | 0.5  | 0.05                 |
|   | ACCOUNT #: 00086813973         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-3216 - CALKINS, MICHELE | AMERICAN BALANCED FUND-A            | 0.00                 | 3.17                | 0.00               | 3.17              | 0.5  | 0.02                 |
|   | ACCOUNT #: 00087973880         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-72SI - BLESTOS,         | AMERICAN BALANCED FUND-A            | 0.00                 | 2.02                | 0.00               | 2.02              | 0.5  | 0.01                 |
|   | ACCOUNT #: 00088740779         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-22CL - PROUL, CLIENTS   | AMERICAN FUNDS 2020 TARGET DATE-A   | 0.00                 | 4.56                | 0.00               | 4.56              | 0.5  | 0.02                 |
|   | ACCOUNT #: 00088483272         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-584I - CHIRMULE, PREETI | AMERICAN FUNDS 2025 TARGET DATE-A   | 0.00                 | 84.43               | 0.00               | 84.43             | 0.5  | 0.42                 |
|   | ACCOUNT #: 00089005925         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-22CL - PROUL, CLIENTS   | AMERICAN FUNDS 2030 TARGET DATE-A   | 0.00                 | 15.08               | 0.00               | 15.08             | 0.5  | 0.08                 |
|   | ACCOUNT #: 00088976486         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-22CL - PROUL, CLIENTS   | AMERICAN FUNDS 2030 TARGET DATE-A   | 0.00                 | 22.64               | 0.00               | 22.64             | 0.5  | 0.11                 |
|   | ACCOUNT #: 00088976498         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-22CL - PROUL, CLIENTS   | AMERICAN FUNDS 2055 TARGET DATE-A   | 0.00                 | 1.24                | 0.00               | 1.24              | 0.5  | 0.01                 |
|   | ACCOUNT #: 00088843806         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-22CL - PROUL, CLIENTS   | AMERICAN FUNDS 2055 TARGET DATE-A   | 0.00                 | 2.79                | 0.00               | 2.79              | 0.5  | 0.01                 |
|   | ACCOUNT #: 00089402273         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-72SI - BLESTOS,         | AMERICAN MUTUAL FUND-A              | 0.00                 | 2.35                | 0.00               | 2.35              | 0.5  | 0.01                 |
|   | ACCOUNT #: 00088740779         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-725P - PUGH, LEAH       | CAPITAL WORLD GROWTH AND INCOME FUN | 0.00                 | 1.15                | 0.00               | 1.15              | 0.5  | 0.01                 |
|   | ACCOUNT #: 00074266537         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-77SI - FIELDS, NATHAN   | CAPITAL WORLD GROWTH AND INCOME FUN | 0.00                 | 2.06                | 0.00               | 2.06              | 0.5  | 0.01                 |
|   | ACCOUNT #: 00085036998         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-895P - CHRISTENSEN,     | CAPITAL WORLD GROWTH AND INCOME FUN | 0.00                 | 3.30                | 0.00               | 3.30              | 0.5  | 0.02                 |
|   | ACCOUNT #: 00086813909         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-3216 - CALKINS, MICHELE | CAPITAL WORLD GROWTH AND INCOME FUN | 0.00                 | 3.06                | 0.00               | 3.06              | 0.5  | 0.02                 |
|   | ACCOUNT #: 00087973880         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-4496 - HARRY, KIRK      | EUROPACIFIC GROWTH FUND-A           | 0.00                 | 233.35              | 0.00               | 233.35            | 0.5  | 1.17                 |
|   | ACCOUNT #: 00058823513         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |



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|--|---|--|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b><u>VERRIDE TRANSACTIONS (continued)</u></b> |   |  |                      |                     |                    |                   |      |                      |
| <b><u>BROKER: JEFFRY PROUL (continued)</u></b> |   |  |                      |                     |                    |                   |      |                      |
| 03/01/2018                                     | ***-**-3875 - HARRY, JOHN<br>ACCOUNT #: 00058823514     | EUROPACIFIC GROWTH FUND-A<br>BUY 0 Units @0.0000 | 0.00                 | 238.67              | 0.00               | 238.67            | 0.5  | 1.19                 |
| 03/01/2018                                     | ***-**-9346 - KEY-BELL INC<br>ACCOUNT #: 00058823515    | EUROPACIFIC GROWTH FUND-A<br>BUY 0 Units @0.0000 | 0.00                 | 133.62              | 0.00               | 133.62            | 0.5  | 0.67                 |
| 03/01/2018                                     | ***-**-2069 - CORPORATION,<br>ACCOUNT #: 00058823519    | EUROPACIFIC GROWTH FUND-A<br>BUY 0 Units @0.0000 | 0.00                 | 73.97               | 0.00               | 73.97             | 0.5  | 0.37                 |
| 03/01/2018                                     | ***-**-2069 - CORPORATION,<br>ACCOUNT #: 00058836715    | EUROPACIFIC GROWTH FUND-A<br>BUY 0 Units @0.0000 | 0.00                 | 543.23              | 0.00               | 543.23            | 0.5  | 2.72                 |
| 03/01/2018                                     | ***-**-2069 - CORPORATION,<br>ACCOUNT #: 00059944967    | EUROPACIFIC GROWTH FUND-A<br>BUY 0 Units @0.0000 | 0.00                 | 23.16               | 0.00               | 23.16             | 0.5  | 0.12                 |
| 03/01/2018                                     | ***-**-1682 - LEDDY, MIKE<br>ACCOUNT #: 00061083265     | EUROPACIFIC GROWTH FUND-A<br>BUY 0 Units @0.0000 | 0.00                 | 10.18               | 0.00               | 10.18             | 0.5  | 0.05                 |
| 03/01/2018                                     | ***-**-305P - COX, CHERYL<br>ACCOUNT #: 00061230705     | EUROPACIFIC GROWTH FUND-A<br>BUY 0 Units @0.0000 | 0.00                 | 2.94                | 0.00               | 2.94              | 0.5  | 0.01                 |
| 03/01/2018                                     | ***-**-705P - WALDER/SAR SEP,<br>ACCOUNT #: 00061278811 | EUROPACIFIC GROWTH FUND-A<br>BUY 0 Units @0.0000 | 0.00                 | 8.66                | 0.00               | 8.66              | 0.5  | 0.04                 |
| 03/01/2018                                     | ***-**-135P - MEADOWS, LAURA<br>ACCOUNT #: 00061278813  | EUROPACIFIC GROWTH FUND-A<br>BUY 0 Units @0.0000 | 0.00                 | 19.86               | 0.00               | 19.86             | 0.5  | 0.10                 |
| 03/01/2018                                     | ***-**-2069 - CORPORATION,<br>ACCOUNT #: 00063546011    | EUROPACIFIC GROWTH FUND-A<br>BUY 0 Units @0.0000 | 0.00                 | 13.40               | 0.00               | 13.40             | 0.5  | 0.07                 |
| 03/01/2018                                     | ***-**-525P - KEY-BELL INC<br>ACCOUNT #: 00069333525    | EUROPACIFIC GROWTH FUND-A<br>BUY 0 Units @0.0000 | 0.00                 | 7.76                | 0.00               | 7.76              | 0.5  | 0.04                 |
| 03/01/2018                                     | ***-**-7091 - ALBERS, KEN<br>ACCOUNT #: 00073447821     | EUROPACIFIC GROWTH FUND-A<br>BUY 0 Units @0.0000 | 0.00                 | 9.56                | 0.00               | 9.56              | 0.5  | 0.05                 |
| 03/01/2018                                     | ***-**-885P - AVIS, ALAN<br>ACCOUNT #: 00073467959      | EUROPACIFIC GROWTH FUND-A<br>BUY 0 Units @0.0000 | 0.00                 | 1.81                | 0.00               | 1.81              | 0.5  | 0.01                 |
| 03/01/2018                                     | ***-**-665P - JUSIC, NEDJAD<br>ACCOUNT #: 00074557594   | EUROPACIFIC GROWTH FUND-A<br>BUY 0 Units @0.0000 | 0.00                 | 1.43                | 0.00               | 1.43              | 0.5  | 0.01                 |
| 03/01/2018                                     | ***-**-185P - OWSTON, NICOLE<br>ACCOUNT #: 00081514430  | EUROPACIFIC GROWTH FUND-A<br>BUY 0 Units @0.0000 | 0.00                 | 6.90                | 0.00               | 6.90              | 0.5  | 0.03                 |
| 03/01/2018                                     | ***-**-645P - CALLES, LORIANN<br>ACCOUNT #: 00081807366 | EUROPACIFIC GROWTH FUND-A<br>BUY 0 Units @0.0000 | 0.00                 | 19.98               | 0.00               | 19.98             | 0.5  | 0.10                 |



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|--|--|--|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b> OVERRIDE TRANSACTIONS (continued) </b>       |  |  |                      |                     |                    |                   |      |                      |
| <b> <u>BROKER: JEFFRY PROUL (continued)</u> </b> |  |  |                      |                     |                    |                   |      |                      |
| 03/01/2018                                       | ***-**-645P - CALLES, LORIANNA<br>ACCOUNT #: 00081867382 | EUROPACIFIC GROWTH FUND-A<br>BUY 0 Units @0.0000           | 0.00                 | 23.84               | 0.00               | 23.84             | 0.5  | 0.12                 |
| 03/01/2018                                       | ***-**-673I - GEIGER, MAJOR<br>ACCOUNT #: 00083912625    | EUROPACIFIC GROWTH FUND-A<br>BUY 0 Units @0.0000           | 0.00                 | 13.50               | 0.00               | 13.50             | 0.5  | 0.07                 |
| 03/01/2018                                       | ***-**-2069 - CORPORATION,<br>ACCOUNT #: 00086889126     | EUROPACIFIC GROWTH FUND-A<br>BUY 0 Units @0.0000           | 0.00                 | 5.98                | 0.00               | 5.98              | 0.5  | 0.03                 |
| 03/01/2018                                       | ***-**-3216 - CALKINS, MICHELE<br>ACCOUNT #: 00087973880 | EUROPACIFIC GROWTH FUND-A<br>BUY 0 Units @0.0000           | 0.00                 | 2.95                | 0.00               | 2.95              | 0.5  | 0.01                 |
| 03/01/2018                                       | ***-**-72SI - BLESTOS,<br>ACCOUNT #: 00088740779         | EUROPACIFIC GROWTH FUND-A<br>BUY 0 Units @0.0000           | 0.00                 | 1.91                | 0.00               | 1.91              | 0.5  | 0.01                 |
| 03/02/2018                                       | ***-**-2069 - CORPORATION,<br>ACCOUNT #: 00058836715     | EUROPACIFIC GROWTH FUND-A<br>BUY 21 Units @56.7800         | 1,197.28             | 11.97               | 0.00               | 11.97             | 0.5  | 0.06                 |
| 03/02/2018                                       | ***-**-2069 - CORPORATION,<br>ACCOUNT #: 00058823519     | EUROPACIFIC GROWTH FUND-A<br>BUY 9 Units @56.7800          | 521.26               | 5.21                | 0.00               | 5.21              | 0.5  | 0.03                 |
| 03/02/2018                                       | ***-**-9346 - KEY-BELL INC<br>ACCOUNT #: 00058823515     | EUROPACIFIC GROWTH FUND-A<br>BUY 3 Units @56.7800          | 150.00               | 1.50                | 0.00               | 1.50              | 0.5  | 0.01                 |
| 03/02/2018                                       | ***-**-3875 - HARRY, JOHN<br>ACCOUNT #: 00058823514      | EUROPACIFIC GROWTH FUND-A<br>BUY 10 Units @56.7800         | 563.35               | 5.63                | 0.00               | 5.63              | 0.5  | 0.03                 |
| 03/02/2018                                       | ***-**-4496 - HARRY, KIRK<br>ACCOUNT #: 00058823513      | EUROPACIFIC GROWTH FUND-A<br>BUY 8 Units @56.7800          | 479.17               | 4.79                | 0.00               | 4.79              | 0.5  | 0.02                 |
| 03/01/2018                                       | ***-**-77SI - FIELDS, NATHAN<br>ACCOUNT #: 00085036998   | FUNDAMENTAL INVESTORS-A<br>BUY 0 Units @0.0000             | 0.00                 | 2.58                | 0.00               | 2.58              | 0.5  | 0.01                 |
| 03/01/2018                                       | ***-**-72SI - BLESTOS,<br>ACCOUNT #: 00088740779         | FUNDAMENTAL INVESTORS-A<br>BUY 0 Units @0.0000             | 0.00                 | 3.15                | 0.00               | 3.15              | 0.5  | 0.02                 |
| 03/12/2018                                       | ***-**-7979 - CENTURY GROUP,<br>ACCOUNT #: 936741        | GREAT WEST VA TRAILS<br>BUY 1 Units @0.0000                | 0.00                 | 851.64              | 0.00               | 851.64            | 0.5  | 4.26                 |
| 03/12/2018                                       | ***-**-680K - CONSENSUS<br>ACCOUNT #: 331714             | GREAT WEST VA TRAILS<br>BUY 1 Units @0.0000                | 0.00                 | 1,033.36            | 0.00               | 1,033.36          | 0.5  | 5.17                 |
| 03/12/2018                                       | ***-**-9797 - HALEY,<br>ACCOUNT #: 934445                | GREAT WEST VA TRAILS<br>BUY 1 Units @0.0000                | 0.00                 | 891.71              | 0.00               | 891.71            | 0.5  | 4.46                 |
| 03/01/2018                                       | ***-**-115P - MONAHAN, JOHN<br>ACCOUNT #: 00074557583    | INTERMEDIATE BOND FUND OF AMERICA-A<br>BUY 0 Units @0.0000 | 0.00                 | 1.81                | 0.00               | 1.81              | 0.5  | 0.01                 |





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|--|---|--|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b><u>VERRIDE TRANSACTIONS (continued)</u></b> |   |  |                      |                     |                    |                   |      |                      |
| <b><u>BROKER: JEFFRY PROUL (continued)</u></b> |   |  |                      |                     |                    |                   |      |                      |
| 03/01/2018                                     | ***-**-673I - GEIGER, MAJOR<br>ACCOUNT #: 00086454950   | INTERMEDIATE BOND FUND OF AMERICA-A<br>BUY 0 Units @0.0000 | 0.00                 | 15.13               | 0.00               | 15.13             | 0.5  | 0.08                 |
| 03/12/2018                                     | ***-**-1522 - PROUL, JEFFRY<br>ACCOUNT #: LSR101168     | INVESCO AMERICAN FRANCHISE FUND -CL<br>BUY 1 Units @0.0000 | 0.00                 | 2.27                | 0.00               | 2.27              | 0.5  | 0.01                 |
| 03/01/2018                                     | ***-**-77SI - FIELDS, NATHAN<br>ACCOUNT #: 00085036998  | NEW PERSPECTIVE FUND-A<br>BUY 0 Units @0.0000              | 0.00                 | 3.36                | 0.00               | 3.36              | 0.5  | 0.02                 |
| 03/01/2018                                     | ***-**-895P - CHRISTENSEN,<br>ACCOUNT #: 00086813909    | NEW PERSPECTIVE FUND-A<br>BUY 0 Units @0.0000              | 0.00                 | 3.59                | 0.00               | 3.59              | 0.5  | 0.02                 |
| 03/01/2018                                     | ***-**-885P - AVIS, ALAN<br>ACCOUNT #: 00086813910      | NEW PERSPECTIVE FUND-A<br>BUY 0 Units @0.0000              | 0.00                 | 27.76               | 0.00               | 27.76             | 0.5  | 0.14                 |
| 03/01/2018                                     | ***-**-72SI - BLESTOS,<br>ACCOUNT #: 00088740779        | NEW PERSPECTIVE FUND-A<br>BUY 0 Units @0.0000              | 0.00                 | 2.20                | 0.00               | 2.20              | 0.5  | 0.01                 |
| 03/01/2018                                     | ***-**-22SI - HANSLER, MARK<br>ACCOUNT #: 00086813966   | NEW WORLD FUND-A<br>BUY 0 Units @0.0000                    | 0.00                 | 10.77               | 0.00               | 10.77             | 0.5  | 0.05                 |
| 03/01/2018                                     | ***-**-413I - MEADOWS, LAURA<br>ACCOUNT #: 00059771784  | SMALLCAP WORLD FUND-A<br>BUY 0 Units @0.0000               | 0.00                 | 15.72               | 0.00               | 15.72             | 0.5  | 0.08                 |
| 03/01/2018                                     | ***-**-4496 - HARRY, KIRK<br>ACCOUNT #: 00058823513     | THE BOND FUND OF AMERICA-A<br>BUY 0 Units @0.0000          | 0.00                 | 1.61                | 0.00               | 1.61              | 0.5  | 0.01                 |
| 03/01/2018                                     | ***-**-2069 - CORPORATION,<br>ACCOUNT #: 00058823519    | THE BOND FUND OF AMERICA-A<br>BUY 0 Units @0.0000          | 0.00                 | 2.43                | 0.00               | 2.43              | 0.5  | 0.01                 |
| 03/01/2018                                     | ***-**-705P - WALDER/SAR SEP,<br>ACCOUNT #: 00061278811 | THE BOND FUND OF AMERICA-A<br>BUY 0 Units @0.0000          | 0.00                 | 4.55                | 0.00               | 4.55              | 0.5  | 0.02                 |
| 03/01/2018                                     | ***-**-135P - MEADOWS, LAURA<br>ACCOUNT #: 00061278813  | THE BOND FUND OF AMERICA-A<br>BUY 0 Units @0.0000          | 0.00                 | 13.48               | 0.00               | 13.48             | 0.5  | 0.07                 |
| 03/01/2018                                     | ***-**-225P - BRUSCO, ANN<br>ACCOUNT #: 00081807405     | THE BOND FUND OF AMERICA-A<br>BUY 0 Units @0.0000          | 0.00                 | 1.86                | 0.00               | 1.86              | 0.5  | 0.01                 |
| 03/01/2018                                     | ***-**-755P - HYETT, JANE<br>ACCOUNT #: 00081867407     | THE BOND FUND OF AMERICA-A<br>BUY 0 Units @0.0000          | 0.00                 | 1.20                | 0.00               | 1.20              | 0.5  | 0.01                 |
| 03/01/2018                                     | ***-**-935P - HEURISTICS INC<br>ACCOUNT #: 00058553023  | THE GROWTH FUND OF AMERICA-A<br>BUY 0 Units @0.0000        | 0.00                 | 1.14                | 0.00               | 1.14              | 0.5  | 0.01                 |
| 03/01/2018                                     | ***-**-4496 - HARRY, KIRK<br>ACCOUNT #: 00058823513     | THE GROWTH FUND OF AMERICA-A<br>BUY 0 Units @0.0000        | 0.00                 | 305.13              | 0.00               | 305.13            | 0.5  | 1.53                 |



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|---|---|---|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b><u> OVERRIDE TRANSACTIONS (continued) </u></b> |   |   |                      |                     |                    |                   |      |                      |
| <b><u>BROKER: JEFFRY PROUL (continued)</u></b>    |   |   |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-3875 - HARRY, JOHN<br>ACCOUNT #: 00058823514     | THE GROWTH FUND OF AMERICA-A<br>BUY 0 Units @0.0000 | 0.00                 | 332.87              | 0.00               | 332.87            | 0.5  | 1.66                 |
| 03/01/2018  | ***-**-9346 - KEY-BELL INC<br>ACCOUNT #: 00058823515    | THE GROWTH FUND OF AMERICA-A<br>BUY 0 Units @0.0000 | 0.00                 | 169.89              | 0.00               | 169.89            | 0.5  | 0.85                 |
| 03/01/2018  | ***-**-2069 - CORPORATION,<br>ACCOUNT #: 00058823519    | THE GROWTH FUND OF AMERICA-A<br>BUY 0 Units @0.0000 | 0.00                 | 89.61               | 0.00               | 89.61             | 0.5  | 0.45                 |
| 03/01/2018  | ***-**-2069 - CORPORATION,<br>ACCOUNT #: 00058836715    | THE GROWTH FUND OF AMERICA-A<br>BUY 0 Units @0.0000 | 0.00                 | 766.15              | 0.00               | 766.15            | 0.5  | 3.83                 |
| 03/01/2018  | ***-**-2069 - CORPORATION,<br>ACCOUNT #: 00059944967    | THE GROWTH FUND OF AMERICA-A<br>BUY 0 Units @0.0000 | 0.00                 | 19.74               | 0.00               | 19.74             | 0.5  | 0.10                 |
| 03/01/2018  | ***-**-275P - JOYNES, BRYAN<br>ACCOUNT #: 00061112413   | THE GROWTH FUND OF AMERICA-A<br>BUY 0 Units @0.0000 | 0.00                 | 3.62                | 0.00               | 3.62              | 0.5  | 0.02                 |
| 03/01/2018  | ***-**-705P - WALDER/SAR SEP,<br>ACCOUNT #: 00061278811 | THE GROWTH FUND OF AMERICA-A<br>BUY 0 Units @0.0000 | 0.00                 | 13.47               | 0.00               | 13.47             | 0.5  | 0.07                 |
| 03/01/2018  | ***-**-135P - MEADOWS, LAURA<br>ACCOUNT #: 00061278813  | THE GROWTH FUND OF AMERICA-A<br>BUY 0 Units @0.0000 | 0.00                 | 28.27               | 0.00               | 28.27             | 0.5  | 0.14                 |
| 03/01/2018  | ***-**-815P - DAPPER, DAVID<br>ACCOUNT #: 00062370074   | THE GROWTH FUND OF AMERICA-A<br>BUY 0 Units @0.0000 | 0.00                 | 28.03               | 0.00               | 28.03             | 0.5  | 0.14                 |
| 03/01/2018  | ***-**-995P - MCFALL, JON<br>ACCOUNT #: 00062688487     | THE GROWTH FUND OF AMERICA-A<br>BUY 0 Units @0.0000 | 0.00                 | 1.08                | 0.00               | 1.08              | 0.5  | 0.01                 |
| 03/01/2018  | ***-**-2069 - CORPORATION,<br>ACCOUNT #: 00063546011    | THE GROWTH FUND OF AMERICA-A<br>BUY 0 Units @0.0000 | 0.00                 | 23.09               | 0.00               | 23.09             | 0.5  | 0.12                 |
| 03/01/2018  | ***-**-7091 - ALBERS, KEN<br>ACCOUNT #: 00073447821     | THE GROWTH FUND OF AMERICA-A<br>BUY 0 Units @0.0000 | 0.00                 | 26.87               | 0.00               | 26.87             | 0.5  | 0.13                 |
| 03/01/2018  | ***-**-885P - AVIS, ALAN<br>ACCOUNT #: 00073467959      | THE GROWTH FUND OF AMERICA-A<br>BUY 0 Units @0.0000 | 0.00                 | 1.92                | 0.00               | 1.92              | 0.5  | 0.01                 |
| 03/01/2018  | ***-**-405P - RODMAN, BRIAN<br>ACCOUNT #: 00073598244   | THE GROWTH FUND OF AMERICA-A<br>BUY 0 Units @0.0000 | 0.00                 | 11.38               | 0.00               | 11.38             | 0.5  | 0.06                 |
| 03/01/2018  | ***-**-115P - MONAHAN, JOHN<br>ACCOUNT #: 00074557583   | THE GROWTH FUND OF AMERICA-A<br>BUY 0 Units @0.0000 | 0.00                 | 2.88                | 0.00               | 2.88              | 0.5  | 0.01                 |
| 03/01/2018  | ***-**-645P - CALLES, LORIANN<br>ACCOUNT #: 00081807366 | THE GROWTH FUND OF AMERICA-A<br>BUY 0 Units @0.0000 | 0.00                 | 23.88               | 0.00               | 23.88             | 0.5  | 0.12                 |



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|--|--|---|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b><u>VERRIDE TRANSACTIONS (continued)</u></b> |  |   |                      |                     |                    |                   |      |                      |
| <b><u>BROKER: JEFFRY PROUL (continued)</u></b> |  |   |                      |                     |                    |                   |      |                      |
| 03/01/2018                                     | ***-**-755P - HYETT, JANE<br>ACCOUNT #: 00081807419      | THE GROWTH FUND OF AMERICA-A<br>BUY 0 Units @0.0000   | 0.00                 | 12.27               | 0.00               | 12.27             | 0.5  | 0.06                 |
| 03/01/2018                                     | ***-**-645P - CALLES, LORIANN<br>ACCOUNT #: 00081867382  | THE GROWTH FUND OF AMERICA-A<br>BUY 0 Units @0.0000   | 0.00                 | 16.29               | 0.00               | 16.29             | 0.5  | 0.08                 |
| 03/01/2018                                     | ***-**-755P - HYETT, JANE<br>ACCOUNT #: 00081867407      | THE GROWTH FUND OF AMERICA-A<br>BUY 0 Units @0.0000   | 0.00                 | 10.19               | 0.00               | 10.19             | 0.5  | 0.05                 |
| 03/01/2018                                     | ***-**-673I - GEIGER, MAJOR<br>ACCOUNT #: 00083912625    | THE GROWTH FUND OF AMERICA-A<br>BUY 0 Units @0.0000   | 0.00                 | 62.91               | 0.00               | 62.91             | 0.5  | 0.31                 |
| 03/01/2018                                     | ***-**-98SI - MILLER, JULIE<br>ACCOUNT #: 00086813940    | THE GROWTH FUND OF AMERICA-A<br>BUY 0 Units @0.0000   | 0.00                 | 5.73                | 0.00               | 5.73              | 0.5  | 0.03                 |
| 03/01/2018                                     | ***-**-46SI - HOFFMAN, JENEE<br>ACCOUNT #: 00086813983   | THE GROWTH FUND OF AMERICA-A<br>BUY 0 Units @0.0000   | 0.00                 | 1.28                | 0.00               | 1.28              | 0.5  | 0.01                 |
| 03/01/2018                                     | ***-**-2069 - CORPORATION,<br>ACCOUNT #: 00086889126     | THE GROWTH FUND OF AMERICA-A<br>BUY 0 Units @0.0000   | 0.00                 | 7.73                | 0.00               | 7.73              | 0.5  | 0.04                 |
| 03/01/2018                                     | ***-**-22CL - PROUL, CLIENTS<br>ACCOUNT #: 00087844237   | THE GROWTH FUND OF AMERICA-A<br>BUY 0 Units @0.0000   | 0.00                 | 4.80                | 0.00               | 4.80              | 0.5  | 0.02                 |
| 03/01/2018                                     | ***-**-3216 - CALKINS, MICHELE<br>ACCOUNT #: 00087973880 | THE GROWTH FUND OF AMERICA-A<br>BUY 0 Units @0.0000   | 0.00                 | 3.71                | 0.00               | 3.71              | 0.5  | 0.02                 |
| 03/01/2018                                     | ***-**-72SI - BLESTOS,<br>ACCOUNT #: 00088740779         | THE GROWTH FUND OF AMERICA-A<br>BUY 0 Units @0.0000   | 0.00                 | 5.00                | 0.00               | 5.00              | 0.5  | 0.03                 |
| 03/02/2018                                     | ***-**-2069 - CORPORATION,<br>ACCOUNT #: 00058836715     | THE GROWTH FUND OF AMERICA-A<br>BUY 23 Units @51.8900 | 1,197.29             | 11.97               | 0.00               | 11.97             | 0.5  | 0.06                 |
| 03/02/2018                                     | ***-**-2069 - CORPORATION,<br>ACCOUNT #: 00058823519     | THE GROWTH FUND OF AMERICA-A<br>BUY 10 Units @51.8900 | 521.26               | 5.21                | 0.00               | 5.21              | 0.5  | 0.03                 |
| 03/02/2018                                     | ***-**-9346 - KEY-BELL INC<br>ACCOUNT #: 00058823515     | THE GROWTH FUND OF AMERICA-A<br>BUY 3 Units @51.8900  | 150.00               | 1.50                | 0.00               | 1.50              | 0.5  | 0.01                 |
| 03/02/2018                                     | ***-**-3875 - HARRY, JOHN<br>ACCOUNT #: 00058823514      | THE GROWTH FUND OF AMERICA-A<br>BUY 11 Units @51.8900 | 563.35               | 5.63                | 0.00               | 5.63              | 0.5  | 0.03                 |
| 03/02/2018                                     | ***-**-4496 - HARRY, KIRK<br>ACCOUNT #: 00058823513      | THE GROWTH FUND OF AMERICA-A<br>BUY 9 Units @51.8900  | 479.17               | 4.79                | 0.00               | 4.79              | 0.5  | 0.02                 |
| 03/01/2018                                     | ***-**-413I - MEADOWS, LAURA<br>ACCOUNT #: 00059771784   | THE INCOME FUND OF AMERICA-A<br>BUY 0 Units @0.0000   | 0.00                 | 27.89               | 0.00               | 27.89             | 0.5  | 0.14                 |



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|--|--|--|----------------------|---------------------|--------------------|---------------------|------|----------------------|
| <b> OVERRIDE TRANSACTIONS (continued) </b>       |  |  |                      |                     |                    |                     |      |                      |
| <b> <u>BROKER: JEFFRY PROUL (continued)</u> </b> |  |  |                      |                     |                    |                     |      |                      |
| 03/01/2018                                       | ***-**-72SI - BLESTOS,<br>ACCOUNT #: 00088740779         | THE INCOME FUND OF AMERICA-A<br>BUY 0 Units @0.0000        | 0.00                 | 1.90                | 0.00               | 1.90                | 0.5  | 0.01                 |
| 03/01/2018                                       | ***-**-72SI - BLESTOS,<br>ACCOUNT #: 00088740779         | THE INVESTMENT COMPANY OF AMERICA-A<br>BUY 0 Units @0.0000 | 0.00                 | 2.58                | 0.00               | 2.58                | 0.5  | 0.01                 |
| 03/01/2018                                       | ***-**-413I - MEADOWS, LAURA<br>ACCOUNT #: 00059771784   | THE NEW ECONOMY FUND-A<br>BUY 0 Units @0.0000              | 0.00                 | 31.16               | 0.00               | 31.16               | 0.5  | 0.16                 |
| 03/01/2018                                       | ***-**-673I - GEIGER, MAJOR<br>ACCOUNT #: 00083912625    | THE NEW ECONOMY FUND-A<br>BUY 0 Units @0.0000              | 0.00                 | 17.51               | 0.00               | 17.51               | 0.5  | 0.09                 |
| 03/01/2018                                       | ***-**-185P - OWSTON, NICOLE<br>ACCOUNT #: 00081514430   | WASHINGTON MUTUAL INVESTORS FUND-A<br>BUY 0 Units @0.0000  | 0.00                 | 3.82                | 0.00               | 3.82                | 0.5  | 0.02                 |
| 03/01/2018                                       | ***-**-673I - GEIGER, MAJOR<br>ACCOUNT #: 00083912625    | WASHINGTON MUTUAL INVESTORS FUND-A<br>BUY 0 Units @0.0000  | 0.00                 | 54.32               | 0.00               | 54.32               | 0.5  | 0.27                 |
| 03/01/2018                                       | ***-**-3216 - CALKINS, MICHELE<br>ACCOUNT #: 00087973880 | WASHINGTON MUTUAL INVESTORS FUND-A<br>BUY 0 Units @0.0000  | 0.00                 | 3.42                | 0.00               | 3.42                | 0.5  | 0.02                 |
| <b> * JEFFRY PROUL SUBTOTAL * </b>               |  |  | <b> \$5,822.13 </b>  | <b> \$6,812.57 </b> | <b> \$0.00 </b>    | <b> \$6,812.57 </b> |      | <b> \$34.14 </b>     |
| <b> <u>BROKER: CRAIG ST. CYR</u> </b>            |  |  |                      |                     |                    |                     |      |                      |
| 03/01/2018                                       | ***-**-34IN - OSGOOD, JOHN<br>ACCOUNT #: 00067886380     | CAPITAL INCOME BUILDER-A<br>BUY 0 Units @0.0000            | 0.00                 | 15.51               | 0.00               | 15.51               | 0.5  | 0.08                 |
| 03/01/2018                                       | ***-**-7792 - MCGRANAGHAN,<br>ACCOUNT #: 00063571104     | CAPITAL WORLD GROWTH AND INCOME FUN<br>BUY 0 Units @0.0000 | 0.00                 | 19.80               | 0.00               | 19.80               | 0.5  | 0.10                 |
| 03/01/2018                                       | ***-**-305P - MCGRANAGHAN/,<br>ACCOUNT #: 00063571117    | CAPITAL WORLD GROWTH AND INCOME FUN<br>BUY 0 Units @0.0000 | 0.00                 | 5.04                | 0.00               | 5.04                | 0.5  | 0.03                 |
| 03/01/2018                                       | ***-**-305P - MCGRANAGHAN/,<br>ACCOUNT #: 00063571117    | EUROPACIFIC GROWTH FUND-A<br>BUY 0 Units @0.0000           | 0.00                 | 4.36                | 0.00               | 4.36                | 0.5  | 0.02                 |
| 03/07/2018                                       | ***-**-5404 - MOOERS, KYLE<br>ACCOUNT #: 01484248685     | FIDELITY ADV 01480463049<br>BUY 0 Units @0.0000            | 0.00                 | 3.92                | 0.00               | 3.92                | 0.5  | 0.02                 |
| 03/07/2018                                       | ***-**-1536 - PETERS, KRISTEN<br>ACCOUNT #: 01480417607  | FIDELITY ADV 01480463072<br>BUY 0 Units @0.0000            | 0.00                 | 1.81                | 0.00               | 1.81                | 0.5  | 0.01                 |
| 03/07/2018                                       | ***-**-1320 - BARNEA, ANTHONY<br>ACCOUNT #: 01484492994  | FIDELITY ADV 01480463072<br>BUY 0 Units @0.0000            | 0.00                 | 14.22               | 0.00               | 14.22               | 0.5  | 0.07                 |
| 03/07/2018                                       | ***-**-1536 - PETERS, KRISTEN<br>ACCOUNT #: 03900217763  | FIDELITY ADV 01480463072<br>BUY 0 Units @0.0000            | 0.00                 | 4.66                | 0.00               | 4.66                | 0.5  | 0.02                 |



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|---|--------------------------------|-------------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b><u> OVERRIDE TRANSACTIONS (continued) </u></b> |                                |                                     |                      |                     |                    |                   |      |                      |
| <b><u>BROKER: CRAIG ST. CYR (continued)</u></b>   |                                |                                     |                      |                     |                    |                   |      |                      |
| 03/07/2018  | ***-**-1574 - KIM, BUNTHOL     | FIDELITY ADV 01480463155            | 0.00                 | 9.62                | 0.00               | 9.62              | 0.5  | 0.05                 |
|   | ACCOUNT #: 01480847183         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/07/2018  | ***-**-8308 - SMITH, KRISTYN   | FIDELITY ADV 01480847183            | 0.00                 | 11.15               | 0.00               | 11.15             | 0.5  | 0.06                 |
|   | ACCOUNT #: 01480463155         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/07/2018  | ***-**-0951 - DAVIS, ALEXANDER | FIDELITY ADV 01480847183            | 0.00                 | 6.08                | 0.00               | 6.08              | 0.5  | 0.03                 |
|   | ACCOUNT #: 01486701756         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/07/2018  | ***-**-3799 - RUDDY, LAUREN    | FIDELITY ADV 01480847183            | 0.00                 | 4.25                | 0.00               | 4.25              | 0.5  | 0.02                 |
|   | ACCOUNT #: 01486935859         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/07/2018  | ***-**-4896 - FAVINI,          | FIDELITY ADV 01480847183            | 0.00                 | 1.49                | 0.00               | 1.49              | 0.5  | 0.01                 |
|   | ACCOUNT #: 01486935875         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/07/2018  | ***-**-0790 - BURKE, KRISTEN   | FIDELITY ADV 01480863024            | 0.00                 | 5.57                | 0.00               | 5.57              | 0.5  | 0.03                 |
|   | ACCOUNT #: 01480463049         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/07/2018  | ***-**-3541 - LAPORTE, DIANE   | FIDELITY ADV BALANCED CL C          | 0.00                 | 9.12                | 0.00               | 9.12              | 0.5  | 0.05                 |
|   | ACCOUNT #: 01485938474         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/07/2018  | ***-**-5392 - FLAVIN, BRENDAN  | FIDELITY ADV DIVERSIFIED INTL FD CL | 0.00                 | 1.02                | 0.00               | 1.02              | 0.5  | 0.01                 |
|   | ACCOUNT #: 01481079893         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/07/2018  | ***-**-5392 - FLAVIN, BRENDAN  | FIDELITY ADV DIVERSIFIED INTL FD CL | 0.00                 | 2.58                | 0.00               | 2.58              | 0.5  | 0.01                 |
|   | ACCOUNT #: 03900217682         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/07/2018  | ***-**-1761 - POTTER, ALLISON  | FIDELITY ADV DIVIDEND GROWTH FD CL  | 0.00                 | 1.29                | 0.00               | 1.29              | 0.5  | 0.01                 |
|   | ACCOUNT #: 01480452315         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/07/2018  | ***-**-5392 - FLAVIN, BRENDAN  | FIDELITY ADV DIVIDEND GROWTH FD CL  | 0.00                 | 1.12                | 0.00               | 1.12              | 0.5  | 0.01                 |
|   | ACCOUNT #: 01481079893         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/07/2018  | ***-**-5392 - FLAVIN, BRENDAN  | FIDELITY ADV DIVIDEND GROWTH FD CL  | 0.00                 | 2.84                | 0.00               | 2.84              | 0.5  | 0.01                 |
|   | ACCOUNT #: 03900217682         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/07/2018  | ***-**-4278 - ROWE, CHERYL     | FIDELITY ADV DIVIDEND GROWTH FD CL  | 0.00                 | 16.84               | 0.00               | 16.84             | 0.5  | 0.08                 |
|   | ACCOUNT #: 00006778755         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/07/2018  | ***-**-5392 - FLAVIN, BRENDAN  | FIDELITY ADV EMERGING MKTS-CL C     | 0.00                 | 1.95                | 0.00               | 1.95              | 0.5  | 0.01                 |
|   | ACCOUNT #: 03900217682         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/07/2018  | ***-**-5392 - FLAVIN, BRENDAN  | FIDELITY ADV EMERGING MRKTS INC-CL  | 0.00                 | 1.62                | 0.00               | 1.62              | 0.5  | 0.01                 |
|   | ACCOUNT #: 03900217682         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/07/2018  | ***-**-3539 - ELICK, ROBERT    | FIDELITY ADV EQUITY GROWTH CL T     | 0.00                 | 10.26               | 0.00               | 10.26             | 0.5  | 0.05                 |
|   | ACCOUNT #: 00006778771         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |



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|---|--|---|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b><u> OVERRIDE TRANSACTIONS (continued) </u></b> |  |   |                      |                     |                    |                   |      |                      |
| <b><u>BROKER: CRAIG ST. CYR (continued)</u></b>   |  |   |                      |                     |                    |                   |      |                      |
| 03/07/2018  | ***-**-188I - GALLAGHER, JOAN<br>ACCOUNT #: 01423617297  | FIDELITY ADV FREEDOM 2020-CL T<br>BUY 0 Units @0.0000     | 0.00                 | 14.95               | 0.00               | 14.95             | 0.5  | 0.07                 |
| 03/07/2018  | ***-**-188I - GALLAGHER, JOAN<br>ACCOUNT #: 01423617396  | FIDELITY ADV FREEDOM 2020-CL T<br>BUY 0 Units @0.0000     | 0.00                 | 23.06               | 0.00               | 23.06             | 0.5  | 0.12                 |
| 03/07/2018  | ***-**-3539 - ELICK, ROBERT<br>ACCOUNT #: 01485722571    | FIDELITY ADV FREEDOM 2025-CL T<br>BUY 0 Units @0.0000     | 0.00                 | 3.24                | 0.00               | 3.24              | 0.5  | 0.02                 |
| 03/07/2018  | ***-**-49IR - ROWE, THOMAS<br>ACCOUNT #: 00704648971     | FIDELITY ADV FREEDOM 2035-CL T<br>BUY 0 Units @0.0000     | 0.00                 | 3.05                | 0.00               | 3.05              | 0.5  | 0.02                 |
| 03/07/2018  | ***-**-949I - ROWE, THOMAS<br>ACCOUNT #: 00704648989     | FIDELITY ADV FREEDOM 2035-CL T<br>BUY 0 Units @0.0000     | 0.00                 | 9.70                | 0.00               | 9.70              | 0.5  | 0.05                 |
| 03/07/2018  | ***-**-0270 - CARELLA, MICHAEL<br>ACCOUNT #: 01486701004 | FIDELITY ADV FREEDOM 2045<br>BUY 0 Units @0.0000          | 0.00                 | 12.45               | 0.00               | 12.45             | 0.5  | 0.06                 |
| 03/07/2018  | ***-**-6937 - SCHWAB,<br>ACCOUNT #: 01484248586          | FIDELITY ADV FREEDOM 2060 C<br>BUY 0 Units @0.0000        | 0.00                 | 5.79                | 0.00               | 5.79              | 0.5  | 0.03                 |
| 03/07/2018  | ***-**-7242 - JOHNSON,<br>ACCOUNT #: 01486703117         | FIDELITY ADV FREEDOM 2060 C<br>BUY 0 Units @0.0000        | 0.00                 | 2.25                | 0.00               | 2.25              | 0.5  | 0.01                 |
| 03/07/2018  | ***-**-0327 - MCGURN, CONNOR<br>ACCOUNT #: 01486703158   | FIDELITY ADV FREEDOM 2060 C<br>BUY 0 Units @0.0000        | 0.00                 | 1.97                | 0.00               | 1.97              | 0.5  | 0.01                 |
| 03/07/2018  | ***-**-5782 - SCHMID, ANDERW<br>ACCOUNT #: 01486935966   | FIDELITY ADV FREEDOM 2060 C<br>BUY 0 Units @0.0000        | 0.00                 | 1.94                | 0.00               | 1.94              | 0.5  | 0.01                 |
| 03/07/2018  | ***-**-4278 - ROWE, CHERYL<br>ACCOUNT #: 00006778755     | FIDELITY ADV GROWTH OPPORT CL T<br>BUY 0 Units @0.0000    | 0.00                 | 25.85               | 0.00               | 25.85             | 0.5  | 0.13                 |
| 03/07/2018  | ***-**-49IR - ROWE, THOMAS<br>ACCOUNT #: 00006778767     | FIDELITY ADV GROWTH OPPORT CL T<br>BUY 0 Units @0.0000    | 0.00                 | 9.90                | 0.00               | 9.90              | 0.5  | 0.05                 |
| 03/07/2018  | ***-**-3539 - ELICK, ROBERT<br>ACCOUNT #: 00006778771    | FIDELITY ADV GROWTH OPPORT CL T<br>BUY 0 Units @0.0000    | 0.00                 | 11.37               | 0.00               | 11.37             | 0.5  | 0.06                 |
| 03/07/2018  | ***-**-64IR - ST CYR, CRAIG<br>ACCOUNT #: 00655155893    | FIDELITY ADV HIGH INCOME ADVANTAGE<br>BUY 0 Units @0.0000 | 0.00                 | 1.96                | 0.00               | 1.96              | 0.5  | 0.01                 |
| 03/07/2018  | ***-**-49IR - ROWE, THOMAS<br>ACCOUNT #: 00006778767     | FIDELITY ADV INTL CAPITAL APP CL T<br>BUY 0 Units @0.0000 | 0.00                 | 4.42                | 0.00               | 4.42              | 0.5  | 0.02                 |
| 03/07/2018  | ***-**-0107 - LOISELLE, PETER<br>ACCOUNT #: 00655796084  | FIDELITY ADV INTL CAPITAL APP CL T<br>BUY 0 Units @0.0000 | 0.00                 | 3.53                | 0.00               | 3.53              | 0.5  | 0.02                 |



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|---|-------------------------------|------------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b><u>VERRIDE TRANSACTIONS (continued)</u></b>  |                               |                                    |                      |                     |                    |                   |      |                      |
| <b><u>BROKER: CRAIG ST. CYR (continued)</u></b> |                               |                                    |                      |                     |                    |                   |      |                      |
| 03/07/2018                                      | ***-**-4561 - SHAHIAN, LAUREN | FIDELITY ADV LARGE CAP CL T        | 0.00                 | 1.48                | 0.00               | 1.48              | 0.5  | 0.01                 |
|   | ACCOUNT #: 01480863024        | BUY 0 Units @0.0000                |                      |                     |                    |                   |      |                      |
| 03/07/2018                                      | ***-**-5392 - FLAVIN, BRENDAN | FIDELITY ADV LEVERAGED CO STOCK CL | 0.00                 | 1.08                | 0.00               | 1.08              | 0.5  | 0.01                 |
|   | ACCOUNT #: 01481079893        | BUY 0 Units @0.0000                |                      |                     |                    |                   |      |                      |
| 03/07/2018                                      | ***-**-5392 - FLAVIN, BRENDAN | FIDELITY ADV LEVERAGED CO STOCK CL | 0.00                 | 2.70                | 0.00               | 2.70              | 0.5  | 0.01                 |
|   | ACCOUNT #: 03900217682        | BUY 0 Units @0.0000                |                      |                     |                    |                   |      |                      |
| 03/07/2018                                      | ***-**-49IR - ROWE, THOMAS    | FIDELITY ADV MATERIALS-CL T        | 0.00                 | 2.53                | 0.00               | 2.53              | 0.5  | 0.01                 |
|   | ACCOUNT #: 00704648971        | BUY 0 Units @0.0000                |                      |                     |                    |                   |      |                      |
| 03/07/2018                                      | ***-**-949I - ROWE, THOMAS    | FIDELITY ADV MATERIALS-CL T        | 0.00                 | 4.92                | 0.00               | 4.92              | 0.5  | 0.02                 |
|   | ACCOUNT #: 00704648989        | BUY 0 Units @0.0000                |                      |                     |                    |                   |      |                      |
| / /   | ***-**-1761 - POTTER, ALLISON | FIDELITY ADV MF TRAILS             | 0.00                 | 12.40               | 0.00               | 12.40             | 0.5  | 0.06                 |
|   | ACCOUNT #: 03900217765        | BUY 0 Units @0.0000                |                      |                     |                    |                   |      |                      |
| 03/07/2018                                      | ***-**-4561 - SHAHIAN, LAUREN | FIDELITY ADV MF TRAILS 315793794   | 0.00                 | 2.17                | 0.00               | 2.17              | 0.5  | 0.01                 |
|   | ACCOUNT #: 01480863024        | BUY 0 Units @0.0000                |                      |                     |                    |                   |      |                      |
| 03/07/2018                                      | ***-**-4278 - ROWE, CHERYL    | FIDELITY ADV OVERSEAS CL T         | 0.00                 | 12.43               | 0.00               | 12.43             | 0.5  | 0.06                 |
|   | ACCOUNT #: 00006778755        | BUY 0 Units @0.0000                |                      |                     |                    |                   |      |                      |
| 03/07/2018                                      | ***-**-3539 - ELICK, ROBERT   | FIDELITY ADV OVERSEAS CL T         | 0.00                 | 7.39                | 0.00               | 7.39              | 0.5  | 0.04                 |
|   | ACCOUNT #: 00006778771        | BUY 0 Units @0.0000                |                      |                     |                    |                   |      |                      |
| 03/07/2018                                      | ***-**-3541 - LAPORTE, DIANE  | FIDELITY ADV OVERSEAS-CL C         | 0.00                 | 6.40                | 0.00               | 6.40              | 0.5  | 0.03                 |
|   | ACCOUNT #: 01485938474        | BUY 0 Units @0.0000                |                      |                     |                    |                   |      |                      |
| 03/07/2018                                      | ***-**-949I - ROWE, THOMAS    | FIDELITY ADV REAL ESTATE - CL T    | 0.00                 | 2.68                | 0.00               | 2.68              | 0.5  | 0.01                 |
|   | ACCOUNT #: 00704648989        | BUY 0 Units @0.0000                |                      |                     |                    |                   |      |                      |
| 03/07/2018                                      | ***-**-5392 - FLAVIN, BRENDAN | FIDELITY ADV SMALL CAP CL C        | 0.00                 | 1.80                | 0.00               | 1.80              | 0.5  | 0.01                 |
|   | ACCOUNT #: 03900217682        | BUY 0 Units @0.0000                |                      |                     |                    |                   |      |                      |
| 03/07/2018                                      | ***-**-4278 - ROWE, CHERYL    | FIDELITY ADV SMALL CAP CL T        | 0.00                 | 19.53               | 0.00               | 19.53             | 0.5  | 0.10                 |
|   | ACCOUNT #: 00006778755        | BUY 0 Units @0.0000                |                      |                     |                    |                   |      |                      |
| 03/07/2018                                      | ***-**-3539 - ELICK, ROBERT   | FIDELITY ADV SMALL CAP CL T        | 0.00                 | 10.96               | 0.00               | 10.96             | 0.5  | 0.05                 |
|   | ACCOUNT #: 00006778771        | BUY 0 Units @0.0000                |                      |                     |                    |                   |      |                      |
| 03/07/2018                                      | ***-**-7241 - CREPEAU, SHEILA | FIDELITY ADV SMALL CAP CL T        | 0.00                 | 1.62                | 0.00               | 1.62              | 0.5  | 0.01                 |
|   | ACCOUNT #: 00501473037        | BUY 0 Units @0.0000                |                      |                     |                    |                   |      |                      |
| 03/07/2018                                      | ***-**-9365 - CREPEAU, GARY   | FIDELITY ADV SMALL CAP CL T        | 0.00                 | 1.62                | 0.00               | 1.62              | 0.5  | 0.01                 |
|   | ACCOUNT #: 00501473268        | BUY 0 Units @0.0000                |                      |                     |                    |                   |      |                      |



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| <b><u> OVERRIDE TRANSACTIONS (continued) </u></b> |   |  |                      |                     |                    |                   |      |                      |
| <b><u> BROKER: CRAIG ST. CYR (continued) </u></b> |   |  |                      |                     |                    |                   |      |                      |
| 03/07/2018  | ***-**-0107 - LOISELLE, PETER<br>ACCOUNT #: 00655796084 | FIDELITY ADV SMALL CAP CL T<br>BUY 0 Units @0.0000         | 0.00                 | 5.68                | 0.00               | 5.68              | 0.5  | 0.03                 |
| 03/07/2018  | ***-**-4803 - BREEN, MICHAELA<br>ACCOUNT #: 00689460350 | FIDELITY ADV SMALL CAP CL T<br>BUY 0 Units @0.0000         | 0.00                 | 18.84               | 0.00               | 18.84             | 0.5  | 0.09                 |
| 03/07/2018  | ***-**-7241 - CREPEAU, SHEILA<br>ACCOUNT #: 00700424963 | FIDELITY ADV SMALL CAP CL T<br>BUY 0 Units @0.0000         | 0.00                 | 12.14               | 0.00               | 12.14             | 0.5  | 0.06                 |
| 03/07/2018  | ***-**-9365 - CREPEAU, GARY<br>ACCOUNT #: 00700424971   | FIDELITY ADV SMALL CAP CL T<br>BUY 0 Units @0.0000         | 0.00                 | 12.14               | 0.00               | 12.14             | 0.5  | 0.06                 |
| 03/07/2018  | ***-**-949I - ROWE, THOMAS<br>ACCOUNT #: 00704648989    | FIDELITY ADV SMALL CAP CL T<br>BUY 0 Units @0.0000         | 0.00                 | 2.73                | 0.00               | 2.73              | 0.5  | 0.01                 |
| 03/07/2018  | ***-**-88IR - GALLAGHER, JOAN<br>ACCOUNT #: 01440924288 | FIDELITY ADV SMALL CAP CL T<br>BUY 0 Units @0.0000         | 0.00                 | 10.76               | 0.00               | 10.76             | 0.5  | 0.05                 |
| 03/07/2018  | ***-**-64IR - ST CYR, CRAIG<br>ACCOUNT #: 00655155893   | FIDELITY ADV SMALL CAP-CL A<br>BUY 0 Units @0.0000         | 0.00                 | 8.36                | 0.00               | 8.36              | 0.5  | 0.04                 |
| 03/07/2018  | ***-**-49IR - ROWE, THOMAS<br>ACCOUNT #: 00006778767    | FIDELITY ADV STOCK SELECTOR ALL CAP<br>BUY 0 Units @0.0000 | 0.00                 | 5.80                | 0.00               | 5.80              | 0.5  | 0.03                 |
| 03/07/2018  | ***-**-0107 - LOISELLE, PETER<br>ACCOUNT #: 00655796084 | FIDELITY ADV STOCK SELECTOR ALL CAP<br>BUY 0 Units @0.0000 | 0.00                 | 9.58                | 0.00               | 9.58              | 0.5  | 0.05                 |
| 03/07/2018  | ***-**-8635 - BREEN, MARK<br>ACCOUNT #: 00689460343     | FIDELITY ADV STOCK SELECTOR ALL CAP<br>BUY 0 Units @0.0000 | 0.00                 | 17.81               | 0.00               | 17.81             | 0.5  | 0.09                 |
| 03/07/2018  | ***-**-6716 - WATKINS,<br>ACCOUNT #: 00700352818        | FIDELITY ADV STOCK SELECTOR ALL CAP<br>BUY 0 Units @0.0000 | 0.00                 | 10.24               | 0.00               | 10.24             | 0.5  | 0.05                 |
| 03/07/2018  | ***-**-3539 - ELICK, ROBERT<br>ACCOUNT #: 01485722571   | FIDELITY ADV STRATEGIC DIV & INCOME<br>BUY 0 Units @0.0000 | 0.00                 | 3.21                | 0.00               | 3.21              | 0.5  | 0.02                 |
| 03/07/2018  | ***-**-5392 - FLAVIN, BRENDAN<br>ACCOUNT #: 03900217682 | FIDELITY ADV STRATEGIC INCOME CL C<br>BUY 0 Units @0.0000  | 0.00                 | 1.54                | 0.00               | 1.54              | 0.5  | 0.01                 |
| 03/07/2018  | ***-**-3539 - ELICK, ROBERT<br>ACCOUNT #: 00006778771   | FIDELITY ADV UTILITIES CL T<br>BUY 0 Units @0.0000         | 0.00                 | 8.05                | 0.00               | 8.05              | 0.5  | 0.04                 |
| 03/07/2018  | ***-**-949I - ROWE, THOMAS<br>ACCOUNT #: 00704648989    | FIDELITY ADV UTILITIES CL T<br>BUY 0 Units @0.0000         | 0.00                 | 3.14                | 0.00               | 3.14              | 0.5  | 0.02                 |
| 03/07/2018  | ***-**-3539 - ELICK, ROBERT<br>ACCOUNT #: 01485722571   | FIDELITY ADVISOR BALANCED CLASS T<br>BUY 0 Units @0.0000   | 0.00                 | 3.25                | 0.00               | 3.25              | 0.5  | 0.02                 |





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| DATE  | CLIENT                        | INVESTMENT                          | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|---|-------------------------------|-------------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b><u> OVERRIDE TRANSACTIONS (continued) </u></b> |                               |                                     |                      |                     |                    |                   |      |                      |
| <b><u>BROKER: CRAIG ST. CYR (continued)</u></b>   |                               |                                     |                      |                     |                    |                   |      |                      |
| 03/07/2018  | ***-**-5392 - FLAVIN, BRENDAN | FIDELITY ADVISOR FL RATE HIGH INC C | 0.00                 | 1.51                | 0.00               | 1.51              | 0.5  | 0.01                 |
|   | ACCOUNT #: 03900217682        | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/07/2018  | ***-**-3036 - GRIFFIN,        | FIDELITY ADVISOR FREEDOM 2040       | 0.00                 | 10.18               | 0.00               | 10.18             | 0.5  | 0.05                 |
|   | ACCOUNT #: 01481500708        | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/07/2018  | ***-**-4278 - ROWE, CHERYL    | FIDELITY ADVISOR HIGH INCOME ADVANT | 0.00                 | 6.43                | 0.00               | 6.43              | 0.5  | 0.03                 |
|   | ACCOUNT #: 00006778755        | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/07/2018  | ***-**-0107 - LOISELLE, PETER | FIDELITY ADVISOR HIGH INCOME ADVANT | 0.00                 | 3.10                | 0.00               | 3.10              | 0.5  | 0.02                 |
|   | ACCOUNT #: 00655796084        | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/07/2018  | ***-**-64IR - ST CYR, CRAIG   | FIDELITY ADVISOR MID CAP STOCK CL A | 0.00                 | 5.50                | 0.00               | 5.50              | 0.5  | 0.03                 |
|   | ACCOUNT #: 00655155893        | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/07/2018  | ***-**-4278 - ROWE, CHERYL    | FIDELITY ADVISOR MID CAP STOCK CL T | 0.00                 | 22.58               | 0.00               | 22.58             | 0.5  | 0.11                 |
|   | ACCOUNT #: 00006778755        | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/07/2018  | ***-**-0107 - LOISELLE, PETER | FIDELITY ADVISOR MID CAP STOCK CL T | 0.00                 | 7.30                | 0.00               | 7.30              | 0.5  | 0.04                 |
|   | ACCOUNT #: 00655796084        | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/07/2018  | ***-**-64IR - ST CYR, CRAIG   | FIDELITY ADVISOR STK SELECTOR ALL C | 0.00                 | 6.68                | 0.00               | 6.68              | 0.5  | 0.03                 |
|   | ACCOUNT #: 00655155893        | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/07/2018  | ***-**-49IR - ROWE, THOMAS    | FIDELITY ADVISOR STRATEGIC INCOME C | 0.00                 | 2.09                | 0.00               | 2.09              | 0.5  | 0.01                 |
|   | ACCOUNT #: 00006778767        | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/07/2018  | ***-**-49IR - ROWE, THOMAS    | FIDELITY ADVISOR VALUE STRAT CL T   | 0.00                 | 4.88                | 0.00               | 4.88              | 0.5  | 0.02                 |
|   | ACCOUNT #: 00006778767        | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/12/2018  | ***-**-9431 - FISHBEIN,       | JOHN HANCOCK VA TRAILS              | 0.00                 | 288.65              | 0.00               | 288.65            | 0.5  | 1.44                 |
|   | ACCOUNT #: 26702              | BUY 1 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/12/2018  | ***-**-3717 - DOVETAILED      | JOHN HANCOCK VA TRAILS              | 0.00                 | 112.60              | 0.00               | 112.60            | 0.5  | 0.56                 |
|   | ACCOUNT #: 23717              | BUY 1 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-34IN - OSGOOD, JOHN    | NEW PERSPECTIVE FUND-A              | 0.00                 | 18.19               | 0.00               | 18.19             | 0.5  | 0.09                 |
|   | ACCOUNT #: 00067886380        | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-885P - FREDETTE, DIANE | SMALLCAP WORLD FUND-A               | 0.00                 | 2.96                | 0.00               | 2.96              | 0.5  | 0.01                 |
|   | ACCOUNT #: 00066793484        | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-305P - MCGRANAGHAN/,   | SMALLCAP WORLD FUND-A               | 0.00                 | 9.51                | 0.00               | 9.51              | 0.5  | 0.05                 |
|   | ACCOUNT #: 00063571117        | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-34IN - OSGOOD, JOHN    | SMALLCAP WORLD FUND-A               | 0.00                 | 17.35               | 0.00               | 17.35             | 0.5  | 0.09                 |
|   | ACCOUNT #: 00067886380        | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |



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|---|--|---|----------------------|---------------------|--------------------|---------------------|------|----------------------|
| <b> OVERRIDE TRANSACTIONS (continued) </b>        |  |   |                      |                     |                    |                     |      |                      |
| <b> <u>BROKER: CRAIG ST. CYR (continued)</u> </b> |  |   |                      |                     |                    |                     |      |                      |
| 03/01/2018  | ***-**-305P - MCGRANAGHAN/,<br>ACCOUNT #: 00063571117    | THE GROWTH FUND OF AMERICA-A<br>BUY 0 Units @0.0000       | 0.00                 | 12.15               | 0.00               | 12.15               | 0.5  | 0.06                 |
| 03/01/2018  | ***-**-34IN - OSGOOD, JOHN<br>ACCOUNT #: 00067886380     | THE GROWTH FUND OF AMERICA-A<br>BUY 0 Units @0.0000       | 0.00                 | 19.54               | 0.00               | 19.54               | 0.5  | 0.10                 |
| 03/01/2018  | ***-**-017P - MCGIBBON, CLAIRE<br>ACCOUNT #: 00074046169 | THE INCOME FUND OF AMERICA-A<br>BUY 0 Units @0.0000       | 0.00                 | 6.49                | 0.00               | 6.49                | 0.5  | 0.03                 |
| 03/01/2018  | ***-**-223P - DRECHSLER, SUSAN<br>ACCOUNT #: 00063454854 | THE INCOME FUND OF AMERICA-A<br>BUY 0 Units @0.0000       | 0.00                 | 43.59               | 0.00               | 43.59               | 0.5  | 0.22                 |
| 03/01/2018  | ***-**-235P - DRECHSLER, SUSAN<br>ACCOUNT #: 00063958333 | THE INCOME FUND OF AMERICA-A<br>BUY 0 Units @0.0000       | 0.00                 | 61.93               | 0.00               | 61.93               | 0.5  | 0.31                 |
| 03/01/2018  | ***-**-48IN - DREW, DAVID<br>ACCOUNT #: 00074046150      | THE INCOME FUND OF AMERICA-A<br>BUY 0 Units @0.0000       | 0.00                 | 6.49                | 0.00               | 6.49                | 0.5  | 0.03                 |
| 03/01/2018  | ***-**-00IN - DREW, ARTHUR<br>ACCOUNT #: 00074046175     | THE INCOME FUND OF AMERICA-A<br>BUY 0 Units @0.0000       | 0.00                 | 13.14               | 0.00               | 13.14               | 0.5  | 0.07                 |
| 03/01/2018  | ***-**-185P - MCGRANAGHAN,<br>ACCOUNT #: 00082382681     | THE INCOME FUND OF AMERICA-A<br>BUY 0 Units @0.0000       | 0.00                 | 6.43                | 0.00               | 6.43                | 0.5  | 0.03                 |
| 03/01/2018  | ***-**-7792 - MCGRANAGHAN,<br>ACCOUNT #: 00063571104     | WASHINGTON MUTUAL INVESTORS FUND-A<br>BUY 0 Units @0.0000 | 0.00                 | 19.92               | 0.00               | 19.92               | 0.5  | 0.10                 |
| 03/01/2018  | ***-**-305P - MCGRANAGHAN/,<br>ACCOUNT #: 00063571117    | WASHINGTON MUTUAL INVESTORS FUND-A<br>BUY 0 Units @0.0000 | 0.00                 | 11.84               | 0.00               | 11.84               | 0.5  | 0.06                 |
| 03/01/2018  | ***-**-34IN - OSGOOD, JOHN<br>ACCOUNT #: 00067886380     | WASHINGTON MUTUAL INVESTORS FUND-A<br>BUY 0 Units @0.0000 | 0.00                 | 19.08               | 0.00               | 19.08               | 0.5  | 0.10                 |
| <b> * CRAIG ST. CYR SUBTOTAL * </b>               |  |   | <b> \$0.00 </b>      | <b> \$1,256.64 </b> | <b> \$0.00 </b>    | <b> \$1,256.64 </b> |      | <b> \$6.31 </b>      |

**BROKER: SHERIL DAMELIO**

|            |  |  |          |       |      |       |     |      |
|------------|--|--|----------|-------|------|-------|-----|------|
| 03/01/2018 | ***-**-422I - DIGIUGNO, JOSEPH<br>ACCOUNT #: 00074822299 | AMERICAN BALANCED FUND-A<br>BUY 0 Units @0.0000              | 0.00     | 2.22  | 0.00 | 2.22  | 0.5 | 0.01 |
| 02/28/2018 | ***-**-9149 - SMITH, JEFF<br>ACCOUNT #: 04000316886      | AMERICAN DEVELOPING WRLD GRWTH & IN<br>BUY 83 Units @12.0700 | 1,000.00 | 50.00 | 0.00 | 50.00 | 0.5 | 0.25 |
| 02/28/2018 | ***-**-2521 - BREUER, LUCI<br>ACCOUNT #: 04000316870     | AMERICAN DEVELOPING WRLD GRWTH & IN<br>BUY 41 Units @12.0700 | 500.00   | 25.00 | 0.00 | 25.00 | 0.5 | 0.13 |
| 03/01/2018 | ***-**-2521 - BREUER, LUCI<br>ACCOUNT #: 04000316870     | AMERICAN DEVELOPING WRLD GRWTH & IN<br>BUY 0 Units @0.0000   | 0.00     | 1.50  | 0.00 | 1.50  | 0.5 | 0.01 |



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|---|--------------------------------|-------------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b> OVERRIDE TRANSACTIONS (continued)</b>         |                                |                                     |                      |                     |                    |                   |      |                      |
| <b> <u>BROKER: SHERIL DAMELIO (continued)</u></b> |                                |                                     |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-9149 - SMITH, JEFF      | AMERICAN DEVELOPING WRLD GRWTH & IN | 0.00                 | 3.01                | 0.00               | 3.01              | 0.5  | 0.02                 |
|   | ACCOUNT #: 04000316886         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 02/27/2018  | ***-**-2002 - BOLOGNESI,       | AMERICAN FUNDS 2025 TARGET DATE-A   | 50.00                | 2.50                | 0.00               | 2.50              | 0.5  | 0.01                 |
|   | ACCOUNT #: 04000137916         | BUY 3 Units @14.4400                |                      |                     |                    |                   |      |                      |
| 02/27/2018  | ***-**-2002 - BOLOGNESI,       | AMERICAN FUNDS 2025 TARGET DATE-A   | 50.00                | 2.50                | 0.00               | 2.50              | 0.5  | 0.01                 |
|   | ACCOUNT #: 04000137916         | BUY 3 Units @14.4400                |                      |                     |                    |                   |      |                      |
| 02/27/2018  | ***-**-92CL - DAMELIO, CLIENTS | AMERICAN FUNDS BLNCD PORTFOLIO CL A | 288.47               | 7.93                | 0.00               | 7.93              | 0.5  | 0.04                 |
|   | ACCOUNT #: 00087160948         | BUY 19 Units @15.5500               |                      |                     |                    |                   |      |                      |
| 02/27/2018  | ***-**-92CL - DAMELIO, CLIENTS | AMERICAN FUNDS BLNCD PORTFOLIO CL A | 146.54               | 4.03                | 0.00               | 4.03              | 0.5  | 0.02                 |
|   | ACCOUNT #: 00087160948         | BUY 9 Units @15.5500                |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-92CL - DAMELIO, CLIENTS | AMERICAN FUNDS BLNCD PORTFOLIO CL A | 146.54               | 4.03                | 0.00               | 4.03              | 0.5  | 0.02                 |
|   | ACCOUNT #: 00087160948         | BUY 10 Units @15.3500               |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-92CL - DAMELIO, CLIENTS | AMERICAN FUNDS BLNCD PORTFOLIO CL A | 288.47               | 7.93                | 0.00               | 7.93              | 0.5  | 0.04                 |
|   | ACCOUNT #: 00087160948         | BUY 19 Units @15.3500               |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-92CL - DAMELIO, CLIENTS | AMERICAN FUNDS BLNCD PORTFOLIO CL A | 0.00                 | 36.74               | 0.00               | 36.74             | 0.5  | 0.18                 |
|   | ACCOUNT #: 00087160948         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-92CL - DAMELIO, CLIENTS | AMERICAN FUNDS BLNCD PORTFOLIO CL A | 0.00                 | 5.19                | 0.00               | 5.19              | 0.5  | 0.03                 |
|   | ACCOUNT #: 00087160967         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 02/27/2018  | ***-**-92CL - DAMELIO, CLIENTS | AMERICAN FUNDS GROWTH PORTFOLIO A   | 36.40                | 1.00                | 0.00               | 1.00              | 0.5  | 0.01                 |
|   | ACCOUNT #: 00087160953         | BUY 2 Units @19.5100                |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-92CL - DAMELIO, CLIENTS | AMERICAN FUNDS GROWTH PORTFOLIO A   | 36.40                | 1.00                | 0.00               | 1.00              | 0.5  | 0.01                 |
|   | ACCOUNT #: 00087160953         | BUY 2 Units @19.1100                |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-92CL - DAMELIO, CLIENTS | AMERICAN FUNDS GROWTH PORTFOLIO A   | 0.00                 | 1.45                | 0.00               | 1.45              | 0.5  | 0.01                 |
|   | ACCOUNT #: 00087160953         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-92CL - DAMELIO, CLIENTS | AMERICAN FUNDS GROWTH PORTFOLIO A   | 0.00                 | 2.06                | 0.00               | 2.06              | 0.5  | 0.01                 |
|   | ACCOUNT #: 00087160972         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-92CL - DAMELIO, CLIENTS | AMERICAN FUNDS GROWTH PORTFOLIO A   | 0.00                 | 6.58                | 0.00               | 6.58              | 0.5  | 0.03                 |
|   | ACCOUNT #: 00087168340         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-46SI - SULLIVAN,        | AMERICAN FUNDS GROWTH PORTFOLIO A   | 0.00                 | 2.88                | 0.00               | 2.88              | 0.5  | 0.01                 |
|   | ACCOUNT #: 00087689885         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-92CL - DAMELIO, CLIENTS | AMERICAN FUNDS GRWTH & INCOME PORT  | 0.00                 | 8.16                | 0.00               | 8.16              | 0.5  | 0.04                 |
|   | ACCOUNT #: 00087160948         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |



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| DATE   | CLIENT                         | INVESTMENT                         | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|--|--------------------------------|------------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b><u> OVERRIDE TRANSACTIONS (continued) </u></b>  |                                |                                    |                      |                     |                    |                   |      |                      |
| <b><u> BROKER: SHERIL DAMELIO (continued) </u></b> |                                |                                    |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-92CL - DAMELIO, CLIENTS | AMERICAN FUNDS GRWTH & INCOME PORT | 0.00                 | 4.57                | 0.00               | 4.57              | 0.5  | 0.02                 |
|  | ACCOUNT #: 00087160958         | BUY 0 Units @0.0000                |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-92CL - DAMELIO, CLIENTS | AMERICAN FUNDS GRWTH & INCOME PORT | 0.00                 | 1.08                | 0.00               | 1.08              | 0.5  | 0.01                 |
|  | ACCOUNT #: 00087160967         | BUY 0 Units @0.0000                |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-46SI - SULLIVAN,        | AMERICAN FUNDS GRWTH & INCOME PORT | 0.00                 | 2.66                | 0.00               | 2.66              | 0.5  | 0.01                 |
|  | ACCOUNT #: 00087689885         | BUY 0 Units @0.0000                |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-92CL - DAMELIO, CLIENTS | EUROPACIFIC GROWTH FUND-A          | 0.00                 | 8.73                | 0.00               | 8.73              | 0.5  | 0.04                 |
|  | ACCOUNT #: 00087160948         | BUY 0 Units @0.0000                |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-92CL - DAMELIO, CLIENTS | EUROPACIFIC GROWTH FUND-A          | 0.00                 | 1.16                | 0.00               | 1.16              | 0.5  | 0.01                 |
|  | ACCOUNT #: 00087160967         | BUY 0 Units @0.0000                |                      |                     |                    |                   |      |                      |
| 02/28/2018   | ***-**-47IN - MURPHY, JAMES    | LIFESTYLE BALANCED PORTFOLIO A     | 300.00               | 11.25               | 0.00               | 11.25             | 0.5  | 0.06                 |
|  | ACCOUNT #: 00001488868         | BUY 19 Units @16.0400              |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-422I - DIGIUGNO, JOSEPH | THE GROWTH FUND OF AMERICA-A       | 0.00                 | 2.81                | 0.00               | 2.81              | 0.5  | 0.01                 |
|  | ACCOUNT #: 00074822299         | BUY 0 Units @0.0000                |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-92CL - DAMELIO, CLIENTS | THE GROWTH FUND OF AMERICA-A       | 0.00                 | 4.61                | 0.00               | 4.61              | 0.5  | 0.02                 |
|  | ACCOUNT #: 00087160948         | BUY 0 Units @0.0000                |                      |                     |                    |                   |      |                      |
| <b>* SHERIL DAMELIO SUBTOTAL *</b>                 |                                |                                    | <b>\$2,842.82</b>    | <b>\$212.58</b>     | <b>\$0.00</b>      | <b>\$212.58</b>   |      | <b>\$1.07</b>        |

 **BROKER: BERT GOLDBERG** 

|            |                                |                                     |      |       |      |       |     |      |
|------------|--------------------------------|-------------------------------------|------|-------|------|-------|-----|------|
| 03/01/2018 | ***-**-805P - IPPOLITO, NICOLE | AMCAP FUND-A                        | 0.00 | 11.24 | 0.00 | 11.24 | 0.5 | 0.06 |
|            | ACCOUNT #: 00063922927         | BUY 0 Units @0.0000                 |      |       |      |       |     |      |
| 03/01/2018 | ***-**-515P - BAUMANN, ROBERT  | AMCAP FUND-A                        | 0.00 | 1.35  | 0.00 | 1.35  | 0.5 | 0.01 |
|            | ACCOUNT #: 00063922931         | BUY 0 Units @0.0000                 |      |       |      |       |     |      |
| 03/01/2018 | ***-**-195P - BAUMANN, TERESA  | AMCAP FUND-A                        | 0.00 | 3.47  | 0.00 | 3.47  | 0.5 | 0.02 |
|            | ACCOUNT #: 00063922933         | BUY 0 Units @0.0000                 |      |       |      |       |     |      |
| 03/01/2018 | ***-**-492I - SELL, MICHAEL    | AMCAP FUND-A                        | 0.00 | 1.85  | 0.00 | 1.85  | 0.5 | 0.01 |
|            | ACCOUNT #: 00075946748         | BUY 0 Units @0.0000                 |      |       |      |       |     |      |
| 03/01/2018 | ***-**-579I - SELL, PATRICIA   | AMCAP FUND-A                        | 0.00 | 1.85  | 0.00 | 1.85  | 0.5 | 0.01 |
|            | ACCOUNT #: 00075946796         | BUY 0 Units @0.0000                 |      |       |      |       |     |      |
| 03/01/2018 | ***-**-1654 - ROSTAD, BARABARA | AMERICAN FUNDS BLNCD PORTFOLIO CL A | 0.00 | 1.25  | 0.00 | 1.25  | 0.5 | 0.01 |
|            | ACCOUNT #: 00073080525         | BUY 0 Units @0.0000                 |      |       |      |       |     |      |
| 03/01/2018 | ***-**-805P - IPPOLITO, NICOLE | AMERICAN MUTUAL FUND-A              | 0.00 | 5.42  | 0.00 | 5.42  | 0.5 | 0.03 |
|            | ACCOUNT #: 00063922927         | BUY 0 Units @0.0000                 |      |       |      |       |     |      |



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| DATE  | CLIENT                         | INVESTMENT                          | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|---|--------------------------------|-------------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b> OVERRIDE TRANSACTIONS (continued) </b>        |                                |                                     |                      |                     |                    |                   |      |                      |
| <b> <u>BROKER: BERT GOLDBERG (continued)</u> </b> |                                |                                     |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-515P - BAUMANN, ROBERT  | AMERICAN MUTUAL FUND-A              | 0.00                 | 1.32                | 0.00               | 1.32              | 0.5  | 0.01                 |
|   | ACCOUNT #: 00063922931         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-195P - BAUMANN, TERESA  | AMERICAN MUTUAL FUND-A              | 0.00                 | 3.38                | 0.00               | 3.38              | 0.5  | 0.02                 |
|   | ACCOUNT #: 00063922933         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-755I - ROSTAD, HOWARD   | AMERICAN MUTUAL FUND-A              | 0.00                 | 10.33               | 0.00               | 10.33             | 0.5  | 0.05                 |
|   | ACCOUNT #: 00073613202         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-515P - BAUMANN, ROBERT  | CAPITAL INCOME BUILDER-A            | 0.00                 | 1.09                | 0.00               | 1.09              | 0.5  | 0.01                 |
|   | ACCOUNT #: 00063922931         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-805P - IPPOLITO, NICOLE | CAPITAL WORLD GROWTH AND INCOME FUN | 0.00                 | 5.48                | 0.00               | 5.48              | 0.5  | 0.03                 |
|   | ACCOUNT #: 00063922927         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-492I - SELL, MICHAEL    | CAPITAL WORLD GROWTH AND INCOME FUN | 0.00                 | 1.75                | 0.00               | 1.75              | 0.5  | 0.01                 |
|   | ACCOUNT #: 00075946748         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-579I - SELL, PATRICIA   | CAPITAL WORLD GROWTH AND INCOME FUN | 0.00                 | 1.75                | 0.00               | 1.75              | 0.5  | 0.01                 |
|   | ACCOUNT #: 00075946796         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-805P - IPPOLITO, NICOLE | FUNDAMENTAL INVESTORS-A             | 0.00                 | 12.22               | 0.00               | 12.22             | 0.5  | 0.06                 |
|   | ACCOUNT #: 00063922927         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-515P - BAUMANN, ROBERT  | FUNDAMENTAL INVESTORS-A             | 0.00                 | 1.30                | 0.00               | 1.30              | 0.5  | 0.01                 |
|   | ACCOUNT #: 00063922931         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-195P - BAUMANN, TERESA  | FUNDAMENTAL INVESTORS-A             | 0.00                 | 3.29                | 0.00               | 3.29              | 0.5  | 0.02                 |
|   | ACCOUNT #: 00063922933         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/12/2018  | ***-**-0235 - RKS, PLUMBING &  | JOHN HANCOCK VA TRAILS              | 0.00                 | 799.42              | 0.00               | 799.42            | 0.5  | 4.00                 |
|   | ACCOUNT #: 26983               | BUY 1 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/12/2018  | ***-**-0737 - SCHROEDER, JACK  | MFS DIVERSIFIED INCOME FD CL A      | 0.00                 | 10.64               | 0.00               | 10.64             | 0.5  | 0.05                 |
|   | ACCOUNT #: LSR105112           | BUY 1 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/12/2018  | ***-**-0737 - SCHROEDER, JACK  | MFS EMERGING MARKETS DEBT FUND-A    | 0.00                 | 2.98                | 0.00               | 2.98              | 0.5  | 0.01                 |
|   | ACCOUNT #: LSR105112           | BUY 1 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/12/2018  | ***-**-5712 - RAMSEY, GUSSIE   | MFS EMERGING MARKETS DEBT FUND-A    | 0.00                 | 1.21                | 0.00               | 1.21              | 0.5  | 0.01                 |
|   | ACCOUNT #: LSR105929           | BUY 1 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/06/2018  | ***-**-2708 - GEIMER, PAUL     | NATIONWIDE NEXT GENERATION II       | 250.00               | 5.00                | 0.00               | 5.00              | 0.5  | 0.03                 |
|   | ACCOUNT #: N101782740          | BUY 1 Units @250.0000               |                      |                     |                    |                   |      |                      |
| 03/06/2018  | ***-**-60IN - HUNGERFORD,      | NATIONWIDE YOURLIFE PROTECTION VUL  | 150.00               | 1.50                | 0.00               | 1.50              | 0.5  | 0.01                 |
|   | ACCOUNT #: N550070100          | BUY 1 Units @150.0000               |                      |                     |                    |                   |      |                      |



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|---|--|---|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b><u>VERRIDE TRANSACTIONS (continued)</u></b>  |  |   |                      |                     |                    |                   |      |                      |
| <b><u>BROKER: BERT GOLDBERG (continued)</u></b> |  |   |                      |                     |                    |                   |      |                      |
| 03/06/2018                                      | ***-**-60IN - HUNGERFORD,<br>ACCOUNT #: N550070100       | NATIONWIDE YOURLIFE PROTECTION VUL<br>BUY 1 Units @150.0000 | 150.00               | 1.50                | 0.00               | 1.50              | 0.5  | 0.01                 |
| 03/01/2018                                      | ***-**-1654 - ROSTAD, BARABARA<br>ACCOUNT #: 00073080525 | NEW PERSPECTIVE FUND-A<br>BUY 0 Units @0.0000               | 0.00                 | 4.37                | 0.00               | 4.37              | 0.5  | 0.02                 |
| 03/01/2018                                      | ***-**-755I - ROSTAD, HOWARD<br>ACCOUNT #: 00073613202   | NEW PERSPECTIVE FUND-A<br>BUY 0 Units @0.0000               | 0.00                 | 6.06                | 0.00               | 6.06              | 0.5  | 0.03                 |
| 03/01/2018                                      | ***-**-1654 - ROSTAD, BARABARA<br>ACCOUNT #: 00073080525 | THE BOND FUND OF AMERICA-A<br>BUY 0 Units @0.0000           | 0.00                 | 3.27                | 0.00               | 3.27              | 0.5  | 0.02                 |
| 03/01/2018                                      | ***-**-755I - ROSTAD, HOWARD<br>ACCOUNT #: 00073613202   | THE BOND FUND OF AMERICA-A<br>BUY 0 Units @0.0000           | 0.00                 | 1.58                | 0.00               | 1.58              | 0.5  | 0.01                 |
| 03/01/2018                                      | ***-**-492I - SELL, MICHAEL<br>ACCOUNT #: 00075946748    | THE BOND FUND OF AMERICA-A<br>BUY 0 Units @0.0000           | 0.00                 | 1.46                | 0.00               | 1.46              | 0.5  | 0.01                 |
| 03/01/2018                                      | ***-**-579I - SELL, PATRICIA<br>ACCOUNT #: 00075946796   | THE BOND FUND OF AMERICA-A<br>BUY 0 Units @0.0000           | 0.00                 | 1.46                | 0.00               | 1.46              | 0.5  | 0.01                 |
| 03/01/2018                                      | ***-**-805P - IPPOLITO, NICOLE<br>ACCOUNT #: 00063922927 | THE GROWTH FUND OF AMERICA-A<br>BUY 0 Units @0.0000         | 0.00                 | 11.90               | 0.00               | 11.90             | 0.5  | 0.06                 |
| 03/01/2018                                      | ***-**-515P - BAUMANN, ROBERT<br>ACCOUNT #: 00063922931  | THE GROWTH FUND OF AMERICA-A<br>BUY 0 Units @0.0000         | 0.00                 | 1.32                | 0.00               | 1.32              | 0.5  | 0.01                 |
| 03/01/2018                                      | ***-**-195P - BAUMANN, TERESA<br>ACCOUNT #: 00063922933  | THE GROWTH FUND OF AMERICA-A<br>BUY 0 Units @0.0000         | 0.00                 | 3.33                | 0.00               | 3.33              | 0.5  | 0.02                 |
| 03/01/2018                                      | ***-**-1654 - ROSTAD, BARABARA<br>ACCOUNT #: 00073080525 | THE GROWTH FUND OF AMERICA-A<br>BUY 0 Units @0.0000         | 0.00                 | 2.67                | 0.00               | 2.67              | 0.5  | 0.01                 |
| 03/01/2018                                      | ***-**-755I - ROSTAD, HOWARD<br>ACCOUNT #: 00073613202   | THE GROWTH FUND OF AMERICA-A<br>BUY 0 Units @0.0000         | 0.00                 | 2.51                | 0.00               | 2.51              | 0.5  | 0.01                 |
| 03/01/2018                                      | ***-**-195P - BAUMANN, TERESA<br>ACCOUNT #: 00063922933  | THE INCOME FUND OF AMERICA-A<br>BUY 0 Units @0.0000         | 0.00                 | 2.93                | 0.00               | 2.93              | 0.5  | 0.01                 |
| 03/01/2018                                      | ***-**-515P - BAUMANN, ROBERT<br>ACCOUNT #: 00063922931  | THE INVESTMENT COMPANY OF AMERICA-A<br>BUY 0 Units @0.0000  | 0.00                 | 1.36                | 0.00               | 1.36              | 0.5  | 0.01                 |
| 03/01/2018                                      | ***-**-195P - BAUMANN, TERESA<br>ACCOUNT #: 00063922933  | THE INVESTMENT COMPANY OF AMERICA-A<br>BUY 0 Units @0.0000  | 0.00                 | 3.46                | 0.00               | 3.46              | 0.5  | 0.02                 |
| 03/01/2018                                      | ***-**-805P - IPPOLITO, NICOLE<br>ACCOUNT #: 00063922927 | THE NEW ECONOMY FUND-A<br>BUY 0 Units @0.0000               | 0.00                 | 12.40               | 0.00               | 12.40             | 0.5  | 0.06                 |



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|---|-----------------------------------|-------------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b> OVERRIDE TRANSACTIONS (continued) </b>        |                                   |                                     |                      |                     |                    |                   |      |                      |
| <b> <u>BROKER: BERT GOLDBERG (continued)</u> </b> |                                   |                                     |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-515P - BAUMANN, ROBERT     | THE NEW ECONOMY FUND-A              | 0.00                 | 1.32                | 0.00               | 1.32              | 0.5  | 0.01                 |
|   | ACCOUNT #: 00063922931            | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-195P - BAUMANN, TERESA     | THE NEW ECONOMY FUND-A              | 0.00                 | 3.38                | 0.00               | 3.38              | 0.5  | 0.02                 |
|   | ACCOUNT #: 00063922933            | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-515P - BAUMANN, ROBERT     | WASHINGTON MUTUAL INVESTORS FUND-A  | 0.00                 | 1.35                | 0.00               | 1.35              | 0.5  | 0.01                 |
|   | ACCOUNT #: 00063922931            | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-195P - BAUMANN, TERESA     | WASHINGTON MUTUAL INVESTORS FUND-A  | 0.00                 | 3.47                | 0.00               | 3.47              | 0.5  | 0.02                 |
|   | ACCOUNT #: 00063922933            | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-1654 - ROSTAD, BARABARA    | WASHINGTON MUTUAL INVESTORS FUND-A  | 0.00                 | 15.25               | 0.00               | 15.25             | 0.5  | 0.08                 |
|   | ACCOUNT #: 00073080525            | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-492I - SELL, MICHAEL       | WASHINGTON MUTUAL INVESTORS FUND-A  | 0.00                 | 2.64                | 0.00               | 2.64              | 0.5  | 0.01                 |
|   | ACCOUNT #: 00075946748            | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-579I - SELL, PATRICIA      | WASHINGTON MUTUAL INVESTORS FUND-A  | 0.00                 | 2.64                | 0.00               | 2.64              | 0.5  | 0.01                 |
|   | ACCOUNT #: 00075946796            | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
|   | <b>* BERT GOLDBERG SUBTOTAL *</b> |                                     | <b>\$550.00</b>      | <b>\$980.72</b>     | <b>\$0.00</b>      | <b>\$980.72</b>   |      | <b>\$4.97</b>        |
| <b> <u>BROKER: LINDA BLACK</u> </b>               |                                   |                                     |                      |                     |                    |                   |      |                      |
| 03/12/2018  | ***-**-6345 - SIKORA, MICHAEL     | ALLIANCEBERNSTEIN GROWTH AND INC A  | 0.00                 | 1.13                | 0.00               | 1.13              | 0.5  | 0.01                 |
|   | ACCOUNT #: LSR011336              | BUY 1 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/12/2018  | ***-**-111R - SHELL, MERRY        | ALLIANCEBERNSTEIN WEALTH APPREC STR | 0.00                 | 2.01                | 0.00               | 2.01              | 0.5  | 0.01                 |
|   | ACCOUNT #: LSR011774              | BUY 1 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-765P - CROWE, DEANNA       | AMCAP FUND-529A                     | 0.00                 | 12.83               | 0.00               | 12.83             | 0.5  | 0.06                 |
|   | ACCOUNT #: 00073154047            | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-765P - CROWE, DEANNA       | AMCAP FUND-529A                     | 0.00                 | 2.52                | 0.00               | 2.52              | 0.5  | 0.01                 |
|   | ACCOUNT #: 00073154496            | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-305P - STEWART, DAVID      | AMERICAN BALANCED FUND-529A         | 50.00                | 2.50                | 0.00               | 2.50              | 0.5  | 0.01                 |
|   | ACCOUNT #: 00085597268            | BUY 2 Units @28.5400                |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-285P - SCHUSTER, SUSAN     | AMERICAN BALANCED FUND-529A         | 0.00                 | 1.13                | 0.00               | 1.13              | 0.5  | 0.01                 |
|   | ACCOUNT #: 00085847539            | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-29IN - WISE, JANICE        | AMERICAN FUNDS 02629M587            | 0.00                 | 1.87                | 0.00               | 1.87              | 0.5  | 0.01                 |
|   | ACCOUNT #: 04000011624            | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-285P - SCHUSTER, SUSAN     | AMERICAN FUNDS 02630R732            | 0.00                 | 1.07                | 0.00               | 1.07              | 0.5  | 0.01                 |
|   | ACCOUNT #: 00085847526            | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |



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|--|--------------------------------|-------------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b><u>VERRIDE TRANSACTIONS (continued)</u></b> |                                |                                     |                      |                     |                    |                   |      |                      |
| <b><u>BROKER: LINDA BLACK (continued)</u></b>  |                                |                                     |                      |                     |                    |                   |      |                      |
| 03/01/2018                                     | ***-**-285P - SCHUSTER, SUSAN  | AMERICAN FUNDS 02630R732            | 0.00                 | 1.07                | 0.00               | 1.07              | 0.5  | 0.01                 |
|  | ACCOUNT #: 00085847539         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018                                     | ***-**-55SI - MAHAFFEY,        | AMERICAN FUNDS 2025 TARGET DATE-A   | 0.00                 | 11.33               | 0.00               | 11.33             | 0.5  | 0.06                 |
|  | ACCOUNT #: 00084465596         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018                                     | ***-**-01SI - WRISLEY, KENDRA  | AMERICAN FUNDS 2040 TARGET DATE-A   | 0.00                 | 5.46                | 0.00               | 5.46              | 0.5  | 0.03                 |
|  | ACCOUNT #: 00084501043         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018                                     | ***-**-305P - STEWART, DAVID   | AMERICAN MUTUAL FUND-529A           | 25.00                | 1.25                | 0.00               | 1.25              | 0.5  | 0.01                 |
|  | ACCOUNT #: 00085597268         | BUY 1 Units @42.8400                |                      |                     |                    |                   |      |                      |
| 03/12/2018                                     | ***-**-231S - CANTATORE,       | CALVERT GLOBAL WATER FUND CLASS A   | 0.00                 | 1.81                | 0.00               | 1.81              | 0.5  | 0.01                 |
|  | ACCOUNT #: LSR006823           | BUY 1 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/12/2018                                     | ***-**-37RI - BERRY, BRENDA    | CALVERT MODERATE ALLOCATION FUND-A  | 0.00                 | 2.62                | 0.00               | 2.62              | 0.5  | 0.01                 |
|  | ACCOUNT #: LSR003379           | BUY 1 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/12/2018                                     | ***-**-231S - CANTATORE,       | CALVERT SOCIAL INDEX A              | 0.00                 | 1.54                | 0.00               | 1.54              | 0.5  | 0.01                 |
|  | ACCOUNT #: LSR006823           | BUY 1 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/12/2018                                     | ***-**-371I - DEAHL, JOHN      | CALVERT SOCIAL INVESTMENT FD EQUITY | 0.00                 | 1.96                | 0.00               | 1.96              | 0.5  | 0.01                 |
|  | ACCOUNT #: LSR010086           | BUY 1 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/12/2018                                     | ***-**-116I - GAVELEK, CYNTHIA | CALVERT SOCIAL INVESTMENT FD EQUITY | 0.00                 | 1.03                | 0.00               | 1.03              | 0.5  | 0.01                 |
|  | ACCOUNT #: LSR010199           | BUY 1 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/12/2018                                     | ***-**-465I - STEWART, ANNE    | CALVERT SOCIAL INVESTMENT FD EQUITY | 0.00                 | 6.58                | 0.00               | 6.58              | 0.5  | 0.03                 |
|  | ACCOUNT #: LSR011992           | BUY 1 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/12/2018                                     | ***-**-430I - STEWART, DAVID   | CALVERT SOCIAL INVESTMENT FD EQUITY | 0.00                 | 7.48                | 0.00               | 7.48              | 0.5  | 0.04                 |
|  | ACCOUNT #: LSR012056           | BUY 1 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/12/2018                                     | ***-**-99IR - TARKINGTON,      | CALVERT SOCIAL INVESTMENT FD EQUITY | 0.00                 | 1.78                | 0.00               | 1.78              | 0.5  | 0.01                 |
|  | ACCOUNT #: LSR108162           | BUY 1 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018                                     | ***-**-305P - STEWART, DAVID   | CAPITAL WORLD GROWTH AND INCOME-529 | 25.00                | 1.25                | 0.00               | 1.25              | 0.5  | 0.01                 |
|  | ACCOUNT #: 00085597268         | BUY 0 Units @54.6500                |                      |                     |                    |                   |      |                      |
| 03/01/2018                                     | ***-**-285P - SCHUSTER, SUSAN  | CAPITAL WORLD GROWTH AND INCOME-529 | 0.00                 | 1.06                | 0.00               | 1.06              | 0.5  | 0.01                 |
|  | ACCOUNT #: 00085847539         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/12/2018                                     | ***-**-20IN - GAVIN, ANNE      | DELAWARE VALUE FD CL C              | 0.00                 | 8.23                | 0.00               | 8.23              | 0.5  | 0.04                 |
|  | ACCOUNT #: LSR011851           | BUY 1 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018                                     | ***-**-765P - CROWE, DEANNA    | FUNDAMENTAL INVESTORS-529A          | 0.00                 | 8.49                | 0.00               | 8.49              | 0.5  | 0.04                 |
|  | ACCOUNT #: 00073154047         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |





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BROKER #: 981A

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| DATE  | CLIENT   | INVESTMENT   | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|---|--|--|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b><u> OVERRIDE TRANSACTIONS (continued) </u></b> |  |  |                      |                     |                    |                   |      |                      |
| <b><u>BROKER: LINDA BLACK (continued)</u></b>     |  |  |                      |                     |                    |                   |      |                      |
| 03/12/2018  | ***-**-20IN - GAVIN, ANNE<br>ACCOUNT #: LSR011851      | INVESCO EQUALLY WEIGHTED S&P 500 C<br>BUY 1 Units @0.0000  | 0.00                 | 9.59                | 0.00               | 9.59              | 0.5  | 0.05                 |
| 03/01/2018  | ***-**-354I - CALLAGY, LINDA<br>ACCOUNT #: 01001263728 | INVESCO SUMMIT FUND - CLASS A<br>BUY 5 Units @21.7500      | 100.00               | 5.00                | 0.00               | 5.00              | 0.5  | 0.03                 |
| 03/12/2018  | ***-**-426I - CROWE, MICHAEL<br>ACCOUNT #: LSR007820   | INVESCO VAN KAMPEN EQUITY AND INCOM<br>BUY 1 Units @0.0000 | 0.00                 | 4.83                | 0.00               | 4.83              | 0.5  | 0.02                 |
| 03/12/2018  | ***-**-94SP - LOUDOUN<br>ACCOUNT #: 825176             | MASS MUTUAL VA TRAILS<br>BUY 1 Units @0.0000               | 0.00                 | 4.65                | 0.00               | 4.65              | 0.5  | 0.02                 |
| 03/12/2018  | ***-**-291I - ARTHUR, KENNETH<br>ACCOUNT #: LSR011407  | MFS GROWTH PORT CLASS C<br>BUY 1 Units @0.0000             | 0.00                 | 5.43                | 0.00               | 5.43              | 0.5  | 0.03                 |
| 03/12/2018  | ***-**-332I - GALLUCCI, NANCY<br>ACCOUNT #: LSR011409  | MFS GROWTH PORT CLASS C<br>BUY 1 Units @0.0000             | 0.00                 | 5.33                | 0.00               | 5.33              | 0.5  | 0.03                 |
| 03/12/2018  | ***-**-464I - GALLUCCI,<br>ACCOUNT #: LSR011411        | MFS GROWTH PORT CLASS C<br>BUY 1 Units @0.0000             | 0.00                 | 10.66               | 0.00               | 10.66             | 0.5  | 0.05                 |
| 03/12/2018  | ***-**-332I - GALLUCCI, NANCY<br>ACCOUNT #: LSR011409  | MFS BLENDED RESEARCH SM CAP EQ FUND<br>BUY 1 Units @0.0000 | 0.00                 | 5.89                | 0.00               | 5.89              | 0.5  | 0.03                 |
| 03/12/2018  | ***-**-464I - GALLUCCI,<br>ACCOUNT #: LSR011411        | MFS BLENDED RESEARCH SM CAP EQ FUND<br>BUY 1 Units @0.0000 | 0.00                 | 5.89                | 0.00               | 5.89              | 0.5  | 0.03                 |
| 03/12/2018  | ***-**-332I - GALLUCCI, NANCY<br>ACCOUNT #: LSR011409  | MFS LOW VOLATILITY GLOBAL EQ FD CL<br>BUY 1 Units @0.0000  | 0.00                 | 4.24                | 0.00               | 4.24              | 0.5  | 0.02                 |
| 03/12/2018  | ***-**-464I - GALLUCCI,<br>ACCOUNT #: LSR011411        | MFS LOW VOLATILITY GLOBAL EQ FD CL<br>BUY 1 Units @0.0000  | 0.00                 | 6.78                | 0.00               | 6.78              | 0.5  | 0.03                 |
| 03/12/2018  | ***-**-291I - ARTHUR, KENNETH<br>ACCOUNT #: LSR011407  | MFS MID CAP VALUE CLASS C<br>BUY 1 Units @0.0000           | 0.00                 | 4.69                | 0.00               | 4.69              | 0.5  | 0.02                 |
| 03/12/2018  | ***-**-332I - GALLUCCI, NANCY<br>ACCOUNT #: LSR011409  | MFS MID CAP VALUE CLASS C<br>BUY 1 Units @0.0000           | 0.00                 | 4.62                | 0.00               | 4.62              | 0.5  | 0.02                 |
| 03/12/2018  | ***-**-464I - GALLUCCI,<br>ACCOUNT #: LSR011411        | MFS MID CAP VALUE CLASS C<br>BUY 1 Units @0.0000           | 0.00                 | 4.62                | 0.00               | 4.62              | 0.5  | 0.02                 |
| 03/12/2018  | ***-**-291I - ARTHUR, KENNETH<br>ACCOUNT #: LSR011407  | MFS NEW DISCOVERY CLASS C<br>BUY 1 Units @0.0000           | 0.00                 | 5.45                | 0.00               | 5.45              | 0.5  | 0.03                 |
| 03/12/2018  | ***-**-332I - GALLUCCI, NANCY<br>ACCOUNT #: LSR011409  | MFS NEW DISCOVERY CLASS C<br>BUY 1 Units @0.0000           | 0.00                 | 5.33                | 0.00               | 5.33              | 0.5  | 0.03                 |



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| <b><u>VERRIDE TRANSACTIONS (continued)</u></b> |   |  |                      |                     |                    |                   |      |                      |
| <b><u>BROKER: LINDA BLACK (continued)</u></b>  |   |  |                      |                     |                    |                   |      |                      |
| 03/12/2018                                     | ***-**-464I - GALLUCCI,<br>ACCOUNT #: LSR011411         | MFS NEW DISCOVERY CLASS C<br>BUY 1 Units @0.0000           | 0.00                 | 10.67               | 0.00               | 10.67             | 0.5  | 0.05                 |
| 03/12/2018                                     | ***-**-291I - ARTHUR, KENNETH<br>ACCOUNT #: LSR011407   | MFS VALUE FUND-C<br>BUY 1 Units @0.0000                    | 0.00                 | 4.88                | 0.00               | 4.88              | 0.5  | 0.02                 |
| 03/12/2018                                     | ***-**-332I - GALLUCCI, NANCY<br>ACCOUNT #: LSR011409   | MFS VALUE FUND-C<br>BUY 1 Units @0.0000                    | 0.00                 | 12.59               | 0.00               | 12.59             | 0.5  | 0.06                 |
| 03/12/2018                                     | ***-**-464I - GALLUCCI,<br>ACCOUNT #: LSR011411         | MFS VALUE FUND-C<br>BUY 1 Units @0.0000                    | 0.00                 | 24.20               | 0.00               | 24.20             | 0.5  | 0.12                 |
| 03/01/2018                                     | ***-**-285P - SCHUSTER, SUSAN<br>ACCOUNT #: 00085847539 | NEW PERSPECTIVE FUND-529A<br>BUY 0 Units @0.0000           | 0.00                 | 1.16                | 0.00               | 1.16              | 0.5  | 0.01                 |
| 03/12/2018                                     | ***-**-185P - QUINN, RENEE<br>ACCOUNT #: 77228874501    | NEW YORK 529 TRAILS<br>BUY 0 Units @0.0000                 | 0.00                 | 21.10               | 0.00               | 21.10             | 0.5  | 0.11                 |
| 03/12/2018                                     | ***-**-99IR - TARKINGTON,<br>ACCOUNT #: LSR108162       | NUVEEN GLOBAL INFRASTRUCTURE CL A<br>BUY 1 Units @0.0000   | 0.00                 | 3.52                | 0.00               | 3.52              | 0.5  | 0.02                 |
| 03/12/2018                                     | ***-**-291I - ARTHUR, KENNETH<br>ACCOUNT #: LSR011407   | NUVEEN LARGE - CAP VALUE FUND CLASS<br>BUY 1 Units @0.0000 | 0.00                 | 5.16                | 0.00               | 5.16              | 0.5  | 0.03                 |
| 03/12/2018                                     | ***-**-332I - GALLUCCI, NANCY<br>ACCOUNT #: LSR011409   | NUVEEN LARGE - CAP VALUE FUND CLASS<br>BUY 1 Units @0.0000 | 0.00                 | 12.06               | 0.00               | 12.06             | 0.5  | 0.06                 |
| 03/12/2018                                     | ***-**-464I - GALLUCCI,<br>ACCOUNT #: LSR011411         | NUVEEN LARGE - CAP VALUE FUND CLASS<br>BUY 1 Units @0.0000 | 0.00                 | 25.12               | 0.00               | 25.12             | 0.5  | 0.13                 |
| 03/12/2018                                     | ***-**-291I - ARTHUR, KENNETH<br>ACCOUNT #: LSR011407   | NUVEEN LARGE CAP CORE FUND CL C<br>BUY 1 Units @0.0000     | 0.00                 | 5.28                | 0.00               | 5.28              | 0.5  | 0.03                 |
| 03/12/2018                                     | ***-**-332I - GALLUCCI, NANCY<br>ACCOUNT #: LSR011409   | NUVEEN LARGE CAP CORE FUND CL C<br>BUY 1 Units @0.0000     | 0.00                 | 5.09                | 0.00               | 5.09              | 0.5  | 0.03                 |
| 03/12/2018                                     | ***-**-464I - GALLUCCI,<br>ACCOUNT #: LSR011411         | NUVEEN LARGE CAP CORE FUND CL C<br>BUY 1 Units @0.0000     | 0.00                 | 10.18               | 0.00               | 10.18             | 0.5  | 0.05                 |
| 03/12/2018                                     | ***-**-291I - ARTHUR, KENNETH<br>ACCOUNT #: LSR011407   | NUVEEN LARGE CAP GROWTH FD CL C<br>BUY 1 Units @0.0000     | 0.00                 | 7.52                | 0.00               | 7.52              | 0.5  | 0.04                 |
| 03/12/2018                                     | ***-**-332I - GALLUCCI, NANCY<br>ACCOUNT #: LSR011409   | NUVEEN LARGE CAP GROWTH FD CL C<br>BUY 1 Units @0.0000     | 0.00                 | 5.23                | 0.00               | 5.23              | 0.5  | 0.03                 |
| 03/12/2018                                     | ***-**-464I - GALLUCCI,<br>ACCOUNT #: LSR011411         | NUVEEN LARGE CAP GROWTH FD CL C<br>BUY 1 Units @0.0000     | 0.00                 | 10.45               | 0.00               | 10.45             | 0.5  | 0.05                 |



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| <b><u> OVERRIDE TRANSACTIONS (continued) </u></b> |   |  |                      |                     |                    |                   |      |                      |
| <b><u> BROKER: LINDA BLACK (continued) </u></b>   |   |  |                      |                     |                    |                   |      |                      |
| 03/08/2018  | ***-**-18IN - ANSARI, OFELIA                            | RESOURCE REAL ESTATE TRAILS<br>BUY 0 Units @0.0000         | 0.00                 | 4.51                | 0.00               | 4.51              | 0.5  | 0.02                 |
| 03/06/2018  | ***-**-25FB - MONTGOMERY,<br>ACCOUNT #: LSR011514       | RESOURCE REAL ESTATE-NFS<br>BUY 1 Units @0.0000            | 0.00                 | 9.60                | 0.00               | 9.60              | 0.5  | 0.05                 |
| 03/06/2018  | ***-**-25FB - MONTGOMERY,<br>ACCOUNT #: LSR011514       | RESOURCE REAL ESTATE-NFS<br>BUY 1 Units @0.0000            | 0.00                 | 3.20                | 0.00               | 3.20              | 0.5  | 0.02                 |
| 03/06/2018  | ***-**-25FB - MONTGOMERY,<br>ACCOUNT #: LSR011514       | RESOURCE REAL ESTATE-NFS<br>BUY 1 Units @0.0000            | 0.00                 | 9.70                | 0.00               | 9.70              | 0.5  | 0.05                 |
| 03/06/2018  | ***-**-25FB - MONTGOMERY,<br>ACCOUNT #: LSR011514       | RESOURCE REAL ESTATE-NFS<br>BUY 1 Units @0.0000            | 0.00                 | 3.23                | 0.00               | 3.23              | 0.5  | 0.02                 |
| 03/06/2018  | ***-**-25FB - MONTGOMERY,<br>ACCOUNT #: LSR011514       | RESOURCE REAL ESTATE-NFS<br>BUY 1 Units @0.0000            | 0.00                 | 9.28                | 0.00               | 9.28              | 0.5  | 0.05                 |
| 03/06/2018  | ***-**-25FB - MONTGOMERY,<br>ACCOUNT #: LSR011514       | RESOURCE REAL ESTATE-NFS<br>BUY 1 Units @0.0000            | 0.00                 | 3.09                | 0.00               | 3.09              | 0.5  | 0.02                 |
| 03/12/2018  | ***-**-044I - TURRELL, DONNA<br>ACCOUNT #: 7200026439   | SAMMONS MF TRAILS<br>BUY 0 Units @0.0000                   | 0.00                 | 51.75               | 0.00               | 51.75             | 0.5  | 0.26                 |
| 03/12/2018  | ***-**-371I - DEAHL, JOHN<br>ACCOUNT #: 7200035148      | SAMMONS MF TRAILS<br>BUY 0 Units @0.0000                   | 0.00                 | 48.93               | 0.00               | 48.93             | 0.5  | 0.24                 |
| 03/01/2018  | ***-**-305P - STEWART, DAVID<br>ACCOUNT #: 00085597268  | SMALLCAP WORLD FUND-529A<br>BUY 0 Units @58.8500           | 25.00                | 1.25                | 0.00               | 1.25              | 0.5  | 0.01                 |
| 03/01/2018  | ***-**-765P - CROWE, DEANNA<br>ACCOUNT #: 00073154047   | SMALLCAP WORLD FUND-529A<br>BUY 0 Units @0.0000            | 0.00                 | 10.80               | 0.00               | 10.80             | 0.5  | 0.05                 |
| 03/01/2018  | ***-**-765P - CROWE, DEANNA<br>ACCOUNT #: 00073154496   | SMALLCAP WORLD FUND-529A<br>BUY 0 Units @0.0000            | 0.00                 | 1.07                | 0.00               | 1.07              | 0.5  | 0.01                 |
| 03/01/2018  | ***-**-765P - CROWE, DEANNA<br>ACCOUNT #: 00073154047   | THE INVESTMENT COMPANY OF AMERICA-5<br>BUY 0 Units @0.0000 | 0.00                 | 11.32               | 0.00               | 11.32             | 0.5  | 0.06                 |
| 03/01/2018  | ***-**-285P - SCHUSTER, SUSAN<br>ACCOUNT #: 00085847539 | THE NEW ECONOMY FUND-529A<br>BUY 0 Units @0.0000           | 0.00                 | 1.20                | 0.00               | 1.20              | 0.5  | 0.01                 |
| 03/01/2018  | ***-**-765P - CROWE, DEANNA<br>ACCOUNT #: 00073154047   | WASHINGTON MUTUAL INVESTORS FUND-52<br>BUY 0 Units @0.0000 | 0.00                 | 8.21                | 0.00               | 8.21              | 0.5  | 0.04                 |
| <b>* LINDA BLACK SUBTOTAL *</b>                   |   |  | <b>\$225.00</b>      | <b>\$522.35</b>     | <b>\$0.00</b>      | <b>\$522.35</b>   |      | <b>\$2.68</b>        |



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|---|-------------------------------|-------------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b><u> OVERRIDE TRANSACTIONS (continued) </u></b> |                               |                                     |                      |                     |                    |                   |      |                      |
| <b><u>BROKER: SARA BERKOWICZ</u></b>              |                               |                                     |                      |                     |                    |                   |      |                      |
| 03/07/2018  | ***-**-278I - BOIN, ROBERT    | AMERICAN BALANCED FND F2-NFS        | 346.50               | 3.00                | 0.00               | 3.00              | 0.5  | 0.02                 |
|   | ACCOUNT #: LSR012114          | SELL 13 Units @27.1400              |                      |                     |                    |                   |      |                      |
| 03/07/2018  | ***-**-278I - BOIN, ROBERT    | AMERICAN CAPITAL INCOME BUILDER CL  | 346.47               | 3.00                | 0.00               | 3.00              | 0.5  | 0.02                 |
|   | ACCOUNT #: LSR012114          | SELL 6 Units @61.8700               |                      |                     |                    |                   |      |                      |
| 03/07/2018  | ***-**-78IN - BOIN, ROBERT    | AMERICAN FUNDAMENTAL INV. CL F2-NFS | 525.02               | 3.00                | 0.00               | 3.00              | 0.5  | 0.02                 |
|   | ACCOUNT #: LSR012120          | SELL 8 Units @63.5700               |                      |                     |                    |                   |      |                      |
| 03/07/2018  | ***-**-278I - BOIN, ROBERT    | AMERICAN INCOME FND OF AMERICA CL F | 357.00               | 3.00                | 0.00               | 3.00              | 0.5  | 0.02                 |
|   | ACCOUNT #: LSR012114          | SELL 15 Units @23.1200              |                      |                     |                    |                   |      |                      |
| 03/07/2018  | ***-**-78IN - BOIN, ROBERT    | AMERICAN INCOME FND OF AMERICA CL F | 525.01               | 3.00                | 0.00               | 3.00              | 0.5  | 0.02                 |
|   | ACCOUNT #: LSR012120          | SELL 23 Units @23.1200              |                      |                     |                    |                   |      |                      |
| 03/06/2018  | ***-**-00I2 - BEUTLICH, FBO   | FEDERATED INTERMED CORP BOND FD CL  | 0.00                 | 7.20                | 0.00               | 7.20              | 0.5  | 0.04                 |
|   | ACCOUNT #: LSR003700          | BUY 1 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/12/2018  | ***-**-1202 - MCCORMACK, JAMI | INVESCO VAN KAMPEN MID CAP GROWTH A | 0.00                 | 1.16                | 0.00               | 1.16              | 0.5  | 0.01                 |
|   | ACCOUNT #: LSR105988          | BUY 1 Units @0.0000                 |                      |                     |                    |                   |      |                      |
|   |                               | <b>* SARA BERKOWICZ SUBTOTAL *</b>  | <b>\$2,100.00</b>    | <b>\$23.36</b>      | <b>\$0.00</b>      | <b>\$23.36</b>    |      | <b>\$0.15</b>        |
| <b><u>BROKER: MICHAEL MINTER</u></b>              |                               |                                     |                      |                     |                    |                   |      |                      |
| 03/12/2018  | ***-**-62IN - KLEIN, STEPHAN  | SAMMONS MF TRAILS                   | 0.00                 | 18.82               | 0.00               | 18.82             | 0.5  | 0.09                 |
|   | ACCOUNT #: 7200010115         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
|   |                               | <b>* MICHAEL MINTER SUBTOTAL *</b>  | <b>\$0.00</b>        | <b>\$18.82</b>      | <b>\$0.00</b>      | <b>\$18.82</b>    |      | <b>\$0.09</b>        |
| <b><u>BROKER: JOSEPH FERRY</u></b>                |                               |                                     |                      |                     |                    |                   |      |                      |
| 03/12/2018  | ***-**-90IN - GAW, PATRICIA   | AIM CHARTER FUND - CLASS A          | 0.00                 | 2.91                | 0.00               | 2.91              | 0.5  | 0.01                 |
|   | ACCOUNT #: LSR011025          | BUY 1 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-716I - PAPST, JASON    | AMCAP FUND-A                        | 0.00                 | 12.25               | 0.00               | 12.25             | 0.5  | 0.06                 |
|   | ACCOUNT #: 00067533376        | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-985P - PAPST, MEREDITH | AMCAP FUND-A                        | 0.00                 | 2.92                | 0.00               | 2.92              | 0.5  | 0.01                 |
|   | ACCOUNT #: 00067807144        | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-245P - DUMAINE, ROBERT | AMCAP FUND-A                        | 0.00                 | 3.59                | 0.00               | 3.59              | 0.5  | 0.02                 |
|   | ACCOUNT #: 00074252014        | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-761I - HUSTEK, PETER   | AMCAP FUND-A                        | 0.00                 | 3.10                | 0.00               | 3.10              | 0.5  | 0.02                 |
|   | ACCOUNT #: 00087410644        | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |



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| <b><u>VERRIDE TRANSACTIONS (continued)</u></b> |                                |                          |                      |                     |                    |                   |      |                      |
| <b><u>BROKER: JOSEPH FERRY (continued)</u></b> |                                |                          |                      |                     |                    |                   |      |                      |
| 03/01/2018                                     | ***-**-079I - HOEBEL, ROBERT   | AMCAP FUND-A             | 0.00                 | 19.18               | 0.00               | 19.18             | 0.5  | 0.10                 |
|  | ACCOUNT #: 00088173573         | BUY 0 Units @0.0000      |                      |                     |                    |                   |      |                      |
| 02/26/2018                                     | ***-**-7973 - ROOSA, JOHN      | AMERICAN BALANCED FUND-A | 159.28               | 4.38                | 0.00               | 4.38              | 0.5  | 0.02                 |
|  | ACCOUNT #: 04000563712         | BUY 6 Units @28.5600     |                      |                     |                    |                   |      |                      |
| 02/26/2018                                     | ***-**-7973 - ROOSA, JOHN      | AMERICAN BALANCED FUND-A | 47.78                | 1.31                | 0.00               | 1.31              | 0.5  | 0.01                 |
|  | ACCOUNT #: 04000563712         | BUY 2 Units @28.5600     |                      |                     |                    |                   |      |                      |
| 02/28/2018                                     | ***-**-9465 - CARLSON HOLDINGS | AMERICAN BALANCED FUND-A | 976.58               | 11.72               | 0.00               | 11.72             | 0.5  | 0.06                 |
|  | ACCOUNT #: 00063190266         | BUY 35 Units @27.5100    |                      |                     |                    |                   |      |                      |
| 03/01/2018                                     | ***-**-9465 - CARLSON HOLDINGS | AMERICAN BALANCED FUND-A | 0.00                 | 28.44               | 0.00               | 28.44             | 0.5  | 0.14                 |
|  | ACCOUNT #: 00063190266         | BUY 0 Units @0.0000      |                      |                     |                    |                   |      |                      |
| 03/01/2018                                     | ***-**-065P - LEE, DANA        | AMERICAN BALANCED FUND-A | 0.00                 | 19.33               | 0.00               | 19.33             | 0.5  | 0.10                 |
|  | ACCOUNT #: 00064518010         | BUY 0 Units @0.0000      |                      |                     |                    |                   |      |                      |
| 03/01/2018                                     | ***-**-685P - PAPST, MADISON   | AMERICAN BALANCED FUND-A | 0.00                 | 9.92                | 0.00               | 9.92              | 0.5  | 0.05                 |
|  | ACCOUNT #: 00068832660         | BUY 0 Units @0.0000      |                      |                     |                    |                   |      |                      |
| 03/01/2018                                     | ***-**-975P - MATHISEN, PAUL   | AMERICAN BALANCED FUND-A | 0.00                 | 1.43                | 0.00               | 1.43              | 0.5  | 0.01                 |
|  | ACCOUNT #: 00073005489         | BUY 0 Units @0.0000      |                      |                     |                    |                   |      |                      |
| 03/01/2018                                     | ***-**-577I - JARVIS, JUNE     | AMERICAN BALANCED FUND-A | 0.00                 | 12.15               | 0.00               | 12.15             | 0.5  | 0.06                 |
|  | ACCOUNT #: 00073913697         | BUY 0 Units @0.0000      |                      |                     |                    |                   |      |                      |
| 03/01/2018                                     | ***-**-520I - DUMAINE, TONI    | AMERICAN BALANCED FUND-A | 0.00                 | 5.21                | 0.00               | 5.21              | 0.5  | 0.03                 |
|  | ACCOUNT #: 00074250987         | BUY 0 Units @0.0000      |                      |                     |                    |                   |      |                      |
| 03/01/2018                                     | ***-**-245P - DUMAINE, ROBERT  | AMERICAN BALANCED FUND-A | 0.00                 | 17.75               | 0.00               | 17.75             | 0.5  | 0.09                 |
|  | ACCOUNT #: 00074252014         | BUY 0 Units @0.0000      |                      |                     |                    |                   |      |                      |
| 03/01/2018                                     | ***-**-857I - MUNDO, DIANE     | AMERICAN BALANCED FUND-A | 0.00                 | 2.43                | 0.00               | 2.43              | 0.5  | 0.01                 |
|  | ACCOUNT #: 00075630059         | BUY 0 Units @0.0000      |                      |                     |                    |                   |      |                      |
| 03/01/2018                                     | ***-**-505P - MARUCA, PHELAN   | AMERICAN BALANCED FUND-A | 0.00                 | 6.73                | 0.00               | 6.73              | 0.5  | 0.03                 |
|  | ACCOUNT #: 00075760201         | BUY 0 Units @0.0000      |                      |                     |                    |                   |      |                      |
| 03/01/2018                                     | ***-**-735P - RODRIGUEZ, JOSE  | AMERICAN BALANCED FUND-A | 0.00                 | 12.33               | 0.00               | 12.33             | 0.5  | 0.06                 |
|  | ACCOUNT #: 00081805731         | BUY 0 Units @0.0000      |                      |                     |                    |                   |      |                      |
| 03/01/2018                                     | ***-**-875P - SHIMUNOV, ILICH  | AMERICAN BALANCED FUND-A | 0.00                 | 33.09               | 0.00               | 33.09             | 0.5  | 0.17                 |
|  | ACCOUNT #: 00081805810         | BUY 0 Units @0.0000      |                      |                     |                    |                   |      |                      |
| 03/01/2018                                     | ***-**-707I - COLON, ANGEL     | AMERICAN BALANCED FUND-A | 0.00                 | 29.61               | 0.00               | 29.61             | 0.5  | 0.15                 |
|  | ACCOUNT #: 00081805964         | BUY 0 Units @0.0000      |                      |                     |                    |                   |      |                      |



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| <b><u>VERRIDE TRANSACTIONS (continued)</u></b> |  |  |                      |                     |                    |                   |      |                      |
| <b><u>BROKER: JOSEPH FERRY (continued)</u></b> |  |  |                      |                     |                    |                   |      |                      |
| 03/01/2018                                     | ***-**-228I - FAULKNER,<br>ACCOUNT #: 00081805988        | AMERICAN BALANCED FUND-A<br>BUY 0 Units @0.0000          | 0.00                 | 227.28              | 0.00               | 227.28            | 0.5  | 1.14                 |
| 03/01/2018                                     | ***-**-689I - FAULKNER, SANDRA<br>ACCOUNT #: 00081806027 | AMERICAN BALANCED FUND-A<br>BUY 0 Units @0.0000          | 0.00                 | 100.03              | 0.00               | 100.03            | 0.5  | 0.50                 |
| 03/01/2018                                     | ***-**-558I - FAMIGLIETTI,<br>ACCOUNT #: 00082394254     | AMERICAN BALANCED FUND-A<br>BUY 0 Units @0.0000          | 0.00                 | 9.87                | 0.00               | 9.87              | 0.5  | 0.05                 |
| 03/01/2018                                     | ***-**-6453 - BORDONARO, LINDA<br>ACCOUNT #: 00083064667 | AMERICAN BALANCED FUND-A<br>BUY 0 Units @0.0000          | 0.00                 | 24.93               | 0.00               | 24.93             | 0.5  | 0.12                 |
| 03/01/2018                                     | ***-**-39IN - GRAZIOSA, ROBERT<br>ACCOUNT #: 00084877268 | AMERICAN BALANCED FUND-A<br>BUY 0 Units @0.0000          | 0.00                 | 1.84                | 0.00               | 1.84              | 0.5  | 0.01                 |
| 03/01/2018                                     | ***-**-7973 - ROOSA, JOHN<br>ACCOUNT #: 04000563712      | AMERICAN BALANCED FUND-A<br>BUY 0 Units @0.0000          | 0.00                 | 1.12                | 0.00               | 1.12              | 0.5  | 0.01                 |
| 03/02/2018                                     | ***-**-689I - FAULKNER, SANDRA<br>ACCOUNT #: 00081806027 | AMERICAN BALANCED FUND-A<br>BUY 11 Units @27.5300        | 298.08               | 4.77                | 0.00               | 4.77              | 0.5  | 0.02                 |
| 03/02/2018                                     | ***-**-228I - FAULKNER,<br>ACCOUNT #: 00081805988        | AMERICAN BALANCED FUND-A<br>BUY 11 Units @27.5300        | 298.08               | 4.77                | 0.00               | 4.77              | 0.5  | 0.02                 |
| 03/02/2018                                     | ***-**-228I - FAULKNER,<br>ACCOUNT #: 00081805988        | AMERICAN BALANCED FUND-A<br>BUY 11 Units @27.5300        | 298.08               | 4.77                | 0.00               | 4.77              | 0.5  | 0.02                 |
| 03/02/2018                                     | ***-**-7973 - ROOSA, JOHN<br>ACCOUNT #: 04000563712      | AMERICAN BALANCED FUND-A<br>BUY 2 Units @27.9600         | 47.78                | 1.31                | 0.00               | 1.31              | 0.5  | 0.01                 |
| 03/02/2018                                     | ***-**-7973 - ROOSA, JOHN<br>ACCOUNT #: 04000563712      | AMERICAN BALANCED FUND-A<br>BUY 6 Units @27.9600         | 159.28               | 4.38                | 0.00               | 4.38              | 0.5  | 0.02                 |
| 03/01/2018                                     | ***-**-577I - JARVIS, JUNE<br>ACCOUNT #: 00073913697     | AMERICAN BALANCED FUND-F1<br>BUY 0 Units @0.0000         | 0.00                 | 1.73                | 0.00               | 1.73              | 0.5  | 0.01                 |
| 03/01/2018                                     | ***-**-24IN - ECKER, DIANE<br>ACCOUNT #: 00084671410     | AMERICAN FUNDS 2015 TARGET DATE-A<br>BUY 0 Units @0.0000 | 0.00                 | 8.46                | 0.00               | 8.46              | 0.5  | 0.04                 |
| 03/01/2018                                     | ***-**-0891 - RAFAEL, MANUEL<br>ACCOUNT #: 00084671422   | AMERICAN FUNDS 2015 TARGET DATE-A<br>BUY 0 Units @0.0000 | 0.00                 | 27.94               | 0.00               | 27.94             | 0.5  | 0.14                 |
| 03/01/2018                                     | ***-**-8521 - ECKER, DAVID<br>ACCOUNT #: 00084671526     | AMERICAN FUNDS 2015 TARGET DATE-A<br>BUY 0 Units @0.0000 | 0.00                 | 95.95               | 0.00               | 95.95             | 0.5  | 0.48                 |
| 03/01/2018                                     | ***-**-640I - SILVA, VICTOR<br>ACCOUNT #: 00087410616    | AMERICAN FUNDS 2020 TARGET DATE-A<br>BUY 0 Units @0.0000 | 0.00                 | 5.84                | 0.00               | 5.84              | 0.5  | 0.03                 |



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| <b> OVERRIDE TRANSACTIONS (continued) </b>       |                                |                                   |                      |                     |                    |                   |      |                      |
| <b> <u>BROKER: JOSEPH FERRY (continued)</u> </b> |                                |                                   |                      |                     |                    |                   |      |                      |
| 03/01/2018                                       | ***-**-309I - PARENT, NANCY    | AMERICAN FUNDS 2020 TARGET DATE-A | 0.00                 | 5.66                | 0.00               | 5.66              | 0.5  | 0.03                 |
|  | ACCOUNT #: 00087513340         | BUY 0 Units @0.0000               |                      |                     |                    |                   |      |                      |
| 03/01/2018                                       | ***-**-3575 - LUCARELLI, DONNA | AMERICAN FUNDS 2025 TARGET DATE-A | 0.00                 | 9.57                | 0.00               | 9.57              | 0.5  | 0.05                 |
|  | ACCOUNT #: 00085997645         | BUY 0 Units @0.0000               |                      |                     |                    |                   |      |                      |
| 03/01/2018                                       | ***-**-3231 - CAIZA, HILDA     | AMERICAN FUNDS 2025 TARGET DATE-A | 0.00                 | 9.82                | 0.00               | 9.82              | 0.5  | 0.05                 |
|  | ACCOUNT #: 00085997891         | BUY 0 Units @0.0000               |                      |                     |                    |                   |      |                      |
| 03/01/2018                                       | ***-**-94CL - FERRY, CLIENTS   | AMERICAN FUNDS 2025 TARGET DATE-A | 0.00                 | 4.56                | 0.00               | 4.56              | 0.5  | 0.02                 |
|  | ACCOUNT #: 00087410573         | BUY 0 Units @0.0000               |                      |                     |                    |                   |      |                      |
| 03/01/2018                                       | ***-**-595I - BROUSSARD, NICK  | AMERICAN FUNDS 2030 TARGET DATE-A | 0.00                 | 8.04                | 0.00               | 8.04              | 0.5  | 0.04                 |
|  | ACCOUNT #: 00085289342         | BUY 0 Units @0.0000               |                      |                     |                    |                   |      |                      |
| 03/01/2018                                       | ***-**-373I - FONTES, JESSICA  | AMERICAN FUNDS 2030 TARGET DATE-A | 0.00                 | 4.09                | 0.00               | 4.09              | 0.5  | 0.02                 |
|  | ACCOUNT #: 00087410701         | BUY 0 Units @0.0000               |                      |                     |                    |                   |      |                      |
| 02/26/2018                                       | ***-**-5975 - PAQUETTE, NICOLE | AMERICAN FUNDS 2035 TARGET DATE-A | 118.85               | 3.27                | 0.00               | 3.27              | 0.5  | 0.02                 |
|  | ACCOUNT #: 04000563724         | BUY 7 Units @15.9500              |                      |                     |                    |                   |      |                      |
| 02/26/2018                                       | ***-**-5975 - PAQUETTE, NICOLE | AMERICAN FUNDS 2035 TARGET DATE-A | 44.57                | 1.23                | 0.00               | 1.23              | 0.5  | 0.01                 |
|  | ACCOUNT #: 04000563724         | BUY 3 Units @15.9500              |                      |                     |                    |                   |      |                      |
| 03/01/2018                                       | ***-**-111I - OJA, MARISSA     | AMERICAN FUNDS 2035 TARGET DATE-A | 0.00                 | 2.71                | 0.00               | 2.71              | 0.5  | 0.01                 |
|  | ACCOUNT #: 00087410497         | BUY 0 Units @0.0000               |                      |                     |                    |                   |      |                      |
| 03/01/2018                                       | ***-**-242I - KUNA, ANDRZEJ    | AMERICAN FUNDS 2035 TARGET DATE-A | 0.00                 | 2.46                | 0.00               | 2.46              | 0.5  | 0.01                 |
|  | ACCOUNT #: 00087410596         | BUY 0 Units @0.0000               |                      |                     |                    |                   |      |                      |
| 03/02/2018                                       | ***-**-5975 - PAQUETTE, NICOLE | AMERICAN FUNDS 2035 TARGET DATE-A | 44.57                | 1.23                | 0.00               | 1.23              | 0.5  | 0.01                 |
|  | ACCOUNT #: 04000563724         | BUY 3 Units @15.5500              |                      |                     |                    |                   |      |                      |
| 03/02/2018                                       | ***-**-5975 - PAQUETTE, NICOLE | AMERICAN FUNDS 2035 TARGET DATE-A | 118.85               | 3.27                | 0.00               | 3.27              | 0.5  | 0.02                 |
|  | ACCOUNT #: 04000563724         | BUY 8 Units @15.5500              |                      |                     |                    |                   |      |                      |
| 03/01/2018                                       | ***-**-2796 - ESTRELLA, JUDITH | AMERICAN FUNDS 2040 TARGET DATE-A | 0.00                 | 21.39               | 0.00               | 21.39             | 0.5  | 0.11                 |
|  | ACCOUNT #: 00084671437         | BUY 0 Units @0.0000               |                      |                     |                    |                   |      |                      |
| 03/01/2018                                       | ***-**-94CL - FERRY, CLIENTS   | AMERICAN FUNDS 2040 TARGET DATE-A | 0.00                 | 1.17                | 0.00               | 1.17              | 0.5  | 0.01                 |
|  | ACCOUNT #: 00087928423         | BUY 0 Units @0.0000               |                      |                     |                    |                   |      |                      |
| 03/01/2018                                       | ***-**-6980 - ANDRADE,         | AMERICAN FUNDS 2045 TARGET DATE-A | 0.00                 | 1.44                | 0.00               | 1.44              | 0.5  | 0.01                 |
|  | ACCOUNT #: 00084670745         | BUY 0 Units @0.0000               |                      |                     |                    |                   |      |                      |
| 03/01/2018                                       | ***-**-6931 - MILANO, ANTHONY  | AMERICAN FUNDS 2045 TARGET DATE-A | 0.00                 | 1.25                | 0.00               | 1.25              | 0.5  | 0.01                 |
|  | ACCOUNT #: 00084671439         | BUY 0 Units @0.0000               |                      |                     |                    |                   |      |                      |



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| <b><u>VERRIDE TRANSACTIONS (continued)</u></b> |                                |                                     |                      |                     |                    |                   |      |                      |
| <b><u>BROKER: JOSEPH FERRY (continued)</u></b> |                                |                                     |                      |                     |                    |                   |      |                      |
| 03/01/2018                                     | ***-**-235I - DASILVA, BRANDON | AMERICAN FUNDS 2045 TARGET DATE-A   | 0.00                 | 2.62                | 0.00               | 2.62              | 0.5  | 0.01                 |
|  | ACCOUNT #: 00088073752         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 02/26/2018                                     | ***-**-945P - MORIARTY,        | AMERICAN FUNDS 2050 TARGET DATE-A   | 187.00               | 5.14                | 0.00               | 5.14              | 0.5  | 0.03                 |
|  | ACCOUNT #: 00081526588         | BUY 11 Units @16.3200               |                      |                     |                    |                   |      |                      |
| 02/26/2018                                     | ***-**-945P - MORIARTY,        | AMERICAN FUNDS 2050 TARGET DATE-A   | 45.41                | 1.25                | 0.00               | 1.25              | 0.5  | 0.01                 |
|  | ACCOUNT #: 00081526588         | BUY 3 Units @16.3200                |                      |                     |                    |                   |      |                      |
| 02/26/2018                                     | ***-**-6923 - MELIN-MILES,     | AMERICAN FUNDS 2050 TARGET DATE-A   | 50.30                | 1.38                | 0.00               | 1.38              | 0.5  | 0.01                 |
|  | ACCOUNT #: 04000563702         | BUY 3 Units @16.3200                |                      |                     |                    |                   |      |                      |
| 02/26/2018                                     | ***-**-6923 - MELIN-MILES,     | AMERICAN FUNDS 2050 TARGET DATE-A   | 100.00               | 2.75                | 0.00               | 2.75              | 0.5  | 0.01                 |
|  | ACCOUNT #: 04000563702         | BUY 6 Units @16.3200                |                      |                     |                    |                   |      |                      |
| 03/01/2018                                     | ***-**-945P - MORIARTY,        | AMERICAN FUNDS 2050 TARGET DATE-A   | 0.00                 | 65.09               | 0.00               | 65.09             | 0.5  | 0.33                 |
|  | ACCOUNT #: 00081526588         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018                                     | ***-**-6979 - ECKER, ASHLEY    | AMERICAN FUNDS 2050 TARGET DATE-A   | 0.00                 | 14.03               | 0.00               | 14.03             | 0.5  | 0.07                 |
|  | ACCOUNT #: 00084671531         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018                                     | ***-**-950I - BACON, JENNIFER  | AMERICAN FUNDS 2050 TARGET DATE-A   | 0.00                 | 3.10                | 0.00               | 3.10              | 0.5  | 0.02                 |
|  | ACCOUNT #: 00088073764         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/02/2018                                     | ***-**-6923 - MELIN-MILES,     | AMERICAN FUNDS 2050 TARGET DATE-A   | 50.30                | 1.38                | 0.00               | 1.38              | 0.5  | 0.01                 |
|  | ACCOUNT #: 04000563702         | BUY 3 Units @15.9000                |                      |                     |                    |                   |      |                      |
| 03/02/2018                                     | ***-**-6923 - MELIN-MILES,     | AMERICAN FUNDS 2050 TARGET DATE-A   | 100.00               | 2.75                | 0.00               | 2.75              | 0.5  | 0.01                 |
|  | ACCOUNT #: 04000563702         | BUY 6 Units @15.9000                |                      |                     |                    |                   |      |                      |
| 03/02/2018                                     | ***-**-945P - MORIARTY,        | AMERICAN FUNDS 2050 TARGET DATE-A   | 45.41                | 1.25                | 0.00               | 1.25              | 0.5  | 0.01                 |
|  | ACCOUNT #: 00081526588         | BUY 3 Units @15.9000                |                      |                     |                    |                   |      |                      |
| 03/02/2018                                     | ***-**-945P - MORIARTY,        | AMERICAN FUNDS 2050 TARGET DATE-A   | 187.00               | 5.14                | 0.00               | 5.14              | 0.5  | 0.03                 |
|  | ACCOUNT #: 00081526588         | BUY 12 Units @15.9000               |                      |                     |                    |                   |      |                      |
| 03/02/2018                                     | ***-**-0611 - FAULKNER,        | AMERICAN FUNDS 2060 TARGET DATE-A   | 75.00                | 1.20                | 0.00               | 1.20              | 0.5  | 0.01                 |
|  | ACCOUNT #: 04000827629         | BUY 6 Units @12.8200                |                      |                     |                    |                   |      |                      |
| 03/02/2018                                     | ***-**-0611 - FAULKNER,        | AMERICAN FUNDS 2060 TARGET DATE-A   | 75.00                | 1.20                | 0.00               | 1.20              | 0.5  | 0.01                 |
|  | ACCOUNT #: 04000827629         | BUY 6 Units @12.8200                |                      |                     |                    |                   |      |                      |
| 03/05/2018                                     | ***-**-7960 - CARVAJAL, JUDITH | AMERICAN FUNDS BLNCD PORTFOLIO CL A | 600.01               | 27.00               | 0.00               | 27.00             | 0.5  | 0.14                 |
|  | ACCOUNT #: LSR011337           | BUY 38 Units @15.8200               |                      |                     |                    |                   |      |                      |
| 02/26/2018                                     | ***-**-3307 - COUGHLAN, HARRY  | AMERICAN FUNDS GRWTH & INCOME PORT  | 240.50               | 2.41                | 0.00               | 2.41              | 0.5  | 0.01                 |
|  | ACCOUNT #: 00084434107         | BUY 15 Units @15.5700               |                      |                     |                    |                   |      |                      |





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| <b><u>VERRIDE TRANSACTIONS (continued)</u></b> |                                |                                     |                      |                     |                    |                   |      |                      |
| <b><u>BROKER: JOSEPH FERRY (continued)</u></b> |                                |                                     |                      |                     |                    |                   |      |                      |
| 03/01/2018                                     | ***-**-2954 - RESTO, NORBERTO  | AMERICAN FUNDS GRWTH & INCOME PORT  | 0.00                 | 1.67                | 0.00               | 1.67              | 0.5  | 0.01                 |
|  | ACCOUNT #: 00069029798         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018                                     | ***-**-3307 - COUGHLAN, HARRY  | AMERICAN FUNDS GRWTH & INCOME PORT  | 0.00                 | 5.66                | 0.00               | 5.66              | 0.5  | 0.03                 |
|  | ACCOUNT #: 00084434107         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018                                     | ***-**-0391 - HERNANDEZ,       | AMERICAN FUNDS GRWTH & INCOME PORT  | 0.00                 | 3.15                | 0.00               | 3.15              | 0.5  | 0.02                 |
|  | ACCOUNT #: 00085621852         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018                                     | ***-**-245P - DUMAINE, ROBERT  | AMERICAN HIGH-INCOME TRUST-A        | 0.00                 | 3.88                | 0.00               | 3.88              | 0.5  | 0.02                 |
|  | ACCOUNT #: 00061840893         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018                                     | ***-**-88SI - CROSSMAN, ROBERT | AMERICAN HIGH-INCOME TRUST-A        | 0.00                 | 1.16                | 0.00               | 1.16              | 0.5  | 0.01                 |
|  | ACCOUNT #: 00086854812         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018                                     | ***-**-079I - HOEBEL, ROBERT   | AMERICAN HIGH-INCOME TRUST-A        | 0.00                 | 59.82               | 0.00               | 59.82             | 0.5  | 0.30                 |
|  | ACCOUNT #: 00088173573         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 02/28/2018                                     | ***-**-9465 - CARLSON HOLDINGS | AMERICAN MUTUAL FUND-A              | 170.92               | 2.05                | 0.00               | 2.05              | 0.5  | 0.01                 |
|  | ACCOUNT #: 00063190266         | BUY 4 Units @41.5000                |                      |                     |                    |                   |      |                      |
| 03/01/2018                                     | ***-**-9465 - CARLSON HOLDINGS | AMERICAN MUTUAL FUND-A              | 0.00                 | 12.27               | 0.00               | 12.27             | 0.5  | 0.06                 |
|  | ACCOUNT #: 00063190266         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018                                     | ***-**-88SI - CROSSMAN, ROBERT | AMERICAN MUTUAL FUND-A              | 0.00                 | 3.73                | 0.00               | 3.73              | 0.5  | 0.02                 |
|  | ACCOUNT #: 00086854812         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018                                     | ***-**-761I - HUSTEK, PETER    | AMERICAN MUTUAL FUND-A              | 0.00                 | 2.28                | 0.00               | 2.28              | 0.5  | 0.01                 |
|  | ACCOUNT #: 00087410644         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018                                     | ***-**-079I - HOEBEL, ROBERT   | AMERICAN MUTUAL FUND-A              | 0.00                 | 37.72               | 0.00               | 37.72             | 0.5  | 0.19                 |
|  | ACCOUNT #: 00088173573         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018                                     | ***-**-88SI - CROSSMAN, ROBERT | CAPITAL INCOME BUILDER-A            | 0.00                 | 1.37                | 0.00               | 1.37              | 0.5  | 0.01                 |
|  | ACCOUNT #: 00086854812         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018                                     | ***-**-716I - PAPST, JASON     | CAPITAL WORLD GROWTH AND INCOME FUN | 0.00                 | 12.23               | 0.00               | 12.23             | 0.5  | 0.06                 |
|  | ACCOUNT #: 00067533376         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018                                     | ***-**-985P - PAPST, MEREDITH  | CAPITAL WORLD GROWTH AND INCOME FUN | 0.00                 | 2.79                | 0.00               | 2.79              | 0.5  | 0.01                 |
|  | ACCOUNT #: 00067807144         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/12/2018                                     | ***-**-235I - DASILVA, BRANDON | CHET ADVISOR 529 TRAILS             | 0.00                 | 87.46               | 0.00               | 87.46             | 0.5  | 0.44                 |
|  | ACCOUNT #: 68701113601         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 02/28/2018                                     | ***-**-9465 - CARLSON HOLDINGS | EUROPACIFIC GROWTH FUND-A           | 378.46               | 4.54                | 0.00               | 4.54              | 0.5  | 0.02                 |
|  | ACCOUNT #: 00063190266         | BUY 7 Units @58.0800                |                      |                     |                    |                   |      |                      |



# COMMISSION STATEMENT

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| DATE  | CLIENT                         | INVESTMENT                | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|---|--------------------------------|---------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b><u> OVERRIDE TRANSACTIONS (continued) </u></b> |                                |                           |                      |                     |                    |                   |      |                      |
| <b><u> BROKER: JOSEPH FERRY (continued) </u></b>  |                                |                           |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-9465 - CARLSON HOLDINGS | EUROPACIFIC GROWTH FUND-A | 0.00                 | 15.66               | 0.00               | 15.66             | 0.5  | 0.08                 |
|   | ACCOUNT #: 00063190266         | BUY 0 Units @0.0000       |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-761I - HUSTEK, PETER    | EUROPACIFIC GROWTH FUND-A | 0.00                 | 2.20                | 0.00               | 2.20              | 0.5  | 0.01                 |
|   | ACCOUNT #: 00087410644         | BUY 0 Units @0.0000       |                      |                     |                    |                   |      |                      |
| 03/07/2018  | ***-**-657Q - EDWARD SEGAL     | FAC02                     | 0.00                 | 10.23               | 0.00               | 10.23             | 0.5  | 0.05                 |
|   | ACCOUNT #: 00670223965         | BUY 0 Units @0.0000       |                      |                     |                    |                   |      |                      |
| 03/07/2018  | ***-**-657Q - EDWARD SEGAL     | FIDELITY FMR1310          | 0.00                 | 13.05               | 0.00               | 13.05             | 0.5  | 0.07                 |
|   | ACCOUNT #: 00670223965         | BUY 0 Units @0.0000       |                      |                     |                    |                   |      |                      |
| 03/07/2018  | ***-**-657Q - EDWARD SEGAL     | FMR1197                   | 0.00                 | 11.93               | 0.00               | 11.93             | 0.5  | 0.06                 |
|   | ACCOUNT #: 00670223965         | BUY 0 Units @0.0000       |                      |                     |                    |                   |      |                      |
| 03/07/2018  | ***-**-657Q - EDWARD SEGAL     | FMR1305                   | 0.00                 | 5.72                | 0.00               | 5.72              | 0.5  | 0.03                 |
|   | ACCOUNT #: 00670223965         | BUY 0 Units @0.0000       |                      |                     |                    |                   |      |                      |
| 03/07/2018  | ***-**-657Q - EDWARD SEGAL     | FMR1608                   | 0.00                 | 3.59                | 0.00               | 3.59              | 0.5  | 0.02                 |
|   | ACCOUNT #: 00670223965         | BUY 0 Units @0.0000       |                      |                     |                    |                   |      |                      |
| 03/07/2018  | ***-**-657Q - EDWARD SEGAL     | FMR168                    | 0.00                 | 35.94               | 0.00               | 35.94             | 0.5  | 0.18                 |
|   | ACCOUNT #: 00670223965         | BUY 0 Units @0.0000       |                      |                     |                    |                   |      |                      |
| 03/07/2018  | ***-**-657Q - EDWARD SEGAL     | FMR170                    | 0.00                 | 31.50               | 0.00               | 31.50             | 0.5  | 0.16                 |
|   | ACCOUNT #: 00670223965         | BUY 0 Units @0.0000       |                      |                     |                    |                   |      |                      |
| 03/07/2018  | ***-**-657Q - EDWARD SEGAL     | FMR174                    | 0.00                 | 3.57                | 0.00               | 3.57              | 0.5  | 0.02                 |
|   | ACCOUNT #: 00670223965         | BUY 0 Units @0.0000       |                      |                     |                    |                   |      |                      |
| 03/07/2018  | ***-**-657Q - EDWARD SEGAL     | FMR175                    | 0.00                 | 9.69                | 0.00               | 9.69              | 0.5  | 0.05                 |
|   | ACCOUNT #: 00670223965         | BUY 0 Units @0.0000       |                      |                     |                    |                   |      |                      |
| 03/07/2018  | ***-**-657Q - EDWARD SEGAL     | FMR2337                   | 0.00                 | 4.26                | 0.00               | 4.26              | 0.5  | 0.02                 |
|   | ACCOUNT #: 00670223965         | BUY 0 Units @0.0000       |                      |                     |                    |                   |      |                      |
| 03/07/2018  | ***-**-657Q - EDWARD SEGAL     | FMR2444                   | 0.00                 | 5.27                | 0.00               | 5.27              | 0.5  | 0.03                 |
|   | ACCOUNT #: 00670223965         | BUY 0 Units @0.0000       |                      |                     |                    |                   |      |                      |
| 03/07/2018  | ***-**-657Q - EDWARD SEGAL     | FMR274                    | 0.00                 | 19.96               | 0.00               | 19.96             | 0.5  | 0.10                 |
|   | ACCOUNT #: 00670223965         | BUY 0 Units @0.0000       |                      |                     |                    |                   |      |                      |
| 03/07/2018  | ***-**-657Q - EDWARD SEGAL     | FMR280                    | 0.00                 | 18.28               | 0.00               | 18.28             | 0.5  | 0.09                 |
|   | ACCOUNT #: 00670223965         | BUY 0 Units @0.0000       |                      |                     |                    |                   |      |                      |
| 03/07/2018  | ***-**-657Q - EDWARD SEGAL     | FMR286                    | 0.00                 | 55.65               | 0.00               | 55.65             | 0.5  | 0.28                 |
|   | ACCOUNT #: 00670223965         | BUY 0 Units @0.0000       |                      |                     |                    |                   |      |                      |



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|---|-------------------------------|-------------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b><u> OVERRIDE TRANSACTIONS (continued) </u></b> |                               |                                     |                      |                     |                    |                   |      |                      |
| <b><u>BROKER: JOSEPH FERRY (continued)</u></b>    |                               |                                     |                      |                     |                    |                   |      |                      |
| 03/07/2018  | ***-**-657Q - EDWARD SEGAL    | FMR287                              | 0.00                 | 7.77                | 0.00               | 7.77              | 0.5  | 0.04                 |
|   | ACCOUNT #: 00670223965        | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/07/2018  | ***-**-657Q - EDWARD SEGAL    | FMR292                              | 0.00                 | 1.52                | 0.00               | 1.52              | 0.5  | 0.01                 |
|   | ACCOUNT #: 00670223965        | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/07/2018  | ***-**-657Q - EDWARD SEGAL    | FMR299                              | 0.00                 | 33.12               | 0.00               | 33.12             | 0.5  | 0.17                 |
|   | ACCOUNT #: 00670223965        | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/07/2018  | ***-**-657Q - EDWARD SEGAL    | FMR531                              | 0.00                 | 51.81               | 0.00               | 51.81             | 0.5  | 0.26                 |
|   | ACCOUNT #: 00670223965        | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/07/2018  | ***-**-657Q - EDWARD SEGAL    | FMR720                              | 0.00                 | 10.24               | 0.00               | 10.24             | 0.5  | 0.05                 |
|   | ACCOUNT #: 00670223965        | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/07/2018  | ***-**-657Q - EDWARD SEGAL    | FMRR1192                            | 0.00                 | 4.11                | 0.00               | 4.11              | 0.5  | 0.02                 |
|   | ACCOUNT #: 00670223965        | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-079I - HOEBEL, ROBERT  | FUNDAMENTAL INVESTORS-A             | 0.00                 | 40.79               | 0.00               | 40.79             | 0.5  | 0.20                 |
|   | ACCOUNT #: 00088173573        | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-065I - BURGIO, ENRICO  | INCOME FUND OF AMERICA CLASS C      | 0.00                 | 1.38                | 0.00               | 1.38              | 0.5  | 0.01                 |
|   | ACCOUNT #: 00086632520        | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-035I - GRAZIOSA, CAROL | INCOME FUND OF AMERICA CLASS C      | 0.00                 | 9.32                | 0.00               | 9.32              | 0.5  | 0.05                 |
|   | ACCOUNT #: 00087227576        | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/12/2018  | ***-**-90IN - GAW, PATRICIA   | INVESCO AMERICAN FRANCHISE FUND -CL | 0.00                 | 7.85                | 0.00               | 7.85              | 0.5  | 0.04                 |
|   | ACCOUNT #: LSR011025          | BUY 1 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/12/2018  | ***-**-90IN - GAW, PATRICIA   | INVESCO VAN KAMPEN VALUE OPP CLASS  | 0.00                 | 3.06                | 0.00               | 3.06              | 0.5  | 0.02                 |
|   | ACCOUNT #: LSR011025          | BUY 1 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/12/2018  | ***-**-968X - GAW, LELAND     | MASSACHUSETTS INVESTORS TRUST-A     | 0.00                 | 5.74                | 0.00               | 5.74              | 0.5  | 0.03                 |
|   | ACCOUNT #: LSR010777          | BUY 1 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/12/2018  | ***-**-552I - FAMIGLIETTI,    | MASSACHUSETTS INVESTORS TRUST-A     | 0.00                 | 5.50                | 0.00               | 5.50              | 0.5  | 0.03                 |
|   | ACCOUNT #: LSR011127          | BUY 1 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/12/2018  | ***-**-968X - GAW, LELAND     | MFS LIMITED MATURITY FUND-A         | 0.00                 | 1.42                | 0.00               | 1.42              | 0.5  | 0.01                 |
|   | ACCOUNT #: LSR010777          | BUY 1 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/12/2018  | ***-**-552I - FAMIGLIETTI,    | MFS RESEARCH BOND FUND CLASS A      | 0.00                 | 1.26                | 0.00               | 1.26              | 0.5  | 0.01                 |
|   | ACCOUNT #: LSR011127          | BUY 1 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/12/2018  | ***-**-968X - GAW, LELAND     | MFS STRATEGIC INCOME FUND-A         | 0.00                 | 3.91                | 0.00               | 3.91              | 0.5  | 0.02                 |
|   | ACCOUNT #: LSR010777          | BUY 1 Units @0.0000                 |                      |                     |                    |                   |      |                      |



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|--|--|--|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b><u>VERRIDE TRANSACTIONS (continued)</u></b> |  |  |                      |                     |                    |                   |      |                      |
| <b><u>BROKER: JOSEPH FERRY (continued)</u></b> |  |  |                      |                     |                    |                   |      |                      |
| 03/12/2018                                     | ***-**-552X - FAMIGLIETTI,<br>ACCOUNT #: LSR010780       | MFS STRATEGIC INCOME FUND-A<br>BUY 1 Units @0.0000           | 0.00                 | 4.29                | 0.00               | 4.29              | 0.5  | 0.02                 |
| 03/01/2018                                     | ***-**-857I - MUNDO, DIANE<br>ACCOUNT #: 00075630059     | NEW PERSPECTIVE FUND-A<br>BUY 0 Units @0.0000                | 0.00                 | 2.70                | 0.00               | 2.70              | 0.5  | 0.01                 |
| 03/01/2018                                     | ***-**-079I - HOEBEL, ROBERT<br>ACCOUNT #: 00088173573   | NEW PERSPECTIVE FUND-A<br>BUY 0 Units @0.0000                | 0.00                 | 19.19               | 0.00               | 19.19             | 0.5  | 0.10                 |
| 03/12/2018                                     | ***-**-447I - BELVAL, PAUL<br>ACCOUNT #: 7200002672      | SAMMONS MF TRAILS<br>BUY 0 Units @0.0000                     | 0.00                 | 72.02               | 0.00               | 72.02             | 0.5  | 0.36                 |
| 03/12/2018                                     | ***-**-057I - DASILVA, JOSE<br>ACCOUNT #: 7200010529     | SAMMONS MF TRAILS<br>BUY 0 Units @0.0000                     | 0.00                 | 12.92               | 0.00               | 12.92             | 0.5  | 0.06                 |
| 03/12/2018                                     | ***-**-700I - NIHILL, TODD<br>ACCOUNT #: 7200019445      | SAMMONS MF TRAILS<br>BUY 0 Units @0.0000                     | 0.00                 | 32.69               | 0.00               | 32.69             | 0.5  | 0.16                 |
| 03/12/2018                                     | ***-**-176I - RIOS, CARLOS<br>ACCOUNT #: 7200020442      | SAMMONS MF TRAILS<br>BUY 0 Units @0.0000                     | 0.00                 | 13.71               | 0.00               | 13.71             | 0.5  | 0.07                 |
| 03/12/2018                                     | ***-**-358I - KALLIPOLITES,<br>ACCOUNT #: 7200022756     | SAMMONS MF TRAILS<br>BUY 0 Units @0.0000                     | 0.00                 | 45.38               | 0.00               | 45.38             | 0.5  | 0.23                 |
| 02/28/2018                                     | ***-**-9465 - CARLSON HOLDINGS<br>ACCOUNT #: 00063190266 | THE BOND FUND OF AMERICA-A<br>BUY 23 Units @12.7900          | 295.30               | 3.54                | 0.00               | 3.54              | 0.5  | 0.02                 |
| 03/01/2018                                     | ***-**-9465 - CARLSON HOLDINGS<br>ACCOUNT #: 00063190266 | THE BOND FUND OF AMERICA-A<br>BUY 0 Units @0.0000            | 0.00                 | 55.21               | 0.00               | 55.21             | 0.5  | 0.28                 |
| 03/01/2018                                     | ***-**-065I - BURGIO, ENRICO<br>ACCOUNT #: 00086632520   | THE BOND FUND OF AMERICA-C<br>BUY 0 Units @0.0000            | 0.00                 | 1.06                | 0.00               | 1.06              | 0.5  | 0.01                 |
| 02/28/2018                                     | ***-**-9465 - CARLSON HOLDINGS<br>ACCOUNT #: 00063190266 | THE GROWTH FUND OF AMERICA-A<br>BUY 9 Units @52.9100         | 462.15               | 5.55                | 0.00               | 5.55              | 0.5  | 0.03                 |
| 03/01/2018                                     | ***-**-9465 - CARLSON HOLDINGS<br>ACCOUNT #: 00063190266 | THE GROWTH FUND OF AMERICA-A<br>BUY 0 Units @0.0000          | 0.00                 | 96.49               | 0.00               | 96.49             | 0.5  | 0.48                 |
| 03/01/2018                                     | ***-**-857I - MUNDO, DIANE<br>ACCOUNT #: 00075630059     | THE GROWTH FUND OF AMERICA-A<br>BUY 0 Units @0.0000          | 0.00                 | 2.75                | 0.00               | 2.75              | 0.5  | 0.01                 |
| 03/01/2018                                     | ***-**-079I - HOEBEL, ROBERT<br>ACCOUNT #: 00088173573   | THE INCOME FUND OF AMERICA-A<br>BUY 0 Units @0.0000          | 0.00                 | 101.47              | 0.00               | 101.47            | 0.5  | 0.51                 |
| 02/28/2018                                     | ***-**-9465 - CARLSON HOLDINGS<br>ACCOUNT #: 00063190266 | THE INVESTMENT COMPANY OF AMERICA-A<br>BUY 29 Units @41.8100 | 1,229.02             | 14.75               | 0.00               | 14.75             | 0.5  | 0.07                 |



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|--|--------------------------------|-------------------------------------|----------------------|---------------------|--------------------|---------------------|------|----------------------|
| <b> OVERRIDE TRANSACTIONS (continued) </b>       |                                |                                     |                      |                     |                    |                     |      |                      |
| <b> <u>BROKER: JOSEPH FERRY (continued)</u> </b> |                                |                                     |                      |                     |                    |                     |      |                      |
| 03/01/2018                                       | ***-**-9465 - CARLSON HOLDINGS | THE INVESTMENT COMPANY OF AMERICA-A | 0.00                 | 116.85              | 0.00               | 116.85              | 0.5  | 0.58                 |
|  | ACCOUNT #: 00063190266         | BUY 0 Units @0.0000                 |                      |                     |                    |                     |      |                      |
| 03/01/2018                                       | ***-**-857I - MUNDO, DIANE     | THE INVESTMENT COMPANY OF AMERICA-A | 0.00                 | 2.58                | 0.00               | 2.58                | 0.5  | 0.01                 |
|  | ACCOUNT #: 00075630059         | BUY 0 Units @0.0000                 |                      |                     |                    |                     |      |                      |
| 03/01/2018                                       | ***-**-77IN - JARVIS, DEVIN    | THE INVESTMENT COMPANY OF AMERICA-A | 0.00                 | 24.74               | 0.00               | 24.74               | 0.5  | 0.12                 |
|  | ACCOUNT #: 00933494603         | BUY 0 Units @0.0000                 |                      |                     |                    |                     |      |                      |
| 03/01/2018                                       | ***-**-716I - PAPST, JASON     | U.S. GOVERNMENT SECURITIES FUND CLA | 0.00                 | 9.81                | 0.00               | 9.81                | 0.5  | 0.05                 |
|  | ACCOUNT #: 00067533376         | BUY 0 Units @0.0000                 |                      |                     |                    |                     |      |                      |
| 03/01/2018                                       | ***-**-985P - PAPST, MEREDITH  | U.S. GOVERNMENT SECURITIES FUND CLA | 0.00                 | 1.83                | 0.00               | 1.83                | 0.5  | 0.01                 |
|  | ACCOUNT #: 00067807144         | BUY 0 Units @0.0000                 |                      |                     |                    |                     |      |                      |
| 03/01/2018                                       | ***-**-875P - SHIMUNOV, ILICH  | U.S. GOVERNMENT SECURITIES FUND CLA | 0.00                 | 18.01               | 0.00               | 18.01               | 0.5  | 0.09                 |
|  | ACCOUNT #: 00081805810         | BUY 0 Units @0.0000                 |                      |                     |                    |                     |      |                      |
| 03/01/2018                                       | ***-**-079I - HOEBEL, ROBERT   | U.S. GOVERNMENT SECURITIES FUND CLA | 0.00                 | 56.17               | 0.00               | 56.17               | 0.5  | 0.28                 |
|  | ACCOUNT #: 00088173573         | BUY 0 Units @0.0000                 |                      |                     |                    |                     |      |                      |
| 03/01/2018                                       | ***-**-035I - GRAZIOSA, CAROL  | U.S. GOVERNMENT SECURITIES FUND-C   | 0.00                 | 6.44                | 0.00               | 6.44                | 0.5  | 0.03                 |
|  | ACCOUNT #: 00087227576         | BUY 0 Units @0.0000                 |                      |                     |                    |                     |      |                      |
| 03/01/2018                                       | ***-**-245P - DUMAINE, ROBERT  | WASHINGTON MUTUAL INVESTORS FUND-A  | 0.00                 | 4.52                | 0.00               | 4.52                | 0.5  | 0.02                 |
|  | ACCOUNT #: 00061840893         | BUY 0 Units @0.0000                 |                      |                     |                    |                     |      |                      |
| 03/01/2018                                       | ***-**-716I - PAPST, JASON     | WASHINGTON MUTUAL INVESTORS FUND-A  | 0.00                 | 12.22               | 0.00               | 12.22               | 0.5  | 0.06                 |
|  | ACCOUNT #: 00067533376         | BUY 0 Units @0.0000                 |                      |                     |                    |                     |      |                      |
| 03/01/2018                                       | ***-**-985P - PAPST, MEREDITH  | WASHINGTON MUTUAL INVESTORS FUND-A  | 0.00                 | 2.93                | 0.00               | 2.93                | 0.5  | 0.01                 |
|  | ACCOUNT #: 00067807144         | BUY 0 Units @0.0000                 |                      |                     |                    |                     |      |                      |
| 03/01/2018                                       | ***-**-857I - MUNDO, DIANE     | WASHINGTON MUTUAL INVESTORS FUND-A  | 0.00                 | 2.49                | 0.00               | 2.49                | 0.5  | 0.01                 |
|  | ACCOUNT #: 00075630059         | BUY 0 Units @0.0000                 |                      |                     |                    |                     |      |                      |
| <b> * JOSEPH FERRY SUBTOTAL * </b>               |                                |                                     | <b> \$6,903.56 </b>  | <b> \$2,403.01 </b> | <b> \$0.00 </b>    | <b> \$2,403.01 </b> |      | <b> \$12.11 </b>     |
| <b> <u>BROKER: SANDINO VERRELLI</u> </b>         |                                |                                     |                      |                     |                    |                     |      |                      |
| 03/01/2018                                       | ***-**-53DV - ZAKJAK INC 401K  | AMERICAN FUNDS 2025 TARGET DATE-R3  | 0.00                 | 2.31                | 0.00               | 2.31                | 0.5  | 0.01                 |
|  | ACCOUNT #: 01400125100         | BUY 0 Units @0.0000                 |                      |                     |                    |                     |      |                      |
| 03/01/2018                                       | ***-**-53DV - ZAKJAK INC 401K  | AMERICAN FUNDS 2030 TARGET DATE-R3  | 0.00                 | 134.05              | 0.00               | 134.05              | 0.5  | 0.67                 |
|  | ACCOUNT #: 01406131440         | BUY 0 Units @0.0000                 |                      |                     |                    |                     |      |                      |
| 03/12/2018                                       | ***-**-925P - LENNON, JENNY    | CHET 529                            | 50.00                | 1.25                | 0.00               | 1.25                | 0.5  | 0.01                 |
|  | ACCOUNT #: 68507712801         | BUY 0 Units @0.0000                 |                      |                     |                    |                     |      |                      |



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|--|--------------------------------------|-------------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b><u> OVERRIDE TRANSACTIONS (continued) </u></b>  |                                      |                                     |                      |                     |                    |                   |      |                      |
| <b><u>BROKER: SANDINO VERRELLI (continued)</u></b> |                                      |                                     |                      |                     |                    |                   |      |                      |
| 03/12/2018   | ***-**-725P - COLON, SAMUAL          | CHET ADVISOR 529 TRAILS             | 0.00                 | 1.82                | 0.00               | 1.82              | 0.5  | 0.01                 |
|  | ACCOUNT #: 68161143301               | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/12/2018   | ***-**-425P - ARTMAN, RONALD         | CHET ADVISOR 529 TRAILS             | 0.00                 | 3.98                | 0.00               | 3.98              | 0.5  | 0.02                 |
|  | ACCOUNT #: 68484446101               | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-663I - CATINO, MICHELLE       | EUROPACIFIC GROWTH FUND-A           | 0.00                 | 4.31                | 0.00               | 4.31              | 0.5  | 0.02                 |
|  | ACCOUNT #: 00083859535               | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-53DV - ZAKJAK INC 401K        | FUNDAMENTAL INVESTORS-R3            | 0.00                 | 5.61                | 0.00               | 5.61              | 0.5  | 0.03                 |
|  | ACCOUNT #: 01238151191               | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-632O - BELL, ASHLEY           | PUTNAM ASSET ALLOC CONSERV-A        | 100.00               | 5.00                | 0.00               | 5.00              | 0.5  | 0.03                 |
|  | ACCOUNT #: 00551118025               | BUY 9 Units @11.3300                |                      |                     |                    |                   |      |                      |
| 03/12/2018   | ***-**-61IN - BRINK, GLENN           | SAMMONS MF TRAILS                   | 0.00                 | 13.92               | 0.00               | 13.92             | 0.5  | 0.07                 |
|  | ACCOUNT #: 7200001962                | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-663I - CATINO, MICHELLE       | THE INVESTMENT COMPANY OF AMERICA-A | 0.00                 | 6.53                | 0.00               | 6.53              | 0.5  | 0.03                 |
|  | ACCOUNT #: 00083859535               | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
|  | <b>* SANDINO VERRELLI SUBTOTAL *</b> |                                     | <b>\$150.00</b>      | <b>\$178.78</b>     | <b>\$0.00</b>      | <b>\$178.78</b>   |      | <b>\$0.90</b>        |
| <b><u>BROKER: ROGER LUNDY</u></b>                  |                                      |                                     |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-856J - POINDEXTER,            | AMERICAN BALANCED FUND-A            | 0.00                 | 2.26                | 0.00               | 2.26              | 0.5  | 0.01                 |
|  | ACCOUNT #: 00073034233               | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/12/2018   | ***-**-526O - MASON, YVETTE          | NUVEEN PENNSYLVANIA MUNI BD A       | 0.00                 | 6.89                | 0.00               | 6.89              | 0.5  | 0.03                 |
|  | ACCOUNT #: LSR010962                 | BUY 1 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/12/2018   | ***-**-639J - DAVIS, JAMES           | NUVEEN PENNSYLVANIA MUNI BD A       | 0.00                 | 7.58                | 0.00               | 7.58              | 0.5  | 0.04                 |
|  | ACCOUNT #: LSR011706                 | BUY 1 Units @0.0000                 |                      |                     |                    |                   |      |                      |
|  | <b>* ROGER LUNDY SUBTOTAL *</b>      |                                     | <b>\$0.00</b>        | <b>\$16.73</b>      | <b>\$0.00</b>      | <b>\$16.73</b>    |      | <b>\$0.08</b>        |
| <b><u>BROKER: ALEX GEORGIEV</u></b>                |                                      |                                     |                      |                     |                    |                   |      |                      |
| 02/17/2018   | ***-**-797I - FITZSIMONS,            | TA LANDMARK VARIABLE ANNUITY        | 0.00                 | 4.12                | 0.00               | 4.12              | 0.5  | 0.02                 |
|  | ACCOUNT #: 110539LK1                 | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-843P - FERRENTINO,            | AF SHORT-TERM TAX-EXEMPT BOND FUND- | 0.00                 | 1.72                | 0.00               | 1.72              | 0.5  | 0.01                 |
|  | ACCOUNT #: 00061255404               | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/12/2018   | ***-**-22SI - PROUL, JEFFRY          | AIM GLOBAL HEALTH CARE FUND CLASS A | 0.00                 | 1.67                | 0.00               | 1.67              | 0.5  | 0.01                 |
|  | ACCOUNT #: LSR000175                 | BUY 1 Units @0.0000                 |                      |                     |                    |                   |      |                      |



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|---|--|--|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b><u>VERRIDE TRANSACTIONS (continued)</u></b>  |  |  |                      |                     |                    |                   |      |                      |
| <b><u>BROKER: ALEX GEORGIEV (continued)</u></b> |  |  |                      |                     |                    |                   |      |                      |
| 03/12/2018                                      | ***-**-60TR - BLANCHARD TRUST,<br>ACCOUNT #: LSR010327 | AIM GLOBAL VALUE FUND - CLASS A<br>BUY 1 Units @0.0000     | 0.00                 | 4.88                | 0.00               | 4.88              | 0.5  | 0.02                 |
| 03/12/2018                                      | ***-**-126I - NYBERG-PENNELL,<br>ACCOUNT #: LSR011843  | AIM HIGH YIELD FUND - CLASS A<br>BUY 1 Units @0.0000       | 0.00                 | 4.82                | 0.00               | 4.82              | 0.5  | 0.02                 |
| 03/12/2018                                      | ***-**-60TR - BLANCHARD TRUST,<br>ACCOUNT #: LSR010327 | AIM INTERNATIONAL GROWTH FUND - CL<br>BUY 1 Units @0.0000  | 0.00                 | 4.55                | 0.00               | 4.55              | 0.5  | 0.02                 |
| 03/12/2018                                      | ***-**-371I - MASELLI, PIER<br>ACCOUNT #: LSR009172    | AIM REAL ESTATE FUND - CLASS A<br>BUY 1 Units @0.0000      | 0.00                 | 2.14                | 0.00               | 2.14              | 0.5  | 0.01                 |
| 03/12/2018                                      | ***-**-468I - FERA, ANGELO<br>ACCOUNT #: LSR009598     | AIM REAL ESTATE FUND - CLASS A<br>BUY 1 Units @0.0000      | 0.00                 | 1.01                | 0.00               | 1.01              | 0.5  | 0.01                 |
| 03/12/2018                                      | ***-**-141I - FELICETTI, MARY<br>ACCOUNT #: LSR009695  | AIM REAL ESTATE FUND - CLASS A<br>BUY 1 Units @0.0000      | 0.00                 | 2.08                | 0.00               | 2.08              | 0.5  | 0.01                 |
| 03/12/2018                                      | ***-**-521O - MCCUNE, ELAINE<br>ACCOUNT #: LSR009962   | AIM REAL ESTATE FUND - CLASS A<br>BUY 1 Units @0.0000      | 0.00                 | 1.01                | 0.00               | 1.01              | 0.5  | 0.01                 |
| 03/12/2018                                      | ***-**-989I - MCCUNE, FRANK<br>ACCOUNT #: LSR010237    | AIM REAL ESTATE FUND - CLASS A<br>BUY 1 Units @0.0000      | 0.00                 | 1.40                | 0.00               | 1.40              | 0.5  | 0.01                 |
| 03/12/2018                                      | ***-**-8658 - SOLOFF, MIRIAM<br>ACCOUNT #: LSR105201   | ALLIANCE BERNSTEIN GLOBAL TECHNOLOG<br>BUY 1 Units @0.0000 | 0.00                 | 2.25                | 0.00               | 2.25              | 0.5  | 0.01                 |
| 03/12/2018                                      | ***-**-37IN - STENDERA, BERTHA<br>ACCOUNT #: LSR009261 | ALLIANCEBERNSTEIN GLO GOVT INC TRST<br>BUY 1 Units @0.0000 | 0.00                 | 1.03                | 0.00               | 1.03              | 0.5  | 0.01                 |
| 03/12/2018                                      | ***-**-259J - WACHS, MARJORIE<br>ACCOUNT #: LSR009407  | ALLIANCEBERNSTEIN GLO GOVT INC TRST<br>BUY 1 Units @0.0000 | 0.00                 | 4.91                | 0.00               | 4.91              | 0.5  | 0.02                 |
| 02/22/2018                                      | ***-**-69IN - FOULK, FLOYD<br>ACCOUNT #: 03310275876   | ALLIANCEBERNSTEIN GROWTH A<br>BUY 1 Units @79.6700         | 50.00                | 2.00                | 0.00               | 2.00              | 0.5  | 0.01                 |
| 03/12/2018                                      | ***-**-017J - TAZUMA, MIYOKO<br>ACCOUNT #: LSR009466   | ALLIANCEBERNSTEIN GROWTH AND INC A<br>BUY 1 Units @0.0000  | 0.00                 | 7.15                | 0.00               | 7.15              | 0.5  | 0.04                 |
| 03/12/2018                                      | ***-**-63UT - DIMALANTA,<br>ACCOUNT #: LSR010272       | ALLIANCEBERNSTEIN GROWTH AND INC A<br>BUY 1 Units @0.0000  | 0.00                 | 4.81                | 0.00               | 4.81              | 0.5  | 0.02                 |
| 03/12/2018                                      | ***-**-4726 - SOIFER, SEP<br>ACCOUNT #: LSR105236      | ALLIANCEBERNSTEIN LARGE-CAP GROWTH<br>BUY 1 Units @0.0000  | 0.00                 | 2.18                | 0.00               | 2.18              | 0.5  | 0.01                 |
| 02/28/2018                                      | ***-**-785P - TRAUT, ASHLEY<br>ACCOUNT #: 00086549630  | AMCAP FUND-529A<br>BUY 3 Units @33.9000                    | 100.00               | 2.75                | 0.00               | 2.75              | 0.5  | 0.01                 |



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| <b><u>VERRIDE TRANSACTIONS (continued)</u></b>  |  |  |                      |                     |                    |                   |      |                      |
| <b><u>BROKER: ALEX GEORGIEV (continued)</u></b> |  |  |                      |                     |                    |                   |      |                      |
| 03/01/2018                                      | ***-**-915P - GOCHNAUER,<br>ACCOUNT #: 00081493668       | AMCAP FUND-529A<br>BUY 0 Units @0.0000 | 0.00                 | 8.74                | 0.00               | 8.74              | 0.5  | 0.04                 |
| 03/01/2018                                      | ***-**-915P - GOCHNAUER,<br>ACCOUNT #: 00081493706       | AMCAP FUND-529A<br>BUY 0 Units @0.0000 | 0.00                 | 8.74                | 0.00               | 8.74              | 0.5  | 0.04                 |
| 03/01/2018                                      | ***-**-005P - MUPPIDI, ASHISH<br>ACCOUNT #: 00082114467  | AMCAP FUND-529A<br>BUY 0 Units @0.0000 | 0.00                 | 2.34                | 0.00               | 2.34              | 0.5  | 0.01                 |
| 03/01/2018                                      | ***-**-735P - MARKSAMER,<br>ACCOUNT #: 00086018329       | AMCAP FUND-529A<br>BUY 0 Units @0.0000 | 0.00                 | 6.68                | 0.00               | 6.68              | 0.5  | 0.03                 |
| 03/01/2018                                      | ***-**-845P - TRAUT, SHEILA<br>ACCOUNT #: 00086023465    | AMCAP FUND-529A<br>BUY 0 Units @0.0000 | 0.00                 | 3.47                | 0.00               | 3.47              | 0.5  | 0.02                 |
| 03/01/2018                                      | ***-**-845P - TRAUT, SHEILA<br>ACCOUNT #: 00086023476    | AMCAP FUND-529A<br>BUY 0 Units @0.0000 | 0.00                 | 3.47                | 0.00               | 3.47              | 0.5  | 0.02                 |
| 03/01/2018                                      | ***-**-525P - GARDNER, DANIEL<br>ACCOUNT #: 00086081038  | AMCAP FUND-529A<br>BUY 0 Units @0.0000 | 0.00                 | 7.45                | 0.00               | 7.45              | 0.5  | 0.04                 |
| 03/01/2018                                      | ***-**-185P - BROZIC, MICHAEL<br>ACCOUNT #: 00086510064  | AMCAP FUND-529A<br>BUY 0 Units @0.0000 | 0.00                 | 8.29                | 0.00               | 8.29              | 0.5  | 0.04                 |
| 03/01/2018                                      | ***-**-785P - TRAUT, ASHLEY<br>ACCOUNT #: 00086549630    | AMCAP FUND-529A<br>BUY 0 Units @0.0000 | 0.00                 | 6.20                | 0.00               | 6.20              | 0.5  | 0.03                 |
| 02/26/2018                                      | ***-**-564J - CRAIG, MARK<br>ACCOUNT #: 00084581027      | AMCAP FUND-A<br>BUY 1 Units @34.9900   | 50.00                | 1.38                | 0.00               | 1.38              | 0.5  | 0.01                 |
| 03/01/2018                                      | ***-**-391J - FRIEDMAN, KEITH<br>ACCOUNT #: 00083404691  | AMCAP FUND-A<br>BUY 14 Units @32.7200  | 450.00               | 4.50                | 0.00               | 4.50              | 0.5  | 0.02                 |
| 03/01/2018                                      | ***-**-295P - HOGAN, ANN<br>ACCOUNT #: 00074253253       | AMCAP FUND-A<br>BUY 0 Units @0.0000    | 0.00                 | 23.03               | 0.00               | 23.03             | 0.5  | 0.12                 |
| 03/01/2018                                      | ***-**-410I - GOWE, MICHAEL<br>ACCOUNT #: 00059052728    | AMCAP FUND-A<br>BUY 0 Units @0.0000    | 0.00                 | 49.57               | 0.00               | 49.57             | 0.5  | 0.25                 |
| 03/01/2018                                      | ***-**-598O - BAIS, RAM<br>ACCOUNT #: 00062603215        | AMCAP FUND-A<br>BUY 0 Units @0.0000    | 0.00                 | 8.15                | 0.00               | 8.15              | 0.5  | 0.04                 |
| 03/01/2018                                      | ***-**-706O - GARLAND, BARBARA<br>ACCOUNT #: 00063496789 | AMCAP FUND-A<br>BUY 0 Units @0.0000    | 0.00                 | 4.80                | 0.00               | 4.80              | 0.5  | 0.02                 |
| 03/01/2018                                      | ***-**-735P - SICA, RONALD<br>ACCOUNT #: 00063674033     | AMCAP FUND-A<br>BUY 0 Units @0.0000    | 0.00                 | 63.93               | 0.00               | 63.93             | 0.5  | 0.32                 |





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| <b><u>VERRIDE TRANSACTIONS (continued)</u></b>  |                                |                     |                      |                     |                    |                   |      |                      |
| <b><u>BROKER: ALEX GEORGIEV (continued)</u></b> |                                |                     |                      |                     |                    |                   |      |                      |
| 03/01/2018                                      | ***-**-445P - KURGAN, JEFFERY  | AMCAP FUND-A        | 0.00                 | 17.93               | 0.00               | 17.93             | 0.5  | 0.09                 |
|   | ACCOUNT #: 00064586294         | BUY 0 Units @0.0000 |                      |                     |                    |                   |      |                      |
| 03/01/2018                                      | ***-**-045P - IM, HANNAH       | AMCAP FUND-A        | 0.00                 | 6.06                | 0.00               | 6.06              | 0.5  | 0.03                 |
|   | ACCOUNT #: 00066555536         | BUY 0 Units @0.0000 |                      |                     |                    |                   |      |                      |
| 03/01/2018                                      | ***-**-204I - LOY, STEVEN      | AMCAP FUND-A        | 0.00                 | 4.24                | 0.00               | 4.24              | 0.5  | 0.02                 |
|   | ACCOUNT #: 00067215893         | BUY 0 Units @0.0000 |                      |                     |                    |                   |      |                      |
| 03/01/2018                                      | ***-**-0611 - LOY, RENEE       | AMCAP FUND-A        | 0.00                 | 12.80               | 0.00               | 12.80             | 0.5  | 0.06                 |
|   | ACCOUNT #: 00067335638         | BUY 0 Units @0.0000 |                      |                     |                    |                   |      |                      |
| 03/01/2018                                      | ***-**-025P - PROKUDA, BRIAN   | AMCAP FUND-A        | 0.00                 | 244.09              | 0.00               | 244.09            | 0.5  | 1.22                 |
|   | ACCOUNT #: 00068542684         | BUY 0 Units @0.0000 |                      |                     |                    |                   |      |                      |
| 03/01/2018                                      | ***-**-185P - SHERPY, RONALD   | AMCAP FUND-A        | 0.00                 | 39.55               | 0.00               | 39.55             | 0.5  | 0.20                 |
|   | ACCOUNT #: 00069112525         | BUY 0 Units @0.0000 |                      |                     |                    |                   |      |                      |
| 03/01/2018                                      | ***-**-975P - OSBORNE, SUE     | AMCAP FUND-A        | 0.00                 | 1.01                | 0.00               | 1.01              | 0.5  | 0.01                 |
|   | ACCOUNT #: 00073569391         | BUY 0 Units @0.0000 |                      |                     |                    |                   |      |                      |
| 03/01/2018                                      | ***-**-715P - STAMPER, TAMARA  | AMCAP FUND-A        | 0.00                 | 1.97                | 0.00               | 1.97              | 0.5  | 0.01                 |
|   | ACCOUNT #: 00074344296         | BUY 0 Units @0.0000 |                      |                     |                    |                   |      |                      |
| 03/01/2018                                      | ***-**-610I - LUNTE, DOUGLAS   | AMCAP FUND-A        | 0.00                 | 7.78                | 0.00               | 7.78              | 0.5  | 0.04                 |
|   | ACCOUNT #: 00075957434         | BUY 0 Units @0.0000 |                      |                     |                    |                   |      |                      |
| 03/01/2018                                      | ***-**-87IR - BATES, JACOB     | AMCAP FUND-A        | 0.00                 | 1.06                | 0.00               | 1.06              | 0.5  | 0.01                 |
|   | ACCOUNT #: 00081418240         | BUY 0 Units @0.0000 |                      |                     |                    |                   |      |                      |
| 03/01/2018                                      | ***-**-287I - BELLINO, VALERIE | AMCAP FUND-A        | 0.00                 | 1.03                | 0.00               | 1.03              | 0.5  | 0.01                 |
|   | ACCOUNT #: 00081674809         | BUY 0 Units @0.0000 |                      |                     |                    |                   |      |                      |
| 03/01/2018                                      | ***-**-79SI - CREEGAN, THOMAS  | AMCAP FUND-A        | 0.00                 | 89.89               | 0.00               | 89.89             | 0.5  | 0.45                 |
|   | ACCOUNT #: 00059256259         | BUY 0 Units @0.0000 |                      |                     |                    |                   |      |                      |
| 03/01/2018                                      | ***-**-275P - BALDWIN, JUSTIN  | AMCAP FUND-A        | 0.00                 | 1.02                | 0.00               | 1.02              | 0.5  | 0.01                 |
|   | ACCOUNT #: 00067340502         | BUY 0 Units @0.0000 |                      |                     |                    |                   |      |                      |
| 03/01/2018                                      | ***-**-721I - SHILOACH, JOSEPH | AMCAP FUND-A        | 0.00                 | 5.02                | 0.00               | 5.02              | 0.5  | 0.03                 |
|   | ACCOUNT #: 00081205994         | BUY 0 Units @0.0000 |                      |                     |                    |                   |      |                      |
| 03/01/2018                                      | ***-**-815P - AUCLAIR, LAURA   | AMCAP FUND-A        | 0.00                 | 9.05                | 0.00               | 9.05              | 0.5  | 0.05                 |
|   | ACCOUNT #: 00081468633         | BUY 0 Units @0.0000 |                      |                     |                    |                   |      |                      |
| 03/01/2018                                      | ***-**-185P - KONIZESKI, DELIA | AMCAP FUND-A        | 0.00                 | 3.26                | 0.00               | 3.26              | 0.5  | 0.02                 |
|   | ACCOUNT #: 00082792992         | BUY 0 Units @0.0000 |                      |                     |                    |                   |      |                      |



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| <b><u> OVERRIDE TRANSACTIONS (continued) </u></b> |                                |                             |                      |                     |                    |                   |      |                      |
| <b><u>BROKER: ALEX GEORGIEV (continued)</u></b>   |                                |                             |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-391J - FRIEDMAN, KEITH  | AMCAP FUND-A                | 0.00                 | 36.16               | 0.00               | 36.16             | 0.5  | 0.18                 |
|   | ACCOUNT #: 00083404691         | BUY 0 Units @0.0000         |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-564J - CRAIG, MARK      | AMCAP FUND-A                | 0.00                 | 6.27                | 0.00               | 6.27              | 0.5  | 0.03                 |
|   | ACCOUNT #: 00084581027         | BUY 0 Units @0.0000         |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-375P - SINNO, FADY      | AMCAP FUND-F1               | 0.00                 | 17.76               | 0.00               | 17.76             | 0.5  | 0.09                 |
|   | ACCOUNT #: 00069308202         | BUY 0 Units @0.0000         |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-504I - MARSHALL,        | AMCAP FUND-F1               | 0.00                 | 1.31                | 0.00               | 1.31              | 0.5  | 0.01                 |
|   | ACCOUNT #: 00086486770         | BUY 0 Units @0.0000         |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-265P - KELLY, BENJAMIN  | AMERICAN BALANCED FUND-529A | 50.00                | 2.50                | 0.00               | 2.50              | 0.5  | 0.01                 |
|   | ACCOUNT #: 00082209027         | BUY 2 Units @28.5400        |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-265P - KELLY, BENJAMIN  | AMERICAN BALANCED FUND-529A | 0.00                 | 6.16                | 0.00               | 6.16              | 0.5  | 0.03                 |
|   | ACCOUNT #: 00082209027         | BUY 0 Units @0.0000         |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-0920 - NOONAN, SAMANTHA | AMERICAN BALANCED FUND-529A | 0.00                 | 3.33                | 0.00               | 3.33              | 0.5  | 0.02                 |
|   | ACCOUNT #: 00083202391         | BUY 0 Units @0.0000         |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-0619 - SHORB, STANLEY   | AMERICAN BALANCED FUND-529A | 0.00                 | 6.91                | 0.00               | 6.91              | 0.5  | 0.03                 |
|   | ACCOUNT #: 00083330700         | BUY 0 Units @0.0000         |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-733I - ANDERSEN,        | AMERICAN BALANCED FUND-529A | 0.00                 | 2.15                | 0.00               | 2.15              | 0.5  | 0.01                 |
|   | ACCOUNT #: 00085128729         | BUY 0 Units @0.0000         |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-0619 - SHORB, STANLEY   | AMERICAN BALANCED FUND-529A | 0.00                 | 9.79                | 0.00               | 9.79              | 0.5  | 0.05                 |
|   | ACCOUNT #: 00087534220         | BUY 0 Units @0.0000         |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-0619 - SHORB, STANLEY   | AMERICAN BALANCED FUND-529A | 0.00                 | 9.24                | 0.00               | 9.24              | 0.5  | 0.05                 |
|   | ACCOUNT #: 00087534228         | BUY 0 Units @0.0000         |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-26CL - JOHNSON, CLIENTS | AMERICAN BALANCED FUND-529A | 0.00                 | 6.63                | 0.00               | 6.63              | 0.5  | 0.03                 |
|   | ACCOUNT #: 00087846816         | BUY 0 Units @0.0000         |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-345P - MACADIE, SEAN    | AMERICAN BALANCED FUND-529A | 0.00                 | 2.63                | 0.00               | 2.63              | 0.5  | 0.01                 |
|   | ACCOUNT #: 00088120469         | BUY 0 Units @0.0000         |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-295P - HOGAN, ANN       | AMERICAN BALANCED FUND-A    | 0.00                 | 38.30               | 0.00               | 38.30             | 0.5  | 0.19                 |
|   | ACCOUNT #: 00074253253         | BUY 0 Units @0.0000         |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-345I - INGRISELLI,      | AMERICAN BALANCED FUND-A    | 0.00                 | 6.06                | 0.00               | 6.06              | 0.5  | 0.03                 |
|   | ACCOUNT #: 00083709007         | BUY 0 Units @0.0000         |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-245P - KELBER, JEFFRY   | AMERICAN BALANCED FUND-A    | 0.00                 | 56.91               | 0.00               | 56.91             | 0.5  | 0.28                 |
|   | ACCOUNT #: 00059587254         | BUY 0 Units @0.0000         |                      |                     |                    |                   |      |                      |



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| <b><u> OVERRIDE TRANSACTIONS (continued) </u></b> |                                |                          |                      |                     |                    |                   |      |                      |
| <b><u>BROKER: ALEX GEORGIEV (continued)</u></b>   |                                |                          |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-371I - GLEASON, JAMES   | AMERICAN BALANCED FUND-A | 0.00                 | 32.17               | 0.00               | 32.17             | 0.5  | 0.16                 |
|   | ACCOUNT #: 00061535105         | BUY 0 Units @0.0000      |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-54IN - HAMMOCK, DOUGLAS | AMERICAN BALANCED FUND-A | 0.00                 | 412.60              | 0.00               | 412.60            | 0.5  | 2.06                 |
|   | ACCOUNT #: 00062301406         | BUY 0 Units @0.0000      |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-5980 - BAIS, RAM        | AMERICAN BALANCED FUND-A | 0.00                 | 35.19               | 0.00               | 35.19             | 0.5  | 0.18                 |
|   | ACCOUNT #: 00062603215         | BUY 0 Units @0.0000      |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-155P - NAHAMOU,         | AMERICAN BALANCED FUND-A | 0.00                 | 22.43               | 0.00               | 22.43             | 0.5  | 0.11                 |
|   | ACCOUNT #: 00064023902         | BUY 0 Units @0.0000      |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-425I - FARACI, JOHN     | AMERICAN BALANCED FUND-A | 0.00                 | 26.61               | 0.00               | 26.61             | 0.5  | 0.13                 |
|   | ACCOUNT #: 00066994858         | BUY 0 Units @0.0000      |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-8862 - BANANTO, BRANDON | AMERICAN BALANCED FUND-A | 0.00                 | 2.81                | 0.00               | 2.81              | 0.5  | 0.01                 |
|   | ACCOUNT #: 00067272921         | BUY 0 Units @0.0000      |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-925P - OSBOURNE, LAUREN | AMERICAN BALANCED FUND-A | 0.00                 | 1.83                | 0.00               | 1.83              | 0.5  | 0.01                 |
|   | ACCOUNT #: 00067307316         | BUY 0 Units @0.0000      |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-29RI - GRANFORS, ROGER  | AMERICAN BALANCED FUND-A | 0.00                 | 112.55              | 0.00               | 112.55            | 0.5  | 0.56                 |
|   | ACCOUNT #: 00067464852         | BUY 0 Units @0.0000      |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-86IR - CUSTER, CAROLYN  | AMERICAN BALANCED FUND-A | 0.00                 | 3.33                | 0.00               | 3.33              | 0.5  | 0.02                 |
|   | ACCOUNT #: 00067552064         | BUY 0 Units @0.0000      |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-279I - WARREN, DEBRA    | AMERICAN BALANCED FUND-A | 0.00                 | 3.33                | 0.00               | 3.33              | 0.5  | 0.02                 |
|   | ACCOUNT #: 00067715625         | BUY 0 Units @0.0000      |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-365P - PROKUDA, KELLIE  | AMERICAN BALANCED FUND-A | 0.00                 | 93.74               | 0.00               | 93.74             | 0.5  | 0.47                 |
|   | ACCOUNT #: 00068542686         | BUY 0 Units @0.0000      |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-18IN - CRAWFORD,        | AMERICAN BALANCED FUND-A | 0.00                 | 12.80               | 0.00               | 12.80             | 0.5  | 0.06                 |
|   | ACCOUNT #: 00069017221         | BUY 0 Units @0.0000      |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-185P - SHERPY, RONALD   | AMERICAN BALANCED FUND-A | 0.00                 | 24.13               | 0.00               | 24.13             | 0.5  | 0.12                 |
|   | ACCOUNT #: 00069112525         | BUY 0 Units @0.0000      |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-082I - HOULE, LINDA     | AMERICAN BALANCED FUND-A | 0.00                 | 14.56               | 0.00               | 14.56             | 0.5  | 0.07                 |
|   | ACCOUNT #: 00069149600         | BUY 0 Units @0.0000      |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-958I - HOULE, MARTIN    | AMERICAN BALANCED FUND-A | 0.00                 | 7.70                | 0.00               | 7.70              | 0.5  | 0.04                 |
|   | ACCOUNT #: 00073378669         | BUY 0 Units @0.0000      |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-975P - OSBORNE, SUE     | AMERICAN BALANCED FUND-A | 0.00                 | 6.48                | 0.00               | 6.48              | 0.5  | 0.03                 |
|   | ACCOUNT #: 00073569391         | BUY 0 Units @0.0000      |                      |                     |                    |                   |      |                      |



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| <b><u> OVERRIDE TRANSACTIONS (continued) </u></b> |  |   |                      |                     |                    |                   |      |                      |
| <b><u>BROKER: ALEX GEORGIEV (continued)</u></b>   |  |   |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-974I - GOLDBERG, KAY<br>ACCOUNT #: 00074796752    | AMERICAN BALANCED FUND-A<br>BUY 0 Units @0.0000 | 0.00                 | 4.74                | 0.00               | 4.74              | 0.5  | 0.02                 |
| 03/01/2018  | ***-**-415P - SMITH, DOLORES<br>ACCOUNT #: 00075398616   | AMERICAN BALANCED FUND-A<br>BUY 0 Units @0.0000 | 0.00                 | 4.68                | 0.00               | 4.68              | 0.5  | 0.02                 |
| 03/01/2018  | ***-**-835P - FARNUM, AMY<br>ACCOUNT #: 00075846186      | AMERICAN BALANCED FUND-A<br>BUY 0 Units @0.0000 | 0.00                 | 7.12                | 0.00               | 7.12              | 0.5  | 0.04                 |
| 03/01/2018  | ***-**-685P - FARNUM, KEVIN<br>ACCOUNT #: 00075846201    | AMERICAN BALANCED FUND-A<br>BUY 0 Units @0.0000 | 0.00                 | 7.12                | 0.00               | 7.12              | 0.5  | 0.04                 |
| 03/01/2018  | ***-**-125P - RONEY, BETH<br>ACCOUNT #: 00081534241      | AMERICAN BALANCED FUND-A<br>BUY 0 Units @0.0000 | 0.00                 | 1.19                | 0.00               | 1.19              | 0.5  | 0.01                 |
| 03/01/2018  | ***-**-287I - BELLINO, VALERIE<br>ACCOUNT #: 00081674809 | AMERICAN BALANCED FUND-A<br>BUY 0 Units @0.0000 | 0.00                 | 1.22                | 0.00               | 1.22              | 0.5  | 0.01                 |
| 03/01/2018  | ***-**-27IR - POSSEE, DIANE<br>ACCOUNT #: 00082953732    | AMERICAN BALANCED FUND-A<br>BUY 0 Units @0.0000 | 0.00                 | 5.24                | 0.00               | 5.24              | 0.5  | 0.03                 |
| 03/01/2018  | ***-**-186I - JACOBSON, MARINA<br>ACCOUNT #: 00083731526 | AMERICAN BALANCED FUND-A<br>BUY 0 Units @0.0000 | 0.00                 | 16.55               | 0.00               | 16.55             | 0.5  | 0.08                 |
| 03/01/2018  | ***-**-173I - MATUSIEWICZ,<br>ACCOUNT #: 00083738493     | AMERICAN BALANCED FUND-A<br>BUY 0 Units @0.0000 | 0.00                 | 1.94                | 0.00               | 1.94              | 0.5  | 0.01                 |
| 03/01/2018  | ***-**-537I - DIVALERIO, KATHY<br>ACCOUNT #: 00083765927 | AMERICAN BALANCED FUND-A<br>BUY 0 Units @0.0000 | 0.00                 | 21.09               | 0.00               | 21.09             | 0.5  | 0.11                 |
| 03/01/2018  | ***-**-63IR - POAGE, BENNY<br>ACCOUNT #: 00085156983     | AMERICAN BALANCED FUND-A<br>BUY 0 Units @0.0000 | 0.00                 | 4.44                | 0.00               | 4.44              | 0.5  | 0.02                 |
| 03/01/2018  | ***-**-95IN - LARSON, JOEL<br>ACCOUNT #: 00086113566     | AMERICAN BALANCED FUND-A<br>BUY 0 Units @0.0000 | 0.00                 | 4.46                | 0.00               | 4.46              | 0.5  | 0.02                 |
| 03/01/2018  | ***-**-5428 - FIGUEROA/BENE,<br>ACCOUNT #: 00087791148   | AMERICAN BALANCED FUND-A<br>BUY 0 Units @0.0000 | 0.00                 | 7.42                | 0.00               | 7.42              | 0.5  | 0.04                 |
| 03/01/2018  | ***-**-100I - DIAMOND, JAMES<br>ACCOUNT #: 00088196105   | AMERICAN BALANCED FUND-A<br>BUY 0 Units @0.0000 | 0.00                 | 1.23                | 0.00               | 1.23              | 0.5  | 0.01                 |
| 03/01/2018  | ***-**-212I - SNEED, DAVID<br>ACCOUNT #: 00088678532     | AMERICAN BALANCED FUND-A<br>BUY 0 Units @0.0000 | 0.00                 | 6.24                | 0.00               | 6.24              | 0.5  | 0.03                 |
| 03/01/2018  | ***-**-601I - FALCK, ROBERT<br>ACCOUNT #: 00068513111    | AMERICAN BALANCED FUND-A<br>BUY 0 Units @0.0000 | 0.00                 | 16.88               | 0.00               | 16.88             | 0.5  | 0.08                 |



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| <b><u> OVERRIDE TRANSACTIONS (continued) </u></b> |  |  |                      |                     |                    |                   |      |                      |
| <b><u>BROKER: ALEX GEORGIEV (continued)</u></b>   |  |  |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-691I - COLLINS, PAMELA<br>ACCOUNT #: 00074006244  | AMERICAN BALANCED FUND-A<br>BUY 0 Units @0.0000              | 0.00                 | 4.26                | 0.00               | 4.26              | 0.5  | 0.02                 |
| 03/02/2018  | ***-**-212I - SNEED, DAVID<br>ACCOUNT #: 00088678532     | AMERICAN BALANCED FUND-A<br>BUY 5 Units @26.9800             | 122.32               | 1.22                | 0.00               | 1.22              | 0.5  | 0.01                 |
| 03/02/2018  | ***-**-212I - SNEED, DAVID<br>ACCOUNT #: 00088678532     | AMERICAN BALANCED FUND-A<br>BUY 22 Units @26.9800            | 600.00               | 6.00                | 0.00               | 6.00              | 0.5  | 0.03                 |
| 03/01/2018  | ***-**-345I - INGRISELLI,<br>ACCOUNT #: 00083709007      | AMERICAN BALANCED FUND-C<br>BUY 0 Units @0.0000              | 0.00                 | 7.15                | 0.00               | 7.15              | 0.5  | 0.04                 |
| 03/01/2018  | ***-**-064J - HALL, AMY<br>ACCOUNT #: 00083146232        | AMERICAN DEVELOPING WRLD GRWTH & IN<br>BUY 22 Units @11.5300 | 250.00               | 3.00                | 0.00               | 3.00              | 0.5  | 0.02                 |
| 03/01/2018  | ***-**-064J - HALL, AMY<br>ACCOUNT #: 00083146232        | AMERICAN DEVELOPING WRLD GRWTH & IN<br>BUY 0 Units @0.0000   | 0.00                 | 15.39               | 0.00               | 15.39             | 0.5  | 0.08                 |
| 03/01/2018  | ***-**-6438 - IM, KATE<br>ACCOUNT #: 00089219765         | AMERICAN FUNDS 02629M587<br>BUY 0 Units @0.0000              | 0.00                 | 10.91               | 0.00               | 10.91             | 0.5  | 0.05                 |
| 03/01/2018  | ***-**-735P - STEVENS, SCOTT<br>ACCOUNT #: 00089508283   | AMERICAN FUNDS 02629M587<br>BUY 0 Units @0.0000              | 0.00                 | 1.77                | 0.00               | 1.77              | 0.5  | 0.01                 |
| 03/01/2018  | ***-**-549I - BOXMAN, KENNETH<br>ACCOUNT #: 00068811528  | AMERICAN FUNDS 02629M645<br>BUY 0 Units @0.0000              | 0.00                 | 2.44                | 0.00               | 2.44              | 0.5  | 0.01                 |
| 03/01/2018  | ***-**-865P - BECKER, SEAN<br>ACCOUNT #: 00073126126     | AMERICAN FUNDS 02629M645<br>BUY 0 Units @0.0000              | 0.00                 | 3.67                | 0.00               | 3.67              | 0.5  | 0.02                 |
| 03/01/2018  | ***-**-365P - STARTZEL,<br>ACCOUNT #: 00081317921        | AMERICAN FUNDS 02629M645<br>BUY 0 Units @0.0000              | 0.00                 | 19.97               | 0.00               | 19.97             | 0.5  | 0.10                 |
| 03/01/2018  | ***-**-415P - TARANTINO, SCOTT<br>ACCOUNT #: 00087442864 | AMERICAN FUNDS 02629M645<br>BUY 0 Units @0.0000              | 0.00                 | 2.24                | 0.00               | 2.24              | 0.5  | 0.01                 |
| 03/01/2018  | ***-**-235I - FLOREY, TERRY<br>ACCOUNT #: 00082615431    | AMERICAN FUNDS 2010 TARGET DATE-A<br>BUY 0 Units @0.0000     | 0.00                 | 10.62               | 0.00               | 10.62             | 0.5  | 0.05                 |
| 03/01/2018  | ***-**-983I - SCHERR, MEYER<br>ACCOUNT #: 00067634893    | AMERICAN FUNDS 2015 TARGET DATE-A<br>BUY 0 Units @0.0000     | 0.00                 | 4.11                | 0.00               | 4.11              | 0.5  | 0.02                 |
| 03/01/2018  | ***-**-375I - LUBRANO,<br>ACCOUNT #: 00073560930         | AMERICAN FUNDS 2015 TARGET DATE-A<br>BUY 0 Units @0.0000     | 0.00                 | 7.51                | 0.00               | 7.51              | 0.5  | 0.04                 |
| 03/01/2018  | ***-**-304I - SCHERR,<br>ACCOUNT #: 00073990343          | AMERICAN FUNDS 2015 TARGET DATE-A<br>BUY 0 Units @0.0000     | 0.00                 | 1.25                | 0.00               | 1.25              | 0.5  | 0.01                 |



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| <b><u> OVERRIDE TRANSACTIONS (continued) </u></b> |  |  |                      |                     |                    |                   |      |                      |
| <b><u>BROKER: ALEX GEORGIEV (continued)</u></b>   |  |  |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-04IR - SCHERR,<br>ACCOUNT #: 00073990430        | AMERICAN FUNDS 2015 TARGET DATE-A<br>BUY 0 Units @0.0000 | 0.00                 | 1.72                | 0.00               | 1.72              | 0.5  | 0.01                 |
| 03/01/2018  | ***-**-86CL - ASHER, CLIENTS<br>ACCOUNT #: 00087552886 | AMERICAN FUNDS 2015 TARGET DATE-A<br>BUY 0 Units @0.0000 | 0.00                 | 62.27               | 0.00               | 62.27             | 0.5  | 0.31                 |
| 03/01/2018  | ***-**-86CL - ASHER, CLIENTS<br>ACCOUNT #: 00087552955 | AMERICAN FUNDS 2015 TARGET DATE-A<br>BUY 0 Units @0.0000 | 0.00                 | 52.46               | 0.00               | 52.46             | 0.5  | 0.26                 |
| 03/01/2018  | ***-**-686I -<br>ACCOUNT #: 00062366671                | AMERICAN FUNDS 2020 TARGET DATE-A<br>BUY 0 Units @0.0000 | 0.00                 | 5.09                | 0.00               | 5.09              | 0.5  | 0.03                 |
| 03/01/2018  | ***-**-891I - ROBINSON,<br>ACCOUNT #: 00066743490      | AMERICAN FUNDS 2020 TARGET DATE-A<br>BUY 0 Units @0.0000 | 0.00                 | 49.98               | 0.00               | 49.98             | 0.5  | 0.25                 |
| 03/01/2018  | ***-**-601I - FALCK, ROBERT<br>ACCOUNT #: 00068513111  | AMERICAN FUNDS 2020 TARGET DATE-A<br>BUY 0 Units @0.0000 | 0.00                 | 116.25              | 0.00               | 116.25            | 0.5  | 0.58                 |
| 03/01/2018  | ***-**-91IR - ROBINSON,<br>ACCOUNT #: 00073507033      | AMERICAN FUNDS 2020 TARGET DATE-A<br>BUY 0 Units @0.0000 | 0.00                 | 49.31               | 0.00               | 49.31             | 0.5  | 0.25                 |
| 03/01/2018  | ***-**-755P - ELIAS, LUIS W<br>ACCOUNT #: 00073770672  | AMERICAN FUNDS 2020 TARGET DATE-A<br>BUY 0 Units @0.0000 | 0.00                 | 9.83                | 0.00               | 9.83              | 0.5  | 0.05                 |
| 03/01/2018  | ***-**-21SI - FLOREY, JILL<br>ACCOUNT #: 00073903583   | AMERICAN FUNDS 2020 TARGET DATE-A<br>BUY 0 Units @0.0000 | 0.00                 | 126.52              | 0.00               | 126.52            | 0.5  | 0.63                 |
| 03/01/2018  | ***-**-601I - FALCK, ROBERT<br>ACCOUNT #: 00074739065  | AMERICAN FUNDS 2020 TARGET DATE-A<br>BUY 0 Units @0.0000 | 0.00                 | 72.48               | 0.00               | 72.48             | 0.5  | 0.36                 |
| 03/01/2018  | ***-**-196O - EVANS, DAVID<br>ACCOUNT #: 00075526768   | AMERICAN FUNDS 2020 TARGET DATE-A<br>BUY 0 Units @0.0000 | 0.00                 | 246.00              | 0.00               | 246.00            | 0.5  | 1.23                 |
| 03/01/2018  | ***-**-505P - EVANS, LAURA<br>ACCOUNT #: 00075526884   | AMERICAN FUNDS 2020 TARGET DATE-A<br>BUY 0 Units @0.0000 | 0.00                 | 76.54               | 0.00               | 76.54             | 0.5  | 0.38                 |
| 03/01/2018  | ***-**-686S -<br>ACCOUNT #: 00075980143                | AMERICAN FUNDS 2020 TARGET DATE-A<br>BUY 0 Units @0.0000 | 0.00                 | 53.30               | 0.00               | 53.30             | 0.5  | 0.27                 |
| 03/01/2018  | ***-**-686S -<br>ACCOUNT #: 00075980237                | AMERICAN FUNDS 2020 TARGET DATE-A<br>BUY 0 Units @0.0000 | 0.00                 | 95.87               | 0.00               | 95.87             | 0.5  | 0.48                 |
| 03/01/2018  | ***-**-721I - FLOREY, JILL<br>ACCOUNT #: 00082615330   | AMERICAN FUNDS 2020 TARGET DATE-A<br>BUY 0 Units @0.0000 | 0.00                 | 11.25               | 0.00               | 11.25             | 0.5  | 0.06                 |
| 03/01/2018  | ***-**-126I - CARLIN, JOYCE<br>ACCOUNT #: 00085222562  | AMERICAN FUNDS 2020 TARGET DATE-A<br>BUY 0 Units @0.0000 | 0.00                 | 30.94               | 0.00               | 30.94             | 0.5  | 0.15                 |



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| <b><u> OVERRIDE TRANSACTIONS (continued) </u></b> |  |  |                      |                     |                    |                   |      |                      |
| <b><u>BROKER: ALEX GEORGIEV (continued)</u></b>   |  |  |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-699I - COOK, PHYLLIS<br>ACCOUNT #: 00086486652  | AMERICAN FUNDS 2020 TARGET DATE-A<br>BUY 0 Units @0.0000   | 0.00                 | 180.07              | 0.00               | 180.07            | 0.5  | 0.90                 |
| 03/02/2018  | ***-**-699I - COOK, PHYLLIS<br>ACCOUNT #: 00086486652  | AMERICAN FUNDS 2020 TARGET DATE-A<br>BUY 11 Units @12.5400 | 135.00               | 1.35                | 0.00               | 1.35              | 0.5  | 0.01                 |
| 03/02/2018  | ***-**-699I - COOK, PHYLLIS<br>ACCOUNT #: 00086486652  | AMERICAN FUNDS 2020 TARGET DATE-A<br>BUY 39 Units @12.5400 | 495.00               | 4.95                | 0.00               | 4.95              | 0.5  | 0.02                 |
| 02/26/2018  | ***-**-11IR - SCHAFFTEL, AMY<br>ACCOUNT #: 00063600878 | AMERICAN FUNDS 2025 TARGET DATE-A<br>BUY 69 Units @14.3900 | 1,000.00             | 37.50               | 0.00               | 37.50             | 0.5  | 0.19                 |
| 03/01/2018  | ***-**-11IR - SCHAFFTEL, AMY<br>ACCOUNT #: 00063600878 | AMERICAN FUNDS 2025 TARGET DATE-A<br>BUY 0 Units @0.0000   | 0.00                 | 34.25               | 0.00               | 34.25             | 0.5  | 0.17                 |
| 03/01/2018  | ***-**-425P - MARMOR,<br>ACCOUNT #: 00069170291        | AMERICAN FUNDS 2025 TARGET DATE-A<br>BUY 0 Units @0.0000   | 0.00                 | 153.90              | 0.00               | 153.90            | 0.5  | 0.77                 |
| 03/01/2018  | ***-**-425P - MARMOR,<br>ACCOUNT #: 00073506893        | AMERICAN FUNDS 2025 TARGET DATE-A<br>BUY 0 Units @0.0000   | 0.00                 | 25.14               | 0.00               | 25.14             | 0.5  | 0.13                 |
| 03/01/2018  | ***-**-165I - LUBRANO, MARIA<br>ACCOUNT #: 00073561326 | AMERICAN FUNDS 2025 TARGET DATE-A<br>BUY 0 Units @0.0000   | 0.00                 | 8.59                | 0.00               | 8.59              | 0.5  | 0.04                 |
| 03/01/2018  | ***-**-275P - AURIEMNA,<br>ACCOUNT #: 00073770793      | AMERICAN FUNDS 2025 TARGET DATE-A<br>BUY 0 Units @0.0000   | 0.00                 | 9.46                | 0.00               | 9.46              | 0.5  | 0.05                 |
| 03/01/2018  | ***-**-305P - ALOOR, RAVI<br>ACCOUNT #: 00081137427    | AMERICAN FUNDS 2025 TARGET DATE-A<br>BUY 0 Units @0.0000   | 0.00                 | 23.78               | 0.00               | 23.78             | 0.5  | 0.12                 |
| 03/01/2018  | ***-**-112I - KOONTZ, LEROY<br>ACCOUNT #: 00084075301  | AMERICAN FUNDS 2025 TARGET DATE-A<br>BUY 0 Units @0.0000   | 0.00                 | 30.32               | 0.00               | 30.32             | 0.5  | 0.15                 |
| 03/01/2018  | ***-**-205P - BISCOTTI,<br>ACCOUNT #: 00064937834      | AMERICAN FUNDS 2030 TARGET DATE-A<br>BUY 2 Units @15.1500  | 30.00                | 1.13                | 0.00               | 1.13              | 0.5  | 0.01                 |
| 03/01/2018  | ***-**-08IR - ROSS, GERALD J<br>ACCOUNT #: 00081116941 | AMERICAN FUNDS 2030 TARGET DATE-A<br>BUY 7 Units @15.3500  | 100.00               | 5.00                | 0.00               | 5.00              | 0.5  | 0.03                 |
| 03/01/2018  | ***-**-205P - BISCOTTI,<br>ACCOUNT #: 00064937834      | AMERICAN FUNDS 2030 TARGET DATE-A<br>BUY 0 Units @0.0000   | 0.00                 | 11.98               | 0.00               | 11.98             | 0.5  | 0.06                 |
| 03/01/2018  | ***-**-205P - BISCOTTI,<br>ACCOUNT #: 00065185907      | AMERICAN FUNDS 2030 TARGET DATE-A<br>BUY 0 Units @0.0000   | 0.00                 | 25.96               | 0.00               | 25.96             | 0.5  | 0.13                 |
| 03/01/2018  | ***-**-866I - MARKS, DANA<br>ACCOUNT #: 00066517006    | AMERICAN FUNDS 2030 TARGET DATE-A<br>BUY 0 Units @0.0000   | 0.00                 | 56.20               | 0.00               | 56.20             | 0.5  | 0.28                 |



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|---|--------------------------------|-----------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b><u> OVERRIDE TRANSACTIONS (continued) </u></b> |                                |                                   |                      |                     |                    |                   |      |                      |
| <b><u>BROKER: ALEX GEORGIEV (continued)</u></b>   |                                |                                   |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-495P - WALLACE, RACHAEL | AMERICAN FUNDS 2030 TARGET DATE-A | 0.00                 | 11.89               | 0.00               | 11.89             | 0.5  | 0.06                 |
|   | ACCOUNT #: 00066725827         | BUY 0 Units @0.0000               |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-245P - SMITH, AARON     | AMERICAN FUNDS 2030 TARGET DATE-A | 0.00                 | 18.71               | 0.00               | 18.71             | 0.5  | 0.09                 |
|   | ACCOUNT #: 00066869557         | BUY 0 Units @0.0000               |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-882I - MARKS, VINCENT   | AMERICAN FUNDS 2030 TARGET DATE-A | 0.00                 | 8.36                | 0.00               | 8.36              | 0.5  | 0.04                 |
|   | ACCOUNT #: 00067156681         | BUY 0 Units @0.0000               |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-549I - BOXMAN, KENNETH  | AMERICAN FUNDS 2030 TARGET DATE-A | 0.00                 | 19.49               | 0.00               | 19.49             | 0.5  | 0.10                 |
|   | ACCOUNT #: 00069068491         | BUY 0 Units @0.0000               |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-241O - PUTHIYA-VEETIL,  | AMERICAN FUNDS 2030 TARGET DATE-A | 0.00                 | 34.27               | 0.00               | 34.27             | 0.5  | 0.17                 |
|   | ACCOUNT #: 00073508925         | BUY 0 Units @0.0000               |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-60RI - DUGGAN, TERESA   | AMERICAN FUNDS 2030 TARGET DATE-A | 0.00                 | 17.98               | 0.00               | 17.98             | 0.5  | 0.09                 |
|   | ACCOUNT #: 00073561351         | BUY 0 Units @0.0000               |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-495P - WALLACE, RACHAEL | AMERICAN FUNDS 2030 TARGET DATE-A | 0.00                 | 11.89               | 0.00               | 11.89             | 0.5  | 0.06                 |
|   | ACCOUNT #: 00073772445         | BUY 0 Units @0.0000               |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-805P - SHAAB, KRISTEN   | AMERICAN FUNDS 2030 TARGET DATE-A | 0.00                 | 8.35                | 0.00               | 8.35              | 0.5  | 0.04                 |
|   | ACCOUNT #: 00074222989         | BUY 0 Units @0.0000               |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-255I - FUCHS, JEFF      | AMERICAN FUNDS 2030 TARGET DATE-A | 0.00                 | 316.62              | 0.00               | 316.62            | 0.5  | 1.58                 |
|   | ACCOUNT #: 00075991265         | BUY 0 Units @0.0000               |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-08IR - ROSS, GERALD J   | AMERICAN FUNDS 2030 TARGET DATE-A | 0.00                 | 3.95                | 0.00               | 3.95              | 0.5  | 0.02                 |
|   | ACCOUNT #: 00081116941         | BUY 0 Units @0.0000               |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-575P - NAVE, SUZANNE    | AMERICAN FUNDS 2030 TARGET DATE-A | 0.00                 | 10.48               | 0.00               | 10.48             | 0.5  | 0.05                 |
|   | ACCOUNT #: 00081128218         | BUY 0 Units @0.0000               |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-193S - TANAMOR, MYRA    | AMERICAN FUNDS 2030 TARGET DATE-A | 0.00                 | 89.83               | 0.00               | 89.83             | 0.5  | 0.45                 |
|   | ACCOUNT #: 00081181594         | BUY 0 Units @0.0000               |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-04SI - MCQUATE, DUSTIN  | AMERICAN FUNDS 2030 TARGET DATE-A | 0.00                 | 45.56               | 0.00               | 45.56             | 0.5  | 0.23                 |
|   | ACCOUNT #: 00083019764         | BUY 0 Units @0.0000               |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-993I - ANDERSON, BROCK  | AMERICAN FUNDS 2030 TARGET DATE-A | 0.00                 | 106.09              | 0.00               | 106.09            | 0.5  | 0.53                 |
|   | ACCOUNT #: 00083859232         | BUY 0 Units @0.0000               |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-20IR - JOHNSON, SHANNON | AMERICAN FUNDS 2030 TARGET DATE-A | 0.00                 | 10.03               | 0.00               | 10.03             | 0.5  | 0.05                 |
|   | ACCOUNT #: 00084721917         | BUY 0 Units @0.0000               |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-40SI - SCHWARTZ, MOSHE  | AMERICAN FUNDS 2030 TARGET DATE-A | 0.00                 | 4.52                | 0.00               | 4.52              | 0.5  | 0.02                 |
|   | ACCOUNT #: 00084825848         | BUY 0 Units @0.0000               |                      |                     |                    |                   |      |                      |





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| <b><u> OVERRIDE TRANSACTIONS (continued) </u></b> |                                |                                   |                      |                     |                    |                   |      |                      |
| <b><u> BROKER: ALEX GEORGIEV (continued) </u></b> |                                |                                   |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-03SI - SCHWARTZ, JODIE  | AMERICAN FUNDS 2030 TARGET DATE-A | 0.00                 | 4.52                | 0.00               | 4.52              | 0.5  | 0.02                 |
|   | ACCOUNT #: 00084825858         | BUY 0 Units @0.0000               |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-993I - ANDERSON, BROCK  | AMERICAN FUNDS 2030 TARGET DATE-A | 0.00                 | 93.87               | 0.00               | 93.87             | 0.5  | 0.47                 |
|   | ACCOUNT #: 00085413248         | BUY 0 Units @0.0000               |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-95IE - STARTZEL, MARCUS | AMERICAN FUNDS 2030 TARGET DATE-A | 0.00                 | 80.46               | 0.00               | 80.46             | 0.5  | 0.40                 |
|   | ACCOUNT #: 00085648138         | BUY 0 Units @0.0000               |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-9943 - NEEL, KATHRYN    | AMERICAN FUNDS 2030 TARGET DATE-A | 0.00                 | 75.11               | 0.00               | 75.11             | 0.5  | 0.38                 |
|   | ACCOUNT #: 00085655266         | BUY 0 Units @0.0000               |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-588I - LYDECKER, LAUREL | AMERICAN FUNDS 2030 TARGET DATE-A | 0.00                 | 1.95                | 0.00               | 1.95              | 0.5  | 0.01                 |
|   | ACCOUNT #: 00085858423         | BUY 0 Units @0.0000               |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-49SI - TARANTINO,       | AMERICAN FUNDS 2030 TARGET DATE-A | 0.00                 | 23.22               | 0.00               | 23.22             | 0.5  | 0.12                 |
|   | ACCOUNT #: 00086080820         | BUY 0 Units @0.0000               |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-134I - ALEXANDER,       | AMERICAN FUNDS 2030 TARGET DATE-A | 0.00                 | 225.97              | 0.00               | 225.97            | 0.5  | 1.13                 |
|   | ACCOUNT #: 00086486657         | BUY 0 Units @0.0000               |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-13IR - CULBERT,         | AMERICAN FUNDS 2030 TARGET DATE-A | 0.00                 | 18.46               | 0.00               | 18.46             | 0.5  | 0.09                 |
|   | ACCOUNT #: 00086860608         | BUY 0 Units @0.0000               |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-949I - TARANTINO,       | AMERICAN FUNDS 2030 TARGET DATE-A | 0.00                 | 5.05                | 0.00               | 5.05              | 0.5  | 0.03                 |
|   | ACCOUNT #: 00087442542         | BUY 0 Units @0.0000               |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-415P - TARANTINO, SCOTT | AMERICAN FUNDS 2030 TARGET DATE-A | 0.00                 | 297.85              | 0.00               | 297.85            | 0.5  | 1.49                 |
|   | ACCOUNT #: 00087442563         | BUY 0 Units @0.0000               |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-101I - QUINN, PETER     | AMERICAN FUNDS 2030 TARGET DATE-A | 0.00                 | 7.12                | 0.00               | 7.12              | 0.5  | 0.04                 |
|   | ACCOUNT #: 00087645935         | BUY 0 Units @0.0000               |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-943I - FISHER, BETH     | AMERICAN FUNDS 2030 TARGET DATE-A | 0.00                 | 111.88              | 0.00               | 111.88            | 0.5  | 0.56                 |
|   | ACCOUNT #: 00087646720         | BUY 0 Units @0.0000               |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-94TI - FINN, NORA       | AMERICAN FUNDS 2030 TARGET DATE-A | 0.00                 | 42.51               | 0.00               | 42.51             | 0.5  | 0.21                 |
|   | ACCOUNT #: 00087835392         | BUY 0 Units @0.0000               |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-79SI - ALOOR, PRIYA     | AMERICAN FUNDS 2030 TARGET DATE-A | 0.00                 | 4.54                | 0.00               | 4.54              | 0.5  | 0.02                 |
|   | ACCOUNT #: 00088475996         | BUY 0 Units @0.0000               |                      |                     |                    |                   |      |                      |
| 02/26/2018  | ***-**-57IR - CRAIG, EDWARD    | AMERICAN FUNDS 2035 TARGET DATE-A | 100.00               | 2.75                | 0.00               | 2.75              | 0.5  | 0.01                 |
|   | ACCOUNT #: 00085434610         | BUY 6 Units @15.9500              |                      |                     |                    |                   |      |                      |
| 02/27/2018  | ***-**-205P - CRAIG, HENRYKA   | AMERICAN FUNDS 2035 TARGET DATE-A | 250.00               | 6.88                | 0.00               | 6.88              | 0.5  | 0.03                 |
|   | ACCOUNT #: 00066866913         | BUY 16 Units @15.7600             |                      |                     |                    |                   |      |                      |



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| <b><u>VERRIDE TRANSACTIONS (continued)</u></b>  |                                |                                   |                      |                     |                    |                   |      |                      |
| <b><u>BROKER: ALEX GEORGIEV (continued)</u></b> |                                |                                   |                      |                     |                    |                   |      |                      |
| 02/28/2018                                      | ***-**-315P - DAILEY, GEORGE   | AMERICAN FUNDS 2035 TARGET DATE-A | 979.12               | 26.93               | 0.00               | 26.93             | 0.5  | 0.13                 |
|   | ACCOUNT #: 00082480701         | BUY 63 Units @15.6200             |                      |                     |                    |                   |      |                      |
| 03/01/2018                                      | ***-**-582I - ROZENCWAIG, ERIC | AMERICAN FUNDS 2035 TARGET DATE-A | 100.00               | 2.75                | 0.00               | 2.75              | 0.5  | 0.01                 |
|   | ACCOUNT #: 00073025002         | BUY 6 Units @15.4900              |                      |                     |                    |                   |      |                      |
| 03/01/2018                                      | ***-**-22IR - RUDO, BRIAN      | AMERICAN FUNDS 2035 TARGET DATE-A | 0.00                 | 28.49               | 0.00               | 28.49             | 0.5  | 0.14                 |
|   | ACCOUNT #: 00065173876         | BUY 0 Units @0.0000               |                      |                     |                    |                   |      |                      |
| 03/01/2018                                      | ***-**-95IR - WEISMAN, DAVID   | AMERICAN FUNDS 2035 TARGET DATE-A | 0.00                 | 40.00               | 0.00               | 40.00             | 0.5  | 0.20                 |
|   | ACCOUNT #: 00066811469         | BUY 0 Units @0.0000               |                      |                     |                    |                   |      |                      |
| 03/01/2018                                      | ***-**-95IR - WEISMAN, DAVID   | AMERICAN FUNDS 2035 TARGET DATE-A | 0.00                 | 8.39                | 0.00               | 8.39              | 0.5  | 0.04                 |
|   | ACCOUNT #: 00066811470         | BUY 0 Units @0.0000               |                      |                     |                    |                   |      |                      |
| 03/01/2018                                      | ***-**-315P - PAULIUKONIS,     | AMERICAN FUNDS 2035 TARGET DATE-A | 0.00                 | 29.59               | 0.00               | 29.59             | 0.5  | 0.15                 |
|   | ACCOUNT #: 00066819657         | BUY 0 Units @0.0000               |                      |                     |                    |                   |      |                      |
| 03/01/2018                                      | ***-**-205P - CRAIG, HENRYKA   | AMERICAN FUNDS 2035 TARGET DATE-A | 0.00                 | 29.99               | 0.00               | 29.99             | 0.5  | 0.15                 |
|   | ACCOUNT #: 00066866913         | BUY 0 Units @0.0000               |                      |                     |                    |                   |      |                      |
| 03/01/2018                                      | ***-**-345P -                  | AMERICAN FUNDS 2035 TARGET DATE-A | 0.00                 | 112.54              | 0.00               | 112.54            | 0.5  | 0.56                 |
|   | ACCOUNT #: 00067128072         | BUY 0 Units @0.0000               |                      |                     |                    |                   |      |                      |
| 03/01/2018                                      | ***-**-105P - REDDIAR,         | AMERICAN FUNDS 2035 TARGET DATE-A | 0.00                 | 96.52               | 0.00               | 96.52             | 0.5  | 0.48                 |
|   | ACCOUNT #: 00067507150         | BUY 0 Units @0.0000               |                      |                     |                    |                   |      |                      |
| 03/01/2018                                      | ***-**-238I - STELLER, KEITH   | AMERICAN FUNDS 2035 TARGET DATE-A | 0.00                 | 21.69               | 0.00               | 21.69             | 0.5  | 0.11                 |
|   | ACCOUNT #: 00067515962         | BUY 0 Units @0.0000               |                      |                     |                    |                   |      |                      |
| 03/01/2018                                      | ***-**-105P - REDDIAR,         | AMERICAN FUNDS 2035 TARGET DATE-A | 0.00                 | 22.29               | 0.00               | 22.29             | 0.5  | 0.11                 |
|   | ACCOUNT #: 00067657076         | BUY 0 Units @0.0000               |                      |                     |                    |                   |      |                      |
| 03/01/2018                                      | ***-**-295P - BERMAN, DAVID    | AMERICAN FUNDS 2035 TARGET DATE-A | 0.00                 | 26.91               | 0.00               | 26.91             | 0.5  | 0.13                 |
|   | ACCOUNT #: 00068546237         | BUY 0 Units @0.0000               |                      |                     |                    |                   |      |                      |
| 03/01/2018                                      | ***-**-582I - ROZENCWAIG, ERIC | AMERICAN FUNDS 2035 TARGET DATE-A | 0.00                 | 100.99              | 0.00               | 100.99            | 0.5  | 0.50                 |
|   | ACCOUNT #: 00073025002         | BUY 0 Units @0.0000               |                      |                     |                    |                   |      |                      |
| 03/01/2018                                      | ***-**-59IR - LUCAS, MICHAEL   | AMERICAN FUNDS 2035 TARGET DATE-A | 0.00                 | 21.14               | 0.00               | 21.14             | 0.5  | 0.11                 |
|   | ACCOUNT #: 00073506388         | BUY 0 Units @0.0000               |                      |                     |                    |                   |      |                      |
| 03/01/2018                                      | ***-**-74IR - LUCAS, LINDSEY   | AMERICAN FUNDS 2035 TARGET DATE-A | 0.00                 | 17.92               | 0.00               | 17.92             | 0.5  | 0.09                 |
|   | ACCOUNT #: 00073506417         | BUY 0 Units @0.0000               |                      |                     |                    |                   |      |                      |
| 03/01/2018                                      | ***-**-09IR - BECKER, STEPHEN  | AMERICAN FUNDS 2035 TARGET DATE-A | 0.00                 | 8.60                | 0.00               | 8.60              | 0.5  | 0.04                 |
|   | ACCOUNT #: 00073571138         | BUY 0 Units @0.0000               |                      |                     |                    |                   |      |                      |



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| <b><u> OVERRIDE TRANSACTIONS (continued) </u></b> |  |  |                      |                     |                    |                   |      |                      |
| <b><u>BROKER: ALEX GEORGIEV (continued)</u></b>   |  |  |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-110I - REDDIAR,<br>ACCOUNT #: 00073699302         | AMERICAN FUNDS 2035 TARGET DATE-A<br>BUY 0 Units @0.0000 | 0.00                 | 16.06               | 0.00               | 16.06             | 0.5  | 0.08                 |
| 03/01/2018  | ***-**-74IR - LUCAS, LINDSEY<br>ACCOUNT #: 00074260521   | AMERICAN FUNDS 2035 TARGET DATE-A<br>BUY 0 Units @0.0000 | 0.00                 | 23.57               | 0.00               | 23.57             | 0.5  | 0.12                 |
| 03/01/2018  | ***-**-655P - MAASS, CARLY<br>ACCOUNT #: 00074618330     | AMERICAN FUNDS 2035 TARGET DATE-A<br>BUY 0 Units @0.0000 | 0.00                 | 19.25               | 0.00               | 19.25             | 0.5  | 0.10                 |
| 03/01/2018  | ***-**-02RI - MAASS, JEFFREY<br>ACCOUNT #: 00074618381   | AMERICAN FUNDS 2035 TARGET DATE-A<br>BUY 0 Units @0.0000 | 0.00                 | 20.33               | 0.00               | 20.33             | 0.5  | 0.10                 |
| 03/01/2018  | ***-**-67SI - FRIEDMAN, DANIEL<br>ACCOUNT #: 00074688064 | AMERICAN FUNDS 2035 TARGET DATE-A<br>BUY 0 Units @0.0000 | 0.00                 | 127.41              | 0.00               | 127.41            | 0.5  | 0.64                 |
| 03/01/2018  | ***-**-475P - STRONG, GREGORY<br>ACCOUNT #: 00074857933  | AMERICAN FUNDS 2035 TARGET DATE-A<br>BUY 0 Units @0.0000 | 0.00                 | 152.11              | 0.00               | 152.11            | 0.5  | 0.76                 |
| 03/01/2018  | ***-**-756I - DAVIDSON,<br>ACCOUNT #: 00075954392        | AMERICAN FUNDS 2035 TARGET DATE-A<br>BUY 0 Units @0.0000 | 0.00                 | 15.78               | 0.00               | 15.78             | 0.5  | 0.08                 |
| 03/01/2018  | ***-**-238I - STELLER, KEITH<br>ACCOUNT #: 00075954564   | AMERICAN FUNDS 2035 TARGET DATE-A<br>BUY 0 Units @0.0000 | 0.00                 | 88.47               | 0.00               | 88.47             | 0.5  | 0.44                 |
| 03/01/2018  | ***-**-455P - NAVE,<br>ACCOUNT #: 00081128180            | AMERICAN FUNDS 2035 TARGET DATE-A<br>BUY 0 Units @0.0000 | 0.00                 | 10.63               | 0.00               | 10.63             | 0.5  | 0.05                 |
| 03/01/2018  | ***-**-943I - FISHER, BETH<br>ACCOUNT #: 00081164941     | AMERICAN FUNDS 2035 TARGET DATE-A<br>BUY 0 Units @0.0000 | 0.00                 | 89.91               | 0.00               | 89.91             | 0.5  | 0.45                 |
| 03/01/2018  | ***-**-994I - APPLEFELD, KELLY<br>ACCOUNT #: 00081181284 | AMERICAN FUNDS 2035 TARGET DATE-A<br>BUY 0 Units @0.0000 | 0.00                 | 12.29               | 0.00               | 12.29             | 0.5  | 0.06                 |
| 03/01/2018  | ***-**-737I - APPLEFELD, RANDY<br>ACCOUNT #: 00081181323 | AMERICAN FUNDS 2035 TARGET DATE-A<br>BUY 0 Units @0.0000 | 0.00                 | 11.85               | 0.00               | 11.85             | 0.5  | 0.06                 |
| 03/01/2018  | ***-**-745P - MILETO, LEO<br>ACCOUNT #: 00082235651      | AMERICAN FUNDS 2035 TARGET DATE-A<br>BUY 0 Units @0.0000 | 0.00                 | 4.38                | 0.00               | 4.38              | 0.5  | 0.02                 |
| 03/01/2018  | ***-**-508I - SHAAB, KERRY<br>ACCOUNT #: 00082265095     | AMERICAN FUNDS 2035 TARGET DATE-A<br>BUY 0 Units @0.0000 | 0.00                 | 67.81               | 0.00               | 67.81             | 0.5  | 0.34                 |
| 03/01/2018  | ***-**-32SI - FERRARA, FABIO<br>ACCOUNT #: 00082423834   | AMERICAN FUNDS 2035 TARGET DATE-A<br>BUY 0 Units @0.0000 | 0.00                 | 8.96                | 0.00               | 8.96              | 0.5  | 0.04                 |
| 03/01/2018  | ***-**-315P - DAILEY, GEORGE<br>ACCOUNT #: 00082480701   | AMERICAN FUNDS 2035 TARGET DATE-A<br>BUY 0 Units @0.0000 | 0.00                 | 58.56               | 0.00               | 58.56             | 0.5  | 0.29                 |



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|--|--|--|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b> OVERRIDE TRANSACTIONS (continued)</b>        |  |  |                      |                     |                    |                   |      |                      |
| <b> <u>BROKER: ALEX GEORGIEV (continued)</u></b> |  |  |                      |                     |                    |                   |      |                      |
| 03/01/2018                                       | ***-**-029I - BERMAN, DAVID<br>ACCOUNT #: 00082615282    | AMERICAN FUNDS 2035 TARGET DATE-A<br>BUY 0 Units @0.0000 | 0.00                 | 34.58               | 0.00               | 34.58             | 0.5  | 0.17                 |
| 03/01/2018                                       | ***-**-50IR - DAILEY, JESSICA<br>ACCOUNT #: 00082663590  | AMERICAN FUNDS 2035 TARGET DATE-A<br>BUY 0 Units @0.0000 | 0.00                 | 3.93                | 0.00               | 3.93              | 0.5  | 0.02                 |
| 03/01/2018                                       | ***-**-931I - DAILEY, GEORGE<br>ACCOUNT #: 00082663597   | AMERICAN FUNDS 2035 TARGET DATE-A<br>BUY 0 Units @0.0000 | 0.00                 | 2.05                | 0.00               | 2.05              | 0.5  | 0.01                 |
| 03/01/2018                                       | ***-**-31IR - DAILEY, GEORGE<br>ACCOUNT #: 00082663608   | AMERICAN FUNDS 2035 TARGET DATE-A<br>BUY 0 Units @0.0000 | 0.00                 | 3.93                | 0.00               | 3.93              | 0.5  | 0.02                 |
| 03/01/2018                                       | ***-**-966I - HALL, AMY<br>ACCOUNT #: 00083146178        | AMERICAN FUNDS 2035 TARGET DATE-A<br>BUY 0 Units @0.0000 | 0.00                 | 4.51                | 0.00               | 4.51              | 0.5  | 0.02                 |
| 03/01/2018                                       | ***-**-064I - BOCCIA, DOUGLAS<br>ACCOUNT #: 00083146199  | AMERICAN FUNDS 2035 TARGET DATE-A<br>BUY 0 Units @0.0000 | 0.00                 | 21.55               | 0.00               | 21.55             | 0.5  | 0.11                 |
| 03/01/2018                                       | ***-**-474I - MILETO, MARC<br>ACCOUNT #: 00083293625     | AMERICAN FUNDS 2035 TARGET DATE-A<br>BUY 0 Units @0.0000 | 0.00                 | 53.65               | 0.00               | 53.65             | 0.5  | 0.27                 |
| 03/01/2018                                       | ***-**-85IR - FRIEDMAN,<br>ACCOUNT #: 00083418661        | AMERICAN FUNDS 2035 TARGET DATE-A<br>BUY 0 Units @0.0000 | 0.00                 | 45.11               | 0.00               | 45.11             | 0.5  | 0.23                 |
| 03/01/2018                                       | ***-**-91IR - FRIEDMAN, KEITH<br>ACCOUNT #: 00083418711  | AMERICAN FUNDS 2035 TARGET DATE-A<br>BUY 0 Units @0.0000 | 0.00                 | 47.35               | 0.00               | 47.35             | 0.5  | 0.24                 |
| 03/01/2018                                       | ***-**-322I - RUDO, BRIAN<br>ACCOUNT #: 00083672289      | AMERICAN FUNDS 2035 TARGET DATE-A<br>BUY 0 Units @0.0000 | 0.00                 | 29.18               | 0.00               | 29.18             | 0.5  | 0.15                 |
| 03/01/2018                                       | ***-**-241I - ANDERSON, JANINE<br>ACCOUNT #: 00083859612 | AMERICAN FUNDS 2035 TARGET DATE-A<br>BUY 0 Units @0.0000 | 0.00                 | 109.26              | 0.00               | 109.26            | 0.5  | 0.55                 |
| 03/01/2018                                       | ***-**-373I - CIMINO, LISA<br>ACCOUNT #: 00084179471     | AMERICAN FUNDS 2035 TARGET DATE-A<br>BUY 0 Units @0.0000 | 0.00                 | 8.99                | 0.00               | 8.99              | 0.5  | 0.04                 |
| 03/01/2018                                       | ***-**-95SI -<br>ACCOUNT #: 00084372328                  | AMERICAN FUNDS 2035 TARGET DATE-A<br>BUY 0 Units @0.0000 | 0.00                 | 87.45               | 0.00               | 87.45             | 0.5  | 0.44                 |
| 03/01/2018                                       | ***-**-452I - GARDNER, DANIEL<br>ACCOUNT #: 00084433092  | AMERICAN FUNDS 2035 TARGET DATE-A<br>BUY 0 Units @0.0000 | 0.00                 | 49.10               | 0.00               | 49.10             | 0.5  | 0.25                 |
| 03/01/2018                                       | ***-**-52IR - GARDNER, DANIEL<br>ACCOUNT #: 00084433138  | AMERICAN FUNDS 2035 TARGET DATE-A<br>BUY 0 Units @0.0000 | 0.00                 | 10.61               | 0.00               | 10.61             | 0.5  | 0.05                 |
| 03/01/2018                                       | ***-**-904I - KATZ, MATTHEW<br>ACCOUNT #: 00084535886    | AMERICAN FUNDS 2035 TARGET DATE-A<br>BUY 0 Units @0.0000 | 0.00                 | 45.39               | 0.00               | 45.39             | 0.5  | 0.23                 |



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| <b><u> OVERRIDE TRANSACTIONS (continued) </u></b> |  |  |                      |                     |                    |                   |      |                      |
| <b><u>BROKER: ALEX GEORGIEV (continued)</u></b>   |  |  |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-09SI - BECKER, STEPHEN<br>ACCOUNT #: 00084563958  | AMERICAN FUNDS 2035 TARGET DATE-A<br>BUY 0 Units @0.0000 | 0.00                 | 47.66               | 0.00               | 47.66             | 0.5  | 0.24                 |
| 03/01/2018  | ***-**-007I - BLUM, JENNIFER<br>ACCOUNT #: 00084822195   | AMERICAN FUNDS 2035 TARGET DATE-A<br>BUY 0 Units @0.0000 | 0.00                 | 73.75               | 0.00               | 73.75             | 0.5  | 0.37                 |
| 03/01/2018  | ***-**-09SI - TAJUDDIN,<br>ACCOUNT #: 00084884270        | AMERICAN FUNDS 2035 TARGET DATE-A<br>BUY 0 Units @0.0000 | 0.00                 | 22.77               | 0.00               | 22.77             | 0.5  | 0.11                 |
| 03/01/2018  | ***-**-07IR - ROVIRA, IRENE<br>ACCOUNT #: 00085130072    | AMERICAN FUNDS 2035 TARGET DATE-A<br>BUY 0 Units @0.0000 | 0.00                 | 22.41               | 0.00               | 22.41             | 0.5  | 0.11                 |
| 03/01/2018  | ***-**-008I - MACHOVEC,<br>ACCOUNT #: 00085335986        | AMERICAN FUNDS 2035 TARGET DATE-A<br>BUY 0 Units @0.0000 | 0.00                 | 74.14               | 0.00               | 74.14             | 0.5  | 0.37                 |
| 03/01/2018  | ***-**-78IR - TRAUT, ASHLEY<br>ACCOUNT #: 00085432380    | AMERICAN FUNDS 2035 TARGET DATE-A<br>BUY 0 Units @0.0000 | 0.00                 | 14.60               | 0.00               | 14.60             | 0.5  | 0.07                 |
| 03/01/2018  | ***-**-57IR - CRAIG, EDWARD<br>ACCOUNT #: 00085434610    | AMERICAN FUNDS 2035 TARGET DATE-A<br>BUY 0 Units @0.0000 | 0.00                 | 7.51                | 0.00               | 7.51              | 0.5  | 0.04                 |
| 03/01/2018  | ***-**-457I - CRAIG, EDWARD<br>ACCOUNT #: 00085434619    | AMERICAN FUNDS 2035 TARGET DATE-A<br>BUY 0 Units @0.0000 | 0.00                 | 14.96               | 0.00               | 14.96             | 0.5  | 0.07                 |
| 03/01/2018  | ***-**-36IE - STARTZEL,<br>ACCOUNT #: 00085648149        | AMERICAN FUNDS 2035 TARGET DATE-A<br>BUY 0 Units @0.0000 | 0.00                 | 26.63               | 0.00               | 26.63             | 0.5  | 0.13                 |
| 03/01/2018  | ***-**-614I - STROMER, THOMAS<br>ACCOUNT #: 00085768420  | AMERICAN FUNDS 2035 TARGET DATE-A<br>BUY 0 Units @0.0000 | 0.00                 | 11.96               | 0.00               | 11.96             | 0.5  | 0.06                 |
| 03/01/2018  | ***-**-319I - FUCHS, ROBIN<br>ACCOUNT #: 00086081755     | AMERICAN FUNDS 2035 TARGET DATE-A<br>BUY 0 Units @0.0000 | 0.00                 | 164.26              | 0.00               | 164.26            | 0.5  | 0.82                 |
| 03/01/2018  | ***-**-873I - MOSTEIKO, WENDI<br>ACCOUNT #: 00086486663  | AMERICAN FUNDS 2035 TARGET DATE-A<br>BUY 0 Units @0.0000 | 0.00                 | 91.08               | 0.00               | 91.08             | 0.5  | 0.46                 |
| 03/01/2018  | ***-**-681I - HOLLIS, PATRYCJA<br>ACCOUNT #: 00086486750 | AMERICAN FUNDS 2035 TARGET DATE-A<br>BUY 0 Units @0.0000 | 0.00                 | 22.82               | 0.00               | 22.82             | 0.5  | 0.11                 |
| 03/01/2018  | ***-**-615P - DOWLA, JAMES<br>ACCOUNT #: 00086527553     | AMERICAN FUNDS 2035 TARGET DATE-A<br>BUY 0 Units @0.0000 | 0.00                 | 28.21               | 0.00               | 28.21             | 0.5  | 0.14                 |
| 03/01/2018  | ***-**-873I - MOSTEIKO, WENDI<br>ACCOUNT #: 00086581877  | AMERICAN FUNDS 2035 TARGET DATE-A<br>BUY 0 Units @0.0000 | 0.00                 | 38.15               | 0.00               | 38.15             | 0.5  | 0.19                 |
| 03/01/2018  | ***-**-01SI - COOKE,<br>ACCOUNT #: 00086958632           | AMERICAN FUNDS 2035 TARGET DATE-A<br>BUY 0 Units @0.0000 | 0.00                 | 77.76               | 0.00               | 77.76             | 0.5  | 0.39                 |



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| <b><u>VERRIDE TRANSACTIONS (continued)</u></b>  |                                |                                   |                      |                     |                    |                   |      |                      |
| <b><u>BROKER: ALEX GEORGIEV (continued)</u></b> |                                |                                   |                      |                     |                    |                   |      |                      |
| 03/01/2018                                      | ***-**-807I - ROVIRA, IRENE    | AMERICAN FUNDS 2035 TARGET DATE-A | 0.00                 | 8.90                | 0.00               | 8.90              | 0.5  | 0.04                 |
|   | ACCOUNT #: 00086999662         | BUY 0 Units @0.0000               |                      |                     |                    |                   |      |                      |
| 03/01/2018                                      | ***-**-915P - FRIEDMAN, KEITH  | AMERICAN FUNDS 2035 TARGET DATE-A | 0.00                 | 195.72              | 0.00               | 195.72            | 0.5  | 0.98                 |
|   | ACCOUNT #: 00087230952         | BUY 0 Units @0.0000               |                      |                     |                    |                   |      |                      |
| 03/01/2018                                      | ***-**-315P - PAULIUKONIS,     | AMERICAN FUNDS 2035 TARGET DATE-A | 0.00                 | 120.06              | 0.00               | 120.06            | 0.5  | 0.60                 |
|   | ACCOUNT #: 00087343172         | BUY 0 Units @0.0000               |                      |                     |                    |                   |      |                      |
| 03/02/2018                                      | ***-**-873I - MOSTEIKO, WENDI  | AMERICAN FUNDS 2035 TARGET DATE-A | 150.00               | 1.50                | 0.00               | 1.50              | 0.5  | 0.01                 |
|   | ACCOUNT #: 00086486663         | BUY 10 Units @15.0100             |                      |                     |                    |                   |      |                      |
| 03/02/2018                                      | ***-**-873I - MOSTEIKO, WENDI  | AMERICAN FUNDS 2035 TARGET DATE-A | 500.00               | 5.00                | 0.00               | 5.00              | 0.5  | 0.03                 |
|   | ACCOUNT #: 00086486663         | BUY 33 Units @15.0100             |                      |                     |                    |                   |      |                      |
| 03/02/2018                                      | ***-**-681I - HOLLIS, PATRYCJA | AMERICAN FUNDS 2035 TARGET DATE-A | 190.00               | 1.90                | 0.00               | 1.90              | 0.5  | 0.01                 |
|   | ACCOUNT #: 00086486750         | BUY 13 Units @15.0100             |                      |                     |                    |                   |      |                      |
| 03/02/2018                                      | ***-**-681I - HOLLIS, PATRYCJA | AMERICAN FUNDS 2035 TARGET DATE-A | 190.00               | 1.90                | 0.00               | 1.90              | 0.5  | 0.01                 |
|   | ACCOUNT #: 00086486750         | BUY 13 Units @15.0100             |                      |                     |                    |                   |      |                      |
| 02/26/2018                                      | ***-**-76IR - CRAIG, ELIZABETH | AMERICAN FUNDS 2040 TARGET DATE-A | 100.00               | 2.75                | 0.00               | 2.75              | 0.5  | 0.01                 |
|   | ACCOUNT #: 00085434632         | BUY 6 Units @16.3800              |                      |                     |                    |                   |      |                      |
| 02/27/2018                                      | ***-**-645P - CRAIG, MARK      | AMERICAN FUNDS 2040 TARGET DATE-A | 250.00               | 6.88                | 0.00               | 6.88              | 0.5  | 0.03                 |
|   | ACCOUNT #: 00066866912         | BUY 15 Units @16.1900             |                      |                     |                    |                   |      |                      |
| 02/28/2018                                      | ***-**-935I - LUBRANO, ROSARIO | AMERICAN FUNDS 2040 TARGET DATE-A | 400.00               | 11.00               | 0.00               | 11.00             | 0.5  | 0.06                 |
|   | ACCOUNT #: 00087158080         | BUY 25 Units @16.0300             |                      |                     |                    |                   |      |                      |
| 03/01/2018                                      | ***-**-645P - CRAIG, MARK      | AMERICAN FUNDS 2040 TARGET DATE-A | 0.00                 | 30.32               | 0.00               | 30.32             | 0.5  | 0.15                 |
|   | ACCOUNT #: 00066866912         | BUY 0 Units @0.0000               |                      |                     |                    |                   |      |                      |
| 03/01/2018                                      | ***-**-653I - INSCORE, DAVID   | AMERICAN FUNDS 2040 TARGET DATE-A | 0.00                 | 39.25               | 0.00               | 39.25             | 0.5  | 0.20                 |
|   | ACCOUNT #: 00067420784         | BUY 0 Units @0.0000               |                      |                     |                    |                   |      |                      |
| 03/01/2018                                      | ***-**-171I - INSCORE, ANJELI  | AMERICAN FUNDS 2040 TARGET DATE-A | 0.00                 | 39.23               | 0.00               | 39.23             | 0.5  | 0.20                 |
|   | ACCOUNT #: 00067420785         | BUY 0 Units @0.0000               |                      |                     |                    |                   |      |                      |
| 03/01/2018                                      | ***-**-64IR - STELLER,         | AMERICAN FUNDS 2040 TARGET DATE-A | 0.00                 | 28.96               | 0.00               | 28.96             | 0.5  | 0.14                 |
|   | ACCOUNT #: 00068666536         | BUY 0 Units @0.0000               |                      |                     |                    |                   |      |                      |
| 03/01/2018                                      | ***-**-87IR - BREZNICK, BURTON | AMERICAN FUNDS 2040 TARGET DATE-A | 0.00                 | 25.07               | 0.00               | 25.07             | 0.5  | 0.13                 |
|   | ACCOUNT #: 00068839060         | BUY 0 Units @0.0000               |                      |                     |                    |                   |      |                      |
| 03/01/2018                                      | ***-**-765P - PETERSON, AMY    | AMERICAN FUNDS 2040 TARGET DATE-A | 0.00                 | 18.74               | 0.00               | 18.74             | 0.5  | 0.09                 |
|   | ACCOUNT #: 00073810635         | BUY 0 Units @0.0000               |                      |                     |                    |                   |      |                      |



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| <b><u> OVERRIDE TRANSACTIONS (continued) </u></b> |                                |                                   |                      |                     |                    |                   |      |                      |
| <b><u>BROKER: ALEX GEORGIEV (continued)</u></b>   |                                |                                   |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-87IR - BREZNICK, BURTON | AMERICAN FUNDS 2040 TARGET DATE-A | 0.00                 | 96.47               | 0.00               | 96.47             | 0.5  | 0.48                 |
|   | ACCOUNT #: 00074385729         | BUY 0 Units @0.0000               |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-415P - SEVERE, EMILY    | AMERICAN FUNDS 2040 TARGET DATE-A | 0.00                 | 124.24              | 0.00               | 124.24            | 0.5  | 0.62                 |
|   | ACCOUNT #: 00075164944         | BUY 0 Units @0.0000               |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-415P - SEVERE, EMILY    | AMERICAN FUNDS 2040 TARGET DATE-A | 0.00                 | 39.50               | 0.00               | 39.50             | 0.5  | 0.20                 |
|   | ACCOUNT #: 00075208168         | BUY 0 Units @0.0000               |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-015P - SEVERE, DAVID    | AMERICAN FUNDS 2040 TARGET DATE-A | 0.00                 | 45.17               | 0.00               | 45.17             | 0.5  | 0.23                 |
|   | ACCOUNT #: 00075208190         | BUY 0 Units @0.0000               |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-155P - DUDAS, DOMINIC   | AMERICAN FUNDS 2040 TARGET DATE-A | 0.00                 | 38.92               | 0.00               | 38.92             | 0.5  | 0.19                 |
|   | ACCOUNT #: 00075208243         | BUY 0 Units @0.0000               |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-401I - SEVERE, DAVID    | AMERICAN FUNDS 2040 TARGET DATE-A | 0.00                 | 25.97               | 0.00               | 25.97             | 0.5  | 0.13                 |
|   | ACCOUNT #: 00075265806         | BUY 0 Units @0.0000               |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-38IR - MURPHY, CHRISTEN | AMERICAN FUNDS 2040 TARGET DATE-A | 0.00                 | 24.71               | 0.00               | 24.71             | 0.5  | 0.12                 |
|   | ACCOUNT #: 00075938607         | BUY 0 Units @0.0000               |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-738I - MURPHY, CHRISTEN | AMERICAN FUNDS 2040 TARGET DATE-A | 0.00                 | 15.46               | 0.00               | 15.46             | 0.5  | 0.08                 |
|   | ACCOUNT #: 00075938705         | BUY 0 Units @0.0000               |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-204I - MURPHY, PAUL     | AMERICAN FUNDS 2040 TARGET DATE-A | 0.00                 | 15.46               | 0.00               | 15.46             | 0.5  | 0.08                 |
|   | ACCOUNT #: 00075938764         | BUY 0 Units @0.0000               |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-122I - SHILOACH,        | AMERICAN FUNDS 2040 TARGET DATE-A | 0.00                 | 30.35               | 0.00               | 30.35             | 0.5  | 0.15                 |
|   | ACCOUNT #: 00081137646         | BUY 0 Units @0.0000               |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-76SI - GREEN, LISA      | AMERICAN FUNDS 2040 TARGET DATE-A | 0.00                 | 62.87               | 0.00               | 62.87             | 0.5  | 0.31                 |
|   | ACCOUNT #: 00081181723         | BUY 0 Units @0.0000               |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-721I - SHILOACH, JOSEPH | AMERICAN FUNDS 2040 TARGET DATE-A | 0.00                 | 24.92               | 0.00               | 24.92             | 0.5  | 0.12                 |
|   | ACCOUNT #: 00081205994         | BUY 0 Units @0.0000               |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-721I - SHILOACH, JOSEPH | AMERICAN FUNDS 2040 TARGET DATE-A | 0.00                 | 115.60              | 0.00               | 115.60            | 0.5  | 0.58                 |
|   | ACCOUNT #: 00081655924         | BUY 0 Units @0.0000               |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-955P - MILLER, RANDALL  | AMERICAN FUNDS 2040 TARGET DATE-A | 0.00                 | 13.38               | 0.00               | 13.38             | 0.5  | 0.07                 |
|   | ACCOUNT #: 00081700476         | BUY 0 Units @0.0000               |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-265P - MILETO, LINDA    | AMERICAN FUNDS 2040 TARGET DATE-A | 0.00                 | 7.66                | 0.00               | 7.66              | 0.5  | 0.04                 |
|   | ACCOUNT #: 00082235733         | BUY 0 Units @0.0000               |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-265P - MILETO, LINDA    | AMERICAN FUNDS 2040 TARGET DATE-A | 0.00                 | 6.44                | 0.00               | 6.44              | 0.5  | 0.03                 |
|   | ACCOUNT #: 00082235774         | BUY 0 Units @0.0000               |                      |                     |                    |                   |      |                      |



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| <b><u> OVERRIDE TRANSACTIONS (continued) </u></b> |  |  |                      |                     |                    |                   |      |                      |
| <b><u>BROKER: ALEX GEORGIEV (continued)</u></b>   |  |  |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-525P - FERRARA,<br>ACCOUNT #: 00082423808         | AMERICAN FUNDS 2040 TARGET DATE-A<br>BUY 0 Units @0.0000 | 0.00                 | 5.13                | 0.00               | 5.13              | 0.5  | 0.03                 |
| 03/01/2018  | ***-**-11IR - CANTALE,<br>ACCOUNT #: 00083881335         | AMERICAN FUNDS 2040 TARGET DATE-A<br>BUY 0 Units @0.0000 | 0.00                 | 4.58                | 0.00               | 4.58              | 0.5  | 0.02                 |
| 03/01/2018  | ***-**-673I - STEVENS, SCOTT<br>ACCOUNT #: 00083942640   | AMERICAN FUNDS 2040 TARGET DATE-A<br>BUY 0 Units @0.0000 | 0.00                 | 29.84               | 0.00               | 29.84             | 0.5  | 0.15                 |
| 03/01/2018  | ***-**-964I - STEVENS, JOANNE<br>ACCOUNT #: 00083942663  | AMERICAN FUNDS 2040 TARGET DATE-A<br>BUY 0 Units @0.0000 | 0.00                 | 33.83               | 0.00               | 33.83             | 0.5  | 0.17                 |
| 03/01/2018  | ***-**-848I - GARDNER, ANGELA<br>ACCOUNT #: 00084433052  | AMERICAN FUNDS 2040 TARGET DATE-A<br>BUY 0 Units @0.0000 | 0.00                 | 27.71               | 0.00               | 27.71             | 0.5  | 0.14                 |
| 03/01/2018  | ***-**-331I - EBERWEIN,<br>ACCOUNT #: 00084747564        | AMERICAN FUNDS 2040 TARGET DATE-A<br>BUY 0 Units @0.0000 | 0.00                 | 5.07                | 0.00               | 5.07              | 0.5  | 0.03                 |
| 03/01/2018  | ***-**-634I - HOGUE, KELLY<br>ACCOUNT #: 00085231905     | AMERICAN FUNDS 2040 TARGET DATE-A<br>BUY 0 Units @0.0000 | 0.00                 | 125.43              | 0.00               | 125.43            | 0.5  | 0.63                 |
| 03/01/2018  | ***-**-465I - MAASS, CARLY<br>ACCOUNT #: 00085354648     | AMERICAN FUNDS 2040 TARGET DATE-A<br>BUY 0 Units @0.0000 | 0.00                 | 7.08                | 0.00               | 7.08              | 0.5  | 0.04                 |
| 03/01/2018  | ***-**-876I - CRAIG, ELIZABETH<br>ACCOUNT #: 00085434624 | AMERICAN FUNDS 2040 TARGET DATE-A<br>BUY 0 Units @0.0000 | 0.00                 | 29.17               | 0.00               | 29.17             | 0.5  | 0.15                 |
| 03/01/2018  | ***-**-76IR - CRAIG, ELIZABETH<br>ACCOUNT #: 00085434632 | AMERICAN FUNDS 2040 TARGET DATE-A<br>BUY 0 Units @0.0000 | 0.00                 | 9.79                | 0.00               | 9.79              | 0.5  | 0.05                 |
| 03/01/2018  | ***-**-935I - STROMER, CAROLYN<br>ACCOUNT #: 00085768400 | AMERICAN FUNDS 2040 TARGET DATE-A<br>BUY 0 Units @0.0000 | 0.00                 | 4.27                | 0.00               | 4.27              | 0.5  | 0.02                 |
| 03/01/2018  | ***-**-348I - ROZENCWAIG,<br>ACCOUNT #: 00086031045      | AMERICAN FUNDS 2040 TARGET DATE-A<br>BUY 0 Units @0.0000 | 0.00                 | 28.83               | 0.00               | 28.83             | 0.5  | 0.14                 |
| 03/01/2018  | ***-**-61SI - EUGENE, PATRICIA<br>ACCOUNT #: 00086411841 | AMERICAN FUNDS 2040 TARGET DATE-A<br>BUY 0 Units @0.0000 | 0.00                 | 169.15              | 0.00               | 169.15            | 0.5  | 0.85                 |
| 03/01/2018  | ***-**-306I - LEWIS, ERIC<br>ACCOUNT #: 00086486674      | AMERICAN FUNDS 2040 TARGET DATE-A<br>BUY 0 Units @0.0000 | 0.00                 | 9.87                | 0.00               | 9.87              | 0.5  | 0.05                 |
| 03/01/2018  | ***-**-935I - LUBRANO, ROSARIO<br>ACCOUNT #: 00087158080 | AMERICAN FUNDS 2040 TARGET DATE-A<br>BUY 0 Units @0.0000 | 0.00                 | 44.12               | 0.00               | 44.12             | 0.5  | 0.22                 |
| 03/01/2018  | ***-**-914I - ZUKERBERG,<br>ACCOUNT #: 00087158099       | AMERICAN FUNDS 2040 TARGET DATE-A<br>BUY 0 Units @0.0000 | 0.00                 | 15.44               | 0.00               | 15.44             | 0.5  | 0.08                 |





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|---|--------------------------------|-----------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b><u>VERRIDE TRANSACTIONS (continued)</u></b>  |                                |                                   |                      |                     |                    |                   |      |                      |
| <b><u>BROKER: ALEX GEORGIEV (continued)</u></b> |                                |                                   |                      |                     |                    |                   |      |                      |
| 03/01/2018                                      | ***-**-636I - PETERSEN, BRENDA | AMERICAN FUNDS 2040 TARGET DATE-A | 0.00                 | 43.85               | 0.00               | 43.85             | 0.5  | 0.22                 |
|   | ACCOUNT #: 00087215967         | BUY 0 Units @0.0000               |                      |                     |                    |                   |      |                      |
| 03/01/2018                                      | ***-**-5184 - BLUM, ANDREW     | AMERICAN FUNDS 2040 TARGET DATE-A | 0.00                 | 122.22              | 0.00               | 122.22            | 0.5  | 0.61                 |
|   | ACCOUNT #: 00087681904         | BUY 0 Units @0.0000               |                      |                     |                    |                   |      |                      |
| 03/01/2018                                      | ***-**-292I - MILAD,           | AMERICAN FUNDS 2040 TARGET DATE-A | 0.00                 | 13.17               | 0.00               | 13.17             | 0.5  | 0.07                 |
|   | ACCOUNT #: 00088234347         | BUY 0 Units @0.0000               |                      |                     |                    |                   |      |                      |
| 03/01/2018                                      | ***-**-296I - ROZENCWAIG,      | AMERICAN FUNDS 2045 TARGET DATE-A | 458.00               | 12.60               | 0.00               | 12.60             | 0.5  | 0.06                 |
|   | ACCOUNT #: 00073024936         | BUY 28 Units @16.1600             |                      |                     |                    |                   |      |                      |
| 03/01/2018                                      | ***-**-13IR - LABUE, CHRISTINE | AMERICAN FUNDS 2045 TARGET DATE-A | 50.00                | 2.50                | 0.00               | 2.50              | 0.5  | 0.01                 |
|   | ACCOUNT #: 00085542538         | BUY 3 Units @16.5400              |                      |                     |                    |                   |      |                      |
| 03/01/2018                                      | ***-**-115P - VIJAYAKUMAR,     | AMERICAN FUNDS 2045 TARGET DATE-A | 0.00                 | 23.79               | 0.00               | 23.79             | 0.5  | 0.12                 |
|   | ACCOUNT #: 00067679775         | BUY 0 Units @0.0000               |                      |                     |                    |                   |      |                      |
| 03/01/2018                                      | ***-**-97IR - SMITH, RACHEL    | AMERICAN FUNDS 2045 TARGET DATE-A | 0.00                 | 1.76                | 0.00               | 1.76              | 0.5  | 0.01                 |
|   | ACCOUNT #: 00068166023         | BUY 0 Units @0.0000               |                      |                     |                    |                   |      |                      |
| 03/01/2018                                      | ***-**-115P - VIJAYAKUMAR,     | AMERICAN FUNDS 2045 TARGET DATE-A | 0.00                 | 60.25               | 0.00               | 60.25             | 0.5  | 0.30                 |
|   | ACCOUNT #: 00068736530         | BUY 0 Units @0.0000               |                      |                     |                    |                   |      |                      |
| 03/01/2018                                      | ***-**-296I - ROZENCWAIG,      | AMERICAN FUNDS 2045 TARGET DATE-A | 0.00                 | 49.74               | 0.00               | 49.74             | 0.5  | 0.25                 |
|   | ACCOUNT #: 00073024936         | BUY 0 Units @0.0000               |                      |                     |                    |                   |      |                      |
| 03/01/2018                                      | ***-**-597I - SMITH, RACHEL    | AMERICAN FUNDS 2045 TARGET DATE-A | 0.00                 | 11.12               | 0.00               | 11.12             | 0.5  | 0.06                 |
|   | ACCOUNT #: 00083293682         | BUY 0 Units @0.0000               |                      |                     |                    |                   |      |                      |
| 03/01/2018                                      | ***-**-26IN - STIGLITZ, AMY    | AMERICAN FUNDS 2045 TARGET DATE-A | 0.00                 | 21.61               | 0.00               | 21.61             | 0.5  | 0.11                 |
|   | ACCOUNT #: 00084285773         | BUY 0 Units @0.0000               |                      |                     |                    |                   |      |                      |
| 03/01/2018                                      | ***-**-13IR - LABUE, CHRISTINE | AMERICAN FUNDS 2045 TARGET DATE-A | 0.00                 | 3.82                | 0.00               | 3.82              | 0.5  | 0.02                 |
|   | ACCOUNT #: 00085542538         | BUY 0 Units @0.0000               |                      |                     |                    |                   |      |                      |
| 03/01/2018                                      | ***-**-588I - LYDECKER, LAUREL | AMERICAN FUNDS 2045 TARGET DATE-A | 0.00                 | 19.08               | 0.00               | 19.08             | 0.5  | 0.10                 |
|   | ACCOUNT #: 00085858423         | BUY 0 Units @0.0000               |                      |                     |                    |                   |      |                      |
| 03/01/2018                                      | ***-**-186I - HALKA, DANIEL    | AMERICAN FUNDS 2045 TARGET DATE-A | 0.00                 | 115.42              | 0.00               | 115.42            | 0.5  | 0.58                 |
|   | ACCOUNT #: 00086469786         | BUY 0 Units @0.0000               |                      |                     |                    |                   |      |                      |
| 03/01/2018                                      | ***-**-504I - MARSHALL,        | AMERICAN FUNDS 2045 TARGET DATE-A | 0.00                 | 61.98               | 0.00               | 61.98             | 0.5  | 0.31                 |
|   | ACCOUNT #: 00086486770         | BUY 0 Units @0.0000               |                      |                     |                    |                   |      |                      |
| 03/01/2018                                      | ***-**-714I - BROZIC, JENNIFER | AMERICAN FUNDS 2045 TARGET DATE-A | 0.00                 | 120.31              | 0.00               | 120.31            | 0.5  | 0.60                 |
|   | ACCOUNT #: 00086511758         | BUY 0 Units @0.0000               |                      |                     |                    |                   |      |                      |



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|---|--|--|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b><u> OVERRIDE TRANSACTIONS (continued) </u></b> |  |  |                      |                     |                    |                   |      |                      |
| <b><u> BROKER: ALEX GEORGIEV (continued) </u></b> |  |  |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-504I - MARSHALL,<br>ACCOUNT #: 00086714414        | AMERICAN FUNDS 2045 TARGET DATE-A<br>BUY 0 Units @0.0000   | 0.00                 | 10.91               | 0.00               | 10.91             | 0.5  | 0.05                 |
| 03/01/2018  | ***-**-504I - MARSHALL,<br>ACCOUNT #: 00086866329        | AMERICAN FUNDS 2045 TARGET DATE-A<br>BUY 0 Units @0.0000   | 0.00                 | 11.58               | 0.00               | 11.58             | 0.5  | 0.06                 |
| 03/01/2018  | ***-**-887I - IM, RICHARD<br>ACCOUNT #: 00086890294      | AMERICAN FUNDS 2045 TARGET DATE-A<br>BUY 0 Units @0.0000   | 0.00                 | 146.05              | 0.00               | 146.05            | 0.5  | 0.73                 |
| 03/01/2018  | ***-**-6438 - IM, KATE<br>ACCOUNT #: 00086890363         | AMERICAN FUNDS 2045 TARGET DATE-A<br>BUY 0 Units @0.0000   | 0.00                 | 28.32               | 0.00               | 28.32             | 0.5  | 0.14                 |
| 03/01/2018  | ***-**-714I - BROZIC, JENNIFER<br>ACCOUNT #: 00087250839 | AMERICAN FUNDS 2045 TARGET DATE-A<br>BUY 0 Units @0.0000   | 0.00                 | 13.81               | 0.00               | 13.81             | 0.5  | 0.07                 |
| 03/01/2018  | ***-**-46SI - ROWELL, JULIE<br>ACCOUNT #: 00087645452    | AMERICAN FUNDS 2045 TARGET DATE-A<br>BUY 0 Units @0.0000   | 0.00                 | 56.48               | 0.00               | 56.48             | 0.5  | 0.28                 |
| 03/01/2018  | ***-**-616I - COMOGLIO,<br>ACCOUNT #: 00088274749        | AMERICAN FUNDS 2045 TARGET DATE-A<br>BUY 0 Units @0.0000   | 0.00                 | 31.91               | 0.00               | 31.91             | 0.5  | 0.16                 |
| 03/01/2018  | ***-**-271I - DIROSA, ANGELO<br>ACCOUNT #: 00088972440   | AMERICAN FUNDS 2045 TARGET DATE-A<br>BUY 0 Units @0.0000   | 0.00                 | 10.54               | 0.00               | 10.54             | 0.5  | 0.05                 |
| 03/02/2018  | ***-**-504I - MARSHALL,<br>ACCOUNT #: 00086486770        | AMERICAN FUNDS 2045 TARGET DATE-A<br>BUY 31 Units @15.6600 | 480.00               | 4.80                | 0.00               | 4.80              | 0.5  | 0.02                 |
| 03/02/2018  | ***-**-504I - MARSHALL,<br>ACCOUNT #: 00086486770        | AMERICAN FUNDS 2045 TARGET DATE-A<br>BUY 15 Units @15.6600 | 240.00               | 2.40                | 0.00               | 2.40              | 0.5  | 0.01                 |
| 03/01/2018  | ***-**-08SI - MYERS, SCOTT<br>ACCOUNT #: 00087537739     | AMERICAN FUNDS 2050 TARGET DATE-A<br>BUY 0 Units @0.0000   | 0.00                 | 3.29                | 0.00               | 3.29              | 0.5  | 0.02                 |
| 03/01/2018  | ***-**-11SI - KEOGH, JOSHUA<br>ACCOUNT #: 00087537776    | AMERICAN FUNDS 2050 TARGET DATE-A<br>BUY 0 Units @0.0000   | 0.00                 | 7.15                | 0.00               | 7.15              | 0.5  | 0.04                 |
| 03/01/2018  | ***-**-94SI - BOGGS, BRENT<br>ACCOUNT #: 00087537777     | AMERICAN FUNDS 2050 TARGET DATE-A<br>BUY 0 Units @0.0000   | 0.00                 | 7.03                | 0.00               | 7.03              | 0.5  | 0.04                 |
| 03/01/2018  | ***-**-19SI - MITCHELL,<br>ACCOUNT #: 00087537788        | AMERICAN FUNDS 2050 TARGET DATE-A<br>BUY 0 Units @0.0000   | 0.00                 | 6.03                | 0.00               | 6.03              | 0.5  | 0.03                 |
| 03/01/2018  | ***-**-6540 - PAK, GRACE<br>ACCOUNT #: 00089936611       | AMERICAN FUNDS 2050 TARGET DATE-A<br>BUY 0 Units @0.0000   | 0.00                 | 3.25                | 0.00               | 3.25              | 0.5  | 0.02                 |
| 03/02/2018  | ***-**-6540 - PAK, GRACE<br>ACCOUNT #: 00089936611       | AMERICAN FUNDS 2050 TARGET DATE-A<br>BUY 8 Units @15.3400  | 130.00               | 1.30                | 0.00               | 1.30              | 0.5  | 0.01                 |



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| <b><u> OVERRIDE TRANSACTIONS (continued) </u></b> |                                |                                     |                      |                     |                    |                   |      |                      |
| <b><u> BROKER: ALEX GEORGIEV (continued) </u></b> |                                |                                     |                      |                     |                    |                   |      |                      |
| 03/02/2018  | ***-**-6540 - PAK, GRACE       | AMERICAN FUNDS 2050 TARGET DATE-A   | 650.00               | 6.50                | 0.00               | 6.50              | 0.5  | 0.03                 |
|   | ACCOUNT #: 00089936611         | BUY 42 Units @15.3400               |                      |                     |                    |                   |      |                      |
| 03/06/2018  | ***-**-824I - CHRISOS, LORRIE  | AMERICAN FUNDS BALANCED PORT CL F2- | 100.00               | 3.00                | 0.00               | 3.00              | 0.5  | 0.02                 |
|   | ACCOUNT #: LSR012122           | BUY 7 Units @14.9700                |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-074J - MARSIGLIA, HARRY | AMERICAN FUNDS BLNCD PORTFOLIO CL A | 0.00                 | 18.05               | 0.00               | 18.05             | 0.5  | 0.09                 |
|   | ACCOUNT #: 00087619431         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/06/2018  | ***-**-824I - CHRISOS, LORRIE  | AMERICAN FUNDS GRWTH & INC. PORT F  | 100.00               | 3.00                | 0.00               | 3.00              | 0.5  | 0.02                 |
|   | ACCOUNT #: LSR012122           | BUY 6 Units @15.4400                |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-659I - ADAMS, JOSHUA    | AMERICAN FUNDS GRWTH & INCOME PORT  | 0.00                 | 4.27                | 0.00               | 4.27              | 0.5  | 0.02                 |
|   | ACCOUNT #: 00089094219         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-887I - IM, RICHARD      | AMERICAN FUNDS GRWTH & INCOME PORT  | 0.00                 | 59.94               | 0.00               | 59.94             | 0.5  | 0.30                 |
|   | ACCOUNT #: 00086890530         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-415P - TARANTINO, SCOTT | AMERICAN FUNDS GRWTH & INCOME PORT  | 0.00                 | 97.30               | 0.00               | 97.30             | 0.5  | 0.49                 |
|   | ACCOUNT #: 00087442563         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-13IR - CULBERT,         | AMERICAN FUNDS GRWTH & INCOME PORT  | 0.00                 | 13.12               | 0.00               | 13.12             | 0.5  | 0.07                 |
|   | ACCOUNT #: 00087534885         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-86CL - ASHER, CLIENTS   | AMERICAN FUNDS GRWTH & INCOME PORT  | 0.00                 | 19.17               | 0.00               | 19.17             | 0.5  | 0.10                 |
|   | ACCOUNT #: 00087552886         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-86CL - ASHER, CLIENTS   | AMERICAN FUNDS GRWTH & INCOME PORT  | 0.00                 | 17.70               | 0.00               | 17.70             | 0.5  | 0.09                 |
|   | ACCOUNT #: 00087552955         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-074J - MARSIGLIA, HARRY | AMERICAN FUNDS GRWTH & INCOME PORT  | 0.00                 | 18.77               | 0.00               | 18.77             | 0.5  | 0.09                 |
|   | ACCOUNT #: 00087619431         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/02/2018  | ***-**-659I - ADAMS, JOSHUA    | AMERICAN FUNDS GRWTH & INCOME PORT  | 127.03               | 1.27                | 0.00               | 1.27              | 0.5  | 0.01                 |
|   | ACCOUNT #: 00089094219         | BUY 8 Units @15.2700                |                      |                     |                    |                   |      |                      |
| 03/02/2018  | ***-**-659I - ADAMS, JOSHUA    | AMERICAN FUNDS GRWTH & INCOME PORT  | 160.00               | 1.60                | 0.00               | 1.60              | 0.5  | 0.01                 |
|   | ACCOUNT #: 00089094219         | BUY 10 Units @15.2700               |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-415P - TARANTINO, SCOTT | AMERICAN FUNDS INCOME PORT CL A     | 0.00                 | 105.51              | 0.00               | 105.51            | 0.5  | 0.53                 |
|   | ACCOUNT #: 00087442563         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-415P - TARANTINO, SCOTT | AMERICAN GLOBAL BALANCED CLASS A    | 0.00                 | 7.26                | 0.00               | 7.26              | 0.5  | 0.04                 |
|   | ACCOUNT #: 00087447990         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-287I - BELLINO, VALERIE | AMERICAN HIGH-INCOME TRUST-A        | 0.00                 | 1.00                | 0.00               | 1.00              | 0.5  | 0.01                 |
|   | ACCOUNT #: 00081674809         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |



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| <b> OVERRIDE TRANSACTIONS (continued) </b>        |                                |                              |                      |                     |                    |                   |      |                      |
| <b> <u>BROKER: ALEX GEORGIEV (continued)</u> </b> |                                |                              |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-29IN - LITMAN, WENDY    | AMERICAN HIGH-INCOME TRUST-A | 0.00                 | 4.96                | 0.00               | 4.96              | 0.5  | 0.02                 |
|   | ACCOUNT #: 00068524068         | BUY 0 Units @0.0000          |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-415P - TARANTINO, SCOTT | AMERICAN HIGH-INCOME TRUST-A | 0.00                 | 7.24                | 0.00               | 7.24              | 0.5  | 0.04                 |
|   | ACCOUNT #: 00087447990         | BUY 0 Units @0.0000          |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-885P - PITTAWAY, JAMES  | AMERICAN HIGH-INCOME TRUST-C | 0.00                 | 3.44                | 0.00               | 3.44              | 0.5  | 0.02                 |
|   | ACCOUNT #: 00068654518         | BUY 0 Units @0.0000          |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-305P - ALOOR, RAVI      | AMERICAN MUTUAL FUND-529A    | 500.00               | 10.00               | 0.00               | 10.00             | 0.5  | 0.05                 |
|   | ACCOUNT #: 00081141529         | BUY 12 Units @41.4200        |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-445P - PRAGER, TIFFANY  | AMERICAN MUTUAL FUND-529A    | 0.00                 | 24.91               | 0.00               | 24.91             | 0.5  | 0.12                 |
|   | ACCOUNT #: 00073887960         | BUY 0 Units @0.0000          |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-305P - ALOOR, RAVI      | AMERICAN MUTUAL FUND-529A    | 0.00                 | 15.43               | 0.00               | 15.43             | 0.5  | 0.08                 |
|   | ACCOUNT #: 00081141529         | BUY 0 Units @0.0000          |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-615P - DOWLA, JAMES     | AMERICAN MUTUAL FUND-529A    | 0.00                 | 4.41                | 0.00               | 4.41              | 0.5  | 0.02                 |
|   | ACCOUNT #: 00081235869         | BUY 0 Units @0.0000          |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-615P - DOWLA, JAMES     | AMERICAN MUTUAL FUND-529A    | 0.00                 | 4.41                | 0.00               | 4.41              | 0.5  | 0.02                 |
|   | ACCOUNT #: 00081235942         | BUY 0 Units @0.0000          |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-745P - MILETO, LEO      | AMERICAN MUTUAL FUND-529A    | 0.00                 | 7.14                | 0.00               | 7.14              | 0.5  | 0.04                 |
|   | ACCOUNT #: 00081348773         | BUY 0 Units @0.0000          |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-045P - RAMESHKUMAR,     | AMERICAN MUTUAL FUND-529A    | 0.00                 | 7.22                | 0.00               | 7.22              | 0.5  | 0.04                 |
|   | ACCOUNT #: 00081777057         | BUY 0 Units @0.0000          |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-265P - MILETO, LINDA    | AMERICAN MUTUAL FUND-529A    | 0.00                 | 5.08                | 0.00               | 5.08              | 0.5  | 0.03                 |
|   | ACCOUNT #: 00082236188         | BUY 0 Units @0.0000          |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-885P - PERTNOY, LOGAN   | AMERICAN MUTUAL FUND-529A    | 0.00                 | 1.47                | 0.00               | 1.47              | 0.5  | 0.01                 |
|   | ACCOUNT #: 00082384738         | BUY 0 Units @0.0000          |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-015P - SEVERE, DAVID    | AMERICAN MUTUAL FUND-529A    | 0.00                 | 24.15               | 0.00               | 24.15             | 0.5  | 0.12                 |
|   | ACCOUNT #: 00082698692         | BUY 0 Units @0.0000          |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-955P - STARTZEL, MARCUS | AMERICAN MUTUAL FUND-529A    | 0.00                 | 16.06               | 0.00               | 16.06             | 0.5  | 0.08                 |
|   | ACCOUNT #: 00082708555         | BUY 0 Units @0.0000          |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-785P - TRAUT, ASHLEY    | AMERICAN MUTUAL FUND-529A    | 0.00                 | 10.52               | 0.00               | 10.52             | 0.5  | 0.05                 |
|   | ACCOUNT #: 00084318664         | BUY 0 Units @0.0000          |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-245P - GALFORD, DAVID   | AMERICAN MUTUAL FUND-529A    | 0.00                 | 5.09                | 0.00               | 5.09              | 0.5  | 0.03                 |
|   | ACCOUNT #: 00084737271         | BUY 0 Units @0.0000          |                      |                     |                    |                   |      |                      |



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|---|--|--|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b><u>VERRIDE TRANSACTIONS (continued)</u></b>  |  |  |                      |                     |                    |                   |      |                      |
| <b><u>BROKER: ALEX GEORGIEV (continued)</u></b> |  |  |                      |                     |                    |                   |      |                      |
| 03/01/2018                                      | ***-**-215P - FLOREY, JILL<br>ACCOUNT #: 00085208452     | AMERICAN MUTUAL FUND-529A<br>BUY 0 Units @0.0000 | 0.00                 | 1.38                | 0.00               | 1.38              | 0.5  | 0.01                 |
| 03/01/2018                                      | ***-**-865P - FRIEDMAN, ALAN<br>ACCOUNT #: 00085595847   | AMERICAN MUTUAL FUND-529A<br>BUY 0 Units @0.0000 | 0.00                 | 3.58                | 0.00               | 3.58              | 0.5  | 0.02                 |
| 03/01/2018                                      | ***-**-015P - SEVERE, DAVID<br>ACCOUNT #: 00086510141    | AMERICAN MUTUAL FUND-529A<br>BUY 0 Units @0.0000 | 0.00                 | 6.90                | 0.00               | 6.90              | 0.5  | 0.03                 |
| 02/28/2018                                      | ***-**-72IN - THUMULURU,<br>ACCOUNT #: 00074749751       | AMERICAN MUTUAL FUND-A<br>BUY 5 Units @42.3600   | 200.00               | 5.50                | 0.00               | 5.50              | 0.5  | 0.03                 |
| 03/01/2018                                      | ***-**-88RI - GRASSMUCK,<br>ACCOUNT #: 00057245423       | AMERICAN MUTUAL FUND-A<br>BUY 0 Units @0.0000    | 0.00                 | 18.00               | 0.00               | 18.00             | 0.5  | 0.09                 |
| 03/01/2018                                      | ***-**-17IN - OPPER, ARLENE<br>ACCOUNT #: 00057350830    | AMERICAN MUTUAL FUND-A<br>BUY 0 Units @0.0000    | 0.00                 | 9.48                | 0.00               | 9.48              | 0.5  | 0.05                 |
| 03/01/2018                                      | ***-**-245P - KELBER, JEFFRY<br>ACCOUNT #: 00059587254   | AMERICAN MUTUAL FUND-A<br>BUY 0 Units @0.0000    | 0.00                 | 63.97               | 0.00               | 63.97             | 0.5  | 0.32                 |
| 03/01/2018                                      | ***-**-559I - BERROL, WILLIAM<br>ACCOUNT #: 00060972445  | AMERICAN MUTUAL FUND-A<br>BUY 0 Units @0.0000    | 0.00                 | 47.49               | 0.00               | 47.49             | 0.5  | 0.24                 |
| 03/01/2018                                      | ***-**-5980 - BAIS, RAM<br>ACCOUNT #: 00062603215        | AMERICAN MUTUAL FUND-A<br>BUY 0 Units @0.0000    | 0.00                 | 6.40                | 0.00               | 6.40              | 0.5  | 0.03                 |
| 03/01/2018                                      | ***-**-375P - KAVI, KRISHNA<br>ACCOUNT #: 00066909129    | AMERICAN MUTUAL FUND-A<br>BUY 0 Units @0.0000    | 0.00                 | 16.51               | 0.00               | 16.51             | 0.5  | 0.08                 |
| 03/01/2018                                      | ***-**-375P - KAVI, KRISHNA<br>ACCOUNT #: 00066909137    | AMERICAN MUTUAL FUND-A<br>BUY 0 Units @0.0000    | 0.00                 | 87.46               | 0.00               | 87.46             | 0.5  | 0.44                 |
| 03/01/2018                                      | ***-**-375P - KAVI, KRISHNA<br>ACCOUNT #: 00066909138    | AMERICAN MUTUAL FUND-A<br>BUY 0 Units @0.0000    | 0.00                 | 20.47               | 0.00               | 20.47             | 0.5  | 0.10                 |
| 03/01/2018                                      | ***-**-135P - MITCHELL, GLORIA<br>ACCOUNT #: 00073656408 | AMERICAN MUTUAL FUND-A<br>BUY 0 Units @0.0000    | 0.00                 | 1.03                | 0.00               | 1.03              | 0.5  | 0.01                 |
| 03/01/2018                                      | ***-**-065P - BEAULIEU, DANIKA<br>ACCOUNT #: 00073656411 | AMERICAN MUTUAL FUND-A<br>BUY 0 Units @0.0000    | 0.00                 | 3.07                | 0.00               | 3.07              | 0.5  | 0.02                 |
| 03/01/2018                                      | ***-**-975P - BOUDREAU,<br>ACCOUNT #: 00073656413        | AMERICAN MUTUAL FUND-A<br>BUY 0 Units @0.0000    | 0.00                 | 9.42                | 0.00               | 9.42              | 0.5  | 0.05                 |
| 03/01/2018                                      | ***-**-87IR - BATES, JACOB<br>ACCOUNT #: 00081418240     | AMERICAN MUTUAL FUND-A<br>BUY 0 Units @0.0000    | 0.00                 | 1.30                | 0.00               | 1.30              | 0.5  | 0.01                 |



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| <b><u> OVERRIDE TRANSACTIONS (continued) </u></b> |                                |                        |                      |                     |                    |                   |      |                      |
| <b><u>BROKER: ALEX GEORGIEV (continued)</u></b>   |                                |                        |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-415P - BARNABY, GORDON  | AMERICAN MUTUAL FUND-A | 0.00                 | 41.46               | 0.00               | 41.46             | 0.5  | 0.21                 |
|   | ACCOUNT #: 00081781947         | BUY 0 Units @0.0000    |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-27IR - POSSEE, DIANE    | AMERICAN MUTUAL FUND-A | 0.00                 | 5.53                | 0.00               | 5.53              | 0.5  | 0.03                 |
|   | ACCOUNT #: 00082953732         | BUY 0 Units @0.0000    |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-975P - BOUDREAU,        | AMERICAN MUTUAL FUND-A | 0.00                 | 7.88                | 0.00               | 7.88              | 0.5  | 0.04                 |
|   | ACCOUNT #: 00086966419         | BUY 0 Units @0.0000    |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-5428 - FIGUEROA/BENE,   | AMERICAN MUTUAL FUND-A | 0.00                 | 92.08               | 0.00               | 92.08             | 0.5  | 0.46                 |
|   | ACCOUNT #: 00087791132         | BUY 0 Units @0.0000    |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-5428 - FIGUEROA/BENE,   | AMERICAN MUTUAL FUND-A | 0.00                 | 7.72                | 0.00               | 7.72              | 0.5  | 0.04                 |
|   | ACCOUNT #: 00087791148         | BUY 0 Units @0.0000    |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-8126 - BROWN, BEVERLY   | AMERICAN MUTUAL FUND-A | 0.00                 | 6.67                | 0.00               | 6.67              | 0.5  | 0.03                 |
|   | ACCOUNT #: 00082099688         | BUY 0 Units @0.0000    |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-275P - BALDWIN, JUSTIN  | AMERICAN MUTUAL FUND-A | 0.00                 | 1.26                | 0.00               | 1.26              | 0.5  | 0.01                 |
|   | ACCOUNT #: 00067340502         | BUY 0 Units @0.0000    |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-8594 - LEITZELL, THOMAS | AMERICAN MUTUAL FUND-A | 0.00                 | 6.85                | 0.00               | 6.85              | 0.5  | 0.03                 |
|   | ACCOUNT #: 00074396415         | BUY 0 Units @0.0000    |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-802J - MAASS, CARLY     | AMERICAN MUTUAL FUND-A | 0.00                 | 29.19               | 0.00               | 29.19             | 0.5  | 0.15                 |
|   | ACCOUNT #: 00074618503         | BUY 0 Units @0.0000    |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-72IN - THUMULURU,       | AMERICAN MUTUAL FUND-A | 0.00                 | 16.64               | 0.00               | 16.64             | 0.5  | 0.08                 |
|   | ACCOUNT #: 00074749751         | BUY 0 Units @0.0000    |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-32SI - FERRARA, FABIO   | AMERICAN MUTUAL FUND-A | 0.00                 | 5.11                | 0.00               | 5.11              | 0.5  | 0.03                 |
|   | ACCOUNT #: 00074879556         | BUY 0 Units @0.0000    |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-17SI - CARSON, JEAN     | AMERICAN MUTUAL FUND-A | 0.00                 | 2.41                | 0.00               | 2.41              | 0.5  | 0.01                 |
|   | ACCOUNT #: 00075399997         | BUY 0 Units @0.0000    |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-439I - SHILOACH,        | AMERICAN MUTUAL FUND-A | 0.00                 | 2.82                | 0.00               | 2.82              | 0.5  | 0.01                 |
|   | ACCOUNT #: 00081137739         | BUY 0 Units @0.0000    |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-106I - SHILOACH, MOLLIE | AMERICAN MUTUAL FUND-A | 0.00                 | 3.15                | 0.00               | 3.15              | 0.5  | 0.02                 |
|   | ACCOUNT #: 00081181291         | BUY 0 Units @0.0000    |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-203I - SHILOACH, SHARON | AMERICAN MUTUAL FUND-A | 0.00                 | 2.77                | 0.00               | 2.77              | 0.5  | 0.01                 |
|   | ACCOUNT #: 00081205944         | BUY 0 Units @0.0000    |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-565P - DANIEL, MARK     | AMERICAN MUTUAL FUND-A | 0.00                 | 5.56                | 0.00               | 5.56              | 0.5  | 0.03                 |
|   | ACCOUNT #: 00081582840         | BUY 0 Units @0.0000    |                      |                     |                    |                   |      |                      |



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| <b><u> OVERRIDE TRANSACTIONS (continued) </u></b> |                                |                                     |                      |                     |                    |                   |      |                      |
| <b><u>BROKER: ALEX GEORGIEV (continued)</u></b>   |                                |                                     |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-721I - SHILOACH, JOSEPH | AMERICAN MUTUAL FUND-A              | 0.00                 | 25.11               | 0.00               | 25.11             | 0.5  | 0.13                 |
|   | ACCOUNT #: 00081655924         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-500I - MUPPIDI, JAYA    | AMERICAN MUTUAL FUND-A              | 0.00                 | 23.21               | 0.00               | 23.21             | 0.5  | 0.12                 |
|   | ACCOUNT #: 00082114542         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-267I - MUPPIDI, LATHA   | AMERICAN MUTUAL FUND-A              | 0.00                 | 1.81                | 0.00               | 1.81              | 0.5  | 0.01                 |
|   | ACCOUNT #: 00082114548         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-747I - ROY, JESSICA     | AMERICAN MUTUAL FUND-A              | 0.00                 | 3.07                | 0.00               | 3.07              | 0.5  | 0.02                 |
|   | ACCOUNT #: 00083742202         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-452J - GARDNER, DANIEL  | AMERICAN MUTUAL FUND-A              | 0.00                 | 7.66                | 0.00               | 7.66              | 0.5  | 0.04                 |
|   | ACCOUNT #: 00084433333         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-635P - SCOTT, JAMES     | AMERICAN WASHINGTON MUTUAL INVESTOR | 0.00                 | 28.27               | 0.00               | 28.27             | 0.5  | 0.14                 |
|   | ACCOUNT #: 00068920074         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-195I -                  | AMERICAN WASHINGTON MUTUAL INVESTOR | 0.00                 | 8.56                | 0.00               | 8.56              | 0.5  | 0.04                 |
|   | ACCOUNT #: 00067738827         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-375P - SINNO, FADY      | AMERICAN WASHINGTON MUTUAL INVESTOR | 0.00                 | 69.34               | 0.00               | 69.34             | 0.5  | 0.35                 |
|   | ACCOUNT #: 00068297392         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-504I - MARSHALL,        | AMERICAN WASHINGTON MUTUAL INVESTOR | 0.00                 | 1.11                | 0.00               | 1.11              | 0.5  | 0.01                 |
|   | ACCOUNT #: 00086486770         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/06/2018  | ***-**-4263 - SELARU, DR       | BLACKROCK MID CAP VALUE OPPORTIES C | 380.51               | 10.45               | 0.00               | 10.45             | 0.5  | 0.05                 |
|   | ACCOUNT #: LSR011307           | BUY 21 Units @18.2000               |                      |                     |                    |                   |      |                      |
| 03/06/2018  | ***-**-4263 - SELARU, DR       | BLACKROCK S&P 500 INDEX INV A       | 761.00               | 3.00                | 0.00               | 3.00              | 0.5  | 0.02                 |
|   | ACCOUNT #: LSR011307           | BUY 2 Units @325.6300               |                      |                     |                    |                   |      |                      |
| 03/06/2018  | ***-**-4263 - SELARU, DR       | BLACKROCK VALUE OPPORT FD CL A      | 380.49               | 10.45               | 0.00               | 10.45             | 0.5  | 0.05                 |
|   | ACCOUNT #: LSR011307           | BUY 12 Units @33.0800               |                      |                     |                    |                   |      |                      |
| 03/09/2018  | ***-**-73IS - LICHTFUSS,       | CALVERT 131618704                   | 0.00                 | 3.30                | 0.00               | 3.30              | 0.5  | 0.02                 |
|   | ACCOUNT #: 00007176105         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/09/2018  | ***-**-32SI - STEWART, VOLKER  | CALVERT 131620304                   | 0.00                 | 2.26                | 0.00               | 2.26              | 0.5  | 0.01                 |
|   | ACCOUNT #: 00007203900         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/08/2018  | ***-**-269I - SANCHEZ, SARAH   | CALVERT AGGRESSIVE ALLOCATION FUND- | 0.00                 | 2.88                | 0.00               | 2.88              | 0.5  | 0.01                 |
|   | ACCOUNT #: 00006107627         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/08/2018  | ***-**-01IR - SURGES, AMANI    | CALVERT AGGRESSIVE ALLOCATION FUND- | 0.00                 | 3.00                | 0.00               | 3.00              | 0.5  | 0.02                 |
|   | ACCOUNT #: 00007180771         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |



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| <b><u> OVERRIDE TRANSACTIONS (continued) </u></b> |  |  |                      |                     |                    |                   |      |                      |
| <b><u>BROKER: ALEX GEORGIEV (continued)</u></b>   |  |  |                      |                     |                    |                   |      |                      |
| 03/08/2018  | ***-**-79SI - CREEGAN, THOMAS<br>ACCOUNT #: 00007203830  | CALVERT AGGRESSIVE ALLOCATION FUND-<br>BUY 0 Units @0.0000 | 0.00                 | 16.88               | 0.00               | 16.88             | 0.5  | 0.08                 |
| 03/08/2018  | ***-**-18SI - FRAZIER, STEPHEN<br>ACCOUNT #: 00007203904 | CALVERT AGGRESSIVE ALLOCATION FUND-<br>BUY 0 Units @0.0000 | 0.00                 | 9.00                | 0.00               | 9.00              | 0.5  | 0.05                 |
| 03/08/2018  | ***-**-82SI - PERRY, ROBERT<br>ACCOUNT #: 00007203908    | CALVERT AGGRESSIVE ALLOCATION FUND-<br>BUY 0 Units @0.0000 | 0.00                 | 1.21                | 0.00               | 1.21              | 0.5  | 0.01                 |
| 03/08/2018  | ***-**-46IS - BAINBRIDGE, ERIC                           | CALVERT AGGRESSIVE ALLOCATION FUND-<br>BUY 0 Units @0.0000 | 0.00                 | 2.73                | 0.00               | 2.73              | 0.5  | 0.01                 |
| 03/08/2018  | ***-**-67SI - VIRKUS, AMANDA                             | CALVERT AGGRESSIVE ALLOCATION FUND-<br>BUY 0 Units @0.0000 | 0.00                 | 9.84                | 0.00               | 9.84              | 0.5  | 0.05                 |
| 03/08/2018  | ***-**-90SI - PULTZ, JOSEPH                              | CALVERT AGGRESSIVE ALLOCATION FUND-<br>BUY 0 Units @0.0000 | 0.00                 | 13.15               | 0.00               | 13.15             | 0.5  | 0.07                 |
| 03/08/2018  | ***-**-24SI - RINI, VICTOR<br>ACCOUNT #: 00007227183     | CALVERT AGGRESSIVE ALLOCATION FUND-<br>BUY 0 Units @0.0000 | 0.00                 | 31.20               | 0.00               | 31.20             | 0.5  | 0.16                 |
| 03/09/2018  | ***-**-001I - SURGES, AMANI<br>ACCOUNT #: 00006092007    | CALVERT AGGRESSIVE ALLOCATION FUND-<br>BUY 0 Units @0.0000 | 0.00                 | 7.90                | 0.00               | 7.90              | 0.5  | 0.04                 |
| 03/09/2018  | ***-**-977I - BROWN, ERIC<br>ACCOUNT #: 00006121814      | CALVERT AGGRESSIVE ALLOCATION FUND-<br>BUY 0 Units @0.0000 | 0.00                 | 2.81                | 0.00               | 2.81              | 0.5  | 0.01                 |
| 03/09/2018  | ***-**-029I - BRENNEMAN, EMILY<br>ACCOUNT #: 00007164450 | CALVERT AGGRESSIVE ALLOCATION FUND-<br>BUY 0 Units @0.0000 | 0.00                 | 5.46                | 0.00               | 5.46              | 0.5  | 0.03                 |
| 03/09/2018  | ***-**-826I - NEWMAN, DAVID<br>ACCOUNT #: 00007164902    | CALVERT AGGRESSIVE ALLOCATION FUND-<br>BUY 0 Units @0.0000 | 0.00                 | 2.09                | 0.00               | 2.09              | 0.5  | 0.01                 |
| 03/09/2018  | ***-**-11IR - MARTIN, ABIGAIL<br>ACCOUNT #: 00007180380  | CALVERT AGGRESSIVE ALLOCATION FUND-<br>BUY 0 Units @0.0000 | 0.00                 | 2.26                | 0.00               | 2.26              | 0.5  | 0.01                 |
| 03/09/2018  | ***-**-91IR - MARTIN, BRENDAN<br>ACCOUNT #: 00007180384  | CALVERT AGGRESSIVE ALLOCATION FUND-<br>BUY 0 Units @0.0000 | 0.00                 | 1.28                | 0.00               | 1.28              | 0.5  | 0.01                 |
| 03/09/2018  | ***-**-584I - MARTORELLA,<br>ACCOUNT #: 00007180767      | CALVERT AGGRESSIVE ALLOCATION FUND-<br>BUY 0 Units @0.0000 | 0.00                 | 4.49                | 0.00               | 4.49              | 0.5  | 0.02                 |
| 03/09/2018  | ***-**-01IR - SURGES, AMANI<br>ACCOUNT #: 00007180771    | CALVERT AGGRESSIVE ALLOCATION FUND-<br>BUY 0 Units @0.0000 | 0.00                 | 5.10                | 0.00               | 5.10              | 0.5  | 0.03                 |
| 03/09/2018  | ***-**-79SI - CREEGAN, THOMAS<br>ACCOUNT #: 00007203830  | CALVERT AGGRESSIVE ALLOCATION FUND-<br>BUY 0 Units @0.0000 | 0.00                 | 14.93               | 0.00               | 14.93             | 0.5  | 0.07                 |





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| <b><u> OVERRIDE TRANSACTIONS (continued) </u></b> |                                |                                     |                      |                     |                    |                   |      |                      |
| <b><u>BROKER: ALEX GEORGIEV (continued)</u></b>   |                                |                                     |                      |                     |                    |                   |      |                      |
| 03/09/2018  | ***-**-18SI - FRAZIER, STEPHEN | CALVERT AGGRESSIVE ALLOCATION FUND- | 0.00                 | 15.22               | 0.00               | 15.22             | 0.5  | 0.08                 |
|   | ACCOUNT #: 00007203904         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/09/2018  | ***-**-82SI - PERRY, ROBERT    | CALVERT AGGRESSIVE ALLOCATION FUND- | 0.00                 | 1.22                | 0.00               | 1.22              | 0.5  | 0.01                 |
|   | ACCOUNT #: 00007203908         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/09/2018  | ***-**-317I - CARSON, JEAN     | CALVERT AGGRESSIVE ALLOCATION FUND- | 0.00                 | 1.01                | 0.00               | 1.01              | 0.5  | 0.01                 |
|   | ACCOUNT #: 00007203940         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/09/2018  | ***-**-27SI - CAMPBELL, JOHN   | CALVERT AGGRESSIVE ALLOCATION FUND- | 0.00                 | 1.36                | 0.00               | 1.36              | 0.5  | 0.01                 |
|   | ACCOUNT #: 00007204023         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/09/2018  | ***-**-46IS - BAINBRIDGE, ERIC | CALVERT AGGRESSIVE ALLOCATION FUND- | 0.00                 | 1.92                | 0.00               | 1.92              | 0.5  | 0.01                 |
|   | ACCOUNT #: 00007225284         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/09/2018  | ***-**-47SI - NIEVES, TAMARA   | CALVERT AGGRESSIVE ALLOCATION FUND- | 0.00                 | 3.20                | 0.00               | 3.20              | 0.5  | 0.02                 |
|   | ACCOUNT #: 00007225292         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/09/2018  | ***-**-67SI - VIRKUS, AMANDA   | CALVERT AGGRESSIVE ALLOCATION FUND- | 0.00                 | 3.50                | 0.00               | 3.50              | 0.5  | 0.02                 |
|   | ACCOUNT #: 00007225296         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/09/2018  | ***-**-90SI - PULTZ, JOSEPH    | CALVERT AGGRESSIVE ALLOCATION FUND- | 0.00                 | 3.64                | 0.00               | 3.64              | 0.5  | 0.02                 |
|   | ACCOUNT #: 00007225304         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/09/2018  | ***-**-24SI - RINI, VICTOR     | CALVERT AGGRESSIVE ALLOCATION FUND- | 0.00                 | 5.28                | 0.00               | 5.28              | 0.5  | 0.03                 |
|   | ACCOUNT #: 00007227183         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/08/2018  | ***-**-989I - YANOWITZ, BARRY  | CALVERT BALANCED PORTFOLIO - A      | 0.00                 | 8.34                | 0.00               | 8.34              | 0.5  | 0.04                 |
|   | ACCOUNT #: 00006121422         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/08/2018  | ***-**-82SI - PERRY, ROBERT    | CALVERT BALANCED PORTFOLIO - A      | 0.00                 | 6.03                | 0.00               | 6.03              | 0.5  | 0.03                 |
|   | ACCOUNT #: 00007203908         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/08/2018  | ***-**-18SI - FRAZIER, STEPHEN | CALVERT BALANCED PORTFOLIO - A      | 0.00                 | 1.75                | 0.00               | 1.75              | 0.5  | 0.01                 |
|   | ACCOUNT #: 00007203904         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/08/2018  | ***-**-18SI - FRAZIER, STEPHEN | CALVERT BALANCED PORTFOLIO - A      | 0.00                 | 3.38                | 0.00               | 3.38              | 0.5  | 0.02                 |
|   | ACCOUNT #: 00007203904         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/08/2018  | ***-**-82SI - PERRY, ROBERT    | CALVERT BALANCED PORTFOLIO - A      | 0.00                 | 1.21                | 0.00               | 1.21              | 0.5  | 0.01                 |
|   | ACCOUNT #: 00007203908         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/08/2018  | ***-**-32SI - STEWART, VOLKER  | CALVERT BALANCED PORTFOLIO - A      | 0.00                 | 3.31                | 0.00               | 3.31              | 0.5  | 0.02                 |
|   | ACCOUNT #: 00007203900         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/08/2018  | ***-**-82SI - PERRY, ROBERT    | CALVERT BALANCED PORTFOLIO - A      | 0.00                 | 2.41                | 0.00               | 2.41              | 0.5  | 0.01                 |
|   | ACCOUNT #: 00007203908         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |



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| <b><u> OVERRIDE TRANSACTIONS (continued) </u></b> |                                |                                     |                      |                     |                    |                   |      |                      |
| <b><u>BROKER: ALEX GEORGIEV (continued)</u></b>   |                                |                                     |                      |                     |                    |                   |      |                      |
| 03/08/2018  | ***-**-82SI - PERRY, ROBERT    | CALVERT BALANCED PORTFOLIO - A      | 0.00                 | 1.21                | 0.00               | 1.21              | 0.5  | 0.01                 |
|   | ACCOUNT #: 00007203908         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/08/2018  | ***-**-32SI - STEWART, VOLKER  | CALVERT BALANCED PORTFOLIO - A      | 0.00                 | 26.50               | 0.00               | 26.50             | 0.5  | 0.13                 |
|   | ACCOUNT #: 00007203900         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/08/2018  | ***-**-18SI - FRAZIER, STEPHEN | CALVERT BALANCED PORTFOLIO - A      | 0.00                 | 4.50                | 0.00               | 4.50              | 0.5  | 0.02                 |
|   | ACCOUNT #: 00007203904         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/08/2018  | ***-**-46IS - BAINBRIDGE, ERIC | CALVERT BALANCED PORTFOLIO - A      | 0.00                 | 2.73                | 0.00               | 2.73              | 0.5  | 0.01                 |
|   |                                | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/08/2018  | ***-**-977I - BROWN, ERIC      | CALVERT BALANCED PORTFOLIO - A      | 0.00                 | 12.30               | 0.00               | 12.30             | 0.5  | 0.06                 |
|   | ACCOUNT #: 00006121814         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/08/2018  | ***-**-584I - MARTORELLA,      | CALVERT BALANCED PORTFOLIO - A      | 0.00                 | 2.00                | 0.00               | 2.00              | 0.5  | 0.01                 |
|   | ACCOUNT #: 00007180767         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/09/2018  | ***-**-989I - YANOWITZ, BARRY  | CALVERT BALANCED PORTFOLIO - A      | 0.00                 | 1.11                | 0.00               | 1.11              | 0.5  | 0.01                 |
|   | ACCOUNT #: 00006121422         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/09/2018  | ***-**-028I - JEFF, STUART     | CALVERT BALANCED PORTFOLIO - A      | 0.00                 | 14.15               | 0.00               | 14.15             | 0.5  | 0.07                 |
|   | ACCOUNT #: 00006860773         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/09/2018  | ***-**-626I - TAYLOR, JAMES    | CALVERT BALANCED PORTFOLIO - A      | 0.00                 | 3.90                | 0.00               | 3.90              | 0.5  | 0.02                 |
|   | ACCOUNT #: 00007164449         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/09/2018  | ***-**-042I - HIRSCHMAN, JOEL  | CALVERT BALANCED PORTFOLIO - A      | 0.00                 | 1.15                | 0.00               | 1.15              | 0.5  | 0.01                 |
|   | ACCOUNT #: 00007168599         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/09/2018  | ***-**-82SI - PERRY, ROBERT    | CALVERT BALANCED PORTFOLIO - A      | 0.00                 | 5.34                | 0.00               | 5.34              | 0.5  | 0.03                 |
|   | ACCOUNT #: 00007203908         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/09/2018  | ***-**-18SI - FRAZIER, STEPHEN | CALVERT CAPITAL ACCUMULATION - A    | 0.00                 | 5.40                | 0.00               | 5.40              | 0.5  | 0.03                 |
|   | ACCOUNT #: 00007203904         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/09/2018  | ***-**-091I - STENTZ, DANIEL   | CALVERT CONSERVATIVE ALLOCATION FUN | 0.00                 | 4.13                | 0.00               | 4.13              | 0.5  | 0.02                 |
|   | ACCOUNT #: 00007164422         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/09/2018  | ***-**-587I - GRESKO, PAUL     | CALVERT CONSERVATIVE ALLOCATION FUN | 0.00                 | 1.76                | 0.00               | 1.76              | 0.5  | 0.01                 |
|   | ACCOUNT #: 00007164897         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/09/2018  | ***-**-86CL - ASHER, CLIENTS   | CALVERT CONSERVATIVE ALLOCATION FUN | 0.00                 | 2.45                | 0.00               | 2.45              | 0.5  | 0.01                 |
|   | ACCOUNT #: 00007223946         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/08/2018  | ***-**-79SI - CREEGAN, THOMAS  | CALVERT GLOBAL ALTERNATIVE ENERGY F | 0.00                 | 16.88               | 0.00               | 16.88             | 0.5  | 0.08                 |
|   | ACCOUNT #: 00007203830         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |



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| <b><u>VERRIDE TRANSACTIONS (continued)</u></b>  |                                |                                     |                      |                     |                    |                   |      |                      |
| <b><u>BROKER: ALEX GEORGIEV (continued)</u></b> |                                |                                     |                      |                     |                    |                   |      |                      |
| 03/08/2018                                      | ***-**-32SI - STEWART, VOLKER  | CALVERT GLOBAL ALTERNATIVE ENERGY F | 0.00                 | 3.31                | 0.00               | 3.31              | 0.5  | 0.02                 |
|   | ACCOUNT #: 00007203900         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/09/2018                                      | ***-**-79SI - CREEGAN, THOMAS  | CALVERT GLOBAL ALTERNATIVE ENERGY F | 0.00                 | 10.72               | 0.00               | 10.72             | 0.5  | 0.05                 |
|   | ACCOUNT #: 00007203830         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/08/2018                                      | ***-**-18SI - FRAZIER, STEPHEN | CALVERT GLOBAL WATER FUND CLASS A   | 0.00                 | 3.38                | 0.00               | 3.38              | 0.5  | 0.02                 |
|   | ACCOUNT #: 00007203904         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/09/2018                                      | ***-**-18SI - FRAZIER, STEPHEN | CALVERT GLOBAL WATER FUND CLASS A   | 0.00                 | 3.19                | 0.00               | 3.19              | 0.5  | 0.02                 |
|   | ACCOUNT #: 00007203904         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/09/2018                                      | ***-**-18SI - FRAZIER, STEPHEN | CALVERT INCOME FUND - A             | 0.00                 | 2.55                | 0.00               | 2.55              | 0.5  | 0.01                 |
|   | ACCOUNT #: 00007203904         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/09/2018                                      | ***-**-626I - TAYLOR, JAMES    | CALVERT LONG-TERM INCOME FUND       | 0.00                 | 1.02                | 0.00               | 1.02              | 0.5  | 0.01                 |
|   | ACCOUNT #: 00007164449         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/09/2018                                      | ***-**-311I - SILVER, RICHARD  | CALVERT MODERATE ALLOCATION FUND-A  | 0.00                 | 7.80                | 0.00               | 7.80              | 0.5  | 0.04                 |
|   | ACCOUNT #: 00007164426         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/09/2018                                      | ***-**-454I - LYLES, ROBYNE    | CALVERT MODERATE ALLOCATION FUND-A  | 0.00                 | 29.27               | 0.00               | 29.27             | 0.5  | 0.15                 |
|   | ACCOUNT #: 00007164434         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/09/2018                                      | ***-**-700I - THISTEL, MARK    | CALVERT MODERATE ALLOCATION FUND-A  | 0.00                 | 29.55               | 0.00               | 29.55             | 0.5  | 0.15                 |
|   | ACCOUNT #: 00007164445         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/09/2018                                      | ***-**-626I - TAYLOR, JAMES    | CALVERT MODERATE ALLOCATION FUND-A  | 0.00                 | 4.00                | 0.00               | 4.00              | 0.5  | 0.02                 |
|   | ACCOUNT #: 00007164449         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/09/2018                                      | ***-**-170I - CARLSON, JAMES   | CALVERT MODERATE ALLOCATION FUND-A  | 0.00                 | 2.76                | 0.00               | 2.76              | 0.5  | 0.01                 |
|   | ACCOUNT #: 00007164548         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/09/2018                                      | ***-**-826I - NEWMAN, DAVID    | CALVERT MODERATE ALLOCATION FUND-A  | 0.00                 | 1.82                | 0.00               | 1.82              | 0.5  | 0.01                 |
|   | ACCOUNT #: 00007164902         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/09/2018                                      | ***-**-32SI - STEWART, VOLKER  | CALVERT MODERATE ALLOCATION FUND-A  | 0.00                 | 41.18               | 0.00               | 41.18             | 0.5  | 0.21                 |
|   | ACCOUNT #: 00007203900         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/09/2018                                      | ***-**-18SI - FRAZIER, STEPHEN | CALVERT MODERATE ALLOCATION FUND-A  | 0.00                 | 6.84                | 0.00               | 6.84              | 0.5  | 0.03                 |
|   | ACCOUNT #: 00007203904         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/09/2018                                      | ***-**-6653 - RIGGIERI,        | CALVERT MODERATE ALLOCATION FUND-A  | 0.00                 | 19.93               | 0.00               | 19.93             | 0.5  | 0.10                 |
|   | ACCOUNT #: 00007223239         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/09/2018                                      | ***-**-2454 - KOVACIC,         | CALVERT MODERATE ALLOCATION FUND-A  | 0.00                 | 20.90               | 0.00               | 20.90             | 0.5  | 0.10                 |
|   | ACCOUNT #: 00007223247         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |



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| <b><u>VERRIDE TRANSACTIONS (continued)</u></b>  |                                |                                     |                      |                     |                    |                   |      |                      |
| <b><u>BROKER: ALEX GEORGIEV (continued)</u></b> |                                |                                     |                      |                     |                    |                   |      |                      |
| 03/09/2018                                      | ***-**-46IS - BAINBRIDGE, ERIC | CALVERT MODERATE ALLOCATION FUND-A  | 0.00                 | 1.81                | 0.00               | 1.81              | 0.5  | 0.01                 |
|   | ACCOUNT #: 00007225284         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/09/2018                                      | ***-**-82SI - PERRY, ROBERT    | CALVERT SMALL CAP VALUE FUND        | 0.00                 | 1.38                | 0.00               | 1.38              | 0.5  | 0.01                 |
|   | ACCOUNT #: 00007203908         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/09/2018                                      | ***-**-378I - SCREPKA, RICARDO | CALVERT SOCIAL INVESTMENT FD EQUITY | 0.00                 | 1.38                | 0.00               | 1.38              | 0.5  | 0.01                 |
|   | ACCOUNT #: 00007164901         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/09/2018                                      | ***-**-82SI - PERRY, ROBERT    | CALVERT SOCIAL INVESTMENT FD EQUITY | 0.00                 | 1.36                | 0.00               | 1.36              | 0.5  | 0.01                 |
|   | ACCOUNT #: 00007203908         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/09/2018                                      | ***-**-626I - TAYLOR, JAMES    | CALVERT SOCIAL INVESTMENT FUND BOND | 0.00                 | 1.02                | 0.00               | 1.02              | 0.5  | 0.01                 |
|   | ACCOUNT #: 00007164449         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018                                      | ***-**-3422 - GLICKMAN, NEIL   | CAPITAL INCOME BUILDER-529A         | 0.00                 | 8.09                | 0.00               | 8.09              | 0.5  | 0.04                 |
|   | ACCOUNT #: 00068663396         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018                                      | ***-**-733I - ANDERSEN,        | CAPITAL INCOME BUILDER-529A         | 0.00                 | 1.89                | 0.00               | 1.89              | 0.5  | 0.01                 |
|   | ACCOUNT #: 00085128729         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018                                      | ***-**-445P - PRAGER, TIFFANY  | CAPITAL INCOME BUILDER-529A         | 0.00                 | 5.45                | 0.00               | 5.45              | 0.5  | 0.03                 |
|   | ACCOUNT #: 00073887960         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018                                      | ***-**-955P - STARTZEL, MARCUS | CAPITAL INCOME BUILDER-529A         | 0.00                 | 3.36                | 0.00               | 3.36              | 0.5  | 0.02                 |
|   | ACCOUNT #: 00082708555         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018                                      | ***-**-2802 - MAASS, TY        | CAPITAL INCOME BUILDER-529A         | 0.00                 | 2.32                | 0.00               | 2.32              | 0.5  | 0.01                 |
|   | ACCOUNT #: 00086550207         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018                                      | ***-**-266I - GLICKMAN, PAMELA | CAPITAL INCOME BUILDER-529A         | 0.00                 | 4.24                | 0.00               | 4.24              | 0.5  | 0.02                 |
|   | ACCOUNT #: 04000763706         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 02/26/2018                                      | ***-**-721J - KONANUR,         | CAPITAL INCOME BUILDER-A            | 800.00               | 22.00               | 0.00               | 22.00             | 0.5  | 0.11                 |
|   | ACCOUNT #: 00074931174         | BUY 12 Units @65.3400               |                      |                     |                    |                   |      |                      |
| 03/01/2018                                      | ***-**-415P - TARANTINO, SCOTT | CAPITAL INCOME BUILDER-A            | 200.00               | 2.00                | 0.00               | 2.00              | 0.5  | 0.01                 |
|   | ACCOUNT #: 00087447990         | BUY 3 Units @61.4600                |                      |                     |                    |                   |      |                      |
| 03/01/2018                                      | ***-**-064J - HALL, AMY        | CAPITAL INCOME BUILDER-A            | 250.00               | 3.00                | 0.00               | 3.00              | 0.5  | 0.02                 |
|   | ACCOUNT #: 00083146232         | BUY 4 Units @62.4000                |                      |                     |                    |                   |      |                      |
| 03/01/2018                                      | ***-**-245P - KELBER, JEFFRY   | CAPITAL INCOME BUILDER-A            | 0.00                 | 104.73              | 0.00               | 104.73            | 0.5  | 0.52                 |
|   | ACCOUNT #: 00059587254         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018                                      | ***-**-16IN - MIDDLETON, BETTY | CAPITAL INCOME BUILDER-A            | 0.00                 | 35.61               | 0.00               | 35.61             | 0.5  | 0.18                 |
|   | ACCOUNT #: 00060743431         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |



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| <b> OVERRIDE TRANSACTIONS (continued) </b>        |                                |                          |                      |                     |                    |                   |      |                      |
| <b> <u>BROKER: ALEX GEORGIEV (continued)</u> </b> |                                |                          |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-335P - MCKENZIE, BRIAN  | CAPITAL INCOME BUILDER-A | 0.00                 | 1.98                | 0.00               | 1.98              | 0.5  | 0.01                 |
|   | ACCOUNT #: 00061637534         | BUY 0 Units @0.0000      |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-230P - KEESE, MINDI     | CAPITAL INCOME BUILDER-A | 0.00                 | 10.27               | 0.00               | 10.27             | 0.5  | 0.05                 |
|   | ACCOUNT #: 00061765270         | BUY 0 Units @0.0000      |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-56IN - TRAVIS, DANIEL   | CAPITAL INCOME BUILDER-A | 0.00                 | 9.49                | 0.00               | 9.49              | 0.5  | 0.05                 |
|   | ACCOUNT #: 00062313582         | BUY 0 Units @0.0000      |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-905P - SPECTOR, DEBORAH | CAPITAL INCOME BUILDER-A | 0.00                 | 6.93                | 0.00               | 6.93              | 0.5  | 0.03                 |
|   | ACCOUNT #: 00062814043         | BUY 0 Units @0.0000      |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-821I - POLANCIC, DAVID  | CAPITAL INCOME BUILDER-A | 0.00                 | 1.28                | 0.00               | 1.28              | 0.5  | 0.01                 |
|   | ACCOUNT #: 00063170477         | BUY 0 Units @0.0000      |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-611I - LOY, RENEE       | CAPITAL INCOME BUILDER-A | 0.00                 | 3.86                | 0.00               | 3.86              | 0.5  | 0.02                 |
|   | ACCOUNT #: 00063488184         | BUY 0 Units @0.0000      |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-675P - MCNAIR, JAMES    | CAPITAL INCOME BUILDER-A | 0.00                 | 2.19                | 0.00               | 2.19              | 0.5  | 0.01                 |
|   | ACCOUNT #: 00063780949         | BUY 0 Units @0.0000      |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-227I - RAMIREZ, ANNA    | CAPITAL INCOME BUILDER-A | 0.00                 | 3.94                | 0.00               | 3.94              | 0.5  | 0.02                 |
|   | ACCOUNT #: 00063786299         | BUY 0 Units @0.0000      |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-18IN - CRAWFORD,        | CAPITAL INCOME BUILDER-A | 0.00                 | 11.05               | 0.00               | 11.05             | 0.5  | 0.06                 |
|   | ACCOUNT #: 00069017221         | BUY 0 Units @0.0000      |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-974I - GOLDBERG, KAY    | CAPITAL INCOME BUILDER-A | 0.00                 | 7.05                | 0.00               | 7.05              | 0.5  | 0.04                 |
|   | ACCOUNT #: 00074796752         | BUY 0 Units @0.0000      |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-155P - VOYLES, PAULA    | CAPITAL INCOME BUILDER-A | 0.00                 | 1.13                | 0.00               | 1.13              | 0.5  | 0.01                 |
|   | ACCOUNT #: 00081602503         | BUY 0 Units @0.0000      |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-424I - QUINERLY,        | CAPITAL INCOME BUILDER-A | 0.00                 | 6.64                | 0.00               | 6.64              | 0.5  | 0.03                 |
|   | ACCOUNT #: 00081769587         | BUY 0 Units @0.0000      |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-525P - MATIS, DAMARIS   | CAPITAL INCOME BUILDER-A | 0.00                 | 7.61                | 0.00               | 7.61              | 0.5  | 0.04                 |
|   | ACCOUNT #: 00082217486         | BUY 0 Units @0.0000      |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-800B - FISCHER, MATTHEW | CAPITAL INCOME BUILDER-A | 0.00                 | 1.67                | 0.00               | 1.67              | 0.5  | 0.01                 |
|   | ACCOUNT #: 00082321139         | BUY 0 Units @0.0000      |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-427I - KRUEGER, JOHN    | CAPITAL INCOME BUILDER-A | 0.00                 | 11.95               | 0.00               | 11.95             | 0.5  | 0.06                 |
|   | ACCOUNT #: 00082686514         | BUY 0 Units @0.0000      |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-818I - YOUNG, BRANDI    | CAPITAL INCOME BUILDER-A | 0.00                 | 1.09                | 0.00               | 1.09              | 0.5  | 0.01                 |
|   | ACCOUNT #: 00082828085         | BUY 0 Units @0.0000      |                      |                     |                    |                   |      |                      |



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| <b><u>VERRIDE TRANSACTIONS (continued)</u></b>  |                                |                          |                      |                     |                    |                   |      |                      |
| <b><u>BROKER: ALEX GEORGIEV (continued)</u></b> |                                |                          |                      |                     |                    |                   |      |                      |
| 03/01/2018                                      | ***-**-186I - JACOBSON, MARINA | CAPITAL INCOME BUILDER-A | 0.00                 | 48.68               | 0.00               | 48.68             | 0.5  | 0.24                 |
|   | ACCOUNT #: 00083731526         | BUY 0 Units @0.0000      |                      |                     |                    |                   |      |                      |
| 03/01/2018                                      | ***-**-173I - MATUSIEWICZ,     | CAPITAL INCOME BUILDER-A | 0.00                 | 5.82                | 0.00               | 5.82              | 0.5  | 0.03                 |
|   | ACCOUNT #: 00083738493         | BUY 0 Units @0.0000      |                      |                     |                    |                   |      |                      |
| 03/01/2018                                      | ***-**-063I - O'SULLIVAN,      | CAPITAL INCOME BUILDER-A | 0.00                 | 1.50                | 0.00               | 1.50              | 0.5  | 0.01                 |
|   | ACCOUNT #: 00083760627         | BUY 0 Units @0.0000      |                      |                     |                    |                   |      |                      |
| 03/01/2018                                      | ***-**-537I - DIVALERIO, KATHY | CAPITAL INCOME BUILDER-A | 0.00                 | 15.48               | 0.00               | 15.48             | 0.5  | 0.08                 |
|   | ACCOUNT #: 00083765927         | BUY 0 Units @0.0000      |                      |                     |                    |                   |      |                      |
| 03/01/2018                                      | ***-**-573I - CLARK-BROWN,     | CAPITAL INCOME BUILDER-A | 0.00                 | 2.53                | 0.00               | 2.53              | 0.5  | 0.01                 |
|   | ACCOUNT #: 00083776067         | BUY 0 Units @0.0000      |                      |                     |                    |                   |      |                      |
| 03/01/2018                                      | ***-**-225I - WEBER, MICHAEL   | CAPITAL INCOME BUILDER-A | 0.00                 | 8.97                | 0.00               | 8.97              | 0.5  | 0.04                 |
|   | ACCOUNT #: 00083883804         | BUY 0 Units @0.0000      |                      |                     |                    |                   |      |                      |
| 03/01/2018                                      | ***-**-956I - MCGUANE, KELLI   | CAPITAL INCOME BUILDER-A | 0.00                 | 1.11                | 0.00               | 1.11              | 0.5  | 0.01                 |
|   | ACCOUNT #: 00084004988         | BUY 0 Units @0.0000      |                      |                     |                    |                   |      |                      |
| 03/01/2018                                      | ***-**-95IN - MILLER, TRAVIS   | CAPITAL INCOME BUILDER-A | 0.00                 | 1.63                | 0.00               | 1.63              | 0.5  | 0.01                 |
|   | ACCOUNT #: 00084396354         | BUY 0 Units @0.0000      |                      |                     |                    |                   |      |                      |
| 03/01/2018                                      | ***-**-82IR - TURGISS, MEGHAN  | CAPITAL INCOME BUILDER-A | 0.00                 | 1.20                | 0.00               | 1.20              | 0.5  | 0.01                 |
|   | ACCOUNT #: 00085170032         | BUY 0 Units @0.0000      |                      |                     |                    |                   |      |                      |
| 03/01/2018                                      | ***-**-341I - FIREMAN, NOAH    | CAPITAL INCOME BUILDER-A | 0.00                 | 1.08                | 0.00               | 1.08              | 0.5  | 0.01                 |
|   | ACCOUNT #: 00087760602         | BUY 0 Units @0.0000      |                      |                     |                    |                   |      |                      |
| 03/01/2018                                      | ***-**-5428 - FIGUEROA/BENE,   | CAPITAL INCOME BUILDER-A | 0.00                 | 6.74                | 0.00               | 6.74              | 0.5  | 0.03                 |
|   | ACCOUNT #: 00087791148         | BUY 0 Units @0.0000      |                      |                     |                    |                   |      |                      |
| 03/01/2018                                      | ***-**-495P - WALLACE, RACHAEL | CAPITAL INCOME BUILDER-A | 0.00                 | 1.63                | 0.00               | 1.63              | 0.5  | 0.01                 |
|   | ACCOUNT #: 00073772445         | BUY 0 Units @0.0000      |                      |                     |                    |                   |      |                      |
| 03/01/2018                                      | ***-**-691I - COLLINS, PAMELA  | CAPITAL INCOME BUILDER-A | 0.00                 | 1.56                | 0.00               | 1.56              | 0.5  | 0.01                 |
|   | ACCOUNT #: 00074006244         | BUY 0 Units @0.0000      |                      |                     |                    |                   |      |                      |
| 03/01/2018                                      | ***-**-025P - PADRO, PILAR     | CAPITAL INCOME BUILDER-A | 0.00                 | 1.74                | 0.00               | 1.74              | 0.5  | 0.01                 |
|   | ACCOUNT #: 00074164733         | BUY 0 Units @0.0000      |                      |                     |                    |                   |      |                      |
| 03/01/2018                                      | ***-**-721J - KONANUR,         | CAPITAL INCOME BUILDER-A | 0.00                 | 33.60               | 0.00               | 33.60             | 0.5  | 0.17                 |
|   | ACCOUNT #: 00074931174         | BUY 0 Units @0.0000      |                      |                     |                    |                   |      |                      |
| 03/01/2018                                      | ***-**-01IN - SEVERE, EMILY    | CAPITAL INCOME BUILDER-A | 0.00                 | 33.32               | 0.00               | 33.32             | 0.5  | 0.17                 |
|   | ACCOUNT #: 00075266202         | BUY 0 Units @0.0000      |                      |                     |                    |                   |      |                      |



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| <b> OVERRIDE TRANSACTIONS (continued)</b>        |  |   |                      |                     |                    |                   |      |                      |
| <b> <u>BROKER: ALEX GEORGIEV (continued)</u></b> |  |   |                      |                     |                    |                   |      |                      |
| 03/01/2018                                       | ***-**-04IN - MURPHY, PAUL<br>ACCOUNT #: 00075938729     | CAPITAL INCOME BUILDER-A<br>BUY 0 Units @0.0000             | 0.00                 | 36.58               | 0.00               | 36.58             | 0.5  | 0.18                 |
| 03/01/2018                                       | ***-**-3172 - ERTER, MONALEE<br>ACCOUNT #: 00082209165   | CAPITAL INCOME BUILDER-A<br>BUY 0 Units @0.0000             | 0.00                 | 14.00               | 0.00               | 14.00             | 0.5  | 0.07                 |
| 03/01/2018                                       | ***-**-82IN - TEN, JT<br>ACCOUNT #: 00082421077          | CAPITAL INCOME BUILDER-A<br>BUY 0 Units @0.0000             | 0.00                 | 23.90               | 0.00               | 23.90             | 0.5  | 0.12                 |
| 03/01/2018                                       | ***-**-185P - KONIZESKI, DELIA<br>ACCOUNT #: 00082792992 | CAPITAL INCOME BUILDER-A<br>BUY 0 Units @0.0000             | 0.00                 | 3.58                | 0.00               | 3.58              | 0.5  | 0.02                 |
| 03/01/2018                                       | ***-**-91IN - COLLINS, PAMELA<br>ACCOUNT #: 00083125017  | CAPITAL INCOME BUILDER-A<br>BUY 0 Units @0.0000             | 0.00                 | 1.38                | 0.00               | 1.38              | 0.5  | 0.01                 |
| 03/01/2018                                       | ***-**-064J - HALL, AMY<br>ACCOUNT #: 00083146232        | CAPITAL INCOME BUILDER-A<br>BUY 0 Units @0.0000             | 0.00                 | 49.82               | 0.00               | 49.82             | 0.5  | 0.25                 |
| 03/01/2018                                       | ***-**-452J - GARDNER, DANIEL<br>ACCOUNT #: 00084433333  | CAPITAL INCOME BUILDER-A<br>BUY 0 Units @0.0000             | 0.00                 | 6.12                | 0.00               | 6.12              | 0.5  | 0.03                 |
| 03/01/2018                                       | ***-**-415P - TARANTINO, SCOTT<br>ACCOUNT #: 00087447990 | CAPITAL INCOME BUILDER-A<br>BUY 0 Units @0.0000             | 0.00                 | 19.82               | 0.00               | 19.82             | 0.5  | 0.10                 |
| 03/01/2018                                       | ***-**-5239 - TERRELL, EMILY<br>ACCOUNT #: 00083570795   | CAPITAL WORLD BOND FUND-529A<br>BUY 0 Units @0.0000         | 0.00                 | 6.47                | 0.00               | 6.47              | 0.5  | 0.03                 |
| 03/01/2018                                       | ***-**-5239 - TERRELL, EMILY<br>ACCOUNT #: 00083571087   | CAPITAL WORLD BOND FUND-529A<br>BUY 0 Units @0.0000         | 0.00                 | 5.09                | 0.00               | 5.09              | 0.5  | 0.03                 |
| 03/01/2018                                       | ***-**-41IN - EISENMANN,<br>ACCOUNT #: 00062073038       | CAPITAL WORLD BOND FUND-A<br>BUY 0 Units @0.0000            | 0.00                 | 14.34               | 0.00               | 14.34             | 0.5  | 0.07                 |
| 03/01/2018                                       | ***-**-144I - EISENMANN,<br>ACCOUNT #: 00062138472       | CAPITAL WORLD BOND FUND-A<br>BUY 0 Units @0.0000            | 0.00                 | 13.40               | 0.00               | 13.40             | 0.5  | 0.07                 |
| 03/01/2018                                       | ***-**-465P - HOLT, DAVID<br>ACCOUNT #: 00066795968      | CAPITAL WORLD BOND FUND-A<br>BUY 0 Units @0.0000            | 0.00                 | 24.20               | 0.00               | 24.20             | 0.5  | 0.12                 |
| 03/01/2018                                       | ***-**-981I - SIMPSON, JEFFREY<br>ACCOUNT #: 00073298869 | CAPITAL WORLD BOND FUND-A<br>BUY 0 Units @0.0000            | 0.00                 | 10.87               | 0.00               | 10.87             | 0.5  | 0.05                 |
| 03/01/2018                                       | ***-**-76SI - JONES, MARCIE<br>ACCOUNT #: 00081719052    | CAPITAL WORLD BOND FUND-A<br>BUY 0 Units @0.0000            | 0.00                 | 6.00                | 0.00               | 6.00              | 0.5  | 0.03                 |
| 02/28/2018                                       | ***-**-58UG - SHEA, CHANCE<br>ACCOUNT #: 00082921652     | CAPITAL WORLD GROWTH AND INCOME FUN<br>BUY 0 Units @55.3700 | 25.00                | 1.25                | 0.00               | 1.25              | 0.5  | 0.01                 |



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| <b><u> OVERRIDE TRANSACTIONS (continued) </u></b> |  |   |                      |                     |                    |                   |      |                      |
| <b><u> BROKER: ALEX GEORGIEV (continued) </u></b> |  |   |                      |                     |                    |                   |      |                      |
| 02/28/2018  | ***-**-72IN - THUMULURU,<br>ACCOUNT #: 00074749751       | CAPITAL WORLD GROWTH AND INCOME FUN<br>BUY 2 Units @54.0800 | 100.00               | 2.75                | 0.00               | 2.75              | 0.5  | 0.01                 |
| 03/01/2018  | ***-**-415P - TARANTINO, SCOTT<br>ACCOUNT #: 00087447990 | CAPITAL WORLD GROWTH AND INCOME FUN<br>BUY 3 Units @51.6900 | 150.00               | 1.50                | 0.00               | 1.50              | 0.5  | 0.01                 |
| 03/01/2018  | ***-**-295P - HOGAN, ANN<br>ACCOUNT #: 00074253253       | CAPITAL WORLD GROWTH AND INCOME FUN<br>BUY 0 Units @0.0000  | 0.00                 | 84.34               | 0.00               | 84.34             | 0.5  | 0.42                 |
| 03/01/2018  | ***-**-715P - EMERY, ELIZABETH<br>ACCOUNT #: 00062101930 | CAPITAL WORLD GROWTH AND INCOME FUN<br>BUY 0 Units @0.0000  | 0.00                 | 24.74               | 0.00               | 24.74             | 0.5  | 0.12                 |
| 03/01/2018  | ***-**-452I - KELLNER, MICHAEL<br>ACCOUNT #: 00062550448 | CAPITAL WORLD GROWTH AND INCOME FUN<br>BUY 0 Units @0.0000  | 0.00                 | 17.22               | 0.00               | 17.22             | 0.5  | 0.09                 |
| 03/01/2018  | ***-**-155P - SCHRANK, ELAINE<br>ACCOUNT #: 00063151997  | CAPITAL WORLD GROWTH AND INCOME FUN<br>BUY 0 Units @0.0000  | 0.00                 | 21.34               | 0.00               | 21.34             | 0.5  | 0.11                 |
| 03/01/2018  | ***-**-611I - LOY, RENEE<br>ACCOUNT #: 00063488184       | CAPITAL WORLD GROWTH AND INCOME FUN<br>BUY 0 Units @0.0000  | 0.00                 | 5.69                | 0.00               | 5.69              | 0.5  | 0.03                 |
| 03/01/2018  | ***-**-465P - HOLT, DAVID<br>ACCOUNT #: 00066795968      | CAPITAL WORLD GROWTH AND INCOME FUN<br>BUY 0 Units @0.0000  | 0.00                 | 48.04               | 0.00               | 48.04             | 0.5  | 0.24                 |
| 03/01/2018  | ***-**-448P - MOSS, HEATHER<br>ACCOUNT #: 00066848271    | CAPITAL WORLD GROWTH AND INCOME FUN<br>BUY 0 Units @0.0000  | 0.00                 | 1.19                | 0.00               | 1.19              | 0.5  | 0.01                 |
| 03/01/2018  | ***-**-375P - KAVI, KRISHNA<br>ACCOUNT #: 00066909129    | CAPITAL WORLD GROWTH AND INCOME FUN<br>BUY 0 Units @0.0000  | 0.00                 | 5.76                | 0.00               | 5.76              | 0.5  | 0.03                 |
| 03/01/2018  | ***-**-375P - KAVI, KRISHNA<br>ACCOUNT #: 00066909137    | CAPITAL WORLD GROWTH AND INCOME FUN<br>BUY 0 Units @0.0000  | 0.00                 | 48.91               | 0.00               | 48.91             | 0.5  | 0.24                 |
| 03/01/2018  | ***-**-375P - KAVI, KRISHNA<br>ACCOUNT #: 00066909138    | CAPITAL WORLD GROWTH AND INCOME FUN<br>BUY 0 Units @0.0000  | 0.00                 | 5.53                | 0.00               | 5.53              | 0.5  | 0.03                 |
| 03/01/2018  | ***-**-01IN - ADAMS, BILLY<br>ACCOUNT #: 00067699318     | CAPITAL WORLD GROWTH AND INCOME FUN<br>BUY 0 Units @0.0000  | 0.00                 | 9.66                | 0.00               | 9.66              | 0.5  | 0.05                 |
| 03/01/2018  | ***-**-885P - PITTAWAY, JAMES<br>ACCOUNT #: 00068654518  | CAPITAL WORLD GROWTH AND INCOME FUN<br>BUY 0 Units @0.0000  | 0.00                 | 1.15                | 0.00               | 1.15              | 0.5  | 0.01                 |
| 03/01/2018  | ***-**-185P - SHERPY, RONALD<br>ACCOUNT #: 00069112525   | CAPITAL WORLD GROWTH AND INCOME FUN<br>BUY 0 Units @0.0000  | 0.00                 | 24.05               | 0.00               | 24.05             | 0.5  | 0.12                 |
| 03/01/2018  | ***-**-135P - MITCHELL, GLORIA<br>ACCOUNT #: 00073656408 | CAPITAL WORLD GROWTH AND INCOME FUN<br>BUY 0 Units @0.0000  | 0.00                 | 1.25                | 0.00               | 1.25              | 0.5  | 0.01                 |





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| <b><u> OVERRIDE TRANSACTIONS (continued) </u></b> |                                |                                     |                      |                     |                    |                   |      |                      |
| <b><u>BROKER: ALEX GEORGIEV (continued)</u></b>   |                                |                                     |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-065P - BEAULIEU, DANIKA | CAPITAL WORLD GROWTH AND INCOME FUN | 0.00                 | 4.64                | 0.00               | 4.64              | 0.5  | 0.02                 |
|   | ACCOUNT #: 00073656411         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-975P - BOUDREAU,        | CAPITAL WORLD GROWTH AND INCOME FUN | 0.00                 | 8.92                | 0.00               | 8.92              | 0.5  | 0.04                 |
|   | ACCOUNT #: 00073656413         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-695P - LASH, NORMAN     | CAPITAL WORLD GROWTH AND INCOME FUN | 0.00                 | 138.85              | 0.00               | 138.85            | 0.5  | 0.69                 |
|   | ACCOUNT #: 00073656418         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-295P - LASH, ROBIN      | CAPITAL WORLD GROWTH AND INCOME FUN | 0.00                 | 112.15              | 0.00               | 112.15            | 0.5  | 0.56                 |
|   | ACCOUNT #: 00073656431         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-265P - SULHAM,          | CAPITAL WORLD GROWTH AND INCOME FUN | 0.00                 | 3.24                | 0.00               | 3.24              | 0.5  | 0.02                 |
|   | ACCOUNT #: 00073727222         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-51IR - HEATH, KAREN     | CAPITAL WORLD GROWTH AND INCOME FUN | 0.00                 | 12.27               | 0.00               | 12.27             | 0.5  | 0.06                 |
|   | ACCOUNT #: 00074747791         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-906I - STASSEL, JOY     | CAPITAL WORLD GROWTH AND INCOME FUN | 0.00                 | 4.16                | 0.00               | 4.16              | 0.5  | 0.02                 |
|   | ACCOUNT #: 00074778097         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-974I - GOLDBERG, KAY    | CAPITAL WORLD GROWTH AND INCOME FUN | 0.00                 | 3.48                | 0.00               | 3.48              | 0.5  | 0.02                 |
|   | ACCOUNT #: 00074796752         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-745P - TERRONEZ,        | CAPITAL WORLD GROWTH AND INCOME FUN | 0.00                 | 15.54               | 0.00               | 15.54             | 0.5  | 0.08                 |
|   | ACCOUNT #: 00075093015         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-155P - VOYLES, PAULA    | CAPITAL WORLD GROWTH AND INCOME FUN | 0.00                 | 1.45                | 0.00               | 1.45              | 0.5  | 0.01                 |
|   | ACCOUNT #: 00081602503         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-705P - SPAULDING, JOHN  | CAPITAL WORLD GROWTH AND INCOME FUN | 0.00                 | 5.26                | 0.00               | 5.26              | 0.5  | 0.03                 |
|   | ACCOUNT #: 00081781375         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-803I - O'ROURKE, SHERRI | CAPITAL WORLD GROWTH AND INCOME FUN | 0.00                 | 8.56                | 0.00               | 8.56              | 0.5  | 0.04                 |
|   | ACCOUNT #: 00082008552         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-525P - MATIS, DAMARIS   | CAPITAL WORLD GROWTH AND INCOME FUN | 0.00                 | 4.42                | 0.00               | 4.42              | 0.5  | 0.02                 |
|   | ACCOUNT #: 00082217486         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-800B - FISCHER, MATTHEW | CAPITAL WORLD GROWTH AND INCOME FUN | 0.00                 | 2.02                | 0.00               | 2.02              | 0.5  | 0.01                 |
|   | ACCOUNT #: 00082321139         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-903I - MAGGIACOMO,      | CAPITAL WORLD GROWTH AND INCOME FUN | 0.00                 | 10.14               | 0.00               | 10.14             | 0.5  | 0.05                 |
|   | ACCOUNT #: 00082403777         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-584I - MAGGIACOMO,      | CAPITAL WORLD GROWTH AND INCOME FUN | 0.00                 | 35.65               | 0.00               | 35.65             | 0.5  | 0.18                 |
|   | ACCOUNT #: 00082403811         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |



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| <b><u>VERRIDE TRANSACTIONS (continued)</u></b>  |  |  |                      |                     |                    |                   |      |                      |
| <b><u>BROKER: ALEX GEORGIEV (continued)</u></b> |  |  |                      |                     |                    |                   |      |                      |
| 03/01/2018                                      | ***-**-427I - KRUEGER, JOHN<br>ACCOUNT #: 00082686514    | CAPITAL WORLD GROWTH AND INCOME FUN<br>BUY 0 Units @0.0000 | 0.00                 | 10.72               | 0.00               | 10.72             | 0.5  | 0.05                 |
| 03/01/2018                                      | ***-**-116J - KRUEGER, JOHN<br>ACCOUNT #: 00082687579    | CAPITAL WORLD GROWTH AND INCOME FUN<br>BUY 0 Units @0.0000 | 0.00                 | 1.76                | 0.00               | 1.76              | 0.5  | 0.01                 |
| 03/01/2018                                      | ***-**-58UG - SHEA, CHANCE<br>ACCOUNT #: 00082921652     | CAPITAL WORLD GROWTH AND INCOME FUN<br>BUY 0 Units @0.0000 | 0.00                 | 2.15                | 0.00               | 2.15              | 0.5  | 0.01                 |
| 03/01/2018                                      | ***-**-27IR - POSSEE, DIANE<br>ACCOUNT #: 00082953732    | CAPITAL WORLD GROWTH AND INCOME FUN<br>BUY 0 Units @0.0000 | 0.00                 | 4.81                | 0.00               | 4.81              | 0.5  | 0.02                 |
| 03/01/2018                                      | ***-**-9414 - MACDONALD,<br>ACCOUNT #: 00082994026       | CAPITAL WORLD GROWTH AND INCOME FUN<br>BUY 0 Units @0.0000 | 0.00                 | 9.77                | 0.00               | 9.77              | 0.5  | 0.05                 |
| 03/01/2018                                      | ***-**-618I - HULLS, JENNIFER<br>ACCOUNT #: 00083732568  | CAPITAL WORLD GROWTH AND INCOME FUN<br>BUY 0 Units @0.0000 | 0.00                 | 8.52                | 0.00               | 8.52              | 0.5  | 0.04                 |
| 03/01/2018                                      | ***-**-173I - MATUSIEWICZ,<br>ACCOUNT #: 00083738493     | CAPITAL WORLD GROWTH AND INCOME FUN<br>BUY 0 Units @0.0000 | 0.00                 | 1.60                | 0.00               | 1.60              | 0.5  | 0.01                 |
| 03/01/2018                                      | ***-**-470I - FLUETTE, RANDY<br>ACCOUNT #: 00083852141   | CAPITAL WORLD GROWTH AND INCOME FUN<br>BUY 0 Units @0.0000 | 0.00                 | 24.95               | 0.00               | 24.95             | 0.5  | 0.12                 |
| 03/01/2018                                      | ***-**-225I - WEBER, MICHAEL<br>ACCOUNT #: 00083883804   | CAPITAL WORLD GROWTH AND INCOME FUN<br>BUY 0 Units @0.0000 | 0.00                 | 2.75                | 0.00               | 2.75              | 0.5  | 0.01                 |
| 03/01/2018                                      | ***-**-956I - MCGUANE, KELLI<br>ACCOUNT #: 00084004988   | CAPITAL WORLD GROWTH AND INCOME FUN<br>BUY 0 Units @0.0000 | 0.00                 | 1.37                | 0.00               | 1.37              | 0.5  | 0.01                 |
| 03/01/2018                                      | ***-**-514I - BOTERO, NATALIA<br>ACCOUNT #: 00084169039  | CAPITAL WORLD GROWTH AND INCOME FUN<br>BUY 0 Units @0.0000 | 0.00                 | 1.65                | 0.00               | 1.65              | 0.5  | 0.01                 |
| 03/01/2018                                      | ***-**-34IR - HARDY, VICTOR<br>ACCOUNT #: 00084794059    | CAPITAL WORLD GROWTH AND INCOME FUN<br>BUY 0 Units @0.0000 | 0.00                 | 5.40                | 0.00               | 5.40              | 0.5  | 0.03                 |
| 03/01/2018                                      | ***-**-91IR - ADAMS, KATHY<br>ACCOUNT #: 00085157011     | CAPITAL WORLD GROWTH AND INCOME FUN<br>BUY 0 Units @0.0000 | 0.00                 | 1.65                | 0.00               | 1.65              | 0.5  | 0.01                 |
| 03/01/2018                                      | ***-**-498I - LAPP, ZACHARY<br>ACCOUNT #: 00085273613    | CAPITAL WORLD GROWTH AND INCOME FUN<br>BUY 0 Units @0.0000 | 0.00                 | 3.61                | 0.00               | 3.61              | 0.5  | 0.02                 |
| 03/01/2018                                      | ***-**-266I - REDGATE, PATRICK<br>ACCOUNT #: 00085273627 | CAPITAL WORLD GROWTH AND INCOME FUN<br>BUY 0 Units @0.0000 | 0.00                 | 1.10                | 0.00               | 1.10              | 0.5  | 0.01                 |
| 03/01/2018                                      | ***-**-975P - BOUDREAU,<br>ACCOUNT #: 00086966419        | CAPITAL WORLD GROWTH AND INCOME FUN<br>BUY 0 Units @0.0000 | 0.00                 | 7.40                | 0.00               | 7.40              | 0.5  | 0.04                 |



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| <b><u> OVERRIDE TRANSACTIONS (continued) </u></b> |  |  |                      |                     |                    |                   |      |                      |
| <b><u> BROKER: ALEX GEORGIEV (continued) </u></b> |  |  |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-298P - FRANKEL, SANDRA<br>ACCOUNT #: 00312401762  | CAPITAL WORLD GROWTH AND INCOME FUN<br>BUY 0 Units @0.0000 | 0.00                 | 2.24                | 0.00               | 2.24              | 0.5  | 0.01                 |
| 03/01/2018  | ***-**-825P - KAUFMAN, WENDY<br>ACCOUNT #: 00065109106   | CAPITAL WORLD GROWTH AND INCOME FUN<br>BUY 0 Units @0.0000 | 0.00                 | 4.17                | 0.00               | 4.17              | 0.5  | 0.02                 |
| 03/01/2018  | ***-**-22IR - RUDO, BRIAN<br>ACCOUNT #: 00065173876      | CAPITAL WORLD GROWTH AND INCOME FUN<br>BUY 0 Units @0.0000 | 0.00                 | 24.04               | 0.00               | 24.04             | 0.5  | 0.12                 |
| 03/01/2018  | ***-**-495P - WALLACE, RACHAEL<br>ACCOUNT #: 00066725827 | CAPITAL WORLD GROWTH AND INCOME FUN<br>BUY 0 Units @0.0000 | 0.00                 | 11.88               | 0.00               | 11.88             | 0.5  | 0.06                 |
| 03/01/2018  | ***-**-825P - REED, MICHELE<br>ACCOUNT #: 00066767510    | CAPITAL WORLD GROWTH AND INCOME FUN<br>BUY 0 Units @0.0000 | 0.00                 | 14.62               | 0.00               | 14.62             | 0.5  | 0.07                 |
| 03/01/2018  | ***-**-645P - CRAIG, MARK<br>ACCOUNT #: 00066866912      | CAPITAL WORLD GROWTH AND INCOME FUN<br>BUY 0 Units @0.0000 | 0.00                 | 12.13               | 0.00               | 12.13             | 0.5  | 0.06                 |
| 03/01/2018  | ***-**-205P - CRAIG, HENRYKA<br>ACCOUNT #: 00066866913   | CAPITAL WORLD GROWTH AND INCOME FUN<br>BUY 0 Units @0.0000 | 0.00                 | 12.13               | 0.00               | 12.13             | 0.5  | 0.06                 |
| 03/01/2018  | ***-**-985P - DAIUTO, MICHAEL<br>ACCOUNT #: 00067117965  | CAPITAL WORLD GROWTH AND INCOME FUN<br>BUY 0 Units @0.0000 | 0.00                 | 51.87               | 0.00               | 51.87             | 0.5  | 0.26                 |
| 03/01/2018  | ***-**-601I - FALCK, ROBERT<br>ACCOUNT #: 00068513111    | CAPITAL WORLD GROWTH AND INCOME FUN<br>BUY 0 Units @0.0000 | 0.00                 | 18.23               | 0.00               | 18.23             | 0.5  | 0.09                 |
| 03/01/2018  | ***-**-405P - STEWART,<br>ACCOUNT #: 00069014456         | CAPITAL WORLD GROWTH AND INCOME FUN<br>BUY 0 Units @0.0000 | 0.00                 | 4.36                | 0.00               | 4.36              | 0.5  | 0.02                 |
| 03/01/2018  | ***-**-60RI - DUGGAN, TERESA<br>ACCOUNT #: 00073561351   | CAPITAL WORLD GROWTH AND INCOME FUN<br>BUY 0 Units @0.0000 | 0.00                 | 6.21                | 0.00               | 6.21              | 0.5  | 0.03                 |
| 03/01/2018  | ***-**-245P - KURMAN, MICHELLE<br>ACCOUNT #: 00073571102 | CAPITAL WORLD GROWTH AND INCOME FUN<br>BUY 0 Units @0.0000 | 0.00                 | 18.61               | 0.00               | 18.61             | 0.5  | 0.09                 |
| 03/01/2018  | ***-**-89IR - JOHNSON, JASON<br>ACCOUNT #: 00073872552   | CAPITAL WORLD GROWTH AND INCOME FUN<br>BUY 0 Units @0.0000 | 0.00                 | 4.55                | 0.00               | 4.55              | 0.5  | 0.02                 |
| 03/01/2018  | ***-**-025P - PADRO, PILAR<br>ACCOUNT #: 00073903493     | CAPITAL WORLD GROWTH AND INCOME FUN<br>BUY 0 Units @0.0000 | 0.00                 | 3.61                | 0.00               | 3.61              | 0.5  | 0.02                 |
| 03/01/2018  | ***-**-055P - MCADOO, ERICA<br>ACCOUNT #: 00073903597    | CAPITAL WORLD GROWTH AND INCOME FUN<br>BUY 0 Units @0.0000 | 0.00                 | 9.59                | 0.00               | 9.59              | 0.5  | 0.05                 |
| 03/01/2018  | ***-**-8594 - LEITZELL, THOMAS<br>ACCOUNT #: 00074396415 | CAPITAL WORLD GROWTH AND INCOME FUN<br>BUY 0 Units @0.0000 | 0.00                 | 6.89                | 0.00               | 6.89              | 0.5  | 0.03                 |



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| <b><u> OVERRIDE TRANSACTIONS (continued) </u></b> |  |  |                      |                     |                    |                   |      |                      |
| <b><u>BROKER: ALEX GEORGIEV (continued)</u></b>   |  |  |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-655P - ANDREWS-MURRAY,<br>ACCOUNT #: 00074396716  | CAPITAL WORLD GROWTH AND INCOME FUN<br>BUY 0 Units @0.0000 | 0.00                 | 12.89               | 0.00               | 12.89             | 0.5  | 0.06                 |
| 03/01/2018  | ***-**-802J - MAASS, CARLY<br>ACCOUNT #: 00074618503     | CAPITAL WORLD GROWTH AND INCOME FUN<br>BUY 0 Units @0.0000 | 0.00                 | 25.35               | 0.00               | 25.35             | 0.5  | 0.13                 |
| 03/01/2018  | ***-**-72IN - THUMULURU,<br>ACCOUNT #: 00074749751       | CAPITAL WORLD GROWTH AND INCOME FUN<br>BUY 0 Units @0.0000 | 0.00                 | 13.68               | 0.00               | 13.68             | 0.5  | 0.07                 |
| 03/01/2018  | ***-**-305P - FELMEY, JONATHAN<br>ACCOUNT #: 00074808923 | CAPITAL WORLD GROWTH AND INCOME FUN<br>BUY 0 Units @0.0000 | 0.00                 | 11.13               | 0.00               | 11.13             | 0.5  | 0.06                 |
| 03/01/2018  | ***-**-32SI - FERRARA, FABIO<br>ACCOUNT #: 00074879556   | CAPITAL WORLD GROWTH AND INCOME FUN<br>BUY 0 Units @0.0000 | 0.00                 | 14.67               | 0.00               | 14.67             | 0.5  | 0.07                 |
| 03/01/2018  | ***-**-721J - KONANUR,<br>ACCOUNT #: 00074931174         | CAPITAL WORLD GROWTH AND INCOME FUN<br>BUY 0 Units @0.0000 | 0.00                 | 31.41               | 0.00               | 31.41             | 0.5  | 0.16                 |
| 03/01/2018  | ***-**-6588 - SUMMO, RODNEY<br>ACCOUNT #: 00074983224    | CAPITAL WORLD GROWTH AND INCOME FUN<br>BUY 0 Units @0.0000 | 0.00                 | 1.09                | 0.00               | 1.09              | 0.5  | 0.01                 |
| 03/01/2018  | ***-**-655P - DUDAS, DANIELLE<br>ACCOUNT #: 00075306339  | CAPITAL WORLD GROWTH AND INCOME FUN<br>BUY 0 Units @0.0000 | 0.00                 | 7.74                | 0.00               | 7.74              | 0.5  | 0.04                 |
| 03/01/2018  | ***-**-625P - OSBORNE, ASA J<br>ACCOUNT #: 00081116910   | CAPITAL WORLD GROWTH AND INCOME FUN<br>BUY 0 Units @0.0000 | 0.00                 | 15.88               | 0.00               | 15.88             | 0.5  | 0.08                 |
| 03/01/2018  | ***-**-439I - SHILOACH,<br>ACCOUNT #: 00081137739        | CAPITAL WORLD GROWTH AND INCOME FUN<br>BUY 0 Units @0.0000 | 0.00                 | 2.61                | 0.00               | 2.61              | 0.5  | 0.01                 |
| 03/01/2018  | ***-**-106I - SHILOACH, MOLLIE<br>ACCOUNT #: 00081181291 | CAPITAL WORLD GROWTH AND INCOME FUN<br>BUY 0 Units @0.0000 | 0.00                 | 2.87                | 0.00               | 2.87              | 0.5  | 0.01                 |
| 03/01/2018  | ***-**-203I - SHILOACH, SHARON<br>ACCOUNT #: 00081205944 | CAPITAL WORLD GROWTH AND INCOME FUN<br>BUY 0 Units @0.0000 | 0.00                 | 2.53                | 0.00               | 2.53              | 0.5  | 0.01                 |
| 03/01/2018  | ***-**-335P - MCCANN, COLIN<br>ACCOUNT #: 00081438545    | CAPITAL WORLD GROWTH AND INCOME FUN<br>BUY 0 Units @0.0000 | 0.00                 | 1.06                | 0.00               | 1.06              | 0.5  | 0.01                 |
| 03/01/2018  | ***-**-565P - DANIEL, MARK<br>ACCOUNT #: 00081582840     | CAPITAL WORLD GROWTH AND INCOME FUN<br>BUY 0 Units @0.0000 | 0.00                 | 4.94                | 0.00               | 4.94              | 0.5  | 0.02                 |
| 03/01/2018  | ***-**-721I - SHILOACH, JOSEPH<br>ACCOUNT #: 00081655924 | CAPITAL WORLD GROWTH AND INCOME FUN<br>BUY 0 Units @0.0000 | 0.00                 | 20.77               | 0.00               | 20.77             | 0.5  | 0.10                 |
| 03/01/2018  | ***-**-76SI - JONES, MARCIE<br>ACCOUNT #: 00081719052    | CAPITAL WORLD GROWTH AND INCOME FUN<br>BUY 0 Units @0.0000 | 0.00                 | 23.76               | 0.00               | 23.76             | 0.5  | 0.12                 |



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| <b> OVERRIDE TRANSACTIONS (continued)</b>        |                                |                                     |                      |                     |                    |                   |      |                      |
| <b> <u>BROKER: ALEX GEORGIEV (continued)</u></b> |                                |                                     |                      |                     |                    |                   |      |                      |
| 03/01/2018                                       | ***-**-500I - MUPPIDI, JAYA    | CAPITAL WORLD GROWTH AND INCOME FUN | 0.00                 | 19.70               | 0.00               | 19.70             | 0.5  | 0.10                 |
|  | ACCOUNT #: 00082114542         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018                                       | ***-**-267I - MUPPIDI, LATHA   | CAPITAL WORLD GROWTH AND INCOME FUN | 0.00                 | 1.66                | 0.00               | 1.66              | 0.5  | 0.01                 |
|  | ACCOUNT #: 00082114548         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018                                       | ***-**-185P - KONIZESKI, DELIA | CAPITAL WORLD GROWTH AND INCOME FUN | 0.00                 | 4.17                | 0.00               | 4.17              | 0.5  | 0.02                 |
|  | ACCOUNT #: 00082792992         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018                                       | ***-**-3602 - RAINES, THOMAS   | CAPITAL WORLD GROWTH AND INCOME FUN | 0.00                 | 6.40                | 0.00               | 6.40              | 0.5  | 0.03                 |
|  | ACCOUNT #: 00083471955         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018                                       | ***-**-415P - TARANTINO, SCOTT | CAPITAL WORLD GROWTH AND INCOME FUN | 0.00                 | 18.66               | 0.00               | 18.66             | 0.5  | 0.09                 |
|  | ACCOUNT #: 00087447990         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018                                       | ***-**-345P -                  | CAPITAL WORLD GROWTH AND INCOME FUN | 0.00                 | 158.53              | 0.00               | 158.53            | 0.5  | 0.79                 |
|  | ACCOUNT #: 00067128072         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018                                       | ***-**-305P - ALOOR, RAVI      | CAPITAL WORLD GROWTH AND INCOME-529 | 500.00               | 10.00               | 0.00               | 10.00             | 0.5  | 0.05                 |
|  | ACCOUNT #: 00081141529         | BUY 9 Units @52.8300                |                      |                     |                    |                   |      |                      |
| 03/01/2018                                       | ***-**-275P - KRUEGER, PAULA   | CAPITAL WORLD GROWTH AND INCOME-529 | 0.00                 | 1.62                | 0.00               | 1.62              | 0.5  | 0.01                 |
|  | ACCOUNT #: 00082687532         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018                                       | ***-**-0619 - SHORB, STANLEY   | CAPITAL WORLD GROWTH AND INCOME-529 | 0.00                 | 2.14                | 0.00               | 2.14              | 0.5  | 0.01                 |
|  | ACCOUNT #: 00083330700         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018                                       | ***-**-5239 - TERRELL, EMILY   | CAPITAL WORLD GROWTH AND INCOME-529 | 0.00                 | 12.72               | 0.00               | 12.72             | 0.5  | 0.06                 |
|  | ACCOUNT #: 00083570795         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018                                       | ***-**-5239 - TERRELL, EMILY   | CAPITAL WORLD GROWTH AND INCOME-529 | 0.00                 | 10.77               | 0.00               | 10.77             | 0.5  | 0.05                 |
|  | ACCOUNT #: 00083571087         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018                                       | ***-**-0619 - SHORB, STANLEY   | CAPITAL WORLD GROWTH AND INCOME-529 | 0.00                 | 4.82                | 0.00               | 4.82              | 0.5  | 0.02                 |
|  | ACCOUNT #: 00087534220         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018                                       | ***-**-0619 - SHORB, STANLEY   | CAPITAL WORLD GROWTH AND INCOME-529 | 0.00                 | 4.70                | 0.00               | 4.70              | 0.5  | 0.02                 |
|  | ACCOUNT #: 00087534228         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018                                       | ***-**-235P - SCHEIDT,         | CAPITAL WORLD GROWTH AND INCOME-529 | 0.00                 | 1.02                | 0.00               | 1.02              | 0.5  | 0.01                 |
|  | ACCOUNT #: 00084738567         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018                                       | ***-**-235P - SCHEIDT,         | CAPITAL WORLD GROWTH AND INCOME-529 | 0.00                 | 1.02                | 0.00               | 1.02              | 0.5  | 0.01                 |
|  | ACCOUNT #: 00084738585         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018                                       | ***-**-495P - WALLACE, RACHAEL | CAPITAL WORLD GROWTH AND INCOME-529 | 0.00                 | 3.71                | 0.00               | 3.71              | 0.5  | 0.02                 |
|  | ACCOUNT #: 00067969420         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |



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| <b><u> OVERRIDE TRANSACTIONS (continued) </u></b> |  |  |                      |                     |                    |                   |      |                      |
| <b><u>BROKER: ALEX GEORGIEV (continued)</u></b>   |  |  |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-445P - PRAGER, TIFFANY<br>ACCOUNT #: 00073887960  | CAPITAL WORLD GROWTH AND INCOME-529<br>BUY 0 Units @0.0000 | 0.00                 | 10.18               | 0.00               | 10.18             | 0.5  | 0.05                 |
| 03/01/2018  | ***-**-385P - LITMAN, WENDY<br>ACCOUNT #: 00074632301    | CAPITAL WORLD GROWTH AND INCOME-529<br>BUY 0 Units @0.0000 | 0.00                 | 12.21               | 0.00               | 12.21             | 0.5  | 0.06                 |
| 03/01/2018  | ***-**-425P - LEWIS, SALLY<br>ACCOUNT #: 00074632483     | CAPITAL WORLD GROWTH AND INCOME-529<br>BUY 0 Units @0.0000 | 0.00                 | 10.07               | 0.00               | 10.07             | 0.5  | 0.05                 |
| 03/01/2018  | ***-**-305P - ALOOR, RAVI<br>ACCOUNT #: 00081141529      | CAPITAL WORLD GROWTH AND INCOME-529<br>BUY 0 Units @0.0000 | 0.00                 | 15.42               | 0.00               | 15.42             | 0.5  | 0.08                 |
| 03/01/2018  | ***-**-615P - DOWLA, JAMES<br>ACCOUNT #: 00081235869     | CAPITAL WORLD GROWTH AND INCOME-529<br>BUY 0 Units @0.0000 | 0.00                 | 3.88                | 0.00               | 3.88              | 0.5  | 0.02                 |
| 03/01/2018  | ***-**-615P - DOWLA, JAMES<br>ACCOUNT #: 00081235942     | CAPITAL WORLD GROWTH AND INCOME-529<br>BUY 0 Units @0.0000 | 0.00                 | 3.88                | 0.00               | 3.88              | 0.5  | 0.02                 |
| 03/01/2018  | ***-**-745P - MILETO, LEO<br>ACCOUNT #: 00081348773      | CAPITAL WORLD GROWTH AND INCOME-529<br>BUY 0 Units @0.0000 | 0.00                 | 8.90                | 0.00               | 8.90              | 0.5  | 0.04                 |
| 03/01/2018  | ***-**-045P - RAMESHKUMAR,<br>ACCOUNT #: 00081777057     | CAPITAL WORLD GROWTH AND INCOME-529<br>BUY 0 Units @0.0000 | 0.00                 | 6.24                | 0.00               | 6.24              | 0.5  | 0.03                 |
| 03/01/2018  | ***-**-265P - MILETO, LINDA<br>ACCOUNT #: 00082236188    | CAPITAL WORLD GROWTH AND INCOME-529<br>BUY 0 Units @0.0000 | 0.00                 | 2.07                | 0.00               | 2.07              | 0.5  | 0.01                 |
| 03/01/2018  | ***-**-885P - PERTNOY, LOGAN<br>ACCOUNT #: 00082384738   | CAPITAL WORLD GROWTH AND INCOME-529<br>BUY 0 Units @0.0000 | 0.00                 | 1.34                | 0.00               | 1.34              | 0.5  | 0.01                 |
| 03/01/2018  | ***-**-015P - SEVERE, DAVID<br>ACCOUNT #: 00082698692    | CAPITAL WORLD GROWTH AND INCOME-529<br>BUY 0 Units @0.0000 | 0.00                 | 20.36               | 0.00               | 20.36             | 0.5  | 0.10                 |
| 03/01/2018  | ***-**-955P - STARTZEL, MARCUS<br>ACCOUNT #: 00082708555 | CAPITAL WORLD GROWTH AND INCOME-529<br>BUY 0 Units @0.0000 | 0.00                 | 13.62               | 0.00               | 13.62             | 0.5  | 0.07                 |
| 03/01/2018  | ***-**-785P - TRAUT, ASHLEY<br>ACCOUNT #: 00084318664    | CAPITAL WORLD GROWTH AND INCOME-529<br>BUY 0 Units @0.0000 | 0.00                 | 9.25                | 0.00               | 9.25              | 0.5  | 0.05                 |
| 03/01/2018  | ***-**-245P - GALFORD, DAVID<br>ACCOUNT #: 00084737271   | CAPITAL WORLD GROWTH AND INCOME-529<br>BUY 0 Units @0.0000 | 0.00                 | 4.70                | 0.00               | 4.70              | 0.5  | 0.02                 |
| 03/01/2018  | ***-**-825P - MARKS, JACOB<br>ACCOUNT #: 00085088195     | CAPITAL WORLD GROWTH AND INCOME-529<br>BUY 0 Units @0.0000 | 0.00                 | 5.07                | 0.00               | 5.07              | 0.5  | 0.03                 |
| 03/01/2018  | ***-**-825P - MARKS, JACOB<br>ACCOUNT #: 00085088223     | CAPITAL WORLD GROWTH AND INCOME-529<br>BUY 0 Units @0.0000 | 0.00                 | 5.07                | 0.00               | 5.07              | 0.5  | 0.03                 |



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|---|--|--|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b><u>VERRIDE TRANSACTIONS (continued)</u></b>  |  |  |                      |                     |                    |                   |      |                      |
| <b><u>BROKER: ALEX GEORGIEV (continued)</u></b> |  |  |                      |                     |                    |                   |      |                      |
| 03/01/2018                                      | ***-**-825P - MARKS, JACOB<br>ACCOUNT #: 00085088240     | CAPITAL WORLD GROWTH AND INCOME-529<br>BUY 0 Units @0.0000 | 0.00                 | 5.07                | 0.00               | 5.07              | 0.5  | 0.03                 |
| 03/01/2018                                      | ***-**-215P - FLOREY, JILL<br>ACCOUNT #: 00085208452     | CAPITAL WORLD GROWTH AND INCOME-529<br>BUY 0 Units @0.0000 | 0.00                 | 1.22                | 0.00               | 1.22              | 0.5  | 0.01                 |
| 03/01/2018                                      | ***-**-865P - FRIEDMAN, ALAN<br>ACCOUNT #: 00085595847   | CAPITAL WORLD GROWTH AND INCOME-529<br>BUY 0 Units @0.0000 | 0.00                 | 3.13                | 0.00               | 3.13              | 0.5  | 0.02                 |
| 03/01/2018                                      | ***-**-015P - SEVERE, DAVID<br>ACCOUNT #: 00086510141    | CAPITAL WORLD GROWTH AND INCOME-529<br>BUY 0 Units @0.0000 | 0.00                 | 3.85                | 0.00               | 3.85              | 0.5  | 0.02                 |
| 03/01/2018                                      | ***-**-005P - SIRCY, PATRICK<br>ACCOUNT #: 00081938666   | CAPITAL WORLD GROWTH AND INCOME-529<br>BUY 0 Units @0.0000 | 0.00                 | 7.22                | 0.00               | 7.22              | 0.5  | 0.04                 |
| 03/01/2018                                      | ***-**-345P -<br>ACCOUNT #: 00067128072                  | CAPITAL WORLD GROWTH AND INCOME-F1<br>BUY 0 Units @0.0000  | 0.00                 | 6.71                | 0.00               | 6.71              | 0.5  | 0.03                 |
| 03/01/2018                                      | ***-**-415P - TARANTINO, SCOTT<br>ACCOUNT #: 00087442846 | COLLEGE 2018 FUND-529A<br>BUY 72 Units @10.4800            | 750.00               | 7.50                | 0.00               | 7.50              | 0.5  | 0.04                 |
| 03/01/2018                                      | ***-**-915P - FRIEDMAN, KEITH<br>ACCOUNT #: 00083404020  | COLLEGE 2018 FUND-529A<br>BUY 72 Units @10.4800            | 750.00               | 7.50                | 0.00               | 7.50              | 0.5  | 0.04                 |
| 03/01/2018                                      | ***-**-4064 - BOCCIA, EMMA<br>ACCOUNT #: 00083146208     | COLLEGE 2018 FUND-529A<br>BUY 23 Units @10.6400            | 250.00               | 3.00                | 0.00               | 3.00              | 0.5  | 0.02                 |
| 03/01/2018                                      | ***-**-2410 - PUTHIYA-VEETIL,<br>ACCOUNT #: 00073508689  | COLLEGE 2018 FUND-529A<br>BUY 5 Units @10.9500             | 50.00                | 1.75                | 0.00               | 1.75              | 0.5  | 0.01                 |
| 03/01/2018                                      | ***-**-105P - REDDIAR,<br>ACCOUNT #: 00068500024         | COLLEGE 2018 FUND-529A<br>BUY 0 Units @0.0000              | 0.00                 | 35.19               | 0.00               | 35.19             | 0.5  | 0.18                 |
| 03/01/2018                                      | ***-**-855P - HELFAND, JEREMY<br>ACCOUNT #: 00068955194  | COLLEGE 2018 FUND-529A<br>BUY 0 Units @0.0000              | 0.00                 | 193.40              | 0.00               | 193.40            | 0.5  | 0.97                 |
| 03/01/2018                                      | ***-**-865P - BECKER, SEAN<br>ACCOUNT #: 00073126111     | COLLEGE 2018 FUND-529A<br>BUY 0 Units @0.0000              | 0.00                 | 3.05                | 0.00               | 3.05              | 0.5  | 0.02                 |
| 03/01/2018                                      | ***-**-2410 - PUTHIYA-VEETIL,<br>ACCOUNT #: 00073508689  | COLLEGE 2018 FUND-529A<br>BUY 0 Units @0.0000              | 0.00                 | 6.92                | 0.00               | 6.92              | 0.5  | 0.03                 |
| 03/01/2018                                      | ***-**-485P - FRAZEE, SCOTT<br>ACCOUNT #: 00074297457    | COLLEGE 2018 FUND-529A<br>BUY 0 Units @0.0000              | 0.00                 | 18.87               | 0.00               | 18.87             | 0.5  | 0.09                 |
| 03/01/2018                                      | ***-**-4064 - BOCCIA, EMMA<br>ACCOUNT #: 00083146208     | COLLEGE 2018 FUND-529A<br>BUY 0 Units @0.0000              | 0.00                 | 77.90               | 0.00               | 77.90             | 0.5  | 0.39                 |



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| <b><u> OVERRIDE TRANSACTIONS (continued) </u></b> |                                |                        |                      |                     |                    |                   |      |                      |
| <b><u>BROKER: ALEX GEORGIEV (continued)</u></b>   |                                |                        |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-915P - FRIEDMAN, KEITH  | COLLEGE 2018 FUND-529A | 0.00                 | 47.22               | 0.00               | 47.22             | 0.5  | 0.24                 |
|   | ACCOUNT #: 00083404020         | BUY 0 Units @0.0000    |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-205P - VAN DYK,         | COLLEGE 2018 FUND-529A | 0.00                 | 13.98               | 0.00               | 13.98             | 0.5  | 0.07                 |
|   | ACCOUNT #: 00084319083         | BUY 0 Units @0.0000    |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-415P - TARANTINO, SCOTT | COLLEGE 2018 FUND-529A | 0.00                 | 21.12               | 0.00               | 21.12             | 0.5  | 0.11                 |
|   | ACCOUNT #: 00087442846         | BUY 0 Units @0.0000    |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-865P - BECKER, SEAN     | COLLEGE 2018 FUND-529C | 0.00                 | 8.45                | 0.00               | 8.45              | 0.5  | 0.04                 |
|   | ACCOUNT #: 00073126111         | BUY 0 Units @0.0000    |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-965P - ROZENCWAIG,      | COLLEGE 2021 FUND-529A | 500.00               | 13.75               | 0.00               | 13.75             | 0.5  | 0.07                 |
|   | ACCOUNT #: 00074006097         | BUY 44 Units @11.3700  |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-625P - KAGEN, BRANDON   | COLLEGE 2021 FUND-529A | 0.00                 | 68.64               | 0.00               | 68.64             | 0.5  | 0.34                 |
|   | ACCOUNT #: 00067841579         | BUY 0 Units @0.0000    |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-705P - KAGEN, JUSTIN    | COLLEGE 2021 FUND-529A | 0.00                 | 107.61              | 0.00               | 107.61            | 0.5  | 0.54                 |
|   | ACCOUNT #: 00067841580         | BUY 0 Units @0.0000    |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-315P - EBERWEIN,        | COLLEGE 2021 FUND-529A | 0.00                 | 3.19                | 0.00               | 3.19              | 0.5  | 0.02                 |
|   | ACCOUNT #: 00068196369         | BUY 0 Units @0.0000    |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-715P - INSCORE, ANJELI  | COLLEGE 2021 FUND-529A | 0.00                 | 79.86               | 0.00               | 79.86             | 0.5  | 0.40                 |
|   | ACCOUNT #: 00068199980         | BUY 0 Units @0.0000    |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-855P - HELFAND, JEREMY  | COLLEGE 2021 FUND-529A | 0.00                 | 129.66              | 0.00               | 129.66            | 0.5  | 0.65                 |
|   | ACCOUNT #: 00068955196         | BUY 0 Units @0.0000    |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-965P - ROZENCWAIG,      | COLLEGE 2021 FUND-529A | 0.00                 | 32.16               | 0.00               | 32.16             | 0.5  | 0.16                 |
|   | ACCOUNT #: 00074006097         | BUY 0 Units @0.0000    |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-485P - FRAZEE, SCOTT    | COLLEGE 2021 FUND-529A | 0.00                 | 29.51               | 0.00               | 29.51             | 0.5  | 0.15                 |
|   | ACCOUNT #: 00074297355         | BUY 0 Units @0.0000    |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-595P - FRAZEE, FRANKIE  | COLLEGE 2021 FUND-529A | 0.00                 | 29.30               | 0.00               | 29.30             | 0.5  | 0.15                 |
|   | ACCOUNT #: 00074297387         | BUY 0 Units @0.0000    |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-375P - APPLEFELD, EMME  | COLLEGE 2021 FUND-529A | 0.00                 | 7.11                | 0.00               | 7.11              | 0.5  | 0.04                 |
|   | ACCOUNT #: 00081414868         | BUY 0 Units @0.0000    |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-50IS - DAILEY, JESSICA  | COLLEGE 2021 FUND-529A | 0.00                 | 11.66               | 0.00               | 11.66             | 0.5  | 0.06                 |
|   | ACCOUNT #: 00082663538         | BUY 0 Units @0.0000    |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-549I - BOXMAN, KENNETH  | COLLEGE 2021 FUND-529A | 0.00                 | 3.56                | 0.00               | 3.56              | 0.5  | 0.02                 |
|   | ACCOUNT #: 00084815726         | BUY 0 Units @0.0000    |                      |                     |                    |                   |      |                      |





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| <b><u>VERRIDE TRANSACTIONS (continued)</u></b>  |  |   |                      |                     |                    |                   |      |                      |
| <b><u>BROKER: ALEX GEORGIEV (continued)</u></b> |  |   |                      |                     |                    |                   |      |                      |
| 03/01/2018                                      | ***-**-43FB - FISHER, BETH<br>ACCOUNT #: 00087645860     | COLLEGE 2021 FUND-529A<br>BUY 0 Units @0.0000   | 0.00                 | 44.75               | 0.00               | 44.75             | 0.5  | 0.22                 |
| 02/27/2018                                      | ***-**-165P - STRONG, THUY<br>ACCOUNT #: 00084926295     | COLLEGE 2024 FUND-529A<br>BUY 16 Units @12.1300 | 200.00               | 4.00                | 0.00               | 4.00              | 0.5  | 0.02                 |
| 03/01/2018                                      | ***-**-415P - TARANTINO, SCOTT<br>ACCOUNT #: 00087442831 | COLLEGE 2024 FUND-529A<br>BUY 64 Units @11.7700 | 750.00               | 7.50                | 0.00               | 7.50              | 0.5  | 0.04                 |
| 03/01/2018                                      | ***-**-915P - FRIEDMAN, KEITH<br>ACCOUNT #: 00083403951  | COLLEGE 2024 FUND-529A<br>BUY 42 Units @11.7700 | 500.00               | 5.00                | 0.00               | 5.00              | 0.5  | 0.03                 |
| 03/01/2018                                      | ***-**-5966 - BOCCIA, BROCK<br>ACCOUNT #: 00083146222    | COLLEGE 2024 FUND-529A<br>BUY 21 Units @11.9500 | 250.00               | 3.00                | 0.00               | 3.00              | 0.5  | 0.02                 |
| 03/01/2018                                      | ***-**-95IR - WEISMAN, DAVID<br>ACCOUNT #: 00075230711   | COLLEGE 2024 FUND-529A<br>BUY 16 Units @12.2000 | 200.00               | 5.50                | 0.00               | 5.50              | 0.5  | 0.03                 |
| 03/01/2018                                      | ***-**-95IR - WEISMAN, DAVID<br>ACCOUNT #: 00075230643   | COLLEGE 2024 FUND-529A<br>BUY 16 Units @12.2000 | 200.00               | 5.50                | 0.00               | 5.50              | 0.5  | 0.03                 |
| 03/01/2018                                      | ***-**-41IN - PUTHIYA-VEETIL,<br>ACCOUNT #: 00083895119  | COLLEGE 2024 FUND-529A<br>BUY 4 Units @12.2900  | 50.00                | 1.75                | 0.00               | 1.75              | 0.5  | 0.01                 |
| 03/01/2018                                      | ***-**-425P - RADINSKY,<br>ACCOUNT #: 00068975130        | COLLEGE 2024 FUND-529A<br>BUY 0 Units @0.0000   | 0.00                 | 17.59               | 0.00               | 17.59             | 0.5  | 0.09                 |
| 03/01/2018                                      | ***-**-95IR - WEISMAN, DAVID<br>ACCOUNT #: 00075230643   | COLLEGE 2024 FUND-529A<br>BUY 0 Units @0.0000   | 0.00                 | 31.56               | 0.00               | 31.56             | 0.5  | 0.16                 |
| 03/01/2018                                      | ***-**-95IR - WEISMAN, DAVID<br>ACCOUNT #: 00075230711   | COLLEGE 2024 FUND-529A<br>BUY 0 Units @0.0000   | 0.00                 | 31.56               | 0.00               | 31.56             | 0.5  | 0.16                 |
| 03/01/2018                                      | ***-**-855P - HELFAND, JEREMY<br>ACCOUNT #: 00075566133  | COLLEGE 2024 FUND-529A<br>BUY 0 Units @0.0000   | 0.00                 | 138.71              | 0.00               | 138.71            | 0.5  | 0.69                 |
| 03/01/2018                                      | ***-**-945P - APPLEFELD,<br>ACCOUNT #: 00081414819       | COLLEGE 2024 FUND-529A<br>BUY 0 Units @0.0000   | 0.00                 | 7.82                | 0.00               | 7.82              | 0.5  | 0.04                 |
| 03/01/2018                                      | ***-**-238I - STELLER, KEITH<br>ACCOUNT #: 00081574508   | COLLEGE 2024 FUND-529A<br>BUY 0 Units @0.0000   | 0.00                 | 20.38               | 0.00               | 20.38             | 0.5  | 0.10                 |
| 03/01/2018                                      | ***-**-515P - FELICE,<br>ACCOUNT #: 00081839848          | COLLEGE 2024 FUND-529A<br>BUY 0 Units @0.0000   | 0.00                 | 36.18               | 0.00               | 36.18             | 0.5  | 0.18                 |
| 03/01/2018                                      | ***-**-485P - AVRAHAM, NOA<br>ACCOUNT #: 00082008704     | COLLEGE 2024 FUND-529A<br>BUY 0 Units @0.0000   | 0.00                 | 9.32                | 0.00               | 9.32              | 0.5  | 0.05                 |



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| <b><u> OVERRIDE TRANSACTIONS (continued) </u></b> |  |   |                      |                     |                    |                   |      |                      |
| <b><u>BROKER: ALEX GEORGIEV (continued)</u></b>   |  |   |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-535P - INSCORE, DAVID<br>ACCOUNT #: 00082313940   | COLLEGE 2024 FUND-529A<br>BUY 0 Units @0.0000   | 0.00                 | 83.06               | 0.00               | 83.06             | 0.5  | 0.42                 |
| 03/01/2018  | ***-**-845P - BLUM, ANDREW<br>ACCOUNT #: 00082640817     | COLLEGE 2024 FUND-529A<br>BUY 0 Units @0.0000   | 0.00                 | 12.70               | 0.00               | 12.70             | 0.5  | 0.06                 |
| 03/01/2018  | ***-**-255P - ERTER, SIANNA<br>ACCOUNT #: 00082794518    | COLLEGE 2024 FUND-529A<br>BUY 0 Units @0.0000   | 0.00                 | 98.39               | 0.00               | 98.39             | 0.5  | 0.49                 |
| 03/01/2018  | ***-**-5966 - BOCCIA, BROCK<br>ACCOUNT #: 00083146222    | COLLEGE 2024 FUND-529A<br>BUY 0 Units @0.0000   | 0.00                 | 53.59               | 0.00               | 53.59             | 0.5  | 0.27                 |
| 03/01/2018  | ***-**-915P - FRIEDMAN, KEITH<br>ACCOUNT #: 00083403951  | COLLEGE 2024 FUND-529A<br>BUY 0 Units @0.0000   | 0.00                 | 33.83               | 0.00               | 33.83             | 0.5  | 0.17                 |
| 03/01/2018  | ***-**-025P - MAASS, JEFF<br>ACCOUNT #: 00083404336      | COLLEGE 2024 FUND-529A<br>BUY 0 Units @0.0000   | 0.00                 | 11.81               | 0.00               | 11.81             | 0.5  | 0.06                 |
| 03/01/2018  | ***-**-095P - BECKER, STEPHEN<br>ACCOUNT #: 00083497419  | COLLEGE 2024 FUND-529A<br>BUY 0 Units @0.0000   | 0.00                 | 13.51               | 0.00               | 13.51             | 0.5  | 0.07                 |
| 03/01/2018  | ***-**-245P - WALTER, CHARLES<br>ACCOUNT #: 00083638410  | COLLEGE 2024 FUND-529A<br>BUY 0 Units @0.0000   | 0.00                 | 12.40               | 0.00               | 12.40             | 0.5  | 0.06                 |
| 03/01/2018  | ***-**-41IN - PUTHIYA-VEETIL,<br>ACCOUNT #: 00083895119  | COLLEGE 2024 FUND-529A<br>BUY 0 Units @0.0000   | 0.00                 | 6.39                | 0.00               | 6.39              | 0.5  | 0.03                 |
| 03/01/2018  | ***-**-165P - STRONG, THUY<br>ACCOUNT #: 00084926295     | COLLEGE 2024 FUND-529A<br>BUY 0 Units @0.0000   | 0.00                 | 17.17               | 0.00               | 17.17             | 0.5  | 0.09                 |
| 03/01/2018  | ***-**-415P - TARANTINO, SCOTT<br>ACCOUNT #: 00087442831 | COLLEGE 2024 FUND-529A<br>BUY 0 Units @0.0000   | 0.00                 | 23.34               | 0.00               | 23.34             | 0.5  | 0.12                 |
| 03/01/2018  | ***-**-915P - ANAND, POOJA<br>ACCOUNT #: 00087471634     | COLLEGE 2024 FUND-529A<br>BUY 0 Units @0.0000   | 0.00                 | 26.07               | 0.00               | 26.07             | 0.5  | 0.13                 |
| 03/01/2018  | ***-**-43FB - FISHER, BETH<br>ACCOUNT #: 00087645856     | COLLEGE 2024 FUND-529A<br>BUY 0 Units @0.0000   | 0.00                 | 44.02               | 0.00               | 44.02             | 0.5  | 0.22                 |
| 03/01/2018  | ***-**-91IN - FRIEDMAN, KEITH<br>ACCOUNT #: 00084072810  | COLLEGE 2027 FUND-529A<br>BUY 40 Units @12.5600 | 500.00               | 5.00                | 0.00               | 5.00              | 0.5  | 0.03                 |
| 03/01/2018  | ***-**-91IN - FRIEDMAN, KEITH<br>ACCOUNT #: 00084072810  | COLLEGE 2027 FUND-529A<br>BUY 0 Units @0.0000   | 0.00                 | 31.42               | 0.00               | 31.42             | 0.5  | 0.16                 |
| 03/01/2018  | ***-**-385P - STELLER, KEITH<br>ACCOUNT #: 00084096050   | COLLEGE 2027 FUND-529A<br>BUY 0 Units @0.0000   | 0.00                 | 13.52               | 0.00               | 13.52             | 0.5  | 0.07                 |



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| <b><u>VERRIDE TRANSACTIONS (continued)</u></b>  |  |  |                      |                     |                    |                   |      |                      |
| <b><u>BROKER: ALEX GEORGIEV (continued)</u></b> |  |  |                      |                     |                    |                   |      |                      |
| 03/01/2018                                      | ***-**-3204 - MURPHY, PAUL<br>ACCOUNT #: 00084140220     | COLLEGE 2027 FUND-529A<br>BUY 0 Units @0.0000  | 0.00                 | 55.99               | 0.00               | 55.99             | 0.5  | 0.28                 |
| 03/01/2018                                      | ***-**-7623 - BESTIMT, JASON<br>ACCOUNT #: 00084698857   | COLLEGE 2027 FUND-529A<br>BUY 0 Units @0.0000  | 0.00                 | 41.26               | 0.00               | 41.26             | 0.5  | 0.21                 |
| 03/01/2018                                      | ***-**-5184 - BLUM, ANDREW<br>ACCOUNT #: 00084715208     | COLLEGE 2027 FUND-529A<br>BUY 0 Units @0.0000  | 0.00                 | 8.53                | 0.00               | 8.53              | 0.5  | 0.04                 |
| 03/01/2018                                      | ***-**-4651 - FELICE,<br>ACCOUNT #: 00084886630          | COLLEGE 2027 FUND-529A<br>BUY 0 Units @0.0000  | 0.00                 | 23.35               | 0.00               | 23.35             | 0.5  | 0.12                 |
| 03/01/2018                                      | ***-**-2802 - MAASS, TY<br>ACCOUNT #: 00085284547        | COLLEGE 2027 FUND-529A<br>BUY 0 Units @0.0000  | 0.00                 | 19.54               | 0.00               | 19.54             | 0.5  | 0.10                 |
| 03/01/2018                                      | ***-**-715P - WIEZOREK, STEVEN<br>ACCOUNT #: 00085664947 | COLLEGE 2027 FUND-529A<br>BUY 0 Units @0.0000  | 0.00                 | 21.95               | 0.00               | 21.95             | 0.5  | 0.11                 |
| 03/01/2018                                      | ***-**-555P - FUCHS, JEFF<br>ACCOUNT #: 00085687170      | COLLEGE 2027 FUND-529A<br>BUY 0 Units @0.0000  | 0.00                 | 36.71               | 0.00               | 36.71             | 0.5  | 0.18                 |
| 03/01/2018                                      | ***-**-095P - BECKER, STEPHEN<br>ACCOUNT #: 00085704555  | COLLEGE 2027 FUND-529A<br>BUY 0 Units @0.0000  | 0.00                 | 10.09               | 0.00               | 10.09             | 0.5  | 0.05                 |
| 03/01/2018                                      | ***-**-172I - ERTER, AARON<br>ACCOUNT #: 00085967170     | COLLEGE 2027 FUND-529A<br>BUY 0 Units @0.0000  | 0.00                 | 58.53               | 0.00               | 58.53             | 0.5  | 0.29                 |
| 03/01/2018                                      | ***-**-145P - ZUKERBERG,<br>ACCOUNT #: 00089641045       | COLLEGE 2027 FUND-529A<br>BUY 0 Units @0.0000  | 0.00                 | 1.10                | 0.00               | 1.10              | 0.5  | 0.01                 |
| 03/01/2018                                      | ***-**-86CL - ASHER, CLIENTS<br>ACCOUNT #: 00087512963   | COLLEGE 2030 FUND-529A<br>BUY 4 Units @14.2600 | 50.00                | 1.75                | 0.00               | 1.75              | 0.5  | 0.01                 |
| 03/01/2018                                      | ***-**-665P - WOLLNER, DAVIDA<br>ACCOUNT #: 00087215180  | COLLEGE 2030 FUND-529A<br>BUY 4 Units @14.2600 | 50.00                | 1.75                | 0.00               | 1.75              | 0.5  | 0.01                 |
| 03/01/2018                                      | ***-**-5184 - BLUM, ANDREW<br>ACCOUNT #: 00086418332     | COLLEGE 2030 FUND-529A<br>BUY 0 Units @0.0000  | 0.00                 | 8.21                | 0.00               | 8.21              | 0.5  | 0.04                 |
| 03/01/2018                                      | ***-**-735P - STEVENS, SCOTT<br>ACCOUNT #: 00086510410   | COLLEGE 2030 FUND-529A<br>BUY 0 Units @0.0000  | 0.00                 | 14.39               | 0.00               | 14.39             | 0.5  | 0.07                 |
| 03/01/2018                                      | ***-**-3204 - MURPHY, PAUL<br>ACCOUNT #: 00086597475     | COLLEGE 2030 FUND-529A<br>BUY 0 Units @0.0000  | 0.00                 | 30.43               | 0.00               | 30.43             | 0.5  | 0.15                 |
| 03/01/2018                                      | ***-**-235P - BESTIMT, JASON<br>ACCOUNT #: 00087180468   | COLLEGE 2030 FUND-529A<br>BUY 0 Units @0.0000  | 0.00                 | 26.05               | 0.00               | 26.05             | 0.5  | 0.13                 |



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| <b> OVERRIDE TRANSACTIONS (continued) </b>        |  |  |                      |                     |                    |                   |      |                      |
| <b> <u>BROKER: ALEX GEORGIEV (continued)</u> </b> |  |  |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-875P - IM, RICHARD<br>ACCOUNT #: 00087215160      | COLLEGE 2030 FUND-529A<br>BUY 0 Units @0.0000          | 0.00                 | 19.75               | 0.00               | 19.75             | 0.5  | 0.10                 |
| 03/01/2018  | ***-**-665P - WOLLNER, DAVIDA<br>ACCOUNT #: 00087215180  | COLLEGE 2030 FUND-529A<br>BUY 0 Units @0.0000          | 0.00                 | 4.90                | 0.00               | 4.90              | 0.5  | 0.02                 |
| 03/01/2018  | ***-**-185P - BROZIC, MICHAEL<br>ACCOUNT #: 00087251237  | COLLEGE 2030 FUND-529A<br>BUY 0 Units @0.0000          | 0.00                 | 14.19               | 0.00               | 14.19             | 0.5  | 0.07                 |
| 03/01/2018  | ***-**-86CL - ASHER, CLIENTS<br>ACCOUNT #: 00087512963   | COLLEGE 2030 FUND-529A<br>BUY 0 Units @0.0000          | 0.00                 | 2.05                | 0.00               | 2.05              | 0.5  | 0.01                 |
| 03/01/2018  | ***-**-045P - MARSHALL,<br>ACCOUNT #: 00087648239        | COLLEGE 2030 FUND-529A<br>BUY 0 Units @0.0000          | 0.00                 | 6.77                | 0.00               | 6.77              | 0.5  | 0.03                 |
| 03/01/2018  | ***-**-715P - WIEZOREK, STEVEN<br>ACCOUNT #: 00087693003 | COLLEGE 2030 FUND-529A<br>BUY 0 Units @0.0000          | 0.00                 | 14.06               | 0.00               | 14.06             | 0.5  | 0.07                 |
| 03/01/2018  | ***-**-457I - CRAIG, EDWARD<br>ACCOUNT #: 00087736955    | COLLEGE 2030 FUND-529A<br>BUY 0 Units @0.0000          | 0.00                 | 2.45                | 0.00               | 2.45              | 0.5  | 0.01                 |
| 03/01/2018  | ***-**-735P - MARKSAMER,<br>ACCOUNT #: 00088255929       | COLLEGE 2030 FUND-529A<br>BUY 0 Units @0.0000          | 0.00                 | 5.45                | 0.00               | 5.45              | 0.5  | 0.03                 |
| 03/01/2018  | ***-**-145P - ZUKERBERG,<br>ACCOUNT #: 00089641028       | COLLEGE 2030 FUND-529A<br>BUY 0 Units @0.0000          | 0.00                 | 1.18                | 0.00               | 1.18              | 0.5  | 0.01                 |
| 03/01/2018  | ***-**-865P - BECKER, SEAN<br>ACCOUNT #: 00073126126     | COLLEGE ENROLLMENT FUND-529C<br>BUY 0 Units @0.0000    | 0.00                 | 1.85                | 0.00               | 1.85              | 0.5  | 0.01                 |
| 03/08/2018  | ***-**-4202 - CORAPI, MARIA C<br>ACCOUNT #: 0129106191   | DREYFUS MF TRAILS<br>BUY 0 Units @0.0000               | 0.00                 | 6.24                | 0.00               | 6.24              | 0.5  | 0.03                 |
| 03/01/2018  | ***-**-95SI -<br>ACCOUNT #: 00084372328                  | EUROPACIFIC GROWTH FUND CLASS C<br>BUY 0 Units @0.0000 | 0.00                 | 32.71               | 0.00               | 32.71             | 0.5  | 0.16                 |
| 03/01/2018  | ***-**-375P - SINNO, FADY<br>ACCOUNT #: 00068297392      | EUROPACIFIC GROWTH FUND CLASS F<br>BUY 0 Units @0.0000 | 0.00                 | 46.27               | 0.00               | 46.27             | 0.5  | 0.23                 |
| 03/01/2018  | ***-**-275P - KRUEGER, PAULA<br>ACCOUNT #: 00082687532   | EUROPACIFIC GROWTH FUND-529A<br>BUY 0 Units @0.0000    | 0.00                 | 1.33                | 0.00               | 1.33              | 0.5  | 0.01                 |
| 03/01/2018  | ***-**-915P - GOCHNAUER,<br>ACCOUNT #: 00081493706       | EUROPACIFIC GROWTH FUND-529A<br>BUY 0 Units @0.0000    | 0.00                 | 5.62                | 0.00               | 5.62              | 0.5  | 0.03                 |
| 03/01/2018  | ***-**-005P - MUPPIDI, ASHISH<br>ACCOUNT #: 00082114467  | EUROPACIFIC GROWTH FUND-529A<br>BUY 0 Units @0.0000    | 0.00                 | 1.55                | 0.00               | 1.55              | 0.5  | 0.01                 |



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| <b><u>VERRIDE TRANSACTIONS (continued)</u></b>  |  |   |                      |                     |                    |                   |      |                      |
| <b><u>BROKER: ALEX GEORGIEV (continued)</u></b> |  |   |                      |                     |                    |                   |      |                      |
| 03/01/2018                                      | ***-**-015P - SEVERE, DAVID<br>ACCOUNT #: 00082698692    | EUROPACIFIC GROWTH FUND-529A<br>BUY 0 Units @0.0000 | 0.00                 | 11.26               | 0.00               | 11.26             | 0.5  | 0.06                 |
| 03/01/2018                                      | ***-**-525P - GARDNER, DANIEL<br>ACCOUNT #: 00084433353  | EUROPACIFIC GROWTH FUND-529A<br>BUY 0 Units @0.0000 | 0.00                 | 14.97               | 0.00               | 14.97             | 0.5  | 0.07                 |
| 03/01/2018                                      | ***-**-825P - MARKS, JACOB<br>ACCOUNT #: 00085088195     | EUROPACIFIC GROWTH FUND-529A<br>BUY 0 Units @0.0000 | 0.00                 | 2.19                | 0.00               | 2.19              | 0.5  | 0.01                 |
| 03/01/2018                                      | ***-**-825P - MARKS, JACOB<br>ACCOUNT #: 00085088223     | EUROPACIFIC GROWTH FUND-529A<br>BUY 0 Units @0.0000 | 0.00                 | 2.19                | 0.00               | 2.19              | 0.5  | 0.01                 |
| 03/01/2018                                      | ***-**-825P - MARKS, JACOB<br>ACCOUNT #: 00085088240     | EUROPACIFIC GROWTH FUND-529A<br>BUY 0 Units @0.0000 | 0.00                 | 2.19                | 0.00               | 2.19              | 0.5  | 0.01                 |
| 03/01/2018                                      | ***-**-735P - MARKSAMER,<br>ACCOUNT #: 00086018329       | EUROPACIFIC GROWTH FUND-529A<br>BUY 0 Units @0.0000 | 0.00                 | 4.62                | 0.00               | 4.62              | 0.5  | 0.02                 |
| 03/01/2018                                      | ***-**-845P - TRAUT, SHEILA<br>ACCOUNT #: 00086023465    | EUROPACIFIC GROWTH FUND-529A<br>BUY 0 Units @0.0000 | 0.00                 | 1.98                | 0.00               | 1.98              | 0.5  | 0.01                 |
| 03/01/2018                                      | ***-**-845P - TRAUT, SHEILA<br>ACCOUNT #: 00086023476    | EUROPACIFIC GROWTH FUND-529A<br>BUY 0 Units @0.0000 | 0.00                 | 1.98                | 0.00               | 1.98              | 0.5  | 0.01                 |
| 03/01/2018                                      | ***-**-525P - GARDNER, DANIEL<br>ACCOUNT #: 00086081038  | EUROPACIFIC GROWTH FUND-529A<br>BUY 0 Units @0.0000 | 0.00                 | 6.73                | 0.00               | 6.73              | 0.5  | 0.03                 |
| 03/01/2018                                      | ***-**-185P - BROZIC, MICHAEL<br>ACCOUNT #: 00086510064  | EUROPACIFIC GROWTH FUND-529A<br>BUY 0 Units @0.0000 | 0.00                 | 6.09                | 0.00               | 6.09              | 0.5  | 0.03                 |
| 02/26/2018                                      | ***-**-564J - CRAIG, MARK<br>ACCOUNT #: 00084581027      | EUROPACIFIC GROWTH FUND-A<br>BUY 1 Units @60.8000   | 50.00                | 1.38                | 0.00               | 1.38              | 0.5  | 0.01                 |
| 03/01/2018                                      | ***-**-391J - FRIEDMAN, KEITH<br>ACCOUNT #: 00083404691  | EUROPACIFIC GROWTH FUND-A<br>BUY 4 Units @56.6800   | 200.00               | 2.00                | 0.00               | 2.00              | 0.5  | 0.01                 |
| 03/01/2018                                      | ***-**-415P - TARANTINO, SCOTT<br>ACCOUNT #: 00087447990 | EUROPACIFIC GROWTH FUND-A<br>BUY 4 Units @56.6800   | 200.00               | 2.00                | 0.00               | 2.00              | 0.5  | 0.01                 |
| 03/01/2018                                      | ***-**-064J - HALL, AMY<br>ACCOUNT #: 00083146232        | EUROPACIFIC GROWTH FUND-A<br>BUY 4 Units @57.5400   | 250.00               | 3.00                | 0.00               | 3.00              | 0.5  | 0.02                 |
| 03/01/2018                                      | ***-**-295P - HOGAN, ANN<br>ACCOUNT #: 00074253253       | EUROPACIFIC GROWTH FUND-A<br>BUY 0 Units @0.0000    | 0.00                 | 19.65               | 0.00               | 19.65             | 0.5  | 0.10                 |
| 03/01/2018                                      | ***-**-055P - BALTZ, BERNARD<br>ACCOUNT #: 00059862483   | EUROPACIFIC GROWTH FUND-A<br>BUY 0 Units @0.0000    | 0.00                 | 3.65                | 0.00               | 3.65              | 0.5  | 0.02                 |



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| <b><u>VERRIDE TRANSACTIONS (continued)</u></b>  |                               |                           |                      |                     |                    |                   |      |                      |
| <b><u>BROKER: ALEX GEORGIEV (continued)</u></b> |                               |                           |                      |                     |                    |                   |      |                      |
| 03/01/2018                                      | ***-**-715P - BALTZ, JULIE    | EUROPACIFIC GROWTH FUND-A | 0.00                 | 2.52                | 0.00               | 2.52              | 0.5  | 0.01                 |
|   | ACCOUNT #: 00059862484        | BUY 0 Units @0.0000       |                      |                     |                    |                   |      |                      |
| 03/01/2018                                      | ***-**-70IN - PESCHE, SUSAN   | EUROPACIFIC GROWTH FUND-A | 0.00                 | 18.84               | 0.00               | 18.84             | 0.5  | 0.09                 |
|   | ACCOUNT #: 00061196180        | BUY 0 Units @0.0000       |                      |                     |                    |                   |      |                      |
| 03/01/2018                                      | ***-**-843P - FERRENTINO,     | EUROPACIFIC GROWTH FUND-A | 0.00                 | 4.84                | 0.00               | 4.84              | 0.5  | 0.02                 |
|   | ACCOUNT #: 00061255404        | BUY 0 Units @0.0000       |                      |                     |                    |                   |      |                      |
| 03/01/2018                                      | ***-**-12UT - BASTEN, ASHLEY  | EUROPACIFIC GROWTH FUND-A | 0.00                 | 2.29                | 0.00               | 2.29              | 0.5  | 0.01                 |
|   | ACCOUNT #: 00061604201        | BUY 0 Units @0.0000       |                      |                     |                    |                   |      |                      |
| 03/01/2018                                      | ***-**-675P - LEONARD, CRAIG  | EUROPACIFIC GROWTH FUND-A | 0.00                 | 7.29                | 0.00               | 7.29              | 0.5  | 0.04                 |
|   | ACCOUNT #: 00061651661        | BUY 0 Units @0.0000       |                      |                     |                    |                   |      |                      |
| 03/01/2018                                      | ***-**-795P - MYERS, JOHN     | EUROPACIFIC GROWTH FUND-A | 0.00                 | 2.58                | 0.00               | 2.58              | 0.5  | 0.01                 |
|   | ACCOUNT #: 00061900969        | BUY 0 Units @0.0000       |                      |                     |                    |                   |      |                      |
| 03/01/2018                                      | ***-**-385P - SHEETS, JAYSON  | EUROPACIFIC GROWTH FUND-A | 0.00                 | 2.33                | 0.00               | 2.33              | 0.5  | 0.01                 |
|   | ACCOUNT #: 00062566017        | BUY 0 Units @0.0000       |                      |                     |                    |                   |      |                      |
| 03/01/2018                                      | ***-**-635P - LOGRASSO,       | EUROPACIFIC GROWTH FUND-A | 0.00                 | 1.30                | 0.00               | 1.30              | 0.5  | 0.01                 |
|   | ACCOUNT #: 00062853008        | BUY 0 Units @0.0000       |                      |                     |                    |                   |      |                      |
| 03/01/2018                                      | ***-**-04IR - GRODZICKI,      | EUROPACIFIC GROWTH FUND-A | 0.00                 | 8.38                | 0.00               | 8.38              | 0.5  | 0.04                 |
|   | ACCOUNT #: 00063592510        | BUY 0 Units @0.0000       |                      |                     |                    |                   |      |                      |
| 03/01/2018                                      | ***-**-575P - ANDERSON, SUSAN | EUROPACIFIC GROWTH FUND-A | 0.00                 | 18.29               | 0.00               | 18.29             | 0.5  | 0.09                 |
|   | ACCOUNT #: 00063941162        | BUY 0 Units @0.0000       |                      |                     |                    |                   |      |                      |
| 03/01/2018                                      | ***-**-155P - NAHAMOU,        | EUROPACIFIC GROWTH FUND-A | 0.00                 | 20.05               | 0.00               | 20.05             | 0.5  | 0.10                 |
|   | ACCOUNT #: 00064023902        | BUY 0 Units @0.0000       |                      |                     |                    |                   |      |                      |
| 03/01/2018                                      | ***-**-15IN - NAHAMOU,        | EUROPACIFIC GROWTH FUND-A | 0.00                 | 3.42                | 0.00               | 3.42              | 0.5  | 0.02                 |
|   | ACCOUNT #: 00064112290        | BUY 0 Units @0.0000       |                      |                     |                    |                   |      |                      |
| 03/01/2018                                      | ***-**-371I - SMITH, LEOLA    | EUROPACIFIC GROWTH FUND-A | 0.00                 | 4.89                | 0.00               | 4.89              | 0.5  | 0.02                 |
|   | ACCOUNT #: 00064360066        | BUY 0 Units @0.0000       |                      |                     |                    |                   |      |                      |
| 03/01/2018                                      | ***-**-095P - MISSICK, GREG   | EUROPACIFIC GROWTH FUND-A | 0.00                 | 4.71                | 0.00               | 4.71              | 0.5  | 0.02                 |
|   | ACCOUNT #: 00064440775        | BUY 0 Units @0.0000       |                      |                     |                    |                   |      |                      |
| 03/01/2018                                      | ***-**-4943 - RAMACHANDRAN,   | EUROPACIFIC GROWTH FUND-A | 0.00                 | 17.65               | 0.00               | 17.65             | 0.5  | 0.09                 |
|   | ACCOUNT #: 00064472681        | BUY 0 Units @0.0000       |                      |                     |                    |                   |      |                      |
| 03/01/2018                                      | ***-**-98RI - BENNET,         | EUROPACIFIC GROWTH FUND-A | 0.00                 | 8.89                | 0.00               | 8.89              | 0.5  | 0.04                 |
|   | ACCOUNT #: 00064633625        | BUY 0 Units @0.0000       |                      |                     |                    |                   |      |                      |



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| <b><u> OVERRIDE TRANSACTIONS (continued) </u></b> |   |  |                      |                     |                    |                   |      |                      |
| <b><u>BROKER: ALEX GEORGIEV (continued)</u></b>   |   |  |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-515P - MEYER, MICHAEL<br>ACCOUNT #: 00066722060  | EUROPACIFIC GROWTH FUND-A<br>BUY 0 Units @0.0000 | 0.00                 | 12.27               | 0.00               | 12.27             | 0.5  | 0.06                 |
| 03/01/2018  | ***-**-978I - ENRIGHT,<br>ACCOUNT #: 00066747757        | EUROPACIFIC GROWTH FUND-A<br>BUY 0 Units @0.0000 | 0.00                 | 2.39                | 0.00               | 2.39              | 0.5  | 0.01                 |
| 03/01/2018  | ***-**-61RI - HADSOCK, HUGH<br>ACCOUNT #: 00068200969   | EUROPACIFIC GROWTH FUND-A<br>BUY 0 Units @0.0000 | 0.00                 | 3.53                | 0.00               | 3.53              | 0.5  | 0.02                 |
| 03/01/2018  | ***-**-285P - JONES, DAWN<br>ACCOUNT #: 00081394564     | EUROPACIFIC GROWTH FUND-A<br>BUY 0 Units @0.0000 | 0.00                 | 4.32                | 0.00               | 4.32              | 0.5  | 0.02                 |
| 03/01/2018  | ***-**-525P - MATIS, DAMARIS<br>ACCOUNT #: 00082217486  | EUROPACIFIC GROWTH FUND-A<br>BUY 0 Units @0.0000 | 0.00                 | 3.85                | 0.00               | 3.85              | 0.5  | 0.02                 |
| 03/01/2018  | ***-**-045P - SWEENEY, ROBERT<br>ACCOUNT #: 00082400759 | EUROPACIFIC GROWTH FUND-A<br>BUY 0 Units @0.0000 | 0.00                 | 6.45                | 0.00               | 6.45              | 0.5  | 0.03                 |
| 03/01/2018  | ***-**-945P - SWEENEY, DENISE<br>ACCOUNT #: 00082400766 | EUROPACIFIC GROWTH FUND-A<br>BUY 0 Units @0.0000 | 0.00                 | 1.70                | 0.00               | 1.70              | 0.5  | 0.01                 |
| 03/01/2018  | ***-**-427I - KRUEGER, JOHN<br>ACCOUNT #: 00082686514   | EUROPACIFIC GROWTH FUND-A<br>BUY 0 Units @0.0000 | 0.00                 | 9.48                | 0.00               | 9.48              | 0.5  | 0.05                 |
| 03/01/2018  | ***-**-116J - KRUEGER, JOHN<br>ACCOUNT #: 00082687579   | EUROPACIFIC GROWTH FUND-A<br>BUY 0 Units @0.0000 | 0.00                 | 1.50                | 0.00               | 1.50              | 0.5  | 0.01                 |
| 03/01/2018  | ***-**-618I - HULLS, JENNIFER<br>ACCOUNT #: 00083732568 | EUROPACIFIC GROWTH FUND-A<br>BUY 0 Units @0.0000 | 0.00                 | 8.02                | 0.00               | 8.02              | 0.5  | 0.04                 |
| 03/01/2018  | ***-**-173I - MATUSIEWICZ,<br>ACCOUNT #: 00083738493    | EUROPACIFIC GROWTH FUND-A<br>BUY 0 Units @0.0000 | 0.00                 | 1.41                | 0.00               | 1.41              | 0.5  | 0.01                 |
| 03/01/2018  | ***-**-225I - WEBER, MICHAEL<br>ACCOUNT #: 00083883804  | EUROPACIFIC GROWTH FUND-A<br>BUY 0 Units @0.0000 | 0.00                 | 4.84                | 0.00               | 4.84              | 0.5  | 0.02                 |
| 03/01/2018  | ***-**-956I - MCGUANE, KELLI<br>ACCOUNT #: 00084004988  | EUROPACIFIC GROWTH FUND-A<br>BUY 0 Units @0.0000 | 0.00                 | 1.23                | 0.00               | 1.23              | 0.5  | 0.01                 |
| 03/01/2018  | ***-**-514I - BOTERO, NATALIA<br>ACCOUNT #: 00084169039 | EUROPACIFIC GROWTH FUND-A<br>BUY 0 Units @0.0000 | 0.00                 | 1.45                | 0.00               | 1.45              | 0.5  | 0.01                 |
| 03/01/2018  | ***-**-341I - FIREMAN, NOAH<br>ACCOUNT #: 00087760602   | EUROPACIFIC GROWTH FUND-A<br>BUY 0 Units @0.0000 | 0.00                 | 11.54               | 0.00               | 11.54             | 0.5  | 0.06                 |
| 03/01/2018  | ***-**-11IR - SCHAFFTEL, AMY<br>ACCOUNT #: 00063600878  | EUROPACIFIC GROWTH FUND-A<br>BUY 0 Units @0.0000 | 0.00                 | 1.18                | 0.00               | 1.18              | 0.5  | 0.01                 |



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|--|---|--|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b> OVERRIDE TRANSACTIONS (continued)</b>        |   |  |                      |                     |                    |                   |      |                      |
| <b> <u>BROKER: ALEX GEORGIEV (continued)</u></b> |   |  |                      |                     |                    |                   |      |                      |
| 03/01/2018                                       | ***-**-29IN - LITMAN, WENDY<br>ACCOUNT #: 00068524068   | EUROPACIFIC GROWTH FUND-A<br>BUY 0 Units @0.0000 | 0.00                 | 5.63                | 0.00               | 5.63              | 0.5  | 0.03                 |
| 03/01/2018                                       | ***-**-295P - AMSEL, PATTI<br>ACCOUNT #: 00073772424    | EUROPACIFIC GROWTH FUND-A<br>BUY 0 Units @0.0000 | 0.00                 | 40.42               | 0.00               | 40.42             | 0.5  | 0.20                 |
| 03/01/2018                                       | ***-**-802J - MAASS, CARLY<br>ACCOUNT #: 00074618503    | EUROPACIFIC GROWTH FUND-A<br>BUY 0 Units @0.0000 | 0.00                 | 21.21               | 0.00               | 21.21             | 0.5  | 0.11                 |
| 03/01/2018                                       | ***-**-17SI - CARSON, JEAN<br>ACCOUNT #: 00075399997    | EUROPACIFIC GROWTH FUND-A<br>BUY 0 Units @0.0000 | 0.00                 | 1.94                | 0.00               | 1.94              | 0.5  | 0.01                 |
| 03/01/2018                                       | ***-**-795P - CREEGAN, THOMAS<br>ACCOUNT #: 00075748864 | EUROPACIFIC GROWTH FUND-A<br>BUY 0 Units @0.0000 | 0.00                 | 13.17               | 0.00               | 13.17             | 0.5  | 0.07                 |
| 03/01/2018                                       | ***-**-04IN - MURPHY, PAUL<br>ACCOUNT #: 00075938729    | EUROPACIFIC GROWTH FUND-A<br>BUY 0 Units @0.0000 | 0.00                 | 37.75               | 0.00               | 37.75             | 0.5  | 0.19                 |
| 03/01/2018                                       | ***-**-122I - SHILOACH,<br>ACCOUNT #: 00081137646       | EUROPACIFIC GROWTH FUND-A<br>BUY 0 Units @0.0000 | 0.00                 | 2.26                | 0.00               | 2.26              | 0.5  | 0.01                 |
| 03/01/2018                                       | ***-**-95IN - STARTZEL,<br>ACCOUNT #: 00081317740       | EUROPACIFIC GROWTH FUND-A<br>BUY 0 Units @0.0000 | 0.00                 | 6.98                | 0.00               | 6.98              | 0.5  | 0.03                 |
| 03/01/2018                                       | ***-**-815P - AUCLAIR, LAURA<br>ACCOUNT #: 00081468633  | EUROPACIFIC GROWTH FUND-A<br>BUY 0 Units @0.0000 | 0.00                 | 6.01                | 0.00               | 6.01              | 0.5  | 0.03                 |
| 03/01/2018                                       | ***-**-045P - RAMESHKUMAR,<br>ACCOUNT #: 00081655955    | EUROPACIFIC GROWTH FUND-A<br>BUY 0 Units @0.0000 | 0.00                 | 13.89               | 0.00               | 13.89             | 0.5  | 0.07                 |
| 03/01/2018                                       | ***-**-76SI - JONES, MARCIE<br>ACCOUNT #: 00081719052   | EUROPACIFIC GROWTH FUND-A<br>BUY 0 Units @0.0000 | 0.00                 | 9.74                | 0.00               | 9.74              | 0.5  | 0.05                 |
| 03/01/2018                                       | ***-**-82IN - TEN, JT<br>ACCOUNT #: 00082421077         | EUROPACIFIC GROWTH FUND-A<br>BUY 0 Units @0.0000 | 0.00                 | 19.12               | 0.00               | 19.12             | 0.5  | 0.10                 |
| 03/01/2018                                       | ***-**-064J - HALL, AMY<br>ACCOUNT #: 00083146232       | EUROPACIFIC GROWTH FUND-A<br>BUY 0 Units @0.0000 | 0.00                 | 46.15               | 0.00               | 46.15             | 0.5  | 0.23                 |
| 03/01/2018                                       | ***-**-391J - FRIEDMAN, KEITH<br>ACCOUNT #: 00083404691 | EUROPACIFIC GROWTH FUND-A<br>BUY 0 Units @0.0000 | 0.00                 | 23.03               | 0.00               | 23.03             | 0.5  | 0.12                 |
| 03/01/2018                                       | ***-**-747I - ROY, JESSICA<br>ACCOUNT #: 00083742202    | EUROPACIFIC GROWTH FUND-A<br>BUY 0 Units @0.0000 | 0.00                 | 2.46                | 0.00               | 2.46              | 0.5  | 0.01                 |
| 03/01/2018                                       | ***-**-112I - KOONTZ, LEROY<br>ACCOUNT #: 00084075301   | EUROPACIFIC GROWTH FUND-A<br>BUY 0 Units @0.0000 | 0.00                 | 4.46                | 0.00               | 4.46              | 0.5  | 0.02                 |





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|---|--------------------------------|------------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b><u>VERRIDE TRANSACTIONS (continued)</u></b>  |                                |                                    |                      |                     |                    |                   |      |                      |
| <b><u>BROKER: ALEX GEORGIEV (continued)</u></b> |                                |                                    |                      |                     |                    |                   |      |                      |
| 03/01/2018                                      | ***-**-564J - CRAIG, MARK      | EUROPACIFIC GROWTH FUND-A          | 0.00                 | 4.77                | 0.00               | 4.77              | 0.5  | 0.02                 |
|   | ACCOUNT #: 00084581027         | BUY 0 Units @0.0000                |                      |                     |                    |                   |      |                      |
| 03/01/2018                                      | ***-**-415P - TARANTINO, SCOTT | EUROPACIFIC GROWTH FUND-A          | 0.00                 | 20.67               | 0.00               | 20.67             | 0.5  | 0.10                 |
|   | ACCOUNT #: 00087447990         | BUY 0 Units @0.0000                |                      |                     |                    |                   |      |                      |
| 03/07/2018                                      | ***-**-2667 - BETTINI, ROBERT  | FIDELITY ADV BALANCED CL A         | 0.00                 | 5.34                | 0.00               | 5.34              | 0.5  | 0.03                 |
|   | ACCOUNT #: 00655086841         | BUY 0 Units @0.0000                |                      |                     |                    |                   |      |                      |
| 03/07/2018                                      | ***-**-514I - MIKUS, BETTY     | FIDELITY ADV DIVIDEND GROWTH FD CL | 0.00                 | 1.76                | 0.00               | 1.76              | 0.5  | 0.01                 |
|   | ACCOUNT #: 00065290959         | BUY 0 Units @0.0000                |                      |                     |                    |                   |      |                      |
| 03/07/2018                                      | ***-**-020I - MIKUS, JERRY     | FIDELITY ADV DIVIDEND GROWTH FD CL | 0.00                 | 1.74                | 0.00               | 1.74              | 0.5  | 0.01                 |
|   | ACCOUNT #: 00065296808         | BUY 0 Units @0.0000                |                      |                     |                    |                   |      |                      |
| 03/07/2018                                      | ***-**-958J - HOULE, MARTIN    | FIDELITY ADV DIVIDEND GROWTH FD CL | 0.00                 | 7.60                | 0.00               | 7.60              | 0.5  | 0.04                 |
|   | ACCOUNT #: 00065345647         | BUY 0 Units @0.0000                |                      |                     |                    |                   |      |                      |
| 03/07/2018                                      | ***-**-7814 - LYNCH, JOHN      | FIDELITY ADV DIVIDEND GROWTH FD CL | 0.00                 | 1.77                | 0.00               | 1.77              | 0.5  | 0.01                 |
|   | ACCOUNT #: 00618825269         | BUY 0 Units @0.0000                |                      |                     |                    |                   |      |                      |
| 03/07/2018                                      | ***-**-2667 - BETTINI, ROBERT  | FIDELITY ADV EQUITY GROWTH CL A    | 0.00                 | 6.01                | 0.00               | 6.01              | 0.5  | 0.03                 |
|   | ACCOUNT #: 00655086841         | BUY 0 Units @0.0000                |                      |                     |                    |                   |      |                      |
| 03/07/2018                                      | ***-**-566T - JURAK, DANIEL    | FIDELITY ADV EQUITY GROWTH CL A    | 0.00                 | 7.62                | 0.00               | 7.62              | 0.5  | 0.04                 |
|   | ACCOUNT #: 00656153608         | BUY 0 Units @0.0000                |                      |                     |                    |                   |      |                      |
| 03/07/2018                                      | ***-**-5980 - BAIS, RAM        | FIDELITY ADV EQUITY GROWTH CL A    | 0.00                 | 4.26                | 0.00               | 4.26              | 0.5  | 0.02                 |
|   | ACCOUNT #: 00689986586         | BUY 0 Units @0.0000                |                      |                     |                    |                   |      |                      |
| 03/07/2018                                      | ***-**-911N - MONT-LABUTTE,    | FIDELITY ADV EQUITY GROWTH CL A    | 0.00                 | 3.14                | 0.00               | 3.14              | 0.5  | 0.02                 |
|   | ACCOUNT #: 00503941965         | BUY 0 Units @0.0000                |                      |                     |                    |                   |      |                      |
| 03/07/2018                                      | ***-**-1140 - HARDER, KATHLEEN | FIDELITY ADV EQUITY GROWTH CL T    | 0.00                 | 30.32               | 0.00               | 30.32             | 0.5  | 0.15                 |
|   | ACCOUNT #: 00006621181         | BUY 0 Units @0.0000                |                      |                     |                    |                   |      |                      |
| 03/07/2018                                      | ***-**-4741 - STEINER, GARY    | FIDELITY ADV EQUITY GROWTH CL T    | 0.00                 | 7.10                | 0.00               | 7.10              | 0.5  | 0.04                 |
|   | ACCOUNT #: 00531302438         | BUY 0 Units @0.0000                |                      |                     |                    |                   |      |                      |
| 03/07/2018                                      | ***-**-2412 - COREY, MARSHALL  | FIDELITY ADV EQUITY INCOME CL A    | 0.00                 | 7.65                | 0.00               | 7.65              | 0.5  | 0.04                 |
|   | ACCOUNT #: 00501474225         | BUY 0 Units @0.0000                |                      |                     |                    |                   |      |                      |
| 03/07/2018                                      | ***-**-2667 - BETTINI, ROBERT  | FIDELITY ADV EQUITY INCOME CL A    | 0.00                 | 6.64                | 0.00               | 6.64              | 0.5  | 0.03                 |
|   | ACCOUNT #: 00655086841         | BUY 0 Units @0.0000                |                      |                     |                    |                   |      |                      |
| 03/07/2018                                      | ***-**-429I - ZIER, RUSSELL    | FIDELITY ADV FREEDOM 2015-CL T     | 0.00                 | 5.19                | 0.00               | 5.19              | 0.5  | 0.03                 |
|   | ACCOUNT #: 01449917788         | BUY 0 Units @0.0000                |                      |                     |                    |                   |      |                      |



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|---|--|---|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b><u> OVERRIDE TRANSACTIONS (continued) </u></b> |  |   |                      |                     |                    |                   |      |                      |
| <b><u>BROKER: ALEX GEORGIEV (continued)</u></b>   |  |   |                      |                     |                    |                   |      |                      |
| 03/07/2018  | ***-**-4741 - STEINER, GARY<br>ACCOUNT #: 00531302438    | FIDELITY ADV GROWTH & INCOME CL T<br>BUY 0 Units @0.0000  | 0.00                 | 6.01                | 0.00               | 6.01              | 0.5  | 0.03                 |
| 03/07/2018  | ***-**-776J - HALE, MICHAEL<br>ACCOUNT #: 00063408405    | FIDELITY ADV GROWTH OPPORT CL A<br>BUY 0 Units @0.0000    | 0.00                 | 5.22                | 0.00               | 5.22              | 0.5  | 0.03                 |
| 03/07/2018  | ***-**-9005 - SCHECHTER,<br>ACCOUNT #: 00006744283       | FIDELITY ADV GROWTH OPPORT CL T<br>BUY 0 Units @0.0000    | 0.00                 | 2.11                | 0.00               | 2.11              | 0.5  | 0.01                 |
| 03/07/2018  | ***-**-115P - SCHECHTER, MAYA<br>ACCOUNT #: 00006744363  | FIDELITY ADV GROWTH OPPORT CL T<br>BUY 0 Units @0.0000    | 0.00                 | 2.11                | 0.00               | 2.11              | 0.5  | 0.01                 |
| 03/07/2018  | ***-**-958J - HOULE, MARTIN<br>ACCOUNT #: 00065345647    | FIDELITY ADV GROWTH OPPORT CL T<br>BUY 0 Units @0.0000    | 0.00                 | 6.35                | 0.00               | 6.35              | 0.5  | 0.03                 |
| 03/07/2018  | ***-**-4219 - WARGEL<br>ACCOUNT #: 00655314359           | FIDELITY ADV GROWTH OPPORT CL T<br>BUY 0 Units @0.0000    | 0.00                 | 1.85                | 0.00               | 1.85              | 0.5  | 0.01                 |
| 03/07/2018  | ***-**-566T - JURAK, DANIEL<br>ACCOUNT #: 00656153608    | FIDELITY ADV HEALTH CARE-CL A<br>BUY 0 Units @0.0000      | 0.00                 | 14.06               | 0.00               | 14.06             | 0.5  | 0.07                 |
| 03/07/2018  | ***-**-564I - PALERMO, RONALD<br>ACCOUNT #: 00655381416  | FIDELITY ADV LEVERAGED CO STOCK CL<br>BUY 0 Units @0.0000 | 0.00                 | 1.28                | 0.00               | 1.28              | 0.5  | 0.01                 |
| 03/07/2018  | ***-**-429I - ZIER, RUSSELL<br>ACCOUNT #: 01449917788    | FIDELITY ADV OVERSEAS CL T<br>BUY 0 Units @0.0000         | 0.00                 | 1.70                | 0.00               | 1.70              | 0.5  | 0.01                 |
| 03/07/2018  | ***-**-429I - ZIER, RUSSELL<br>ACCOUNT #: 01449917788    | FIDELITY ADV SMALL CAP CL T<br>BUY 0 Units @0.0000        | 0.00                 | 2.39                | 0.00               | 2.39              | 0.5  | 0.01                 |
| 03/07/2018  | ***-**-7846 - BIELAS<br>ACCOUNT #: 00498533249           | FIDELITY ADV TECHNOLOGY CL A<br>BUY 0 Units @0.0000       | 0.00                 | 1.65                | 0.00               | 1.65              | 0.5  | 0.01                 |
| 03/07/2018  | ***-**-45IN - MANJULA, FNU<br>ACCOUNT #: 00655901528     | FIDELITY ADV TECHNOLOGY CL A<br>BUY 0 Units @0.0000       | 0.00                 | 4.07                | 0.00               | 4.07              | 0.5  | 0.02                 |
| 03/07/2018  | ***-**-2471 - MUSCA, BRENDA<br>ACCOUNT #: 00689535201    | FIDELITY ADV TECHNOLOGY CL A<br>BUY 0 Units @0.0000       | 0.00                 | 1.98                | 0.00               | 1.98              | 0.5  | 0.01                 |
| 03/07/2018  | ***-**-682I - HALE, MICHAEL<br>ACCOUNT #: 00655724136    | FIDELITY ADV TECHNOLOGY CLASS C<br>BUY 0 Units @0.0000    | 0.00                 | 12.12               | 0.00               | 12.12             | 0.5  | 0.06                 |
| 03/07/2018  | ***-**-564I - PALERMO, RONALD<br>ACCOUNT #: 00655381416  | FIDELITY ADV TECHNOLOGY CLASS C<br>BUY 0 Units @0.0000    | 0.00                 | 1.09                | 0.00               | 1.09              | 0.5  | 0.01                 |
| 03/07/2018  | ***-**-65CL - WOLFOLK, CLIENTS<br>ACCOUNT #: 01473078036 | FIDELITY ADV UTILITIES CL A<br>BUY 0 Units @0.0000        | 0.00                 | 5.86                | 0.00               | 5.86              | 0.5  | 0.03                 |



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| <b><u> OVERRIDE TRANSACTIONS (continued) </u></b> |  |  |                      |                     |                    |                   |      |                      |
| <b><u>BROKER: ALEX GEORGIEV (continued)</u></b>   |  |  |                      |                     |                    |                   |      |                      |
| 03/07/2018  | ***-**-682I - HALE, MICHAEL<br>ACCOUNT #: 00655724136    | FIDELITY ADV UTILITIES CL C<br>BUY 0 Units @0.0000         | 0.00                 | 9.63                | 0.00               | 9.63              | 0.5  | 0.05                 |
| 03/07/2018  | ***-**-91IN - MONT-LABUTTE,<br>ACCOUNT #: 00503941965    | FIDELITY ADV VALUE STRATEGIES-CL A<br>BUY 0 Units @0.0000  | 0.00                 | 3.60                | 0.00               | 3.60              | 0.5  | 0.02                 |
| 03/07/2018  | ***-**-4741 - STEINER, GARY<br>ACCOUNT #: 00531302438    | FIDELITY ADVISOR BALANCED CLASS T<br>BUY 0 Units @0.0000   | 0.00                 | 1.30                | 0.00               | 1.30              | 0.5  | 0.01                 |
| 03/07/2018  | ***-**-7846 - BIELAS<br>ACCOUNT #: 00498533249           | FIDELITY ADVISOR GROWTH AND INCOME<br>BUY 0 Units @0.0000  | 0.00                 | 1.64                | 0.00               | 1.64              | 0.5  | 0.01                 |
| 03/07/2018  | ***-**-429I - ZIER, RUSSELL<br>ACCOUNT #: 01449917788    | FIDELITY ADVISOR HIGH INCOME ADVANT<br>BUY 0 Units @0.0000 | 0.00                 | 1.14                | 0.00               | 1.14              | 0.5  | 0.01                 |
| 03/07/2018  | ***-**-2667 - BETTINI, ROBERT<br>ACCOUNT #: 00655086841  | FIDELITY ADVISOR INTERNAT'L CAPITAL<br>BUY 0 Units @0.0000 | 0.00                 | 4.03                | 0.00               | 4.03              | 0.5  | 0.02                 |
| 03/07/2018  | ***-**-7846 - BIELAS<br>ACCOUNT #: 00498533249           | FIDELITY ADVISOR MID CAP STOCK CL A<br>BUY 0 Units @0.0000 | 0.00                 | 1.04                | 0.00               | 1.04              | 0.5  | 0.01                 |
| 03/07/2018  | ***-**-4413 - COREY, PEGGY<br>ACCOUNT #: 00501474076     | FIDELITY ADVISOR MID CAP STOCK CL A<br>BUY 0 Units @0.0000 | 0.00                 | 5.28                | 0.00               | 5.28              | 0.5  | 0.03                 |
| 03/07/2018  | ***-**-2412 - COREY, MARSHALL<br>ACCOUNT #: 00501474225  | FIDELITY ADVISOR MID CAP STOCK CL A<br>BUY 0 Units @0.0000 | 0.00                 | 2.81                | 0.00               | 2.81              | 0.5  | 0.01                 |
| 03/07/2018  | ***-**-2667 - BETTINI, ROBERT<br>ACCOUNT #: 00655086841  | FIDELITY ADVISOR MID CAP STOCK CL A<br>BUY 0 Units @0.0000 | 0.00                 | 4.85                | 0.00               | 4.85              | 0.5  | 0.02                 |
| 03/07/2018  | ***-**-91IN - MONT-LABUTTE,<br>ACCOUNT #: 00503941965    | FIDELITY ADVISOR MID CAP STOCK CL A<br>BUY 0 Units @0.0000 | 0.00                 | 3.54                | 0.00               | 3.54              | 0.5  | 0.02                 |
| 03/07/2018  | ***-**-4741 - STEINER, GARY<br>ACCOUNT #: 00531302438    | FIDELITY ADVISOR MID CAP STOCK CL T<br>BUY 0 Units @0.0000 | 0.00                 | 2.10                | 0.00               | 2.10              | 0.5  | 0.01                 |
| 03/07/2018  | ***-**-429I - ZIER, RUSSELL<br>ACCOUNT #: 01449917788    | FIDELITY ADVISOR MID CAP STOCK CL T<br>BUY 0 Units @0.0000 | 0.00                 | 2.56                | 0.00               | 2.56              | 0.5  | 0.01                 |
| 03/07/2018  | ***-**-65CL - WOLFOLK, CLIENTS<br>ACCOUNT #: 01473078036 | FIDELITY ADVISOR SMALL-CAP GROWTH F<br>BUY 0 Units @0.0000 | 0.00                 | 1.47                | 0.00               | 1.47              | 0.5  | 0.01                 |
| 03/07/2018  | ***-**-429I - ZIER, RUSSELL<br>ACCOUNT #: 01449917788    | FIDELITY ADVISOR VALUE STRAT CL T<br>BUY 0 Units @0.0000   | 0.00                 | 2.58                | 0.00               | 2.58              | 0.5  | 0.01                 |
| 03/01/2018  | ***-**-5239 - TERRELL, EMILY<br>ACCOUNT #: 00083570795   | FUNDAMENTAL INVESTORS-529A<br>BUY 0 Units @0.0000          | 0.00                 | 13.62               | 0.00               | 13.62             | 0.5  | 0.07                 |



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| <b><u>VERRIDE TRANSACTIONS (continued)</u></b>  |  |   |                      |                     |                    |                   |      |                      |
| <b><u>BROKER: ALEX GEORGIEV (continued)</u></b> |  |   |                      |                     |                    |                   |      |                      |
| 03/01/2018                                      | ***-**-5239 - TERRELL, EMILY<br>ACCOUNT #: 00083571087   | FUNDAMENTAL INVESTORS-529A<br>BUY 0 Units @0.0000 | 0.00                 | 12.25               | 0.00               | 12.25             | 0.5  | 0.06                 |
| 03/01/2018                                      | ***-**-733I - ANDERSEN,<br>ACCOUNT #: 00085128729        | FUNDAMENTAL INVESTORS-529A<br>BUY 0 Units @0.0000 | 0.00                 | 2.55                | 0.00               | 2.55              | 0.5  | 0.01                 |
| 03/01/2018                                      | ***-**-735P - MARKSAMER,<br>ACCOUNT #: 00086018329       | FUNDAMENTAL INVESTORS-529A<br>BUY 0 Units @0.0000 | 0.00                 | 6.82                | 0.00               | 6.82              | 0.5  | 0.03                 |
| 03/01/2018                                      | ***-**-845P - TRAUT, SHEILA<br>ACCOUNT #: 00086023465    | FUNDAMENTAL INVESTORS-529A<br>BUY 0 Units @0.0000 | 0.00                 | 3.52                | 0.00               | 3.52              | 0.5  | 0.02                 |
| 03/01/2018                                      | ***-**-845P - TRAUT, SHEILA<br>ACCOUNT #: 00086023476    | FUNDAMENTAL INVESTORS-529A<br>BUY 0 Units @0.0000 | 0.00                 | 3.52                | 0.00               | 3.52              | 0.5  | 0.02                 |
| 03/01/2018                                      | ***-**-525P - GARDNER, DANIEL<br>ACCOUNT #: 00086081038  | FUNDAMENTAL INVESTORS-529A<br>BUY 0 Units @0.0000 | 0.00                 | 7.34                | 0.00               | 7.34              | 0.5  | 0.04                 |
| 03/01/2018                                      | ***-**-185P - BROZIC, MICHAEL<br>ACCOUNT #: 00086510064  | FUNDAMENTAL INVESTORS-529A<br>BUY 0 Units @0.0000 | 0.00                 | 8.03                | 0.00               | 8.03              | 0.5  | 0.04                 |
| 03/01/2018                                      | ***-**-2802 - MAASS, TY<br>ACCOUNT #: 00086550207        | FUNDAMENTAL INVESTORS-529A<br>BUY 0 Units @0.0000 | 0.00                 | 4.04                | 0.00               | 4.04              | 0.5  | 0.02                 |
| 03/01/2018                                      | ***-**-005P - SIRCY, PATRICK<br>ACCOUNT #: 00081938666   | FUNDAMENTAL INVESTORS-529A<br>BUY 0 Units @0.0000 | 0.00                 | 6.04                | 0.00               | 6.04              | 0.5  | 0.03                 |
| 03/01/2018                                      | ***-**-415P - TARANTINO, SCOTT<br>ACCOUNT #: 00087447990 | FUNDAMENTAL INVESTORS-A<br>BUY 2 Units @62.5200   | 150.00               | 1.50                | 0.00               | 1.50              | 0.5  | 0.01                 |
| 03/01/2018                                      | ***-**-17IN - OPPER, ARLENE<br>ACCOUNT #: 00057350830    | FUNDAMENTAL INVESTORS-A<br>BUY 0 Units @0.0000    | 0.00                 | 13.37               | 0.00               | 13.37             | 0.5  | 0.07                 |
| 03/01/2018                                      | ***-**-584I - KULISICH, JOHN<br>ACCOUNT #: 00060114682   | FUNDAMENTAL INVESTORS-A<br>BUY 0 Units @0.0000    | 0.00                 | 63.09               | 0.00               | 63.09             | 0.5  | 0.32                 |
| 03/01/2018                                      | ***-**-45IN - INTIHAR, CHRIS<br>ACCOUNT #: 00060636309   | FUNDAMENTAL INVESTORS-A<br>BUY 0 Units @0.0000    | 0.00                 | 21.91               | 0.00               | 21.91             | 0.5  | 0.11                 |
| 03/01/2018                                      | ***-**-843P - FERRENTINO,<br>ACCOUNT #: 00061255404      | FUNDAMENTAL INVESTORS-A<br>BUY 0 Units @0.0000    | 0.00                 | 1.86                | 0.00               | 1.86              | 0.5  | 0.01                 |
| 03/01/2018                                      | ***-**-12UT - BASTEN, ASHLEY<br>ACCOUNT #: 00061604201   | FUNDAMENTAL INVESTORS-A<br>BUY 0 Units @0.0000    | 0.00                 | 3.09                | 0.00               | 3.09              | 0.5  | 0.02                 |
| 03/01/2018                                      | ***-**-675P - LEONARD, CRAIG<br>ACCOUNT #: 00061651661   | FUNDAMENTAL INVESTORS-A<br>BUY 0 Units @0.0000    | 0.00                 | 67.02               | 0.00               | 67.02             | 0.5  | 0.34                 |



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|---|--------------------------------|-------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b><u> OVERRIDE TRANSACTIONS (continued) </u></b> |                                |                         |                      |                     |                    |                   |      |                      |
| <b><u>BROKER: ALEX GEORGIEV (continued)</u></b>   |                                |                         |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-230P - KEESE, MINDI     | FUNDAMENTAL INVESTORS-A | 0.00                 | 14.68               | 0.00               | 14.68             | 0.5  | 0.07                 |
|   | ACCOUNT #: 00061765270         | BUY 0 Units @0.0000     |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-41IN - EISENMANN,       | FUNDAMENTAL INVESTORS-A | 0.00                 | 38.94               | 0.00               | 38.94             | 0.5  | 0.19                 |
|   | ACCOUNT #: 00062073038         | BUY 0 Units @0.0000     |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-144I - EISENMANN,       | FUNDAMENTAL INVESTORS-A | 0.00                 | 38.15               | 0.00               | 38.15             | 0.5  | 0.19                 |
|   | ACCOUNT #: 00062138472         | BUY 0 Units @0.0000     |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-785P - FRENCH 25%,      | FUNDAMENTAL INVESTORS-A | 0.00                 | 151.82              | 0.00               | 151.82            | 0.5  | 0.76                 |
|   | ACCOUNT #: 00062453419         | BUY 0 Units @0.0000     |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-078I - LEWYN, GLORIA    | FUNDAMENTAL INVESTORS-A | 0.00                 | 150.94              | 0.00               | 150.94            | 0.5  | 0.75                 |
|   | ACCOUNT #: 00062512615         | BUY 0 Units @0.0000     |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-155P - SCHRANK, ELAINE  | FUNDAMENTAL INVESTORS-A | 0.00                 | 19.39               | 0.00               | 19.39             | 0.5  | 0.10                 |
|   | ACCOUNT #: 00063151997         | BUY 0 Units @0.0000     |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-061I - MAGGIO,          | FUNDAMENTAL INVESTORS-A | 0.00                 | 1.16                | 0.00               | 1.16              | 0.5  | 0.01                 |
|   | ACCOUNT #: 00063184205         | BUY 0 Units @0.0000     |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-995P - WESORICK, KURT   | FUNDAMENTAL INVESTORS-A | 0.00                 | 57.25               | 0.00               | 57.25             | 0.5  | 0.29                 |
|   | ACCOUNT #: 00063224334         | BUY 0 Units @0.0000     |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-575P - ANDERSON, SUSAN  | FUNDAMENTAL INVESTORS-A | 0.00                 | 5.23                | 0.00               | 5.23              | 0.5  | 0.03                 |
|   | ACCOUNT #: 00063941162         | BUY 0 Units @0.0000     |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-095P - ZAPPI, DENISE    | FUNDAMENTAL INVESTORS-A | 0.00                 | 1.06                | 0.00               | 1.06              | 0.5  | 0.01                 |
|   | ACCOUNT #: 00064285100         | BUY 0 Units @0.0000     |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-825P - PRATURLON, GARY  | FUNDAMENTAL INVESTORS-A | 0.00                 | 2.08                | 0.00               | 2.08              | 0.5  | 0.01                 |
|   | ACCOUNT #: 00064415639         | BUY 0 Units @0.0000     |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-98RI - BENNET,          | FUNDAMENTAL INVESTORS-A | 0.00                 | 21.35               | 0.00               | 21.35             | 0.5  | 0.11                 |
|   | ACCOUNT #: 00064633625         | BUY 0 Units @0.0000     |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-235P - ANDERSON,        | FUNDAMENTAL INVESTORS-A | 0.00                 | 5.68                | 0.00               | 5.68              | 0.5  | 0.03                 |
|   | ACCOUNT #: 00064812306         | BUY 0 Units @0.0000     |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-485P - ANDERSON, PAUL   | FUNDAMENTAL INVESTORS-A | 0.00                 | 5.68                | 0.00               | 5.68              | 0.5  | 0.03                 |
|   | ACCOUNT #: 00064812307         | BUY 0 Units @0.0000     |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-67IN - CALDWELL,        | FUNDAMENTAL INVESTORS-A | 0.00                 | 1.89                | 0.00               | 1.89              | 0.5  | 0.01                 |
|   | ACCOUNT #: 00064898692         | BUY 0 Units @0.0000     |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-935P - CALDWELL, CONNIE | FUNDAMENTAL INVESTORS-A | 0.00                 | 1.95                | 0.00               | 1.95              | 0.5  | 0.01                 |
|   | ACCOUNT #: 00064952289         | BUY 0 Units @0.0000     |                      |                     |                    |                   |      |                      |



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| <b><u>VERRIDE TRANSACTIONS (continued)</u></b>  |  |  |                      |                     |                    |                   |      |                      |
| <b><u>BROKER: ALEX GEORGIEV (continued)</u></b> |  |  |                      |                     |                    |                   |      |                      |
| 03/01/2018                                      | ***-**-978I - ENRIGHT,<br>ACCOUNT #: 00066747757         | FUNDAMENTAL INVESTORS-A<br>BUY 0 Units @0.0000 | 0.00                 | 4.02                | 0.00               | 4.02              | 0.5  | 0.02                 |
| 03/01/2018                                      | ***-**-465P - HOLT, DAVID<br>ACCOUNT #: 00066795968      | FUNDAMENTAL INVESTORS-A<br>BUY 0 Units @0.0000 | 0.00                 | 58.89               | 0.00               | 58.89             | 0.5  | 0.29                 |
| 03/01/2018                                      | ***-**-375P - KAVI, KRISHNA<br>ACCOUNT #: 00066909129    | FUNDAMENTAL INVESTORS-A<br>BUY 0 Units @0.0000 | 0.00                 | 6.91                | 0.00               | 6.91              | 0.5  | 0.03                 |
| 03/01/2018                                      | ***-**-375P - KAVI, KRISHNA<br>ACCOUNT #: 00066909137    | FUNDAMENTAL INVESTORS-A<br>BUY 0 Units @0.0000 | 0.00                 | 37.79               | 0.00               | 37.79             | 0.5  | 0.19                 |
| 03/01/2018                                      | ***-**-737I - NEWGAARD, JERI<br>ACCOUNT #: 00073125186   | FUNDAMENTAL INVESTORS-A<br>BUY 0 Units @0.0000 | 0.00                 | 12.70               | 0.00               | 12.70             | 0.5  | 0.06                 |
| 03/01/2018                                      | ***-**-0185 - BRINKLEY, JANE<br>ACCOUNT #: 00075722405   | FUNDAMENTAL INVESTORS-A<br>BUY 0 Units @0.0000 | 0.00                 | 6.83                | 0.00               | 6.83              | 0.5  | 0.03                 |
| 03/01/2018                                      | ***-**-685P - TAYLOR, AMANDA<br>ACCOUNT #: 00082469804   | FUNDAMENTAL INVESTORS-A<br>BUY 0 Units @0.0000 | 0.00                 | 15.88               | 0.00               | 15.88             | 0.5  | 0.08                 |
| 03/01/2018                                      | ***-**-186I - JACOBSON, MARINA<br>ACCOUNT #: 00083731526 | FUNDAMENTAL INVESTORS-A<br>BUY 0 Units @0.0000 | 0.00                 | 25.95               | 0.00               | 25.95             | 0.5  | 0.13                 |
| 03/01/2018                                      | ***-**-618I - HULLS, JENNIFER<br>ACCOUNT #: 00083732568  | FUNDAMENTAL INVESTORS-A<br>BUY 0 Units @0.0000 | 0.00                 | 10.11               | 0.00               | 10.11             | 0.5  | 0.05                 |
| 03/01/2018                                      | ***-**-173I - MATUSIEWICZ,<br>ACCOUNT #: 00083738493     | FUNDAMENTAL INVESTORS-A<br>BUY 0 Units @0.0000 | 0.00                 | 1.96                | 0.00               | 1.96              | 0.5  | 0.01                 |
| 03/01/2018                                      | ***-**-537I - DIVALERIO, KATHY<br>ACCOUNT #: 00083765927 | FUNDAMENTAL INVESTORS-A<br>BUY 0 Units @0.0000 | 0.00                 | 19.13               | 0.00               | 19.13             | 0.5  | 0.10                 |
| 03/01/2018                                      | ***-**-95IN - MILLER, TRAVIS<br>ACCOUNT #: 00084396354   | FUNDAMENTAL INVESTORS-A<br>BUY 0 Units @0.0000 | 0.00                 | 2.23                | 0.00               | 2.23              | 0.5  | 0.01                 |
| 03/01/2018                                      | ***-**-98SI - LAMSON, MARY<br>ACCOUNT #: 00084483081     | FUNDAMENTAL INVESTORS-A<br>BUY 0 Units @0.0000 | 0.00                 | 38.75               | 0.00               | 38.75             | 0.5  | 0.19                 |
| 03/01/2018                                      | ***-**-953I - KOSTER, JENNIFER<br>ACCOUNT #: 00085349001 | FUNDAMENTAL INVESTORS-A<br>BUY 0 Units @0.0000 | 0.00                 | 10.87               | 0.00               | 10.87             | 0.5  | 0.05                 |
| 03/01/2018                                      | ***-**-95IN - LARSON, JOEL<br>ACCOUNT #: 00086113566     | FUNDAMENTAL INVESTORS-A<br>BUY 0 Units @0.0000 | 0.00                 | 5.62                | 0.00               | 5.62              | 0.5  | 0.03                 |
| 03/01/2018                                      | ***-**-675P - MORRISON, MARK<br>ACCOUNT #: 00067573193   | FUNDAMENTAL INVESTORS-A<br>BUY 0 Units @0.0000 | 0.00                 | 1.88                | 0.00               | 1.88              | 0.5  | 0.01                 |



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| <b> OVERRIDE TRANSACTIONS (continued)</b>        |                                |                         |                      |                     |                    |                   |      |                      |
| <b> <u>BROKER: ALEX GEORGIEV (continued)</u></b> |                                |                         |                      |                     |                    |                   |      |                      |
| 03/01/2018                                       | ***-**-29IN - LITMAN, WENDY    | FUNDAMENTAL INVESTORS-A | 0.00                 | 5.11                | 0.00               | 5.11              | 0.5  | 0.03                 |
|  | ACCOUNT #: 00068524068         | BUY 0 Units @0.0000     |                      |                     |                    |                   |      |                      |
| 03/01/2018                                       | ***-**-065P - DJENADIC, GORAN  | FUNDAMENTAL INVESTORS-A | 0.00                 | 7.41                | 0.00               | 7.41              | 0.5  | 0.04                 |
|  | ACCOUNT #: 00069014458         | BUY 0 Units @0.0000     |                      |                     |                    |                   |      |                      |
| 03/01/2018                                       | ***-**-01IN - SEVERE, EMILY    | FUNDAMENTAL INVESTORS-A | 0.00                 | 7.10                | 0.00               | 7.10              | 0.5  | 0.04                 |
|  | ACCOUNT #: 00075266202         | BUY 0 Units @0.0000     |                      |                     |                    |                   |      |                      |
| 03/01/2018                                       | ***-**-415P - TARANTINO, SCOTT | FUNDAMENTAL INVESTORS-A | 0.00                 | 21.51               | 0.00               | 21.51             | 0.5  | 0.11                 |
|  | ACCOUNT #: 00087447990         | BUY 0 Units @0.0000     |                      |                     |                    |                   |      |                      |
| 02/12/2018                                       | ***-**-7434 - MISTRY, SUZY     | GENWORTH 37250G301      | 0.00                 | 6.94                | 0.00               | 6.94              | 0.5  | 0.03                 |
|  | ACCOUNT #: T02751688           | BUY 0 Units @0.0000     |                      |                     |                    |                   |      |                      |
| 02/12/2018                                       | ***-**-7433 - MISTRY,          | GENWORTH 37250G301      | 0.00                 | 6.46                | 0.00               | 6.46              | 0.5  | 0.03                 |
|  | ACCOUNT #: T02751687           | BUY 0 Units @0.0000     |                      |                     |                    |                   |      |                      |
| 02/13/2018                                       | ***-**-99IN - CASSIDY, GERALD  | GENWORTH 37250G301      | 0.00                 | 12.51               | 0.00               | 12.51             | 0.5  | 0.06                 |
|  | ACCOUNT #: T02759899           | BUY 0 Units @0.0000     |                      |                     |                    |                   |      |                      |
| 02/13/2018                                       | ***-**-6891 - JANDALI, AMER    | GENWORTH 37250G301      | 0.00                 | 118.27              | 0.00               | 118.27            | 0.5  | 0.59                 |
|  | ACCOUNT #: T02770188           | BUY 0 Units @0.0000     |                      |                     |                    |                   |      |                      |
| 02/13/2018                                       | ***-**-03CL - GEORGIEV,        | GENWORTH 37250G301      | 0.00                 | 3.74                | 0.00               | 3.74              | 0.5  | 0.02                 |
|  | ACCOUNT #: T02748105           | BUY 0 Units @0.0000     |                      |                     |                    |                   |      |                      |
| 02/13/2018                                       | ***-**-03CL - GEORGIEV,        | GENWORTH 37250G301      | 0.00                 | 5.63                | 0.00               | 5.63              | 0.5  | 0.03                 |
|  | ACCOUNT #: T02748106           | BUY 0 Units @0.0000     |                      |                     |                    |                   |      |                      |
| 02/14/2018                                       | ***-**-875I - CHLEBOWSKI,      | GENWORTH 37250G301      | 0.00                 | 3.49                | 0.00               | 3.49              | 0.5  | 0.02                 |
|  | ACCOUNT #: T02765513           | BUY 0 Units @0.0000     |                      |                     |                    |                   |      |                      |
| 02/14/2018                                       | ***-**-875I - CHLEBOWSKI,      | GENWORTH 37250G301      | 0.00                 | 5.47                | 0.00               | 5.47              | 0.5  | 0.03                 |
|  | ACCOUNT #: T02765514           | BUY 0 Units @0.0000     |                      |                     |                    |                   |      |                      |
| 02/15/2018                                       | ***-**-03CL - GEORGIEV,        | GENWORTH 37250G301      | 0.00                 | 2.62                | 0.00               | 2.62              | 0.5  | 0.01                 |
|  | ACCOUNT #: T02737056           | BUY 0 Units @0.0000     |                      |                     |                    |                   |      |                      |
| 02/20/2018                                       | ***-**-1519 - WAHBAH, AMAL     | GENWORTH 37250G301      | 0.00                 | 3.72                | 0.00               | 3.72              | 0.5  | 0.02                 |
|  | ACCOUNT #: T02762314           | BUY 0 Units @0.0000     |                      |                     |                    |                   |      |                      |
| 02/21/2018                                       | ***-**-5926 - BROWNE, GAY      | GENWORTH 37250G301      | 0.00                 | 32.38               | 0.00               | 32.38             | 0.5  | 0.16                 |
|  | ACCOUNT #: T02762863           | BUY 0 Units @0.0000     |                      |                     |                    |                   |      |                      |
| 02/21/2018                                       | ***-**-8359 - SOLIMAN, NERMINE | GENWORTH 37250G301      | 0.00                 | 2.21                | 0.00               | 2.21              | 0.5  | 0.01                 |
|  | ACCOUNT #: T02776351           | BUY 0 Units @0.0000     |                      |                     |                    |                   |      |                      |



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| <b><u> OVERRIDE TRANSACTIONS (continued) </u></b> |  |  |                      |                     |                    |                   |      |                      |
| <b><u>BROKER: ALEX GEORGIEV (continued)</u></b>   |  |  |                      |                     |                    |                   |      |                      |
| 02/26/2018  | ***-**-8198 - GOLDSTICKER,<br>ACCOUNT #: T02764847       | GENWORTH 37250G301<br>BUY 0 Units @0.0000                  | 0.00                 | 3.42                | 0.00               | 3.42              | 0.5  | 0.02                 |
| 02/28/2018  | ***-**-9137 - NICOLAS, EDWARD<br>ACCOUNT #: T02757909    | GENWORTH 37250G301<br>BUY 0 Units @0.0000                  | 0.00                 | 2.39                | 0.00               | 2.39              | 0.5  | 0.01                 |
| 03/01/2018  | ***-**-03CL - GEORGIEV,<br>ACCOUNT #: T02761495          | GENWORTH 37250G301<br>BUY 0 Units @0.0000                  | 0.00                 | 22.86               | 0.00               | 22.86             | 0.5  | 0.11                 |
| 03/02/2018  | ***-**-9308 - RASCOE, THOMAS<br>ACCOUNT #: T02759125     | GENWORTH 37250G301<br>BUY 0 Units @0.0000                  | 0.00                 | 9.55                | 0.00               | 9.55              | 0.5  | 0.05                 |
| 03/06/2018  | ***-**-18IN - GREANEY, STEPHEN<br>ACCOUNT #: T02740155   | GENWORTH 37250G301<br>BUY 0 Units @0.0000                  | 0.00                 | 2.10                | 0.00               | 2.10              | 0.5  | 0.01                 |
| 03/09/2018  | ***-**-7433 - MISTRY,<br>ACCOUNT #: T02751687            | GENWORTH 37250G301<br>BUY 0 Units @0.0000                  | 304.00               | 3.04                | 0.00               | 3.04              | 0.5  | 0.02                 |
| 03/09/2018  | ***-**-7434 - MISTRY, SUZY<br>ACCOUNT #: T02751688       | GENWORTH 37250G301<br>BUY 0 Units @0.0000                  | 260.00               | 2.60                | 0.00               | 2.60              | 0.5  | 0.01                 |
| 02/27/2018  | ***-**-7799 - SAVICKAS, LORI<br>ACCOUNT #: T02762584     | GENWORTH 37250G475<br>BUY 0 Units @0.0000                  | 0.00                 | 19.51               | 0.00               | 19.51             | 0.5  | 0.10                 |
| 03/01/2018  | ***-**-36IN - PETERSEN, BRENDA<br>ACCOUNT #: 00084738624 | GLOBAL GROWTH PORTFOLIO-A<br>BUY 0 Units @0.0000           | 0.00                 | 46.27               | 0.00               | 46.27             | 0.5  | 0.23                 |
| 03/01/2018  | ***-**-887I - IM, RICHARD<br>ACCOUNT #: 00086890530      | GLOBAL GROWTH PORTFOLIO-A<br>BUY 0 Units @0.0000           | 0.00                 | 64.80               | 0.00               | 64.80             | 0.5  | 0.32                 |
| 03/01/2018  | ***-**-915P - FRIEDMAN, KEITH<br>ACCOUNT #: 00087230952  | GLOBAL GROWTH PORTFOLIO-A<br>BUY 0 Units @0.0000           | 0.00                 | 130.43              | 0.00               | 130.43            | 0.5  | 0.65                 |
| 03/01/2018  | ***-**-635P - SCOTT, JAMES<br>ACCOUNT #: 00068920074     | GROWTH FUND OF AMERICA CLASS F<br>BUY 0 Units @0.0000      | 0.00                 | 31.88               | 0.00               | 31.88             | 0.5  | 0.16                 |
| 03/01/2018  | ***-**-09IR - BECKER, STEPHEN<br>ACCOUNT #: 00067495593  | GROWTH FUND OF AMERICA CLASS F<br>BUY 0 Units @0.0000      | 0.00                 | 11.52               | 0.00               | 11.52             | 0.5  | 0.06                 |
| 03/01/2018  | ***-**-655P - SINNO, RIMA<br>ACCOUNT #: 00068297390      | GROWTH FUND OF AMERICA CLASS F<br>BUY 0 Units @0.0000      | 0.00                 | 43.03               | 0.00               | 43.03             | 0.5  | 0.22                 |
| 03/01/2018  | ***-**-375P - SINNO, FADY<br>ACCOUNT #: 00068297392      | GROWTH FUND OF AMERICA CLASS F<br>BUY 0 Units @0.0000      | 0.00                 | 78.94               | 0.00               | 78.94             | 0.5  | 0.39                 |
| 03/12/2018  | ***-**-8658 - SOLOFF, MIRIAM<br>ACCOUNT #: LSR105201     | GUGGENHEIM STYLPLUS MIDCAP GRWTH ST<br>BUY 1 Units @0.0000 | 0.00                 | 2.49                | 0.00               | 2.49              | 0.5  | 0.01                 |





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| <b><u> OVERRIDE TRANSACTIONS (continued) </u></b> |                                |                                     |                      |                     |                    |                   |      |                      |
| <b><u>BROKER: ALEX GEORGIEV (continued)</u></b>   |                                |                                     |                      |                     |                    |                   |      |                      |
| 03/05/2018  | ***-**-251R - BEAUBOUF, TAMMY  | HCM DIVIDEND SECTOR PLUS FND CL A-N | 300.00               | 15.00               | 0.00               | 15.00             | 0.5  | 0.08                 |
|   | ACCOUNT #: LSR012348           | BUY 21 Units @14.0200               |                      |                     |                    |                   |      |                      |
| 03/12/2018  | ***-**-73IN - ABADEER, SALWA   | ING SLD ASSET PRTFL M               | 100.00               | 2.07                | 0.00               | 2.07              | 0.5  | 0.01                 |
|   | ACCOUNT #: 610077077           | BUY 1 Units @100.0000               |                      |                     |                    |                   |      |                      |
| 03/12/2018  | ***-**-468J - FELIX, INAS      | ING SLD LD ASSET ACCUM              | 68.00                | 1.69                | 0.00               | 1.69              | 0.5  | 0.01                 |
|   | ACCOUNT #: 610077830           | BUY 1 Units @68.0000                |                      |                     |                    |                   |      |                      |
| 03/12/2018  | ***-**-6468 - FELIX, SHERIF    | ING SLD LD ASSET ACCUM              | 800.00               | 24.24               | 0.00               | 24.24             | 0.5  | 0.12                 |
|   | ACCOUNT #: 610076614           | BUY 1 Units @800.0000               |                      |                     |                    |                   |      |                      |
| 03/12/2018  | ***-**-49IN - SOLIMAN, WILLIAM | ING SLD LD ASSET ACCUM              | 400.00               | 12.06               | 0.00               | 12.06             | 0.5  | 0.06                 |
|   | ACCOUNT #: 610078241           | BUY 1 Units @400.0000               |                      |                     |                    |                   |      |                      |
| 03/07/2018  | ***-**-285P - NOSCHESSE, LOUIS | ING VA 008148108                    | 0.00                 | 33.53               | 0.00               | 33.53             | 0.5  | 0.17                 |
|   | ACCOUNT #: C035430-MN          | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/05/2018  | ***-**-41IN - SCHWEITZER,      | ING VA 380789701                    | 0.00                 | 6.14                | 0.00               | 6.14              | 0.5  | 0.03                 |
|   | ACCOUNT #: C264458-OW          | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-16IN - MIDDLETON, BETTY | INTERMEDIATE BOND FUND OF AMERICA-A | 0.00                 | 18.20               | 0.00               | 18.20             | 0.5  | 0.09                 |
|   | ACCOUNT #: 00060743431         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-229I - NOWAKOWSKI,      | INTERMEDIATE BOND FUND OF AMERICA-A | 0.00                 | 14.04               | 0.00               | 14.04             | 0.5  | 0.07                 |
|   | ACCOUNT #: 00061749920         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-525P - ARCHAMBAULT,     | INTERMEDIATE BOND FUND OF AMERICA-A | 0.00                 | 6.53                | 0.00               | 6.53              | 0.5  | 0.03                 |
|   | ACCOUNT #: 00062052940         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-7060 - GARLAND, BARBARA | INTERMEDIATE BOND FUND OF AMERICA-A | 0.00                 | 43.41               | 0.00               | 43.41             | 0.5  | 0.22                 |
|   | ACCOUNT #: 00063496789         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-465P - HOLT, DAVID      | INTERMEDIATE BOND FUND OF AMERICA-A | 0.00                 | 18.54               | 0.00               | 18.54             | 0.5  | 0.09                 |
|   | ACCOUNT #: 00066795968         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-554P - SHULL, HAZEL     | INTERMEDIATE BOND FUND OF AMERICA-A | 0.00                 | 10.26               | 0.00               | 10.26             | 0.5  | 0.05                 |
|   | ACCOUNT #: 00068030482         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-265P - CLIFFORD, JAMES  | INTERMEDIATE BOND FUND OF AMERICA-A | 0.00                 | 10.98               | 0.00               | 10.98             | 0.5  | 0.05                 |
|   | ACCOUNT #: 00073275609         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-953I - KOSTER, JENNIFER | INTERMEDIATE BOND FUND OF AMERICA-A | 0.00                 | 1.33                | 0.00               | 1.33              | 0.5  | 0.01                 |
|   | ACCOUNT #: 00085349001         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-994B - EARLES, PHYLLIS  | INTERMEDIATE BOND FUND OF AMERICA-A | 0.00                 | 1.00                | 0.00               | 1.00              | 0.5  | 0.01                 |
|   | ACCOUNT #: 02001074291         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |



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|---|--|---|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b><u> OVERRIDE TRANSACTIONS (continued) </u></b> |  |   |                      |                     |                    |                   |      |                      |
| <b><u>BROKER: ALEX GEORGIEV (continued)</u></b>   |  |   |                      |                     |                    |                   |      |                      |
| 02/28/2018  | ***-**-785P - TRAUT, ASHLEY<br>ACCOUNT #: 00086549630    | INTERNATIONAL GROWTH AND INCOME-529<br>BUY 3 Units @36.7200 | 100.00               | 2.75                | 0.00               | 2.75              | 0.5  | 0.01                 |
| 03/01/2018  | ***-**-785P - TRAUT, ASHLEY<br>ACCOUNT #: 00086549630    | INTERNATIONAL GROWTH AND INCOME-529<br>BUY 0 Units @0.0000  | 0.00                 | 4.99                | 0.00               | 4.99              | 0.5  | 0.02                 |
| 02/28/2018  | ***-**-72IN - THUMULURU,<br>ACCOUNT #: 00074749751       | INTERNATIONAL GROWTH AND INCOME-A<br>BUY 5 Units @36.7700   | 200.00               | 5.50                | 0.00               | 5.50              | 0.5  | 0.03                 |
| 03/01/2018  | ***-**-064J - HALL, AMY<br>ACCOUNT #: 00083146232        | INTERNATIONAL GROWTH AND INCOME-A<br>BUY 7 Units @35.7900   | 250.00               | 3.00                | 0.00               | 3.00              | 0.5  | 0.02                 |
| 03/01/2018  | ***-**-953I - KOSTER, JENNIFER<br>ACCOUNT #: 00085349001 | INTERNATIONAL GROWTH AND INCOME-A<br>BUY 0 Units @0.0000    | 0.00                 | 4.82                | 0.00               | 4.82              | 0.5  | 0.02                 |
| 03/01/2018  | ***-**-601I - FALCK, ROBERT<br>ACCOUNT #: 00068513111    | INTERNATIONAL GROWTH AND INCOME-A<br>BUY 0 Units @0.0000    | 0.00                 | 14.93               | 0.00               | 14.93             | 0.5  | 0.07                 |
| 03/01/2018  | ***-**-72IN - THUMULURU,<br>ACCOUNT #: 00074749751       | INTERNATIONAL GROWTH AND INCOME-A<br>BUY 0 Units @0.0000    | 0.00                 | 9.82                | 0.00               | 9.82              | 0.5  | 0.05                 |
| 03/01/2018  | ***-**-95IN - STARTZEL,<br>ACCOUNT #: 00081317740        | INTERNATIONAL GROWTH AND INCOME-A<br>BUY 0 Units @0.0000    | 0.00                 | 2.18                | 0.00               | 2.18              | 0.5  | 0.01                 |
| 03/01/2018  | ***-**-064J - HALL, AMY<br>ACCOUNT #: 00083146232        | INTERNATIONAL GROWTH AND INCOME-A<br>BUY 0 Units @0.0000    | 0.00                 | 27.42               | 0.00               | 27.42             | 0.5  | 0.14                 |
| 03/01/2018  | ***-**-452J - GARDNER, DANIEL<br>ACCOUNT #: 00084433333  | INTERNATIONAL GROWTH AND INCOME-A<br>BUY 0 Units @0.0000    | 0.00                 | 7.61                | 0.00               | 7.61              | 0.5  | 0.04                 |
| 03/12/2018  | ***-**-458I - KLAG, SCOTT<br>ACCOUNT #: LSR010282        | INVESCO AMERICAN FRANCHISE FUND -CL<br>BUY 1 Units @0.0000  | 0.00                 | 1.34                | 0.00               | 1.34              | 0.5  | 0.01                 |
| 03/12/2018  | ***-**-22SI - PROUL, JEFFRY<br>ACCOUNT #: LSR000175      | INVESCO AMERICAN FRANCHISE FUND -CL<br>BUY 1 Units @0.0000  | 0.00                 | 1.67                | 0.00               | 1.67              | 0.5  | 0.01                 |
| 03/12/2018  | ***-**-60TR - BLANCHARD TRUST,<br>ACCOUNT #: LSR010327   | INVESCO VAN KAMPEN EQUITY AND INCOM<br>BUY 1 Units @0.0000  | 0.00                 | 3.87                | 0.00               | 3.87              | 0.5  | 0.02                 |
| 03/12/2018  | ***-**-07SI - BODDIE, FBO<br>ACCOUNT #: LSR007161        | IVK GROWTH AND INCOME FUND - CLASS<br>BUY 1 Units @0.0000   | 0.00                 | 3.43                | 0.00               | 3.43              | 0.5  | 0.02                 |
| 03/12/2018  | ***-**-60TR - BLANCHARD TRUST,<br>ACCOUNT #: LSR010327   | IVK GROWTH AND INCOME FUND - CLASS<br>BUY 1 Units @0.0000   | 0.00                 | 6.22                | 0.00               | 6.22              | 0.5  | 0.03                 |
| 03/06/2018  | ***-**-5257 - LAW, ARDEN<br>ACCOUNT #: F1519759          | LINCOLN 008148728<br>BUY 0 Units @0.0000                    | 688.50               | 13.77               | 0.00               | 13.77             | 0.5  | 0.07                 |



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| <b><u> OVERRIDE TRANSACTIONS (continued) </u></b> |   |  |                      |                     |                    |                   |      |                      |
| <b><u>BROKER: ALEX GEORGIEV (continued)</u></b>   |   |  |                      |                     |                    |                   |      |                      |
| 03/08/2018  | ***-**-65CL - LIFEMARK,<br>ACCOUNT #: F1519921        | LINCOLN 008148728<br>BUY 0 Units @0.0000                 | 82.50                | 1.65                | 0.00               | 1.65              | 0.5  | 0.01                 |
| 03/08/2018  | ***-**-65CL - LIFEMARK,<br>ACCOUNT #: F1526738        | LINCOLN 008148728<br>BUY 0 Units @0.0000                 | 65.00                | 1.30                | 0.00               | 1.30              | 0.5  | 0.01                 |
| 03/06/2018  | ***-**-1218 - BURFORD, BLAIR<br>ACCOUNT #: 4826122    | LINCOLN 534222492<br>BUY 0 Units @0.0000                 | 0.00                 | 24.69               | 0.00               | 24.69             | 0.5  | 0.12                 |
| 03/05/2018  | ***-**-650I - CHMIELEWSKI,<br>ACCOUNT #: ARN5466944EE | MASS MUTUAL DTCC ARTISTRY<br>BUY 0 Units @0.0000         | 150.00               | 8.25                | 0.00               | 8.25              | 0.5  | 0.04                 |
| 03/05/2018  | ***-**-451I - MCLAUGHLIN,<br>ACCOUNT #: ARN5466953EE  | MASS MUTUAL DTCC ARTISTRY<br>BUY 0 Units @0.0000         | 500.00               | 27.50               | 0.00               | 27.50             | 0.5  | 0.14                 |
| 03/12/2018  | ***-**-8166 - CASEY CR INC.<br>ACCOUNT #: MM8037      | MASS MUTUAL VA<br>BUY 1 Units @8423.2200                 | 8,423.22             | 252.70              | 0.00               | 252.70            | 0.5  | 1.26                 |
| 03/12/2018  | ***-**-03CL - GEORGIEV,                               | MASS MUTUAL VA TRAILS<br>BUY 1 Units @0.0000             | 0.00                 | 70.63               | 0.00               | 70.63             | 0.5  | 0.35                 |
| 03/12/2018  | ***-**-3125 - ROSENGARTEN,<br>ACCOUNT #: LSR105147    | MFS EMERGING GROWTH FUND CLASS A<br>BUY 1 Units @0.0000  | 0.00                 | 1.37                | 0.00               | 1.37              | 0.5  | 0.01                 |
| 03/12/2018  | ***-**-8658 - SOLOFF, MIRIAM<br>ACCOUNT #: LSR105201  | MFS EMERGING GROWTH FUND CLASS A<br>BUY 1 Units @0.0000  | 0.00                 | 1.91                | 0.00               | 1.91              | 0.5  | 0.01                 |
| 03/06/2018  | ***-**-1381 - KAIDY, MARK<br>ACCOUNT #: N100194420    | NATIONWIDE BOA LIFE PLAN SERIES<br>BUY 1 Units @157.0000 | 157.00               | 1.57                | 0.00               | 1.57              | 0.5  | 0.01                 |
| 03/05/2018  | ***-**-5061 - ONG, CATHERINE<br>ACCOUNT #: 015275896  | NATIONWIDE CUSIP 638660589-NFS<br>BUY 0 Units @0.0000    | 165.00               | 8.66                | 0.00               | 8.66              | 0.5  | 0.04                 |
| 03/06/2018  | ***-**-3735 - MCLANE, DUNKIN<br>ACCOUNT #: N101206670 | NATIONWIDE NEXT GENERATION II<br>BUY 1 Units @50.0000    | 50.00                | 1.00                | 0.00               | 1.00              | 0.5  | 0.01                 |
| 03/06/2018  | ***-**-3362 - MCLANE, EDWINA<br>ACCOUNT #: N101206680 | NATIONWIDE NEXT GENERATION II<br>BUY 1 Units @50.0000    | 50.00                | 1.00                | 0.00               | 1.00              | 0.5  | 0.01                 |
| 03/06/2018  | ***-**-5858 - ROME, MICHAEL<br>ACCOUNT #: N100689740  | NATIONWIDE NEXT GENERATION II<br>BUY 1 Units @50.0000    | 50.00                | 1.00                | 0.00               | 1.00              | 0.5  | 0.01                 |
| 03/01/2018  | ***-**-425P - RADINSKY,<br>ACCOUNT #: 00006895131     | NEW PERSPECTIVE FUND-529A<br>BUY 2 Units @45.4400        | 100.00               | 2.75                | 0.00               | 2.75              | 0.5  | 0.01                 |
| 03/01/2018  | ***-**-425P - RADINSKY,<br>ACCOUNT #: 00068975133     | NEW PERSPECTIVE FUND-529A<br>BUY 2 Units @45.4400        | 100.00               | 2.75                | 0.00               | 2.75              | 0.5  | 0.01                 |



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| <b><u>VERRIDE TRANSACTIONS (continued)</u></b>  |  |  |                      |                     |                    |                   |      |                      |
| <b><u>BROKER: ALEX GEORGIEV (continued)</u></b> |  |  |                      |                     |                    |                   |      |                      |
| 03/01/2018                                      | ***-**-925P - WILLIAMS,<br>ACCOUNT #: 00074498681        | NEW PERSPECTIVE FUND-529A<br>BUY 0 Units @0.0000 | 0.00                 | 2.03                | 0.00               | 2.03              | 0.5  | 0.01                 |
| 03/01/2018                                      | ***-**-425P - RADINSKY,<br>ACCOUNT #: 00006895131        | NEW PERSPECTIVE FUND-529A<br>BUY 0 Units @0.0000 | 0.00                 | 2.42                | 0.00               | 2.42              | 0.5  | 0.01                 |
| 03/01/2018                                      | ***-**-425P - RADINSKY,<br>ACCOUNT #: 00068975133        | NEW PERSPECTIVE FUND-529A<br>BUY 0 Units @0.0000 | 0.00                 | 21.67               | 0.00               | 21.67             | 0.5  | 0.11                 |
| 03/01/2018                                      | ***-**-115P - BEG, ASIF<br>ACCOUNT #: 00081438568        | NEW PERSPECTIVE FUND-529A<br>BUY 0 Units @0.0000 | 0.00                 | 4.02                | 0.00               | 4.02              | 0.5  | 0.02                 |
| 03/01/2018                                      | ***-**-015P - SEVERE, DAVID<br>ACCOUNT #: 00086510141    | NEW PERSPECTIVE FUND-529A<br>BUY 0 Units @0.0000 | 0.00                 | 4.68                | 0.00               | 4.68              | 0.5  | 0.02                 |
| 02/28/2018                                      | ***-**-542I - TUTTLE, WILLIAM<br>ACCOUNT #: 00064137177  | NEW PERSPECTIVE FUND-A<br>BUY 11 Units @47.0200  | 500.00               | 18.75               | 0.00               | 18.75             | 0.5  | 0.09                 |
| 03/01/2018                                      | ***-**-295P - HOGAN, ANN<br>ACCOUNT #: 00074253253       | NEW PERSPECTIVE FUND-A<br>BUY 0 Units @0.0000    | 0.00                 | 35.54               | 0.00               | 35.54             | 0.5  | 0.18                 |
| 03/01/2018                                      | ***-**-660I - COLLINGE, ZANDRA<br>ACCOUNT #: 00058784444 | NEW PERSPECTIVE FUND-A<br>BUY 0 Units @0.0000    | 0.00                 | 86.25               | 0.00               | 86.25             | 0.5  | 0.43                 |
| 03/01/2018                                      | ***-**-239I - TERRELL, LAURA<br>ACCOUNT #: 00058786069   | NEW PERSPECTIVE FUND-A<br>BUY 0 Units @0.0000    | 0.00                 | 21.40               | 0.00               | 21.40             | 0.5  | 0.11                 |
| 03/01/2018                                      | ***-**-239P - TERRELL, LAURA<br>ACCOUNT #: 00058801744   | NEW PERSPECTIVE FUND-A<br>BUY 0 Units @0.0000    | 0.00                 | 17.25               | 0.00               | 17.25             | 0.5  | 0.09                 |
| 03/01/2018                                      | ***-**-055P - BALTZ, BERNARD<br>ACCOUNT #: 00059862483   | NEW PERSPECTIVE FUND-A<br>BUY 0 Units @0.0000    | 0.00                 | 4.44                | 0.00               | 4.44              | 0.5  | 0.02                 |
| 03/01/2018                                      | ***-**-715P - BALTZ, JULIE<br>ACCOUNT #: 00059862484     | NEW PERSPECTIVE FUND-A<br>BUY 0 Units @0.0000    | 0.00                 | 2.12                | 0.00               | 2.12              | 0.5  | 0.01                 |
| 03/01/2018                                      | ***-**-559I - PARSONS, TERRIE<br>ACCOUNT #: 00060653359  | NEW PERSPECTIVE FUND-A<br>BUY 0 Units @0.0000    | 0.00                 | 22.94               | 0.00               | 22.94             | 0.5  | 0.11                 |
| 03/01/2018                                      | ***-**-395P - NISSON/SEP,<br>ACCOUNT #: 00061194368      | NEW PERSPECTIVE FUND-A<br>BUY 0 Units @0.0000    | 0.00                 | 5.03                | 0.00               | 5.03              | 0.5  | 0.03                 |
| 03/01/2018                                      | ***-**-70IN - PESCHE, SUSAN<br>ACCOUNT #: 00061196180    | NEW PERSPECTIVE FUND-A<br>BUY 0 Units @0.0000    | 0.00                 | 94.62               | 0.00               | 94.62             | 0.5  | 0.47                 |
| 03/01/2018                                      | ***-**-371I - GLEASON, JAMES<br>ACCOUNT #: 00061535105   | NEW PERSPECTIVE FUND-A<br>BUY 0 Units @0.0000    | 0.00                 | 13.90               | 0.00               | 13.90             | 0.5  | 0.07                 |



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| <b><u> OVERRIDE TRANSACTIONS (continued) </u></b> |  |   |                      |                     |                    |                   |      |                      |
| <b><u>BROKER: ALEX GEORGIEV (continued)</u></b>   |  |   |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-229I - NOWAKOWSKI,<br>ACCOUNT #: 00061749920      | NEW PERSPECTIVE FUND-A<br>BUY 0 Units @0.0000 | 0.00                 | 16.22               | 0.00               | 16.22             | 0.5  | 0.08                 |
| 03/01/2018  | ***-**-230P - KEESE, MINDI<br>ACCOUNT #: 00061765270     | NEW PERSPECTIVE FUND-A<br>BUY 0 Units @0.0000 | 0.00                 | 14.47               | 0.00               | 14.47             | 0.5  | 0.07                 |
| 03/01/2018  | ***-**-795P - MYERS, JOHN<br>ACCOUNT #: 00061900969      | NEW PERSPECTIVE FUND-A<br>BUY 0 Units @0.0000 | 0.00                 | 15.72               | 0.00               | 15.72             | 0.5  | 0.08                 |
| 03/01/2018  | ***-**-525P - ARCHAMBAULT,<br>ACCOUNT #: 00062052940     | NEW PERSPECTIVE FUND-A<br>BUY 0 Units @0.0000 | 0.00                 | 5.11                | 0.00               | 5.11              | 0.5  | 0.03                 |
| 03/01/2018  | ***-**-41IN - EISENMANN,<br>ACCOUNT #: 00062073038       | NEW PERSPECTIVE FUND-A<br>BUY 0 Units @0.0000 | 0.00                 | 38.43               | 0.00               | 38.43             | 0.5  | 0.19                 |
| 03/01/2018  | ***-**-144I - EISENMANN,<br>ACCOUNT #: 00062138472       | NEW PERSPECTIVE FUND-A<br>BUY 0 Units @0.0000 | 0.00                 | 37.22               | 0.00               | 37.22             | 0.5  | 0.19                 |
| 03/01/2018  | ***-**-078I - LEWYN, GLORIA<br>ACCOUNT #: 00062512615    | NEW PERSPECTIVE FUND-A<br>BUY 0 Units @0.0000 | 0.00                 | 35.33               | 0.00               | 35.33             | 0.5  | 0.18                 |
| 03/01/2018  | ***-**-345P - RAMIREZ, ARTHUR<br>ACCOUNT #: 00063300331  | NEW PERSPECTIVE FUND-A<br>BUY 0 Units @0.0000 | 0.00                 | 5.72                | 0.00               | 5.72              | 0.5  | 0.03                 |
| 03/01/2018  | ***-**-975P - RAMIREZ, GILBERT<br>ACCOUNT #: 00063300332 | NEW PERSPECTIVE FUND-A<br>BUY 0 Units @0.0000 | 0.00                 | 12.59               | 0.00               | 12.59             | 0.5  | 0.06                 |
| 03/01/2018  | ***-**-150B - FRANKLYN, LINDA<br>ACCOUNT #: 00063389891  | NEW PERSPECTIVE FUND-A<br>BUY 0 Units @0.0000 | 0.00                 | 21.99               | 0.00               | 21.99             | 0.5  | 0.11                 |
| 03/01/2018  | ***-**-7060 - GARLAND, BARBARA<br>ACCOUNT #: 00063496789 | NEW PERSPECTIVE FUND-A<br>BUY 0 Units @0.0000 | 0.00                 | 37.62               | 0.00               | 37.62             | 0.5  | 0.19                 |
| 03/01/2018  | ***-**-04IR - GRODZICKI,<br>ACCOUNT #: 00063592510       | NEW PERSPECTIVE FUND-A<br>BUY 0 Units @0.0000 | 0.00                 | 11.46               | 0.00               | 11.46             | 0.5  | 0.06                 |
| 03/01/2018  | ***-**-735P - SICA, RONALD<br>ACCOUNT #: 00063674033     | NEW PERSPECTIVE FUND-A<br>BUY 0 Units @0.0000 | 0.00                 | 59.71               | 0.00               | 59.71             | 0.5  | 0.30                 |
| 03/01/2018  | ***-**-225P - HERMAN, ROBERT<br>ACCOUNT #: 00063788304   | NEW PERSPECTIVE FUND-A<br>BUY 0 Units @0.0000 | 0.00                 | 6.44                | 0.00               | 6.44              | 0.5  | 0.03                 |
| 03/01/2018  | ***-**-155P - NAHAMOU,<br>ACCOUNT #: 00064023902         | NEW PERSPECTIVE FUND-A<br>BUY 0 Units @0.0000 | 0.00                 | 15.44               | 0.00               | 15.44             | 0.5  | 0.08                 |
| 03/01/2018  | ***-**-15IN - NAHAMOU,<br>ACCOUNT #: 00064112290         | NEW PERSPECTIVE FUND-A<br>BUY 0 Units @0.0000 | 0.00                 | 7.67                | 0.00               | 7.67              | 0.5  | 0.04                 |



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BROKER #: 981A

BRANCH #01001 - LifeMark Home Office

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|---|--------------------------------|------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b><u>VERRIDE TRANSACTIONS (continued)</u></b>  |                                |                        |                      |                     |                    |                   |      |                      |
| <b><u>BROKER: ALEX GEORGIEV (continued)</u></b> |                                |                        |                      |                     |                    |                   |      |                      |
| 03/01/2018                                      | ***-**-542I - TUTTLE, WILLIAM  | NEW PERSPECTIVE FUND-A | 0.00                 | 48.47               | 0.00               | 48.47             | 0.5  | 0.24                 |
|   | ACCOUNT #: 00064137177         | BUY 0 Units @0.0000    |                      |                     |                    |                   |      |                      |
| 03/01/2018                                      | ***-**-895P - BIANCAVILLA,     | NEW PERSPECTIVE FUND-A | 0.00                 | 14.78               | 0.00               | 14.78             | 0.5  | 0.07                 |
|   | ACCOUNT #: 00064213390         | BUY 0 Units @0.0000    |                      |                     |                    |                   |      |                      |
| 03/01/2018                                      | ***-**-04IR -                  | NEW PERSPECTIVE FUND-A | 0.00                 | 1.21                | 0.00               | 1.21              | 0.5  | 0.01                 |
|   | ACCOUNT #: 00064326662         | BUY 0 Units @0.0000    |                      |                     |                    |                   |      |                      |
| 03/01/2018                                      | ***-**-371I - SMITH, LEOLA     | NEW PERSPECTIVE FUND-A | 0.00                 | 4.76                | 0.00               | 4.76              | 0.5  | 0.02                 |
|   | ACCOUNT #: 00064360066         | BUY 0 Units @0.0000    |                      |                     |                    |                   |      |                      |
| 03/01/2018                                      | ***-**-34IN - RAMIREZ, ARTHUR  | NEW PERSPECTIVE FUND-A | 0.00                 | 4.98                | 0.00               | 4.98              | 0.5  | 0.02                 |
|   | ACCOUNT #: 00064433485         | BUY 0 Units @0.0000    |                      |                     |                    |                   |      |                      |
| 03/01/2018                                      | ***-**-205P - PORTER, ASUNCION | NEW PERSPECTIVE FUND-A | 0.00                 | 50.36               | 0.00               | 50.36             | 0.5  | 0.25                 |
|   | ACCOUNT #: 00064463082         | BUY 0 Units @0.0000    |                      |                     |                    |                   |      |                      |
| 03/01/2018                                      | ***-**-796I - PORTER, GROVER   | NEW PERSPECTIVE FUND-A | 0.00                 | 50.36               | 0.00               | 50.36             | 0.5  | 0.25                 |
|   | ACCOUNT #: 00064463083         | BUY 0 Units @0.0000    |                      |                     |                    |                   |      |                      |
| 03/01/2018                                      | ***-**-98RI - BENNET,          | NEW PERSPECTIVE FUND-A | 0.00                 | 15.05               | 0.00               | 15.05             | 0.5  | 0.08                 |
|   | ACCOUNT #: 00064633625         | BUY 0 Units @0.0000    |                      |                     |                    |                   |      |                      |
| 03/01/2018                                      | ***-**-935P - CALDWELL, CONNIE | NEW PERSPECTIVE FUND-A | 0.00                 | 1.93                | 0.00               | 1.93              | 0.5  | 0.01                 |
|   | ACCOUNT #: 00064952289         | BUY 0 Units @0.0000    |                      |                     |                    |                   |      |                      |
| 03/01/2018                                      | ***-**-668J - TERRELL, TODD    | NEW PERSPECTIVE FUND-A | 0.00                 | 2.21                | 0.00               | 2.21              | 0.5  | 0.01                 |
|   | ACCOUNT #: 00065172793         | BUY 0 Units @0.0000    |                      |                     |                    |                   |      |                      |
| 03/01/2018                                      | ***-**-668J - TERRELL, TODD    | NEW PERSPECTIVE FUND-A | 0.00                 | 1.15                | 0.00               | 1.15              | 0.5  | 0.01                 |
|   | ACCOUNT #: 00066536786         | BUY 0 Units @0.0000    |                      |                     |                    |                   |      |                      |
| 03/01/2018                                      | ***-**-53IR - WEINER, GERALD   | NEW PERSPECTIVE FUND-A | 0.00                 | 3.40                | 0.00               | 3.40              | 0.5  | 0.02                 |
|   | ACCOUNT #: 00066583783         | BUY 0 Units @0.0000    |                      |                     |                    |                   |      |                      |
| 03/01/2018                                      | ***-**-465P - HOLT, DAVID      | NEW PERSPECTIVE FUND-A | 0.00                 | 19.30               | 0.00               | 19.30             | 0.5  | 0.10                 |
|   | ACCOUNT #: 00066795968         | BUY 0 Units @0.0000    |                      |                     |                    |                   |      |                      |
| 03/01/2018                                      | ***-**-448P - MOSS, HEATHER    | NEW PERSPECTIVE FUND-A | 0.00                 | 1.14                | 0.00               | 1.14              | 0.5  | 0.01                 |
|   | ACCOUNT #: 00066848271         | BUY 0 Units @0.0000    |                      |                     |                    |                   |      |                      |
| 03/01/2018                                      | ***-**-405P - DEVERS, MAREN    | NEW PERSPECTIVE FUND-A | 0.00                 | 9.83                | 0.00               | 9.83              | 0.5  | 0.05                 |
|   | ACCOUNT #: 00067307317         | BUY 0 Units @0.0000    |                      |                     |                    |                   |      |                      |
| 03/01/2018                                      | ***-**-969P - SHOEMAKE,        | NEW PERSPECTIVE FUND-A | 0.00                 | 5.87                | 0.00               | 5.87              | 0.5  | 0.03                 |
|   | ACCOUNT #: 00067750762         | BUY 0 Units @0.0000    |                      |                     |                    |                   |      |                      |



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| <b><u>VERRIDE TRANSACTIONS (continued)</u></b>  |                                |                        |                      |                     |                    |                   |      |                      |
| <b><u>BROKER: ALEX GEORGIEV (continued)</u></b> |                                |                        |                      |                     |                    |                   |      |                      |
| 03/01/2018                                      | ***-**-515P - TASSOUL, MICHAEL | NEW PERSPECTIVE FUND-A | 0.00                 | 14.95               | 0.00               | 14.95             | 0.5  | 0.07                 |
|   | ACCOUNT #: 00068195206         | BUY 0 Units @0.0000    |                      |                     |                    |                   |      |                      |
| 03/01/2018                                      | ***-**-61RI - HADSOCK, HUGH    | NEW PERSPECTIVE FUND-A | 0.00                 | 4.20                | 0.00               | 4.20              | 0.5  | 0.02                 |
|   | ACCOUNT #: 00068200969         | BUY 0 Units @0.0000    |                      |                     |                    |                   |      |                      |
| 03/01/2018                                      | ***-**-657I - NEWELL, JODI     | NEW PERSPECTIVE FUND-A | 0.00                 | 6.58                | 0.00               | 6.58              | 0.5  | 0.03                 |
|   | ACCOUNT #: 00068704319         | BUY 0 Units @0.0000    |                      |                     |                    |                   |      |                      |
| 03/01/2018                                      | ***-**-9291 - ILG-SCHMIDT,     | NEW PERSPECTIVE FUND-A | 0.00                 | 5.09                | 0.00               | 5.09              | 0.5  | 0.03                 |
|   | ACCOUNT #: 00068860620         | BUY 0 Units @0.0000    |                      |                     |                    |                   |      |                      |
| 03/01/2018                                      | ***-**-465P - MCAVOY, EMMANUEL | NEW PERSPECTIVE FUND-A | 0.00                 | 3.94                | 0.00               | 3.94              | 0.5  | 0.02                 |
|   | ACCOUNT #: 00069111594         | BUY 0 Units @0.0000    |                      |                     |                    |                   |      |                      |
| 03/01/2018                                      | ***-**-185P - SHERPY, RONALD   | NEW PERSPECTIVE FUND-A | 0.00                 | 27.52               | 0.00               | 27.52             | 0.5  | 0.14                 |
|   | ACCOUNT #: 00069112525         | BUY 0 Units @0.0000    |                      |                     |                    |                   |      |                      |
| 03/01/2018                                      | ***-**-737I - NEWGAARD, JERI   | NEW PERSPECTIVE FUND-A | 0.00                 | 4.50                | 0.00               | 4.50              | 0.5  | 0.02                 |
|   | ACCOUNT #: 00073125186         | BUY 0 Units @0.0000    |                      |                     |                    |                   |      |                      |
| 03/01/2018                                      | ***-**-265P - CLIFFORD, JAMES  | NEW PERSPECTIVE FUND-A | 0.00                 | 18.67               | 0.00               | 18.67             | 0.5  | 0.09                 |
|   | ACCOUNT #: 00073275609         | BUY 0 Units @0.0000    |                      |                     |                    |                   |      |                      |
| 03/01/2018                                      | ***-**-727I - POSSEE, DIANE    | NEW PERSPECTIVE FUND-A | 0.00                 | 3.93                | 0.00               | 3.93              | 0.5  | 0.02                 |
|   | ACCOUNT #: 00075475535         | BUY 0 Units @0.0000    |                      |                     |                    |                   |      |                      |
| 03/01/2018                                      | ***-**-254I - RICE, PAUL       | NEW PERSPECTIVE FUND-A | 0.00                 | 9.33                | 0.00               | 9.33              | 0.5  | 0.05                 |
|   | ACCOUNT #: 00075963800         | BUY 0 Units @0.0000    |                      |                     |                    |                   |      |                      |
| 03/01/2018                                      | ***-**-401I - NEWELL, JEFFREY  | NEW PERSPECTIVE FUND-A | 0.00                 | 12.69               | 0.00               | 12.69             | 0.5  | 0.06                 |
|   | ACCOUNT #: 00082402147         | BUY 0 Units @0.0000    |                      |                     |                    |                   |      |                      |
| 03/01/2018                                      | ***-**-95IN - MILLER, TRAVIS   | NEW PERSPECTIVE FUND-A | 0.00                 | 1.67                | 0.00               | 1.67              | 0.5  | 0.01                 |
|   | ACCOUNT #: 00084396354         | BUY 0 Units @0.0000    |                      |                     |                    |                   |      |                      |
| 03/01/2018                                      | ***-**-86IN - KIZER, THOMAS    | NEW PERSPECTIVE FUND-A | 0.00                 | 5.60                | 0.00               | 5.60              | 0.5  | 0.03                 |
|   | ACCOUNT #: 00085361207         | BUY 0 Units @0.0000    |                      |                     |                    |                   |      |                      |
| 03/01/2018                                      | ***-**-341I - FIREMAN, NOAH    | NEW PERSPECTIVE FUND-A | 0.00                 | 3.37                | 0.00               | 3.37              | 0.5  | 0.02                 |
|   | ACCOUNT #: 00087760602         | BUY 0 Units @0.0000    |                      |                     |                    |                   |      |                      |
| 03/01/2018                                      | ***-**-515P - COGGESHALL,      | NEW PERSPECTIVE FUND-A | 0.00                 | 1.54                | 0.00               | 1.54              | 0.5  | 0.01                 |
|   | ACCOUNT #: 00075314098         | BUY 0 Units @0.0000    |                      |                     |                    |                   |      |                      |
| 03/01/2018                                      | ***-**-3299 - RAMIREZ, JOSE    | NEW PERSPECTIVE FUND-A | 0.00                 | 10.99               | 0.00               | 10.99             | 0.5  | 0.05                 |
|   | ACCOUNT #: 00068281046         | BUY 0 Units @0.0000    |                      |                     |                    |                   |      |                      |



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| <b><u> OVERRIDE TRANSACTIONS (continued) </u></b> |                                |                         |                      |                     |                    |                   |      |                      |
| <b><u>BROKER: ALEX GEORGIEV (continued)</u></b>   |                                |                         |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-22IR - RUDO, BRIAN      | NEW PERSPECTIVE FUND-A  | 0.00                 | 14.63               | 0.00               | 14.63             | 0.5  | 0.07                 |
|   | ACCOUNT #: 00065173876         | BUY 0 Units @0.0000     |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-29IN - LITMAN, WENDY    | NEW PERSPECTIVE FUND-A  | 0.00                 | 5.40                | 0.00               | 5.40              | 0.5  | 0.03                 |
|   | ACCOUNT #: 00068524068         | BUY 0 Units @0.0000     |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-87IN - BREZNICK, BURTON | NEW PERSPECTIVE FUND-A  | 0.00                 | 6.79                | 0.00               | 6.79              | 0.5  | 0.03                 |
|   | ACCOUNT #: 00068891495         | BUY 0 Units @0.0000     |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-065P - DJENADIC, GORAN  | NEW PERSPECTIVE FUND-A  | 0.00                 | 3.20                | 0.00               | 3.20              | 0.5  | 0.02                 |
|   | ACCOUNT #: 00069014458         | BUY 0 Units @0.0000     |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-582I - ROZENCWAIG, ERIC | NEW PERSPECTIVE FUND-A  | 0.00                 | 9.74                | 0.00               | 9.74              | 0.5  | 0.05                 |
|   | ACCOUNT #: 00073025002         | BUY 0 Units @0.0000     |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-475P - LURIA, BENNETT   | NEW PERSPECTIVE FUND-A  | 0.00                 | 10.23               | 0.00               | 10.23             | 0.5  | 0.05                 |
|   | ACCOUNT #: 00073101452         | BUY 0 Units @0.0000     |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-09IR - BECKER, STEPHEN  | NEW PERSPECTIVE FUND-F1 | 0.00                 | 12.83               | 0.00               | 12.83             | 0.5  | 0.06                 |
|   | ACCOUNT #: 00067495593         | BUY 0 Units @0.0000     |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-238I - STELLER, KEITH   | NEW PERSPECTIVE FUND-F1 | 0.00                 | 18.65               | 0.00               | 18.65             | 0.5  | 0.09                 |
|   | ACCOUNT #: 00067515962         | BUY 0 Units @0.0000     |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-655P - SINNO, RIMA      | NEW PERSPECTIVE FUND-F1 | 0.00                 | 42.07               | 0.00               | 42.07             | 0.5  | 0.21                 |
|   | ACCOUNT #: 00068297390         | BUY 0 Units @0.0000     |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-275P - KRUEGER, PAULA   | NEW WORLD FUND-529A     | 0.00                 | 1.35                | 0.00               | 1.35              | 0.5  | 0.01                 |
|   | ACCOUNT #: 00082687532         | BUY 0 Units @0.0000     |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-5239 - TERRELL, EMILY   | NEW WORLD FUND-529A     | 0.00                 | 4.91                | 0.00               | 4.91              | 0.5  | 0.02                 |
|   | ACCOUNT #: 00083570795         | BUY 0 Units @0.0000     |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-525P - GARDNER, DANIEL  | NEW WORLD FUND-529A     | 0.00                 | 8.28                | 0.00               | 8.28              | 0.5  | 0.04                 |
|   | ACCOUNT #: 00084433353         | BUY 0 Units @0.0000     |                      |                     |                    |                   |      |                      |
| 02/28/2018  | ***-**-58UG - SHEA, CHANCE     | NEW WORLD FUND-A        | 25.00                | 1.25                | 0.00               | 1.25              | 0.5  | 0.01                 |
|   | ACCOUNT #: 00082921652         | BUY 0 Units @72.3900    |                      |                     |                    |                   |      |                      |
| 02/28/2018  | ***-**-72IN - THUMULURU,       | NEW WORLD FUND-A        | 150.00               | 4.13                | 0.00               | 4.13              | 0.5  | 0.02                 |
|   | ACCOUNT #: 00074749751         | BUY 2 Units @70.7000    |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-391J - FRIEDMAN, KEITH  | NEW WORLD FUND-A        | 200.00               | 2.00                | 0.00               | 2.00              | 0.5  | 0.01                 |
|   | ACCOUNT #: 00083404691         | BUY 3 Units @67.7400    |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-415P - TARANTINO, SCOTT | NEW WORLD FUND-A        | 200.00               | 2.00                | 0.00               | 2.00              | 0.5  | 0.01                 |
|   | ACCOUNT #: 00087447990         | BUY 3 Units @67.7400    |                      |                     |                    |                   |      |                      |





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| <b><u> OVERRIDE TRANSACTIONS (continued) </u></b> |                                |                      |                      |                     |                    |                   |      |                      |
| <b><u>BROKER: ALEX GEORGIEV (continued)</u></b>   |                                |                      |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-064J - HALL, AMY        | NEW WORLD FUND-A     | 250.00               | 3.00                | 0.00               | 3.00              | 0.5  | 0.02                 |
|   | ACCOUNT #: 00083146232         | BUY 4 Units @68.7700 |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-70IN - PESCHE, SUSAN    | NEW WORLD FUND-A     | 0.00                 | 28.49               | 0.00               | 28.49             | 0.5  | 0.14                 |
|   | ACCOUNT #: 00061196180         | BUY 0 Units @0.0000  |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-715P - EMERY, ELIZABETH | NEW WORLD FUND-A     | 0.00                 | 10.32               | 0.00               | 10.32             | 0.5  | 0.05                 |
|   | ACCOUNT #: 00062101930         | BUY 0 Units @0.0000  |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-53IR - WEINER, GERALD   | NEW WORLD FUND-A     | 0.00                 | 2.91                | 0.00               | 2.91              | 0.5  | 0.01                 |
|   | ACCOUNT #: 00066583783         | BUY 0 Units @0.0000  |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-375P - KAVI, KRISHNA    | NEW WORLD FUND-A     | 0.00                 | 4.56                | 0.00               | 4.56              | 0.5  | 0.02                 |
|   | ACCOUNT #: 00066909129         | BUY 0 Units @0.0000  |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-375P - KAVI, KRISHNA    | NEW WORLD FUND-A     | 0.00                 | 38.52               | 0.00               | 38.52             | 0.5  | 0.19                 |
|   | ACCOUNT #: 00066909137         | BUY 0 Units @0.0000  |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-265P - SULHAM,          | NEW WORLD FUND-A     | 0.00                 | 3.64                | 0.00               | 3.64              | 0.5  | 0.02                 |
|   | ACCOUNT #: 00073727222         | BUY 0 Units @0.0000  |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-40SI - HETZEL, ANGELA   | NEW WORLD FUND-A     | 0.00                 | 2.30                | 0.00               | 2.30              | 0.5  | 0.01                 |
|   | ACCOUNT #: 00074473141         | BUY 0 Units @0.0000  |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-392I - WILLIAMS, JERRI  | NEW WORLD FUND-A     | 0.00                 | 3.91                | 0.00               | 3.91              | 0.5  | 0.02                 |
|   | ACCOUNT #: 00074739592         | BUY 0 Units @0.0000  |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-955P - PROFFITT,        | NEW WORLD FUND-A     | 0.00                 | 1.81                | 0.00               | 1.81              | 0.5  | 0.01                 |
|   | ACCOUNT #: 00074806217         | BUY 0 Units @0.0000  |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-025P - PRUITT, MITCHELL | NEW WORLD FUND-A     | 0.00                 | 2.29                | 0.00               | 2.29              | 0.5  | 0.01                 |
|   | ACCOUNT #: 00075056497         | BUY 0 Units @0.0000  |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-254I - RICE, PAUL       | NEW WORLD FUND-A     | 0.00                 | 1.29                | 0.00               | 1.29              | 0.5  | 0.01                 |
|   | ACCOUNT #: 00075963800         | BUY 0 Units @0.0000  |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-525P - MATIS, DAMARIS   | NEW WORLD FUND-A     | 0.00                 | 14.99               | 0.00               | 14.99             | 0.5  | 0.07                 |
|   | ACCOUNT #: 00082217486         | BUY 0 Units @0.0000  |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-50UT - FETTO, FAY       | NEW WORLD FUND-A     | 0.00                 | 10.03               | 0.00               | 10.03             | 0.5  | 0.05                 |
|   | ACCOUNT #: 00082350929         | BUY 0 Units @0.0000  |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-427I - KRUEGER, JOHN    | NEW WORLD FUND-A     | 0.00                 | 12.12               | 0.00               | 12.12             | 0.5  | 0.06                 |
|   | ACCOUNT #: 00082686514         | BUY 0 Units @0.0000  |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-116J - KRUEGER, JOHN    | NEW WORLD FUND-A     | 0.00                 | 1.54                | 0.00               | 1.54              | 0.5  | 0.01                 |
|   | ACCOUNT #: 00082687579         | BUY 0 Units @0.0000  |                      |                     |                    |                   |      |                      |



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| <b><u>VERRIDE TRANSACTIONS (continued)</u></b>  |                                |                     |                      |                     |                    |                   |      |                      |
| <b><u>BROKER: ALEX GEORGIEV (continued)</u></b> |                                |                     |                      |                     |                    |                   |      |                      |
| 03/01/2018                                      | ***-**-58UG - SHEA, CHANCE     | NEW WORLD FUND-A    | 0.00                 | 1.86                | 0.00               | 1.86              | 0.5  | 0.01                 |
|   | ACCOUNT #: 00082921652         | BUY 0 Units @0.0000 |                      |                     |                    |                   |      |                      |
| 03/01/2018                                      | ***-**-186I - JACOBSON, MARINA | NEW WORLD FUND-A    | 0.00                 | 14.68               | 0.00               | 14.68             | 0.5  | 0.07                 |
|   | ACCOUNT #: 00083731526         | BUY 0 Units @0.0000 |                      |                     |                    |                   |      |                      |
| 03/01/2018                                      | ***-**-618I - HULLS, JENNIFER  | NEW WORLD FUND-A    | 0.00                 | 7.75                | 0.00               | 7.75              | 0.5  | 0.04                 |
|   | ACCOUNT #: 00083732568         | BUY 0 Units @0.0000 |                      |                     |                    |                   |      |                      |
| 03/01/2018                                      | ***-**-173I - MATUSIEWICZ,     | NEW WORLD FUND-A    | 0.00                 | 2.64                | 0.00               | 2.64              | 0.5  | 0.01                 |
|   | ACCOUNT #: 00083738493         | BUY 0 Units @0.0000 |                      |                     |                    |                   |      |                      |
| 03/01/2018                                      | ***-**-537I - DIVALERIO, KATHY | NEW WORLD FUND-A    | 0.00                 | 7.95                | 0.00               | 7.95              | 0.5  | 0.04                 |
|   | ACCOUNT #: 00083765927         | BUY 0 Units @0.0000 |                      |                     |                    |                   |      |                      |
| 03/01/2018                                      | ***-**-225I - WEBER, MICHAEL   | NEW WORLD FUND-A    | 0.00                 | 7.11                | 0.00               | 7.11              | 0.5  | 0.04                 |
|   | ACCOUNT #: 00083883804         | BUY 0 Units @0.0000 |                      |                     |                    |                   |      |                      |
| 03/01/2018                                      | ***-**-956I - MCGUANE, KELLI   | NEW WORLD FUND-A    | 0.00                 | 1.15                | 0.00               | 1.15              | 0.5  | 0.01                 |
|   | ACCOUNT #: 00084004988         | BUY 0 Units @0.0000 |                      |                     |                    |                   |      |                      |
| 03/01/2018                                      | ***-**-514I - BOTERO, NATALIA  | NEW WORLD FUND-A    | 0.00                 | 1.72                | 0.00               | 1.72              | 0.5  | 0.01                 |
|   | ACCOUNT #: 00084169039         | BUY 0 Units @0.0000 |                      |                     |                    |                   |      |                      |
| 03/01/2018                                      | ***-**-282I - CROWE, KATHRYN   | NEW WORLD FUND-A    | 0.00                 | 11.66               | 0.00               | 11.66             | 0.5  | 0.06                 |
|   | ACCOUNT #: 00084245265         | BUY 0 Units @0.0000 |                      |                     |                    |                   |      |                      |
| 03/01/2018                                      | ***-**-91IR - ADAMS, KATHY     | NEW WORLD FUND-A    | 0.00                 | 1.48                | 0.00               | 1.48              | 0.5  | 0.01                 |
|   | ACCOUNT #: 00085157011         | BUY 0 Units @0.0000 |                      |                     |                    |                   |      |                      |
| 03/01/2018                                      | ***-**-26IR - HETHERINGTON,    | NEW WORLD FUND-A    | 0.00                 | 3.29                | 0.00               | 3.29              | 0.5  | 0.02                 |
|   | ACCOUNT #: 00085730879         | BUY 0 Units @0.0000 |                      |                     |                    |                   |      |                      |
| 03/01/2018                                      | ***-**-341I - FIREMAN, NOAH    | NEW WORLD FUND-A    | 0.00                 | 12.90               | 0.00               | 12.90             | 0.5  | 0.06                 |
|   | ACCOUNT #: 00087760602         | BUY 0 Units @0.0000 |                      |                     |                    |                   |      |                      |
| 03/01/2018                                      | ***-**-270I - ORMOND, JENNIFER | NEW WORLD FUND-A    | 0.00                 | 1.99                | 0.00               | 1.99              | 0.5  | 0.01                 |
|   | ACCOUNT #: 00088565488         | BUY 0 Units @0.0000 |                      |                     |                    |                   |      |                      |
| 03/01/2018                                      | ***-**-270I - ORMOND, JENNIFER | NEW WORLD FUND-A    | 0.00                 | 1.99                | 0.00               | 1.99              | 0.5  | 0.01                 |
|   | ACCOUNT #: 00088565503         | BUY 0 Units @0.0000 |                      |                     |                    |                   |      |                      |
| 03/01/2018                                      | ***-**-270I - ORMOND, JENNIFER | NEW WORLD FUND-A    | 0.00                 | 1.99                | 0.00               | 1.99              | 0.5  | 0.01                 |
|   | ACCOUNT #: 00088565510         | BUY 0 Units @0.0000 |                      |                     |                    |                   |      |                      |
| 03/01/2018                                      | ***-**-72IN - THUMULURU,       | NEW WORLD FUND-A    | 0.00                 | 8.79                | 0.00               | 8.79              | 0.5  | 0.04                 |
|   | ACCOUNT #: 00074749751         | BUY 0 Units @0.0000 |                      |                     |                    |                   |      |                      |



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|---|--|--|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b><u>VERRIDE TRANSACTIONS (continued)</u></b>  |  |  |                      |                     |                    |                   |      |                      |
| <b><u>BROKER: ALEX GEORGIEV (continued)</u></b> |  |  |                      |                     |                    |                   |      |                      |
| 03/01/2018                                      | ***-**-721J - KONANUR,<br>ACCOUNT #: 00074931174         | NEW WORLD FUND-A<br>BUY 0 Units @0.0000  | 0.00                 | 19.51               | 0.00               | 19.51             | 0.5  | 0.10                 |
| 03/01/2018                                      | ***-**-04IN - MURPHY, PAUL<br>ACCOUNT #: 00075938729     | NEW WORLD FUND-A<br>BUY 0 Units @0.0000  | 0.00                 | 37.95               | 0.00               | 37.95             | 0.5  | 0.19                 |
| 03/01/2018                                      | ***-**-305P - ALOOR, RAVI<br>ACCOUNT #: 00081137427      | NEW WORLD FUND-A<br>BUY 0 Units @0.0000  | 0.00                 | 13.16               | 0.00               | 13.16             | 0.5  | 0.07                 |
| 03/01/2018                                      | ***-**-985P - SUZUKI, RACHEL<br>ACCOUNT #: 00081275928   | NEW WORLD FUND-A<br>BUY 0 Units @0.0000  | 0.00                 | 1.22                | 0.00               | 1.22              | 0.5  | 0.01                 |
| 03/01/2018                                      | ***-**-95IN - STARTZEL,<br>ACCOUNT #: 00081317740        | NEW WORLD FUND-A<br>BUY 0 Units @0.0000  | 0.00                 | 11.79               | 0.00               | 11.79             | 0.5  | 0.06                 |
| 03/01/2018                                      | ***-**-045P - RAMESHKUMAR,<br>ACCOUNT #: 00081655955     | NEW WORLD FUND-A<br>BUY 0 Units @0.0000  | 0.00                 | 6.86                | 0.00               | 6.86              | 0.5  | 0.03                 |
| 03/01/2018                                      | ***-**-76SI - JONES, MARCIE<br>ACCOUNT #: 00081719052    | NEW WORLD FUND-A<br>BUY 0 Units @0.0000  | 0.00                 | 8.27                | 0.00               | 8.27              | 0.5  | 0.04                 |
| 03/01/2018                                      | ***-**-82IN - TEN, JT<br>ACCOUNT #: 00082421077          | NEW WORLD FUND-A<br>BUY 0 Units @0.0000  | 0.00                 | 9.98                | 0.00               | 9.98              | 0.5  | 0.05                 |
| 03/01/2018                                      | ***-**-064J - HALL, AMY<br>ACCOUNT #: 00083146232        | NEW WORLD FUND-A<br>BUY 0 Units @0.0000  | 0.00                 | 44.10               | 0.00               | 44.10             | 0.5  | 0.22                 |
| 03/01/2018                                      | ***-**-391J - FRIEDMAN, KEITH<br>ACCOUNT #: 00083404691  | NEW WORLD FUND-A<br>BUY 0 Units @0.0000  | 0.00                 | 21.96               | 0.00               | 21.96             | 0.5  | 0.11                 |
| 03/01/2018                                      | ***-**-452J - GARDNER, DANIEL<br>ACCOUNT #: 00084433333  | NEW WORLD FUND-A<br>BUY 0 Units @0.0000  | 0.00                 | 6.79                | 0.00               | 6.79              | 0.5  | 0.03                 |
| 03/01/2018                                      | ***-**-415P - TARANTINO, SCOTT<br>ACCOUNT #: 00087447990 | NEW WORLD FUND-A<br>BUY 0 Units @0.0000  | 0.00                 | 19.81               | 0.00               | 19.81             | 0.5  | 0.10                 |
| 03/01/2018                                      | ***-**-635P - SCOTT, JAMES<br>ACCOUNT #: 00068920074     | NEW WORLD FUND-C<br>BUY 0 Units @0.0000  | 0.00                 | 21.59               | 0.00               | 21.59             | 0.5  | 0.11                 |
| 03/01/2018                                      | ***-**-09IR - BECKER, STEPHEN<br>ACCOUNT #: 00067495593  | NEW WORLD FUND-C<br>BUY 0 Units @0.0000  | 0.00                 | 12.62               | 0.00               | 12.62             | 0.5  | 0.06                 |
| 03/01/2018                                      | ***-**-635P - SCOTT, JAMES<br>ACCOUNT #: 00068920074     | NEW WORLD FUND-F1<br>BUY 0 Units @0.0000 | 0.00                 | 27.00               | 0.00               | 27.00             | 0.5  | 0.14                 |
| 03/01/2018                                      | ***-**-09IR - BECKER, STEPHEN<br>ACCOUNT #: 00067495593  | NEW WORLD FUND-F1<br>BUY 0 Units @0.0000 | 0.00                 | 3.67                | 0.00               | 3.67              | 0.5  | 0.02                 |



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|---|--------------------------------|---------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b><u>VERRIDE TRANSACTIONS (continued)</u></b>  |                                |                           |                      |                     |                    |                   |      |                      |
| <b><u>BROKER: ALEX GEORGIEV (continued)</u></b> |                                |                           |                      |                     |                    |                   |      |                      |
| 03/01/2018                                      | ***-**-375P - SINNO, FADY      | NEW WORLD FUND-F1         | 0.00                 | 20.15               | 0.00               | 20.15             | 0.5  | 0.10                 |
|   | ACCOUNT #: 00069308202         | BUY 0 Units @0.0000       |                      |                     |                    |                   |      |                      |
| 03/01/2018                                      | ***-**-504I - MARSHALL,        | NEW WORLD FUND-F1         | 0.00                 | 1.13                | 0.00               | 1.13              | 0.5  | 0.01                 |
|   | ACCOUNT #: 00086486770         | BUY 0 Units @0.0000       |                      |                     |                    |                   |      |                      |
| 03/12/2018                                      | ***-**-5073 - CAUFIELD, JOHN   | NEW YORK 529 TRAILS       | 0.00                 | 11.66               | 0.00               | 11.66             | 0.5  | 0.06                 |
|   | ACCOUNT #: 77247702601         | BUY 0 Units @0.0000       |                      |                     |                    |                   |      |                      |
| 03/12/2018                                      | ***-**-115P - CANNON, BRENDA   | NEW YORK 529 TRAILS       | 0.00                 | 2.60                | 0.00               | 2.60              | 0.5  | 0.01                 |
|   | ACCOUNT #: 77544486501         | BUY 0 Units @0.0000       |                      |                     |                    |                   |      |                      |
| 03/12/2018                                      | ***-**-164I - MARSHALL, GEORGE | NEW YORK 529 TRAILS       | 0.00                 | 6.29                | 0.00               | 6.29              | 0.5  | 0.03                 |
|   | ACCOUNT #: 77581123801         | BUY 0 Units @0.0000       |                      |                     |                    |                   |      |                      |
| 03/12/2018                                      | ***-**-7245 - BOWERMAN, ELICE  | NEW YORK 529 TRAILS       | 0.00                 | 3.07                | 0.00               | 3.07              | 0.5  | 0.02                 |
|   | ACCOUNT #: 77629991501         | BUY 0 Units @0.0000       |                      |                     |                    |                   |      |                      |
| 03/12/2018                                      | ***-**-015P - MASTERS, JOSEPH  | NEW YORK 529 TRAILS       | 0.00                 | 13.25               | 0.00               | 13.25             | 0.5  | 0.07                 |
|   | ACCOUNT #: 77698854201         | BUY 0 Units @0.0000       |                      |                     |                    |                   |      |                      |
| 03/12/2018                                      | ***-**-7982 - ALBERICI, ANGELO | NEW YORK 529 TRAILS       | 0.00                 | 27.75               | 0.00               | 27.75             | 0.5  | 0.14                 |
|   | ACCOUNT #: 77938844401         | BUY 0 Units @0.0000       |                      |                     |                    |                   |      |                      |
| 03/05/2018                                      | ***-**-65CL - LIFEMARK,        | PACIFIC LIFE DTCC RENEWAL | 598.02               | 5.98                | 0.00               | 5.98              | 0.5  | 0.03                 |
|   | ACCOUNT #: VP60257640          | BUY 0 Units @0.0000       |                      |                     |                    |                   |      |                      |
| 03/05/2018                                      | ***-**-132P - COPPA, CARMELA   | PACIFIC LIFE INNOV-SELE   | 0.00                 | 115.81              | 0.00               | 115.81            | 0.5  | 0.58                 |
|   | ACCOUNT #: VR02004713          | BUY 0 Units @0.0000       |                      |                     |                    |                   |      |                      |
| 02/06/2018                                      | ***-**-30TR - KNIGHT TRUST,    | PPL CORP SOLICITED ORDER  | -8,838.00            | -98.41              | 0.00               | -98.41            | 0.5  | -0.49                |
|   | ACCOUNT #: LSR012108           | CANCEL 300 Units @29.4600 |                      |                     |                    |                   |      |                      |
| 02/06/2018                                      | ***-**-30TR - KNIGHT TRUST,    | PPL CORP SOLICITED ORDER  | 8,927.40             | 83.41               | 0.00               | 83.41             | 0.5  | 0.42                 |
|   | ACCOUNT #: LSR012108           | SELL 300 Units @29.7580   |                      |                     |                    |                   |      |                      |
| 02/06/2018                                      | ***-**-30TR - KNIGHT TRUST,    | PPL CORP SOLICITED ORDER  | -5,319.59            | -15.61              | 0.00               | -15.61            | 0.5  | -0.08                |
|   | ACCOUNT #: LSR012108           | CANCEL 181 Units @29.3900 |                      |                     |                    |                   |      |                      |
| 02/06/2018                                      | ***-**-30TR - KNIGHT TRUST,    | PPL CORP SOLICITED ORDER  | 5,386.20             | 15.61               | 0.00               | 15.61             | 0.5  | 0.08                 |
|   | ACCOUNT #: LSR012108           | SELL 181 Units @29.7580   |                      |                     |                    |                   |      |                      |
| 02/06/2018                                      | ***-**-30TR - KNIGHT TRUST,    | PPL CORP SOLICITED ORDER  | 3,600.72             | 63.13               | 0.00               | 63.13             | 0.5  | 0.32                 |
|   | ACCOUNT #: LSR012108           | SELL 121 Units @29.7580   |                      |                     |                    |                   |      |                      |
| 03/01/2018                                      | ***-**-86CL - ASHER, CLIENTS   | PRESERVATION PORTFOLIO-A  | 0.00                 | 13.44               | 0.00               | 13.44             | 0.5  | 0.07                 |
|   | ACCOUNT #: 00087552886         | BUY 0 Units @0.0000       |                      |                     |                    |                   |      |                      |



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| <b><u> OVERRIDE TRANSACTIONS (continued) </u></b> |                                |                                     |                      |                     |                    |                   |      |                      |
| <b><u>BROKER: ALEX GEORGIEV (continued)</u></b>   |                                |                                     |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-86CL - ASHER, CLIENTS   | PRESERVATION PORTFOLIO-A            | 0.00                 | 12.54               | 0.00               | 12.54             | 0.5  | 0.06                 |
|   | ACCOUNT #: 00087552955         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/12/2018  | ***-**-71IO - HULSLANDER,      | PRUDENTIAL QMA LARGE CAP CORE EQUIT | 0.00                 | 7.07                | 0.00               | 7.07              | 0.5  | 0.04                 |
|   | ACCOUNT #: LSR011715           | BUY 1 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/02/2018  | ***-**-02UG - KINLAW, ADAIR    | PUTNAM NEW OPPORTUNITIES FUND CLASS | 50.00                | 2.50                | 0.00               | 2.50              | 0.5  | 0.01                 |
|   | ACCOUNT #: 00323127790         | BUY 1 Units @98.9300                |                      |                     |                    |                   |      |                      |
| 03/06/2018  | ***-**-60TR - BLANCHARD TRUST, | RESOURCE REAL ESTATES-NFS           | 0.00                 | 2.91                | 0.00               | 2.91              | 0.5  | 0.01                 |
|   | ACCOUNT #: LSR010327           | BUY 1 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/06/2018  | ***-**-60TR - BLANCHARD TRUST, | RESOURCE REAL ESTATES-NFS           | 0.00                 | 2.90                | 0.00               | 2.90              | 0.5  | 0.01                 |
|   | ACCOUNT #: LSR010327           | BUY 1 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/06/2018  | ***-**-60TR - BLANCHARD TRUST, | RESOURCE REAL ESTATES-NFS           | 0.00                 | 2.81                | 0.00               | 2.81              | 0.5  | 0.01                 |
|   | ACCOUNT #: LSR010327           | BUY 1 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/12/2018  | ***-**-7580 - MAGGIACOMO,      | RIA INVSC COLLGBUND TODAY PORT RA   | 360.00               | 1.44                | 0.00               | 1.44              | 0.5  | 0.01                 |
|   | ACCOUNT #: 81400070701         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/12/2018  | ***-**-64IN - ELKEN, HEATHER   | SBL TRAILS                          | 0.00                 | 13.19               | 0.00               | 13.19             | 0.5  | 0.07                 |
|   | ACCOUNT #: 4749064             | BUY 1 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/12/2018  | ***-**-6989 - IDdings, NANCY   | SBL TRAILS                          | 0.00                 | 74.59               | 0.00               | 74.59             | 0.5  | 0.37                 |
|   |                                | BUY 1 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/12/2018  | ***-**-8822 - HESHMA, OMAR     | SECURITY LIFE OF DENVER SA II       | 1,200.00             | 36.00               | 0.00               | 36.00             | 0.5  | 0.18                 |
|   | ACCOUNT #: 610071669           | BUY 1 Units @1200.0000              |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-525P - ARCHAMBAULT,     | SHORT-TERM BOND FUND OF AMERICA - A | 0.00                 | 5.72                | 0.00               | 5.72              | 0.5  | 0.03                 |
|   | ACCOUNT #: 00062052940         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-7060 - GARLAND, BARBARA | SHORT-TERM BOND FUND OF AMERICA - A | 0.00                 | 18.23               | 0.00               | 18.23             | 0.5  | 0.09                 |
|   | ACCOUNT #: 00063496789         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-042I - SHUMWAY, AUDREY  | SHORT-TERM BOND FUND OF AMERICA - A | 0.00                 | 34.74               | 0.00               | 34.74             | 0.5  | 0.17                 |
|   | ACCOUNT #: 00074353289         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-95IN - LARSON, JOEL     | SHORT-TERM BOND FUND OF AMERICA - A | 0.00                 | 5.48                | 0.00               | 5.48              | 0.5  | 0.03                 |
|   | ACCOUNT #: 00086113566         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-994B - EARLES, PHYLLIS  | SHORT-TERM BOND FUND OF AMERICA - A | 0.00                 | 1.04                | 0.00               | 1.04              | 0.5  | 0.01                 |
|   | ACCOUNT #: 02001074291         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-0619 - SHORB, STANLEY   | SHORT-TERM BOND FUND OF AMERICA-529 | 0.00                 | 8.76                | 0.00               | 8.76              | 0.5  | 0.04                 |
|   | ACCOUNT #: 00083330700         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |



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| <b><u> OVERRIDE TRANSACTIONS (continued) </u></b> |   |  |                      |                     |                    |                   |      |                      |
| <b><u>BROKER: ALEX GEORGIEV (continued)</u></b>   |   |  |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-0619 - SHORB, STANLEY<br>ACCOUNT #: 00087534220  | SHORT-TERM BOND FUND OF AMERICA-529<br>BUY 0 Units @0.0000 | 0.00                 | 12.76               | 0.00               | 12.76             | 0.5  | 0.06                 |
| 03/01/2018  | ***-**-0619 - SHORB, STANLEY<br>ACCOUNT #: 00087534228  | SHORT-TERM BOND FUND OF AMERICA-529<br>BUY 0 Units @0.0000 | 0.00                 | 11.64               | 0.00               | 11.64             | 0.5  | 0.06                 |
| 03/01/2018  | ***-**-41IN - EISENMANN,<br>ACCOUNT #: 00068144333      | SMALLCAP WORLD FUND-529A<br>BUY 0 Units @0.0000            | 0.00                 | 2.80                | 0.00               | 2.80              | 0.5  | 0.01                 |
| 03/01/2018  | ***-**-275P - KRUEGER, PAULA<br>ACCOUNT #: 00082687532  | SMALLCAP WORLD FUND-529A<br>BUY 0 Units @0.0000            | 0.00                 | 1.85                | 0.00               | 1.85              | 0.5  | 0.01                 |
| 03/01/2018  | ***-**-0619 - SHORB, STANLEY<br>ACCOUNT #: 00083330700  | SMALLCAP WORLD FUND-529A<br>BUY 0 Units @0.0000            | 0.00                 | 1.08                | 0.00               | 1.08              | 0.5  | 0.01                 |
| 03/01/2018  | ***-**-0619 - SHORB, STANLEY<br>ACCOUNT #: 00087534220  | SMALLCAP WORLD FUND-529A<br>BUY 0 Units @0.0000            | 0.00                 | 1.90                | 0.00               | 1.90              | 0.5  | 0.01                 |
| 03/01/2018  | ***-**-0619 - SHORB, STANLEY<br>ACCOUNT #: 00087534228  | SMALLCAP WORLD FUND-529A<br>BUY 0 Units @0.0000            | 0.00                 | 3.06                | 0.00               | 3.06              | 0.5  | 0.02                 |
| 03/01/2018  | ***-**-915P - GOCHNAUER,<br>ACCOUNT #: 00081493668      | SMALLCAP WORLD FUND-529A<br>BUY 0 Units @0.0000            | 0.00                 | 7.15                | 0.00               | 7.15              | 0.5  | 0.04                 |
| 03/01/2018  | ***-**-525P - GARDNER, DANIEL<br>ACCOUNT #: 00084433353 | SMALLCAP WORLD FUND-529A<br>BUY 0 Units @0.0000            | 0.00                 | 13.62               | 0.00               | 13.62             | 0.5  | 0.07                 |
| 03/01/2018  | ***-**-825P - MARKS, JACOB<br>ACCOUNT #: 00085088195    | SMALLCAP WORLD FUND-529A<br>BUY 0 Units @0.0000            | 0.00                 | 2.86                | 0.00               | 2.86              | 0.5  | 0.01                 |
| 03/01/2018  | ***-**-825P - MARKS, JACOB<br>ACCOUNT #: 00085088223    | SMALLCAP WORLD FUND-529A<br>BUY 0 Units @0.0000            | 0.00                 | 2.86                | 0.00               | 2.86              | 0.5  | 0.01                 |
| 03/01/2018  | ***-**-825P - MARKS, JACOB<br>ACCOUNT #: 00085088240    | SMALLCAP WORLD FUND-529A<br>BUY 0 Units @0.0000            | 0.00                 | 2.86                | 0.00               | 2.86              | 0.5  | 0.01                 |
| 03/01/2018  | ***-**-735P - MARKSAMER,<br>ACCOUNT #: 00086018329      | SMALLCAP WORLD FUND-529A<br>BUY 0 Units @0.0000            | 0.00                 | 4.27                | 0.00               | 4.27              | 0.5  | 0.02                 |
| 03/01/2018  | ***-**-845P - TRAUT, SHEILA<br>ACCOUNT #: 00086023465   | SMALLCAP WORLD FUND-529A<br>BUY 0 Units @0.0000            | 0.00                 | 1.43                | 0.00               | 1.43              | 0.5  | 0.01                 |
| 03/01/2018  | ***-**-845P - TRAUT, SHEILA<br>ACCOUNT #: 00086023476   | SMALLCAP WORLD FUND-529A<br>BUY 0 Units @0.0000            | 0.00                 | 1.43                | 0.00               | 1.43              | 0.5  | 0.01                 |
| 03/01/2018  | ***-**-525P - GARDNER, DANIEL<br>ACCOUNT #: 00086081038 | SMALLCAP WORLD FUND-529A<br>BUY 0 Units @0.0000            | 0.00                 | 4.82                | 0.00               | 4.82              | 0.5  | 0.02                 |



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|---|--------------------------------|--------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b><u>VERRIDE TRANSACTIONS (continued)</u></b>  |                                |                          |                      |                     |                    |                   |      |                      |
| <b><u>BROKER: ALEX GEORGIEV (continued)</u></b> |                                |                          |                      |                     |                    |                   |      |                      |
| 03/01/2018                                      | ***-**-185P - BROZIC, MICHAEL  | SMALLCAP WORLD FUND-529A | 0.00                 | 5.32                | 0.00               | 5.32              | 0.5  | 0.03                 |
|   | ACCOUNT #: 00086510064         | BUY 0 Units @0.0000      |                      |                     |                    |                   |      |                      |
| 03/01/2018                                      | ***-**-2802 - MAASS, TY        | SMALLCAP WORLD FUND-529A | 0.00                 | 3.46                | 0.00               | 3.46              | 0.5  | 0.02                 |
|   | ACCOUNT #: 00086550207         | BUY 0 Units @0.0000      |                      |                     |                    |                   |      |                      |
| 03/01/2018                                      | ***-**-005P - SIRCY, PATRICK   | SMALLCAP WORLD FUND-529A | 0.00                 | 10.76               | 0.00               | 10.76             | 0.5  | 0.05                 |
|   | ACCOUNT #: 00081938666         | BUY 0 Units @0.0000      |                      |                     |                    |                   |      |                      |
| 02/28/2018                                      | ***-**-72IN - THUMULURU,       | SMALLCAP WORLD FUND-A    | 150.00               | 4.13                | 0.00               | 4.13              | 0.5  | 0.02                 |
|   | ACCOUNT #: 00074749751         | BUY 3 Units @58.5100     |                      |                     |                    |                   |      |                      |
| 03/01/2018                                      | ***-**-391J - FRIEDMAN, KEITH  | SMALLCAP WORLD FUND-A    | 200.00               | 2.00                | 0.00               | 2.00              | 0.5  | 0.01                 |
|   | ACCOUNT #: 00083404691         | BUY 4 Units @56.1100     |                      |                     |                    |                   |      |                      |
| 03/01/2018                                      | ***-**-415P - TARANTINO, SCOTT | SMALLCAP WORLD FUND-A    | 200.00               | 2.00                | 0.00               | 2.00              | 0.5  | 0.01                 |
|   | ACCOUNT #: 00087447990         | BUY 4 Units @56.1100     |                      |                     |                    |                   |      |                      |
| 03/01/2018                                      | ***-**-064J - HALL, AMY        | SMALLCAP WORLD FUND-A    | 250.00               | 3.00                | 0.00               | 3.00              | 0.5  | 0.02                 |
|   | ACCOUNT #: 00083146232         | BUY 4 Units @56.9600     |                      |                     |                    |                   |      |                      |
| 03/01/2018                                      | ***-**-295P - HOGAN, ANN       | SMALLCAP WORLD FUND-A    | 0.00                 | 72.58               | 0.00               | 72.58             | 0.5  | 0.36                 |
|   | ACCOUNT #: 00074253253         | BUY 0 Units @0.0000      |                      |                     |                    |                   |      |                      |
| 03/01/2018                                      | ***-**-239I - TERRELL, LAURA   | SMALLCAP WORLD FUND-A    | 0.00                 | 30.81               | 0.00               | 30.81             | 0.5  | 0.15                 |
|   | ACCOUNT #: 00058786069         | BUY 0 Units @0.0000      |                      |                     |                    |                   |      |                      |
| 03/01/2018                                      | ***-**-481I - ARNOLD, JAMES    | SMALLCAP WORLD FUND-A    | 0.00                 | 2.90                | 0.00               | 2.90              | 0.5  | 0.01                 |
|   | ACCOUNT #: 00061445765         | BUY 0 Units @0.0000      |                      |                     |                    |                   |      |                      |
| 03/01/2018                                      | ***-**-12UT - BASTEN, ASHLEY   | SMALLCAP WORLD FUND-A    | 0.00                 | 1.89                | 0.00               | 1.89              | 0.5  | 0.01                 |
|   | ACCOUNT #: 00061604201         | BUY 0 Units @0.0000      |                      |                     |                    |                   |      |                      |
| 03/01/2018                                      | ***-**-675P - LEONARD, CRAIG   | SMALLCAP WORLD FUND-A    | 0.00                 | 9.82                | 0.00               | 9.82              | 0.5  | 0.05                 |
|   | ACCOUNT #: 00061651661         | BUY 0 Units @0.0000      |                      |                     |                    |                   |      |                      |
| 03/01/2018                                      | ***-**-230P - KEESE, MINDI     | SMALLCAP WORLD FUND-A    | 0.00                 | 7.69                | 0.00               | 7.69              | 0.5  | 0.04                 |
|   | ACCOUNT #: 00061765270         | BUY 0 Units @0.0000      |                      |                     |                    |                   |      |                      |
| 03/01/2018                                      | ***-**-41IN - EISENMANN,       | SMALLCAP WORLD FUND-A    | 0.00                 | 29.37               | 0.00               | 29.37             | 0.5  | 0.15                 |
|   | ACCOUNT #: 00062073038         | BUY 0 Units @0.0000      |                      |                     |                    |                   |      |                      |
| 03/01/2018                                      | ***-**-715P - EMERY, ELIZABETH | SMALLCAP WORLD FUND-A    | 0.00                 | 52.98               | 0.00               | 52.98             | 0.5  | 0.26                 |
|   | ACCOUNT #: 00062101930         | BUY 0 Units @0.0000      |                      |                     |                    |                   |      |                      |
| 03/01/2018                                      | ***-**-144I - EISENMANN,       | SMALLCAP WORLD FUND-A    | 0.00                 | 28.94               | 0.00               | 28.94             | 0.5  | 0.14                 |
|   | ACCOUNT #: 00062138472         | BUY 0 Units @0.0000      |                      |                     |                    |                   |      |                      |



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|---|---|--|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b><u>VERRIDE TRANSACTIONS (continued)</u></b>  |   |  |                      |                     |                    |                   |      |                      |
| <b><u>BROKER: ALEX GEORGIEV (continued)</u></b> |   |  |                      |                     |                    |                   |      |                      |
| 03/01/2018                                      | ***-**-56IN - TRAVIS, DANIEL<br>ACCOUNT #: 00062313582  | SMALLCAP WORLD FUND-A<br>BUY 0 Units @0.0000 | 0.00                 | 8.54                | 0.00               | 8.54              | 0.5  | 0.04                 |
| 03/01/2018                                      | ***-**-875P - SICA, BRENDA<br>ACCOUNT #: 00063674032    | SMALLCAP WORLD FUND-A<br>BUY 0 Units @0.0000 | 0.00                 | 37.23               | 0.00               | 37.23             | 0.5  | 0.19                 |
| 03/01/2018                                      | ***-**-575P - ANDERSON, SUSAN<br>ACCOUNT #: 00063941162 | SMALLCAP WORLD FUND-A<br>BUY 0 Units @0.0000 | 0.00                 | 3.13                | 0.00               | 3.13              | 0.5  | 0.02                 |
| 03/01/2018                                      | ***-**-005P - PERRY, KARON<br>ACCOUNT #: 00064102786    | SMALLCAP WORLD FUND-A<br>BUY 0 Units @0.0000 | 0.00                 | 1.40                | 0.00               | 1.40              | 0.5  | 0.01                 |
| 03/01/2018                                      | ***-**-371I - SMITH, LEOLA<br>ACCOUNT #: 00064360066    | SMALLCAP WORLD FUND-A<br>BUY 0 Units @0.0000 | 0.00                 | 7.11                | 0.00               | 7.11              | 0.5  | 0.04                 |
| 03/01/2018                                      | ***-**-425I - FARACI, JOHN<br>ACCOUNT #: 00066994858    | SMALLCAP WORLD FUND-A<br>BUY 0 Units @0.0000 | 0.00                 | 31.45               | 0.00               | 31.45             | 0.5  | 0.16                 |
| 03/01/2018                                      | ***-**-0185 - BRINKLEY, JANE<br>ACCOUNT #: 00075722405  | SMALLCAP WORLD FUND-A<br>BUY 0 Units @0.0000 | 0.00                 | 12.04               | 0.00               | 12.04             | 0.5  | 0.06                 |
| 03/01/2018                                      | ***-**-427I - KRUEGER, JOHN<br>ACCOUNT #: 00082686514   | SMALLCAP WORLD FUND-A<br>BUY 0 Units @0.0000 | 0.00                 | 12.82               | 0.00               | 12.82             | 0.5  | 0.06                 |
| 03/01/2018                                      | ***-**-116J - KRUEGER, JOHN<br>ACCOUNT #: 00082687579   | SMALLCAP WORLD FUND-A<br>BUY 0 Units @0.0000 | 0.00                 | 1.99                | 0.00               | 1.99              | 0.5  | 0.01                 |
| 03/01/2018                                      | ***-**-470I - FLUETTE, RANDY<br>ACCOUNT #: 00083852141  | SMALLCAP WORLD FUND-A<br>BUY 0 Units @0.0000 | 0.00                 | 20.28               | 0.00               | 20.28             | 0.5  | 0.10                 |
| 03/01/2018                                      | ***-**-95IN - MILLER, TRAVIS<br>ACCOUNT #: 00084396354  | SMALLCAP WORLD FUND-A<br>BUY 0 Units @0.0000 | 0.00                 | 1.90                | 0.00               | 1.90              | 0.5  | 0.01                 |
| 03/01/2018                                      | ***-**-86IN - KIZER, THOMAS<br>ACCOUNT #: 00085361207   | SMALLCAP WORLD FUND-A<br>BUY 0 Units @0.0000 | 0.00                 | 2.68                | 0.00               | 2.68              | 0.5  | 0.01                 |
| 03/01/2018                                      | ***-**-3299 - RAMIREZ, JOSE<br>ACCOUNT #: 00068281046   | SMALLCAP WORLD FUND-A<br>BUY 0 Units @0.0000 | 0.00                 | 12.74               | 0.00               | 12.74             | 0.5  | 0.06                 |
| 03/01/2018                                      | ***-**-11IR - SCHAFFTEL, AMY<br>ACCOUNT #: 00063600878  | SMALLCAP WORLD FUND-A<br>BUY 0 Units @0.0000 | 0.00                 | 1.64                | 0.00               | 1.64              | 0.5  | 0.01                 |
| 03/01/2018                                      | ***-**-085P - RAINEY, JAMES<br>ACCOUNT #: 00065050651   | SMALLCAP WORLD FUND-A<br>BUY 0 Units @0.0000 | 0.00                 | 3.11                | 0.00               | 3.11              | 0.5  | 0.02                 |
| 03/01/2018                                      | ***-**-485P - TRIESCHMAN,<br>ACCOUNT #: 00065098004     | SMALLCAP WORLD FUND-A<br>BUY 0 Units @0.0000 | 0.00                 | 1.15                | 0.00               | 1.15              | 0.5  | 0.01                 |





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| <b><u>VERRIDE TRANSACTIONS (continued)</u></b>  |                                |                       |                      |                     |                    |                   |      |                      |
| <b><u>BROKER: ALEX GEORGIEV (continued)</u></b> |                                |                       |                      |                     |                    |                   |      |                      |
| 03/01/2018                                      | ***-**-601I - FALCK, ROBERT    | SMALLCAP WORLD FUND-A | 0.00                 | 19.59               | 0.00               | 19.59             | 0.5  | 0.10                 |
|   | ACCOUNT #: 00068513111         | BUY 0 Units @0.0000   |                      |                     |                    |                   |      |                      |
| 03/01/2018                                      | ***-**-29IN - LITMAN, WENDY    | SMALLCAP WORLD FUND-A | 0.00                 | 5.67                | 0.00               | 5.67              | 0.5  | 0.03                 |
|   | ACCOUNT #: 00068524068         | BUY 0 Units @0.0000   |                      |                     |                    |                   |      |                      |
| 03/01/2018                                      | ***-**-065P - DJENADIC, GORAN  | SMALLCAP WORLD FUND-A | 0.00                 | 3.51                | 0.00               | 3.51              | 0.5  | 0.02                 |
|   | ACCOUNT #: 00069014458         | BUY 0 Units @0.0000   |                      |                     |                    |                   |      |                      |
| 03/01/2018                                      | ***-**-915P - ELIAS, CAROLINA  | SMALLCAP WORLD FUND-A | 0.00                 | 14.59               | 0.00               | 14.59             | 0.5  | 0.07                 |
|   | ACCOUNT #: 00069223122         | BUY 0 Units @0.0000   |                      |                     |                    |                   |      |                      |
| 03/01/2018                                      | ***-**-475P - LURIA, BENNETT   | SMALLCAP WORLD FUND-A | 0.00                 | 10.53               | 0.00               | 10.53             | 0.5  | 0.05                 |
|   | ACCOUNT #: 00073101452         | BUY 0 Units @0.0000   |                      |                     |                    |                   |      |                      |
| 03/01/2018                                      | ***-**-245P - KURMAN, MICHELLE | SMALLCAP WORLD FUND-A | 0.00                 | 11.98               | 0.00               | 11.98             | 0.5  | 0.06                 |
|   | ACCOUNT #: 00073571102         | BUY 0 Units @0.0000   |                      |                     |                    |                   |      |                      |
| 03/01/2018                                      | ***-**-691I - COLLINS, PAMELA  | SMALLCAP WORLD FUND-A | 0.00                 | 7.06                | 0.00               | 7.06              | 0.5  | 0.04                 |
|   | ACCOUNT #: 00074006244         | BUY 0 Units @0.0000   |                      |                     |                    |                   |      |                      |
| 03/01/2018                                      | ***-**-802J - MAASS, CARLY     | SMALLCAP WORLD FUND-A | 0.00                 | 23.01               | 0.00               | 23.01             | 0.5  | 0.12                 |
|   | ACCOUNT #: 00074618503         | BUY 0 Units @0.0000   |                      |                     |                    |                   |      |                      |
| 03/01/2018                                      | ***-**-72IN - THUMULURU,       | SMALLCAP WORLD FUND-A | 0.00                 | 11.10               | 0.00               | 11.10             | 0.5  | 0.06                 |
|   | ACCOUNT #: 00074749751         | BUY 0 Units @0.0000   |                      |                     |                    |                   |      |                      |
| 03/01/2018                                      | ***-**-17SI - CARSON, JEAN     | SMALLCAP WORLD FUND-A | 0.00                 | 2.48                | 0.00               | 2.48              | 0.5  | 0.01                 |
|   | ACCOUNT #: 00075399997         | BUY 0 Units @0.0000   |                      |                     |                    |                   |      |                      |
| 03/01/2018                                      | ***-**-965P - HORNICK, SCOTT   | SMALLCAP WORLD FUND-A | 0.00                 | 12.70               | 0.00               | 12.70             | 0.5  | 0.06                 |
|   | ACCOUNT #: 00075539423         | BUY 0 Units @0.0000   |                      |                     |                    |                   |      |                      |
| 03/01/2018                                      | ***-**-795P - CREEGAN, THOMAS  | SMALLCAP WORLD FUND-A | 0.00                 | 16.87               | 0.00               | 16.87             | 0.5  | 0.08                 |
|   | ACCOUNT #: 00075748864         | BUY 0 Units @0.0000   |                      |                     |                    |                   |      |                      |
| 03/01/2018                                      | ***-**-305P - ALOOR, RAVI      | SMALLCAP WORLD FUND-A | 0.00                 | 15.04               | 0.00               | 15.04             | 0.5  | 0.08                 |
|   | ACCOUNT #: 00081137427         | BUY 0 Units @0.0000   |                      |                     |                    |                   |      |                      |
| 03/01/2018                                      | ***-**-721I - SHILOACH, JOSEPH | SMALLCAP WORLD FUND-A | 0.00                 | 4.54                | 0.00               | 4.54              | 0.5  | 0.02                 |
|   | ACCOUNT #: 00081205994         | BUY 0 Units @0.0000   |                      |                     |                    |                   |      |                      |
| 03/01/2018                                      | ***-**-95IN - STARTZEL,        | SMALLCAP WORLD FUND-A | 0.00                 | 14.32               | 0.00               | 14.32             | 0.5  | 0.07                 |
|   | ACCOUNT #: 00081317740         | BUY 0 Units @0.0000   |                      |                     |                    |                   |      |                      |
| 03/01/2018                                      | ***-**-045P - RAMESHKUMAR,     | SMALLCAP WORLD FUND-A | 0.00                 | 18.10               | 0.00               | 18.10             | 0.5  | 0.09                 |
|   | ACCOUNT #: 00081655955         | BUY 0 Units @0.0000   |                      |                     |                    |                   |      |                      |



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| <b><u> OVERRIDE TRANSACTIONS (continued) </u></b> |                                |                                 |                      |                     |                    |                   |      |                      |
| <b><u>BROKER: ALEX GEORGIEV (continued)</u></b>   |                                |                                 |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-76SI - JONES, MARCIE    | SMALLCAP WORLD FUND-A           | 0.00                 | 8.78                | 0.00               | 8.78              | 0.5  | 0.04                 |
|   | ACCOUNT #: 00081719052         | BUY 0 Units @0.0000             |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-82IN - TEN, JT          | SMALLCAP WORLD FUND-A           | 0.00                 | 23.52               | 0.00               | 23.52             | 0.5  | 0.12                 |
|   | ACCOUNT #: 00082421077         | BUY 0 Units @0.0000             |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-185P - KONIZESKI, DELIA | SMALLCAP WORLD FUND-A           | 0.00                 | 1.98                | 0.00               | 1.98              | 0.5  | 0.01                 |
|   | ACCOUNT #: 00082792992         | BUY 0 Units @0.0000             |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-064J - HALL, AMY        | SMALLCAP WORLD FUND-A           | 0.00                 | 55.17               | 0.00               | 55.17             | 0.5  | 0.28                 |
|   | ACCOUNT #: 00083146232         | BUY 0 Units @0.0000             |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-391J - FRIEDMAN, KEITH  | SMALLCAP WORLD FUND-A           | 0.00                 | 28.07               | 0.00               | 28.07             | 0.5  | 0.14                 |
|   | ACCOUNT #: 00083404691         | BUY 0 Units @0.0000             |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-747I - ROY, JESSICA     | SMALLCAP WORLD FUND-A           | 0.00                 | 3.13                | 0.00               | 3.13              | 0.5  | 0.02                 |
|   | ACCOUNT #: 00083742202         | BUY 0 Units @0.0000             |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-452J - GARDNER, DANIEL  | SMALLCAP WORLD FUND-A           | 0.00                 | 6.77                | 0.00               | 6.77              | 0.5  | 0.03                 |
|   | ACCOUNT #: 00084433333         | BUY 0 Units @0.0000             |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-415P - TARANTINO, SCOTT | SMALLCAP WORLD FUND-A           | 0.00                 | 22.14               | 0.00               | 22.14             | 0.5  | 0.11                 |
|   | ACCOUNT #: 00087447990         | BUY 0 Units @0.0000             |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-375P - SINNO, FADY      | SMALLCAP WORLD FUND-F1          | 0.00                 | 33.76               | 0.00               | 33.76             | 0.5  | 0.17                 |
|   | ACCOUNT #: 00068297392         | BUY 0 Units @0.0000             |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-415P - TARANTINO, SCOTT | TAX-EXEMPT BOND FUND OF AMERICA | 200.00               | 2.00                | 0.00               | 2.00              | 0.5  | 0.01                 |
|   | ACCOUNT #: 00087447990         | BUY 16 Units @12.8100           |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-66FB - VERSTANDIG, CARL | TAX-EXEMPT BOND FUND OF AMERICA | 0.00                 | 3.30                | 0.00               | 3.30              | 0.5  | 0.02                 |
|   | ACCOUNT #: 00068370962         | BUY 0 Units @0.0000             |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-29IN - LITMAN, WENDY    | TAX-EXEMPT BOND FUND OF AMERICA | 0.00                 | 4.53                | 0.00               | 4.53              | 0.5  | 0.02                 |
|   | ACCOUNT #: 00068524068         | BUY 0 Units @0.0000             |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-04IN - MURPHY, PAUL     | TAX-EXEMPT BOND FUND OF AMERICA | 0.00                 | 12.49               | 0.00               | 12.49             | 0.5  | 0.06                 |
|   | ACCOUNT #: 00075938729         | BUY 0 Units @0.0000             |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-95IN - STARTZEL,        | TAX-EXEMPT BOND FUND OF AMERICA | 0.00                 | 9.52                | 0.00               | 9.52              | 0.5  | 0.05                 |
|   | ACCOUNT #: 00081317740         | BUY 0 Units @0.0000             |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-064J - HALL, AMY        | TAX-EXEMPT BOND FUND OF AMERICA | 0.00                 | 21.04               | 0.00               | 21.04             | 0.5  | 0.11                 |
|   | ACCOUNT #: 00083146232         | BUY 0 Units @0.0000             |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-391J - FRIEDMAN, KEITH  | TAX-EXEMPT BOND FUND OF AMERICA | 0.00                 | 14.28               | 0.00               | 14.28             | 0.5  | 0.07                 |
|   | ACCOUNT #: 00083404691         | BUY 0 Units @0.0000             |                      |                     |                    |                   |      |                      |



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| <b><u>VERRIDE TRANSACTIONS (continued)</u></b>  |                                |                                 |                      |                     |                    |                   |      |                      |
| <b><u>BROKER: ALEX GEORGIEV (continued)</u></b> |                                |                                 |                      |                     |                    |                   |      |                      |
| 03/01/2018                                      | ***-**-887I - IM, RICHARD      | TAX-EXEMPT BOND FUND OF AMERICA | 0.00                 | 13.40               | 0.00               | 13.40             | 0.5  | 0.07                 |
|   | ACCOUNT #: 00086890530         | BUY 0 Units @0.0000             |                      |                     |                    |                   |      |                      |
| 03/01/2018                                      | ***-**-415P - TARANTINO, SCOTT | TAX-EXEMPT BOND FUND OF AMERICA | 0.00                 | 20.51               | 0.00               | 20.51             | 0.5  | 0.10                 |
|   | ACCOUNT #: 00087447990         | BUY 0 Units @0.0000             |                      |                     |                    |                   |      |                      |
| 03/01/2018                                      | ***-**-074J - MARSIGLIA, HARRY | TAX-EXEMPT BOND FUND OF AMERICA | 0.00                 | 7.28                | 0.00               | 7.28              | 0.5  | 0.04                 |
|   | ACCOUNT #: 00087619431         | BUY 0 Units @0.0000             |                      |                     |                    |                   |      |                      |
| 03/01/2018                                      | ***-**-905P - JUSTUS,          | THE BOND FUND OF AMERICA-529A   | 0.00                 | 3.73                | 0.00               | 3.73              | 0.5  | 0.02                 |
|   | ACCOUNT #: 00081237301         | BUY 0 Units @0.0000             |                      |                     |                    |                   |      |                      |
| 03/01/2018                                      | ***-**-5239 - TERRELL, EMILY   | THE BOND FUND OF AMERICA-529A   | 0.00                 | 6.83                | 0.00               | 6.83              | 0.5  | 0.03                 |
|   | ACCOUNT #: 00083570795         | BUY 0 Units @0.0000             |                      |                     |                    |                   |      |                      |
| 03/01/2018                                      | ***-**-5239 - TERRELL, EMILY   | THE BOND FUND OF AMERICA-529A   | 0.00                 | 5.50                | 0.00               | 5.50              | 0.5  | 0.03                 |
|   | ACCOUNT #: 00083571087         | BUY 0 Units @0.0000             |                      |                     |                    |                   |      |                      |
| 03/01/2018                                      | ***-**-525P - GARDNER, DANIEL  | THE BOND FUND OF AMERICA-529A   | 0.00                 | 2.22                | 0.00               | 2.22              | 0.5  | 0.01                 |
|   | ACCOUNT #: 00084433353         | BUY 0 Units @0.0000             |                      |                     |                    |                   |      |                      |
| 03/01/2018                                      | ***-**-005P - SIRCY, PATRICK   | THE BOND FUND OF AMERICA-529A   | 0.00                 | 3.18                | 0.00               | 3.18              | 0.5  | 0.02                 |
|   | ACCOUNT #: 00081938666         | BUY 0 Units @0.0000             |                      |                     |                    |                   |      |                      |
| 03/01/2018                                      | ***-**-064J - HALL, AMY        | THE BOND FUND OF AMERICA-A      | 250.00               | 3.00                | 0.00               | 3.00              | 0.5  | 0.02                 |
|   | ACCOUNT #: 00083146232         | BUY 20 Units @12.8200           |                      |                     |                    |                   |      |                      |
| 03/01/2018                                      | ***-**-295P - HOGAN, ANN       | THE BOND FUND OF AMERICA-A      | 0.00                 | 22.41               | 0.00               | 22.41             | 0.5  | 0.11                 |
|   | ACCOUNT #: 00074253253         | BUY 0 Units @0.0000             |                      |                     |                    |                   |      |                      |
| 03/01/2018                                      | ***-**-245P - KELBER, JEFFRY   | THE BOND FUND OF AMERICA-A      | 0.00                 | 73.56               | 0.00               | 73.56             | 0.5  | 0.37                 |
|   | ACCOUNT #: 00059587254         | BUY 0 Units @0.0000             |                      |                     |                    |                   |      |                      |
| 03/01/2018                                      | ***-**-45IN - INTIHAR, CHRIS   | THE BOND FUND OF AMERICA-A      | 0.00                 | 15.94               | 0.00               | 15.94             | 0.5  | 0.08                 |
|   | ACCOUNT #: 00060636309         | BUY 0 Units @0.0000             |                      |                     |                    |                   |      |                      |
| 03/01/2018                                      | ***-**-973P - INTIHAR, SANDRA  | THE BOND FUND OF AMERICA-A      | 0.00                 | 19.60               | 0.00               | 19.60             | 0.5  | 0.10                 |
|   | ACCOUNT #: 00060992035         | BUY 0 Units @0.0000             |                      |                     |                    |                   |      |                      |
| 03/01/2018                                      | ***-**-675P - LEONARD, CRAIG   | THE BOND FUND OF AMERICA-A      | 0.00                 | 2.88                | 0.00               | 2.88              | 0.5  | 0.01                 |
|   | ACCOUNT #: 00061651661         | BUY 0 Units @0.0000             |                      |                     |                    |                   |      |                      |
| 03/01/2018                                      | ***-**-229I - NOWAKOWSKI,      | THE BOND FUND OF AMERICA-A      | 0.00                 | 20.57               | 0.00               | 20.57             | 0.5  | 0.10                 |
|   | ACCOUNT #: 00061749920         | BUY 0 Units @0.0000             |                      |                     |                    |                   |      |                      |
| 03/01/2018                                      | ***-**-973I - INTIHAR, SANDRA  | THE BOND FUND OF AMERICA-A      | 0.00                 | 12.80               | 0.00               | 12.80             | 0.5  | 0.06                 |
|   | ACCOUNT #: 00061923377         | BUY 0 Units @0.0000             |                      |                     |                    |                   |      |                      |



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| DATE  | CLIENT                         | INVESTMENT                 | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|---|--------------------------------|----------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b><u> OVERRIDE TRANSACTIONS (continued) </u></b> |                                |                            |                      |                     |                    |                   |      |                      |
| <b><u>BROKER: ALEX GEORGIEV (continued)</u></b>   |                                |                            |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-773I - MAGGIO, GIUSEPPE | THE BOND FUND OF AMERICA-A | 0.00                 | 4.96                | 0.00               | 4.96              | 0.5  | 0.02                 |
|   | ACCOUNT #: 00063184206         | BUY 0 Units @0.0000        |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-7060 - GARLAND, BARBARA | THE BOND FUND OF AMERICA-A | 0.00                 | 36.35               | 0.00               | 36.35             | 0.5  | 0.18                 |
|   | ACCOUNT #: 00063496789         | BUY 0 Units @0.0000        |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-895P - BIANCAVILLA,     | THE BOND FUND OF AMERICA-A | 0.00                 | 162.98              | 0.00               | 162.98            | 0.5  | 0.81                 |
|   | ACCOUNT #: 00064213390         | BUY 0 Units @0.0000        |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-465P - HOLT, DAVID      | THE BOND FUND OF AMERICA-A | 0.00                 | 19.78               | 0.00               | 19.78             | 0.5  | 0.10                 |
|   | ACCOUNT #: 00066795968         | BUY 0 Units @0.0000        |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-375P - KAVI, KRISHNA    | THE BOND FUND OF AMERICA-A | 0.00                 | 5.68                | 0.00               | 5.68              | 0.5  | 0.03                 |
|   | ACCOUNT #: 00066909129         | BUY 0 Units @0.0000        |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-375P - KAVI, KRISHNA    | THE BOND FUND OF AMERICA-A | 0.00                 | 37.59               | 0.00               | 37.59             | 0.5  | 0.19                 |
|   | ACCOUNT #: 00066909137         | BUY 0 Units @0.0000        |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-375P - KAVI, KRISHNA    | THE BOND FUND OF AMERICA-A | 0.00                 | 6.94                | 0.00               | 6.94              | 0.5  | 0.03                 |
|   | ACCOUNT #: 00066909138         | BUY 0 Units @0.0000        |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-23IN - SHULL, HAZEL     | THE BOND FUND OF AMERICA-A | 0.00                 | 8.20                | 0.00               | 8.20              | 0.5  | 0.04                 |
|   | ACCOUNT #: 00068030481         | BUY 0 Units @0.0000        |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-515P - TASSOUL, MICHAEL | THE BOND FUND OF AMERICA-A | 0.00                 | 2.57                | 0.00               | 2.57              | 0.5  | 0.01                 |
|   | ACCOUNT #: 00068195206         | BUY 0 Units @0.0000        |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-657I - NEWELL, JODI     | THE BOND FUND OF AMERICA-A | 0.00                 | 10.58               | 0.00               | 10.58             | 0.5  | 0.05                 |
|   | ACCOUNT #: 00068704319         | BUY 0 Units @0.0000        |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-737I - NEWGAARD, JERI   | THE BOND FUND OF AMERICA-A | 0.00                 | 2.59                | 0.00               | 2.59              | 0.5  | 0.01                 |
|   | ACCOUNT #: 00073125186         | BUY 0 Units @0.0000        |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-265P - CLIFFORD, JAMES  | THE BOND FUND OF AMERICA-A | 0.00                 | 5.88                | 0.00               | 5.88              | 0.5  | 0.03                 |
|   | ACCOUNT #: 00073275609         | BUY 0 Units @0.0000        |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-727I - POSSEE, DIANE    | THE BOND FUND OF AMERICA-A | 0.00                 | 2.11                | 0.00               | 2.11              | 0.5  | 0.01                 |
|   | ACCOUNT #: 00075475535         | BUY 0 Units @0.0000        |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-424I - QUINERLY,        | THE BOND FUND OF AMERICA-A | 0.00                 | 5.48                | 0.00               | 5.48              | 0.5  | 0.03                 |
|   | ACCOUNT #: 00081769587         | BUY 0 Units @0.0000        |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-045P - SWEENEY, ROBERT  | THE BOND FUND OF AMERICA-A | 0.00                 | 4.47                | 0.00               | 4.47              | 0.5  | 0.02                 |
|   | ACCOUNT #: 00082400759         | BUY 0 Units @0.0000        |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-401I - NEWELL, JEFFREY  | THE BOND FUND OF AMERICA-A | 0.00                 | 5.43                | 0.00               | 5.43              | 0.5  | 0.03                 |
|   | ACCOUNT #: 00082402147         | BUY 0 Units @0.0000        |                      |                     |                    |                   |      |                      |



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|---|--------------------------------|---------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b><u>VERRIDE TRANSACTIONS (continued)</u></b>  |                                |                                 |                      |                     |                    |                   |      |                      |
| <b><u>BROKER: ALEX GEORGIEV (continued)</u></b> |                                |                                 |                      |                     |                    |                   |      |                      |
| 03/01/2018                                      | ***-**-994B - EARLES, PHYLLIS  | THE BOND FUND OF AMERICA-A      | 0.00                 | 1.82                | 0.00               | 1.82              | 0.5  | 0.01                 |
|   | ACCOUNT #: 02001074291         | BUY 0 Units @0.0000             |                      |                     |                    |                   |      |                      |
| 03/01/2018                                      | ***-**-8126 - BROWN, BEVERLY   | THE BOND FUND OF AMERICA-A      | 0.00                 | 2.14                | 0.00               | 2.14              | 0.5  | 0.01                 |
|   | ACCOUNT #: 00082099688         | BUY 0 Units @0.0000             |                      |                     |                    |                   |      |                      |
| 03/01/2018                                      | ***-**-601I - FALCK, ROBERT    | THE BOND FUND OF AMERICA-A      | 0.00                 | 15.28               | 0.00               | 15.28             | 0.5  | 0.08                 |
|   | ACCOUNT #: 00068513111         | BUY 0 Units @0.0000             |                      |                     |                    |                   |      |                      |
| 03/01/2018                                      | ***-**-17SI - CARSON, JEAN     | THE BOND FUND OF AMERICA-A      | 0.00                 | 1.49                | 0.00               | 1.49              | 0.5  | 0.01                 |
|   | ACCOUNT #: 00075399997         | BUY 0 Units @0.0000             |                      |                     |                    |                   |      |                      |
| 03/01/2018                                      | ***-**-064J - HALL, AMY        | THE BOND FUND OF AMERICA-A      | 0.00                 | 22.45               | 0.00               | 22.45             | 0.5  | 0.11                 |
|   | ACCOUNT #: 00083146232         | BUY 0 Units @0.0000             |                      |                     |                    |                   |      |                      |
| 03/01/2018                                      | ***-**-416I - KETNER, SANDRA   | THE BOND FUND OF AMERICA-A      | 0.00                 | 16.75               | 0.00               | 16.75             | 0.5  | 0.08                 |
|   | ACCOUNT #: 00085170636         | BUY 0 Units @0.0000             |                      |                     |                    |                   |      |                      |
| 03/01/2018                                      | ***-**-415P - TARANTINO, SCOTT | THE BOND FUND OF AMERICA-A      | 0.00                 | 6.78                | 0.00               | 6.78              | 0.5  | 0.03                 |
|   | ACCOUNT #: 00087447990         | BUY 0 Units @0.0000             |                      |                     |                    |                   |      |                      |
| 03/01/2018                                      | ***-**-635P - SCOTT, JAMES     | THE BOND FUND OF AMERICA-C      | 0.00                 | 16.87               | 0.00               | 16.87             | 0.5  | 0.08                 |
|   | ACCOUNT #: 00068920074         | BUY 0 Units @0.0000             |                      |                     |                    |                   |      |                      |
| 03/01/2018                                      | ***-**-635P - SCOTT, JAMES     | THE BOND FUND OF AMERICA-F1     | 0.00                 | 15.77               | 0.00               | 15.77             | 0.5  | 0.08                 |
|   | ACCOUNT #: 00068920074         | BUY 0 Units @0.0000             |                      |                     |                    |                   |      |                      |
| 03/01/2018                                      | ***-**-425P - RADINSKY,        | THE GROWTH FUND OF AMERICA-529A | 100.00               | 2.75                | 0.00               | 2.75              | 0.5  | 0.01                 |
|   | ACCOUNT #: 00068975127         | BUY 2 Units @52.8500            |                      |                     |                    |                   |      |                      |
| 03/01/2018                                      | ***-**-425P - RADINSKY,        | THE GROWTH FUND OF AMERICA-529A | 100.00               | 2.75                | 0.00               | 2.75              | 0.5  | 0.01                 |
|   | ACCOUNT #: 00068975129         | BUY 2 Units @52.8500            |                      |                     |                    |                   |      |                      |
| 03/01/2018                                      | ***-**-675P - WHITAKER, SYDNEY | THE GROWTH FUND OF AMERICA-529A | 0.00                 | 2.11                | 0.00               | 2.11              | 0.5  | 0.01                 |
|   | ACCOUNT #: 00069250849         | BUY 0 Units @0.0000             |                      |                     |                    |                   |      |                      |
| 03/01/2018                                      | ***-**-215P - LUNA, SELENA     | THE GROWTH FUND OF AMERICA-529A | 0.00                 | 1.02                | 0.00               | 1.02              | 0.5  | 0.01                 |
|   | ACCOUNT #: 00074060730         | BUY 0 Units @0.0000             |                      |                     |                    |                   |      |                      |
| 03/01/2018                                      | ***-**-515P - ELLEDGE, HANNAH  | THE GROWTH FUND OF AMERICA-529A | 0.00                 | 1.76                | 0.00               | 1.76              | 0.5  | 0.01                 |
|   | ACCOUNT #: 00074671035         | BUY 0 Units @0.0000             |                      |                     |                    |                   |      |                      |
| 03/01/2018                                      | ***-**-5473 - GRIMES, AMBER    | THE GROWTH FUND OF AMERICA-529A | 0.00                 | 4.42                | 0.00               | 4.42              | 0.5  | 0.02                 |
|   | ACCOUNT #: 00081224073         | BUY 0 Units @0.0000             |                      |                     |                    |                   |      |                      |
| 03/01/2018                                      | ***-**-685P - VEAL, MICHAEL    | THE GROWTH FUND OF AMERICA-529A | 0.00                 | 4.86                | 0.00               | 4.86              | 0.5  | 0.02                 |
|   | ACCOUNT #: 00081923626         | BUY 0 Units @0.0000             |                      |                     |                    |                   |      |                      |



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|---|---|---|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b><u> OVERRIDE TRANSACTIONS (continued) </u></b> |   |   |                      |                     |                    |                   |      |                      |
| <b><u>BROKER: ALEX GEORGIEV (continued)</u></b>   |   |   |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-0619 - SHORB, STANLEY<br>ACCOUNT #: 00083330700  | THE GROWTH FUND OF AMERICA-529A<br>BUY 0 Units @0.0000  | 0.00                 | 1.32                | 0.00               | 1.32              | 0.5  | 0.01                 |
| 03/01/2018  | ***-**-425P - RADINSKY,<br>ACCOUNT #: 00068975127       | THE GROWTH FUND OF AMERICA-529A<br>BUY 0 Units @0.0000  | 0.00                 | 23.71               | 0.00               | 23.71             | 0.5  | 0.12                 |
| 03/01/2018  | ***-**-425P - RADINSKY,<br>ACCOUNT #: 00068975129       | THE GROWTH FUND OF AMERICA-529A<br>BUY 0 Units @0.0000  | 0.00                 | 18.23               | 0.00               | 18.23             | 0.5  | 0.09                 |
| 03/01/2018  | ***-**-115P - BEG, ASIF<br>ACCOUNT #: 00081438568       | THE GROWTH FUND OF AMERICA-529A<br>BUY 0 Units @0.0000  | 0.00                 | 4.06                | 0.00               | 4.06              | 0.5  | 0.02                 |
| 03/01/2018  | ***-**-015P - SEVERE, DAVID<br>ACCOUNT #: 00082698692   | THE GROWTH FUND OF AMERICA-529A<br>BUY 0 Units @0.0000  | 0.00                 | 14.86               | 0.00               | 14.86             | 0.5  | 0.07                 |
| 03/01/2018  | ***-**-425P - LEWIS, SALLY<br>ACCOUNT #: 00082721773    | THE GROWTH FUND OF AMERICA-529A<br>BUY 0 Units @0.0000  | 0.00                 | 7.89                | 0.00               | 7.89              | 0.5  | 0.04                 |
| 03/01/2018  | ***-**-525P - GARDNER, DANIEL<br>ACCOUNT #: 00084433353 | THE GROWTH FUND OF AMERICA-529A<br>BUY 0 Units @0.0000  | 0.00                 | 23.57               | 0.00               | 23.57             | 0.5  | 0.12                 |
| 03/01/2018  | ***-**-825P - MARKS, JACOB<br>ACCOUNT #: 00085088195    | THE GROWTH FUND OF AMERICA-529A<br>BUY 0 Units @0.0000  | 0.00                 | 6.76                | 0.00               | 6.76              | 0.5  | 0.03                 |
| 03/01/2018  | ***-**-825P - MARKS, JACOB<br>ACCOUNT #: 00085088223    | THE GROWTH FUND OF AMERICA-529A<br>BUY 0 Units @0.0000  | 0.00                 | 6.76                | 0.00               | 6.76              | 0.5  | 0.03                 |
| 03/01/2018  | ***-**-825P - MARKS, JACOB<br>ACCOUNT #: 00085088240    | THE GROWTH FUND OF AMERICA-529A<br>BUY 0 Units @0.0000  | 0.00                 | 6.76                | 0.00               | 6.76              | 0.5  | 0.03                 |
| 03/01/2018  | ***-**-2802 - MAASS, TY<br>ACCOUNT #: 00086550207       | THE GROWTH FUND OF AMERICA-529A<br>BUY 0 Units @0.0000  | 0.00                 | 5.47                | 0.00               | 5.47              | 0.5  | 0.03                 |
| 03/01/2018  | ***-**-005P - SIRCY, PATRICK<br>ACCOUNT #: 00081938666  | THE GROWTH FUND OF AMERICA-529A<br>BUY 0 Units @0.0000  | 0.00                 | 12.29               | 0.00               | 12.29             | 0.5  | 0.06                 |
| 03/02/2018  | ***-**-5473 - GRIMES, AMBER<br>ACCOUNT #: 00081224073   | THE GROWTH FUND OF AMERICA-529A<br>BUY 1 Units @54.4800 | 75.00                | 3.75                | 0.00               | 3.75              | 0.5  | 0.02                 |
| 03/01/2018  | ***-**-235P - SCHEIDT,<br>ACCOUNT #: 00084738567        | THE GROWTH FUND OF AMERICA-529E<br>BUY 0 Units @0.0000  | 0.00                 | 1.19                | 0.00               | 1.19              | 0.5  | 0.01                 |
| 03/01/2018  | ***-**-235P - SCHEIDT,<br>ACCOUNT #: 00084738585        | THE GROWTH FUND OF AMERICA-529E<br>BUY 0 Units @0.0000  | 0.00                 | 1.19                | 0.00               | 1.19              | 0.5  | 0.01                 |
| 03/01/2018  | ***-**-235P - SCHEIDT,<br>ACCOUNT #: 00086445473        | THE GROWTH FUND OF AMERICA-529E<br>BUY 0 Units @0.0000  | 0.00                 | 1.16                | 0.00               | 1.16              | 0.5  | 0.01                 |



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|---|---|--|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b><u> OVERRIDE TRANSACTIONS (continued) </u></b> |   |  |                      |                     |                    |                   |      |                      |
| <b><u>BROKER: ALEX GEORGIEV (continued)</u></b>   |   |  |                      |                     |                    |                   |      |                      |
| 02/28/2018  | ***-**-295P - AMSEL, PATTI<br>ACCOUNT #: 00073772424    | THE GROWTH FUND OF AMERICA-A<br>BUY 4 Units @54.0100 | 200.00               | 5.50                | 0.00               | 5.50              | 0.5  | 0.03                 |
| 03/01/2018  | ***-**-515P - MEYER, MICHAEL<br>ACCOUNT #: 00066722060  | THE GROWTH FUND OF AMERICA-A<br>BUY 2 Units @51.5400 | 100.00               | 1.00                | 0.00               | 1.00              | 0.5  | 0.01                 |
| 03/01/2018  | ***-**-765P - PIERRE, YOLETTE<br>ACCOUNT #: 00067468481 | THE GROWTH FUND OF AMERICA-A<br>BUY 2 Units @53.9700 | 100.00               | 3.75                | 0.00               | 3.75              | 0.5  | 0.02                 |
| 03/01/2018  | ***-**-064J - HALL, AMY<br>ACCOUNT #: 00083146232       | THE GROWTH FUND OF AMERICA-A<br>BUY 5 Units @52.3200 | 250.00               | 3.00                | 0.00               | 3.00              | 0.5  | 0.02                 |
| 03/01/2018  | ***-**-295P - HOGAN, ANN<br>ACCOUNT #: 00074253253      | THE GROWTH FUND OF AMERICA-A<br>BUY 0 Units @0.0000  | 0.00                 | 98.77               | 0.00               | 98.77             | 0.5  | 0.49                 |
| 03/01/2018  | ***-**-12UG - UNTIL AGE 21,<br>ACCOUNT #: 00081727206   | THE GROWTH FUND OF AMERICA-A<br>BUY 0 Units @0.0000  | 0.00                 | 12.16               | 0.00               | 12.16             | 0.5  | 0.06                 |
| 03/01/2018  | ***-**-921I - COLLINGE, JOHN<br>ACCOUNT #: 00058784445  | THE GROWTH FUND OF AMERICA-A<br>BUY 0 Units @0.0000  | 0.00                 | 82.34               | 0.00               | 82.34             | 0.5  | 0.41                 |
| 03/01/2018  | ***-**-286I - KAPP, RODERICK<br>ACCOUNT #: 00059874815  | THE GROWTH FUND OF AMERICA-A<br>BUY 0 Units @0.0000  | 0.00                 | 4.05                | 0.00               | 4.05              | 0.5  | 0.02                 |
| 03/01/2018  | ***-**-584I - KULISICH, JOHN<br>ACCOUNT #: 00060114682  | THE GROWTH FUND OF AMERICA-A<br>BUY 0 Units @0.0000  | 0.00                 | 58.14               | 0.00               | 58.14             | 0.5  | 0.29                 |
| 03/01/2018  | ***-**-49TR - PERKINS, TARAH<br>ACCOUNT #: 00060755242  | THE GROWTH FUND OF AMERICA-A<br>BUY 0 Units @0.0000  | 0.00                 | 5.96                | 0.00               | 5.96              | 0.5  | 0.03                 |
| 03/01/2018  | ***-**-70IN - PESCHE, SUSAN<br>ACCOUNT #: 00061196180   | THE GROWTH FUND OF AMERICA-A<br>BUY 0 Units @0.0000  | 0.00                 | 32.37               | 0.00               | 32.37             | 0.5  | 0.16                 |
| 03/01/2018  | ***-**-843P - FERRENTINO,<br>ACCOUNT #: 00061255404     | THE GROWTH FUND OF AMERICA-A<br>BUY 0 Units @0.0000  | 0.00                 | 9.39                | 0.00               | 9.39              | 0.5  | 0.05                 |
| 03/01/2018  | ***-**-68IN - PARSONS, JOSEPH<br>ACCOUNT #: 00061277766 | THE GROWTH FUND OF AMERICA-A<br>BUY 0 Units @0.0000  | 0.00                 | 1.45                | 0.00               | 1.45              | 0.5  | 0.01                 |
| 03/01/2018  | ***-**-12UT - BASTEN, ASHLEY<br>ACCOUNT #: 00061604201  | THE GROWTH FUND OF AMERICA-A<br>BUY 0 Units @0.0000  | 0.00                 | 8.13                | 0.00               | 8.13              | 0.5  | 0.04                 |
| 03/01/2018  | ***-**-140I - ANTHONY, JANICE<br>ACCOUNT #: 00061728759 | THE GROWTH FUND OF AMERICA-A<br>BUY 0 Units @0.0000  | 0.00                 | 8.18                | 0.00               | 8.18              | 0.5  | 0.04                 |
| 03/01/2018  | ***-**-795P - MYERS, JOHN<br>ACCOUNT #: 00061900969     | THE GROWTH FUND OF AMERICA-A<br>BUY 0 Units @0.0000  | 0.00                 | 36.57               | 0.00               | 36.57             | 0.5  | 0.18                 |



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|---|--------------------------------|------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b><u> OVERRIDE TRANSACTIONS (continued) </u></b> |                                |                              |                      |                     |                    |                   |      |                      |
| <b><u>BROKER: ALEX GEORGIEV (continued)</u></b>   |                                |                              |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-204I - COPE, JO         | THE GROWTH FUND OF AMERICA-A | 0.00                 | 1.85                | 0.00               | 1.85              | 0.5  | 0.01                 |
|   | ACCOUNT #: 00062104564         | BUY 0 Units @0.0000          |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-56IN - TRAVIS, DANIEL   | THE GROWTH FUND OF AMERICA-A | 0.00                 | 8.54                | 0.00               | 8.54              | 0.5  | 0.04                 |
|   | ACCOUNT #: 00062313582         | BUY 0 Units @0.0000          |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-5980 - BAIS, RAM        | THE GROWTH FUND OF AMERICA-A | 0.00                 | 12.60               | 0.00               | 12.60             | 0.5  | 0.06                 |
|   | ACCOUNT #: 00062603215         | BUY 0 Units @0.0000          |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-905P - SPECTOR, DEBORAH | THE GROWTH FUND OF AMERICA-A | 0.00                 | 18.34               | 0.00               | 18.34             | 0.5  | 0.09                 |
|   | ACCOUNT #: 00062814043         | BUY 0 Units @0.0000          |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-635P - LOGRASSO,        | THE GROWTH FUND OF AMERICA-A | 0.00                 | 1.40                | 0.00               | 1.40              | 0.5  | 0.01                 |
|   | ACCOUNT #: 00062853008         | BUY 0 Units @0.0000          |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-50IR - RENDELL, IAN     | THE GROWTH FUND OF AMERICA-A | 0.00                 | 45.03               | 0.00               | 45.03             | 0.5  | 0.23                 |
|   | ACCOUNT #: 00063243823         | BUY 0 Units @0.0000          |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-04IR - GRODZICKI,       | THE GROWTH FUND OF AMERICA-A | 0.00                 | 4.73                | 0.00               | 4.73              | 0.5  | 0.02                 |
|   | ACCOUNT #: 00063592510         | BUY 0 Units @0.0000          |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-575P - NOVAK, BROOKE    | THE GROWTH FUND OF AMERICA-A | 0.00                 | 1.82                | 0.00               | 1.82              | 0.5  | 0.01                 |
|   | ACCOUNT #: 00063762338         | BUY 0 Units @0.0000          |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-575P - ANDERSON, SUSAN  | THE GROWTH FUND OF AMERICA-A | 0.00                 | 4.22                | 0.00               | 4.22              | 0.5  | 0.02                 |
|   | ACCOUNT #: 00063941162         | BUY 0 Units @0.0000          |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-02IR - FRERKER, ROBERT  | THE GROWTH FUND OF AMERICA-A | 0.00                 | 20.93               | 0.00               | 20.93             | 0.5  | 0.10                 |
|   | ACCOUNT #: 00064066205         | BUY 0 Units @0.0000          |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-998P - MCMINN, SARAH    | THE GROWTH FUND OF AMERICA-A | 0.00                 | 5.30                | 0.00               | 5.30              | 0.5  | 0.03                 |
|   | ACCOUNT #: 00064071275         | BUY 0 Units @0.0000          |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-515P - MCGUIRE, MELISSA | THE GROWTH FUND OF AMERICA-A | 0.00                 | 1.45                | 0.00               | 1.45              | 0.5  | 0.01                 |
|   | ACCOUNT #: 00064101087         | BUY 0 Units @0.0000          |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-15IN - NAHAMOU,         | THE GROWTH FUND OF AMERICA-A | 0.00                 | 17.76               | 0.00               | 17.76             | 0.5  | 0.09                 |
|   | ACCOUNT #: 00064112290         | BUY 0 Units @0.0000          |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-04IR -                  | THE GROWTH FUND OF AMERICA-A | 0.00                 | 4.00                | 0.00               | 4.00              | 0.5  | 0.02                 |
|   | ACCOUNT #: 00064326662         | BUY 0 Units @0.0000          |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-371I - SMITH, LEOLA     | THE GROWTH FUND OF AMERICA-A | 0.00                 | 4.20                | 0.00               | 4.20              | 0.5  | 0.02                 |
|   | ACCOUNT #: 00064360066         | BUY 0 Units @0.0000          |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-98RI - BENNET,          | THE GROWTH FUND OF AMERICA-A | 0.00                 | 27.65               | 0.00               | 27.65             | 0.5  | 0.14                 |
|   | ACCOUNT #: 00064633625         | BUY 0 Units @0.0000          |                      |                     |                    |                   |      |                      |





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| <b><u> OVERRIDE TRANSACTIONS (continued) </u></b> |  |   |                      |                     |                    |                   |      |                      |
| <b><u>BROKER: ALEX GEORGIEV (continued)</u></b>   |  |   |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-86UT - BRUNNWORTH,<br>ACCOUNT #: 00064647659      | THE GROWTH FUND OF AMERICA-A<br>BUY 0 Units @0.0000 | 0.00                 | 1.72                | 0.00               | 1.72              | 0.5  | 0.01                 |
| 03/01/2018  | ***-**-515P - AMOAKO, DOUGLAS<br>ACCOUNT #: 00064756380  | THE GROWTH FUND OF AMERICA-A<br>BUY 0 Units @0.0000 | 0.00                 | 11.04               | 0.00               | 11.04             | 0.5  | 0.06                 |
| 03/01/2018  | ***-**-235P - ANDERSON,<br>ACCOUNT #: 00064812306        | THE GROWTH FUND OF AMERICA-A<br>BUY 0 Units @0.0000 | 0.00                 | 4.80                | 0.00               | 4.80              | 0.5  | 0.02                 |
| 03/01/2018  | ***-**-485P - ANDERSON, PAUL<br>ACCOUNT #: 00064812307   | THE GROWTH FUND OF AMERICA-A<br>BUY 0 Units @0.0000 | 0.00                 | 4.80                | 0.00               | 4.80              | 0.5  | 0.02                 |
| 03/01/2018  | ***-**-985P - NOVAK, LAUREN<br>ACCOUNT #: 00064821219    | THE GROWTH FUND OF AMERICA-A<br>BUY 0 Units @0.0000 | 0.00                 | 7.86                | 0.00               | 7.86              | 0.5  | 0.04                 |
| 03/01/2018  | ***-**-67IN - CALDWELL,<br>ACCOUNT #: 00064898692        | THE GROWTH FUND OF AMERICA-A<br>BUY 0 Units @0.0000 | 0.00                 | 2.21                | 0.00               | 2.21              | 0.5  | 0.01                 |
| 03/01/2018  | ***-**-675P - CALDWELL,<br>ACCOUNT #: 00064952287        | THE GROWTH FUND OF AMERICA-A<br>BUY 0 Units @0.0000 | 0.00                 | 2.45                | 0.00               | 2.45              | 0.5  | 0.01                 |
| 03/01/2018  | ***-**-852I - CALKINS, EDWARD<br>ACCOUNT #: 00064994033  | THE GROWTH FUND OF AMERICA-A<br>BUY 0 Units @0.0000 | 0.00                 | 10.51               | 0.00               | 10.51             | 0.5  | 0.05                 |
| 03/01/2018  | ***-**-305P - KEESE, MINDI<br>ACCOUNT #: 00065035647     | THE GROWTH FUND OF AMERICA-A<br>BUY 0 Units @0.0000 | 0.00                 | 22.77               | 0.00               | 22.77             | 0.5  | 0.11                 |
| 03/01/2018  | ***-**-74IR - KINT, JAMES<br>ACCOUNT #: 00066540691      | THE GROWTH FUND OF AMERICA-A<br>BUY 0 Units @0.0000 | 0.00                 | 6.95                | 0.00               | 6.95              | 0.5  | 0.03                 |
| 03/01/2018  | ***-**-02IR - FRERKER, ROBERT<br>ACCOUNT #: 00066549586  | THE GROWTH FUND OF AMERICA-A<br>BUY 0 Units @0.0000 | 0.00                 | 3.75                | 0.00               | 3.75              | 0.5  | 0.02                 |
| 03/01/2018  | ***-**-045P - IM, HANNAH<br>ACCOUNT #: 00066555536       | THE GROWTH FUND OF AMERICA-A<br>BUY 0 Units @0.0000 | 0.00                 | 5.21                | 0.00               | 5.21              | 0.5  | 0.03                 |
| 03/01/2018  | ***-**-280I - HAMILTON, CURTIS<br>ACCOUNT #: 00066718162 | THE GROWTH FUND OF AMERICA-A<br>BUY 0 Units @0.0000 | 0.00                 | 6.34                | 0.00               | 6.34              | 0.5  | 0.03                 |
| 03/01/2018  | ***-**-323I - HAMILTON, CHRIS<br>ACCOUNT #: 00066718163  | THE GROWTH FUND OF AMERICA-A<br>BUY 0 Units @0.0000 | 0.00                 | 6.34                | 0.00               | 6.34              | 0.5  | 0.03                 |
| 03/01/2018  | ***-**-515P - MEYER, MICHAEL<br>ACCOUNT #: 00066722060   | THE GROWTH FUND OF AMERICA-A<br>BUY 0 Units @0.0000 | 0.00                 | 53.09               | 0.00               | 53.09             | 0.5  | 0.27                 |
| 03/01/2018  | ***-**-448P - MOSS, HEATHER<br>ACCOUNT #: 00066848271    | THE GROWTH FUND OF AMERICA-A<br>BUY 0 Units @0.0000 | 0.00                 | 3.79                | 0.00               | 3.79              | 0.5  | 0.02                 |



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| <b><u>VERRIDE TRANSACTIONS (continued)</u></b>  |                                |                              |                      |                     |                    |                   |      |                      |
| <b><u>BROKER: ALEX GEORGIEV (continued)</u></b> |                                |                              |                      |                     |                    |                   |      |                      |
| 03/01/2018                                      | ***-**-425I - FARACI, JOHN     | THE GROWTH FUND OF AMERICA-A | 0.00                 | 33.11               | 0.00               | 33.11             | 0.5  | 0.17                 |
|   | ACCOUNT #: 00066994858         | BUY 0 Units @0.0000          |                      |                     |                    |                   |      |                      |
| 03/01/2018                                      | ***-**-486I - CERCIELLO, LARRY | THE GROWTH FUND OF AMERICA-A | 0.00                 | 43.22               | 0.00               | 43.22             | 0.5  | 0.22                 |
|   | ACCOUNT #: 00067164979         | BUY 0 Units @0.0000          |                      |                     |                    |                   |      |                      |
| 03/01/2018                                      | ***-**-695I - CERCIELLO, KANDY | THE GROWTH FUND OF AMERICA-A | 0.00                 | 35.82               | 0.00               | 35.82             | 0.5  | 0.18                 |
|   | ACCOUNT #: 00067164981         | BUY 0 Units @0.0000          |                      |                     |                    |                   |      |                      |
| 03/01/2018                                      | ***-**-485P - MESSINA, JAKE    | THE GROWTH FUND OF AMERICA-A | 0.00                 | 1.10                | 0.00               | 1.10              | 0.5  | 0.01                 |
|   | ACCOUNT #: 00067283552         | BUY 0 Units @0.0000          |                      |                     |                    |                   |      |                      |
| 03/01/2018                                      | ***-**-405P - DEVERS, MAREN    | THE GROWTH FUND OF AMERICA-A | 0.00                 | 9.57                | 0.00               | 9.57              | 0.5  | 0.05                 |
|   | ACCOUNT #: 00067307317         | BUY 0 Units @0.0000          |                      |                     |                    |                   |      |                      |
| 03/01/2018                                      | ***-**-765P - PIERRE, YOLETTE  | THE GROWTH FUND OF AMERICA-A | 0.00                 | 36.73               | 0.00               | 36.73             | 0.5  | 0.18                 |
|   | ACCOUNT #: 00067468481         | BUY 0 Units @0.0000          |                      |                     |                    |                   |      |                      |
| 03/01/2018                                      | ***-**-895P - CASIDA, HEATHER  | THE GROWTH FUND OF AMERICA-A | 0.00                 | 5.77                | 0.00               | 5.77              | 0.5  | 0.03                 |
|   | ACCOUNT #: 00067513590         | BUY 0 Units @0.0000          |                      |                     |                    |                   |      |                      |
| 03/01/2018                                      | ***-**-38IR - SAALE, KEVIN     | THE GROWTH FUND OF AMERICA-A | 0.00                 | 4.04                | 0.00               | 4.04              | 0.5  | 0.02                 |
|   | ACCOUNT #: 00067526644         | BUY 0 Units @0.0000          |                      |                     |                    |                   |      |                      |
| 03/01/2018                                      | ***-**-01IN - ADAMS, BILLY     | THE GROWTH FUND OF AMERICA-A | 0.00                 | 28.45               | 0.00               | 28.45             | 0.5  | 0.14                 |
|   | ACCOUNT #: 00067699318         | BUY 0 Units @0.0000          |                      |                     |                    |                   |      |                      |
| 03/01/2018                                      | ***-**-969P - SHOEMAKE,        | THE GROWTH FUND OF AMERICA-A | 0.00                 | 5.87                | 0.00               | 5.87              | 0.5  | 0.03                 |
|   | ACCOUNT #: 00067750762         | BUY 0 Units @0.0000          |                      |                     |                    |                   |      |                      |
| 03/01/2018                                      | ***-**-515P - TASSOUL, MICHAEL | THE GROWTH FUND OF AMERICA-A | 0.00                 | 7.60                | 0.00               | 7.60              | 0.5  | 0.04                 |
|   | ACCOUNT #: 00068195206         | BUY 0 Units @0.0000          |                      |                     |                    |                   |      |                      |
| 03/01/2018                                      | ***-**-61RI - HADSOCK, HUGH    | THE GROWTH FUND OF AMERICA-A | 0.00                 | 6.30                | 0.00               | 6.30              | 0.5  | 0.03                 |
|   | ACCOUNT #: 00068200969         | BUY 0 Units @0.0000          |                      |                     |                    |                   |      |                      |
| 03/01/2018                                      | ***-**-657I - NEWELL, JODI     | THE GROWTH FUND OF AMERICA-A | 0.00                 | 3.75                | 0.00               | 3.75              | 0.5  | 0.02                 |
|   | ACCOUNT #: 00068704319         | BUY 0 Units @0.0000          |                      |                     |                    |                   |      |                      |
| 03/01/2018                                      | ***-**-148I - BLOOMQUIST,      | THE GROWTH FUND OF AMERICA-A | 0.00                 | 1.05                | 0.00               | 1.05              | 0.5  | 0.01                 |
|   | ACCOUNT #: 00068755039         | BUY 0 Units @0.0000          |                      |                     |                    |                   |      |                      |
| 03/01/2018                                      | ***-**-190I - SANDERSON,       | THE GROWTH FUND OF AMERICA-A | 0.00                 | 6.81                | 0.00               | 6.81              | 0.5  | 0.03                 |
|   | ACCOUNT #: 00069083303         | BUY 0 Units @0.0000          |                      |                     |                    |                   |      |                      |
| 03/01/2018                                      | ***-**-465P - MCAVOY, EMMANUEL | THE GROWTH FUND OF AMERICA-A | 0.00                 | 5.61                | 0.00               | 5.61              | 0.5  | 0.03                 |
|   | ACCOUNT #: 00069111594         | BUY 0 Units @0.0000          |                      |                     |                    |                   |      |                      |



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| <b><u> OVERRIDE TRANSACTIONS (continued) </u></b> |                                |                              |                      |                     |                    |                   |      |                      |
| <b><u>BROKER: ALEX GEORGIEV (continued)</u></b>   |                                |                              |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-185P - SHERPY, RONALD   | THE GROWTH FUND OF AMERICA-A | 0.00                 | 49.88               | 0.00               | 49.88             | 0.5  | 0.25                 |
|   | ACCOUNT #: 00069112525         | BUY 0 Units @0.0000          |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-41IR - ANDERSON, LELAND | THE GROWTH FUND OF AMERICA-A | 0.00                 | 3.48                | 0.00               | 3.48              | 0.5  | 0.02                 |
|   | ACCOUNT #: 00073561455         | BUY 0 Units @0.0000          |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-961I - CAMPBELL, DONALD | THE GROWTH FUND OF AMERICA-A | 0.00                 | 3.94                | 0.00               | 3.94              | 0.5  | 0.02                 |
|   | ACCOUNT #: 00073828322         | BUY 0 Units @0.0000          |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-715P - STAMPER, TAMARA  | THE GROWTH FUND OF AMERICA-A | 0.00                 | 1.42                | 0.00               | 1.42              | 0.5  | 0.01                 |
|   | ACCOUNT #: 00074344296         | BUY 0 Units @0.0000          |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-675P - STAMPER, SCOTT   | THE GROWTH FUND OF AMERICA-A | 0.00                 | 1.56                | 0.00               | 1.56              | 0.5  | 0.01                 |
|   | ACCOUNT #: 00074344325         | BUY 0 Units @0.0000          |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-40SI - HETZEL, ANGELA   | THE GROWTH FUND OF AMERICA-A | 0.00                 | 3.80                | 0.00               | 3.80              | 0.5  | 0.02                 |
|   | ACCOUNT #: 00074473141         | BUY 0 Units @0.0000          |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-0185 - BRINKLEY, JANE   | THE GROWTH FUND OF AMERICA-A | 0.00                 | 13.75               | 0.00               | 13.75             | 0.5  | 0.07                 |
|   | ACCOUNT #: 00075722405         | BUY 0 Units @0.0000          |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-254I - RICE, PAUL       | THE GROWTH FUND OF AMERICA-A | 0.00                 | 13.58               | 0.00               | 13.58             | 0.5  | 0.07                 |
|   | ACCOUNT #: 00075963800         | BUY 0 Units @0.0000          |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-861I - MCKINNEY, MYRA   | THE GROWTH FUND OF AMERICA-A | 0.00                 | 1.93                | 0.00               | 1.93              | 0.5  | 0.01                 |
|   | ACCOUNT #: 00081217031         | BUY 0 Units @0.0000          |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-045P - SULTAN, REBECCA  | THE GROWTH FUND OF AMERICA-A | 0.00                 | 4.68                | 0.00               | 4.68              | 0.5  | 0.02                 |
|   | ACCOUNT #: 00081332040         | BUY 0 Units @0.0000          |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-285P - JONES, DAWN      | THE GROWTH FUND OF AMERICA-A | 0.00                 | 6.04                | 0.00               | 6.04              | 0.5  | 0.03                 |
|   | ACCOUNT #: 00081394564         | BUY 0 Units @0.0000          |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-705P - SPAULDING, JOHN  | THE GROWTH FUND OF AMERICA-A | 0.00                 | 2.72                | 0.00               | 2.72              | 0.5  | 0.01                 |
|   | ACCOUNT #: 00081781375         | BUY 0 Units @0.0000          |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-525P - MATIS, DAMARIS   | THE GROWTH FUND OF AMERICA-A | 0.00                 | 5.88                | 0.00               | 5.88              | 0.5  | 0.03                 |
|   | ACCOUNT #: 00082217486         | BUY 0 Units @0.0000          |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-335P - MCHUGH, SHAUN    | THE GROWTH FUND OF AMERICA-A | 0.00                 | 3.11                | 0.00               | 3.11              | 0.5  | 0.02                 |
|   | ACCOUNT #: 00082347935         | BUY 0 Units @0.0000          |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-725P - MCHUGH, DAWN     | THE GROWTH FUND OF AMERICA-A | 0.00                 | 1.77                | 0.00               | 1.77              | 0.5  | 0.01                 |
|   | ACCOUNT #: 00082347971         | BUY 0 Units @0.0000          |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-045P - SWEENEY, ROBERT  | THE GROWTH FUND OF AMERICA-A | 0.00                 | 9.61                | 0.00               | 9.61              | 0.5  | 0.05                 |
|   | ACCOUNT #: 00082400759         | BUY 0 Units @0.0000          |                      |                     |                    |                   |      |                      |



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| <b><u>VERRIDE TRANSACTIONS (continued)</u></b>  |                                |                              |                      |                     |                    |                   |      |                      |
| <b><u>BROKER: ALEX GEORGIEV (continued)</u></b> |                                |                              |                      |                     |                    |                   |      |                      |
| 03/01/2018                                      | ***-**-945P - SWEENEY, DENISE  | THE GROWTH FUND OF AMERICA-A | 0.00                 | 2.42                | 0.00               | 2.42              | 0.5  | 0.01                 |
|   | ACCOUNT #: 00082400766         | BUY 0 Units @0.0000          |                      |                     |                    |                   |      |                      |
| 03/01/2018                                      | ***-**-401I - NEWELL, JEFFREY  | THE GROWTH FUND OF AMERICA-A | 0.00                 | 18.29               | 0.00               | 18.29             | 0.5  | 0.09                 |
|   | ACCOUNT #: 00082402147         | BUY 0 Units @0.0000          |                      |                     |                    |                   |      |                      |
| 03/01/2018                                      | ***-**-203I - SPILMAN, BALIA   | THE GROWTH FUND OF AMERICA-A | 0.00                 | 5.47                | 0.00               | 5.47              | 0.5  | 0.03                 |
|   | ACCOUNT #: 00082433564         | BUY 0 Units @0.0000          |                      |                     |                    |                   |      |                      |
| 03/01/2018                                      | ***-**-685P - TAYLOR, AMANDA   | THE GROWTH FUND OF AMERICA-A | 0.00                 | 2.38                | 0.00               | 2.38              | 0.5  | 0.01                 |
|   | ACCOUNT #: 00082469804         | BUY 0 Units @0.0000          |                      |                     |                    |                   |      |                      |
| 03/01/2018                                      | ***-**-818I - YOUNG, BRANDI    | THE GROWTH FUND OF AMERICA-A | 0.00                 | 1.64                | 0.00               | 1.64              | 0.5  | 0.01                 |
|   | ACCOUNT #: 00082828085         | BUY 0 Units @0.0000          |                      |                     |                    |                   |      |                      |
| 03/01/2018                                      | ***-**-09IR - LY, MUOI         | THE GROWTH FUND OF AMERICA-A | 0.00                 | 19.87               | 0.00               | 19.87             | 0.5  | 0.10                 |
|   | ACCOUNT #: 00083185117         | BUY 0 Units @0.0000          |                      |                     |                    |                   |      |                      |
| 03/01/2018                                      | ***-**-618I - HULLS, JENNIFER  | THE GROWTH FUND OF AMERICA-A | 0.00                 | 10.16               | 0.00               | 10.16             | 0.5  | 0.05                 |
|   | ACCOUNT #: 00083732568         | BUY 0 Units @0.0000          |                      |                     |                    |                   |      |                      |
| 03/01/2018                                      | ***-**-470I - FLUETTE, RANDY   | THE GROWTH FUND OF AMERICA-A | 0.00                 | 14.53               | 0.00               | 14.53             | 0.5  | 0.07                 |
|   | ACCOUNT #: 00083852141         | BUY 0 Units @0.0000          |                      |                     |                    |                   |      |                      |
| 03/01/2018                                      | ***-**-85IN - LAMBDIN, MICHAEL | THE GROWTH FUND OF AMERICA-A | 0.00                 | 6.69                | 0.00               | 6.69              | 0.5  | 0.03                 |
|   | ACCOUNT #: 00083876832         | BUY 0 Units @0.0000          |                      |                     |                    |                   |      |                      |
| 03/01/2018                                      | ***-**-98SI - LAMSON, MARY     | THE GROWTH FUND OF AMERICA-A | 0.00                 | 39.71               | 0.00               | 39.71             | 0.5  | 0.20                 |
|   | ACCOUNT #: 00084483081         | BUY 0 Units @0.0000          |                      |                     |                    |                   |      |                      |
| 03/01/2018                                      | ***-**-34IR - HARDY, VICTOR    | THE GROWTH FUND OF AMERICA-A | 0.00                 | 6.39                | 0.00               | 6.39              | 0.5  | 0.03                 |
|   | ACCOUNT #: 00084794059         | BUY 0 Units @0.0000          |                      |                     |                    |                   |      |                      |
| 03/01/2018                                      | ***-**-15IE - DEHAVEN, ADAM    | THE GROWTH FUND OF AMERICA-A | 0.00                 | 6.43                | 0.00               | 6.43              | 0.5  | 0.03                 |
|   | ACCOUNT #: 00085155624         | BUY 0 Units @0.0000          |                      |                     |                    |                   |      |                      |
| 03/01/2018                                      | ***-**-03IE - DEHAVEN, DEANNA  | THE GROWTH FUND OF AMERICA-A | 0.00                 | 28.99               | 0.00               | 28.99             | 0.5  | 0.14                 |
|   | ACCOUNT #: 00085155649         | BUY 0 Units @0.0000          |                      |                     |                    |                   |      |                      |
| 03/01/2018                                      | ***-**-82IR - TURGISS, MEGHAN  | THE GROWTH FUND OF AMERICA-A | 0.00                 | 1.43                | 0.00               | 1.43              | 0.5  | 0.01                 |
|   | ACCOUNT #: 00085170032         | BUY 0 Units @0.0000          |                      |                     |                    |                   |      |                      |
| 03/01/2018                                      | ***-**-86IN - KIZER, THOMAS    | THE GROWTH FUND OF AMERICA-A | 0.00                 | 3.23                | 0.00               | 3.23              | 0.5  | 0.02                 |
|   | ACCOUNT #: 00085361207         | BUY 0 Units @0.0000          |                      |                     |                    |                   |      |                      |
| 03/01/2018                                      | ***-**-50IN - WILKENFELD,      | THE GROWTH FUND OF AMERICA-A | 0.00                 | 39.48               | 0.00               | 39.48             | 0.5  | 0.20                 |
|   | ACCOUNT #: 00087284237         | BUY 0 Units @0.0000          |                      |                     |                    |                   |      |                      |



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|---|--------------------------------|------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b><u>VERRIDE TRANSACTIONS (continued)</u></b>  |                                |                              |                      |                     |                    |                   |      |                      |
| <b><u>BROKER: ALEX GEORGIEV (continued)</u></b> |                                |                              |                      |                     |                    |                   |      |                      |
| 03/01/2018                                      | ***-**-341I - FIREMAN, NOAH    | THE GROWTH FUND OF AMERICA-A | 0.00                 | 7.41                | 0.00               | 7.41              | 0.5  | 0.04                 |
|   | ACCOUNT #: 00087760602         | BUY 0 Units @0.0000          |                      |                     |                    |                   |      |                      |
| 03/01/2018                                      | ***-**-5428 - FIGUEROA/BENE,   | THE GROWTH FUND OF AMERICA-A | 0.00                 | 12.01               | 0.00               | 12.01             | 0.5  | 0.06                 |
|   | ACCOUNT #: 00087791148         | BUY 0 Units @0.0000          |                      |                     |                    |                   |      |                      |
| 03/01/2018                                      | ***-**-270I - ORMOND, JENNIFER | THE GROWTH FUND OF AMERICA-A | 0.00                 | 3.97                | 0.00               | 3.97              | 0.5  | 0.02                 |
|   | ACCOUNT #: 00088565488         | BUY 0 Units @0.0000          |                      |                     |                    |                   |      |                      |
| 03/01/2018                                      | ***-**-270I - ORMOND, JENNIFER | THE GROWTH FUND OF AMERICA-A | 0.00                 | 3.97                | 0.00               | 3.97              | 0.5  | 0.02                 |
|   | ACCOUNT #: 00088565503         | BUY 0 Units @0.0000          |                      |                     |                    |                   |      |                      |
| 03/01/2018                                      | ***-**-270I - ORMOND, JENNIFER | THE GROWTH FUND OF AMERICA-A | 0.00                 | 3.97                | 0.00               | 3.97              | 0.5  | 0.02                 |
|   | ACCOUNT #: 00088565510         | BUY 0 Units @0.0000          |                      |                     |                    |                   |      |                      |
| 03/01/2018                                      | ***-**-3299 - RAMIREZ, JOSE    | THE GROWTH FUND OF AMERICA-A | 0.00                 | 1.35                | 0.00               | 1.35              | 0.5  | 0.01                 |
|   | ACCOUNT #: 00068281046         | BUY 0 Units @0.0000          |                      |                     |                    |                   |      |                      |
| 03/01/2018                                      | ***-**-085P - RAINEY, JAMES    | THE GROWTH FUND OF AMERICA-A | 0.00                 | 2.49                | 0.00               | 2.49              | 0.5  | 0.01                 |
|   | ACCOUNT #: 00065050651         | BUY 0 Units @0.0000          |                      |                     |                    |                   |      |                      |
| 03/01/2018                                      | ***-**-065P - MULHOLLAND,      | THE GROWTH FUND OF AMERICA-A | 0.00                 | 6.96                | 0.00               | 6.96              | 0.5  | 0.03                 |
|   | ACCOUNT #: 00065098009         | BUY 0 Units @0.0000          |                      |                     |                    |                   |      |                      |
| 03/01/2018                                      | ***-**-825P - KAUFMAN, WENDY   | THE GROWTH FUND OF AMERICA-A | 0.00                 | 10.75               | 0.00               | 10.75             | 0.5  | 0.05                 |
|   | ACCOUNT #: 00065109106         | BUY 0 Units @0.0000          |                      |                     |                    |                   |      |                      |
| 03/01/2018                                      | ***-**-825P - REED, MICHELE    | THE GROWTH FUND OF AMERICA-A | 0.00                 | 15.02               | 0.00               | 15.02             | 0.5  | 0.08                 |
|   | ACCOUNT #: 00066767510         | BUY 0 Units @0.0000          |                      |                     |                    |                   |      |                      |
| 03/01/2018                                      | ***-**-275P - BALDWIN, JUSTIN  | THE GROWTH FUND OF AMERICA-A | 0.00                 | 1.11                | 0.00               | 1.11              | 0.5  | 0.01                 |
|   | ACCOUNT #: 00067340502         | BUY 0 Units @0.0000          |                      |                     |                    |                   |      |                      |
| 03/01/2018                                      | ***-**-685P - FREDA, ANTHONY   | THE GROWTH FUND OF AMERICA-A | 0.00                 | 6.46                | 0.00               | 6.46              | 0.5  | 0.03                 |
|   | ACCOUNT #: 00068279893         | BUY 0 Units @0.0000          |                      |                     |                    |                   |      |                      |
| 03/01/2018                                      | ***-**-601I - FALCK, ROBERT    | THE GROWTH FUND OF AMERICA-A | 0.00                 | 19.42               | 0.00               | 19.42             | 0.5  | 0.10                 |
|   | ACCOUNT #: 00068513111         | BUY 0 Units @0.0000          |                      |                     |                    |                   |      |                      |
| 03/01/2018                                      | ***-**-29IN - LITMAN, WENDY    | THE GROWTH FUND OF AMERICA-A | 0.00                 | 5.72                | 0.00               | 5.72              | 0.5  | 0.03                 |
|   | ACCOUNT #: 00068524068         | BUY 0 Units @0.0000          |                      |                     |                    |                   |      |                      |
| 03/01/2018                                      | ***-**-37SI - JOHNSON, JESSICA | THE GROWTH FUND OF AMERICA-A | 0.00                 | 1.36                | 0.00               | 1.36              | 0.5  | 0.01                 |
|   | ACCOUNT #: 00068553317         | BUY 0 Units @0.0000          |                      |                     |                    |                   |      |                      |
| 03/01/2018                                      | ***-**-685P - FREDA, ANTHONY   | THE GROWTH FUND OF AMERICA-A | 0.00                 | 1.22                | 0.00               | 1.22              | 0.5  | 0.01                 |
|   | ACCOUNT #: 00068745534         | BUY 0 Units @0.0000          |                      |                     |                    |                   |      |                      |



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|---|--------------------------------|------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b><u>VERRIDE TRANSACTIONS (continued)</u></b>  |                                |                              |                      |                     |                    |                   |      |                      |
| <b><u>BROKER: ALEX GEORGIEV (continued)</u></b> |                                |                              |                      |                     |                    |                   |      |                      |
| 03/01/2018                                      | ***-**-925P - FRED, BEVERLY    | THE GROWTH FUND OF AMERICA-A | 0.00                 | 1.22                | 0.00               | 1.22              | 0.5  | 0.01                 |
|   | ACCOUNT #: 00068745536         | BUY 0 Units @0.0000          |                      |                     |                    |                   |      |                      |
| 03/01/2018                                      | ***-**-87IN - BREZNICK, BURTON | THE GROWTH FUND OF AMERICA-A | 0.00                 | 12.18               | 0.00               | 12.18             | 0.5  | 0.06                 |
|   | ACCOUNT #: 00068891495         | BUY 0 Units @0.0000          |                      |                     |                    |                   |      |                      |
| 03/01/2018                                      | ***-**-405P - STEWART,         | THE GROWTH FUND OF AMERICA-A | 0.00                 | 9.18                | 0.00               | 9.18              | 0.5  | 0.05                 |
|   | ACCOUNT #: 00069014456         | BUY 0 Units @0.0000          |                      |                     |                    |                   |      |                      |
| 03/01/2018                                      | ***-**-582I - ROZENCWAIG, ERIC | THE GROWTH FUND OF AMERICA-A | 0.00                 | 15.61               | 0.00               | 15.61             | 0.5  | 0.08                 |
|   | ACCOUNT #: 00073025002         | BUY 0 Units @0.0000          |                      |                     |                    |                   |      |                      |
| 03/01/2018                                      | ***-**-475P - LURIA, BENNETT   | THE GROWTH FUND OF AMERICA-A | 0.00                 | 10.14               | 0.00               | 10.14             | 0.5  | 0.05                 |
|   | ACCOUNT #: 00073101452         | BUY 0 Units @0.0000          |                      |                     |                    |                   |      |                      |
| 03/01/2018                                      | ***-**-245P - KURMAN, MICHELLE | THE GROWTH FUND OF AMERICA-A | 0.00                 | 20.18               | 0.00               | 20.18             | 0.5  | 0.10                 |
|   | ACCOUNT #: 00073571102         | BUY 0 Units @0.0000          |                      |                     |                    |                   |      |                      |
| 03/01/2018                                      | ***-**-295P - AMSEL, PATTI     | THE GROWTH FUND OF AMERICA-A | 0.00                 | 11.12               | 0.00               | 11.12             | 0.5  | 0.06                 |
|   | ACCOUNT #: 00073772424         | BUY 0 Units @0.0000          |                      |                     |                    |                   |      |                      |
| 03/01/2018                                      | ***-**-691I - COLLINS, PAMELA  | THE GROWTH FUND OF AMERICA-A | 0.00                 | 7.13                | 0.00               | 7.13              | 0.5  | 0.04                 |
|   | ACCOUNT #: 00074006244         | BUY 0 Units @0.0000          |                      |                     |                    |                   |      |                      |
| 03/01/2018                                      | ***-**-965P - HORNICK, SCOTT   | THE GROWTH FUND OF AMERICA-A | 0.00                 | 12.97               | 0.00               | 12.97             | 0.5  | 0.06                 |
|   | ACCOUNT #: 00075539423         | BUY 0 Units @0.0000          |                      |                     |                    |                   |      |                      |
| 03/01/2018                                      | ***-**-04IN - MURPHY, PAUL     | THE GROWTH FUND OF AMERICA-A | 0.00                 | 52.93               | 0.00               | 52.93             | 0.5  | 0.26                 |
|   | ACCOUNT #: 00075938729         | BUY 0 Units @0.0000          |                      |                     |                    |                   |      |                      |
| 03/01/2018                                      | ***-**-305P - ALOOR, RAVI      | THE GROWTH FUND OF AMERICA-A | 0.00                 | 17.55               | 0.00               | 17.55             | 0.5  | 0.09                 |
|   | ACCOUNT #: 00081137427         | BUY 0 Units @0.0000          |                      |                     |                    |                   |      |                      |
| 03/01/2018                                      | ***-**-122I - SHILOACH,        | THE GROWTH FUND OF AMERICA-A | 0.00                 | 2.96                | 0.00               | 2.96              | 0.5  | 0.01                 |
|   | ACCOUNT #: 00081137646         | BUY 0 Units @0.0000          |                      |                     |                    |                   |      |                      |
| 03/01/2018                                      | ***-**-985P - SUZUKI, RACHEL   | THE GROWTH FUND OF AMERICA-A | 0.00                 | 1.41                | 0.00               | 1.41              | 0.5  | 0.01                 |
|   | ACCOUNT #: 00081275928         | BUY 0 Units @0.0000          |                      |                     |                    |                   |      |                      |
| 03/01/2018                                      | ***-**-95IN - STARTZEL,        | THE GROWTH FUND OF AMERICA-A | 0.00                 | 16.36               | 0.00               | 16.36             | 0.5  | 0.08                 |
|   | ACCOUNT #: 00081317740         | BUY 0 Units @0.0000          |                      |                     |                    |                   |      |                      |
| 03/01/2018                                      | ***-**-045P - RAMESHKUMAR,     | THE GROWTH FUND OF AMERICA-A | 0.00                 | 20.36               | 0.00               | 20.36             | 0.5  | 0.10                 |
|   | ACCOUNT #: 00081655955         | BUY 0 Units @0.0000          |                      |                     |                    |                   |      |                      |
| 03/01/2018                                      | ***-**-005P - MUPPIDI, ASHISH  | THE GROWTH FUND OF AMERICA-A | 0.00                 | 5.75                | 0.00               | 5.75              | 0.5  | 0.03                 |
|   | ACCOUNT #: 00082114497         | BUY 0 Units @0.0000          |                      |                     |                    |                   |      |                      |



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|---|--------------------------------|---------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b><u> OVERRIDE TRANSACTIONS (continued) </u></b> |                                |                                 |                      |                     |                    |                   |      |                      |
| <b><u>BROKER: ALEX GEORGIEV (continued)</u></b>   |                                |                                 |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-675P - MUPPIDI, LATHA   | THE GROWTH FUND OF AMERICA-A    | 0.00                 | 5.75                | 0.00               | 5.75              | 0.5  | 0.03                 |
|   | ACCOUNT #: 00082114520         | BUY 0 Units @0.0000             |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-185P - KONIZESKI, DELIA | THE GROWTH FUND OF AMERICA-A    | 0.00                 | 5.54                | 0.00               | 5.54              | 0.5  | 0.03                 |
|   | ACCOUNT #: 00082792992         | BUY 0 Units @0.0000             |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-064J - HALL, AMY        | THE GROWTH FUND OF AMERICA-A    | 0.00                 | 64.03               | 0.00               | 64.03             | 0.5  | 0.32                 |
|   | ACCOUNT #: 00083146232         | BUY 0 Units @0.0000             |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-3602 - RAINES, THOMAS   | THE GROWTH FUND OF AMERICA-A    | 0.00                 | 8.46                | 0.00               | 8.46              | 0.5  | 0.04                 |
|   | ACCOUNT #: 00083471955         | BUY 0 Units @0.0000             |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-747I - ROY, JESSICA     | THE GROWTH FUND OF AMERICA-A    | 0.00                 | 3.63                | 0.00               | 3.63              | 0.5  | 0.02                 |
|   | ACCOUNT #: 00083742202         | BUY 0 Units @0.0000             |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-112I - KOONTZ, LEROY    | THE GROWTH FUND OF AMERICA-A    | 0.00                 | 6.47                | 0.00               | 6.47              | 0.5  | 0.03                 |
|   | ACCOUNT #: 00084075301         | BUY 0 Units @0.0000             |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-805P - DUDAS, DEAN      | THE GROWTH FUND OF AMERICA-A    | 0.00                 | 11.48               | 0.00               | 11.48             | 0.5  | 0.06                 |
|   | ACCOUNT #: 07366655519         | BUY 0 Units @0.0000             |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-6350 - SAMSON, ANDREA   | THE GROWTH FUND OF AMERICA-A    | 0.00                 | 8.95                | 0.00               | 8.95              | 0.5  | 0.04                 |
|   | ACCOUNT #: 00066878246         | BUY 0 Units @0.0000             |                      |                     |                    |                   |      |                      |
| 03/02/2018  | ***-**-816I - DESANTIS, MARK   | THE GROWTH FUND OF AMERICA-A    | 140.66               | 1.41                | 0.00               | 1.41              | 0.5  | 0.01                 |
|   | ACCOUNT #: 00089986044         | BUY 3 Units @51.8900            |                      |                     |                    |                   |      |                      |
| 03/02/2018  | ***-**-816I - DESANTIS, MARK   | THE GROWTH FUND OF AMERICA-A    | 240.00               | 2.40                | 0.00               | 2.40              | 0.5  | 0.01                 |
|   | ACCOUNT #: 00089986044         | BUY 5 Units @51.8900            |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-635P - SCOTT, JAMES     | THE GROWTH FUND OF AMERICA-C    | 0.00                 | 32.78               | 0.00               | 32.78             | 0.5  | 0.16                 |
|   | ACCOUNT #: 00068920074         | BUY 0 Units @0.0000             |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-46IN - MCAVOY, GRETA    | THE GROWTH FUND OF AMERICA-C    | 0.00                 | 18.33               | 0.00               | 18.33             | 0.5  | 0.09                 |
|   | ACCOUNT #: 00069285104         | BUY 0 Units @0.0000             |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-95SI -                  | THE GROWTH FUND OF AMERICA-C    | 0.00                 | 48.93               | 0.00               | 48.93             | 0.5  | 0.24                 |
|   | ACCOUNT #: 00084372328         | BUY 0 Units @0.0000             |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-3422 - GLICKMAN, NEIL   | THE INCOME FUND OF AMERICA-529A | 0.00                 | 8.95                | 0.00               | 8.95              | 0.5  | 0.04                 |
|   | ACCOUNT #: 00068663396         | BUY 0 Units @0.0000             |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-733I - ANDERSEN,        | THE INCOME FUND OF AMERICA-529A | 0.00                 | 2.00                | 0.00               | 2.00              | 0.5  | 0.01                 |
|   | ACCOUNT #: 00085128729         | BUY 0 Units @0.0000             |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-525P - GARDNER, DANIEL  | THE INCOME FUND OF AMERICA-529A | 0.00                 | 8.19                | 0.00               | 8.19              | 0.5  | 0.04                 |
|   | ACCOUNT #: 00084433353         | BUY 0 Units @0.0000             |                      |                     |                    |                   |      |                      |



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| <b><u>VERRIDE TRANSACTIONS (continued)</u></b>  |  |  |                      |                     |                    |                   |      |                      |
| <b><u>BROKER: ALEX GEORGIEV (continued)</u></b> |  |  |                      |                     |                    |                   |      |                      |
| 03/01/2018                                      | ***-**-825P - MARKS, JACOB<br>ACCOUNT #: 00085088195     | THE INCOME FUND OF AMERICA-529A<br>BUY 0 Units @0.0000 | 0.00                 | 5.05                | 0.00               | 5.05              | 0.5  | 0.03                 |
| 03/01/2018                                      | ***-**-825P - MARKS, JACOB<br>ACCOUNT #: 00085088223     | THE INCOME FUND OF AMERICA-529A<br>BUY 0 Units @0.0000 | 0.00                 | 5.05                | 0.00               | 5.05              | 0.5  | 0.03                 |
| 03/01/2018                                      | ***-**-825P - MARKS, JACOB<br>ACCOUNT #: 00085088240     | THE INCOME FUND OF AMERICA-529A<br>BUY 0 Units @0.0000 | 0.00                 | 5.05                | 0.00               | 5.05              | 0.5  | 0.03                 |
| 03/01/2018                                      | ***-**-2802 - MAASS, TY<br>ACCOUNT #: 00086550207        | THE INCOME FUND OF AMERICA-529A<br>BUY 0 Units @0.0000 | 0.00                 | 2.66                | 0.00               | 2.66              | 0.5  | 0.01                 |
| 03/01/2018                                      | ***-**-266I - GLICKMAN, PAMELA<br>ACCOUNT #: 04000763706 | THE INCOME FUND OF AMERICA-529A<br>BUY 0 Units @0.0000 | 0.00                 | 4.71                | 0.00               | 4.71              | 0.5  | 0.02                 |
| 03/01/2018                                      | ***-**-02IN - PINARD, RAYMOND<br>ACCOUNT #: 00062368172  | THE INCOME FUND OF AMERICA-A<br>BUY 4 Units @24.3700   | 100.00               | 5.00                | 0.00               | 5.00              | 0.5  | 0.03                 |
| 03/01/2018                                      | ***-**-391J - FRIEDMAN, KEITH<br>ACCOUNT #: 00083404691  | THE INCOME FUND OF AMERICA-A<br>BUY 20 Units @22.9700  | 450.00               | 4.50                | 0.00               | 4.50              | 0.5  | 0.02                 |
| 03/01/2018                                      | ***-**-415P - TARANTINO, SCOTT<br>ACCOUNT #: 00087447990 | THE INCOME FUND OF AMERICA-A<br>BUY 9 Units @22.9700   | 200.00               | 2.00                | 0.00               | 2.00              | 0.5  | 0.01                 |
| 03/01/2018                                      | ***-**-064J - HALL, AMY<br>ACCOUNT #: 00083146232        | THE INCOME FUND OF AMERICA-A<br>BUY 11 Units @23.3200  | 250.00               | 3.00                | 0.00               | 3.00              | 0.5  | 0.02                 |
| 03/01/2018                                      | ***-**-210I - DOYLE, CAROL<br>ACCOUNT #: 00056733204     | THE INCOME FUND OF AMERICA-A<br>BUY 0 Units @0.0000    | 0.00                 | 8.07                | 0.00               | 8.07              | 0.5  | 0.04                 |
| 03/01/2018                                      | ***-**-245P - KELBER, JEFFRY<br>ACCOUNT #: 00059587254   | THE INCOME FUND OF AMERICA-A<br>BUY 0 Units @0.0000    | 0.00                 | 76.87               | 0.00               | 76.87             | 0.5  | 0.38                 |
| 03/01/2018                                      | ***-**-584I - KULISICH, JOHN<br>ACCOUNT #: 00060114682   | THE INCOME FUND OF AMERICA-A<br>BUY 0 Units @0.0000    | 0.00                 | 38.51               | 0.00               | 38.51             | 0.5  | 0.19                 |
| 03/01/2018                                      | ***-**-49TR - PERKINS, TARAH<br>ACCOUNT #: 00060755242   | THE INCOME FUND OF AMERICA-A<br>BUY 0 Units @0.0000    | 0.00                 | 2.68                | 0.00               | 2.68              | 0.5  | 0.01                 |
| 03/01/2018                                      | ***-**-02IN - PINARD, RAYMOND<br>ACCOUNT #: 00062368172  | THE INCOME FUND OF AMERICA-A<br>BUY 0 Units @0.0000    | 0.00                 | 12.19               | 0.00               | 12.19             | 0.5  | 0.06                 |
| 03/01/2018                                      | ***-**-695P - RAMEY/CALA,<br>ACCOUNT #: 00064622625      | THE INCOME FUND OF AMERICA-A<br>BUY 0 Units @0.0000    | 0.00                 | 2.59                | 0.00               | 2.59              | 0.5  | 0.01                 |
| 03/01/2018                                      | ***-**-78IN - HOLLAND, MARY<br>ACCOUNT #: 00067668797    | THE INCOME FUND OF AMERICA-A<br>BUY 0 Units @0.0000    | 0.00                 | 8.71                | 0.00               | 8.71              | 0.5  | 0.04                 |





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| DATE  | CLIENT                         | INVESTMENT                   | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|---|--------------------------------|------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b><u> OVERRIDE TRANSACTIONS (continued) </u></b> |                                |                              |                      |                     |                    |                   |      |                      |
| <b><u>BROKER: ALEX GEORGIEV (continued)</u></b>   |                                |                              |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-951I - BATES, CATHERINE | THE INCOME FUND OF AMERICA-A | 0.00                 | 25.43               | 0.00               | 25.43             | 0.5  | 0.13                 |
|   | ACCOUNT #: 00073359487         | BUY 0 Units @0.0000          |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-475P - WOOD, JOAN       | THE INCOME FUND OF AMERICA-A | 0.00                 | 22.76               | 0.00               | 22.76             | 0.5  | 0.11                 |
|   | ACCOUNT #: 00074828090         | BUY 0 Units @0.0000          |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-707I - FRANKS, MARIA    | THE INCOME FUND OF AMERICA-A | 0.00                 | 34.51               | 0.00               | 34.51             | 0.5  | 0.17                 |
|   | ACCOUNT #: 00083776078         | BUY 0 Units @0.0000          |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-470I - FLUETTE, RANDY   | THE INCOME FUND OF AMERICA-A | 0.00                 | 20.00               | 0.00               | 20.00             | 0.5  | 0.10                 |
|   | ACCOUNT #: 00083852141         | BUY 0 Units @0.0000          |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-63IR - POAGE, BENNY     | THE INCOME FUND OF AMERICA-A | 0.00                 | 4.08                | 0.00               | 4.08              | 0.5  | 0.02                 |
|   | ACCOUNT #: 00085156983         | BUY 0 Units @0.0000          |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-995P - RODIBAUGH, KYLE  | THE INCOME FUND OF AMERICA-A | 0.00                 | 2.29                | 0.00               | 2.29              | 0.5  | 0.01                 |
|   | ACCOUNT #: 00086581876         | BUY 0 Units @0.0000          |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-721I - DALICK, MARILYN  | THE INCOME FUND OF AMERICA-A | 0.00                 | 13.94               | 0.00               | 13.94             | 0.5  | 0.07                 |
|   | ACCOUNT #: 00086991782         | BUY 0 Units @0.0000          |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-11IR - SCHAFFTEL, AMY   | THE INCOME FUND OF AMERICA-A | 0.00                 | 2.86                | 0.00               | 2.86              | 0.5  | 0.01                 |
|   | ACCOUNT #: 00063600878         | BUY 0 Units @0.0000          |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-601I - FALCK, ROBERT    | THE INCOME FUND OF AMERICA-A | 0.00                 | 15.82               | 0.00               | 15.82             | 0.5  | 0.08                 |
|   | ACCOUNT #: 00068513111         | BUY 0 Units @0.0000          |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-29IN - LITMAN, WENDY    | THE INCOME FUND OF AMERICA-A | 0.00                 | 5.06                | 0.00               | 5.06              | 0.5  | 0.03                 |
|   | ACCOUNT #: 00068524068         | BUY 0 Units @0.0000          |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-135P - TRAIN, TIMOTHY   | THE INCOME FUND OF AMERICA-A | 0.00                 | 16.53               | 0.00               | 16.53             | 0.5  | 0.08                 |
|   | ACCOUNT #: 00068656658         | BUY 0 Units @0.0000          |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-685P - FREDA, ANTHONY   | THE INCOME FUND OF AMERICA-A | 0.00                 | 6.90                | 0.00               | 6.90              | 0.5  | 0.03                 |
|   | ACCOUNT #: 00068745532         | BUY 0 Units @0.0000          |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-665P - MUSICK, ARNOLD   | THE INCOME FUND OF AMERICA-A | 0.00                 | 24.35               | 0.00               | 24.35             | 0.5  | 0.12                 |
|   | ACCOUNT #: 00068841796         | BUY 0 Units @0.0000          |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-475P - LURIA, BENNETT   | THE INCOME FUND OF AMERICA-A | 0.00                 | 7.87                | 0.00               | 7.87              | 0.5  | 0.04                 |
|   | ACCOUNT #: 00073101452         | BUY 0 Units @0.0000          |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-705P - LIYANAGE,        | THE INCOME FUND OF AMERICA-A | 0.00                 | 9.54                | 0.00               | 9.54              | 0.5  | 0.05                 |
|   | ACCOUNT #: 00073654569         | BUY 0 Units @0.0000          |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-025P - PADRO, PILAR     | THE INCOME FUND OF AMERICA-A | 0.00                 | 9.30                | 0.00               | 9.30              | 0.5  | 0.05                 |
|   | ACCOUNT #: 00073903493         | BUY 0 Units @0.0000          |                      |                     |                    |                   |      |                      |



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|---|--|--|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b><u>VERRIDE TRANSACTIONS (continued)</u></b>  |  |  |                      |                     |                    |                   |      |                      |
| <b><u>BROKER: ALEX GEORGIEV (continued)</u></b> |  |  |                      |                     |                    |                   |      |                      |
| 03/01/2018                                      | ***-**-691I - COLLINS, PAMELA<br>ACCOUNT #: 00074006244  | THE INCOME FUND OF AMERICA-A<br>BUY 0 Units @0.0000  | 0.00                 | 5.57                | 0.00               | 5.57              | 0.5  | 0.03                 |
| 03/01/2018                                      | ***-**-91IR - COLLINS, PAMELA<br>ACCOUNT #: 00074006280  | THE INCOME FUND OF AMERICA-A<br>BUY 0 Units @0.0000  | 0.00                 | 19.10               | 0.00               | 19.10             | 0.5  | 0.10                 |
| 03/01/2018                                      | ***-**-655P - ANDREWS-MURRAY,<br>ACCOUNT #: 00074396716  | THE INCOME FUND OF AMERICA-A<br>BUY 0 Units @0.0000  | 0.00                 | 10.69               | 0.00               | 10.69             | 0.5  | 0.05                 |
| 03/01/2018                                      | ***-**-802J - MAASS, CARLY<br>ACCOUNT #: 00074618503     | THE INCOME FUND OF AMERICA-A<br>BUY 0 Units @0.0000  | 0.00                 | 29.32               | 0.00               | 29.32             | 0.5  | 0.15                 |
| 03/01/2018                                      | ***-**-17SI - CARSON, JEAN<br>ACCOUNT #: 00075399997     | THE INCOME FUND OF AMERICA-A<br>BUY 0 Units @0.0000  | 0.00                 | 2.21                | 0.00               | 2.21              | 0.5  | 0.01                 |
| 03/01/2018                                      | ***-**-305P - ALOOR, RAVI<br>ACCOUNT #: 00081137427      | THE INCOME FUND OF AMERICA-A<br>BUY 0 Units @0.0000  | 0.00                 | 28.11               | 0.00               | 28.11             | 0.5  | 0.14                 |
| 03/01/2018                                      | ***-**-95IN - STARTZEL,<br>ACCOUNT #: 00081317740        | THE INCOME FUND OF AMERICA-A<br>BUY 0 Units @0.0000  | 0.00                 | 25.81               | 0.00               | 25.81             | 0.5  | 0.13                 |
| 03/01/2018                                      | ***-**-045P - RAMESHKUMAR,<br>ACCOUNT #: 00081655955     | THE INCOME FUND OF AMERICA-A<br>BUY 0 Units @0.0000  | 0.00                 | 15.64               | 0.00               | 15.64             | 0.5  | 0.08                 |
| 03/01/2018                                      | ***-**-08IN - SHAAB, KERRY<br>ACCOUNT #: 00082254619     | THE INCOME FUND OF AMERICA-A<br>BUY 0 Units @0.0000  | 0.00                 | 6.11                | 0.00               | 6.11              | 0.5  | 0.03                 |
| 03/01/2018                                      | ***-**-82IN - TEN, JT<br>ACCOUNT #: 00082421077          | THE INCOME FUND OF AMERICA-A<br>BUY 0 Units @0.0000  | 0.00                 | 27.45               | 0.00               | 27.45             | 0.5  | 0.14                 |
| 03/01/2018                                      | ***-**-064J - HALL, AMY<br>ACCOUNT #: 00083146232        | THE INCOME FUND OF AMERICA-A<br>BUY 0 Units @0.0000  | 0.00                 | 56.14               | 0.00               | 56.14             | 0.5  | 0.28                 |
| 03/01/2018                                      | ***-**-391J - FRIEDMAN, KEITH<br>ACCOUNT #: 00083404691  | THE INCOME FUND OF AMERICA-A<br>BUY 0 Units @0.0000  | 0.00                 | 43.13               | 0.00               | 43.13             | 0.5  | 0.22                 |
| 03/01/2018                                      | ***-**-112I - KOONTZ, LEROY<br>ACCOUNT #: 00084075301    | THE INCOME FUND OF AMERICA-A<br>BUY 0 Units @0.0000  | 0.00                 | 10.35               | 0.00               | 10.35             | 0.5  | 0.05                 |
| 03/01/2018                                      | ***-**-36IN - PETERSEN, BRENDA<br>ACCOUNT #: 00084738624 | THE INCOME FUND OF AMERICA-A<br>BUY 0 Units @0.0000  | 0.00                 | 75.20               | 0.00               | 75.20             | 0.5  | 0.38                 |
| 03/01/2018                                      | ***-**-415P - TARANTINO, SCOTT<br>ACCOUNT #: 00087447990 | THE INCOME FUND OF AMERICA-A<br>BUY 0 Units @0.0000  | 0.00                 | 21.05               | 0.00               | 21.05             | 0.5  | 0.11                 |
| 03/01/2018                                      | ***-**-655P - SINNO, RIMA<br>ACCOUNT #: 00068297390      | THE INCOME FUND OF AMERICA-F1<br>BUY 0 Units @0.0000 | 0.00                 | 32.65               | 0.00               | 32.65             | 0.5  | 0.16                 |



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|---|--|---|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b><u>VERRIDE TRANSACTIONS (continued)</u></b>  |  |   |                      |                     |                    |                   |      |                      |
| <b><u>BROKER: ALEX GEORGIEV (continued)</u></b> |  |   |                      |                     |                    |                   |      |                      |
| 03/01/2018                                      | ***-**-425P - RADINSKY,<br>ACCOUNT #: 00068975128        | THE INVESTMENT COMPANY OF AMERICA-5<br>BUY 2 Units @42.1000 | 100.00               | 2.75                | 0.00               | 2.75              | 0.5  | 0.01                 |
| 03/01/2018                                      | ***-**-425P - RADINSKY,<br>ACCOUNT #: 00068975131        | THE INVESTMENT COMPANY OF AMERICA-5<br>BUY 2 Units @42.1000 | 100.00               | 2.75                | 0.00               | 2.75              | 0.5  | 0.01                 |
| 03/01/2018                                      | ***-**-425P - RADINSKY,<br>ACCOUNT #: 00068975132        | THE INVESTMENT COMPANY OF AMERICA-5<br>BUY 2 Units @42.1000 | 100.00               | 2.75                | 0.00               | 2.75              | 0.5  | 0.01                 |
| 03/01/2018                                      | ***-**-3422 - GLICKMAN, NEIL<br>ACCOUNT #: 00068663396   | THE INVESTMENT COMPANY OF AMERICA-5<br>BUY 0 Units @0.0000  | 0.00                 | 10.43               | 0.00               | 10.43             | 0.5  | 0.05                 |
| 03/01/2018                                      | ***-**-2228 - MILLER, ANDREW<br>ACCOUNT #: 00068813028   | THE INVESTMENT COMPANY OF AMERICA-5<br>BUY 0 Units @0.0000  | 0.00                 | 1.03                | 0.00               | 1.03              | 0.5  | 0.01                 |
| 03/01/2018                                      | ***-**-325P - COLLINS, GENNY<br>ACCOUNT #: 00082376045   | THE INVESTMENT COMPANY OF AMERICA-5<br>BUY 0 Units @0.0000  | 0.00                 | 7.36                | 0.00               | 7.36              | 0.5  | 0.04                 |
| 03/01/2018                                      | ***-**-325P - COLLINS, GENNY<br>ACCOUNT #: 00082376306   | THE INVESTMENT COMPANY OF AMERICA-5<br>BUY 0 Units @0.0000  | 0.00                 | 7.36                | 0.00               | 7.36              | 0.5  | 0.04                 |
| 03/01/2018                                      | ***-**-425P - RADINSKY,<br>ACCOUNT #: 00068975128        | THE INVESTMENT COMPANY OF AMERICA-5<br>BUY 0 Units @0.0000  | 0.00                 | 21.60               | 0.00               | 21.60             | 0.5  | 0.11                 |
| 03/01/2018                                      | ***-**-425P - RADINSKY,<br>ACCOUNT #: 00068975131        | THE INVESTMENT COMPANY OF AMERICA-5<br>BUY 0 Units @0.0000  | 0.00                 | 23.34               | 0.00               | 23.34             | 0.5  | 0.12                 |
| 03/01/2018                                      | ***-**-425P - RADINSKY,<br>ACCOUNT #: 00068975132        | THE INVESTMENT COMPANY OF AMERICA-5<br>BUY 0 Units @0.0000  | 0.00                 | 11.65               | 0.00               | 11.65             | 0.5  | 0.06                 |
| 03/01/2018                                      | ***-**-475P - LURIA, BENNETT<br>ACCOUNT #: 00073095222   | THE INVESTMENT COMPANY OF AMERICA-5<br>BUY 0 Units @0.0000  | 0.00                 | 12.43               | 0.00               | 12.43             | 0.5  | 0.06                 |
| 03/01/2018                                      | ***-**-575P - JOHNSON,<br>ACCOUNT #: 00073872115         | THE INVESTMENT COMPANY OF AMERICA-5<br>BUY 0 Units @0.0000  | 0.00                 | 3.88                | 0.00               | 3.88              | 0.5  | 0.02                 |
| 03/01/2018                                      | ***-**-825P - MARKS, JACOB<br>ACCOUNT #: 00085088195     | THE INVESTMENT COMPANY OF AMERICA-5<br>BUY 0 Units @0.0000  | 0.00                 | 6.15                | 0.00               | 6.15              | 0.5  | 0.03                 |
| 03/01/2018                                      | ***-**-825P - MARKS, JACOB<br>ACCOUNT #: 00085088223     | THE INVESTMENT COMPANY OF AMERICA-5<br>BUY 0 Units @0.0000  | 0.00                 | 6.15                | 0.00               | 6.15              | 0.5  | 0.03                 |
| 03/01/2018                                      | ***-**-825P - MARKS, JACOB<br>ACCOUNT #: 00085088240     | THE INVESTMENT COMPANY OF AMERICA-5<br>BUY 0 Units @0.0000  | 0.00                 | 6.15                | 0.00               | 6.15              | 0.5  | 0.03                 |
| 03/01/2018                                      | ***-**-266I - GLICKMAN, PAMELA<br>ACCOUNT #: 04000763706 | THE INVESTMENT COMPANY OF AMERICA-5<br>BUY 0 Units @0.0000  | 0.00                 | 5.58                | 0.00               | 5.58              | 0.5  | 0.03                 |



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|---|--------------------------------|-------------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b><u>VERRIDE TRANSACTIONS (continued)</u></b>  |                                |                                     |                      |                     |                    |                   |      |                      |
| <b><u>BROKER: ALEX GEORGIEV (continued)</u></b> |                                |                                     |                      |                     |                    |                   |      |                      |
| 02/28/2018                                      | ***-**-495P - WALLACE, RACHAEL | THE INVESTMENT COMPANY OF AMERICA-A | 300.00               | 8.25                | 0.00               | 8.25              | 0.5  | 0.04                 |
|   | ACCOUNT #: 00073772445         | BUY 7 Units @42.6700                |                      |                     |                    |                   |      |                      |
| 03/01/2018                                      | ***-**-515P - MEYER, MICHAEL   | THE INVESTMENT COMPANY OF AMERICA-A | 100.00               | 1.00                | 0.00               | 1.00              | 0.5  | 0.01                 |
|   | ACCOUNT #: 00066722060         | BUY 2 Units @40.7300                |                      |                     |                    |                   |      |                      |
| 03/01/2018                                      | ***-**-17IN - OPPER, ARLENE    | THE INVESTMENT COMPANY OF AMERICA-A | 0.00                 | 36.66               | 0.00               | 36.66             | 0.5  | 0.18                 |
|   | ACCOUNT #: 00057350830         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018                                      | ***-**-286I - KAPP, RODERICK   | THE INVESTMENT COMPANY OF AMERICA-A | 0.00                 | 3.72                | 0.00               | 3.72              | 0.5  | 0.02                 |
|   | ACCOUNT #: 00059874815         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018                                      | ***-**-559I - PARSONS, TERRIE  | THE INVESTMENT COMPANY OF AMERICA-A | 0.00                 | 2.73                | 0.00               | 2.73              | 0.5  | 0.01                 |
|   | ACCOUNT #: 00060653359         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018                                      | ***-**-229I - NOWAKOWSKI,      | THE INVESTMENT COMPANY OF AMERICA-A | 0.00                 | 17.01               | 0.00               | 17.01             | 0.5  | 0.09                 |
|   | ACCOUNT #: 00061749920         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018                                      | ***-**-795P - MYERS, JOHN      | THE INVESTMENT COMPANY OF AMERICA-A | 0.00                 | 27.69               | 0.00               | 27.69             | 0.5  | 0.14                 |
|   | ACCOUNT #: 00061900969         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018                                      | ***-**-135P - THONGSAVATH,     | THE INVESTMENT COMPANY OF AMERICA-A | 0.00                 | 24.43               | 0.00               | 24.43             | 0.5  | 0.12                 |
|   | ACCOUNT #: 00062480894         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018                                      | ***-**-078I - LEWYN, GLORIA    | THE INVESTMENT COMPANY OF AMERICA-A | 0.00                 | 101.87              | 0.00               | 101.87            | 0.5  | 0.51                 |
|   | ACCOUNT #: 00062512615         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018                                      | ***-**-311I - DIERKES, ANGELA  | THE INVESTMENT COMPANY OF AMERICA-A | 0.00                 | 15.86               | 0.00               | 15.86             | 0.5  | 0.08                 |
|   | ACCOUNT #: 00062517818         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018                                      | ***-**-74UT - BUANGSUWON,      | THE INVESTMENT COMPANY OF AMERICA-A | 0.00                 | 346.67              | 0.00               | 346.67            | 0.5  | 1.73                 |
|   | ACCOUNT #: 00062685948         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018                                      | ***-**-43RI - HARRER, WILLIAM  | THE INVESTMENT COMPANY OF AMERICA-A | 0.00                 | 84.46               | 0.00               | 84.46             | 0.5  | 0.42                 |
|   | ACCOUNT #: 00062710107         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018                                      | ***-**-73IN - SICA, RONALD     | THE INVESTMENT COMPANY OF AMERICA-A | 0.00                 | 17.86               | 0.00               | 17.86             | 0.5  | 0.09                 |
|   | ACCOUNT #: 00062831287         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018                                      | ***-**-38IN - SAALE, KEVIN     | THE INVESTMENT COMPANY OF AMERICA-A | 0.00                 | 36.52               | 0.00               | 36.52             | 0.5  | 0.18                 |
|   | ACCOUNT #: 00063022709         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018                                      | ***-**-785P - SERRATO, RAUL    | THE INVESTMENT COMPANY OF AMERICA-A | 0.00                 | 1.79                | 0.00               | 1.79              | 0.5  | 0.01                 |
|   | ACCOUNT #: 00063224331         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018                                      | ***-**-645P - HARDIN, SHERRELL | THE INVESTMENT COMPANY OF AMERICA-A | 0.00                 | 56.89               | 0.00               | 56.89             | 0.5  | 0.28                 |
|   | ACCOUNT #: 00063239496         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |



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|---|--------------------------------|-------------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b><u> OVERRIDE TRANSACTIONS (continued) </u></b> |                                |                                     |                      |                     |                    |                   |      |                      |
| <b><u>BROKER: ALEX GEORGIEV (continued)</u></b>   |                                |                                     |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-415P - ELINE, ARRON     | THE INVESTMENT COMPANY OF AMERICA-A | 0.00                 | 2.14                | 0.00               | 2.14              | 0.5  | 0.01                 |
|   | ACCOUNT #: 00064013646         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-155P - NAHAMOU,         | THE INVESTMENT COMPANY OF AMERICA-A | 0.00                 | 20.82               | 0.00               | 20.82             | 0.5  | 0.10                 |
|   | ACCOUNT #: 00064023902         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-515P - MCGUIRE, MELISSA | THE INVESTMENT COMPANY OF AMERICA-A | 0.00                 | 1.29                | 0.00               | 1.29              | 0.5  | 0.01                 |
|   | ACCOUNT #: 00064101087         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-15IN - NAHAMOU,         | THE INVESTMENT COMPANY OF AMERICA-A | 0.00                 | 5.68                | 0.00               | 5.68              | 0.5  | 0.03                 |
|   | ACCOUNT #: 00064112290         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-296I - BAKER, REBECCA   | THE INVESTMENT COMPANY OF AMERICA-A | 0.00                 | 1.21                | 0.00               | 1.21              | 0.5  | 0.01                 |
|   | ACCOUNT #: 00064128524         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-689I - DAUSTER, DANIEL  | THE INVESTMENT COMPANY OF AMERICA-A | 0.00                 | 6.57                | 0.00               | 6.57              | 0.5  | 0.03                 |
|   | ACCOUNT #: 00064162390         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-04IR -                  | THE INVESTMENT COMPANY OF AMERICA-A | 0.00                 | 1.01                | 0.00               | 1.01              | 0.5  | 0.01                 |
|   | ACCOUNT #: 00064326662         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-371I - SMITH, LEOLA     | THE INVESTMENT COMPANY OF AMERICA-A | 0.00                 | 1.39                | 0.00               | 1.39              | 0.5  | 0.01                 |
|   | ACCOUNT #: 00064360066         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-532I - BRISENO, RUBEN   | THE INVESTMENT COMPANY OF AMERICA-A | 0.00                 | 20.24               | 0.00               | 20.24             | 0.5  | 0.10                 |
|   | ACCOUNT #: 00064426327         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-30UG - VERVAECKE,       | THE INVESTMENT COMPANY OF AMERICA-A | 0.00                 | 9.22                | 0.00               | 9.22              | 0.5  | 0.05                 |
|   | ACCOUNT #: 00064484252         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-24UG - VERVAECKE,       | THE INVESTMENT COMPANY OF AMERICA-A | 0.00                 | 7.05                | 0.00               | 7.05              | 0.5  | 0.04                 |
|   | ACCOUNT #: 00064484254         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-03IR - DIBAGNO, DANIEL  | THE INVESTMENT COMPANY OF AMERICA-A | 0.00                 | 3.98                | 0.00               | 3.98              | 0.5  | 0.02                 |
|   | ACCOUNT #: 00064708638         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-675P - CALDWELL,        | THE INVESTMENT COMPANY OF AMERICA-A | 0.00                 | 1.14                | 0.00               | 1.14              | 0.5  | 0.01                 |
|   | ACCOUNT #: 00064952287         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-94SI - LYNN, MARK       | THE INVESTMENT COMPANY OF AMERICA-A | 0.00                 | 3.74                | 0.00               | 3.74              | 0.5  | 0.02                 |
|   | ACCOUNT #: 00064989877         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-665P - JONES, DAVID     | THE INVESTMENT COMPANY OF AMERICA-A | 0.00                 | 5.38                | 0.00               | 5.38              | 0.5  | 0.03                 |
|   | ACCOUNT #: 00065063555         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-63IR - CIHLAR, LILLIAN  | THE INVESTMENT COMPANY OF AMERICA-A | 0.00                 | 11.59               | 0.00               | 11.59             | 0.5  | 0.06                 |
|   | ACCOUNT #: 00065180037         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |



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|---|--|--|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b><u> OVERRIDE TRANSACTIONS (continued) </u></b> |  |  |                      |                     |                    |                   |      |                      |
| <b><u>BROKER: ALEX GEORGIEV (continued)</u></b>   |  |  |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-135P - LEW, STEVEN<br>ACCOUNT #: 00066702705      | THE INVESTMENT COMPANY OF AMERICA-A<br>BUY 0 Units @0.0000 | 0.00                 | 7.38                | 0.00               | 7.38              | 0.5  | 0.04                 |
| 03/01/2018  | ***-**-515P - MEYER, MICHAEL<br>ACCOUNT #: 00066722060   | THE INVESTMENT COMPANY OF AMERICA-A<br>BUY 0 Units @0.0000 | 0.00                 | 48.45               | 0.00               | 48.45             | 0.5  | 0.24                 |
| 03/01/2018  | ***-**-80UT - BUANGSUWON, ALEX<br>ACCOUNT #: 00066932706 | THE INVESTMENT COMPANY OF AMERICA-A<br>BUY 0 Units @0.0000 | 0.00                 | 189.84              | 0.00               | 189.84            | 0.5  | 0.95                 |
| 03/01/2018  | ***-**-204I - LOY, STEVEN<br>ACCOUNT #: 00067215893      | THE INVESTMENT COMPANY OF AMERICA-A<br>BUY 0 Units @0.0000 | 0.00                 | 3.99                | 0.00               | 3.99              | 0.5  | 0.02                 |
| 03/01/2018  | ***-**-01IN - ADAMS, BILLY<br>ACCOUNT #: 00067699318     | THE INVESTMENT COMPANY OF AMERICA-A<br>BUY 0 Units @0.0000 | 0.00                 | 15.46               | 0.00               | 15.46             | 0.5  | 0.08                 |
| 03/01/2018  | ***-**-84IR - GREEN, HENRY<br>ACCOUNT #: 00067900078     | THE INVESTMENT COMPANY OF AMERICA-A<br>BUY 0 Units @0.0000 | 0.00                 | 15.35               | 0.00               | 15.35             | 0.5  | 0.08                 |
| 03/01/2018  | ***-**-515P - TASSOUL, MICHAEL<br>ACCOUNT #: 00068195206 | THE INVESTMENT COMPANY OF AMERICA-A<br>BUY 0 Units @0.0000 | 0.00                 | 5.88                | 0.00               | 5.88              | 0.5  | 0.03                 |
| 03/01/2018  | ***-**-015P - NEWELL, JEFFREY<br>ACCOUNT #: 00068860548  | THE INVESTMENT COMPANY OF AMERICA-A<br>BUY 0 Units @0.0000 | 0.00                 | 8.60                | 0.00               | 8.60              | 0.5  | 0.04                 |
| 03/01/2018  | ***-**-929I - ILG-SCHMIDT,<br>ACCOUNT #: 00068860620     | THE INVESTMENT COMPANY OF AMERICA-A<br>BUY 0 Units @0.0000 | 0.00                 | 4.22                | 0.00               | 4.22              | 0.5  | 0.02                 |
| 03/01/2018  | ***-**-185P - SHERPY, RONALD<br>ACCOUNT #: 00069112525   | THE INVESTMENT COMPANY OF AMERICA-A<br>BUY 0 Units @0.0000 | 0.00                 | 17.95               | 0.00               | 17.95             | 0.5  | 0.09                 |
| 03/01/2018  | ***-**-675P - STAMPER, SCOTT<br>ACCOUNT #: 00074344325   | THE INVESTMENT COMPANY OF AMERICA-A<br>BUY 0 Units @0.0000 | 0.00                 | 1.21                | 0.00               | 1.21              | 0.5  | 0.01                 |
| 03/01/2018  | ***-**-875P - COMER, JAMES<br>ACCOUNT #: 00074873113     | THE INVESTMENT COMPANY OF AMERICA-A<br>BUY 0 Units @0.0000 | 0.00                 | 4.89                | 0.00               | 4.89              | 0.5  | 0.02                 |
| 03/01/2018  | ***-**-025P - PRUITT, MITCHELL<br>ACCOUNT #: 00075056497 | THE INVESTMENT COMPANY OF AMERICA-A<br>BUY 0 Units @0.0000 | 0.00                 | 1.31                | 0.00               | 1.31              | 0.5  | 0.01                 |
| 03/01/2018  | ***-**-97TR - GOERS, SHARON<br>ACCOUNT #: 00075198612    | THE INVESTMENT COMPANY OF AMERICA-A<br>BUY 0 Units @0.0000 | 0.00                 | 8.44                | 0.00               | 8.44              | 0.5  | 0.04                 |
| 03/01/2018  | ***-**-805P - MOSLEY, DAVID<br>ACCOUNT #: 00075230456    | THE INVESTMENT COMPANY OF AMERICA-A<br>BUY 0 Units @0.0000 | 0.00                 | 2.95                | 0.00               | 2.95              | 0.5  | 0.01                 |
| 03/01/2018  | ***-**-727I - POSSEE, DIANE<br>ACCOUNT #: 00075475535    | THE INVESTMENT COMPANY OF AMERICA-A<br>BUY 0 Units @0.0000 | 0.00                 | 3.68                | 0.00               | 3.68              | 0.5  | 0.02                 |



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| <b><u> OVERRIDE TRANSACTIONS (continued) </u></b> |  |  |                      |                     |                    |                   |      |                      |
| <b><u>BROKER: ALEX GEORGIEV (continued)</u></b>   |  |  |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-610I - LUNTE, DOUGLAS<br>ACCOUNT #: 00075957434   | THE INVESTMENT COMPANY OF AMERICA-A<br>BUY 0 Units @0.0000 | 0.00                 | 7.21                | 0.00               | 7.21              | 0.5  | 0.04                 |
| 03/01/2018  | ***-**-818I - YOUNG, BRANDI<br>ACCOUNT #: 00082828085    | THE INVESTMENT COMPANY OF AMERICA-A<br>BUY 0 Units @0.0000 | 0.00                 | 2.16                | 0.00               | 2.16              | 0.5  | 0.01                 |
| 03/01/2018  | ***-**-298P - FRANKEL, SANDRA<br>ACCOUNT #: 00312401762  | THE INVESTMENT COMPANY OF AMERICA-A<br>BUY 0 Units @0.0000 | 0.00                 | 1.04                | 0.00               | 1.04              | 0.5  | 0.01                 |
| 03/01/2018  | ***-**-755P - ALLEN, STEPHANIE<br>ACCOUNT #: 00933968197 | THE INVESTMENT COMPANY OF AMERICA-A<br>BUY 0 Units @0.0000 | 0.00                 | 8.08                | 0.00               | 8.08              | 0.5  | 0.04                 |
| 03/01/2018  | ***-**-8294 - ANDERSON, JODY<br>ACCOUNT #: 00062435954   | THE INVESTMENT COMPANY OF AMERICA-A<br>BUY 0 Units @0.0000 | 0.00                 | 14.89               | 0.00               | 14.89             | 0.5  | 0.07                 |
| 03/01/2018  | ***-**-825P - KAUFMAN, WENDY<br>ACCOUNT #: 00065109106   | THE INVESTMENT COMPANY OF AMERICA-A<br>BUY 0 Units @0.0000 | 0.00                 | 5.28                | 0.00               | 5.28              | 0.5  | 0.03                 |
| 03/01/2018  | ***-**-22IR - RUDO, BRIAN<br>ACCOUNT #: 00065173876      | THE INVESTMENT COMPANY OF AMERICA-A<br>BUY 0 Units @0.0000 | 0.00                 | 27.96               | 0.00               | 27.96             | 0.5  | 0.14                 |
| 03/01/2018  | ***-**-825P - REED, MICHELE<br>ACCOUNT #: 00066767510    | THE INVESTMENT COMPANY OF AMERICA-A<br>BUY 0 Units @0.0000 | 0.00                 | 12.40               | 0.00               | 12.40             | 0.5  | 0.06                 |
| 03/01/2018  | ***-**-985P - DAIUTO, MICHAEL<br>ACCOUNT #: 00067117965  | THE INVESTMENT COMPANY OF AMERICA-A<br>BUY 0 Units @0.0000 | 0.00                 | 48.88               | 0.00               | 48.88             | 0.5  | 0.24                 |
| 03/01/2018  | ***-**-155P - RICHARDSON,<br>ACCOUNT #: 00067493924      | THE INVESTMENT COMPANY OF AMERICA-A<br>BUY 0 Units @0.0000 | 0.00                 | 13.03               | 0.00               | 13.03             | 0.5  | 0.07                 |
| 03/01/2018  | ***-**-775P - GARRISON, LISA<br>ACCOUNT #: 00067557608   | THE INVESTMENT COMPANY OF AMERICA-A<br>BUY 0 Units @0.0000 | 0.00                 | 1.89                | 0.00               | 1.89              | 0.5  | 0.01                 |
| 03/01/2018  | ***-**-245P - KURMAN, MICHELLE<br>ACCOUNT #: 00067625015 | THE INVESTMENT COMPANY OF AMERICA-A<br>BUY 0 Units @0.0000 | 0.00                 | 6.18                | 0.00               | 6.18              | 0.5  | 0.03                 |
| 03/01/2018  | ***-**-195P - CRUM, SCOTT<br>ACCOUNT #: 00067668651      | THE INVESTMENT COMPANY OF AMERICA-A<br>BUY 0 Units @0.0000 | 0.00                 | 11.35               | 0.00               | 11.35             | 0.5  | 0.06                 |
| 03/01/2018  | ***-**-365P - SHARKEY, PEGGY<br>ACCOUNT #: 00068060484   | THE INVESTMENT COMPANY OF AMERICA-A<br>BUY 0 Units @0.0000 | 0.00                 | 9.70                | 0.00               | 9.70              | 0.5  | 0.05                 |
| 03/01/2018  | ***-**-025P - TILLERY, MIRIAM<br>ACCOUNT #: 00068439025  | THE INVESTMENT COMPANY OF AMERICA-A<br>BUY 0 Units @0.0000 | 0.00                 | 25.51               | 0.00               | 25.51             | 0.5  | 0.13                 |
| 03/01/2018  | ***-**-385P - LITMAN, WENDY<br>ACCOUNT #: 00069039210    | THE INVESTMENT COMPANY OF AMERICA-A<br>BUY 0 Units @0.0000 | 0.00                 | 11.00               | 0.00               | 11.00             | 0.5  | 0.06                 |



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| <b><u> OVERRIDE TRANSACTIONS (continued) </u></b> |  |  |                      |                     |                    |                   |      |                      |
| <b><u>BROKER: ALEX GEORGIEV (continued)</u></b>   |  |  |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-915P - ELIAS, CAROLINA<br>ACCOUNT #: 00069223122  | THE INVESTMENT COMPANY OF AMERICA-A<br>BUY 0 Units @0.0000 | 0.00                 | 20.40               | 0.00               | 20.40             | 0.5  | 0.10                 |
| 03/01/2018  | ***-**-335P - MCCANN, COLIN<br>ACCOUNT #: 00073450296    | THE INVESTMENT COMPANY OF AMERICA-A<br>BUY 0 Units @0.0000 | 0.00                 | 4.46                | 0.00               | 4.46              | 0.5  | 0.02                 |
| 03/01/2018  | ***-**-885P - BOWERS, SARA<br>ACCOUNT #: 00073555810     | THE INVESTMENT COMPANY OF AMERICA-A<br>BUY 0 Units @0.0000 | 0.00                 | 4.42                | 0.00               | 4.42              | 0.5  | 0.02                 |
| 03/01/2018  | ***-**-60RI - DUGGAN, TERESA<br>ACCOUNT #: 00073561351   | THE INVESTMENT COMPANY OF AMERICA-A<br>BUY 0 Units @0.0000 | 0.00                 | 17.40               | 0.00               | 17.40             | 0.5  | 0.09                 |
| 03/01/2018  | ***-**-495P - WALLACE, RACHAEL<br>ACCOUNT #: 00073772445 | THE INVESTMENT COMPANY OF AMERICA-A<br>BUY 0 Units @0.0000 | 0.00                 | 30.42               | 0.00               | 30.42             | 0.5  | 0.15                 |
| 03/01/2018  | ***-**-055P - MCADOO, ERICA<br>ACCOUNT #: 00073903597    | THE INVESTMENT COMPANY OF AMERICA-A<br>BUY 0 Units @0.0000 | 0.00                 | 16.67               | 0.00               | 16.67             | 0.5  | 0.08                 |
| 03/01/2018  | ***-**-405P - FELMEY, KATHY<br>ACCOUNT #: 00074808907    | THE INVESTMENT COMPANY OF AMERICA-A<br>BUY 0 Units @0.0000 | 0.00                 | 12.06               | 0.00               | 12.06             | 0.5  | 0.06                 |
| 03/01/2018  | ***-**-345P - TYLER, CYNTHIA<br>ACCOUNT #: 00081501360   | THE INVESTMENT COMPANY OF AMERICA-A<br>BUY 0 Units @0.0000 | 0.00                 | 1.07                | 0.00               | 1.07              | 0.5  | 0.01                 |
| 03/01/2018  | ***-**-192I - JOHNSON, BELINDA<br>ACCOUNT #: 00067696522 | THE INVESTMENT COMPANY OF AMERICA-F<br>BUY 0 Units @0.0000 | 0.00                 | 1.66                | 0.00               | 1.66              | 0.5  | 0.01                 |
| 03/01/2018  | ***-**-795P - WILLIAMS,<br>ACCOUNT #: 00073900845        | THE INVESTMENT COMPANY OF AMERICA-F<br>BUY 0 Units @0.0000 | 0.00                 | 1.97                | 0.00               | 1.97              | 0.5  | 0.01                 |
| 03/01/2018  | ***-**-345P -<br>ACCOUNT #: 00067128072                  | THE INVESTMENT COMPANY OF AMERICA-F<br>BUY 0 Units @0.0000 | 0.00                 | 64.80               | 0.00               | 64.80             | 0.5  | 0.32                 |
| 03/01/2018  | ***-**-375P - SINNO, FADY<br>ACCOUNT #: 00069308202      | THE INVESTMENT COMPANY OF AMERICA-F<br>BUY 0 Units @0.0000 | 0.00                 | 17.04               | 0.00               | 17.04             | 0.5  | 0.09                 |
| 03/01/2018  | ***-**-015P - SEVERE, DAVID<br>ACCOUNT #: 00086510141    | THE NEW ECONOMY FUND-529A<br>BUY 0 Units @0.0000           | 0.00                 | 5.22                | 0.00               | 5.22              | 0.5  | 0.03                 |
| 03/01/2018  | ***-**-005P - SIRCY, PATRICK<br>ACCOUNT #: 00081938666   | THE NEW ECONOMY FUND-529A<br>BUY 0 Units @0.0000           | 0.00                 | 16.39               | 0.00               | 16.39             | 0.5  | 0.08                 |
| 02/28/2018  | ***-**-72IN - THUMULURU,<br>ACCOUNT #: 00074749751       | THE NEW ECONOMY FUND-A<br>BUY 4 Units @49.2500             | 200.00               | 5.50                | 0.00               | 5.50              | 0.5  | 0.03                 |
| 03/01/2018  | ***-**-295P - HOGAN, ANN<br>ACCOUNT #: 00074253253       | THE NEW ECONOMY FUND-A<br>BUY 0 Units @0.0000              | 0.00                 | 41.39               | 0.00               | 41.39             | 0.5  | 0.21                 |





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| <b><u> OVERRIDE TRANSACTIONS (continued) </u></b> |                                |                        |                      |                     |                    |                   |      |                      |
| <b><u>BROKER: ALEX GEORGIEV (continued)</u></b>   |                                |                        |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-559I - PARSONS, TERRIE  | THE NEW ECONOMY FUND-A | 0.00                 | 19.04               | 0.00               | 19.04             | 0.5  | 0.10                 |
|   | ACCOUNT #: 00060653359         | BUY 0 Units @0.0000    |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-806I - PATEL, VINODBHAI | THE NEW ECONOMY FUND-A | 0.00                 | 10.59               | 0.00               | 10.59             | 0.5  | 0.05                 |
|   | ACCOUNT #: 00060688726         | BUY 0 Units @0.0000    |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-559I - BERROL, WILLIAM  | THE NEW ECONOMY FUND-A | 0.00                 | 56.39               | 0.00               | 56.39             | 0.5  | 0.28                 |
|   | ACCOUNT #: 00060972445         | BUY 0 Units @0.0000    |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-395P - NISSON/SEP,      | THE NEW ECONOMY FUND-A | 0.00                 | 3.39                | 0.00               | 3.39              | 0.5  | 0.02                 |
|   | ACCOUNT #: 00061194368         | BUY 0 Units @0.0000    |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-70IN - PESCHE, SUSAN    | THE NEW ECONOMY FUND-A | 0.00                 | 20.76               | 0.00               | 20.76             | 0.5  | 0.10                 |
|   | ACCOUNT #: 00061196180         | BUY 0 Units @0.0000    |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-875P - SICA, BRENDA     | THE NEW ECONOMY FUND-A | 0.00                 | 46.34               | 0.00               | 46.34             | 0.5  | 0.23                 |
|   | ACCOUNT #: 00063674032         | BUY 0 Units @0.0000    |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-03IR - DIBAGNO, DANIEL  | THE NEW ECONOMY FUND-A | 0.00                 | 3.31                | 0.00               | 3.31              | 0.5  | 0.02                 |
|   | ACCOUNT #: 00064708638         | BUY 0 Units @0.0000    |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-94SI - LYNN, MARK       | THE NEW ECONOMY FUND-A | 0.00                 | 5.08                | 0.00               | 5.08              | 0.5  | 0.03                 |
|   | ACCOUNT #: 00064989877         | BUY 0 Units @0.0000    |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-135P - LEW, STEVEN      | THE NEW ECONOMY FUND-A | 0.00                 | 4.35                | 0.00               | 4.35              | 0.5  | 0.02                 |
|   | ACCOUNT #: 00066702705         | BUY 0 Units @0.0000    |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-515P - MEYER, MICHAEL   | THE NEW ECONOMY FUND-A | 0.00                 | 15.21               | 0.00               | 15.21             | 0.5  | 0.08                 |
|   | ACCOUNT #: 00066722060         | BUY 0 Units @0.0000    |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-3299 - RAMIREZ, JOSE    | THE NEW ECONOMY FUND-A | 0.00                 | 12.96               | 0.00               | 12.96             | 0.5  | 0.06                 |
|   | ACCOUNT #: 00068281046         | BUY 0 Units @0.0000    |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-085P - RAINEY, JAMES    | THE NEW ECONOMY FUND-A | 0.00                 | 8.68                | 0.00               | 8.68              | 0.5  | 0.04                 |
|   | ACCOUNT #: 00065050651         | BUY 0 Units @0.0000    |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-065P - MULHOLLAND,      | THE NEW ECONOMY FUND-A | 0.00                 | 7.72                | 0.00               | 7.72              | 0.5  | 0.04                 |
|   | ACCOUNT #: 00065098009         | BUY 0 Units @0.0000    |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-405P - STEWART,         | THE NEW ECONOMY FUND-A | 0.00                 | 5.18                | 0.00               | 5.18              | 0.5  | 0.03                 |
|   | ACCOUNT #: 00069014456         | BUY 0 Units @0.0000    |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-691I - COLLINS, PAMELA  | THE NEW ECONOMY FUND-A | 0.00                 | 5.95                | 0.00               | 5.95              | 0.5  | 0.03                 |
|   | ACCOUNT #: 00074006244         | BUY 0 Units @0.0000    |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-72IN - THUMULURU,       | THE NEW ECONOMY FUND-A | 0.00                 | 12.68               | 0.00               | 12.68             | 0.5  | 0.06                 |
|   | ACCOUNT #: 00074749751         | BUY 0 Units @0.0000    |                      |                     |                    |                   |      |                      |



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| <b><u> OVERRIDE TRANSACTIONS (continued) </u></b> |  |  |                      |                     |                    |                   |      |                      |
| <b><u>BROKER: ALEX GEORGIEV (continued)</u></b>   |  |  |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-95IN - STARTZEL,<br>ACCOUNT #: 00081317740        | THE NEW ECONOMY FUND-A<br>BUY 0 Units @0.0000              | 0.00                 | 14.16               | 0.00               | 14.16             | 0.5  | 0.07                 |
| 03/07/2018  | ***-**-5292 - REDDING, JEFFERY<br>ACCOUNT #: 00065194722 | TREASURY FUND - DAILY MONEY CLASS<br>BUY 0 Units @0.0000   | 0.00                 | 10.69               | 0.00               | 10.69             | 0.5  | 0.05                 |
| 03/07/2018  | ***-**-4741 - STEINER, GARY<br>ACCOUNT #: 00531302438    | TREASURY FUND - DAILY MONEY CLASS<br>BUY 0 Units @0.0000   | 0.00                 | 1.08                | 0.00               | 1.08              | 0.5  | 0.01                 |
| 03/01/2018  | ***-**-515P - AMOAKO, DOUGLAS<br>ACCOUNT #: 00064756380  | U.S. GOVERNMENT SECURITIES FUND CLA<br>BUY 0 Units @0.0000 | 0.00                 | 3.03                | 0.00               | 3.03              | 0.5  | 0.02                 |
| 03/01/2018  | ***-**-994B - EARLES, PHYLLIS<br>ACCOUNT #: 02001074291  | U.S. GOVERNMENT SECURITIES FUND CLA<br>BUY 0 Units @0.0000 | 0.00                 | 1.18                | 0.00               | 1.18              | 0.5  | 0.01                 |
| 03/12/2018  | ***-**-316I - MCCUNE, MICHAEL<br>ACCOUNT #: LSR009995    | VAN KAMPEN1<br>BUY 1 Units @0.0000                         | 0.00                 | 1.43                | 0.00               | 1.43              | 0.5  | 0.01                 |
| 03/12/2018  | ***-**-89TR - FAM TR DTD                                 | VIRTUS MF TRAILS<br>BUY 0 Units @0.0000                    | 0.00                 | 17.86               | 0.00               | 17.86             | 0.5  | 0.09                 |
| 03/12/2018  | ***-**-0711 - MICHAEL, GEORGE                            | VIRTUS MF TRAILS<br>BUY 0 Units @0.0000                    | 0.00                 | 40.10               | 0.00               | 40.10             | 0.5  | 0.20                 |
| 03/12/2018  | ***-**-629I - O'TOOLE, JOHN                              | VIRTUS MF TRAILS<br>BUY 0 Units @0.0000                    | 0.00                 | 31.91               | 0.00               | 31.91             | 0.5  | 0.16                 |
| 03/12/2018  | ***-**-4223 - SOBIERAJ, AGNES                            | VIRTUS MF TRAILS<br>BUY 0 Units @0.0000                    | 0.00                 | 18.45               | 0.00               | 18.45             | 0.5  | 0.09                 |
| 03/12/2018  | ***-**-5751 - TAUB-FERN, FERN                            | VIRTUS MF TRAILS<br>BUY 0 Units @0.0000                    | 0.00                 | 31.53               | 0.00               | 31.53             | 0.5  | 0.16                 |
| 03/12/2018  | ***-**-4991 - RUNO, EDWARD                               | VIRTUS MF TRAILS<br>BUY 0 Units @0.0000                    | 0.00                 | 18.24               | 0.00               | 18.24             | 0.5  | 0.09                 |
| 03/12/2018  | ***-**-377I - DONNELLY, MARY                             | VIRTUS MF TRAILS<br>BUY 0 Units @0.0000                    | 0.00                 | 11.30               | 0.00               | 11.30             | 0.5  | 0.06                 |
| 03/12/2018  | ***-**-4166 - QUEENAN, THOMAS                            | VIRTUS MF TRAILS<br>BUY 0 Units @0.0000                    | 0.00                 | 19.07               | 0.00               | 19.07             | 0.5  | 0.10                 |
| 03/12/2018  | ***-**-4166 - QUEENAN, THOMAS                            | VIRTUS MF TRAILS<br>BUY 0 Units @0.0000                    | 0.00                 | 33.26               | 0.00               | 33.26             | 0.5  | 0.17                 |
| 03/12/2018  | ***-**-03CL - GEORGIEV,                                  | VIRTUS MF TRAILS<br>BUY 0 Units @0.0000                    | 0.00                 | 124.25              | 0.00               | 124.25            | 0.5  | 0.62                 |



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| <b><u> OVERRIDE TRANSACTIONS (continued) </u></b> |  |  |                      |                     |                    |                   |      |                      |
| <b><u>BROKER: ALEX GEORGIEV (continued)</u></b>   |  |  |                      |                     |                    |                   |      |                      |
| 03/12/2018  | ***-**-7972 - DEGIROLAMO,                                | VIRTUS MF TRAILS<br>BUY 0 Units @0.0000                    | 0.00                 | 9.35                | 0.00               | 9.35              | 0.5  | 0.05                 |
| 03/12/2018  | ***-**-5610 - DEGIROLAMO,                                | VIRTUS MF TRAILS<br>BUY 0 Units @0.0000                    | 0.00                 | 8.96                | 0.00               | 8.96              | 0.5  | 0.04                 |
| 03/12/2018  | ***-**-600I - TROIA, NINO                                | VIRTUS MF TRAILS<br>BUY 0 Units @0.0000                    | 0.00                 | 1.46                | 0.00               | 1.46              | 0.5  | 0.01                 |
| 03/12/2018  | ***-**-65CL - LIFEMARK,                                  | VOYA INS TRAILS<br>BUY 1 Units @0.0000                     | 0.00                 | 50.30               | 0.00               | 50.30             | 0.5  | 0.25                 |
| 03/01/2018  | ***-**-685P - VEAL, MICHAEL<br>ACCOUNT #: 00081923626    | WASHINGTON MUTUAL INVESTORS FUND-52<br>BUY 0 Units @0.0000 | 0.00                 | 4.38                | 0.00               | 4.38              | 0.5  | 0.02                 |
| 03/01/2018  | ***-**-0619 - SHORB, STANLEY<br>ACCOUNT #: 00083330700   | WASHINGTON MUTUAL INVESTORS FUND-52<br>BUY 0 Units @0.0000 | 0.00                 | 5.05                | 0.00               | 5.05              | 0.5  | 0.03                 |
| 03/01/2018  | ***-**-0619 - SHORB, STANLEY<br>ACCOUNT #: 00087534220   | WASHINGTON MUTUAL INVESTORS FUND-52<br>BUY 0 Units @0.0000 | 0.00                 | 6.47                | 0.00               | 6.47              | 0.5  | 0.03                 |
| 03/01/2018  | ***-**-0619 - SHORB, STANLEY<br>ACCOUNT #: 00087534228   | WASHINGTON MUTUAL INVESTORS FUND-52<br>BUY 0 Units @0.0000 | 0.00                 | 3.78                | 0.00               | 3.78              | 0.5  | 0.02                 |
| 03/01/2018  | ***-**-495P - WALLACE, RACHAEL<br>ACCOUNT #: 00067969420 | WASHINGTON MUTUAL INVESTORS FUND-52<br>BUY 0 Units @0.0000 | 0.00                 | 3.87                | 0.00               | 3.87              | 0.5  | 0.02                 |
| 03/01/2018  | ***-**-691I - GORDON, JONATHAN<br>ACCOUNT #: 00063812327 | WASHINGTON MUTUAL INVESTORS FUND-A<br>BUY 2 Units @47.6200 | 100.00               | 3.75                | 0.00               | 3.75              | 0.5  | 0.02                 |
| 03/01/2018  | ***-**-064J - HALL, AMY<br>ACCOUNT #: 00083146232        | WASHINGTON MUTUAL INVESTORS FUND-A<br>BUY 5 Units @46.1700 | 250.00               | 3.00                | 0.00               | 3.00              | 0.5  | 0.02                 |
| 03/01/2018  | ***-**-88RI - GRASSMUCK,<br>ACCOUNT #: 00057245423       | WASHINGTON MUTUAL INVESTORS FUND-A<br>BUY 0 Units @0.0000  | 0.00                 | 28.40               | 0.00               | 28.40             | 0.5  | 0.14                 |
| 03/01/2018  | ***-**-71IN - KOLLHOFF,<br>ACCOUNT #: 00058635609        | WASHINGTON MUTUAL INVESTORS FUND-A<br>BUY 0 Units @0.0000  | 0.00                 | 47.95               | 0.00               | 47.95             | 0.5  | 0.24                 |
| 03/01/2018  | ***-**-559I - PARSONS, TERRIE<br>ACCOUNT #: 00060653359  | WASHINGTON MUTUAL INVESTORS FUND-A<br>BUY 0 Units @0.0000  | 0.00                 | 4.38                | 0.00               | 4.38              | 0.5  | 0.02                 |
| 03/01/2018  | ***-**-395P - NISSON/SEP,<br>ACCOUNT #: 00061194368      | WASHINGTON MUTUAL INVESTORS FUND-A<br>BUY 0 Units @0.0000  | 0.00                 | 3.92                | 0.00               | 3.92              | 0.5  | 0.02                 |
| 03/01/2018  | ***-**-70IN - PESCHE, SUSAN<br>ACCOUNT #: 00061196180    | WASHINGTON MUTUAL INVESTORS FUND-A<br>BUY 0 Units @0.0000  | 0.00                 | 30.07               | 0.00               | 30.07             | 0.5  | 0.15                 |



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| <b><u> OVERRIDE TRANSACTIONS (continued) </u></b> |                                |                                    |                      |                     |                    |                   |      |                      |
| <b><u>BROKER: ALEX GEORGIEV (continued)</u></b>   |                                |                                    |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-039B - DONOHUE, MICHAEL | WASHINGTON MUTUAL INVESTORS FUND-A | 0.00                 | 1.45                | 0.00               | 1.45              | 0.5  | 0.01                 |
|   | ACCOUNT #: 00061198087         | BUY 0 Units @0.0000                |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-71IN - GLEASON, JAMES   | WASHINGTON MUTUAL INVESTORS FUND-A | 0.00                 | 4.76                | 0.00               | 4.76              | 0.5  | 0.02                 |
|   | ACCOUNT #: 00061293006         | BUY 0 Units @0.0000                |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-481I - ARNOLD, JAMES    | WASHINGTON MUTUAL INVESTORS FUND-A | 0.00                 | 2.81                | 0.00               | 2.81              | 0.5  | 0.01                 |
|   | ACCOUNT #: 00061445765         | BUY 0 Units @0.0000                |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-12UT - BASTEN, ASHLEY   | WASHINGTON MUTUAL INVESTORS FUND-A | 0.00                 | 3.93                | 0.00               | 3.93              | 0.5  | 0.02                 |
|   | ACCOUNT #: 00061604201         | BUY 0 Units @0.0000                |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-099I - KREJCA, KIM      | WASHINGTON MUTUAL INVESTORS FUND-A | 0.00                 | 23.99               | 0.00               | 23.99             | 0.5  | 0.12                 |
|   | ACCOUNT #: 00061695961         | BUY 0 Units @0.0000                |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-229I - NOWAKOWSKI,      | WASHINGTON MUTUAL INVESTORS FUND-A | 0.00                 | 20.62               | 0.00               | 20.62             | 0.5  | 0.10                 |
|   | ACCOUNT #: 00061749920         | BUY 0 Units @0.0000                |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-795P - MYERS, JOHN      | WASHINGTON MUTUAL INVESTORS FUND-A | 0.00                 | 34.96               | 0.00               | 34.96             | 0.5  | 0.17                 |
|   | ACCOUNT #: 00061900969         | BUY 0 Units @0.0000                |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-102I - HUFF, MARK       | WASHINGTON MUTUAL INVESTORS FUND-A | 0.00                 | 1.60                | 0.00               | 1.60              | 0.5  | 0.01                 |
|   | ACCOUNT #: 00061915937         | BUY 0 Units @0.0000                |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-511I - MOGANNAM, KAREN  | WASHINGTON MUTUAL INVESTORS FUND-A | 0.00                 | 3.74                | 0.00               | 3.74              | 0.5  | 0.02                 |
|   | ACCOUNT #: 00061931362         | BUY 0 Units @0.0000                |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-525P - ARCHAMBAULT,     | WASHINGTON MUTUAL INVESTORS FUND-A | 0.00                 | 35.03               | 0.00               | 35.03             | 0.5  | 0.18                 |
|   | ACCOUNT #: 00062052940         | BUY 0 Units @0.0000                |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-428I - DAPRA, STEPHANIE | WASHINGTON MUTUAL INVESTORS FUND-A | 0.00                 | 38.11               | 0.00               | 38.11             | 0.5  | 0.19                 |
|   | ACCOUNT #: 00062101764         | BUY 0 Units @0.0000                |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-715P - EMERY, ELIZABETH | WASHINGTON MUTUAL INVESTORS FUND-A | 0.00                 | 30.68               | 0.00               | 30.68             | 0.5  | 0.15                 |
|   | ACCOUNT #: 00062101930         | BUY 0 Units @0.0000                |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-78IN - ROSSI, THOMAS    | WASHINGTON MUTUAL INVESTORS FUND-A | 0.00                 | 8.13                | 0.00               | 8.13              | 0.5  | 0.04                 |
|   | ACCOUNT #: 00062504792         | BUY 0 Units @0.0000                |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-385P - SHEETS, JAYSON   | WASHINGTON MUTUAL INVESTORS FUND-A | 0.00                 | 1.91                | 0.00               | 1.91              | 0.5  | 0.01                 |
|   | ACCOUNT #: 00062566017         | BUY 0 Units @0.0000                |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-598O - BAIS, RAM        | WASHINGTON MUTUAL INVESTORS FUND-A | 0.00                 | 6.37                | 0.00               | 6.37              | 0.5  | 0.03                 |
|   | ACCOUNT #: 00062603215         | BUY 0 Units @0.0000                |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-345P - BROWN, ABIGAIL   | WASHINGTON MUTUAL INVESTORS FUND-A | 0.00                 | 3.21                | 0.00               | 3.21              | 0.5  | 0.02                 |
|   | ACCOUNT #: 00062618359         | BUY 0 Units @0.0000                |                      |                     |                    |                   |      |                      |



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| <b><u>VERRIDE TRANSACTIONS (continued)</u></b>  |  |   |                      |                     |                    |                   |      |                      |
| <b><u>BROKER: ALEX GEORGIEV (continued)</u></b> |  |   |                      |                     |                    |                   |      |                      |
| 03/01/2018                                      | ***-**-765P - WALZ, NICHOLAS<br>ACCOUNT #: 00062621788   | WASHINGTON MUTUAL INVESTORS FUND-A<br>BUY 0 Units @0.0000 | 0.00                 | 7.12                | 0.00               | 7.12              | 0.5  | 0.04                 |
| 03/01/2018                                      | ***-**-713I - KLINE, RAYMOND<br>ACCOUNT #: 00062624673   | WASHINGTON MUTUAL INVESTORS FUND-A<br>BUY 0 Units @0.0000 | 0.00                 | 150.91              | 0.00               | 150.91            | 0.5  | 0.75                 |
| 03/01/2018                                      | ***-**-21UT - COOMBS, KATIE<br>ACCOUNT #: 00062818380    | WASHINGTON MUTUAL INVESTORS FUND-A<br>BUY 0 Units @0.0000 | 0.00                 | 6.55                | 0.00               | 6.55              | 0.5  | 0.03                 |
| 03/01/2018                                      | ***-**-025P - COOMBS, JULIE<br>ACCOUNT #: 00062818381    | WASHINGTON MUTUAL INVESTORS FUND-A<br>BUY 0 Units @0.0000 | 0.00                 | 6.55                | 0.00               | 6.55              | 0.5  | 0.03                 |
| 03/01/2018                                      | ***-**-821I - POLANCIC, DAVID<br>ACCOUNT #: 00063170477  | WASHINGTON MUTUAL INVESTORS FUND-A<br>BUY 0 Units @0.0000 | 0.00                 | 2.84                | 0.00               | 2.84              | 0.5  | 0.01                 |
| 03/01/2018                                      | ***-**-061I - MAGGIO,<br>ACCOUNT #: 00063184205          | WASHINGTON MUTUAL INVESTORS FUND-A<br>BUY 0 Units @0.0000 | 0.00                 | 1.95                | 0.00               | 1.95              | 0.5  | 0.01                 |
| 03/01/2018                                      | ***-**-773I - MAGGIO, GIUSEPPE<br>ACCOUNT #: 00063184206 | WASHINGTON MUTUAL INVESTORS FUND-A<br>BUY 0 Units @0.0000 | 0.00                 | 23.74               | 0.00               | 23.74             | 0.5  | 0.12                 |
| 03/01/2018                                      | ***-**-645P - HARDIN, SHERRELL<br>ACCOUNT #: 00063239496 | WASHINGTON MUTUAL INVESTORS FUND-A<br>BUY 0 Units @0.0000 | 0.00                 | 52.79               | 0.00               | 52.79             | 0.5  | 0.26                 |
| 03/01/2018                                      | ***-**-955P - MARTINEZ, DIANA<br>ACCOUNT #: 00063300366  | WASHINGTON MUTUAL INVESTORS FUND-A<br>BUY 0 Units @0.0000 | 0.00                 | 12.57               | 0.00               | 12.57             | 0.5  | 0.06                 |
| 03/01/2018                                      | ***-**-585P - RYEN, THEODORE<br>ACCOUNT #: 00063313413   | WASHINGTON MUTUAL INVESTORS FUND-A<br>BUY 0 Units @0.0000 | 0.00                 | 4.13                | 0.00               | 4.13              | 0.5  | 0.02                 |
| 03/01/2018                                      | ***-**-945P - KNOPF, KEVIN<br>ACCOUNT #: 00063352500     | WASHINGTON MUTUAL INVESTORS FUND-A<br>BUY 0 Units @0.0000 | 0.00                 | 1.33                | 0.00               | 1.33              | 0.5  | 0.01                 |
| 03/01/2018                                      | ***-**-642T - JURAK, DANIEL<br>ACCOUNT #: 00063352504    | WASHINGTON MUTUAL INVESTORS FUND-A<br>BUY 0 Units @0.0000 | 0.00                 | 22.24               | 0.00               | 22.24             | 0.5  | 0.11                 |
| 03/01/2018                                      | ***-**-150B - FRANKLYN, LINDA<br>ACCOUNT #: 00063389891  | WASHINGTON MUTUAL INVESTORS FUND-A<br>BUY 0 Units @0.0000 | 0.00                 | 16.10               | 0.00               | 16.10             | 0.5  | 0.08                 |
| 03/01/2018                                      | ***-**-7060 - GARLAND, BARBARA<br>ACCOUNT #: 00063496789 | WASHINGTON MUTUAL INVESTORS FUND-A<br>BUY 0 Units @0.0000 | 0.00                 | 43.82               | 0.00               | 43.82             | 0.5  | 0.22                 |
| 03/01/2018                                      | ***-**-04IR - GRODZICKI,<br>ACCOUNT #: 00063592510       | WASHINGTON MUTUAL INVESTORS FUND-A<br>BUY 0 Units @0.0000 | 0.00                 | 3.75                | 0.00               | 3.75              | 0.5  | 0.02                 |
| 03/01/2018                                      | ***-**-215P - WARREN, JOHN<br>ACCOUNT #: 00063606566     | WASHINGTON MUTUAL INVESTORS FUND-A<br>BUY 0 Units @0.0000 | 0.00                 | 7.60                | 0.00               | 7.60              | 0.5  | 0.04                 |



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| <b><u> OVERRIDE TRANSACTIONS (continued) </u></b> |  |   |                      |                     |                    |                   |      |                      |
| <b><u> BROKER: ALEX GEORGIEV (continued) </u></b> |  |   |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-875P - SICA, BRENDA<br>ACCOUNT #: 00063674032     | WASHINGTON MUTUAL INVESTORS FUND-A<br>BUY 0 Units @0.0000 | 0.00                 | 40.84               | 0.00               | 40.84             | 0.5  | 0.20                 |
| 03/01/2018  | ***-**-675P - MCNAIR, JAMES<br>ACCOUNT #: 00063780949    | WASHINGTON MUTUAL INVESTORS FUND-A<br>BUY 0 Units @0.0000 | 0.00                 | 2.77                | 0.00               | 2.77              | 0.5  | 0.01                 |
| 03/01/2018  | ***-**-225P - HERMAN, ROBERT<br>ACCOUNT #: 00063788304   | WASHINGTON MUTUAL INVESTORS FUND-A<br>BUY 0 Units @0.0000 | 0.00                 | 2.48                | 0.00               | 2.48              | 0.5  | 0.01                 |
| 03/01/2018  | ***-**-161I - GROVER, WILLIE<br>ACCOUNT #: 00063811157   | WASHINGTON MUTUAL INVESTORS FUND-A<br>BUY 0 Units @0.0000 | 0.00                 | 3.20                | 0.00               | 3.20              | 0.5  | 0.02                 |
| 03/01/2018  | ***-**-691I - GORDON, JONATHAN<br>ACCOUNT #: 00063812327 | WASHINGTON MUTUAL INVESTORS FUND-A<br>BUY 0 Units @0.0000 | 0.00                 | 32.83               | 0.00               | 32.83             | 0.5  | 0.16                 |
| 03/01/2018  | ***-**-628P - YUNKUN, GLADYS<br>ACCOUNT #: 00063812676   | WASHINGTON MUTUAL INVESTORS FUND-A<br>BUY 0 Units @0.0000 | 0.00                 | 10.95               | 0.00               | 10.95             | 0.5  | 0.05                 |
| 03/01/2018  | ***-**-935P - RODRIGUEZ, MARIA<br>ACCOUNT #: 00063909169 | WASHINGTON MUTUAL INVESTORS FUND-A<br>BUY 0 Units @0.0000 | 0.00                 | 1.56                | 0.00               | 1.56              | 0.5  | 0.01                 |
| 03/01/2018  | ***-**-575P - ANDERSON, SUSAN<br>ACCOUNT #: 00063941162  | WASHINGTON MUTUAL INVESTORS FUND-A<br>BUY 0 Units @0.0000 | 0.00                 | 10.73               | 0.00               | 10.73             | 0.5  | 0.05                 |
| 03/01/2018  | ***-**-56IR - LAI, ANITA<br>ACCOUNT #: 00064000781       | WASHINGTON MUTUAL INVESTORS FUND-A<br>BUY 0 Units @0.0000 | 0.00                 | 15.77               | 0.00               | 15.77             | 0.5  | 0.08                 |
| 03/01/2018  | ***-**-155P - NAHAMOU,<br>ACCOUNT #: 00064023902         | WASHINGTON MUTUAL INVESTORS FUND-A<br>BUY 0 Units @0.0000 | 0.00                 | 20.10               | 0.00               | 20.10             | 0.5  | 0.10                 |
| 03/01/2018  | ***-**-05IN - BEHRMANN, SHELLY<br>ACCOUNT #: 00064148099 | WASHINGTON MUTUAL INVESTORS FUND-A<br>BUY 0 Units @0.0000 | 0.00                 | 1.96                | 0.00               | 1.96              | 0.5  | 0.01                 |
| 03/01/2018  | ***-**-93UT - CRITES, KELSEY<br>ACCOUNT #: 00064180917   | WASHINGTON MUTUAL INVESTORS FUND-A<br>BUY 0 Units @0.0000 | 0.00                 | 2.26                | 0.00               | 2.26              | 0.5  | 0.01                 |
| 03/01/2018  | ***-**-105P - THOMPSON,<br>ACCOUNT #: 00064244485        | WASHINGTON MUTUAL INVESTORS FUND-A<br>BUY 0 Units @0.0000 | 0.00                 | 3.93                | 0.00               | 3.93              | 0.5  | 0.02                 |
| 03/01/2018  | ***-**-371I - SMITH, LEOLA<br>ACCOUNT #: 00064360066     | WASHINGTON MUTUAL INVESTORS FUND-A<br>BUY 0 Units @0.0000 | 0.00                 | 1.44                | 0.00               | 1.44              | 0.5  | 0.01                 |
| 03/01/2018  | ***-**-695P - RAMEY/CALA,<br>ACCOUNT #: 00064622625      | WASHINGTON MUTUAL INVESTORS FUND-A<br>BUY 0 Units @0.0000 | 0.00                 | 2.65                | 0.00               | 2.65              | 0.5  | 0.01                 |
| 03/01/2018  | ***-**-03IR - DIBAGNO, DANIEL<br>ACCOUNT #: 00064708638  | WASHINGTON MUTUAL INVESTORS FUND-A<br>BUY 0 Units @0.0000 | 0.00                 | 4.07                | 0.00               | 4.07              | 0.5  | 0.02                 |



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|---|--|---|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b><u>VERRIDE TRANSACTIONS (continued)</u></b>  |  |   |                      |                     |                    |                   |      |                      |
| <b><u>BROKER: ALEX GEORGIEV (continued)</u></b> |  |   |                      |                     |                    |                   |      |                      |
| 03/01/2018                                      | ***-**-515P - AMOAKO, DOUGLAS<br>ACCOUNT #: 00064756380  | WASHINGTON MUTUAL INVESTORS FUND-A<br>BUY 0 Units @0.0000 | 0.00                 | 8.36                | 0.00               | 8.36              | 0.5  | 0.04                 |
| 03/01/2018                                      | ***-**-995P - BILLAKANTI,<br>ACCOUNT #: 00066724821      | WASHINGTON MUTUAL INVESTORS FUND-A<br>BUY 0 Units @0.0000 | 0.00                 | 3.56                | 0.00               | 3.56              | 0.5  | 0.02                 |
| 03/01/2018                                      | ***-**-978I - ENRIGHT,<br>ACCOUNT #: 00066747757         | WASHINGTON MUTUAL INVESTORS FUND-A<br>BUY 0 Units @0.0000 | 0.00                 | 3.69                | 0.00               | 3.69              | 0.5  | 0.02                 |
| 03/01/2018                                      | ***-**-425I - FARACI, JOHN<br>ACCOUNT #: 00066994858     | WASHINGTON MUTUAL INVESTORS FUND-A<br>BUY 0 Units @0.0000 | 0.00                 | 29.50               | 0.00               | 29.50             | 0.5  | 0.15                 |
| 03/01/2018                                      | ***-**-165P - IACOBELLIS,<br>ACCOUNT #: 00067010870      | WASHINGTON MUTUAL INVESTORS FUND-A<br>BUY 0 Units @0.0000 | 0.00                 | 3.98                | 0.00               | 3.98              | 0.5  | 0.02                 |
| 03/01/2018                                      | ***-**-204I - LOY, STEVEN<br>ACCOUNT #: 00067215893      | WASHINGTON MUTUAL INVESTORS FUND-A<br>BUY 0 Units @0.0000 | 0.00                 | 6.30                | 0.00               | 6.30              | 0.5  | 0.03                 |
| 03/01/2018                                      | ***-**-895P - CASIDA, HEATHER<br>ACCOUNT #: 00067513590  | WASHINGTON MUTUAL INVESTORS FUND-A<br>BUY 0 Units @0.0000 | 0.00                 | 4.94                | 0.00               | 4.94              | 0.5  | 0.02                 |
| 03/01/2018                                      | ***-**-969P - SHOEMAKE,<br>ACCOUNT #: 00067750762        | WASHINGTON MUTUAL INVESTORS FUND-A<br>BUY 0 Units @0.0000 | 0.00                 | 4.70                | 0.00               | 4.70              | 0.5  | 0.02                 |
| 03/01/2018                                      | ***-**-499J - LEINWEBER,<br>ACCOUNT #: 00067791255       | WASHINGTON MUTUAL INVESTORS FUND-A<br>BUY 0 Units @0.0000 | 0.00                 | 3.49                | 0.00               | 3.49              | 0.5  | 0.02                 |
| 03/01/2018                                      | ***-**-735P - SICA, RONALD<br>ACCOUNT #: 00067799074     | WASHINGTON MUTUAL INVESTORS FUND-A<br>BUY 0 Units @0.0000 | 0.00                 | 4.22                | 0.00               | 4.22              | 0.5  | 0.02                 |
| 03/01/2018                                      | ***-**-61RI - HADSOCK, HUGH<br>ACCOUNT #: 00068200969    | WASHINGTON MUTUAL INVESTORS FUND-A<br>BUY 0 Units @0.0000 | 0.00                 | 5.18                | 0.00               | 5.18              | 0.5  | 0.03                 |
| 03/01/2018                                      | ***-**-657I - NEWELL, JODI<br>ACCOUNT #: 00068704319     | WASHINGTON MUTUAL INVESTORS FUND-A<br>BUY 0 Units @0.0000 | 0.00                 | 6.73                | 0.00               | 6.73              | 0.5  | 0.03                 |
| 03/01/2018                                      | ***-**-465P - MCGOVERN,<br>ACCOUNT #: 00073205016        | WASHINGTON MUTUAL INVESTORS FUND-A<br>BUY 0 Units @0.0000 | 0.00                 | 13.82               | 0.00               | 13.82             | 0.5  | 0.07                 |
| 03/01/2018                                      | ***-**-475P - HORN, GARY<br>ACCOUNT #: 00073239800       | WASHINGTON MUTUAL INVESTORS FUND-A<br>BUY 0 Units @0.0000 | 0.00                 | 10.81               | 0.00               | 10.81             | 0.5  | 0.05                 |
| 03/01/2018                                      | ***-**-41IR - ANDERSON, LELAND<br>ACCOUNT #: 00073561455 | WASHINGTON MUTUAL INVESTORS FUND-A<br>BUY 0 Units @0.0000 | 0.00                 | 2.87                | 0.00               | 2.87              | 0.5  | 0.01                 |
| 03/01/2018                                      | ***-**-975P - OSBORNE, SUE<br>ACCOUNT #: 00073569391     | WASHINGTON MUTUAL INVESTORS FUND-A<br>BUY 0 Units @0.0000 | 0.00                 | 1.38                | 0.00               | 1.38              | 0.5  | 0.01                 |



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| <b><u>VERRIDE TRANSACTIONS (continued)</u></b>  |  |   |                      |                     |                    |                   |      |                      |
| <b><u>BROKER: ALEX GEORGIEV (continued)</u></b> |  |   |                      |                     |                    |                   |      |                      |
| 03/01/2018                                      | ***-**-567I - GRAY, KEVIN<br>ACCOUNT #: 00074476631      | WASHINGTON MUTUAL INVESTORS FUND-A<br>BUY 0 Units @0.0000 | 0.00                 | 23.08               | 0.00               | 23.08             | 0.5  | 0.12                 |
| 03/01/2018                                      | ***-**-727I - POSSEE, DIANE<br>ACCOUNT #: 00075475535    | WASHINGTON MUTUAL INVESTORS FUND-A<br>BUY 0 Units @0.0000 | 0.00                 | 16.40               | 0.00               | 16.40             | 0.5  | 0.08                 |
| 03/01/2018                                      | ***-**-525P - MATIS, DAMARIS<br>ACCOUNT #: 00082217486   | WASHINGTON MUTUAL INVESTORS FUND-A<br>BUY 0 Units @0.0000 | 0.00                 | 5.45                | 0.00               | 5.45              | 0.5  | 0.03                 |
| 03/01/2018                                      | ***-**-685P - TAYLOR, AMANDA<br>ACCOUNT #: 00082469804   | WASHINGTON MUTUAL INVESTORS FUND-A<br>BUY 0 Units @0.0000 | 0.00                 | 15.08               | 0.00               | 15.08             | 0.5  | 0.08                 |
| 03/01/2018                                      | ***-**-427I - KRUEGER, JOHN<br>ACCOUNT #: 00082686514    | WASHINGTON MUTUAL INVESTORS FUND-A<br>BUY 0 Units @0.0000 | 0.00                 | 13.30               | 0.00               | 13.30             | 0.5  | 0.07                 |
| 03/01/2018                                      | ***-**-95IN - LARSON, JOEL<br>ACCOUNT #: 00086113566     | WASHINGTON MUTUAL INVESTORS FUND-A<br>BUY 0 Units @0.0000 | 0.00                 | 5.39                | 0.00               | 5.39              | 0.5  | 0.03                 |
| 03/01/2018                                      | ***-**-50IN - WILKENFELD,<br>ACCOUNT #: 00087284237      | WASHINGTON MUTUAL INVESTORS FUND-A<br>BUY 0 Units @0.0000 | 0.00                 | 36.50               | 0.00               | 36.50             | 0.5  | 0.18                 |
| 03/01/2018                                      | ***-**-270I - ORMOND, JENNIFER<br>ACCOUNT #: 00088565488 | WASHINGTON MUTUAL INVESTORS FUND-A<br>BUY 0 Units @0.0000 | 0.00                 | 5.52                | 0.00               | 5.52              | 0.5  | 0.03                 |
| 03/01/2018                                      | ***-**-270I - ORMOND, JENNIFER<br>ACCOUNT #: 00088565503 | WASHINGTON MUTUAL INVESTORS FUND-A<br>BUY 0 Units @0.0000 | 0.00                 | 5.54                | 0.00               | 5.54              | 0.5  | 0.03                 |
| 03/01/2018                                      | ***-**-270I - ORMOND, JENNIFER<br>ACCOUNT #: 00088565510 | WASHINGTON MUTUAL INVESTORS FUND-A<br>BUY 0 Units @0.0000 | 0.00                 | 5.54                | 0.00               | 5.54              | 0.5  | 0.03                 |
| 03/01/2018                                      | ***-**-23IN - SCHENKEL,<br>ACCOUNT #: 00925358750        | WASHINGTON MUTUAL INVESTORS FUND-A<br>BUY 0 Units @0.0000 | 0.00                 | 13.55               | 0.00               | 13.55             | 0.5  | 0.07                 |
| 03/01/2018                                      | ***-**-8306 - ELKIIN, ALICE<br>ACCOUNT #: 04000342655    | WASHINGTON MUTUAL INVESTORS FUND-A<br>BUY 0 Units @0.0000 | 0.00                 | 50.97               | 0.00               | 50.97             | 0.5  | 0.25                 |
| 03/01/2018                                      | ***-**-8306 - CONSOPLANO,<br>ACCOUNT #: 04000342681      | WASHINGTON MUTUAL INVESTORS FUND-A<br>BUY 0 Units @0.0000 | 0.00                 | 50.97               | 0.00               | 50.97             | 0.5  | 0.25                 |
| 03/01/2018                                      | ***-**-6603 - WARE, CHARLES<br>ACCOUNT #: 00062435970    | WASHINGTON MUTUAL INVESTORS FUND-A<br>BUY 0 Units @0.0000 | 0.00                 | 2.66                | 0.00               | 2.66              | 0.5  | 0.01                 |
| 03/01/2018                                      | ***-**-065P - MULHOLLAND,<br>ACCOUNT #: 00065098009      | WASHINGTON MUTUAL INVESTORS FUND-A<br>BUY 0 Units @0.0000 | 0.00                 | 1.24                | 0.00               | 1.24              | 0.5  | 0.01                 |
| 03/01/2018                                      | ***-**-275P - BALDWIN, JUSTIN<br>ACCOUNT #: 00067340502  | WASHINGTON MUTUAL INVESTORS FUND-A<br>BUY 0 Units @0.0000 | 0.00                 | 1.07                | 0.00               | 1.07              | 0.5  | 0.01                 |





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|---|--------------------------------|-------------------------------------|----------------------|----------------------|--------------------|----------------------|------|----------------------|
| <b> OVERRIDE TRANSACTIONS (continued) </b>        |                                |                                     |                      |                      |                    |                      |      |                      |
| <b> <u>BROKER: ALEX GEORGIEV (continued)</u> </b> |                                |                                     |                      |                      |                    |                      |      |                      |
| 03/01/2018  | ***-**-29IN - LITMAN, WENDY    | WASHINGTON MUTUAL INVESTORS FUND-A  | 0.00                 | 5.67                 | 0.00               | 5.67                 | 0.5  | 0.03                 |
|   | ACCOUNT #: 00068524068         | BUY 0 Units @0.0000                 |                      |                      |                    |                      |      |                      |
| 03/01/2018  | ***-**-915P - ELIAS, CAROLINA  | WASHINGTON MUTUAL INVESTORS FUND-A  | 0.00                 | 20.18                | 0.00               | 20.18                | 0.5  | 0.10                 |
|   | ACCOUNT #: 00069223122         | BUY 0 Units @0.0000                 |                      |                      |                    |                      |      |                      |
| 03/01/2018  | ***-**-582I - ROZENCWAIG, ERIC | WASHINGTON MUTUAL INVESTORS FUND-A  | 0.00                 | 8.21                 | 0.00               | 8.21                 | 0.5  | 0.04                 |
|   | ACCOUNT #: 00073025002         | BUY 0 Units @0.0000                 |                      |                      |                    |                      |      |                      |
| 03/01/2018  | ***-**-691I - COLLINS, PAMELA  | WASHINGTON MUTUAL INVESTORS FUND-A  | 0.00                 | 1.05                 | 0.00               | 1.05                 | 0.5  | 0.01                 |
|   | ACCOUNT #: 00074006244         | BUY 0 Units @0.0000                 |                      |                      |                    |                      |      |                      |
| 03/01/2018  | ***-**-045P - RAMESHKUMAR,     | WASHINGTON MUTUAL INVESTORS FUND-A  | 0.00                 | 9.51                 | 0.00               | 9.51                 | 0.5  | 0.05                 |
|   | ACCOUNT #: 00081655955         | BUY 0 Units @0.0000                 |                      |                      |                    |                      |      |                      |
| 03/01/2018  | ***-**-064J - HALL, AMY        | WASHINGTON MUTUAL INVESTORS FUND-A  | 0.00                 | 36.25                | 0.00               | 36.25                | 0.5  | 0.18                 |
|   | ACCOUNT #: 00083146232         | BUY 0 Units @0.0000                 |                      |                      |                    |                      |      |                      |
| 03/02/2018  | ***-**-465P - MCGOVERN,        | WASHINGTON MUTUAL INVESTORS FUND-A  | 138.48               | 1.38                 | 0.00               | 1.38                 | 0.5  | 0.01                 |
|   | ACCOUNT #: 00073205016         | BUY 3 Units @45.6800                |                      |                      |                    |                      |      |                      |
| 03/02/2018  | ***-**-465P - MCGOVERN,        | WASHINGTON MUTUAL INVESTORS FUND-A  | 230.76               | 2.31                 | 0.00               | 2.31                 | 0.5  | 0.01                 |
|   | ACCOUNT #: 00073205016         | BUY 5 Units @45.6800                |                      |                      |                    |                      |      |                      |
| 03/01/2018  | ***-**-635P - SCOTT, JAMES     | WASHINGTON MUTUAL INVESTORS FUND-C  | 0.00                 | 31.45                | 0.00               | 31.45                | 0.5  | 0.16                 |
|   | ACCOUNT #: 00068920074         | BUY 0 Units @0.0000                 |                      |                      |                    |                      |      |                      |
| 03/09/2018  | ***-**-32SI - STEWART, VOLKER  | WORLD VALUES INTERNATIONAL EQUITY - | 0.00                 | 4.17                 | 0.00               | 4.17                 | 0.5  | 0.02                 |
|   | ACCOUNT #: 00007203900         | BUY 0 Units @0.0000                 |                      |                      |                    |                      |      |                      |
| 03/09/2018  | ***-**-82SI - PERRY, ROBERT    | WORLD VALUES INTERNATIONAL EQUITY - | 0.00                 | 1.83                 | 0.00               | 1.83                 | 0.5  | 0.01                 |
|   | ACCOUNT #: 00007203908         | BUY 0 Units @0.0000                 |                      |                      |                    |                      |      |                      |
| <b> * ALEX GEORGIEV SUBTOTAL * </b>               |                                |                                     | <b> \$45,111.34 </b> | <b> \$30,895.18 </b> | <b> \$0.00 </b>    | <b> \$30,895.18 </b> |      | <b> \$155.01 </b>    |

## **BROKER: MICHAEL GAROFALO**

|            |                                |                                    |      |       |      |       |     |      |
|------------|--------------------------------|------------------------------------|------|-------|------|-------|-----|------|
| 03/12/2018 | ***-**-373X - MANGANELLO, TIRA | AIM DIVERSIFIED DIVIDEND FUND - CL | 0.00 | 15.67 | 0.00 | 15.67 | 0.5 | 0.08 |
|            | ACCOUNT #: LSR011551           | BUY 1 Units @0.0000                |      |       |      |       |     |      |
| 03/12/2018 | ***-**-373X - MANGANELLO, TIRA | AIM DIVERSIFIED DIVIDEND FUND - CL | 0.00 | 20.51 | 0.00 | 20.51 | 0.5 | 0.10 |
|            | ACCOUNT #: LSR011552           | BUY 1 Units @0.0000                |      |       |      |       |     |      |
| 03/12/2018 | ***-**-260X - ILGENFRITZ, CORY | AIM DIVERSIFIED DIVIDEND FUND - CL | 0.00 | 16.45 | 0.00 | 16.45 | 0.5 | 0.08 |
|            | ACCOUNT #: LSR011553           | BUY 1 Units @0.0000                |      |       |      |       |     |      |
| 03/12/2018 | ***-**-181X - ILGENFRITZ,      | AIM DIVERSIFIED DIVIDEND FUND - CL | 0.00 | 17.21 | 0.00 | 17.21 | 0.5 | 0.09 |
|            | ACCOUNT #: LSR011555           | BUY 1 Units @0.0000                |      |       |      |       |     |      |



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|--|--|---|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b><u> OVERRIDE TRANSACTIONS (continued) </u></b>    |  |   |                      |                     |                    |                   |      |                      |
| <b><u> BROKER: MICHAEL GAROFALO (continued) </u></b> |  |   |                      |                     |                    |                   |      |                      |
| 03/12/2018   | ***-**-055X - ILGENFRITZ,<br>ACCOUNT #: LSR011558        | AIM DIVERSIFIED DIVIDEND FUND - CL<br>BUY 1 Units @0.0000 | 0.00                 | 20.74               | 0.00               | 20.74             | 0.5  | 0.10                 |
| 03/12/2018   | ***-**-352I - KUNKEL, RAY<br>ACCOUNT #: LSR011585        | AIM DIVERSIFIED DIVIDEND FUND - CL<br>BUY 1 Units @0.0000 | 0.00                 | 12.07               | 0.00               | 12.07             | 0.5  | 0.06                 |
| 03/12/2018   | ***-**-244X - REED, GENEVIEVE<br>ACCOUNT #: LSR012032    | AIM HIGH YIELD FUND - CLASS A<br>BUY 1 Units @0.0000      | 0.00                 | 1.52                | 0.00               | 1.52              | 0.5  | 0.01                 |
| 03/12/2018   | ***-**-228I - BUCHANAN,<br>ACCOUNT #: LSR010538          | AIM UTILITIES FUND - CLASS C<br>BUY 1 Units @0.0000       | 0.00                 | 16.31               | 0.00               | 16.31             | 0.5  | 0.08                 |
| 03/12/2018   | ***-**-630X - WEAVER, NICOLE<br>ACCOUNT #: LSR011529     | AIM UTILITIES FUND - CLASS C<br>BUY 1 Units @0.0000       | 0.00                 | 62.21               | 0.00               | 62.21             | 0.5  | 0.31                 |
| 03/12/2018   | ***-**-400O - ROMIG, MARK<br>ACCOUNT #: LSR011567        | AIM UTILITIES FUND - CLASS C<br>BUY 1 Units @0.0000       | 0.00                 | 11.93               | 0.00               | 11.93             | 0.5  | 0.06                 |
| 03/01/2018   | ***-**-162I - ANDERSON, THOMAS<br>ACCOUNT #: 00068241483 | AMCAP FUND-A<br>BUY 0 Units @0.0000                       | 0.00                 | 21.93               | 0.00               | 21.93             | 0.5  | 0.11                 |
| 03/01/2018   | ***-**-44IR - REED, GENEVIEVE<br>ACCOUNT #: 00074671768  | AMCAP FUND-A<br>BUY 0 Units @0.0000                       | 0.00                 | 9.07                | 0.00               | 9.07              | 0.5  | 0.05                 |
| 03/01/2018   | ***-**-244I - REED, GENEVIEVE<br>ACCOUNT #: 00086668365  | AMCAP FUND-A<br>BUY 0 Units @0.0000                       | 0.00                 | 3.72                | 0.00               | 3.72              | 0.5  | 0.02                 |
| 03/01/2018   | ***-**-18IN - KUNKEL, RYAN<br>ACCOUNT #: 00087404382     | AMCAP FUND-A<br>BUY 0 Units @0.0000                       | 0.00                 | 3.19                | 0.00               | 3.19              | 0.5  | 0.02                 |
| 03/01/2018   | ***-**-801I - BECK, LORETTA<br>ACCOUNT #: 00086800193    | AMCAP FUND-C<br>BUY 0 Units @0.0000                       | 0.00                 | 5.13                | 0.00               | 5.13              | 0.5  | 0.03                 |
| 03/01/2018   | ***-**-5144 - WINTER, LAURA<br>ACCOUNT #: 00084354293    | AMERICAN BALANCED FUND-529A<br>BUY 0 Units @0.0000        | 0.00                 | 1.19                | 0.00               | 1.19              | 0.5  | 0.01                 |
| 02/26/2018   | ***-**-5144 - WINTER, LAURA<br>ACCOUNT #: 00086895596    | AMERICAN BALANCED FUND-A<br>BUY 2 Units @29.2400          | 50.00                | 2.50                | 0.00               | 2.50              | 0.5  | 0.01                 |
| 02/28/2018   | ***-**-207I - SHOCKEY, CHELSEA<br>ACCOUNT #: 00088283660 | AMERICAN BALANCED FUND-A<br>BUY 5 Units @28.7500          | 150.00               | 7.50                | 0.00               | 7.50              | 0.5  | 0.04                 |
| 03/01/2018   | ***-**-18IN - KUNKEL, RYAN<br>ACCOUNT #: 00087404382     | AMERICAN BALANCED FUND-A<br>BUY 2 Units @28.2200          | 50.00                | 1.88                | 0.00               | 1.88              | 0.5  | 0.01                 |
| 03/01/2018   | ***-**-162I - ANDERSON, THOMAS<br>ACCOUNT #: 00068241483 | AMERICAN BALANCED FUND-A<br>BUY 0 Units @0.0000           | 0.00                 | 30.20               | 0.00               | 30.20             | 0.5  | 0.15                 |



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|--|--------------------------------|--------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b><u>VERRIDE TRANSACTIONS (continued)</u></b>     |                                |                          |                      |                     |                    |                   |      |                      |
| <b><u>BROKER: MICHAEL GAROFALO (continued)</u></b> |                                |                          |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-71IN - STRAUB, GREGORY  | AMERICAN BALANCED FUND-A | 0.00                 | 10.48               | 0.00               | 10.48             | 0.5  | 0.05                 |
|  | ACCOUNT #: 00073333058         | BUY 0 Units @0.0000      |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-379I - WILSON, DELEIGH  | AMERICAN BALANCED FUND-A | 0.00                 | 5.92                | 0.00               | 5.92              | 0.5  | 0.03                 |
|  | ACCOUNT #: 00073333244         | BUY 0 Units @0.0000      |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-00IN - ROMIG, MARK      | AMERICAN BALANCED FUND-A | 0.00                 | 10.73               | 0.00               | 10.73             | 0.5  | 0.05                 |
|  | ACCOUNT #: 00073419431         | BUY 0 Units @0.0000      |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-94IN - VITALE, LAURIE   | AMERICAN BALANCED FUND-A | 0.00                 | 7.30                | 0.00               | 7.30              | 0.5  | 0.04                 |
|  | ACCOUNT #: 00075108457         | BUY 0 Units @0.0000      |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-228I - BUCHANAN,        | AMERICAN BALANCED FUND-A | 0.00                 | 10.99               | 0.00               | 10.99             | 0.5  | 0.05                 |
|  | ACCOUNT #: 00075166368         | BUY 0 Units @0.0000      |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-35IN - TOBIN, MAUREEN   | AMERICAN BALANCED FUND-A | 0.00                 | 15.86               | 0.00               | 15.86             | 0.5  | 0.08                 |
|  | ACCOUNT #: 00075417983         | BUY 0 Units @0.0000      |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-153J - SHOCKEY, JEFFREY | AMERICAN BALANCED FUND-A | 0.00                 | 21.20               | 0.00               | 21.20             | 0.5  | 0.11                 |
|  | ACCOUNT #: 00075824133         | BUY 0 Units @0.0000      |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-842I - GREENHALGH,      | AMERICAN BALANCED FUND-A | 0.00                 | 8.52                | 0.00               | 8.52              | 0.5  | 0.04                 |
|  | ACCOUNT #: 00075857948         | BUY 0 Units @0.0000      |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-799I - BUCHANAN, STEVEN | AMERICAN BALANCED FUND-A | 0.00                 | 12.37               | 0.00               | 12.37             | 0.5  | 0.06                 |
|  | ACCOUNT #: 00081734282         | BUY 0 Units @0.0000      |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-228I - BUCHANAN,        | AMERICAN BALANCED FUND-A | 0.00                 | 14.64               | 0.00               | 14.64             | 0.5  | 0.07                 |
|  | ACCOUNT #: 00081734302         | BUY 0 Units @0.0000      |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-972I - SHAW, SUSAN      | AMERICAN BALANCED FUND-A | 0.00                 | 8.01                | 0.00               | 8.01              | 0.5  | 0.04                 |
|  | ACCOUNT #: 00082025659         | BUY 0 Units @0.0000      |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-80IR - LEAR, WILLIAM    | AMERICAN BALANCED FUND-A | 0.00                 | 1.45                | 0.00               | 1.45              | 0.5  | 0.01                 |
|  | ACCOUNT #: 00084166547         | BUY 0 Units @0.0000      |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-752I - HARBAUGH, KELLY  | AMERICAN BALANCED FUND-A | 0.00                 | 3.62                | 0.00               | 3.62              | 0.5  | 0.02                 |
|  | ACCOUNT #: 00084420802         | BUY 0 Units @0.0000      |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-11IN - GRAHAM, ARTHUR   | AMERICAN BALANCED FUND-A | 0.00                 | 7.02                | 0.00               | 7.02              | 0.5  | 0.04                 |
|  | ACCOUNT #: 00085061358         | BUY 0 Units @0.0000      |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-400I - ROMIG, MARK      | AMERICAN BALANCED FUND-A | 0.00                 | 40.89               | 0.00               | 40.89             | 0.5  | 0.20                 |
|  | ACCOUNT #: 00086646961         | BUY 0 Units @0.0000      |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-244I - REED, GENEVIEVE  | AMERICAN BALANCED FUND-A | 0.00                 | 27.77               | 0.00               | 27.77             | 0.5  | 0.14                 |
|  | ACCOUNT #: 00086668365         | BUY 0 Units @0.0000      |                      |                     |                    |                   |      |                      |



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| <b><u>VERRIDE TRANSACTIONS (continued)</u></b>     |  |  |                      |                     |                    |                   |      |                      |
| <b><u>BROKER: MICHAEL GAROFALO (continued)</u></b> |  |  |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-37IN - KUNKEL, JANET<br>ACCOUNT #: 00086684007    | AMERICAN BALANCED FUND-A<br>BUY 0 Units @0.0000          | 0.00                 | 17.70               | 0.00               | 17.70             | 0.5  | 0.09                 |
| 03/01/2018   | ***-**-5144 - WINTER, LAURA<br>ACCOUNT #: 00086895596    | AMERICAN BALANCED FUND-A<br>BUY 0 Units @0.0000          | 0.00                 | 2.28                | 0.00               | 2.28              | 0.5  | 0.01                 |
| 03/01/2018   | ***-**-400I - ROMIG, MARK<br>ACCOUNT #: 00087282057      | AMERICAN BALANCED FUND-A<br>BUY 0 Units @0.0000          | 0.00                 | 3.97                | 0.00               | 3.97              | 0.5  | 0.02                 |
| 03/01/2018   | ***-**-113I - PIERMANI, JOHN<br>ACCOUNT #: 00087371626   | AMERICAN BALANCED FUND-A<br>BUY 0 Units @0.0000          | 0.00                 | 23.16               | 0.00               | 23.16             | 0.5  | 0.12                 |
| 03/01/2018   | ***-**-18IN - KUNKEL, RYAN<br>ACCOUNT #: 00087401941     | AMERICAN BALANCED FUND-A<br>BUY 0 Units @0.0000          | 0.00                 | 2.16                | 0.00               | 2.16              | 0.5  | 0.01                 |
| 03/01/2018   | ***-**-52IN - KUNKEL, RAY<br>ACCOUNT #: 04000349641      | AMERICAN BALANCED FUND-A<br>BUY 0 Units @0.0000          | 0.00                 | 14.07               | 0.00               | 14.07             | 0.5  | 0.07                 |
| 03/01/2018   | ***-**-30IN - WEAVER, NICOLE<br>ACCOUNT #: 00073180963   | AMERICAN BALANCED FUND-C<br>BUY 0 Units @0.0000          | 0.00                 | 31.34               | 0.00               | 31.34             | 0.5  | 0.16                 |
| 03/01/2018   | ***-**-26IN - CROWL, ROBERT<br>ACCOUNT #: 00074806269    | AMERICAN BALANCED FUND-C<br>BUY 0 Units @0.0000          | 0.00                 | 19.39               | 0.00               | 19.39             | 0.5  | 0.10                 |
| 03/01/2018   | ***-**-36IN - CROWL, LINDA<br>ACCOUNT #: 00074806331     | AMERICAN BALANCED FUND-C<br>BUY 0 Units @0.0000          | 0.00                 | 19.39               | 0.00               | 19.39             | 0.5  | 0.10                 |
| 03/01/2018   | ***-**-80IR - LEAR, WILLIAM<br>ACCOUNT #: 00084166547    | AMERICAN BALANCED FUND-C<br>BUY 0 Units @0.0000          | 0.00                 | 4.86                | 0.00               | 4.86              | 0.5  | 0.02                 |
| 03/01/2018   | ***-**-5144 - WINTER, LAURA<br>ACCOUNT #: 00084354308    | AMERICAN BALANCED FUND-C<br>BUY 0 Units @0.0000          | 0.00                 | 29.08               | 0.00               | 29.08             | 0.5  | 0.15                 |
| 03/01/2018   | ***-**-897I - PLAPPERT, KAREN<br>ACCOUNT #: 00085201402  | AMERICAN BALANCED FUND-C<br>BUY 0 Units @0.0000          | 0.00                 | 50.77               | 0.00               | 50.77             | 0.5  | 0.25                 |
| 03/01/2018   | ***-**-801I - BECK, LORETTA<br>ACCOUNT #: 00086800193    | AMERICAN BALANCED FUND-C<br>BUY 0 Units @0.0000          | 0.00                 | 14.57               | 0.00               | 14.57             | 0.5  | 0.07                 |
| 03/01/2018   | ***-**-65IN - BARLUP, DAVID<br>ACCOUNT #: 00087982202    | AMERICAN BALANCED FUND-C<br>BUY 0 Units @0.0000          | 0.00                 | 2.49                | 0.00               | 2.49              | 0.5  | 0.01                 |
| 03/01/2018   | ***-**-30IN - WEAVER, NICOLE<br>ACCOUNT #: 00073180963   | AMERICAN BALANCED FUND-F1<br>BUY 0 Units @0.0000         | 0.00                 | 5.09                | 0.00               | 5.09              | 0.5  | 0.03                 |
| 03/01/2018   | ***-**-153J - SHOCKEY, JEFFREY<br>ACCOUNT #: 00075824133 | AMERICAN FUNDS 2025 TARGET DATE-A<br>BUY 0 Units @0.0000 | 0.00                 | 2.37                | 0.00               | 2.37              | 0.5  | 0.01                 |



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| <b><u>VERRIDE TRANSACTIONS (continued)</u></b>     |                                |                              |                      |                     |                    |                   |      |                      |
| <b><u>BROKER: MICHAEL GAROFALO (continued)</u></b> |                                |                              |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-44IR - REED, GENEVIEVE  | AMERICAN HIGH-INCOME TRUST-A | 0.00                 | 1.68                | 0.00               | 1.68              | 0.5  | 0.01                 |
|  | ACCOUNT #: 00074671768         | BUY 0 Units @0.0000          |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-05IN - WEAVER, DAVID    | AMERICAN HIGH-INCOME TRUST-A | 0.00                 | 2.65                | 0.00               | 2.65              | 0.5  | 0.01                 |
|  | ACCOUNT #: 00086846926         | BUY 0 Units @0.0000          |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-162I - ANDERSON, THOMAS | AMERICAN MORTGAGE FUND CL A  | 0.00                 | 8.45                | 0.00               | 8.45              | 0.5  | 0.04                 |
|  | ACCOUNT #: 00068241483         | BUY 0 Units @0.0000          |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-831I - REED, JACK       | AMERICAN MUTUAL FUND-A       | 0.00                 | 7.77                | 0.00               | 7.77              | 0.5  | 0.04                 |
|  | ACCOUNT #: 00067413408         | BUY 0 Units @0.0000          |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-162I - ANDERSON, THOMAS | AMERICAN MUTUAL FUND-A       | 0.00                 | 31.74               | 0.00               | 31.74             | 0.5  | 0.16                 |
|  | ACCOUNT #: 00068241483         | BUY 0 Units @0.0000          |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-71IN - STRAUB, GREGORY  | AMERICAN MUTUAL FUND-A       | 0.00                 | 11.63               | 0.00               | 11.63             | 0.5  | 0.06                 |
|  | ACCOUNT #: 00073333058         | BUY 0 Units @0.0000          |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-44IR - REED, GENEVIEVE  | AMERICAN MUTUAL FUND-A       | 0.00                 | 8.32                | 0.00               | 8.32              | 0.5  | 0.04                 |
|  | ACCOUNT #: 00074671768         | BUY 0 Units @0.0000          |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-94IN - VITALE, LAURIE   | AMERICAN MUTUAL FUND-A       | 0.00                 | 7.52                | 0.00               | 7.52              | 0.5  | 0.04                 |
|  | ACCOUNT #: 00075108457         | BUY 0 Units @0.0000          |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-228I - BUCHANAN,        | AMERICAN MUTUAL FUND-A       | 0.00                 | 6.98                | 0.00               | 6.98              | 0.5  | 0.03                 |
|  | ACCOUNT #: 00075166368         | BUY 0 Units @0.0000          |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-35IN - TOBIN, MAUREEN   | AMERICAN MUTUAL FUND-A       | 0.00                 | 16.42               | 0.00               | 16.42             | 0.5  | 0.08                 |
|  | ACCOUNT #: 00075417983         | BUY 0 Units @0.0000          |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-842I - GREENHALGH,      | AMERICAN MUTUAL FUND-A       | 0.00                 | 7.48                | 0.00               | 7.48              | 0.5  | 0.04                 |
|  | ACCOUNT #: 00075857948         | BUY 0 Units @0.0000          |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-799I - BUCHANAN, STEVEN | AMERICAN MUTUAL FUND-A       | 0.00                 | 12.38               | 0.00               | 12.38             | 0.5  | 0.06                 |
|  | ACCOUNT #: 00081734282         | BUY 0 Units @0.0000          |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-228I - BUCHANAN,        | AMERICAN MUTUAL FUND-A       | 0.00                 | 15.26               | 0.00               | 15.26             | 0.5  | 0.08                 |
|  | ACCOUNT #: 00081734302         | BUY 0 Units @0.0000          |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-972I - SHAW, SUSAN      | AMERICAN MUTUAL FUND-A       | 0.00                 | 8.14                | 0.00               | 8.14              | 0.5  | 0.04                 |
|  | ACCOUNT #: 00082025659         | BUY 0 Units @0.0000          |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-244I - REED, GENEVIEVE  | AMERICAN MUTUAL FUND-A       | 0.00                 | 2.77                | 0.00               | 2.77              | 0.5  | 0.01                 |
|  | ACCOUNT #: 00086668365         | BUY 0 Units @0.0000          |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-400I - ROMIG, MARK      | AMERICAN MUTUAL FUND-A       | 0.00                 | 41.02               | 0.00               | 41.02             | 0.5  | 0.21                 |
|  | ACCOUNT #: 00087282057         | BUY 0 Units @0.0000          |                      |                     |                    |                   |      |                      |



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| <b><u> OVERRIDE TRANSACTIONS (continued) </u></b>  |                                |                                |                      |                     |                    |                   |      |                      |
| <b><u>BROKER: MICHAEL GAROFALO (continued)</u></b> |                                |                                |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-52IN - KUNKEL, RAY      | AMERICAN MUTUAL FUND-A         | 0.00                 | 10.76               | 0.00               | 10.76             | 0.5  | 0.05                 |
|  | ACCOUNT #: 04000349641         | BUY 0 Units @0.0000            |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-05IN - WEAVER, DAVID    | CAPITAL INCOME BUILDER CLASS C | 0.00                 | 67.25               | 0.00               | 67.25             | 0.5  | 0.34                 |
|  | ACCOUNT #: 00075103981         | BUY 0 Units @0.0000            |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-80IR - LEAR, WILLIAM    | CAPITAL INCOME BUILDER CLASS C | 0.00                 | 5.78                | 0.00               | 5.78              | 0.5  | 0.03                 |
|  | ACCOUNT #: 00084166547         | BUY 0 Units @0.0000            |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-461I - WOOD, VIRGINIA   | CAPITAL INCOME BUILDER CLASS C | 0.00                 | 56.91               | 0.00               | 56.91             | 0.5  | 0.28                 |
|  | ACCOUNT #: 00084974381         | BUY 0 Units @0.0000            |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-999I - WOOD, G. MICHAEL | CAPITAL INCOME BUILDER CLASS C | 0.00                 | 33.38               | 0.00               | 33.38             | 0.5  | 0.17                 |
|  | ACCOUNT #: 00085931337         | BUY 0 Units @0.0000            |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-814I - MCKENNA, DONNA   | CAPITAL INCOME BUILDER CLASS C | 0.00                 | 58.63               | 0.00               | 58.63             | 0.5  | 0.29                 |
|  | ACCOUNT #: 00087249221         | BUY 0 Units @0.0000            |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-54CL - GAROFALO,        | CAPITAL INCOME BUILDER CLASS C | 0.00                 | 2.30                | 0.00               | 2.30              | 0.5  | 0.01                 |
|  | ACCOUNT #: 00088299705         | BUY 0 Units @0.0000            |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-962I - KLOKIS, ROBERT   | CAPITAL INCOME BUILDER CLASS C | 0.00                 | 4.27                | 0.00               | 4.27              | 0.5  | 0.02                 |
|  | ACCOUNT #: 00088311999         | BUY 0 Units @0.0000            |                      |                     |                    |                   |      |                      |
| 02/28/2018   | ***-**-207I - SHOCKEY, CHELSEA | CAPITAL INCOME BUILDER-A       | 100.00               | 5.00                | 0.00               | 5.00              | 0.5  | 0.03                 |
|  | ACCOUNT #: 00088283660         | BUY 2 Units @65.5400           |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-18IN - KUNKEL, RYAN     | CAPITAL INCOME BUILDER-A       | 50.00                | 1.88                | 0.00               | 1.88              | 0.5  | 0.01                 |
|  | ACCOUNT #: 00087404382         | BUY 1 Units @64.3600           |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-683I - SCHWARTZ, EMILY  | CAPITAL INCOME BUILDER-A       | 0.00                 | 3.11                | 0.00               | 3.11              | 0.5  | 0.02                 |
|  | ACCOUNT #: 00063858924         | BUY 0 Units @0.0000            |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-162I - ANDERSON, THOMAS | CAPITAL INCOME BUILDER-A       | 0.00                 | 25.26               | 0.00               | 25.26             | 0.5  | 0.13                 |
|  | ACCOUNT #: 00068241483         | BUY 0 Units @0.0000            |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-959I - HACKMAN, BRANDT  | CAPITAL INCOME BUILDER-A       | 0.00                 | 13.66               | 0.00               | 13.66             | 0.5  | 0.07                 |
|  | ACCOUNT #: 00068405049         | BUY 0 Units @0.0000            |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-276I - GASSWINT, SUSAN  | CAPITAL INCOME BUILDER-A       | 0.00                 | 11.91               | 0.00               | 11.91             | 0.5  | 0.06                 |
|  | ACCOUNT #: 00068559968         | BUY 0 Units @0.0000            |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-227I - ZELLERS,         | CAPITAL INCOME BUILDER-A       | 0.00                 | 30.76               | 0.00               | 30.76             | 0.5  | 0.15                 |
|  | ACCOUNT #: 00068680438         | BUY 0 Units @0.0000            |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-162I - ANDERSON, THOMAS | CAPITAL INCOME BUILDER-A       | 0.00                 | 6.39                | 0.00               | 6.39              | 0.5  | 0.03                 |
|  | ACCOUNT #: 00068905799         | BUY 0 Units @0.0000            |                      |                     |                    |                   |      |                      |



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| <b> OVERRIDE TRANSACTIONS (continued) </b>           |                                |                          |                      |                     |                    |                   |      |                      |
| <b> <u>BROKER: MICHAEL GAROFALO (continued)</u> </b> |                                |                          |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-32IN - WHEELER, THOMAS  | CAPITAL INCOME BUILDER-A | 0.00                 | 11.93               | 0.00               | 11.93             | 0.5  | 0.06                 |
|  | ACCOUNT #: 00073406010         | BUY 0 Units @0.0000      |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-61IN - STOOPS, SARA     | CAPITAL INCOME BUILDER-A | 0.00                 | 4.63                | 0.00               | 4.63              | 0.5  | 0.02                 |
|  | ACCOUNT #: 00073738867         | BUY 0 Units @0.0000      |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-85IN - GRAHAM, BARBARA  | CAPITAL INCOME BUILDER-A | 0.00                 | 4.41                | 0.00               | 4.41              | 0.5  | 0.02                 |
|  | ACCOUNT #: 00074061357         | BUY 0 Units @0.0000      |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-11IN - GRAHAM, ARTHUR   | CAPITAL INCOME BUILDER-A | 0.00                 | 3.34                | 0.00               | 3.34              | 0.5  | 0.02                 |
|  | ACCOUNT #: 00074061422         | BUY 0 Units @0.0000      |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-842I - GREENHALGH,      | CAPITAL INCOME BUILDER-A | 0.00                 | 14.88               | 0.00               | 14.88             | 0.5  | 0.07                 |
|  | ACCOUNT #: 00074721842         | BUY 0 Units @0.0000      |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-069I - MEHALKO,         | CAPITAL INCOME BUILDER-A | 0.00                 | 1.03                | 0.00               | 1.03              | 0.5  | 0.01                 |
|  | ACCOUNT #: 00075263054         | BUY 0 Units @0.0000      |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-70IN - DUNDORE, ETHEL   | CAPITAL INCOME BUILDER-A | 0.00                 | 13.62               | 0.00               | 13.62             | 0.5  | 0.07                 |
|  | ACCOUNT #: 00075558052         | BUY 0 Units @0.0000      |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-153J - SHOCKEY, JEFFREY | CAPITAL INCOME BUILDER-A | 0.00                 | 20.37               | 0.00               | 20.37             | 0.5  | 0.10                 |
|  | ACCOUNT #: 00075824133         | BUY 0 Units @0.0000      |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-92IN - ZEBLEY,          | CAPITAL INCOME BUILDER-A | 0.00                 | 17.99               | 0.00               | 17.99             | 0.5  | 0.09                 |
|  | ACCOUNT #: 00082035849         | BUY 0 Units @0.0000      |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-653I - MYERS, MARVIN    | CAPITAL INCOME BUILDER-A | 0.00                 | 7.42                | 0.00               | 7.42              | 0.5  | 0.04                 |
|  | ACCOUNT #: 00082603023         | BUY 0 Units @0.0000      |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-80IR - LEAR, WILLIAM    | CAPITAL INCOME BUILDER-A | 0.00                 | 1.83                | 0.00               | 1.83              | 0.5  | 0.01                 |
|  | ACCOUNT #: 00084166547         | BUY 0 Units @0.0000      |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-752I - HARBAUGH, KELLY  | CAPITAL INCOME BUILDER-A | 0.00                 | 10.82               | 0.00               | 10.82             | 0.5  | 0.05                 |
|  | ACCOUNT #: 00084420802         | BUY 0 Units @0.0000      |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-11IN - GRAHAM, ARTHUR   | CAPITAL INCOME BUILDER-A | 0.00                 | 8.06                | 0.00               | 8.06              | 0.5  | 0.04                 |
|  | ACCOUNT #: 00085061358         | BUY 0 Units @0.0000      |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-48IN - KANE, VIRGINIA   | CAPITAL INCOME BUILDER-A | 0.00                 | 8.05                | 0.00               | 8.05              | 0.5  | 0.04                 |
|  | ACCOUNT #: 00085083170         | BUY 0 Units @0.0000      |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-11IN - GRAHAM, ARTHUR   | CAPITAL INCOME BUILDER-A | 0.00                 | 5.51                | 0.00               | 5.51              | 0.5  | 0.03                 |
|  | ACCOUNT #: 00085201011         | BUY 0 Units @0.0000      |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-582I - PLOCKI, EDWARD   | CAPITAL INCOME BUILDER-A | 0.00                 | 21.88               | 0.00               | 21.88             | 0.5  | 0.11                 |
|  | ACCOUNT #: 00085925861         | BUY 0 Units @0.0000      |                      |                     |                    |                   |      |                      |



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|--|--------------------------------|-------------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b> OVERRIDE TRANSACTIONS (continued)</b>    |                                |                                     |                      |                     |                    |                   |      |                      |
| <b> BROKER: MICHAEL GAROFALO (continued)</b> |                                |                                     |                      |                     |                    |                   |      |                      |
| 03/01/2018                                   | ***-**-962I - KLOKIS, ROBERT   | CAPITAL INCOME BUILDER-A            | 0.00                 | 30.04               | 0.00               | 30.04             | 0.5  | 0.15                 |
|  | ACCOUNT #: 00085925927         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018                                   | ***-**-305I - WAGNER, KEITH    | CAPITAL INCOME BUILDER-A            | 0.00                 | 43.66               | 0.00               | 43.66             | 0.5  | 0.22                 |
|  | ACCOUNT #: 00085996672         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018                                   | ***-**-244I - REED, GENEVIEVE  | CAPITAL INCOME BUILDER-A            | 0.00                 | 26.37               | 0.00               | 26.37             | 0.5  | 0.13                 |
|  | ACCOUNT #: 00086668365         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018                                   | ***-**-371IN - KUNKEL, JANET   | CAPITAL INCOME BUILDER-A            | 0.00                 | 14.98               | 0.00               | 14.98             | 0.5  | 0.07                 |
|  | ACCOUNT #: 00086684007         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018                                   | ***-**-05IN - WEAVER, DAVID    | CAPITAL INCOME BUILDER-A            | 0.00                 | 6.11                | 0.00               | 6.11              | 0.5  | 0.03                 |
|  | ACCOUNT #: 00086846926         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018                                   | ***-**-85IN - GRAHAM, BARBARA  | CAPITAL INCOME BUILDER-A            | 0.00                 | 8.34                | 0.00               | 8.34              | 0.5  | 0.04                 |
|  | ACCOUNT #: 00087104867         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018                                   | ***-**-113I - PIERMANI, JOHN   | CAPITAL INCOME BUILDER-A            | 0.00                 | 20.33               | 0.00               | 20.33             | 0.5  | 0.10                 |
|  | ACCOUNT #: 00087371626         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018                                   | ***-**-18IN - KUNKEL, RYAN     | CAPITAL INCOME BUILDER-A            | 0.00                 | 1.72                | 0.00               | 1.72              | 0.5  | 0.01                 |
|  | ACCOUNT #: 00087401941         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018                                   | ***-**-71IN - STRAUB, GREGORY  | CAPITAL INCOME BUILDER-A            | 0.00                 | 3.85                | 0.00               | 3.85              | 0.5  | 0.02                 |
|  | ACCOUNT #: 00087442503         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018                                   | ***-**-964I - BURG, WAYNE      | CAPITAL INCOME BUILDER-A            | 0.00                 | 25.89               | 0.00               | 25.89             | 0.5  | 0.13                 |
|  | ACCOUNT #: 00087501958         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018                                   | ***-**-964I - BURG, WAYNE      | CAPITAL INCOME BUILDER-A            | 0.00                 | 8.79                | 0.00               | 8.79              | 0.5  | 0.04                 |
|  | ACCOUNT #: 00087506557         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018                                   | ***-**-057I - BEIBLE, DIANE    | CAPITAL INCOME BUILDER-A            | 0.00                 | 10.93               | 0.00               | 10.93             | 0.5  | 0.05                 |
|  | ACCOUNT #: 00087729631         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018                                   | ***-**-05IN - WEAVER, DAVID    | CAPITAL INCOME BUILDER-F1           | 0.00                 | 3.37                | 0.00               | 3.37              | 0.5  | 0.02                 |
|  | ACCOUNT #: 00075103981         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018                                   | ***-**-162I - ANDERSON, THOMAS | CAPITAL WORLD BOND FUND-A           | 0.00                 | 2.89                | 0.00               | 2.89              | 0.5  | 0.01                 |
|  | ACCOUNT #: 00068241483         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018                                   | ***-**-44IR - REED, GENEVIEVE  | CAPITAL WORLD BOND FUND-A           | 0.00                 | 2.65                | 0.00               | 2.65              | 0.5  | 0.01                 |
|  | ACCOUNT #: 00074671768         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018                                   | ***-**-162I - ANDERSON, THOMAS | CAPITAL WORLD GROWTH AND INCOME FUN | 0.00                 | 4.75                | 0.00               | 4.75              | 0.5  | 0.02                 |
|  | ACCOUNT #: 00068241483         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |





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|--|--|--|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b><u>VERRIDE TRANSACTIONS (continued)</u></b>     |  |  |                      |                     |                    |                   |      |                      |
| <b><u>BROKER: MICHAEL GAROFALO (continued)</u></b> |  |  |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-71IN - STRAUB, GREGORY<br>ACCOUNT #: 00073333058  | CAPITAL WORLD GROWTH AND INCOME FUN<br>BUY 0 Units @0.0000 | 0.00                 | 12.99               | 0.00               | 12.99             | 0.5  | 0.06                 |
| 03/01/2018   | ***-**-84IN - METTEE, MICHAEL<br>ACCOUNT #: 00074596466  | CAPITAL WORLD GROWTH AND INCOME FUN<br>BUY 0 Units @0.0000 | 0.00                 | 3.40                | 0.00               | 3.40              | 0.5  | 0.02                 |
| 03/01/2018   | ***-**-44IR - REED, GENEVIEVE<br>ACCOUNT #: 00074671768  | CAPITAL WORLD GROWTH AND INCOME FUN<br>BUY 0 Units @0.0000 | 0.00                 | 4.03                | 0.00               | 4.03              | 0.5  | 0.02                 |
| 03/01/2018   | ***-**-26IN - CROWL, ROBERT<br>ACCOUNT #: 00074806269    | CAPITAL WORLD GROWTH AND INCOME FUN<br>BUY 0 Units @0.0000 | 0.00                 | 3.22                | 0.00               | 3.22              | 0.5  | 0.02                 |
| 03/01/2018   | ***-**-36IN - CROWL, LINDA<br>ACCOUNT #: 00074806331     | CAPITAL WORLD GROWTH AND INCOME FUN<br>BUY 0 Units @0.0000 | 0.00                 | 2.53                | 0.00               | 2.53              | 0.5  | 0.01                 |
| 03/01/2018   | ***-**-94IN - VITALE, LAURIE<br>ACCOUNT #: 00075108457   | CAPITAL WORLD GROWTH AND INCOME FUN<br>BUY 0 Units @0.0000 | 0.00                 | 7.47                | 0.00               | 7.47              | 0.5  | 0.04                 |
| 03/01/2018   | ***-**-228I - BUCHANAN,<br>ACCOUNT #: 00075166368        | CAPITAL WORLD GROWTH AND INCOME FUN<br>BUY 0 Units @0.0000 | 0.00                 | 4.56                | 0.00               | 4.56              | 0.5  | 0.02                 |
| 03/01/2018   | ***-**-35IN - TOBIN, MAUREEN<br>ACCOUNT #: 00075417983   | CAPITAL WORLD GROWTH AND INCOME FUN<br>BUY 0 Units @0.0000 | 0.00                 | 16.95               | 0.00               | 16.95             | 0.5  | 0.08                 |
| 03/01/2018   | ***-**-842I - GREENHALGH,<br>ACCOUNT #: 00075857948      | CAPITAL WORLD GROWTH AND INCOME FUN<br>BUY 0 Units @0.0000 | 0.00                 | 6.81                | 0.00               | 6.81              | 0.5  | 0.03                 |
| 03/01/2018   | ***-**-799I - BUCHANAN, STEVEN<br>ACCOUNT #: 00081734282 | CAPITAL WORLD GROWTH AND INCOME FUN<br>BUY 0 Units @0.0000 | 0.00                 | 13.35               | 0.00               | 13.35             | 0.5  | 0.07                 |
| 03/01/2018   | ***-**-228I - BUCHANAN,<br>ACCOUNT #: 00081734302        | CAPITAL WORLD GROWTH AND INCOME FUN<br>BUY 0 Units @0.0000 | 0.00                 | 13.64               | 0.00               | 13.64             | 0.5  | 0.07                 |
| 03/01/2018   | ***-**-972I - SHAW, SUSAN<br>ACCOUNT #: 00082025659      | CAPITAL WORLD GROWTH AND INCOME FUN<br>BUY 0 Units @0.0000 | 0.00                 | 16.24               | 0.00               | 16.24             | 0.5  | 0.08                 |
| 03/01/2018   | ***-**-54IN - SCHMIDT, JENNY<br>ACCOUNT #: 00082865142   | CAPITAL WORLD GROWTH AND INCOME FUN<br>BUY 0 Units @0.0000 | 0.00                 | 2.30                | 0.00               | 2.30              | 0.5  | 0.01                 |
| 03/01/2018   | ***-**-81IR - BLEILER, CARLTON<br>ACCOUNT #: 00083178211 | CAPITAL WORLD GROWTH AND INCOME FUN<br>BUY 0 Units @0.0000 | 0.00                 | 2.95                | 0.00               | 2.95              | 0.5  | 0.01                 |
| 03/01/2018   | ***-**-51IR - BLEILER, CONNIE<br>ACCOUNT #: 00083178258  | CAPITAL WORLD GROWTH AND INCOME FUN<br>BUY 0 Units @0.0000 | 0.00                 | 2.95                | 0.00               | 2.95              | 0.5  | 0.01                 |
| 03/01/2018   | ***-**-33IN - KNOBL, LISA<br>ACCOUNT #: 00083311783      | CAPITAL WORLD GROWTH AND INCOME FUN<br>BUY 0 Units @0.0000 | 0.00                 | 7.56                | 0.00               | 7.56              | 0.5  | 0.04                 |



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|--|---|--|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b><u>VERRIDE TRANSACTIONS (continued)</u></b>     |   |  |                      |                     |                    |                   |      |                      |
| <b><u>BROKER: MICHAEL GAROFALO (continued)</u></b> |   |  |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-30IN - WEAVER, NICOLE<br>ACCOUNT #: 00083890212  | CAPITAL WORLD GROWTH AND INCOME FUN<br>BUY 0 Units @0.0000 | 0.00                 | 4.16                | 0.00               | 4.16              | 0.5  | 0.02                 |
| 03/01/2018   | ***-**-52IN - KUNKEL, RAY<br>ACCOUNT #: 00085861084     | CAPITAL WORLD GROWTH AND INCOME FUN<br>BUY 0 Units @0.0000 | 0.00                 | 10.21               | 0.00               | 10.21             | 0.5  | 0.05                 |
| 03/01/2018   | ***-**-37IN - KUNKEL, JANET<br>ACCOUNT #: 00085861160   | CAPITAL WORLD GROWTH AND INCOME FUN<br>BUY 0 Units @0.0000 | 0.00                 | 16.93               | 0.00               | 16.93             | 0.5  | 0.08                 |
| 03/01/2018   | ***-**-244I - REED, GENEVIEVE<br>ACCOUNT #: 00086668365 | CAPITAL WORLD GROWTH AND INCOME FUN<br>BUY 0 Units @0.0000 | 0.00                 | 7.02                | 0.00               | 7.02              | 0.5  | 0.04                 |
| 03/01/2018   | ***-**-18IN - KUNKEL, RYAN<br>ACCOUNT #: 00087401941    | CAPITAL WORLD GROWTH AND INCOME FUN<br>BUY 0 Units @0.0000 | 0.00                 | 4.39                | 0.00               | 4.39              | 0.5  | 0.02                 |
| 03/01/2018   | ***-**-18IN - KUNKEL, RYAN<br>ACCOUNT #: 00087404382    | CAPITAL WORLD GROWTH AND INCOME FUN<br>BUY 0 Units @0.0000 | 0.00                 | 5.86                | 0.00               | 5.86              | 0.5  | 0.03                 |
| 03/01/2018   | ***-**-52IN - KUNKEL, RAY<br>ACCOUNT #: 04000349641     | CAPITAL WORLD GROWTH AND INCOME FUN<br>BUY 0 Units @0.0000 | 0.00                 | 9.29                | 0.00               | 9.29              | 0.5  | 0.05                 |
| 03/01/2018   | ***-**-54IN - SCHMIDT, JENNY<br>ACCOUNT #: 00082865142  | CAPITAL WORLD GROWTH AND INCOME FUN<br>BUY 0 Units @0.0000 | 0.00                 | 54.86               | 0.00               | 54.86             | 0.5  | 0.27                 |
| 03/01/2018   | ***-**-80IR - LEAR, WILLIAM<br>ACCOUNT #: 00084166547   | CAPITAL WORLD GROWTH AND INCOME FUN<br>BUY 0 Units @0.0000 | 0.00                 | 14.17               | 0.00               | 14.17             | 0.5  | 0.07                 |
| 03/01/2018   | ***-**-99IN - VITALE, DAMIAN<br>ACCOUNT #: 00084641216  | CAPITAL WORLD GROWTH AND INCOME FUN<br>BUY 0 Units @0.0000 | 0.00                 | 13.60               | 0.00               | 13.60             | 0.5  | 0.07                 |
| 03/01/2018   | ***-**-683I - SCHWARTZ, EMILY<br>ACCOUNT #: 00063858924 | EUROPACIFIC GROWTH FUND-A<br>BUY 0 Units @0.0000           | 0.00                 | 1.13                | 0.00               | 1.13              | 0.5  | 0.01                 |
| 03/01/2018   | ***-**-831I - REED, JACK<br>ACCOUNT #: 00067413408      | EUROPACIFIC GROWTH FUND-A<br>BUY 0 Units @0.0000           | 0.00                 | 6.13                | 0.00               | 6.13              | 0.5  | 0.03                 |
| 03/01/2018   | ***-**-44IR - REED, GENEVIEVE<br>ACCOUNT #: 00074671768 | EUROPACIFIC GROWTH FUND-A<br>BUY 0 Units @0.0000           | 0.00                 | 3.57                | 0.00               | 3.57              | 0.5  | 0.02                 |
| 03/01/2018   | ***-**-26IN - CROWL, ROBERT<br>ACCOUNT #: 00074806269   | EUROPACIFIC GROWTH FUND-A<br>BUY 0 Units @0.0000           | 0.00                 | 2.39                | 0.00               | 2.39              | 0.5  | 0.01                 |
| 03/01/2018   | ***-**-36IN - CROWL, LINDA<br>ACCOUNT #: 00074806331    | EUROPACIFIC GROWTH FUND-A<br>BUY 0 Units @0.0000           | 0.00                 | 1.79                | 0.00               | 1.79              | 0.5  | 0.01                 |
| 03/01/2018   | ***-**-30IN - WEAVER, NICOLE<br>ACCOUNT #: 00083890212  | EUROPACIFIC GROWTH FUND-A<br>BUY 0 Units @0.0000           | 0.00                 | 3.55                | 0.00               | 3.55              | 0.5  | 0.02                 |



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|--|--------------------------------|----------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b><u> OVERRIDE TRANSACTIONS (continued) </u></b>  |                                |                                  |                      |                     |                    |                   |      |                      |
| <b><u>BROKER: MICHAEL GAROFALO (continued)</u></b> |                                |                                  |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-244I - REED, GENEVIEVE  | EUROPACIFIC GROWTH FUND-A        | 0.00                 | 1.15                | 0.00               | 1.15              | 0.5  | 0.01                 |
|  | ACCOUNT #: 00086668365         | BUY 0 Units @0.0000              |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-5144 - WINTER, LAURA    | FUNDAMENTAL INVESTORS-529A       | 0.00                 | 2.07                | 0.00               | 2.07              | 0.5  | 0.01                 |
|  | ACCOUNT #: 00084354293         | BUY 0 Units @0.0000              |                      |                     |                    |                   |      |                      |
| 02/28/2018   | ***-**-207I - SHOCKEY, CHELSEA | FUNDAMENTAL INVESTORS-A          | 150.00               | 7.50                | 0.00               | 7.50              | 0.5  | 0.04                 |
|  | ACCOUNT #: 00088283660         | BUY 2 Units @67.1100             |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-72IR - SHAW, SUSAN      | FUNDAMENTAL INVESTORS-A          | 0.00                 | 5.62                | 0.00               | 5.62              | 0.5  | 0.03                 |
|  | ACCOUNT #: 00082013491         | BUY 0 Units @0.0000              |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-5144 - WINTER, LAURA    | FUNDAMENTAL INVESTORS-C          | 0.00                 | 29.52               | 0.00               | 29.52             | 0.5  | 0.15                 |
|  | ACCOUNT #: 00084354308         | BUY 0 Units @0.0000              |                      |                     |                    |                   |      |                      |
| 03/02/2018   | ***-**-830J - STRAUB, JANE     | HARTFORD BALANCED INCOME FD CL C | 1,000.01             | 10.00               | 0.00               | 10.00             | 0.5  | 0.05                 |
|  | ACCOUNT #: LSR011950           | BUY 71 Units @14.0000            |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-05IN - WEAVER, DAVID    | INCOME FUND OF AMERICA CLASS C   | 0.00                 | 73.52               | 0.00               | 73.52             | 0.5  | 0.37                 |
|  | ACCOUNT #: 00075103981         | BUY 0 Units @0.0000              |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-54IN - SCHMIDT, JENNY   | INCOME FUND OF AMERICA CLASS C   | 0.00                 | 34.82               | 0.00               | 34.82             | 0.5  | 0.17                 |
|  | ACCOUNT #: 00082865142         | BUY 0 Units @0.0000              |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-80IR - LEAR, WILLIAM    | INCOME FUND OF AMERICA CLASS C   | 0.00                 | 6.34                | 0.00               | 6.34              | 0.5  | 0.03                 |
|  | ACCOUNT #: 00084166547         | BUY 0 Units @0.0000              |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-461I - WOOD, VIRGINIA   | INCOME FUND OF AMERICA CLASS C   | 0.00                 | 64.28               | 0.00               | 64.28             | 0.5  | 0.32                 |
|  | ACCOUNT #: 00084974381         | BUY 0 Units @0.0000              |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-897I - PLAPPERT, KAREN  | INCOME FUND OF AMERICA CLASS C   | 0.00                 | 49.57               | 0.00               | 49.57             | 0.5  | 0.25                 |
|  | ACCOUNT #: 00085201402         | BUY 0 Units @0.0000              |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-664I - HACKMAN,         | INCOME FUND OF AMERICA CLASS C   | 0.00                 | 3.81                | 0.00               | 3.81              | 0.5  | 0.02                 |
|  | ACCOUNT #: 00085312958         | BUY 0 Units @0.0000              |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-999I - WOOD, G. MICHAEL | INCOME FUND OF AMERICA CLASS C   | 0.00                 | 37.11               | 0.00               | 37.11             | 0.5  | 0.19                 |
|  | ACCOUNT #: 00085931337         | BUY 0 Units @0.0000              |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-801I - BECK, LORETTA    | INCOME FUND OF AMERICA CLASS C   | 0.00                 | 9.62                | 0.00               | 9.62              | 0.5  | 0.05                 |
|  | ACCOUNT #: 00086800193         | BUY 0 Units @0.0000              |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-614I - WILLIAMS, RONALD | INCOME FUND OF AMERICA CLASS C   | 0.00                 | 6.81                | 0.00               | 6.81              | 0.5  | 0.03                 |
|  | ACCOUNT #: 00086945921         | BUY 0 Units @0.0000              |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-814I - MCKENNA, DONNA   | INCOME FUND OF AMERICA CLASS C   | 0.00                 | 63.53               | 0.00               | 63.53             | 0.5  | 0.32                 |
|  | ACCOUNT #: 00087249221         | BUY 0 Units @0.0000              |                      |                     |                    |                   |      |                      |



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|--|--------------------------------|-------------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b> OVERRIDE TRANSACTIONS (continued) </b>           |                                |                                     |                      |                     |                    |                   |      |                      |
| <b> <u>BROKER: MICHAEL GAROFALO (continued)</u> </b> |                                |                                     |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-65IN - BARLUP, DAVID    | INCOME FUND OF AMERICA CLASS C      | 0.00                 | 2.37                | 0.00               | 2.37              | 0.5  | 0.01                 |
|  | ACCOUNT #: 00087982202         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-962I - KLOKIS, ROBERT   | INCOME FUND OF AMERICA CLASS C      | 0.00                 | 4.40                | 0.00               | 4.40              | 0.5  | 0.02                 |
|  | ACCOUNT #: 00088311999         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-162I - ANDERSON, THOMAS | INFLATION LINKED BOND FUND-A        | 0.00                 | 8.44                | 0.00               | 8.44              | 0.5  | 0.04                 |
|  | ACCOUNT #: 00068241483         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/03/2018   | ***-**-859I - CAMPBELL, GERALD | ING ADVANTAGE SELECT                | 0.00                 | 17.41               | 0.00               | 17.41             | 0.5  | 0.09                 |
|  | ACCOUNT #: R073277-ZS          | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-225P - SHOCKEY, DEBORAH | INTERMEDIATE BOND FUND OF AMERICA-5 | 0.00                 | 6.06                | 0.00               | 6.06              | 0.5  | 0.03                 |
|  | ACCOUNT #: 00067771618         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-30IN - STRAUB, JANE     | INTERMEDIATE BOND FUND OF AMERICA-A | 0.00                 | 1.92                | 0.00               | 1.92              | 0.5  | 0.01                 |
|  | ACCOUNT #: 00068420311         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-162I - ANDERSON, THOMAS | INTERNATIONAL GROWTH AND INCOME-A   | 0.00                 | 3.84                | 0.00               | 3.84              | 0.5  | 0.02                 |
|  | ACCOUNT #: 00068241483         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/12/2018   | ***-**-228I - BUCHANAN,        | INVESCO BALANCED - RISK ALLOCATION  | 0.00                 | 7.98                | 0.00               | 7.98              | 0.5  | 0.04                 |
|  | ACCOUNT #: LSR010538           | BUY 1 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/12/2018   | ***-**-276I - GASSWINT, SUSAN  | INVESCO VAN KAMPEN EQUITY AND INCOM | 0.00                 | 18.60               | 0.00               | 18.60             | 0.5  | 0.09                 |
|  | ACCOUNT #: LSR010633           | BUY 1 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-30IN - WEAVER, NICOLE   | INVESTMENT COMPANY OF AMERICA CLASS | 0.00                 | 74.34               | 0.00               | 74.34             | 0.5  | 0.37                 |
|  | ACCOUNT #: 00073181035         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-801I - BECK, LORETTA    | INVESTMENT COMPANY OF AMERICA CLASS | 0.00                 | 5.25                | 0.00               | 5.25              | 0.5  | 0.03                 |
|  | ACCOUNT #: 00086800193         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/12/2018   | ***-**-83IN - SCHWARTZ, EMILY  | MASS INVESTORS GROWTH STOCK FUND-A  | 0.00                 | 5.90                | 0.00               | 5.90              | 0.5  | 0.03                 |
|  | ACCOUNT #: LSR010190           | BUY 1 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/12/2018   | ***-**-83IN - SCHWARTZ, EMILY  | MASSACHUSETTS INVESTORS TRUST-A     | 0.00                 | 5.98                | 0.00               | 5.98              | 0.5  | 0.03                 |
|  | ACCOUNT #: LSR010190           | BUY 1 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/12/2018   | ***-**-859X - FREY, RYAN       | MFS GROWTH PORT CLASS C             | 0.00                 | 37.96               | 0.00               | 37.96             | 0.5  | 0.19                 |
|  | ACCOUNT #: LSR011527           | BUY 1 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/12/2018   | ***-**-630X - WEAVER, NICOLE   | MFS GROWTH PORT CLASS C             | 0.00                 | 53.48               | 0.00               | 53.48             | 0.5  | 0.27                 |
|  | ACCOUNT #: LSR011529           | BUY 1 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/12/2018   | ***-**-181X - ILGENFRITZ,      | MFS GROWTH PORT CLASS C             | 0.00                 | 19.67               | 0.00               | 19.67             | 0.5  | 0.10                 |
|  | ACCOUNT #: LSR011555           | BUY 1 Units @0.0000                 |                      |                     |                    |                   |      |                      |



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| <b><u>VERRIDE TRANSACTIONS (continued)</u></b>     |                                |                                   |                      |                     |                    |                   |      |                      |
| <b><u>BROKER: MICHAEL GAROFALO (continued)</u></b> |                                |                                   |                      |                     |                    |                   |      |                      |
| 03/12/2018   | ***-**-859X - FREY, RYAN       | MFS DIVERSIFIED INCOME FD CL C    | 0.00                 | 59.09               | 0.00               | 59.09             | 0.5  | 0.30                 |
|  | ACCOUNT #: LSR011527           | BUY 1 Units @0.0000               |                      |                     |                    |                   |      |                      |
| 03/12/2018   | ***-**-630X - WEAVER, NICOLE   | MFS DIVERSIFIED INCOME FD CL C    | 0.00                 | 43.33               | 0.00               | 43.33             | 0.5  | 0.22                 |
|  | ACCOUNT #: LSR011529           | BUY 1 Units @0.0000               |                      |                     |                    |                   |      |                      |
| 03/12/2018   | ***-**-859X - FREY, RYAN       | MFS NEW DISCOVERY VALUE FUND CL C | 0.00                 | 17.08               | 0.00               | 17.08             | 0.5  | 0.09                 |
|  | ACCOUNT #: LSR011527           | BUY 1 Units @0.0000               |                      |                     |                    |                   |      |                      |
| 03/12/2018   | ***-**-630X - WEAVER, NICOLE   | MFS NEW DISCOVERY VALUE FUND CL C | 0.00                 | 34.15               | 0.00               | 34.15             | 0.5  | 0.17                 |
|  | ACCOUNT #: LSR011529           | BUY 1 Units @0.0000               |                      |                     |                    |                   |      |                      |
| 03/12/2018   | ***-**-260X - ILGENFRITZ, CORY | MFS NEW DISCOVERY VALUE FUND CL C | 0.00                 | 9.56                | 0.00               | 9.56              | 0.5  | 0.05                 |
|  | ACCOUNT #: LSR011553           | BUY 1 Units @0.0000               |                      |                     |                    |                   |      |                      |
| 02/28/2018   | ***-**-207I - SHOCKEY, CHELSEA | NEW PERSPECTIVE FUND-A            | 100.00               | 5.00                | 0.00               | 5.00              | 0.5  | 0.03                 |
|  | ACCOUNT #: 00088283660         | BUY 2 Units @47.6400              |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-683I - SCHWARTZ, EMILY  | NEW PERSPECTIVE FUND-A            | 0.00                 | 5.54                | 0.00               | 5.54              | 0.5  | 0.03                 |
|  | ACCOUNT #: 00063122427         | BUY 0 Units @0.0000               |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-167I - NORNHOLD, DENNIS | NEW PERSPECTIVE FUND-A            | 0.00                 | 7.96                | 0.00               | 7.96              | 0.5  | 0.04                 |
|  | ACCOUNT #: 00067410108         | BUY 0 Units @0.0000               |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-276I - GASSWINT, SUSAN  | NEW PERSPECTIVE FUND-A            | 0.00                 | 10.77               | 0.00               | 10.77             | 0.5  | 0.05                 |
|  | ACCOUNT #: 00068559968         | BUY 0 Units @0.0000               |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-52IN - STEPP, JENNIFER  | NEW PERSPECTIVE FUND-A            | 0.00                 | 1.91                | 0.00               | 1.91              | 0.5  | 0.01                 |
|  | ACCOUNT #: 00074245900         | BUY 0 Units @0.0000               |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-35IN - TOBIN, MAUREEN   | NEW PERSPECTIVE FUND-A            | 0.00                 | 9.49                | 0.00               | 9.49              | 0.5  | 0.05                 |
|  | ACCOUNT #: 00075417983         | BUY 0 Units @0.0000               |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-305I - WAGNER, KEITH    | NEW PERSPECTIVE FUND-A            | 0.00                 | 17.96               | 0.00               | 17.96             | 0.5  | 0.09                 |
|  | ACCOUNT #: 00085996672         | BUY 0 Units @0.0000               |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-244I - REED, GENEVIEVE  | NEW PERSPECTIVE FUND-A            | 0.00                 | 9.77                | 0.00               | 9.77              | 0.5  | 0.05                 |
|  | ACCOUNT #: 00086668365         | BUY 0 Units @0.0000               |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-37IN - KUNKEL, JANET    | NEW PERSPECTIVE FUND-A            | 0.00                 | 14.32               | 0.00               | 14.32             | 0.5  | 0.07                 |
|  | ACCOUNT #: 00086684007         | BUY 0 Units @0.0000               |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-05IN - WEAVER, DAVID    | NEW PERSPECTIVE FUND-A            | 0.00                 | 10.15               | 0.00               | 10.15             | 0.5  | 0.05                 |
|  | ACCOUNT #: 00086846926         | BUY 0 Units @0.0000               |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-400I - ROMIG, MARK      | NEW PERSPECTIVE FUND-A            | 0.00                 | 26.60               | 0.00               | 26.60             | 0.5  | 0.13                 |
|  | ACCOUNT #: 00087282057         | BUY 0 Units @0.0000               |                      |                     |                    |                   |      |                      |



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| <b><u>VERRIDE TRANSACTIONS (continued)</u></b>     |                                |                                     |                      |                     |                    |                   |      |                      |
| <b><u>BROKER: MICHAEL GAROFALO (continued)</u></b> |                                |                                     |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-113I - PIERMANI, JOHN   | NEW PERSPECTIVE FUND-A              | 0.00                 | 12.38               | 0.00               | 12.38             | 0.5  | 0.06                 |
|  | ACCOUNT #: 00087371626         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-18IN - KUNKEL, RYAN     | NEW PERSPECTIVE FUND-A              | 0.00                 | 10.46               | 0.00               | 10.46             | 0.5  | 0.05                 |
|  | ACCOUNT #: 00087404382         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-71IN - STRAUB, GREGORY  | NEW PERSPECTIVE FUND-A              | 0.00                 | 2.41                | 0.00               | 2.41              | 0.5  | 0.01                 |
|  | ACCOUNT #: 00087442503         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-964I - BURG, WAYNE      | NEW PERSPECTIVE FUND-A              | 0.00                 | 9.24                | 0.00               | 9.24              | 0.5  | 0.05                 |
|  | ACCOUNT #: 00087501958         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-814I - MCKENNA, DONNA   | NEW PERSPECTIVE FUND-C              | 0.00                 | 24.64               | 0.00               | 24.64             | 0.5  | 0.12                 |
|  | ACCOUNT #: 00087249221         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-162I - ANDERSON, THOMAS | NEW WORLD FUND-A                    | 0.00                 | 5.06                | 0.00               | 5.06              | 0.5  | 0.03                 |
|  | ACCOUNT #: 00068241483         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-842I - GREENHALGH,      | NEW WORLD FUND-A                    | 0.00                 | 1.53                | 0.00               | 1.53              | 0.5  | 0.01                 |
|  | ACCOUNT #: 00075857948         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/12/2018   | ***-**-055O - ILGENFRITZ, TIM  | NUVEEN REAL ASSET INCOME FUND C SHR | 0.00                 | 17.93               | 0.00               | 17.93             | 0.5  | 0.09                 |
|  | ACCOUNT #: LSR011557           | BUY 1 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/12/2018   | ***-**-334I - MCKENNA, EDWARD  | ROYCE PENNSYLVANIA MUTUAL CONSULT   | 0.00                 | 7.04                | 0.00               | 7.04              | 0.5  | 0.04                 |
|  | ACCOUNT #: LSR011377           | BUY 1 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/12/2018   | ***-**-30IN - STRAUB, JANE     | SAMMONS MF TRAILS                   | 0.00                 | 13.52               | 0.00               | 13.52             | 0.5  | 0.07                 |
|  | ACCOUNT #: 7200028004          | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-842I - GREENHALGH,      | SMALLCAP WORLD FUND-A               | 0.00                 | 2.97                | 0.00               | 2.97              | 0.5  | 0.01                 |
|  | ACCOUNT #: 00075857948         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-30IN - WEAVER, NICOLE   | SMALLCAP WORLD FUND-A               | 0.00                 | 4.94                | 0.00               | 4.94              | 0.5  | 0.02                 |
|  | ACCOUNT #: 00083890212         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-05IN - WEAVER, DAVID    | SMALLCAP WORLD FUND-A               | 0.00                 | 4.04                | 0.00               | 4.04              | 0.5  | 0.02                 |
|  | ACCOUNT #: 00086846926         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-99IN - VITALE, DAMIAN   | SMALLCAP WORLD FUND-C               | 0.00                 | 7.35                | 0.00               | 7.35              | 0.5  | 0.04                 |
|  | ACCOUNT #: 00084641216         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-153J - SHOCKEY, JEFFREY | TAX-EXEMPT BOND FUND OF AMERICA     | 0.00                 | 14.91               | 0.00               | 14.91             | 0.5  | 0.07                 |
|  | ACCOUNT #: 00075824133         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-225P - SHOCKEY, DEBORAH | THE BOND FUND OF AMERICA-529A       | 0.00                 | 6.56                | 0.00               | 6.56              | 0.5  | 0.03                 |
|  | ACCOUNT #: 00067771618         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |



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| <b> OVERRIDE TRANSACTIONS (continued)</b>           |                                |                            |                      |                     |                    |                   |      |                      |
| <b> <u>BROKER: MICHAEL GAROFALO (continued)</u></b> |                                |                            |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-167I - NORNHOLD, DENNIS | THE BOND FUND OF AMERICA-A | 0.00                 | 9.83                | 0.00               | 9.83              | 0.5  | 0.05                 |
|   | ACCOUNT #: 00067410108         | BUY 0 Units @0.0000        |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-162I - ANDERSON, THOMAS | THE BOND FUND OF AMERICA-A | 0.00                 | 9.35                | 0.00               | 9.35              | 0.5  | 0.05                 |
|   | ACCOUNT #: 00068241483         | BUY 0 Units @0.0000        |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-227I - ZELLERS,         | THE BOND FUND OF AMERICA-A | 0.00                 | 12.65               | 0.00               | 12.65             | 0.5  | 0.06                 |
|   | ACCOUNT #: 00068680438         | BUY 0 Units @0.0000        |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-32IN - WHEELER, THOMAS  | THE BOND FUND OF AMERICA-A | 0.00                 | 1.56                | 0.00               | 1.56              | 0.5  | 0.01                 |
|   | ACCOUNT #: 00073406010         | BUY 0 Units @0.0000        |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-85IN - GRAHAM, BARBARA  | THE BOND FUND OF AMERICA-A | 0.00                 | 2.15                | 0.00               | 2.15              | 0.5  | 0.01                 |
|   | ACCOUNT #: 00074061357         | BUY 0 Units @0.0000        |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-11IN - GRAHAM, ARTHUR   | THE BOND FUND OF AMERICA-A | 0.00                 | 2.09                | 0.00               | 2.09              | 0.5  | 0.01                 |
|   | ACCOUNT #: 00074061422         | BUY 0 Units @0.0000        |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-44IR - REED, GENEVIEVE  | THE BOND FUND OF AMERICA-A | 0.00                 | 2.59                | 0.00               | 2.59              | 0.5  | 0.01                 |
|   | ACCOUNT #: 00074671768         | BUY 0 Units @0.0000        |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-842I - GREENHALGH,      | THE BOND FUND OF AMERICA-A | 0.00                 | 9.51                | 0.00               | 9.51              | 0.5  | 0.05                 |
|   | ACCOUNT #: 00074721842         | BUY 0 Units @0.0000        |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-70IN - DUNDORE, ETHEL   | THE BOND FUND OF AMERICA-A | 0.00                 | 9.00                | 0.00               | 9.00              | 0.5  | 0.05                 |
|   | ACCOUNT #: 00075558052         | BUY 0 Units @0.0000        |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-653I - MYERS, MARVIN    | THE BOND FUND OF AMERICA-A | 0.00                 | 6.09                | 0.00               | 6.09              | 0.5  | 0.03                 |
|   | ACCOUNT #: 00082603023         | BUY 0 Units @0.0000        |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-11IN - GRAHAM, ARTHUR   | THE BOND FUND OF AMERICA-A | 0.00                 | 1.33                | 0.00               | 1.33              | 0.5  | 0.01                 |
|   | ACCOUNT #: 00085061358         | BUY 0 Units @0.0000        |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-11IN - GRAHAM, ARTHUR   | THE BOND FUND OF AMERICA-A | 0.00                 | 3.97                | 0.00               | 3.97              | 0.5  | 0.02                 |
|   | ACCOUNT #: 00085201011         | BUY 0 Units @0.0000        |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-582I - PLOCKI, EDWARD   | THE BOND FUND OF AMERICA-A | 0.00                 | 6.55                | 0.00               | 6.55              | 0.5  | 0.03                 |
|   | ACCOUNT #: 00085925861         | BUY 0 Units @0.0000        |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-962I - KLOKIS, ROBERT   | THE BOND FUND OF AMERICA-A | 0.00                 | 6.80                | 0.00               | 6.80              | 0.5  | 0.03                 |
|   | ACCOUNT #: 00085925927         | BUY 0 Units @0.0000        |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-31IN - REED, JACK       | THE BOND FUND OF AMERICA-A | 0.00                 | 4.85                | 0.00               | 4.85              | 0.5  | 0.02                 |
|   | ACCOUNT #: 00086425296         | BUY 0 Units @0.0000        |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-05IN - WEAVER, DAVID    | THE BOND FUND OF AMERICA-A | 0.00                 | 3.39                | 0.00               | 3.39              | 0.5  | 0.02                 |
|   | ACCOUNT #: 00086846926         | BUY 0 Units @0.0000        |                      |                     |                    |                   |      |                      |



# COMMISSION STATEMENT

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| DATE   | CLIENT                         | INVESTMENT                      | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|--|--------------------------------|---------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b><u>VERRIDE TRANSACTIONS (continued)</u></b>     |                                |                                 |                      |                     |                    |                   |      |                      |
| <b><u>BROKER: MICHAEL GAROFALO (continued)</u></b> |                                |                                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-85IN - GRAHAM, BARBARA  | THE BOND FUND OF AMERICA-A      | 0.00                 | 3.78                | 0.00               | 3.78              | 0.5  | 0.02                 |
|  | ACCOUNT #: 00087104867         | BUY 0 Units @0.0000             |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-71IN - STRAUB, GREGORY  | THE BOND FUND OF AMERICA-A      | 0.00                 | 2.56                | 0.00               | 2.56              | 0.5  | 0.01                 |
|  | ACCOUNT #: 00087442503         | BUY 0 Units @0.0000             |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-964I - BURG, WAYNE      | THE BOND FUND OF AMERICA-A      | 0.00                 | 5.31                | 0.00               | 5.31              | 0.5  | 0.03                 |
|  | ACCOUNT #: 00087506557         | BUY 0 Units @0.0000             |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-30IN - WEAVER, NICOLE   | THE BOND FUND OF AMERICA-C      | 0.00                 | 4.97                | 0.00               | 4.97              | 0.5  | 0.02                 |
|  | ACCOUNT #: 00073180963         | BUY 0 Units @0.0000             |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-461I - WOOD, VIRGINIA   | THE BOND FUND OF AMERICA-C      | 0.00                 | 42.60               | 0.00               | 42.60             | 0.5  | 0.21                 |
|  | ACCOUNT #: 00084974381         | BUY 0 Units @0.0000             |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-999I - WOOD, G. MICHAEL | THE BOND FUND OF AMERICA-C      | 0.00                 | 25.70               | 0.00               | 25.70             | 0.5  | 0.13                 |
|  | ACCOUNT #: 00085931337         | BUY 0 Units @0.0000             |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-814I - MCKENNA, DONNA   | THE BOND FUND OF AMERICA-C      | 0.00                 | 47.88               | 0.00               | 47.88             | 0.5  | 0.24                 |
|  | ACCOUNT #: 00087249221         | BUY 0 Units @0.0000             |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-5144 - WINTER, LAURA    | THE GROWTH FUND OF AMERICA-529A | 0.00                 | 2.03                | 0.00               | 2.03              | 0.5  | 0.01                 |
|  | ACCOUNT #: 00084354293         | BUY 0 Units @0.0000             |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-683I - SCHWARTZ, EMILY  | THE GROWTH FUND OF AMERICA-A    | 0.00                 | 2.50                | 0.00               | 2.50              | 0.5  | 0.01                 |
|  | ACCOUNT #: 00063122427         | BUY 0 Units @0.0000             |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-83IR - SCHWARTZ, EMILY  | THE GROWTH FUND OF AMERICA-A    | 0.00                 | 9.02                | 0.00               | 9.02              | 0.5  | 0.05                 |
|  | ACCOUNT #: 00066874651         | BUY 0 Units @0.0000             |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-162I - ANDERSON, THOMAS | THE GROWTH FUND OF AMERICA-A    | 0.00                 | 10.29               | 0.00               | 10.29             | 0.5  | 0.05                 |
|  | ACCOUNT #: 00068241483         | BUY 0 Units @0.0000             |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-30IN - STRAUB, JANE     | THE GROWTH FUND OF AMERICA-A    | 0.00                 | 1.36                | 0.00               | 1.36              | 0.5  | 0.01                 |
|  | ACCOUNT #: 00068420311         | BUY 0 Units @0.0000             |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-379I - WILSON, DELEIGH  | THE GROWTH FUND OF AMERICA-A    | 0.00                 | 5.58                | 0.00               | 5.58              | 0.5  | 0.03                 |
|  | ACCOUNT #: 00073333244         | BUY 0 Units @0.0000             |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-79IR - WILSON, DELEIGH  | THE GROWTH FUND OF AMERICA-A    | 0.00                 | 23.58               | 0.00               | 23.58             | 0.5  | 0.12                 |
|  | ACCOUNT #: 00073333458         | BUY 0 Units @0.0000             |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-09IR - WILSON, EDWARD   | THE GROWTH FUND OF AMERICA-A    | 0.00                 | 23.88               | 0.00               | 23.88             | 0.5  | 0.12                 |
|  | ACCOUNT #: 00073333515         | BUY 0 Units @0.0000             |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-32IN - WHEELER, THOMAS  | THE GROWTH FUND OF AMERICA-A    | 0.00                 | 20.84               | 0.00               | 20.84             | 0.5  | 0.10                 |
|  | ACCOUNT #: 00073406010         | BUY 0 Units @0.0000             |                      |                     |                    |                   |      |                      |





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|--|--------------------------------|---------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b><u>VERRIDE TRANSACTIONS (continued)</u></b>     |                                |                                 |                      |                     |                    |                   |      |                      |
| <b><u>BROKER: MICHAEL GAROFALO (continued)</u></b> |                                |                                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-80IR - LEAR, WILLIAM    | THE GROWTH FUND OF AMERICA-A    | 0.00                 | 2.85                | 0.00               | 2.85              | 0.5  | 0.01                 |
|  | ACCOUNT #: 00084166547         | BUY 0 Units @0.0000             |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-582I - PLOCKI, EDWARD   | THE GROWTH FUND OF AMERICA-A    | 0.00                 | 9.00                | 0.00               | 9.00              | 0.5  | 0.05                 |
|  | ACCOUNT #: 00085925861         | BUY 0 Units @0.0000             |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-31IN - REED, JACK       | THE GROWTH FUND OF AMERICA-A    | 0.00                 | 8.05                | 0.00               | 8.05              | 0.5  | 0.04                 |
|  | ACCOUNT #: 00086425296         | BUY 0 Units @0.0000             |                      |                     |                    |                   |      |                      |
| 03/02/2018   | ***-**-79IR - WILSON, DELEIGH  | THE GROWTH FUND OF AMERICA-A    | 200.00               | 5.50                | 0.00               | 5.50              | 0.5  | 0.03                 |
|  | ACCOUNT #: 00073333458         | BUY 4 Units @53.7700            |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-80IR - LEAR, WILLIAM    | THE GROWTH FUND OF AMERICA-C    | 0.00                 | 8.26                | 0.00               | 8.26              | 0.5  | 0.04                 |
|  | ACCOUNT #: 00084166547         | BUY 0 Units @0.0000             |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-225P - SHOCKEY, DEBORAH | THE INCOME FUND OF AMERICA-529A | 0.00                 | 2.62                | 0.00               | 2.62              | 0.5  | 0.01                 |
|  | ACCOUNT #: 00067771618         | BUY 0 Units @0.0000             |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-225P - SHOCKEY, DEBORAH | THE INCOME FUND OF AMERICA-529C | 0.00                 | 9.14                | 0.00               | 9.14              | 0.5  | 0.05                 |
|  | ACCOUNT #: 00067771618         | BUY 0 Units @0.0000             |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-162I - ANDERSON, THOMAS | THE INCOME FUND OF AMERICA-A    | 0.00                 | 45.96               | 0.00               | 45.96             | 0.5  | 0.23                 |
|  | ACCOUNT #: 00068241483         | BUY 0 Units @0.0000             |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-959I - HACKMAN, BRANDT  | THE INCOME FUND OF AMERICA-A    | 0.00                 | 16.70               | 0.00               | 16.70             | 0.5  | 0.08                 |
|  | ACCOUNT #: 00068405049         | BUY 0 Units @0.0000             |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-276I - GASSWINT, SUSAN  | THE INCOME FUND OF AMERICA-A    | 0.00                 | 17.45               | 0.00               | 17.45             | 0.5  | 0.09                 |
|  | ACCOUNT #: 00068559968         | BUY 0 Units @0.0000             |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-227I - ZELLERS,         | THE INCOME FUND OF AMERICA-A    | 0.00                 | 29.43               | 0.00               | 29.43             | 0.5  | 0.15                 |
|  | ACCOUNT #: 00068680438         | BUY 0 Units @0.0000             |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-379I - WILSON, DELEIGH  | THE INCOME FUND OF AMERICA-A    | 0.00                 | 4.43                | 0.00               | 4.43              | 0.5  | 0.02                 |
|  | ACCOUNT #: 00073333244         | BUY 0 Units @0.0000             |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-79IR - WILSON, DELEIGH  | THE INCOME FUND OF AMERICA-A    | 0.00                 | 18.53               | 0.00               | 18.53             | 0.5  | 0.09                 |
|  | ACCOUNT #: 00073333458         | BUY 0 Units @0.0000             |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-09IR - WILSON, EDWARD   | THE INCOME FUND OF AMERICA-A    | 0.00                 | 18.77               | 0.00               | 18.77             | 0.5  | 0.09                 |
|  | ACCOUNT #: 00073333515         | BUY 0 Units @0.0000             |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-32IN - WHEELER, THOMAS  | THE INCOME FUND OF AMERICA-A    | 0.00                 | 12.21               | 0.00               | 12.21             | 0.5  | 0.06                 |
|  | ACCOUNT #: 00073406010         | BUY 0 Units @0.0000             |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-61IN - STOOPS, SARA     | THE INCOME FUND OF AMERICA-A    | 0.00                 | 4.26                | 0.00               | 4.26              | 0.5  | 0.02                 |
|  | ACCOUNT #: 00073738867         | BUY 0 Units @0.0000             |                      |                     |                    |                   |      |                      |



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|--|--|---|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b><u>VERRIDE TRANSACTIONS (continued)</u></b>     |  |   |                      |                     |                    |                   |      |                      |
| <b><u>BROKER: MICHAEL GAROFALO (continued)</u></b> |  |   |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-85IN - GRAHAM, BARBARA<br>ACCOUNT #: 00074061357  | THE INCOME FUND OF AMERICA-A<br>BUY 0 Units @0.0000 | 0.00                 | 3.60                | 0.00               | 3.60              | 0.5  | 0.02                 |
| 03/01/2018   | ***-**-11IN - GRAHAM, ARTHUR<br>ACCOUNT #: 00074061422   | THE INCOME FUND OF AMERICA-A<br>BUY 0 Units @0.0000 | 0.00                 | 4.58                | 0.00               | 4.58              | 0.5  | 0.02                 |
| 03/01/2018   | ***-**-81IR - METTEE, LINDA<br>ACCOUNT #: 00074596449    | THE INCOME FUND OF AMERICA-A<br>BUY 0 Units @0.0000 | 0.00                 | 1.90                | 0.00               | 1.90              | 0.5  | 0.01                 |
| 03/01/2018   | ***-**-842I - GREENHALGH,<br>ACCOUNT #: 00074721842      | THE INCOME FUND OF AMERICA-A<br>BUY 0 Units @0.0000 | 0.00                 | 17.14               | 0.00               | 17.14             | 0.5  | 0.09                 |
| 03/01/2018   | ***-**-35IN - TOBIN, MAUREEN<br>ACCOUNT #: 00075417983   | THE INCOME FUND OF AMERICA-A<br>BUY 0 Units @0.0000 | 0.00                 | 15.90               | 0.00               | 15.90             | 0.5  | 0.08                 |
| 03/01/2018   | ***-**-70IN - DUNDORE, ETHEL<br>ACCOUNT #: 00075558052   | THE INCOME FUND OF AMERICA-A<br>BUY 0 Units @0.0000 | 0.00                 | 16.54               | 0.00               | 16.54             | 0.5  | 0.08                 |
| 03/01/2018   | ***-**-153J - SHOCKEY, JEFFREY<br>ACCOUNT #: 00075824133 | THE INCOME FUND OF AMERICA-A<br>BUY 0 Units @0.0000 | 0.00                 | 20.12               | 0.00               | 20.12             | 0.5  | 0.10                 |
| 03/01/2018   | ***-**-972I - SHAW, SUSAN<br>ACCOUNT #: 00082025659      | THE INCOME FUND OF AMERICA-A<br>BUY 0 Units @0.0000 | 0.00                 | 11.85               | 0.00               | 11.85             | 0.5  | 0.06                 |
| 03/01/2018   | ***-**-92IN - ZEBLEY,<br>ACCOUNT #: 00082035849          | THE INCOME FUND OF AMERICA-A<br>BUY 0 Units @0.0000 | 0.00                 | 22.48               | 0.00               | 22.48             | 0.5  | 0.11                 |
| 03/01/2018   | ***-**-653I - MYERS, MARVIN<br>ACCOUNT #: 00082603023    | THE INCOME FUND OF AMERICA-A<br>BUY 0 Units @0.0000 | 0.00                 | 8.36                | 0.00               | 8.36              | 0.5  | 0.04                 |
| 03/01/2018   | ***-**-54IN - SCHMIDT, JENNY<br>ACCOUNT #: 00082865142   | THE INCOME FUND OF AMERICA-A<br>BUY 0 Units @0.0000 | 0.00                 | 2.77                | 0.00               | 2.77              | 0.5  | 0.01                 |
| 03/01/2018   | ***-**-33IN - KNOBL, LISA<br>ACCOUNT #: 00083311783      | THE INCOME FUND OF AMERICA-A<br>BUY 0 Units @0.0000 | 0.00                 | 5.47                | 0.00               | 5.47              | 0.5  | 0.03                 |
| 03/01/2018   | ***-**-30IN - WEAVER, NICOLE<br>ACCOUNT #: 00083890212   | THE INCOME FUND OF AMERICA-A<br>BUY 0 Units @0.0000 | 0.00                 | 4.27                | 0.00               | 4.27              | 0.5  | 0.02                 |
| 03/01/2018   | ***-**-80IR - LEAR, WILLIAM<br>ACCOUNT #: 00084166547    | THE INCOME FUND OF AMERICA-A<br>BUY 0 Units @0.0000 | 0.00                 | 2.16                | 0.00               | 2.16              | 0.5  | 0.01                 |
| 03/01/2018   | ***-**-752I - HARBAUGH, KELLY<br>ACCOUNT #: 00084420802  | THE INCOME FUND OF AMERICA-A<br>BUY 0 Units @0.0000 | 0.00                 | 11.64               | 0.00               | 11.64             | 0.5  | 0.06                 |
| 03/01/2018   | ***-**-11IN - GRAHAM, ARTHUR<br>ACCOUNT #: 00085061358   | THE INCOME FUND OF AMERICA-A<br>BUY 0 Units @0.0000 | 0.00                 | 8.02                | 0.00               | 8.02              | 0.5  | 0.04                 |



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|--|---|---|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b><u> OVERRIDE TRANSACTIONS (continued) </u></b>  |   |   |                      |                     |                    |                   |      |                      |
| <b><u>BROKER: MICHAEL GAROFALO (continued)</u></b> |   |   |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-48IN - KANE, VIRGINIA<br>ACCOUNT #: 00085083170  | THE INCOME FUND OF AMERICA-A<br>BUY 0 Units @0.0000 | 0.00                 | 12.76               | 0.00               | 12.76             | 0.5  | 0.06                 |
| 03/01/2018   | ***-**-11IN - GRAHAM, ARTHUR<br>ACCOUNT #: 00085201011  | THE INCOME FUND OF AMERICA-A<br>BUY 0 Units @0.0000 | 0.00                 | 6.25                | 0.00               | 6.25              | 0.5  | 0.03                 |
| 03/01/2018   | ***-**-52IN - KUNKEL, RAY<br>ACCOUNT #: 00085861084     | THE INCOME FUND OF AMERICA-A<br>BUY 0 Units @0.0000 | 0.00                 | 11.53               | 0.00               | 11.53             | 0.5  | 0.06                 |
| 03/01/2018   | ***-**-37IN - KUNKEL, JANET<br>ACCOUNT #: 00085861160   | THE INCOME FUND OF AMERICA-A<br>BUY 0 Units @0.0000 | 0.00                 | 11.53               | 0.00               | 11.53             | 0.5  | 0.06                 |
| 03/01/2018   | ***-**-582I - PLOCKI, EDWARD<br>ACCOUNT #: 00085925861  | THE INCOME FUND OF AMERICA-A<br>BUY 0 Units @0.0000 | 0.00                 | 23.15               | 0.00               | 23.15             | 0.5  | 0.12                 |
| 03/01/2018   | ***-**-962I - KLOKIS, ROBERT<br>ACCOUNT #: 00085925927  | THE INCOME FUND OF AMERICA-A<br>BUY 0 Units @0.0000 | 0.00                 | 36.57               | 0.00               | 36.57             | 0.5  | 0.18                 |
| 03/01/2018   | ***-**-305I - WAGNER, KEITH<br>ACCOUNT #: 00085996672   | THE INCOME FUND OF AMERICA-A<br>BUY 0 Units @0.0000 | 0.00                 | 50.61               | 0.00               | 50.61             | 0.5  | 0.25                 |
| 03/01/2018   | ***-**-31IN - REED, JACK<br>ACCOUNT #: 00086425296      | THE INCOME FUND OF AMERICA-A<br>BUY 0 Units @0.0000 | 0.00                 | 15.09               | 0.00               | 15.09             | 0.5  | 0.08                 |
| 03/01/2018   | ***-**-244I - REED, GENEVIEVE<br>ACCOUNT #: 00086668365 | THE INCOME FUND OF AMERICA-A<br>BUY 0 Units @0.0000 | 0.00                 | 24.04               | 0.00               | 24.04             | 0.5  | 0.12                 |
| 03/01/2018   | ***-**-37IN - KUNKEL, JANET<br>ACCOUNT #: 00086684007   | THE INCOME FUND OF AMERICA-A<br>BUY 0 Units @0.0000 | 0.00                 | 19.28               | 0.00               | 19.28             | 0.5  | 0.10                 |
| 03/01/2018   | ***-**-05IN - WEAVER, DAVID<br>ACCOUNT #: 00086846926   | THE INCOME FUND OF AMERICA-A<br>BUY 0 Units @0.0000 | 0.00                 | 6.67                | 0.00               | 6.67              | 0.5  | 0.03                 |
| 03/01/2018   | ***-**-85IN - GRAHAM, BARBARA<br>ACCOUNT #: 00087104867 | THE INCOME FUND OF AMERICA-A<br>BUY 0 Units @0.0000 | 0.00                 | 9.14                | 0.00               | 9.14              | 0.5  | 0.05                 |
| 03/01/2018   | ***-**-113I - PIEMANI, JOHN<br>ACCOUNT #: 00087371626   | THE INCOME FUND OF AMERICA-A<br>BUY 0 Units @0.0000 | 0.00                 | 37.24               | 0.00               | 37.24             | 0.5  | 0.19                 |
| 03/01/2018   | ***-**-18IN - KUNKEL, RYAN<br>ACCOUNT #: 00087401941    | THE INCOME FUND OF AMERICA-A<br>BUY 0 Units @0.0000 | 0.00                 | 4.18                | 0.00               | 4.18              | 0.5  | 0.02                 |
| 03/01/2018   | ***-**-18IN - KUNKEL, RYAN<br>ACCOUNT #: 00087404382    | THE INCOME FUND OF AMERICA-A<br>BUY 0 Units @0.0000 | 0.00                 | 5.53                | 0.00               | 5.53              | 0.5  | 0.03                 |
| 03/01/2018   | ***-**-71IN - STRAUB, GREGORY<br>ACCOUNT #: 00087442503 | THE INCOME FUND OF AMERICA-A<br>BUY 0 Units @0.0000 | 0.00                 | 4.06                | 0.00               | 4.06              | 0.5  | 0.02                 |



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|--|--------------------------------|-------------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b><u> OVERRIDE TRANSACTIONS (continued) </u></b>  |                                |                                     |                      |                     |                    |                   |      |                      |
| <b><u>BROKER: MICHAEL GAROFALO (continued)</u></b> |                                |                                     |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-964I - BURG, WAYNE      | THE INCOME FUND OF AMERICA-A        | 0.00                 | 27.86               | 0.00               | 27.86             | 0.5  | 0.14                 |
|  | ACCOUNT #: 00087501958         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-964I - BURG, WAYNE      | THE INCOME FUND OF AMERICA-A        | 0.00                 | 9.37                | 0.00               | 9.37              | 0.5  | 0.05                 |
|  | ACCOUNT #: 00087506557         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-057I - BEIBLE, DIANE    | THE INCOME FUND OF AMERICA-A        | 0.00                 | 11.67               | 0.00               | 11.67             | 0.5  | 0.06                 |
|  | ACCOUNT #: 00087729631         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/02/2018   | ***-**-79IR - WILSON, DELEIGH  | THE INCOME FUND OF AMERICA-A        | 200.00               | 5.50                | 0.00               | 5.50              | 0.5  | 0.03                 |
|  | ACCOUNT #: 00073333458         | BUY 8 Units @23.8100                |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-05IN - WEAVER, DAVID    | THE INCOME FUND OF AMERICA-F1       | 0.00                 | 3.81                | 0.00               | 3.81              | 0.5  | 0.02                 |
|  | ACCOUNT #: 00075103981         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-83IR - SCHWARTZ, EMILY  | THE INVESTMENT COMPANY OF AMERICA-A | 0.00                 | 7.52                | 0.00               | 7.52              | 0.5  | 0.04                 |
|  | ACCOUNT #: 00066874651         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-167I - NORNHOLD, DENNIS | THE INVESTMENT COMPANY OF AMERICA-A | 0.00                 | 17.18               | 0.00               | 17.18             | 0.5  | 0.09                 |
|  | ACCOUNT #: 00067410108         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-831I - REED, JACK       | THE INVESTMENT COMPANY OF AMERICA-A | 0.00                 | 7.22                | 0.00               | 7.22              | 0.5  | 0.04                 |
|  | ACCOUNT #: 00067413408         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-48IN - EVANS, SUSAN     | THE INVESTMENT COMPANY OF AMERICA-A | 0.00                 | 2.99                | 0.00               | 2.99              | 0.5  | 0.01                 |
|  | ACCOUNT #: 00068757102         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-30IN - WEAVER, NICOLE   | THE INVESTMENT COMPANY OF AMERICA-A | 0.00                 | 19.86               | 0.00               | 19.86             | 0.5  | 0.10                 |
|  | ACCOUNT #: 00073181035         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-00IN - ROMIG, MARK      | THE INVESTMENT COMPANY OF AMERICA-A | 0.00                 | 12.20               | 0.00               | 12.20             | 0.5  | 0.06                 |
|  | ACCOUNT #: 00073419431         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-52IN - STEPP, JENNIFER  | THE INVESTMENT COMPANY OF AMERICA-A | 0.00                 | 1.56                | 0.00               | 1.56              | 0.5  | 0.01                 |
|  | ACCOUNT #: 00074245900         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-26IN - CROWL, ROBERT    | THE INVESTMENT COMPANY OF AMERICA-A | 0.00                 | 12.92               | 0.00               | 12.92             | 0.5  | 0.06                 |
|  | ACCOUNT #: 00074806269         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-36IN - CROWL, LINDA     | THE INVESTMENT COMPANY OF AMERICA-A | 0.00                 | 11.26               | 0.00               | 11.26             | 0.5  | 0.06                 |
|  | ACCOUNT #: 00074806331         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-32IR - SHAW, WILLIAM    | THE INVESTMENT COMPANY OF AMERICA-A | 0.00                 | 7.09                | 0.00               | 7.09              | 0.5  | 0.04                 |
|  | ACCOUNT #: 00082011931         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-72IR - SHAW, SUSAN      | THE INVESTMENT COMPANY OF AMERICA-A | 0.00                 | 7.06                | 0.00               | 7.06              | 0.5  | 0.04                 |
|  | ACCOUNT #: 00082013491         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |



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| DATE   | CLIENT   | INVESTMENT   | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|--|--|--|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b> OVERRIDE TRANSACTIONS (continued)</b>    |  |  |                      |                     |                    |                   |      |                      |
| <b> BROKER: MICHAEL GAROFALO (continued)</b> |  |  |                      |                     |                    |                   |      |                      |
| 03/01/2018                                   | ***-**-64IN - BURG, WAYNE<br>ACCOUNT #: 00083236921      | THE INVESTMENT COMPANY OF AMERICA-A<br>BUY 0 Units @0.0000 | 0.00                 | 1.49                | 0.00               | 1.49              | 0.5  | 0.01                 |
| 03/01/2018                                   | ***-**-376I - WAGNER, LINDA<br>ACCOUNT #: 00083259292    | THE INVESTMENT COMPANY OF AMERICA-A<br>BUY 0 Units @0.0000 | 0.00                 | 6.20                | 0.00               | 6.20              | 0.5  | 0.03                 |
| 03/01/2018                                   | ***-**-05IR - WAGNER, KEITH<br>ACCOUNT #: 00083259378    | THE INVESTMENT COMPANY OF AMERICA-A<br>BUY 0 Units @0.0000 | 0.00                 | 19.95               | 0.00               | 19.95             | 0.5  | 0.10                 |
| 03/01/2018                                   | ***-**-31IN - REED, JACK<br>ACCOUNT #: 00086425296       | THE INVESTMENT COMPANY OF AMERICA-A<br>BUY 0 Units @0.0000 | 0.00                 | 12.76               | 0.00               | 12.76             | 0.5  | 0.06                 |
| 03/01/2018                                   | ***-**-00IN - ROMIG, MARK<br>ACCOUNT #: 00073419431      | THE NEW ECONOMY FUND-A<br>BUY 0 Units @0.0000              | 0.00                 | 15.44               | 0.00               | 15.44             | 0.5  | 0.08                 |
| 03/01/2018                                   | ***-**-18IN - KUNKEL, RYAN<br>ACCOUNT #: 00087404382     | WASHINGTON MUTUAL INVESTORS FUND-A<br>BUY 2 Units @47.6200 | 100.00               | 3.75                | 0.00               | 3.75              | 0.5  | 0.02                 |
| 03/01/2018                                   | ***-**-683I - SCHWARTZ, EMILY<br>ACCOUNT #: 00063122427  | WASHINGTON MUTUAL INVESTORS FUND-A<br>BUY 0 Units @0.0000  | 0.00                 | 2.08                | 0.00               | 2.08              | 0.5  | 0.01                 |
| 03/01/2018                                   | ***-**-683I - SCHWARTZ, EMILY<br>ACCOUNT #: 00063858924  | WASHINGTON MUTUAL INVESTORS FUND-A<br>BUY 0 Units @0.0000  | 0.00                 | 3.19                | 0.00               | 3.19              | 0.5  | 0.02                 |
| 03/01/2018                                   | ***-**-30IN - STRAUB, JANE<br>ACCOUNT #: 00063926701     | WASHINGTON MUTUAL INVESTORS FUND-A<br>BUY 0 Units @0.0000  | 0.00                 | 21.87               | 0.00               | 21.87             | 0.5  | 0.11                 |
| 03/01/2018                                   | ***-**-83IR - SCHWARTZ, EMILY<br>ACCOUNT #: 00066874651  | WASHINGTON MUTUAL INVESTORS FUND-A<br>BUY 0 Units @0.0000  | 0.00                 | 9.90                | 0.00               | 9.90              | 0.5  | 0.05                 |
| 03/01/2018                                   | ***-**-153J - SHOCKEY, JEFFREY<br>ACCOUNT #: 00075824133 | WASHINGTON MUTUAL INVESTORS FUND-A<br>BUY 0 Units @0.0000  | 0.00                 | 20.95               | 0.00               | 20.95             | 0.5  | 0.10                 |
| 03/01/2018                                   | ***-**-32IR - SHAW, WILLIAM<br>ACCOUNT #: 00082011931    | WASHINGTON MUTUAL INVESTORS FUND-A<br>BUY 0 Units @0.0000  | 0.00                 | 5.59                | 0.00               | 5.59              | 0.5  | 0.03                 |
| 03/01/2018                                   | ***-**-972I - SHAW, SUSAN<br>ACCOUNT #: 00082025659      | WASHINGTON MUTUAL INVESTORS FUND-A<br>BUY 0 Units @0.0000  | 0.00                 | 8.05                | 0.00               | 8.05              | 0.5  | 0.04                 |
| 03/01/2018                                   | ***-**-52IN - KUNKEL, RAY<br>ACCOUNT #: 00085861084      | WASHINGTON MUTUAL INVESTORS FUND-A<br>BUY 0 Units @0.0000  | 0.00                 | 5.78                | 0.00               | 5.78              | 0.5  | 0.03                 |
| 03/01/2018                                   | ***-**-37IN - KUNKEL, JANET<br>ACCOUNT #: 00085861160    | WASHINGTON MUTUAL INVESTORS FUND-A<br>BUY 0 Units @0.0000  | 0.00                 | 5.78                | 0.00               | 5.78              | 0.5  | 0.03                 |
| 03/01/2018                                   | ***-**-400I - ROMIG, MARK<br>ACCOUNT #: 00086646961      | WASHINGTON MUTUAL INVESTORS FUND-A<br>BUY 0 Units @0.0000  | 0.00                 | 27.15               | 0.00               | 27.15             | 0.5  | 0.14                 |



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|--|--------------------------------|---|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b><u> OVERRIDE TRANSACTIONS (continued) </u></b>    |                                |   |                      |                     |                    |                   |      |                      |
| <b><u> BROKER: MICHAEL GAROFALO (continued) </u></b> |                                |   |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-113I - PIEMANI, JOHN    | WASHINGTON MUTUAL INVESTORS FUND-A      | 0.00                 | 14.88               | 0.00               | 14.88             | 0.5  | 0.07                 |
|  | ACCOUNT #: 00087371626         | BUY 0 Units @0.0000                     |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-18IN - KUNKEL, RYAN     | WASHINGTON MUTUAL INVESTORS FUND-A      | 0.00                 | 4.43                | 0.00               | 4.43              | 0.5  | 0.02                 |
|  | ACCOUNT #: 00087401941         | BUY 0 Units @0.0000                     |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-18IN - KUNKEL, RYAN     | WASHINGTON MUTUAL INVESTORS FUND-A      | 0.00                 | 2.21                | 0.00               | 2.21              | 0.5  | 0.01                 |
|  | ACCOUNT #: 00087404382         | BUY 0 Units @0.0000                     |                      |                     |                    |                   |      |                      |
|  |                                | <b>* MICHAEL GAROFALO SUBTOTAL *</b>    | <b>\$2,150.01</b>    | <b>\$4,342.52</b>   | <b>\$0.00</b>      | <b>\$4,342.52</b> |      | <b>\$21.76</b>       |
| <b><u> BROKER: ARCHIBALD MCMICHAEL </u></b>          |                                |   |                      |                     |                    |                   |      |                      |
| 02/14/2018   | ***-**-81IN - STYNER, MARION   | JACKSON NATIONAL PERSPECTIVE II         | 115,451.09           | 8,081.58            | 0.00               | 8,081.58          | 0.5  | 40.41                |
|  |                                | BUY 1 Units @114000.000                 |                      |                     |                    |                   |      |                      |
| 03/12/2018   | ***-**-978J - OVRUTSKY, VICTOR | PRUDENTIAL JENNISON MLP FUND CLASS      | 0.00                 | 2.73                | 0.00               | 2.73              | 0.5  | 0.01                 |
|  | ACCOUNT #: LSR008869           | BUY 1 Units @0.0000                     |                      |                     |                    |                   |      |                      |
| 03/12/2018   | ***-**-674J - IVINS, WILLIAM   | PRUDENTIAL JENNISON MLP FUND CLASS      | 0.00                 | 2.88                | 0.00               | 2.88              | 0.5  | 0.01                 |
|  | ACCOUNT #: LSR009563           | BUY 1 Units @0.0000                     |                      |                     |                    |                   |      |                      |
| 03/12/2018   | ***-**-74IN - MINA, JUDY       | PRUDENTIAL JENNISON MLP FUND CLASS      | 0.00                 | 1.96                | 0.00               | 1.96              | 0.5  | 0.01                 |
|  | ACCOUNT #: LSR010088           | BUY 1 Units @0.0000                     |                      |                     |                    |                   |      |                      |
| 03/12/2018   | ***-**-62IN - ZIMMERMAN,       | PRUDENTIAL JENNISON MLP FUND CLASS      | 0.00                 | 7.68                | 0.00               | 7.68              | 0.5  | 0.04                 |
|  | ACCOUNT #: LSR010153           | BUY 1 Units @0.0000                     |                      |                     |                    |                   |      |                      |
| 03/12/2018   | ***-**-74IN - MINA, CHARLES    | PRUDENTIAL JENNISON MLP FUND CLASS      | 0.00                 | 1.89                | 0.00               | 1.89              | 0.5  | 0.01                 |
|  | ACCOUNT #: LSR010167           | BUY 1 Units @0.0000                     |                      |                     |                    |                   |      |                      |
| 03/12/2018   | ***-**-76IN - HOFFMAN, DAVID   | PRUDENTIAL JENNISON MLP FUND CLASS      | 0.00                 | 4.37                | 0.00               | 4.37              | 0.5  | 0.02                 |
|  | ACCOUNT #: LSR010664           | BUY 1 Units @0.0000                     |                      |                     |                    |                   |      |                      |
|  |                                | <b>* ARCHIBALD MCMICHAEL SUBTOTAL *</b> | <b>\$115,451.09</b>  | <b>\$8,103.09</b>   | <b>\$0.00</b>      | <b>\$8,103.09</b> |      | <b>\$40.51</b>       |
| <b><u> BROKER: EDDIE WILLIAMS </u></b>               |                                |   |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-873I - POTTS, JEAN      | AMERICAN BALANCED FUND-A                | 0.00                 | 4.11                | 0.00               | 4.11              | 0.5  | 0.02                 |
|  | ACCOUNT #: 00074966692         | BUY 0 Units @0.0000                     |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-135I - HALL, TRACEY     | AMERICAN FUNDS GROWTH PORT CL C         | 0.00                 | 15.22               | 0.00               | 15.22             | 0.5  | 0.08                 |
|  | ACCOUNT #: 00089455382         | BUY 0 Units @0.0000                     |                      |                     |                    |                   |      |                      |
| 02/26/2018   | ***-**-66UT - POTTS, DEVYN     | AMERICAN FUNDS GROWTH PORTFOLIO A       | 100.00               | 5.00                | 0.00               | 5.00              | 0.5  | 0.03                 |
|  | ACCOUNT #: 00087597598         | BUY 5 Units @20.2400                    |                      |                     |                    |                   |      |                      |



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|--|-------------------------------|-------------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b><u>VERRIDE TRANSACTIONS (continued)</u></b>   |                               |                                     |                      |                     |                    |                   |      |                      |
| <b><u>BROKER: EDDIE WILLIAMS (continued)</u></b> |                               |                                     |                      |                     |                    |                   |      |                      |
| 03/01/2018                                       | ***-**-02UT - POTTS, JASON    | AMERICAN FUNDS GROWTH PORTFOLIO A   | 0.00                 | 4.15                | 0.00               | 4.15              | 0.5  | 0.02                 |
|  | ACCOUNT #: 00087584548        | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018                                       | ***-**-66UT - POTTS, DEVYN    | AMERICAN FUNDS GROWTH PORTFOLIO A   | 0.00                 | 3.67                | 0.00               | 3.67              | 0.5  | 0.02                 |
|  | ACCOUNT #: 00087597598        | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018                                       | ***-**-873I - POTTS, JEAN     | CAPITAL WORLD GROWTH AND INCOME FUN | 0.00                 | 8.02                | 0.00               | 8.02              | 0.5  | 0.04                 |
|  | ACCOUNT #: 00074966692        | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/05/2018                                       | ***-**-12IN - HAIRSTON, CAROL | ING VA 380789701                    | 0.00                 | 45.16               | 0.00               | 45.16             | 0.5  | 0.23                 |
|  | ACCOUNT #: I251528-0W         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/05/2018                                       | ***-**-691I - GARY, GWENDOLYN | ING VA 380789883                    | 0.00                 | 126.26              | 0.00               | 126.26            | 0.5  | 0.63                 |
|  | ACCOUNT #: I107902-0X         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/09/2018                                       | ***-**-092I - SINGLETON,      | ING VA 380789883                    | 0.00                 | 28.48               | 0.00               | 28.48             | 0.5  | 0.14                 |
|  | ACCOUNT #: I122294-0X         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018                                       | ***-**-029I - FIELDER, CRAIG  | NEW PERSPECTIVE FUND-A              | 0.00                 | 3.78                | 0.00               | 3.78              | 0.5  | 0.02                 |
|  | ACCOUNT #: 00087211169        | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018                                       | ***-**-873I - POTTS, JEAN     | NEW WORLD FUND-A                    | 0.00                 | 3.91                | 0.00               | 3.91              | 0.5  | 0.02                 |
|  | ACCOUNT #: 00074966692        | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018                                       | ***-**-873I - POTTS, JEAN     | SMALLCAP WORLD FUND-A               | 0.00                 | 6.38                | 0.00               | 6.38              | 0.5  | 0.03                 |
|  | ACCOUNT #: 00074966692        | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018                                       | ***-**-029I - FIELDER, CRAIG  | THE BOND FUND OF AMERICA-A          | 0.00                 | 1.56                | 0.00               | 1.56              | 0.5  | 0.01                 |
|  | ACCOUNT #: 00087211169        | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018                                       | ***-**-4925 - HARRISON,       | THE GROWTH FUND OF AMERICA-529A     | 50.00                | 2.50                | 0.00               | 2.50              | 0.5  | 0.01                 |
|  | ACCOUNT #: 04000330815        | BUY 1 Units @54.1100                |                      |                     |                    |                   |      |                      |
| 03/01/2018                                       | ***-**-4925 - HARRISON,       | THE GROWTH FUND OF AMERICA-529A     | 50.00                | 2.50                | 0.00               | 2.50              | 0.5  | 0.01                 |
|  | ACCOUNT #: 04000330832        | BUY 1 Units @54.1100                |                      |                     |                    |                   |      |                      |
| 03/01/2018                                       | ***-**-4925 - HARRISON,       | THE GROWTH FUND OF AMERICA-529A     | 50.00                | 2.50                | 0.00               | 2.50              | 0.5  | 0.01                 |
|  | ACCOUNT #: 04000330825        | BUY 1 Units @54.1100                |                      |                     |                    |                   |      |                      |
| 03/01/2018                                       | ***-**-2011 - WILLIAMS, LARRY | THE GROWTH FUND OF AMERICA-A        | 100.00               | 5.00                | 0.00               | 5.00              | 0.5  | 0.03                 |
|  | ACCOUNT #: 04000491691        | BUY 2 Units @54.6800                |                      |                     |                    |                   |      |                      |
| 03/01/2018                                       | ***-**-873I - POTTS, JEAN     | THE GROWTH FUND OF AMERICA-A        | 0.00                 | 5.50                | 0.00               | 5.50              | 0.5  | 0.03                 |
|  | ACCOUNT #: 00074966692        | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018                                       | ***-**-251I - POTTS, JOHN     | THE INVESTMENT COMPANY OF AMERICA-A | 0.00                 | 11.99               | 0.00               | 11.99             | 0.5  | 0.06                 |
|  | ACCOUNT #: 00084603939        | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |



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| DATE  | CLIENT                         | INVESTMENT                           | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|---|--------------------------------|--------------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b><u> OVERRIDE TRANSACTIONS (continued) </u></b> |                                |                                      |                      |                     |                    |                   |      |                      |
| <b><u>BROKER: EDDIE WILLIAMS (continued)</u></b>  |                                |                                      |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-029I - FIELDER, CRAIG   | THE INVESTMENT COMPANY OF AMERICA-A  | 0.00                 | 4.98                | 0.00               | 4.98              | 0.5  | 0.02                 |
|   | ACCOUNT #: 00087211169         | BUY 0 Units @0.0000                  |                      |                     |                    |                   |      |                      |
|   |                                | <b>* EDDIE WILLIAMS SUBTOTAL *</b>   | <b>\$350.00</b>      | <b>\$290.67</b>     | <b>\$0.00</b>      | <b>\$290.67</b>   |      | <b>\$1.46</b>        |
| <b><u>BROKER: BRADLEY MAIKRANZ</u></b>            |                                |                                      |                      |                     |                    |                   |      |                      |
| 03/02/2018  | ***-**-76IN - GARLAND, FRANCIS | BRIGHTHOUSE FINL INC COM             | 104.44               | 22.96               | 0.00               | 22.96             | 0.5  | 0.11                 |
|   | ACCOUNT #: LSR011458           | SELL 2 Units @52.2190                |                      |                     |                    |                   |      |                      |
| 03/05/2018  | ***-**-476I - GARLAND, FRANCIS | FEDL HOME LN MTG CRP SER 2996 CL GG  | 3,979.00             | 16.00               | 0.00               | 16.00             | 0.5  | 0.08                 |
|   | ACCOUNT #: LSR011482           | SELL 40 Units @99.4750               |                      |                     |                    |                   |      |                      |
| 03/02/2018  | ***-**-76IN - GARLAND, FRANCIS | FEDL HOME LN MTG CRP SER 4091 CL AA  | 6,092.31             | 46.00               | 0.00               | 46.00             | 0.5  | 0.23                 |
|   | ACCOUNT #: LSR011458           | SELL 70 Units @87.0330               |                      |                     |                    |                   |      |                      |
| 03/02/2018  | ***-**-76IN - GARLAND, FRANCIS | METLIFE INC COM                      | 1,089.22             | 32.54               | 0.00               | 32.54             | 0.5  | 0.16                 |
|   | ACCOUNT #: LSR011458           | SELL 24 Units @45.3840               |                      |                     |                    |                   |      |                      |
|   |                                | <b>* BRADLEY MAIKRANZ SUBTOTAL *</b> | <b>\$11,264.97</b>   | <b>\$117.50</b>     | <b>\$0.00</b>      | <b>\$117.50</b>   |      | <b>\$0.58</b>        |
| <b><u>BROKER: DRAKE AGUILLARD</u></b>             |                                |                                      |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-12IN - POND, LISA       | AMERICAN BALANCED FUND-A             | 0.00                 | 6.49                | 0.00               | 6.49              | 0.5  | 0.03                 |
|   | ACCOUNT #: 00087336232         | BUY 0 Units @0.0000                  |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-12IN - POND, LISA       | AMERICAN HIGH-INCOME TRUST-A         | 0.00                 | 4.96                | 0.00               | 4.96              | 0.5  | 0.02                 |
|   | ACCOUNT #: 00087336232         | BUY 0 Units @0.0000                  |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-12IN - POND, LISA       | AMERICAN MUTUAL FUND-A               | 0.00                 | 6.98                | 0.00               | 6.98              | 0.5  | 0.03                 |
|   | ACCOUNT #: 00087336232         | BUY 0 Units @0.0000                  |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-12IN - POND, LISA       | CAPITAL INCOME BUILDER-A             | 0.00                 | 5.56                | 0.00               | 5.56              | 0.5  | 0.03                 |
|   | ACCOUNT #: 00087336232         | BUY 0 Units @0.0000                  |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-12IN - POND, LISA       | CAPITAL WORLD GROWTH AND INCOME FUN  | 0.00                 | 6.49                | 0.00               | 6.49              | 0.5  | 0.03                 |
|   | ACCOUNT #: 00087336232         | BUY 0 Units @0.0000                  |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-12IN - POND, LISA       | EUROPACIFIC GROWTH FUND-A            | 0.00                 | 6.10                | 0.00               | 6.10              | 0.5  | 0.03                 |
|   | ACCOUNT #: 00087336232         | BUY 0 Units @0.0000                  |                      |                     |                    |                   |      |                      |
| 03/05/2018  | ***-**-68IR - CRAWFORD, KEVIN  | FRANKLIN GROWTH FUND CLASS A         | 90.03                | 1.44                | 0.00               | 1.44              | 0.5  | 0.01                 |
|   | ACCOUNT #: LSR012287           | BUY 1 Units @100.0300                |                      |                     |                    |                   |      |                      |
| 03/05/2018  | ***-**-68IR - CRAWFORD, KEVIN  | FRANKLIN RISING DIVIDENDS FD CLASS   | 90.00                | 1.44                | 0.00               | 1.44              | 0.5  | 0.01                 |
|   | ACCOUNT #: LSR012287           | BUY 1 Units @61.8100                 |                      |                     |                    |                   |      |                      |





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| DATE  | CLIENT                         | INVESTMENT                           | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|---|--------------------------------|--------------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b><u> OVERRIDE TRANSACTIONS (continued) </u></b> |                                |                                      |                      |                     |                    |                   |      |                      |
| <b><u>BROKER: DRAKE AGUILLARD (continued)</u></b> |                                |                                      |                      |                     |                    |                   |      |                      |
| 03/05/2018  | ***-**-68IR - CRAWFORD, KEVIN  | FRANKLIN SMALL-MID CAP GROWTH FUND   | 90.01                | 1.44                | 0.00               | 1.44              | 0.5  | 0.01                 |
|   | ACCOUNT #: LSR012287           | BUY 2 Units @37.4400                 |                      |                     |                    |                   |      |                      |
| 03/05/2018  | ***-**-68IR - CRAWFORD, KEVIN  | FRK NATURAL RES FND - CL A           | 90.01                | 1.44                | 0.00               | 1.44              | 0.5  | 0.01                 |
|   | ACCOUNT #: LSR012287           | BUY 3 Units @26.3500                 |                      |                     |                    |                   |      |                      |
| 03/05/2018  | ***-**-68IR - CRAWFORD, KEVIN  | FRK REAL EST SEC FND - CL A          | 89.99                | 1.44                | 0.00               | 1.44              | 0.5  | 0.01                 |
|   | ACCOUNT #: LSR012287           | BUY 5 Units @19.3200                 |                      |                     |                    |                   |      |                      |
| 03/05/2018  | ***-**-68IR - CRAWFORD, KEVIN  | MUTUAL SERIES QUALIFIED CLASS A      | 90.00                | 1.44                | 0.00               | 1.44              | 0.5  | 0.01                 |
|   | ACCOUNT #: LSR012287           | BUY 6 Units @16.0200                 |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-12IN - POND, LISA       | NEW WORLD FUND-A                     | 0.00                 | 5.59                | 0.00               | 5.59              | 0.5  | 0.03                 |
|   | ACCOUNT #: 00087336232         | BUY 0 Units @0.0000                  |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-12IN - POND, LISA       | SMALLCAP WORLD FUND-A                | 0.00                 | 6.89                | 0.00               | 6.89              | 0.5  | 0.03                 |
|   | ACCOUNT #: 00087336232         | BUY 0 Units @0.0000                  |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-12IN - POND, LISA       | THE INVESTMENT COMPANY OF AMERICA-A  | 0.00                 | 7.53                | 0.00               | 7.53              | 0.5  | 0.04                 |
|   | ACCOUNT #: 00087336232         | BUY 0 Units @0.0000                  |                      |                     |                    |                   |      |                      |
|   |                                | <b>* DRAKE AGUILLARD SUBTOTAL *</b>  | <b>\$540.04</b>      | <b>\$65.23</b>      | <b>\$0.00</b>      | <b>\$65.23</b>    |      | <b>\$0.33</b>        |
| <b><u>BROKER: WESLEY ROWLANDS</u></b>             |                                |                                      |                      |                     |                    |                   |      |                      |
| 02/13/2018  | ***-**-162I - MAGNA, PAUL      | TRS LANDMARK VARIABLE ANNUITY        | 0.00                 | 159.04              | 0.00               | 159.04            | 0.5  | 0.80                 |
|   | ACCOUNT #: 40005701LK8         | BUY 0 Units @0.0000                  |                      |                     |                    |                   |      |                      |
| 02/13/2018  | ***-**-259I - MAGNA, JEANETTE  | TRS LANDMARK VARIABLE ANNUITY        | 0.00                 | 232.72              | 0.00               | 232.72            | 0.5  | 1.16                 |
|   | ACCOUNT #: 40007346LK8         | BUY 0 Units @0.0000                  |                      |                     |                    |                   |      |                      |
|   |                                | <b>* WESLEY ROWLANDS SUBTOTAL *</b>  | <b>\$0.00</b>        | <b>\$391.76</b>     | <b>\$0.00</b>      | <b>\$391.76</b>   |      | <b>\$1.96</b>        |
| <b><u>BROKER: SAMUEL GALATIOTO</u></b>            |                                |                                      |                      |                     |                    |                   |      |                      |
| 03/12/2018  | ***-**-49TR - CUZICK TRUST,    | AIM DEVELOPING MARKETS FUND CLASS A  | 0.00                 | 3.09                | 0.00               | 3.09              | 0.5  | 0.02                 |
|   | ACCOUNT #: LSR010064           | BUY 1 Units @0.0000                  |                      |                     |                    |                   |      |                      |
|   |                                | <b>* SAMUEL GALATIOTO SUBTOTAL *</b> | <b>\$0.00</b>        | <b>\$3.09</b>       | <b>\$0.00</b>      | <b>\$3.09</b>     |      | <b>\$0.02</b>        |
| <b><u>BROKER: LARRY SKARSET</u></b>               |                                |                                      |                      |                     |                    |                   |      |                      |
| 03/12/2018  | ***-**-50TR - HULEGAARD TTEE,  | AIM GLOBAL AGGRESSIVE GROWTH FUND C  | 0.00                 | 2.55                | 0.00               | 2.55              | 0.5  | 0.01                 |
|   | ACCOUNT #: LSR010112           | BUY 1 Units @0.0000                  |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-50IN - HULEGAARD, JANET | CAPITAL INCOME BUILDER-A             | 0.00                 | 20.70               | 0.00               | 20.70             | 0.5  | 0.10                 |
|   | ACCOUNT #: 00061691708         | BUY 0 Units @0.0000                  |                      |                     |                    |                   |      |                      |



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|---|--------------------------------|-------------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b><u> OVERRIDE TRANSACTIONS (continued) </u></b> |                                |                                     |                      |                     |                    |                   |      |                      |
| <b><u> BROKER: LARRY SKARSET (continued) </u></b> |                                |                                     |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-50IN - HULEGAARD, JANET | CAPITAL WORLD GROWTH AND INCOME FUN | 0.00                 | 17.64               | 0.00               | 17.64             | 0.5  | 0.09                 |
|   | ACCOUNT #: 00061691708         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/07/2018  | ***-**-17TR - KAY TTEE,        | GRIFFIN INSTL ACCESS CREDIT FND CL  | 3,900.00             | 21.00               | 0.00               | 21.00             | 0.5  | 0.11                 |
|   | ACCOUNT #: LSR010113           | BUY 155 Units @25.1600              |                      |                     |                    |                   |      |                      |
| 03/12/2018  | ***-**-50TR - HULEGAARD TTEE,  | INVESCO STRUCTURED CORE FUND -CLASS | 0.00                 | 1.86                | 0.00               | 1.86              | 0.5  | 0.01                 |
|   | ACCOUNT #: LSR010112           | BUY 1 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-50IN - HULEGAARD, JANET | NEW PERSPECTIVE FUND-A              | 0.00                 | 16.59               | 0.00               | 16.59             | 0.5  | 0.08                 |
|   | ACCOUNT #: 00061691708         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-50IN - HULEGAARD, JANET | THE INVESTMENT COMPANY OF AMERICA-A | 0.00                 | 23.71               | 0.00               | 23.71             | 0.5  | 0.12                 |
|   | ACCOUNT #: 00061691708         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| <b> * LARRY SKARSET SUBTOTAL * </b>               |                                |                                     | <b>\$3,900.00</b>    | <b>\$104.05</b>     | <b>\$0.00</b>      | <b>\$104.05</b>   |      | <b>\$0.52</b>        |
| <b><u> BROKER: ROBERT ADAMS </u></b>              |                                |                                     |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-273T - LOHRMAN, WILLIAM | AMCAP FUND-A                        | 0.00                 | 3.89                | 0.00               | 3.89              | 0.5  | 0.02                 |
|   | ACCOUNT #: 00085190315         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-482I - LOHRMAN, SUSAN   | AMERICAN HIGH-INCOME TRUST-A        | 0.00                 | 9.58                | 0.00               | 9.58              | 0.5  | 0.05                 |
|   | ACCOUNT #: 00068203091         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-273I - LOHRMAN, WILLIAM | AMERICAN MUTUAL FUND-A              | 0.00                 | 4.89                | 0.00               | 4.89              | 0.5  | 0.02                 |
|   | ACCOUNT #: 00068203093         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-482I - LOHRMAN, SUSAN   | CAPITAL INCOME BUILDER-A            | 0.00                 | 13.82               | 0.00               | 13.82             | 0.5  | 0.07                 |
|   | ACCOUNT #: 00068203091         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-482I - LOHRMAN, SUSAN   | CAPITAL WORLD BOND FUND-A           | 0.00                 | 6.72                | 0.00               | 6.72              | 0.5  | 0.03                 |
|   | ACCOUNT #: 00068203091         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-273I - LOHRMAN, WILLIAM | CAPITAL WORLD GROWTH AND INCOME FUN | 0.00                 | 35.72               | 0.00               | 35.72             | 0.5  | 0.18                 |
|   | ACCOUNT #: 00068203093         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-338J - HARMON, DAVID    | CAPITAL WORLD GROWTH AND INCOME FUN | 0.00                 | 1.71                | 0.00               | 1.71              | 0.5  | 0.01                 |
|   | ACCOUNT #: 00073175704         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-482I - LOHRMAN, SUSAN   | EUROPACIFIC GROWTH FUND-A           | 0.00                 | 8.59                | 0.00               | 8.59              | 0.5  | 0.04                 |
|   | ACCOUNT #: 00068203091         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-273I - LOHRMAN, WILLIAM | EUROPACIFIC GROWTH FUND-A           | 0.00                 | 35.95               | 0.00               | 35.95             | 0.5  | 0.18                 |
|   | ACCOUNT #: 00068203093         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-05CL - ADAMS, CLIENTS   | FA 529 PORT 2019-CL A               | 200.00               | 7.50                | 0.00               | 7.50              | 0.5  | 0.04                 |
|   | ACCOUNT #: 01460802653         | BUY 9 Units @21.3100                |                      |                     |                    |                   |      |                      |



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|--|--|--|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b><u>VERRIDE TRANSACTIONS (continued)</u></b> |  |  |                      |                     |                    |                   |      |                      |
| <b><u>BROKER: ROBERT ADAMS (continued)</u></b> |  |  |                      |                     |                    |                   |      |                      |
| 03/07/2018                                     | ***-**-76IN - KELLY, JOHN<br>ACCOUNT #: 01460724956      | FA 529 PORT 2019-CL A<br>BUY 0 Units @0.0000           | 0.00                 | 6.12                | 0.00               | 6.12              | 0.5  | 0.03                 |
| 03/07/2018                                     | ***-**-05CL - ADAMS, CLIENTS<br>ACCOUNT #: 01460802653   | FA 529 PORT 2019-CL A<br>BUY 0 Units @0.0000           | 0.00                 | 6.17                | 0.00               | 6.17              | 0.5  | 0.03                 |
| 03/07/2018                                     | ***-**-76IN - KELLY, JOHN<br>ACCOUNT #: 01460724972      | FA 529 PORT 2022-CL A<br>BUY 0 Units @0.0000           | 0.00                 | 5.07                | 0.00               | 5.07              | 0.5  | 0.03                 |
| 03/07/2018                                     | ***-**-05CL - ADAMS, CLIENTS<br>ACCOUNT #: 01460802760   | FA 529 PORT 2022-CL A<br>BUY 0 Units @0.0000           | 0.00                 | 4.55                | 0.00               | 4.55              | 0.5  | 0.02                 |
| 03/07/2018                                     | ***-**-76IN - KELLY, JOHN<br>ACCOUNT #: 01455927788      | FIDELITY ADV EQUITY GROWTH CL A<br>BUY 0 Units @0.0000 | 0.00                 | 1.15                | 0.00               | 1.15              | 0.5  | 0.01                 |
| 03/07/2018                                     | ***-**-76IN - KELLY, JOHN<br>ACCOUNT #: 01455927788      | FIDELITY ADV GROWTH OPPORT CL A<br>BUY 0 Units @0.0000 | 0.00                 | 1.99                | 0.00               | 1.99              | 0.5  | 0.01                 |
| 03/07/2018                                     | ***-**-76IN - KELLY, JOHN<br>ACCOUNT #: 01455927788      | FIDELITY ADV MF TRAILS<br>BUY 0 Units @0.0000          | 0.00                 | 2.08                | 0.00               | 2.08              | 0.5  | 0.01                 |
| 03/07/2018                                     | ***-**-76IN - KELLY, JOHN<br>ACCOUNT #: 01455927788      | FIDELITY ADV NEW INSIGHTS-CL A<br>BUY 0 Units @0.0000  | 0.00                 | 2.09                | 0.00               | 2.09              | 0.5  | 0.01                 |
| 03/07/2018                                     | ***-**-76IN - KELLY, JOHN<br>ACCOUNT #: 01455927788      | FIDELITY ADV TECHNOLOGY CL A<br>BUY 0 Units @0.0000    | 0.00                 | 1.61                | 0.00               | 1.61              | 0.5  | 0.01                 |
| 03/01/2018                                     | ***-**-482I - LOHRMAN, SUSAN<br>ACCOUNT #: 00068203091   | FUNDAMENTAL INVESTORS-A<br>BUY 0 Units @0.0000         | 0.00                 | 15.06               | 0.00               | 15.06             | 0.5  | 0.08                 |
| 03/01/2018                                     | ***-**-273I - LOHRMAN, WILLIAM<br>ACCOUNT #: 00068203093 | FUNDAMENTAL INVESTORS-A<br>BUY 0 Units @0.0000         | 0.00                 | 10.20               | 0.00               | 10.20             | 0.5  | 0.05                 |
| 03/01/2018                                     | ***-**-273T - LOHRMAN, WILLIAM<br>ACCOUNT #: 00085190315 | FUNDAMENTAL INVESTORS-A<br>BUY 0 Units @0.0000         | 0.00                 | 13.59               | 0.00               | 13.59             | 0.5  | 0.07                 |
| 03/01/2018                                     | ***-**-6437 - ADAMS REV TRUST,<br>ACCOUNT #: T06425024   | GENWORTH DTCC TRAILS<br>BUY 0 Units @0.0000            | 0.00                 | 19.81               | 0.00               | 19.81             | 0.5  | 0.10                 |
| 03/01/2018                                     | ***-**-482I - LOHRMAN, SUSAN<br>ACCOUNT #: 00068203091   | NEW PERSPECTIVE FUND-A<br>BUY 0 Units @0.0000          | 0.00                 | 9.19                | 0.00               | 9.19              | 0.5  | 0.05                 |
| 03/01/2018                                     | ***-**-273T - LOHRMAN, WILLIAM<br>ACCOUNT #: 00085190315 | NEW PERSPECTIVE FUND-A<br>BUY 0 Units @0.0000          | 0.00                 | 2.62                | 0.00               | 2.62              | 0.5  | 0.01                 |
| 03/01/2018                                     | ***-**-338J - HARMON, DAVID<br>ACCOUNT #: 00073175704    | NEW PERSPECTIVE FUND-A<br>BUY 0 Units @0.0000          | 0.00                 | 1.85                | 0.00               | 1.85              | 0.5  | 0.01                 |



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|---|--------------------------------|-------------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b><u> OVERRIDE TRANSACTIONS (continued) </u></b> |                                |                                     |                      |                     |                    |                   |      |                      |
| <b><u> BROKER: ROBERT ADAMS (continued) </u></b>  |                                |                                     |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-273I - LOHRMAN, WILLIAM | NEW WORLD FUND-A                    | 0.00                 | 2.02                | 0.00               | 2.02              | 0.5  | 0.01                 |
|   | ACCOUNT #: 00068203093         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-338J - HARMON, DAVID    | NEW WORLD FUND-A                    | 0.00                 | 1.53                | 0.00               | 1.53              | 0.5  | 0.01                 |
|   | ACCOUNT #: 00073175704         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-273I - LOHRMAN, WILLIAM | SMALLCAP WORLD FUND-A               | 0.00                 | 13.65               | 0.00               | 13.65             | 0.5  | 0.07                 |
|   | ACCOUNT #: 00068203093         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-273T - LOHRMAN, WILLIAM | SMALLCAP WORLD FUND-A               | 0.00                 | 3.27                | 0.00               | 3.27              | 0.5  | 0.02                 |
|   | ACCOUNT #: 00085190315         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-338J - HARMON, DAVID    | SMALLCAP WORLD FUND-A               | 0.00                 | 2.15                | 0.00               | 2.15              | 0.5  | 0.01                 |
|   | ACCOUNT #: 00073175704         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-482I - LOHRMAN, SUSAN   | THE BOND FUND OF AMERICA-A          | 0.00                 | 7.65                | 0.00               | 7.65              | 0.5  | 0.04                 |
|   | ACCOUNT #: 00068203091         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-482I - LOHRMAN, SUSAN   | THE GROWTH FUND OF AMERICA-A        | 0.00                 | 14.93               | 0.00               | 14.93             | 0.5  | 0.07                 |
|   | ACCOUNT #: 00068203091         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-273I - LOHRMAN, WILLIAM | THE GROWTH FUND OF AMERICA-A        | 0.00                 | 6.81                | 0.00               | 6.81              | 0.5  | 0.03                 |
|   | ACCOUNT #: 00068203093         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-273I - LOHRMAN, WILLIAM | THE INCOME FUND OF AMERICA-A        | 0.00                 | 5.17                | 0.00               | 5.17              | 0.5  | 0.03                 |
|   | ACCOUNT #: 00068203093         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-482I - LOHRMAN, SUSAN   | THE INVESTMENT COMPANY OF AMERICA-A | 0.00                 | 17.73               | 0.00               | 17.73             | 0.5  | 0.09                 |
|   | ACCOUNT #: 00068203091         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-273I - LOHRMAN, WILLIAM | THE INVESTMENT COMPANY OF AMERICA-A | 0.00                 | 6.01                | 0.00               | 6.01              | 0.5  | 0.03                 |
|   | ACCOUNT #: 00068203093         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-273T - LOHRMAN, WILLIAM | THE NEW ECONOMY FUND-A              | 0.00                 | 2.86                | 0.00               | 2.86              | 0.5  | 0.01                 |
|   | ACCOUNT #: 00085190315         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-482I - LOHRMAN, SUSAN   | U.S. GOVERNMENT SECURITIES FUND CLA | 0.00                 | 4.88                | 0.00               | 4.88              | 0.5  | 0.02                 |
|   | ACCOUNT #: 00068203091         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-482I - LOHRMAN, SUSAN   | WASHINGTON MUTUAL INVESTORS FUND-A  | 0.00                 | 23.64               | 0.00               | 23.64             | 0.5  | 0.12                 |
|   | ACCOUNT #: 00068203091         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-273I - LOHRMAN, WILLIAM | WASHINGTON MUTUAL INVESTORS FUND-A  | 0.00                 | 5.87                | 0.00               | 5.87              | 0.5  | 0.03                 |
|   | ACCOUNT #: 00068203093         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| <b>* ROBERT ADAMS SUBTOTAL *</b>                  |                                |                                     | <b>\$200.00</b>      | <b>\$349.69</b>     | <b>\$0.00</b>      | <b>\$349.69</b>   |      | <b>\$1.76</b>        |



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| <b><u> OVERRIDE TRANSACTIONS (continued) </u></b> |                                |                                      |                      |                     |                    |                   |      |                      |
| <b><u>BROKER: ALPHONSO HOUSTON</u></b>            |                                |                                      |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-705I - JOHNSON-HARRIS,  | NEW PERSPECTIVE FUND-A               | 0.00                 | 25.53               | 0.00               | 25.53             | 0.5  | 0.13                 |
|   | ACCOUNT #: 00057152745         | BUY 0 Units @0.0000                  |                      |                     |                    |                   |      |                      |
|   |                                | <b>* ALPHONSO HOUSTON SUBTOTAL *</b> | <b>\$0.00</b>        | <b>\$25.53</b>      | <b>\$0.00</b>      | <b>\$25.53</b>    |      | <b>\$0.13</b>        |
| <b><u>BROKER: JOSEPH STURGES</u></b>              |                                |                                      |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-51IN - DAWSON, TIM      | AMERICAN BALANCED FUND-A             | 0.00                 | 12.36               | 0.00               | 12.36             | 0.5  | 0.06                 |
|   | ACCOUNT #: 00951646640         | BUY 0 Units @0.0000                  |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-015I - DAWSON, BOBBI    | AMERICAN BALANCED FUND-A             | 0.00                 | 15.71               | 0.00               | 15.71             | 0.5  | 0.08                 |
|   | ACCOUNT #: 00951646641         | BUY 0 Units @0.0000                  |                      |                     |                    |                   |      |                      |
| 03/07/2018  | ***-**-53IN - INMON, STEPHANIE | FIDELITY ADV ASSET MANAGER 20%-CL C  | 0.00                 | 11.26               | 0.00               | 11.26             | 0.5  | 0.06                 |
|   | ACCOUNT #: 01453267187         | BUY 0 Units @0.0000                  |                      |                     |                    |                   |      |                      |
| 03/07/2018  | ***-**-53IN - INMON, STEPHANIE | FIDELITY ADV BIOTECHNOLOGY-CL A      | 0.00                 | 1.19                | 0.00               | 1.19              | 0.5  | 0.01                 |
|   | ACCOUNT #: 01453267187         | BUY 0 Units @0.0000                  |                      |                     |                    |                   |      |                      |
| 03/07/2018  | ***-**-79IN - INMON, DEAN      | FIDELITY ADV BIOTECHNOLOGY-CL A      | 0.00                 | 1.17                | 0.00               | 1.17              | 0.5  | 0.01                 |
|   | ACCOUNT #: 01453643379         | BUY 0 Units @0.0000                  |                      |                     |                    |                   |      |                      |
| 03/07/2018  | ***-**-087C - STURGES, CLIENTS | FIDELITY ADV ENERGY-CL A             | 0.00                 | 1.08                | 0.00               | 1.08              | 0.5  | 0.01                 |
|   | ACCOUNT #: 00704335553         | BUY 0 Units @0.0000                  |                      |                     |                    |                   |      |                      |
| 03/07/2018  | ***-**-087C - STURGES, CLIENTS | FIDELITY ADV ENERGY-CL A             | 0.00                 | 1.53                | 0.00               | 1.53              | 0.5  | 0.01                 |
|   | ACCOUNT #: 01425732003         | BUY 0 Units @0.0000                  |                      |                     |                    |                   |      |                      |
| 03/07/2018  | ***-**-087C - STURGES, CLIENTS | FIDELITY ADV FINANCIAL SERVICES CL   | 0.00                 | 1.69                | 0.00               | 1.69              | 0.5  | 0.01                 |
|   | ACCOUNT #: 01425732003         | BUY 0 Units @0.0000                  |                      |                     |                    |                   |      |                      |
| 03/07/2018  | ***-**-087C - STURGES, CLIENTS | FIDELITY ADV FREEDOM 2025-CL A       | 0.00                 | 1.56                | 0.00               | 1.56              | 0.5  | 0.01                 |
|   | ACCOUNT #: 01425732003         | BUY 0 Units @0.0000                  |                      |                     |                    |                   |      |                      |
| 03/07/2018  | ***-**-49IN - WALLACE, BONNIE  | FIDELITY ADV FREEDOM 2025-CL A       | 0.00                 | 1.21                | 0.00               | 1.21              | 0.5  | 0.01                 |
|   | ACCOUNT #: 01447764307         | BUY 0 Units @0.0000                  |                      |                     |                    |                   |      |                      |
| 03/07/2018  | ***-**-087C - STURGES, CLIENTS | FIDELITY ADV INFLATION PROTECTED BD  | 0.00                 | 1.24                | 0.00               | 1.24              | 0.5  | 0.01                 |
|   | ACCOUNT #: 01425732003         | BUY 0 Units @0.0000                  |                      |                     |                    |                   |      |                      |
| 03/07/2018  | ***-**-71IN - STEWART, JANET   | FIDELITY ADV INFLATION PROTECTED BD  | 0.00                 | 2.38                | 0.00               | 2.38              | 0.5  | 0.01                 |
|   | ACCOUNT #: 0142888513          | BUY 0 Units @0.0000                  |                      |                     |                    |                   |      |                      |
| 03/07/2018  | ***-**-49IN - WALLACE, BONNIE  | FIDELITY ADV LEVERAGED CO STOCK CL   | 0.00                 | 1.09                | 0.00               | 1.09              | 0.5  | 0.01                 |
|   | ACCOUNT #: 01447764307         | BUY 0 Units @0.0000                  |                      |                     |                    |                   |      |                      |
| 03/07/2018  | ***-**-53IN - INMON, STEPHANIE | FIDELITY ADV LEVERAGED CO STOCK CL   | 0.00                 | 7.49                | 0.00               | 7.49              | 0.5  | 0.04                 |
|   | ACCOUNT #: 01453267187         | BUY 0 Units @0.0000                  |                      |                     |                    |                   |      |                      |



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| DATE   | CLIENT                       | INVESTMENT                          | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|--|------------------------------|-------------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b> OVERRIDE TRANSACTIONS (continued) </b>         |                              |                                     |                      |                     |                    |                   |      |                      |
| <b> <u>BROKER: JOSEPH STURGES (continued)</u> </b> |                              |                                     |                      |                     |                    |                   |      |                      |
| 03/07/2018   | ***--087C - STURGES, CLIENTS | FIDELITY ADV MATERIALS-CL A         | 0.00                 | 1.43                | 0.00               | 1.43              | 0.5  | 0.01                 |
|  | ACCOUNT #: 01425732003       | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/07/2018   | ***--087C - STURGES, CLIENTS | FIDELITY ADV MID CAP II-CL A        | 0.00                 | 1.94                | 0.00               | 1.94              | 0.5  | 0.01                 |
|  | ACCOUNT #: 00704335553       | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/07/2018   | ***--71IN - STEWART, JANET   | FIDELITY ADV MID CAP II-CL A        | 0.00                 | 2.81                | 0.00               | 2.81              | 0.5  | 0.01                 |
|  | ACCOUNT #: 01428888513       | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/07/2018   | ***--49IN - WALLACE, BONNIE  | FIDELITY ADV MID CAP II-CL A        | 0.00                 | 1.80                | 0.00               | 1.80              | 0.5  | 0.01                 |
|  | ACCOUNT #: 01447764307       | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/07/2018   | ***--71IN - STEWART, JANET   | FIDELITY ADV NEW INSIGHTS-CL A      | 0.00                 | 2.44                | 0.00               | 2.44              | 0.5  | 0.01                 |
|  | ACCOUNT #: 01428888513       | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/07/2018   | ***--087C - STURGES, CLIENTS | FIDELITY ADV SMALL CAP VALUE-CL A   | 0.00                 | 1.43                | 0.00               | 1.43              | 0.5  | 0.01                 |
|  | ACCOUNT #: 01425732003       | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/07/2018   | ***--087C - STURGES, CLIENTS | FIDELITY ADV STRATEGIC DIV & INCOME | 0.00                 | 1.43                | 0.00               | 1.43              | 0.5  | 0.01                 |
|  | ACCOUNT #: 00704335553       | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/07/2018   | ***--087C - STURGES, CLIENTS | FIDELITY ADV VALUE STRATEGIES-CL A  | 0.00                 | 1.68                | 0.00               | 1.68              | 0.5  | 0.01                 |
|  | ACCOUNT #: 00704335553       | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/07/2018   | ***--49IN - WALLACE, BONNIE  | FIDELITY ADV VALUE STRATEGIES-CL A  | 0.00                 | 1.45                | 0.00               | 1.45              | 0.5  | 0.01                 |
|  | ACCOUNT #: 01447764307       | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/07/2018   | ***--087C - STURGES, CLIENTS | FIDELITY ADVISOR ASSET MANAGER 70%  | 0.00                 | 1.38                | 0.00               | 1.38              | 0.5  | 0.01                 |
|  | ACCOUNT #: 00704335553       | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/07/2018   | ***--53IN - INMON, STEPHANIE | FIDELITY ADVISOR BIOTECHNOLOGY CL C | 0.00                 | 7.67                | 0.00               | 7.67              | 0.5  | 0.04                 |
|  | ACCOUNT #: 01453267187       | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/08/2018   | ***--23IN - MENJIVAR,        | ING VA 380789883                    | 0.00                 | 3.21                | 0.00               | 3.21              | 0.5  | 0.02                 |
|  | ACCOUNT #: C182866-0X        | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 02/08/2018   | ***--64IN - GRAYBEAL, NORMAN | TRANSAMERICA VA 89354G562           | 0.00                 | 251.09              | 0.00               | 251.09            | 0.5  | 1.26                 |
|  | ACCOUNT #: 113569TAL         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 02/20/2018   | ***--57IN - TAYLOR, WILLIAM  | TRANSAMERICA VA 89354G562           | 0.00                 | 83.89               | 0.00               | 83.89             | 0.5  | 0.42                 |
|  | ACCOUNT #: 116513TAL         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 02/03/2018   | ***--553I - MENDIOLA, FBO    | TRANSAMERICA VA 89354G570           | 0.00                 | 25.98               | 0.00               | 25.98             | 0.5  | 0.13                 |
|  | ACCOUNT #: 109041TAX         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 02/03/2018   | ***--837I - MENDIOLA, MATT   | TRANSAMERICA VA 89354G570           | 0.00                 | 16.72               | 0.00               | 16.72             | 0.5  | 0.08                 |
|  | ACCOUNT #: 109042TAX         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| <b> * JOSEPH STURGES SUBTOTAL * </b>               |                              |                                     | <b> \$0.00 </b>      | <b> \$467.31 </b>   | <b> \$0.00 </b>    | <b> \$467.31 </b> |      | <b> \$2.39 </b>      |



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|---|--|---|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b><u> OVERRIDE TRANSACTIONS (continued) </u></b> |  |   |                      |                     |                    |                   |      |                      |
| <b><u>BROKER: JON HEDDLESON</u></b>               |  |   |                      |                     |                    |                   |      |                      |
| 03/12/2018  | ***-**-79IN - HARTLEY,                                   | :PIMCO HIGH YIELD A<br>BUY 0 Units @0.0000                | 44.00                | 1.77                | 0.00               | 1.77              | 0.5  | 0.01                 |
| 03/01/2018  | ***-**-11IN - GILLILAND,<br>ACCOUNT #: 00084651910       | AMERICAN BALANCED FUND-529A<br>BUY 0 Units @0.0000        | 0.00                 | 6.44                | 0.00               | 6.44              | 0.5  | 0.03                 |
| 03/01/2018  | ***-**-25IN - SCHLOSSER, SCOTT<br>ACCOUNT #: 04000615940 | AMERICAN BALANCED FUND-529A<br>BUY 0 Units @0.0000        | 0.00                 | 3.43                | 0.00               | 3.43              | 0.5  | 0.02                 |
| 02/28/2018  | ***-**-48IN - COOPER, BRIANNE<br>ACCOUNT #: 00086664615  | AMERICAN BALANCED FUND-A<br>BUY 1 Units @28.7500          | 25.00                | 1.25                | 0.00               | 1.25              | 0.5  | 0.01                 |
| 03/01/2018  | ***-**-81IN - JACKSON,<br>ACCOUNT #: 00081681468         | AMERICAN BALANCED FUND-A<br>BUY 2 Units @28.2200          | 53.75                | 2.02                | 0.00               | 2.02              | 0.5  | 0.01                 |
| 03/01/2018  | ***-**-57IN - TEITSWORTH,<br>ACCOUNT #: 00068272837      | AMERICAN BALANCED FUND-A<br>BUY 0 Units @0.0000           | 0.00                 | 4.86                | 0.00               | 4.86              | 0.5  | 0.02                 |
| 03/01/2018  | ***-**-45IN - INGERSOLL, LORNA<br>ACCOUNT #: 00075090099 | AMERICAN BALANCED FUND-A<br>BUY 0 Units @0.0000           | 0.00                 | 2.37                | 0.00               | 2.37              | 0.5  | 0.01                 |
| 03/01/2018  | ***-**-81IN - JACKSON,<br>ACCOUNT #: 00081681468         | AMERICAN BALANCED FUND-A<br>BUY 0 Units @0.0000           | 0.00                 | 6.31                | 0.00               | 6.31              | 0.5  | 0.03                 |
| 03/01/2018  | ***-**-48IN - COOPER, BRIANNE<br>ACCOUNT #: 00086664615  | AMERICAN BALANCED FUND-A<br>BUY 0 Units @0.0000           | 0.00                 | 2.45                | 0.00               | 2.45              | 0.5  | 0.01                 |
| 03/01/2018  | ***-**-82IN - NICOTERA, ANGELO<br>ACCOUNT #: 00085293200 | AMERICAN BALANCED FUND-C<br>BUY 0 Units @0.0000           | 0.00                 | 28.76               | 0.00               | 28.76             | 0.5  | 0.14                 |
| 02/28/2018  | ***-**-88IN - HAYES, JOSHUA<br>ACCOUNT #: 00086747463    | AMERICAN FUNDS 2050 TARGET DATE-A<br>BUY 9 Units @16.3500 | 150.00               | 7.50                | 0.00               | 7.50              | 0.5  | 0.04                 |
| 03/01/2018  | ***-**-88IN - HAYES, JOSHUA<br>ACCOUNT #: 00086747463    | AMERICAN FUNDS 2050 TARGET DATE-A<br>BUY 0 Units @0.0000  | 0.00                 | 9.23                | 0.00               | 9.23              | 0.5  | 0.05                 |
| 02/28/2018  | ***-**-14CL - HEDDELSON,<br>ACCOUNT #: 00085916338       | AMERICAN GLOBAL BALANCED CLASS A<br>BUY 1 Units @34.6900  | 25.00                | 1.25                | 0.00               | 1.25              | 0.5  | 0.01                 |
| 03/01/2018  | ***-**-05IN - LEIKALA, JOSH<br>ACCOUNT #: 00085956564    | AMERICAN GLOBAL BALANCED CLASS A<br>BUY 1 Units @34.5500  | 25.00                | 1.25                | 0.00               | 1.25              | 0.5  | 0.01                 |
| 03/01/2018  | ***-**-14CL - HEDDELSON,<br>ACCOUNT #: 00085916338       | AMERICAN GLOBAL BALANCED CLASS A<br>BUY 0 Units @0.0000   | 0.00                 | 2.06                | 0.00               | 2.06              | 0.5  | 0.01                 |
| 03/01/2018  | ***-**-99IN - ENDERLE, ANGELA<br>ACCOUNT #: 00085935182  | AMERICAN GLOBAL BALANCED CLASS A<br>BUY 0 Units @0.0000   | 0.00                 | 4.68                | 0.00               | 4.68              | 0.5  | 0.02                 |



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|---|--------------------------------|----------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b><u> OVERRIDE TRANSACTIONS (continued) </u></b> |                                |                                  |                      |                     |                    |                   |      |                      |
| <b><u>BROKER: JON HEDDLESON (continued)</u></b>   |                                |                                  |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-05IN - LEIKALA, JOSH    | AMERICAN GLOBAL BALANCED CLASS A | 0.00                 | 2.64                | 0.00               | 2.64              | 0.5  | 0.01                 |
|   | ACCOUNT #: 00085956564         | BUY 0 Units @0.0000              |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-13IN - BEMENT, JERRY    | AMERICAN HIGH-INCOME TRUST-C     | 0.00                 | 5.48                | 0.00               | 5.48              | 0.5  | 0.03                 |
|   | ACCOUNT #: 00088836397         | BUY 0 Units @0.0000              |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-37IN - SALSBUURY, SARAH | AMERICAN HIGH-INCOME TRUST-C     | 0.00                 | 1.00                | 0.00               | 1.00              | 0.5  | 0.01                 |
|   | ACCOUNT #: 00088864053         | BUY 0 Units @0.0000              |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-57IN - TEITSWORTH,      | AMERICAN MUTUAL FUND-A           | 0.00                 | 5.53                | 0.00               | 5.53              | 0.5  | 0.03                 |
|   | ACCOUNT #: 00068272837         | BUY 0 Units @0.0000              |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-25IN - ROCKHOLD, MARK   | AMERICAN MUTUAL FUND-A           | 0.00                 | 1.71                | 0.00               | 1.71              | 0.5  | 0.01                 |
|   | ACCOUNT #: 00068272839         | BUY 0 Units @0.0000              |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-99IN - ENDERLE, ANGELA  | AMERICAN MUTUAL FUND-C           | 0.00                 | 26.74               | 0.00               | 26.74             | 0.5  | 0.13                 |
|   | ACCOUNT #: 00083270336         | BUY 0 Units @0.0000              |                      |                     |                    |                   |      |                      |
| 03/08/2018  | ***-**-14FB - KRASE, MELINDA   | AMHERST SCHOOLS                  | 66.48                | 66.48               | 0.00               | 66.48             | 0.5  | 0.33                 |
|   | ACCOUNT #: 102892301           | BUY 0 Units @0.0000              |                      |                     |                    |                   |      |                      |
| 03/08/2018  | ***-**-46FB - TAYLOR, KELLY    | AMHERST SCHOOLS                  | 23.22                | 23.22               | 0.00               | 23.22             | 0.5  | 0.12                 |
|   | ACCOUNT #: 102892401           | BUY 0 Units @0.0000              |                      |                     |                    |                   |      |                      |
| 03/08/2018  | ***-**-50FB - ANDERSON, DAVID  | AMHERST SCHOOLS                  | 56.29                | 56.29               | 0.00               | 56.29             | 0.5  | 0.28                 |
|   | ACCOUNT #: 102897501           | BUY 0 Units @0.0000              |                      |                     |                    |                   |      |                      |
| 03/08/2018  | ***-**-74FB - ANDERSON,        | AMHERST SCHOOLS                  | 86.39                | 86.39               | 0.00               | 86.39             | 0.5  | 0.43                 |
|   | ACCOUNT #: 102897601           | BUY 0 Units @0.0000              |                      |                     |                    |                   |      |                      |
| 03/08/2018  | ***-**-29FB - PECZE, SCOTT     | AMHERST SCHOOLS                  | 20.94                | 20.94               | 0.00               | 20.94             | 0.5  | 0.10                 |
|   | ACCOUNT #: 102897701           | BUY 0 Units @0.0000              |                      |                     |                    |                   |      |                      |
| 03/08/2018  | ***-**-06FB - WOLFE, MAUREEN   | AMHERST SCHOOLS                  | 12.62                | 12.62               | 0.00               | 12.62             | 0.5  | 0.06                 |
|   | ACCOUNT #: 102897801           | BUY 0 Units @0.0000              |                      |                     |                    |                   |      |                      |
| 03/08/2018  | ***-**-60FB - SCHNEIDER,       | AMHERST SCHOOLS                  | 34.15                | 34.15               | 0.00               | 34.15             | 0.5  | 0.17                 |
|   | ACCOUNT #: 102940101           | BUY 0 Units @0.0000              |                      |                     |                    |                   |      |                      |
| 03/08/2018  | ***-**-81FB - HARCULA, LISA    | AMHERST SCHOOLS                  | 1.73                 | 1.73                | 0.00               | 1.73              | 0.5  | 0.01                 |
|   | ACCOUNT #: 103034101           | BUY 0 Units @0.0000              |                      |                     |                    |                   |      |                      |
| 03/08/2018  | ***-**-74FB - HARCULA, ROBERT  | AMHERST SCHOOLS                  | 21.12                | 21.12               | 0.00               | 21.12             | 0.5  | 0.11                 |
|   | ACCOUNT #: 103034201           | BUY 0 Units @0.0000              |                      |                     |                    |                   |      |                      |
| 03/08/2018  | ***-**-76FB - SCHENK, LISA     | AMHERST SCHOOLS                  | 23.35                | 23.35               | 0.00               | 23.35             | 0.5  | 0.12                 |
|   | ACCOUNT #: 103061801           | BUY 0 Units @0.0000              |                      |                     |                    |                   |      |                      |





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| <b><u> OVERRIDE TRANSACTIONS (continued) </u></b> |                                |                                     |                      |                     |                    |                   |      |                      |
| <b><u>BROKER: JON HEDDLESON (continued)</u></b>   |                                |                                     |                      |                     |                    |                   |      |                      |
| 03/08/2018  | ***-**-14IN - HOBER, GIA       | AMHERST SCHOOLS                     | 32.42                | 32.42               | 0.00               | 32.42             | 0.5  | 0.16                 |
|   | ACCOUNT #: 103127901           | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/08/2018  | ***-**-56FB - TOMER, ANDREA    | BARBERTON CITY SCHOOL DISTRICT      | 2.66                 | 2.66                | 0.00               | 2.66              | 0.5  | 0.01                 |
|   | ACCOUNT #: 102874901           | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/12/2018  | ***-**-795P - HARTLEY,         | BLACK ROCK ALL CAP ENERGY & RESOURC | 20.00                | 1.00                | 0.00               | 1.00              | 0.5  | 0.01                 |
|   | ACCOUNT #: 5290022275          | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/12/2018  | ***-**-88IN - HAYES, JOSHUA    | BLACK ROCK ALL CAP ENERGY & RESOURC | 100.00               | 1.00                | 0.00               | 1.00              | 0.5  | 0.01                 |
|   | ACCOUNT #: 50722446            | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/06/2018  | ***-**-27IN - DIETERICH, DONNA | BLACKROCK TRAILS                    | 0.00                 | 1.00                | 0.00               | 1.00              | 0.5  | 0.01                 |
|   | ACCOUNT #: 5086087             | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/06/2018  | ***-**-27IN - DIETERICH, DONNA | BLACKROCK TRAILS                    | 0.00                 | 1.22                | 0.00               | 1.22              | 0.5  | 0.01                 |
|   | ACCOUNT #: 5086087             | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/06/2018  | ***-**-27IN - DIETERICH, DONNA | BLACKROCK TRAILS                    | 0.00                 | 1.10                | 0.00               | 1.10              | 0.5  | 0.01                 |
|   | ACCOUNT #: 5086087             | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-82IN - NICOTERA, ANGELO | CAPITAL INCOME BUILDER CLASS C      | 0.00                 | 24.19               | 0.00               | 24.19             | 0.5  | 0.12                 |
|   | ACCOUNT #: 00085293200         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-13IN - WHITE, SUZANNE   | CAPITAL INCOME BUILDER CLASS C      | 0.00                 | 25.63               | 0.00               | 25.63             | 0.5  | 0.13                 |
|   | ACCOUNT #: 00085949091         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-43IN - SCHNEIDER,       | CAPITAL INCOME BUILDER-529A         | 0.00                 | 4.79                | 0.00               | 4.79              | 0.5  | 0.02                 |
|   | ACCOUNT #: 00083718452         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-27IN - DIETERICH, DONNA | CAPITAL INCOME BUILDER-529A         | 0.00                 | 1.23                | 0.00               | 1.23              | 0.5  | 0.01                 |
|   | ACCOUNT #: 00085649975         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 02/27/2018  | ***-**-75IN - WELLS, CAROL     | CAPITAL INCOME BUILDER-A            | 75.00                | 3.75                | 0.00               | 3.75              | 0.5  | 0.02                 |
|   | ACCOUNT #: 00953303928         | BUY 1 Units @66.1100                |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-71IN - HLAS, LEE        | CAPITAL INCOME BUILDER-A            | 50.00                | 2.13                | 0.00               | 2.13              | 0.5  | 0.01                 |
|   | ACCOUNT #: 00075194043         | BUY 1 Units @64.6900                |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-25IN - ROCKHOLD, MARK   | CAPITAL INCOME BUILDER-A            | 0.00                 | 2.44                | 0.00               | 2.44              | 0.5  | 0.01                 |
|   | ACCOUNT #: 00068272839         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-57IN - TEITSWORTH,      | CAPITAL INCOME BUILDER-A            | 0.00                 | 2.21                | 0.00               | 2.21              | 0.5  | 0.01                 |
|   | ACCOUNT #: 00068339985         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-71IN - HLAS, LEE        | CAPITAL INCOME BUILDER-A            | 0.00                 | 4.66                | 0.00               | 4.66              | 0.5  | 0.02                 |
|   | ACCOUNT #: 00075194043         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |



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|--|--|---|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b> OVERRIDE TRANSACTIONS (continued)</b>        |  |   |                      |                     |                    |                   |      |                      |
| <b> <u>BROKER: JON HEDDLESON (continued)</u></b> |  |   |                      |                     |                    |                   |      |                      |
| 03/01/2018                                       | ***-**-19IN - ALGIER, JANET<br>ACCOUNT #: 00081759112    | CAPITAL INCOME BUILDER-A<br>BUY 0 Units @0.0000             | 0.00                 | 2.44                | 0.00               | 2.44              | 0.5  | 0.01                 |
| 03/01/2018                                       | ***-**-86IN - THOMPSON,<br>ACCOUNT #: 00082746787        | CAPITAL INCOME BUILDER-A<br>BUY 0 Units @0.0000             | 0.00                 | 1.45                | 0.00               | 1.45              | 0.5  | 0.01                 |
| 03/01/2018                                       | ***-**-82IN - EIDAM, DANIEL<br>ACCOUNT #: 00085374639    | CAPITAL INCOME BUILDER-A<br>BUY 0 Units @0.0000             | 0.00                 | 3.13                | 0.00               | 3.13              | 0.5  | 0.02                 |
| 03/01/2018                                       | ***-**-77IN - CULVER, VICTORIA<br>ACCOUNT #: 00085376656 | CAPITAL INCOME BUILDER-A<br>BUY 0 Units @0.0000             | 0.00                 | 3.19                | 0.00               | 3.19              | 0.5  | 0.02                 |
| 03/01/2018                                       | ***-**-75IN - WELLS, CAROL<br>ACCOUNT #: 00953303928     | CAPITAL INCOME BUILDER-A<br>BUY 0 Units @0.0000             | 0.00                 | 5.17                | 0.00               | 5.17              | 0.5  | 0.03                 |
| 03/01/2018                                       | ***-**-13IN - WHITE, SUZANNE<br>ACCOUNT #: 00085949091   | CAPITAL WORLD BOND FUND-C<br>BUY 0 Units @0.0000            | 0.00                 | 11.89               | 0.00               | 11.89             | 0.5  | 0.06                 |
| 03/01/2018                                       | ***-**-13IN - BEMENT, JERRY<br>ACCOUNT #: 00088836397    | CAPITAL WORLD BOND FUND-C<br>BUY 0 Units @0.0000            | 0.00                 | 6.00                | 0.00               | 6.00              | 0.5  | 0.03                 |
| 03/01/2018                                       | ***-**-37IN - SALSURY, SARAH<br>ACCOUNT #: 00088864053   | CAPITAL WORLD BOND FUND-C<br>BUY 0 Units @0.0000            | 0.00                 | 1.14                | 0.00               | 1.14              | 0.5  | 0.01                 |
| 02/27/2018                                       | ***-**-45IN - INGERSOLL, LORNA<br>ACCOUNT #: 00075090099 | CAPITAL WORLD GROWTH AND INCOME FUN<br>BUY 1 Units @55.6100 | 57.69                | 2.45                | 0.00               | 2.45              | 0.5  | 0.01                 |
| 02/27/2018                                       | ***-**-45IN - INGERSOLL, LORNA<br>ACCOUNT #: 00075090099 | CAPITAL WORLD GROWTH AND INCOME FUN<br>BUY 1 Units @55.6100 | 34.62                | 1.47                | 0.00               | 1.47              | 0.5  | 0.01                 |
| 02/27/2018                                       | ***-**-75IN - WELLS, CAROL<br>ACCOUNT #: 00977979325     | CAPITAL WORLD GROWTH AND INCOME FUN<br>BUY 1 Units @56.0500 | 75.00                | 3.75                | 0.00               | 3.75              | 0.5  | 0.02                 |
| 03/01/2018                                       | ***-**-81IN - JACKSON,<br>ACCOUNT #: 00081681468         | CAPITAL WORLD GROWTH AND INCOME FUN<br>BUY 1 Units @54.1300 | 53.75                | 2.02                | 0.00               | 2.02              | 0.5  | 0.01                 |
| 03/01/2018                                       | ***-**-57IN - TEITSWORTH,<br>ACCOUNT #: 00068272837      | CAPITAL WORLD GROWTH AND INCOME FUN<br>BUY 0 Units @0.0000  | 0.00                 | 1.07                | 0.00               | 1.07              | 0.5  | 0.01                 |
| 03/01/2018                                       | ***-**-71IN - HLAS, LEE<br>ACCOUNT #: 00074169955        | CAPITAL WORLD GROWTH AND INCOME FUN<br>BUY 0 Units @0.0000  | 0.00                 | 2.82                | 0.00               | 2.82              | 0.5  | 0.01                 |
| 03/01/2018                                       | ***-**-45IN - INGERSOLL, LORNA<br>ACCOUNT #: 00075090099 | CAPITAL WORLD GROWTH AND INCOME FUN<br>BUY 0 Units @0.0000  | 0.00                 | 7.10                | 0.00               | 7.10              | 0.5  | 0.04                 |
| 03/01/2018                                       | ***-**-81IN - JACKSON,<br>ACCOUNT #: 00081681468         | CAPITAL WORLD GROWTH AND INCOME FUN<br>BUY 0 Units @0.0000  | 0.00                 | 16.24               | 0.00               | 16.24             | 0.5  | 0.08                 |



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| <b><u> OVERRIDE TRANSACTIONS (continued) </u></b> |  |  |                      |                     |                    |                   |      |                      |
| <b><u>BROKER: JON HEDDLESON (continued)</u></b>   |  |  |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-86IN - THOMPSON,<br>ACCOUNT #: 00082746787        | CAPITAL WORLD GROWTH AND INCOME FUN<br>BUY 0 Units @0.0000 | 0.00                 | 1.65                | 0.00               | 1.65              | 0.5  | 0.01                 |
| 03/01/2018  | ***-**-99IN - ENDERLE, ANGELA<br>ACCOUNT #: 00083270336  | CAPITAL WORLD GROWTH AND INCOME FUN<br>BUY 0 Units @0.0000 | 0.00                 | 2.32                | 0.00               | 2.32              | 0.5  | 0.01                 |
| 03/01/2018  | ***-**-90IN - SCHMUHL, MATTHEW<br>ACCOUNT #: 00084157078 | CAPITAL WORLD GROWTH AND INCOME FUN<br>BUY 0 Units @0.0000 | 0.00                 | 2.62                | 0.00               | 2.62              | 0.5  | 0.01                 |
| 03/01/2018  | ***-**-90IN - SCHMUHL, MATTHEW<br>ACCOUNT #: 00084165247 | CAPITAL WORLD GROWTH AND INCOME FUN<br>BUY 0 Units @0.0000 | 0.00                 | 8.29                | 0.00               | 8.29              | 0.5  | 0.04                 |
| 03/01/2018  | ***-**-82IN - EIDAM, DANIEL<br>ACCOUNT #: 00085374639    | CAPITAL WORLD GROWTH AND INCOME FUN<br>BUY 0 Units @0.0000 | 0.00                 | 3.73                | 0.00               | 3.73              | 0.5  | 0.02                 |
| 03/01/2018  | ***-**-77IN - CULVER, VICTORIA<br>ACCOUNT #: 00085376656 | CAPITAL WORLD GROWTH AND INCOME FUN<br>BUY 0 Units @0.0000 | 0.00                 | 3.72                | 0.00               | 3.72              | 0.5  | 0.02                 |
| 03/01/2018  | ***-**-75IN - WELLS, CAROL<br>ACCOUNT #: 00977979325     | CAPITAL WORLD GROWTH AND INCOME FUN<br>BUY 0 Units @0.0000 | 0.00                 | 5.92                | 0.00               | 5.92              | 0.5  | 0.03                 |
| 03/01/2018  | ***-**-80IN - GRIMM, JEFFREY<br>ACCOUNT #: 00978003628   | CAPITAL WORLD GROWTH AND INCOME FUN<br>BUY 0 Units @0.0000 | 0.00                 | 26.97               | 0.00               | 26.97             | 0.5  | 0.13                 |
| 03/01/2018  | ***-**-43IN - SCHNEIDER,<br>ACCOUNT #: 00083718452       | CAPITAL WORLD GROWTH AND INCOME-529<br>BUY 0 Units @0.0000 | 0.00                 | 5.61                | 0.00               | 5.61              | 0.5  | 0.03                 |
| 03/01/2018  | ***-**-25IN - SCHLOSSER, SCOTT<br>ACCOUNT #: 04000615940 | CAPITAL WORLD GROWTH AND INCOME-529<br>BUY 0 Units @0.0000 | 0.00                 | 5.63                | 0.00               | 5.63              | 0.5  | 0.03                 |
| 03/08/2018  | ***-**-51FB - GINLEY, ERIN<br>ACCOUNT #: 102700001       | CLOVERLEAF LOCAL SCHOOLS<br>BUY 0 Units @0.0000            | 18.77                | 18.77               | 0.00               | 18.77             | 0.5  | 0.09                 |
| 03/08/2018  | ***-**-74FB - COLLUM, LEANNE<br>ACCOUNT #: 102700101     | CLOVERLEAF LOCAL SCHOOLS<br>BUY 0 Units @0.0000            | 72.66                | 72.66               | 0.00               | 72.66             | 0.5  | 0.36                 |
| 03/08/2018  | ***-**-90FB - URSEM-FRUIT, S,<br>ACCOUNT #: 102798201    | CLOVERLEAF LOCAL SCHOOLS<br>BUY 0 Units @0.0000            | 4.18                 | 4.18                | 0.00               | 4.18              | 0.5  | 0.02                 |
| 03/08/2018  | ***-**-25FB - ROCKHOLD, MARK<br>ACCOUNT #: 102835401     | CLOVERLEAF LOCAL SCHOOLS<br>BUY 0 Units @0.0000            | 18.62                | 18.62               | 0.00               | 18.62             | 0.5  | 0.09                 |
| 03/08/2018  | ***-**-80FB - DALESSANDRO,<br>ACCOUNT #: 103041501       | CLOVERLEAF LOCAL SCHOOLS<br>BUY 0 Units @0.0000            | 36.36                | 36.36               | 0.00               | 36.36             | 0.5  | 0.18                 |
| 03/08/2018  | ***-**-12FB - HEWIS, KRISTINA<br>ACCOUNT #: 102814301    | EUCLID CITY SCHOOLS<br>BUY 0 Units @0.0000                 | 42.83                | 42.83               | 0.00               | 42.83             | 0.5  | 0.21                 |



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| <b><u>VERRIDE TRANSACTIONS (continued)</u></b>  |  |   |                      |                     |                    |                   |      |                      |
| <b><u>BROKER: JON HEDDLESON (continued)</u></b> |  |   |                      |                     |                    |                   |      |                      |
| 03/08/2018                                      | ***-**-81FB - SHAMBLEN,<br>ACCOUNT #: 102827001          | EUCLID CITY SCHOOLS<br>BUY 0 Units @0.0000          | 22.13                | 22.13               | 0.00               | 22.13             | 0.5  | 0.11                 |
| 03/01/2018                                      | ***-**-55IN - CZECH, MANDY<br>ACCOUNT #: 00084938764     | EUROPACIFIC GROWTH FUND-529A<br>BUY 0 Units @0.0000 | 0.00                 | 4.25                | 0.00               | 4.25              | 0.5  | 0.02                 |
| 02/27/2018                                      | ***-**-07IN - WARD, DANIEL<br>ACCOUNT #: 00075090142     | EUROPACIFIC GROWTH FUND-A<br>BUY 0 Units @60.8900   | 27.00                | 1.15                | 0.00               | 1.15              | 0.5  | 0.01                 |
| 02/27/2018                                      | ***-**-07IN - WARD, DANIEL<br>ACCOUNT #: 00075090142     | EUROPACIFIC GROWTH FUND-A<br>BUY 0 Units @60.8900   | 27.00                | 1.15                | 0.00               | 1.15              | 0.5  | 0.01                 |
| 03/01/2018                                      | ***-**-17IN - METZGER-GASIOR,<br>ACCOUNT #: 00084959995  | EUROPACIFIC GROWTH FUND-A<br>BUY 1 Units @60.1400   | 75.00                | 3.75                | 0.00               | 3.75              | 0.5  | 0.02                 |
| 03/01/2018                                      | ***-**-86IN - THOMPSON,<br>ACCOUNT #: 00082746787        | EUROPACIFIC GROWTH FUND-A<br>BUY 0 Units @0.0000    | 0.00                 | 1.47                | 0.00               | 1.47              | 0.5  | 0.01                 |
| 03/01/2018                                      | ***-**-90IN - SCHMUHL, MATTHEW<br>ACCOUNT #: 00084165247 | EUROPACIFIC GROWTH FUND-A<br>BUY 0 Units @0.0000    | 0.00                 | 7.34                | 0.00               | 7.34              | 0.5  | 0.04                 |
| 03/01/2018                                      | ***-**-17IN - METZGER-GASIOR,<br>ACCOUNT #: 00084959995  | EUROPACIFIC GROWTH FUND-A<br>BUY 0 Units @0.0000    | 0.00                 | 3.77                | 0.00               | 3.77              | 0.5  | 0.02                 |
| 03/02/2018                                      | ***-**-50IN - PIEHL, DAVID<br>ACCOUNT #: 000000000871792 | FRANKLIN SMALL CAP VALUE C<br>BUY 3 Units @48.1300  | 129.50               | 1.30                | 0.00               | 1.30              | 0.5  | 0.01                 |
| 03/01/2018                                      | ***-**-27IN - DIETERICH, DONNA<br>ACCOUNT #: 00085649975 | FUNDAMENTAL INVESTORS-529A<br>BUY 0 Units @0.0000   | 0.00                 | 2.07                | 0.00               | 2.07              | 0.5  | 0.01                 |
| 03/01/2018                                      | ***-**-27IN - DIETERICH, DONNA<br>ACCOUNT #: 00085650042 | FUNDAMENTAL INVESTORS-529A<br>BUY 0 Units @0.0000   | 0.00                 | 1.19                | 0.00               | 1.19              | 0.5  | 0.01                 |
| 03/01/2018                                      | ***-**-57IN - TEITSWORTH,<br>ACCOUNT #: 00068272837      | FUNDAMENTAL INVESTORS-A<br>BUY 0 Units @0.0000      | 0.00                 | 7.04                | 0.00               | 7.04              | 0.5  | 0.04                 |
| 03/01/2018                                      | ***-**-25IN - ROCKHOLD, MARK<br>ACCOUNT #: 00068272839   | FUNDAMENTAL INVESTORS-A<br>BUY 0 Units @0.0000      | 0.00                 | 2.10                | 0.00               | 2.10              | 0.5  | 0.01                 |
| 03/01/2018                                      | ***-**-45IN - INGERSOLL, LORNA<br>ACCOUNT #: 00075859835 | FUNDAMENTAL INVESTORS-A<br>BUY 0 Units @0.0000      | 0.00                 | 1.09                | 0.00               | 1.09              | 0.5  | 0.01                 |
| 03/01/2018                                      | ***-**-90IN - SCHMUHL, MATTHEW<br>ACCOUNT #: 00084165247 | FUNDAMENTAL INVESTORS-A<br>BUY 0 Units @0.0000      | 0.00                 | 11.28               | 0.00               | 11.28             | 0.5  | 0.06                 |
| 03/01/2018                                      | ***-**-27IN - DIETERICH, DONNA<br>ACCOUNT #: 00085649975 | GLOBAL BALANCED FUND-529A<br>BUY 0 Units @0.0000    | 0.00                 | 2.65                | 0.00               | 2.65              | 0.5  | 0.01                 |



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| <b><u> OVERRIDE TRANSACTIONS (continued) </u></b> |                                |                                     |                      |                     |                    |                   |      |                      |
| <b><u> BROKER: JON HEDDLESON (continued) </u></b> |                                |                                     |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-27IN - DIETERICH, DONNA | GLOBAL BALANCED FUND-529A           | 0.00                 | 2.65                | 0.00               | 2.65              | 0.5  | 0.01                 |
|   | ACCOUNT #: 00085650042         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/08/2018  | ***-**-76FB - MADENFORT,       | GREEN LOCAL SCHOOL DISTRICT         | 38.49                | 38.49               | 0.00               | 38.49             | 0.5  | 0.19                 |
|   | ACCOUNT #: 102866101           | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/08/2018  | ***-**-10FB - RADDISH, CHARLEE | GREEN LOCAL SCHOOL DISTRICT         | 29.01                | 29.01               | 0.00               | 29.01             | 0.5  | 0.15                 |
|   | ACCOUNT #: 102907801           | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/08/2018  | ***-**-60FB - BINNS, THERESA   | GREEN LOCAL SCHOOL DISTRICT         | 27.82                | 27.82               | 0.00               | 27.82             | 0.5  | 0.14                 |
|   | ACCOUNT #: 102910201           | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/08/2018  | ***-**-24FB - MADENFORT,       | GREEN LOCAL SCHOOL DISTRICT         | 4.40                 | 4.40                | 0.00               | 4.40              | 0.5  | 0.02                 |
|   | ACCOUNT #: 102989501           | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/08/2018  | ***-**-58FB - STECKER, LACEY   | GREEN LOCAL SCHOOL DISTRICT         | 1.60                 | 1.60                | 0.00               | 1.60              | 0.5  | 0.01                 |
|   | ACCOUNT #: 103050801           | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/08/2018  | ***-**-47FB - DOLATA, TANYA    | HIGHLAND LOCAL SCHOOLS              | 32.09                | 32.09               | 0.00               | 32.09             | 0.5  | 0.16                 |
|   | ACCOUNT #: 102803501           | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/08/2018  | ***-**-49FB - VALENTASIS,      | HIGHLAND LOCAL SCHOOLS              | 57.24                | 57.24               | 0.00               | 57.24             | 0.5  | 0.29                 |
|   | ACCOUNT #: 102803701           | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/08/2018  | ***-**-54FB - BOND, LINDSAY    | HIGHLAND LOCAL SCHOOLS              | 8.87                 | 8.87                | 0.00               | 8.87              | 0.5  | 0.04                 |
|   | ACCOUNT #: 102920601           | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/08/2018  | ***-**-31FB - WATERS, MONIQUE  | HIGHLAND LOCAL SCHOOLS              | 1.13                 | 1.13                | 0.00               | 1.13              | 0.5  | 0.01                 |
|   | ACCOUNT #: 103182501           | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-82IN - NICOTERA, ANGELO | INCOME FUND OF AMERICA CLASS C      | 0.00                 | 29.41               | 0.00               | 29.41             | 0.5  | 0.15                 |
|   | ACCOUNT #: 00085293200         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-13IN - WHITE, SUZANNE   | INCOME FUND OF AMERICA CLASS C      | 0.00                 | 28.65               | 0.00               | 28.65             | 0.5  | 0.14                 |
|   | ACCOUNT #: 00085949091         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-13IN - BEMENT, JERRY    | INTERMEDIATE BOND FUND OF AMERICA-A | 0.00                 | 1.29                | 0.00               | 1.29              | 0.5  | 0.01                 |
|   | ACCOUNT #: 00088836397         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 02/28/2018  | ***-**-13IN - BEMENT, JERRY    | INTERNATIONAL GROWTH AND INCOME-529 | 75.00                | 3.19                | 0.00               | 3.19              | 0.5  | 0.02                 |
|   | ACCOUNT #: 00085039368         | BUY 2 Units @37.2900                |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-28IN - SPENCER, KRISTEN | INTERNATIONAL GROWTH AND INCOME-529 | 0.00                 | 1.36                | 0.00               | 1.36              | 0.5  | 0.01                 |
|   | ACCOUNT #: 00084914013         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-17IN - METZGER-GASIOR,  | INTERNATIONAL GROWTH AND INCOME-A   | 75.00                | 3.75                | 0.00               | 3.75              | 0.5  | 0.02                 |
|   | ACCOUNT #: 00084959995         | BUY 2 Units @37.4000                |                      |                     |                    |                   |      |                      |



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|---|--------------------------------|-----------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b> OVERRIDE TRANSACTIONS (continued) </b>        |                                |                                   |                      |                     |                    |                   |      |                      |
| <b> <u>BROKER: JON HEDDLESON (continued)</u> </b> |                                |                                   |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-90IN - SCHMUHL, MATTHEW | INTERNATIONAL GROWTH AND INCOME-A | 0.00                 | 4.64                | 0.00               | 4.64              | 0.5  | 0.02                 |
|   | ACCOUNT #: 00084157078         | BUY 0 Units @0.0000               |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-90IN - SCHMUHL, MATTHEW | INTERNATIONAL GROWTH AND INCOME-A | 0.00                 | 6.63                | 0.00               | 6.63              | 0.5  | 0.03                 |
|   | ACCOUNT #: 00084165247         | BUY 0 Units @0.0000               |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-17IN - METZGER-GASIOR,  | INTERNATIONAL GROWTH AND INCOME-A | 0.00                 | 3.55                | 0.00               | 3.55              | 0.5  | 0.02                 |
|   | ACCOUNT #: 00084959995         | BUY 0 Units @0.0000               |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-99IN - ENDERLE, ANGELA  | INTERNATIONAL GROWTH AND INCOME-C | 0.00                 | 26.84               | 0.00               | 26.84             | 0.5  | 0.13                 |
|   | ACCOUNT #: 00083270336         | BUY 0 Units @0.0000               |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-13IN - BEMENT, JERRY    | INTERNATIONAL GROWTH AND INCOME-C | 0.00                 | 11.33               | 0.00               | 11.33             | 0.5  | 0.06                 |
|   | ACCOUNT #: 00088836397         | BUY 0 Units @0.0000               |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-37IN - SALSURY, SARAH   | INTERNATIONAL GROWTH AND INCOME-C | 0.00                 | 2.06                | 0.00               | 2.06              | 0.5  | 0.01                 |
|   | ACCOUNT #: 00088864053         | BUY 0 Units @0.0000               |                      |                     |                    |                   |      |                      |
| 03/08/2018  | ***-**-08FB - KISH, MAURA      | MAYFIELD CITY SCHOOL DISTRICT     | 57.07                | 57.07               | 0.00               | 57.07             | 0.5  | 0.29                 |
|   | ACCOUNT #: 102706601           | BUY 0 Units @0.0000               |                      |                     |                    |                   |      |                      |
| 03/08/2018  | ***-**-83FB - LUBIN, MATTHEW   | MAYFIELD CITY SCHOOL DISTRICT     | 74.42                | 74.42               | 0.00               | 74.42             | 0.5  | 0.37                 |
|   | ACCOUNT #: 102707601           | BUY 0 Units @0.0000               |                      |                     |                    |                   |      |                      |
| 03/08/2018  | ***-**-10FB - SHERWOOD, KATE   | MAYFIELD CITY SCHOOL DISTRICT     | 7.32                 | 7.32                | 0.00               | 7.32              | 0.5  | 0.04                 |
|   | ACCOUNT #: 102710901           | BUY 0 Units @0.0000               |                      |                     |                    |                   |      |                      |
| 03/08/2018  | ***-**-79FB - SAUNDERS,        | MAYFIELD CITY SCHOOL DISTRICT     | 17.70                | 17.70               | 0.00               | 17.70             | 0.5  | 0.09                 |
|   | ACCOUNT #: 102712201           | BUY 0 Units @0.0000               |                      |                     |                    |                   |      |                      |
| 03/08/2018  | ***-**-59FB - GOLEM, ALLISON   | MAYFIELD CITY SCHOOL DISTRICT     | 44.22                | 44.22               | 0.00               | 44.22             | 0.5  | 0.22                 |
|   | ACCOUNT #: 102802001           | BUY 0 Units @0.0000               |                      |                     |                    |                   |      |                      |
| 03/08/2018  | ***-**-70FB - ELLIS, MICHAEL   | MAYFIELD CITY SCHOOL DISTRICT     | 7.14                 | 7.14                | 0.00               | 7.14              | 0.5  | 0.04                 |
|   | ACCOUNT #: 102808201           | BUY 0 Units @0.0000               |                      |                     |                    |                   |      |                      |
| 03/08/2018  | ***-**-70FB - FINI-SANSON,     | MAYFIELD CITY SCHOOL DISTRICT     | 26.71                | 26.71               | 0.00               | 26.71             | 0.5  | 0.13                 |
|   | ACCOUNT #: 102809101           | BUY 0 Units @0.0000               |                      |                     |                    |                   |      |                      |
| 03/08/2018  | ***-**-67FB - BECERRA, BEN     | MAYFIELD CITY SCHOOL DISTRICT     | 2.80                 | 2.80                | 0.00               | 2.80              | 0.5  | 0.01                 |
|   | ACCOUNT #: 102846601           | BUY 0 Units @0.0000               |                      |                     |                    |                   |      |                      |
| 02/28/2018  | ***-**-13IN - BEMENT, JERRY    | NEW PERSPECTIVE FUND-529A         | 75.00                | 3.19                | 0.00               | 3.19              | 0.5  | 0.02                 |
|   | ACCOUNT #: 00085039368         | BUY 2 Units @46.7100              |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-27IN - DIETERICH, DONNA | NEW PERSPECTIVE FUND-529A         | 0.00                 | 5.17                | 0.00               | 5.17              | 0.5  | 0.03                 |
|   | ACCOUNT #: 00085649975         | BUY 0 Units @0.0000               |                      |                     |                    |                   |      |                      |



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|---|--------------------------------|----------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b><u> OVERRIDE TRANSACTIONS (continued) </u></b> |                                |                            |                      |                     |                    |                   |      |                      |
| <b><u>BROKER: JON HEDDLESON (continued)</u></b>   |                                |                            |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-27IN - DIETERICH, DONNA | NEW PERSPECTIVE FUND-529A  | 0.00                 | 4.41                | 0.00               | 4.41              | 0.5  | 0.02                 |
|   | ACCOUNT #: 00085650042         | BUY 0 Units @0.0000        |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-57IN - TEITSWORTH,      | NEW PERSPECTIVE FUND-A     | 0.00                 | 9.88                | 0.00               | 9.88              | 0.5  | 0.05                 |
|   | ACCOUNT #: 00068272837         | BUY 0 Units @0.0000        |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-25IN - ROCKHOLD, MARK   | NEW PERSPECTIVE FUND-A     | 0.00                 | 3.89                | 0.00               | 3.89              | 0.5  | 0.02                 |
|   | ACCOUNT #: 00068272839         | BUY 0 Units @0.0000        |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-86IN - THOMPSON,        | NEW PERSPECTIVE FUND-A     | 0.00                 | 1.83                | 0.00               | 1.83              | 0.5  | 0.01                 |
|   | ACCOUNT #: 00082746787         | BUY 0 Units @0.0000        |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-39IN - ENDERLE, CHAD    | NEW PERSPECTIVE FUND-A     | 0.00                 | 5.66                | 0.00               | 5.66              | 0.5  | 0.03                 |
|   | ACCOUNT #: 00085935118         | BUY 0 Units @0.0000        |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-13IN - BEMENT, JERRY    | NEW PERSPECTIVE FUND-C     | 0.00                 | 6.36                | 0.00               | 6.36              | 0.5  | 0.03                 |
|   | ACCOUNT #: 00088836397         | BUY 0 Units @0.0000        |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-37IN - SALSBURY, SARAH  | NEW PERSPECTIVE FUND-C     | 0.00                 | 1.16                | 0.00               | 1.16              | 0.5  | 0.01                 |
|   | ACCOUNT #: 00088864053         | BUY 0 Units @0.0000        |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-5103 - WILLINGHAM JR,   | NEW WORLD FUND-529A        | 0.00                 | 1.01                | 0.00               | 1.01              | 0.5  | 0.01                 |
|   | ACCOUNT #: 00075648924         | BUY 0 Units @0.0000        |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-5103 - WILLINGHAM JR,   | NEW WORLD FUND-529A        | 0.00                 | 1.01                | 0.00               | 1.01              | 0.5  | 0.01                 |
|   | ACCOUNT #: 00075651255         | BUY 0 Units @0.0000        |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-43IN - SCHNEIDER,       | NEW WORLD FUND-529A        | 0.00                 | 4.92                | 0.00               | 4.92              | 0.5  | 0.02                 |
|   | ACCOUNT #: 00083718452         | BUY 0 Units @0.0000        |                      |                     |                    |                   |      |                      |
| 02/28/2018  | ***-**-14CL - HEDDELSON,       | NEW WORLD FUND-A           | 25.00                | 1.25                | 0.00               | 1.25              | 0.5  | 0.01                 |
|   | ACCOUNT #: 00085916338         | BUY 0 Units @72.3900       |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-13IN - BEMENT, JERRY    | NEW WORLD FUND-C           | 0.00                 | 4.90                | 0.00               | 4.90              | 0.5  | 0.02                 |
|   | ACCOUNT #: 00088836397         | BUY 0 Units @0.0000        |                      |                     |                    |                   |      |                      |
| 03/08/2018  | ***-**-18FB - EBERHARDT, TODD  | OLMSTED FALLS CITY SCHOOLS | 81.74                | 81.74               | 0.00               | 81.74             | 0.5  | 0.41                 |
|   | ACCOUNT #: 102881801           | BUY 0 Units @0.0000        |                      |                     |                    |                   |      |                      |
| 03/08/2018  | ***-**-92FB - TROMBA, HEATHER  | PERRY LOCAL SD             | 9.26                 | 9.26                | 0.00               | 9.26              | 0.5  | 0.05                 |
|   | ACCOUNT #: 102700801           | BUY 0 Units @0.0000        |                      |                     |                    |                   |      |                      |
| 03/08/2018  | ***-**-65FB - TRAINA, KATHLEEN | PERRY LOCAL SD             | 43.03                | 43.03               | 0.00               | 43.03             | 0.5  | 0.22                 |
|   | ACCOUNT #: 102700901           | BUY 0 Units @0.0000        |                      |                     |                    |                   |      |                      |
| 03/08/2018  | ***-**-88FB - WARD, PAIGE      | PERRY LOCAL SD             | 66.64                | 66.64               | 0.00               | 66.64             | 0.5  | 0.33                 |
|   | ACCOUNT #: 102701001           | BUY 0 Units @0.0000        |                      |                     |                    |                   |      |                      |



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|---|--------------------------------|-------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b><u>VERRIDE TRANSACTIONS (continued)</u></b>  |                                |                               |                      |                     |                    |                   |      |                      |
| <b><u>BROKER: JON HEDDLESON (continued)</u></b> |                                |                               |                      |                     |                    |                   |      |                      |
| 03/08/2018                                      | ***-**-52FB - ROBERTS, TAMARA  | PERRY LOCAL SD                | 44.69                | 44.69               | 0.00               | 44.69             | 0.5  | 0.22                 |
|   | ACCOUNT #: 102722801           | BUY 0 Units @0.0000           |                      |                     |                    |                   |      |                      |
| 03/12/2018                                      | ***-**-153I - MCCLINTOCK,      | SBL TRAILS                    | 150.00               | 7.50                | 0.00               | 7.50              | 0.5  | 0.04                 |
|   | ACCOUNT #: 271646153           | BUY 1 Units @150.0000         |                      |                     |                    |                   |      |                      |
| 03/12/2018                                      | ***-**-153I - MCCLINTOCK,      | SBL TRAILS                    | 0.00                 | 5.18                | 0.00               | 5.18              | 0.5  | 0.03                 |
|   | ACCOUNT #: 271646153           | BUY 1 Units @0.0000           |                      |                     |                    |                   |      |                      |
| 03/12/2018                                      | ***-**-31IN - EIDAM, ROBYN     | SBL TRAILS                    | 0.00                 | 88.70               | 0.00               | 88.70             | 0.5  | 0.44                 |
|   | ACCOUNT #: 277723831           | BUY 1 Units @0.0000           |                      |                     |                    |                   |      |                      |
| 03/12/2018                                      | ***-**-55IN - CZECH, MANDY     | SBL TRAILS                    | 0.00                 | 31.20               | 0.00               | 31.20             | 0.5  | 0.16                 |
|   | ACCOUNT #: 269902555           | BUY 1 Units @0.0000           |                      |                     |                    |                   |      |                      |
| 03/08/2018                                      | ***-**-88FB - WEISBARTH,       | SHAKER HEIGHTS CITY SD (BOE)  | 40.77                | 40.77               | 0.00               | 40.77             | 0.5  | 0.20                 |
|   | ACCOUNT #: 102898001           | BUY 0 Units @0.0000           |                      |                     |                    |                   |      |                      |
| 02/28/2018                                      | ***-**-48IN - COOPER, BRIANNE  | SMALLCAP WORLD FUND-A         | 25.00                | 1.25                | 0.00               | 1.25              | 0.5  | 0.01                 |
|   | ACCOUNT #: 00086664615         | BUY 0 Units @59.9000          |                      |                     |                    |                   |      |                      |
| 03/01/2018                                      | ***-**-49IN - SCOTT, DYANA     | SMALLCAP WORLD FUND-A         | 0.00                 | 2.05                | 0.00               | 2.05              | 0.5  | 0.01                 |
|   | ACCOUNT #: 00063753209         | BUY 0 Units @0.0000           |                      |                     |                    |                   |      |                      |
| 03/01/2018                                      | ***-**-48IN - COOPER, BRIANNE  | SMALLCAP WORLD FUND-A         | 0.00                 | 1.56                | 0.00               | 1.56              | 0.5  | 0.01                 |
|   | ACCOUNT #: 00086664615         | BUY 0 Units @0.0000           |                      |                     |                    |                   |      |                      |
| 03/01/2018                                      | ***-**-99IN - ENDERLE, ANGELA  | SMALLCAP WORLD FUND-C         | 0.00                 | 29.34               | 0.00               | 29.34             | 0.5  | 0.15                 |
|   | ACCOUNT #: 00083270336         | BUY 0 Units @0.0000           |                      |                     |                    |                   |      |                      |
| 03/01/2018                                      | ***-**-13IN - BEMENT, JERRY    | SMALLCAP WORLD FUND-C         | 0.00                 | 22.79               | 0.00               | 22.79             | 0.5  | 0.11                 |
|   | ACCOUNT #: 00088836397         | BUY 0 Units @0.0000           |                      |                     |                    |                   |      |                      |
| 03/01/2018                                      | ***-**-37IN - SALSBURY, SARAH  | SMALLCAP WORLD FUND-C         | 0.00                 | 4.02                | 0.00               | 4.02              | 0.5  | 0.02                 |
|   | ACCOUNT #: 00088864053         | BUY 0 Units @0.0000           |                      |                     |                    |                   |      |                      |
| 03/01/2018                                      | ***-**-11IN - GILLILAND,       | THE BOND FUND OF AMERICA-529A | 0.00                 | 3.59                | 0.00               | 3.59              | 0.5  | 0.02                 |
|   | ACCOUNT #: 00084651910         | BUY 0 Units @0.0000           |                      |                     |                    |                   |      |                      |
| 02/27/2018                                      | ***-**-45IN - INGERSOLL, LORNA | THE GROWTH FUND OF AMERICA-A  | 34.61                | 1.47                | 0.00               | 1.47              | 0.5  | 0.01                 |
|   | ACCOUNT #: 00075090099         | BUY 1 Units @55.4000          |                      |                     |                    |                   |      |                      |
| 02/27/2018                                      | ***-**-45IN - INGERSOLL, LORNA | THE GROWTH FUND OF AMERICA-A  | 57.69                | 2.45                | 0.00               | 2.45              | 0.5  | 0.01                 |
|   | ACCOUNT #: 00075090099         | BUY 1 Units @55.4000          |                      |                     |                    |                   |      |                      |
| 03/01/2018                                      | ***-**-71IN - HLAS, LEE        | THE GROWTH FUND OF AMERICA-A  | 50.00                | 2.13                | 0.00               | 2.13              | 0.5  | 0.01                 |
|   | ACCOUNT #: 00074169955         | BUY 1 Units @54.2500          |                      |                     |                    |                   |      |                      |





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|--|--|--|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b> OVERRIDE TRANSACTIONS (continued)</b>        |  |  |                      |                     |                    |                   |      |                      |
| <b> <u>BROKER: JON HEDDLESON (continued)</u></b> |  |  |                      |                     |                    |                   |      |                      |
| 03/01/2018                                       | ***-**-57IN - TEITSWORTH,<br>ACCOUNT #: 00068272837      | THE GROWTH FUND OF AMERICA-A<br>BUY 0 Units @0.0000        | 0.00                 | 8.21                | 0.00               | 8.21              | 0.5  | 0.04                 |
| 03/01/2018                                       | ***-**-25IN - ROCKHOLD, MARK<br>ACCOUNT #: 00068272839   | THE GROWTH FUND OF AMERICA-A<br>BUY 0 Units @0.0000        | 0.00                 | 2.24                | 0.00               | 2.24              | 0.5  | 0.01                 |
| 03/01/2018                                       | ***-**-57IN - TEITSWORTH,<br>ACCOUNT #: 00068339985      | THE GROWTH FUND OF AMERICA-A<br>BUY 0 Units @0.0000        | 0.00                 | 4.37                | 0.00               | 4.37              | 0.5  | 0.02                 |
| 03/01/2018                                       | ***-**-71IN - HLAS, LEE<br>ACCOUNT #: 00074169955        | THE GROWTH FUND OF AMERICA-A<br>BUY 0 Units @0.0000        | 0.00                 | 5.87                | 0.00               | 5.87              | 0.5  | 0.03                 |
| 03/01/2018                                       | ***-**-45IN - INGERSOLL, LORNA<br>ACCOUNT #: 00075090099 | THE GROWTH FUND OF AMERICA-A<br>BUY 0 Units @0.0000        | 0.00                 | 9.20                | 0.00               | 9.20              | 0.5  | 0.05                 |
| 03/01/2018                                       | ***-**-90IN - SCHMUHL, MATTHEW<br>ACCOUNT #: 00084165247 | THE GROWTH FUND OF AMERICA-A<br>BUY 0 Units @0.0000        | 0.00                 | 11.36               | 0.00               | 11.36             | 0.5  | 0.06                 |
| 03/01/2018                                       | ***-**-57IN - TEITSWORTH,<br>ACCOUNT #: 00068272837      | THE INCOME FUND OF AMERICA-A<br>BUY 0 Units @0.0000        | 0.00                 | 8.70                | 0.00               | 8.70              | 0.5  | 0.04                 |
| 03/01/2018                                       | ***-**-57IN - TEITSWORTH,<br>ACCOUNT #: 00068339985      | THE INCOME FUND OF AMERICA-A<br>BUY 0 Units @0.0000        | 0.00                 | 1.40                | 0.00               | 1.40              | 0.5  | 0.01                 |
| 03/01/2018                                       | ***-**-57IN - TEITSWORTH,<br>ACCOUNT #: 00068272837      | THE INVESTMENT COMPANY OF AMERICA-A<br>BUY 0 Units @0.0000 | 0.00                 | 1.28                | 0.00               | 1.28              | 0.5  | 0.01                 |
| 03/01/2018                                       | ***-**-71IN - HLAS, LEE<br>ACCOUNT #: 00074169955        | THE INVESTMENT COMPANY OF AMERICA-A<br>BUY 0 Units @0.0000 | 0.00                 | 1.87                | 0.00               | 1.87              | 0.5  | 0.01                 |
| 03/01/2018                                       | ***-**-27IN - DIETERICH, DONNA<br>ACCOUNT #: 00085649975 | THE NEW ECONOMY FUND-529A<br>BUY 0 Units @0.0000           | 0.00                 | 2.29                | 0.00               | 2.29              | 0.5  | 0.01                 |
| 03/01/2018                                       | ***-**-27IN - DIETERICH, DONNA<br>ACCOUNT #: 00085650042 | THE NEW ECONOMY FUND-529A<br>BUY 0 Units @0.0000           | 0.00                 | 1.35                | 0.00               | 1.35              | 0.5  | 0.01                 |
| 03/01/2018                                       | ***-**-25IN - ROCKHOLD, MARK<br>ACCOUNT #: 00068272839   | THE NEW ECONOMY FUND-A<br>BUY 0 Units @0.0000              | 0.00                 | 1.22                | 0.00               | 1.22              | 0.5  | 0.01                 |
| 02/21/2018                                       | ***-**-66IN - FIATAL, LINDA<br>ACCOUNT #: 103783EV8      | TRANSAMERICA EXTRA<br>BUY 0 Units @0.0000                  | 0.00                 | 135.04              | 0.00               | 135.04            | 0.5  | 0.68                 |
| 02/28/2018                                       | ***-**-14CL - HEDDELSON,<br>ACCOUNT #: 00085916338       | WASHINGTON MUTUAL INVESTORS FUND-A<br>BUY 1 Units @48.8500 | 25.00                | 1.25                | 0.00               | 1.25              | 0.5  | 0.01                 |
| 03/01/2018                                       | ***-**-71IN - HLAS, LEE<br>ACCOUNT #: 00075194043        | WASHINGTON MUTUAL INVESTORS FUND-A<br>BUY 1 Units @47.8700 | 50.00                | 2.13                | 0.00               | 2.13              | 0.5  | 0.01                 |



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|--|---|---|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b>Override Transactions (continued)</b> |   |   |                      |                     |                    |                   |      |                      |
| <b>BROKER: JON HEDDLESON (continued)</b> |   |   |                      |                     |                    |                   |      |                      |
| 03/01/2018                               | ***-**-49IN - SCOTT, DYANA<br>ACCOUNT #: 00063753209    | WASHINGTON MUTUAL INVESTORS FUND-A<br>BUY 0 Units @0.0000 | 0.00                 | 3.04                | 0.00               | 3.04              | 0.5  | 0.02                 |
| 03/01/2018                               | ***-**-57IN - TEITSWORTH,<br>ACCOUNT #: 00068272837     | WASHINGTON MUTUAL INVESTORS FUND-A<br>BUY 0 Units @0.0000 | 0.00                 | 5.57                | 0.00               | 5.57              | 0.5  | 0.03                 |
| 03/01/2018                               | ***-**-25IN - ROCKHOLD, MARK<br>ACCOUNT #: 00068272839  | WASHINGTON MUTUAL INVESTORS FUND-A<br>BUY 0 Units @0.0000 | 0.00                 | 1.61                | 0.00               | 1.61              | 0.5  | 0.01                 |
| 03/01/2018                               | ***-**-71IN - HLAS, LEE<br>ACCOUNT #: 00075194043       | WASHINGTON MUTUAL INVESTORS FUND-A<br>BUY 0 Units @0.0000 | 0.00                 | 6.26                | 0.00               | 6.26              | 0.5  | 0.03                 |
| 03/01/2018                               | ***-**-99IN - ENDERLE, ANGELA<br>ACCOUNT #: 00083270336 | WASHINGTON MUTUAL INVESTORS FUND-C<br>BUY 0 Units @0.0000 | 0.00                 | 27.88               | 0.00               | 27.88             | 0.5  | 0.14                 |
| 03/01/2018                               | ***-**-13IN - BEMENT, JERRY<br>ACCOUNT #: 00088836397   | WASHINGTON MUTUAL INVESTORS FUND-C<br>BUY 0 Units @0.0000 | 0.00                 | 12.84               | 0.00               | 12.84             | 0.5  | 0.06                 |
| 03/01/2018                               | ***-**-37IN - SALSBURY, SARAH<br>ACCOUNT #: 00088864053 | WASHINGTON MUTUAL INVESTORS FUND-C<br>BUY 0 Units @0.0000 | 0.00                 | 2.32                | 0.00               | 2.32              | 0.5  | 0.01                 |
| 03/08/2018                               | ***-**-00FB - DAWSON, DAWN<br>ACCOUNT #: 102984201      | WESTLAKE CITY SD (BOE)<br>BUY 0 Units @0.0000             | 106.24               | 106.24              | 0.00               | 106.24            | 0.5  | 0.53                 |
| 03/08/2018                               | ***-**-07FB - PADO, KRISTEN<br>ACCOUNT #: 102984301     | WESTLAKE CITY SD (BOE)<br>BUY 0 Units @0.0000             | 57.45                | 57.45               | 0.00               | 57.45             | 0.5  | 0.29                 |
| 03/08/2018                               | ***-**-52FB - CLARK, MINDY<br>ACCOUNT #: 102984501      | WESTLAKE CITY SD (BOE)<br>BUY 0 Units @0.0000             | 40.27                | 40.27               | 0.00               | 40.27             | 0.5  | 0.20                 |
| 03/08/2018                               | ***-**-27FB - DIETERICH, DONNA<br>ACCOUNT #: 102984901  | WESTLAKE CITY SD (BOE)<br>BUY 0 Units @0.0000             | 78.70                | 78.70               | 0.00               | 78.70             | 0.5  | 0.39                 |
| 03/08/2018                               | ***-**-93FB - ZUK, LISA<br>ACCOUNT #: 102985001         | WESTLAKE CITY SD (BOE)<br>BUY 0 Units @0.0000             | 80.52                | 80.52               | 0.00               | 80.52             | 0.5  | 0.40                 |
| 03/08/2018                               | ***-**-0759 - ROYCE, BRIDGET<br>ACCOUNT #: 103152801    | WESTLAKE CITY SD (BOE)<br>BUY 0 Units @0.0000             | 3.99                 | 3.99                | 0.00               | 3.99              | 0.5  | 0.02                 |
| 03/08/2018                               | ***-**-58FB - MUSSELMAN,<br>ACCOUNT #: 103303601        | WESTLAKE CITY SD (BOE)<br>BUY 0 Units @0.0000             | 1.00                 | 1.00                | 0.00               | 1.00              | 0.5  | 0.01                 |
| <b>* JON HEDDLESON SUBTOTAL *</b>        |   |   | <b>\$3,378.86</b>    | <b>\$2,724.24</b>   | <b>\$0.00</b>      | <b>\$2,724.24</b> |      | <b>\$13.74</b>       |



# COMMISSION STATEMENT

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| DATE  | CLIENT   | INVESTMENT   | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|---|--|--|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b><u> OVERRIDE TRANSACTIONS (continued) </u></b> |  |  |                      |                     |                    |                   |      |                      |
| <b><u>BROKER: TIMOTHY STATES</u></b>              |  |  |                      |                     |                    |                   |      |                      |
| 03/12/2018  | ***-**-44TR - LYNCH TTEE,<br>ACCOUNT #: LSR010606      | AIM DIVERSIFIED DIVIDEND FUND - CL<br>BUY 1 Units @0.0000      | 0.00                 | 5.44                | 0.00               | 5.44              | 0.5  | 0.03                 |
| 03/02/2018  | ***-**-233J - SCALES, DARYL<br>ACCOUNT #: LSR011378    | HOME DEPOT INC COM<br>BUY 100 Units @177.8900                  | 17,789.00            | 118.00              | 0.00               | 118.00            | 0.5  | 0.59                 |
| 03/12/2018  | ***-**-44TR - LYNCH TTEE,<br>ACCOUNT #: LSR010606      | IVK GROWTH AND INCOME FUND - CLASS<br>BUY 1 Units @0.0000      | 0.00                 | 6.31                | 0.00               | 6.31              | 0.5  | 0.03                 |
| 03/12/2018  | ***-**-820I - HIGHSMITH,<br>ACCOUNT #: LSR010653       | IVK GROWTH AND INCOME FUND - CLASS<br>BUY 1 Units @0.0000      | 0.00                 | 1.69                | 0.00               | 1.69              | 0.5  | 0.01                 |
| 03/02/2018  | ***-**-233J - SCALES, DARYL<br>ACCOUNT #: LSR011378    | JOHNSON & JOHNSON UNSOLICITED ORDER<br>BUY 100 Units @128.3790 | 12,837.90            | 83.00               | 0.00               | 83.00             | 0.5  | 0.42                 |
| 03/02/2018  | ***-**-233J - SCALES, DARYL<br>ACCOUNT #: LSR011378    | MCDONALDS CORP UNSOLICITED ORDER<br>BUY 100 Units @147.8350    | 14,783.50            | 118.00              | 0.00               | 118.00            | 0.5  | 0.59                 |
| 03/05/2018  | ***-**-935I - KERR, FBO GAIL S<br>ACCOUNT #: LSR010579 | NEKTAR THERAPEUTICS<br>BUY 100 Units @101.8800                 | 10,188.00            | 118.00              | 0.00               | 118.00            | 0.5  | 0.59                 |
| 03/05/2018  | ***-**-935I - KERR, FBO GAIL S<br>ACCOUNT #: LSR010579 | NETFLIX COM INC COM UNSOLICITED ORD<br>BUY 10 Units @307.7000  | 3,077.00             | 82.00               | 0.00               | 82.00             | 0.5  | 0.41                 |
| 03/05/2018  | ***-**-935I - KERR, FBO GAIL S<br>ACCOUNT #: LSR010579 | U S CONCRETE INC COM NEW<br>SELL 200 Units @68.7400            | 13,748.00            | 131.00              | 0.00               | 131.00            | 0.5  | 0.66                 |
| 03/05/2018  | ***-**-826I - CLARK, FBO MS<br>ACCOUNT #: LSR010588    | U S CONCRETE INC COM NEW<br>SELL 200 Units @68.8000            | 13,760.00            | 16.00               | 0.00               | 16.00             | 0.5  | 0.08                 |
| 03/05/2018  | ***-**-735I - ANTOINE, FBO MS<br>ACCOUNT #: LSR010596  | U S CONCRETE INC COM NEW<br>SELL 150 Units @68.5750            | 10,286.25            | 17.00               | 0.00               | 17.00             | 0.5  | 0.09                 |
| 03/05/2018  | ***-**-574I - DAVIS, MISCHA<br>ACCOUNT #: LSR010630    | U S CONCRETE INC COM NEW<br>SELL 100 Units @68.7500            | 6,875.00             | 15.50               | 0.00               | 15.50             | 0.5  | 0.08                 |
| 03/06/2018  | ***-**-826I - CLARK, FBO MS<br>ACCOUNT #: LSR010588    | USG CORP COM NEW<br>BUY 250 Units @34.9900                     | 8,747.50             | 130.00              | 0.00               | 130.00            | 0.5  | 0.65                 |
| 03/06/2018  | ***-**-735I - ANTOINE, FBO MS<br>ACCOUNT #: LSR010596  | USG CORP COM NEW<br>BUY 250 Units @34.9700                     | 8,742.50             | 130.00              | 0.00               | 130.00            | 0.5  | 0.65                 |
| 03/06/2018  | ***-**-574I - DAVIS, MISCHA<br>ACCOUNT #: LSR010630    | USG CORP COM NEW<br>BUY 300 Units @35.0000                     | 10,500.00            | 154.00              | 0.00               | 154.00            | 0.5  | 0.77                 |
| <b>* TIMOTHY STATES SUBTOTAL *</b>                |  |  | <b>\$131,334.65</b>  | <b>\$1,125.94</b>   | <b>\$0.00</b>      | <b>\$1,125.94</b> |      | <b>\$5.65</b>        |



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|---|--|--|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b><u> OVERRIDE TRANSACTIONS (continued) </u></b> |  |  |                      |                     |                    |                   |      |                      |
| <b><u>BROKER: JUAN LEWIS</u></b>                  |  |  |                      |                     |                    |                   |      |                      |
| 03/12/2018  | ***-**-535P - HENRY, ARLENE                              | NEW YORK 529 TRAILS<br>BUY 0 Units @0.0000                 | 0.00                 | 6.38                | 0.00               | 6.38              | 0.5  | 0.03                 |
| 03/12/2018  | ***-**-535P - HENRY, ARLENE                              | NYA JPM 529 CONSV AGE-BA A<br>BUY 0 Units @0.0000          | 25.00                | 1.01                | 0.00               | 1.01              | 0.5  | 0.01                 |
| * JUAN LEWIS SUBTOTAL *                           |  |  | \$25.00              | \$7.39              | \$0.00             | \$7.39            |      | \$0.04               |
| <b><u>BROKER: WILMA SHERIDAN</u></b>              |  |  |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-434I - BALSDON, DAPHNE<br>ACCOUNT #: 00083550092  | AMERICAN HIGH-INCOME TRUST-A<br>BUY 0 Units @0.0000        | 0.00                 | 1.62                | 0.00               | 1.62              | 0.5  | 0.01                 |
| * WILMA SHERIDAN SUBTOTAL *                       |  |  | \$0.00               | \$1.62              | \$0.00             | \$1.62            |      | \$0.01               |
| <b><u>BROKER: DAVID GRIFFITH</u></b>              |  |  |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-9156 - SIMPSON, PATRICK<br>ACCOUNT #: 00074686908 | AMCAP FUND-A<br>BUY 0 Units @0.0000                        | 0.00                 | 15.43               | 0.00               | 15.43             | 0.5  | 0.08                 |
| 03/01/2018  | ***-**-64IN - KIO, EVELYN<br>ACCOUNT #: 00067349392      | AMERICAN BALANCED FUND-A<br>BUY 0 Units @0.0000            | 0.00                 | 1.68                | 0.00               | 1.68              | 0.5  | 0.01                 |
| 03/01/2018  | ***-**-968I - THIBAUT JR,<br>ACCOUNT #: 00064875131      | AMERICAN BALANCED FUND-A<br>BUY 0 Units @0.0000            | 0.00                 | 1.96                | 0.00               | 1.96              | 0.5  | 0.01                 |
| 03/01/2018  | ***-**-225P - DAMSKY, CYNTHIA<br>ACCOUNT #: 00068200312  | AMERICAN BALANCED FUND-A<br>BUY 0 Units @0.0000            | 0.00                 | 4.28                | 0.00               | 4.28              | 0.5  | 0.02                 |
| 03/01/2018  | ***-**-25IR - SCOTELLARO,<br>ACCOUNT #: 00081400337      | AMERICAN BALANCED FUND-A<br>BUY 0 Units @0.0000            | 0.00                 | 1.67                | 0.00               | 1.67              | 0.5  | 0.01                 |
| 03/05/2018  | ***-**-803J - TEESDALE,<br>ACCOUNT #: LSR011017          | AMERICAN BALANCED FUND-A<br>SELL 70 Units @27.1300         | 1,891.99             | 1.99                | 0.00               | 1.99              | 0.5  | 0.01                 |
| 03/01/2018  | ***-**-244I - BURTON, RICHARD<br>ACCOUNT #: 00065159109  | AMERICAN BALANCED FUND-C<br>BUY 0 Units @0.0000            | 0.00                 | 6.09                | 0.00               | 6.09              | 0.5  | 0.03                 |
| 03/01/2018  | ***-**-675P - PICKARD, BRIAN<br>ACCOUNT #: 00088359310   | AMERICAN FNDS MORTGAGE FUND-529C<br>BUY 0 Units @0.0000    | 0.00                 | 3.99                | 0.00               | 3.99              | 0.5  | 0.02                 |
| 03/01/2018  | ***-**-675P - PICKARD, BRIAN<br>ACCOUNT #: 00088359322   | AMERICAN FNDS MORTGAGE FUND-529C<br>BUY 0 Units @0.0000    | 0.00                 | 5.11                | 0.00               | 5.11              | 0.5  | 0.03                 |
| 03/01/2018  | ***-**-675P - PICKARD, BRIAN<br>ACCOUNT #: 00088359310   | AMERICAN FUNDDS PRESERVATION PORTFO<br>BUY 0 Units @0.0000 | 0.00                 | 7.82                | 0.00               | 7.82              | 0.5  | 0.04                 |



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|--|---|--|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b><u> OVERRIDE TRANSACTIONS (continued) </u></b>  |   |  |                      |                     |                    |                   |      |                      |
| <b><u> BROKER: DAVID GRIFFITH (continued) </u></b> |   |  |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-675P - PICKARD, BRIAN<br>ACCOUNT #: 00088359310  | AMERICAN FUNDS INFLATION LINKED BON<br>BUY 0 Units @0.0000 | 0.00                 | 18.49               | 0.00               | 18.49             | 0.5  | 0.09                 |
| 03/01/2018   | ***-**-244I - BURTON, RICHARD<br>ACCOUNT #: 00065159109 | AMERICAN FUNDS INFLT LINKED BOND CL<br>BUY 0 Units @0.0000 | 0.00                 | 7.40                | 0.00               | 7.40              | 0.5  | 0.04                 |
| 03/01/2018   | ***-**-244I - BURTON, RICHARD<br>ACCOUNT #: 00065159109 | AMERICAN FUNDS MORTGAGE FD CL C<br>BUY 0 Units @0.0000     | 0.00                 | 19.38               | 0.00               | 19.38             | 0.5  | 0.10                 |
| 03/01/2018   | ***-**-7473 - SCOTELLARO,<br>ACCOUNT #: 00073919652     | AMERICAN FUNDS MORTGAGE FD CL C<br>BUY 0 Units @0.0000     | 0.00                 | 2.51                | 0.00               | 2.51              | 0.5  | 0.01                 |
| 03/01/2018   | ***-**-60IN - SCHRADER, KEVIN<br>ACCOUNT #: 00088507883 | AMERICAN FUNDS MORTGAGE FD CL C<br>BUY 0 Units @0.0000     | 0.00                 | 4.13                | 0.00               | 4.13              | 0.5  | 0.02                 |
| 03/01/2018   | ***-**-953I - DINITTO, NICOLE<br>ACCOUNT #: 00088593891 | AMERICAN FUNDS MORTGAGE FD CL C<br>BUY 0 Units @0.0000     | 0.00                 | 1.50                | 0.00               | 1.50              | 0.5  | 0.01                 |
| 03/01/2018   | ***-**-04IN - CLEARY, STEPHEN<br>ACCOUNT #: 00088608566 | AMERICAN FUNDS MORTGAGE FD CL C<br>BUY 0 Units @0.0000     | 0.00                 | 2.80                | 0.00               | 2.80              | 0.5  | 0.01                 |
| 03/01/2018   | ***-**-39IN - CLEARY, KAREN<br>ACCOUNT #: 00088635688   | AMERICAN FUNDS MORTGAGE FD CL C<br>BUY 0 Units @0.0000     | 0.00                 | 2.05                | 0.00               | 2.05              | 0.5  | 0.01                 |
| 03/01/2018   | ***-**-675P - PICKARD, BRIAN<br>ACCOUNT #: 00088359310  | AMERICAN FUNDS SHORT-TERM BOND FUND<br>BUY 0 Units @0.0000 | 0.00                 | 3.68                | 0.00               | 3.68              | 0.5  | 0.02                 |
| 03/01/2018   | ***-**-90IN - SPINA, MARK<br>ACCOUNT #: 00088527332     | AMERICAN GLOBAL BALANCED CL C<br>BUY 0 Units @0.0000       | 0.00                 | 17.02               | 0.00               | 17.02             | 0.5  | 0.09                 |
| 03/01/2018   | ***-**-244I - BURTON, RICHARD<br>ACCOUNT #: 00065159109 | AMERICAN GLOBAL BALANCED CL C<br>BUY 0 Units @0.0000       | 0.00                 | 29.79               | 0.00               | 29.79             | 0.5  | 0.15                 |
| 03/01/2018   | ***-**-817I - WADSWORTH,<br>ACCOUNT #: 00067441742      | AMERICAN GLOBAL BALANCED CL C<br>BUY 0 Units @0.0000       | 0.00                 | 12.13               | 0.00               | 12.13             | 0.5  | 0.06                 |
| 03/01/2018   | ***-**-801I - HAGAN III,<br>ACCOUNT #: 00088485981      | AMERICAN GLOBAL BALANCED CL C<br>BUY 0 Units @0.0000       | 0.00                 | 11.57               | 0.00               | 11.57             | 0.5  | 0.06                 |
| 03/01/2018   | ***-**-60IN - SCHRADER, KEVIN<br>ACCOUNT #: 00088507883 | AMERICAN GLOBAL BALANCED CL C<br>BUY 0 Units @0.0000       | 0.00                 | 12.72               | 0.00               | 12.72             | 0.5  | 0.06                 |
| 03/01/2018   | ***-**-953I - DINITTO, NICOLE<br>ACCOUNT #: 00088593891 | AMERICAN GLOBAL BALANCED CL C<br>BUY 0 Units @0.0000       | 0.00                 | 9.20                | 0.00               | 9.20              | 0.5  | 0.05                 |
| 03/01/2018   | ***-**-04IN - CLEARY, STEPHEN<br>ACCOUNT #: 00088608566 | AMERICAN GLOBAL BALANCED CL C<br>BUY 0 Units @0.0000       | 0.00                 | 7.88                | 0.00               | 7.88              | 0.5  | 0.04                 |



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|--|--|---|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b> OVERRIDE TRANSACTIONS (continued) </b>         |  |   |                      |                     |                    |                   |      |                      |
| <b> <u>BROKER: DAVID GRIFFITH (continued)</u> </b> |  |   |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-39IN - CLEARY, KAREN<br>ACCOUNT #: 00088635688    | AMERICAN GLOBAL BALANCED CL C<br>BUY 0 Units @0.0000    | 0.00                 | 3.68                | 0.00               | 3.68              | 0.5  | 0.02                 |
| 03/01/2018   | ***-**-58IN - SCHRECK, RYAN<br>ACCOUNT #: 00088659742    | AMERICAN GLOBAL BALANCED CL C<br>BUY 0 Units @0.0000    | 0.00                 | 7.70                | 0.00               | 7.70              | 0.5  | 0.04                 |
| 03/01/2018   | ***-**-9156 - SIMPSON, PATRICK<br>ACCOUNT #: 00074686908 | AMERICAN GLOBAL BALANCED CLASS A<br>BUY 0 Units @0.0000 | 0.00                 | 9.30                | 0.00               | 9.30              | 0.5  | 0.05                 |
| 03/01/2018   | ***-**-0040 - GRIFFITH,<br>ACCOUNT #: 00083176630        | AMERICAN GLOBAL BALANCED CLASS A<br>BUY 0 Units @0.0000 | 0.00                 | 1.43                | 0.00               | 1.43              | 0.5  | 0.01                 |
| 03/01/2018   | ***-**-924J - FISH, ROY<br>ACCOUNT #: 00083431914        | AMERICAN GLOBAL BALANCED CLASS A<br>BUY 0 Units @0.0000 | 0.00                 | 6.88                | 0.00               | 6.88              | 0.5  | 0.03                 |
| 03/01/2018   | ***-**-716I - BUCZEK, DENISE<br>ACCOUNT #: 00088176764   | AMERICAN GLOBAL BALANCED CLASS A<br>BUY 0 Units @0.0000 | 0.00                 | 6.31                | 0.00               | 6.31              | 0.5  | 0.03                 |
| 03/01/2018   | ***-**-88IN - PICKARD, ELAINE<br>ACCOUNT #: 00088242778  | AMERICAN GLOBAL BALANCED CLASS A<br>BUY 0 Units @0.0000 | 0.00                 | 5.42                | 0.00               | 5.42              | 0.5  | 0.03                 |
| 03/01/2018   | ***-**-64IN - KIO, EVELYN<br>ACCOUNT #: 00067349392      | AMERICAN HIGH-INCOME TRUST-A<br>BUY 0 Units @0.0000     | 0.00                 | 1.52                | 0.00               | 1.52              | 0.5  | 0.01                 |
| 03/01/2018   | ***-**-244I - BURTON, RICHARD<br>ACCOUNT #: 00065159109  | AMERICAN HIGH-INCOME TRUST-C<br>BUY 0 Units @0.0000     | 0.00                 | 7.49                | 0.00               | 7.49              | 0.5  | 0.04                 |
| 03/01/2018   | ***-**-716I - BUCZEK, DENISE<br>ACCOUNT #: 00088176764   | AMERICAN MORTGAGE FUND CL A<br>BUY 0 Units @0.0000      | 0.00                 | 1.96                | 0.00               | 1.96              | 0.5  | 0.01                 |
| 03/01/2018   | ***-**-225P - DAMSKY, CYNTHIA<br>ACCOUNT #: 00068200312  | AMERICAN MUTUAL FUND-A<br>BUY 0 Units @0.0000           | 0.00                 | 3.78                | 0.00               | 3.78              | 0.5  | 0.02                 |
| 03/01/2018   | ***-**-90IN - SPINA, MARK<br>ACCOUNT #: 00088527332      | CAPITAL INCOME BUILDER CLASS C<br>BUY 0 Units @0.0000   | 0.00                 | 6.82                | 0.00               | 6.82              | 0.5  | 0.03                 |
| 03/01/2018   | ***-**-675P - PICKARD, BRIAN<br>ACCOUNT #: 00088359310   | CAPITAL INCOME BUILDER-529C<br>BUY 0 Units @0.0000      | 0.00                 | 8.27                | 0.00               | 8.27              | 0.5  | 0.04                 |
| 03/01/2018   | ***-**-675P - PICKARD, BRIAN<br>ACCOUNT #: 00088359322   | CAPITAL INCOME BUILDER-529C<br>BUY 0 Units @0.0000      | 0.00                 | 5.05                | 0.00               | 5.05              | 0.5  | 0.03                 |
| 03/01/2018   | ***-**-817I - WADSWORTH,<br>ACCOUNT #: 00067441742       | CAPITAL INCOME BUILDER-A<br>BUY 0 Units @0.0000         | 0.00                 | 6.89                | 0.00               | 6.89              | 0.5  | 0.03                 |
| 03/01/2018   | ***-**-716I - BUCZEK, DENISE<br>ACCOUNT #: 00088176764   | CAPITAL INCOME BUILDER-A<br>BUY 0 Units @0.0000         | 0.00                 | 2.93                | 0.00               | 2.93              | 0.5  | 0.01                 |



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|---|--------------------------------|-------------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b> OVERRIDE TRANSACTIONS (continued)</b>         |                                |                                     |                      |                     |                    |                   |      |                      |
| <b> <u>BROKER: DAVID GRIFFITH (continued)</u></b> |                                |                                     |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-244I - BURTON, RICHARD  | CAPITAL INCOME BUILDER-F1           | 0.00                 | 1.93                | 0.00               | 1.93              | 0.5  | 0.01                 |
|   | ACCOUNT #: 00065159109         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-244I - BURTON, RICHARD  | CAPITAL WORLD BOND FUND-C           | 0.00                 | 8.60                | 0.00               | 8.60              | 0.5  | 0.04                 |
|   | ACCOUNT #: 00065159109         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-39IN - CLEARY, KAREN    | CAPITAL WORLD BOND FUND-C           | 0.00                 | 2.08                | 0.00               | 2.08              | 0.5  | 0.01                 |
|   | ACCOUNT #: 00088635688         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-58IN - SCHRECK, RYAN    | CAPITAL WORLD BOND FUND-C           | 0.00                 | 7.00                | 0.00               | 7.00              | 0.5  | 0.04                 |
|   | ACCOUNT #: 00088659742         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-64IN - KIO, EVELYN      | CAPITAL WORLD GROWTH AND INCOME FUN | 0.00                 | 2.53                | 0.00               | 2.53              | 0.5  | 0.01                 |
|   | ACCOUNT #: 00067349392         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-72IN - THIBAUT, JOHN    | CAPITAL WORLD GROWTH AND INCOME FUN | 0.00                 | 1.52                | 0.00               | 1.52              | 0.5  | 0.01                 |
|   | ACCOUNT #: 00073188948         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-9156 - SIMPSON, PATRICK | CAPITAL WORLD GROWTH AND INCOME FUN | 0.00                 | 13.62               | 0.00               | 13.62             | 0.5  | 0.07                 |
|   | ACCOUNT #: 00074686908         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-0040 - GRIFFITH,        | CAPITAL WORLD GROWTH AND INCOME FUN | 0.00                 | 4.20                | 0.00               | 4.20              | 0.5  | 0.02                 |
|   | ACCOUNT #: 00083176630         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-90IN - SPINA, MARK      | CAPITAL WORLD GROWTH AND INCOME FUN | 0.00                 | 26.57               | 0.00               | 26.57             | 0.5  | 0.13                 |
|   | ACCOUNT #: 00088527332         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-968I - THIBAUT JR,      | CAPITAL WORLD GROWTH AND INCOME FUN | 0.00                 | 6.16                | 0.00               | 6.16              | 0.5  | 0.03                 |
|   | ACCOUNT #: 00064875131         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-225P - DAMSKY, CYNTHIA  | CAPITAL WORLD GROWTH AND INCOME FUN | 0.00                 | 5.84                | 0.00               | 5.84              | 0.5  | 0.03                 |
|   | ACCOUNT #: 00068200312         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-36IN - GAUTHIER,        | CAPITAL WORLD GROWTH AND INCOME FUN | 0.00                 | 7.98                | 0.00               | 7.98              | 0.5  | 0.04                 |
|   | ACCOUNT #: 00068814424         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-7473 - SCOTELLARO,      | CAPITAL WORLD GROWTH AND INCOME FUN | 0.00                 | 5.30                | 0.00               | 5.30              | 0.5  | 0.03                 |
|   | ACCOUNT #: 00073919652         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-25IR - SCOTELLARO,      | CAPITAL WORLD GROWTH AND INCOME FUN | 0.00                 | 1.55                | 0.00               | 1.55              | 0.5  | 0.01                 |
|   | ACCOUNT #: 00081400337         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-26IR - BROWN, MARISSA   | CAPITAL WORLD GROWTH AND INCOME FUN | 0.00                 | 1.47                | 0.00               | 1.47              | 0.5  | 0.01                 |
|   | ACCOUNT #: 00081497402         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-25IR - REDMOND, SEAN    | CAPITAL WORLD GROWTH AND INCOME FUN | 0.00                 | 1.98                | 0.00               | 1.98              | 0.5  | 0.01                 |
|   | ACCOUNT #: 00088078685         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |



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| <b><u> OVERRIDE TRANSACTIONS (continued) </u></b>  |   |   |                      |                     |                    |                   |      |                      |
| <b><u> BROKER: DAVID GRIFFITH (continued) </u></b> |   |   |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-716I - BUCZEK, DENISE<br>ACCOUNT #: 00088176764  | CAPITAL WORLD GROWTH AND INCOME FUN<br>BUY 0 Units @0.0000    | 0.00                 | 3.87                | 0.00               | 3.87              | 0.5  | 0.02                 |
| 03/01/2018   | ***-**-244I - BURTON, RICHARD<br>ACCOUNT #: 00065159109 | CAPITAL WORLD GROWTH AND INCOME FUN<br>BUY 0 Units @0.0000    | 0.00                 | 8.14                | 0.00               | 8.14              | 0.5  | 0.04                 |
| 03/01/2018   | ***-**-60IN - SCHRADER, KEVIN<br>ACCOUNT #: 00088507883 | CAPITAL WORLD GROWTH AND INCOME FUN<br>BUY 0 Units @0.0000    | 0.00                 | 14.21               | 0.00               | 14.21             | 0.5  | 0.07                 |
| 03/01/2018   | ***-**-953I - DINITTO, NICOLE<br>ACCOUNT #: 00088593891 | CAPITAL WORLD GROWTH AND INCOME FUN<br>BUY 0 Units @0.0000    | 0.00                 | 12.39               | 0.00               | 12.39             | 0.5  | 0.06                 |
| 03/01/2018   | ***-**-04IN - CLEARY, STEPHEN<br>ACCOUNT #: 00088608566 | CAPITAL WORLD GROWTH AND INCOME FUN<br>BUY 0 Units @0.0000    | 0.00                 | 8.77                | 0.00               | 8.77              | 0.5  | 0.04                 |
| 03/01/2018   | ***-**-39IN - CLEARY, KAREN<br>ACCOUNT #: 00088635688   | CAPITAL WORLD GROWTH AND INCOME FUN<br>BUY 0 Units @0.0000    | 0.00                 | 3.42                | 0.00               | 3.42              | 0.5  | 0.02                 |
| 03/01/2018   | ***-**-58IN - SCHRECK, RYAN<br>ACCOUNT #: 00088659742   | CAPITAL WORLD GROWTH AND INCOME FUN<br>BUY 0 Units @0.0000    | 0.00                 | 8.47                | 0.00               | 8.47              | 0.5  | 0.04                 |
| 03/05/2018   | ***-**-803J - TEESDALE,<br>ACCOUNT #: LSR011017         | CAPITAL WORLD GROWTH AND INCOME FUN<br>SELL 43 Units @52.1600 | 2,227.86             | 1.99                | 0.00               | 1.99              | 0.5  | 0.01                 |
| 03/01/2018   | ***-**-675P - PICKARD, BRIAN<br>ACCOUNT #: 00088359310  | CAPITAL WORLD GROWTH AND INCOME-529<br>BUY 0 Units @0.0000    | 0.00                 | 11.61               | 0.00               | 11.61             | 0.5  | 0.06                 |
| 03/01/2018   | ***-**-675P - PICKARD, BRIAN<br>ACCOUNT #: 00088359322  | CAPITAL WORLD GROWTH AND INCOME-529<br>BUY 0 Units @0.0000    | 0.00                 | 8.83                | 0.00               | 8.83              | 0.5  | 0.04                 |
| 03/01/2018   | ***-**-595P - MUTH, MARIA<br>ACCOUNT #: 00088943357     | CAPITAL WORLD GROWTH AND INCOME-529<br>BUY 0 Units @0.0000    | 0.00                 | 6.11                | 0.00               | 6.11              | 0.5  | 0.03                 |
| 03/01/2018   | ***-**-244I - BURTON, RICHARD<br>ACCOUNT #: 00065159109 | DEVELOPING WORLD GROWTH & INCOME-C<br>BUY 0 Units @0.0000     | 0.00                 | 7.93                | 0.00               | 7.93              | 0.5  | 0.04                 |
| 03/01/2018   | ***-**-953I - DINITTO, NICOLE<br>ACCOUNT #: 00088593891 | EUROPACIFIC GROWTH FUND CLASS C<br>BUY 0 Units @0.0000        | 0.00                 | 7.38                | 0.00               | 7.38              | 0.5  | 0.04                 |
| 03/01/2018   | ***-**-675P - PICKARD, BRIAN<br>ACCOUNT #: 00088359310  | EUROPACIFIC GROWTH FUND-529C<br>BUY 0 Units @0.0000           | 0.00                 | 1.61                | 0.00               | 1.61              | 0.5  | 0.01                 |
| 03/01/2018   | ***-**-675P - PICKARD, BRIAN<br>ACCOUNT #: 00088359322  | EUROPACIFIC GROWTH FUND-529C<br>BUY 0 Units @0.0000           | 0.00                 | 1.61                | 0.00               | 1.61              | 0.5  | 0.01                 |
| 03/01/2018   | ***-**-595P - MUTH, MARIA<br>ACCOUNT #: 00088943357     | EUROPACIFIC GROWTH FUND-529C<br>BUY 0 Units @0.0000           | 0.00                 | 2.98                | 0.00               | 2.98              | 0.5  | 0.01                 |





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| <b> OVERRIDE TRANSACTIONS (continued)</b>         |  |   |                      |                     |                    |                   |      |                      |
| <b> <u>BROKER: DAVID GRIFFITH (continued)</u></b> |  |   |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-5485 - GAETANO,<br>ACCOUNT #: 00082975488         | EUROPACIFIC GROWTH FUND-A<br>BUY 0 Units @0.0000  | 0.00                 | 4.45                | 0.00               | 4.45              | 0.5  | 0.02                 |
| 03/01/2018  | ***-**-0040 - GRIFFITH,<br>ACCOUNT #: 00083176630        | EUROPACIFIC GROWTH FUND-A<br>BUY 0 Units @0.0000  | 0.00                 | 2.94                | 0.00               | 2.94              | 0.5  | 0.01                 |
| 03/01/2018  | ***-**-225P - DAMSKY, CYNTHIA<br>ACCOUNT #: 00068200312  | EUROPACIFIC GROWTH FUND-A<br>BUY 0 Units @0.0000  | 0.00                 | 2.53                | 0.00               | 2.53              | 0.5  | 0.01                 |
| 03/01/2018  | ***-**-36IN - GAUTHIER,<br>ACCOUNT #: 00068814424        | EUROPACIFIC GROWTH FUND-A<br>BUY 0 Units @0.0000  | 0.00                 | 7.34                | 0.00               | 7.34              | 0.5  | 0.04                 |
| 03/01/2018  | ***-**-25IR - REDMOND, SEAN<br>ACCOUNT #: 00088078685    | EUROPACIFIC GROWTH FUND-A<br>BUY 0 Units @0.0000  | 0.00                 | 1.92                | 0.00               | 1.92              | 0.5  | 0.01                 |
| 03/01/2018  | ***-**-675P - PICKARD, BRIAN<br>ACCOUNT #: 00088359310   | FUNDAMENTAL INVESTORS-529C<br>BUY 0 Units @0.0000 | 0.00                 | 3.59                | 0.00               | 3.59              | 0.5  | 0.02                 |
| 03/01/2018  | ***-**-595P - MUTH, MARIA<br>ACCOUNT #: 00088943357      | FUNDAMENTAL INVESTORS-529C<br>BUY 0 Units @0.0000 | 0.00                 | 3.38                | 0.00               | 3.38              | 0.5  | 0.02                 |
| 03/01/2018  | ***-**-72IN - THIBAUT, JOHN<br>ACCOUNT #: 00073188948    | FUNDAMENTAL INVESTORS-A<br>BUY 0 Units @0.0000    | 0.00                 | 1.32                | 0.00               | 1.32              | 0.5  | 0.01                 |
| 03/01/2018  | ***-**-9156 - SIMPSON, PATRICK<br>ACCOUNT #: 00074686908 | FUNDAMENTAL INVESTORS-A<br>BUY 0 Units @0.0000    | 0.00                 | 16.83               | 0.00               | 16.83             | 0.5  | 0.08                 |
| 03/01/2018  | ***-**-968I - THIBAUT JR,<br>ACCOUNT #: 00064875131      | FUNDAMENTAL INVESTORS-A<br>BUY 0 Units @0.0000    | 0.00                 | 5.20                | 0.00               | 5.20              | 0.5  | 0.03                 |
| 03/01/2018  | ***-**-225P - DAMSKY, CYNTHIA<br>ACCOUNT #: 00068200312  | FUNDAMENTAL INVESTORS-A<br>BUY 0 Units @0.0000    | 0.00                 | 5.96                | 0.00               | 5.96              | 0.5  | 0.03                 |
| 03/01/2018  | ***-**-36IN - GAUTHIER,<br>ACCOUNT #: 00068814424        | FUNDAMENTAL INVESTORS-A<br>BUY 0 Units @0.0000    | 0.00                 | 9.01                | 0.00               | 9.01              | 0.5  | 0.05                 |
| 03/01/2018  | ***-**-7473 - SCOTELLARO,<br>ACCOUNT #: 00073919652      | FUNDAMENTAL INVESTORS-A<br>BUY 0 Units @0.0000    | 0.00                 | 2.15                | 0.00               | 2.15              | 0.5  | 0.01                 |
| 03/01/2018  | ***-**-25IR - SCOTELLARO,<br>ACCOUNT #: 00081400337      | FUNDAMENTAL INVESTORS-A<br>BUY 0 Units @0.0000    | 0.00                 | 2.56                | 0.00               | 2.56              | 0.5  | 0.01                 |
| 03/01/2018  | ***-**-26IR - BROWN, MARISSA<br>ACCOUNT #: 00081497402   | FUNDAMENTAL INVESTORS-A<br>BUY 0 Units @0.0000    | 0.00                 | 3.55                | 0.00               | 3.55              | 0.5  | 0.02                 |
| 03/01/2018  | ***-**-25IR - REDMOND, SEAN<br>ACCOUNT #: 00088078685    | FUNDAMENTAL INVESTORS-A<br>BUY 0 Units @0.0000    | 0.00                 | 2.28                | 0.00               | 2.28              | 0.5  | 0.01                 |



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| <b> OVERRIDE TRANSACTIONS (continued)</b>         |  |  |                      |                     |                    |                   |      |                      |
| <b> <u>BROKER: DAVID GRIFFITH (continued)</u></b> |  |  |                      |                     |                    |                   |      |                      |
| 03/05/2018  | ***-**-803J - TEESDALE,<br>ACCOUNT #: LSR011017          | FUNDAMENTAL INVESTORS-A<br>SELL 21 Units @63.3600          | 1,328.28             | 1.99                | 0.00               | 1.99              | 0.5  | 0.01                 |
| 03/01/2018  | ***-**-0040 - GRIFFITH,<br>ACCOUNT #: 00083322888        | FUNDAMENTAL INVESTORS-C<br>BUY 0 Units @0.0000             | 0.00                 | 15.57               | 0.00               | 15.57             | 0.5  | 0.08                 |
| 03/01/2018  | ***-**-788I - ALBARRAN, CARLOS<br>ACCOUNT #: 00085186008 | FUNDAMENTAL INVESTORS-C<br>BUY 0 Units @0.0000             | 0.00                 | 60.67               | 0.00               | 60.67             | 0.5  | 0.30                 |
| 03/01/2018  | ***-**-60IN - SCHRADER, KEVIN<br>ACCOUNT #: 00088507883  | FUNDAMENTAL INVESTORS-C<br>BUY 0 Units @0.0000             | 0.00                 | 5.84                | 0.00               | 5.84              | 0.5  | 0.03                 |
| 03/01/2018  | ***-**-953I - DINITTO, NICOLE<br>ACCOUNT #: 00088593891  | FUNDAMENTAL INVESTORS-C<br>BUY 0 Units @0.0000             | 0.00                 | 2.27                | 0.00               | 2.27              | 0.5  | 0.01                 |
| 03/01/2018  | ***-**-04IN - CLEARY, STEPHEN<br>ACCOUNT #: 00088608566  | FUNDAMENTAL INVESTORS-C<br>BUY 0 Units @0.0000             | 0.00                 | 5.91                | 0.00               | 5.91              | 0.5  | 0.03                 |
| 03/01/2018  | ***-**-675P - PICKARD, BRIAN<br>ACCOUNT #: 00088359310   | GLOBAL BALANCED FUND-529C<br>BUY 0 Units @0.0000           | 0.00                 | 18.51               | 0.00               | 18.51             | 0.5  | 0.09                 |
| 03/01/2018  | ***-**-675P - PICKARD, BRIAN<br>ACCOUNT #: 00088359322   | GLOBAL BALANCED FUND-529C<br>BUY 0 Units @0.0000           | 0.00                 | 8.72                | 0.00               | 8.72              | 0.5  | 0.04                 |
| 03/01/2018  | ***-**-595P - MUTH, MARIA<br>ACCOUNT #: 00088943357      | GLOBAL BALANCED FUND-529C<br>BUY 0 Units @0.0000           | 0.00                 | 8.43                | 0.00               | 8.43              | 0.5  | 0.04                 |
| 03/01/2018  | ***-**-90IN - SPINA, MARK<br>ACCOUNT #: 00088527332      | INCOME FUND OF AMERICA CLASS C<br>BUY 0 Units @0.0000      | 0.00                 | 14.14               | 0.00               | 14.14             | 0.5  | 0.07                 |
| 03/01/2018  | ***-**-60IN - SCHRADER, KEVIN<br>ACCOUNT #: 00088507883  | INCOME FUND OF AMERICA CLASS C<br>BUY 0 Units @0.0000      | 0.00                 | 5.08                | 0.00               | 5.08              | 0.5  | 0.03                 |
| 03/01/2018  | ***-**-953I - DINITTO, NICOLE<br>ACCOUNT #: 00088593891  | INCOME FUND OF AMERICA CLASS C<br>BUY 0 Units @0.0000      | 0.00                 | 5.34                | 0.00               | 5.34              | 0.5  | 0.03                 |
| 03/01/2018  | ***-**-04IN - CLEARY, STEPHEN<br>ACCOUNT #: 00088608566  | INCOME FUND OF AMERICA CLASS C<br>BUY 0 Units @0.0000      | 0.00                 | 4.86                | 0.00               | 4.86              | 0.5  | 0.02                 |
| 03/01/2018  | ***-**-39IN - CLEARY, KAREN<br>ACCOUNT #: 00088635688    | INCOME FUND OF AMERICA CLASS C<br>BUY 0 Units @0.0000      | 0.00                 | 2.32                | 0.00               | 2.32              | 0.5  | 0.01                 |
| 03/01/2018  | ***-**-58IN - SCHRECK, RYAN<br>ACCOUNT #: 00088659742    | INCOME FUND OF AMERICA CLASS C<br>BUY 0 Units @0.0000      | 0.00                 | 4.71                | 0.00               | 4.71              | 0.5  | 0.02                 |
| 03/01/2018  | ***-**-675P - PICKARD, BRIAN<br>ACCOUNT #: 00088359322   | INTERMEDIATE BOND FUND OF AMERICA-5<br>BUY 0 Units @0.0000 | 0.00                 | 18.54               | 0.00               | 18.54             | 0.5  | 0.09                 |



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|--|--------------------------------|-------------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b><u> OVERRIDE TRANSACTIONS (continued) </u></b>  |                                |                                     |                      |                     |                    |                   |      |                      |
| <b><u> BROKER: DAVID GRIFFITH (continued) </u></b> |                                |                                     |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-244I - BURTON, RICHARD  | INTERMEDIATE BOND FUND OF AMERICA-C | 0.00                 | 9.73                | 0.00               | 9.73              | 0.5  | 0.05                 |
|  | ACCOUNT #: 00065159109         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/12/2018   | ***-**-05IR - HULL, JEFF       | MANNING & NAPIER PRO NFS            | 0.00                 | 4.04                | 0.00               | 4.04              | 0.5  | 0.02                 |
|  | ACCOUNT #: LSR011534           | BUY 1 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/12/2018   | ***-**-077O - GAUTHIER, LOUIS  | MASS MUTUAL VA TRAILS               | 0.00                 | 4.42                | 0.00               | 4.42              | 0.5  | 0.02                 |
|  | ACCOUNT #: 828693              | BUY 1 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/12/2018   | ***-**-355I - CRIMMINS, KAREN  | MFS GLOBAL ALTERNATIVE STRAT B      | 0.00                 | 1.47                | 0.00               | 1.47              | 0.5  | 0.01                 |
|  | ACCOUNT #: LSR011077           | BUY 1 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/12/2018   | ***-**-94IO - PERRITANO,       | MFS GLOBAL MULTI ASSET FUND CLASS B | 0.00                 | 2.05                | 0.00               | 2.05              | 0.5  | 0.01                 |
|  | ACCOUNT #: LSR011099           | BUY 1 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-267I - HAMMILL, ELISE   | MFS GLOBAL TOTAL RETURN FUND-B      | 75.00                | 3.00                | 0.00               | 3.00              | 0.5  | 0.02                 |
|  | ACCOUNT #: 08191335171         | BUY 4 Units @18.3500                |                      |                     |                    |                   |      |                      |
| 03/12/2018   | ***-**-355I - CRIMMINS, KAREN  | MFS GLOBAL TOTAL RETURN FUND-B      | 0.00                 | 2.41                | 0.00               | 2.41              | 0.5  | 0.01                 |
|  | ACCOUNT #: LSR011077           | BUY 1 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/12/2018   | ***-**-73IN - SCOTELLARO IV,   | MFS GLOBAL TOTAL RETURN FUND-B      | 0.00                 | 2.33                | 0.00               | 2.33              | 0.5  | 0.01                 |
|  | ACCOUNT #: LSR011086           | BUY 1 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/12/2018   | ***-**-94IO - PERRITANO,       | MFS GLOBAL TOTAL RETURN FUND-B      | 0.00                 | 2.27                | 0.00               | 2.27              | 0.5  | 0.01                 |
|  | ACCOUNT #: LSR011099           | BUY 1 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/12/2018   | ***-**-187I - WASZKIEWICZ, FBO | MFS GLOBAL TOTAL RETURN FUND-B      | 0.00                 | 1.99                | 0.00               | 1.99              | 0.5  | 0.01                 |
|  | ACCOUNT #: LSR011144           | BUY 1 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/12/2018   | ***-**-387I - KINNEY, DOUGLAS  | MFS GLOBAL TOTAL RETURN FUND-B      | 0.00                 | 1.17                | 0.00               | 1.17              | 0.5  | 0.01                 |
|  | ACCOUNT #: LSR011322           | BUY 1 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/12/2018   | ***-**-1300 - MUMIN,           | MFS GLOBAL TOTAL RETURN FUND-B      | 0.00                 | 1.58                | 0.00               | 1.58              | 0.5  | 0.01                 |
|  | ACCOUNT #: LSR011333           | BUY 1 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/12/2018   | ***-**-3017 - MUMIN, MESSIAH   | MFS GLOBAL TOTAL RETURN FUND-B      | 0.00                 | 1.58                | 0.00               | 1.58              | 0.5  | 0.01                 |
|  | ACCOUNT #: LSR011334           | BUY 1 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/12/2018   | ***-**-0642 - MUMIN, MARY JO   | MFS GLOBAL TOTAL RETURN FUND-B      | 0.00                 | 1.58                | 0.00               | 1.58              | 0.5  | 0.01                 |
|  | ACCOUNT #: LSR011335           | BUY 1 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/12/2018   | ***-**-41TR - DAMSKY, BARRY    | MFS GLOBAL TOTAL RETURN FUND-B      | 0.00                 | 2.29                | 0.00               | 2.29              | 0.5  | 0.01                 |
|  | ACCOUNT #: LSR011340           | BUY 1 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/12/2018   | ***-**-499X - LARA M TUR, SPS  | MFS GLOBAL TOTAL RETURN FUND-B      | 0.00                 | 1.39                | 0.00               | 1.39              | 0.5  | 0.01                 |
|  | ACCOUNT #: LSR011400           | BUY 1 Units @0.0000                 |                      |                     |                    |                   |      |                      |



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|---|---|---|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b> OVERRIDE TRANSACTIONS (continued)</b>         |   |   |                      |                     |                    |                   |      |                      |
| <b> <u>BROKER: DAVID GRIFFITH (continued)</u></b> |   |   |                      |                     |                    |                   |      |                      |
| 03/12/2018  | ***-**-28IO - CROWE, EMILY<br>ACCOUNT #: LSR011427      | MFS GLOBAL TOTAL RETURN FUND-B<br>BUY 1 Units @0.0000 | 0.00                 | 2.37                | 0.00               | 2.37              | 0.5  | 0.01                 |
| 03/12/2018  | ***-**-13IR - MURRAY, JOHN<br>ACCOUNT #: LSR011459      | MFS GLOBAL TOTAL RETURN FUND-B<br>BUY 1 Units @0.0000 | 0.00                 | 1.17                | 0.00               | 1.17              | 0.5  | 0.01                 |
| 03/12/2018  | ***-**-90IO - DRUMM, LOIS<br>ACCOUNT #: LSR011609       | MFS GLOBAL TOTAL RETURN FUND-B<br>BUY 1 Units @0.0000 | 0.00                 | 3.75                | 0.00               | 3.75              | 0.5  | 0.02                 |
| 03/12/2018  | ***-**-29IO - LORUSSO, VINCENT<br>ACCOUNT #: LSR011681  | MFS GLOBAL TOTAL RETURN FUND-B<br>BUY 1 Units @0.0000 | 0.00                 | 3.77                | 0.00               | 3.77              | 0.5  | 0.02                 |
| 03/12/2018  | ***-**-13IR - E, KAREN<br>ACCOUNT #: LSR011953          | MFS GLOBAL TOTAL RETURN FUND-B<br>BUY 1 Units @0.0000 | 0.00                 | 1.79                | 0.00               | 1.79              | 0.5  | 0.01                 |
| 03/12/2018  | ***-**-29IO - LORUSSO, VINCENT<br>ACCOUNT #: LSR011681  | MFS TECHNOLOGY FUND-B<br>BUY 1 Units @0.0000          | 0.00                 | 1.35                | 0.00               | 1.35              | 0.5  | 0.01                 |
| 03/12/2018  | ***-**-13IR - E, KAREN<br>ACCOUNT #: LSR011953          | MFS TECHNOLOGY FUND-B<br>BUY 1 Units @0.0000          | 0.00                 | 1.56                | 0.00               | 1.56              | 0.5  | 0.01                 |
| 02/28/2018  | ***-**-51RI - DIPERNA, SANDRA<br>ACCOUNT #: 08191188649 | MFS TRAILS 552988610<br>BUY 19 Units @15.7000         | 300.00               | 3.00                | 0.00               | 3.00              | 0.5  | 0.02                 |
| 02/28/2018  | ***-**-57RI - DIPERNA, ROBERT<br>ACCOUNT #: 08189654783 | MFS TRAILS 552988610<br>BUY 19 Units @15.7000         | 300.00               | 3.00                | 0.00               | 3.00              | 0.5  | 0.02                 |
| 03/12/2018  | ***-**-698J - FEISTHAMEL, MR<br>ACCOUNT #: LSR011137    | MFS UTILITIES FUND-A<br>BUY 1 Units @0.0000           | 0.00                 | 1.61                | 0.00               | 1.61              | 0.5  | 0.01                 |
| 03/12/2018  | ***-**-621I - DANIELS SR, JOHN<br>ACCOUNT #: LSR010950  | MFS UTILITIES FUND-B<br>BUY 1 Units @0.0000           | 0.00                 | 3.27                | 0.00               | 3.27              | 0.5  | 0.02                 |
| 03/12/2018  | ***-**-614I - MARIOTTI, CINDY<br>ACCOUNT #: LSR011535   | MFS UTILITIES FUND-B<br>BUY 1 Units @0.0000           | 0.00                 | 2.41                | 0.00               | 2.41              | 0.5  | 0.01                 |
| 03/12/2018  | ***-**-13IR - E, KAREN<br>ACCOUNT #: LSR011953          | MFS UTILITIES FUND-B<br>BUY 1 Units @0.0000           | 0.00                 | 1.12                | 0.00               | 1.12              | 0.5  | 0.01                 |
| 03/01/2018  | ***-**-72IN - THIBAUT, JOHN<br>ACCOUNT #: 00073188948   | NEW PERSPECTIVE FUND-A<br>BUY 0 Units @0.0000         | 0.00                 | 1.04                | 0.00               | 1.04              | 0.5  | 0.01                 |
| 03/01/2018  | ***-**-968I - THIBAUT JR,<br>ACCOUNT #: 00064875131     | NEW PERSPECTIVE FUND-A<br>BUY 0 Units @0.0000         | 0.00                 | 3.04                | 0.00               | 3.04              | 0.5  | 0.02                 |
| 03/01/2018  | ***-**-244I - BURTON, RICHARD<br>ACCOUNT #: 00065159109 | NEW PERSPECTIVE FUND-A<br>BUY 0 Units @0.0000         | 0.00                 | 1.50                | 0.00               | 1.50              | 0.5  | 0.01                 |



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| <b> OVERRIDE TRANSACTIONS (continued)</b>         |  |   |                      |                     |                    |                   |      |                      |
| <b> <u>BROKER: DAVID GRIFFITH (continued)</u></b> |  |   |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-7473 - SCOTELLARO,<br>ACCOUNT #: 00073919652      | NEW PERSPECTIVE FUND-A<br>BUY 0 Units @0.0000 | 0.00                 | 5.97                | 0.00               | 5.97              | 0.5  | 0.03                 |
| 03/01/2018  | ***-**-261R - BROWN, MARISSA<br>ACCOUNT #: 00081497402   | NEW PERSPECTIVE FUND-A<br>BUY 0 Units @0.0000 | 0.00                 | 1.63                | 0.00               | 1.63              | 0.5  | 0.01                 |
| 03/01/2018  | ***-**-244I - BURTON, RICHARD<br>ACCOUNT #: 00065159109  | NEW PERSPECTIVE FUND-C<br>BUY 0 Units @0.0000 | 0.00                 | 10.34               | 0.00               | 10.34             | 0.5  | 0.05                 |
| 03/01/2018  | ***-**-9156 - SIMPSON, PATRICK<br>ACCOUNT #: 00074686908 | NEW WORLD FUND-A<br>BUY 0 Units @0.0000       | 0.00                 | 10.83               | 0.00               | 10.83             | 0.5  | 0.05                 |
| 03/01/2018  | ***-**-251R - SCOTELLARO,<br>ACCOUNT #: 00081400337      | NEW WORLD FUND-A<br>BUY 0 Units @0.0000       | 0.00                 | 1.51                | 0.00               | 1.51              | 0.5  | 0.01                 |
| 03/01/2018  | ***-**-601N - SCHRADER, KEVIN<br>ACCOUNT #: 00088507883  | NEW WORLD FUND-C<br>BUY 0 Units @0.0000       | 0.00                 | 3.48                | 0.00               | 3.48              | 0.5  | 0.02                 |
| 03/12/2018  | ***-**-679I - MURSCH JR,<br>ACCOUNT #: 77041375401       | NEW YORK 529 TRAILS<br>BUY 0 Units @0.0000    | 0.00                 | 4.02                | 0.00               | 4.02              | 0.5  | 0.02                 |
| 03/12/2018  | ***-**-541I - ORSINO, LISA<br>ACCOUNT #: 77049971001     | NEW YORK 529 TRAILS<br>BUY 0 Units @0.0000    | 0.00                 | 3.13                | 0.00               | 3.13              | 0.5  | 0.02                 |
| 03/12/2018  | ***-**-745P - SCOTELLARO,<br>ACCOUNT #: 77049971001      | NEW YORK 529 TRAILS<br>BUY 0 Units @0.0000    | 0.00                 | 1.63                | 0.00               | 1.63              | 0.5  | 0.01                 |
| 03/12/2018  | ***-**-225P - DAMSKY, CYNTHIA<br>ACCOUNT #: 77172702501  | NEW YORK 529 TRAILS<br>BUY 0 Units @0.0000    | 0.00                 | 3.20                | 0.00               | 3.20              | 0.5  | 0.02                 |
| 03/12/2018  | ***-**-0862 - REDMOND, EILEEN<br>ACCOUNT #: 77172702501  | NEW YORK 529 TRAILS<br>BUY 0 Units @0.0000    | 0.00                 | 2.38                | 0.00               | 2.38              | 0.5  | 0.01                 |
| 03/12/2018  | ***-**-467I - PICKARD, BRIAN<br>ACCOUNT #: 77247884901   | NEW YORK 529 TRAILS<br>BUY 0 Units @0.0000    | 0.00                 | 1.02                | 0.00               | 1.02              | 0.5  | 0.01                 |
| 03/12/2018  | ***-**-93JT - WADSWORTH,<br>ACCOUNT #: 77296639001       | NEW YORK 529 TRAILS<br>BUY 0 Units @0.0000    | 0.00                 | 1.38                | 0.00               | 1.38              | 0.5  | 0.01                 |
| 03/12/2018  | ***-**-211N - DANIELS, JOHN<br>ACCOUNT #: 77376247101    | NEW YORK 529 TRAILS<br>BUY 0 Units @0.0000    | 0.00                 | 8.43                | 0.00               | 8.43              | 0.5  | 0.04                 |
| 03/12/2018  | ***-**-391N - CLEARY, KAREN<br>ACCOUNT #: 77678090301    | NEW YORK 529 TRAILS<br>BUY 0 Units @0.0000    | 0.00                 | 4.35                | 0.00               | 4.35              | 0.5  | 0.02                 |
| 03/12/2018  | ***-**-497I - MARTIN, KATHLEEN<br>ACCOUNT #: 77678090301 | NEW YORK 529 TRAILS<br>BUY 0 Units @0.0000    | 0.00                 | 1.28                | 0.00               | 1.28              | 0.5  | 0.01                 |



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| <b> OVERRIDE TRANSACTIONS (continued)</b>         |                                |                                     |                      |                     |                    |                   |      |                      |
| <b> <u>BROKER: DAVID GRIFFITH (continued)</u></b> |                                |                                     |                      |                     |                    |                   |      |                      |
| 03/12/2018  | ***-**-015P - SABANOSH, SHERYL | NEW YORK 529 TRAILS                 | 0.00                 | 7.18                | 0.00               | 7.18              | 0.5  | 0.04                 |
|   | ACCOUNT #: 77775742701         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/06/2018  | ***-**-01IN - HAGAN III,       | PETROLEO BRASILEIRO SA PETROBRAS AD | 4,422.00             | 66.49               | 0.00               | 66.49             | 0.5  | 0.33                 |
|   | ACCOUNT #: LSR011014           | SELL 300 Units @14.7400             |                      |                     |                    |                   |      |                      |
| 03/08/2018  | ***-**-753I - SABANOSH, ALAN   | RESOURCE REAL ESTATE TRAILS         | 0.00                 | 17.77               | 0.00               | 17.77             | 0.5  | 0.09                 |
|   | ACCOUNT #: 20022581            | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/08/2018  | ***-**-61IN - FILEY, JOHN      | RESOURCE REAL ESTATE TRAILS         | 0.00                 | 13.17               | 0.00               | 13.17             | 0.5  | 0.07                 |
|   |                                | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/08/2018  | ***-**-42IN - JENKINS, DAVID   | RESOURCE REAL ESTATE TRAILS         | 0.00                 | 2.53                | 0.00               | 2.53              | 0.5  | 0.01                 |
|   |                                | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/08/2018  | ***-**-60IN - SCHRADER, KEVIN  | RESOURCE REAL ESTATE TRAILS         | 0.00                 | 13.56               | 0.00               | 13.56             | 0.5  | 0.07                 |
|   | ACCOUNT #: 20021808            | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/08/2018  | ***-**-11IN - MOYLAN, TIMOTHY  | RESOURCE REAL ESTATE TRAILS         | 0.00                 | 10.19               | 0.00               | 10.19             | 0.5  | 0.05                 |
|   | ACCOUNT #: 20022106            | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/08/2018  | ***-**-01IN - HAGAN III,       | RESOURCE REAL ESTATE TRAILS         | 0.00                 | 17.55               | 0.00               | 17.55             | 0.5  | 0.09                 |
|   | ACCOUNT #: 20022138            | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/08/2018  | ***-**-621I - DANIELS SR, JOHN | RESOURCE REAL ESTATE TRAILS         | 0.00                 | 17.55               | 0.00               | 17.55             | 0.5  | 0.09                 |
|   | ACCOUNT #: 20022107            | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/08/2018  | ***-**-034J - NIKODEM, JOSEPH  | RESOURCE REAL ESTATE TRAILS         | 0.00                 | 22.20               | 0.00               | 22.20             | 0.5  | 0.11                 |
|   |                                | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/06/2018  | ***-**-41TR - DAMSKY, BARRY    | RESOURCE REAL ESTATE-NFS            | 0.00                 | 4.41                | 0.00               | 4.41              | 0.5  | 0.02                 |
|   | ACCOUNT #: LSR011340           | BUY 1 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/06/2018  | ***-**-41TR - DAMSKY, BARRY    | RESOURCE REAL ESTATE-NFS            | 0.00                 | 1.47                | 0.00               | 1.47              | 0.5  | 0.01                 |
|   | ACCOUNT #: LSR011340           | BUY 1 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/06/2018  | ***-**-609J - CADY, PATRICK    | RESOURCE REAL ESTATE-NFS            | 0.00                 | 2.02                | 0.00               | 2.02              | 0.5  | 0.01                 |
|   | ACCOUNT #: LSR011123           | BUY 1 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/06/2018  | ***-**-05IN - HULL, JEFFERY    | RESOURCE REAL ESTATE-NFS            | 0.00                 | 7.87                | 0.00               | 7.87              | 0.5  | 0.04                 |
|   | ACCOUNT #: LSR011187           | BUY 1 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/06/2018  | ***-**-05IN - HULL, JEFFERY    | RESOURCE REAL ESTATE-NFS            | 0.00                 | 2.62                | 0.00               | 2.62              | 0.5  | 0.01                 |
|   | ACCOUNT #: LSR011187           | BUY 1 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/06/2018  | ***-**-08TR - SCOTELLARO III,  | RESOURCE REAL ESTATE-NFS            | 0.00                 | 6.30                | 0.00               | 6.30              | 0.5  | 0.03                 |
|   | ACCOUNT #: LSR010975           | BUY 1 Units @0.0000                 |                      |                     |                    |                   |      |                      |



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| <b> OVERRIDE TRANSACTIONS (continued) </b>         |  |   |                      |                     |                    |                   |      |                      |
| <b> <u>BROKER: DAVID GRIFFITH (continued)</u> </b> |  |   |                      |                     |                    |                   |      |                      |
| 03/06/2018   | ***-**-08TR - SCOTELLARO III,<br>ACCOUNT #: LSR010975  | RESOURCE REAL ESTATE-NFS<br>BUY 1 Units @0.0000 | 0.00                 | 2.10                | 0.00               | 2.10              | 0.5  | 0.01                 |
| 03/06/2018   | ***-**-319I - HILLEBRAND, JOAN<br>ACCOUNT #: LSR011002 | RESOURCE REAL ESTATE-NFS<br>BUY 1 Units @0.0000 | 0.00                 | 6.93                | 0.00               | 6.93              | 0.5  | 0.03                 |
| 03/06/2018   | ***-**-319I - HILLEBRAND, JOAN<br>ACCOUNT #: LSR011002 | RESOURCE REAL ESTATE-NFS<br>BUY 1 Units @0.0000 | 0.00                 | 2.31                | 0.00               | 2.31              | 0.5  | 0.01                 |
| 03/06/2018   | ***-**-914J - KALAMAS, SHIRLEY<br>ACCOUNT #: LSR010904 | RESOURCE REAL ESTATE-NFS<br>BUY 1 Units @0.0000 | 0.00                 | 3.78                | 0.00               | 3.78              | 0.5  | 0.02                 |
| 03/06/2018   | ***-**-914J - KALAMAS, SHIRLEY<br>ACCOUNT #: LSR010904 | RESOURCE REAL ESTATE-NFS<br>BUY 1 Units @0.0000 | 0.00                 | 1.26                | 0.00               | 1.26              | 0.5  | 0.01                 |
| 03/06/2018   | ***-**-53TR - SABANOSH, ALAN R<br>ACCOUNT #: LSR010917 | RESOURCE REAL ESTATE-NFS<br>BUY 1 Units @0.0000 | 0.00                 | 9.45                | 0.00               | 9.45              | 0.5  | 0.05                 |
| 03/06/2018   | ***-**-53TR - SABANOSH, ALAN R<br>ACCOUNT #: LSR010917 | RESOURCE REAL ESTATE-NFS<br>BUY 1 Units @0.0000 | 0.00                 | 3.15                | 0.00               | 3.15              | 0.5  | 0.02                 |
| 03/06/2018   | ***-**-804I - RIEBEN, ANNE<br>ACCOUNT #: LSR010877     | RESOURCE REAL ESTATE-NFS<br>BUY 1 Units @0.0000 | 0.00                 | 6.93                | 0.00               | 6.93              | 0.5  | 0.03                 |
| 03/06/2018   | ***-**-804I - RIEBEN, ANNE<br>ACCOUNT #: LSR010877     | RESOURCE REAL ESTATE-NFS<br>BUY 1 Units @0.0000 | 0.00                 | 2.31                | 0.00               | 2.31              | 0.5  | 0.01                 |
| 03/06/2018   | ***-**-423I - SAVICKI, RICHARD<br>ACCOUNT #: LSR010889 | RESOURCE REAL ESTATE-NFS<br>BUY 1 Units @0.0000 | 0.00                 | 6.93                | 0.00               | 6.93              | 0.5  | 0.03                 |
| 03/06/2018   | ***-**-423I - SAVICKI, RICHARD<br>ACCOUNT #: LSR010889 | RESOURCE REAL ESTATE-NFS<br>BUY 1 Units @0.0000 | 0.00                 | 2.31                | 0.00               | 2.31              | 0.5  | 0.01                 |
| 03/06/2018   | ***-**-753I - SABANOSH, ALAN<br>ACCOUNT #: LSR010909   | RESOURCE REAL ESTATE-NFS<br>BUY 1 Units @0.0000 | 0.00                 | 9.45                | 0.00               | 9.45              | 0.5  | 0.05                 |
| 03/06/2018   | ***-**-753I - SABANOSH, ALAN<br>ACCOUNT #: LSR010909   | RESOURCE REAL ESTATE-NFS<br>BUY 1 Units @0.0000 | 0.00                 | 3.15                | 0.00               | 3.15              | 0.5  | 0.02                 |
| 03/06/2018   | ***-**-698J - FEISTHAMEL, MR<br>ACCOUNT #: LSR011137   | RESOURCE REAL ESTATE-NFS<br>BUY 1 Units @0.0000 | 0.00                 | 6.01                | 0.00               | 6.01              | 0.5  | 0.03                 |
| 03/06/2018   | ***-**-698J - FEISTHAMEL, MR<br>ACCOUNT #: LSR011137   | RESOURCE REAL ESTATE-NFS<br>BUY 1 Units @0.0000 | 0.00                 | 2.00                | 0.00               | 2.00              | 0.5  | 0.01                 |
| 03/06/2018   | ***-**-901O - DRUMM, LOIS<br>ACCOUNT #: LSR011609      | RESOURCE REAL ESTATE-NFS<br>BUY 1 Units @0.0000 | 0.00                 | 2.88                | 0.00               | 2.88              | 0.5  | 0.01                 |



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| <b>Override Transactions (continued)</b>         |  |   |                      |                     |                    |                   |      |                      |
| <b><u>BROKER: DAVID GRIFFITH (continued)</u></b> |  |   |                      |                     |                    |                   |      |                      |
| 03/06/2018                                       | ***-**-231J - MISHLANIE JR,<br>ACCOUNT #: LSR010927    | RESOURCE REAL ESTATE-NFS<br>BUY 1 Units @0.0000 | 0.00                 | 1.86                | 0.00               | 1.86              | 0.5  | 0.01                 |
| 03/06/2018                                       | ***-**-24TR - SCOTELLARO, L<br>ACCOUNT #: LSR010973    | RESOURCE REAL ESTATE-NFS<br>BUY 1 Units @0.0000 | 0.00                 | 4.58                | 0.00               | 4.58              | 0.5  | 0.02                 |
| 03/06/2018                                       | ***-**-24TR - SCOTELLARO, L<br>ACCOUNT #: LSR010973    | RESOURCE REAL ESTATE-NFS<br>BUY 1 Units @0.0000 | 0.00                 | 1.53                | 0.00               | 1.53              | 0.5  | 0.01                 |
| 03/06/2018                                       | ***-**-467I - PICKARD, BRIAN<br>ACCOUNT #: LSR010944   | RESOURCE REAL ESTATE-NFS<br>BUY 1 Units @0.0000 | 0.00                 | 2.62                | 0.00               | 2.62              | 0.5  | 0.01                 |
| 03/06/2018                                       | ***-**-474J - HAGAN JR,<br>ACCOUNT #: LSR010993        | RESOURCE REAL ESTATE-NFS<br>BUY 1 Units @0.0000 | 0.00                 | 1.81                | 0.00               | 1.81              | 0.5  | 0.01                 |
| 03/06/2018                                       | ***-**-077O - GAUTHIER, LOUIS<br>ACCOUNT #: LSR010905  | RESOURCE REAL ESTATE-NFS<br>BUY 1 Units @0.0000 | 0.00                 | 1.21                | 0.00               | 1.21              | 0.5  | 0.01                 |
| 03/06/2018                                       | ***-**-14TR - THE KALAMAS,<br>ACCOUNT #: LSR012226     | RESOURCE REAL ESTATE-NFS<br>BUY 1 Units @0.0000 | 0.00                 | 1.11                | 0.00               | 1.11              | 0.5  | 0.01                 |
| 03/06/2018                                       | ***-**-41TR - DAMSKY, BARRY<br>ACCOUNT #: LSR011340    | RESOURCE REAL ESTATE-NFS<br>BUY 1 Units @0.0000 | 0.00                 | 4.46                | 0.00               | 4.46              | 0.5  | 0.02                 |
| 03/06/2018                                       | ***-**-41TR - DAMSKY, BARRY<br>ACCOUNT #: LSR011340    | RESOURCE REAL ESTATE-NFS<br>BUY 1 Units @0.0000 | 0.00                 | 1.49                | 0.00               | 1.49              | 0.5  | 0.01                 |
| 03/06/2018                                       | ***-**-609J - CADY, PATRICK<br>ACCOUNT #: LSR011123    | RESOURCE REAL ESTATE-NFS<br>BUY 1 Units @0.0000 | 0.00                 | 2.04                | 0.00               | 2.04              | 0.5  | 0.01                 |
| 03/06/2018                                       | ***-**-05IN - HULL, JEFFERY<br>ACCOUNT #: LSR011187    | RESOURCE REAL ESTATE-NFS<br>BUY 1 Units @0.0000 | 0.00                 | 7.96                | 0.00               | 7.96              | 0.5  | 0.04                 |
| 03/06/2018                                       | ***-**-05IN - HULL, JEFFERY<br>ACCOUNT #: LSR011187    | RESOURCE REAL ESTATE-NFS<br>BUY 1 Units @0.0000 | 0.00                 | 2.65                | 0.00               | 2.65              | 0.5  | 0.01                 |
| 03/06/2018                                       | ***-**-08TR - SCOTELLARO III,<br>ACCOUNT #: LSR010975  | RESOURCE REAL ESTATE-NFS<br>BUY 1 Units @0.0000 | 0.00                 | 6.37                | 0.00               | 6.37              | 0.5  | 0.03                 |
| 03/06/2018                                       | ***-**-08TR - SCOTELLARO III,<br>ACCOUNT #: LSR010975  | RESOURCE REAL ESTATE-NFS<br>BUY 1 Units @0.0000 | 0.00                 | 2.12                | 0.00               | 2.12              | 0.5  | 0.01                 |
| 03/06/2018                                       | ***-**-319I - HILLEBRAND, JOAN<br>ACCOUNT #: LSR011002 | RESOURCE REAL ESTATE-NFS<br>BUY 1 Units @0.0000 | 0.00                 | 7.00                | 0.00               | 7.00              | 0.5  | 0.04                 |
| 03/06/2018                                       | ***-**-319I - HILLEBRAND, JOAN<br>ACCOUNT #: LSR011002 | RESOURCE REAL ESTATE-NFS<br>BUY 1 Units @0.0000 | 0.00                 | 2.33                | 0.00               | 2.33              | 0.5  | 0.01                 |





# COMMISSION STATEMENT

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BROKER #: 981A

BRANCH #01001 - LifeMark Home Office

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| DATE   | CLIENT                         | INVESTMENT               | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|--|--------------------------------|--------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b> OVERRIDE TRANSACTIONS (continued) </b>         |                                |                          |                      |                     |                    |                   |      |                      |
| <b> <u>BROKER: DAVID GRIFFITH (continued)</u> </b> |                                |                          |                      |                     |                    |                   |      |                      |
| 03/06/2018   | ***-**-914J - KALAMAS, SHIRLEY | RESOURCE REAL ESTATE-NFS | 0.00                 | 2.71                | 0.00               | 2.71              | 0.5  | 0.01                 |
|  | ACCOUNT #: LSR010904           | BUY 1 Units @0.0000      |                      |                     |                    |                   |      |                      |
| 03/06/2018   | ***-**-53TR - SABANOSH, ALAN R | RESOURCE REAL ESTATE-NFS | 0.00                 | 9.55                | 0.00               | 9.55              | 0.5  | 0.05                 |
|  | ACCOUNT #: LSR010917           | BUY 1 Units @0.0000      |                      |                     |                    |                   |      |                      |
| 03/06/2018   | ***-**-53TR - SABANOSH, ALAN R | RESOURCE REAL ESTATE-NFS | 0.00                 | 3.18                | 0.00               | 3.18              | 0.5  | 0.02                 |
|  | ACCOUNT #: LSR010917           | BUY 1 Units @0.0000      |                      |                     |                    |                   |      |                      |
| 03/06/2018   | ***-**-804I - RIEBEN, ANNE     | RESOURCE REAL ESTATE-NFS | 0.00                 | 7.00                | 0.00               | 7.00              | 0.5  | 0.04                 |
|  | ACCOUNT #: LSR010877           | BUY 1 Units @0.0000      |                      |                     |                    |                   |      |                      |
| 03/06/2018   | ***-**-804I - RIEBEN, ANNE     | RESOURCE REAL ESTATE-NFS | 0.00                 | 2.33                | 0.00               | 2.33              | 0.5  | 0.01                 |
|  | ACCOUNT #: LSR010877           | BUY 1 Units @0.0000      |                      |                     |                    |                   |      |                      |
| 03/06/2018   | ***-**-423I - SAVICKI, RICHARD | RESOURCE REAL ESTATE-NFS | 0.00                 | 6.91                | 0.00               | 6.91              | 0.5  | 0.03                 |
|  | ACCOUNT #: LSR010889           | BUY 1 Units @0.0000      |                      |                     |                    |                   |      |                      |
| 03/06/2018   | ***-**-423I - SAVICKI, RICHARD | RESOURCE REAL ESTATE-NFS | 0.00                 | 2.30                | 0.00               | 2.30              | 0.5  | 0.01                 |
|  | ACCOUNT #: LSR010889           | BUY 1 Units @0.0000      |                      |                     |                    |                   |      |                      |
| 03/06/2018   | ***-**-753I - SABANOSH, ALAN   | RESOURCE REAL ESTATE-NFS | 0.00                 | 9.55                | 0.00               | 9.55              | 0.5  | 0.05                 |
|  | ACCOUNT #: LSR010909           | BUY 1 Units @0.0000      |                      |                     |                    |                   |      |                      |
| 03/06/2018   | ***-**-753I - SABANOSH, ALAN   | RESOURCE REAL ESTATE-NFS | 0.00                 | 3.18                | 0.00               | 3.18              | 0.5  | 0.02                 |
|  | ACCOUNT #: LSR010909           | BUY 1 Units @0.0000      |                      |                     |                    |                   |      |                      |
| 03/06/2018   | ***-**-698J - FEISTHAMEL, MR   | RESOURCE REAL ESTATE-NFS | 0.00                 | 8.22                | 0.00               | 8.22              | 0.5  | 0.04                 |
|  | ACCOUNT #: LSR011137           | BUY 1 Units @0.0000      |                      |                     |                    |                   |      |                      |
| 03/06/2018   | ***-**-698J - FEISTHAMEL, MR   | RESOURCE REAL ESTATE-NFS | 0.00                 | 2.74                | 0.00               | 2.74              | 0.5  | 0.01                 |
|  | ACCOUNT #: LSR011137           | BUY 1 Units @0.0000      |                      |                     |                    |                   |      |                      |
| 03/06/2018   | ***-**-901O - DRUMM, LOIS      | RESOURCE REAL ESTATE-NFS | 0.00                 | 6.97                | 0.00               | 6.97              | 0.5  | 0.03                 |
|  | ACCOUNT #: LSR011609           | BUY 1 Units @0.0000      |                      |                     |                    |                   |      |                      |
| 03/06/2018   | ***-**-901O - DRUMM, LOIS      | RESOURCE REAL ESTATE-NFS | 0.00                 | 2.32                | 0.00               | 2.32              | 0.5  | 0.01                 |
|  | ACCOUNT #: LSR011609           | BUY 1 Units @0.0000      |                      |                     |                    |                   |      |                      |
| 03/06/2018   | ***-**-231J - MISHLANIE JR,    | RESOURCE REAL ESTATE-NFS | 0.00                 | 4.50                | 0.00               | 4.50              | 0.5  | 0.02                 |
|  | ACCOUNT #: LSR010927           | BUY 1 Units @0.0000      |                      |                     |                    |                   |      |                      |
| 03/06/2018   | ***-**-231J - MISHLANIE JR,    | RESOURCE REAL ESTATE-NFS | 0.00                 | 1.50                | 0.00               | 1.50              | 0.5  | 0.01                 |
|  | ACCOUNT #: LSR010927           | BUY 1 Units @0.0000      |                      |                     |                    |                   |      |                      |
| 03/06/2018   | ***-**-24TR - SCOTELLARO, L    | RESOURCE REAL ESTATE-NFS | 0.00                 | 11.09               | 0.00               | 11.09             | 0.5  | 0.06                 |
|  | ACCOUNT #: LSR010973           | BUY 1 Units @0.0000      |                      |                     |                    |                   |      |                      |



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|---|-------------------------------|--------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b> OVERRIDE TRANSACTIONS (continued)</b>         |                               |                          |                      |                     |                    |                   |      |                      |
| <b> <u>BROKER: DAVID GRIFFITH (continued)</u></b> |                               |                          |                      |                     |                    |                   |      |                      |
| 03/06/2018  | ***-**-24TR - SCOTELLARO, L   | RESOURCE REAL ESTATE-NFS | 0.00                 | 3.70                | 0.00               | 3.70              | 0.5  | 0.02                 |
|   | ACCOUNT #: LSR010973          | BUY 1 Units @0.0000      |                      |                     |                    |                   |      |                      |
| 03/06/2018  | ***-**-467I - PICKARD, BRIAN  | RESOURCE REAL ESTATE-NFS | 0.00                 | 6.33                | 0.00               | 6.33              | 0.5  | 0.03                 |
|   | ACCOUNT #: LSR010944          | BUY 1 Units @0.0000      |                      |                     |                    |                   |      |                      |
| 03/06/2018  | ***-**-467I - PICKARD, BRIAN  | RESOURCE REAL ESTATE-NFS | 0.00                 | 2.11                | 0.00               | 2.11              | 0.5  | 0.01                 |
|   | ACCOUNT #: LSR010944          | BUY 1 Units @0.0000      |                      |                     |                    |                   |      |                      |
| 03/06/2018  | ***-**-474J - HAGAN JR,       | RESOURCE REAL ESTATE-NFS | 0.00                 | 9.50                | 0.00               | 9.50              | 0.5  | 0.05                 |
|   | ACCOUNT #: LSR010993          | BUY 1 Units @0.0000      |                      |                     |                    |                   |      |                      |
| 03/06/2018  | ***-**-474J - HAGAN JR,       | RESOURCE REAL ESTATE-NFS | 0.00                 | 3.17                | 0.00               | 3.17              | 0.5  | 0.02                 |
|   | ACCOUNT #: LSR010993          | BUY 1 Units @0.0000      |                      |                     |                    |                   |      |                      |
| 03/06/2018  | ***-**-077O - GAUTHIER, LOUIS | RESOURCE REAL ESTATE-NFS | 0.00                 | 6.33                | 0.00               | 6.33              | 0.5  | 0.03                 |
|   | ACCOUNT #: LSR010905          | BUY 1 Units @0.0000      |                      |                     |                    |                   |      |                      |
| 03/06/2018  | ***-**-077O - GAUTHIER, LOUIS | RESOURCE REAL ESTATE-NFS | 0.00                 | 2.11                | 0.00               | 2.11              | 0.5  | 0.01                 |
|   | ACCOUNT #: LSR010905          | BUY 1 Units @0.0000      |                      |                     |                    |                   |      |                      |
| 03/06/2018  | ***-**-522J - RIEBEN, HENRY   | RESOURCE REAL ESTATE-NFS | 0.00                 | 17.05               | 0.00               | 17.05             | 0.5  | 0.09                 |
|   | ACCOUNT #: LSR010938          | BUY 1 Units @0.0000      |                      |                     |                    |                   |      |                      |
| 03/06/2018  | ***-**-522J - RIEBEN, HENRY   | RESOURCE REAL ESTATE-NFS | 0.00                 | 5.68                | 0.00               | 5.68              | 0.5  | 0.03                 |
|   | ACCOUNT #: LSR010938          | BUY 1 Units @0.0000      |                      |                     |                    |                   |      |                      |
| 03/06/2018  | ***-**-05IR - HULL, JEFF      | RESOURCE REAL ESTATE-NFS | 0.00                 | 5.13                | 0.00               | 5.13              | 0.5  | 0.03                 |
|   | ACCOUNT #: LSR011534          | BUY 1 Units @0.0000      |                      |                     |                    |                   |      |                      |
| 03/06/2018  | ***-**-05IR - HULL, JEFF      | RESOURCE REAL ESTATE-NFS | 0.00                 | 1.71                | 0.00               | 1.71              | 0.5  | 0.01                 |
|   | ACCOUNT #: LSR011534          | BUY 1 Units @0.0000      |                      |                     |                    |                   |      |                      |
| 03/06/2018  | ***-**-924J - FISH, ROY       | RESOURCE REAL ESTATE-NFS | 0.00                 | 3.13                | 0.00               | 3.13              | 0.5  | 0.02                 |
|   | ACCOUNT #: LSR010906          | BUY 1 Units @0.0000      |                      |                     |                    |                   |      |                      |
| 03/06/2018  | ***-**-924J - FISH, ROY       | RESOURCE REAL ESTATE-NFS | 0.00                 | 1.04                | 0.00               | 1.04              | 0.5  | 0.01                 |
|   | ACCOUNT #: LSR010906          | BUY 1 Units @0.0000      |                      |                     |                    |                   |      |                      |
| 03/06/2018  | ***-**-41TR - DAMSKY, BARRY   | RESOURCE REAL ESTATE-NFS | 0.00                 | 4.26                | 0.00               | 4.26              | 0.5  | 0.02                 |
|   | ACCOUNT #: LSR011340          | BUY 1 Units @0.0000      |                      |                     |                    |                   |      |                      |
| 03/06/2018  | ***-**-41TR - DAMSKY, BARRY   | RESOURCE REAL ESTATE-NFS | 0.00                 | 1.42                | 0.00               | 1.42              | 0.5  | 0.01                 |
|   | ACCOUNT #: LSR011340          | BUY 1 Units @0.0000      |                      |                     |                    |                   |      |                      |
| 03/06/2018  | ***-**-609J - CADY, PATRICK   | RESOURCE REAL ESTATE-NFS | 0.00                 | 1.95                | 0.00               | 1.95              | 0.5  | 0.01                 |
|   | ACCOUNT #: LSR011123          | BUY 1 Units @0.0000      |                      |                     |                    |                   |      |                      |



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|--|--------------------------------|--------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b>Override Transactions (continued)</b>         |                                |                          |                      |                     |                    |                   |      |                      |
| <b><u>BROKER: DAVID GRIFFITH (continued)</u></b> |                                |                          |                      |                     |                    |                   |      |                      |
| 03/06/2018                                       | ***-**-05IN - HULL, JEFFERY    | RESOURCE REAL ESTATE-NFS | 0.00                 | 7.61                | 0.00               | 7.61              | 0.5  | 0.04                 |
|  | ACCOUNT #: LSR011187           | BUY 1 Units @0.0000      |                      |                     |                    |                   |      |                      |
| 03/06/2018                                       | ***-**-05IN - HULL, JEFFERY    | RESOURCE REAL ESTATE-NFS | 0.00                 | 2.54                | 0.00               | 2.54              | 0.5  | 0.01                 |
|  | ACCOUNT #: LSR011187           | BUY 1 Units @0.0000      |                      |                     |                    |                   |      |                      |
| 03/06/2018                                       | ***-**-08TR - SCOTELLARO III,  | RESOURCE REAL ESTATE-NFS | 0.00                 | 6.09                | 0.00               | 6.09              | 0.5  | 0.03                 |
|  | ACCOUNT #: LSR010975           | BUY 1 Units @0.0000      |                      |                     |                    |                   |      |                      |
| 03/06/2018                                       | ***-**-08TR - SCOTELLARO III,  | RESOURCE REAL ESTATE-NFS | 0.00                 | 2.03                | 0.00               | 2.03              | 0.5  | 0.01                 |
|  | ACCOUNT #: LSR010975           | BUY 1 Units @0.0000      |                      |                     |                    |                   |      |                      |
| 03/06/2018                                       | ***-**-319I - HILLEBRAND, JOAN | RESOURCE REAL ESTATE-NFS | 0.00                 | 6.70                | 0.00               | 6.70              | 0.5  | 0.03                 |
|  | ACCOUNT #: LSR011002           | BUY 1 Units @0.0000      |                      |                     |                    |                   |      |                      |
| 03/06/2018                                       | ***-**-319I - HILLEBRAND, JOAN | RESOURCE REAL ESTATE-NFS | 0.00                 | 2.23                | 0.00               | 2.23              | 0.5  | 0.01                 |
|  | ACCOUNT #: LSR011002           | BUY 1 Units @0.0000      |                      |                     |                    |                   |      |                      |
| 03/06/2018                                       | ***-**-914J - KALAMAS, SHIRLEY | RESOURCE REAL ESTATE-NFS | 0.00                 | 3.66                | 0.00               | 3.66              | 0.5  | 0.02                 |
|  | ACCOUNT #: LSR010904           | BUY 1 Units @0.0000      |                      |                     |                    |                   |      |                      |
| 03/06/2018                                       | ***-**-914J - KALAMAS, SHIRLEY | RESOURCE REAL ESTATE-NFS | 0.00                 | 1.22                | 0.00               | 1.22              | 0.5  | 0.01                 |
|  | ACCOUNT #: LSR010904           | BUY 1 Units @0.0000      |                      |                     |                    |                   |      |                      |
| 03/06/2018                                       | ***-**-53TR - SABANOSH, ALAN R | RESOURCE REAL ESTATE-NFS | 0.00                 | 9.14                | 0.00               | 9.14              | 0.5  | 0.05                 |
|  | ACCOUNT #: LSR010917           | BUY 1 Units @0.0000      |                      |                     |                    |                   |      |                      |
| 03/06/2018                                       | ***-**-53TR - SABANOSH, ALAN R | RESOURCE REAL ESTATE-NFS | 0.00                 | 3.05                | 0.00               | 3.05              | 0.5  | 0.02                 |
|  | ACCOUNT #: LSR010917           | BUY 1 Units @0.0000      |                      |                     |                    |                   |      |                      |
| 03/06/2018                                       | ***-**-804I - RIEBEN, ANNE     | RESOURCE REAL ESTATE-NFS | 0.00                 | 6.70                | 0.00               | 6.70              | 0.5  | 0.03                 |
|  | ACCOUNT #: LSR010877           | BUY 1 Units @0.0000      |                      |                     |                    |                   |      |                      |
| 03/06/2018                                       | ***-**-804I - RIEBEN, ANNE     | RESOURCE REAL ESTATE-NFS | 0.00                 | 2.23                | 0.00               | 2.23              | 0.5  | 0.01                 |
|  | ACCOUNT #: LSR010877           | BUY 1 Units @0.0000      |                      |                     |                    |                   |      |                      |
| 03/06/2018                                       | ***-**-423I - SAVICKI, RICHARD | RESOURCE REAL ESTATE-NFS | 0.00                 | 6.70                | 0.00               | 6.70              | 0.5  | 0.03                 |
|  | ACCOUNT #: LSR010889           | BUY 1 Units @0.0000      |                      |                     |                    |                   |      |                      |
| 03/06/2018                                       | ***-**-423I - SAVICKI, RICHARD | RESOURCE REAL ESTATE-NFS | 0.00                 | 2.23                | 0.00               | 2.23              | 0.5  | 0.01                 |
|  | ACCOUNT #: LSR010889           | BUY 1 Units @0.0000      |                      |                     |                    |                   |      |                      |
| 03/06/2018                                       | ***-**-753I - SABANOSH, ALAN   | RESOURCE REAL ESTATE-NFS | 0.00                 | 9.14                | 0.00               | 9.14              | 0.5  | 0.05                 |
|  | ACCOUNT #: LSR010909           | BUY 1 Units @0.0000      |                      |                     |                    |                   |      |                      |
| 03/06/2018                                       | ***-**-753I - SABANOSH, ALAN   | RESOURCE REAL ESTATE-NFS | 0.00                 | 3.05                | 0.00               | 3.05              | 0.5  | 0.02                 |
|  | ACCOUNT #: LSR010909           | BUY 1 Units @0.0000      |                      |                     |                    |                   |      |                      |



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|---|---|---|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b> OVERRIDE TRANSACTIONS (continued)</b>         |   |   |                      |                     |                    |                   |      |                      |
| <b> <u>BROKER: DAVID GRIFFITH (continued)</u></b> |   |   |                      |                     |                    |                   |      |                      |
| 03/06/2018  | ***-**-698J - FEISTHAMEL, MR<br>ACCOUNT #: LSR011137  | RESOURCE REAL ESTATE-NFS<br>BUY 1 Units @0.0000 | 0.00                 | 7.87                | 0.00               | 7.87              | 0.5  | 0.04                 |
| 03/06/2018  | ***-**-698J - FEISTHAMEL, MR<br>ACCOUNT #: LSR011137  | RESOURCE REAL ESTATE-NFS<br>BUY 1 Units @0.0000 | 0.00                 | 2.62                | 0.00               | 2.62              | 0.5  | 0.01                 |
| 03/06/2018  | ***-**-901O - DRUMM, LOIS<br>ACCOUNT #: LSR011609     | RESOURCE REAL ESTATE-NFS<br>BUY 1 Units @0.0000 | 0.00                 | 6.67                | 0.00               | 6.67              | 0.5  | 0.03                 |
| 03/06/2018  | ***-**-901O - DRUMM, LOIS<br>ACCOUNT #: LSR011609     | RESOURCE REAL ESTATE-NFS<br>BUY 1 Units @0.0000 | 0.00                 | 2.22                | 0.00               | 2.22              | 0.5  | 0.01                 |
| 03/06/2018  | ***-**-231J - MISHLANIE JR,<br>ACCOUNT #: LSR010927   | RESOURCE REAL ESTATE-NFS<br>BUY 1 Units @0.0000 | 0.00                 | 4.30                | 0.00               | 4.30              | 0.5  | 0.02                 |
| 03/06/2018  | ***-**-231J - MISHLANIE JR,<br>ACCOUNT #: LSR010927   | RESOURCE REAL ESTATE-NFS<br>BUY 1 Units @0.0000 | 0.00                 | 1.43                | 0.00               | 1.43              | 0.5  | 0.01                 |
| 03/06/2018  | ***-**-24TR - SCOTELLARO, L<br>ACCOUNT #: LSR010973   | RESOURCE REAL ESTATE-NFS<br>BUY 1 Units @0.0000 | 0.00                 | 10.61               | 0.00               | 10.61             | 0.5  | 0.05                 |
| 03/06/2018  | ***-**-24TR - SCOTELLARO, L<br>ACCOUNT #: LSR010973   | RESOURCE REAL ESTATE-NFS<br>BUY 1 Units @0.0000 | 0.00                 | 3.54                | 0.00               | 3.54              | 0.5  | 0.02                 |
| 03/06/2018  | ***-**-467I - PICKARD, BRIAN<br>ACCOUNT #: LSR010944  | RESOURCE REAL ESTATE-NFS<br>BUY 1 Units @0.0000 | 0.00                 | 6.06                | 0.00               | 6.06              | 0.5  | 0.03                 |
| 03/06/2018  | ***-**-467I - PICKARD, BRIAN<br>ACCOUNT #: LSR010944  | RESOURCE REAL ESTATE-NFS<br>BUY 1 Units @0.0000 | 0.00                 | 2.02                | 0.00               | 2.02              | 0.5  | 0.01                 |
| 03/06/2018  | ***-**-474J - HAGAN JR,<br>ACCOUNT #: LSR010993       | RESOURCE REAL ESTATE-NFS<br>BUY 1 Units @0.0000 | 0.00                 | 9.09                | 0.00               | 9.09              | 0.5  | 0.05                 |
| 03/06/2018  | ***-**-474J - HAGAN JR,<br>ACCOUNT #: LSR010993       | RESOURCE REAL ESTATE-NFS<br>BUY 1 Units @0.0000 | 0.00                 | 3.03                | 0.00               | 3.03              | 0.5  | 0.02                 |
| 03/06/2018  | ***-**-077O - GAUTHIER, LOUIS<br>ACCOUNT #: LSR010905 | RESOURCE REAL ESTATE-NFS<br>BUY 1 Units @0.0000 | 0.00                 | 6.06                | 0.00               | 6.06              | 0.5  | 0.03                 |
| 03/06/2018  | ***-**-077O - GAUTHIER, LOUIS<br>ACCOUNT #: LSR010905 | RESOURCE REAL ESTATE-NFS<br>BUY 1 Units @0.0000 | 0.00                 | 2.02                | 0.00               | 2.02              | 0.5  | 0.01                 |
| 03/06/2018  | ***-**-522J - RIEBEN, HENRY<br>ACCOUNT #: LSR010938   | RESOURCE REAL ESTATE-NFS<br>BUY 1 Units @0.0000 | 0.00                 | 16.51               | 0.00               | 16.51             | 0.5  | 0.08                 |
| 03/06/2018  | ***-**-522J - RIEBEN, HENRY<br>ACCOUNT #: LSR010938   | RESOURCE REAL ESTATE-NFS<br>BUY 1 Units @0.0000 | 0.00                 | 5.50                | 0.00               | 5.50              | 0.5  | 0.03                 |



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|---|--|--|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b> OVERRIDE TRANSACTIONS (continued)</b>         |  |  |                      |                     |                    |                   |      |                      |
| <b> <u>BROKER: DAVID GRIFFITH (continued)</u></b> |  |  |                      |                     |                    |                   |      |                      |
| 03/06/2018  | ***-**-05IR - HULL, JEFF<br>ACCOUNT #: LSR011534         | RESOURCE REAL ESTATE-NFS<br>BUY 1 Units @0.0000            | 0.00                 | 3.93                | 0.00               | 3.93              | 0.5  | 0.02                 |
| 03/06/2018  | ***-**-05IR - HULL, JEFF<br>ACCOUNT #: LSR011534         | RESOURCE REAL ESTATE-NFS<br>BUY 1 Units @0.0000            | 0.00                 | 1.31                | 0.00               | 1.31              | 0.5  | 0.01                 |
| 03/06/2018  | ***-**-22IN - GRACIE, JULIA<br>ACCOUNT #: LSR011019      | RESOURCE REAL ESTATES-NFS<br>BUY 1 Units @0.0000           | 0.00                 | 2.72                | 0.00               | 2.72              | 0.5  | 0.01                 |
| 03/06/2018  | ***-**-22IN - GRACIE, JULIA<br>ACCOUNT #: LSR011019      | RESOURCE REAL ESTATES-NFS<br>BUY 1 Units @0.0000           | 0.00                 | 2.75                | 0.00               | 2.75              | 0.5  | 0.01                 |
| 03/06/2018  | ***-**-22IN - GRACIE, JULIA<br>ACCOUNT #: LSR011019      | RESOURCE REAL ESTATES-NFS<br>BUY 1 Units @0.0000           | 0.00                 | 2.64                | 0.00               | 2.64              | 0.5  | 0.01                 |
| 03/01/2018  | ***-**-244I - BURTON, RICHARD<br>ACCOUNT #: 00065159109  | RTMT INCOME PORTFOLIO CONSERVATIVE-<br>BUY 0 Units @0.0000 | 0.00                 | 8.85                | 0.00               | 8.85              | 0.5  | 0.04                 |
| 03/01/2018  | ***-**-595P - MUTH, MARIA<br>ACCOUNT #: 00088943357      | SMALLCAP WORLD FUND-529C<br>BUY 0 Units @0.0000            | 0.00                 | 3.00                | 0.00               | 3.00              | 0.5  | 0.02                 |
| 03/01/2018  | ***-**-9156 - SIMPSON, PATRICK<br>ACCOUNT #: 00074686908 | SMALLCAP WORLD FUND-A<br>BUY 0 Units @0.0000               | 0.00                 | 11.87               | 0.00               | 11.87             | 0.5  | 0.06                 |
| 03/01/2018  | ***-**-5485 - GAETANO,<br>ACCOUNT #: 00082975488         | SMALLCAP WORLD FUND-A<br>BUY 0 Units @0.0000               | 0.00                 | 3.19                | 0.00               | 3.19              | 0.5  | 0.02                 |
| 03/01/2018  | ***-**-0040 - GRIFFITH,<br>ACCOUNT #: 00083176630        | SMALLCAP WORLD FUND-A<br>BUY 0 Units @0.0000               | 0.00                 | 3.87                | 0.00               | 3.87              | 0.5  | 0.02                 |
| 03/01/2018  | ***-**-968I - THIBAUT JR,<br>ACCOUNT #: 00064875131      | SMALLCAP WORLD FUND-A<br>BUY 0 Units @0.0000               | 0.00                 | 2.51                | 0.00               | 2.51              | 0.5  | 0.01                 |
| 03/01/2018  | ***-**-36IN - GAUTHIER,<br>ACCOUNT #: 00068814424        | SMALLCAP WORLD FUND-A<br>BUY 0 Units @0.0000               | 0.00                 | 8.96                | 0.00               | 8.96              | 0.5  | 0.04                 |
| 03/01/2018  | ***-**-26IR - BROWN, MARISSA<br>ACCOUNT #: 00081497402   | SMALLCAP WORLD FUND-A<br>BUY 0 Units @0.0000               | 0.00                 | 1.10                | 0.00               | 1.10              | 0.5  | 0.01                 |
| 03/01/2018  | ***-**-25IR - REDMOND, SEAN<br>ACCOUNT #: 00088078685    | SMALLCAP WORLD FUND-A<br>BUY 0 Units @0.0000               | 0.00                 | 1.58                | 0.00               | 1.58              | 0.5  | 0.01                 |
| 03/01/2018  | ***-**-90IN - SPINA, MARK<br>ACCOUNT #: 00088527332      | SMALLCAP WORLD FUND-C<br>BUY 0 Units @0.0000               | 0.00                 | 8.09                | 0.00               | 8.09              | 0.5  | 0.04                 |
| 03/01/2018  | ***-**-244I - BURTON, RICHARD<br>ACCOUNT #: 00065159109  | SMALLCAP WORLD FUND-C<br>BUY 0 Units @0.0000               | 0.00                 | 10.96               | 0.00               | 10.96             | 0.5  | 0.05                 |



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| DATE  | CLIENT                        | INVESTMENT                      | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|---|-------------------------------|---------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b> OVERRIDE TRANSACTIONS (continued)</b>         |                               |                                 |                      |                     |                    |                   |      |                      |
| <b> <u>BROKER: DAVID GRIFFITH (continued)</u></b> |                               |                                 |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-60IN - SCHRADER, KEVIN | SMALLCAP WORLD FUND-C           | 0.00                 | 9.54                | 0.00               | 9.54              | 0.5  | 0.05                 |
|   | ACCOUNT #: 00088507883        | BUY 0 Units @0.0000             |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-953I - DINITTO, NICOLE | SMALLCAP WORLD FUND-C           | 0.00                 | 1.36                | 0.00               | 1.36              | 0.5  | 0.01                 |
|   | ACCOUNT #: 00088593891        | BUY 0 Units @0.0000             |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-04IN - CLEARY, STEPHEN | SMALLCAP WORLD FUND-C           | 0.00                 | 3.74                | 0.00               | 3.74              | 0.5  | 0.02                 |
|   | ACCOUNT #: 00088608566        | BUY 0 Units @0.0000             |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-58IN - SCHRECK, RYAN   | SMALLCAP WORLD FUND-C           | 0.00                 | 3.60                | 0.00               | 3.60              | 0.5  | 0.02                 |
|   | ACCOUNT #: 00088659742        | BUY 0 Units @0.0000             |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-817I - WADSWORTH,      | THE BOND FUND OF AMERICA-A      | 0.00                 | 4.54                | 0.00               | 4.54              | 0.5  | 0.02                 |
|   | ACCOUNT #: 00067441742        | BUY 0 Units @0.0000             |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-244I - BURTON, RICHARD | THE BOND FUND OF AMERICA-C      | 0.00                 | 7.29                | 0.00               | 7.29              | 0.5  | 0.04                 |
|   | ACCOUNT #: 00065159109        | BUY 0 Units @0.0000             |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-675P - PICKARD, BRIAN  | THE GROWTH FUND OF AMERICA-529C | 0.00                 | 5.19                | 0.00               | 5.19              | 0.5  | 0.03                 |
|   | ACCOUNT #: 00088359310        | BUY 0 Units @0.0000             |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-675P - PICKARD, BRIAN  | THE GROWTH FUND OF AMERICA-529C | 0.00                 | 2.34                | 0.00               | 2.34              | 0.5  | 0.01                 |
|   | ACCOUNT #: 00088359322        | BUY 0 Units @0.0000             |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-5485 - GAETANO,        | THE GROWTH FUND OF AMERICA-A    | 0.00                 | 2.62                | 0.00               | 2.62              | 0.5  | 0.01                 |
|   | ACCOUNT #: 00082975488        | BUY 0 Units @0.0000             |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-0040 - GRIFFITH,       | THE GROWTH FUND OF AMERICA-A    | 0.00                 | 2.26                | 0.00               | 2.26              | 0.5  | 0.01                 |
|   | ACCOUNT #: 00083176630        | BUY 0 Units @0.0000             |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-968I - THIBAUT JR,     | THE GROWTH FUND OF AMERICA-A    | 0.00                 | 2.17                | 0.00               | 2.17              | 0.5  | 0.01                 |
|   | ACCOUNT #: 00064875131        | BUY 0 Units @0.0000             |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-817I - WADSWORTH,      | THE GROWTH FUND OF AMERICA-A    | 0.00                 | 10.46               | 0.00               | 10.46             | 0.5  | 0.05                 |
|   | ACCOUNT #: 00067441742        | BUY 0 Units @0.0000             |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-225P - DAMSKY, CYNTHIA | THE GROWTH FUND OF AMERICA-A    | 0.00                 | 2.57                | 0.00               | 2.57              | 0.5  | 0.01                 |
|   | ACCOUNT #: 00068200312        | BUY 0 Units @0.0000             |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-36IN - GAUTHIER,       | THE GROWTH FUND OF AMERICA-A    | 0.00                 | 7.96                | 0.00               | 7.96              | 0.5  | 0.04                 |
|   | ACCOUNT #: 00068814424        | BUY 0 Units @0.0000             |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-25IR - REDMOND, SEAN   | THE GROWTH FUND OF AMERICA-A    | 0.00                 | 2.85                | 0.00               | 2.85              | 0.5  | 0.01                 |
|   | ACCOUNT #: 00088078685        | BUY 0 Units @0.0000             |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-675P - PICKARD, BRIAN  | THE INCOME FUND OF AMERICA-529C | 0.00                 | 6.81                | 0.00               | 6.81              | 0.5  | 0.03                 |
|   | ACCOUNT #: 00088359310        | BUY 0 Units @0.0000             |                      |                     |                    |                   |      |                      |



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|--|--|--|----------------------|---------------------|--------------------|---------------------|------|----------------------|
| <b> OVERRIDE TRANSACTIONS (continued) </b>         |  |  |                      |                     |                    |                     |      |                      |
| <b> <u>BROKER: DAVID GRIFFITH (continued)</u> </b> |  |  |                      |                     |                    |                     |      |                      |
| 03/01/2018   | ***-**-675P - PICKARD, BRIAN<br>ACCOUNT #: 00088359322   | THE INCOME FUND OF AMERICA-529C<br>BUY 0 Units @0.0000     | 0.00                 | 5.71                | 0.00               | 5.71                | 0.5  | 0.03                 |
| 03/01/2018   | ***-**-595P - MUTH, MARIA<br>ACCOUNT #: 00088943357      | THE INCOME FUND OF AMERICA-529C<br>BUY 0 Units @0.0000     | 0.00                 | 5.90                | 0.00               | 5.90                | 0.5  | 0.03                 |
| 03/01/2018   | ***-**-64IN - KIO, EVELYN<br>ACCOUNT #: 00067349392      | THE INCOME FUND OF AMERICA-A<br>BUY 0 Units @0.0000        | 0.00                 | 1.67                | 0.00               | 1.67                | 0.5  | 0.01                 |
| 03/01/2018   | ***-**-225P - DAMSKY, CYNTHIA<br>ACCOUNT #: 00068200312  | THE INCOME FUND OF AMERICA-A<br>BUY 0 Units @0.0000        | 0.00                 | 1.38                | 0.00               | 1.38                | 0.5  | 0.01                 |
| 03/01/2018   | ***-**-469I - HAUCK, JUDITH<br>ACCOUNT #: 00087147439    | THE INCOME FUND OF AMERICA-A<br>BUY 0 Units @0.0000        | 0.00                 | 20.32               | 0.00               | 20.32               | 0.5  | 0.10                 |
| 03/01/2018   | ***-**-716I - BUCZEK, DENISE<br>ACCOUNT #: 00088176764   | THE INCOME FUND OF AMERICA-A<br>BUY 0 Units @0.0000        | 0.00                 | 3.97                | 0.00               | 3.97                | 0.5  | 0.02                 |
| 03/06/2018   | ***-**-803J - TEESDALE,<br>ACCOUNT #: LSR011017          | THE INCOME FUND OF AMERICA-A<br>SELL 72 Units @23.1500     | 1,662.47             | 1.99                | 0.00               | 1.99                | 0.5  | 0.01                 |
| 03/01/2018   | ***-**-244I - BURTON, RICHARD<br>ACCOUNT #: 00065159109  | THE INCOME FUND OF AMERICA-F1<br>BUY 0 Units @0.0000       | 0.00                 | 1.97                | 0.00               | 1.97                | 0.5  | 0.01                 |
| 03/01/2018   | ***-**-58IN - CADY, GAIL<br>ACCOUNT #: 00064492350       | THE INVESTMENT COMPANY OF AMERICA-A<br>BUY 0 Units @0.0000 | 0.00                 | 2.73                | 0.00               | 2.73                | 0.5  | 0.01                 |
| 03/01/2018   | ***-**-3429 - ALOISIO, NATHAN<br>ACCOUNT #: 00084955932  | THE INVESTMENT COMPANY OF AMERICA-A<br>BUY 0 Units @0.0000 | 0.00                 | 2.41                | 0.00               | 2.41                | 0.5  | 0.01                 |
| 03/01/2018   | ***-**-9156 - SIMPSON, PATRICK<br>ACCOUNT #: 00074686908 | THE NEW ECONOMY FUND-A<br>BUY 0 Units @0.0000              | 0.00                 | 9.29                | 0.00               | 9.29                | 0.5  | 0.05                 |
| 03/01/2018   | ***-**-244I - BURTON, RICHARD<br>ACCOUNT #: 00065159109  | THE NEW ECONOMY FUND-A<br>BUY 0 Units @0.0000              | 0.00                 | 1.56                | 0.00               | 1.56                | 0.5  | 0.01                 |
| 03/01/2018   | ***-**-244I - BURTON, RICHARD<br>ACCOUNT #: 00065159109  | THE NEW ECONOMY FUND-C<br>BUY 0 Units @0.0000              | 0.00                 | 13.18               | 0.00               | 13.18               | 0.5  | 0.07                 |
| 03/01/2018   | ***-**-39IN - CLEARY, KAREN<br>ACCOUNT #: 00088635688    | U.S. GOVERNMENT SECURITIES FUND-C<br>BUY 0 Units @0.0000   | 0.00                 | 2.01                | 0.00               | 2.01                | 0.5  | 0.01                 |
| 03/01/2018   | ***-**-0040 - GRIFFITH,<br>ACCOUNT #: 00083176630        | WASHINGTON MUTUAL INVESTORS FUND-A<br>BUY 0 Units @0.0000  | 0.00                 | 5.50                | 0.00               | 5.50                | 0.5  | 0.03                 |
| 03/01/2018   | ***-**-817I - WADSWORTH,<br>ACCOUNT #: 00067441742       | WASHINGTON MUTUAL INVESTORS FUND-A<br>BUY 0 Units @0.0000  | 0.00                 | 17.56               | 0.00               | 17.56               | 0.5  | 0.09                 |
| <b> * DAVID GRIFFITH SUBTOTAL * </b>               |  |  | <b> \$12,207.60 </b> | <b> \$1,814.18 </b> | <b> \$0.00 </b>    | <b> \$1,814.18 </b> |      | <b> \$9.20 </b>      |



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|---|-------------------------------|-------------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b><u> OVERRIDE TRANSACTIONS (continued) </u></b> |                               |                                     |                      |                     |                    |                   |      |                      |
| <b><u>BROKER: PAUL AGLIATA</u></b>                |                               |                                     |                      |                     |                    |                   |      |                      |
| 03/12/2018  | ***-**-802X - SWAIN, TRACEY   | NUVEEN SMALL CAP GROWTH OPPORT CL A | 0.00                 | 6.90                | 0.00               | 6.90              | 0.5  | 0.03                 |
|   | ACCOUNT #: LSR011245          | BUY 1 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/12/2018  | ***-**-8530 - MCGILL, TOD     | NUVEEN SMALL CAP GROWTH OPPORT CL A | 0.00                 | 7.89                | 0.00               | 7.89              | 0.5  | 0.04                 |
|   | ACCOUNT #: LSR011720          | BUY 1 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| * PAUL AGLIATA SUBTOTAL *                         |                               |                                     | \$0.00               | \$14.79             | \$0.00             | \$14.79           |      | \$0.07               |
| <b><u>BROKER: DENNIS CONNOR</u></b>               |                               |                                     |                      |                     |                    |                   |      |                      |
| 03/12/2018  | ***-**-101I - LEMOINE, STEVEN | AIM DEVELOPING MARKETS FUND CLASS A | 0.00                 | 7.93                | 0.00               | 7.93              | 0.5  | 0.04                 |
|   | ACCOUNT #: LSR011390          | BUY 1 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-002I - FISCHER, ALLYSE | AMCAP FUND-A                        | 0.00                 | 1.99                | 0.00               | 1.99              | 0.5  | 0.01                 |
|   | ACCOUNT #: 00088603553        | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-002I - FISCHER, ALLYSE | AMERICAN MUTUAL FUND-A              | 0.00                 | 1.36                | 0.00               | 1.36              | 0.5  | 0.01                 |
|   | ACCOUNT #: 00088603553        | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/12/2018  | ***-**-6710 - EVA JAYNE       | DELAWARE EXTENDED DURATION BOND FUN | 0.00                 | 1.81                | 0.00               | 1.81              | 0.5  | 0.01                 |
|   | ACCOUNT #: LSR011403          | BUY 1 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/12/2018  | ***-**-572I - MELIN, LUCILLE  | DELAWARE EXTENDED DURATION BOND FUN | 0.00                 | 2.17                | 0.00               | 2.17              | 0.5  | 0.01                 |
|   | ACCOUNT #: LSR011508          | BUY 1 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/12/2018  | ***-**-6710 - EVA JAYNE       | DELAWARE HEALTHCARE FUND CLASS A    | 0.00                 | 8.50                | 0.00               | 8.50              | 0.5  | 0.04                 |
|   | ACCOUNT #: LSR011403          | BUY 1 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/07/2018  | ***-**-0075 - MEHIT, LAURA    | FIDELITY ADV EMERGING MRKTS INC CL  | 0.00                 | 1.86                | 0.00               | 1.86              | 0.5  | 0.01                 |
|   | ACCOUNT #: 00522408038        | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/07/2018  | ***-**-0075 - MEHIT, LAURA    | FIDELITY ADV EMERGING MRKTS INC CL  | 0.00                 | 2.43                | 0.00               | 2.43              | 0.5  | 0.01                 |
|   | ACCOUNT #: 00700847502        | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/07/2018  | ***-**-0075 - MEHIT, LAURA    | FIDELITY ADV ENERGY-CL A            | 0.00                 | 1.29                | 0.00               | 1.29              | 0.5  | 0.01                 |
|   | ACCOUNT #: 00522408038        | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/07/2018  | ***-**-4110 - KAVANAGH,       | FIDELITY ADV ENERGY-CL A            | 0.00                 | 1.02                | 0.00               | 1.02              | 0.5  | 0.01                 |
|   | ACCOUNT #: 00529439069        | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/07/2018  | ***-**-0075 - MEHIT, LAURA    | FIDELITY ADV ENERGY-CL A            | 0.00                 | 1.41                | 0.00               | 1.41              | 0.5  | 0.01                 |
|   | ACCOUNT #: 00700847502        | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/07/2018  | ***-**-4110 - KAVANAGH,       | FIDELITY ADV HIGH INCOME ADVANTAGE  | 0.00                 | 1.88                | 0.00               | 1.88              | 0.5  | 0.01                 |
|   | ACCOUNT #: 00529439069        | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/07/2018  | ***-**-0075 - MEHIT, LAURA    | FIDELITY ADV HIGH INCOME ADVANTAGE  | 0.00                 | 2.26                | 0.00               | 2.26              | 0.5  | 0.01                 |
|   | ACCOUNT #: 00700847502        | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |





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|---|---|--|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b><u> OVERRIDE TRANSACTIONS (continued) </u></b> |   |  |                      |                     |                    |                   |      |                      |
| <b><u>BROKER: DENNIS CONNOR (continued)</u></b>   |   |  |                      |                     |                    |                   |      |                      |
| 03/07/2018  | ***-**-6182 - BOWSER,<br>ACCOUNT #: 00530590686         | FIDELITY ADV LEVERAGED CO STOCK CL<br>BUY 0 Units @0.0000  | 0.00                 | 1.04                | 0.00               | 1.04              | 0.5  | 0.01                 |
| 03/07/2018  | ***-**-0075 - MEHIT, LAURA<br>ACCOUNT #: 00700847502    | FIDELITY ADV LEVERAGED CO STOCK CL<br>BUY 0 Units @0.0000  | 0.00                 | 2.51                | 0.00               | 2.51              | 0.5  | 0.01                 |
| 03/07/2018  | ***-**-0075 - MEHIT, LAURA<br>ACCOUNT #: 00519256879    | FIDELITY ADV SMALL CAP-CL A<br>BUY 0 Units @0.0000         | 0.00                 | 1.22                | 0.00               | 1.22              | 0.5  | 0.01                 |
| 03/07/2018  | ***-**-0075 - MEHIT, LAURA<br>ACCOUNT #: 00522408038    | FIDELITY ADV SMALL CAP-CL A<br>BUY 0 Units @0.0000         | 0.00                 | 2.16                | 0.00               | 2.16              | 0.5  | 0.01                 |
| 03/07/2018  | ***-**-4110 - KAVANAGH,<br>ACCOUNT #: 00529439069       | FIDELITY ADV SMALL CAP-CL A<br>BUY 0 Units @0.0000         | 0.00                 | 1.94                | 0.00               | 1.94              | 0.5  | 0.01                 |
| 03/07/2018  | ***-**-0075 - MEHIT, LAURA<br>ACCOUNT #: 00519256879    | FIDELITY ADV VALUE STRATEGIES-CL A<br>BUY 0 Units @0.0000  | 0.00                 | 1.26                | 0.00               | 1.26              | 0.5  | 0.01                 |
| 03/07/2018  | ***-**-0075 - MEHIT, LAURA<br>ACCOUNT #: 00522408038    | FIDELITY ADV VALUE STRATEGIES-CL A<br>BUY 0 Units @0.0000  | 0.00                 | 2.46                | 0.00               | 2.46              | 0.5  | 0.01                 |
| 03/07/2018  | ***-**-0075 - MEHIT, LAURA<br>ACCOUNT #: 00700847502    | FIDELITY ADV VALUE STRATEGIES-CL A<br>BUY 0 Units @0.0000  | 0.00                 | 2.38                | 0.00               | 2.38              | 0.5  | 0.01                 |
| 03/07/2018  | ***-**-0075 - MEHIT, LAURA<br>ACCOUNT #: 00519256879    | FIDELITY ADVISOR MID CAP STOCK CL A<br>BUY 0 Units @0.0000 | 0.00                 | 1.13                | 0.00               | 1.13              | 0.5  | 0.01                 |
| 03/07/2018  | ***-**-0075 - MEHIT, LAURA<br>ACCOUNT #: 00522408038    | FIDELITY ADVISOR REAL ESTATE FUND C<br>BUY 0 Units @0.0000 | 0.00                 | 2.09                | 0.00               | 2.09              | 0.5  | 0.01                 |
| 03/07/2018  | ***-**-4110 - KAVANAGH,<br>ACCOUNT #: 00529439069       | FIDELITY ADVISORS TRAILS<br>BUY 0 Units @0.0000            | 0.00                 | 2.49                | 0.00               | 2.49              | 0.5  | 0.01                 |
| 03/01/2018  | ***-**-002I - FISCHER, ALLYSE<br>ACCOUNT #: 00088603553 | FUNDAMENTAL INVESTORS-A<br>BUY 0 Units @0.0000             | 0.00                 | 1.90                | 0.00               | 1.90              | 0.5  | 0.01                 |
| 03/12/2018  | ***-**-101I - LEMOINE, STEVEN<br>ACCOUNT #: LSR011390   | INVESCO VAN KAMPEN COMSTOCK CLASS A<br>BUY 1 Units @0.0000 | 0.00                 | 6.30                | 0.00               | 6.30              | 0.5  | 0.03                 |
| 03/12/2018  | ***-**-101I - LEMOINE, STEVEN<br>ACCOUNT #: LSR011390   | INVESCO VAN KAMPEN SMALL CAP VALUE<br>BUY 1 Units @0.0000  | 0.00                 | 9.96                | 0.00               | 9.96              | 0.5  | 0.05                 |
| 02/28/2018  | ***-**-8973 - MIRABELL,<br>ACCOUNT #: 00500433776       | LARGCAP GROWTH - CLASS A<br>BUY 2 Units @18.0100           | 30.00                | 1.50                | 0.00               | 1.50              | 0.5  | 0.01                 |
| 03/12/2018  | ***-**-255I - GRAHAM, DEBORAH<br>ACCOUNT #: LSR011397   | MFS CONSERVATIVE ALLOCATION FUND-B<br>BUY 1 Units @0.0000  | 0.00                 | 1.98                | 0.00               | 1.98              | 0.5  | 0.01                 |



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|---|---|--|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b><u>VERRIDE TRANSACTIONS (continued)</u></b>  |   |  |                      |                     |                    |                   |      |                      |
| <b><u>BROKER: DENNIS CONNOR (continued)</u></b> |   |  |                      |                     |                    |                   |      |                      |
| 03/12/2018                                      | ***-**-6710 - EVA JAYNE<br>ACCOUNT #: LSR011403         | MFS INTERNATIONAL NEW DISCOVERY FUN<br>BUY 1 Units @0.0000 | 0.00                 | 5.81                | 0.00               | 5.81              | 0.5  | 0.03                 |
| 03/12/2018                                      | ***-**-6710 - EVA JAYNE<br>ACCOUNT #: LSR011403         | MFS INTERNATIONAL VALUE FUND-A<br>BUY 1 Units @0.0000      | 0.00                 | 7.03                | 0.00               | 7.03              | 0.5  | 0.04                 |
| 03/12/2018                                      | ***-**-255I - GRAHAM, DEBORAH<br>ACCOUNT #: LSR011397   | MFS UTILITIES FUND-B<br>BUY 1 Units @0.0000                | 0.00                 | 2.30                | 0.00               | 2.30              | 0.5  | 0.01                 |
| 03/12/2018                                      | ***-**-4566 - HEALY, KATHLEEN<br>ACCOUNT #: 77342237501 | NEW YORK 529 TRAILS<br>BUY 0 Units @0.0000                 | 0.00                 | 16.74               | 0.00               | 16.74             | 0.5  | 0.08                 |
| 03/12/2018                                      | ***-**-1832 - WEISMAN, DORIS                            | NEW YORK 529 TRAILS<br>BUY 0 Units @0.0000                 | 0.00                 | 5.74                | 0.00               | 5.74              | 0.5  | 0.03                 |
| 03/12/2018                                      | ***-**-7319 - ROTONDI, LAURA                            | NEW YORK 529 TRAILS<br>BUY 0 Units @0.0000                 | 0.00                 | 1.06                | 0.00               | 1.06              | 0.5  | 0.01                 |
| 03/12/2018                                      | ***-**-101I - LEMOINE, STEVEN<br>ACCOUNT #: LSR011390   | NUVEEN LARGE CAP GROWTH FD CL A<br>BUY 1 Units @0.0000     | 0.00                 | 4.10                | 0.00               | 4.10              | 0.5  | 0.02                 |
| 03/12/2018                                      | ***-**-101I - LEMOINE, STEVEN<br>ACCOUNT #: LSR011390   | NUVEEN MID CAP GROWTH OPPORT CL A<br>BUY 1 Units @0.0000   | 0.00                 | 3.08                | 0.00               | 3.08              | 0.5  | 0.02                 |
| 03/12/2018                                      | ***-**-101I - LEMOINE, STEVEN<br>ACCOUNT #: LSR011390   | NUVEEN MID CAP VALUE CLASS A<br>BUY 1 Units @0.0000        | 0.00                 | 3.82                | 0.00               | 3.82              | 0.5  | 0.02                 |
| 03/12/2018                                      | ***-**-70IN - CUTILLO, JAMES<br>ACCOUNT #: LSR011647    | NUVEEN MID CAP VALUE CLASS A<br>BUY 1 Units @0.0000        | 0.00                 | 1.78                | 0.00               | 1.78              | 0.5  | 0.01                 |
| 03/12/2018                                      | ***-**-7319 - ROTONDI, LAURA                            | NYA JPM 529 MOD AGE-BASED A<br>BUY 0 Units @0.0000         | 250.00               | 11.88               | 0.00               | 11.88             | 0.5  | 0.06                 |
| 03/12/2018                                      | ***-**-101I - LEMOINE, STEVEN<br>ACCOUNT #: LSR011390   | PRUDENTIAL FINANCIAL SERVICES CLASS<br>BUY 1 Units @0.0000 | 0.00                 | 1.02                | 0.00               | 1.02              | 0.5  | 0.01                 |
| 03/12/2018                                      | ***-**-255I - GRAHAM, DEBORAH<br>ACCOUNT #: LSR011397   | PRUDENTIAL HIGH YIELD CLASS B<br>BUY 1 Units @0.0000       | 0.00                 | 1.05                | 0.00               | 1.05              | 0.5  | 0.01                 |
| 03/12/2018                                      | ***-**-101I - LEMOINE, STEVEN<br>ACCOUNT #: LSR011390   | PRUDENTIAL JENNISON CONSERV GROWTH<br>BUY 1 Units @0.0000  | 0.00                 | 1.50                | 0.00               | 1.50              | 0.5  | 0.01                 |
| 03/12/2018                                      | ***-**-101I - LEMOINE, STEVEN<br>ACCOUNT #: LSR011390   | PRUDENTIAL JENNISON EQUITY INCOME C<br>BUY 1 Units @0.0000 | 0.00                 | 1.17                | 0.00               | 1.17              | 0.5  | 0.01                 |
| 03/12/2018                                      | ***-**-101I - LEMOINE, STEVEN<br>ACCOUNT #: LSR011390   | PRUDENTIAL JENNISON EQUITY OPP CL A<br>BUY 1 Units @0.0000 | 0.00                 | 5.72                | 0.00               | 5.72              | 0.5  | 0.03                 |



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| <b><u> OVERRIDE TRANSACTIONS (continued) </u></b> |                                   |                                     |                      |                     |                    |                   |      |                      |
| <b><u> BROKER: DENNIS CONNOR (continued) </u></b> |                                   |                                     |                      |                     |                    |                   |      |                      |
| 03/12/2018  | ***-**-1832 - WEISMAN, DORIS      | PRUDENTIAL JENNISON HEALTH SCIENCES | 0.00                 | 3.30                | 0.00               | 3.30              | 0.5  | 0.02                 |
|   | ACCOUNT #: LSR011330              | BUY 1 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/12/2018  | ***-**-101I - LEMOINE, STEVEN     | PRUDENTIAL JENNISON NATURAL RESOURC | 0.00                 | 1.87                | 0.00               | 1.87              | 0.5  | 0.01                 |
|   | ACCOUNT #: LSR011390              | BUY 1 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/12/2018  | ***-**-255I - GRAHAM, DEBORAH     | PRUDENTIAL JENNISON SELECT GROWTH C | 0.00                 | 3.69                | 0.00               | 3.69              | 0.5  | 0.02                 |
|   | ACCOUNT #: LSR011397              | BUY 1 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/12/2018  | ***-**-181O - STEVEN A            | PRUDENTIAL JENNISON UTILITY CLASS A | 0.00                 | 2.14                | 0.00               | 2.14              | 0.5  | 0.01                 |
|   | ACCOUNT #: LSR011388              | BUY 1 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/12/2018  | ***-**-101I - LEMOINE, STEVEN     | PRUDENTIAL JENNISON UTILITY CLASS A | 0.00                 | 1.10                | 0.00               | 1.10              | 0.5  | 0.01                 |
|   | ACCOUNT #: LSR011390              | BUY 1 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/12/2018  | ***-**-359O - HEALY, THOMAS       | RYDEX MID CAP GROWTH FUND CLASS A   | 0.00                 | 5.28                | 0.00               | 5.28              | 0.5  | 0.03                 |
|   | ACCOUNT #: LSR011524              | BUY 1 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-002I - FISCHER, ALLYSE     | THE INCOME FUND OF AMERICA-A        | 0.00                 | 1.28                | 0.00               | 1.28              | 0.5  | 0.01                 |
|   | ACCOUNT #: 00088603553            | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
|   | <b>* DENNIS CONNOR SUBTOTAL *</b> |                                     | <b>\$280.00</b>      | <b>\$170.69</b>     | <b>\$0.00</b>      | <b>\$170.69</b>   |      | <b>\$0.92</b>        |
| <b><u> BROKER: WILLIAM FRANCIS </u></b>           |                                   |                                     |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-5076 - TORRES, JASON       | AMCAP FUND-A                        | 0.00                 | 3.99                | 0.00               | 3.99              | 0.5  | 0.02                 |
|   | ACCOUNT #: 00088000759            | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-8658 - GILL, THERESA       | AMCAP FUND-A                        | 0.00                 | 1.18                | 0.00               | 1.18              | 0.5  | 0.01                 |
|   | ACCOUNT #: 00088214150            | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-3569 - ANDERSON,           | AMCAP FUND-A                        | 0.00                 | 12.89               | 0.00               | 12.89             | 0.5  | 0.06                 |
|   | ACCOUNT #: 00088334300            | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-6809 - FRANCIS, PAUL       | AMCAP FUND-A                        | 0.00                 | 19.70               | 0.00               | 19.70             | 0.5  | 0.10                 |
|   | ACCOUNT #: 00088351601            | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-5132 - WEBER, FREDERICK    | AMCAP FUND-A                        | 0.00                 | 13.56               | 0.00               | 13.56             | 0.5  | 0.07                 |
|   | ACCOUNT #: 00088817392            | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-5076 - TORRES, JASON       | AMERICAN BALANCED FUND-A            | 0.00                 | 3.76                | 0.00               | 3.76              | 0.5  | 0.02                 |
|   | ACCOUNT #: 00088000759            | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-2538 - GOLDMAN, DANIEL     | AMERICAN BALANCED FUND-A            | 0.00                 | 46.22               | 0.00               | 46.22             | 0.5  | 0.23                 |
|   | ACCOUNT #: 00088105535            | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-8325 - BUECHEL,            | AMERICAN BALANCED FUND-A            | 0.00                 | 5.35                | 0.00               | 5.35              | 0.5  | 0.03                 |
|   | ACCOUNT #: 00088244527            | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |



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| <b> OVERRIDE TRANSACTIONS (continued)</b>          |  |   |                      |                     |                    |                   |      |                      |
| <b> <u>BROKER: WILLIAM FRANCIS (continued)</u></b> |  |   |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-8696 - LAUBACKER,<br>ACCOUNT #: 00088244533       | AMERICAN BALANCED FUND-A<br>BUY 0 Units @0.0000             | 0.00                 | 3.22                | 0.00               | 3.22              | 0.5  | 0.02                 |
| 02/27/2018   | ***-**-3672 - KAN, HEATHER<br>ACCOUNT #: 04000740312     | AMERICAN FUNDS 2040 TARGET DATE-A<br>BUY 5 Units @16.4400   | 75.02                | 3.19                | 0.00               | 3.19              | 0.5  | 0.02                 |
| 02/27/2018   | ***-**-3672 - KAN, HEATHER<br>ACCOUNT #: 04000740312     | AMERICAN FUNDS 2040 TARGET DATE-A<br>BUY 5 Units @16.4400   | 75.02                | 3.19                | 0.00               | 3.19              | 0.5  | 0.02                 |
| 02/27/2018   | ***-**-3672 - KAN, HEATHER<br>ACCOUNT #: 04000740312     | AMERICAN FUNDS 2040 TARGET DATE-A<br>BUY 5 Units @16.4400   | 75.00                | 3.19                | 0.00               | 3.19              | 0.5  | 0.02                 |
| 02/27/2018   | ***-**-3672 - KAN, HEATHER<br>ACCOUNT #: 04000740312     | AMERICAN FUNDS 2040 TARGET DATE-A<br>BUY 5 Units @16.4400   | 75.00                | 3.19                | 0.00               | 3.19              | 0.5  | 0.02                 |
| 03/01/2018   | ***-**-7033 - TURNER, BRYAN<br>ACCOUNT #: 00089463498    | AMERICAN FUNDS 2045 TARGET DATE-A<br>BUY 0 Units @0.0000    | 0.00                 | 7.13                | 0.00               | 7.13              | 0.5  | 0.04                 |
| 03/01/2018   | ***-**-8431 - HOWANIEC, EDWARD<br>ACCOUNT #: 00086726246 | AMERICAN FUNDS BLNCD PORTFOLIO CL A<br>BUY 0 Units @0.0000  | 0.00                 | 41.77               | 0.00               | 41.77             | 0.5  | 0.21                 |
| 03/01/2018   | ***-**-5076 - TORRES, JASON<br>ACCOUNT #: 00088210419    | AMERICAN FUNDS BLNCD PORTFOLIO CL A<br>BUY 0 Units @0.0000  | 0.00                 | 5.05                | 0.00               | 5.05              | 0.5  | 0.03                 |
| 03/01/2018   | ***-**-5076 - TORRES, JASON<br>ACCOUNT #: 00088210429    | AMERICAN FUNDS BLNCD PORTFOLIO CL A<br>BUY 0 Units @0.0000  | 0.00                 | 3.91                | 0.00               | 3.91              | 0.5  | 0.02                 |
| 03/01/2018   | ***-**-6560 - TALBOT, JENNIFER<br>ACCOUNT #: 00088093126 | AMERICAN FUNDS GROWTH PORTFOLIO A<br>BUY 0 Units @0.0000    | 0.00                 | 2.07                | 0.00               | 2.07              | 0.5  | 0.01                 |
| 03/01/2018   | ***-**-5460 - MILLS, ALEXIS<br>ACCOUNT #: 00088093500    | AMERICAN FUNDS GROWTH PORTFOLIO A<br>BUY 0 Units @0.0000    | 0.00                 | 4.16                | 0.00               | 4.16              | 0.5  | 0.02                 |
| 03/01/2018   | ***-**-1878 - HOWANIEC, DESSA<br>ACCOUNT #: 00088799768  | AMERICAN FUNDS GROWTH PORTFOLIO A<br>BUY 0 Units @0.0000    | 0.00                 | 1.13                | 0.00               | 1.13              | 0.5  | 0.01                 |
| 03/01/2018   | ***-**-3410 - HOWANIEC,<br>ACCOUNT #: 00088802799        | AMERICAN FUNDS GROWTH PORTFOLIO A<br>BUY 0 Units @0.0000    | 0.00                 | 1.13                | 0.00               | 1.13              | 0.5  | 0.01                 |
| 03/01/2018   | ***-**-4858 - GODOFISKY,<br>ACCOUNT #: 04000349982       | AMERICAN FUNDS GROWTH PORTFOLIO A<br>BUY 0 Units @0.0000    | 0.00                 | 1.66                | 0.00               | 1.66              | 0.5  | 0.01                 |
| 03/01/2018   | ***-**-0485 - WHALEN, STEPHEN<br>ACCOUNT #: 00088824582  | AMERICAN FUNDS GRWTH & INCOME PORT<br>BUY 0 Units @0.0000   | 0.00                 | 1.98                | 0.00               | 1.98              | 0.5  | 0.01                 |
| 03/05/2018   | ***-**-943J - DAILY, MATTHEW<br>ACCOUNT #: LSR011610     | AMERICAN FUNDS T/E PRESERVATION POR<br>BUY 76 Units @9.9300 | 750.00               | 15.00               | 0.00               | 15.00             | 0.5  | 0.08                 |



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| <b><u>VERRIDE TRANSACTIONS (continued)</u></b>    |  |  |                      |                     |                    |                   |      |                      |
| <b><u>BROKER: WILLIAM FRANCIS (continued)</u></b> |  |  |                      |                     |                    |                   |      |                      |
| 03/05/2018  | ***-**-943J - DAILY, MATTHEW<br>ACCOUNT #: LSR011610     | AMERICAN FUNDS TAX ADVANTGED INC PO<br>BUY 18 Units @14.1300 | 250.00               | 7.50                | 0.00               | 7.50              | 0.5  | 0.04                 |
| 03/01/2018  | ***-**-9982 - BROWN, EDWIN<br>ACCOUNT #: 00089209664     | AMERICAN HIGH-INCOME MUNI BOND FUND<br>BUY 0 Units @0.0000   | 0.00                 | 16.98               | 0.00               | 16.98             | 0.5  | 0.08                 |
| 03/01/2018  | ***-**-8431 - HOWANIEC, EDWARD<br>ACCOUNT #: 00086726246 | AMERICAN HIGH-INCOME TRUST-A<br>BUY 0 Units @0.0000          | 0.00                 | 183.80              | 0.00               | 183.80            | 0.5  | 0.92                 |
| 03/01/2018  | ***-**-06IN - GOLDMAN, JUNE<br>ACCOUNT #: 00087856737    | AMERICAN HIGH-INCOME TRUST-A<br>BUY 0 Units @0.0000          | 0.00                 | 143.99              | 0.00               | 143.99            | 0.5  | 0.72                 |
| 03/01/2018  | ***-**-2582 - AGUIAR, DANA<br>ACCOUNT #: 00087887914     | AMERICAN HIGH-INCOME TRUST-A<br>BUY 0 Units @0.0000          | 0.00                 | 2.11                | 0.00               | 2.11              | 0.5  | 0.01                 |
| 03/01/2018  | ***-**-9105 - OCONNOR, BARBARA<br>ACCOUNT #: 00088011557 | AMERICAN HIGH-INCOME TRUST-A<br>BUY 0 Units @0.0000          | 0.00                 | 126.97              | 0.00               | 126.97            | 0.5  | 0.63                 |
| 03/01/2018  | ***-**-2538 - GOLDMAN, DANIEL<br>ACCOUNT #: 00088105535  | AMERICAN HIGH-INCOME TRUST-A<br>BUY 0 Units @0.0000          | 0.00                 | 55.39               | 0.00               | 55.39             | 0.5  | 0.28                 |
| 03/01/2018  | ***-**-5445 - NORTH, CHARLES<br>ACCOUNT #: 00088143210   | AMERICAN HIGH-INCOME TRUST-A<br>BUY 0 Units @0.0000          | 0.00                 | 124.34              | 0.00               | 124.34            | 0.5  | 0.62                 |
| 03/01/2018  | ***-**-9982 - BROWN, EDWIN<br>ACCOUNT #: 00088145716     | AMERICAN HIGH-INCOME TRUST-A<br>BUY 0 Units @0.0000          | 0.00                 | 70.42               | 0.00               | 70.42             | 0.5  | 0.35                 |
| 03/01/2018  | ***-**-3582 - NORTH, JOANNE<br>ACCOUNT #: 00088269231    | AMERICAN HIGH-INCOME TRUST-A<br>BUY 0 Units @0.0000          | 0.00                 | 21.07               | 0.00               | 21.07             | 0.5  | 0.11                 |
| 03/01/2018  | ***-**-7131 - PHILLIPS, DAVID<br>ACCOUNT #: 00088295242  | AMERICAN HIGH-INCOME TRUST-A<br>BUY 0 Units @0.0000          | 0.00                 | 41.45               | 0.00               | 41.45             | 0.5  | 0.21                 |
| 03/01/2018  | ***-**-7757 - JOHNSON,<br>ACCOUNT #: 00088316251         | AMERICAN HIGH-INCOME TRUST-A<br>BUY 0 Units @0.0000          | 0.00                 | 47.35               | 0.00               | 47.35             | 0.5  | 0.24                 |
| 03/01/2018  | ***-**-3569 - ANDERSON,<br>ACCOUNT #: 00088334300        | AMERICAN HIGH-INCOME TRUST-A<br>BUY 0 Units @0.0000          | 0.00                 | 2.42                | 0.00               | 2.42              | 0.5  | 0.01                 |
| 03/01/2018  | ***-**-6809 - FRANCIS, PAUL<br>ACCOUNT #: 00088351601    | AMERICAN HIGH-INCOME TRUST-A<br>BUY 0 Units @0.0000          | 0.00                 | 9.53                | 0.00               | 9.53              | 0.5  | 0.05                 |
| 03/01/2018  | ***-**-9982 - BROWN, EDWIN<br>ACCOUNT #: 00088575250     | AMERICAN HIGH-INCOME TRUST-A<br>BUY 0 Units @0.0000          | 0.00                 | 42.57               | 0.00               | 42.57             | 0.5  | 0.21                 |
| 03/01/2018  | ***-**-6885 - BUCHANAN, ROGER<br>ACCOUNT #: 00088653800  | AMERICAN HIGH-INCOME TRUST-A<br>BUY 0 Units @0.0000          | 0.00                 | 146.52              | 0.00               | 146.52            | 0.5  | 0.73                 |



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| <b> OVERRIDE TRANSACTIONS (continued)</b>          |                                |                                    |                      |                     |                    |                   |      |                      |
| <b> <u>BROKER: WILLIAM FRANCIS (continued)</u></b> |                                |                                    |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-1878 - HOWANIEC, DESSA  | AMERICAN HIGH-INCOME TRUST-A       | 0.00                 | 2.29                | 0.00               | 2.29              | 0.5  | 0.01                 |
|  | ACCOUNT #: 00088798653         | BUY 0 Units @0.0000                |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-5132 - WEBER, FREDERICK | AMERICAN HIGH-INCOME TRUST-A       | 0.00                 | 18.45               | 0.00               | 18.45             | 0.5  | 0.09                 |
|  | ACCOUNT #: 00088817392         | BUY 0 Units @0.0000                |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-2582 - AGUIAR, DANA     | AMERICAN MUTUAL FUND-A             | 0.00                 | 2.37                | 0.00               | 2.37              | 0.5  | 0.01                 |
|  | ACCOUNT #: 00087887914         | BUY 0 Units @0.0000                |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-5076 - TORRES, JASON    | AMERICAN MUTUAL FUND-A             | 0.00                 | 7.88                | 0.00               | 7.88              | 0.5  | 0.04                 |
|  | ACCOUNT #: 00088000759         | BUY 0 Units @0.0000                |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-2538 - GOLDMAN, DANIEL  | AMERICAN MUTUAL FUND-A             | 0.00                 | 73.23               | 0.00               | 73.23             | 0.5  | 0.37                 |
|  | ACCOUNT #: 00088105535         | BUY 0 Units @0.0000                |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-9982 - BROWN, EDWIN     | AMERICAN MUTUAL FUND-A             | 0.00                 | 21.36               | 0.00               | 21.36             | 0.5  | 0.11                 |
|  | ACCOUNT #: 00088145716         | BUY 0 Units @0.0000                |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-3569 - ANDERSON,        | AMERICAN MUTUAL FUND-A             | 0.00                 | 6.49                | 0.00               | 6.49              | 0.5  | 0.03                 |
|  | ACCOUNT #: 00088334300         | BUY 0 Units @0.0000                |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-9982 - BROWN, EDWIN     | AMERICAN MUTUAL FUND-A             | 0.00                 | 12.12               | 0.00               | 12.12             | 0.5  | 0.06                 |
|  | ACCOUNT #: 00088575250         | BUY 0 Units @0.0000                |                      |                     |                    |                   |      |                      |
| 03/06/2018   | ***-**-439I - DAILY, RONI      | AMERICAN MUTUAL FUND-A             | 33,850.01            | 912.87              | 0.00               | 912.87            | 0.5  | 4.56                 |
|  | ACCOUNT #: LSR012499           | BUY 796 Units @42.5300             |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-9982 - BROWN, EDWIN     | AMERICAN TAX EXEMPT OF NEW YORK CL | 0.00                 | 32.39               | 0.00               | 32.39             | 0.5  | 0.16                 |
|  | ACCOUNT #: 00089209664         | BUY 0 Units @0.0000                |                      |                     |                    |                   |      |                      |
| 03/09/2018   | ***-**-7748 - MCCANNA, GLORIA  | CALVERT 131582454                  | 0.00                 | 4.79                | 0.00               | 4.79              | 0.5  | 0.02                 |
|  | ACCOUNT #: 00000613527         | BUY 0 Units @0.0000                |                      |                     |                    |                   |      |                      |
| 03/12/2018   | ***-**-162K - LANGTON,         | CALVERT 131582454                  | 0.00                 | 2.77                | 0.00               | 2.77              | 0.5  | 0.01                 |
|  | ACCOUNT #: LSR012318           | BUY 1 Units @0.0000                |                      |                     |                    |                   |      |                      |
| 03/09/2018   | ***-**-7748 - MCCANNA, GLORIA  | CALVERT 131618704                  | 0.00                 | 11.10               | 0.00               | 11.10             | 0.5  | 0.06                 |
|  | ACCOUNT #: 00007223602         | BUY 0 Units @0.0000                |                      |                     |                    |                   |      |                      |
| 03/09/2018   | ***-**-7748 - MCCANNA, GLORIA  | CALVERT 13161P805                  | 0.00                 | 4.61                | 0.00               | 4.61              | 0.5  | 0.02                 |
|  | ACCOUNT #: 00007223602         | BUY 0 Units @0.0000                |                      |                     |                    |                   |      |                      |
| 03/09/2018   | ***-**-7748 - MCCANNA, GLORIA  | CALVERT 131649402                  | 0.00                 | 5.04                | 0.00               | 5.04              | 0.5  | 0.03                 |
|  | ACCOUNT #: 00007223602         | BUY 0 Units @0.0000                |                      |                     |                    |                   |      |                      |
| 03/09/2018   | ***-**-7748 - MCCANNA, GLORIA  | CALVERT 131649865                  | 0.00                 | 3.57                | 0.00               | 3.57              | 0.5  | 0.02                 |
|  | ACCOUNT #: 00007223602         | BUY 0 Units @0.0000                |                      |                     |                    |                   |      |                      |



# COMMISSION STATEMENT

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| DATE   | CLIENT                         | INVESTMENT                          | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|--|--------------------------------|-------------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b> OVERRIDE TRANSACTIONS (continued)</b>          |                                |                                     |                      |                     |                    |                   |      |                      |
| <b> <u>BROKER: WILLIAM FRANCIS (continued)</u></b> |                                |                                     |                      |                     |                    |                   |      |                      |
| 03/09/2018   | ***-**-7748 - MCCANNA, GLORIA  | CALVERT 131649881                   | 0.00                 | 3.63                | 0.00               | 3.63              | 0.5  | 0.02                 |
|  | ACCOUNT #: 00000613527         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/09/2018   | ***-**-7748 - MCCANNA, GLORIA  | CALVERT CAPITAL ACCUMULATION - A    | 0.00                 | 3.21                | 0.00               | 3.21              | 0.5  | 0.02                 |
|  | ACCOUNT #: 00000613527         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/12/2018   | ***-**-162K - LANGTON,         | CALVERT INTRNTL RESPBL INDEX A-NFS  | 0.00                 | 8.03                | 0.00               | 8.03              | 0.5  | 0.04                 |
|  | ACCOUNT #: LSR012318           | BUY 1 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/09/2018   | ***-**-7748 - MCCANNA, GLORIA  | CALVERT LONG-TERM INCOME FUND       | 0.00                 | 5.77                | 0.00               | 5.77              | 0.5  | 0.03                 |
|  | ACCOUNT #: 00000613527         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/12/2018   | ***-**-162K - LANGTON,         | CALVERT LONG-TERM INCOME FUND       | 0.00                 | 5.44                | 0.00               | 5.44              | 0.5  | 0.03                 |
|  | ACCOUNT #: LSR012318           | BUY 1 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/12/2018   | ***-**-162K - LANGTON,         | CALVERT MODERATE ALLOCATION FUND-A  | 0.00                 | 2.88                | 0.00               | 2.88              | 0.5  | 0.01                 |
|  | ACCOUNT #: LSR012318           | BUY 1 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/09/2018   | ***-**-7748 - MCCANNA, GLORIA  | CALVERT SMALL CAP VALUE FUND        | 0.00                 | 5.90                | 0.00               | 5.90              | 0.5  | 0.03                 |
|  | ACCOUNT #: 00000613527         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/12/2018   | ***-**-162K - LANGTON,         | CALVERT SMALL CAP VALUE FUND        | 0.00                 | 5.36                | 0.00               | 5.36              | 0.5  | 0.03                 |
|  | ACCOUNT #: LSR012318           | BUY 1 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/12/2018   | ***-**-162K - LANGTON,         | CALVERT SOCIAL INDEX A              | 0.00                 | 5.41                | 0.00               | 5.41              | 0.5  | 0.03                 |
|  | ACCOUNT #: LSR012318           | BUY 1 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/09/2018   | ***-**-7748 - MCCANNA, GLORIA  | CALVERT SOCIAL INVESTMENT FD EQUITY | 0.00                 | 4.17                | 0.00               | 4.17              | 0.5  | 0.02                 |
|  | ACCOUNT #: 00000613527         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/12/2018   | ***-**-162K - LANGTON,         | CALVERT SOCIAL INVESTMENT FD EQUITY | 0.00                 | 13.67               | 0.00               | 13.67             | 0.5  | 0.07                 |
|  | ACCOUNT #: LSR012318           | BUY 1 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/09/2018   | ***-**-7748 - MCCANNA, GLORIA  | CALVERT SOCIAL INVESTMENT FUND BOND | 0.00                 | 2.68                | 0.00               | 2.68              | 0.5  | 0.01                 |
|  | ACCOUNT #: 00000613527         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/12/2018   | ***-**-162K - LANGTON,         | CALVERT SOCIAL INVESTMENT FUND BOND | 0.00                 | 13.83               | 0.00               | 13.83             | 0.5  | 0.07                 |
|  | ACCOUNT #: LSR012318           | BUY 1 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-8431 - HOWANIEC, EDWARD | CAPITAL INCOME BUILDER-A            | 0.00                 | 126.95              | 0.00               | 126.95            | 0.5  | 0.63                 |
|  | ACCOUNT #: 00086726246         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-06IN - GOLDMAN, JUNE    | CAPITAL INCOME BUILDER-A            | 0.00                 | 58.71               | 0.00               | 58.71             | 0.5  | 0.29                 |
|  | ACCOUNT #: 00087856737         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-2582 - AGUIAR, DANA     | CAPITAL INCOME BUILDER-A            | 0.00                 | 2.13                | 0.00               | 2.13              | 0.5  | 0.01                 |
|  | ACCOUNT #: 00087887914         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |



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|--|--------------------------------|---------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b> OVERRIDE TRANSACTIONS (continued)</b>          |                                |                           |                      |                     |                    |                   |      |                      |
| <b> <u>BROKER: WILLIAM FRANCIS (continued)</u></b> |                                |                           |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-9105 - OCONNOR, BARBARA | CAPITAL INCOME BUILDER-A  | 0.00                 | 46.90               | 0.00               | 46.90             | 0.5  | 0.23                 |
|  | ACCOUNT #: 00088011557         | BUY 0 Units @0.0000       |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-2538 - GOLDMAN, DANIEL  | CAPITAL INCOME BUILDER-A  | 0.00                 | 40.46               | 0.00               | 40.46             | 0.5  | 0.20                 |
|  | ACCOUNT #: 00088105535         | BUY 0 Units @0.0000       |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-5445 - NORTH, CHARLES   | CAPITAL INCOME BUILDER-A  | 0.00                 | 36.20               | 0.00               | 36.20             | 0.5  | 0.18                 |
|  | ACCOUNT #: 00088143210         | BUY 0 Units @0.0000       |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-9982 - BROWN, EDWIN     | CAPITAL INCOME BUILDER-A  | 0.00                 | 17.79               | 0.00               | 17.79             | 0.5  | 0.09                 |
|  | ACCOUNT #: 00088145716         | BUY 0 Units @0.0000       |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-3582 - NORTH, JOANNE    | CAPITAL INCOME BUILDER-A  | 0.00                 | 6.01                | 0.00               | 6.01              | 0.5  | 0.03                 |
|  | ACCOUNT #: 00088269231         | BUY 0 Units @0.0000       |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-7131 - PHILLIPS, DAVID  | CAPITAL INCOME BUILDER-A  | 0.00                 | 11.03               | 0.00               | 11.03             | 0.5  | 0.06                 |
|  | ACCOUNT #: 00088295242         | BUY 0 Units @0.0000       |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-7757 - JOHNSON,         | CAPITAL INCOME BUILDER-A  | 0.00                 | 11.67               | 0.00               | 11.67             | 0.5  | 0.06                 |
|  | ACCOUNT #: 00088316251         | BUY 0 Units @0.0000       |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-6809 - FRANCIS, PAUL    | CAPITAL INCOME BUILDER-A  | 0.00                 | 6.80                | 0.00               | 6.80              | 0.5  | 0.03                 |
|  | ACCOUNT #: 00088351601         | BUY 0 Units @0.0000       |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-9982 - BROWN, EDWIN     | CAPITAL INCOME BUILDER-A  | 0.00                 | 10.27               | 0.00               | 10.27             | 0.5  | 0.05                 |
|  | ACCOUNT #: 00088575250         | BUY 0 Units @0.0000       |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-6885 - BUCHANAN, ROGER  | CAPITAL INCOME BUILDER-A  | 0.00                 | 63.17               | 0.00               | 63.17             | 0.5  | 0.32                 |
|  | ACCOUNT #: 00088653800         | BUY 0 Units @0.0000       |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-1878 - HOWANIEC, DESSA  | CAPITAL INCOME BUILDER-A  | 0.00                 | 3.12                | 0.00               | 3.12              | 0.5  | 0.02                 |
|  | ACCOUNT #: 00088798653         | BUY 0 Units @0.0000       |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-2538 - GOLDMAN, DANIEL  | CAPITAL WORLD BOND FUND-A | 0.00                 | 34.60               | 0.00               | 34.60             | 0.5  | 0.17                 |
|  | ACCOUNT #: 00088105535         | BUY 0 Units @0.0000       |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-9982 - BROWN, EDWIN     | CAPITAL WORLD BOND FUND-A | 0.00                 | 8.15                | 0.00               | 8.15              | 0.5  | 0.04                 |
|  | ACCOUNT #: 00088145716         | BUY 0 Units @0.0000       |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-7131 - PHILLIPS, DAVID  | CAPITAL WORLD BOND FUND-A | 0.00                 | 3.42                | 0.00               | 3.42              | 0.5  | 0.02                 |
|  | ACCOUNT #: 00088295242         | BUY 0 Units @0.0000       |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-3569 - ANDERSON,        | CAPITAL WORLD BOND FUND-A | 0.00                 | 2.24                | 0.00               | 2.24              | 0.5  | 0.01                 |
|  | ACCOUNT #: 00088334300         | BUY 0 Units @0.0000       |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-6809 - FRANCIS, PAUL    | CAPITAL WORLD BOND FUND-A | 0.00                 | 3.02                | 0.00               | 3.02              | 0.5  | 0.02                 |
|  | ACCOUNT #: 00088351601         | BUY 0 Units @0.0000       |                      |                     |                    |                   |      |                      |





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|---|---|---|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b><u> OVERRIDE TRANSACTIONS (continued) </u></b>   |   |   |                      |                     |                    |                   |      |                      |
| <b><u> BROKER: WILLIAM FRANCIS (continued) </u></b> |   |   |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-9982 - BROWN, EDWIN<br>ACCOUNT #: 00088575250    | CAPITAL WORLD BOND FUND-A<br>BUY 0 Units @0.0000              | 0.00                 | 4.85                | 0.00               | 4.85              | 0.5  | 0.02                 |
| 03/01/2018  | ***-**-6878 - KACUR, JUSTIN<br>ACCOUNT #: 00088824619   | CAPITAL WORLD BOND FUND-A<br>BUY 0 Units @0.0000              | 0.00                 | 1.03                | 0.00               | 1.03              | 0.5  | 0.01                 |
| 02/27/2018  | ***-**-6878 - KACUR, JUSTIN<br>ACCOUNT #: 00088824619   | CAPITAL WORLD GROWTH AND INCOME FUN<br>BUY 2 Units @55.6100   | 132.92               | 5.65                | 0.00               | 5.65              | 0.5  | 0.03                 |
| 02/27/2018  | ***-**-6878 - KACUR, JUSTIN<br>ACCOUNT #: 00088824619   | CAPITAL WORLD GROWTH AND INCOME FUN<br>BUY 0 Units @55.6100   | 24.92                | 1.06                | 0.00               | 1.06              | 0.5  | 0.01                 |
| 02/27/2018  | ***-**-6878 - KACUR, JUSTIN<br>ACCOUNT #: 00088824619   | CAPITAL WORLD GROWTH AND INCOME FUN<br>BUY 2 Units @55.6100   | 132.92               | 5.65                | 0.00               | 5.65              | 0.5  | 0.03                 |
| 02/27/2018  | ***-**-6878 - KACUR, JUSTIN<br>ACCOUNT #: 00088824619   | CAPITAL WORLD GROWTH AND INCOME FUN<br>BUY 0 Units @55.6100   | 24.92                | 1.06                | 0.00               | 1.06              | 0.5  | 0.01                 |
| 03/01/2018  | ***-**-8658 - GILL, THERESA<br>ACCOUNT #: 00088214150   | CAPITAL WORLD GROWTH AND INCOME FUN<br>BUY 0 Units @0.0000    | 0.00                 | 2.18                | 0.00               | 2.18              | 0.5  | 0.01                 |
| 03/01/2018  | ***-**-6809 - FRANCIS, PAUL<br>ACCOUNT #: 00088351601   | CAPITAL WORLD GROWTH AND INCOME FUN<br>BUY 0 Units @0.0000    | 0.00                 | 3.77                | 0.00               | 3.77              | 0.5  | 0.02                 |
| 03/01/2018  | ***-**-6878 - KACUR, JUSTIN<br>ACCOUNT #: 00088824619   | CAPITAL WORLD GROWTH AND INCOME FUN<br>BUY 0 Units @0.0000    | 0.00                 | 5.48                | 0.00               | 5.48              | 0.5  | 0.03                 |
| 03/06/2018  | ***-**-439I - DAILY, RONI<br>ACCOUNT #: LSR012499       | CAPITAL WORLD GROWTH AND INCOME FUN<br>BUY 312 Units @54.2800 | 16,924.99            | 447.43              | 0.00               | 447.43            | 0.5  | 2.24                 |
| 02/27/2018  | ***-**-6878 - KACUR, JUSTIN<br>ACCOUNT #: 00088824619   | EUROPACIFIC GROWTH FUND-A<br>BUY 1 Units @60.8900             | 44.31                | 1.88                | 0.00               | 1.88              | 0.5  | 0.01                 |
| 02/27/2018  | ***-**-6878 - KACUR, JUSTIN<br>ACCOUNT #: 00088824619   | EUROPACIFIC GROWTH FUND-A<br>BUY 1 Units @60.8900             | 44.31                | 1.88                | 0.00               | 1.88              | 0.5  | 0.01                 |
| 03/01/2018  | ***-**-6878 - KACUR, JUSTIN<br>ACCOUNT #: 00088824619   | EUROPACIFIC GROWTH FUND-A<br>BUY 0 Units @0.0000              | 0.00                 | 1.83                | 0.00               | 1.83              | 0.5  | 0.01                 |
| 02/20/2018  | ***-**-0485 - WHALEN, STEPHEN<br>ACCOUNT #: 06090486215 | FEDERATED 31421R841<br>BUY 3 Units @19.9800                   | 50.00                | 2.50                | 0.00               | 2.50              | 0.5  | 0.01                 |
| 03/01/2018  | ***-**-2538 - GOLDMAN, DANIEL<br>ACCOUNT #: 00088105535 | FUNDAMENTAL INVESTORS-A<br>BUY 0 Units @0.0000                | 0.00                 | 53.37               | 0.00               | 53.37             | 0.5  | 0.27                 |
| 03/01/2018  | ***-**-8658 - GILL, THERESA<br>ACCOUNT #: 00088214150   | FUNDAMENTAL INVESTORS-A<br>BUY 0 Units @0.0000                | 0.00                 | 2.56                | 0.00               | 2.56              | 0.5  | 0.01                 |



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|--|--|---|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b> OVERRIDE TRANSACTIONS (continued)</b>          |  |   |                      |                     |                    |                   |      |                      |
| <b> <u>BROKER: WILLIAM FRANCIS (continued)</u></b> |  |   |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-3569 - ANDERSON,<br>ACCOUNT #: 00088334300        | FUNDAMENTAL INVESTORS-A<br>BUY 0 Units @0.0000              | 0.00                 | 7.02                | 0.00               | 7.02              | 0.5  | 0.04                 |
| 03/01/2018   | ***-**-6809 - FRANCIS, PAUL<br>ACCOUNT #: 00088351601    | FUNDAMENTAL INVESTORS-A<br>BUY 0 Units @0.0000              | 0.00                 | 16.80               | 0.00               | 16.80             | 0.5  | 0.08                 |
| 03/01/2018   | ***-**-8266 - GILL, NANCY<br>ACCOUNT #: 00087772146      | GLOBAL GROWTH PORTFOLIO-A<br>BUY 0 Units @0.0000            | 0.00                 | 3.89                | 0.00               | 3.89              | 0.5  | 0.02                 |
| 03/01/2018   | ***-**-2538 - GOLDMAN, DANIEL<br>ACCOUNT #: 00088105535  | INTERMEDIATE BOND FUND OF AMERICA-A<br>BUY 0 Units @0.0000  | 0.00                 | 52.20               | 0.00               | 52.20             | 0.5  | 0.26                 |
| 03/01/2018   | ***-**-5132 - WEBER, FREDERICK<br>ACCOUNT #: 00088817392 | INTERMEDIATE BOND FUND OF AMERICA-A<br>BUY 0 Units @0.0000  | 0.00                 | 8.51                | 0.00               | 8.51              | 0.5  | 0.04                 |
| 02/20/2018   | ***-**-8034 - DEBONIS, ALBERT<br>ACCOUNT #: 00011265210  | MAINSTAY CONSERVATIV ALLOCATION CL<br>BUY 11 Units @12.5500 | 138.12               | 2.76                | 0.00               | 2.76              | 0.5  | 0.01                 |
| 02/20/2018   | ***-**-8034 - DEBONIS, ALBERT<br>ACCOUNT #: 00011265210  | MAINSTAY CONSERVATIV ALLOCATION CL<br>BUY 69 Units @12.5500 | 865.58               | 17.31               | 0.00               | 17.31             | 0.5  | 0.09                 |
| 02/20/2018   | ***-**-8034 - DEBONIS, ALBERT<br>ACCOUNT #: 00011265210  | MAINSTAY CONSERVATIV ALLOCATION CL<br>BUY 11 Units @12.5500 | 138.12               | 2.76                | 0.00               | 2.76              | 0.5  | 0.01                 |
| 02/20/2018   | ***-**-8034 - DEBONIS, ALBERT<br>ACCOUNT #: 00011265210  | MAINSTAY CONSERVATIV ALLOCATION CL<br>BUY 69 Units @12.5500 | 865.58               | 17.31               | 0.00               | 17.31             | 0.5  | 0.09                 |
| 02/20/2018   | ***-**-8034 - DEBONIS, ALBERT<br>ACCOUNT #: 00011265210  | MAINSTAY CONSERVATIV ALLOCATION CL<br>BUY 11 Units @12.5500 | 138.12               | 2.76                | 0.00               | 2.76              | 0.5  | 0.01                 |
| 02/20/2018   | ***-**-8034 - DEBONIS, ALBERT<br>ACCOUNT #: 00011265210  | MAINSTAY CONSERVATIV ALLOCATION CL<br>BUY 69 Units @12.5500 | 865.58               | 17.31               | 0.00               | 17.31             | 0.5  | 0.09                 |
| 02/20/2018   | ***-**-8034 - DEBONIS, ALBERT<br>ACCOUNT #: 00011265210  | MAINSTAY CONSERVATIV ALLOCATION CL<br>BUY 11 Units @12.5500 | 138.12               | 2.76                | 0.00               | 2.76              | 0.5  | 0.01                 |
| 02/20/2018   | ***-**-8034 - DEBONIS, ALBERT<br>ACCOUNT #: 00011265210  | MAINSTAY CONSERVATIV ALLOCATION CL<br>BUY 69 Units @12.5500 | 865.58               | 17.31               | 0.00               | 17.31             | 0.5  | 0.09                 |
| 02/20/2018   | ***-**-8034 - DEBONIS, ALBERT<br>ACCOUNT #: 00011265210  | MAINSTAY CONSERVATIV ALLOCATION CL<br>BUY 11 Units @12.5500 | 138.12               | 2.76                | 0.00               | 2.76              | 0.5  | 0.01                 |
| 02/20/2018   | ***-**-8034 - DEBONIS, ALBERT<br>ACCOUNT #: 00011265210  | MAINSTAY CONSERVATIV ALLOCATION CL<br>BUY 27 Units @12.5500 | 334.79               | 6.70                | 0.00               | 6.70              | 0.5  | 0.03                 |
| 02/20/2018   | ***-**-8034 - DEBONIS, ALBERT<br>ACCOUNT #: 00011265210  | MAINSTAY CONSERVATIV ALLOCATION CL<br>BUY 11 Units @12.5500 | 138.12               | 2.76                | 0.00               | 2.76              | 0.5  | 0.01                 |



# COMMISSION STATEMENT

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| DATE  | CLIENT                        | INVESTMENT                         | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|---|-------------------------------|------------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b> OVERRIDE TRANSACTIONS (continued) </b>          |                               |                                    |                      |                     |                    |                   |      |                      |
| <b> <u>BROKER: WILLIAM FRANCIS (continued)</u> </b> |                               |                                    |                      |                     |                    |                   |      |                      |
| 02/20/2018  | ***-**-8034 - DEBONIS, ALBERT | MAINSTAY CONSERVATIV ALLOCATION CL | 865.58               | 17.31               | 0.00               | 17.31             | 0.5  | 0.09                 |
|   | ACCOUNT #: 00011265210        | BUY 69 Units @12.5500              |                      |                     |                    |                   |      |                      |
| 02/20/2018  | ***-**-8034 - DEBONIS, ALBERT | MAINSTAY CONSERVATIV ALLOCATION CL | 138.12               | 2.76                | 0.00               | 2.76              | 0.5  | 0.01                 |
|   | ACCOUNT #: 00011265210        | BUY 11 Units @12.5500              |                      |                     |                    |                   |      |                      |
| 02/20/2018  | ***-**-8034 - DEBONIS, ALBERT | MAINSTAY CONSERVATIV ALLOCATION CL | 865.58               | 17.31               | 0.00               | 17.31             | 0.5  | 0.09                 |
|   | ACCOUNT #: 00011265210        | BUY 69 Units @12.5500              |                      |                     |                    |                   |      |                      |
| 02/20/2018  | ***-**-6717 - DEBONIS, BRENDA | MAINSTAY CONSERVATIV ALLOCATION CL | 59.72                | 2.84                | 0.00               | 2.84              | 0.5  | 0.01                 |
|   | ACCOUNT #: 00011265204        | BUY 5 Units @12.9500               |                      |                     |                    |                   |      |                      |
| 02/20/2018  | ***-**-6717 - DEBONIS, BRENDA | MAINSTAY CONSERVATIV ALLOCATION CL | 552.50               | 26.24               | 0.00               | 26.24             | 0.5  | 0.13                 |
|   | ACCOUNT #: 00011265204        | BUY 43 Units @12.9500              |                      |                     |                    |                   |      |                      |
| 02/20/2018  | ***-**-6717 - DEBONIS, BRENDA | MAINSTAY CONSERVATIV ALLOCATION CL | 59.72                | 2.84                | 0.00               | 2.84              | 0.5  | 0.01                 |
|   | ACCOUNT #: 00011265204        | BUY 5 Units @12.9500               |                      |                     |                    |                   |      |                      |
| 02/20/2018  | ***-**-6717 - DEBONIS, BRENDA | MAINSTAY CONSERVATIV ALLOCATION CL | 552.50               | 26.24               | 0.00               | 26.24             | 0.5  | 0.13                 |
|   | ACCOUNT #: 00011265204        | BUY 43 Units @12.9500              |                      |                     |                    |                   |      |                      |
| 02/20/2018  | ***-**-6717 - DEBONIS, BRENDA | MAINSTAY CONSERVATIV ALLOCATION CL | 59.72                | 2.84                | 0.00               | 2.84              | 0.5  | 0.01                 |
|   | ACCOUNT #: 00011265204        | BUY 5 Units @12.9500               |                      |                     |                    |                   |      |                      |
| 02/20/2018  | ***-**-6717 - DEBONIS, BRENDA | MAINSTAY CONSERVATIV ALLOCATION CL | 552.50               | 26.24               | 0.00               | 26.24             | 0.5  | 0.13                 |
|   | ACCOUNT #: 00011265204        | BUY 43 Units @12.9500              |                      |                     |                    |                   |      |                      |
| 02/20/2018  | ***-**-6717 - DEBONIS, BRENDA | MAINSTAY CONSERVATIV ALLOCATION CL | 59.72                | 2.84                | 0.00               | 2.84              | 0.5  | 0.01                 |
|   | ACCOUNT #: 00011265204        | BUY 5 Units @12.9500               |                      |                     |                    |                   |      |                      |
| 02/20/2018  | ***-**-6717 - DEBONIS, BRENDA | MAINSTAY CONSERVATIV ALLOCATION CL | 552.50               | 26.24               | 0.00               | 26.24             | 0.5  | 0.13                 |
|   | ACCOUNT #: 00011265204        | BUY 43 Units @12.9500              |                      |                     |                    |                   |      |                      |
| 02/20/2018  | ***-**-6717 - DEBONIS, BRENDA | MAINSTAY CONSERVATIV ALLOCATION CL | 59.72                | 2.84                | 0.00               | 2.84              | 0.5  | 0.01                 |
|   | ACCOUNT #: 00011265204        | BUY 5 Units @12.9500               |                      |                     |                    |                   |      |                      |
| 02/20/2018  | ***-**-6717 - DEBONIS, BRENDA | MAINSTAY CONSERVATIV ALLOCATION CL | 552.50               | 26.24               | 0.00               | 26.24             | 0.5  | 0.13                 |
|   | ACCOUNT #: 00011265204        | BUY 43 Units @12.9500              |                      |                     |                    |                   |      |                      |
| 02/20/2018  | ***-**-6717 - DEBONIS, BRENDA | MAINSTAY CONSERVATIV ALLOCATION CL | 59.72                | 2.84                | 0.00               | 2.84              | 0.5  | 0.01                 |
|   | ACCOUNT #: 00011265204        | BUY 5 Units @12.9500               |                      |                     |                    |                   |      |                      |
| 02/20/2018  | ***-**-6717 - DEBONIS, BRENDA | MAINSTAY CONSERVATIV ALLOCATION CL | 552.50               | 26.24               | 0.00               | 26.24             | 0.5  | 0.13                 |
|   | ACCOUNT #: 00011265204        | BUY 43 Units @12.9500              |                      |                     |                    |                   |      |                      |
| 02/20/2018  | ***-**-6717 - DEBONIS, BRENDA | MAINSTAY CONSERVATIV ALLOCATION CL | 59.72                | 2.84                | 0.00               | 2.84              | 0.5  | 0.01                 |
|   | ACCOUNT #: 00011265204        | BUY 5 Units @12.9500               |                      |                     |                    |                   |      |                      |



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| DATE                                | CLIENT                      | INVESTMENT                         | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|-------------------------------------|-----------------------------|------------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| OVERRIDE TRANSACTIONS (continued)   |                             |                                    |                      |                     |                    |                   |      |                      |
| BROKER: WILLIAM FRANCIS (continued) |                             |                                    |                      |                     |                    |                   |      |                      |
| 02/20/2018                          | ***--6717 - DEBONIS, BRENDA | MAINSTAY CONSERVATIV ALLOCATION CL | 552.50               | 26.24               | 0.00               | 26.24             | 0.5  | 0.13                 |
|                                     | ACCOUNT #: 00011265204      | BUY 43 Units @12.9500              |                      |                     |                    |                   |      |                      |
| 02/20/2018                          | ***--8034 - DEBONIS, ALBERT | MAINSTAY MODERATE ALLOCATION CL A  | 74.38                | 1.49                | 0.00               | 1.49              | 0.5  | 0.01                 |
|                                     | ACCOUNT #: 00011265210      | BUY 5 Units @14.1400               |                      |                     |                    |                   |      |                      |
| 02/20/2018                          | ***--8034 - DEBONIS, ALBERT | MAINSTAY MODERATE ALLOCATION CL A  | 466.08               | 9.32                | 0.00               | 9.32              | 0.5  | 0.05                 |
|                                     | ACCOUNT #: 00011265210      | BUY 33 Units @14.1400              |                      |                     |                    |                   |      |                      |
| 02/20/2018                          | ***--8034 - DEBONIS, ALBERT | MAINSTAY MODERATE ALLOCATION CL A  | 74.38                | 1.49                | 0.00               | 1.49              | 0.5  | 0.01                 |
|                                     | ACCOUNT #: 00011265210      | BUY 5 Units @14.1400               |                      |                     |                    |                   |      |                      |
| 02/20/2018                          | ***--8034 - DEBONIS, ALBERT | MAINSTAY MODERATE ALLOCATION CL A  | 466.08               | 9.32                | 0.00               | 9.32              | 0.5  | 0.05                 |
|                                     | ACCOUNT #: 00011265210      | BUY 33 Units @14.1400              |                      |                     |                    |                   |      |                      |
| 02/20/2018                          | ***--8034 - DEBONIS, ALBERT | MAINSTAY MODERATE ALLOCATION CL A  | 74.38                | 1.49                | 0.00               | 1.49              | 0.5  | 0.01                 |
|                                     | ACCOUNT #: 00011265210      | BUY 5 Units @14.1400               |                      |                     |                    |                   |      |                      |
| 02/20/2018                          | ***--8034 - DEBONIS, ALBERT | MAINSTAY MODERATE ALLOCATION CL A  | 466.08               | 9.32                | 0.00               | 9.32              | 0.5  | 0.05                 |
|                                     | ACCOUNT #: 00011265210      | BUY 33 Units @14.1400              |                      |                     |                    |                   |      |                      |
| 02/20/2018                          | ***--8034 - DEBONIS, ALBERT | MAINSTAY MODERATE ALLOCATION CL A  | 74.38                | 1.49                | 0.00               | 1.49              | 0.5  | 0.01                 |
|                                     | ACCOUNT #: 00011265210      | BUY 5 Units @14.1400               |                      |                     |                    |                   |      |                      |
| 02/20/2018                          | ***--8034 - DEBONIS, ALBERT | MAINSTAY MODERATE ALLOCATION CL A  | 466.08               | 9.32                | 0.00               | 9.32              | 0.5  | 0.05                 |
|                                     | ACCOUNT #: 00011265210      | BUY 33 Units @14.1400              |                      |                     |                    |                   |      |                      |
| 02/20/2018                          | ***--8034 - DEBONIS, ALBERT | MAINSTAY MODERATE ALLOCATION CL A  | 74.38                | 1.49                | 0.00               | 1.49              | 0.5  | 0.01                 |
|                                     | ACCOUNT #: 00011265210      | BUY 5 Units @14.1400               |                      |                     |                    |                   |      |                      |
| 02/20/2018                          | ***--8034 - DEBONIS, ALBERT | MAINSTAY MODERATE ALLOCATION CL A  | 180.27               | 3.61                | 0.00               | 3.61              | 0.5  | 0.02                 |
|                                     | ACCOUNT #: 00011265210      | BUY 13 Units @14.1400              |                      |                     |                    |                   |      |                      |
| 02/20/2018                          | ***--8034 - DEBONIS, ALBERT | MAINSTAY MODERATE ALLOCATION CL A  | 74.38                | 1.49                | 0.00               | 1.49              | 0.5  | 0.01                 |
|                                     | ACCOUNT #: 00011265210      | BUY 5 Units @14.1400               |                      |                     |                    |                   |      |                      |
| 02/20/2018                          | ***--8034 - DEBONIS, ALBERT | MAINSTAY MODERATE ALLOCATION CL A  | 466.08               | 9.32                | 0.00               | 9.32              | 0.5  | 0.05                 |
|                                     | ACCOUNT #: 00011265210      | BUY 33 Units @14.1400              |                      |                     |                    |                   |      |                      |
| 02/20/2018                          | ***--8034 - DEBONIS, ALBERT | MAINSTAY MODERATE ALLOCATION CL A  | 74.38                | 1.49                | 0.00               | 1.49              | 0.5  | 0.01                 |
|                                     | ACCOUNT #: 00011265210      | BUY 5 Units @14.1400               |                      |                     |                    |                   |      |                      |
| 02/20/2018                          | ***--8034 - DEBONIS, ALBERT | MAINSTAY MODERATE ALLOCATION CL A  | 466.08               | 9.32                | 0.00               | 9.32              | 0.5  | 0.05                 |
|                                     | ACCOUNT #: 00011265210      | BUY 33 Units @14.1400              |                      |                     |                    |                   |      |                      |
| 02/20/2018                          | ***--6717 - DEBONIS, BRENDA | MAINSTAY MODERATE ALLOCATION CL A  | 32.16                | 1.53                | 0.00               | 1.53              | 0.5  | 0.01                 |
|                                     | ACCOUNT #: 00011265204      | BUY 2 Units @14.5900               |                      |                     |                    |                   |      |                      |



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|--|-------------------------------|-----------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b> OVERRIDE TRANSACTIONS (continued)</b>          |                               |                                   |                      |                     |                    |                   |      |                      |
| <b> <u>BROKER: WILLIAM FRANCIS (continued)</u></b> |                               |                                   |                      |                     |                    |                   |      |                      |
| 02/20/2018   | ***-**-6717 - DEBONIS, BRENDA | MAINSTAY MODERATE ALLOCATION CL A | 297.50               | 14.13               | 0.00               | 14.13             | 0.5  | 0.07                 |
|  | ACCOUNT #: 00011265204        | BUY 20 Units @14.5900             |                      |                     |                    |                   |      |                      |
| 02/20/2018   | ***-**-6717 - DEBONIS, BRENDA | MAINSTAY MODERATE ALLOCATION CL A | 32.16                | 1.53                | 0.00               | 1.53              | 0.5  | 0.01                 |
|  | ACCOUNT #: 00011265204        | BUY 2 Units @14.5900              |                      |                     |                    |                   |      |                      |
| 02/20/2018   | ***-**-6717 - DEBONIS, BRENDA | MAINSTAY MODERATE ALLOCATION CL A | 297.50               | 14.13               | 0.00               | 14.13             | 0.5  | 0.07                 |
|  | ACCOUNT #: 00011265204        | BUY 20 Units @14.5900             |                      |                     |                    |                   |      |                      |
| 02/20/2018   | ***-**-6717 - DEBONIS, BRENDA | MAINSTAY MODERATE ALLOCATION CL A | 32.16                | 1.53                | 0.00               | 1.53              | 0.5  | 0.01                 |
|  | ACCOUNT #: 00011265204        | BUY 2 Units @14.5900              |                      |                     |                    |                   |      |                      |
| 02/20/2018   | ***-**-6717 - DEBONIS, BRENDA | MAINSTAY MODERATE ALLOCATION CL A | 297.50               | 14.13               | 0.00               | 14.13             | 0.5  | 0.07                 |
|  | ACCOUNT #: 00011265204        | BUY 20 Units @14.5900             |                      |                     |                    |                   |      |                      |
| 02/20/2018   | ***-**-6717 - DEBONIS, BRENDA | MAINSTAY MODERATE ALLOCATION CL A | 32.16                | 1.53                | 0.00               | 1.53              | 0.5  | 0.01                 |
|  | ACCOUNT #: 00011265204        | BUY 2 Units @14.5900              |                      |                     |                    |                   |      |                      |
| 02/20/2018   | ***-**-6717 - DEBONIS, BRENDA | MAINSTAY MODERATE ALLOCATION CL A | 297.50               | 14.13               | 0.00               | 14.13             | 0.5  | 0.07                 |
|  | ACCOUNT #: 00011265204        | BUY 20 Units @14.5900             |                      |                     |                    |                   |      |                      |
| 02/20/2018   | ***-**-6717 - DEBONIS, BRENDA | MAINSTAY MODERATE ALLOCATION CL A | 32.16                | 1.53                | 0.00               | 1.53              | 0.5  | 0.01                 |
|  | ACCOUNT #: 00011265204        | BUY 2 Units @14.5900              |                      |                     |                    |                   |      |                      |
| 02/20/2018   | ***-**-6717 - DEBONIS, BRENDA | MAINSTAY MODERATE ALLOCATION CL A | 297.50               | 14.13               | 0.00               | 14.13             | 0.5  | 0.07                 |
|  | ACCOUNT #: 00011265204        | BUY 20 Units @14.5900             |                      |                     |                    |                   |      |                      |
| 02/20/2018   | ***-**-6717 - DEBONIS, BRENDA | MAINSTAY MODERATE ALLOCATION CL A | 32.16                | 1.53                | 0.00               | 1.53              | 0.5  | 0.01                 |
|  | ACCOUNT #: 00011265204        | BUY 2 Units @14.5900              |                      |                     |                    |                   |      |                      |
| 02/20/2018   | ***-**-6717 - DEBONIS, BRENDA | MAINSTAY MODERATE ALLOCATION CL A | 297.50               | 14.13               | 0.00               | 14.13             | 0.5  | 0.07                 |
|  | ACCOUNT #: 00011265204        | BUY 20 Units @14.5900             |                      |                     |                    |                   |      |                      |
| 03/12/2018   | ***-**-5233 - DUTCHESS,       | MASS MUTUAL VA TRAILS             | 0.00                 | 47.88               | 0.00               | 47.88             | 0.5  | 0.24                 |
|  | ACCOUNT #: 841406             | BUY 1 Units @0.0000               |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-2633 - BUTLER, JAIME   | NEW PERSPECTIVE FUND-A            | 0.00                 | 9.44                | 0.00               | 9.44              | 0.5  | 0.05                 |
|  | ACCOUNT #: 00075179061        | BUY 0 Units @0.0000               |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-5076 - TORRES, JASON   | NEW PERSPECTIVE FUND-A            | 0.00                 | 1.99                | 0.00               | 1.99              | 0.5  | 0.01                 |
|  | ACCOUNT #: 00088000759        | BUY 0 Units @0.0000               |                      |                     |                    |                   |      |                      |



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|--|-------------------------------|-----------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b> OVERRIDE TRANSACTIONS (continued)</b>          |                               |                                   |                      |                     |                    |                   |      |                      |
| <b> <u>BROKER: WILLIAM FRANCIS (continued)</u></b> |                               |                                   |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-9982 - BROWN, EDWIN    | NEW PERSPECTIVE FUND-A            | 0.00                 | 11.66               | 0.00               | 11.66             | 0.5  | 0.06                 |
|  | ACCOUNT #: 00088145716        | BUY 0 Units @0.0000               |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-8658 - GILL, THERESA   | NEW PERSPECTIVE FUND-A            | 0.00                 | 1.79                | 0.00               | 1.79              | 0.5  | 0.01                 |
|  | ACCOUNT #: 00088214150        | BUY 0 Units @0.0000               |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-9064 - GUERRERO, NIGEL | NEW PERSPECTIVE FUND-A            | 0.00                 | 1.65                | 0.00               | 1.65              | 0.5  | 0.01                 |
|  | ACCOUNT #: 00088394220        | BUY 0 Units @0.0000               |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-9982 - BROWN, EDWIN    | NEW PERSPECTIVE FUND-A            | 0.00                 | 6.67                | 0.00               | 6.67              | 0.5  | 0.03                 |
|  | ACCOUNT #: 00088575250        | BUY 0 Units @0.0000               |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-2538 - GOLDMAN, DANIEL | NEW PERSPECTIVE FUND-A            | 0.00                 | 3.68                | 0.00               | 3.68              | 0.5  | 0.02                 |
|  | ACCOUNT #: 00088925352        | BUY 0 Units @0.0000               |                      |                     |                    |                   |      |                      |
| 03/12/2018   | ***-**-775P - RYAN, MARY      | NEW YORK 529 TRAILS               | 0.00                 | 1.91                | 0.00               | 1.91              | 0.5  | 0.01                 |
|  | ACCOUNT #: 77321355401        | BUY 0 Units @0.0000               |                      |                     |                    |                   |      |                      |
| 03/12/2018   | ***-**-775P - RYAN, MARY      | NYA JPM 529 COLLEGE AGE-BASED P A | 250.00               | 10.13               | 0.00               | 10.13             | 0.5  | 0.05                 |
|  | ACCOUNT #: 77321355401        | BUY 0 Units @0.0000               |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-5076 - TORRES, JASON   | SMALLCAP WORLD FUND-A             | 0.00                 | 3.85                | 0.00               | 3.85              | 0.5  | 0.02                 |
|  | ACCOUNT #: 00088000759        | BUY 0 Units @0.0000               |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-8658 - GILL, THERESA   | SMALLCAP WORLD FUND-A             | 0.00                 | 1.19                | 0.00               | 1.19              | 0.5  | 0.01                 |
|  | ACCOUNT #: 00088214150        | BUY 0 Units @0.0000               |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-3569 - ANDERSON,       | SMALLCAP WORLD FUND-A             | 0.00                 | 3.08                | 0.00               | 3.08              | 0.5  | 0.02                 |
|  | ACCOUNT #: 00088334300        | BUY 0 Units @0.0000               |                      |                     |                    |                   |      |                      |
| 03/06/2018   | ***-**-439I - DAILY, RONI     | SMALLCAP WORLD FUND-A             | 16,925.02            | 447.43              | 0.00               | 447.43            | 0.5  | 2.24                 |
|  | ACCOUNT #: LSR012499          | BUY 285 Units @59.3900            |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-2633 - BUTLER, JAIME   | THE BOND FUND OF AMERICA-A        | 0.00                 | 5.73                | 0.00               | 5.73              | 0.5  | 0.03                 |
|  | ACCOUNT #: 00075179061        | BUY 0 Units @0.0000               |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-2582 - AGUIAR, DANA    | THE BOND FUND OF AMERICA-A        | 0.00                 | 1.91                | 0.00               | 1.91              | 0.5  | 0.01                 |
|  | ACCOUNT #: 00087887914        | BUY 0 Units @0.0000               |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-2538 - GOLDMAN, DANIEL | THE BOND FUND OF AMERICA-A        | 0.00                 | 18.06               | 0.00               | 18.06             | 0.5  | 0.09                 |
|  | ACCOUNT #: 00088105535        | BUY 0 Units @0.0000               |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-9982 - BROWN, EDWIN    | THE BOND FUND OF AMERICA-A        | 0.00                 | 16.30               | 0.00               | 16.30             | 0.5  | 0.08                 |
|  | ACCOUNT #: 00088145716        | BUY 0 Units @0.0000               |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-3569 - ANDERSON,       | THE BOND FUND OF AMERICA-A        | 0.00                 | 5.09                | 0.00               | 5.09              | 0.5  | 0.03                 |
|  | ACCOUNT #: 00088334300        | BUY 0 Units @0.0000               |                      |                     |                    |                   |      |                      |



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| DATE  | CLIENT  | INVESTMENT   | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|---|---|--|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b><u> OVERRIDE TRANSACTIONS (continued) </u></b>   |   |  |                      |                     |                    |                   |      |                      |
| <b><u> BROKER: WILLIAM FRANCIS (continued) </u></b> |   |  |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-6809 - FRANCIS, PAUL<br>ACCOUNT #: 00088351601   | THE BOND FUND OF AMERICA-A<br>BUY 0 Units @0.0000      | 0.00                 | 6.07                | 0.00               | 6.07              | 0.5  | 0.03                 |
| 03/01/2018  | ***-**-9982 - BROWN, EDWIN<br>ACCOUNT #: 00088575250    | THE BOND FUND OF AMERICA-A<br>BUY 0 Units @0.0000      | 0.00                 | 9.43                | 0.00               | 9.43              | 0.5  | 0.05                 |
| 03/01/2018  | ***-**-6885 - BUCHANAN, ROGER<br>ACCOUNT #: 00088653800 | THE BOND FUND OF AMERICA-A<br>BUY 0 Units @0.0000      | 0.00                 | 20.24               | 0.00               | 20.24             | 0.5  | 0.10                 |
| 03/01/2018  | ***-**-1878 - HOWANIEC, DESSA<br>ACCOUNT #: 00088798653 | THE BOND FUND OF AMERICA-A<br>BUY 0 Units @0.0000      | 0.00                 | 2.07                | 0.00               | 2.07              | 0.5  | 0.01                 |
| 03/06/2018  | ***-**-439I - DAILY, RONI<br>ACCOUNT #: LSR012499       | THE BOND FUND OF AMERICA-A<br>BUY 3894 Units @13.0400  | 50,775.00            | 1,378.31            | 0.00               | 1,378.31          | 0.5  | 6.89                 |
| 02/27/2018  | ***-**-6878 - KACUR, JUSTIN<br>ACCOUNT #: 00088824619   | THE GROWTH FUND OF AMERICA-A<br>BUY 1 Units @55.4000   | 59.08                | 2.51                | 0.00               | 2.51              | 0.5  | 0.01                 |
| 02/27/2018  | ***-**-6878 - KACUR, JUSTIN<br>ACCOUNT #: 00088824619   | THE GROWTH FUND OF AMERICA-A<br>BUY 1 Units @55.4000   | 59.08                | 2.51                | 0.00               | 2.51              | 0.5  | 0.01                 |
| 03/01/2018  | ***-**-5076 - TORRES, JASON<br>ACCOUNT #: 00088000759   | THE GROWTH FUND OF AMERICA-A<br>BUY 0 Units @0.0000    | 0.00                 | 4.28                | 0.00               | 4.28              | 0.5  | 0.02                 |
| 03/01/2018  | ***-**-2538 - GOLDMAN, DANIEL<br>ACCOUNT #: 00088105535 | THE GROWTH FUND OF AMERICA-A<br>BUY 0 Units @0.0000    | 0.00                 | 27.43               | 0.00               | 27.43             | 0.5  | 0.14                 |
| 03/01/2018  | ***-**-3569 - ANDERSON,<br>ACCOUNT #: 00088334300       | THE GROWTH FUND OF AMERICA-A<br>BUY 0 Units @0.0000    | 0.00                 | 10.47               | 0.00               | 10.47             | 0.5  | 0.05                 |
| 03/01/2018  | ***-**-6809 - FRANCIS, PAUL<br>ACCOUNT #: 00088351601   | THE GROWTH FUND OF AMERICA-A<br>BUY 0 Units @0.0000    | 0.00                 | 8.30                | 0.00               | 8.30              | 0.5  | 0.04                 |
| 03/01/2018  | ***-**-9064 - GUERRERO, NIGEL<br>ACCOUNT #: 00088394220 | THE GROWTH FUND OF AMERICA-A<br>BUY 0 Units @0.0000    | 0.00                 | 2.25                | 0.00               | 2.25              | 0.5  | 0.01                 |
| 03/01/2018  | ***-**-6878 - KACUR, JUSTIN<br>ACCOUNT #: 00088824619   | THE GROWTH FUND OF AMERICA-A<br>BUY 0 Units @0.0000    | 0.00                 | 2.54                | 0.00               | 2.54              | 0.5  | 0.01                 |
| 03/06/2018  | ***-**-439I - DAILY, RONI<br>ACCOUNT #: LSR012499       | THE GROWTH FUND OF AMERICA-A<br>BUY 619 Units @54.6600 | 33,850.01            | 912.87              | 0.00               | 912.87            | 0.5  | 4.56                 |
| 02/27/2018  | ***-**-6878 - KACUR, JUSTIN<br>ACCOUNT #: 00088824619   | THE INCOME FUND OF AMERICA-A<br>BUY 1 Units @24.5400   | 29.54                | 1.26                | 0.00               | 1.26              | 0.5  | 0.01                 |
| 02/27/2018  | ***-**-6878 - KACUR, JUSTIN<br>ACCOUNT #: 00088824619   | THE INCOME FUND OF AMERICA-A<br>BUY 1 Units @24.5400   | 29.54                | 1.26                | 0.00               | 1.26              | 0.5  | 0.01                 |



# COMMISSION STATEMENT

March 12, 2018

HOME OFFICE PASCALE

BROKER #: 981A

BRANCH #01001 - LifeMark Home Office

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| DATE  | CLIENT                         | INVESTMENT                   | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|---|--------------------------------|------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b><u> OVERRIDE TRANSACTIONS (continued) </u></b>   |                                |                              |                      |                     |                    |                   |      |                      |
| <b><u> BROKER: WILLIAM FRANCIS (continued) </u></b> |                                |                              |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-2633 - BUTLER, JAIME    | THE INCOME FUND OF AMERICA-A | 0.00                 | 8.18                | 0.00               | 8.18              | 0.5  | 0.04                 |
|   | ACCOUNT #: 00075179061         | BUY 0 Units @0.0000          |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-8431 - HOWANIEC, EDWARD | THE INCOME FUND OF AMERICA-A | 0.00                 | 137.36              | 0.00               | 137.36            | 0.5  | 0.69                 |
|   | ACCOUNT #: 00086726246         | BUY 0 Units @0.0000          |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-06IN - GOLDMAN, JUNE    | THE INCOME FUND OF AMERICA-A | 0.00                 | 63.17               | 0.00               | 63.17             | 0.5  | 0.32                 |
|   | ACCOUNT #: 00087856737         | BUY 0 Units @0.0000          |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-2582 - AGUIAR, DANA     | THE INCOME FUND OF AMERICA-A | 0.00                 | 2.23                | 0.00               | 2.23              | 0.5  | 0.01                 |
|   | ACCOUNT #: 00087887914         | BUY 0 Units @0.0000          |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-5076 - TORRES, JASON    | THE INCOME FUND OF AMERICA-A | 0.00                 | 1.81                | 0.00               | 1.81              | 0.5  | 0.01                 |
|   | ACCOUNT #: 00088000759         | BUY 0 Units @0.0000          |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-9105 - OCONNOR, BARBARA | THE INCOME FUND OF AMERICA-A | 0.00                 | 48.34               | 0.00               | 48.34             | 0.5  | 0.24                 |
|   | ACCOUNT #: 00088011557         | BUY 0 Units @0.0000          |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-5445 - NORTH, CHARLES   | THE INCOME FUND OF AMERICA-A | 0.00                 | 35.50               | 0.00               | 35.50             | 0.5  | 0.18                 |
|   | ACCOUNT #: 00088143210         | BUY 0 Units @0.0000          |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-9982 - BROWN, EDWIN     | THE INCOME FUND OF AMERICA-A | 0.00                 | 9.40                | 0.00               | 9.40              | 0.5  | 0.05                 |
|   | ACCOUNT #: 00088145716         | BUY 0 Units @0.0000          |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-8658 - GILL, THERESA    | THE INCOME FUND OF AMERICA-A | 0.00                 | 1.04                | 0.00               | 1.04              | 0.5  | 0.01                 |
|   | ACCOUNT #: 00088214150         | BUY 0 Units @0.0000          |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-3582 - NORTH, JOANNE    | THE INCOME FUND OF AMERICA-A | 0.00                 | 5.83                | 0.00               | 5.83              | 0.5  | 0.03                 |
|   | ACCOUNT #: 00088269231         | BUY 0 Units @0.0000          |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-7131 - PHILLIPS, DAVID  | THE INCOME FUND OF AMERICA-A | 0.00                 | 11.73               | 0.00               | 11.73             | 0.5  | 0.06                 |
|   | ACCOUNT #: 00088295242         | BUY 0 Units @0.0000          |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-7757 - JOHNSON,         | THE INCOME FUND OF AMERICA-A | 0.00                 | 12.41               | 0.00               | 12.41             | 0.5  | 0.06                 |
|   | ACCOUNT #: 00088316251         | BUY 0 Units @0.0000          |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-3569 - ANDERSON,        | THE INCOME FUND OF AMERICA-A | 0.00                 | 5.90                | 0.00               | 5.90              | 0.5  | 0.03                 |
|   | ACCOUNT #: 00088334300         | BUY 0 Units @0.0000          |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-9064 - GUERRERO, NIGEL  | THE INCOME FUND OF AMERICA-A | 0.00                 | 1.00                | 0.00               | 1.00              | 0.5  | 0.01                 |
|   | ACCOUNT #: 00088394220         | BUY 0 Units @0.0000          |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-9982 - BROWN, EDWIN     | THE INCOME FUND OF AMERICA-A | 0.00                 | 5.46                | 0.00               | 5.46              | 0.5  | 0.03                 |
|   | ACCOUNT #: 00088575250         | BUY 0 Units @0.0000          |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-6885 - BUCHANAN, ROGER  | THE INCOME FUND OF AMERICA-A | 0.00                 | 67.07               | 0.00               | 67.07             | 0.5  | 0.34                 |
|   | ACCOUNT #: 00088653800         | BUY 0 Units @0.0000          |                      |                     |                    |                   |      |                      |





# COMMISSION STATEMENT

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HOME OFFICE PASCALE

BROKER #: 981A

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| DATE  | CLIENT   | INVESTMENT   | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|---|--|--|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b>Override Transactions (continued)</b>          |  |  |                      |                     |                    |                   |      |                      |
| <b><u>BROKER: WILLIAM FRANCIS (continued)</u></b> |  |  |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-6878 - KACUR, JUSTIN<br>ACCOUNT #: 00088824619    | THE INCOME FUND OF AMERICA-A<br>BUY 0 Units @0.0000        | 0.00                 | 1.13                | 0.00               | 1.13              | 0.5  | 0.01                 |
| 03/01/2018  | ***-**-9982 - BROWN, EDWIN<br>ACCOUNT #: 00089209664     | THE INCOME FUND OF AMERICA-A<br>BUY 0 Units @0.0000        | 0.00                 | 18.84               | 0.00               | 18.84             | 0.5  | 0.09                 |
| 03/01/2018  | ***-**-2633 - BUTLER, JAIME<br>ACCOUNT #: 00075179061    | THE INVESTMENT COMPANY OF AMERICA-A<br>BUY 0 Units @0.0000 | 0.00                 | 9.56                | 0.00               | 9.56              | 0.5  | 0.05                 |
| 03/01/2018  | ***-**-5076 - TORRES, JASON<br>ACCOUNT #: 00088000759    | THE INVESTMENT COMPANY OF AMERICA-A<br>BUY 0 Units @0.0000 | 0.00                 | 8.09                | 0.00               | 8.09              | 0.5  | 0.04                 |
| 03/01/2018  | ***-**-5076 - TORRES, JASON<br>ACCOUNT #: 00088000759    | THE NEW ECONOMY FUND-A<br>BUY 0 Units @0.0000              | 0.00                 | 4.12                | 0.00               | 4.12              | 0.5  | 0.02                 |
| 03/01/2018  | ***-**-2538 - GOLDMAN, DANIEL<br>ACCOUNT #: 00088105535  | THE NEW ECONOMY FUND-A<br>BUY 0 Units @0.0000              | 0.00                 | 26.33               | 0.00               | 26.33             | 0.5  | 0.13                 |
| 03/01/2018  | ***-**-8658 - GILL, THERESA<br>ACCOUNT #: 00088214150    | THE NEW ECONOMY FUND-A<br>BUY 0 Units @0.0000              | 0.00                 | 1.88                | 0.00               | 1.88              | 0.5  | 0.01                 |
| 03/01/2018  | ***-**-3569 - ANDERSON,<br>ACCOUNT #: 00088334300        | THE NEW ECONOMY FUND-A<br>BUY 0 Units @0.0000              | 0.00                 | 7.06                | 0.00               | 7.06              | 0.5  | 0.04                 |
| 03/06/2018  | ***-**-439I - DAILY, RONI<br>ACCOUNT #: LSR012499        | THE NEW ECONOMY FUND-A<br>BUY 337 Units @50.2600           | 16,925.00            | 447.43              | 0.00               | 447.43            | 0.5  | 2.24                 |
| 02/28/2018  | ***-**-47FB - TORRES, SHARI<br>ACCOUNT #: 01293376129    | WASHINGTON MUTUAL INVESTORS FUND-A<br>BUY 5 Units @46.9800 | 252.36               | 4.04                | 0.00               | 4.04              | 0.5  | 0.02                 |
| 03/01/2018  | ***-**-9982 - BROWN, EDWIN<br>ACCOUNT #: 00088145716     | WASHINGTON MUTUAL INVESTORS FUND-A<br>BUY 0 Units @0.0000  | 0.00                 | 22.09               | 0.00               | 22.09             | 0.5  | 0.11                 |
| 03/01/2018  | ***-**-9982 - BROWN, EDWIN<br>ACCOUNT #: 00088575250     | WASHINGTON MUTUAL INVESTORS FUND-A<br>BUY 0 Units @0.0000  | 0.00                 | 12.78               | 0.00               | 12.78             | 0.5  | 0.06                 |
| 03/01/2018  | ***-**-5132 - WEBER, FREDERICK<br>ACCOUNT #: 00088817392 | WASHINGTON MUTUAL INVESTORS FUND-A<br>BUY 0 Units @0.0000  | 0.00                 | 8.37                | 0.00               | 8.37              | 0.5  | 0.04                 |
| 03/01/2018  | ***-**-47FB - TORRES, SHARI<br>ACCOUNT #: 01293376129    | WASHINGTON MUTUAL INVESTORS FUND-A<br>BUY 0 Units @0.0000  | 0.00                 | 27.28               | 0.00               | 27.28             | 0.5  | 0.14                 |
| 03/09/2018  | ***-**-7748 - MCCANNA, GLORIA<br>ACCOUNT #: 00000613527  | WORLD VALUES INTERNATIONAL EQUITY -<br>BUY 0 Units @0.0000 | 0.00                 | 10.97               | 0.00               | 10.97             | 0.5  | 0.05                 |
| <b>* WILLIAM FRANCIS SUBTOTAL *</b>               |  |  | <b>\$188,269.65</b>  | <b>\$8,105.24</b>   | <b>\$0.00</b>      | <b>\$8,105.24</b> |      | <b>\$40.64</b>       |



# COMMISSION STATEMENT

March 12, 2018

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BROKER #: 981A

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, NY

| DATE  | CLIENT   | INVESTMENT  | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|---|--|---|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b><u> OVERRIDE TRANSACTIONS (continued) </u></b> |  |   |                      |                     |                    |                   |      |                      |
| <b><u>BROKER: LOUIS HORWIN</u></b>                |  |   |                      |                     |                    |                   |      |                      |
| 03/07/2018  | ***-**-648K - PARADY, STEPHEN<br>ACCOUNT #: LSR011461    | CALAMOS CONV &HIGH INCOME FD COM SH<br>SELL 2179 Units @12.0080 | 26,165.43            | 239.42              | 0.00               | 239.42            | 0.5  | 1.20                 |
| 03/07/2018  | ***-**-648K - PARADY, STEPHEN<br>ACCOUNT #: LSR011461    | CALAMOS CONV OPP AND INC FD SH BEN<br>BUY 1985 Units @11.2800   | 22,390.80            | 168.56              | 0.00               | 168.56            | 0.5  | 0.84                 |
| 03/07/2018  | ***-**-648K - PARADY, STEPHEN<br>ACCOUNT #: LSR011461    | CALAMOS CONV OPP AND INC FD SH BEN<br>BUY 220 Units @11.2700    | 2,479.40             | 20.34               | 0.00               | 20.34             | 0.5  | 0.10                 |
| 03/07/2018  | ***-**-648K - PARADY, STEPHEN<br>ACCOUNT #: LSR011461    | CORNERSTONE STRATEGIC VALUE FD COM<br>SELL 2005 Units @15.5240  | 31,125.62            | 255.90              | 0.00               | 255.90            | 0.5  | 1.28                 |
| 03/07/2018  | ***-**-648K - PARADY, STEPHEN<br>ACCOUNT #: LSR011461    | CORNERSTONE TOTAL RTRN FD INC COM P<br>BUY 2009 Units @15.5460  | 31,231.91            | 256.82              | 0.00               | 256.82            | 0.5  | 1.28                 |
| * LOUIS HORWIN SUBTOTAL *                         |  |   | <b>\$113,393.16</b>  | <b>\$941.04</b>     | <b>\$0.00</b>      | <b>\$941.04</b>   |      | <b>\$4.70</b>        |
| <b><u>BROKER: DEVIN BORN</u></b>                  |  |   |                      |                     |                    |                   |      |                      |
| 03/12/2018  | ***-**-90IO - LUBAS, AMY<br>ACCOUNT #: LSR011748         | ALLIANCEBERNSTEIN EMERG MKT DEBT A<br>BUY 1 Units @0.0000       | 0.00                 | 12.16               | 0.00               | 12.16             | 0.5  | 0.06                 |
| 03/12/2018  | ***-**-36IO - CEGANICK,<br>ACCOUNT #: LSM000176          | ALLIANCEBERNSTEIN GROWTH AND INC A<br>BUY 1 Units @0.0000       | 0.00                 | 4.69                | 0.00               | 4.69              | 0.5  | 0.02                 |
| 03/01/2018  | ***-**-6921 - EINSEL, HELENA<br>ACCOUNT #: 04000487201   | AMERICAN FUNDS 2035 TARGET DATE-A<br>BUY 0 Units @0.0000        | 0.00                 | 51.32               | 0.00               | 51.32             | 0.5  | 0.26                 |
| 03/12/2018  | ***-**-05IR - BORN, SHAWN<br>ACCOUNT #: LSM000165        | CALVERT SOCIAL INVESTMENT FD EQUITY<br>BUY 1 Units @0.0000      | 0.00                 | 2.07                | 0.00               | 2.07              | 0.5  | 0.01                 |
| 03/01/2018  | ***-**-1668 - BONNER, STEPHEN<br>ACCOUNT #: 00700557085  | FA 529 PORT 2019-OLD CL A<br>BUY 2 Units @20.9900               | 50.00                | 1.25                | 0.00               | 1.25              | 0.5  | 0.01                 |
| 03/07/2018  | ***-**-03IN - COLLINS, CHRISTY<br>ACCOUNT #: 00700912066 | FA 529 PORT 2019-OLD CL A<br>BUY 0 Units @0.0000                | 0.00                 | 5.38                | 0.00               | 5.38              | 0.5  | 0.03                 |
| 03/07/2018  | ***-**-1668 - BONNER, STEPHEN<br>ACCOUNT #: 00700557085  | FA 529 PORT 2019-OLD CL A<br>BUY 0 Units @0.0000                | 0.00                 | 9.47                | 0.00               | 9.47              | 0.5  | 0.05                 |
| 03/01/2018  | ***-**-68IN - ESHBACH, ERIC<br>ACCOUNT #: 00701661217    | FA 529 PORT 2022-CL A<br>BUY 4 Units @28.2800                   | 100.00               | 5.00                | 0.00               | 5.00              | 0.5  | 0.03                 |
| 03/01/2018  | ***-**-35IR - SPERRATORE, ROSE<br>ACCOUNT #: 00689597003 | FA 529 PORT 2022-CL A<br>BUY 2 Units @27.9100                   | 50.00                | 1.88                | 0.00               | 1.88              | 0.5  | 0.01                 |
| 03/07/2018  | ***-**-68IN - ESHBACH, ERIC<br>ACCOUNT #: 00701661217    | FA 529 PORT 2022-CL A<br>BUY 0 Units @0.0000                    | 0.00                 | 2.84                | 0.00               | 2.84              | 0.5  | 0.01                 |



# COMMISSION STATEMENT

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BROKER #: 981A

BRANCH #01001 - LifeMark Home Office

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| DATE   | CLIENT                         | INVESTMENT                         | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|--|--------------------------------|------------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b><u>VERRIDE TRANSACTIONS (continued)</u></b> |                                |                                    |                      |                     |                    |                   |      |                      |
| <b><u>BROKER: DEVIN BORN (continued)</u></b>   |                                |                                    |                      |                     |                    |                   |      |                      |
| 03/07/2018                                     | ***-**-35IR - SPERRATORE, ROSE | FA 529 PORT 2022-CL A              | 0.00                 | 4.60                | 0.00               | 4.60              | 0.5  | 0.02                 |
|  | ACCOUNT #: 00689597003         | BUY 0 Units @0.0000                |                      |                     |                    |                   |      |                      |
| 03/07/2018                                     | ***-**-975P - SCANTZOS,        | FA 529 PORT 2022-CL A              | 0.00                 | 2.07                | 0.00               | 2.07              | 0.5  | 0.01                 |
|  | ACCOUNT #: 00700225170         | BUY 0 Units @0.0000                |                      |                     |                    |                   |      |                      |
| 03/07/2018                                     | ***-**-975P - SCANTZOS,        | FA 529 PORT 2022-CL A              | 0.00                 | 3.39                | 0.00               | 3.39              | 0.5  | 0.02                 |
|  | ACCOUNT #: 00701649865         | BUY 0 Units @0.0000                |                      |                     |                    |                   |      |                      |
| 03/07/2018                                     | ***-**-4593 - TOWER, GERTRUDE  | FA 529 PORT 2022-CL A              | 0.00                 | 1.23                | 0.00               | 1.23              | 0.5  | 0.01                 |
|  | ACCOUNT #: 01471499630         | BUY 0 Units @0.0000                |                      |                     |                    |                   |      |                      |
| 03/07/2018                                     | ***-**-4593 - TOWER, GERTRUDE  | FA 529 PORT 2022-CL A              | 0.00                 | 1.23                | 0.00               | 1.23              | 0.5  | 0.01                 |
|  | ACCOUNT #: 01471499655         | BUY 0 Units @0.0000                |                      |                     |                    |                   |      |                      |
| 03/07/2018                                     | ***-**-975P - SCANTZOS,        | FA 529 PORT 2025-CL A              | 0.00                 | 1.98                | 0.00               | 1.98              | 0.5  | 0.01                 |
|  | ACCOUNT #: 00704894625         | BUY 0 Units @0.0000                |                      |                     |                    |                   |      |                      |
| 03/01/2018                                     | ***-**-35IR - SPERRATORE, ROSE | FA 529 PORT 2028-CL A              | 50.00                | 1.88                | 0.00               | 1.88              | 0.5  | 0.01                 |
|  | ACCOUNT #: 00625390331         | BUY 2 Units @28.9300               |                      |                     |                    |                   |      |                      |
| 03/07/2018                                     | ***-**-35IR - SPERRATORE, ROSE | FA 529 PORT 2028-CL A              | 0.00                 | 3.60                | 0.00               | 3.60              | 0.5  | 0.02                 |
|  | ACCOUNT #: 00625390331         | BUY 0 Units @0.0000                |                      |                     |                    |                   |      |                      |
| 03/07/2018                                     | ***-**-35IR - SPERRATORE, ROSE | FA 529 PORT 2028-CL A              | 0.00                 | 1.19                | 0.00               | 1.19              | 0.5  | 0.01                 |
|  | ACCOUNT #: 01464625126         | BUY 0 Units @0.0000                |                      |                     |                    |                   |      |                      |
| 03/07/2018                                     | ***-**-2330 - BRYNIARSKI,      | FIDELITY ADV FREEDOM 2035-CL A     | 0.00                 | 2.63                | 0.00               | 2.63              | 0.5  | 0.01                 |
|  | ACCOUNT #: 01427341720         | BUY 0 Units @0.0000                |                      |                     |                    |                   |      |                      |
| 03/07/2018                                     | ***-**-9418 - ESHBACH, SUSAN   | FIDELITY ADV FREEDOM 2050-CL A     | 0.00                 | 2.47                | 0.00               | 2.47              | 0.5  | 0.01                 |
|  | ACCOUNT #: 01422030047         | BUY 0 Units @0.0000                |                      |                     |                    |                   |      |                      |
| 03/07/2018                                     | ***-**-9816 - ESHBACH, AUDREY  | FIDELITY ADV HEALTH CARE-CL A      | 0.00                 | 6.49                | 0.00               | 6.49              | 0.5  | 0.03                 |
|  | ACCOUNT #: 00537147738         | BUY 0 Units @0.0000                |                      |                     |                    |                   |      |                      |
| 03/02/2018                                     | ***-**-482J - SCHWEMMER, JOHN  | FIDELITY ADV HIGH INCOME ADVANTAGE | 200.00               | 7.50                | 0.00               | 7.50              | 0.5  | 0.04                 |
|  | ACCOUNT #: 00700258619         | BUY 17 Units @11.7000              |                      |                     |                    |                   |      |                      |
| 03/07/2018                                     | ***-**-0610 - SWEIGART, SUE    | FIDELITY ADV HIGH INCOME ADVANTAGE | 0.00                 | 6.28                | 0.00               | 6.28              | 0.5  | 0.03                 |
|  | ACCOUNT #: 00527640569         | BUY 0 Units @0.0000                |                      |                     |                    |                   |      |                      |
| 03/07/2018                                     | ***-**-482J - SCHWEMMER, JOHN  | FIDELITY ADV HIGH INCOME ADVANTAGE | 0.00                 | 6.82                | 0.00               | 6.82              | 0.5  | 0.03                 |
|  | ACCOUNT #: 00700258619         | BUY 0 Units @0.0000                |                      |                     |                    |                   |      |                      |
| 03/07/2018                                     | ***-**-06IR - YAKAITIS, JAMES  | FIDELITY ADV HIGH INCOME ADVANTAGE | 0.00                 | 3.93                | 0.00               | 3.93              | 0.5  | 0.02                 |
|  | ACCOUNT #: 00700935596         | BUY 0 Units @0.0000                |                      |                     |                    |                   |      |                      |



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|--|--|--|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b><u>VERRIDE TRANSACTIONS (continued)</u></b> |  |  |                      |                     |                    |                   |      |                      |
| <b><u>BROKER: DEVIN BORN (continued)</u></b>   |  |  |                      |                     |                    |                   |      |                      |
| 03/07/2018                                     | ***-**-72IN - BOYER, SUSAN<br>ACCOUNT #: 00704025758     | FIDELITY ADV HIGH INCOME ADVANTAGE<br>BUY 0 Units @0.0000  | 0.00                 | 1.85                | 0.00               | 1.85              | 0.5  | 0.01                 |
| 03/07/2018                                     | ***-**-1271 - BREIDENSTEIN,<br>ACCOUNT #: 01483191639    | FIDELITY ADV HIGH INCOME ADVANTAGE<br>BUY 0 Units @0.0000  | 0.00                 | 8.03                | 0.00               | 8.03              | 0.5  | 0.04                 |
| 03/07/2018                                     | ***-**-9358 - RAMBO, JOHN<br>ACCOUNT #: 00537052706      | FIDELITY ADV HIGH INCOME-CL A<br>BUY 0 Units @0.0000       | 0.00                 | 12.05               | 0.00               | 12.05             | 0.5  | 0.06                 |
| 03/07/2018                                     | ***-**-5475 - ZIMMERMAN,<br>ACCOUNT #: 00704561026       | FIDELITY ADV HIGH INCOME-CL A<br>BUY 0 Units @0.0000       | 0.00                 | 5.46                | 0.00               | 5.46              | 0.5  | 0.03                 |
| 03/07/2018                                     | ***-**-5527 - BONNER, BETTINA<br>ACCOUNT #: 01487530055  | FIDELITY ADV LARGE CAP VALUE-CL A<br>BUY 0 Units @0.0000   | 0.00                 | 1.41                | 0.00               | 1.41              | 0.5  | 0.01                 |
| 03/01/2018                                     | ***-**-35IR - SPERRATORE, ROSE<br>ACCOUNT #: 01464625126 | FIDELITY ADV MF 040813<br>BUY 2 Units @20.9400             | 50.00                | 1.88                | 0.00               | 1.88              | 0.5  | 0.01                 |
| 03/07/2018                                     | ***-**-35IR - SPERRATORE, ROSE<br>ACCOUNT #: 01464625126 | FIDELITY ADV MF 040813<br>BUY 0 Units @0.0000              | 0.00                 | 1.70                | 0.00               | 1.70              | 0.5  | 0.01                 |
| 03/07/2018                                     | ***-**-9290 - BRYNIARSKI,<br>ACCOUNT #: 00701194474      | FIDELITY ADV MID CAP II-CL A<br>BUY 0 Units @0.0000        | 0.00                 | 5.59                | 0.00               | 5.59              | 0.5  | 0.03                 |
| 03/07/2018                                     | ***-**-4794 - BARRETT, JAMES<br>ACCOUNT #: 00700238868   | FIDELITY ADV TOTAL BOND-CL A<br>BUY 0 Units @0.0000        | 0.00                 | 8.00                | 0.00               | 8.00              | 0.5  | 0.04                 |
| 03/07/2018                                     | ***-**-1668 - BONNER, STEPHEN<br>ACCOUNT #: 00700557093  | FIDELITY ADVISOR MID CAP STOCK CL A<br>BUY 0 Units @0.0000 | 0.00                 | 6.32                | 0.00               | 6.32              | 0.5  | 0.03                 |
| 03/07/2018                                     | ***-**-2330 - BRYNIARSKI,<br>ACCOUNT #: 00701194482      | FIDELITY ADVISOR SMALL-CAP GROWTH F<br>BUY 0 Units @0.0000 | 0.00                 | 1.64                | 0.00               | 1.64              | 0.5  | 0.01                 |
| 03/07/2018                                     | ***-**-9816 - ESHBACH, AUDREY<br>ACCOUNT #: 00537147738  | FIDELITY ADVISORS TRAILS<br>BUY 0 Units @0.0000            | 0.00                 | 4.41                | 0.00               | 4.41              | 0.5  | 0.02                 |
| 03/07/2018                                     | ***-**-0349 - BREIDENSTEIN,<br>ACCOUNT #: 03900189228    | FIDELITY GOVT MMKT DAILY MONEY CLAS<br>BUY 0 Units @0.0000 | 0.00                 | 1.40                | 0.00               | 1.40              | 0.5  | 0.01                 |
| 03/07/2018                                     | ***-**-1271 - BREIDENSTEIN,<br>ACCOUNT #: 01483191639    | FIDELITY GOVT MMKT DAILY MONEY CLAS<br>BUY 0 Units @0.0000 | 0.00                 | 2.14                | 0.00               | 2.14              | 0.5  | 0.01                 |
| 02/27/2018                                     | ***-**-68IN - DODDS, JOHN<br>ACCOUNT #: 00777291985      | HIGH YIELD A<br>BUY 1385 Units @3.6100                     | 5,000.00             | 175.00              | 0.00               | 175.00            | 0.5  | 0.88                 |
| 03/12/2018                                     | ***-**-36IO - CEGANICK,<br>ACCOUNT #: LSM000176          | INVESCO VAN KAMPEN VALUE OPP CLASS<br>BUY 1 Units @0.0000  | 0.00                 | 3.55                | 0.00               | 3.55              | 0.5  | 0.02                 |



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| <b><u> OVERRIDE TRANSACTIONS (continued) </u></b> |                               |                                     |                      |                     |                    |                   |      |                      |
| <b><u> BROKER: DEVIN BORN (continued) </u></b>    |                               |                                     |                      |                     |                    |                   |      |                      |
| 02/27/2018  | ***-**-0738 - WESSNER, TODD   | JOHN HANCOCK DISCIPLINED VALUE A    | 138.06               | 3.93                | 0.00               | 3.93              | 0.5  | 0.02                 |
|   | ACCOUNT #: 00002492630        | BUY 6 Units @23.8300                |                      |                     |                    |                   |      |                      |
| 02/27/2018  | ***-**-0738 - WESSNER, TODD   | JOHN HANCOCK DISCIPLINED VALUE A    | 41.42                | 1.18                | 0.00               | 1.18              | 0.5  | 0.01                 |
|   | ACCOUNT #: 00002492630        | BUY 2 Units @23.8300                |                      |                     |                    |                   |      |                      |
| 02/27/2018  | ***-**-3295 - KUNKEL, WILLIAM | LIFESTYLE AGGRESSIVE PORTFOLIO A    | 42.08                | 1.20                | 0.00               | 1.20              | 0.5  | 0.01                 |
|   | ACCOUNT #: 00002492633        | BUY 2 Units @17.5100                |                      |                     |                    |                   |      |                      |
| 02/27/2018  | ***-**-3295 - KUNKEL, WILLIAM | LIFESTYLE AGGRESSIVE PORTFOLIO A    | 42.08                | 1.20                | 0.00               | 1.20              | 0.5  | 0.01                 |
|   | ACCOUNT #: 00002492633        | BUY 2 Units @17.5100                |                      |                     |                    |                   |      |                      |
| 03/12/2018  | ***-**-243I - KOHLER, ALAN    | PRUDENTIAL HIGH YIELD CLASS A       | 0.00                 | 2.63                | 0.00               | 2.63              | 0.5  | 0.01                 |
|   | ACCOUNT #: LSR011747          | BUY 1 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/12/2018  | ***-**-243I - KOHLER, ALAN    | PRUDENTIAL HIGH YIELD CLASS B       | 0.00                 | 3.00                | 0.00               | 3.00              | 0.5  | 0.02                 |
|   | ACCOUNT #: LSR011747          | BUY 1 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/12/2018  | ***-**-243I - KOHLER, ALAN    | PRUDENTIAL JENNISON MID CAP GROWTH  | 0.00                 | 2.51                | 0.00               | 2.51              | 0.5  | 0.01                 |
|   | ACCOUNT #: LSR011747          | BUY 1 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/12/2018  | ***-**-243I - KOHLER, ALAN    | PRUDENTIAL JENNISON MID CAP GROWTH  | 0.00                 | 1.15                | 0.00               | 1.15              | 0.5  | 0.01                 |
|   | ACCOUNT #: LSR011747          | BUY 1 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/12/2018  | ***-**-243I - KOHLER, ALAN    | PRUDENTIAL TOTAL RETURN BOND CLASS  | 0.00                 | 2.29                | 0.00               | 2.29              | 0.5  | 0.01                 |
|   | ACCOUNT #: LSR011747          | BUY 1 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-8879 - ILLIANO, MARIO  | THE GROWTH FUND OF AMERICA-A        | 150.00               | 6.38                | 0.00               | 6.38              | 0.5  | 0.03                 |
|   | ACCOUNT #: 00084446460        | BUY 3 Units @54.2500                |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-8879 - ILLIANO, MARIO  | THE GROWTH FUND OF AMERICA-A        | 0.00                 | 14.50               | 0.00               | 14.50             | 0.5  | 0.07                 |
|   | ACCOUNT #: 00084446460        | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-729J - LAUER, HENRY    | THE INVESTMENT COMPANY OF AMERICA-A | 0.00                 | 3.95                | 0.00               | 3.95              | 0.5  | 0.02                 |
|   | ACCOUNT #: 00064849697        | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-924I - LAUER, RACHEL   | THE INVESTMENT COMPANY OF AMERICA-A | 0.00                 | 14.41               | 0.00               | 14.41             | 0.5  | 0.07                 |
|   | ACCOUNT #: 00064849699        | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 02/14/2018  | ***-**-86IN - PATTON, JULIE   | TRANSAMERICA VA 89354G562           | 0.00                 | 73.48               | 0.00               | 73.48             | 0.5  | 0.37                 |
|   | ACCOUNT #: 108505TAL          | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| <b> * DEVIN BORN SUBTOTAL * </b>                  |                               |                                     | <b>\$5,913.64</b>    | <b>\$525.59</b>     | <b>\$0.00</b>      | <b>\$525.59</b>   |      | <b>\$2.67</b>        |



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| <b><u> OVERRIDE TRANSACTIONS (continued) </u></b> |  |  |                      |                     |                    |                   |      |                      |
| <b><u>BROKER: ROBERT PEDERSEN</u></b>             |  |  |                      |                     |                    |                   |      |                      |
| 03/06/2018  | ***-**-8197 - TERHERST,<br>ACCOUNT #: 2453464400         | AMERICAN UNITED TRAILS<br>BUY 1 Units @0.0000              | 0.00                 | 28.06               | 0.00               | 28.06             | 0.5  | 0.14                 |
| 03/08/2018  | ***-**-2201 - ALVERNAZ, DEBRA<br>ACCOUNT #: 5490799      | PRINCIPAL 74254L168<br>BUY 0 Units @0.0000                 | 12,660.64            | 3.17                | 0.00               | 3.17              | 0.5  | 0.02                 |
| 03/10/2018  | ***-**-2771 - PEDERSEN, ROBBYN<br>ACCOUNT #: 5488908     | PRINCIPAL 74254L168<br>BUY 0 Units @0.0000                 | 258,207.79           | 64.55               | 0.00               | 64.55             | 0.5  | 0.32                 |
| * ROBERT PEDERSEN SUBTOTAL *                      |  |  | <b>\$270,868.43</b>  | <b>\$95.78</b>      | <b>\$0.00</b>      | <b>\$95.78</b>    |      | <b>\$0.48</b>        |
| <b><u>BROKER: JOHN TRUMAN</u></b>                 |  |  |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-600I - HARTER, BRADLEY<br>ACCOUNT #: 00085860527  | AMCAP FUND-A<br>BUY 0 Units @0.0000                        | 0.00                 | 2.94                | 0.00               | 2.94              | 0.5  | 0.01                 |
| 03/01/2018  | ***-**-24IO - HOPPER, GINA<br>ACCOUNT #: 00087626950     | AMCAP FUND-A<br>BUY 0 Units @0.0000                        | 0.00                 | 2.13                | 0.00               | 2.13              | 0.5  | 0.01                 |
| 03/01/2018  | ***-**-1985 - BELZER, STEVEN<br>ACCOUNT #: 00086616031   | AMERICAN BALANCED FUND-A<br>BUY 0 Units @0.0000            | 0.00                 | 12.18               | 0.00               | 12.18             | 0.5  | 0.06                 |
| 03/01/2018  | ***-**-3815 - MILLER, ASHLEY<br>ACCOUNT #: 00087325265   | AMERICAN FUNDS 2040 TARGET DATE-A<br>BUY 12 Units @16.2800 | 200.00               | 10.00               | 0.00               | 10.00             | 0.5  | 0.05                 |
| 03/01/2018  | ***-**-8364 - COLLIER, CLINTON<br>ACCOUNT #: 00085392602 | AMERICAN FUNDS 2040 TARGET DATE-A<br>BUY 0 Units @0.0000   | 0.00                 | 12.25               | 0.00               | 12.25             | 0.5  | 0.06                 |
| 03/01/2018  | ***-**-3815 - MILLER, ASHLEY<br>ACCOUNT #: 00087325265   | AMERICAN FUNDS 2040 TARGET DATE-A<br>BUY 0 Units @0.0000   | 0.00                 | 7.80                | 0.00               | 7.80              | 0.5  | 0.04                 |
| 03/01/2018  | ***-**-3172 - PABON-RESTREPO,<br>ACCOUNT #: 00081631019  | CAPITAL WORLD GROWTH AND INCOME FUN<br>BUY 0 Units @0.0000 | 0.00                 | 15.66               | 0.00               | 15.66             | 0.5  | 0.08                 |
| 03/01/2018  | ***-**-3172 - PABON-RESTREPO,<br>ACCOUNT #: 00081631019  | EUROPACIFIC GROWTH FUND-A<br>BUY 0 Units @0.0000           | 0.00                 | 13.98               | 0.00               | 13.98             | 0.5  | 0.07                 |
| 03/01/2018  | ***-**-600I - HARTER, BRADLEY<br>ACCOUNT #: 00085860527  | FUNDAMENTAL INVESTORS-A<br>BUY 0 Units @0.0000             | 0.00                 | 1.78                | 0.00               | 1.78              | 0.5  | 0.01                 |
| 03/01/2018  | ***-**-24IO - HOPPER, GINA<br>ACCOUNT #: 00087626950     | FUNDAMENTAL INVESTORS-A<br>BUY 0 Units @0.0000             | 0.00                 | 2.30                | 0.00               | 2.30              | 0.5  | 0.01                 |
| 03/01/2018  | ***-**-600I - HARTER, BRADLEY<br>ACCOUNT #: 00085860527  | THE GROWTH FUND OF AMERICA-A<br>BUY 0 Units @0.0000        | 0.00                 | 1.24                | 0.00               | 1.24              | 0.5  | 0.01                 |
| 03/01/2018  | ***-**-8642 - LORD, BENJAMIN<br>ACCOUNT #: 00084039536   | THE GROWTH FUND OF AMERICA-A<br>BUY 0 Units @0.0000        | 0.00                 | 6.48                | 0.00               | 6.48              | 0.5  | 0.03                 |



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| <b><u> OVERRIDE TRANSACTIONS (continued) </u></b> |                               |                                     |                      |                     |                    |                   |      |                      |
| <b><u> BROKER: JOHN TRUMAN (continued) </u></b>   |                               |                                     |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-9985 - KENYON, DAVID   | THE GROWTH FUND OF AMERICA-A        | 0.00                 | 7.33                | 0.00               | 7.33              | 0.5  | 0.04                 |
|   | ACCOUNT #: 00084176414        | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-600I - HARTER, BRADLEY | THE INCOME FUND OF AMERICA-A        | 0.00                 | 1.84                | 0.00               | 1.84              | 0.5  | 0.01                 |
|   | ACCOUNT #: 00085860527        | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-24IO - HOPPER, GINA    | THE INCOME FUND OF AMERICA-A        | 0.00                 | 1.80                | 0.00               | 1.80              | 0.5  | 0.01                 |
|   | ACCOUNT #: 00087626950        | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-600I - HARTER, BRADLEY | THE INVESTMENT COMPANY OF AMERICA-A | 0.00                 | 2.32                | 0.00               | 2.32              | 0.5  | 0.01                 |
|   | ACCOUNT #: 00085860527        | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-24IO - HOPPER, GINA    | WASHINGTON MUTUAL INVESTORS FUND-A  | 0.00                 | 2.08                | 0.00               | 2.08              | 0.5  | 0.01                 |
|   | ACCOUNT #: 00087626950        | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| <b>* JOHN TRUMAN SUBTOTAL *</b>                   |                               |                                     | <b>\$200.00</b>      | <b>\$104.11</b>     | <b>\$0.00</b>      | <b>\$104.11</b>   |      | <b>\$0.52</b>        |
| <b><u> BROKER: ALEXANDER HACKLEY </u></b>         |                               |                                     |                      |                     |                    |                   |      |                      |
| 03/12/2018  | ***-**-679I - VIGIL, ELLI     | DELAWARE EXTENDED DURATION BOND FUN | 0.00                 | 17.73               | 0.00               | 17.73             | 0.5  | 0.09                 |
|   | ACCOUNT #: LSR011852          | BUY 1 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/12/2018  | ***-**-7700 - WEBER, F DIANNE | MFS VALUE FUND-A                    | 0.00                 | 2.41                | 0.00               | 2.41              | 0.5  | 0.01                 |
|   | ACCOUNT #: LSR011972          | BUY 1 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 02/15/2018  | ***-**-4240 - WEBER, DONALD   | TA LANDMARK VARIABLE ANNUITY        | 0.00                 | 43.78               | 0.00               | 43.78             | 0.5  | 0.22                 |
|   | ACCOUNT #: 111290LK3          | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| <b>* ALEXANDER HACKLEY SUBTOTAL *</b>             |                               |                                     | <b>\$0.00</b>        | <b>\$63.92</b>      | <b>\$0.00</b>      | <b>\$63.92</b>    |      | <b>\$0.32</b>        |
| <b><u> BROKER: SAMUEL BARBER </u></b>             |                               |                                     |                      |                     |                    |                   |      |                      |
| 03/02/2018  | ***-**-20IO - BARBER, SAMUEL  | BANK OF AMERICA CORP UNSOLICITED OR | 1,015.71             | 37.45               | 0.00               | 37.45             | 0.5  | 0.19                 |
|   | ACCOUNT #: LSF000307          | BUY 33 Units @30.7790               |                      |                     |                    |                   |      |                      |
| 03/02/2018  | ***-**-20IO - BARBER, SAMUEL  | BERKSHIRE HATHAWAY INC DEL CL B NEW | 999.10               | 37.49               | 0.00               | 37.49             | 0.5  | 0.19                 |
|   | ACCOUNT #: LSF000307          | BUY 5 Units @199.8190               |                      |                     |                    |                   |      |                      |
| 03/12/2018  | ***-**-7606 - DUFFY, RYAN     | CHET 529                            | 1,250.00             | 12.56               | 0.00               | 12.56             | 0.5  | 0.06                 |
|   |                               | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/12/2018  | ***-**-5290 - ADOVASIO, LUKE  | CHET ADVISOR 529 TRAILS             | 0.00                 | 10.04               | 0.00               | 10.04             | 0.5  | 0.05                 |
|   |                               | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/12/2018  | ***-**-5290 - ADOVASIO, LUKE  | CHET ADVISOR 529 TRAILS             | 0.00                 | 10.04               | 0.00               | 10.04             | 0.5  | 0.05                 |
|   |                               | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |



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| <b> OVERRIDE TRANSACTIONS (continued) </b>        |   |  |                      |                     |                    |                   |      |                      |
| <b> <u>BROKER: SAMUEL BARBER (continued)</u> </b> |   |  |                      |                     |                    |                   |      |                      |
| 03/12/2018  | ***-**-7606 - DUFFY, RYAN                             | CHET ADVISOR 529 TRAILS<br>BUY 0 Units @0.0000               | 0.00                 | 19.05               | 0.00               | 19.05             | 0.5  | 0.10                 |
| 03/12/2018  | ***-**-5290 - ADOVASIO, LUKE                          | CHET ADVISOR 529 TRAILS<br>BUY 0 Units @0.0000               | 0.00                 | -10.04              | 0.00               | -10.04            | 0.5  | -0.05                |
| 03/02/2018  | ***-**-20IO - BARBER, SAMUEL<br>ACCOUNT #: LSF000307  | FACEBOOK INC COM USD0.000006 CL A<br>BUY 10 Units @173.9400  | 1,739.40             | 44.91               | 0.00               | 44.91             | 0.5  | 0.22                 |
| 03/02/2018  | ***-**-20IO - BARBER, SAMUEL<br>ACCOUNT #: LSF000307  | GOLDMAN SACHS GROUP INC<br>BUY 4 Units @253.3320             | 1,013.33             | 37.70               | 0.00               | 37.70             | 0.5  | 0.19                 |
| 03/02/2018  | ***-**-20IO - BARBER, SAMUEL<br>ACCOUNT #: LSF000307  | JPMORGAN CHASE & CO SOLICITED ORDER<br>BUY 9 Units @111.3090 | 1,001.78             | 37.45               | 0.00               | 37.45             | 0.5  | 0.19                 |
| 03/12/2018  | ***-**-0853 - BOYER, THOMAS<br>ACCOUNT #: 77467864401 | NEW YORK 529 TRAILS<br>BUY 0 Units @0.0000                   | 0.00                 | 1.31                | 0.00               | 1.31              | 0.5  | 0.01                 |
| <b> * SAMUEL BARBER SUBTOTAL * </b>               |   |  | <b> \$7,019.32 </b>  | <b> \$237.96 </b>   | <b> \$0.00 </b>    | <b> \$237.96 </b> |      | <b> \$1.20 </b>      |
| <b> <u>BROKER: GARRETT MORETZ</u> </b>            |   |  |                      |                     |                    |                   |      |                      |
| 03/12/2018  | ***-**-94IR - RUSSELL, LYNN<br>ACCOUNT #: LSR011980   | AB ALL MARKET TOTAL RETURN PORT CLA<br>BUY 1 Units @0.0000   | 0.00                 | 1.57                | 0.00               | 1.57              | 0.5  | 0.01                 |
| 03/01/2018  | ***-**-1570 - YOUNG, ROBERT<br>ACCOUNT #: 00060071420 | AMCAP FUND-A<br>BUY 0 Units @0.0000                          | 0.00                 | 4.78                | 0.00               | 4.78              | 0.5  | 0.02                 |
| 03/01/2018  | ***-**-1570 - YOUNG, ROBERT<br>ACCOUNT #: 00060071420 | AMERICAN MUTUAL FUND-A<br>BUY 0 Units @0.0000                | 0.00                 | 4.57                | 0.00               | 4.57              | 0.5  | 0.02                 |
| 03/12/2018  | ***-**-10IR - CLINGON, BILLY<br>ACCOUNT #: LSR012010  | MFS AGGRESSIVE GROWTH ALLOC CL C<br>BUY 1 Units @0.0000      | 0.00                 | 3.94                | 0.00               | 3.94              | 0.5  | 0.02                 |
| 03/01/2018  | ***-**-5195 - BROWN, SUSAN<br>ACCOUNT #: 00073149394  | NEW WORLD FUND-529A<br>BUY 0 Units @0.0000                   | 0.00                 | 1.45                | 0.00               | 1.45              | 0.5  | 0.01                 |
| 03/12/2018  | ***-**-113I - RUSSELL, MARK<br>ACCOUNT #: LSR011979   | NUVEEN STRATEGY BAL ALLOC A<br>BUY 1 Units @0.0000           | 0.00                 | 2.33                | 0.00               | 2.33              | 0.5  | 0.01                 |
| 03/12/2018  | ***-**-677I - LAIL, DWIGHT<br>ACCOUNT #: LSR012166    | PRUDENTIAL HIGH YIELD CLASS A<br>BUY 1 Units @0.0000         | 0.00                 | 1.01                | 0.00               | 1.01              | 0.5  | 0.01                 |
| 03/01/2018  | ***-**-5195 - BROWN, SUSAN<br>ACCOUNT #: 00073149394  | THE GROWTH FUND OF AMERICA-529A<br>BUY 0 Units @0.0000       | 0.00                 | 2.82                | 0.00               | 2.82              | 0.5  | 0.01                 |
| <b> * GARRETT MORETZ SUBTOTAL * </b>              |   |  | <b> \$0.00 </b>      | <b> \$22.47 </b>    | <b> \$0.00 </b>    | <b> \$22.47 </b>  |      | <b> \$0.11 </b>      |





# COMMISSION STATEMENT

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| DATE   | CLIENT   | INVESTMENT                          | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|--|--|-------------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b> OVERRIDE TRANSACTIONS (continued) </b>         |  |                                     |                      |                     |                    |                   |      |                      |
| <b> <u>BROKER: STANLEY (DARRELL) KEATHLEY</u> </b> |  |                                     |                      |                     |                    |                   |      |                      |
| 03/02/2018   | ***-**-20IR - PFAFF, SHEILA                    | CAPITAL INCOME BUILDER-A            | 40,000.01            | 1,682.00            | 0.00               | 1,682.00          | 0.5  | 8.41                 |
|  | ACCOUNT #: LSR011999                           | BUY 618 Units @64.7700              |                      |                     |                    |                   |      |                      |
| 03/02/2018   | ***-**-20IR - PFAFF, SHEILA                    | SUNAMERICA FOCUSED DIVIDEND STRAT C | 26,500.01            | 1,060.00            | 0.00               | 1,060.00          | 0.5  | 5.30                 |
|  | ACCOUNT #: LSR011999                           | BUY 1369 Units @19.3600             |                      |                     |                    |                   |      |                      |
| 03/02/2018   | ***-**-20IR - PFAFF, SHEILA                    | TRANSAMERICA LARGE CAP VALUE CL A   | 25,000.00            | 1,169.50            | 0.00               | 1,169.50          | 0.5  | 5.85                 |
|  | ACCOUNT #: LSR011999                           | BUY 1929 Units @12.9600             |                      |                     |                    |                   |      |                      |
| 03/02/2018   | ***-**-20IR - PFAFF, SHEILA                    | TRS SMALL/MID CAP VALUE A NFS       | 17,999.99            | 837.00              | 0.00               | 837.00            | 0.5  | 4.19                 |
|  | ACCOUNT #: LSR011999                           | BUY 633 Units @28.4400              |                      |                     |                    |                   |      |                      |
|  | <b>* STANLEY (DARRELL) KEATHLEY SUBTOTAL *</b> |                                     | <b>\$109,500.01</b>  | <b>\$4,748.50</b>   | <b>\$0.00</b>      | <b>\$4,748.50</b> |      | <b>\$23.75</b>       |
| <b> <u>BROKER: ALFREDO BALLESTEROS</u> </b>        |  |                                     |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-9848 - WONG, WALTER                     | AMERICAN BALANCED FUND-A            | 0.00                 | 18.60               | 0.00               | 18.60             | 0.5  | 0.09                 |
|  | ACCOUNT #: 00086763957                         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-9808 - SJOERDSMA, GREGG                 | AMERICAN BALANCED FUND-A            | 0.00                 | 1.40                | 0.00               | 1.40              | 0.5  | 0.01                 |
|  | ACCOUNT #: 00087919902                         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-0385 - SJOERDSMA, ANN                   | AMERICAN BALANCED FUND-A            | 0.00                 | 1.40                | 0.00               | 1.40              | 0.5  | 0.01                 |
|  | ACCOUNT #: 00087919970                         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-0062 - METZGER, JEANNE                  | AMERICAN BALANCED FUND-A            | 0.00                 | 24.77               | 0.00               | 24.77             | 0.5  | 0.12                 |
|  | ACCOUNT #: 00088356573                         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-5022 - BELMONT, NATALIE                 | AMERICAN BALANCED FUND-A            | 0.00                 | 11.46               | 0.00               | 11.46             | 0.5  | 0.06                 |
|  | ACCOUNT #: 00088478934                         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-8759 - BELMONT, CHELSIE                 | AMERICAN BALANCED FUND-A            | 0.00                 | 1.20                | 0.00               | 1.20              | 0.5  | 0.01                 |
|  | ACCOUNT #: 00089762271                         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/02/2018   | ***-**-0385 - SJOERDSMA, ANN                   | AMERICAN BALANCED FUND-A            | 50.00                | 2.50                | 0.00               | 2.50              | 0.5  | 0.01                 |
|  | ACCOUNT #: 00087919970                         | BUY 2 Units @28.6300                |                      |                     |                    |                   |      |                      |
| 03/02/2018   | ***-**-9808 - SJOERDSMA, GREGG                 | AMERICAN BALANCED FUND-A            | 50.00                | 2.50                | 0.00               | 2.50              | 0.5  | 0.01                 |
|  | ACCOUNT #: 00087919902                         | BUY 2 Units @28.6300                |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-0405 - STANDRIDGE,                      | AMERICAN FUNDS GRWTH & INCOME PORT  | 0.00                 | 4.83                | 0.00               | 4.83              | 0.5  | 0.02                 |
|  | ACCOUNT #: 00088289866                         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-6619 - NAGY, MARNI                      | CAPITAL INCOME BUILDER-529A         | 0.00                 | 13.62               | 0.00               | 13.62             | 0.5  | 0.07                 |
|  | ACCOUNT #: 00087833902                         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-6619 - NAGY, MARNI                      | CAPITAL INCOME BUILDER-529A         | 0.00                 | 16.59               | 0.00               | 16.59             | 0.5  | 0.08                 |
|  | ACCOUNT #: 00087833978                         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |



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|---|--|--|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b><u>VERRIDE TRANSACTIONS (continued)</u></b>        |  |  |                      |                     |                    |                   |      |                      |
| <b><u>BROKER: ALFREDO BALLESTEROS (continued)</u></b> |  |  |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-8019 - NAGY, DOUGLAS<br>ACCOUNT #: 00086431415    | CAPITAL INCOME BUILDER-A<br>BUY 0 Units @0.0000            | 0.00                 | 5.67                | 0.00               | 5.67              | 0.5  | 0.03                 |
| 03/01/2018  | ***-**-6619 - NAGY, MARNI<br>ACCOUNT #: 00086431809      | CAPITAL INCOME BUILDER-A<br>BUY 0 Units @0.0000            | 0.00                 | 3.39                | 0.00               | 3.39              | 0.5  | 0.02                 |
| 03/01/2018  | ***-**-6619 - NAGY, MARNI<br>ACCOUNT #: 00086433132      | CAPITAL INCOME BUILDER-A<br>BUY 0 Units @0.0000            | 0.00                 | 1.54                | 0.00               | 1.54              | 0.5  | 0.01                 |
| 03/01/2018  | ***-**-6619 - NAGY, MARNI<br>ACCOUNT #: 00086433203      | CAPITAL INCOME BUILDER-A<br>BUY 0 Units @0.0000            | 0.00                 | 1.54                | 0.00               | 1.54              | 0.5  | 0.01                 |
| 03/01/2018  | ***-**-8019 - NAGY, DOUGLAS<br>ACCOUNT #: 00086431415    | CAPITAL WORLD BOND FUND-A<br>BUY 0 Units @0.0000           | 0.00                 | 10.43               | 0.00               | 10.43             | 0.5  | 0.05                 |
| 03/01/2018  | ***-**-6619 - NAGY, MARNI<br>ACCOUNT #: 00086431809      | CAPITAL WORLD BOND FUND-A<br>BUY 0 Units @0.0000           | 0.00                 | 6.38                | 0.00               | 6.38              | 0.5  | 0.03                 |
| 03/01/2018  | ***-**-8019 - NAGY, DOUGLAS<br>ACCOUNT #: 00086431415    | CAPITAL WORLD GROWTH AND INCOME FUN<br>BUY 0 Units @0.0000 | 0.00                 | 6.78                | 0.00               | 6.78              | 0.5  | 0.03                 |
| 03/01/2018  | ***-**-6619 - NAGY, MARNI<br>ACCOUNT #: 00086431809      | CAPITAL WORLD GROWTH AND INCOME FUN<br>BUY 0 Units @0.0000 | 0.00                 | 4.18                | 0.00               | 4.18              | 0.5  | 0.02                 |
| 03/01/2018  | ***-**-8240 - BREWER, LUCINDA<br>ACCOUNT #: 00087834785  | EUROPACIFIC GROWTH FUND-A<br>BUY 0 Units @0.0000           | 0.00                 | 5.06                | 0.00               | 5.06              | 0.5  | 0.03                 |
| 03/01/2018  | ***-**-5049 - CRUZ, JOSE<br>ACCOUNT #: 00087905262       | EUROPACIFIC GROWTH FUND-A<br>BUY 0 Units @0.0000           | 0.00                 | 1.45                | 0.00               | 1.45              | 0.5  | 0.01                 |
| 03/01/2018  | ***-**-5022 - BELMONT, NATALIE<br>ACCOUNT #: 00088478864 | EUROPACIFIC GROWTH FUND-A<br>BUY 0 Units @0.0000           | 0.00                 | 1.90                | 0.00               | 1.90              | 0.5  | 0.01                 |
| 03/01/2018  | ***-**-8019 - NAGY, DOUGLAS<br>ACCOUNT #: 00086431415    | FUNDAMENTAL INVESTORS-A<br>BUY 0 Units @0.0000             | 0.00                 | 8.30                | 0.00               | 8.30              | 0.5  | 0.04                 |
| 03/01/2018  | ***-**-6619 - NAGY, MARNI<br>ACCOUNT #: 00086431809      | FUNDAMENTAL INVESTORS-A<br>BUY 0 Units @0.0000             | 0.00                 | 5.07                | 0.00               | 5.07              | 0.5  | 0.03                 |
| 03/01/2018  | ***-**-6619 - NAGY, MARNI<br>ACCOUNT #: 00087833902      | NEW PERSPECTIVE FUND-529A<br>BUY 0 Units @0.0000           | 0.00                 | 15.69               | 0.00               | 15.69             | 0.5  | 0.08                 |
| 03/01/2018  | ***-**-6619 - NAGY, MARNI<br>ACCOUNT #: 00087833978      | NEW PERSPECTIVE FUND-529A<br>BUY 0 Units @0.0000           | 0.00                 | 19.13               | 0.00               | 19.13             | 0.5  | 0.10                 |
| 03/01/2018  | ***-**-8019 - NAGY, DOUGLAS<br>ACCOUNT #: 00086431415    | NEW PERSPECTIVE FUND-A<br>BUY 0 Units @0.0000              | 0.00                 | 20.68               | 0.00               | 20.68             | 0.5  | 0.10                 |



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|---|--------------------------------|---------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b><u>VERRIDE TRANSACTIONS (continued)</u></b>        |                                |                                 |                      |                     |                    |                   |      |                      |
| <b><u>BROKER: ALFREDO BALLESTEROS (continued)</u></b> |                                |                                 |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-6619 - NAGY, MARNI      | NEW PERSPECTIVE FUND-A          | 0.00                 | 12.68               | 0.00               | 12.68             | 0.5  | 0.06                 |
|   | ACCOUNT #: 00086431809         | BUY 0 Units @0.0000             |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-6619 - NAGY, MARNI      | NEW PERSPECTIVE FUND-A          | 0.00                 | 1.10                | 0.00               | 1.10              | 0.5  | 0.01                 |
|   | ACCOUNT #: 00087834101         | BUY 0 Units @0.0000             |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-6619 - NAGY, MARNI      | NEW PERSPECTIVE FUND-A          | 0.00                 | 1.10                | 0.00               | 1.10              | 0.5  | 0.01                 |
|   | ACCOUNT #: 00087834962         | BUY 0 Units @0.0000             |                      |                     |                    |                   |      |                      |
| 03/12/2018  | ***-**-4597 - RIVERA,          | SBL TRAILS                      | 0.00                 | 16.53               | 0.00               | 16.53             | 0.5  | 0.08                 |
|   | ACCOUNT #: 565906490           | BUY 1 Units @0.0000             |                      |                     |                    |                   |      |                      |
| 03/12/2018  | ***-**-4597 - RIVERA,          | SBL TRAILS                      | 0.00                 | 23.70               | 0.00               | 23.70             | 0.5  | 0.12                 |
|   | ACCOUNT #: 565906490           | BUY 1 Units @0.0000             |                      |                     |                    |                   |      |                      |
| 03/12/2018  | ***-**-4597 - RIVERA,          | SBL TRAILS                      | 0.00                 | 94.71               | 0.00               | 94.71             | 0.5  | 0.47                 |
|   | ACCOUNT #: 565906490           | BUY 1 Units @0.0000             |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-8240 - BREWER, LUCINDA  | SMALLCAP WORLD FUND-A           | 0.00                 | 5.38                | 0.00               | 5.38              | 0.5  | 0.03                 |
|   | ACCOUNT #: 00087834785         | BUY 0 Units @0.0000             |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-5022 - BELMONT, NATALIE | SMALLCAP WORLD FUND-A           | 0.00                 | 2.01                | 0.00               | 2.01              | 0.5  | 0.01                 |
|   | ACCOUNT #: 00088478864         | BUY 0 Units @0.0000             |                      |                     |                    |                   |      |                      |
| 03/08/2018  | ***-**-86FB - GALLEGOS,        | TD AMERITRADE RIA FEE           | 0.00                 | 86.06               | 0.00               | 86.06             | 0.5  | 0.43                 |
|   |                                | BUY 1 Units @0.0000             |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-9808 - SJOERDSMA, GREGG | THE BOND FUND OF AMERICA-A      | 0.00                 | 1.19                | 0.00               | 1.19              | 0.5  | 0.01                 |
|   | ACCOUNT #: 00087919902         | BUY 0 Units @0.0000             |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-0385 - SJOERDSMA, ANN   | THE BOND FUND OF AMERICA-A      | 0.00                 | 1.19                | 0.00               | 1.19              | 0.5  | 0.01                 |
|   | ACCOUNT #: 00087919970         | BUY 0 Units @0.0000             |                      |                     |                    |                   |      |                      |
| 03/02/2018  | ***-**-0385 - SJOERDSMA, ANN   | THE BOND FUND OF AMERICA-A      | 50.00                | 1.50                | 0.00               | 1.50              | 0.5  | 0.01                 |
|   | ACCOUNT #: 00087919970         | BUY 4 Units @13.0800            |                      |                     |                    |                   |      |                      |
| 03/02/2018  | ***-**-9808 - SJOERDSMA, GREGG | THE BOND FUND OF AMERICA-A      | 50.00                | 1.50                | 0.00               | 1.50              | 0.5  | 0.01                 |
|   | ACCOUNT #: 00087919902         | BUY 4 Units @13.0800            |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-6619 - NAGY, MARNI      | THE GROWTH FUND OF AMERICA-529A | 0.00                 | 17.26               | 0.00               | 17.26             | 0.5  | 0.09                 |
|   | ACCOUNT #: 00087833902         | BUY 0 Units @0.0000             |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-6619 - NAGY, MARNI      | THE GROWTH FUND OF AMERICA-529A | 0.00                 | 21.04               | 0.00               | 21.04             | 0.5  | 0.11                 |
|   | ACCOUNT #: 00087833978         | BUY 0 Units @0.0000             |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-8019 - NAGY, DOUGLAS    | THE GROWTH FUND OF AMERICA-A    | 0.00                 | 13.43               | 0.00               | 13.43             | 0.5  | 0.07                 |
|   | ACCOUNT #: 00086431415         | BUY 0 Units @0.0000             |                      |                     |                    |                   |      |                      |



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|---|--------------------------------|------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b><u>VERRIDE TRANSACTIONS (continued)</u></b>        |                                |                              |                      |                     |                    |                   |      |                      |
| <b><u>BROKER: ALFREDO BALLESTEROS (continued)</u></b> |                                |                              |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-6619 - NAGY, MARNI      | THE GROWTH FUND OF AMERICA-A | 0.00                 | 8.21                | 0.00               | 8.21              | 0.5  | 0.04                 |
|   | ACCOUNT #: 00086431809         | BUY 0 Units @0.0000          |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-4729 - WONG, VALERIE    | THE GROWTH FUND OF AMERICA-A | 0.00                 | 2.38                | 0.00               | 2.38              | 0.5  | 0.01                 |
|   | ACCOUNT #: 00086993821         | BUY 0 Units @0.0000          |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-6619 - NAGY, MARNI      | THE GROWTH FUND OF AMERICA-A | 0.00                 | 1.21                | 0.00               | 1.21              | 0.5  | 0.01                 |
|   | ACCOUNT #: 00087834101         | BUY 0 Units @0.0000          |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-8240 - BREWER, LUCINDA  | THE GROWTH FUND OF AMERICA-A | 0.00                 | 5.93                | 0.00               | 5.93              | 0.5  | 0.03                 |
|   | ACCOUNT #: 00087834785         | BUY 0 Units @0.0000          |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-6619 - NAGY, MARNI      | THE GROWTH FUND OF AMERICA-A | 0.00                 | 1.21                | 0.00               | 1.21              | 0.5  | 0.01                 |
|   | ACCOUNT #: 00087834962         | BUY 0 Units @0.0000          |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-5049 - CRUZ, JOSE       | THE GROWTH FUND OF AMERICA-A | 0.00                 | 1.31                | 0.00               | 1.31              | 0.5  | 0.01                 |
|   | ACCOUNT #: 00087905159         | BUY 0 Units @0.0000          |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-5049 - CRUZ, JOSE       | THE GROWTH FUND OF AMERICA-A | 0.00                 | 1.52                | 0.00               | 1.52              | 0.5  | 0.01                 |
|   | ACCOUNT #: 00087905262         | BUY 0 Units @0.0000          |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-9808 - SJOERDSMA, GREGG | THE GROWTH FUND OF AMERICA-A | 0.00                 | 1.54                | 0.00               | 1.54              | 0.5  | 0.01                 |
|   | ACCOUNT #: 00087919902         | BUY 0 Units @0.0000          |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-0385 - SJOERDSMA, ANN   | THE GROWTH FUND OF AMERICA-A | 0.00                 | 1.54                | 0.00               | 1.54              | 0.5  | 0.01                 |
|   | ACCOUNT #: 00087919970         | BUY 0 Units @0.0000          |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-5022 - BELMONT, NATALIE | THE GROWTH FUND OF AMERICA-A | 0.00                 | 2.10                | 0.00               | 2.10              | 0.5  | 0.01                 |
|   | ACCOUNT #: 00088478864         | BUY 0 Units @0.0000          |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-8759 - BELMONT, CHELSIE | THE GROWTH FUND OF AMERICA-A | 0.00                 | 1.10                | 0.00               | 1.10              | 0.5  | 0.01                 |
|   | ACCOUNT #: 00089762271         | BUY 0 Units @0.0000          |                      |                     |                    |                   |      |                      |
| 03/02/2018  | ***-**-0385 - SJOERDSMA, ANN   | THE GROWTH FUND OF AMERICA-A | 50.00                | 2.50                | 0.00               | 2.50              | 0.5  | 0.01                 |
|   | ACCOUNT #: 00087919970         | BUY 1 Units @55.0600         |                      |                     |                    |                   |      |                      |
| 03/02/2018  | ***-**-9808 - SJOERDSMA, GREGG | THE GROWTH FUND OF AMERICA-A | 50.00                | 2.50                | 0.00               | 2.50              | 0.5  | 0.01                 |
|   | ACCOUNT #: 00087919902         | BUY 1 Units @55.0600         |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-9808 - SJOERDSMA, GREGG | THE INCOME FUND OF AMERICA-A | 0.00                 | 1.36                | 0.00               | 1.36              | 0.5  | 0.01                 |
|   | ACCOUNT #: 00087919902         | BUY 0 Units @0.0000          |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-0385 - SJOERDSMA, ANN   | THE INCOME FUND OF AMERICA-A | 0.00                 | 1.36                | 0.00               | 1.36              | 0.5  | 0.01                 |
|   | ACCOUNT #: 00087919970         | BUY 0 Units @0.0000          |                      |                     |                    |                   |      |                      |
| 03/02/2018  | ***-**-0385 - SJOERDSMA, ANN   | THE INCOME FUND OF AMERICA-A | 50.00                | 2.50                | 0.00               | 2.50              | 0.5  | 0.01                 |
|   | ACCOUNT #: 00087919970         | BUY 2 Units @24.3800         |                      |                     |                    |                   |      |                      |



# COMMISSION STATEMENT

March 12, 2018

HOME OFFICE PASCALE

BROKER #: 981A

BRANCH #01001 - LifeMark Home Office

, NY

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



# COMMISSION STATEMENT

March 12, 2018

HOME OFFICE PASCALE

BROKER #: 981A

BRANCH #01001 - LifeMark Home Office

, NY

| DATE  | CLIENT   | INVESTMENT  | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|---|--|---|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b><u> OVERRIDE TRANSACTIONS (continued) </u></b> |  |   |                      |                     |                    |                   |      |                      |
| <b><u>BROKER: MICHAEL PINEDA</u></b>              |  |   |                      |                     |                    |                   |      |                      |
| 02/20/2018  | ***-**-1994 - LEMKE, LYDIA                             | POLARIS SELECT INVESTOR VA B-SHARE<br>BUY 1 Units @51000.0000   | 52,122.32            | 2,736.42            | 0.00               | 2,736.42          | 0.5  | 13.68                |
|   |  | <b>* MICHAEL PINEDA SUBTOTAL *</b>                              | <b>\$52,122.32</b>   | <b>\$2,736.42</b>   | <b>\$0.00</b>      | <b>\$2,736.42</b> |      | <b>\$13.68</b>       |
| <b><u>BROKER: STEPHEN CARVER</u></b>              |  |   |                      |                     |                    |                   |      |                      |
| 03/05/2018  | ***-**-84IO - COILE, ROBERT<br>ACCOUNT #: LSR012460    | ARLINGTON ASSET INVT CORP CL A NEW<br>BUY 1000 Units @11.1450   | 11,145.00            | 185.00              | 0.00               | 185.00            | 0.5  | 0.93                 |
| 03/05/2018  | ***-**-54IO - FRIES, SHARON<br>ACCOUNT #: LSR012478    | ARLINGTON ASSET INVT CORP CL A NEW<br>BUY 1500 Units @11.1550   | 16,732.50            | 250.00              | 0.00               | 250.00            | 0.5  | 1.25                 |
| 03/06/2018  | ***-**-447I - HEINZ-OTTE,<br>ACCOUNT #: LSR012465      | ATLAS FINANCIAL HOLDINGS INC COM NP<br>SELL 1500 Units @11.2740 | 16,911.00            | 275.00              | 0.00               | 275.00            | 0.5  | 1.38                 |
| 03/12/2018  | ***-**-447I - HEINZ-OTTE,<br>ACCOUNT #: LSR012465      | CALVERT GLOBAL WATER FUND CLASS A<br>BUY 1 Units @0.0000        | 0.00                 | 2.57                | 0.00               | 2.57              | 0.5  | 0.01                 |
| 03/12/2018  | ***-**-496I - MCCOY, SHERIANNE<br>ACCOUNT #: LSR012469 | CALVERT GLOBAL WATER FUND CLASS A<br>BUY 1 Units @0.0000        | 0.00                 | 1.88                | 0.00               | 1.88              | 0.5  | 0.01                 |
| 03/12/2018  | ***-**-617I - DVIZAC, LORI<br>ACCOUNT #: LSR012473     | CALVERT GLOBAL WATER FUND CLASS A<br>BUY 1 Units @0.0000        | 0.00                 | 1.00                | 0.00               | 1.00              | 0.5  | 0.01                 |
| 03/12/2018  | ***-**-54IO - FRIES, SHARON<br>ACCOUNT #: LSR012478    | CALVERT GLOBAL WATER FUND CLASS A<br>BUY 1 Units @0.0000        | 0.00                 | 1.05                | 0.00               | 1.05              | 0.5  | 0.01                 |
| 03/06/2018  | ***-**-447I - HEINZ-OTTE,<br>ACCOUNT #: LSR012465      | CIENA CORP COM NEW ISIN #US17177930<br>SELL 1500 Units @25.4850 | 38,227.50            | 605.00              | 0.00               | 605.00            | 0.5  | 3.03                 |
| 03/12/2018  | ***-**-447I - HEINZ-OTTE,<br>ACCOUNT #: LSR012465      | DELAWARE EMERGING MARKETS FUND A CL<br>BUY 1 Units @0.0000      | 0.00                 | 2.57                | 0.00               | 2.57              | 0.5  | 0.01                 |
| 03/05/2018  | ***-**-84IO - COILE, ROBERT<br>ACCOUNT #: LSR012460    | JERNIGAN CAP INC COM UNSOLICITED OR<br>BUY 1000 Units @17.4060  | 17,406.00            | 326.00              | 0.00               | 326.00            | 0.5  | 1.63                 |
| 03/05/2018  | ***-**-54IO - FRIES, SHARON<br>ACCOUNT #: LSR012478    | JERNIGAN CAP INC COM UNSOLICITED OR<br>BUY 100 Units @17.4250   | 1,742.50             | 11.00               | 0.00               | 11.00             | 0.5  | 0.06                 |
| 03/05/2018  | ***-**-54IO - FRIES, SHARON<br>ACCOUNT #: LSR012478    | JERNIGAN CAP INC COM UNSOLICITED OR<br>BUY 100 Units @17.4250   | 1,742.50             | 35.00               | 0.00               | 35.00             | 0.5  | 0.18                 |
| 03/05/2018  | ***-**-54IO - FRIES, SHARON<br>ACCOUNT #: LSR012478    | JERNIGAN CAP INC COM UNSOLICITED OR<br>BUY 100 Units @17.4250   | 1,742.50             | 35.00               | 0.00               | 35.00             | 0.5  | 0.18                 |
| 03/05/2018  | ***-**-54IO - FRIES, SHARON<br>ACCOUNT #: LSR012478    | JERNIGAN CAP INC COM UNSOLICITED OR<br>BUY 100 Units @17.4250   | 1,742.50             | 35.00               | 0.00               | 35.00             | 0.5  | 0.18                 |



# COMMISSION STATEMENT

March 12, 2018

HOME OFFICE PASCALE

BROKER #: 981A

BRANCH #01001 - LifeMark Home Office

, NY

| DATE   | CLIENT   | INVESTMENT  | INVESTMENT<br>AMOUNT  | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION  | RATE | BROKER<br>COMMISSION |
|--|--|---|-----------------------|---------------------|--------------------|--------------------|------|----------------------|
| <b> OVERRIDE TRANSACTIONS (continued) </b>         |  |   |                       |                     |                    |                    |      |                      |
| <b> <u>BROKER: STEPHEN CARVER (continued)</u> </b> |  |   |                       |                     |                    |                    |      |                      |
| 03/05/2018   | ***-**-54IO - FRIES, SHARON<br>ACCOUNT #: LSR012478    | JERNIGAN CAP INC COM UNSOLICITED OR<br>BUY 200 Units @17.4250 | 3,485.00              | 70.00               | 0.00               | 70.00              | 0.5  | 0.35                 |
| 03/05/2018   | ***-**-54IO - FRIES, SHARON<br>ACCOUNT #: LSR012478    | JERNIGAN CAP INC COM UNSOLICITED OR<br>BUY 200 Units @17.4250 | 3,485.00              | 70.00               | 0.00               | 70.00              | 0.5  | 0.35                 |
| 03/05/2018   | ***-**-54IO - FRIES, SHARON<br>ACCOUNT #: LSR012478    | JERNIGAN CAP INC COM UNSOLICITED OR<br>BUY 100 Units @17.4250 | 1,742.50              | 35.00               | 0.00               | 35.00              | 0.5  | 0.18                 |
| 03/05/2018   | ***-**-54IO - FRIES, SHARON<br>ACCOUNT #: LSR012478    | JERNIGAN CAP INC COM UNSOLICITED OR<br>BUY 100 Units @17.4250 | 1,742.50              | 35.00               | 0.00               | 35.00              | 0.5  | 0.18                 |
| 03/12/2018   | ***-**-447I - HEINZ-OTTE,<br>ACCOUNT #: LSR012465      | RYDEX DOW 2X STRATEGY CL A<br>BUY 1 Units @0.0000             | 0.00                  | 2.02                | 0.00               | 2.02               | 0.5  | 0.01                 |
| 03/07/2018   | ***-**-84IO - COILE, ROBERT<br>ACCOUNT #: LSR012460    | US FOODS HLDG CORP COM<br>BUY 400 Units @34.0060              | 13,602.40             | 227.00              | 0.00               | 227.00             | 0.5  | 1.14                 |
| 03/07/2018   | ***-**-496I - MCCOY, SHERIANNE<br>ACCOUNT #: LSR012469 | US FOODS HLDG CORP COM<br>BUY 300 Units @34.0230              | 10,206.90             | 179.00              | 0.00               | 179.00             | 0.5  | 0.90                 |
| * STEPHEN CARVER SUBTOTAL *                        |  |   | <u>\$141,656.30</u>   | <u>\$2,384.09</u>   | <u>\$0.00</u>      | <u>\$2,384.09</u>  |      | <u>\$11.98</u>       |
| *** OVERRIDE TRANSACTIONS TOTAL ***                |  |   | <u>\$1,237,415.51</u> | <u>\$93,700.37</u>  | <u>\$0.00</u>      | <u>\$93,700.37</u> |      | <u>\$470.38</u>      |



# COMMISSION STATEMENT

March 12, 2018

HOME OFFICE PASCALE

, NY

BROKER #: 981A

BRANCH #01001 - LifeMark Home Office

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

## BROKER COMMISSION TOTALS

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

Please Retain for Your Records  
THERE WILL BE NO PAYMENT THIS PERIOD

|                              |               |
|------------------------------|---------------|
| <b>Balance Forward</b>       | <b>\$0.00</b> |
| <b>Year-to-date Earnings</b> | <b>\$0.00</b> |





# COMMISSION STATEMENT

March 12, 2018

ROBERT PEDERSEN  
6 N Front St  
Rio Vista, CA 94571

BROKER #: 200  
BRANCH #01001 - LifeMark Home Office

| DATE  | CLIENT                         | INVESTMENT                                  | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|---|--------------------------------|---|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b><u>BROKER TRANSACTIONS</u></b>                       |                                |   |                      |                     |                    |                   |      |                      |
| <b><u>PRODUCT CATEGORY: VARIABLE ANNUITIES</u></b>      |                                |   |                      |                     |                    |                   |      |                      |
| 03/08/2018  | ***-**-2201 - ALVERNAZ, DEBRA  | PRINCIPAL 74254L168                         | 12,660.64            | 3.17                | 0.00               | 3.17              | 50.0 | 1.59                 |
|   | ACCOUNT #: 5490799             | BUY 0 Units @0.0000                         |                      |                     |                    |                   |      |                      |
| 03/10/2018  | ***-**-2771 - PEDERSEN, ROBBYN | PRINCIPAL 74254L168                         | 258,207.79           | 64.55               | 0.00               | 64.55             | 50.0 | 32.28                |
|   | ACCOUNT #: 5488908             | BUY 0 Units @0.0000                         |                      |                     |                    |                   |      |                      |
| 03/05/2018  | ***-**-1485 - MORENO,          | PRINCIPAL CUSIP                             | 28.00                | 0.56                | 0.00               | 0.56              | 50.0 | 0.28                 |
|   | ACCOUNT #: 5120851             | BUY 0 Units @0.0000                         |                      |                     |                    |                   |      |                      |
|   |                                | <b>* VARIABLE ANNUITIES SUBTOTAL *</b>      | <b>\$270,896.43</b>  | <b>\$68.28</b>      | <b>\$0.00</b>      | <b>\$68.28</b>    |      | <b>\$34.15</b>       |
| <b><u>PRODUCT CATEGORY: VARIABLE UNIVERSAL LIFE</u></b> |                                |   |                      |                     |                    |                   |      |                      |
| 03/06/2018  | ***-**-8197 - TERHERST,        | AMERICAN UNITED TRAILS                      | 0.00                 | 28.06               | 0.00               | 28.06             | 50.0 | 14.03                |
|   | ACCOUNT #: 2453464400          | BUY 1 Units @0.0000                         |                      |                     |                    |                   |      |                      |
|   |                                | <b>* VARIABLE UNIVERSAL LIFE SUBTOTAL *</b> | <b>\$0.00</b>        | <b>\$28.06</b>      | <b>\$0.00</b>      | <b>\$28.06</b>    |      | <b>\$14.03</b>       |
|   |                                | <b>*** BROKER TRANSACTIONS TOTAL ***</b>    | <b>\$270,896.43</b>  | <b>\$96.34</b>      | <b>\$0.00</b>      | <b>\$96.34</b>    |      | <b>\$48.18</b>       |

## **BROKER COMMISSION TOTALS**

|                       |         |
|-----------------------|---------|
| Broker Transactions   | \$48.18 |
| Split Transactions    | \$0.00  |
| Override Transactions | \$0.00  |
| Adjustments           | \$0.00  |
| Payroll Draw          | \$0.00  |
| Base Salary           | \$0.00  |
| Prior Period Balance  | \$0.00  |
| FINRA Assessment      | \$0.00  |
| SIPC Assessment       | \$0.00  |

Please Retain for Your Records  
THERE WILL BE NO PAYMENT THIS PERIOD

|                              |               |
|------------------------------|---------------|
| <b>Balance Forward</b>       | <b>\$0.00</b> |
| <b>Year-to-date Earnings</b> | <b>\$0.00</b> |



# COMMISSION STATEMENT

March 12, 2018

MICHAEL PINEDA  
2068 N Emerson St  
Denver, CO 80205

BROKER #: B14  
BRANCH #01001 - LifeMark Home Office

| DATE   | CLIENT | INVESTMENT  | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|--|--------|---|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b><u>BROKER TRANSACTIONS</u></b>                  |        |   |                      |                     |                    |                   |      |                      |
| <b><u>PRODUCT CATEGORY: VARIABLE ANNUITIES</u></b> |        |   |                      |                     |                    |                   |      |                      |
| 02/20/2018 ***-**-1994 - LEMKE, LYDIA              |        | POLARIS SELECT INVESTOR VA B-SHARE<br>BUY 1 Units @51000.0000 | 52,122.32            | 2,736.42            | 0.00               | 2,736.42          | 75.0 | 2,052.32             |
|  |        | * VARIABLE ANNUITIES SUBTOTAL *                               | <u>\$52,122.32</u>   | <u>\$2,736.42</u>   | <u>\$0.00</u>      | <u>\$2,736.42</u> |      | <u>\$2,052.32</u>    |
|  |        | *** BROKER TRANSACTIONS TOTAL ***                             | <u>\$52,122.32</u>   | <u>\$2,736.42</u>   | <u>\$0.00</u>      | <u>\$2,736.42</u> |      | <u>\$2,052.32</u>    |

## **BROKER COMMISSION TOTALS**

|                       |            |
|-----------------------|------------|
| Broker Transactions   | \$2,052.32 |
| Split Transactions    | \$0.00     |
| Override Transactions | \$0.00     |
| Adjustments           | \$0.00     |
| Payroll Draw          | \$0.00     |
| Base Salary           | \$0.00     |
| Prior Period Balance  | \$0.00     |
| FINRA Assessment      | \$0.00     |
| SIPC Assessment       | \$0.00     |

Please Retain for Your Records  
THERE WILL BE NO PAYMENT THIS PERIOD

|                              |               |
|------------------------------|---------------|
| <b>Balance Forward</b>       | <b>\$0.00</b> |
| <b>Year-to-date Earnings</b> | <b>\$0.00</b> |



BROKER #: 769      Terminated 01/17/2011  
BRANCH #01001 - LifeMark Home Office

| DATE   | CLIENT | INVESTMENT                      | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE  | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION         |
|--|--------|---------------------------------|----------------------|---------------------|---|-------------------|------|------------------------------|
| <div>ADJUSTMENTS</div>   |        |                                 |                      |                     |   |                   |      |                              |
| 03/07/2018   |        | PRIOR PERIOD BALANCE(SEE BELOW) | 0.00                 | 0.00                | 0.00  | 0.00              |      | 0.00                         |
|  |        | *** ADJUSTMENTS TOTAL ***       | \$0.00               | \$0.00              | \$0.00  | \$0.00            |      | \$0.00                       |
| <div>BROKER COMMISSION TOTALS</div>                                    |        |                                 |                      |                     |   |                   |      |                              |
|  |        |                                 |                      |                     |   |                   |      | Broker Transactions \$0.00   |
|  |        |                                 |                      |                     |   |                   |      | Split Transactions \$0.00    |
|  |        |                                 |                      |                     |   |                   |      | Override Transactions \$0.00 |
|  |        |                                 |                      |                     |   |                   |      | Adjustments \$0.00           |
|  |        |                                 |                      |                     |   |                   |      | Payroll Draw \$0.00          |
|  |        |                                 |                      |                     |   |                   |      | Base Salary \$0.00           |
|  |        |                                 |                      |                     |   |                   |      | Prior Period Balance \$0.00  |
|  |        |                                 |                      |                     |   |                   |      | FINRA Assessment \$0.00      |
|  |        |                                 |                      |                     |   |                   |      | SIPC Assessment \$0.00       |
| Please Retain for Your Records<br>THERE WILL BE NO PAYMENT THIS PERIOD |        |                                 |                      |                     | <div>Balance Forward \$0.00</div> <div>Year-to-date Earnings \$0.00</div> |                   |      |                              |



# COMMISSION STATEMENT

March 12, 2018

**ANNE PLATSKY**

10310 Sugarberry Court #402  
# 402  
Raleigh, NC 27614

**BROKER #: 911**

BRANCH #01001 - LifeMark Home Office

| DATE  | CLIENT                        | INVESTMENT                          | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|---|-------------------------------|-------------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b><u>BROKER TRANSACTIONS</u></b>                       |                               |                                     |                      |                     |                    |                   |      |                      |
| <b><u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u></b> |                               |                                     |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-950I - JACKSON, DAVID  | AMCAP FUND-A                        | 0.00                 | 41.82               | 0.00               | 41.82             | 60.0 | 25.09                |
|   | ACCOUNT #: 00059229216        | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-54IN - GREEN, MICHAEL  | AMCAP FUND-A                        | 0.00                 | 234.98              | 0.00               | 234.98            | 60.0 | 140.99               |
|   | ACCOUNT #: 00059289942        | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-537I - HORN, ELIZABETH | AMERICAN BALANCED FUND-A            | 0.00                 | 14.68               | 0.00               | 14.68             | 60.0 | 8.81                 |
|   | ACCOUNT #: 00063643210        | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-546I - ZUKOR, RONALD   | AMERICAN BALANCED FUND-A            | 0.00                 | 21.24               | 0.00               | 21.24             | 60.0 | 12.74                |
|   | ACCOUNT #: 00063643212        | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-06IR - BRUM, ROBERT    | AMERICAN BALANCED FUND-A            | 0.00                 | 24.24               | 0.00               | 24.24             | 60.0 | 14.54                |
|   | ACCOUNT #: 00073483164        | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-50IS - JACKSON, DAVID  | AMERICAN BALANCED FUND-A            | 0.00                 | 39.39               | 0.00               | 39.39             | 60.0 | 23.63                |
|   | ACCOUNT #: 00074764055        | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-165I - FISCHER, FELICE | AMERICAN BALANCED FUND-A            | 0.00                 | 18.30               | 0.00               | 18.30             | 60.0 | 10.98                |
|   | ACCOUNT #: 00085895413        | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-65IN - FISCHER, FELICE | AMERICAN BALANCED FUND-A            | 0.00                 | 1.17                | 0.00               | 1.17              | 60.0 | 0.70                 |
|   | ACCOUNT #: 00086719928        | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-911I - JACKSON,        | AMERICAN MUTUAL FUND-A              | 0.00                 | 9.76                | 0.00               | 9.76              | 60.0 | 5.86                 |
|   | ACCOUNT #: 00073497570        | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/09/2018  | ***-**-537I - HORN, ELIZABETH | CALVERT BALANCED PORTFOLIO - A      | 0.00                 | 3.76                | 0.00               | 3.76              | 60.0 | 2.26                 |
|   | ACCOUNT #: 00003593290        | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/09/2018  | ***-**-546I - ZUKOR, RONALD   | CALVERT BALANCED PORTFOLIO - A      | 0.00                 | 5.33                | 0.00               | 5.33              | 60.0 | 3.20                 |
|   | ACCOUNT #: 00003593332        | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/09/2018  | ***-**-537I - HORN, ELIZABETH | CALVERT SOCIAL INVESTMENT FD EQUITY | 0.00                 | 7.43                | 0.00               | 7.43              | 60.0 | 4.46                 |
|   | ACCOUNT #: 00003593290        | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/09/2018  | ***-**-546I - ZUKOR, RONALD   | CALVERT SOCIAL INVESTMENT FD EQUITY | 0.00                 | 10.50               | 0.00               | 10.50             | 60.0 | 6.30                 |
|   | ACCOUNT #: 00003593332        | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-50IS - JACKSON, DAVID  | CAPITAL INCOME BUILDER-A            | 0.00                 | 44.33               | 0.00               | 44.33             | 60.0 | 26.60                |
|   | ACCOUNT #: 00074764055        | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-50IN - SPRING, HENRY   | CAPITAL INCOME BUILDER-A            | 0.00                 | 2.22                | 0.00               | 2.22              | 60.0 | 1.33                 |
|   | ACCOUNT #: 00081967106        | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-165I - FISCHER, FELICE | CAPITAL INCOME BUILDER-A            | 0.00                 | 15.15               | 0.00               | 15.15             | 60.0 | 9.09                 |
|   | ACCOUNT #: 00085895413        | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |



# COMMISSION STATEMENT

March 12, 2018

ANNE PLATSKY

10310 Sugarberry Court #402

# 402

Raleigh, NC 27614

BROKER #: 911

BRANCH #01001 - LifeMark Home Office

| DATE   | CLIENT                        | INVESTMENT                          | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|--|-------------------------------|-------------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b>BROKER TRANSACTIONS (continued)</b>                       |                               |                                     |                      |                     |                    |                   |      |                      |
| <b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</b> |                               |                                     |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-65IN - FISCHER, FELICE | CAPITAL INCOME BUILDER-A            | 0.00                 | 1.00                | 0.00               | 1.00              | 60.0 | 0.60                 |
|  | ACCOUNT #: 00086719928        | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-386I - SCLAFANI, RENEE | CAPITAL WORLD BOND FUND-A           | 0.00                 | 21.17               | 0.00               | 21.17             | 60.0 | 12.70                |
|  | ACCOUNT #: 00081355804        | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-50IN - SPRING, HENRY   | CAPITAL WORLD BOND FUND-A           | 0.00                 | 1.93                | 0.00               | 1.93              | 60.0 | 1.16                 |
|  | ACCOUNT #: 00081967106        | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-454I - RUDERMAN,       | CAPITAL WORLD GROWTH AND INCOME FUN | 0.00                 | 13.25               | 0.00               | 13.25             | 60.0 | 7.95                 |
|  | ACCOUNT #: 00061201993        | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-852I - BRYSON, LENNOX  | CAPITAL WORLD GROWTH AND INCOME FUN | 0.00                 | 4.43                | 0.00               | 4.43              | 60.0 | 2.66                 |
|  | ACCOUNT #: 00066780144        | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-529I - BRUM, ROSE      | CAPITAL WORLD GROWTH AND INCOME FUN | 0.00                 | 29.83               | 0.00               | 29.83             | 60.0 | 17.90                |
|  | ACCOUNT #: 00073483195        | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-215P - GLICKMAN-LERIN, | CAPITAL WORLD GROWTH AND INCOME FUN | 0.00                 | 6.19                | 0.00               | 6.19              | 60.0 | 3.71                 |
|  | ACCOUNT #: 00074018600        | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-50IS - JACKSON, DAVID  | CAPITAL WORLD GROWTH AND INCOME FUN | 0.00                 | 48.91               | 0.00               | 48.91             | 60.0 | 29.35                |
|  | ACCOUNT #: 00074764055        | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-386I - SCLAFANI, RENEE | CAPITAL WORLD GROWTH AND INCOME FUN | 0.00                 | 30.22               | 0.00               | 30.22             | 60.0 | 18.13                |
|  | ACCOUNT #: 00081355804        | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/12/2018   | ***-**-150I - SPRING, HENRY   | DELAWARE GROWTH OPPORTUNITIES FD CL | 0.00                 | 1.08                | 0.00               | 1.08              | 60.0 | 0.65                 |
|  | ACCOUNT #: LSR101109          | BUY 1 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/12/2018   | ***-**-8459 - SCLAFANI,       | DELAWARE GROWTH OPPORTUNITIES FD CL | 0.00                 | 18.93               | 0.00               | 18.93             | 60.0 | 11.36                |
|  | ACCOUNT #: LSR102040          | BUY 1 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-37IN - ZUKOR, RONALD   | EUROPACIFIC GROWTH FUND-A           | 0.00                 | 44.35               | 0.00               | 44.35             | 60.0 | 26.61                |
|  | ACCOUNT #: 00061501802        | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-852I - BRYSON, LENNOX  | EUROPACIFIC GROWTH FUND-A           | 0.00                 | 3.74                | 0.00               | 3.74              | 60.0 | 2.24                 |
|  | ACCOUNT #: 00066780144        | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/07/2018   | ***-**-003I - LEE, MICHELE    | FIDELITY ADV GROWTH OPPORT CL T     | 0.00                 | 6.76                | 0.00               | 6.76              | 60.0 | 4.06                 |
|  | ACCOUNT #: 00006827196        | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-943I - KOULOS, JOHN    | FUNDAMENTAL INVESTORS-A             | 0.00                 | 107.31              | 0.00               | 107.31            | 60.0 | 64.39                |
|  | ACCOUNT #: 00060686406        | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-565P - EPSTEIN, JOYCE  | FUNDAMENTAL INVESTORS-A             | 0.00                 | 1.94                | 0.00               | 1.94              | 60.0 | 1.16                 |
|  | ACCOUNT #: 00061501653        | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |



# COMMISSION STATEMENT

March 12, 2018

**ANNE PLATSKY**

10310 Sugarberry Court #402

# 402

Raleigh, NC 27614

**BROKER #: 911**

BRANCH #01001 - LifeMark Home Office

| DATE   | CLIENT                        | INVESTMENT                   | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|--|-------------------------------|------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b>BROKER TRANSACTIONS (continued)</b>                       |                               |                              |                      |                     |                    |                   |      |                      |
| <b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</b> |                               |                              |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-37IN - ZUKOR, RONALD   | FUNDAMENTAL INVESTORS-A      | 0.00                 | 67.41               | 0.00               | 67.41             | 60.0 | 40.45                |
|  | ACCOUNT #: 00061501802        | BUY 0 Units @0.0000          |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-852P - BRYSON, LENNOX  | FUNDAMENTAL INVESTORS-A      | 0.00                 | 0.87                | 0.00               | 0.87              | 60.0 | 0.52                 |
|  | ACCOUNT #: 00066794512        | BUY 0 Units @0.0000          |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-529I - BRUM, ROSE      | FUNDAMENTAL INVESTORS-A      | 0.00                 | 40.92               | 0.00               | 40.92             | 60.0 | 24.55                |
|  | ACCOUNT #: 00073483195        | BUY 0 Units @0.0000          |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-321I - MARSHALL,       | FUNDAMENTAL INVESTORS-A      | 0.00                 | 5.77                | 0.00               | 5.77              | 60.0 | 3.46                 |
|  | ACCOUNT #: 00075914418        | BUY 0 Units @0.0000          |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-165I - FISCHER, FELICE | FUNDAMENTAL INVESTORS-A      | 0.00                 | 21.67               | 0.00               | 21.67             | 60.0 | 13.00                |
|  | ACCOUNT #: 00085895413        | BUY 0 Units @0.0000          |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-65IN - FISCHER, FELICE | FUNDAMENTAL INVESTORS-A      | 0.00                 | 2.46                | 0.00               | 2.46              | 60.0 | 1.48                 |
|  | ACCOUNT #: 00086719928        | BUY 0 Units @0.0000          |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-37IN - ZUKOR, RONALD   | NEW PERSPECTIVE FUND-A       | 0.00                 | 62.05               | 0.00               | 62.05             | 60.0 | 37.23                |
|  | ACCOUNT #: 00061501802        | BUY 0 Units @0.0000          |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-852P - BRYSON, LENNOX  | NEW PERSPECTIVE FUND-A       | 0.00                 | 0.69                | 0.00               | 0.69              | 60.0 | 0.41                 |
|  | ACCOUNT #: 00066794512        | BUY 0 Units @0.0000          |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-06IR - BRUM, ROBERT    | NEW PERSPECTIVE FUND-A       | 0.00                 | 50.54               | 0.00               | 50.54             | 60.0 | 30.32                |
|  | ACCOUNT #: 00073483164        | BUY 0 Units @0.0000          |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-911I - JACKSON,        | NEW PERSPECTIVE FUND-A       | 0.00                 | 9.74                | 0.00               | 9.74              | 60.0 | 5.84                 |
|  | ACCOUNT #: 00073497570        | BUY 0 Units @0.0000          |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-386I - SCLAFANI, RENEE | NEW PERSPECTIVE FUND-A       | 0.00                 | 35.44               | 0.00               | 35.44             | 60.0 | 21.26                |
|  | ACCOUNT #: 00081355804        | BUY 0 Units @0.0000          |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-454I - RUDERMAN,       | SMALLCAP WORLD FUND-A        | 0.00                 | 55.46               | 0.00               | 55.46             | 60.0 | 33.28                |
|  | ACCOUNT #: 00061201993        | BUY 0 Units @0.0000          |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-546I - ZUKOR, RONALD   | SMALLCAP WORLD FUND-A        | 0.00                 | 3.72                | 0.00               | 3.72              | 60.0 | 2.23                 |
|  | ACCOUNT #: 00063643212        | BUY 0 Units @0.0000          |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-165I - FISCHER, FELICE | THE BOND FUND OF AMERICA-A   | 0.00                 | 11.52               | 0.00               | 11.52             | 60.0 | 6.91                 |
|  | ACCOUNT #: 00085895413        | BUY 0 Units @0.0000          |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-454I - RUDERMAN,       | THE GROWTH FUND OF AMERICA-A | 0.00                 | 9.47                | 0.00               | 9.47              | 60.0 | 5.68                 |
|  | ACCOUNT #: 00061201993        | BUY 0 Units @0.0000          |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-37IN - ZUKOR, RONALD   | THE GROWTH FUND OF AMERICA-A | 0.00                 | 71.08               | 0.00               | 71.08             | 60.0 | 42.65                |
|  | ACCOUNT #: 00061501802        | BUY 0 Units @0.0000          |                      |                     |                    |                   |      |                      |



# COMMISSION STATEMENT

March 12, 2018

ANNE PLATSKY

10310 Sugarberry Court #402

# 402

Raleigh, NC 27614

BROKER #: 911

BRANCH #01001 - LifeMark Home Office

| DATE   | CLIENT                        | INVESTMENT                          | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|--|-------------------------------|-------------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b>BROKER TRANSACTIONS (continued)</b>                       |                               |                                     |                      |                     |                    |                   |      |                      |
| <b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</b> |                               |                                     |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-852P - BRYSON, LENNOX  | THE GROWTH FUND OF AMERICA-A        | 0.00                 | 0.84                | 0.00               | 0.84              | 60.0 | 0.50                 |
|  | ACCOUNT #: 00066794512        | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-848I - KOSKIE, HEATHER | THE GROWTH FUND OF AMERICA-A        | 0.00                 | 9.90                | 0.00               | 9.90              | 60.0 | 5.94                 |
|  | ACCOUNT #: 00067652141        | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-911I - JACKSON,        | THE GROWTH FUND OF AMERICA-A        | 0.00                 | 7.67                | 0.00               | 7.67              | 60.0 | 4.60                 |
|  | ACCOUNT #: 00073497570        | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-215P - GLICKMAN-LERIN, | THE GROWTH FUND OF AMERICA-A        | 0.00                 | 6.62                | 0.00               | 6.62              | 60.0 | 3.97                 |
|  | ACCOUNT #: 00074018600        | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-212I - JACKSON, ROBERT | THE GROWTH FUND OF AMERICA-A        | 0.00                 | 11.58               | 0.00               | 11.58             | 60.0 | 6.95                 |
|  | ACCOUNT #: 00075983777        | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-386I - SCLAFANI, RENEE | THE GROWTH FUND OF AMERICA-A        | 0.00                 | 37.40               | 0.00               | 37.40             | 60.0 | 22.44                |
|  | ACCOUNT #: 00081355804        | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-537I - HORN, ELIZABETH | THE INCOME FUND OF AMERICA-A        | 0.00                 | 15.72               | 0.00               | 15.72             | 60.0 | 9.43                 |
|  | ACCOUNT #: 00063643210        | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-546I - ZUKOR, RONALD   | THE INCOME FUND OF AMERICA-A        | 0.00                 | 15.92               | 0.00               | 15.92             | 60.0 | 9.55                 |
|  | ACCOUNT #: 00063643212        | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-529I - BRUM, ROSE      | THE INCOME FUND OF AMERICA-A        | 0.00                 | 23.45               | 0.00               | 23.45             | 60.0 | 14.07                |
|  | ACCOUNT #: 00073483195        | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-50IS - JACKSON, DAVID  | THE INCOME FUND OF AMERICA-A        | 0.00                 | 10.86               | 0.00               | 10.86             | 60.0 | 6.52                 |
|  | ACCOUNT #: 00074764055        | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-386I - SCLAFANI, RENEE | THE INCOME FUND OF AMERICA-A        | 0.00                 | 29.25               | 0.00               | 29.25             | 60.0 | 17.55                |
|  | ACCOUNT #: 00081355804        | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-57IN - JACKSON, MARY   | THE INVESTMENT COMPANY OF AMERICA-A | 0.00                 | 38.79               | 0.00               | 38.79             | 60.0 | 23.27                |
|  | ACCOUNT #: 00059229217        | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-54IN - GREEN, MICHAEL  | THE INVESTMENT COMPANY OF AMERICA-A | 0.00                 | 243.82              | 0.00               | 243.82            | 60.0 | 146.29               |
|  | ACCOUNT #: 00059289942        | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-113I - BRUNCKHORST,    | THE INVESTMENT COMPANY OF AMERICA-A | 0.00                 | 54.49               | 0.00               | 54.49             | 60.0 | 32.69                |
|  | ACCOUNT #: 00059670454        | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-537I - HORN, ELIZABETH | THE NEW ECONOMY FUND-A              | 0.00                 | 3.88                | 0.00               | 3.88              | 60.0 | 2.33                 |
|  | ACCOUNT #: 00063643210        | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-305I - BRUNCKHORST,    | WASHINGTON MUTUAL INVESTORS FUND-A  | 0.00                 | 74.23               | 0.00               | 74.23             | 60.0 | 44.54                |
|  | ACCOUNT #: 00059677391        | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |



# COMMISSION STATEMENT

March 12, 2018

ANNE PLATSKY

10310 Sugarberry Court #402

# 402

Raleigh, NC 27614

BROKER #: 911

BRANCH #01001 - LifeMark Home Office

| DATE   | CLIENT                        | INVESTMENT                         | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|--|-------------------------------|------------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b>BROKER TRANSACTIONS (continued)</b>                       |                               |                                    |                      |                     |                    |                   |      |                      |
| <b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</b> |                               |                                    |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-537I - HORN, ELIZABETH | WASHINGTON MUTUAL INVESTORS FUND-A | 0.00                 | 10.57               | 0.00               | 10.57             | 60.0 | 6.34                 |
|  | ACCOUNT #: 00063643210        | BUY 0 Units @0.0000                |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-546I - ZUKOR, RONALD   | WASHINGTON MUTUAL INVESTORS FUND-A | 0.00                 | 13.36               | 0.00               | 13.36             | 60.0 | 8.02                 |
|  | ACCOUNT #: 00063643212        | BUY 0 Units @0.0000                |                      |                     |                    |                   |      |                      |
| <b>* MUTUAL FUND 12B1 TRAILS SUBTOTAL *</b>                  |                               |                                    | <b>\$0.00</b>        | <b>\$1,892.50</b>   | <b>\$0.00</b>      | <b>\$1,892.50</b> |      | <b>\$1,135.48</b>    |
| <b>*** BROKER TRANSACTIONS TOTAL ***</b>                     |                               |                                    | <b>\$0.00</b>        | <b>\$1,892.50</b>   | <b>\$0.00</b>      | <b>\$1,892.50</b> |      | <b>\$1,135.48</b>    |

## BROKER COMMISSION TOTALS

|                       |            |
|-----------------------|------------|
| Broker Transactions   | \$1,135.48 |
| Split Transactions    | \$0.00     |
| Override Transactions | \$0.00     |
| Adjustments           | \$0.00     |
| Payroll Draw          | \$0.00     |
| Base Salary           | \$0.00     |
| Prior Period Balance  | \$0.00     |
| FINRA Assessment      | \$0.00     |
| SIPC Assessment       | \$0.00     |

Please Retain for Your Records  
THERE WILL BE NO PAYMENT THIS PERIOD

|                              |               |
|------------------------------|---------------|
| <b>Balance Forward</b>       | <b>\$0.00</b> |
| <b>Year-to-date Earnings</b> | <b>\$0.00</b> |





BROKER #: 752      Terminated 04/20/2011  
BRANCH #01001 - LifeMark Home Office

| DATE   | CLIENT | INVESTMENT                      | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE  | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION         |                 |        |                       |        |
|--|--------|---------------------------------|----------------------|---------------------|---|-------------------|------|------------------------------|-----------------|--------|-----------------------|--------|
| <u>ADJUSTMENTS</u>   |        |                                 |                      |                     |   |                   |      |                              |                 |        |                       |        |
| 03/07/2018   |        | PRIOR PERIOD BALANCE(SEE BELOW) | 0.00                 | 0.00                | 0.00  | 0.00              |      | 0.00                         |                 |        |                       |        |
|  |        | *** ADJUSTMENTS TOTAL ***       | <u>\$0.00</u>        | <u>\$0.00</u>       | <u>\$0.00</u>   | <u>\$0.00</u>     |      | <u>\$0.00</u>                |                 |        |                       |        |
| <u>BROKER COMMISSION TOTALS</u>  |        |                                 |                      |                     |   |                   |      |                              |                 |        |                       |        |
|  |        |                                 |                      |                     |   |                   |      | Broker Transactions \$0.00   |                 |        |                       |        |
|  |        |                                 |                      |                     |   |                   |      | Split Transactions \$0.00    |                 |        |                       |        |
|  |        |                                 |                      |                     |   |                   |      | Override Transactions \$0.00 |                 |        |                       |        |
|  |        |                                 |                      |                     |   |                   |      | Adjustments \$0.00           |                 |        |                       |        |
|  |        |                                 |                      |                     |   |                   |      | Payroll Draw \$0.00          |                 |        |                       |        |
|  |        |                                 |                      |                     |   |                   |      | Base Salary \$0.00           |                 |        |                       |        |
|  |        |                                 |                      |                     |   |                   |      | Prior Period Balance \$0.00  |                 |        |                       |        |
|  |        |                                 |                      |                     |   |                   |      | FINRA Assessment \$0.00      |                 |        |                       |        |
|  |        |                                 |                      |                     |   |                   |      | SIPC Assessment \$0.00       |                 |        |                       |        |
| Please Retain for Your Records<br>THERE WILL BE NO PAYMENT THIS PERIOD |        |                                 |                      |                     | <table><tr><td>Balance Forward</td><td>\$0.00</td></tr><tr><td>Year-to-date Earnings</td><td>\$0.00</td></tr></table> |                   |      |                              | Balance Forward | \$0.00 | Year-to-date Earnings | \$0.00 |
| Balance Forward  | \$0.00 |                                 |                      |                     |   |                   |      |                              |                 |        |                       |        |
| Year-to-date Earnings  | \$0.00 |                                 |                      |                     |   |                   |      |                              |                 |        |                       |        |



# COMMISSION STATEMENT

March 12, 2018

MARK PRIEST

400 West Metro Park

Rochester, NY -

BROKER #: 962 Terminated 08/06/2010

BRANCH #01001 - LifeMark Home Office

| DATE                      | CLIENT | INVESTMENT                      | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|---------------------------|--------|---------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b><u>ADJUSTMENTS</u></b> |        |                                 |                      |                     |                    |                   |      |                      |
| 03/07/2018                |        | PRIOR PERIOD BALANCE(SEE BELOW) | 0.00                 | 0.00                | 0.00               | 0.00              |      | 0.00                 |
| *** ADJUSTMENTS TOTAL *** |        |                                 | <u>\$0.00</u>        | <u>\$0.00</u>       | <u>\$0.00</u>      | <u>\$0.00</u>     |      | <u>\$0.00</u>        |

## **BROKER COMMISSION TOTALS**

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

Please Retain for Your Records  
THERE WILL BE NO PAYMENT THIS PERIOD

|                              |               |
|------------------------------|---------------|
| <b>Balance Forward</b>       | <b>\$0.00</b> |
| <b>Year-to-date Earnings</b> | <b>\$0.00</b> |



**BROKER #:** 959  
BRANCH #01001 - LifeMark Home Office

| DATE   | CLIENT | INVESTMENT                      | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE  | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION         |
|--|--------|---------------------------------|----------------------|---------------------|---|-------------------|------|------------------------------|
| <div>ADJUSTMENTS</div>   |        |                                 |                      |                     |   |                   |      |                              |
| 03/07/2018   |        | PRIOR PERIOD BALANCE(SEE BELOW) | 0.00                 | 0.00                | 0.00  | 0.00              |      | 0.00                         |
|  |        | *** ADJUSTMENTS TOTAL ***       | \$0.00               | \$0.00              | \$0.00  | \$0.00            |      | \$0.00                       |
| <div>BROKER COMMISSION TOTALS</div>                                    |        |                                 |                      |                     |   |                   |      |                              |
|  |        |                                 |                      |                     |   |                   |      | Broker Transactions \$0.00   |
|  |        |                                 |                      |                     |   |                   |      | Split Transactions \$0.00    |
|  |        |                                 |                      |                     |   |                   |      | Override Transactions \$0.00 |
|  |        |                                 |                      |                     |   |                   |      | Adjustments \$0.00           |
|  |        |                                 |                      |                     |   |                   |      | Payroll Draw \$0.00          |
|  |        |                                 |                      |                     |   |                   |      | Base Salary \$0.00           |
|  |        |                                 |                      |                     |   |                   |      | Prior Period Balance \$0.00  |
|  |        |                                 |                      |                     |   |                   |      | FINRA Assessment \$0.00      |
|  |        |                                 |                      |                     |   |                   |      | SIPC Assessment \$0.00       |
| Please Retain for Your Records<br>THERE WILL BE NO PAYMENT THIS PERIOD |        |                                 |                      |                     | <div><div>Balance Forward \$0.00</div><div>Year-to-date Earnings \$0.00</div></div> |                   |      |                              |



# COMMISSION STATEMENT

March 12, 2018

JEFFRY PROUL  
950 Glenn Drive  
Suite 100  
Folsom, CA 95630

BROKER #: 940  
BRANCH #01001 - LifeMark Home Office

| DATE  | CLIENT   | INVESTMENT   | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|---|--|--|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b><u>BROKER TRANSACTIONS</u></b>                       |  |  |                      |                     |                    |                   |      |                      |
| <b><u>PRODUCT CATEGORY: MUTUAL FUNDS</u></b>            |  |  |                      |                     |                    |                   |      |                      |
| 03/02/2018  | ***-**-2069 - CORPORATION,<br>ACCOUNT #: 00086889126   | EUROPACIFIC GROWTH FUND-A<br>BUY 2 Units @56.7800          | 87.50                | 0.88                | 0.00               | 0.88              | 75.0 | 0.66                 |
| 03/02/2018  | ***-**-2069 - CORPORATION,<br>ACCOUNT #: 00058836715   | EUROPACIFIC GROWTH FUND-A<br>BUY 21 Units @56.7800         | 1,197.28             | 11.97               | 0.00               | 11.97             | 75.0 | 8.98                 |
| 03/02/2018  | ***-**-2069 - CORPORATION,<br>ACCOUNT #: 00058823519   | EUROPACIFIC GROWTH FUND-A<br>BUY 9 Units @56.7800          | 521.26               | 5.21                | 0.00               | 5.21              | 75.0 | 3.91                 |
| 03/02/2018  | ***-**-9346 - KEY-BELL INC<br>ACCOUNT #: 00058823515   | EUROPACIFIC GROWTH FUND-A<br>BUY 3 Units @56.7800          | 150.00               | 1.50                | 0.00               | 1.50              | 75.0 | 1.13                 |
| 03/02/2018  | ***-**-3875 - HARRY, JOHN<br>ACCOUNT #: 00058823514    | EUROPACIFIC GROWTH FUND-A<br>BUY 10 Units @56.7800         | 563.35               | 5.63                | 0.00               | 5.63              | 75.0 | 4.22                 |
| 03/02/2018  | ***-**-4496 - HARRY, KIRK<br>ACCOUNT #: 00058823513    | EUROPACIFIC GROWTH FUND-A<br>BUY 8 Units @56.7800          | 479.17               | 4.79                | 0.00               | 4.79              | 75.0 | 3.59                 |
| 03/02/2018  | ***-**-2069 - CORPORATION,<br>ACCOUNT #: 00086889126   | THE GROWTH FUND OF AMERICA-A<br>BUY 1 Units @51.8900       | 37.50                | 0.38                | 0.00               | 0.38              | 75.0 | 0.29                 |
| 03/02/2018  | ***-**-2069 - CORPORATION,<br>ACCOUNT #: 00058836715   | THE GROWTH FUND OF AMERICA-A<br>BUY 23 Units @51.8900      | 1,197.29             | 11.97               | 0.00               | 11.97             | 75.0 | 8.98                 |
| 03/02/2018  | ***-**-2069 - CORPORATION,<br>ACCOUNT #: 00058823519   | THE GROWTH FUND OF AMERICA-A<br>BUY 10 Units @51.8900      | 521.26               | 5.21                | 0.00               | 5.21              | 75.0 | 3.91                 |
| 03/02/2018  | ***-**-9346 - KEY-BELL INC<br>ACCOUNT #: 00058823515   | THE GROWTH FUND OF AMERICA-A<br>BUY 3 Units @51.8900       | 150.00               | 1.50                | 0.00               | 1.50              | 75.0 | 1.13                 |
| 03/02/2018  | ***-**-3875 - HARRY, JOHN<br>ACCOUNT #: 00058823514    | THE GROWTH FUND OF AMERICA-A<br>BUY 11 Units @51.8900      | 563.35               | 5.63                | 0.00               | 5.63              | 75.0 | 4.22                 |
| 03/02/2018  | ***-**-4496 - HARRY, KIRK<br>ACCOUNT #: 00058823513    | THE GROWTH FUND OF AMERICA-A<br>BUY 9 Units @51.8900       | 479.17               | 4.79                | 0.00               | 4.79              | 75.0 | 3.59                 |
| <b>* MUTUAL FUNDS SUBTOTAL *</b>                        |  |  | <b>\$5,947.13</b>    | <b>\$59.46</b>      | <b>\$0.00</b>      | <b>\$59.46</b>    |      | <b>\$44.61</b>       |
| <b><u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u></b> |  |  |                      |                     |                    |                   |      |                      |
| 03/12/2018  | ***-**-1522 - PROUL, JEFFRY<br>ACCOUNT #: LSR101168    | AIM GLOBAL HEALTH CARE FUND CLASS A<br>BUY 1 Units @0.0000 | 0.00                 | 4.12                | 0.00               | 4.12              | 75.0 | 3.09                 |
| 03/01/2018  | ***-**-405P - RODMAN, BRIAN<br>ACCOUNT #: 00073598244  | AMCAP FUND-A<br>BUY 0 Units @0.0000                        | 0.00                 | 11.28               | 0.00               | 11.28             | 75.0 | 8.46                 |
| 03/01/2018  | ***-**-435P - PROUL, ARIANNA<br>ACCOUNT #: 00068467207 | AMERICAN BALANCED FUND-529A<br>BUY 0 Units @0.0000         | 0.00                 | 27.38               | 0.00               | 27.38             | 75.0 | 20.54                |



# COMMISSION STATEMENT

March 12, 2018

JEFFRY PROUL  
950 Glenn Drive  
Suite 100  
Folsom, CA 95630

BROKER #: 940  
BRANCH #01001 - LifeMark Home Office

| DATE   | CLIENT  | INVESTMENT                                      | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|--|---|---|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b>BROKER TRANSACTIONS (continued)</b>                       |   |   |                      |                     |                    |                   |      |                      |
| <b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</b> |   |   |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-935P - HEURISTICS INC<br>ACCOUNT #: 00058553029  | AMERICAN BALANCED FUND-A<br>BUY 0 Units @0.0000 | 0.00                 | 7.63                | 0.00               | 7.63              | 75.0 | 5.72                 |
| 03/01/2018   | ***-**-4496 - HARRY, KIRK<br>ACCOUNT #: 00058823513     | AMERICAN BALANCED FUND-A<br>BUY 0 Units @0.0000 | 0.00                 | 29.87               | 0.00               | 29.87             | 75.0 | 22.40                |
| 03/01/2018   | ***-**-9346 - KEY-BELL INC<br>ACCOUNT #: 00058823515    | AMERICAN BALANCED FUND-A<br>BUY 0 Units @0.0000 | 0.00                 | 2.57                | 0.00               | 2.57              | 75.0 | 1.93                 |
| 03/01/2018   | ***-**-345P - STEIN, EDWARD<br>ACCOUNT #: 00061083257   | AMERICAN BALANCED FUND-A<br>BUY 0 Units @0.0000 | 0.00                 | 0.53                | 0.00               | 0.53              | 75.0 | 0.40                 |
| 03/01/2018   | ***-**-1682 - LEDDY, MIKE<br>ACCOUNT #: 00061083265     | AMERICAN BALANCED FUND-A<br>BUY 0 Units @0.0000 | 0.00                 | 6.28                | 0.00               | 6.28              | 75.0 | 4.71                 |
| 03/01/2018   | ***-**-565P - NGUYEN, LINH<br>ACCOUNT #: 00061112419    | AMERICAN BALANCED FUND-A<br>BUY 0 Units @0.0000 | 0.00                 | 0.59                | 0.00               | 0.59              | 75.0 | 0.44                 |
| 03/01/2018   | ***-**-375P - MAE MURDOCK,<br>ACCOUNT #: 00061230703    | AMERICAN BALANCED FUND-A<br>BUY 0 Units @0.0000 | 0.00                 | 0.08                | 0.00               | 0.08              | 75.0 | 0.06                 |
| 03/01/2018   | ***-**-705P - WALDER/SAR SEP,<br>ACCOUNT #: 00061278811 | AMERICAN BALANCED FUND-A<br>BUY 0 Units @0.0000 | 0.00                 | 9.61                | 0.00               | 9.61              | 75.0 | 7.21                 |
| 03/01/2018   | ***-**-135P - MEADOWS, LAURA<br>ACCOUNT #: 00061278813  | AMERICAN BALANCED FUND-A<br>BUY 0 Units @0.0000 | 0.00                 | 22.35               | 0.00               | 22.35             | 75.0 | 16.76                |
| 03/01/2018   | ***-**-995P - MCFALL, JON<br>ACCOUNT #: 00062688487     | AMERICAN BALANCED FUND-A<br>BUY 0 Units @0.0000 | 0.00                 | 0.52                | 0.00               | 0.52              | 75.0 | 0.39                 |
| 03/01/2018   | ***-**-525P - KEY-BELL INC<br>ACCOUNT #: 00069333525    | AMERICAN BALANCED FUND-A<br>BUY 0 Units @0.0000 | 0.00                 | 9.03                | 0.00               | 9.03              | 75.0 | 6.77                 |
| 03/01/2018   | ***-**-575P - HIROSHIMA, GREG<br>ACCOUNT #: 00074557630 | AMERICAN BALANCED FUND-A<br>BUY 0 Units @0.0000 | 0.00                 | 0.72                | 0.00               | 0.72              | 75.0 | 0.54                 |
| 03/01/2018   | ***-**-755P - HYETT, JANE<br>ACCOUNT #: 00081807419     | AMERICAN BALANCED FUND-A<br>BUY 0 Units @0.0000 | 0.00                 | 15.10               | 0.00               | 15.10             | 75.0 | 11.33                |
| 03/01/2018   | ***-**-755P - HYETT, JANE<br>ACCOUNT #: 00081867407     | AMERICAN BALANCED FUND-A<br>BUY 0 Units @0.0000 | 0.00                 | 10.30               | 0.00               | 10.30             | 75.0 | 7.73                 |
| 03/01/2018   | ***-**-958I - NORMAND, ROBERT<br>ACCOUNT #: 00083288757 | AMERICAN BALANCED FUND-A<br>BUY 0 Units @0.0000 | 0.00                 | 0.09                | 0.00               | 0.09              | 75.0 | 0.07                 |
| 03/01/2018   | ***-**-1240 - RODMAN, BRIAN<br>ACCOUNT #: 00086813973   | AMERICAN BALANCED FUND-A<br>BUY 0 Units @0.0000 | 0.00                 | 10.50               | 0.00               | 10.50             | 75.0 | 7.88                 |



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BRANCH #01001 - LifeMark Home Office

| DATE   | CLIENT                         | INVESTMENT                          | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|--|--------------------------------|-------------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b>BROKER TRANSACTIONS (continued)</b>                       |                                |                                     |                      |                     |                    |                   |      |                      |
| <b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</b> |                                |                                     |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-46SI - HOFFMAN, JENEE   | AMERICAN BALANCED FUND-A            | 0.00                 | 0.53                | 0.00               | 0.53              | 75.0 | 0.40                 |
|  | ACCOUNT #: 00086813983         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-22CL - PROUL, CLIENTS   | AMERICAN BALANCED FUND-A            | 0.00                 | 0.52                | 0.00               | 0.52              | 75.0 | 0.39                 |
|  | ACCOUNT #: 00087554890         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-3216 - CALKINS, MICHELE | AMERICAN BALANCED FUND-A            | 0.00                 | 3.17                | 0.00               | 3.17              | 75.0 | 2.38                 |
|  | ACCOUNT #: 00087973880         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-72SI - BLESTOS,         | AMERICAN BALANCED FUND-A            | 0.00                 | 2.02                | 0.00               | 2.02              | 75.0 | 1.52                 |
|  | ACCOUNT #: 00088740779         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-22CL - PROUL, CLIENTS   | AMERICAN FUNDS 2020 TARGET DATE-A   | 0.00                 | 4.56                | 0.00               | 4.56              | 75.0 | 3.42                 |
|  | ACCOUNT #: 00088483272         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-584I - CHIRMULE, PREETI | AMERICAN FUNDS 2025 TARGET DATE-A   | 0.00                 | 84.43               | 0.00               | 84.43             | 75.0 | 63.32                |
|  | ACCOUNT #: 00089005925         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-22CL - PROUL, CLIENTS   | AMERICAN FUNDS 2030 TARGET DATE-A   | 0.00                 | 15.08               | 0.00               | 15.08             | 75.0 | 11.31                |
|  | ACCOUNT #: 00088976486         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-22CL - PROUL, CLIENTS   | AMERICAN FUNDS 2030 TARGET DATE-A   | 0.00                 | 22.64               | 0.00               | 22.64             | 75.0 | 16.98                |
|  | ACCOUNT #: 00088976498         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-46SI - HOFFMAN, JENEE   | AMERICAN FUNDS 2050 TARGET DATE-A   | 0.00                 | 0.37                | 0.00               | 0.37              | 75.0 | 0.28                 |
|  | ACCOUNT #: 00086813983         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-22CL - PROUL, CLIENTS   | AMERICAN FUNDS 2055 TARGET DATE-A   | 0.00                 | 1.24                | 0.00               | 1.24              | 75.0 | 0.93                 |
|  | ACCOUNT #: 00088843806         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-22CL - PROUL, CLIENTS   | AMERICAN FUNDS 2055 TARGET DATE-A   | 0.00                 | 2.79                | 0.00               | 2.79              | 75.0 | 2.09                 |
|  | ACCOUNT #: 00089402273         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-22CL - PROUL, CLIENTS   | AMERICAN HIGH-INCOME MUNI BOND FUND | 0.00                 | 0.19                | 0.00               | 0.19              | 75.0 | 0.14                 |
|  | ACCOUNT #: 00087554890         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-72SI - BLESTOS,         | AMERICAN HIGH-INCOME TRUST-A        | 0.00                 | 0.77                | 0.00               | 0.77              | 75.0 | 0.58                 |
|  | ACCOUNT #: 00088740779         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-958I - NORMAND, ROBERT  | AMERICAN MUTUAL FUND-A              | 0.00                 | 0.01                | 0.00               | 0.01              | 75.0 | 0.01                 |
|  | ACCOUNT #: 00083288757         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-72SI - BLESTOS,         | AMERICAN MUTUAL FUND-A              | 0.00                 | 2.35                | 0.00               | 2.35              | 75.0 | 1.76                 |
|  | ACCOUNT #: 00088740779         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-725P - PUGH, LEAH       | CAPITAL INCOME BUILDER-A            | 0.00                 | 0.89                | 0.00               | 0.89              | 75.0 | 0.67                 |
|  | ACCOUNT #: 00074266537         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |



# COMMISSION STATEMENT

March 12, 2018

JEFFREY PROUL  
950 Glenn Drive  
Suite 100  
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BROKER #: 940  
BRANCH #01001 - LifeMark Home Office

| DATE   | CLIENT                         | INVESTMENT                          | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|--|--------------------------------|-------------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b>BROKER TRANSACTIONS (continued)</b>                       |                                |                                     |                      |                     |                    |                   |      |                      |
| <b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</b> |                                |                                     |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-5007 - MCCOY, VALERIE   | CAPITAL INCOME BUILDER-A            | 0.00                 | 0.04                | 0.00               | 0.04              | 75.0 | 0.03                 |
|  | ACCOUNT #: 00083647323         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-725P - PUGH, LEAH       | CAPITAL WORLD GROWTH AND INCOME FUN | 0.00                 | 1.15                | 0.00               | 1.15              | 75.0 | 0.86                 |
|  | ACCOUNT #: 00074266537         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-745P - ZUMOT, JAMAL     | CAPITAL WORLD GROWTH AND INCOME FUN | 0.00                 | 0.27                | 0.00               | 0.27              | 75.0 | 0.20                 |
|  | ACCOUNT #: 00082094434         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-5007 - MCCOY, VALERIE   | CAPITAL WORLD GROWTH AND INCOME FUN | 0.00                 | 0.08                | 0.00               | 0.08              | 75.0 | 0.06                 |
|  | ACCOUNT #: 00083647323         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-77SI - FIELDS, NATHAN   | CAPITAL WORLD GROWTH AND INCOME FUN | 0.00                 | 2.06                | 0.00               | 2.06              | 75.0 | 1.55                 |
|  | ACCOUNT #: 00085036998         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-895P - CHRISTENSEN,     | CAPITAL WORLD GROWTH AND INCOME FUN | 0.00                 | 3.30                | 0.00               | 3.30              | 75.0 | 2.48                 |
|  | ACCOUNT #: 00086813909         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-46SI - HOFFMAN, JENEE   | CAPITAL WORLD GROWTH AND INCOME FUN | 0.00                 | 0.98                | 0.00               | 0.98              | 75.0 | 0.74                 |
|  | ACCOUNT #: 00086813983         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-3216 - CALKINS, MICHELE | CAPITAL WORLD GROWTH AND INCOME FUN | 0.00                 | 3.06                | 0.00               | 3.06              | 75.0 | 2.30                 |
|  | ACCOUNT #: 00087973880         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-4496 - HARRY, KIRK      | EUROPACIFIC GROWTH FUND-A           | 0.00                 | 233.35              | 0.00               | 233.35            | 75.0 | 175.01               |
|  | ACCOUNT #: 00058823513         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-3875 - HARRY, JOHN      | EUROPACIFIC GROWTH FUND-A           | 0.00                 | 238.67              | 0.00               | 238.67            | 75.0 | 179.00               |
|  | ACCOUNT #: 00058823514         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-9346 - KEY-BELL INC     | EUROPACIFIC GROWTH FUND-A           | 0.00                 | 133.62              | 0.00               | 133.62            | 75.0 | 100.22               |
|  | ACCOUNT #: 00058823515         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-345P - STEIN, EDWARD    | EUROPACIFIC GROWTH FUND-A           | 0.00                 | 0.26                | 0.00               | 0.26              | 75.0 | 0.20                 |
|  | ACCOUNT #: 00061083257         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-1682 - LEDDY, MIKE      | EUROPACIFIC GROWTH FUND-A           | 0.00                 | 10.18               | 0.00               | 10.18             | 75.0 | 7.64                 |
|  | ACCOUNT #: 00061083265         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-375P - MAE MURDOCK,     | EUROPACIFIC GROWTH FUND-A           | 0.00                 | 0.21                | 0.00               | 0.21              | 75.0 | 0.16                 |
|  | ACCOUNT #: 00061230703         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-305P - COX, CHERYL      | EUROPACIFIC GROWTH FUND-A           | 0.00                 | 2.94                | 0.00               | 2.94              | 75.0 | 2.21                 |
|  | ACCOUNT #: 00061230705         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-575P - BECKETT/SAR SEP, | EUROPACIFIC GROWTH FUND-A           | 0.00                 | 0.03                | 0.00               | 0.03              | 75.0 | 0.02                 |
|  | ACCOUNT #: 00061230709         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |



# COMMISSION STATEMENT

March 12, 2018

JEFFRY PROUL  
950 Glenn Drive  
Suite 100  
Folsom, CA 95630

BROKER #: 940  
BRANCH #01001 - LifeMark Home Office

| DATE   | CLIENT  | INVESTMENT                                       | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|--|---|--|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b>BROKER TRANSACTIONS (continued)</b>                       |   |  |                      |                     |                    |                   |      |                      |
| <b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</b> |   |  |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-705P - WALDER/SAR SEP,<br>ACCOUNT #: 00061278811 | EUROPACIFIC GROWTH FUND-A<br>BUY 0 Units @0.0000 | 0.00                 | 8.66                | 0.00               | 8.66              | 75.0 | 6.50                 |
| 03/01/2018   | ***-**-135P - MEADOWS, LAURA<br>ACCOUNT #: 00061278813  | EUROPACIFIC GROWTH FUND-A<br>BUY 0 Units @0.0000 | 0.00                 | 19.86               | 0.00               | 19.86             | 75.0 | 14.90                |
| 03/01/2018   | ***-**-2679 - BOWLAND, JOSEPH<br>ACCOUNT #: 00061960981 | EUROPACIFIC GROWTH FUND-A<br>BUY 0 Units @0.0000 | 0.00                 | 0.08                | 0.00               | 0.08              | 75.0 | 0.06                 |
| 03/01/2018   | ***-**-995P - MCFALL, JON<br>ACCOUNT #: 00062688487     | EUROPACIFIC GROWTH FUND-A<br>BUY 0 Units @0.0000 | 0.00                 | 0.50                | 0.00               | 0.50              | 75.0 | 0.38                 |
| 03/01/2018   | ***-**-525P - KEY-BELL INC<br>ACCOUNT #: 00069333525    | EUROPACIFIC GROWTH FUND-A<br>BUY 0 Units @0.0000 | 0.00                 | 7.76                | 0.00               | 7.76              | 75.0 | 5.82                 |
| 03/01/2018   | ***-**-7091 - ALBERS, KEN<br>ACCOUNT #: 00073447821     | EUROPACIFIC GROWTH FUND-A<br>BUY 0 Units @0.0000 | 0.00                 | 9.56                | 0.00               | 9.56              | 75.0 | 7.17                 |
| 03/01/2018   | ***-**-885P - AVIS, ALAN<br>ACCOUNT #: 00073467959      | EUROPACIFIC GROWTH FUND-A<br>BUY 0 Units @0.0000 | 0.00                 | 1.81                | 0.00               | 1.81              | 75.0 | 1.36                 |
| 03/01/2018   | ***-**-665P - JUSIC, NEDJAD<br>ACCOUNT #: 00074557594   | EUROPACIFIC GROWTH FUND-A<br>BUY 0 Units @0.0000 | 0.00                 | 1.43                | 0.00               | 1.43              | 75.0 | 1.07                 |
| 03/01/2018   | ***-**-185P - OWSTON, NICOLE<br>ACCOUNT #: 00081514430  | EUROPACIFIC GROWTH FUND-A<br>BUY 0 Units @0.0000 | 0.00                 | 6.90                | 0.00               | 6.90              | 75.0 | 5.18                 |
| 03/01/2018   | ***-**-645P - CALLES, LORIANN<br>ACCOUNT #: 00081807366 | EUROPACIFIC GROWTH FUND-A<br>BUY 0 Units @0.0000 | 0.00                 | 19.98               | 0.00               | 19.98             | 75.0 | 14.99                |
| 03/01/2018   | ***-**-645P - CALLES, LORIANN<br>ACCOUNT #: 00081867382 | EUROPACIFIC GROWTH FUND-A<br>BUY 0 Units @0.0000 | 0.00                 | 23.84               | 0.00               | 23.84             | 75.0 | 17.88                |
| 03/01/2018   | ***-**-745P - ZUMOT, JAMAL<br>ACCOUNT #: 00082094434    | EUROPACIFIC GROWTH FUND-A<br>BUY 0 Units @0.0000 | 0.00                 | 0.44                | 0.00               | 0.44              | 75.0 | 0.33                 |
| 03/01/2018   | ***-**-985P - VALENZUELA,<br>ACCOUNT #: 00082094487     | EUROPACIFIC GROWTH FUND-A<br>BUY 0 Units @0.0000 | 0.00                 | 0.21                | 0.00               | 0.21              | 75.0 | 0.16                 |
| 03/01/2018   | ***-**-435P - SMITH, KATHLEEN<br>ACCOUNT #: 00082247630 | EUROPACIFIC GROWTH FUND-A<br>BUY 0 Units @0.0000 | 0.00                 | 0.15                | 0.00               | 0.15              | 75.0 | 0.11                 |
| 03/01/2018   | ***-**-958I - NORMAND, ROBERT<br>ACCOUNT #: 00083288757 | EUROPACIFIC GROWTH FUND-A<br>BUY 0 Units @0.0000 | 0.00                 | 0.23                | 0.00               | 0.23              | 75.0 | 0.17                 |
| 03/01/2018   | ***-**-5387 - BLAKEMAN,<br>ACCOUNT #: 00083645024       | EUROPACIFIC GROWTH FUND-A<br>BUY 0 Units @0.0000 | 0.00                 | 0.27                | 0.00               | 0.27              | 75.0 | 0.20                 |





# COMMISSION STATEMENT

March 12, 2018

JEFFRY PROUL  
950 Glenn Drive  
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BROKER #: 940  
BRANCH #01001 - LifeMark Home Office

| DATE   | CLIENT                         | INVESTMENT                      | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|--|--------------------------------|---------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b>BROKER TRANSACTIONS (continued)</b>                       |                                |                                 |                      |                     |                    |                   |      |                      |
| <b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</b> |                                |                                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-6260 - CHAVEZ, VALERIE  | EUROPACIFIC GROWTH FUND-A       | 0.00                 | 0.19                | 0.00               | 0.19              | 75.0 | 0.14                 |
|  | ACCOUNT #: 00083645387         | BUY 0 Units @0.0000             |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-9509 - GRANDOS,         | EUROPACIFIC GROWTH FUND-A       | 0.00                 | 0.05                | 0.00               | 0.05              | 75.0 | 0.04                 |
|  | ACCOUNT #: 00083646273         | BUY 0 Units @0.0000             |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-2251 - LUONG, MEI       | EUROPACIFIC GROWTH FUND-A       | 0.00                 | 0.35                | 0.00               | 0.35              | 75.0 | 0.26                 |
|  | ACCOUNT #: 00083647093         | BUY 0 Units @0.0000             |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-2808 - LY, NELSON       | EUROPACIFIC GROWTH FUND-A       | 0.00                 | 0.45                | 0.00               | 0.45              | 75.0 | 0.34                 |
|  | ACCOUNT #: 00083647132         | BUY 0 Units @0.0000             |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-5007 - MCCOY, VALERIE   | EUROPACIFIC GROWTH FUND-A       | 0.00                 | 0.07                | 0.00               | 0.07              | 75.0 | 0.05                 |
|  | ACCOUNT #: 00083647323         | BUY 0 Units @0.0000             |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-310I - RODRIGUEZ,       | EUROPACIFIC GROWTH FUND-A       | 0.00                 | 0.40                | 0.00               | 0.40              | 75.0 | 0.30                 |
|  | ACCOUNT #: 00083647503         | BUY 0 Units @0.0000             |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-673I - GEIGER, MAJOR    | EUROPACIFIC GROWTH FUND-A       | 0.00                 | 13.50               | 0.00               | 13.50             | 75.0 | 10.13                |
|  | ACCOUNT #: 00083912625         | BUY 0 Units @0.0000             |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-3216 - CALKINS, MICHELE | EUROPACIFIC GROWTH FUND-A       | 0.00                 | 2.95                | 0.00               | 2.95              | 75.0 | 2.21                 |
|  | ACCOUNT #: 00087973880         | BUY 0 Units @0.0000             |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-72SI - BLESTOS,         | EUROPACIFIC GROWTH FUND-A       | 0.00                 | 1.91                | 0.00               | 1.91              | 75.0 | 1.43                 |
|  | ACCOUNT #: 00088740779         | BUY 0 Units @0.0000             |                      |                     |                    |                   |      |                      |
| 03/07/2018   | ***-**-388I - AVIS, ALAN       | FIDELITY ADV BIOTECHNOLOGY-CL A | 0.00                 | 0.09                | 0.00               | 0.09              | 75.0 | 0.07                 |
|  | ACCOUNT #: 03900211572         | BUY 0 Units @0.0000             |                      |                     |                    |                   |      |                      |
| 03/07/2018   | ***-**-388I - AVIS, ALAN       | FIDELITY ADV BIOTECHNOLOGY-CL A | 0.00                 | 0.06                | 0.00               | 0.06              | 75.0 | 0.05                 |
|  | ACCOUNT #: 03900211583         | BUY 0 Units @0.0000             |                      |                     |                    |                   |      |                      |
| 03/07/2018   | ***-**-388I - AVIS, ALAN       | FIDELITY ADV EQUITY GROWTH CL A | 0.00                 | 0.08                | 0.00               | 0.08              | 75.0 | 0.06                 |
|  | ACCOUNT #: 03900211572         | BUY 0 Units @0.0000             |                      |                     |                    |                   |      |                      |
| 03/07/2018   | ***-**-388I - AVIS, ALAN       | FIDELITY ADV EQUITY GROWTH CL A | 0.00                 | 0.04                | 0.00               | 0.04              | 75.0 | 0.03                 |
|  | ACCOUNT #: 03900211583         | BUY 0 Units @0.0000             |                      |                     |                    |                   |      |                      |
| 03/07/2018   | ***-**-388I - AVIS, ALAN       | FIDELITY ADV FREEDOM 2030-CL A  | 0.00                 | 0.05                | 0.00               | 0.05              | 75.0 | 0.04                 |
|  | ACCOUNT #: 03900211572         | BUY 0 Units @0.0000             |                      |                     |                    |                   |      |                      |
| 03/07/2018   | ***-**-5505 - OREA, STEPHANIE  | FIDELITY ADV FREEDOM 2050-CL A  | 0.00                 | 0.14                | 0.00               | 0.14              | 75.0 | 0.11                 |
|  | ACCOUNT #: 03900185962         | BUY 0 Units @0.0000             |                      |                     |                    |                   |      |                      |
| 03/07/2018   | ***-**-8161 - PARALES, NICOLE  | FIDELITY ADV FREEDOM 2050-CL A  | 0.00                 | 0.11                | 0.00               | 0.11              | 75.0 | 0.08                 |
|  | ACCOUNT #: 03900185999         | BUY 0 Units @0.0000             |                      |                     |                    |                   |      |                      |



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| DATE   | CLIENT                         | INVESTMENT                          | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|--|--------------------------------|-------------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b>BROKER TRANSACTIONS (continued)</b>                       |                                |                                     |                      |                     |                    |                   |      |                      |
| <b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</b> |                                |                                     |                      |                     |                    |                   |      |                      |
| 03/07/2018   | ***-**-3406 - RODRIGUEZ, MARIA | FIDELITY ADV FREEDOM 2050-CL A      | 0.00                 | 0.13                | 0.00               | 0.13              | 75.0 | 0.10                 |
|  | ACCOUNT #: 03900186010         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/07/2018   | ***-**-4265 -                  | FIDELITY ADV FREEDOM 2050-CL A      | 0.00                 | 0.27                | 0.00               | 0.27              | 75.0 | 0.20                 |
|  | ACCOUNT #: 03900186012         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/07/2018   | ***-**-0806 - ALEIXO, JEFFREY  | FIDELITY ADV FREEDOM 2050-CL A      | 0.00                 | 0.54                | 0.00               | 0.54              | 75.0 | 0.41                 |
|  | ACCOUNT #: 03900186019         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/07/2018   | ***-**-2868 - MADDOCK, ASHLEY  | FIDELITY ADV FREEDOM 2050-CL A      | 0.00                 | 0.10                | 0.00               | 0.10              | 75.0 | 0.08                 |
|  | ACCOUNT #: 03900186023         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/07/2018   | ***-**-6251 - NAKABA, RANDALL  | FIDELITY ADV FREEDOM 2050-CL A      | 0.00                 | 0.11                | 0.00               | 0.11              | 75.0 | 0.08                 |
|  | ACCOUNT #: 03900186024         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/07/2018   | ***-**-2963 - LAPAGE, STEPHEN  | FIDELITY ADV FREEDOM 2050-CL A      | 0.00                 | 0.19                | 0.00               | 0.19              | 75.0 | 0.14                 |
|  | ACCOUNT #: 03900186027         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/07/2018   | ***-**-6187 - HICKS, BREANNA   | FIDELITY ADV FREEDOM 2050-CL A      | 0.00                 | 0.05                | 0.00               | 0.05              | 75.0 | 0.04                 |
|  | ACCOUNT #: 03900186033         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/07/2018   | ***-**-9826 - NERSESIAN, POLET | FIDELITY ADV FREEDOM 2050-CL A      | 0.00                 | 0.18                | 0.00               | 0.18              | 75.0 | 0.14                 |
|  | ACCOUNT #: 03900186038         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/07/2018   | ***-**-2535 - ALCAZAR, MARIA   | FIDELITY ADV FREEDOM 2050-CL A      | 0.00                 | 0.12                | 0.00               | 0.12              | 75.0 | 0.09                 |
|  | ACCOUNT #: 03900186047         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/07/2018   | ***-**-0399 - MOORE, RACHEL    | FIDELITY ADV FREEDOM 2050-CL A      | 0.00                 | 0.31                | 0.00               | 0.31              | 75.0 | 0.23                 |
|  | ACCOUNT #: 03900186054         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/07/2018   | ***-**-8871 - GUTIERREZ,       | FIDELITY ADV FREEDOM 2050-CL A      | 0.00                 | 0.08                | 0.00               | 0.08              | 75.0 | 0.06                 |
|  | ACCOUNT #: 03900186057         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/07/2018   | ***-**-388I - AVIS, ALAN       | FIDELITY ADV GLOBAL EQUITY INCOME C | 0.00                 | 0.04                | 0.00               | 0.04              | 75.0 | 0.03                 |
|  | ACCOUNT #: 03900211572         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/07/2018   | ***-**-388I - AVIS, ALAN       | FIDELITY ADV GLOBAL EQUITY INCOME C | 0.00                 | 0.03                | 0.00               | 0.03              | 75.0 | 0.02                 |
|  | ACCOUNT #: 03900211583         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-77SI - FIELDS, NATHAN   | FUNDAMENTAL INVESTORS-A             | 0.00                 | 2.58                | 0.00               | 2.58              | 75.0 | 1.94                 |
|  | ACCOUNT #: 00085036998         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-72SI - BLESTOS,         | FUNDAMENTAL INVESTORS-A             | 0.00                 | 3.15                | 0.00               | 3.15              | 75.0 | 2.36                 |
|  | ACCOUNT #: 00088740779         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-115P - MONAHAN, JOHN    | INTERMEDIATE BOND FUND OF AMERICA-A | 0.00                 | 1.81                | 0.00               | 1.81              | 75.0 | 1.36                 |
|  | ACCOUNT #: 00074557583         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |



# COMMISSION STATEMENT

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| DATE   | CLIENT   | INVESTMENT   | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|--|--|--|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b>BROKER TRANSACTIONS (continued)</b>                       |  |  |                      |                     |                    |                   |      |                      |
| <b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</b> |  |  |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-5387 - BLAKEMAN,<br>ACCOUNT #: 00083645024        | INTERMEDIATE BOND FUND OF AMERICA-A<br>BUY 0 Units @0.0000 | 0.00                 | 0.21                | 0.00               | 0.21              | 75.0 | 0.16                 |
| 03/01/2018   | ***-**-9509 - GRANDOS,<br>ACCOUNT #: 00083646273         | INTERMEDIATE BOND FUND OF AMERICA-A<br>BUY 0 Units @0.0000 | 0.00                 | 0.09                | 0.00               | 0.09              | 75.0 | 0.07                 |
| 03/01/2018   | ***-**-673I - GEIGER, MAJOR<br>ACCOUNT #: 00086454950    | INTERMEDIATE BOND FUND OF AMERICA-A<br>BUY 0 Units @0.0000 | 0.00                 | 15.13               | 0.00               | 15.13             | 75.0 | 11.35                |
| 03/12/2018   | ***-**-1522 - PROUL, JEFFRY<br>ACCOUNT #: LSR101168      | INVESCO AMERICAN FRANCHISE FUND -CL<br>BUY 1 Units @0.0000 | 0.00                 | 2.27                | 0.00               | 2.27              | 75.0 | 1.70                 |
| 03/12/2018   | ***-**-2742 - CLASEN, SHIRLEY<br>ACCOUNT #: LSR102512    | INVESCO AMERICAN FRANCHISE FUND -CL<br>BUY 1 Units @0.0000 | 0.00                 | 0.57                | 0.00               | 0.57              | 75.0 | 0.43                 |
| 03/12/2018   | ***-**-1240 - RODMAN, BRIAN<br>ACCOUNT #: LSR103420      | INVESCO AMERICAN FRANCHISE FUND -CL<br>BUY 1 Units @0.0000 | 0.00                 | 0.48                | 0.00               | 0.48              | 75.0 | 0.36                 |
| 03/01/2018   | ***-**-77SI - FIELDS, NATHAN<br>ACCOUNT #: 00085036998   | NEW PERSPECTIVE FUND-A<br>BUY 0 Units @0.0000              | 0.00                 | 3.36                | 0.00               | 3.36              | 75.0 | 2.52                 |
| 03/01/2018   | ***-**-895P - CHRISTENSEN,<br>ACCOUNT #: 00086813909     | NEW PERSPECTIVE FUND-A<br>BUY 0 Units @0.0000              | 0.00                 | 3.59                | 0.00               | 3.59              | 75.0 | 2.69                 |
| 03/01/2018   | ***-**-885P - AVIS, ALAN<br>ACCOUNT #: 00086813910       | NEW PERSPECTIVE FUND-A<br>BUY 0 Units @0.0000              | 0.00                 | 27.76               | 0.00               | 27.76             | 75.0 | 20.82                |
| 03/01/2018   | ***-**-72SI - BLESTOS,<br>ACCOUNT #: 00088740779         | NEW PERSPECTIVE FUND-A<br>BUY 0 Units @0.0000              | 0.00                 | 2.20                | 0.00               | 2.20              | 75.0 | 1.65                 |
| 03/01/2018   | ***-**-6061 - ALEXANDER,<br>ACCOUNT #: 00083644814       | NEW WORLD FUND-A<br>BUY 0 Units @0.0000                    | 0.00                 | 0.22                | 0.00               | 0.22              | 75.0 | 0.17                 |
| 03/01/2018   | ***-**-4888 - CALHOUN, VANESSA<br>ACCOUNT #: 00083645245 | NEW WORLD FUND-A<br>BUY 0 Units @0.0000                    | 0.00                 | 0.37                | 0.00               | 0.37              | 75.0 | 0.28                 |
| 03/01/2018   | ***-**-6260 - CHAVEZ, VALERIE<br>ACCOUNT #: 00083645387  | NEW WORLD FUND-A<br>BUY 0 Units @0.0000                    | 0.00                 | 0.65                | 0.00               | 0.65              | 75.0 | 0.49                 |
| 03/01/2018   | ***-**-0732 - GOODLOW, AARON<br>ACCOUNT #: 00083646192   | NEW WORLD FUND-A<br>BUY 0 Units @0.0000                    | 0.00                 | 0.10                | 0.00               | 0.10              | 75.0 | 0.08                 |
| 03/01/2018   | ***-**-124I - SIERRAS, JESSICA<br>ACCOUNT #: 00083647721 | NEW WORLD FUND-A<br>BUY 0 Units @0.0000                    | 0.00                 | 0.30                | 0.00               | 0.30              | 75.0 | 0.23                 |
| 03/01/2018   | ***-**-1466 - TRAN, ROSE<br>ACCOUNT #: 00083647788       | NEW WORLD FUND-A<br>BUY 0 Units @0.0000                    | 0.00                 | 0.28                | 0.00               | 0.28              | 75.0 | 0.21                 |



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|--|---|---|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b>BROKER TRANSACTIONS (continued)</b>                       |   |   |                      |                     |                    |                   |      |                      |
| <b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</b> |   |   |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-77SI - FIELDS, NATHAN<br>ACCOUNT #: 00085036998  | NEW WORLD FUND-A<br>BUY 0 Units @0.0000             | 0.00                 | 0.09                | 0.00               | 0.09              | 75.0 | 0.07                 |
| 03/01/2018   | ***-**-22SI - HANSLER, MARK<br>ACCOUNT #: 00086813966   | NEW WORLD FUND-A<br>BUY 0 Units @0.0000             | 0.00                 | 10.77               | 0.00               | 10.77             | 75.0 | 8.08                 |
| 03/12/2018   | ***-**-2069 - CORPORATION,<br>ACCOUNT #: 00058823519    | QUALIFIED PLAN SUMMARY<br>BUY 0 Units @0.0000       | 0.00                 | 1,601.41            | 0.00               | 1,601.41          | 75.0 | 1,201.07             |
| 03/01/2018   | ***-**-413I - MEADOWS, LAURA<br>ACCOUNT #: 00059771784  | SMALLCAP WORLD FUND-A<br>BUY 0 Units @0.0000        | 0.00                 | 15.72               | 0.00               | 15.72             | 75.0 | 11.79                |
| 03/01/2018   | ***-**-958I - NORMAND, ROBERT<br>ACCOUNT #: 00083288757 | SMALLCAP WORLD FUND-A<br>BUY 0 Units @0.0000        | 0.00                 | 0.02                | 0.00               | 0.02              | 75.0 | 0.02                 |
| 03/01/2018   | ***-**-4496 - HARRY, KIRK<br>ACCOUNT #: 00058823513     | THE BOND FUND OF AMERICA-A<br>BUY 0 Units @0.0000   | 0.00                 | 1.61                | 0.00               | 1.61              | 75.0 | 1.21                 |
| 03/01/2018   | ***-**-565P - NGUYEN, LINH<br>ACCOUNT #: 00061112419    | THE BOND FUND OF AMERICA-A<br>BUY 0 Units @0.0000   | 0.00                 | 0.03                | 0.00               | 0.03              | 75.0 | 0.02                 |
| 03/01/2018   | ***-**-705P - WALDER/SAR SEP,<br>ACCOUNT #: 00061278811 | THE BOND FUND OF AMERICA-A<br>BUY 0 Units @0.0000   | 0.00                 | 4.55                | 0.00               | 4.55              | 75.0 | 3.41                 |
| 03/01/2018   | ***-**-135P - MEADOWS, LAURA<br>ACCOUNT #: 00061278813  | THE BOND FUND OF AMERICA-A<br>BUY 0 Units @0.0000   | 0.00                 | 13.48               | 0.00               | 13.48             | 75.0 | 10.11                |
| 03/01/2018   | ***-**-225P - BRUSCO, ANN<br>ACCOUNT #: 00081807405     | THE BOND FUND OF AMERICA-A<br>BUY 0 Units @0.0000   | 0.00                 | 1.86                | 0.00               | 1.86              | 75.0 | 1.40                 |
| 03/01/2018   | ***-**-755P - HYETT, JANE<br>ACCOUNT #: 00081867407     | THE BOND FUND OF AMERICA-A<br>BUY 0 Units @0.0000   | 0.00                 | 1.20                | 0.00               | 1.20              | 75.0 | 0.90                 |
| 03/01/2018   | ***-**-935P - HEURISTICS INC<br>ACCOUNT #: 00058553023  | THE GROWTH FUND OF AMERICA-A<br>BUY 0 Units @0.0000 | 0.00                 | 1.14                | 0.00               | 1.14              | 75.0 | 0.86                 |
| 03/01/2018   | ***-**-935P - HEURISTICS INC<br>ACCOUNT #: 00058581743  | THE GROWTH FUND OF AMERICA-A<br>BUY 0 Units @0.0000 | 0.00                 | 0.70                | 0.00               | 0.70              | 75.0 | 0.53                 |
| 03/01/2018   | ***-**-935P - HEURISTICS INC<br>ACCOUNT #: 00058581745  | THE GROWTH FUND OF AMERICA-A<br>BUY 0 Units @0.0000 | 0.00                 | 0.09                | 0.00               | 0.09              | 75.0 | 0.07                 |
| 03/01/2018   | ***-**-4496 - HARRY, KIRK<br>ACCOUNT #: 00058823513     | THE GROWTH FUND OF AMERICA-A<br>BUY 0 Units @0.0000 | 0.00                 | 305.13              | 0.00               | 305.13            | 75.0 | 228.85               |
| 03/01/2018   | ***-**-3875 - HARRY, JOHN<br>ACCOUNT #: 00058823514     | THE GROWTH FUND OF AMERICA-A<br>BUY 0 Units @0.0000 | 0.00                 | 332.87              | 0.00               | 332.87            | 75.0 | 249.65               |



# COMMISSION STATEMENT

March 12, 2018

JEFFRY PROUL  
950 Glenn Drive  
Suite 100  
Folsom, CA 95630

BROKER #: 940  
BRANCH #01001 - LifeMark Home Office

| DATE   | CLIENT  | INVESTMENT  | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|--|---|---|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b>BROKER TRANSACTIONS (continued)</b>                       |   |   |                      |                     |                    |                   |      |                      |
| <b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</b> |   |   |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-9346 - KEY-BELL INC<br>ACCOUNT #: 00058823515    | THE GROWTH FUND OF AMERICA-A<br>BUY 0 Units @0.0000 | 0.00                 | 169.89              | 0.00               | 169.89            | 75.0 | 127.42               |
| 03/01/2018   | ***-**-935P - HEURISTICS INC<br>ACCOUNT #: 00058907003  | THE GROWTH FUND OF AMERICA-A<br>BUY 0 Units @0.0000 | 0.00                 | 0.31                | 0.00               | 0.31              | 75.0 | 0.23                 |
| 03/01/2018   | ***-**-965P -<br>ACCOUNT #: 00061083256                 | THE GROWTH FUND OF AMERICA-A<br>BUY 0 Units @0.0000 | 0.00                 | 0.42                | 0.00               | 0.42              | 75.0 | 0.32                 |
| 03/01/2018   | ***-**-345P - STEIN, EDWARD<br>ACCOUNT #: 00061083257   | THE GROWTH FUND OF AMERICA-A<br>BUY 0 Units @0.0000 | 0.00                 | 0.19                | 0.00               | 0.19              | 75.0 | 0.14                 |
| 03/01/2018   | ***-**-275P - JOYNES, BRYAN<br>ACCOUNT #: 00061112413   | THE GROWTH FUND OF AMERICA-A<br>BUY 0 Units @0.0000 | 0.00                 | 3.62                | 0.00               | 3.62              | 75.0 | 2.72                 |
| 03/01/2018   | ***-**-705P - WALDER/SAR SEP,<br>ACCOUNT #: 00061278811 | THE GROWTH FUND OF AMERICA-A<br>BUY 0 Units @0.0000 | 0.00                 | 13.47               | 0.00               | 13.47             | 75.0 | 10.10                |
| 03/01/2018   | ***-**-135P - MEADOWS, LAURA<br>ACCOUNT #: 00061278813  | THE GROWTH FUND OF AMERICA-A<br>BUY 0 Units @0.0000 | 0.00                 | 28.27               | 0.00               | 28.27             | 75.0 | 21.20                |
| 03/01/2018   | ***-**-2679 - BOWLAND, JOSEPH<br>ACCOUNT #: 00061960981 | THE GROWTH FUND OF AMERICA-A<br>BUY 0 Units @0.0000 | 0.00                 | 0.01                | 0.00               | 0.01              | 75.0 | 0.01                 |
| 03/01/2018   | ***-**-245P - KOHLS-RHODES,<br>ACCOUNT #: 00061960983   | THE GROWTH FUND OF AMERICA-A<br>BUY 0 Units @0.0000 | 0.00                 | 0.47                | 0.00               | 0.47              | 75.0 | 0.35                 |
| 03/01/2018   | ***-**-815P - DAPPER, DAVID<br>ACCOUNT #: 00062370074   | THE GROWTH FUND OF AMERICA-A<br>BUY 0 Units @0.0000 | 0.00                 | 28.03               | 0.00               | 28.03             | 75.0 | 21.02                |
| 03/01/2018   | ***-**-995P - MCFALL, JON<br>ACCOUNT #: 00062688487     | THE GROWTH FUND OF AMERICA-A<br>BUY 0 Units @0.0000 | 0.00                 | 1.08                | 0.00               | 1.08              | 75.0 | 0.81                 |
| 03/01/2018   | ***-**-7091 - ALBERS, KEN<br>ACCOUNT #: 00073447821     | THE GROWTH FUND OF AMERICA-A<br>BUY 0 Units @0.0000 | 0.00                 | 26.87               | 0.00               | 26.87             | 75.0 | 20.15                |
| 03/01/2018   | ***-**-885P - AVIS, ALAN<br>ACCOUNT #: 00073467959      | THE GROWTH FUND OF AMERICA-A<br>BUY 0 Units @0.0000 | 0.00                 | 1.92                | 0.00               | 1.92              | 75.0 | 1.44                 |
| 03/01/2018   | ***-**-405P - RODMAN, BRIAN<br>ACCOUNT #: 00073598244   | THE GROWTH FUND OF AMERICA-A<br>BUY 0 Units @0.0000 | 0.00                 | 11.38               | 0.00               | 11.38             | 75.0 | 8.54                 |
| 03/01/2018   | ***-**-115P - MONAHAN, JOHN<br>ACCOUNT #: 00074557583   | THE GROWTH FUND OF AMERICA-A<br>BUY 0 Units @0.0000 | 0.00                 | 2.88                | 0.00               | 2.88              | 75.0 | 2.16                 |
| 03/01/2018   | ***-**-645P - CALLES, LORIANN<br>ACCOUNT #: 00081807366 | THE GROWTH FUND OF AMERICA-A<br>BUY 0 Units @0.0000 | 0.00                 | 23.88               | 0.00               | 23.88             | 75.0 | 17.91                |



# COMMISSION STATEMENT

March 12, 2018

JEFFRY PROUL  
950 Glenn Drive  
Suite 100  
Folsom, CA 95630

BROKER #: 940  
BRANCH #01001 - LifeMark Home Office

| DATE   | CLIENT   | INVESTMENT   | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|--|--|--|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b>BROKER TRANSACTIONS (continued)</b>                       |  |  |                      |                     |                    |                   |      |                      |
| <b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</b> |  |  |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-755P - HYETT, JANE<br>ACCOUNT #: 00081807419      | THE GROWTH FUND OF AMERICA-A<br>BUY 0 Units @0.0000        | 0.00                 | 12.27               | 0.00               | 12.27             | 75.0 | 9.20                 |
| 03/01/2018   | ***-**-645P - CALLES, LORIANN<br>ACCOUNT #: 00081867382  | THE GROWTH FUND OF AMERICA-A<br>BUY 0 Units @0.0000        | 0.00                 | 16.29               | 0.00               | 16.29             | 75.0 | 12.22                |
| 03/01/2018   | ***-**-755P - HYETT, JANE<br>ACCOUNT #: 00081867407      | THE GROWTH FUND OF AMERICA-A<br>BUY 0 Units @0.0000        | 0.00                 | 10.19               | 0.00               | 10.19             | 75.0 | 7.64                 |
| 03/01/2018   | ***-**-985P - VALENZUELA,<br>ACCOUNT #: 00082094487      | THE GROWTH FUND OF AMERICA-A<br>BUY 0 Units @0.0000        | 0.00                 | 0.29                | 0.00               | 0.29              | 75.0 | 0.22                 |
| 03/01/2018   | ***-**-435P - SMITH, KATHLEEN<br>ACCOUNT #: 00082247630  | THE GROWTH FUND OF AMERICA-A<br>BUY 0 Units @0.0000        | 0.00                 | 0.21                | 0.00               | 0.21              | 75.0 | 0.16                 |
| 03/01/2018   | ***-**-673I - GEIGER, MAJOR<br>ACCOUNT #: 00083912625    | THE GROWTH FUND OF AMERICA-A<br>BUY 0 Units @0.0000        | 0.00                 | 62.91               | 0.00               | 62.91             | 75.0 | 47.18                |
| 03/01/2018   | ***-**-98SI - MILLER, JULIE<br>ACCOUNT #: 00086813940    | THE GROWTH FUND OF AMERICA-A<br>BUY 0 Units @0.0000        | 0.00                 | 5.73                | 0.00               | 5.73              | 75.0 | 4.30                 |
| 03/01/2018   | ***-**-46SI - HOFFMAN, JENEE<br>ACCOUNT #: 00086813983   | THE GROWTH FUND OF AMERICA-A<br>BUY 0 Units @0.0000        | 0.00                 | 1.28                | 0.00               | 1.28              | 75.0 | 0.96                 |
| 03/01/2018   | ***-**-22CL - PROUL, CLIENTS<br>ACCOUNT #: 00087554890   | THE GROWTH FUND OF AMERICA-A<br>BUY 0 Units @0.0000        | 0.00                 | 0.31                | 0.00               | 0.31              | 75.0 | 0.23                 |
| 03/01/2018   | ***-**-22CL - PROUL, CLIENTS<br>ACCOUNT #: 00087844237   | THE GROWTH FUND OF AMERICA-A<br>BUY 0 Units @0.0000        | 0.00                 | 4.80                | 0.00               | 4.80              | 75.0 | 3.60                 |
| 03/01/2018   | ***-**-3216 - CALKINS, MICHELE<br>ACCOUNT #: 00087973880 | THE GROWTH FUND OF AMERICA-A<br>BUY 0 Units @0.0000        | 0.00                 | 3.71                | 0.00               | 3.71              | 75.0 | 2.78                 |
| 03/01/2018   | ***-**-72SI - BLESTOS,<br>ACCOUNT #: 00088740779         | THE GROWTH FUND OF AMERICA-A<br>BUY 0 Units @0.0000        | 0.00                 | 5.00                | 0.00               | 5.00              | 75.0 | 3.75                 |
| 03/01/2018   | ***-**-413I - MEADOWS, LAURA<br>ACCOUNT #: 00059771784   | THE INCOME FUND OF AMERICA-A<br>BUY 0 Units @0.0000        | 0.00                 | 27.89               | 0.00               | 27.89             | 75.0 | 20.92                |
| 03/01/2018   | ***-**-72SI - BLESTOS,<br>ACCOUNT #: 00088740779         | THE INCOME FUND OF AMERICA-A<br>BUY 0 Units @0.0000        | 0.00                 | 1.90                | 0.00               | 1.90              | 75.0 | 1.43                 |
| 03/01/2018   | ***-**-72SI - BLESTOS,<br>ACCOUNT #: 00088740779         | THE INVESTMENT COMPANY OF AMERICA-A<br>BUY 0 Units @0.0000 | 0.00                 | 2.58                | 0.00               | 2.58              | 75.0 | 1.94                 |
| 03/01/2018   | ***-**-413I - MEADOWS, LAURA<br>ACCOUNT #: 00059771784   | THE NEW ECONOMY FUND-A<br>BUY 0 Units @0.0000              | 0.00                 | 31.16               | 0.00               | 31.16             | 75.0 | 23.37                |



# COMMISSION STATEMENT

March 12, 2018

JEFFRY PROUL  
950 Glenn Drive  
Suite 100  
Folsom, CA 95630

BROKER #: 940  
BRANCH #01001 - LifeMark Home Office

| DATE   | CLIENT   | INVESTMENT                         | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|--|--|------------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b>BROKER TRANSACTIONS (continued)</b>                       |  |                                    |                      |                     |                    |                   |      |                      |
| <b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</b> |  |                                    |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-673I - GEIGER, MAJOR                      | THE NEW ECONOMY FUND-A             | 0.00                 | 17.51               | 0.00               | 17.51             | 75.0 | 13.13                |
|  | ACCOUNT #: 00083912625                           | BUY 0 Units @0.0000                |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-185P - OWSTON, NICOLE                     | WASHINGTON MUTUAL INVESTORS FUND-A | 0.00                 | 3.82                | 0.00               | 3.82              | 75.0 | 2.87                 |
|  | ACCOUNT #: 00081514430                           | BUY 0 Units @0.0000                |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-673I - GEIGER, MAJOR                      | WASHINGTON MUTUAL INVESTORS FUND-A | 0.00                 | 54.32               | 0.00               | 54.32             | 75.0 | 40.74                |
|  | ACCOUNT #: 00083912625                           | BUY 0 Units @0.0000                |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-3216 - CALKINS, MICHELE                   | WASHINGTON MUTUAL INVESTORS FUND-A | 0.00                 | 3.42                | 0.00               | 3.42              | 75.0 | 2.57                 |
|  | ACCOUNT #: 00087973880                           | BUY 0 Units @0.0000                |                      |                     |                    |                   |      |                      |
|  | <b>* MUTUAL FUND 12B1 TRAILS SUBTOTAL *</b>      |                                    | <b>\$0.00</b>        | <b>\$3,998.65</b>   | <b>\$0.00</b>      | <b>\$3,998.65</b> |      | <b>\$2,999.17</b>    |
| <b>PRODUCT CATEGORY: VARIABLE ANNUITY 12B1 TRAILS</b>        |  |                                    |                      |                     |                    |                   |      |                      |
| 03/12/2018   | ***-**-7979 - CENTURY GROUP,                     | GREAT WEST VA TRAILS               | 0.00                 | 851.64              | 0.00               | 851.64            | 75.0 | 638.73               |
|  | ACCOUNT #: 936741                                | BUY 1 Units @0.0000                |                      |                     |                    |                   |      |                      |
| 03/12/2018   | ***-**-9797 - HALEY,                             | GREAT WEST VA TRAILS               | 0.00                 | 891.71              | 0.00               | 891.71            | 75.0 | 668.78               |
|  | ACCOUNT #: 934445                                | BUY 1 Units @0.0000                |                      |                     |                    |                   |      |                      |
| 03/12/2018   | ***-**-680K - CONSENSUS                          | QUALIFIED PLAN SUMMARY             | 0.00                 | 1,033.36            | 0.00               | 1,033.36          | 75.0 | 775.02               |
|  | ACCOUNT #: 331714                                | BUY 1 Units @0.0000                |                      |                     |                    |                   |      |                      |
|  | <b>* VARIABLE ANNUITY 12B1 TRAILS SUBTOTAL *</b> |                                    | <b>\$0.00</b>        | <b>\$2,776.71</b>   | <b>\$0.00</b>      | <b>\$2,776.71</b> |      | <b>\$2,082.53</b>    |
|  | <b>*** BROKER TRANSACTIONS TOTAL ***</b>         |                                    | <b>\$5,947.13</b>    | <b>\$6,834.82</b>   | <b>\$0.00</b>      | <b>\$6,834.82</b> |      | <b>\$5,126.31</b>    |



**BROKER #:** 940  
BRANCH #01001 - LifeMark Home Office

| DATE                                 | CLIENT | INVESTMENT | AMOUNT | GROSS COMMISSION      | CLEARING CHARGE   | NET COMMISSION | RATE | BROKER COMMISSION |
|--------------------------------------|--------|------------|--------|-----------------------|---|----------------|------|-------------------|
| <div>BROKER COMMISSION TOTALS</div>  |        |            |        |                       |   |                |      |                   |
|                                      |        |            |        | Broker Transactions   |   |                |      | \$3,992.45        |
|                                      |        |            |        | Split Transactions    |   |                |      | \$0.00            |
|                                      |        |            |        | Override Transactions |   |                |      | \$0.00            |
|                                      |        |            |        | Adjustments           |   |                |      | \$0.00            |
|                                      |        |            |        | Payroll Draw          |   |                |      | \$0.00            |
|                                      |        |            |        | Base Salary           |   |                |      | \$0.00            |
|                                      |        |            |        | Prior Period Balance  |   |                |      | \$0.00            |
|                                      |        |            |        | FINRA Assessment      |   |                |      | \$0.00            |
|                                      |        |            |        | SIPC Assessment       |   |                |      | \$0.00            |
| Please Retain for Your Records       |        |            |        |                       | <div>Balance Forward\$0.00</div> <div>Year-to-date Earnings\$0.00</div> |                |      |                   |
| THERE WILL BE NO PAYMENT THIS PERIOD |        |            |        |                       |   |                |      |                   |





# COMMISSION STATEMENT

March 12, 2018

MICHAEL RAY  
522 Killarney Street  
SUITE 2  
Billings, MT 59105

BROKER #: A02 Terminated 12/10/2013  
BRANCH #01001 - LifeMark Home Office

| DATE               | CLIENT | INVESTMENT                      | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|--------------------|--------|---------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b>ADJUSTMENTS</b> |        |                                 |                      |                     |                    |                   |      |                      |
| 03/07/2018         |        | PRIOR PERIOD BALANCE(SEE BELOW) | 0.00                 | 0.00                | 0.00               | 0.00              |      | 0.00                 |

|                           |        |        |        |        |        |
|---------------------------|--------|--------|--------|--------|--------|
| *** ADJUSTMENTS TOTAL *** | \$0.00 | \$0.00 | \$0.00 | \$0.00 | \$0.00 |
|---------------------------|--------|--------|--------|--------|--------|

## BROKER COMMISSION TOTALS

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

Please Retain for Your Records  
THERE WILL BE NO PAYMENT THIS PERIOD

|                       |        |
|-----------------------|--------|
| Balance Forward       | \$0.00 |
| Year-to-date Earnings | \$0.00 |



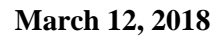
# COMMISSION STATEMENT

March 12, 2018

JOHN REED  
78284 Bovee Circle  
SUITE #101  
Palm Desert, CA 92211

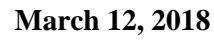
BROKER #: 995 Terminated 03/27/2017  
BRANCH #01001 - LifeMark Home Office

| DATE   | CLIENT | INVESTMENT                      | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|--|--------|---------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b><u>ADJUSTMENTS</u></b>  |        |                                 |                      |                     |                    |                   |      |                      |
| 03/07/2018   |        | PRIOR PERIOD BALANCE(SEE BELOW) | 0.00                 | 0.00                | 0.00               | 0.00              |      | 0.00                 |
|  |        | *** ADJUSTMENTS TOTAL ***       | <u>\$0.00</u>        | <u>\$0.00</u>       | <u>\$0.00</u>      | <u>\$0.00</u>     |      | <u>\$0.00</u>        |
| <b><u>BROKER COMMISSION TOTALS</u></b>                                 |        |                                 |                      |                     |                    |                   |      |                      |
|  |        | Broker Transactions             |                      |                     |                    |                   |      | \$0.00               |
|  |        | Split Transactions              |                      |                     |                    |                   |      | \$0.00               |
|  |        | Override Transactions           |                      |                     |                    |                   |      | \$0.00               |
|  |        | Adjustments                     |                      |                     |                    |                   |      | \$0.00               |
|  |        | Payroll Draw                    |                      |                     |                    |                   |      | \$0.00               |
|  |        | Base Salary                     |                      |                     |                    |                   |      | \$0.00               |
|  |        | Prior Period Balance            |                      |                     |                    |                   |      | \$0.00               |
|  |        | FINRA Assessment                |                      |                     |                    |                   |      | \$0.00               |
|  |        | SIPC Assessment                 |                      |                     |                    |                   |      | \$0.00               |
| Please Retain for Your Records<br>THERE WILL BE NO PAYMENT THIS PERIOD |        |                                 |                      |                     |                    |                   |      |                      |
|  |        | Balance Forward                 |                      |                     |                    |                   |      | <u>\$0.00</u>        |
|  |        | Year-to-date Earnings           |                      |                     |                    |                   |      | <u>\$0.00</u>        |



BROKER #: 570      Terminated 12/18/2008  
BRANCH #01001 - LifeMark Home Office

| DATE   | CLIENT | INVESTMENT                      | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE  | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION         |
|--|--------|---------------------------------|----------------------|---------------------|---|-------------------|------|------------------------------|
| <div>ADJUSTMENTS</div>   |        |                                 |                      |                     |   |                   |      |                              |
| 03/07/2018   |        | PRIOR PERIOD BALANCE(SEE BELOW) | 0.00                 | 0.00                | 0.00  | 0.00              |      | 0.00                         |
|  |        | *** ADJUSTMENTS TOTAL ***       | \$0.00               | \$0.00              | \$0.00  | \$0.00            |      | \$0.00                       |
| <div>BROKER COMMISSION TOTALS</div>                                    |        |                                 |                      |                     |   |                   |      |                              |
|  |        |                                 |                      |                     |   |                   |      | Broker Transactions \$0.00   |
|  |        |                                 |                      |                     |   |                   |      | Split Transactions \$0.00    |
|  |        |                                 |                      |                     |   |                   |      | Override Transactions \$0.00 |
|  |        |                                 |                      |                     |   |                   |      | Adjustments \$0.00           |
|  |        |                                 |                      |                     |   |                   |      | Payroll Draw \$0.00          |
|  |        |                                 |                      |                     |   |                   |      | Base Salary \$0.00           |
|  |        |                                 |                      |                     |   |                   |      | Prior Period Balance \$0.00  |
|  |        |                                 |                      |                     |   |                   |      | FINRA Assessment \$0.00      |
|  |        |                                 |                      |                     |   |                   |      | SIPC Assessment \$0.00       |
| Please Retain for Your Records<br>THERE WILL BE NO PAYMENT THIS PERIOD |        |                                 |                      |                     | <div><div>Balance Forward \$0.00</div><div>Year-to-date Earnings \$0.00</div></div> |                   |      |                              |



BROKER #: 936      Terminated 12/31/2010  
BRANCH #01001 - LifeMark Home Office

| DATE   | CLIENT | INVESTMENT                      | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE  | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION         |
|--|--------|---------------------------------|----------------------|---------------------|---|-------------------|------|------------------------------|
| <div>ADJUSTMENTS</div>   |        |                                 |                      |                     |   |                   |      |                              |
| 03/07/2018   |        | PRIOR PERIOD BALANCE(SEE BELOW) | 0.00                 | 0.00                | 0.00  | 0.00              |      | 0.00                         |
|  |        | *** ADJUSTMENTS TOTAL ***       | \$0.00               | \$0.00              | \$0.00  | \$0.00            |      | \$0.00                       |
| <div>BROKER COMMISSION TOTALS</div>                                    |        |                                 |                      |                     |   |                   |      |                              |
|  |        |                                 |                      |                     |   |                   |      | Broker Transactions \$0.00   |
|  |        |                                 |                      |                     |   |                   |      | Split Transactions \$0.00    |
|  |        |                                 |                      |                     |   |                   |      | Override Transactions \$0.00 |
|  |        |                                 |                      |                     |   |                   |      | Adjustments \$0.00           |
|  |        |                                 |                      |                     |   |                   |      | Payroll Draw \$0.00          |
|  |        |                                 |                      |                     |   |                   |      | Base Salary \$0.00           |
|  |        |                                 |                      |                     |   |                   |      | Prior Period Balance \$0.00  |
|  |        |                                 |                      |                     |   |                   |      | FINRA Assessment \$0.00      |
|  |        |                                 |                      |                     |   |                   |      | SIPC Assessment \$0.00       |
| Please Retain for Your Records<br>THERE WILL BE NO PAYMENT THIS PERIOD |        |                                 |                      |                     | <div><div>Balance Forward \$0.00</div><div>Year-to-date Earnings \$0.00</div></div> |                   |      |                              |



# COMMISSION STATEMENT

March 12, 2018

WESLEY ROWLANDS  
1033 East High Street  
Pottstown, PA 19464

BROKER #: A34  
BRANCH #01001 - LifeMark Home Office

| DATE   | CLIENT                      | INVESTMENT                    | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|--|-----------------------------|-------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b><u>BROKER TRANSACTIONS</u></b>                            |                             |                               |                      |                     |                    |                   |      |                      |
| <b><u>PRODUCT CATEGORY: VARIABLE ANNUITY 12B1 TRAILS</u></b> |                             |                               |                      |                     |                    |                   |      |                      |
| 02/13/2018   | ***--162I - MAGNA, PAUL     | TRS LANDMARK VARIABLE ANNUITY | 0.00                 | 159.04              | 0.00               | 159.04            | 60.0 | 95.42                |
|  | ACCOUNT #: 40005701LK8      | BUY 0 Units @0.0000           |                      |                     |                    |                   |      |                      |
| 02/13/2018   | ***--259I - MAGNA, JEANETTE | TRS LANDMARK VARIABLE ANNUITY | 0.00                 | 232.72              | 0.00               | 232.72            | 60.0 | 139.63               |
|  | ACCOUNT #: 40007346LK8      | BUY 0 Units @0.0000           |                      |                     |                    |                   |      |                      |
| * VARIABLE ANNUITY 12B1 TRAILS SUBTOTAL *                    |                             |                               | \$0.00               | \$391.76            | \$0.00             | \$391.76          |      | \$235.05             |
| *** BROKER TRANSACTIONS TOTAL ***                            |                             |                               | \$0.00               | \$391.76            | \$0.00             | \$391.76          |      | \$235.05             |

## **BROKER COMMISSION TOTALS**

|                       |          |
|-----------------------|----------|
| Broker Transactions   | \$235.05 |
| Split Transactions    | \$0.00   |
| Override Transactions | \$0.00   |
| Adjustments           | \$0.00   |
| Payroll Draw          | \$0.00   |
| Base Salary           | \$0.00   |
| Prior Period Balance  | \$0.00   |
| FINRA Assessment      | \$0.00   |
| SIPC Assessment       | \$0.00   |

Please Retain for Your Records  
THERE WILL BE NO PAYMENT THIS PERIOD

|                              |               |
|------------------------------|---------------|
| <b>Balance Forward</b>       | <b>\$0.00</b> |
| <b>Year-to-date Earnings</b> | <b>\$0.00</b> |



# COMMISSION STATEMENT

March 12, 2018

DWAYNE SCALES  
8627 SW Dakota Dr  
Tualatin, OR 97062

BROKER #: A60 Terminated 12/31/2015  
BRANCH #01001 - LifeMark Home Office

| DATE   | CLIENT | INVESTMENT                      | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION                |
|--|--------|---------------------------------|----------------------|---------------------|--------------------|-------------------|------|-------------------------------------|
| <b><u>ADJUSTMENTS</u></b>  |        |                                 |                      |                     |                    |                   |      |                                     |
| / /  |        | PRIOR PERIOD BALANCE(SEE BELOW) | 0.00                 | 0.00                | 0.00               | 0.00              |      | 0.00                                |
|  |        | *** ADJUSTMENTS TOTAL ***       | <u>\$0.00</u>        | <u>\$0.00</u>       | <u>\$0.00</u>      | <u>\$0.00</u>     |      | <u>\$0.00</u>                       |
| <b><u>BROKER COMMISSION TOTALS</u></b>                                 |        |                                 |                      |                     |                    |                   |      |                                     |
|  |        |                                 |                      |                     |                    |                   |      | Broker Transactions \$0.00          |
|  |        |                                 |                      |                     |                    |                   |      | Split Transactions \$0.00           |
|  |        |                                 |                      |                     |                    |                   |      | Override Transactions \$0.00        |
|  |        |                                 |                      |                     |                    |                   |      | Adjustments \$0.00                  |
|  |        |                                 |                      |                     |                    |                   |      | Payroll Draw \$0.00                 |
|  |        |                                 |                      |                     |                    |                   |      | Base Salary \$0.00                  |
|  |        |                                 |                      |                     |                    |                   |      | Prior Period Balance \$0.00         |
|  |        |                                 |                      |                     |                    |                   |      | FINRA Assessment \$0.00             |
|  |        |                                 |                      |                     |                    |                   |      | SIPC Assessment \$0.00              |
| Please Retain for Your Records<br>THERE WILL BE NO PAYMENT THIS PERIOD |        |                                 |                      |                     |                    |                   |      |                                     |
|  |        |                                 |                      |                     |                    |                   |      | <b>Balance Forward \$0.00</b>       |
|  |        |                                 |                      |                     |                    |                   |      | <b>Year-to-date Earnings \$0.00</b> |



BROKER #: 578      Terminated 12/31/2013  
BRANCH #01001 - LifeMark Home Office

| DATE   | CLIENT | INVESTMENT                      | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE  | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION         |                 |        |                       |        |
|--|--------|---------------------------------|----------------------|---------------------|---|-------------------|------|------------------------------|-----------------|--------|-----------------------|--------|
| <u>ADJUSTMENTS</u>   |        |                                 |                      |                     |   |                   |      |                              |                 |        |                       |        |
| 03/07/2018   |        | PRIOR PERIOD BALANCE(SEE BELOW) | 0.00                 | 0.00                | 0.00  | 0.00              |      | 0.00                         |                 |        |                       |        |
|  |        | *** ADJUSTMENTS TOTAL ***       | <u>\$0.00</u>        | <u>\$0.00</u>       | <u>\$0.00</u>   | <u>\$0.00</u>     |      | <u>\$0.00</u>                |                 |        |                       |        |
| <u>BROKER COMMISSION TOTALS</u>  |        |                                 |                      |                     |   |                   |      |                              |                 |        |                       |        |
|  |        |                                 |                      |                     |   |                   |      | Broker Transactions \$0.00   |                 |        |                       |        |
|  |        |                                 |                      |                     |   |                   |      | Split Transactions \$0.00    |                 |        |                       |        |
|  |        |                                 |                      |                     |   |                   |      | Override Transactions \$0.00 |                 |        |                       |        |
|  |        |                                 |                      |                     |   |                   |      | Adjustments \$0.00           |                 |        |                       |        |
|  |        |                                 |                      |                     |   |                   |      | Payroll Draw \$0.00          |                 |        |                       |        |
|  |        |                                 |                      |                     |   |                   |      | Base Salary \$0.00           |                 |        |                       |        |
|  |        |                                 |                      |                     |   |                   |      | Prior Period Balance \$0.00  |                 |        |                       |        |
|  |        |                                 |                      |                     |   |                   |      | FINRA Assessment \$0.00      |                 |        |                       |        |
|  |        |                                 |                      |                     |   |                   |      | SIPC Assessment \$0.00       |                 |        |                       |        |
| Please Retain for Your Records<br>THERE WILL BE NO PAYMENT THIS PERIOD |        |                                 |                      |                     | <table><tr><td>Balance Forward</td><td>\$0.00</td></tr><tr><td>Year-to-date Earnings</td><td>\$0.00</td></tr></table> |                   |      |                              | Balance Forward | \$0.00 | Year-to-date Earnings | \$0.00 |
| Balance Forward  | \$0.00 |                                 |                      |                     |   |                   |      |                              |                 |        |                       |        |
| Year-to-date Earnings  | \$0.00 |                                 |                      |                     |   |                   |      |                              |                 |        |                       |        |



# COMMISSION STATEMENT

March 12, 2018

STEVEN SCHOENBRUN  
175 Olde Half Day Rd.  
Suite 200  
Lincolnshire, IL 60069

BROKER #: 217  
BRANCH #01001 - LifeMark Home Office

| DATE  | CLIENT                         | INVESTMENT          | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|---|--------------------------------|---------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b><u>BROKER TRANSACTIONS</u></b>                       |                                |                     |                      |                     |                    |                   |      |                      |
| <b><u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u></b> |                                |                     |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-965P - WALTER, MICHAEL  | AMCAP FUND-A        | 0.00                 | 3.50                | 0.00               | 3.50              | 90.0 | 3.15                 |
|   | ACCOUNT #: 00064114510         | BUY 0 Units @0.0000 |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-299I - SHIBATA, CARLOS  | AMCAP FUND-A        | 0.00                 | 56.00               | 0.00               | 56.00             | 90.0 | 50.40                |
|   | ACCOUNT #: 00060952412         | BUY 0 Units @0.0000 |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-500I - HAMANO, JEAN     | AMCAP FUND-A        | 0.00                 | 213.53              | 0.00               | 213.53            | 90.0 | 192.18               |
|   | ACCOUNT #: 00061423904         | BUY 0 Units @0.0000 |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-492I - LEVIN, RICKY     | AMCAP FUND-A        | 0.00                 | 88.85               | 0.00               | 88.85             | 90.0 | 79.97                |
|   | ACCOUNT #: 00062404678         | BUY 0 Units @0.0000 |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-595P - RETALLICK, LANCE | AMCAP FUND-A        | 0.00                 | 83.43               | 0.00               | 83.43             | 90.0 | 75.09                |
|   | ACCOUNT #: 00062435967         | BUY 0 Units @0.0000 |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-365I - JACKSON, KARLA   | AMCAP FUND-A        | 0.00                 | 10.90               | 0.00               | 10.90             | 90.0 | 9.81                 |
|   | ACCOUNT #: 00062781825         | BUY 0 Units @0.0000 |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-905P - MORGAN, ALAN     | AMCAP FUND-A        | 0.00                 | 0.49                | 0.00               | 0.49              | 90.0 | 0.44                 |
|   | ACCOUNT #: 00063694037         | BUY 0 Units @0.0000 |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-775P - FLORES, FERNANDO | AMCAP FUND-A        | 0.00                 | 0.23                | 0.00               | 0.23              | 90.0 | 0.21                 |
|   | ACCOUNT #: 00063694039         | BUY 0 Units @0.0000 |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-65IN - JACKSON,         | AMCAP FUND-A        | 0.00                 | 52.71               | 0.00               | 52.71             | 90.0 | 47.44                |
|   | ACCOUNT #: 00064850415         | BUY 0 Units @0.0000 |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-295P - STOCK, GEOFFREY  | AMCAP FUND-A        | 0.00                 | 6.06                | 0.00               | 6.06              | 90.0 | 5.45                 |
|   | ACCOUNT #: 00066963398         | BUY 0 Units @0.0000 |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-285P - LESLEY, JOE      | AMCAP FUND-A        | 0.00                 | 2.26                | 0.00               | 2.26              | 90.0 | 2.03                 |
|   | ACCOUNT #: 00073280090         | BUY 0 Units @0.0000 |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-925P - GEISSLER, GRANT  | AMCAP FUND-A        | 0.00                 | 86.34               | 0.00               | 86.34             | 90.0 | 77.71                |
|   | ACCOUNT #: 00081274092         | BUY 0 Units @0.0000 |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-03IN - BERRINGTON,      | AMCAP FUND-A        | 0.00                 | 21.97               | 0.00               | 21.97             | 90.0 | 19.77                |
|   | ACCOUNT #: 00082134167         | BUY 0 Units @0.0000 |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-27UG - HAMANO, MICKEY   | AMCAP FUND-A        | 0.00                 | 9.80                | 0.00               | 9.80              | 90.0 | 8.82                 |
|   | ACCOUNT #: 00084677372         | BUY 0 Units @0.0000 |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-26UG - JACKSON,         | AMCAP FUND-A        | 0.00                 | 9.80                | 0.00               | 9.80              | 90.0 | 8.82                 |
|   | ACCOUNT #: 00084677451         | BUY 0 Units @0.0000 |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-545J - JACKSON,         | AMCAP FUND-A        | 0.00                 | 51.08               | 0.00               | 51.08             | 90.0 | 45.97                |
|   | ACCOUNT #: 00084700195         | BUY 0 Units @0.0000 |                      |                     |                    |                   |      |                      |





# COMMISSION STATEMENT

March 12, 2018

STEVEN SCHOENBRUN  
175 Olde Half Day Rd.  
Suite 200  
Lincolnshire, IL 60069

BROKER #: 217  
BRANCH #01001 - LifeMark Home Office

| DATE   | CLIENT                        | INVESTMENT          | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|--|-------------------------------|---------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b>BROKER TRANSACTIONS (continued)</b>                       |                               |                     |                      |                     |                    |                   |      |                      |
| <b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</b> |                               |                     |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-10SI - JOHNSON, JASON  | AMCAP FUND-A        | 0.00                 | 1.84                | 0.00               | 1.84              | 90.0 | 1.66                 |
|  | ACCOUNT #: 00085074304        | BUY 0 Units @0.0000 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-55UG - HAMANO, BRANDON | AMCAP FUND-A        | 0.00                 | 7.71                | 0.00               | 7.71              | 90.0 | 6.94                 |
|  | ACCOUNT #: 00085206204        | BUY 0 Units @0.0000 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-442I - GEISSLER, DIANE | AMCAP FUND-A        | 0.00                 | 21.20               | 0.00               | 21.20             | 90.0 | 19.08                |
|  | ACCOUNT #: 00085247111        | BUY 0 Units @0.0000 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-26TR - HAMANO TTEE,    | AMCAP FUND-A        | 0.00                 | 33.68               | 0.00               | 33.68             | 90.0 | 30.31                |
|  | ACCOUNT #: 00087163355        | BUY 0 Units @0.0000 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-167I - LAX LOW, JAANA  | AMCAP FUND-A        | 0.00                 | 51.85               | 0.00               | 51.85             | 90.0 | 46.67                |
|  | ACCOUNT #: 00087177160        | BUY 0 Units @0.0000 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-603I - BERRINGTON,     | AMCAP FUND-A        | 0.00                 | 3.64                | 0.00               | 3.64              | 90.0 | 3.28                 |
|  | ACCOUNT #: 00087334141        | BUY 0 Units @0.0000 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-36UT - HAMANO, MIA     | AMCAP FUND-A        | 0.00                 | 1.53                | 0.00               | 1.53              | 90.0 | 1.38                 |
|  | ACCOUNT #: 00087546075        | BUY 0 Units @0.0000 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-70UG - HAMANO, RACHEL  | AMCAP FUND-A        | 0.00                 | 33.62               | 0.00               | 33.62             | 90.0 | 30.26                |
|  | ACCOUNT #: 00087693744        | BUY 0 Units @0.0000 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-822I - ROSEN, KENDRA   | AMCAP FUND-A        | 0.00                 | 1.71                | 0.00               | 1.71              | 90.0 | 1.54                 |
|  | ACCOUNT #: 00088044721        | BUY 0 Units @0.0000 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-822I - ROSEN, KENDRA   | AMCAP FUND-A        | 0.00                 | 19.86               | 0.00               | 19.86             | 90.0 | 17.87                |
|  | ACCOUNT #: 00088044824        | BUY 0 Units @0.0000 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-570I - BIEGEL, MONICA  | AMCAP FUND-A        | 0.00                 | 0.87                | 0.00               | 0.87              | 90.0 | 0.78                 |
|  | ACCOUNT #: 00088062582        | BUY 0 Units @0.0000 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-886I - BIEGEL, JEFFREY | AMCAP FUND-A        | 0.00                 | 3.95                | 0.00               | 3.95              | 90.0 | 3.56                 |
|  | ACCOUNT #: 00088062912        | BUY 0 Units @0.0000 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-570I - BIEGEL, MONICA  | AMCAP FUND-A        | 0.00                 | 0.98                | 0.00               | 0.98              | 90.0 | 0.88                 |
|  | ACCOUNT #: 00088062945        | BUY 0 Units @0.0000 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-570I - BIEGEL, MONICA  | AMCAP FUND-A        | 0.00                 | 0.98                | 0.00               | 0.98              | 90.0 | 0.88                 |
|  | ACCOUNT #: 00088062971        | BUY 0 Units @0.0000 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-570I - BIEGEL, MONICA  | AMCAP FUND-A        | 0.00                 | 0.95                | 0.00               | 0.95              | 90.0 | 0.86                 |
|  | ACCOUNT #: 00088062992        | BUY 0 Units @0.0000 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-570I - BIEGEL, MONICA  | AMCAP FUND-A        | 0.00                 | 5.26                | 0.00               | 5.26              | 90.0 | 4.73                 |
|  | ACCOUNT #: 00088064708        | BUY 0 Units @0.0000 |                      |                     |                    |                   |      |                      |



# COMMISSION STATEMENT

March 12, 2018

STEVEN SCHOENBRUN  
175 Olde Half Day Rd.  
Suite 200  
Lincolnshire, IL 60069

BROKER #: 217  
BRANCH #01001 - LifeMark Home Office

| DATE   | CLIENT                         | INVESTMENT               | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|--|--------------------------------|--------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b>BROKER TRANSACTIONS (continued)</b>                       |                                |                          |                      |                     |                    |                   |      |                      |
| <b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</b> |                                |                          |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-073J - MASLAN, STEVEN   | AMCAP FUND-A             | 0.00                 | 16.86               | 0.00               | 16.86             | 90.0 | 15.17                |
|  | ACCOUNT #: 00088079602         | BUY 0 Units @0.0000      |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-195P - SCHMIDT, MICHAEL | AMCAP FUND-A             | 0.00                 | 14.40               | 0.00               | 14.40             | 90.0 | 12.96                |
|  | ACCOUNT #: 00088118744         | BUY 0 Units @0.0000      |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-271J - DAVIDSON, ROBERT | AMCAP FUND-A             | 0.00                 | 15.73               | 0.00               | 15.73             | 90.0 | 14.16                |
|  | ACCOUNT #: 00088199427         | BUY 0 Units @0.0000      |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-365I - JACKSON, KARLA   | AMCAP FUND-A             | 0.00                 | 2.45                | 0.00               | 2.45              | 90.0 | 2.21                 |
|  | ACCOUNT #: 00088470071         | BUY 0 Units @0.0000      |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-470J - BRADY, RACHEL    | AMCAP FUND-A             | 0.00                 | 2.58                | 0.00               | 2.58              | 90.0 | 2.32                 |
|  | ACCOUNT #: 00088496937         | BUY 0 Units @0.0000      |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-470J - BRADY, RACHEL    | AMCAP FUND-A             | 0.00                 | 11.73               | 0.00               | 11.73             | 90.0 | 10.56                |
|  | ACCOUNT #: 00088506996         | BUY 0 Units @0.0000      |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-3032 - RUFF TRUST,      | AMCAP FUND-A             | 0.00                 | 33.07               | 0.00               | 33.07             | 90.0 | 29.76                |
|  | ACCOUNT #: 00088603402         | BUY 0 Units @0.0000      |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-6745 - MERIT            | AMCAP FUND-R3            | 0.00                 | 125.36              | 0.00               | 125.36            | 90.0 | 112.82               |
|  | ACCOUNT #: 00069437322         | BUY 0 Units @0.0000      |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-841I - QUANTUM GLOBAL,  | AMCAP FUND-R3            | 0.00                 | 58.73               | 0.00               | 58.73             | 90.0 | 52.86                |
|  | ACCOUNT #: 00089113446         | BUY 0 Units @0.0000      |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-1748 - SOHO CONSULTING  | AMCAP FUND-R3            | 0.00                 | 27.84               | 0.00               | 27.84             | 90.0 | 25.06                |
|  | ACCOUNT #: 04000435907         | BUY 0 Units @0.0000      |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-9213 - T.K.T.           | AMCAP FUND-R4            | 0.00                 | 84.02               | 0.00               | 84.02             | 90.0 | 75.62                |
|  | ACCOUNT #: 00088205270         | BUY 0 Units @0.0000      |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-5733 - SHEPARD          | AMCAP FUND-R4            | 0.00                 | 30.82               | 0.00               | 30.82             | 90.0 | 27.74                |
|  | ACCOUNT #: 00089983723         | BUY 0 Units @0.0000      |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-92IN - SCHATZ, MICHAEL  | AMERICAN BALANCED FUND-A | 0.00                 | 0.29                | 0.00               | 0.29              | 90.0 | 0.26                 |
|  | ACCOUNT #: 00059581428         | BUY 0 Units @0.0000      |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-299I - SHIBATA, CARLOS  | AMERICAN BALANCED FUND-A | 0.00                 | 75.25               | 0.00               | 75.25             | 90.0 | 67.73                |
|  | ACCOUNT #: 00060952412         | BUY 0 Units @0.0000      |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-500I - HAMANO, JEAN     | AMERICAN BALANCED FUND-A | 0.00                 | 196.09              | 0.00               | 196.09            | 90.0 | 176.48               |
|  | ACCOUNT #: 00061423904         | BUY 0 Units @0.0000      |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-23TR - BARRAD, ROCHELLE | AMERICAN BALANCED FUND-A | 0.00                 | 162.66              | 0.00               | 162.66            | 90.0 | 146.39               |
|  | ACCOUNT #: 00061679998         | BUY 0 Units @0.0000      |                      |                     |                    |                   |      |                      |



# COMMISSION STATEMENT

March 12, 2018

STEVEN SCHOENBRUN  
175 Olde Half Day Rd.  
Suite 200  
Lincolnshire, IL 60069

BROKER #: 217  
BRANCH #01001 - LifeMark Home Office

| DATE   | CLIENT                         | INVESTMENT               | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|--|--------------------------------|--------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b>BROKER TRANSACTIONS (continued)</b>                       |                                |                          |                      |                     |                    |                   |      |                      |
| <b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</b> |                                |                          |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-99TR - SHIBATA, CARLOS  | AMERICAN BALANCED FUND-A | 0.00                 | 133.13              | 0.00               | 133.13            | 90.0 | 119.82               |
|  | ACCOUNT #: 00061753986         | BUY 0 Units @0.0000      |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-492I - LEVIN, RICKY     | AMERICAN BALANCED FUND-A | 0.00                 | 35.39               | 0.00               | 35.39             | 90.0 | 31.85                |
|  | ACCOUNT #: 00062404678         | BUY 0 Units @0.0000      |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-61IN - HAMANO, CLAYTON  | AMERICAN BALANCED FUND-A | 0.00                 | 10.69               | 0.00               | 10.69             | 90.0 | 9.62                 |
|  | ACCOUNT #: 00062664398         | BUY 0 Units @0.0000      |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-089J - HAMANO, MICKEY & | AMERICAN BALANCED FUND-A | 0.00                 | 62.44               | 0.00               | 62.44             | 90.0 | 56.20                |
|  | ACCOUNT #: 00062704962         | BUY 0 Units @0.0000      |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-365I - JACKSON, KARLA   | AMERICAN BALANCED FUND-A | 0.00                 | 9.43                | 0.00               | 9.43              | 90.0 | 8.49                 |
|  | ACCOUNT #: 00062781825         | BUY 0 Units @0.0000      |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-261I - HAMANO, CLAYTON  | AMERICAN BALANCED FUND-A | 0.00                 | 8.47                | 0.00               | 8.47              | 90.0 | 7.62                 |
|  | ACCOUNT #: 00063189957         | BUY 0 Units @0.0000      |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-735P - ZACARIAS, JOSE   | AMERICAN BALANCED FUND-A | 0.00                 | 0.02                | 0.00               | 0.02              | 90.0 | 0.02                 |
|  | ACCOUNT #: 00063611435         | BUY 0 Units @0.0000      |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-65IN - JACKSON,         | AMERICAN BALANCED FUND-A | 0.00                 | 34.65               | 0.00               | 34.65             | 90.0 | 31.19                |
|  | ACCOUNT #: 00064850415         | BUY 0 Units @0.0000      |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-58IN - HAMANO,          | AMERICAN BALANCED FUND-A | 0.00                 | 3.21                | 0.00               | 3.21              | 90.0 | 2.89                 |
|  | ACCOUNT #: 00066918565         | BUY 0 Units @0.0000      |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-295P - STOCK, GEOFFREY  | AMERICAN BALANCED FUND-A | 0.00                 | 5.18                | 0.00               | 5.18              | 90.0 | 4.66                 |
|  | ACCOUNT #: 00066963398         | BUY 0 Units @0.0000      |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-865P - BERRINGTON,      | AMERICAN BALANCED FUND-A | 0.00                 | 32.78               | 0.00               | 32.78             | 90.0 | 29.50                |
|  | ACCOUNT #: 00067233928         | BUY 0 Units @0.0000      |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-03IN - HAMANO,          | AMERICAN BALANCED FUND-A | 0.00                 | 159.78              | 0.00               | 159.78            | 90.0 | 143.80               |
|  | ACCOUNT #: 00067286247         | BUY 0 Units @0.0000      |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-915P - SHERMAN, MYRNA   | AMERICAN BALANCED FUND-A | 0.00                 | 23.33               | 0.00               | 23.33             | 90.0 | 21.00                |
|  | ACCOUNT #: 00068166485         | BUY 0 Units @0.0000      |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-835P - FELIX, GUSTAVO   | AMERICAN BALANCED FUND-A | 0.00                 | 3.12                | 0.00               | 3.12              | 90.0 | 2.81                 |
|  | ACCOUNT #: 00068387567         | BUY 0 Units @0.0000      |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-705P - FAJARDO, WANDA   | AMERICAN BALANCED FUND-A | 0.00                 | 6.90                | 0.00               | 6.90              | 90.0 | 6.21                 |
|  | ACCOUNT #: 00073280036         | BUY 0 Units @0.0000      |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-915P - FRIZZELLE,       | AMERICAN BALANCED FUND-A | 0.00                 | 0.40                | 0.00               | 0.40              | 90.0 | 0.36                 |
|  | ACCOUNT #: 00073280056         | BUY 0 Units @0.0000      |                      |                     |                    |                   |      |                      |



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| DATE   | CLIENT                        | INVESTMENT               | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|--|-------------------------------|--------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b>BROKER TRANSACTIONS (continued)</b>                       |                               |                          |                      |                     |                    |                   |      |                      |
| <b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</b> |                               |                          |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-925P - GEISSLER, GRANT | AMERICAN BALANCED FUND-A | 0.00                 | 80.40               | 0.00               | 80.40             | 90.0 | 72.36                |
|  | ACCOUNT #: 00081274092        | BUY 0 Units @0.0000      |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-03IN - BERRINGTON,     | AMERICAN BALANCED FUND-A | 0.00                 | 61.21               | 0.00               | 61.21             | 90.0 | 55.09                |
|  | ACCOUNT #: 00082134167        | BUY 0 Units @0.0000      |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-603I - BERRINGTON,     | AMERICAN BALANCED FUND-A | 0.00                 | 129.14              | 0.00               | 129.14            | 90.0 | 116.23               |
|  | ACCOUNT #: 00082694764        | BUY 0 Units @0.0000      |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-21IN - ONDRULA, DAVID  | AMERICAN BALANCED FUND-A | 0.00                 | 48.06               | 0.00               | 48.06             | 90.0 | 43.25                |
|  | ACCOUNT #: 00084567285        | BUY 0 Units @0.0000      |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-27UG - HAMANO, MICKEY  | AMERICAN BALANCED FUND-A | 0.00                 | 8.22                | 0.00               | 8.22              | 90.0 | 7.40                 |
|  | ACCOUNT #: 00084677372        | BUY 0 Units @0.0000      |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-26UG - JACKSON,        | AMERICAN BALANCED FUND-A | 0.00                 | 8.22                | 0.00               | 8.22              | 90.0 | 7.40                 |
|  | ACCOUNT #: 00084677451        | BUY 0 Units @0.0000      |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-55UG - HAMANO, BRANDON | AMERICAN BALANCED FUND-A | 0.00                 | 7.60                | 0.00               | 7.60              | 90.0 | 6.84                 |
|  | ACCOUNT #: 00085206204        | BUY 0 Units @0.0000      |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-442I - GEISSLER, DIANE | AMERICAN BALANCED FUND-A | 0.00                 | 19.75               | 0.00               | 19.75             | 90.0 | 17.78                |
|  | ACCOUNT #: 00085247111        | BUY 0 Units @0.0000      |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-609I - FISHMAN, ROSS   | AMERICAN BALANCED FUND-A | 0.00                 | 27.06               | 0.00               | 27.06             | 90.0 | 24.35                |
|  | ACCOUNT #: 00085991892        | BUY 0 Units @0.0000      |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-26TR - HAMANO TTEE,    | AMERICAN BALANCED FUND-A | 0.00                 | 21.55               | 0.00               | 21.55             | 90.0 | 19.40                |
|  | ACCOUNT #: 00087163355        | BUY 0 Units @0.0000      |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-167I - LAX LOW, JAANA  | AMERICAN BALANCED FUND-A | 0.00                 | 51.02               | 0.00               | 51.02             | 90.0 | 45.92                |
|  | ACCOUNT #: 00087177160        | BUY 0 Units @0.0000      |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-787I - SYRJA, JOUNI    | AMERICAN BALANCED FUND-A | 0.00                 | 28.04               | 0.00               | 28.04             | 90.0 | 25.24                |
|  | ACCOUNT #: 00087188685        | BUY 0 Units @0.0000      |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-36UT - HAMANO, MIA     | AMERICAN BALANCED FUND-A | 0.00                 | 1.33                | 0.00               | 1.33              | 90.0 | 1.20                 |
|  | ACCOUNT #: 00087546075        | BUY 0 Units @0.0000      |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-822I - ROSEN, KENDRA   | AMERICAN BALANCED FUND-A | 0.00                 | 0.80                | 0.00               | 0.80              | 90.0 | 0.72                 |
|  | ACCOUNT #: 00088044721        | BUY 0 Units @0.0000      |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-822I - ROSEN, KENDRA   | AMERICAN BALANCED FUND-A | 0.00                 | 13.96               | 0.00               | 13.96             | 90.0 | 12.56                |
|  | ACCOUNT #: 00088044824        | BUY 0 Units @0.0000      |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-570I - BIEGEL, MONICA  | AMERICAN BALANCED FUND-A | 0.00                 | 0.82                | 0.00               | 0.82              | 90.0 | 0.74                 |
|  | ACCOUNT #: 00088062582        | BUY 0 Units @0.0000      |                      |                     |                    |                   |      |                      |



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|--|--------------------------------|-------------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b>BROKER TRANSACTIONS (continued)</b>                       |                                |                                     |                      |                     |                    |                   |      |                      |
| <b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</b> |                                |                                     |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-886I - BIEGEL, JEFFREY  | AMERICAN BALANCED FUND-A            | 0.00                 | 3.73                | 0.00               | 3.73              | 90.0 | 3.36                 |
|  | ACCOUNT #: 00088062912         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-570I - BIEGEL, MONICA   | AMERICAN BALANCED FUND-A            | 0.00                 | 0.93                | 0.00               | 0.93              | 90.0 | 0.84                 |
|  | ACCOUNT #: 00088062945         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-570I - BIEGEL, MONICA   | AMERICAN BALANCED FUND-A            | 0.00                 | 0.93                | 0.00               | 0.93              | 90.0 | 0.84                 |
|  | ACCOUNT #: 00088062971         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-570I - BIEGEL, MONICA   | AMERICAN BALANCED FUND-A            | 0.00                 | 0.88                | 0.00               | 0.88              | 90.0 | 0.79                 |
|  | ACCOUNT #: 00088062992         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-570I - BIEGEL, MONICA   | AMERICAN BALANCED FUND-A            | 0.00                 | 4.91                | 0.00               | 4.91              | 90.0 | 4.42                 |
|  | ACCOUNT #: 00088064708         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-073J - MASLAN, STEVEN   | AMERICAN BALANCED FUND-A            | 0.00                 | 26.03               | 0.00               | 26.03             | 90.0 | 23.43                |
|  | ACCOUNT #: 00088079602         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-195P - SCHMIDT, MICHAEL | AMERICAN BALANCED FUND-A            | 0.00                 | 46.49               | 0.00               | 46.49             | 90.0 | 41.84                |
|  | ACCOUNT #: 00088118744         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-271J - DAVIDSON, ROBERT | AMERICAN BALANCED FUND-A            | 0.00                 | 42.79               | 0.00               | 42.79             | 90.0 | 38.51                |
|  | ACCOUNT #: 00088199427         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-3032 - RUFF TRUST,      | AMERICAN BALANCED FUND-A            | 0.00                 | 93.92               | 0.00               | 93.92             | 90.0 | 84.53                |
|  | ACCOUNT #: 00088603402         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-6745 - MERIT            | AMERICAN BALANCED FUND-R3           | 0.00                 | 116.91              | 0.00               | 116.91            | 90.0 | 105.22               |
|  | ACCOUNT #: 00069437322         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-841I - QUANTUM GLOBAL,  | AMERICAN BALANCED FUND-R3           | 0.00                 | 90.72               | 0.00               | 90.72             | 90.0 | 81.65                |
|  | ACCOUNT #: 00089113446         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-1748 - SOHO CONSULTING  | AMERICAN BALANCED FUND-R3           | 0.00                 | 26.66               | 0.00               | 26.66             | 90.0 | 23.99                |
|  | ACCOUNT #: 04000435907         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-9213 - T.K.T.           | AMERICAN BALANCED FUND-R4           | 0.00                 | 94.76               | 0.00               | 94.76             | 90.0 | 85.28                |
|  | ACCOUNT #: 00088205270         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-5733 - SHEPARD          | AMERICAN BALANCED FUND-R4           | 0.00                 | 87.02               | 0.00               | 87.02             | 90.0 | 78.32                |
|  | ACCOUNT #: 00089983723         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-3032 - RUFF TRUST,      | AMERICAN DEVELOPING WRLD GRWTH & IN | 0.00                 | 22.60               | 0.00               | 22.60             | 90.0 | 20.34                |
|  | ACCOUNT #: 00088603402         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-5733 - SHEPARD          | AMERICAN FUNDS MORTGAGE FUND-R4     | 0.00                 | 25.89               | 0.00               | 25.89             | 90.0 | 23.30                |
|  | ACCOUNT #: 00089983723         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |



# COMMISSION STATEMENT

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|--|---|---|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b>BROKER TRANSACTIONS (continued)</b>                       |   |   |                      |                     |                    |                   |      |                      |
| <b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</b> |   |   |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-492I - LEVIN, RICKY<br>ACCOUNT #: 00062404678    | AMERICAN GLOBAL BALANCED CLASS A<br>BUY 0 Units @0.0000 | 0.00                 | 21.03               | 0.00               | 21.03             | 90.0 | 18.93                |
| 03/01/2018   | ***-**-26TR - HAMANO TTEE,<br>ACCOUNT #: 00087163355    | AMERICAN GLOBAL BALANCED CLASS A<br>BUY 0 Units @0.0000 | 0.00                 | 11.59               | 0.00               | 11.59             | 90.0 | 10.43                |
| 03/01/2018   | ***-**-787I - SYRJA, JOUNI<br>ACCOUNT #: 00087188685    | AMERICAN GLOBAL BALANCED CLASS A<br>BUY 0 Units @0.0000 | 0.00                 | 19.26               | 0.00               | 19.26             | 90.0 | 17.33                |
| 03/01/2018   | ***-**-3032 - RUFF TRUST,<br>ACCOUNT #: 00088603402     | AMERICAN GLOBAL BALANCED CLASS A<br>BUY 0 Units @0.0000 | 0.00                 | 43.59               | 0.00               | 43.59             | 90.0 | 39.23                |
| 03/01/2018   | ***-**-695P - HEURING,<br>ACCOUNT #: 00073816154        | AMERICAN HIGH-INCOME TRUST-A<br>BUY 0 Units @0.0000     | 0.00                 | 0.71                | 0.00               | 0.71              | 90.0 | 0.64                 |
| 03/01/2018   | ***-**-500I - HAMANO, JEAN<br>ACCOUNT #: 00061423904    | AMERICAN MORTGAGE FUND CL A<br>BUY 0 Units @0.0000      | 0.00                 | 42.16               | 0.00               | 42.16             | 90.0 | 37.94                |
| 03/01/2018   | ***-**-603I - BERRINGTON,<br>ACCOUNT #: 00082694764     | AMERICAN MORTGAGE FUND CL A<br>BUY 0 Units @0.0000      | 0.00                 | 16.85               | 0.00               | 16.85             | 90.0 | 15.17                |
| 03/01/2018   | ***-**-167I - LAX LOW, JAANA<br>ACCOUNT #: 00087177160  | AMERICAN MORTGAGE FUND CL A<br>BUY 0 Units @0.0000      | 0.00                 | 16.72               | 0.00               | 16.72             | 90.0 | 15.05                |
| 03/01/2018   | ***-**-603I - BERRINGTON,<br>ACCOUNT #: 00087334141     | AMERICAN MORTGAGE FUND CL A<br>BUY 0 Units @0.0000      | 0.00                 | 3.05                | 0.00               | 3.05              | 90.0 | 2.75                 |
| 03/01/2018   | ***-**-570I - BIEGEL, MONICA<br>ACCOUNT #: 00088062582  | AMERICAN MORTGAGE FUND CL A<br>BUY 0 Units @0.0000      | 0.00                 | 4.70                | 0.00               | 4.70              | 90.0 | 4.23                 |
| 03/01/2018   | ***-**-886I - BIEGEL, JEFFREY<br>ACCOUNT #: 00088062912 | AMERICAN MORTGAGE FUND CL A<br>BUY 0 Units @0.0000      | 0.00                 | 16.74               | 0.00               | 16.74             | 90.0 | 15.07                |
| 03/01/2018   | ***-**-570I - BIEGEL, MONICA<br>ACCOUNT #: 00088062945  | AMERICAN MORTGAGE FUND CL A<br>BUY 0 Units @0.0000      | 0.00                 | 4.26                | 0.00               | 4.26              | 90.0 | 3.83                 |
| 03/01/2018   | ***-**-570I - BIEGEL, MONICA<br>ACCOUNT #: 00088062971  | AMERICAN MORTGAGE FUND CL A<br>BUY 0 Units @0.0000      | 0.00                 | 4.26                | 0.00               | 4.26              | 90.0 | 3.83                 |
| 03/01/2018   | ***-**-570I - BIEGEL, MONICA<br>ACCOUNT #: 00088062992  | AMERICAN MORTGAGE FUND CL A<br>BUY 0 Units @0.0000      | 0.00                 | 3.97                | 0.00               | 3.97              | 90.0 | 3.57                 |
| 03/01/2018   | ***-**-570I - BIEGEL, MONICA<br>ACCOUNT #: 00088064708  | AMERICAN MORTGAGE FUND CL A<br>BUY 0 Units @0.0000      | 0.00                 | 21.98               | 0.00               | 21.98             | 90.0 | 19.78                |
| 03/01/2018   | ***-**-073J - MASLAN, STEVEN<br>ACCOUNT #: 00088079602  | AMERICAN MORTGAGE FUND CL A<br>BUY 0 Units @0.0000      | 0.00                 | 15.94               | 0.00               | 15.94             | 90.0 | 14.35                |



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| DATE   | CLIENT                         | INVESTMENT                  | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|--|--------------------------------|-----------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b>BROKER TRANSACTIONS (continued)</b>                       |                                |                             |                      |                     |                    |                   |      |                      |
| <b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</b> |                                |                             |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-195P - SCHMIDT, MICHAEL | AMERICAN MORTGAGE FUND CL A | 0.00                 | 18.81               | 0.00               | 18.81             | 90.0 | 16.93                |
|  | ACCOUNT #: 00088118744         | BUY 0 Units @0.0000         |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-271J - DAVIDSON, ROBERT | AMERICAN MORTGAGE FUND CL A | 0.00                 | 8.43                | 0.00               | 8.43              | 90.0 | 7.59                 |
|  | ACCOUNT #: 00088199427         | BUY 0 Units @0.0000         |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-3032 - RUFF TRUST,      | AMERICAN MORTGAGE FUND CL A | 0.00                 | 31.85               | 0.00               | 31.85             | 90.0 | 28.67                |
|  | ACCOUNT #: 00088603402         | BUY 0 Units @0.0000         |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-299I - SHIBATA, CARLOS  | AMERICAN MUTUAL FUND-A      | 0.00                 | 51.11               | 0.00               | 51.11             | 90.0 | 46.00                |
|  | ACCOUNT #: 00060952412         | BUY 0 Units @0.0000         |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-99TR - SHIBATA, CARLOS  | AMERICAN MUTUAL FUND-A      | 0.00                 | 89.16               | 0.00               | 89.16             | 90.0 | 80.24                |
|  | ACCOUNT #: 00061753986         | BUY 0 Units @0.0000         |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-492I - LEVIN, RICKY     | AMERICAN MUTUAL FUND-A      | 0.00                 | 86.82               | 0.00               | 86.82             | 90.0 | 78.14                |
|  | ACCOUNT #: 00062404678         | BUY 0 Units @0.0000         |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-365P - BECKER, MICHAEL  | AMERICAN MUTUAL FUND-A      | 0.00                 | 34.61               | 0.00               | 34.61             | 90.0 | 31.15                |
|  | ACCOUNT #: 00062435957         | BUY 0 Units @0.0000         |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-487P - ROBINSON, DENISE | AMERICAN MUTUAL FUND-A      | 0.00                 | 3.98                | 0.00               | 3.98              | 90.0 | 3.58                 |
|  | ACCOUNT #: 00064253336         | BUY 0 Units @0.0000         |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-10SI - JOHNSON, JASON   | AMERICAN MUTUAL FUND-A      | 0.00                 | 1.96                | 0.00               | 1.96              | 90.0 | 1.76                 |
|  | ACCOUNT #: 00085074304         | BUY 0 Units @0.0000         |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-26TR - HAMANO TTEE,     | AMERICAN MUTUAL FUND-A      | 0.00                 | 22.88               | 0.00               | 22.88             | 90.0 | 20.59                |
|  | ACCOUNT #: 00087163355         | BUY 0 Units @0.0000         |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-822I - ROSEN, KENDRA    | AMERICAN MUTUAL FUND-A      | 0.00                 | 1.69                | 0.00               | 1.69              | 90.0 | 1.52                 |
|  | ACCOUNT #: 00088044721         | BUY 0 Units @0.0000         |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-822I - ROSEN, KENDRA    | AMERICAN MUTUAL FUND-A      | 0.00                 | 19.22               | 0.00               | 19.22             | 90.0 | 17.30                |
|  | ACCOUNT #: 00088044824         | BUY 0 Units @0.0000         |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-195P - SCHMIDT, MICHAEL | AMERICAN MUTUAL FUND-A      | 0.00                 | 48.65               | 0.00               | 48.65             | 90.0 | 43.79                |
|  | ACCOUNT #: 00088118744         | BUY 0 Units @0.0000         |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-92IN - SCHATZ, MICHAEL  | CAPITAL INCOME BUILDER-A    | 0.00                 | 0.25                | 0.00               | 0.25              | 90.0 | 0.23                 |
|  | ACCOUNT #: 00059581428         | BUY 0 Units @0.0000         |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-299I - SHIBATA, CARLOS  | CAPITAL INCOME BUILDER-A    | 0.00                 | 93.49               | 0.00               | 93.49             | 90.0 | 84.14                |
|  | ACCOUNT #: 00060952412         | BUY 0 Units @0.0000         |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-23TR - BARRAD, ROCHELLE | CAPITAL INCOME BUILDER-A    | 0.00                 | 213.21              | 0.00               | 213.21            | 90.0 | 191.89               |
|  | ACCOUNT #: 00061679998         | BUY 0 Units @0.0000         |                      |                     |                    |                   |      |                      |



# COMMISSION STATEMENT

March 12, 2018

STEVEN SCHOENBRUN  
175 Olde Half Day Rd.  
Suite 200  
Lincolnshire, IL 60069

BROKER #: 217  
BRANCH #01001 - LifeMark Home Office

| DATE   | CLIENT                         | INVESTMENT               | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|--|--------------------------------|--------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b>BROKER TRANSACTIONS (continued)</b>                       |                                |                          |                      |                     |                    |                   |      |                      |
| <b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</b> |                                |                          |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-99TR - SHIBATA, CARLOS  | CAPITAL INCOME BUILDER-A | 0.00                 | 77.22               | 0.00               | 77.22             | 90.0 | 69.50                |
|  | ACCOUNT #: 00061753986         | BUY 0 Units @0.0000      |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-492I - LEVIN, RICKY     | CAPITAL INCOME BUILDER-A | 0.00                 | 61.24               | 0.00               | 61.24             | 90.0 | 55.12                |
|  | ACCOUNT #: 00062404678         | BUY 0 Units @0.0000      |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-865P - BRESER, JAMES    | CAPITAL INCOME BUILDER-A | 0.00                 | 5.23                | 0.00               | 5.23              | 90.0 | 4.71                 |
|  | ACCOUNT #: 00062435960         | BUY 0 Units @0.0000      |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-725P - HOSTETLER,       | CAPITAL INCOME BUILDER-A | 0.00                 | 35.03               | 0.00               | 35.03             | 90.0 | 31.53                |
|  | ACCOUNT #: 00062435962         | BUY 0 Units @0.0000      |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-61IN - HAMANO, CLAYTON  | CAPITAL INCOME BUILDER-A | 0.00                 | 10.98               | 0.00               | 10.98             | 90.0 | 9.88                 |
|  | ACCOUNT #: 00062664398         | BUY 0 Units @0.0000      |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-089J - HAMANO, MICKEY & | CAPITAL INCOME BUILDER-A | 0.00                 | 175.03              | 0.00               | 175.03            | 90.0 | 157.53               |
|  | ACCOUNT #: 00062704962         | BUY 0 Units @0.0000      |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-365I - JACKSON, KARLA   | CAPITAL INCOME BUILDER-A | 0.00                 | 15.22               | 0.00               | 15.22             | 90.0 | 13.70                |
|  | ACCOUNT #: 00062781825         | BUY 0 Units @0.0000      |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-261I - HAMANO, CLAYTON  | CAPITAL INCOME BUILDER-A | 0.00                 | 8.66                | 0.00               | 8.66              | 90.0 | 7.79                 |
|  | ACCOUNT #: 00063189957         | BUY 0 Units @0.0000      |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-735P - ZACARIAS, JOSE   | CAPITAL INCOME BUILDER-A | 0.00                 | 0.28                | 0.00               | 0.28              | 90.0 | 0.25                 |
|  | ACCOUNT #: 00063611435         | BUY 0 Units @0.0000      |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-65IN - JACKSON,         | CAPITAL INCOME BUILDER-A | 0.00                 | 37.09               | 0.00               | 37.09             | 90.0 | 33.38                |
|  | ACCOUNT #: 00064850415         | BUY 0 Units @0.0000      |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-58IN - HAMANO,          | CAPITAL INCOME BUILDER-A | 0.00                 | 2.81                | 0.00               | 2.81              | 90.0 | 2.53                 |
|  | ACCOUNT #: 00066918565         | BUY 0 Units @0.0000      |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-865P - BERRINGTON,      | CAPITAL INCOME BUILDER-A | 0.00                 | 14.68               | 0.00               | 14.68             | 90.0 | 13.21                |
|  | ACCOUNT #: 00067233928         | BUY 0 Units @0.0000      |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-03IN - HAMANO,          | CAPITAL INCOME BUILDER-A | 0.00                 | 139.29              | 0.00               | 139.29            | 90.0 | 125.36               |
|  | ACCOUNT #: 00067286247         | BUY 0 Units @0.0000      |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-915P - SHERMAN, MYRNA   | CAPITAL INCOME BUILDER-A | 0.00                 | 21.83               | 0.00               | 21.83             | 90.0 | 19.65                |
|  | ACCOUNT #: 00068166485         | BUY 0 Units @0.0000      |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-105P - WEINER, HEIDI    | CAPITAL INCOME BUILDER-A | 0.00                 | 0.89                | 0.00               | 0.89              | 90.0 | 0.80                 |
|  | ACCOUNT #: 00068510597         | BUY 0 Units @0.0000      |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-975P - WALTER,          | CAPITAL INCOME BUILDER-A | 0.00                 | 0.62                | 0.00               | 0.62              | 90.0 | 0.56                 |
|  | ACCOUNT #: 00068510601         | BUY 0 Units @0.0000      |                      |                     |                    |                   |      |                      |





# COMMISSION STATEMENT

March 12, 2018

STEVEN SCHOENBRUN  
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BROKER #: 217  
BRANCH #01001 - LifeMark Home Office

| DATE   | CLIENT  | INVESTMENT                                      | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|--|---|---|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b>BROKER TRANSACTIONS (continued)</b>                       |   |   |                      |                     |                    |                   |      |                      |
| <b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</b> |   |   |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-915P - FRIZZELLE,<br>ACCOUNT #: 00073280056      | CAPITAL INCOME BUILDER-A<br>BUY 0 Units @0.0000 | 0.00                 | 0.50                | 0.00               | 0.50              | 90.0 | 0.45                 |
| 03/01/2018   | ***-**-925P - GEISSLER, GRANT<br>ACCOUNT #: 00081274092 | CAPITAL INCOME BUILDER-A<br>BUY 0 Units @0.0000 | 0.00                 | 77.77               | 0.00               | 77.77             | 90.0 | 69.99                |
| 03/01/2018   | ***-**-03IN - BERRINGTON,<br>ACCOUNT #: 00082134167     | CAPITAL INCOME BUILDER-A<br>BUY 0 Units @0.0000 | 0.00                 | 27.16               | 0.00               | 27.16             | 90.0 | 24.44                |
| 03/01/2018   | ***-**-603I - BERRINGTON,<br>ACCOUNT #: 00082694764     | CAPITAL INCOME BUILDER-A<br>BUY 0 Units @0.0000 | 0.00                 | 114.40              | 0.00               | 114.40            | 90.0 | 102.96               |
| 03/01/2018   | ***-**-21IN - ONDRULA, DAVID<br>ACCOUNT #: 00084567285  | CAPITAL INCOME BUILDER-A<br>BUY 0 Units @0.0000 | 0.00                 | 42.03               | 0.00               | 42.03             | 90.0 | 37.83                |
| 03/01/2018   | ***-**-27UG - HAMANO, MICKEY<br>ACCOUNT #: 00084677372  | CAPITAL INCOME BUILDER-A<br>BUY 0 Units @0.0000 | 0.00                 | 8.07                | 0.00               | 8.07              | 90.0 | 7.26                 |
| 03/01/2018   | ***-**-26UG - JACKSON,<br>ACCOUNT #: 00084677451        | CAPITAL INCOME BUILDER-A<br>BUY 0 Units @0.0000 | 0.00                 | 8.07                | 0.00               | 8.07              | 90.0 | 7.26                 |
| 03/01/2018   | ***-**-545J - JACKSON,<br>ACCOUNT #: 00084700195        | CAPITAL INCOME BUILDER-A<br>BUY 0 Units @0.0000 | 0.00                 | 37.11               | 0.00               | 37.11             | 90.0 | 33.40                |
| 03/01/2018   | ***-**-30SI - KRAMER,<br>ACCOUNT #: 00085074284         | CAPITAL INCOME BUILDER-A<br>BUY 0 Units @0.0000 | 0.00                 | 0.04                | 0.00               | 0.04              | 90.0 | 0.04                 |
| 03/01/2018   | ***-**-55UG - HAMANO, BRANDON<br>ACCOUNT #: 00085206204 | CAPITAL INCOME BUILDER-A<br>BUY 0 Units @0.0000 | 0.00                 | 6.36                | 0.00               | 6.36              | 90.0 | 5.72                 |
| 03/01/2018   | ***-**-442I - GEISSLER, DIANE<br>ACCOUNT #: 00085247111 | CAPITAL INCOME BUILDER-A<br>BUY 0 Units @0.0000 | 0.00                 | 19.77               | 0.00               | 19.77             | 90.0 | 17.79                |
| 03/01/2018   | ***-**-609I - FISHMAN, ROSS<br>ACCOUNT #: 00085991892   | CAPITAL INCOME BUILDER-A<br>BUY 0 Units @0.0000 | 0.00                 | 21.45               | 0.00               | 21.45             | 90.0 | 19.31                |
| 03/01/2018   | ***-**-26TR - HAMANO TTEE,<br>ACCOUNT #: 00087163355    | CAPITAL INCOME BUILDER-A<br>BUY 0 Units @0.0000 | 0.00                 | 8.58                | 0.00               | 8.58              | 90.0 | 7.72                 |
| 03/01/2018   | ***-**-167I - LAX LOW, JAANA<br>ACCOUNT #: 00087177160  | CAPITAL INCOME BUILDER-A<br>BUY 0 Units @0.0000 | 0.00                 | 43.93               | 0.00               | 43.93             | 90.0 | 39.54                |
| 03/01/2018   | ***-**-787I - SYRJA, JOUNI<br>ACCOUNT #: 00087188685    | CAPITAL INCOME BUILDER-A<br>BUY 0 Units @0.0000 | 0.00                 | 19.40               | 0.00               | 19.40             | 90.0 | 17.46                |
| 03/01/2018   | ***-**-603I - BERRINGTON,<br>ACCOUNT #: 00087334141     | CAPITAL INCOME BUILDER-A<br>BUY 0 Units @0.0000 | 0.00                 | 18.08               | 0.00               | 18.08             | 90.0 | 16.27                |



# COMMISSION STATEMENT

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| DATE   | CLIENT                         | INVESTMENT               | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|--|--------------------------------|--------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b>BROKER TRANSACTIONS (continued)</b>                       |                                |                          |                      |                     |                    |                   |      |                      |
| <b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</b> |                                |                          |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-36UT - HAMANO, MIA      | CAPITAL INCOME BUILDER-A | 0.00                 | 1.17                | 0.00               | 1.17              | 90.0 | 1.05                 |
|  | ACCOUNT #: 00087546075         | BUY 0 Units @0.0000      |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-70UG - HAMANO, RACHEL   | CAPITAL INCOME BUILDER-A | 0.00                 | 24.98               | 0.00               | 24.98             | 90.0 | 22.48                |
|  | ACCOUNT #: 00087693744         | BUY 0 Units @0.0000      |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-822I - ROSEN, KENDRA    | CAPITAL INCOME BUILDER-A | 0.00                 | 0.71                | 0.00               | 0.71              | 90.0 | 0.64                 |
|  | ACCOUNT #: 00088044721         | BUY 0 Units @0.0000      |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-822I - ROSEN, KENDRA    | CAPITAL INCOME BUILDER-A | 0.00                 | 8.06                | 0.00               | 8.06              | 90.0 | 7.25                 |
|  | ACCOUNT #: 00088044824         | BUY 0 Units @0.0000      |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-570I - BIEGEL, MONICA   | CAPITAL INCOME BUILDER-A | 0.00                 | 0.72                | 0.00               | 0.72              | 90.0 | 0.65                 |
|  | ACCOUNT #: 00088062582         | BUY 0 Units @0.0000      |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-886I - BIEGEL, JEFFREY  | CAPITAL INCOME BUILDER-A | 0.00                 | 3.38                | 0.00               | 3.38              | 90.0 | 3.04                 |
|  | ACCOUNT #: 00088062912         | BUY 0 Units @0.0000      |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-570I - BIEGEL, MONICA   | CAPITAL INCOME BUILDER-A | 0.00                 | 0.86                | 0.00               | 0.86              | 90.0 | 0.77                 |
|  | ACCOUNT #: 00088062945         | BUY 0 Units @0.0000      |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-570I - BIEGEL, MONICA   | CAPITAL INCOME BUILDER-A | 0.00                 | 0.86                | 0.00               | 0.86              | 90.0 | 0.77                 |
|  | ACCOUNT #: 00088062971         | BUY 0 Units @0.0000      |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-570I - BIEGEL, MONICA   | CAPITAL INCOME BUILDER-A | 0.00                 | 0.80                | 0.00               | 0.80              | 90.0 | 0.72                 |
|  | ACCOUNT #: 00088062992         | BUY 0 Units @0.0000      |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-570I - BIEGEL, MONICA   | CAPITAL INCOME BUILDER-A | 0.00                 | 4.44                | 0.00               | 4.44              | 90.0 | 4.00                 |
|  | ACCOUNT #: 00088064708         | BUY 0 Units @0.0000      |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-073J - MASLAN, STEVEN   | CAPITAL INCOME BUILDER-A | 0.00                 | 23.55               | 0.00               | 23.55             | 90.0 | 21.20                |
|  | ACCOUNT #: 00088079602         | BUY 0 Units @0.0000      |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-195P - SCHMIDT, MICHAEL | CAPITAL INCOME BUILDER-A | 0.00                 | 42.30               | 0.00               | 42.30             | 90.0 | 38.07                |
|  | ACCOUNT #: 00088118744         | BUY 0 Units @0.0000      |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-271J - DAVIDSON, ROBERT | CAPITAL INCOME BUILDER-A | 0.00                 | 38.44               | 0.00               | 38.44             | 90.0 | 34.60                |
|  | ACCOUNT #: 00088199427         | BUY 0 Units @0.0000      |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-365I - JACKSON, KARLA   | CAPITAL INCOME BUILDER-A | 0.00                 | 1.39                | 0.00               | 1.39              | 90.0 | 1.25                 |
|  | ACCOUNT #: 00088470071         | BUY 0 Units @0.0000      |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-470J - BRADY, RACHEL    | CAPITAL INCOME BUILDER-A | 0.00                 | 1.94                | 0.00               | 1.94              | 90.0 | 1.75                 |
|  | ACCOUNT #: 00088496937         | BUY 0 Units @0.0000      |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-470J - BRADY, RACHEL    | CAPITAL INCOME BUILDER-A | 0.00                 | 8.77                | 0.00               | 8.77              | 90.0 | 7.89                 |
|  | ACCOUNT #: 00088506996         | BUY 0 Units @0.0000      |                      |                     |                    |                   |      |                      |



# COMMISSION STATEMENT

March 12, 2018

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| DATE   | CLIENT  | INVESTMENT   | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|--|---|--|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b>BROKER TRANSACTIONS (continued)</b>                       |   |  |                      |                     |                    |                   |      |                      |
| <b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</b> |   |  |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-3032 - RUFF TRUST,<br>ACCOUNT #: 00088603402     | CAPITAL INCOME BUILDER-A<br>BUY 0 Units @0.0000            | 0.00                 | 87.38               | 0.00               | 87.38             | 90.0 | 78.64                |
| 03/01/2018   | ***-**-6745 - MERIT<br>ACCOUNT #: 00069437322           | CAPITAL INCOME BUILDER-R3<br>BUY 0 Units @0.0000           | 0.00                 | 111.93              | 0.00               | 111.93            | 90.0 | 100.74               |
| 03/01/2018   | ***-**-9213 - T.K.T.<br>ACCOUNT #: 00088205270          | CAPITAL INCOME BUILDER-R4<br>BUY 0 Units @0.0000           | 0.00                 | 89.06               | 0.00               | 89.06             | 90.0 | 80.15                |
| 03/01/2018   | ***-**-299I - SHIBATA, CARLOS<br>ACCOUNT #: 00060952412 | CAPITAL WORLD BOND FUND-A<br>BUY 0 Units @0.0000           | 0.00                 | 45.66               | 0.00               | 45.66             | 90.0 | 41.09                |
| 03/01/2018   | ***-**-58IN - HAMANO,<br>ACCOUNT #: 00066918565         | CAPITAL WORLD BOND FUND-A<br>BUY 0 Units @0.0000           | 0.00                 | 2.98                | 0.00               | 2.98              | 90.0 | 2.68                 |
| 03/01/2018   | ***-**-603I - BERRINGTON,<br>ACCOUNT #: 00082694764     | CAPITAL WORLD BOND FUND-A<br>BUY 0 Units @0.0000           | 0.00                 | 17.64               | 0.00               | 17.64             | 90.0 | 15.88                |
| 03/01/2018   | ***-**-30SI - KRAMER,<br>ACCOUNT #: 00085074284         | CAPITAL WORLD BOND FUND-A<br>BUY 0 Units @0.0000           | 0.00                 | 0.04                | 0.00               | 0.04              | 90.0 | 0.04                 |
| 03/01/2018   | ***-**-609I - FISHMAN, ROSS<br>ACCOUNT #: 00085991892   | CAPITAL WORLD BOND FUND-A<br>BUY 0 Units @0.0000           | 0.00                 | 14.12               | 0.00               | 14.12             | 90.0 | 12.71                |
| 03/01/2018   | ***-**-167I - LAX LOW, JAANA<br>ACCOUNT #: 00087177160  | CAPITAL WORLD BOND FUND-A<br>BUY 0 Units @0.0000           | 0.00                 | 16.25               | 0.00               | 16.25             | 90.0 | 14.63                |
| 03/01/2018   | ***-**-603I - BERRINGTON,<br>ACCOUNT #: 00087334141     | CAPITAL WORLD BOND FUND-A<br>BUY 0 Units @0.0000           | 0.00                 | 2.81                | 0.00               | 2.81              | 90.0 | 2.53                 |
| 03/01/2018   | ***-**-073J - MASLAN, STEVEN<br>ACCOUNT #: 00088079602  | CAPITAL WORLD BOND FUND-A<br>BUY 0 Units @0.0000           | 0.00                 | 15.74               | 0.00               | 15.74             | 90.0 | 14.17                |
| 03/01/2018   | ***-**-3032 - RUFF TRUST,<br>ACCOUNT #: 00088603402     | CAPITAL WORLD BOND FUND-A<br>BUY 0 Units @0.0000           | 0.00                 | 33.20               | 0.00               | 33.20             | 90.0 | 29.88                |
| 03/01/2018   | ***-**-92IN - SCHATZ, MICHAEL<br>ACCOUNT #: 00059581428 | CAPITAL WORLD GROWTH AND INCOME FUN<br>BUY 0 Units @0.0000 | 0.00                 | 0.28                | 0.00               | 0.28              | 90.0 | 0.25                 |
| 03/01/2018   | ***-**-299I - SHIBATA, CARLOS<br>ACCOUNT #: 00060952412 | CAPITAL WORLD GROWTH AND INCOME FUN<br>BUY 0 Units @0.0000 | 0.00                 | 123.77              | 0.00               | 123.77            | 90.0 | 111.39               |
| 03/01/2018   | ***-**-99TR - SHIBATA, CARLOS<br>ACCOUNT #: 00061753986 | CAPITAL WORLD GROWTH AND INCOME FUN<br>BUY 0 Units @0.0000 | 0.00                 | 71.07               | 0.00               | 71.07             | 90.0 | 63.96                |
| 03/01/2018   | ***-**-492I - LEVIN, RICKY<br>ACCOUNT #: 00062404678    | CAPITAL WORLD GROWTH AND INCOME FUN<br>BUY 0 Units @0.0000 | 0.00                 | 51.89               | 0.00               | 51.89             | 90.0 | 46.70                |



# COMMISSION STATEMENT

March 12, 2018

STEVEN SCHOENBRUN  
175 Olde Half Day Rd.  
Suite 200  
Lincolnshire, IL 60069

BROKER #: 217  
BRANCH #01001 - LifeMark Home Office

| DATE   | CLIENT   | INVESTMENT   | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|--|--|--|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b>BROKER TRANSACTIONS (continued)</b>                       |  |  |                      |                     |                    |                   |      |                      |
| <b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</b> |  |  |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-855P - BECKER, JANEL<br>ACCOUNT #: 00062435958    | CAPITAL WORLD GROWTH AND INCOME FUN<br>BUY 0 Units @0.0000 | 0.00                 | 173.64              | 0.00               | 173.64            | 90.0 | 156.28               |
| 03/01/2018   | ***-**-725P - HOSTETLER,<br>ACCOUNT #: 00062435962       | CAPITAL WORLD GROWTH AND INCOME FUN<br>BUY 0 Units @0.0000 | 0.00                 | 47.32               | 0.00               | 47.32             | 90.0 | 42.59                |
| 03/01/2018   | ***-**-61IN - HAMANO, CLAYTON<br>ACCOUNT #: 00062664398  | CAPITAL WORLD GROWTH AND INCOME FUN<br>BUY 0 Units @0.0000 | 0.00                 | 22.64               | 0.00               | 22.64             | 90.0 | 20.38                |
| 03/01/2018   | ***-**-365I - JACKSON, KARLA<br>ACCOUNT #: 00062781825   | CAPITAL WORLD GROWTH AND INCOME FUN<br>BUY 0 Units @0.0000 | 0.00                 | 17.30               | 0.00               | 17.30             | 90.0 | 15.57                |
| 03/01/2018   | ***-**-261I - HAMANO, CLAYTON<br>ACCOUNT #: 00063189957  | CAPITAL WORLD GROWTH AND INCOME FUN<br>BUY 0 Units @0.0000 | 0.00                 | 9.79                | 0.00               | 9.79              | 90.0 | 8.81                 |
| 03/01/2018   | ***-**-775P - FLORES, FERNANDO<br>ACCOUNT #: 00063694039 | CAPITAL WORLD GROWTH AND INCOME FUN<br>BUY 0 Units @0.0000 | 0.00                 | 0.24                | 0.00               | 0.24              | 90.0 | 0.22                 |
| 03/01/2018   | ***-**-65IN - JACKSON,<br>ACCOUNT #: 00064850415         | CAPITAL WORLD GROWTH AND INCOME FUN<br>BUY 0 Units @0.0000 | 0.00                 | 42.22               | 0.00               | 42.22             | 90.0 | 38.00                |
| 03/01/2018   | ***-**-58IN - HAMANO,<br>ACCOUNT #: 00066918565          | CAPITAL WORLD GROWTH AND INCOME FUN<br>BUY 0 Units @0.0000 | 0.00                 | 4.50                | 0.00               | 4.50              | 90.0 | 4.05                 |
| 03/01/2018   | ***-**-865P - BERRINGTON,<br>ACCOUNT #: 00067233928      | CAPITAL WORLD GROWTH AND INCOME FUN<br>BUY 0 Units @0.0000 | 0.00                 | 5.93                | 0.00               | 5.93              | 90.0 | 5.34                 |
| 03/01/2018   | ***-**-03IN - HAMANO,<br>ACCOUNT #: 00067286247          | CAPITAL WORLD GROWTH AND INCOME FUN<br>BUY 0 Units @0.0000 | 0.00                 | 158.14              | 0.00               | 158.14            | 90.0 | 142.33               |
| 03/01/2018   | ***-**-575P - CARDONA, RENI<br>ACCOUNT #: 00068647210    | CAPITAL WORLD GROWTH AND INCOME FUN<br>BUY 0 Units @0.0000 | 0.00                 | 0.01                | 0.00               | 0.01              | 90.0 | 0.01                 |
| 03/01/2018   | ***-**-915P - FRIZZELLE,<br>ACCOUNT #: 00073280056       | CAPITAL WORLD GROWTH AND INCOME FUN<br>BUY 0 Units @0.0000 | 0.00                 | 0.85                | 0.00               | 0.85              | 90.0 | 0.77                 |
| 03/01/2018   | ***-**-285P - LESLEY, JOE<br>ACCOUNT #: 00073280090      | CAPITAL WORLD GROWTH AND INCOME FUN<br>BUY 0 Units @0.0000 | 0.00                 | 2.37                | 0.00               | 2.37              | 90.0 | 2.13                 |
| 03/01/2018   | ***-**-925P - GEISSLER, GRANT<br>ACCOUNT #: 00081274092  | CAPITAL WORLD GROWTH AND INCOME FUN<br>BUY 0 Units @0.0000 | 0.00                 | 91.68               | 0.00               | 91.68             | 90.0 | 82.51                |
| 03/01/2018   | ***-**-03IN - BERRINGTON,<br>ACCOUNT #: 00082134167      | CAPITAL WORLD GROWTH AND INCOME FUN<br>BUY 0 Units @0.0000 | 0.00                 | 13.61               | 0.00               | 13.61             | 90.0 | 12.25                |
| 03/01/2018   | ***-**-603I - BERRINGTON,<br>ACCOUNT #: 00082694764      | CAPITAL WORLD GROWTH AND INCOME FUN<br>BUY 0 Units @0.0000 | 0.00                 | 23.44               | 0.00               | 23.44             | 90.0 | 21.10                |



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|--|---|--|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b>BROKER TRANSACTIONS (continued)</b>                       |   |  |                      |                     |                    |                   |      |                      |
| <b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</b> |   |  |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-21IN - ONDRULA, DAVID<br>ACCOUNT #: 00084567285  | CAPITAL WORLD GROWTH AND INCOME FUN<br>BUY 0 Units @0.0000 | 0.00                 | 48.90               | 0.00               | 48.90             | 90.0 | 44.01                |
| 03/01/2018   | ***-**-27UG - HAMANO, MICKEY<br>ACCOUNT #: 00084677372  | CAPITAL WORLD GROWTH AND INCOME FUN<br>BUY 0 Units @0.0000 | 0.00                 | 9.41                | 0.00               | 9.41              | 90.0 | 8.47                 |
| 03/01/2018   | ***-**-26UG - JACKSON,<br>ACCOUNT #: 00084677451        | CAPITAL WORLD GROWTH AND INCOME FUN<br>BUY 0 Units @0.0000 | 0.00                 | 9.41                | 0.00               | 9.41              | 90.0 | 8.47                 |
| 03/01/2018   | ***-**-545J - JACKSON,<br>ACCOUNT #: 00084700195        | CAPITAL WORLD GROWTH AND INCOME FUN<br>BUY 0 Units @0.0000 | 0.00                 | 42.48               | 0.00               | 42.48             | 90.0 | 38.23                |
| 03/01/2018   | ***-**-30SI - KRAMER,<br>ACCOUNT #: 00085074284         | CAPITAL WORLD GROWTH AND INCOME FUN<br>BUY 0 Units @0.0000 | 0.00                 | 0.61                | 0.00               | 0.61              | 90.0 | 0.55                 |
| 03/01/2018   | ***-**-55UG - HAMANO, BRANDON<br>ACCOUNT #: 00085206204 | CAPITAL WORLD GROWTH AND INCOME FUN<br>BUY 0 Units @0.0000 | 0.00                 | 7.36                | 0.00               | 7.36              | 90.0 | 6.62                 |
| 03/01/2018   | ***-**-442I - GEISSLER, DIANE<br>ACCOUNT #: 00085247111 | CAPITAL WORLD GROWTH AND INCOME FUN<br>BUY 0 Units @0.0000 | 0.00                 | 23.34               | 0.00               | 23.34             | 90.0 | 21.01                |
| 03/01/2018   | ***-**-609I - FISHMAN, ROSS<br>ACCOUNT #: 00085991892   | CAPITAL WORLD GROWTH AND INCOME FUN<br>BUY 0 Units @0.0000 | 0.00                 | 24.11               | 0.00               | 24.11             | 90.0 | 21.70                |
| 03/01/2018   | ***-**-26TR - HAMANO TTEE,<br>ACCOUNT #: 00087163355    | CAPITAL WORLD GROWTH AND INCOME FUN<br>BUY 0 Units @0.0000 | 0.00                 | 8.65                | 0.00               | 8.65              | 90.0 | 7.79                 |
| 03/01/2018   | ***-**-167I - LAX LOW, JAANA<br>ACCOUNT #: 00087177160  | CAPITAL WORLD GROWTH AND INCOME FUN<br>BUY 0 Units @0.0000 | 0.00                 | 42.60               | 0.00               | 42.60             | 90.0 | 38.34                |
| 03/01/2018   | ***-**-787I - SYRJA, JOUNI<br>ACCOUNT #: 00087188685    | CAPITAL WORLD GROWTH AND INCOME FUN<br>BUY 0 Units @0.0000 | 0.00                 | 37.82               | 0.00               | 37.82             | 90.0 | 34.04                |
| 03/01/2018   | ***-**-603I - BERRINGTON,<br>ACCOUNT #: 00087334141     | CAPITAL WORLD GROWTH AND INCOME FUN<br>BUY 0 Units @0.0000 | 0.00                 | 4.79                | 0.00               | 4.79              | 90.0 | 4.31                 |
| 03/01/2018   | ***-**-36UT - HAMANO, MIA<br>ACCOUNT #: 00087546075     | CAPITAL WORLD GROWTH AND INCOME FUN<br>BUY 0 Units @0.0000 | 0.00                 | 1.32                | 0.00               | 1.32              | 90.0 | 1.19                 |
| 03/01/2018   | ***-**-70UG - HAMANO, RACHEL<br>ACCOUNT #: 00087693744  | CAPITAL WORLD GROWTH AND INCOME FUN<br>BUY 0 Units @0.0000 | 0.00                 | 27.98               | 0.00               | 27.98             | 90.0 | 25.18                |
| 03/01/2018   | ***-**-822I - ROSEN, KENDRA<br>ACCOUNT #: 00088044721   | CAPITAL WORLD GROWTH AND INCOME FUN<br>BUY 0 Units @0.0000 | 0.00                 | 1.56                | 0.00               | 1.56              | 90.0 | 1.40                 |
| 03/01/2018   | ***-**-822I - ROSEN, KENDRA<br>ACCOUNT #: 00088044824   | CAPITAL WORLD GROWTH AND INCOME FUN<br>BUY 0 Units @0.0000 | 0.00                 | 17.65               | 0.00               | 17.65             | 90.0 | 15.89                |



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|--|--|--|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b>BROKER TRANSACTIONS (continued)</b>                       |  |  |                      |                     |                    |                   |      |                      |
| <b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</b> |  |  |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-570I - BIEGEL, MONICA<br>ACCOUNT #: 00088062582   | CAPITAL WORLD GROWTH AND INCOME FUN<br>BUY 0 Units @0.0000 | 0.00                 | 0.80                | 0.00               | 0.80              | 90.0 | 0.72                 |
| 03/01/2018   | ***-**-886I - BIEGEL, JEFFREY<br>ACCOUNT #: 00088062912  | CAPITAL WORLD GROWTH AND INCOME FUN<br>BUY 0 Units @0.0000 | 0.00                 | 3.72                | 0.00               | 3.72              | 90.0 | 3.35                 |
| 03/01/2018   | ***-**-570I - BIEGEL, MONICA<br>ACCOUNT #: 00088062945   | CAPITAL WORLD GROWTH AND INCOME FUN<br>BUY 0 Units @0.0000 | 0.00                 | 0.95                | 0.00               | 0.95              | 90.0 | 0.86                 |
| 03/01/2018   | ***-**-570I - BIEGEL, MONICA<br>ACCOUNT #: 00088062971   | CAPITAL WORLD GROWTH AND INCOME FUN<br>BUY 0 Units @0.0000 | 0.00                 | 0.95                | 0.00               | 0.95              | 90.0 | 0.86                 |
| 03/01/2018   | ***-**-570I - BIEGEL, MONICA<br>ACCOUNT #: 00088062992   | CAPITAL WORLD GROWTH AND INCOME FUN<br>BUY 0 Units @0.0000 | 0.00                 | 0.88                | 0.00               | 0.88              | 90.0 | 0.79                 |
| 03/01/2018   | ***-**-570I - BIEGEL, MONICA<br>ACCOUNT #: 00088064708   | CAPITAL WORLD GROWTH AND INCOME FUN<br>BUY 0 Units @0.0000 | 0.00                 | 4.88                | 0.00               | 4.88              | 90.0 | 4.39                 |
| 03/01/2018   | ***-**-073J - MASLAN, STEVEN<br>ACCOUNT #: 00088079602   | CAPITAL WORLD GROWTH AND INCOME FUN<br>BUY 0 Units @0.0000 | 0.00                 | 20.09               | 0.00               | 20.09             | 90.0 | 18.08                |
| 03/01/2018   | ***-**-195P - SCHMIDT, MICHAEL<br>ACCOUNT #: 00088118744 | CAPITAL WORLD GROWTH AND INCOME FUN<br>BUY 0 Units @0.0000 | 0.00                 | 46.68               | 0.00               | 46.68             | 90.0 | 42.01                |
| 03/01/2018   | ***-**-271J - DAVIDSON, ROBERT<br>ACCOUNT #: 00088199427 | CAPITAL WORLD GROWTH AND INCOME FUN<br>BUY 0 Units @0.0000 | 0.00                 | 14.75               | 0.00               | 14.75             | 90.0 | 13.28                |
| 03/01/2018   | ***-**-365I - JACKSON, KARLA<br>ACCOUNT #: 00088470071   | CAPITAL WORLD GROWTH AND INCOME FUN<br>BUY 0 Units @0.0000 | 0.00                 | 1.53                | 0.00               | 1.53              | 90.0 | 1.38                 |
| 03/01/2018   | ***-**-470J - BRADY, RACHEL<br>ACCOUNT #: 00088496937    | CAPITAL WORLD GROWTH AND INCOME FUN<br>BUY 0 Units @0.0000 | 0.00                 | 2.16                | 0.00               | 2.16              | 90.0 | 1.94                 |
| 03/01/2018   | ***-**-470J - BRADY, RACHEL<br>ACCOUNT #: 00088506996    | CAPITAL WORLD GROWTH AND INCOME FUN<br>BUY 0 Units @0.0000 | 0.00                 | 9.77                | 0.00               | 9.77              | 90.0 | 8.79                 |
| 03/01/2018   | ***-**-3032 - RUFF TRUST,<br>ACCOUNT #: 00088603402      | CAPITAL WORLD GROWTH AND INCOME FUN<br>BUY 0 Units @0.0000 | 0.00                 | 95.49               | 0.00               | 95.49             | 90.0 | 85.94                |
| 03/01/2018   | ***-**-0126 - OSBURN, ANNE<br>ACCOUNT #: 04000651908     | CAPITAL WORLD GROWTH AND INCOME FUN<br>BUY 0 Units @0.0000 | 0.00                 | 58.93               | 0.00               | 58.93             | 90.0 | 53.04                |
| 03/01/2018   | ***-**-6745 - MERIT<br>ACCOUNT #: 00069437322            | CAPITAL WORLD GROWTH AND INCOME-R3<br>BUY 0 Units @0.0000  | 0.00                 | 122.37              | 0.00               | 122.37            | 90.0 | 110.13               |
| 03/01/2018   | ***-**-9213 - T.K.T.<br>ACCOUNT #: 00088205270           | CAPITAL WORLD GROWTH AND INCOME-R4<br>BUY 0 Units @0.0000  | 0.00                 | 53.48               | 0.00               | 53.48             | 90.0 | 48.13                |



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| DATE   | CLIENT                         | INVESTMENT                | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|--|--------------------------------|---------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b>BROKER TRANSACTIONS (continued)</b>                       |                                |                           |                      |                     |                    |                   |      |                      |
| <b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</b> |                                |                           |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-99TR - SHIBATA, CARLOS  | EUROPACIFIC GROWTH FUND-A | 0.00                 | 35.89               | 0.00               | 35.89             | 90.0 | 32.30                |
|  | ACCOUNT #: 00061753986         | BUY 0 Units @0.0000       |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-492I - LEVIN, RICKY     | EUROPACIFIC GROWTH FUND-A | 0.00                 | 31.39               | 0.00               | 31.39             | 90.0 | 28.25                |
|  | ACCOUNT #: 00062404678         | BUY 0 Units @0.0000       |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-365I - JACKSON, KARLA   | EUROPACIFIC GROWTH FUND-A | 0.00                 | 6.83                | 0.00               | 6.83              | 90.0 | 6.15                 |
|  | ACCOUNT #: 00062781825         | BUY 0 Units @0.0000       |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-261I - HAMANO, CLAYTON  | EUROPACIFIC GROWTH FUND-A | 0.00                 | 3.41                | 0.00               | 3.41              | 90.0 | 3.07                 |
|  | ACCOUNT #: 00063189957         | BUY 0 Units @0.0000       |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-775P - FLORES, FERNANDO | EUROPACIFIC GROWTH FUND-A | 0.00                 | 0.22                | 0.00               | 0.22              | 90.0 | 0.20                 |
|  | ACCOUNT #: 00063694039         | BUY 0 Units @0.0000       |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-65IN - JACKSON,         | EUROPACIFIC GROWTH FUND-A | 0.00                 | 19.70               | 0.00               | 19.70             | 90.0 | 17.73                |
|  | ACCOUNT #: 00064850415         | BUY 0 Units @0.0000       |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-575P - CARDONA, RENI    | EUROPACIFIC GROWTH FUND-A | 0.00                 | 0.01                | 0.00               | 0.01              | 90.0 | 0.01                 |
|  | ACCOUNT #: 00068647210         | BUY 0 Units @0.0000       |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-787I - SYRJA, JOUNI     | EUROPACIFIC GROWTH FUND-A | 0.00                 | 8.57                | 0.00               | 8.57              | 90.0 | 7.71                 |
|  | ACCOUNT #: 00087188685         | BUY 0 Units @0.0000       |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-70UG - HAMANO, RACHEL   | EUROPACIFIC GROWTH FUND-A | 0.00                 | 20.84               | 0.00               | 20.84             | 90.0 | 18.76                |
|  | ACCOUNT #: 00087693744         | BUY 0 Units @0.0000       |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-822I - ROSEN, KENDRA    | EUROPACIFIC GROWTH FUND-A | 0.00                 | 0.75                | 0.00               | 0.75              | 90.0 | 0.68                 |
|  | ACCOUNT #: 00088044721         | BUY 0 Units @0.0000       |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-822I - ROSEN, KENDRA    | EUROPACIFIC GROWTH FUND-A | 0.00                 | 8.48                | 0.00               | 8.48              | 90.0 | 7.63                 |
|  | ACCOUNT #: 00088044824         | BUY 0 Units @0.0000       |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-365I - JACKSON, KARLA   | EUROPACIFIC GROWTH FUND-A | 0.00                 | 1.53                | 0.00               | 1.53              | 90.0 | 1.38                 |
|  | ACCOUNT #: 00088470071         | BUY 0 Units @0.0000       |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-470J - BRADY, RACHEL    | EUROPACIFIC GROWTH FUND-A | 0.00                 | 1.66                | 0.00               | 1.66              | 90.0 | 1.49                 |
|  | ACCOUNT #: 00088496937         | BUY 0 Units @0.0000       |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-470J - BRADY, RACHEL    | EUROPACIFIC GROWTH FUND-A | 0.00                 | 7.57                | 0.00               | 7.57              | 90.0 | 6.81                 |
|  | ACCOUNT #: 00088506996         | BUY 0 Units @0.0000       |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-299I - SHIBATA, CARLOS  | FUNDAMENTAL INVESTORS-A   | 0.00                 | 79.13               | 0.00               | 79.13             | 90.0 | 71.22                |
|  | ACCOUNT #: 00060952412         | BUY 0 Units @0.0000       |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-500I - HAMANO, JEAN     | FUNDAMENTAL INVESTORS-A   | 0.00                 | 111.08              | 0.00               | 111.08            | 90.0 | 99.97                |
|  | ACCOUNT #: 00061423904         | BUY 0 Units @0.0000       |                      |                     |                    |                   |      |                      |



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|--|--------------------------------|-------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b>BROKER TRANSACTIONS (continued)</b>                       |                                |                         |                      |                     |                    |                   |      |                      |
| <b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</b> |                                |                         |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-945P - LOPEZ, JUAN      | FUNDAMENTAL INVESTORS-A | 0.00                 | 5.85                | 0.00               | 5.85              | 90.0 | 5.27                 |
|  | ACCOUNT #: 00061672037         | BUY 0 Units @0.0000     |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-23TR - BARRAD, ROCHELLE | FUNDAMENTAL INVESTORS-A | 0.00                 | 119.40              | 0.00               | 119.40            | 90.0 | 107.46               |
|  | ACCOUNT #: 00061679998         | BUY 0 Units @0.0000     |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-99TR - SHIBATA, CARLOS  | FUNDAMENTAL INVESTORS-A | 0.00                 | 55.08               | 0.00               | 55.08             | 90.0 | 49.57                |
|  | ACCOUNT #: 00061753986         | BUY 0 Units @0.0000     |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-492I - LEVIN, RICKY     | FUNDAMENTAL INVESTORS-A | 0.00                 | 67.93               | 0.00               | 67.93             | 90.0 | 61.14                |
|  | ACCOUNT #: 00062404678         | BUY 0 Units @0.0000     |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-855P - BECKER, GLENN    | FUNDAMENTAL INVESTORS-A | 0.00                 | 201.23              | 0.00               | 201.23            | 90.0 | 181.11               |
|  | ACCOUNT #: 00062435955         | BUY 0 Units @0.0000     |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-855P - CRANER, THOMAS   | FUNDAMENTAL INVESTORS-A | 0.00                 | 20.11               | 0.00               | 20.11             | 90.0 | 18.10                |
|  | ACCOUNT #: 00062435963         | BUY 0 Units @0.0000     |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-61IN - HAMANO, CLAYTON  | FUNDAMENTAL INVESTORS-A | 0.00                 | 12.74               | 0.00               | 12.74             | 90.0 | 11.47                |
|  | ACCOUNT #: 00062664398         | BUY 0 Units @0.0000     |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-365I - JACKSON, KARLA   | FUNDAMENTAL INVESTORS-A | 0.00                 | 19.47               | 0.00               | 19.47             | 90.0 | 17.52                |
|  | ACCOUNT #: 00062781825         | BUY 0 Units @0.0000     |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-65IN - JACKSON,         | FUNDAMENTAL INVESTORS-A | 0.00                 | 50.76               | 0.00               | 50.76             | 90.0 | 45.68                |
|  | ACCOUNT #: 00064850415         | BUY 0 Units @0.0000     |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-865P - BERRINGTON,      | FUNDAMENTAL INVESTORS-A | 0.00                 | 6.56                | 0.00               | 6.56              | 90.0 | 5.90                 |
|  | ACCOUNT #: 00067233928         | BUY 0 Units @0.0000     |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-695P - HEURING,         | FUNDAMENTAL INVESTORS-A | 0.00                 | 4.98                | 0.00               | 4.98              | 90.0 | 4.48                 |
|  | ACCOUNT #: 00073816154         | BUY 0 Units @0.0000     |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-03IN - BERRINGTON,      | FUNDAMENTAL INVESTORS-A | 0.00                 | 10.78               | 0.00               | 10.78             | 90.0 | 9.70                 |
|  | ACCOUNT #: 00082134167         | BUY 0 Units @0.0000     |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-603I - BERRINGTON,      | FUNDAMENTAL INVESTORS-A | 0.00                 | 25.90               | 0.00               | 25.90             | 90.0 | 23.31                |
|  | ACCOUNT #: 00082694764         | BUY 0 Units @0.0000     |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-21IN - ONDRULA, DAVID   | FUNDAMENTAL INVESTORS-A | 0.00                 | 58.64               | 0.00               | 58.64             | 90.0 | 52.78                |
|  | ACCOUNT #: 00084567285         | BUY 0 Units @0.0000     |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-55UG - HAMANO, BRANDON  | FUNDAMENTAL INVESTORS-A | 0.00                 | 6.84                | 0.00               | 6.84              | 90.0 | 6.16                 |
|  | ACCOUNT #: 00085206204         | BUY 0 Units @0.0000     |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-26TR - HAMANO TTEE,     | FUNDAMENTAL INVESTORS-A | 0.00                 | 22.44               | 0.00               | 22.44             | 90.0 | 20.20                |
|  | ACCOUNT #: 00087163355         | BUY 0 Units @0.0000     |                      |                     |                    |                   |      |                      |





# COMMISSION STATEMENT

March 12, 2018

STEVEN SCHOENBRUN  
175 Olde Half Day Rd.  
Suite 200  
Lincolnshire, IL 60069

BROKER #: 217  
BRANCH #01001 - LifeMark Home Office

| DATE   | CLIENT                         | INVESTMENT              | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|--|--------------------------------|-------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b>BROKER TRANSACTIONS (continued)</b>                       |                                |                         |                      |                     |                    |                   |      |                      |
| <b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</b> |                                |                         |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-167I - LAX LOW, JAANA   | FUNDAMENTAL INVESTORS-A | 0.00                 | 52.73               | 0.00               | 52.73             | 90.0 | 47.46                |
|  | ACCOUNT #: 00087177160         | BUY 0 Units @0.0000     |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-787I - SYRJA, JOUNI     | FUNDAMENTAL INVESTORS-A | 0.00                 | 45.77               | 0.00               | 45.77             | 90.0 | 41.19                |
|  | ACCOUNT #: 00087188685         | BUY 0 Units @0.0000     |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-603I - BERRINGTON,      | FUNDAMENTAL INVESTORS-A | 0.00                 | 4.83                | 0.00               | 4.83              | 90.0 | 4.35                 |
|  | ACCOUNT #: 00087334141         | BUY 0 Units @0.0000     |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-822I - ROSEN, KENDRA    | FUNDAMENTAL INVESTORS-A | 0.00                 | 1.85                | 0.00               | 1.85              | 90.0 | 1.67                 |
|  | ACCOUNT #: 00088044721         | BUY 0 Units @0.0000     |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-822I - ROSEN, KENDRA    | FUNDAMENTAL INVESTORS-A | 0.00                 | 20.95               | 0.00               | 20.95             | 90.0 | 18.86                |
|  | ACCOUNT #: 00088044824         | BUY 0 Units @0.0000     |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-570I - BIEGEL, MONICA   | FUNDAMENTAL INVESTORS-A | 0.00                 | 0.95                | 0.00               | 0.95              | 90.0 | 0.86                 |
|  | ACCOUNT #: 00088062582         | BUY 0 Units @0.0000     |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-886I - BIEGEL, JEFFREY  | FUNDAMENTAL INVESTORS-A | 0.00                 | 4.23                | 0.00               | 4.23              | 90.0 | 3.81                 |
|  | ACCOUNT #: 00088062912         | BUY 0 Units @0.0000     |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-570I - BIEGEL, MONICA   | FUNDAMENTAL INVESTORS-A | 0.00                 | 1.05                | 0.00               | 1.05              | 90.0 | 0.95                 |
|  | ACCOUNT #: 00088062945         | BUY 0 Units @0.0000     |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-570I - BIEGEL, MONICA   | FUNDAMENTAL INVESTORS-A | 0.00                 | 1.05                | 0.00               | 1.05              | 90.0 | 0.95                 |
|  | ACCOUNT #: 00088062971         | BUY 0 Units @0.0000     |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-570I - BIEGEL, MONICA   | FUNDAMENTAL INVESTORS-A | 0.00                 | 1.00                | 0.00               | 1.00              | 90.0 | 0.90                 |
|  | ACCOUNT #: 00088062992         | BUY 0 Units @0.0000     |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-570I - BIEGEL, MONICA   | FUNDAMENTAL INVESTORS-A | 0.00                 | 5.58                | 0.00               | 5.58              | 90.0 | 5.02                 |
|  | ACCOUNT #: 00088064708         | BUY 0 Units @0.0000     |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-073J - MASLAN, STEVEN   | FUNDAMENTAL INVESTORS-A | 0.00                 | 12.72               | 0.00               | 12.72             | 90.0 | 11.45                |
|  | ACCOUNT #: 00088079602         | BUY 0 Units @0.0000     |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-195P - SCHMIDT, MICHAEL | FUNDAMENTAL INVESTORS-A | 0.00                 | 53.04               | 0.00               | 53.04             | 90.0 | 47.74                |
|  | ACCOUNT #: 00088118744         | BUY 0 Units @0.0000     |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-271J - DAVIDSON, ROBERT | FUNDAMENTAL INVESTORS-A | 0.00                 | 16.69               | 0.00               | 16.69             | 90.0 | 15.02                |
|  | ACCOUNT #: 00088199427         | BUY 0 Units @0.0000     |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-365I - JACKSON, KARLA   | FUNDAMENTAL INVESTORS-A | 0.00                 | 1.73                | 0.00               | 1.73              | 90.0 | 1.56                 |
|  | ACCOUNT #: 00088470071         | BUY 0 Units @0.0000     |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-3032 - RUFF TRUST,      | FUNDAMENTAL INVESTORS-A | 0.00                 | 105.20              | 0.00               | 105.20            | 90.0 | 94.68                |
|  | ACCOUNT #: 00088603402         | BUY 0 Units @0.0000     |                      |                     |                    |                   |      |                      |



# COMMISSION STATEMENT

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BROKER #: 217  
BRANCH #01001 - LifeMark Home Office

| DATE   | CLIENT                        | INVESTMENT                          | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|--|-------------------------------|-------------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b>BROKER TRANSACTIONS (continued)</b>                       |                               |                                     |                      |                     |                    |                   |      |                      |
| <b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</b> |                               |                                     |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-6745 - MERIT           | FUNDAMENTAL INVESTORS-R3            | 0.00                 | 128.76              | 0.00               | 128.76            | 90.0 | 115.88               |
|  | ACCOUNT #: 00069437322        | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-841I - QUANTUM GLOBAL, | FUNDAMENTAL INVESTORS-R3            | 0.00                 | 100.33              | 0.00               | 100.33            | 90.0 | 90.30                |
|  | ACCOUNT #: 00089113446        | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-1748 - SOHO CONSULTING | FUNDAMENTAL INVESTORS-R3            | 0.00                 | 27.60               | 0.00               | 27.60             | 90.0 | 24.84                |
|  | ACCOUNT #: 04000435907        | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-9213 - T.K.T.          | FUNDAMENTAL INVESTORS-R4            | 0.00                 | 87.84               | 0.00               | 87.84             | 90.0 | 79.06                |
|  | ACCOUNT #: 00088205270        | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-5733 - SHEPARD         | FUNDAMENTAL INVESTORS-R4            | 0.00                 | 61.68               | 0.00               | 61.68             | 90.0 | 55.51                |
|  | ACCOUNT #: 00089983723        | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-9213 - T.K.T.          | GLOBAL BALANCED FUND R-4            | 0.00                 | 88.45               | 0.00               | 88.45             | 90.0 | 79.61                |
|  | ACCOUNT #: 00088205270        | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-603I - BERRINGTON,     | INFLATION LINKED BOND FUND-A        | 0.00                 | 16.86               | 0.00               | 16.86             | 90.0 | 15.17                |
|  | ACCOUNT #: 00082694764        | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-603I - BERRINGTON,     | INFLATION LINKED BOND FUND-A        | 0.00                 | 16.17               | 0.00               | 16.17             | 90.0 | 14.55                |
|  | ACCOUNT #: 00087334141        | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-295P - STOCK, GEOFFREY | INTERMEDIATE BOND FUND OF AMERICA-A | 0.00                 | 2.69                | 0.00               | 2.69              | 90.0 | 2.42                 |
|  | ACCOUNT #: 00066963398        | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-105P - WEINER, HEIDI   | INTERMEDIATE BOND FUND OF AMERICA-A | 0.00                 | 0.32                | 0.00               | 0.32              | 90.0 | 0.29                 |
|  | ACCOUNT #: 00068510597        | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-975P - WALTER,         | INTERMEDIATE BOND FUND OF AMERICA-A | 0.00                 | 0.38                | 0.00               | 0.38              | 90.0 | 0.34                 |
|  | ACCOUNT #: 00068510601        | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-299I - SHIBATA, CARLOS | INTERNATIONAL GROWTH AND INCOME-A   | 0.00                 | 14.76               | 0.00               | 14.76             | 90.0 | 13.28                |
|  | ACCOUNT #: 00060952412        | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-500I - HAMANO, JEAN    | INTERNATIONAL GROWTH AND INCOME-A   | 0.00                 | 47.84               | 0.00               | 47.84             | 90.0 | 43.06                |
|  | ACCOUNT #: 00061423904        | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-492I - LEVIN, RICKY    | INTERNATIONAL GROWTH AND INCOME-A   | 0.00                 | 34.34               | 0.00               | 34.34             | 90.0 | 30.91                |
|  | ACCOUNT #: 00062404678        | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-61IN - HAMANO, CLAYTON | INTERNATIONAL GROWTH AND INCOME-A   | 0.00                 | 10.87               | 0.00               | 10.87             | 90.0 | 9.78                 |
|  | ACCOUNT #: 00062664398        | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-65IN - JACKSON,        | INTERNATIONAL GROWTH AND INCOME-A   | 0.00                 | 19.77               | 0.00               | 19.77             | 90.0 | 17.79                |
|  | ACCOUNT #: 00064850415        | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |



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BRANCH #01001 - LifeMark Home Office

| DATE   | CLIENT  | INVESTMENT   | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|--|---|--|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b>BROKER TRANSACTIONS (continued)</b>                       |   |  |                      |                     |                    |                   |      |                      |
| <b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</b> |   |  |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-58IN - HAMANO,<br>ACCOUNT #: 00066918565         | INTERNATIONAL GROWTH AND INCOME-A<br>BUY 0 Units @0.0000 | 0.00                 | 1.34                | 0.00               | 1.34              | 90.0 | 1.21                 |
| 03/01/2018   | ***-**-865P - BERRINGTON,<br>ACCOUNT #: 00067233928     | INTERNATIONAL GROWTH AND INCOME-A<br>BUY 0 Units @0.0000 | 0.00                 | 5.47                | 0.00               | 5.47              | 90.0 | 4.92                 |
| 03/01/2018   | ***-**-03IN - HAMANO,<br>ACCOUNT #: 00067286247         | INTERNATIONAL GROWTH AND INCOME-A<br>BUY 0 Units @0.0000 | 0.00                 | 131.09              | 0.00               | 131.09            | 90.0 | 117.98               |
| 03/01/2018   | ***-**-03IN - BERRINGTON,<br>ACCOUNT #: 00082134167     | INTERNATIONAL GROWTH AND INCOME-A<br>BUY 0 Units @0.0000 | 0.00                 | 8.75                | 0.00               | 8.75              | 90.0 | 7.88                 |
| 03/01/2018   | ***-**-603I - BERRINGTON,<br>ACCOUNT #: 00082694764     | INTERNATIONAL GROWTH AND INCOME-A<br>BUY 0 Units @0.0000 | 0.00                 | 21.60               | 0.00               | 21.60             | 90.0 | 19.44                |
| 03/01/2018   | ***-**-27UG - HAMANO, MICKEY<br>ACCOUNT #: 00084677372  | INTERNATIONAL GROWTH AND INCOME-A<br>BUY 0 Units @0.0000 | 0.00                 | 1.17                | 0.00               | 1.17              | 90.0 | 1.05                 |
| 03/01/2018   | ***-**-26UG - JACKSON,<br>ACCOUNT #: 00084677451        | INTERNATIONAL GROWTH AND INCOME-A<br>BUY 0 Units @0.0000 | 0.00                 | 1.17                | 0.00               | 1.17              | 90.0 | 1.05                 |
| 03/01/2018   | ***-**-545J - JACKSON,<br>ACCOUNT #: 00084700195        | INTERNATIONAL GROWTH AND INCOME-A<br>BUY 0 Units @0.0000 | 0.00                 | 35.09               | 0.00               | 35.09             | 90.0 | 31.58                |
| 03/01/2018   | ***-**-26TR - HAMANO TTEE,<br>ACCOUNT #: 00087163355    | INTERNATIONAL GROWTH AND INCOME-A<br>BUY 0 Units @0.0000 | 0.00                 | 3.12                | 0.00               | 3.12              | 90.0 | 2.81                 |
| 03/01/2018   | ***-**-603I - BERRINGTON,<br>ACCOUNT #: 00087334141     | INTERNATIONAL GROWTH AND INCOME-A<br>BUY 0 Units @0.0000 | 0.00                 | 3.41                | 0.00               | 3.41              | 90.0 | 3.07                 |
| 03/01/2018   | ***-**-822I - ROSEN, KENDRA<br>ACCOUNT #: 00088044721   | INTERNATIONAL GROWTH AND INCOME-A<br>BUY 0 Units @0.0000 | 0.00                 | 0.65                | 0.00               | 0.65              | 90.0 | 0.59                 |
| 03/01/2018   | ***-**-822I - ROSEN, KENDRA<br>ACCOUNT #: 00088044824   | INTERNATIONAL GROWTH AND INCOME-A<br>BUY 0 Units @0.0000 | 0.00                 | 7.35                | 0.00               | 7.35              | 90.0 | 6.62                 |
| 03/01/2018   | ***-**-3032 - RUFF TRUST,<br>ACCOUNT #: 00088603402     | INTERNATIONAL GROWTH AND INCOME-A<br>BUY 0 Units @0.0000 | 0.00                 | 22.13               | 0.00               | 22.13             | 90.0 | 19.92                |
| 03/01/2018   | ***-**-965P - WALTER, MICHAEL<br>ACCOUNT #: 00064114510 | NEW PERSPECTIVE FUND-A<br>BUY 0 Units @0.0000            | 0.00                 | 2.89                | 0.00               | 2.89              | 90.0 | 2.60                 |
| 03/01/2018   | ***-**-299I - SHIBATA, CARLOS<br>ACCOUNT #: 00060952412 | NEW PERSPECTIVE FUND-A<br>BUY 0 Units @0.0000            | 0.00                 | 21.39               | 0.00               | 21.39             | 90.0 | 19.25                |
| 03/01/2018   | ***-**-500I - HAMANO, JEAN<br>ACCOUNT #: 00061423904    | NEW PERSPECTIVE FUND-A<br>BUY 0 Units @0.0000            | 0.00                 | 59.31               | 0.00               | 59.31             | 90.0 | 53.38                |



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| DATE   | CLIENT                         | INVESTMENT             | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|--|--------------------------------|------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b>BROKER TRANSACTIONS (continued)</b>                       |                                |                        |                      |                     |                    |                   |      |                      |
| <b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</b> |                                |                        |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-23TR - BARRAD, ROCHELLE | NEW PERSPECTIVE FUND-A | 0.00                 | 122.71              | 0.00               | 122.71            | 90.0 | 110.44               |
|  | ACCOUNT #: 00061679998         | BUY 0 Units @0.0000    |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-99TR - SHIBATA, CARLOS  | NEW PERSPECTIVE FUND-A | 0.00                 | 49.32               | 0.00               | 49.32             | 90.0 | 44.39                |
|  | ACCOUNT #: 00061753986         | BUY 0 Units @0.0000    |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-492I - LEVIN, RICKY     | NEW PERSPECTIVE FUND-A | 0.00                 | 13.05               | 0.00               | 13.05             | 90.0 | 11.75                |
|  | ACCOUNT #: 00062404678         | BUY 0 Units @0.0000    |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-365P - BECKER, MICHAEL  | NEW PERSPECTIVE FUND-A | 0.00                 | 12.42               | 0.00               | 12.42             | 90.0 | 11.18                |
|  | ACCOUNT #: 00062435957         | BUY 0 Units @0.0000    |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-595P - RETALLICK, LANCE | NEW PERSPECTIVE FUND-A | 0.00                 | 82.69               | 0.00               | 82.69             | 90.0 | 74.42                |
|  | ACCOUNT #: 00062435967         | BUY 0 Units @0.0000    |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-61IN - HAMANO, CLAYTON  | NEW PERSPECTIVE FUND-A | 0.00                 | 1.96                | 0.00               | 1.96              | 90.0 | 1.76                 |
|  | ACCOUNT #: 00062664398         | BUY 0 Units @0.0000    |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-365I - JACKSON, KARLA   | NEW PERSPECTIVE FUND-A | 0.00                 | 10.82               | 0.00               | 10.82             | 90.0 | 9.74                 |
|  | ACCOUNT #: 00062781825         | BUY 0 Units @0.0000    |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-905P - MORGAN, ALAN     | NEW PERSPECTIVE FUND-A | 0.00                 | 0.50                | 0.00               | 0.50              | 90.0 | 0.45                 |
|  | ACCOUNT #: 00063694037         | BUY 0 Units @0.0000    |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-65IN - JACKSON,         | NEW PERSPECTIVE FUND-A | 0.00                 | 13.94               | 0.00               | 13.94             | 90.0 | 12.55                |
|  | ACCOUNT #: 00064850415         | BUY 0 Units @0.0000    |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-695P - HEURING,         | NEW PERSPECTIVE FUND-A | 0.00                 | 27.48               | 0.00               | 27.48             | 90.0 | 24.73                |
|  | ACCOUNT #: 00073816154         | BUY 0 Units @0.0000    |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-03IN - BERRINGTON,      | NEW PERSPECTIVE FUND-A | 0.00                 | 22.49               | 0.00               | 22.49             | 90.0 | 20.24                |
|  | ACCOUNT #: 00082134167         | BUY 0 Units @0.0000    |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-787I - SYRJA, JOUNI     | NEW PERSPECTIVE FUND-A | 0.00                 | 10.14               | 0.00               | 10.14             | 90.0 | 9.13                 |
|  | ACCOUNT #: 00087188685         | BUY 0 Units @0.0000    |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-603I - BERRINGTON,      | NEW PERSPECTIVE FUND-A | 0.00                 | 3.47                | 0.00               | 3.47              | 90.0 | 3.12                 |
|  | ACCOUNT #: 00087334141         | BUY 0 Units @0.0000    |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-70UG - HAMANO, RACHEL   | NEW PERSPECTIVE FUND-A | 0.00                 | 28.70               | 0.00               | 28.70             | 90.0 | 25.83                |
|  | ACCOUNT #: 00087693744         | BUY 0 Units @0.0000    |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-822I - ROSEN, KENDRA    | NEW PERSPECTIVE FUND-A | 0.00                 | 0.86                | 0.00               | 0.86              | 90.0 | 0.77                 |
|  | ACCOUNT #: 00088044721         | BUY 0 Units @0.0000    |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-822I - ROSEN, KENDRA    | NEW PERSPECTIVE FUND-A | 0.00                 | 9.70                | 0.00               | 9.70              | 90.0 | 8.73                 |
|  | ACCOUNT #: 00088044824         | BUY 0 Units @0.0000    |                      |                     |                    |                   |      |                      |



# COMMISSION STATEMENT

March 12, 2018

STEVEN SCHOENBRUN  
175 Olde Half Day Rd.  
Suite 200  
Lincolnshire, IL 60069

BROKER #: 217  
BRANCH #01001 - LifeMark Home Office

| DATE   | CLIENT  | INVESTMENT                                    | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|--|---|---|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b>BROKER TRANSACTIONS (continued)</b>                       |   |   |                      |                     |                    |                   |      |                      |
| <b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</b> |   |   |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-470J - BRADY, RACHEL<br>ACCOUNT #: 00088496937   | NEW PERSPECTIVE FUND-A<br>BUY 0 Units @0.0000 | 0.00                 | 2.14                | 0.00               | 2.14              | 90.0 | 1.93                 |
| 03/01/2018   | ***-**-470J - BRADY, RACHEL<br>ACCOUNT #: 00088506996   | NEW PERSPECTIVE FUND-A<br>BUY 0 Units @0.0000 | 0.00                 | 9.70                | 0.00               | 9.70              | 90.0 | 8.73                 |
| 03/01/2018   | ***-**-3032 - RUFF TRUST,<br>ACCOUNT #: 00088603402     | NEW PERSPECTIVE FUND-A<br>BUY 0 Units @0.0000 | 0.00                 | 24.92               | 0.00               | 24.92             | 90.0 | 22.43                |
| 03/01/2018   | ***-**-299I - SHIBATA, CARLOS<br>ACCOUNT #: 00060952412 | NEW WORLD FUND-A<br>BUY 0 Units @0.0000       | 0.00                 | 30.33               | 0.00               | 30.33             | 90.0 | 27.30                |
| 03/01/2018   | ***-**-492I - LEVIN, RICKY<br>ACCOUNT #: 00062404678    | NEW WORLD FUND-A<br>BUY 0 Units @0.0000       | 0.00                 | 16.84               | 0.00               | 16.84             | 90.0 | 15.16                |
| 03/01/2018   | ***-**-61IN - HAMANO, CLAYTON<br>ACCOUNT #: 00062664398 | NEW WORLD FUND-A<br>BUY 0 Units @0.0000       | 0.00                 | 9.67                | 0.00               | 9.67              | 90.0 | 8.70                 |
| 03/01/2018   | ***-**-365I - JACKSON, KARLA<br>ACCOUNT #: 00062781825  | NEW WORLD FUND-A<br>BUY 0 Units @0.0000       | 0.00                 | 9.44                | 0.00               | 9.44              | 90.0 | 8.50                 |
| 03/01/2018   | ***-**-261I - HAMANO, CLAYTON<br>ACCOUNT #: 00063189957 | NEW WORLD FUND-A<br>BUY 0 Units @0.0000       | 0.00                 | 3.22                | 0.00               | 3.22              | 90.0 | 2.90                 |
| 03/01/2018   | ***-**-65IN - JACKSON,<br>ACCOUNT #: 00064850415        | NEW WORLD FUND-A<br>BUY 0 Units @0.0000       | 0.00                 | 5.48                | 0.00               | 5.48              | 90.0 | 4.93                 |
| 03/01/2018   | ***-**-03IN - HAMANO,<br>ACCOUNT #: 00067286247         | NEW WORLD FUND-A<br>BUY 0 Units @0.0000       | 0.00                 | 138.43              | 0.00               | 138.43            | 90.0 | 124.59               |
| 03/01/2018   | ***-**-03IN - BERRINGTON,<br>ACCOUNT #: 00082134167     | NEW WORLD FUND-A<br>BUY 0 Units @0.0000       | 0.00                 | 25.63               | 0.00               | 25.63             | 90.0 | 23.07                |
| 03/01/2018   | ***-**-27UG - HAMANO, MICKEY<br>ACCOUNT #: 00084677372  | NEW WORLD FUND-A<br>BUY 0 Units @0.0000       | 0.00                 | 6.51                | 0.00               | 6.51              | 90.0 | 5.86                 |
| 03/01/2018   | ***-**-26UG - JACKSON,<br>ACCOUNT #: 00084677451        | NEW WORLD FUND-A<br>BUY 0 Units @0.0000       | 0.00                 | 6.51                | 0.00               | 6.51              | 90.0 | 5.86                 |
| 03/01/2018   | ***-**-545J - JACKSON,<br>ACCOUNT #: 00084700195        | NEW WORLD FUND-A<br>BUY 0 Units @0.0000       | 0.00                 | 38.40               | 0.00               | 38.40             | 90.0 | 34.56                |
| 03/01/2018   | ***-**-30SI - KRAMER,<br>ACCOUNT #: 00085074284         | NEW WORLD FUND-A<br>BUY 0 Units @0.0000       | 0.00                 | 0.42                | 0.00               | 0.42              | 90.0 | 0.38                 |
| 03/01/2018   | ***-**-55UG - HAMANO, BRANDON<br>ACCOUNT #: 00085206204 | NEW WORLD FUND-A<br>BUY 0 Units @0.0000       | 0.00                 | 4.90                | 0.00               | 4.90              | 90.0 | 4.41                 |



# COMMISSION STATEMENT

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BRANCH #01001 - LifeMark Home Office

| DATE   | CLIENT                         | INVESTMENT             | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|--|--------------------------------|------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b>BROKER TRANSACTIONS (continued)</b>                       |                                |                        |                      |                     |                    |                   |      |                      |
| <b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</b> |                                |                        |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-167I - LAX LOW, JAANA   | NEW WORLD FUND-A       | 0.00                 | 35.17               | 0.00               | 35.17             | 90.0 | 31.65                |
|  | ACCOUNT #: 00087177160         | BUY 0 Units @0.0000    |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-787I - SYRJA, JOUNI     | NEW WORLD FUND-A       | 0.00                 | 7.76                | 0.00               | 7.76              | 90.0 | 6.98                 |
|  | ACCOUNT #: 00087188685         | BUY 0 Units @0.0000    |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-603I - BERRINGTON,      | NEW WORLD FUND-A       | 0.00                 | 3.59                | 0.00               | 3.59              | 90.0 | 3.23                 |
|  | ACCOUNT #: 00087334141         | BUY 0 Units @0.0000    |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-36UT - HAMANO, MIA      | NEW WORLD FUND-A       | 0.00                 | 1.17                | 0.00               | 1.17              | 90.0 | 1.05                 |
|  | ACCOUNT #: 00087546075         | BUY 0 Units @0.0000    |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-822I - ROSEN, KENDRA    | NEW WORLD FUND-A       | 0.00                 | 0.73                | 0.00               | 0.73              | 90.0 | 0.66                 |
|  | ACCOUNT #: 00088044721         | BUY 0 Units @0.0000    |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-822I - ROSEN, KENDRA    | NEW WORLD FUND-A       | 0.00                 | 8.26                | 0.00               | 8.26              | 90.0 | 7.43                 |
|  | ACCOUNT #: 00088044824         | BUY 0 Units @0.0000    |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-073J - MASLAN, STEVEN   | NEW WORLD FUND-A       | 0.00                 | 7.45                | 0.00               | 7.45              | 90.0 | 6.71                 |
|  | ACCOUNT #: 00088079602         | BUY 0 Units @0.0000    |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-195P - SCHMIDT, MICHAEL | NEW WORLD FUND-A       | 0.00                 | 12.94               | 0.00               | 12.94             | 90.0 | 11.65                |
|  | ACCOUNT #: 00088118744         | BUY 0 Units @0.0000    |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-3032 - RUFF TRUST,      | NEW WORLD FUND-A       | 0.00                 | 24.27               | 0.00               | 24.27             | 90.0 | 21.84                |
|  | ACCOUNT #: 00088603402         | BUY 0 Units @0.0000    |                      |                     |                    |                   |      |                      |
| 03/12/2018   | ***-**-91DB - PETERS, RANDALL  | QUALIFIED PLAN SUMMARY | 0.00                 | 431.15              | 0.00               | 431.15            | 90.0 | 388.04               |
|  | ACCOUNT #: 00067087327         | BUY 0 Units @0.0000    |                      |                     |                    |                   |      |                      |
| 03/12/2018   | ***-**-089I - HAMANO, MICKEY   | QUALIFIED PLAN SUMMARY | 0.00                 | 590.23              | 0.00               | 590.23            | 90.0 | 531.21               |
|  | ACCOUNT #: 00061421231         | BUY 0 Units @0.0000    |                      |                     |                    |                   |      |                      |
| 03/12/2018   | ***-**-29CL - SCHOENBRUN,      | QUALIFIED PLAN SUMMARY | 0.00                 | 1,655.39            | 0.00               | 1,655.39          | 90.0 | 1,489.87             |
|  | ACCOUNT #: 00087827883         | BUY 0 Units @0.0000    |                      |                     |                    |                   |      |                      |
| 03/12/2018   | ***-**-529K - ELK GROVE LAB,   | QUALIFIED PLAN SUMMARY | 0.00                 | 3,745.21            | 0.00               | 3,745.21          | 90.0 | 3,370.69             |
|  | ACCOUNT #: 00083767728         | BUY 0 Units @0.0000    |                      |                     |                    |                   |      |                      |
| 03/12/2018   | ***-**-676O - DURABILT DYVEX   | QUALIFIED PLAN SUMMARY | 0.00                 | 1,422.90            | 0.00               | 1,422.90          | 90.0 | 1,280.61             |
|  | ACCOUNT #: 00084628858         | BUY 0 Units @0.0000    |                      |                     |                    |                   |      |                      |
| 03/12/2018   | ***-**-4743 - RATHBUN          | QUALIFIED PLAN SUMMARY | 0.00                 | 1,605.35            | 0.00               | 1,605.35          | 90.0 | 1,444.83             |
|  | ACCOUNT #: 00084300168         | BUY 0 Units @0.0000    |                      |                     |                    |                   |      |                      |
| 03/12/2018   | ***-**-7116 - C BERRINGTON &   | QUALIFIED PLAN SUMMARY | 0.00                 | 659.63              | 0.00               | 659.63            | 90.0 | 593.66               |
|  | ACCOUNT #: 00082134681         | BUY 0 Units @0.0000    |                      |                     |                    |                   |      |                      |



# COMMISSION STATEMENT

March 12, 2018

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BROKER #: 217  
BRANCH #01001 - LifeMark Home Office

| DATE   | CLIENT                        | INVESTMENT                          | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|--|-------------------------------|-------------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b>BROKER TRANSACTIONS (continued)</b>                       |                               |                                     |                      |                     |                    |                   |      |                      |
| <b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</b> |                               |                                     |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-10SI - JOHNSON, JASON  | SHORT-TERM BOND FUND OF AMERICA - A | 0.00                 | 0.08                | 0.00               | 0.08              | 90.0 | 0.07                 |
|  | ACCOUNT #: 00085074304        | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-26TR - HAMANO TTEE,    | SHORT-TERM BOND FUND OF AMERICA - A | 0.00                 | 1.08                | 0.00               | 1.08              | 90.0 | 0.97                 |
|  | ACCOUNT #: 00087163355        | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-500I - HAMANO, JEAN    | SMALLCAP WORLD FUND-A               | 0.00                 | 48.37               | 0.00               | 48.37             | 90.0 | 43.53                |
|  | ACCOUNT #: 00061423904        | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-99TR - SHIBATA, CARLOS | SMALLCAP WORLD FUND-A               | 0.00                 | 63.20               | 0.00               | 63.20             | 90.0 | 56.88                |
|  | ACCOUNT #: 00061753986        | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-492I - LEVIN, RICKY    | SMALLCAP WORLD FUND-A               | 0.00                 | 22.06               | 0.00               | 22.06             | 90.0 | 19.85                |
|  | ACCOUNT #: 00062404678        | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-365P - BECKER, MICHAEL | SMALLCAP WORLD FUND-A               | 0.00                 | 39.20               | 0.00               | 39.20             | 90.0 | 35.28                |
|  | ACCOUNT #: 00062435957        | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-61IN - HAMANO, CLAYTON | SMALLCAP WORLD FUND-A               | 0.00                 | 12.44               | 0.00               | 12.44             | 90.0 | 11.20                |
|  | ACCOUNT #: 00062664398        | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-65IN - JACKSON,        | SMALLCAP WORLD FUND-A               | 0.00                 | 37.46               | 0.00               | 37.46             | 90.0 | 33.71                |
|  | ACCOUNT #: 00064850415        | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-93SI - ROSCH, TRAVIS   | SMALLCAP WORLD FUND-A               | 0.00                 | 11.94               | 0.00               | 11.94             | 90.0 | 10.75                |
|  | ACCOUNT #: 00085681293        | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-167I - LAX LOW, JAANA  | SMALLCAP WORLD FUND-A               | 0.00                 | 45.11               | 0.00               | 45.11             | 90.0 | 40.60                |
|  | ACCOUNT #: 00087177160        | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-787I - SYRJA, JOUNI    | SMALLCAP WORLD FUND-A               | 0.00                 | 9.95                | 0.00               | 9.95              | 90.0 | 8.96                 |
|  | ACCOUNT #: 00087188685        | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-822I - ROSEN, KENDRA   | SMALLCAP WORLD FUND-A               | 0.00                 | 0.84                | 0.00               | 0.84              | 90.0 | 0.76                 |
|  | ACCOUNT #: 00088044721        | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-822I - ROSEN, KENDRA   | SMALLCAP WORLD FUND-A               | 0.00                 | 9.50                | 0.00               | 9.50              | 90.0 | 8.55                 |
|  | ACCOUNT #: 00088044824        | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-570I - BIEGEL, MONICA  | SMALLCAP WORLD FUND-A               | 0.00                 | 0.87                | 0.00               | 0.87              | 90.0 | 0.78                 |
|  | ACCOUNT #: 00088062582        | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-886I - BIEGEL, JEFFREY | SMALLCAP WORLD FUND-A               | 0.00                 | 3.97                | 0.00               | 3.97              | 90.0 | 3.57                 |
|  | ACCOUNT #: 00088062912        | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-570I - BIEGEL, MONICA  | SMALLCAP WORLD FUND-A               | 0.00                 | 1.00                | 0.00               | 1.00              | 90.0 | 0.90                 |
|  | ACCOUNT #: 00088062945        | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |



# COMMISSION STATEMENT

March 12, 2018

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| DATE   | CLIENT                         | INVESTMENT                 | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|--|--------------------------------|----------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b>BROKER TRANSACTIONS (continued)</b>                       |                                |                            |                      |                     |                    |                   |      |                      |
| <b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</b> |                                |                            |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-570I - BIEGEL, MONICA   | SMALLCAP WORLD FUND-A      | 0.00                 | 1.00                | 0.00               | 1.00              | 90.0 | 0.90                 |
|  | ACCOUNT #: 00088062971         | BUY 0 Units @0.0000        |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-570I - BIEGEL, MONICA   | SMALLCAP WORLD FUND-A      | 0.00                 | 0.94                | 0.00               | 0.94              | 90.0 | 0.85                 |
|  | ACCOUNT #: 00088062992         | BUY 0 Units @0.0000        |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-570I - BIEGEL, MONICA   | SMALLCAP WORLD FUND-A      | 0.00                 | 5.23                | 0.00               | 5.23              | 90.0 | 4.71                 |
|  | ACCOUNT #: 00088064708         | BUY 0 Units @0.0000        |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-073J - MASLAN, STEVEN   | SMALLCAP WORLD FUND-A      | 0.00                 | 8.37                | 0.00               | 8.37              | 90.0 | 7.53                 |
|  | ACCOUNT #: 00088079602         | BUY 0 Units @0.0000        |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-3032 - RUFF TRUST,      | SMALLCAP WORLD FUND-A      | 0.00                 | 24.15               | 0.00               | 24.15             | 90.0 | 21.74                |
|  | ACCOUNT #: 00088603402         | BUY 0 Units @0.0000        |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-299I - SHIBATA, CARLOS  | THE BOND FUND OF AMERICA-A | 0.00                 | 40.38               | 0.00               | 40.38             | 90.0 | 36.34                |
|  | ACCOUNT #: 00060952412         | BUY 0 Units @0.0000        |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-23TR - BARRAD, ROCHELLE | THE BOND FUND OF AMERICA-A | 0.00                 | 47.15               | 0.00               | 47.15             | 90.0 | 42.44                |
|  | ACCOUNT #: 00061679998         | BUY 0 Units @0.0000        |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-99TR - SHIBATA, CARLOS  | THE BOND FUND OF AMERICA-A | 0.00                 | 88.23               | 0.00               | 88.23             | 90.0 | 79.41                |
|  | ACCOUNT #: 00061753986         | BUY 0 Units @0.0000        |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-005P - AYLESWORTH,      | THE BOND FUND OF AMERICA-A | 0.00                 | 2.96                | 0.00               | 2.96              | 90.0 | 2.66                 |
|  | ACCOUNT #: 00062435953         | BUY 0 Units @0.0000        |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-365I - JACKSON, KARLA   | THE BOND FUND OF AMERICA-A | 0.00                 | 8.45                | 0.00               | 8.45              | 90.0 | 7.61                 |
|  | ACCOUNT #: 00062781825         | BUY 0 Units @0.0000        |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-65IN - JACKSON,         | THE BOND FUND OF AMERICA-A | 0.00                 | 12.74               | 0.00               | 12.74             | 90.0 | 11.47                |
|  | ACCOUNT #: 00064850415         | BUY 0 Units @0.0000        |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-915P - SHERMAN, MYRNA   | THE BOND FUND OF AMERICA-A | 0.00                 | 13.22               | 0.00               | 13.22             | 90.0 | 11.90                |
|  | ACCOUNT #: 00068166485         | BUY 0 Units @0.0000        |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-925P - GEISSLER, GRANT  | THE BOND FUND OF AMERICA-A | 0.00                 | 54.91               | 0.00               | 54.91             | 90.0 | 49.42                |
|  | ACCOUNT #: 00081274092         | BUY 0 Units @0.0000        |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-603I - BERRINGTON,      | THE BOND FUND OF AMERICA-A | 0.00                 | 17.09               | 0.00               | 17.09             | 90.0 | 15.38                |
|  | ACCOUNT #: 00082694764         | BUY 0 Units @0.0000        |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-167I - LAX LOW, JAANA   | THE BOND FUND OF AMERICA-A | 0.00                 | 16.97               | 0.00               | 16.97             | 90.0 | 15.27                |
|  | ACCOUNT #: 00087177160         | BUY 0 Units @0.0000        |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-603I - BERRINGTON,      | THE BOND FUND OF AMERICA-A | 0.00                 | 4.07                | 0.00               | 4.07              | 90.0 | 3.66                 |
|  | ACCOUNT #: 00087334141         | BUY 0 Units @0.0000        |                      |                     |                    |                   |      |                      |





# COMMISSION STATEMENT

March 12, 2018

STEVEN SCHOENBRUN  
175 Olde Half Day Rd.  
Suite 200  
Lincolnshire, IL 60069

BROKER #: 217  
BRANCH #01001 - LifeMark Home Office

| DATE   | CLIENT                         | INVESTMENT                   | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|--|--------------------------------|------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b>BROKER TRANSACTIONS (continued)</b>                       |                                |                              |                      |                     |                    |                   |      |                      |
| <b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</b> |                                |                              |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-70UG - HAMANO, RACHEL   | THE BOND FUND OF AMERICA-A   | 0.00                 | 19.70               | 0.00               | 19.70             | 90.0 | 17.73                |
|  | ACCOUNT #: 00087693744         | BUY 0 Units @0.0000          |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-570I - BIEGEL, MONICA   | THE BOND FUND OF AMERICA-A   | 0.00                 | 3.57                | 0.00               | 3.57              | 90.0 | 3.21                 |
|  | ACCOUNT #: 00088062582         | BUY 0 Units @0.0000          |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-886I - BIEGEL, JEFFREY  | THE BOND FUND OF AMERICA-A   | 0.00                 | 16.89               | 0.00               | 16.89             | 90.0 | 15.20                |
|  | ACCOUNT #: 00088062912         | BUY 0 Units @0.0000          |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-570I - BIEGEL, MONICA   | THE BOND FUND OF AMERICA-A   | 0.00                 | 4.29                | 0.00               | 4.29              | 90.0 | 3.86                 |
|  | ACCOUNT #: 00088062945         | BUY 0 Units @0.0000          |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-570I - BIEGEL, MONICA   | THE BOND FUND OF AMERICA-A   | 0.00                 | 4.29                | 0.00               | 4.29              | 90.0 | 3.86                 |
|  | ACCOUNT #: 00088062971         | BUY 0 Units @0.0000          |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-570I - BIEGEL, MONICA   | THE BOND FUND OF AMERICA-A   | 0.00                 | 4.01                | 0.00               | 4.01              | 90.0 | 3.61                 |
|  | ACCOUNT #: 00088062992         | BUY 0 Units @0.0000          |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-570I - BIEGEL, MONICA   | THE BOND FUND OF AMERICA-A   | 0.00                 | 22.19               | 0.00               | 22.19             | 90.0 | 19.97                |
|  | ACCOUNT #: 00088064708         | BUY 0 Units @0.0000          |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-073J - MASLAN, STEVEN   | THE BOND FUND OF AMERICA-A   | 0.00                 | 16.10               | 0.00               | 16.10             | 90.0 | 14.49                |
|  | ACCOUNT #: 00088079602         | BUY 0 Units @0.0000          |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-195P - SCHMIDT, MICHAEL | THE BOND FUND OF AMERICA-A   | 0.00                 | 18.98               | 0.00               | 18.98             | 90.0 | 17.08                |
|  | ACCOUNT #: 00088118744         | BUY 0 Units @0.0000          |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-365I - JACKSON, KARLA   | THE BOND FUND OF AMERICA-A   | 0.00                 | 1.89                | 0.00               | 1.89              | 90.0 | 1.70                 |
|  | ACCOUNT #: 00088470071         | BUY 0 Units @0.0000          |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-470J - BRADY, RACHEL    | THE BOND FUND OF AMERICA-A   | 0.00                 | 1.30                | 0.00               | 1.30              | 90.0 | 1.17                 |
|  | ACCOUNT #: 00088496937         | BUY 0 Units @0.0000          |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-470J - BRADY, RACHEL    | THE BOND FUND OF AMERICA-A   | 0.00                 | 5.90                | 0.00               | 5.90              | 90.0 | 5.31                 |
|  | ACCOUNT #: 00088506996         | BUY 0 Units @0.0000          |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-3032 - RUFF TRUST,      | THE BOND FUND OF AMERICA-A   | 0.00                 | 32.28               | 0.00               | 32.28             | 90.0 | 29.05                |
|  | ACCOUNT #: 00088603402         | BUY 0 Units @0.0000          |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-965P - WALTER, MICHAEL  | THE GROWTH FUND OF AMERICA-A | 0.00                 | 2.17                | 0.00               | 2.17              | 90.0 | 1.95                 |
|  | ACCOUNT #: 00064114510         | BUY 0 Units @0.0000          |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-299I - SHIBATA, CARLOS  | THE GROWTH FUND OF AMERICA-A | 0.00                 | 61.77               | 0.00               | 61.77             | 90.0 | 55.59                |
|  | ACCOUNT #: 00060952412         | BUY 0 Units @0.0000          |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-500I - HAMANO, JEAN     | THE GROWTH FUND OF AMERICA-A | 0.00                 | 168.70              | 0.00               | 168.70            | 90.0 | 151.83               |
|  | ACCOUNT #: 00061423904         | BUY 0 Units @0.0000          |                      |                     |                    |                   |      |                      |



# COMMISSION STATEMENT

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BROKER #: 217  
BRANCH #01001 - LifeMark Home Office

| DATE   | CLIENT  | INVESTMENT  | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|--|---|---|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b>BROKER TRANSACTIONS (continued)</b>                       |   |   |                      |                     |                    |                   |      |                      |
| <b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</b> |   |   |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-492I - LEVIN, RICKY<br>ACCOUNT #: 00062404678    | THE GROWTH FUND OF AMERICA-A<br>BUY 0 Units @0.0000 | 0.00                 | 79.17               | 0.00               | 79.17             | 90.0 | 71.25                |
| 03/01/2018   | ***-**-855P - BECKER, GLENN<br>ACCOUNT #: 00062435955   | THE GROWTH FUND OF AMERICA-A<br>BUY 0 Units @0.0000 | 0.00                 | 202.41              | 0.00               | 202.41            | 90.0 | 182.17               |
| 03/01/2018   | ***-**-365P - BECKER, MICHAEL<br>ACCOUNT #: 00062435957 | THE GROWTH FUND OF AMERICA-A<br>BUY 0 Units @0.0000 | 0.00                 | 39.45               | 0.00               | 39.45             | 90.0 | 35.51                |
| 03/01/2018   | ***-**-855P - BECKER, JANEL<br>ACCOUNT #: 00062435958   | THE GROWTH FUND OF AMERICA-A<br>BUY 0 Units @0.0000 | 0.00                 | 160.71              | 0.00               | 160.71            | 90.0 | 144.64               |
| 03/01/2018   | ***-**-365I - JACKSON, KARLA<br>ACCOUNT #: 00062781825  | THE GROWTH FUND OF AMERICA-A<br>BUY 0 Units @0.0000 | 0.00                 | 19.85               | 0.00               | 19.85             | 90.0 | 17.87                |
| 03/01/2018   | ***-**-615P - BECKER, JANEL<br>ACCOUNT #: 00062835882   | THE GROWTH FUND OF AMERICA-A<br>BUY 0 Units @0.0000 | 0.00                 | 2.00                | 0.00               | 2.00              | 90.0 | 1.80                 |
| 03/01/2018   | ***-**-825P - BECKER, GREGORY<br>ACCOUNT #: 00062835883 | THE GROWTH FUND OF AMERICA-A<br>BUY 0 Units @0.0000 | 0.00                 | 69.03               | 0.00               | 69.03             | 90.0 | 62.13                |
| 03/01/2018   | ***-**-261I - HAMANO, CLAYTON<br>ACCOUNT #: 00063189957 | THE GROWTH FUND OF AMERICA-A<br>BUY 0 Units @0.0000 | 0.00                 | 5.26                | 0.00               | 5.26              | 90.0 | 4.73                 |
| 03/01/2018   | ***-**-735P - ZACARIAS, JOSE<br>ACCOUNT #: 00063611435  | THE GROWTH FUND OF AMERICA-A<br>BUY 0 Units @0.0000 | 0.00                 | 0.38                | 0.00               | 0.38              | 90.0 | 0.34                 |
| 03/01/2018   | ***-**-905P - MORGAN, ALAN<br>ACCOUNT #: 00063694037    | THE GROWTH FUND OF AMERICA-A<br>BUY 0 Units @0.0000 | 0.00                 | 0.23                | 0.00               | 0.23              | 90.0 | 0.21                 |
| 03/01/2018   | ***-**-65IN - JACKSON,<br>ACCOUNT #: 00064850415        | THE GROWTH FUND OF AMERICA-A<br>BUY 0 Units @0.0000 | 0.00                 | 17.80               | 0.00               | 17.80             | 90.0 | 16.02                |
| 03/01/2018   | ***-**-295P - STOCK, GEOFFREY<br>ACCOUNT #: 00066963398 | THE GROWTH FUND OF AMERICA-A<br>BUY 0 Units @0.0000 | 0.00                 | 6.48                | 0.00               | 6.48              | 90.0 | 5.83                 |
| 03/01/2018   | ***-**-105P - WEINER, HEIDI<br>ACCOUNT #: 00068510597   | THE GROWTH FUND OF AMERICA-A<br>BUY 0 Units @0.0000 | 0.00                 | 0.28                | 0.00               | 0.28              | 90.0 | 0.25                 |
| 03/01/2018   | ***-**-745P - WALTER, MICHAEL<br>ACCOUNT #: 00073557845 | THE GROWTH FUND OF AMERICA-A<br>BUY 0 Units @0.0000 | 0.00                 | 5.94                | 0.00               | 5.94              | 90.0 | 5.35                 |
| 03/01/2018   | ***-**-925P - GEISSLER, GRANT<br>ACCOUNT #: 00081274092 | THE GROWTH FUND OF AMERICA-A<br>BUY 0 Units @0.0000 | 0.00                 | 89.90               | 0.00               | 89.90             | 90.0 | 80.91                |
| 03/01/2018   | ***-**-03IN - BERRINGTON,<br>ACCOUNT #: 00082134167     | THE GROWTH FUND OF AMERICA-A<br>BUY 0 Units @0.0000 | 0.00                 | 27.67               | 0.00               | 27.67             | 90.0 | 24.90                |



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| DATE   | CLIENT                        | INVESTMENT                   | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|--|-------------------------------|------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b>BROKER TRANSACTIONS (continued)</b>                       |                               |                              |                      |                     |                    |                   |      |                      |
| <b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</b> |                               |                              |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-27UG - HAMANO, MICKEY  | THE GROWTH FUND OF AMERICA-A | 0.00                 | 10.04               | 0.00               | 10.04             | 90.0 | 9.04                 |
|  | ACCOUNT #: 00084677372        | BUY 0 Units @0.0000          |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-26UG - JACKSON,        | THE GROWTH FUND OF AMERICA-A | 0.00                 | 10.04               | 0.00               | 10.04             | 90.0 | 9.04                 |
|  | ACCOUNT #: 00084677451        | BUY 0 Units @0.0000          |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-545J - JACKSON,        | THE GROWTH FUND OF AMERICA-A | 0.00                 | 55.39               | 0.00               | 55.39             | 90.0 | 49.85                |
|  | ACCOUNT #: 00084700195        | BUY 0 Units @0.0000          |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-55UG - HAMANO, BRANDON | THE GROWTH FUND OF AMERICA-A | 0.00                 | 7.92                | 0.00               | 7.92              | 90.0 | 7.13                 |
|  | ACCOUNT #: 00085206204        | BUY 0 Units @0.0000          |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-167I - LAX LOW, JAANA  | THE GROWTH FUND OF AMERICA-A | 0.00                 | 53.66               | 0.00               | 53.66             | 90.0 | 48.29                |
|  | ACCOUNT #: 00087177160        | BUY 0 Units @0.0000          |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-787I - SYRJA, JOUNI    | THE GROWTH FUND OF AMERICA-A | 0.00                 | 35.65               | 0.00               | 35.65             | 90.0 | 32.09                |
|  | ACCOUNT #: 00087188685        | BUY 0 Units @0.0000          |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-603I - BERRINGTON,     | THE GROWTH FUND OF AMERICA-A | 0.00                 | 4.91                | 0.00               | 4.91              | 90.0 | 4.42                 |
|  | ACCOUNT #: 00087334141        | BUY 0 Units @0.0000          |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-36UT - HAMANO, MIA     | THE GROWTH FUND OF AMERICA-A | 0.00                 | 1.61                | 0.00               | 1.61              | 90.0 | 1.45                 |
|  | ACCOUNT #: 00087546075        | BUY 0 Units @0.0000          |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-70UG - HAMANO, RACHEL  | THE GROWTH FUND OF AMERICA-A | 0.00                 | 31.02               | 0.00               | 31.02             | 90.0 | 27.92                |
|  | ACCOUNT #: 00087693744        | BUY 0 Units @0.0000          |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-822I - ROSEN, KENDRA   | THE GROWTH FUND OF AMERICA-A | 0.00                 | 1.89                | 0.00               | 1.89              | 90.0 | 1.70                 |
|  | ACCOUNT #: 00088044721        | BUY 0 Units @0.0000          |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-822I - ROSEN, KENDRA   | THE GROWTH FUND OF AMERICA-A | 0.00                 | 21.44               | 0.00               | 21.44             | 90.0 | 19.30                |
|  | ACCOUNT #: 00088044824        | BUY 0 Units @0.0000          |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-570I - BIEGEL, MONICA  | THE GROWTH FUND OF AMERICA-A | 0.00                 | 0.98                | 0.00               | 0.98              | 90.0 | 0.88                 |
|  | ACCOUNT #: 00088062582        | BUY 0 Units @0.0000          |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-886I - BIEGEL, JEFFREY | THE GROWTH FUND OF AMERICA-A | 0.00                 | 4.27                | 0.00               | 4.27              | 90.0 | 3.84                 |
|  | ACCOUNT #: 00088062912        | BUY 0 Units @0.0000          |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-570I - BIEGEL, MONICA  | THE GROWTH FUND OF AMERICA-A | 0.00                 | 1.06                | 0.00               | 1.06              | 90.0 | 0.95                 |
|  | ACCOUNT #: 00088062945        | BUY 0 Units @0.0000          |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-570I - BIEGEL, MONICA  | THE GROWTH FUND OF AMERICA-A | 0.00                 | 1.06                | 0.00               | 1.06              | 90.0 | 0.95                 |
|  | ACCOUNT #: 00088062971        | BUY 0 Units @0.0000          |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-570I - BIEGEL, MONICA  | THE GROWTH FUND OF AMERICA-A | 0.00                 | 1.01                | 0.00               | 1.01              | 90.0 | 0.91                 |
|  | ACCOUNT #: 00088062992        | BUY 0 Units @0.0000          |                      |                     |                    |                   |      |                      |



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|--|--------------------------------|-------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b>BROKER TRANSACTIONS (continued)</b>                       |                                |                               |                      |                     |                    |                   |      |                      |
| <b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</b> |                                |                               |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-570I - BIEGEL, MONICA   | THE GROWTH FUND OF AMERICA-A  | 0.00                 | 5.64                | 0.00               | 5.64              | 90.0 | 5.08                 |
|  | ACCOUNT #: 00088064708         | BUY 0 Units @0.0000           |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-073J - MASLAN, STEVEN   | THE GROWTH FUND OF AMERICA-A  | 0.00                 | 18.14               | 0.00               | 18.14             | 90.0 | 16.33                |
|  | ACCOUNT #: 00088079602         | BUY 0 Units @0.0000           |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-195P - SCHMIDT, MICHAEL | THE GROWTH FUND OF AMERICA-A  | 0.00                 | 15.51               | 0.00               | 15.51             | 90.0 | 13.96                |
|  | ACCOUNT #: 00088118744         | BUY 0 Units @0.0000           |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-271J - DAVIDSON, ROBERT | THE GROWTH FUND OF AMERICA-A  | 0.00                 | 16.89               | 0.00               | 16.89             | 90.0 | 15.20                |
|  | ACCOUNT #: 00088199427         | BUY 0 Units @0.0000           |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-365I - JACKSON, KARLA   | THE GROWTH FUND OF AMERICA-A  | 0.00                 | 1.75                | 0.00               | 1.75              | 90.0 | 1.58                 |
|  | ACCOUNT #: 00088470071         | BUY 0 Units @0.0000           |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-470J - BRADY, RACHEL    | THE GROWTH FUND OF AMERICA-A  | 0.00                 | 2.43                | 0.00               | 2.43              | 90.0 | 2.19                 |
|  | ACCOUNT #: 00088496937         | BUY 0 Units @0.0000           |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-470J - BRADY, RACHEL    | THE GROWTH FUND OF AMERICA-A  | 0.00                 | 11.03               | 0.00               | 11.03             | 90.0 | 9.93                 |
|  | ACCOUNT #: 00088506996         | BUY 0 Units @0.0000           |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-3032 - RUFF TRUST,      | THE GROWTH FUND OF AMERICA-A  | 0.00                 | 35.00               | 0.00               | 35.00             | 90.0 | 31.50                |
|  | ACCOUNT #: 00088603402         | BUY 0 Units @0.0000           |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-841I - QUANTUM GLOBAL,  | THE GROWTH FUND OF AMERICA-R3 | 0.00                 | 40.31               | 0.00               | 40.31             | 90.0 | 36.28                |
|  | ACCOUNT #: 00089113446         | BUY 0 Units @0.0000           |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-1748 - SOHO CONSULTING  | THE GROWTH FUND OF AMERICA-R3 | 0.00                 | 27.68               | 0.00               | 27.68             | 90.0 | 24.91                |
|  | ACCOUNT #: 04000435907         | BUY 0 Units @0.0000           |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-9213 - T.K.T.           | THE GROWTH FUND OF AMERICA-R4 | 0.00                 | 87.58               | 0.00               | 87.58             | 90.0 | 78.82                |
|  | ACCOUNT #: 00088205270         | BUY 0 Units @0.0000           |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-5733 - SHEPARD          | THE GROWTH FUND OF AMERICA-R4 | 0.00                 | 31.32               | 0.00               | 31.32             | 90.0 | 28.19                |
|  | ACCOUNT #: 00089983723         | BUY 0 Units @0.0000           |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-050I - MAGGETTE,        | THE INCOME FUND OF AMERICA-A  | 0.00                 | 0.08                | 0.00               | 0.08              | 90.0 | 0.07                 |
|  | ACCOUNT #: 00064877947         | BUY 0 Units @0.0000           |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-299I - SHIBATA, CARLOS  | THE INCOME FUND OF AMERICA-A  | 0.00                 | 70.92               | 0.00               | 70.92             | 90.0 | 63.83                |
|  | ACCOUNT #: 00060952412         | BUY 0 Units @0.0000           |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-500I - HAMANO, JEAN     | THE INCOME FUND OF AMERICA-A  | 0.00                 | 122.04              | 0.00               | 122.04            | 90.0 | 109.84               |
|  | ACCOUNT #: 00061423904         | BUY 0 Units @0.0000           |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-23TR - BARRAD, ROCHELLE | THE INCOME FUND OF AMERICA-A  | 0.00                 | 259.00              | 0.00               | 259.00            | 90.0 | 233.10               |
|  | ACCOUNT #: 00061679998         | BUY 0 Units @0.0000           |                      |                     |                    |                   |      |                      |



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|--|--------------------------------|------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b>BROKER TRANSACTIONS (continued)</b>                       |                                |                              |                      |                     |                    |                   |      |                      |
| <b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</b> |                                |                              |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-99TR - SHIBATA, CARLOS  | THE INCOME FUND OF AMERICA-A | 0.00                 | 114.32              | 0.00               | 114.32            | 90.0 | 102.89               |
|  | ACCOUNT #: 00061753986         | BUY 0 Units @0.0000          |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-492I - LEVIN, RICKY     | THE INCOME FUND OF AMERICA-A | 0.00                 | 50.44               | 0.00               | 50.44             | 90.0 | 45.40                |
|  | ACCOUNT #: 00062404678         | BUY 0 Units @0.0000          |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-005P - AYLESWORTH,      | THE INCOME FUND OF AMERICA-A | 0.00                 | 5.34                | 0.00               | 5.34              | 90.0 | 4.81                 |
|  | ACCOUNT #: 00062435953         | BUY 0 Units @0.0000          |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-855P - CRANER, THOMAS   | THE INCOME FUND OF AMERICA-A | 0.00                 | 0.72                | 0.00               | 0.72              | 90.0 | 0.65                 |
|  | ACCOUNT #: 00062435963         | BUY 0 Units @0.0000          |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-58IN - HAMANO,          | THE INCOME FUND OF AMERICA-A | 0.00                 | 4.28                | 0.00               | 4.28              | 90.0 | 3.85                 |
|  | ACCOUNT #: 00066918565         | BUY 0 Units @0.0000          |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-865P - BERRINGTON,      | THE INCOME FUND OF AMERICA-A | 0.00                 | 15.40               | 0.00               | 15.40             | 90.0 | 13.86                |
|  | ACCOUNT #: 00067233928         | BUY 0 Units @0.0000          |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-915P - SHERMAN, MYRNA   | THE INCOME FUND OF AMERICA-A | 0.00                 | 24.08               | 0.00               | 24.08             | 90.0 | 21.67                |
|  | ACCOUNT #: 00068166485         | BUY 0 Units @0.0000          |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-03IN - BERRINGTON,      | THE INCOME FUND OF AMERICA-A | 0.00                 | 24.79               | 0.00               | 24.79             | 90.0 | 22.31                |
|  | ACCOUNT #: 00082134167         | BUY 0 Units @0.0000          |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-603I - BERRINGTON,      | THE INCOME FUND OF AMERICA-A | 0.00                 | 120.07              | 0.00               | 120.07            | 90.0 | 108.06               |
|  | ACCOUNT #: 00082694764         | BUY 0 Units @0.0000          |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-1565 - HAMANO, RACHEL & | THE INCOME FUND OF AMERICA-A | 0.00                 | 22.96               | 0.00               | 22.96             | 90.0 | 20.66                |
|  | ACCOUNT #: 00083175301         | BUY 0 Units @0.0000          |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-10SI - JOHNSON, JASON   | THE INCOME FUND OF AMERICA-A | 0.00                 | 0.22                | 0.00               | 0.22              | 90.0 | 0.20                 |
|  | ACCOUNT #: 00085074304         | BUY 0 Units @0.0000          |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-26TR - HAMANO TTEE,     | THE INCOME FUND OF AMERICA-A | 0.00                 | 20.92               | 0.00               | 20.92             | 90.0 | 18.83                |
|  | ACCOUNT #: 00087163355         | BUY 0 Units @0.0000          |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-167I - LAX LOW, JAANA   | THE INCOME FUND OF AMERICA-A | 0.00                 | 47.81               | 0.00               | 47.81             | 90.0 | 43.03                |
|  | ACCOUNT #: 00087177160         | BUY 0 Units @0.0000          |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-787I - SYRJA, JOUNI     | THE INCOME FUND OF AMERICA-A | 0.00                 | 31.69               | 0.00               | 31.69             | 90.0 | 28.52                |
|  | ACCOUNT #: 00087188685         | BUY 0 Units @0.0000          |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-603I - BERRINGTON,      | THE INCOME FUND OF AMERICA-A | 0.00                 | 3.40                | 0.00               | 3.40              | 90.0 | 3.06                 |
|  | ACCOUNT #: 00087334141         | BUY 0 Units @0.0000          |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-36UT - HAMANO, MIA      | THE INCOME FUND OF AMERICA-A | 0.00                 | 1.44                | 0.00               | 1.44              | 90.0 | 1.30                 |
|  | ACCOUNT #: 00087546075         | BUY 0 Units @0.0000          |                      |                     |                    |                   |      |                      |



# COMMISSION STATEMENT

March 12, 2018

STEVEN SCHOENBRUN  
175 Olde Half Day Rd.  
Suite 200  
Lincolnshire, IL 60069

BROKER #: 217  
BRANCH #01001 - LifeMark Home Office

| DATE   | CLIENT                         | INVESTMENT                          | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|--|--------------------------------|-------------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b>BROKER TRANSACTIONS (continued)</b>                       |                                |                                     |                      |                     |                    |                   |      |                      |
| <b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</b> |                                |                                     |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-822I - ROSEN, KENDRA    | THE INCOME FUND OF AMERICA-A        | 0.00                 | 0.75                | 0.00               | 0.75              | 90.0 | 0.68                 |
|  | ACCOUNT #: 00088044721         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-822I - ROSEN, KENDRA    | THE INCOME FUND OF AMERICA-A        | 0.00                 | 8.53                | 0.00               | 8.53              | 90.0 | 7.68                 |
|  | ACCOUNT #: 00088044824         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-073J - MASLAN, STEVEN   | THE INCOME FUND OF AMERICA-A        | 0.00                 | 24.80               | 0.00               | 24.80             | 90.0 | 22.32                |
|  | ACCOUNT #: 00088079602         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-615P - HAMANO, CLAYTON  | THE INCOME FUND OF AMERICA-A        | 0.00                 | 4.43                | 0.00               | 4.43              | 90.0 | 3.99                 |
|  | ACCOUNT #: 00088129418         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-365I - JACKSON, KARLA   | THE INCOME FUND OF AMERICA-A        | 0.00                 | 4.30                | 0.00               | 4.30              | 90.0 | 3.87                 |
|  | ACCOUNT #: 00088129446         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-70UG - HAMANO, RACHEL   | THE INCOME FUND OF AMERICA-A        | 0.00                 | 4.30                | 0.00               | 4.30              | 90.0 | 3.87                 |
|  | ACCOUNT #: 00088130855         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-271J - DAVIDSON, ROBERT | THE INCOME FUND OF AMERICA-A        | 0.00                 | 39.66               | 0.00               | 39.66             | 90.0 | 35.69                |
|  | ACCOUNT #: 00088199427         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-841I - QUANTUM GLOBAL,  | THE INCOME FUND OF AMERICA-R3       | 0.00                 | 89.42               | 0.00               | 89.42             | 90.0 | 80.48                |
|  | ACCOUNT #: 00089113446         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-5733 - SHEPARD          | THE INCOME FUND OF AMERICA-R4       | 0.00                 | 57.35               | 0.00               | 57.35             | 90.0 | 51.62                |
|  | ACCOUNT #: 00089983723         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-965P - WALTER, MICHAEL  | THE INVESTMENT COMPANY OF AMERICA-A | 0.00                 | 2.48                | 0.00               | 2.48              | 90.0 | 2.23                 |
|  | ACCOUNT #: 00064114510         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-299I - SHIBATA, CARLOS  | THE INVESTMENT COMPANY OF AMERICA-A | 0.00                 | 102.60              | 0.00               | 102.60            | 90.0 | 92.34                |
|  | ACCOUNT #: 00060952412         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-945P - LOPEZ, JUAN      | THE INVESTMENT COMPANY OF AMERICA-A | 0.00                 | 4.42                | 0.00               | 4.42              | 90.0 | 3.98                 |
|  | ACCOUNT #: 00061672037         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-99TR - SHIBATA, CARLOS  | THE INVESTMENT COMPANY OF AMERICA-A | 0.00                 | 79.92               | 0.00               | 79.92             | 90.0 | 71.93                |
|  | ACCOUNT #: 00061753986         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-005P - AYLESWORTH,      | THE INVESTMENT COMPANY OF AMERICA-A | 0.00                 | 5.66                | 0.00               | 5.66              | 90.0 | 5.09                 |
|  | ACCOUNT #: 00062435953         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-735P - ZACARIAS, JOSE   | THE INVESTMENT COMPANY OF AMERICA-A | 0.00                 | 0.38                | 0.00               | 0.38              | 90.0 | 0.34                 |
|  | ACCOUNT #: 00063611435         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-487P - ROBINSON, DENISE | THE INVESTMENT COMPANY OF AMERICA-A | 0.00                 | 12.34               | 0.00               | 12.34             | 90.0 | 11.11                |
|  | ACCOUNT #: 00064253336         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |



# COMMISSION STATEMENT

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BROKER #: 217  
BRANCH #01001 - LifeMark Home Office

| DATE   | CLIENT   | INVESTMENT   | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|--|--|--|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b>BROKER TRANSACTIONS (continued)</b>                       |  |  |                      |                     |                    |                   |      |                      |
| <b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</b> |  |  |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-865P - BERRINGTON,<br>ACCOUNT #: 00067233928      | THE INVESTMENT COMPANY OF AMERICA-A<br>BUY 0 Units @0.0000 | 0.00                 | 6.28                | 0.00               | 6.28              | 90.0 | 5.65                 |
| 03/01/2018   | ***-**-03IN - BERRINGTON,<br>ACCOUNT #: 00082134167      | THE INVESTMENT COMPANY OF AMERICA-A<br>BUY 0 Units @0.0000 | 0.00                 | 10.26               | 0.00               | 10.26             | 90.0 | 9.23                 |
| 03/01/2018   | ***-**-603I - BERRINGTON,<br>ACCOUNT #: 00082694764      | THE INVESTMENT COMPANY OF AMERICA-A<br>BUY 0 Units @0.0000 | 0.00                 | 24.80               | 0.00               | 24.80             | 90.0 | 22.32                |
| 03/01/2018   | ***-**-26TR - HAMANO TTEE,<br>ACCOUNT #: 00087163355     | THE INVESTMENT COMPANY OF AMERICA-A<br>BUY 0 Units @0.0000 | 0.00                 | 13.35               | 0.00               | 13.35             | 90.0 | 12.02                |
| 03/01/2018   | ***-**-787I - SYRJA, JOUNI<br>ACCOUNT #: 00087188685     | THE INVESTMENT COMPANY OF AMERICA-A<br>BUY 0 Units @0.0000 | 0.00                 | 44.87               | 0.00               | 44.87             | 90.0 | 40.38                |
| 03/01/2018   | ***-**-603I - BERRINGTON,<br>ACCOUNT #: 00087334141      | THE INVESTMENT COMPANY OF AMERICA-A<br>BUY 0 Units @0.0000 | 0.00                 | 4.04                | 0.00               | 4.04              | 90.0 | 3.64                 |
| 03/01/2018   | ***-**-822I - ROSEN, KENDRA<br>ACCOUNT #: 00088044721    | THE INVESTMENT COMPANY OF AMERICA-A<br>BUY 0 Units @0.0000 | 0.00                 | 0.87                | 0.00               | 0.87              | 90.0 | 0.78                 |
| 03/01/2018   | ***-**-822I - ROSEN, KENDRA<br>ACCOUNT #: 00088044824    | THE INVESTMENT COMPANY OF AMERICA-A<br>BUY 0 Units @0.0000 | 0.00                 | 9.88                | 0.00               | 9.88              | 90.0 | 8.89                 |
| 03/01/2018   | ***-**-965P - WALTER, MICHAEL<br>ACCOUNT #: 00064114510  | THE NEW ECONOMY FUND-A<br>BUY 0 Units @0.0000              | 0.00                 | 1.25                | 0.00               | 1.25              | 90.0 | 1.13                 |
| 03/01/2018   | ***-**-299I - SHIBATA, CARLOS<br>ACCOUNT #: 00060952412  | THE NEW ECONOMY FUND-A<br>BUY 0 Units @0.0000              | 0.00                 | 22.72               | 0.00               | 22.72             | 90.0 | 20.45                |
| 03/01/2018   | ***-**-500I - HAMANO, JEAN<br>ACCOUNT #: 00061423904     | THE NEW ECONOMY FUND-A<br>BUY 0 Units @0.0000              | 0.00                 | 54.65               | 0.00               | 54.65             | 90.0 | 49.19                |
| 03/01/2018   | ***-**-23TR - BARRAD, ROCHELLE<br>ACCOUNT #: 00061679998 | THE NEW ECONOMY FUND-A<br>BUY 0 Units @0.0000              | 0.00                 | 112.11              | 0.00               | 112.11            | 90.0 | 100.90               |
| 03/01/2018   | ***-**-99TR - SHIBATA, CARLOS<br>ACCOUNT #: 00061753986  | THE NEW ECONOMY FUND-A<br>BUY 0 Units @0.0000              | 0.00                 | 112.06              | 0.00               | 112.06            | 90.0 | 100.85               |
| 03/01/2018   | ***-**-492I - LEVIN, RICKY<br>ACCOUNT #: 00062404678     | THE NEW ECONOMY FUND-A<br>BUY 0 Units @0.0000              | 0.00                 | 39.84               | 0.00               | 39.84             | 90.0 | 35.86                |
| 03/01/2018   | ***-**-61IN - HAMANO, CLAYTON<br>ACCOUNT #: 00062664398  | THE NEW ECONOMY FUND-A<br>BUY 0 Units @0.0000              | 0.00                 | 2.06                | 0.00               | 2.06              | 90.0 | 1.85                 |
| 03/01/2018   | ***-**-365I - JACKSON, KARLA<br>ACCOUNT #: 00062781825   | THE NEW ECONOMY FUND-A<br>BUY 0 Units @0.0000              | 0.00                 | 19.25               | 0.00               | 19.25             | 90.0 | 17.33                |



# COMMISSION STATEMENT

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BRANCH #01001 - LifeMark Home Office

| DATE   | CLIENT  | INVESTMENT                                    | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|--|---|---|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b>BROKER TRANSACTIONS (continued)</b>                       |   |   |                      |                     |                    |                   |      |                      |
| <b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</b> |   |   |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-905P - MORGAN, ALAN<br>ACCOUNT #: 00063694037    | THE NEW ECONOMY FUND-A<br>BUY 0 Units @0.0000 | 0.00                 | 0.62                | 0.00               | 0.62              | 90.0 | 0.56                 |
| 03/01/2018   | ***-**-65IN - JACKSON,<br>ACCOUNT #: 00064850415        | THE NEW ECONOMY FUND-A<br>BUY 0 Units @0.0000 | 0.00                 | 17.89               | 0.00               | 17.89             | 90.0 | 16.10                |
| 03/01/2018   | ***-**-285P - LESLEY, JOE<br>ACCOUNT #: 00073280090     | THE NEW ECONOMY FUND-A<br>BUY 0 Units @0.0000 | 0.00                 | 3.20                | 0.00               | 3.20              | 90.0 | 2.88                 |
| 03/01/2018   | ***-**-925P - GEISSLER, GRANT<br>ACCOUNT #: 00081274092 | THE NEW ECONOMY FUND-A<br>BUY 0 Units @0.0000 | 0.00                 | 98.65               | 0.00               | 98.65             | 90.0 | 88.79                |
| 03/01/2018   | ***-**-03IN - BERRINGTON,<br>ACCOUNT #: 00082134167     | THE NEW ECONOMY FUND-A<br>BUY 0 Units @0.0000 | 0.00                 | 22.75               | 0.00               | 22.75             | 90.0 | 20.48                |
| 03/01/2018   | ***-**-787I - SYRJA, JOUNI<br>ACCOUNT #: 00087188685    | THE NEW ECONOMY FUND-A<br>BUY 0 Units @0.0000 | 0.00                 | 11.86               | 0.00               | 11.86             | 90.0 | 10.67                |
| 03/01/2018   | ***-**-603I - BERRINGTON,<br>ACCOUNT #: 00087334141     | THE NEW ECONOMY FUND-A<br>BUY 0 Units @0.0000 | 0.00                 | 3.65                | 0.00               | 3.65              | 90.0 | 3.29                 |
| 03/01/2018   | ***-**-70UG - HAMANO, RACHEL<br>ACCOUNT #: 00087693744  | THE NEW ECONOMY FUND-A<br>BUY 0 Units @0.0000 | 0.00                 | 32.91               | 0.00               | 32.91             | 90.0 | 29.62                |
| 03/01/2018   | ***-**-822I - ROSEN, KENDRA<br>ACCOUNT #: 00088044721   | THE NEW ECONOMY FUND-A<br>BUY 0 Units @0.0000 | 0.00                 | 0.90                | 0.00               | 0.90              | 90.0 | 0.81                 |
| 03/01/2018   | ***-**-822I - ROSEN, KENDRA<br>ACCOUNT #: 00088044824   | THE NEW ECONOMY FUND-A<br>BUY 0 Units @0.0000 | 0.00                 | 10.19               | 0.00               | 10.19             | 90.0 | 9.17                 |
| 03/01/2018   | ***-**-570I - BIEGEL, MONICA<br>ACCOUNT #: 00088062582  | THE NEW ECONOMY FUND-A<br>BUY 0 Units @0.0000 | 0.00                 | 0.93                | 0.00               | 0.93              | 90.0 | 0.84                 |
| 03/01/2018   | ***-**-886I - BIEGEL, JEFFREY<br>ACCOUNT #: 00088062912 | THE NEW ECONOMY FUND-A<br>BUY 0 Units @0.0000 | 0.00                 | 4.20                | 0.00               | 4.20              | 90.0 | 3.78                 |
| 03/01/2018   | ***-**-570I - BIEGEL, MONICA<br>ACCOUNT #: 00088062945  | THE NEW ECONOMY FUND-A<br>BUY 0 Units @0.0000 | 0.00                 | 1.06                | 0.00               | 1.06              | 90.0 | 0.95                 |
| 03/01/2018   | ***-**-570I - BIEGEL, MONICA<br>ACCOUNT #: 00088062971  | THE NEW ECONOMY FUND-A<br>BUY 0 Units @0.0000 | 0.00                 | 1.06                | 0.00               | 1.06              | 90.0 | 0.95                 |
| 03/01/2018   | ***-**-570I - BIEGEL, MONICA<br>ACCOUNT #: 00088062992  | THE NEW ECONOMY FUND-A<br>BUY 0 Units @0.0000 | 0.00                 | 1.00                | 0.00               | 1.00              | 90.0 | 0.90                 |
| 03/01/2018   | ***-**-570I - BIEGEL, MONICA<br>ACCOUNT #: 00088064708  | THE NEW ECONOMY FUND-A<br>BUY 0 Units @0.0000 | 0.00                 | 5.53                | 0.00               | 5.53              | 90.0 | 4.98                 |





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| DATE   | CLIENT                         | INVESTMENT                          | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|--|--------------------------------|-------------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b>BROKER TRANSACTIONS (continued)</b>                       |                                |                                     |                      |                     |                    |                   |      |                      |
| <b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</b> |                                |                                     |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-195P - SCHMIDT, MICHAEL | THE NEW ECONOMY FUND-A              | 0.00                 | 15.21               | 0.00               | 15.21             | 90.0 | 13.69                |
|  | ACCOUNT #: 00088118744         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-365I - JACKSON, KARLA   | THE NEW ECONOMY FUND-A              | 0.00                 | 1.73                | 0.00               | 1.73              | 90.0 | 1.56                 |
|  | ACCOUNT #: 00088470071         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-470J - BRADY, RACHEL    | THE NEW ECONOMY FUND-A              | 0.00                 | 2.59                | 0.00               | 2.59              | 90.0 | 2.33                 |
|  | ACCOUNT #: 00088496937         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-470J - BRADY, RACHEL    | THE NEW ECONOMY FUND-A              | 0.00                 | 11.73               | 0.00               | 11.73             | 90.0 | 10.56                |
|  | ACCOUNT #: 00088506996         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-3032 - RUFF TRUST,      | THE NEW ECONOMY FUND-A              | 0.00                 | 25.86               | 0.00               | 25.86             | 90.0 | 23.27                |
|  | ACCOUNT #: 00088603402         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-23TR - BARRAD, ROCHELLE | U.S. GOVERNMENT SECURITIES FUND CLA | 0.00                 | 46.77               | 0.00               | 46.77             | 90.0 | 42.09                |
|  | ACCOUNT #: 00061679998         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-089J - HAMANO, MICKEY & | U.S. GOVERNMENT SECURITIES FUND CLA | 0.00                 | 130.52              | 0.00               | 130.52            | 90.0 | 117.47               |
|  | ACCOUNT #: 00062704962         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-03IN - HAMANO,          | U.S. GOVERNMENT SECURITIES FUND CLA | 0.00                 | 104.18              | 0.00               | 104.18            | 90.0 | 93.76                |
|  | ACCOUNT #: 00067286247         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-603I - BERRINGTON,      | U.S. GOVERNMENT SECURITIES FUND CLA | 0.00                 | 16.61               | 0.00               | 16.61             | 90.0 | 14.95                |
|  | ACCOUNT #: 00082694764         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-21IN - ONDRULA, DAVID   | U.S. GOVERNMENT SECURITIES FUND CLA | 0.00                 | 29.92               | 0.00               | 29.92             | 90.0 | 26.93                |
|  | ACCOUNT #: 00084567285         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-27UG - HAMANO, MICKEY   | U.S. GOVERNMENT SECURITIES FUND CLA | 0.00                 | 3.64                | 0.00               | 3.64              | 90.0 | 3.28                 |
|  | ACCOUNT #: 00084677372         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-26UG - JACKSON,         | U.S. GOVERNMENT SECURITIES FUND CLA | 0.00                 | 3.64                | 0.00               | 3.64              | 90.0 | 3.28                 |
|  | ACCOUNT #: 00084677451         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-609I - FISHMAN, ROSS    | U.S. GOVERNMENT SECURITIES FUND CLA | 0.00                 | 13.90               | 0.00               | 13.90             | 90.0 | 12.51                |
|  | ACCOUNT #: 00085991892         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-26TR - HAMANO TTEE,     | U.S. GOVERNMENT SECURITIES FUND CLA | 0.00                 | 1.07                | 0.00               | 1.07              | 90.0 | 0.96                 |
|  | ACCOUNT #: 00087163355         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-167I - LAX LOW, JAANA   | U.S. GOVERNMENT SECURITIES FUND CLA | 0.00                 | 16.30               | 0.00               | 16.30             | 90.0 | 14.67                |
|  | ACCOUNT #: 00087177160         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-603I - BERRINGTON,      | U.S. GOVERNMENT SECURITIES FUND CLA | 0.00                 | 3.94                | 0.00               | 3.94              | 90.0 | 3.55                 |
|  | ACCOUNT #: 00087334141         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |



# COMMISSION STATEMENT

March 12, 2018

STEVEN SCHOENBRUN  
175 Olde Half Day Rd.  
Suite 200  
Lincolnshire, IL 60069

BROKER #: 217  
BRANCH #01001 - LifeMark Home Office

| DATE   | CLIENT   | INVESTMENT   | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|--|--|--|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b>BROKER TRANSACTIONS (continued)</b>                       |  |  |                      |                     |                    |                   |      |                      |
| <b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</b> |  |  |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-570I - BIEGEL, MONICA<br>ACCOUNT #: 00088062582   | U.S. GOVERNMENT SECURITIES FUND CLA<br>BUY 0 Units @0.0000 | 0.00                 | 3.47                | 0.00               | 3.47              | 90.0 | 3.12                 |
| 03/01/2018   | ***-**-886I - BIEGEL, JEFFREY<br>ACCOUNT #: 00088062912  | U.S. GOVERNMENT SECURITIES FUND CLA<br>BUY 0 Units @0.0000 | 0.00                 | 21.32               | 0.00               | 21.32             | 90.0 | 19.19                |
| 03/01/2018   | ***-**-570I - BIEGEL, MONICA<br>ACCOUNT #: 00088062945   | U.S. GOVERNMENT SECURITIES FUND CLA<br>BUY 0 Units @0.0000 | 0.00                 | 9.89                | 0.00               | 9.89              | 90.0 | 8.90                 |
| 03/01/2018   | ***-**-570I - BIEGEL, MONICA<br>ACCOUNT #: 00088062971   | U.S. GOVERNMENT SECURITIES FUND CLA<br>BUY 0 Units @0.0000 | 0.00                 | 9.89                | 0.00               | 9.89              | 90.0 | 8.90                 |
| 03/01/2018   | ***-**-570I - BIEGEL, MONICA<br>ACCOUNT #: 00088062992   | U.S. GOVERNMENT SECURITIES FUND CLA<br>BUY 0 Units @0.0000 | 0.00                 | 5.08                | 0.00               | 5.08              | 90.0 | 4.57                 |
| 03/01/2018   | ***-**-570I - BIEGEL, MONICA<br>ACCOUNT #: 00088064708   | U.S. GOVERNMENT SECURITIES FUND CLA<br>BUY 0 Units @0.0000 | 0.00                 | 27.35               | 0.00               | 27.35             | 90.0 | 24.62                |
| 03/01/2018   | ***-**-073J - MASLAN, STEVEN<br>ACCOUNT #: 00088079602   | U.S. GOVERNMENT SECURITIES FUND CLA<br>BUY 0 Units @0.0000 | 0.00                 | 13.72               | 0.00               | 13.72             | 90.0 | 12.35                |
| 03/01/2018   | ***-**-195P - SCHMIDT, MICHAEL<br>ACCOUNT #: 00088118744 | U.S. GOVERNMENT SECURITIES FUND CLA<br>BUY 0 Units @0.0000 | 0.00                 | 22.27               | 0.00               | 22.27             | 90.0 | 20.04                |
| 03/01/2018   | ***-**-271J - DAVIDSON, ROBERT<br>ACCOUNT #: 00088199427 | U.S. GOVERNMENT SECURITIES FUND CLA<br>BUY 0 Units @0.0000 | 0.00                 | 12.40               | 0.00               | 12.40             | 90.0 | 11.16                |
| 03/01/2018   | ***-**-3032 - RUFF TRUST,<br>ACCOUNT #: 00088603402      | U.S. GOVERNMENT SECURITIES FUND CLA<br>BUY 0 Units @0.0000 | 0.00                 | 30.68               | 0.00               | 30.68             | 90.0 | 27.61                |
| 03/01/2018   | ***-**-965P - WALTER, MICHAEL<br>ACCOUNT #: 00064114510  | WASHINGTON MUTUAL INVESTORS FUND-A<br>BUY 0 Units @0.0000  | 0.00                 | 1.09                | 0.00               | 1.09              | 90.0 | 0.98                 |
| 03/01/2018   | ***-**-299I - SHIBATA, CARLOS<br>ACCOUNT #: 00060952412  | WASHINGTON MUTUAL INVESTORS FUND-A<br>BUY 0 Units @0.0000  | 0.00                 | 72.05               | 0.00               | 72.05             | 90.0 | 64.85                |
| 03/01/2018   | ***-**-23TR - BARRAD, ROCHELLE<br>ACCOUNT #: 00061679998 | WASHINGTON MUTUAL INVESTORS FUND-A<br>BUY 0 Units @0.0000  | 0.00                 | 359.54              | 0.00               | 359.54            | 90.0 | 323.59               |
| 03/01/2018   | ***-**-99TR - SHIBATA, CARLOS<br>ACCOUNT #: 00061753986  | WASHINGTON MUTUAL INVESTORS FUND-A<br>BUY 0 Units @0.0000  | 0.00                 | 104.10              | 0.00               | 104.10            | 90.0 | 93.69                |
| 03/01/2018   | ***-**-855P - BECKER, GLENN<br>ACCOUNT #: 00062435955    | WASHINGTON MUTUAL INVESTORS FUND-A<br>BUY 0 Units @0.0000  | 0.00                 | 24.11               | 0.00               | 24.11             | 90.0 | 21.70                |
| 03/01/2018   | ***-**-365P - BECKER, MICHAEL<br>ACCOUNT #: 00062435957  | WASHINGTON MUTUAL INVESTORS FUND-A<br>BUY 0 Units @0.0000  | 0.00                 | 34.74               | 0.00               | 34.74             | 90.0 | 31.27                |



# COMMISSION STATEMENT

March 12, 2018

STEVEN SCHOENBRUN  
175 Olde Half Day Rd.  
Suite 200  
Lincolnshire, IL 60069

BROKER #: 217  
BRANCH #01001 - LifeMark Home Office

| DATE   | CLIENT  | INVESTMENT   | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION  | RATE | BROKER<br>COMMISSION |
|--|---|--|----------------------|---------------------|--------------------|--------------------|------|----------------------|
| <b>BROKER TRANSACTIONS (continued)</b>                       |   |  |                      |                     |                    |                    |      |                      |
| <b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</b> |   |  |                      |                     |                    |                    |      |                      |
| 03/01/2018   | ***-**-855P - BECKER, JANEL<br>ACCOUNT #: 00062435958   | WASHINGTON MUTUAL INVESTORS FUND-A<br>BUY 0 Units @0.0000  | 0.00                 | 26.45               | 0.00               | 26.45              | 90.0 | 23.81                |
| 03/01/2018   | ***-**-865P - BRESER, JAMES<br>ACCOUNT #: 00062435960   | WASHINGTON MUTUAL INVESTORS FUND-A<br>BUY 0 Units @0.0000  | 0.00                 | 28.16               | 0.00               | 28.16              | 90.0 | 25.34                |
| 03/01/2018   | ***-**-61IN - HAMANO, CLAYTON<br>ACCOUNT #: 00062664398 | WASHINGTON MUTUAL INVESTORS FUND-A<br>BUY 0 Units @0.0000  | 0.00                 | 1.82                | 0.00               | 1.82               | 90.0 | 1.64                 |
| 03/01/2018   | ***-**-365I - JACKSON, KARLA<br>ACCOUNT #: 00062781825  | WASHINGTON MUTUAL INVESTORS FUND-A<br>BUY 0 Units @0.0000  | 0.00                 | 18.71               | 0.00               | 18.71              | 90.0 | 16.84                |
| 03/01/2018   | ***-**-615P - BECKER, JANEL<br>ACCOUNT #: 00062835882   | WASHINGTON MUTUAL INVESTORS FUND-A<br>BUY 0 Units @0.0000  | 0.00                 | 13.42               | 0.00               | 13.42              | 90.0 | 12.08                |
| 03/01/2018   | ***-**-825P - BECKER, GREGORY<br>ACCOUNT #: 00062835883 | WASHINGTON MUTUAL INVESTORS FUND-A<br>BUY 0 Units @0.0000  | 0.00                 | 13.23               | 0.00               | 13.23              | 90.0 | 11.91                |
| 03/01/2018   | ***-**-65IN - JACKSON,<br>ACCOUNT #: 00064850415        | WASHINGTON MUTUAL INVESTORS FUND-A<br>BUY 0 Units @0.0000  | 0.00                 | 48.24               | 0.00               | 48.24              | 90.0 | 43.42                |
| 03/01/2018   | ***-**-865P - BERRINGTON,<br>ACCOUNT #: 00067233928     | WASHINGTON MUTUAL INVESTORS FUND-A<br>BUY 0 Units @0.0000  | 0.00                 | 6.40                | 0.00               | 6.40               | 90.0 | 5.76                 |
| 03/01/2018   | ***-**-285P - LESLEY, JOE<br>ACCOUNT #: 00073280090     | WASHINGTON MUTUAL INVESTORS FUND-A<br>BUY 0 Units @0.0000  | 0.00                 | 2.89                | 0.00               | 2.89               | 90.0 | 2.60                 |
| 03/01/2018   | ***-**-03IN - BERRINGTON,<br>ACCOUNT #: 00082134167     | WASHINGTON MUTUAL INVESTORS FUND-A<br>BUY 0 Units @0.0000  | 0.00                 | 10.53               | 0.00               | 10.53              | 90.0 | 9.48                 |
| 03/01/2018   | ***-**-603I - BERRINGTON,<br>ACCOUNT #: 00082694764     | WASHINGTON MUTUAL INVESTORS FUND-A<br>BUY 0 Units @0.0000  | 0.00                 | 25.34               | 0.00               | 25.34              | 90.0 | 22.81                |
| 03/01/2018   | ***-**-26TR - HAMANO TTEE,<br>ACCOUNT #: 00087163355    | WASHINGTON MUTUAL INVESTORS FUND-A<br>BUY 0 Units @0.0000  | 0.00                 | 26.28               | 0.00               | 26.28              | 90.0 | 23.65                |
| 03/01/2018   | ***-**-603I - BERRINGTON,<br>ACCOUNT #: 00087334141     | WASHINGTON MUTUAL INVESTORS FUND-A<br>BUY 0 Units @0.0000  | 0.00                 | 3.87                | 0.00               | 3.87               | 90.0 | 3.48                 |
| 03/01/2018   | ***-**-365I - JACKSON, KARLA<br>ACCOUNT #: 00088470071  | WASHINGTON MUTUAL INVESTORS FUND-A<br>BUY 0 Units @0.0000  | 0.00                 | 1.60                | 0.00               | 1.60               | 90.0 | 1.44                 |
| 03/01/2018   | ***-**-9213 - T.K.T.<br>ACCOUNT #: 00088205270          | WASHINGTON MUTUAL INVESTORS FUND-R4<br>BUY 0 Units @0.0000 | 0.00                 | 132.55              | 0.00               | 132.55             | 90.0 | 119.30               |
| <b>* MUTUAL FUND 12B1 TRAILS SUBTOTAL *</b>                  |   |  | <b>\$0.00</b>        | <b>\$26,909.99</b>  | <b>\$0.00</b>      | <b>\$26,909.99</b> |      | <b>\$24,219.34</b>   |



# COMMISSION STATEMENT

March 12, 2018

STEVEN SCHOENBRUN  
175 Olde Half Day Rd.  
Suite 200  
Lincolnshire, IL 60069

BROKER #: 217  
BRANCH #01001 - LifeMark Home Office

| DATE   | CLIENT  | INVESTMENT                                    | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION  | RATE | BROKER<br>COMMISSION |
|--|---|---|----------------------|---------------------|--------------------|--------------------|------|----------------------|
| <b><u>BROKER TRANSACTIONS (continued)</u></b>                |   |   |                      |                     |                    |                    |      |                      |
| <b><u>PRODUCT CATEGORY: VARIABLE ANNUITY 12B1 TRAILS</u></b> |   |   |                      |                     |                    |                    |      |                      |
| 03/12/2018   | ***-**-7777 - MATTALIANO,<br>ACCOUNT #: 66147     | JOHN HANCOCK VA TRAILS<br>BUY 1 Units @0.0000 | 0.00                 | 485.47              | 0.00               | 485.47             | 90.0 | 436.92               |
| 03/12/2018   | ***-**-6033 - GOLAN'S, MOVING<br>ACCOUNT #: 49603 | JOHN HANCOCK VA TRAILS<br>BUY 1 Units @0.0000 | 0.00                 | 1,298.04            | 0.00               | 1,298.04           | 90.0 | 1,168.24             |
| 03/12/2018   | ***-**-550K - THE HEARN CO.,<br>ACCOUNT #: 98364  | QUALIFIED PLAN SUMMARY<br>BUY 1 Units @0.0000 | 0.00                 | 781.67              | 0.00               | 781.67             | 90.0 | 703.50               |
| 03/12/2018   | ***-**-500K - NATIONAL<br>ACCOUNT #: 93306        | QUALIFIED PLAN SUMMARY<br>BUY 1 Units @0.0000 | 0.00                 | 299.70              | 0.00               | 299.70             | 90.0 | 269.73               |
| 03/12/2018   | ***-**-336K - CHICAGO<br>ACCOUNT #: 109523        | QUALIFIED PLAN SUMMARY<br>BUY 1 Units @0.0000 | 0.00                 | 1,277.44            | 0.00               | 1,277.44           | 90.0 | 1,149.70             |
| 03/12/2018   | ***-**-2989 - NATIONAL GIFT<br>ACCOUNT #: 106085  | QUALIFIED PLAN SUMMARY<br>BUY 1 Units @0.0000 | 0.00                 | 657.59              | 0.00               | 657.59             | 90.0 | 591.83               |
| 03/12/2018   | ***-**-8474 - U.R.I.S.A.<br>ACCOUNT #: 102892     | QUALIFIED PLAN SUMMARY<br>BUY 1 Units @0.0000 | 0.00                 | 151.97              | 0.00               | 151.97             | 90.0 | 136.77               |
| 03/12/2018   | ***-**-55PS - RICK LEVIN &<br>ACCOUNT #: 94182    | QUALIFIED PLAN SUMMARY<br>BUY 1 Units @0.0000 | 0.00                 | 1,031.98            | 0.00               | 1,031.98           | 90.0 | 928.78               |
| <b>* VARIABLE ANNUITY 12B1 TRAILS SUBTOTAL *</b>             |   |   | <b>\$0.00</b>        | <b>\$5,983.86</b>   | <b>\$0.00</b>      | <b>\$5,983.86</b>  |      | <b>\$5,385.47</b>    |
| <b>*** BROKER TRANSACTIONS TOTAL ***</b>                     |   |   | <b>\$0.00</b>        | <b>\$32,893.85</b>  | <b>\$0.00</b>      | <b>\$32,893.85</b> |      | <b>\$29,604.81</b>   |



BROKER #: 217  
BRANCH #01001 - LifeMark Home Office

| DATE                                 | CLIENT | INVESTMENT | AMOUNT | GROSS COMMISSION      | CLEARING CHARGE | NET COMMISSION | RATE | BROKER COMMISSION |
|--------------------------------------|--------|------------|--------|-----------------------|-----------------|----------------|------|-------------------|
| <div>BROKER COMMISSION TOTALS</div>  |        |            |        |                       |                 |                |      |                   |
|                                      |        |            |        | Broker Transactions   |                 |                |      | \$21,848.66       |
|                                      |        |            |        | Split Transactions    |                 |                |      | \$0.00            |
|                                      |        |            |        | Override Transactions |                 |                |      | \$0.00            |
|                                      |        |            |        | Adjustments           |                 |                |      | \$0.00            |
|                                      |        |            |        | Payroll Draw          |                 |                |      | \$0.00            |
|                                      |        |            |        | Base Salary           |                 |                |      | \$0.00            |
|                                      |        |            |        | Prior Period Balance  |                 |                |      | \$0.00            |
|                                      |        |            |        | FINRA Assessment      |                 |                |      | \$0.00            |
|                                      |        |            |        | SIPC Assessment       |                 |                |      | \$0.00            |
| Please Retain for Your Records       |        |            |        |                       |                 |                |      |                   |
| THERE WILL BE NO PAYMENT THIS PERIOD |        |            |        |                       |                 |                |      |                   |
|                                      |        |            |        | Balance Forward       |                 |                |      | \$0.00            |
|                                      |        |            |        | Year-to-date Earnings |                 |                |      | \$0.00            |



BROKER #: 756      Terminated 09/01/2011  
BRANCH #01001 - LifeMark Home Office

| DATE   | CLIENT | INVESTMENT                      | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION  | RATE | BROKER<br>COMMISSION |
|--|--------|---------------------------------|----------------------|---------------------|--------------------|--|------|----------------------|
| <div>ADJUSTMENTS</div>   |        |                                 |                      |                     |                    |  |      |                      |
| 03/07/2018   |        | PRIOR PERIOD BALANCE(SEE BELOW) | 0.00                 | 0.00                | 0.00               | 0.00   |      | 0.00                 |
|  |        | *** ADJUSTMENTS TOTAL ***       | \$0.00               | \$0.00              | \$0.00             | \$0.00   |      | \$0.00               |
|  |        |                                 |                      |                     |                    | BROKER COMMISSION TOTALS   |      |                      |
|  |        |                                 |                      |                     |                    | Broker Transactions  |      | \$0.00               |
|  |        |                                 |                      |                     |                    | Split Transactions   |      | \$0.00               |
|  |        |                                 |                      |                     |                    | Override Transactions  |      | \$0.00               |
|  |        |                                 |                      |                     |                    | Adjustments  |      | \$0.00               |
|  |        |                                 |                      |                     |                    | Payroll Draw   |      | \$0.00               |
|  |        |                                 |                      |                     |                    | Base Salary  |      | \$0.00               |
|  |        |                                 |                      |                     |                    | Prior Period Balance   |      | \$0.00               |
|  |        |                                 |                      |                     |                    | FINRA Assessment   |      | \$0.00               |
|  |        |                                 |                      |                     |                    | SIPC Assessment  |      | \$0.00               |
| Please Retain for Your Records<br>THERE WILL BE NO PAYMENT THIS PERIOD |        |                                 |                      |                     |                    | <div>Balance Forward\$0.00<br/>Year-to-date Earnings\$0.00</div> |      |                      |



# COMMISSION STATEMENT

March 12, 2018

WILMA SHERIDAN  
8 Leroy Court  
Commack, NY 11725

BROKER #: A73  
BRANCH #01001 - LifeMark Home Office

| DATE  | CLIENT                        | INVESTMENT                                  | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|---|-------------------------------|---|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b><u>BROKER TRANSACTIONS</u></b>                       |                               |   |                      |                     |                    |                   |      |                      |
| <b><u>PRODUCT CATEGORY: MUTUAL FUNDS</u></b>            |                               |   |                      |                     |                    |                   |      |                      |
| 03/07/2018  | ***-**-650I - PERKINS, MARY   | AMERICAN BALANCED FUND-C                    | 2,003.00             | 0.00                | 0.00               | 0.00              | 50.0 | 0.00                 |
|   | ACCOUNT #: LSR010991          | SELL 74 Units @26.9300                      |                      |                     |                    |                   |      |                      |
|   |                               | <b>* MUTUAL FUNDS SUBTOTAL *</b>            | <b>\$2,003.00</b>    | <b>\$0.00</b>       | <b>\$0.00</b>      | <b>\$0.00</b>     |      | <b>\$0.00</b>        |
| <b><u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u></b> |                               |   |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-434I - BALSDON, DAPHNE | AMERICAN HIGH-INCOME TRUST-A                | 0.00                 | 1.62                | 0.00               | 1.62              | 50.0 | 0.81                 |
|   | ACCOUNT #: 00083550092        | BUY 0 Units @0.0000                         |                      |                     |                    |                   |      |                      |
|   |                               | <b>* MUTUAL FUND 12B1 TRAILS SUBTOTAL *</b> | <b>\$0.00</b>        | <b>\$1.62</b>       | <b>\$0.00</b>      | <b>\$1.62</b>     |      | <b>\$0.81</b>        |
|   |                               | <b>*** BROKER TRANSACTIONS TOTAL ***</b>    | <b>\$2,003.00</b>    | <b>\$1.62</b>       | <b>\$0.00</b>      | <b>\$1.62</b>     |      | <b>\$0.81</b>        |

## **BROKER COMMISSION TOTALS**

|                       |        |
|-----------------------|--------|
| Broker Transactions   | \$0.81 |
| Split Transactions    | \$0.00 |
| Override Transactions | \$0.00 |
| Adjustments           | \$0.00 |
| Payroll Draw          | \$0.00 |
| Base Salary           | \$0.00 |
| Prior Period Balance  | \$0.00 |
| FINRA Assessment      | \$0.00 |
| SIPC Assessment       | \$0.00 |

Please Retain for Your Records  
THERE WILL BE NO PAYMENT THIS PERIOD

|                              |               |
|------------------------------|---------------|
| <b>Balance Forward</b>       | <b>\$0.00</b> |
| <b>Year-to-date Earnings</b> | <b>\$0.00</b> |



# COMMISSION STATEMENT

March 12, 2018

LARRY SKARSET  
3458 Bonita Avenue  
Santa Clara, CA 95051

BROKER #: A41  
BRANCH #01001 - LifeMark Home Office

| DATE  | CLIENT   | INVESTMENT   | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|---|--|--|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b><u>BROKER TRANSACTIONS</u></b>                       |  |  |                      |                     |                    |                   |      |                      |
| <b><u>PRODUCT CATEGORY: MUTUAL FUNDS</u></b>            |  |  |                      |                     |                    |                   |      |                      |
| 03/07/2018  | ***-**-17TR - KAY TTEE,<br>ACCOUNT #: LSR010113          | GRIFFIN INSTL ACCESS CREDIT FND CL<br>BUY 155 Units @25.1600 | 3,900.00             | 39.00               | 18.00              | 21.00             | 50.0 | 10.50                |
| * MUTUAL FUNDS SUBTOTAL *                               |  |  | \$3,900.00           | \$39.00             | \$18.00            | \$21.00           |      | \$10.50              |
| <b><u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u></b> |  |  |                      |                     |                    |                   |      |                      |
| 03/12/2018  | ***-**-50TR - HULEGAARD TTEE,<br>ACCOUNT #: LSR010112    | AIM GLOBAL AGGRESSIVE GROWTH FUND C<br>BUY 1 Units @0.0000   | 0.00                 | 2.55                | 0.00               | 2.55              | 50.0 | 1.28                 |
| 03/01/2018  | ***-**-50IN - HULEGAARD, JANET<br>ACCOUNT #: 00061691708 | CAPITAL INCOME BUILDER-A<br>BUY 0 Units @0.0000              | 0.00                 | 20.70               | 0.00               | 20.70             | 50.0 | 10.35                |
| 03/01/2018  | ***-**-6127 - STARK, TAMMY<br>ACCOUNT #: 00084747930     | CAPITAL INCOME BUILDER-A<br>BUY 0 Units @0.0000              | 0.00                 | 0.17                | 0.00               | 0.17              | 50.0 | 0.09                 |
| 03/01/2018  | ***-**-6127 - STARK, TAMMY<br>ACCOUNT #: 00084747930     | CAPITAL WORLD BOND FUND-A<br>BUY 0 Units @0.0000             | 0.00                 | 0.03                | 0.00               | 0.03              | 50.0 | 0.02                 |
| 03/01/2018  | ***-**-50IN - HULEGAARD, JANET<br>ACCOUNT #: 00061691708 | CAPITAL WORLD GROWTH AND INCOME FUN<br>BUY 0 Units @0.0000   | 0.00                 | 17.64               | 0.00               | 17.64             | 50.0 | 8.82                 |
| 03/01/2018  | ***-**-6127 - STARK, TAMMY<br>ACCOUNT #: 00084747930     | EUROPACIFIC GROWTH FUND-A<br>BUY 0 Units @0.0000             | 0.00                 | 0.16                | 0.00               | 0.16              | 50.0 | 0.08                 |
| 03/12/2018  | ***-**-50TR - HULEGAARD TTEE,<br>ACCOUNT #: LSR010112    | INVESCO STRUCTURED CORE FUND -CLASS<br>BUY 1 Units @0.0000   | 0.00                 | 1.86                | 0.00               | 1.86              | 50.0 | 0.93                 |
| 03/01/2018  | ***-**-50IN - HULEGAARD, JANET<br>ACCOUNT #: 00061691708 | NEW PERSPECTIVE FUND-A<br>BUY 0 Units @0.0000                | 0.00                 | 16.59               | 0.00               | 16.59             | 50.0 | 8.30                 |
| 03/01/2018  | ***-**-6127 - STARK, TAMMY<br>ACCOUNT #: 00084747930     | NEW PERSPECTIVE FUND-A<br>BUY 0 Units @0.0000                | 0.00                 | 0.11                | 0.00               | 0.11              | 50.0 | 0.06                 |
| 03/01/2018  | ***-**-6127 - STARK, TAMMY<br>ACCOUNT #: 00084747930     | SMALLCAP WORLD FUND-A<br>BUY 0 Units @0.0000                 | 0.00                 | 0.11                | 0.00               | 0.11              | 50.0 | 0.06                 |
| 03/01/2018  | ***-**-6127 - STARK, TAMMY<br>ACCOUNT #: 00084747930     | THE BOND FUND OF AMERICA-A<br>BUY 0 Units @0.0000            | 0.00                 | 0.06                | 0.00               | 0.06              | 50.0 | 0.03                 |
| 03/01/2018  | ***-**-6127 - STARK, TAMMY<br>ACCOUNT #: 00084747930     | THE GROWTH FUND OF AMERICA-A<br>BUY 0 Units @0.0000          | 0.00                 | 0.20                | 0.00               | 0.20              | 50.0 | 0.10                 |
| 03/01/2018  | ***-**-50IN - HULEGAARD, JANET<br>ACCOUNT #: 00061691708 | THE INVESTMENT COMPANY OF AMERICA-A<br>BUY 0 Units @0.0000   | 0.00                 | 23.71               | 0.00               | 23.71             | 50.0 | 11.86                |
| * MUTUAL FUND 12B1 TRAILS SUBTOTAL *                    |  |  | \$0.00               | \$83.89             | \$0.00             | \$83.89           |      | \$41.98              |





# COMMISSION STATEMENT

March 12, 2018

LARRY SKARSET  
3458 Bonita Avenue  
Santa Clara, CA 95051

BROKER #: A41  
BRANCH #01001 - LifeMark Home Office

| DATE                              | CLIENT | INVESTMENT | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|-----------------------------------|--------|------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| *** BROKER TRANSACTIONS TOTAL *** |        |            | \$3,900.00           | \$122.89            | \$18.00            | \$104.89          |      | \$52.48              |

## BROKER COMMISSION TOTALS

|                       |         |
|-----------------------|---------|
| Broker Transactions   | \$52.48 |
| Split Transactions    | \$0.00  |
| Override Transactions | \$0.00  |
| Adjustments           | \$0.00  |
| Payroll Draw          | \$0.00  |
| Base Salary           | \$0.00  |
| Prior Period Balance  | \$0.00  |
| FINRA Assessment      | \$0.00  |
| SIPC Assessment       | \$0.00  |

Please Retain for Your Records  
THERE WILL BE NO PAYMENT THIS PERIOD

|                       |        |
|-----------------------|--------|
| Balance Forward       | \$0.00 |
| Year-to-date Earnings | \$0.00 |



# COMMISSION STATEMENT

March 12, 2018

SALVATORE SPAGNUOLO  
16 East St  
East Hyde Park, NY 11040

BROKER #: B05 Terminated 07/26/2017  
BRANCH #01001 - LifeMark Home Office

| DATE                      | CLIENT | INVESTMENT                      | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|---------------------------|--------|---------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b><u>ADJUSTMENTS</u></b> |        |                                 |                      |                     |                    |                   |      |                      |
| / /                       |        | PRIOR PERIOD BALANCE(SEE BELOW) | 0.00                 | 0.00                | 0.00               | 0.00              |      | 0.00                 |
| *** ADJUSTMENTS TOTAL *** |        |                                 | <u>\$0.00</u>        | <u>\$0.00</u>       | <u>\$0.00</u>      | <u>\$0.00</u>     |      | <u>\$0.00</u>        |

## BROKER COMMISSION TOTALS

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

Please Retain for Your Records  
THERE WILL BE NO PAYMENT THIS PERIOD

|                              |               |
|------------------------------|---------------|
| <b>Balance Forward</b>       | <b>\$0.00</b> |
| <b>Year-to-date Earnings</b> | <b>\$0.00</b> |



# COMMISSION STATEMENT

March 12, 2018

CRAIG ST. CYR  
84 Waterhouse Road  
PO Box 250  
Barrington, NH 03825

BROKER #: 18  
BRANCH #01001 - LifeMark Home Office

| DATE  | CLIENT                         | INVESTMENT                          | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|---|--------------------------------|-------------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b><u>BROKER TRANSACTIONS</u></b>                       |                                |                                     |                      |                     |                    |                   |      |                      |
| <b><u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u></b> |                                |                                     |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-34IN - OSGOOD, JOHN     | CAPITAL INCOME BUILDER-A            | 0.00                 | 15.51               | 0.00               | 15.51             | 50.0 | 7.76                 |
|   | ACCOUNT #: 00067886380         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-7792 - MCGRANAGHAN,     | CAPITAL WORLD GROWTH AND INCOME FUN | 0.00                 | 19.80               | 0.00               | 19.80             | 50.0 | 9.90                 |
|   | ACCOUNT #: 00063571104         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-275P - MCGRANAGHAN,     | CAPITAL WORLD GROWTH AND INCOME FUN | 0.00                 | 0.29                | 0.00               | 0.29              | 50.0 | 0.15                 |
|   | ACCOUNT #: 00063571114         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-305P - MCGRANAGHAN/,    | CAPITAL WORLD GROWTH AND INCOME FUN | 0.00                 | 5.04                | 0.00               | 5.04              | 50.0 | 2.52                 |
|   | ACCOUNT #: 00063571117         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-885P - FREDETTE, DIANE  | EUROPACIFIC GROWTH FUND-A           | 0.00                 | 0.42                | 0.00               | 0.42              | 50.0 | 0.21                 |
|   | ACCOUNT #: 00066793484         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-275P - MCGRANAGHAN,     | EUROPACIFIC GROWTH FUND-A           | 0.00                 | 0.34                | 0.00               | 0.34              | 50.0 | 0.17                 |
|   | ACCOUNT #: 00063571114         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-305P - MCGRANAGHAN/,    | EUROPACIFIC GROWTH FUND-A           | 0.00                 | 4.36                | 0.00               | 4.36              | 50.0 | 2.18                 |
|   | ACCOUNT #: 00063571117         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/07/2018  | ***-**-5404 - MOOERS, KYLE     | FIDELITY ADV 01480463049            | 0.00                 | 3.92                | 0.00               | 3.92              | 50.0 | 1.96                 |
|   | ACCOUNT #: 01484248685         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/07/2018  | ***-**-7701 - RYGIEL, JENNIFER | FIDELITY ADV 01480463049            | 0.00                 | 0.69                | 0.00               | 0.69              | 50.0 | 0.35                 |
|   | ACCOUNT #: 01488858562         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/07/2018  | ***-**-1140 - MILLER, MARK     | FIDELITY ADV 01480463049            | 0.00                 | 0.02                | 0.00               | 0.02              | 50.0 | 0.01                 |
|   | ACCOUNT #: 01488916113         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/07/2018  | ***-**-0148 - MINISHINO,       | FIDELITY ADV 01480463049            | 0.00                 | 0.02                | 0.00               | 0.02              | 50.0 | 0.01                 |
|   | ACCOUNT #: 01489362622         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/07/2018  | ***-**-2825 - SALCHUNAS,       | FIDELITY ADV 01480463049            | 0.00                 | 0.03                | 0.00               | 0.03              | 50.0 | 0.02                 |
|   | ACCOUNT #: 01489870954         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/07/2018  | ***-**-1140 - MILLER, MARK     | FIDELITY ADV 01480463049            | 0.00                 | 0.21                | 0.00               | 0.21              | 50.0 | 0.11                 |
|   | ACCOUNT #: 03900217688         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/07/2018  | ***-**-0148 - MINISHINO,       | FIDELITY ADV 01480463049            | 0.00                 | 0.05                | 0.00               | 0.05              | 50.0 | 0.03                 |
|   | ACCOUNT #: 03900217762         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/07/2018  | ***-**-1536 - PETERS, KRISTEN  | FIDELITY ADV 01480463072            | 0.00                 | 1.81                | 0.00               | 1.81              | 50.0 | 0.91                 |
|   | ACCOUNT #: 01480417607         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/07/2018  | ***-**-1320 - BARNEA, ANTHONY  | FIDELITY ADV 01480463072            | 0.00                 | 14.22               | 0.00               | 14.22             | 50.0 | 7.11                 |
|   | ACCOUNT #: 01484492994         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |



# COMMISSION STATEMENT

March 12, 2018

CRAIG ST. CYR  
84 Waterhouse Road  
PO Box 250  
Barrington, NH 03825

BROKER #: 18  
BRANCH #01001 - LifeMark Home Office

| DATE   | CLIENT                         | INVESTMENT               | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|--|--------------------------------|--------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b>BROKER TRANSACTIONS (continued)</b>                       |                                |                          |                      |                     |                    |                   |      |                      |
| <b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</b> |                                |                          |                      |                     |                    |                   |      |                      |
| 03/07/2018   | ***-**-1536 - PETERS, KRISTEN  | FIDELITY ADV 01480463072 | 0.00                 | 4.66                | 0.00               | 4.66              | 50.0 | 2.33                 |
|  | ACCOUNT #: 03900217763         | BUY 0 Units @0.0000      |                      |                     |                    |                   |      |                      |
| 03/07/2018   | ***-**-1574 - KIM, BUNTHOL     | FIDELITY ADV 01480463155 | 0.00                 | 9.62                | 0.00               | 9.62              | 50.0 | 4.81                 |
|  | ACCOUNT #: 01480847183         | BUY 0 Units @0.0000      |                      |                     |                    |                   |      |                      |
| 03/07/2018   | ***-**-8308 - SMITH, KRISTYN   | FIDELITY ADV 01480847183 | 0.00                 | 11.15               | 0.00               | 11.15             | 50.0 | 5.58                 |
|  | ACCOUNT #: 01480463155         | BUY 0 Units @0.0000      |                      |                     |                    |                   |      |                      |
| 03/07/2018   | ***-**-0951 - DAVIS, ALEXANDER | FIDELITY ADV 01480847183 | 0.00                 | 6.08                | 0.00               | 6.08              | 50.0 | 3.04                 |
|  | ACCOUNT #: 01486701756         | BUY 0 Units @0.0000      |                      |                     |                    |                   |      |                      |
| 03/07/2018   | ***-**-3799 - RUDDY, LAUREN    | FIDELITY ADV 01480847183 | 0.00                 | 4.25                | 0.00               | 4.25              | 50.0 | 2.13                 |
|  | ACCOUNT #: 01486935859         | BUY 0 Units @0.0000      |                      |                     |                    |                   |      |                      |
| 03/07/2018   | ***-**-4896 - FAVINI,          | FIDELITY ADV 01480847183 | 0.00                 | 1.49                | 0.00               | 1.49              | 50.0 | 0.75                 |
|  | ACCOUNT #: 01486935875         | BUY 0 Units @0.0000      |                      |                     |                    |                   |      |                      |
| 03/07/2018   | ***-**-9763 - VARGA, KAYLA     | FIDELITY ADV 01480847183 | 0.00                 | 0.11                | 0.00               | 0.11              | 50.0 | 0.06                 |
|  | ACCOUNT #: 01488858455         | BUY 0 Units @0.0000      |                      |                     |                    |                   |      |                      |
| 03/07/2018   | ***-**-8064 - STRAND, HOLLY    | FIDELITY ADV 01480847183 | 0.00                 | 0.32                | 0.00               | 0.32              | 50.0 | 0.16                 |
|  | ACCOUNT #: 01488858539         | BUY 0 Units @0.0000      |                      |                     |                    |                   |      |                      |
| 03/07/2018   | ***-**-5927 - BLAKSLEE,        | FIDELITY ADV 01480847183 | 0.00                 | 0.02                | 0.00               | 0.02              | 50.0 | 0.01                 |
|  | ACCOUNT #: 01488903657         | BUY 0 Units @0.0000      |                      |                     |                    |                   |      |                      |
| 03/07/2018   | ***-**-0976 - CALLAHAN, JOHN   | FIDELITY ADV 01480847183 | 0.00                 | 0.09                | 0.00               | 0.09              | 50.0 | 0.05                 |
|  | ACCOUNT #: 01488916121         | BUY 0 Units @0.0000      |                      |                     |                    |                   |      |                      |
| 03/07/2018   | ***-**-5927 - BLAKSLEE,        | FIDELITY ADV 01480847183 | 0.00                 | 0.21                | 0.00               | 0.21              | 50.0 | 0.11                 |
|  | ACCOUNT #: 03900217676         | BUY 0 Units @0.0000      |                      |                     |                    |                   |      |                      |
| 03/07/2018   | ***-**-9763 - VARGA, KAYLA     | FIDELITY ADV 01480847183 | 0.00                 | 0.41                | 0.00               | 0.41              | 50.0 | 0.21                 |
|  | ACCOUNT #: 03900217768         | BUY 0 Units @0.0000      |                      |                     |                    |                   |      |                      |
| 03/07/2018   | ***-**-0976 - CALLAHAN, JOHN   | FIDELITY ADV 01480847183 | 0.00                 | 0.13                | 0.00               | 0.13              | 50.0 | 0.07                 |
|  | ACCOUNT #: 03900218747         | BUY 0 Units @0.0000      |                      |                     |                    |                   |      |                      |
| 03/07/2018   | ***-**-0790 - BURKE, KRISTEN   | FIDELITY ADV 01480863024 | 0.00                 | 5.57                | 0.00               | 5.57              | 50.0 | 2.79                 |
|  | ACCOUNT #: 01480463049         | BUY 0 Units @0.0000      |                      |                     |                    |                   |      |                      |
| 03/07/2018   | ***-**-4561 - SHAHIAN, LAUREN  | FIDELITY ADV 01484248685 | 0.00                 | 0.75                | 0.00               | 0.75              | 50.0 | 0.38                 |
|  | ACCOUNT #: 01480863024         | BUY 0 Units @0.0000      |                      |                     |                    |                   |      |                      |
| 03/07/2018   | ***-**-4561 - SHAHIAN, LAUREN  | FIDELITY ADV 316389725   | 0.00                 | 0.81                | 0.00               | 0.81              | 50.0 | 0.41                 |
|  | ACCOUNT #: 01480863024         | BUY 0 Units @0.0000      |                      |                     |                    |                   |      |                      |



# COMMISSION STATEMENT

March 12, 2018

CRAIG ST. CYR  
84 Waterhouse Road  
PO Box 250  
Barrington, NH 03825

BROKER #: 18  
BRANCH #01001 - LifeMark Home Office

| DATE   | CLIENT                        | INVESTMENT                          | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|--|-------------------------------|-------------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b>BROKER TRANSACTIONS (continued)</b>                       |                               |                                     |                      |                     |                    |                   |      |                      |
| <b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</b> |                               |                                     |                      |                     |                    |                   |      |                      |
| 03/07/2018   | ***-**-3541 - LAPORTE, DIANE  | FIDELITY ADV BALANCED CL C          | 0.00                 | 9.12                | 0.00               | 9.12              | 50.0 | 4.56                 |
|  | ACCOUNT #: 01485938474        | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/07/2018   | ***-**-4561 - SHAHIAN, LAUREN | FIDELITY ADV BIOTECHNOLOGY-CL T     | 0.00                 | 0.31                | 0.00               | 0.31              | 50.0 | 0.16                 |
|  | ACCOUNT #: 01480863024        | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/07/2018   | ***-**-5392 - FLAVIN, BRENDAN | FIDELITY ADV DIVERSIFIED INTL FD CL | 0.00                 | 1.02                | 0.00               | 1.02              | 50.0 | 0.51                 |
|  | ACCOUNT #: 01481079893        | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/07/2018   | ***-**-5392 - FLAVIN, BRENDAN | FIDELITY ADV DIVERSIFIED INTL FD CL | 0.00                 | 2.58                | 0.00               | 2.58              | 50.0 | 1.29                 |
|  | ACCOUNT #: 03900217682        | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/07/2018   | ***-**-1761 - POTTER, ALLISON | FIDELITY ADV DIVIDEND GROWTH FD CL  | 0.00                 | 1.29                | 0.00               | 1.29              | 50.0 | 0.65                 |
|  | ACCOUNT #: 01480452315        | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/07/2018   | ***-**-5392 - FLAVIN, BRENDAN | FIDELITY ADV DIVIDEND GROWTH FD CL  | 0.00                 | 1.12                | 0.00               | 1.12              | 50.0 | 0.56                 |
|  | ACCOUNT #: 01481079893        | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/07/2018   | ***-**-5392 - FLAVIN, BRENDAN | FIDELITY ADV DIVIDEND GROWTH FD CL  | 0.00                 | 2.84                | 0.00               | 2.84              | 50.0 | 1.42                 |
|  | ACCOUNT #: 03900217682        | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/07/2018   | ***-**-4278 - ROWE, CHERYL    | FIDELITY ADV DIVIDEND GROWTH FD CL  | 0.00                 | 16.84               | 0.00               | 16.84             | 50.0 | 8.42                 |
|  | ACCOUNT #: 00006778755        | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/07/2018   | ***-**-1398 - TEXEIRA, JOSH   | FIDELITY ADV DIVIDEND GROWTH FD CL  | 0.00                 | 0.18                | 0.00               | 0.18              | 50.0 | 0.09                 |
|  | ACCOUNT #: 00700896772        | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/07/2018   | ***-**-1761 - POTTER, ALLISON | FIDELITY ADV EMERGING MKTS-CL C     | 0.00                 | 0.53                | 0.00               | 0.53              | 50.0 | 0.27                 |
|  | ACCOUNT #: 01480452315        | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/07/2018   | ***-**-5392 - FLAVIN, BRENDAN | FIDELITY ADV EMERGING MKTS-CL C     | 0.00                 | 0.76                | 0.00               | 0.76              | 50.0 | 0.38                 |
|  | ACCOUNT #: 01481079893        | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/07/2018   | ***-**-5392 - FLAVIN, BRENDAN | FIDELITY ADV EMERGING MKTS-CL C     | 0.00                 | 1.95                | 0.00               | 1.95              | 50.0 | 0.98                 |
|  | ACCOUNT #: 03900217682        | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/07/2018   | ***-**-1761 - POTTER, ALLISON | FIDELITY ADV EMERGING MRKTS INC-CL  | 0.00                 | 0.22                | 0.00               | 0.22              | 50.0 | 0.11                 |
|  | ACCOUNT #: 01480452315        | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/07/2018   | ***-**-5392 - FLAVIN, BRENDAN | FIDELITY ADV EMERGING MRKTS INC-CL  | 0.00                 | 0.64                | 0.00               | 0.64              | 50.0 | 0.32                 |
|  | ACCOUNT #: 01481079893        | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/07/2018   | ***-**-5392 - FLAVIN, BRENDAN | FIDELITY ADV EMERGING MRKTS INC-CL  | 0.00                 | 1.62                | 0.00               | 1.62              | 50.0 | 0.81                 |
|  | ACCOUNT #: 03900217682        | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/07/2018   | ***-**-4561 - SHAHIAN, LAUREN | FIDELITY ADV ENERGY CL T            | 0.00                 | 0.30                | 0.00               | 0.30              | 50.0 | 0.15                 |
|  | ACCOUNT #: 01480863024        | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |



# COMMISSION STATEMENT

March 12, 2018

CRAIG ST. CYR  
84 Waterhouse Road  
PO Box 250  
Barrington, NH 03825

BROKER #: 18  
BRANCH #01001 - LifeMark Home Office

| DATE   | CLIENT                         | INVESTMENT                      | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|--|--------------------------------|---------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b>BROKER TRANSACTIONS (continued)</b>                       |                                |                                 |                      |                     |                    |                   |      |                      |
| <b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</b> |                                |                                 |                      |                     |                    |                   |      |                      |
| 03/07/2018   | ***-**-3539 - ELICK, ROBERT    | FIDELITY ADV EQUITY GROWTH CL T | 0.00                 | 10.26               | 0.00               | 10.26             | 50.0 | 5.13                 |
|  | ACCOUNT #: 00006778771         | BUY 0 Units @0.0000             |                      |                     |                    |                   |      |                      |
| 03/07/2018   | ***-**-188I - GALLAGHER, JOAN  | FIDELITY ADV FREEDOM 2020-CL T  | 0.00                 | 14.95               | 0.00               | 14.95             | 50.0 | 7.48                 |
|  | ACCOUNT #: 01423617297         | BUY 0 Units @0.0000             |                      |                     |                    |                   |      |                      |
| 03/07/2018   | ***-**-188I - GALLAGHER, JOAN  | FIDELITY ADV FREEDOM 2020-CL T  | 0.00                 | 23.06               | 0.00               | 23.06             | 50.0 | 11.53                |
|  | ACCOUNT #: 01423617396         | BUY 0 Units @0.0000             |                      |                     |                    |                   |      |                      |
| 03/07/2018   | ***-**-3539 - ELICK, ROBERT    | FIDELITY ADV FREEDOM 2025-CL T  | 0.00                 | 3.24                | 0.00               | 3.24              | 50.0 | 1.62                 |
|  | ACCOUNT #: 01485722571         | BUY 0 Units @0.0000             |                      |                     |                    |                   |      |                      |
| 03/07/2018   | ***-**-2023 - PICCIRILLO, JOHN | FIDELITY ADV FREEDOM 2030-CL T  | 0.00                 | 0.02                | 0.00               | 0.02              | 50.0 | 0.01                 |
|  | ACCOUNT #: 00700194152         | BUY 0 Units @0.0000             |                      |                     |                    |                   |      |                      |
| 03/07/2018   | ***-**-3980 - BONGIORNO, LISA  | FIDELITY ADV FREEDOM 2030-CL T  | 0.00                 | 0.73                | 0.00               | 0.73              | 50.0 | 0.37                 |
|  | ACCOUNT #: 00701132433         | BUY 0 Units @0.0000             |                      |                     |                    |                   |      |                      |
| 03/07/2018   | ***-**-7163 - ADAMS, BENJAMIN  | FIDELITY ADV FREEDOM 2035       | 0.00                 | 0.05                | 0.00               | 0.05              | 50.0 | 0.03                 |
|  | ACCOUNT #: 01488903764         | BUY 0 Units @0.0000             |                      |                     |                    |                   |      |                      |
| 03/07/2018   | ***-**-7163 - ADAMS, BENJAMIN  | FIDELITY ADV FREEDOM 2035       | 0.00                 | 0.37                | 0.00               | 0.37              | 50.0 | 0.19                 |
|  | ACCOUNT #: 03900217670         | BUY 0 Units @0.0000             |                      |                     |                    |                   |      |                      |
| 03/07/2018   | ***-**-2647 - O'NEIL, BRIAN    | FIDELITY ADV FREEDOM 2035-CL T  | 0.00                 | 0.06                | 0.00               | 0.06              | 50.0 | 0.03                 |
|  | ACCOUNT #: 00701132441         | BUY 0 Units @0.0000             |                      |                     |                    |                   |      |                      |
| 03/07/2018   | ***-**-49IR - ROWE, THOMAS     | FIDELITY ADV FREEDOM 2035-CL T  | 0.00                 | 3.05                | 0.00               | 3.05              | 50.0 | 1.53                 |
|  | ACCOUNT #: 00704648971         | BUY 0 Units @0.0000             |                      |                     |                    |                   |      |                      |
| 03/07/2018   | ***-**-949I - ROWE, THOMAS     | FIDELITY ADV FREEDOM 2035-CL T  | 0.00                 | 9.70                | 0.00               | 9.70              | 50.0 | 4.85                 |
|  | ACCOUNT #: 00704648989         | BUY 0 Units @0.0000             |                      |                     |                    |                   |      |                      |
| 03/07/2018   | ***-**-5759 - WATKINS, ANDREW  | FIDELITY ADV FREEDOM 2040-CL T  | 0.00                 | 0.31                | 0.00               | 0.31              | 50.0 | 0.16                 |
|  | ACCOUNT #: 00704441666         | BUY 0 Units @0.0000             |                      |                     |                    |                   |      |                      |
| 03/07/2018   | ***-**-0270 - CARELLA, MICHAEL | FIDELITY ADV FREEDOM 2045       | 0.00                 | 12.45               | 0.00               | 12.45             | 50.0 | 6.23                 |
|  | ACCOUNT #: 01486701004         | BUY 0 Units @0.0000             |                      |                     |                    |                   |      |                      |
| 03/07/2018   | ***-**-296I - HEATH,           | FIDELITY ADV FREEDOM 2050-CL T  | 0.00                 | 0.17                | 0.00               | 0.17              | 50.0 | 0.09                 |
|  | ACCOUNT #: 01444473357         | BUY 0 Units @0.0000             |                      |                     |                    |                   |      |                      |
| 03/07/2018   | ***-**-6937 - SCHWAB,          | FIDELITY ADV FREEDOM 2060 C     | 0.00                 | 5.79                | 0.00               | 5.79              | 50.0 | 2.90                 |
|  | ACCOUNT #: 01484248586         | BUY 0 Units @0.0000             |                      |                     |                    |                   |      |                      |
| 03/07/2018   | ***-**-7242 - JOHNSON,         | FIDELITY ADV FREEDOM 2060 C     | 0.00                 | 2.25                | 0.00               | 2.25              | 50.0 | 1.13                 |
|  | ACCOUNT #: 01486703117         | BUY 0 Units @0.0000             |                      |                     |                    |                   |      |                      |



# COMMISSION STATEMENT

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CRAIG ST. CYR  
84 Waterhouse Road  
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BROKER #: 18  
BRANCH #01001 - LifeMark Home Office

| DATE   | CLIENT                        | INVESTMENT                         | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|--|-------------------------------|------------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b>BROKER TRANSACTIONS (continued)</b>                       |                               |                                    |                      |                     |                    |                   |      |                      |
| <b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</b> |                               |                                    |                      |                     |                    |                   |      |                      |
| 03/07/2018   | ***-**-0327 - MCGURN, CONNOR  | FIDELITY ADV FREEDOM 2060 C        | 0.00                 | 1.97                | 0.00               | 1.97              | 50.0 | 0.99                 |
|  | ACCOUNT #: 01486703158        | BUY 0 Units @0.0000                |                      |                     |                    |                   |      |                      |
| 03/07/2018   | ***-**-5782 - SCHMID, ANDERW  | FIDELITY ADV FREEDOM 2060 C        | 0.00                 | 1.94                | 0.00               | 1.94              | 50.0 | 0.97                 |
|  | ACCOUNT #: 01486935966        | BUY 0 Units @0.0000                |                      |                     |                    |                   |      |                      |
| 03/07/2018   | ***-**-9077 - ST JEAN, ERIC   | FIDELITY ADV FREEDOM 2060 C        | 0.00                 | 0.01                | 0.00               | 0.01              | 50.0 | 0.01                 |
|  | ACCOUNT #: 01489870921        | BUY 0 Units @0.0000                |                      |                     |                    |                   |      |                      |
| 03/07/2018   | ***-**-4278 - ROWE, CHERYL    | FIDELITY ADV GROWTH OPPORT CL T    | 0.00                 | 25.85               | 0.00               | 25.85             | 50.0 | 12.93                |
|  | ACCOUNT #: 00006778755        | BUY 0 Units @0.0000                |                      |                     |                    |                   |      |                      |
| 03/07/2018   | ***-**-49IR - ROWE, THOMAS    | FIDELITY ADV GROWTH OPPORT CL T    | 0.00                 | 9.90                | 0.00               | 9.90              | 50.0 | 4.95                 |
|  | ACCOUNT #: 00006778767        | BUY 0 Units @0.0000                |                      |                     |                    |                   |      |                      |
| 03/07/2018   | ***-**-3539 - ELICK, ROBERT   | FIDELITY ADV GROWTH OPPORT CL T    | 0.00                 | 11.37               | 0.00               | 11.37             | 50.0 | 5.69                 |
|  | ACCOUNT #: 00006778771        | BUY 0 Units @0.0000                |                      |                     |                    |                   |      |                      |
| 03/07/2018   | ***-**-64IR - ST CYR, CRAIG   | FIDELITY ADV HIGH INCOME ADVANTAGE | 0.00                 | 1.96                | 0.00               | 1.96              | 50.0 | 0.98                 |
|  | ACCOUNT #: 00655155893        | BUY 0 Units @0.0000                |                      |                     |                    |                   |      |                      |
| 03/07/2018   | ***-**-49IR - ROWE, THOMAS    | FIDELITY ADV INTL CAPITAL APP CL T | 0.00                 | 4.42                | 0.00               | 4.42              | 50.0 | 2.21                 |
|  | ACCOUNT #: 00006778767        | BUY 0 Units @0.0000                |                      |                     |                    |                   |      |                      |
| 03/07/2018   | ***-**-0107 - LOISELLE, PETER | FIDELITY ADV INTL CAPITAL APP CL T | 0.00                 | 3.53                | 0.00               | 3.53              | 50.0 | 1.77                 |
|  | ACCOUNT #: 00655796084        | BUY 0 Units @0.0000                |                      |                     |                    |                   |      |                      |
| 03/07/2018   | ***-**-4561 - SHAHIAN, LAUREN | FIDELITY ADV LARGE CAP CL T        | 0.00                 | 1.48                | 0.00               | 1.48              | 50.0 | 0.74                 |
|  | ACCOUNT #: 01480863024        | BUY 0 Units @0.0000                |                      |                     |                    |                   |      |                      |
| 03/07/2018   | ***-**-1761 - POTTER, ALLISON | FIDELITY ADV LEVERAGED CO STOCK CL | 0.00                 | 0.75                | 0.00               | 0.75              | 50.0 | 0.38                 |
|  | ACCOUNT #: 01480452315        | BUY 0 Units @0.0000                |                      |                     |                    |                   |      |                      |
| 03/07/2018   | ***-**-5392 - FLAVIN, BRENDAN | FIDELITY ADV LEVERAGED CO STOCK CL | 0.00                 | 1.08                | 0.00               | 1.08              | 50.0 | 0.54                 |
|  | ACCOUNT #: 01481079893        | BUY 0 Units @0.0000                |                      |                     |                    |                   |      |                      |
| 03/07/2018   | ***-**-5392 - FLAVIN, BRENDAN | FIDELITY ADV LEVERAGED CO STOCK CL | 0.00                 | 2.70                | 0.00               | 2.70              | 50.0 | 1.35                 |
|  | ACCOUNT #: 03900217682        | BUY 0 Units @0.0000                |                      |                     |                    |                   |      |                      |
| 03/07/2018   | ***-**-49IR - ROWE, THOMAS    | FIDELITY ADV MATERIALS-CL T        | 0.00                 | 2.53                | 0.00               | 2.53              | 50.0 | 1.27                 |
|  | ACCOUNT #: 00704648971        | BUY 0 Units @0.0000                |                      |                     |                    |                   |      |                      |
| 03/07/2018   | ***-**-949I - ROWE, THOMAS    | FIDELITY ADV MATERIALS-CL T        | 0.00                 | 4.92                | 0.00               | 4.92              | 50.0 | 2.46                 |
|  | ACCOUNT #: 00704648989        | BUY 0 Units @0.0000                |                      |                     |                    |                   |      |                      |
| / /  | ***-**-1761 - POTTER, ALLISON | FIDELITY ADV MF TRAILS             | 0.00                 | 12.40               | 0.00               | 12.40             | 50.0 | 6.20                 |
|  | ACCOUNT #: 03900217765        | BUY 0 Units @0.0000                |                      |                     |                    |                   |      |                      |



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| DATE   | CLIENT                        | INVESTMENT                       | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|--|-------------------------------|----------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b>BROKER TRANSACTIONS (continued)</b>                       |                               |                                  |                      |                     |                    |                   |      |                      |
| <b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</b> |                               |                                  |                      |                     |                    |                   |      |                      |
| 03/07/2018   | ***-**-4561 - SHAHIAN, LAUREN | FIDELITY ADV MF TRAILS 315793794 | 0.00                 | 2.17                | 0.00               | 2.17              | 50.0 | 1.09                 |
|  | ACCOUNT #: 01480863024        | BUY 0 Units @0.0000              |                      |                     |                    |                   |      |                      |
| 03/07/2018   | ***-**-4561 - SHAHIAN, LAUREN | FIDELITY ADV MF TRAILS 316128842 | 0.00                 | 0.69                | 0.00               | 0.69              | 50.0 | 0.35                 |
|  | ACCOUNT #: 01480863024        | BUY 0 Units @0.0000              |                      |                     |                    |                   |      |                      |
| 03/07/2018   | ***-**-4278 - ROWE, CHERYL    | FIDELITY ADV OVERSEAS CL T       | 0.00                 | 12.43               | 0.00               | 12.43             | 50.0 | 6.22                 |
|  | ACCOUNT #: 00006778755        | BUY 0 Units @0.0000              |                      |                     |                    |                   |      |                      |
| 03/07/2018   | ***-**-3539 - ELICK, ROBERT   | FIDELITY ADV OVERSEAS CL T       | 0.00                 | 7.39                | 0.00               | 7.39              | 50.0 | 3.70                 |
|  | ACCOUNT #: 00006778771        | BUY 0 Units @0.0000              |                      |                     |                    |                   |      |                      |
| 03/07/2018   | ***-**-3541 - LAPORTE, DIANE  | FIDELITY ADV OVERSEAS-CL C       | 0.00                 | 6.40                | 0.00               | 6.40              | 50.0 | 3.20                 |
|  | ACCOUNT #: 01485938474        | BUY 0 Units @0.0000              |                      |                     |                    |                   |      |                      |
| 03/07/2018   | ***-**-949I - ROWE, THOMAS    | FIDELITY ADV REAL ESTATE - CL T  | 0.00                 | 2.68                | 0.00               | 2.68              | 50.0 | 1.34                 |
|  | ACCOUNT #: 00704648989        | BUY 0 Units @0.0000              |                      |                     |                    |                   |      |                      |
| 03/07/2018   | ***-**-4561 - SHAHIAN, LAUREN | FIDELITY ADV REAL ESTATE - CL T  | 0.00                 | 0.28                | 0.00               | 0.28              | 50.0 | 0.14                 |
|  | ACCOUNT #: 01480863024        | BUY 0 Units @0.0000              |                      |                     |                    |                   |      |                      |
| 03/07/2018   | ***-**-1761 - POTTER, ALLISON | FIDELITY ADV REAL ESTATE-CL C    | 0.00                 | 0.40                | 0.00               | 0.40              | 50.0 | 0.20                 |
|  | ACCOUNT #: 01480452315        | BUY 0 Units @0.0000              |                      |                     |                    |                   |      |                      |
| 03/07/2018   | ***-**-1761 - POTTER, ALLISON | FIDELITY ADV SMALL CAP CL C      | 0.00                 | 0.50                | 0.00               | 0.50              | 50.0 | 0.25                 |
|  | ACCOUNT #: 01480452315        | BUY 0 Units @0.0000              |                      |                     |                    |                   |      |                      |
| 03/07/2018   | ***-**-5392 - FLAVIN, BRENDAN | FIDELITY ADV SMALL CAP CL C      | 0.00                 | 0.71                | 0.00               | 0.71              | 50.0 | 0.36                 |
|  | ACCOUNT #: 01481079893        | BUY 0 Units @0.0000              |                      |                     |                    |                   |      |                      |
| 03/07/2018   | ***-**-5392 - FLAVIN, BRENDAN | FIDELITY ADV SMALL CAP CL C      | 0.00                 | 1.80                | 0.00               | 1.80              | 50.0 | 0.90                 |
|  | ACCOUNT #: 03900217682        | BUY 0 Units @0.0000              |                      |                     |                    |                   |      |                      |
| 03/07/2018   | ***-**-4278 - ROWE, CHERYL    | FIDELITY ADV SMALL CAP CL T      | 0.00                 | 19.53               | 0.00               | 19.53             | 50.0 | 9.77                 |
|  | ACCOUNT #: 00006778755        | BUY 0 Units @0.0000              |                      |                     |                    |                   |      |                      |
| 03/07/2018   | ***-**-3539 - ELICK, ROBERT   | FIDELITY ADV SMALL CAP CL T      | 0.00                 | 10.96               | 0.00               | 10.96             | 50.0 | 5.48                 |
|  | ACCOUNT #: 00006778771        | BUY 0 Units @0.0000              |                      |                     |                    |                   |      |                      |
| 03/07/2018   | ***-**-7241 - CREPEAU, SHEILA | FIDELITY ADV SMALL CAP CL T      | 0.00                 | 1.62                | 0.00               | 1.62              | 50.0 | 0.81                 |
|  | ACCOUNT #: 00501473037        | BUY 0 Units @0.0000              |                      |                     |                    |                   |      |                      |
| 03/07/2018   | ***-**-9365 - CREPEAU, GARY   | FIDELITY ADV SMALL CAP CL T      | 0.00                 | 1.62                | 0.00               | 1.62              | 50.0 | 0.81                 |
|  | ACCOUNT #: 00501473268        | BUY 0 Units @0.0000              |                      |                     |                    |                   |      |                      |
| 03/07/2018   | ***-**-0107 - LOISELLE, PETER | FIDELITY ADV SMALL CAP CL T      | 0.00                 | 5.68                | 0.00               | 5.68              | 50.0 | 2.84                 |
|  | ACCOUNT #: 00655796084        | BUY 0 Units @0.0000              |                      |                     |                    |                   |      |                      |





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| DATE   | CLIENT                         | INVESTMENT                          | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|--|--------------------------------|-------------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b>BROKER TRANSACTIONS (continued)</b>                       |                                |                                     |                      |                     |                    |                   |      |                      |
| <b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</b> |                                |                                     |                      |                     |                    |                   |      |                      |
| 03/07/2018   | ***-**-4803 - BREEN, MICHAELA  | FIDELITY ADV SMALL CAP CL T         | 0.00                 | 18.84               | 0.00               | 18.84             | 50.0 | 9.42                 |
|  | ACCOUNT #: 00689460350         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/07/2018   | ***-**-7241 - CREPEAU, SHEILA  | FIDELITY ADV SMALL CAP CL T         | 0.00                 | 12.14               | 0.00               | 12.14             | 50.0 | 6.07                 |
|  | ACCOUNT #: 00700424963         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/07/2018   | ***-**-9365 - CREPEAU, GARY    | FIDELITY ADV SMALL CAP CL T         | 0.00                 | 12.14               | 0.00               | 12.14             | 50.0 | 6.07                 |
|  | ACCOUNT #: 00700424971         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/07/2018   | ***-**-949I - ROWE, THOMAS     | FIDELITY ADV SMALL CAP CL T         | 0.00                 | 2.73                | 0.00               | 2.73              | 50.0 | 1.37                 |
|  | ACCOUNT #: 00704648989         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/07/2018   | ***-**-88IR - GALLAGHER, JOAN  | FIDELITY ADV SMALL CAP CL T         | 0.00                 | 10.76               | 0.00               | 10.76             | 50.0 | 5.38                 |
|  | ACCOUNT #: 01440924288         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/07/2018   | ***-**-2023 - PICCIRILLO, JOHN | FIDELITY ADV SMALL CAP-CL A         | 0.00                 | 0.01                | 0.00               | 0.01              | 50.0 | 0.01                 |
|  | ACCOUNT #: 00655113793         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/07/2018   | ***-**-64IR - ST CYR, CRAIG    | FIDELITY ADV SMALL CAP-CL A         | 0.00                 | 8.36                | 0.00               | 8.36              | 50.0 | 4.18                 |
|  | ACCOUNT #: 00655155893         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/07/2018   | ***-**-49IR - ROWE, THOMAS     | FIDELITY ADV STOCK SELECTOR ALL CAP | 0.00                 | 5.80                | 0.00               | 5.80              | 50.0 | 2.90                 |
|  | ACCOUNT #: 00006778767         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/07/2018   | ***-**-0107 - LOISELLE, PETER  | FIDELITY ADV STOCK SELECTOR ALL CAP | 0.00                 | 9.58                | 0.00               | 9.58              | 50.0 | 4.79                 |
|  | ACCOUNT #: 00655796084         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/07/2018   | ***-**-8635 - BREEN, MARK      | FIDELITY ADV STOCK SELECTOR ALL CAP | 0.00                 | 17.81               | 0.00               | 17.81             | 50.0 | 8.91                 |
|  | ACCOUNT #: 00689460343         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/07/2018   | ***-**-6716 - WATKINS,         | FIDELITY ADV STOCK SELECTOR ALL CAP | 0.00                 | 10.24               | 0.00               | 10.24             | 50.0 | 5.12                 |
|  | ACCOUNT #: 00700352818         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/07/2018   | ***-**-4561 - SHAHIAN, LAUREN  | FIDELITY ADV STRATEGIC DIV & INCOME | 0.00                 | 0.34                | 0.00               | 0.34              | 50.0 | 0.17                 |
|  | ACCOUNT #: 01480863024         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/07/2018   | ***-**-3539 - ELICK, ROBERT    | FIDELITY ADV STRATEGIC DIV & INCOME | 0.00                 | 3.21                | 0.00               | 3.21              | 50.0 | 1.61                 |
|  | ACCOUNT #: 01485722571         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/07/2018   | ***-**-5392 - FLAVIN, BRENDAN  | FIDELITY ADV STRATEGIC INCOME CL C  | 0.00                 | 0.61                | 0.00               | 0.61              | 50.0 | 0.31                 |
|  | ACCOUNT #: 01481079893         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/07/2018   | ***-**-5392 - FLAVIN, BRENDAN  | FIDELITY ADV STRATEGIC INCOME CL C  | 0.00                 | 1.54                | 0.00               | 1.54              | 50.0 | 0.77                 |
|  | ACCOUNT #: 03900217682         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/07/2018   | ***-**-3539 - ELICK, ROBERT    | FIDELITY ADV UTILITIES CL T         | 0.00                 | 8.05                | 0.00               | 8.05              | 50.0 | 4.03                 |
|  | ACCOUNT #: 00006778771         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |



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|--|--------------------------------|-------------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b>BROKER TRANSACTIONS (continued)</b>                       |                                |                                     |                      |                     |                    |                   |      |                      |
| <b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</b> |                                |                                     |                      |                     |                    |                   |      |                      |
| 03/07/2018   | ***-**-949I - ROWE, THOMAS     | FIDELITY ADV UTILITIES CL T         | 0.00                 | 3.14                | 0.00               | 3.14              | 50.0 | 1.57                 |
|  | ACCOUNT #: 00704648989         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/07/2018   | ***-**-3539 - ELICK, ROBERT    | FIDELITY ADVISOR BALANCED CLASS T   | 0.00                 | 3.25                | 0.00               | 3.25              | 50.0 | 1.63                 |
|  | ACCOUNT #: 01485722571         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/07/2018   | ***-**-1761 - POTTER, ALLISON  | FIDELITY ADVISOR BIOTECHNOLOGY CL C | 0.00                 | 0.22                | 0.00               | 0.22              | 50.0 | 0.11                 |
|  | ACCOUNT #: 01480452315         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/07/2018   | ***-**-8657 - YOUNG, KATHERINE | FIDELITY ADVISOR EQUITY GROWTH CL C | 0.00                 | 0.02                | 0.00               | 0.02              | 50.0 | 0.01                 |
|  | ACCOUNT #: 03900184857         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/07/2018   | ***-**-5392 - FLAVIN, BRENDAN  | FIDELITY ADVISOR FL RATE HIGH INC C | 0.00                 | 0.59                | 0.00               | 0.59              | 50.0 | 0.30                 |
|  | ACCOUNT #: 01481079893         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/07/2018   | ***-**-5392 - FLAVIN, BRENDAN  | FIDELITY ADVISOR FL RATE HIGH INC C | 0.00                 | 1.51                | 0.00               | 1.51              | 50.0 | 0.76                 |
|  | ACCOUNT #: 03900217682         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/07/2018   | ***-**-3036 - GRIFFIN,         | FIDELITY ADVISOR FREEDOM 2040       | 0.00                 | 10.18               | 0.00               | 10.18             | 50.0 | 5.09                 |
|  | ACCOUNT #: 01481500708         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/07/2018   | ***-**-1761 - POTTER, ALLISON  | FIDELITY ADVISOR HIGH INCOME        | 0.00                 | 0.19                | 0.00               | 0.19              | 50.0 | 0.10                 |
|  | ACCOUNT #: 01480452315         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/07/2018   | ***-**-5392 - FLAVIN, BRENDAN  | FIDELITY ADVISOR HIGH INCOME        | 0.00                 | 0.27                | 0.00               | 0.27              | 50.0 | 0.14                 |
|  | ACCOUNT #: 01481079893         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/07/2018   | ***-**-5392 - FLAVIN, BRENDAN  | FIDELITY ADVISOR HIGH INCOME        | 0.00                 | 0.69                | 0.00               | 0.69              | 50.0 | 0.35                 |
|  | ACCOUNT #: 03900217682         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/07/2018   | ***-**-4278 - ROWE, CHERYL     | FIDELITY ADVISOR HIGH INCOME ADVANT | 0.00                 | 6.43                | 0.00               | 6.43              | 50.0 | 3.22                 |
|  | ACCOUNT #: 00006778755         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/07/2018   | ***-**-0107 - LOISELLE, PETER  | FIDELITY ADVISOR HIGH INCOME ADVANT | 0.00                 | 3.10                | 0.00               | 3.10              | 50.0 | 1.55                 |
|  | ACCOUNT #: 00655796084         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/07/2018   | ***-**-64IR - ST CYR, CRAIG    | FIDELITY ADVISOR MID CAP STOCK CL A | 0.00                 | 5.50                | 0.00               | 5.50              | 50.0 | 2.75                 |
|  | ACCOUNT #: 00655155893         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/07/2018   | ***-**-4278 - ROWE, CHERYL     | FIDELITY ADVISOR MID CAP STOCK CL T | 0.00                 | 22.58               | 0.00               | 22.58             | 50.0 | 11.29                |
|  | ACCOUNT #: 00006778755         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/07/2018   | ***-**-0107 - LOISELLE, PETER  | FIDELITY ADVISOR MID CAP STOCK CL T | 0.00                 | 7.30                | 0.00               | 7.30              | 50.0 | 3.65                 |
|  | ACCOUNT #: 00655796084         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/07/2018   | ***-**-64IR - ST CYR, CRAIG    | FIDELITY ADVISOR STK SELECTOR ALL C | 0.00                 | 6.68                | 0.00               | 6.68              | 50.0 | 3.34                 |
|  | ACCOUNT #: 00655155893         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |



# COMMISSION STATEMENT

March 12, 2018

CRAIG ST. CYR  
84 Waterhouse Road  
PO Box 250  
Barrington, NH 03825

BROKER #: 18  
BRANCH #01001 - LifeMark Home Office

| DATE   | CLIENT                         | INVESTMENT                          | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|--|--------------------------------|-------------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b>BROKER TRANSACTIONS (continued)</b>                       |                                |                                     |                      |                     |                    |                   |      |                      |
| <b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</b> |                                |                                     |                      |                     |                    |                   |      |                      |
| 03/07/2018   | ***-**-2174 - ST CYR, KATHLEEN | FIDELITY ADVISOR STK SELECTOR ALL C | 0.00                 | 0.35                | 0.00               | 0.35              | 50.0 | 0.18                 |
|  | ACCOUNT #: 00700389216         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/07/2018   | ***-**-49IR - ROWE, THOMAS     | FIDELITY ADVISOR STRATEGIC INCOME C | 0.00                 | 2.09                | 0.00               | 2.09              | 50.0 | 1.05                 |
|  | ACCOUNT #: 00006778767         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/07/2018   | ***-**-49IR - ROWE, THOMAS     | FIDELITY ADVISOR VALUE STRAT CL T   | 0.00                 | 4.88                | 0.00               | 4.88              | 50.0 | 2.44                 |
|  | ACCOUNT #: 00006778767         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/07/2018   | ***-**-1761 - POTTER, ALLISON  | FIDELITY ADVISOR WORLDWIDE          | 0.00                 | 0.77                | 0.00               | 0.77              | 50.0 | 0.39                 |
|  | ACCOUNT #: 01480452315         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-34IN - OSGOOD, JOHN     | NEW PERSPECTIVE FUND-A              | 0.00                 | 18.19               | 0.00               | 18.19             | 50.0 | 9.10                 |
|  | ACCOUNT #: 00067886380         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-885P - FREDETTE, DIANE  | SMALLCAP WORLD FUND-A               | 0.00                 | 2.96                | 0.00               | 2.96              | 50.0 | 1.48                 |
|  | ACCOUNT #: 00066793484         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-275P - MCGRANAGHAN,     | SMALLCAP WORLD FUND-A               | 0.00                 | 0.69                | 0.00               | 0.69              | 50.0 | 0.35                 |
|  | ACCOUNT #: 00063571114         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-305P - MCGRANAGHAN/,    | SMALLCAP WORLD FUND-A               | 0.00                 | 9.51                | 0.00               | 9.51              | 50.0 | 4.76                 |
|  | ACCOUNT #: 00063571117         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-34IN - OSGOOD, JOHN     | SMALLCAP WORLD FUND-A               | 0.00                 | 17.35               | 0.00               | 17.35             | 50.0 | 8.68                 |
|  | ACCOUNT #: 00067886380         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-275P - MCGRANAGHAN,     | THE GROWTH FUND OF AMERICA-A        | 0.00                 | 0.29                | 0.00               | 0.29              | 50.0 | 0.15                 |
|  | ACCOUNT #: 00063571114         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-305P - MCGRANAGHAN/,    | THE GROWTH FUND OF AMERICA-A        | 0.00                 | 12.15               | 0.00               | 12.15             | 50.0 | 6.08                 |
|  | ACCOUNT #: 00063571117         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-34IN - OSGOOD, JOHN     | THE GROWTH FUND OF AMERICA-A        | 0.00                 | 19.54               | 0.00               | 19.54             | 50.0 | 9.77                 |
|  | ACCOUNT #: 00067886380         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-017P - MCGIBBON, CLAIRE | THE INCOME FUND OF AMERICA-A        | 0.00                 | 6.49                | 0.00               | 6.49              | 50.0 | 3.25                 |
|  | ACCOUNT #: 00074046169         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-223P - DRECHSLER, SUSAN | THE INCOME FUND OF AMERICA-A        | 0.00                 | 43.59               | 0.00               | 43.59             | 50.0 | 21.80                |
|  | ACCOUNT #: 00063454854         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-235P - DRECHSLER, SUSAN | THE INCOME FUND OF AMERICA-A        | 0.00                 | 61.93               | 0.00               | 61.93             | 50.0 | 30.97                |
|  | ACCOUNT #: 00063958333         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-48IN - DREW, DAVID      | THE INCOME FUND OF AMERICA-A        | 0.00                 | 6.49                | 0.00               | 6.49              | 50.0 | 3.25                 |
|  | ACCOUNT #: 00074046150         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |



# COMMISSION STATEMENT

March 12, 2018

CRAIG ST. CYR  
84 Waterhouse Road  
PO Box 250  
Barrington, NH 03825

BROKER #: 18  
BRANCH #01001 - LifeMark Home Office

| DATE   | CLIENT   | INVESTMENT                         | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|--|--|------------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b>BROKER TRANSACTIONS (continued)</b>                       |  |                                    |                      |                     |                    |                   |      |                      |
| <b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</b> |  |                                    |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***--00IN - DREW, ARTHUR                         | THE INCOME FUND OF AMERICA-A       | 0.00                 | 13.14               | 0.00               | 13.14             | 50.0 | 6.57                 |
|  | ACCOUNT #: 00074046175                           | BUY 0 Units @0.0000                |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***--185P - MCGRANAGHAN,                         | THE INCOME FUND OF AMERICA-A       | 0.00                 | 6.43                | 0.00               | 6.43              | 50.0 | 3.22                 |
|  | ACCOUNT #: 00082382681                           | BUY 0 Units @0.0000                |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***--7792 - MCGRANAGHAN,                         | WASHINGTON MUTUAL INVESTORS FUND-A | 0.00                 | 19.92               | 0.00               | 19.92             | 50.0 | 9.96                 |
|  | ACCOUNT #: 00063571104                           | BUY 0 Units @0.0000                |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***--275P - MCGRANAGHAN,                         | WASHINGTON MUTUAL INVESTORS FUND-A | 0.00                 | 0.50                | 0.00               | 0.50              | 50.0 | 0.25                 |
|  | ACCOUNT #: 00063571114                           | BUY 0 Units @0.0000                |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***--305P - MCGRANAGHAN/,                        | WASHINGTON MUTUAL INVESTORS FUND-A | 0.00                 | 11.84               | 0.00               | 11.84             | 50.0 | 5.92                 |
|  | ACCOUNT #: 00063571117                           | BUY 0 Units @0.0000                |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***--34IN - OSGOOD, JOHN                         | WASHINGTON MUTUAL INVESTORS FUND-A | 0.00                 | 19.08               | 0.00               | 19.08             | 50.0 | 9.54                 |
|  | ACCOUNT #: 00067886380                           | BUY 0 Units @0.0000                |                      |                     |                    |                   |      |                      |
|  | <b>* MUTUAL FUND 12B1 TRAILS SUBTOTAL *</b>      |                                    | <b>\$0.00</b>        | <b>\$873.84</b>     | <b>\$0.00</b>      | <b>\$873.84</b>   |      | <b>\$437.28</b>      |
| <b>PRODUCT CATEGORY: VARIABLE ANNUITY 12B1 TRAILS</b>        |  |                                    |                      |                     |                    |                   |      |                      |
| 03/12/2018   | ***--9431 - FISHBEIN,                            | JOHN HANCOCK VA TRAILS             | 0.00                 | 288.65              | 0.00               | 288.65            | 50.0 | 144.33               |
|  | ACCOUNT #: 26702                                 | BUY 1 Units @0.0000                |                      |                     |                    |                   |      |                      |
| 03/12/2018   | ***--3717 - DOVETAILED                           | JOHN HANCOCK VA TRAILS             | 0.00                 | 112.60              | 0.00               | 112.60            | 50.0 | 56.30                |
|  | ACCOUNT #: 23717                                 | BUY 1 Units @0.0000                |                      |                     |                    |                   |      |                      |
|  | <b>* VARIABLE ANNUITY 12B1 TRAILS SUBTOTAL *</b> |                                    | <b>\$0.00</b>        | <b>\$401.25</b>     | <b>\$0.00</b>      | <b>\$401.25</b>   |      | <b>\$200.63</b>      |
|  | <b>*** BROKER TRANSACTIONS TOTAL ***</b>         |                                    | <b>\$0.00</b>        | <b>\$1,275.09</b>   | <b>\$0.00</b>      | <b>\$1,275.09</b> |      | <b>\$637.91</b>      |



**CRAIG ST. CYR**  
84 Waterhouse Road  
PO Box 250  
Barrington, NH 03825

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

|                       |          |
|-----------------------|----------|
| Broker Transactions   | \$637.91 |
| Split Transactions    | \$0.00   |
| Override Transactions | \$0.00   |
| Adjustments           | \$0.00   |
| Payroll Draw          | \$0.00   |
| Base Salary           | \$0.00   |
| Prior Period Balance  | \$0.00   |
| FINRA Assessment      | \$0.00   |
| SIPC Assessment       | \$0.00   |

|                       |        |
|-----------------------|--------|
| Balance Forward       | \$0.00 |
| Year-to-date Earnings | \$0.00 |



# COMMISSION STATEMENT

March 12, 2018

**TIMOTHY STATES**

1629 K ST NW STE 300  
SUITE 300  
WASHINGTON, DC 20001

**BROKER #: A70**

BRANCH #01001 - LifeMark Home Office

| DATE                                   | CLIENT                         | INVESTMENT                          | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE  | BROKER<br>COMMISSION |
|--|--------------------------------|-------------------------------------|----------------------|---------------------|--------------------|-------------------|-------|----------------------|
| <b><u>BROKER TRANSACTIONS</u></b>      |                                |                                     |                      |                     |                    |                   |       |                      |
| <b><u>PRODUCT CATEGORY: STOCKS</u></b> |                                |                                     |                      |                     |                    |                   |       |                      |
| 03/07/2018                             | ***-**-66IR - STATES, FBO MR   | ENERGIOUS CORP COM                  | 4,118.81             | 10.00               | 10.92              | -0.92             | 100.0 | -0.92                |
|  | ACCOUNT #: LSF000280           | SELL 193 Units @21.3410             |                      |                     |                    |                   |       |                      |
| 03/02/2018                             | ***-**-233J - SCALES, DARYL    | HOME DEPOT INC COM                  | 17,789.00            | 135.00              | 17.00              | 118.00            | 75.0  | 88.50                |
|  | ACCOUNT #: LSR011378           | BUY 100 Units @177.8900             |                      |                     |                    |                   |       |                      |
| 03/02/2018                             | ***-**-233J - SCALES, DARYL    | JOHNSON & JOHNSON UNSOLICITED ORDER | 12,837.90            | 100.00              | 17.00              | 83.00             | 75.0  | 62.25                |
|  | ACCOUNT #: LSR011378           | BUY 100 Units @128.3790             |                      |                     |                    |                   |       |                      |
| 03/02/2018                             | ***-**-233J - SCALES, DARYL    | MCDONALDS CORP UNSOLICITED ORDER    | 14,783.50            | 135.00              | 17.00              | 118.00            | 75.0  | 88.50                |
|  | ACCOUNT #: LSR011378           | BUY 100 Units @147.8350             |                      |                     |                    |                   |       |                      |
| 03/05/2018                             | ***-**-935I - KERR, FBO GAIL S | NEKTAR THERAPEUTICS                 | 10,188.00            | 135.00              | 17.00              | 118.00            | 75.0  | 88.50                |
|  | ACCOUNT #: LSR010579           | BUY 100 Units @101.8800             |                      |                     |                    |                   |       |                      |
| 03/05/2018                             | ***-**-935I - KERR, FBO GAIL S | NETFLIX COM INC COM UNSOLICITED ORD | 3,077.00             | 100.00              | 18.00              | 82.00             | 75.0  | 61.50                |
|  | ACCOUNT #: LSR010579           | BUY 10 Units @307.7000              |                      |                     |                    |                   |       |                      |
| 03/05/2018                             | ***-**-935I - KERR, FBO GAIL S | U S CONCRETE INC COM NEW            | 13,748.00            | 150.00              | 19.00              | 131.00            | 75.0  | 98.25                |
|  | ACCOUNT #: LSR010579           | SELL 200 Units @68.7400             |                      |                     |                    |                   |       |                      |
| 03/05/2018                             | ***-**-826I - CLARK, FBO MS    | U S CONCRETE INC COM NEW            | 13,760.00            | 35.00               | 19.00              | 16.00             | 75.0  | 12.00                |
|  | ACCOUNT #: LSR010588           | SELL 200 Units @68.8000             |                      |                     |                    |                   |       |                      |
| 03/05/2018                             | ***-**-735I - ANTOINE, FBO MS  | U S CONCRETE INC COM NEW            | 10,286.25            | 35.00               | 18.00              | 17.00             | 75.0  | 12.75                |
|  | ACCOUNT #: LSR010596           | SELL 150 Units @68.5750             |                      |                     |                    |                   |       |                      |
| 03/05/2018                             | ***-**-574I - DAVIS, MISCHA    | U S CONCRETE INC COM NEW            | 6,875.00             | 17.50               | 17.00              | 0.50              | 75.0  | 0.38                 |
|  | ACCOUNT #: LSR010630           | SELL 100 Units @68.7500             |                      |                     |                    |                   |       |                      |
| 03/05/2018                             | ***-**-574I - DAVIS, MISCHA    | U S CONCRETE INC COM NEW            | 6,875.00             | 17.50               | 2.00               | 15.50             | 75.0  | 11.63                |
|  | ACCOUNT #: LSR010630           | SELL 100 Units @68.7500             |                      |                     |                    |                   |       |                      |
| 03/06/2018                             | ***-**-826I - CLARK, FBO MS    | USG CORP COM NEW                    | 8,747.50             | 150.00              | 20.00              | 130.00            | 75.0  | 97.50                |
|  | ACCOUNT #: LSR010588           | BUY 250 Units @34.9900              |                      |                     |                    |                   |       |                      |
| 03/06/2018                             | ***-**-735I - ANTOINE, FBO MS  | USG CORP COM NEW                    | 8,742.50             | 150.00              | 20.00              | 130.00            | 75.0  | 97.50                |
|  | ACCOUNT #: LSR010596           | BUY 250 Units @34.9700              |                      |                     |                    |                   |       |                      |
| 03/06/2018                             | ***-**-574I - DAVIS, MISCHA    | USG CORP COM NEW                    | 10,500.00            | 175.00              | 21.00              | 154.00            | 75.0  | 115.50               |
|  | ACCOUNT #: LSR010630           | BUY 300 Units @35.0000              |                      |                     |                    |                   |       |                      |
| * STOCKS SUBTOTAL *                    |                                |                                     | \$142,328.46         | \$1,345.00          | \$232.92           | \$1,112.08        |       | \$833.84             |



# COMMISSION STATEMENT

March 12, 2018

**TIMOTHY STATES**  
1629 K ST NW STE 300  
SUITE 300  
WASHINGTON, DC 20001

**BROKER #: A70**  
BRANCH #01001 - LifeMark Home Office

| DATE  | CLIENT  | INVESTMENT  | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|---|---|---|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b><u>BROKER TRANSACTIONS (continued)</u></b>           |   |   |                      |                     |                    |                   |      |                      |
| <b><u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u></b> |   |   |                      |                     |                    |                   |      |                      |
| 03/12/2018  | ***-**-826I - CLARK, FBO MS<br>ACCOUNT #: LSR010588 | AIM DIVERSIFIED DIVIDEND FUND - CL<br>BUY 1 Units @0.0000 | 0.00                 | 0.44                | 0.00               | 0.44              | 75.0 | 0.33                 |
| 03/12/2018  | ***-**-44TR - LYNCH TTEE,<br>ACCOUNT #: LSR010606   | AIM DIVERSIFIED DIVIDEND FUND - CL<br>BUY 1 Units @0.0000 | 0.00                 | 5.44                | 0.00               | 5.44              | 75.0 | 4.08                 |
| 03/12/2018  | ***-**-574I - DAVIS, MISCHA<br>ACCOUNT #: LSR010630 | AIM DIVERSIFIED DIVIDEND FUND - CL<br>BUY 1 Units @0.0000 | 0.00                 | 0.34                | 0.00               | 0.34              | 75.0 | 0.26                 |
| 03/12/2018  | ***-**-736J - HIGHSMITH SR,<br>ACCOUNT #: LSR010785 | AIM DIVERSIFIED DIVIDEND FUND - CL<br>BUY 1 Units @0.0000 | 0.00                 | 0.40                | 0.00               | 0.40              | 75.0 | 0.30                 |
| 03/12/2018  | ***-**-826I - CLARK, FBO MS<br>ACCOUNT #: LSR010588 | IVK GROWTH AND INCOME FUND - CLASS<br>BUY 1 Units @0.0000 | 0.00                 | 0.43                | 0.00               | 0.43              | 75.0 | 0.32                 |
| 03/12/2018  | ***-**-58IN - LUTZ, SAMUEL<br>ACCOUNT #: LSR010594  | IVK GROWTH AND INCOME FUND - CLASS<br>BUY 1 Units @0.0000 | 0.00                 | 0.43                | 0.00               | 0.43              | 75.0 | 0.32                 |
| 03/12/2018  | ***-**-44TR - LYNCH TTEE,<br>ACCOUNT #: LSR010606   | IVK GROWTH AND INCOME FUND - CLASS<br>BUY 1 Units @0.0000 | 0.00                 | 6.31                | 0.00               | 6.31              | 75.0 | 4.73                 |
| 03/12/2018  | ***-**-820I - HIGHSMITH,<br>ACCOUNT #: LSR010653    | IVK GROWTH AND INCOME FUND - CLASS<br>BUY 1 Units @0.0000 | 0.00                 | 1.69                | 0.00               | 1.69              | 75.0 | 1.27                 |
| <b>* MUTUAL FUND 12B1 TRAILS SUBTOTAL *</b>             |   |   | <b>\$0.00</b>        | <b>\$15.48</b>      | <b>\$0.00</b>      | <b>\$15.48</b>    |      | <b>\$11.61</b>       |
| <b>*** BROKER TRANSACTIONS TOTAL ***</b>                |   |   | <b>\$142,328.46</b>  | <b>\$1,360.48</b>   | <b>\$232.92</b>    | <b>\$1,127.56</b> |      | <b>\$845.45</b>      |



**COMMISSION STATEMENT**  
**March 12, 2018**

**TIMOTHY STATES**  
1629 K ST NW STE 300  
SUITE 300  
WASHINGTON, DC 20001

**BROKER #: A70**  
BRANCH #01001 - LifeMark Home Office

| DATE                                   | CLIENT | INVESTMENT | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION            | RATE          | BROKER<br>COMMISSION |
|--|--------|------------|----------------------|---------------------|--------------------|------------------------------|---------------|----------------------|
| <b><u>BROKER COMMISSION TOTALS</u></b> |        |            |                      |                     |                    |                              |               |                      |
| Broker Transactions                    |        |            |                      |                     |                    |                              |               | \$845.45             |
| Split Transactions                     |        |            |                      |                     |                    |                              |               | \$0.00               |
| Override Transactions                  |        |            |                      |                     |                    |                              |               | \$0.00               |
| Adjustments                            |        |            |                      |                     |                    |                              |               | \$0.00               |
| Payroll Draw                           |        |            |                      |                     |                    |                              |               | \$0.00               |
| Base Salary                            |        |            |                      |                     |                    |                              |               | \$0.00               |
| Prior Period Balance                   |        |            |                      |                     |                    |                              |               | \$0.00               |
| FINRA Assessment                       |        |            |                      |                     |                    |                              |               | \$0.00               |
| SIPC Assessment                        |        |            |                      |                     |                    |                              |               | \$0.00               |
| <hr/>                                  |        |            |                      |                     |                    |                              |               |                      |
| Please Retain for Your Records         |        |            |                      |                     |                    | <b>Balance Forward</b>       | <b>\$0.00</b> |                      |
| THERE WILL BE NO PAYMENT THIS PERIOD   |        |            |                      |                     |                    | <b>Year-to-date Earnings</b> | <b>\$0.00</b> |                      |





# COMMISSION STATEMENT

March 12, 2018

JOSEPH STURGES

1365 No. Orchard #370

Boise, ID 83706

BROKER #: A52

BRANCH #01001 - LifeMark Home Office

| DATE  | CLIENT                         | INVESTMENT                          | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|---|--------------------------------|-------------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b><u>BROKER TRANSACTIONS</u></b>                       |                                |                                     |                      |                     |                    |                   |      |                      |
| <b><u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u></b> |                                |                                     |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-51IN - DAWSON, TIM      | AMERICAN BALANCED FUND-A            | 0.00                 | 12.36               | 0.00               | 12.36             | 60.0 | 7.42                 |
|   | ACCOUNT #: 00951646640         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-015I - DAWSON, BOBBI    | AMERICAN BALANCED FUND-A            | 0.00                 | 15.71               | 0.00               | 15.71             | 60.0 | 9.43                 |
|   | ACCOUNT #: 00951646641         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/07/2018  | ***-**-57IN - WHITE, SHAWN     | FIDELITY A                          | 0.00                 | 0.22                | 0.00               | 0.22              | 60.0 | 0.13                 |
|   | ACCOUNT #: 00513567420         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/07/2018  | ***-**-51IN - CARROLL, ROBERT  | FIDELITY A                          | 0.00                 | 0.36                | 0.00               | 0.36              | 60.0 | 0.22                 |
|   | ACCOUNT #: 00700567019         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/07/2018  | ***-**-53IN - INMON, STEPHANIE | FIDELITY ADV ASSET MANAGER 20%-CL C | 0.00                 | 11.26               | 0.00               | 11.26             | 60.0 | 6.76                 |
|   | ACCOUNT #: 01453267187         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/07/2018  | ***-**-02IN - DISHION, WADE    | FIDELITY ADV BIOTECHNOLOGY-CL A     | 0.00                 | 0.02                | 0.00               | 0.02              | 60.0 | 0.01                 |
|   | ACCOUNT #: 00523289056         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/07/2018  | ***-**-51IN - CARROLL, ROBERT  | FIDELITY ADV BIOTECHNOLOGY-CL A     | 0.00                 | 0.83                | 0.00               | 0.83              | 60.0 | 0.50                 |
|   | ACCOUNT #: 00700567019         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/07/2018  | ***-**-53IN - INMON, STEPHANIE | FIDELITY ADV BIOTECHNOLOGY-CL A     | 0.00                 | 0.58                | 0.00               | 0.58              | 60.0 | 0.35                 |
|   | ACCOUNT #: 01443646615         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/07/2018  | ***-**-53IN - INMON, STEPHANIE | FIDELITY ADV BIOTECHNOLOGY-CL A     | 0.00                 | 1.19                | 0.00               | 1.19              | 60.0 | 0.71                 |
|   | ACCOUNT #: 01453267187         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/07/2018  | ***-**-79IN - INMON, DEAN      | FIDELITY ADV BIOTECHNOLOGY-CL A     | 0.00                 | 1.17                | 0.00               | 1.17              | 60.0 | 0.70                 |
|   | ACCOUNT #: 01453643379         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/07/2018  | ***-**-15IN - MONTGOMERY,      | FIDELITY ADV BIOTECHNOLOGY-CL A     | 0.00                 | 0.03                | 0.00               | 0.03              | 60.0 | 0.02                 |
|   | ACCOUNT #: 01455582039         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/07/2018  | ***-**-765I - MACK, TAMARA     | FIDELITY ADV BIOTECHNOLOGY-CL A     | 0.00                 | 0.03                | 0.00               | 0.03              | 60.0 | 0.02                 |
|   | ACCOUNT #: 01471682441         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/07/2018  | ***-**-34SI - YATES, MICHELLE  | FIDELITY ADV DIVIDEND GROWTH FD CL  | 0.00                 | 0.03                | 0.00               | 0.03              | 60.0 | 0.02                 |
|   | ACCOUNT #: 01471554277         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/07/2018  | ***-**-55IN - COWLEY, LISA     | FIDELITY ADV E                      | 0.00                 | 0.60                | 0.00               | 0.60              | 60.0 | 0.36                 |
|   | ACCOUNT #: 00512806365         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/07/2018  | ***-**-087C - STURGES, CLIENTS | FIDELITY ADV EMERGING MRKTS INC CL  | 0.00                 | 0.36                | 0.00               | 0.36              | 60.0 | 0.22                 |
|   | ACCOUNT #: 00704087352         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/07/2018  | ***-**-087C - STURGES, CLIENTS | FIDELITY ADV ENERGY-CL A            | 0.00                 | 0.27                | 0.00               | 0.27              | 60.0 | 0.16                 |
|   | ACCOUNT #: 00525313136         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |



# COMMISSION STATEMENT

March 12, 2018

JOSEPH STURGES

1365 No. Orchard #370

Boise, ID 83706

BROKER #: A52

BRANCH #01001 - LifeMark Home Office

| DATE   | CLIENT                         | INVESTMENT                          | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|--|--------------------------------|-------------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b>BROKER TRANSACTIONS (continued)</b>                       |                                |                                     |                      |                     |                    |                   |      |                      |
| <b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</b> |                                |                                     |                      |                     |                    |                   |      |                      |
| 03/07/2018   | ***-**-087C - STURGES, CLIENTS | FIDELITY ADV ENERGY-CL A            | 0.00                 | 0.25                | 0.00               | 0.25              | 60.0 | 0.15                 |
|  | ACCOUNT #: 00704087352         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/07/2018   | ***-**-087C - STURGES, CLIENTS | FIDELITY ADV ENERGY-CL A            | 0.00                 | 1.08                | 0.00               | 1.08              | 60.0 | 0.65                 |
|  | ACCOUNT #: 00704335553         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/07/2018   | ***-**-087C - STURGES, CLIENTS | FIDELITY ADV ENERGY-CL A            | 0.00                 | 1.53                | 0.00               | 1.53              | 60.0 | 0.92                 |
|  | ACCOUNT #: 01425732003         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/07/2018   | ***-**-765I - MACK, TAMARA     | FIDELITY ADV ENERGY-CL A            | 0.00                 | 0.03                | 0.00               | 0.03              | 60.0 | 0.02                 |
|  | ACCOUNT #: 01471682441         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/07/2018   | ***-**-03IN - DENNY, PAULA     | FIDELITY ADV ENERGY-CL A            | 0.00                 | 0.17                | 0.00               | 0.17              | 60.0 | 0.10                 |
|  | ACCOUNT #: 01440349205         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/07/2018   | ***-**-51IN - CARROLL, ROBERT  | FIDELITY ADV EQUITY GROWTH CL T     | 0.00                 | 0.94                | 0.00               | 0.94              | 60.0 | 0.56                 |
|  | ACCOUNT #: 00700567019         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/07/2018   | ***-**-55IN - COWLEY, LISA     | FIDELITY ADV EQUITY VALUE CL T      | 0.00                 | 0.30                | 0.00               | 0.30              | 60.0 | 0.18                 |
|  | ACCOUNT #: 00512806365         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/07/2018   | ***-**-02IN - DISHION, WADE    | FIDELITY ADV FINANCIAL SERVICES CL  | 0.00                 | 0.02                | 0.00               | 0.02              | 60.0 | 0.01                 |
|  | ACCOUNT #: 00523289056         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/07/2018   | ***-**-087C - STURGES, CLIENTS | FIDELITY ADV FINANCIAL SERVICES CL  | 0.00                 | 1.69                | 0.00               | 1.69              | 60.0 | 1.01                 |
|  | ACCOUNT #: 01425732003         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/07/2018   | ***-**-087C - STURGES, CLIENTS | FIDELITY ADV FREEDOM 2025-CL A      | 0.00                 | 1.56                | 0.00               | 1.56              | 60.0 | 0.94                 |
|  | ACCOUNT #: 01425732003         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/07/2018   | ***-**-49IN - WALLACE, BONNIE  | FIDELITY ADV FREEDOM 2025-CL A      | 0.00                 | 1.21                | 0.00               | 1.21              | 60.0 | 0.73                 |
|  | ACCOUNT #: 01447764307         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/07/2018   | ***-**-55IN - COWLEY, LISA     | FIDELITY ADV GOVERNMENT INCOME-CL T | 0.00                 | 0.05                | 0.00               | 0.05              | 60.0 | 0.03                 |
|  | ACCOUNT #: 00512806365         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/07/2018   | ***-**-57IN - WHITE, SHAWN     | FIDELITY ADV GOVERNMENT INCOME-CL T | 0.00                 | 0.26                | 0.00               | 0.26              | 60.0 | 0.16                 |
|  | ACCOUNT #: 00513567420         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/07/2018   | ***-**-53IN - INMON, STEPHANIE | FIDELITY ADV GROWTH OPPORT CL A     | 0.00                 | 0.77                | 0.00               | 0.77              | 60.0 | 0.46                 |
|  | ACCOUNT #: 01443646615         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/07/2018   | ***-**-087C - STURGES, CLIENTS | FIDELITY ADV INFLATION PROTECTED BD | 0.00                 | 1.24                | 0.00               | 1.24              | 60.0 | 0.74                 |
|  | ACCOUNT #: 01425732003         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/07/2018   | ***-**-71IN - STEWART, JANET   | FIDELITY ADV INFLATION PROTECTED BD | 0.00                 | 2.38                | 0.00               | 2.38              | 60.0 | 1.43                 |
|  | ACCOUNT #: 01428888513         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |



# COMMISSION STATEMENT

March 12, 2018

JOSEPH STURGES

1365 No. Orchard #370

Boise, ID 83706

BROKER #: A52

BRANCH #01001 - LifeMark Home Office

| DATE   | CLIENT                         | INVESTMENT                          | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|--|--------------------------------|-------------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b>BROKER TRANSACTIONS (continued)</b>                       |                                |                                     |                      |                     |                    |                   |      |                      |
| <b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</b> |                                |                                     |                      |                     |                    |                   |      |                      |
| 03/07/2018   | ***-**-49IN - WALLACE, BONNIE  | FIDELITY ADV INFLATION PROTECTED BD | 0.00                 | 0.83                | 0.00               | 0.83              | 60.0 | 0.50                 |
|  | ACCOUNT #: 01447764307         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/07/2018   | ***-**-43IN - ARCEO, MONICA    | FIDELITY ADV INFLATION PROTECTED BD | 0.00                 | 0.15                | 0.00               | 0.15              | 60.0 | 0.09                 |
|  | ACCOUNT #: 01455581775         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/07/2018   | ***-**-43IN - ARCEO, MONICA    | FIDELITY ADV INVESTMENT GRADE BOND- | 0.00                 | 0.02                | 0.00               | 0.02              | 60.0 | 0.01                 |
|  | ACCOUNT #: 01455581775         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/07/2018   | ***-**-57IN - WHITE, SHAWN     | FIDELITY ADV LARGE CAP CL T         | 0.00                 | 0.27                | 0.00               | 0.27              | 60.0 | 0.16                 |
|  | ACCOUNT #: 00513567420         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/07/2018   | ***-**-51IN - CARROLL, ROBERT  | FIDELITY ADV LARGE CAP-CL A         | 0.00                 | 0.42                | 0.00               | 0.42              | 60.0 | 0.25                 |
|  | ACCOUNT #: 00700567019         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/07/2018   | ***-**-49IN - WALLACE, BONNIE  | FIDELITY ADV LEVERAGED CO STOCK CL  | 0.00                 | 1.09                | 0.00               | 1.09              | 60.0 | 0.65                 |
|  | ACCOUNT #: 01447764307         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/07/2018   | ***-**-52SI - VAN WEY, KELLY   | FIDELITY ADV LEVERAGED CO STOCK CL  | 0.00                 | 0.03                | 0.00               | 0.03              | 60.0 | 0.02                 |
|  | ACCOUNT #: 01471554269         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/07/2018   | ***-**-765I - MACK, TAMARA     | FIDELITY ADV LEVERAGED CO STOCK CL  | 0.00                 | 0.05                | 0.00               | 0.05              | 60.0 | 0.03                 |
|  | ACCOUNT #: 01471682441         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/07/2018   | ***-**-53IN - INMON, STEPHANIE | FIDELITY ADV LEVERAGED CO STOCK CL  | 0.00                 | 7.49                | 0.00               | 7.49              | 60.0 | 4.49                 |
|  | ACCOUNT #: 01453267187         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/07/2018   | ***-**-55IN - COWLEY, LISA     | FIDELITY ADV LEVERAGED CO STOCK CL  | 0.00                 | 0.32                | 0.00               | 0.32              | 60.0 | 0.19                 |
|  | ACCOUNT #: 00512806365         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/07/2018   | ***-**-57IN - WHITE, SHAWN     | FIDELITY ADV LEVERAGED CO STOCK CL  | 0.00                 | 0.40                | 0.00               | 0.40              | 60.0 | 0.24                 |
|  | ACCOUNT #: 00513567420         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/07/2018   | ***-**-087C - STURGES, CLIENTS | FIDELITY ADV MATERIALS-CL A         | 0.00                 | 1.43                | 0.00               | 1.43              | 60.0 | 0.86                 |
|  | ACCOUNT #: 01425732003         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/07/2018   | ***-**-43IN - ARCEO, MONICA    | FIDELITY ADV MATERIALS-CL A         | 0.00                 | 0.14                | 0.00               | 0.14              | 60.0 | 0.08                 |
|  | ACCOUNT #: 01455581775         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/07/2018   | ***-**-02IN - DISHION, WADE    | FIDELITY ADV MID CAP II-CL A        | 0.00                 | 0.01                | 0.00               | 0.01              | 60.0 | 0.01                 |
|  | ACCOUNT #: 00523289056         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/07/2018   | ***-**-087C - STURGES, CLIENTS | FIDELITY ADV MID CAP II-CL A        | 0.00                 | 0.57                | 0.00               | 0.57              | 60.0 | 0.34                 |
|  | ACCOUNT #: 00525313136         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/07/2018   | ***-**-087C - STURGES, CLIENTS | FIDELITY ADV MID CAP II-CL A        | 0.00                 | 0.50                | 0.00               | 0.50              | 60.0 | 0.30                 |
|  | ACCOUNT #: 00704087352         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |



# COMMISSION STATEMENT

March 12, 2018

JOSEPH STURGES  
1365 No. Orchard #370  
Boise, ID 83706

BROKER #: A52  
BRANCH #01001 - LifeMark Home Office

| DATE   | CLIENT                         | INVESTMENT                     | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|--|--------------------------------|--------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b>BROKER TRANSACTIONS (continued)</b>                       |                                |                                |                      |                     |                    |                   |      |                      |
| <b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</b> |                                |                                |                      |                     |                    |                   |      |                      |
| 03/07/2018   | ***-**-087C - STURGES, CLIENTS | FIDELITY ADV MID CAP II-CL A   | 0.00                 | 1.94                | 0.00               | 1.94              | 60.0 | 1.16                 |
|  | ACCOUNT #: 0070433553          | BUY 0 Units @0.0000            |                      |                     |                    |                   |      |                      |
| 03/07/2018   | ***-**-087C - STURGES, CLIENTS | FIDELITY ADV MID CAP II-CL A   | 0.00                 | 0.34                | 0.00               | 0.34              | 60.0 | 0.20                 |
|  | ACCOUNT #: 01425732003         | BUY 0 Units @0.0000            |                      |                     |                    |                   |      |                      |
| 03/07/2018   | ***-**-71IN - STEWART, JANET   | FIDELITY ADV MID CAP II-CL A   | 0.00                 | 2.81                | 0.00               | 2.81              | 60.0 | 1.69                 |
|  | ACCOUNT #: 01428888513         | BUY 0 Units @0.0000            |                      |                     |                    |                   |      |                      |
| 03/07/2018   | ***-**-53IN - INMON, STEPHANIE | FIDELITY ADV MID CAP II-CL A   | 0.00                 | 0.48                | 0.00               | 0.48              | 60.0 | 0.29                 |
|  | ACCOUNT #: 01443646615         | BUY 0 Units @0.0000            |                      |                     |                    |                   |      |                      |
| 03/07/2018   | ***-**-49IN - WALLACE, BONNIE  | FIDELITY ADV MID CAP II-CL A   | 0.00                 | 1.80                | 0.00               | 1.80              | 60.0 | 1.08                 |
|  | ACCOUNT #: 01447764307         | BUY 0 Units @0.0000            |                      |                     |                    |                   |      |                      |
| 03/07/2018   | ***-**-79IN - INMON, DEAN      | FIDELITY ADV MID CAP II-CL A   | 0.00                 | 0.85                | 0.00               | 0.85              | 60.0 | 0.51                 |
|  | ACCOUNT #: 01453643379         | BUY 0 Units @0.0000            |                      |                     |                    |                   |      |                      |
| 03/07/2018   | ***-**-43IN - ARCEO, MONICA    | FIDELITY ADV MID CAP II-CL A   | 0.00                 | 0.20                | 0.00               | 0.20              | 60.0 | 0.12                 |
|  | ACCOUNT #: 01455581775         | BUY 0 Units @0.0000            |                      |                     |                    |                   |      |                      |
| 03/07/2018   | ***-**-15IN - MONTGOMERY,      | FIDELITY ADV MID CAP II-CL A   | 0.00                 | 0.04                | 0.00               | 0.04              | 60.0 | 0.02                 |
|  | ACCOUNT #: 01455582039         | BUY 0 Units @0.0000            |                      |                     |                    |                   |      |                      |
| 03/07/2018   | ***-**-52SI - VAN WEY, KELLY   | FIDELITY ADV MID CAP II-CL A   | 0.00                 | 0.04                | 0.00               | 0.04              | 60.0 | 0.02                 |
|  | ACCOUNT #: 01471554269         | BUY 0 Units @0.0000            |                      |                     |                    |                   |      |                      |
| 03/07/2018   | ***-**-34SI - YATES, MICHELLE  | FIDELITY ADV MID CAP II-CL A   | 0.00                 | 0.02                | 0.00               | 0.02              | 60.0 | 0.01                 |
|  | ACCOUNT #: 01471554277         | BUY 0 Units @0.0000            |                      |                     |                    |                   |      |                      |
| 03/07/2018   | ***-**-765I - MACK, TAMARA     | FIDELITY ADV MID CAP II-CL A   | 0.00                 | 0.04                | 0.00               | 0.04              | 60.0 | 0.02                 |
|  | ACCOUNT #: 01471682441         | BUY 0 Units @0.0000            |                      |                     |                    |                   |      |                      |
| 03/07/2018   | ***-**-71IN - STEWART, JANET   | FIDELITY ADV NEW INSIGHTS-CL A | 0.00                 | 2.44                | 0.00               | 2.44              | 60.0 | 1.46                 |
|  | ACCOUNT #: 01428888513         | BUY 0 Units @0.0000            |                      |                     |                    |                   |      |                      |
| 03/07/2018   | ***-**-79IN - INMON, DEAN      | FIDELITY ADV NEW INSIGHTS-CL A | 0.00                 | 0.94                | 0.00               | 0.94              | 60.0 | 0.56                 |
|  | ACCOUNT #: 01453643379         | BUY 0 Units @0.0000            |                      |                     |                    |                   |      |                      |
| 03/07/2018   | ***-**-765I - MACK, TAMARA     | FIDELITY ADV NEW INSIGHTS-CL A | 0.00                 | 0.06                | 0.00               | 0.06              | 60.0 | 0.04                 |
|  | ACCOUNT #: 01471682441         | BUY 0 Units @0.0000            |                      |                     |                    |                   |      |                      |
| 03/07/2018   | ***-**-55IN - COWLEY, LISA     | FIDELITY ADV OVERSEAS CL T     | 0.00                 | 0.21                | 0.00               | 0.21              | 60.0 | 0.13                 |
|  | ACCOUNT #: 00512806365         | BUY 0 Units @0.0000            |                      |                     |                    |                   |      |                      |
| 03/07/2018   | ***-**-51IN - CARROLL, ROBERT  | FIDELITY ADV SMALL CAP CL T    | 0.00                 | 0.70                | 0.00               | 0.70              | 60.0 | 0.42                 |
|  | ACCOUNT #: 00700567019         | BUY 0 Units @0.0000            |                      |                     |                    |                   |      |                      |



# COMMISSION STATEMENT

March 12, 2018

JOSEPH STURGES  
1365 No. Orchard #370  
Boise, ID 83706

BROKER #: A52  
BRANCH #01001 - LifeMark Home Office

| DATE   | CLIENT                         | INVESTMENT                          | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|--|--------------------------------|-------------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b>BROKER TRANSACTIONS (continued)</b>                       |                                |                                     |                      |                     |                    |                   |      |                      |
| <b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</b> |                                |                                     |                      |                     |                    |                   |      |                      |
| 03/07/2018   | ***-**-087C - STURGES, CLIENTS | FIDELITY ADV SMALL CAP VALUE-CL A   | 0.00                 | 1.43                | 0.00               | 1.43              | 60.0 | 0.86                 |
|  | ACCOUNT #: 01425732003         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/07/2018   | ***-**-71IN - STEWART, JANET   | FIDELITY ADV SMALL CAP-CL A         | 0.00                 | 0.89                | 0.00               | 0.89              | 60.0 | 0.53                 |
|  | ACCOUNT #: 01428888513         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/07/2018   | ***-**-79IN - INMON, DEAN      | FIDELITY ADV SMALL CAP-CL A         | 0.00                 | 0.62                | 0.00               | 0.62              | 60.0 | 0.37                 |
|  | ACCOUNT #: 01453643379         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/07/2018   | ***-**-52SI - VAN WEY, KELLY   | FIDELITY ADV SMALL CAP-CL A         | 0.00                 | 0.04                | 0.00               | 0.04              | 60.0 | 0.02                 |
|  | ACCOUNT #: 01471554269         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/07/2018   | ***-**-087C - STURGES, CLIENTS | FIDELITY ADV STRATEGIC DIV & INCOME | 0.00                 | 1.43                | 0.00               | 1.43              | 60.0 | 0.86                 |
|  | ACCOUNT #: 00704335553         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/07/2018   | ***-**-02IN - DISHION, WADE    | FIDELITY ADV STRATEGIC INCOME CL A  | 0.00                 | 0.01                | 0.00               | 0.01              | 60.0 | 0.01                 |
|  | ACCOUNT #: 00523289056         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/07/2018   | ***-**-087C - STURGES, CLIENTS | FIDELITY ADV STRATEGIC INCOME CL A  | 0.00                 | 0.23                | 0.00               | 0.23              | 60.0 | 0.14                 |
|  | ACCOUNT #: 00525313136         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/07/2018   | ***-**-087C - STURGES, CLIENTS | FIDELITY ADV STRATEGIC INCOME CL A  | 0.00                 | 0.18                | 0.00               | 0.18              | 60.0 | 0.11                 |
|  | ACCOUNT #: 00704087352         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/07/2018   | ***-**-71IN - STEWART, JANET   | FIDELITY ADV STRATEGIC INCOME CL A  | 0.00                 | 0.98                | 0.00               | 0.98              | 60.0 | 0.59                 |
|  | ACCOUNT #: 01428888513         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/07/2018   | ***-**-765I - MACK, TAMARA     | FIDELITY ADV STRATEGIC INCOME CL A  | 0.00                 | 0.01                | 0.00               | 0.01              | 60.0 | 0.01                 |
|  | ACCOUNT #: 01471682441         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/07/2018   | ***-**-223I - SPAGNOLO,        | FIDELITY ADV STRATEGIC INCOME CL A  | 0.00                 | 0.02                | 0.00               | 0.02              | 60.0 | 0.01                 |
|  | ACCOUNT #: 01472956042         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/07/2018   | ***-**-57IN - WHITE, SHAWN     | FIDELITY ADV TECHNOLOGY CL T        | 0.00                 | 0.25                | 0.00               | 0.25              | 60.0 | 0.15                 |
|  | ACCOUNT #: 00513567420         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/07/2018   | ***-**-223I - SPAGNOLO,        | FIDELITY ADV VALUE CL A             | 0.00                 | 0.01                | 0.00               | 0.01              | 60.0 | 0.01                 |
|  | ACCOUNT #: 01472956042         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/07/2018   | ***-**-087C - STURGES, CLIENTS | FIDELITY ADV VALUE LEADERS-CL A     | 0.00                 | 0.37                | 0.00               | 0.37              | 60.0 | 0.22                 |
|  | ACCOUNT #: 01425732003         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/07/2018   | ***-**-02IN - DISHION, WADE    | FIDELITY ADV VALUE STRATEGIES-CL A  | 0.00                 | 0.01                | 0.00               | 0.01              | 60.0 | 0.01                 |
|  | ACCOUNT #: 00523289056         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/07/2018   | ***-**-087C - STURGES, CLIENTS | FIDELITY ADV VALUE STRATEGIES-CL A  | 0.00                 | 1.68                | 0.00               | 1.68              | 60.0 | 1.01                 |
|  | ACCOUNT #: 00704335553         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |



# COMMISSION STATEMENT

March 12, 2018

JOSEPH STURGES  
1365 No. Orchard #370  
Boise, ID 83706

BROKER #: A52  
BRANCH #01001 - LifeMark Home Office

| DATE   | CLIENT                         | INVESTMENT                          | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|--|--------------------------------|-------------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b>BROKER TRANSACTIONS (continued)</b>                       |                                |                                     |                      |                     |                    |                   |      |                      |
| <b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</b> |                                |                                     |                      |                     |                    |                   |      |                      |
| 03/07/2018   | ***-**-49IN - WALLACE, BONNIE  | FIDELITY ADV VALUE STRATEGIES-CL A  | 0.00                 | 1.45                | 0.00               | 1.45              | 60.0 | 0.87                 |
|  | ACCOUNT #: 01447764307         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/07/2018   | ***-**-15IN - MONTGOMERY,      | FIDELITY ADV VALUE STRATEGIES-CL A  | 0.00                 | 0.02                | 0.00               | 0.02              | 60.0 | 0.01                 |
|  | ACCOUNT #: 01455582039         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/07/2018   | ***-**-52SI - VAN WEY, KELLY   | FIDELITY ADV VALUE STRATEGIES-CL A  | 0.00                 | 0.02                | 0.00               | 0.02              | 60.0 | 0.01                 |
|  | ACCOUNT #: 01471554269         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/07/2018   | ***-**-34SI - YATES, MICHELLE  | FIDELITY ADV VALUE STRATEGIES-CL A  | 0.00                 | 0.02                | 0.00               | 0.02              | 60.0 | 0.01                 |
|  | ACCOUNT #: 01471554277         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/07/2018   | ***-**-087C - STURGES, CLIENTS | FIDELITY ADVISOR ASSET MANAGER 70%  | 0.00                 | 0.22                | 0.00               | 0.22              | 60.0 | 0.13                 |
|  | ACCOUNT #: 00525313136         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/07/2018   | ***-**-087C - STURGES, CLIENTS | FIDELITY ADVISOR ASSET MANAGER 70%  | 0.00                 | 1.38                | 0.00               | 1.38              | 60.0 | 0.83                 |
|  | ACCOUNT #: 00704335553         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/07/2018   | ***-**-51IN - CARROLL, ROBERT  | FIDELITY ADVISOR BALANCED CLASS T   | 0.00                 | 0.81                | 0.00               | 0.81              | 60.0 | 0.49                 |
|  | ACCOUNT #: 00700567019         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/07/2018   | ***-**-53IN - INMON, STEPHANIE | FIDELITY ADVISOR BIOTECHNOLOGY CL C | 0.00                 | 7.67                | 0.00               | 7.67              | 60.0 | 4.60                 |
|  | ACCOUNT #: 01453267187         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/07/2018   | ***-**-15IN - MONTGOMERY,      | FIDELITY ADVISOR CONSUMER STAPLES F | 0.00                 | 0.03                | 0.00               | 0.03              | 60.0 | 0.02                 |
|  | ACCOUNT #: 01455582039         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/07/2018   | ***-**-223I - SPAGNOLO,        | FIDELITY ADVISOR CONSUMER STAPLES F | 0.00                 | 0.01                | 0.00               | 0.01              | 60.0 | 0.01                 |
|  | ACCOUNT #: 01472956042         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/07/2018   | ***-**-087C - STURGES, CLIENTS | FIDELITY ADVISOR EMERGING MARKETS F | 0.00                 | 0.35                | 0.00               | 0.35              | 60.0 | 0.21                 |
|  | ACCOUNT #: 00525313136         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/07/2018   | ***-**-71IN - STEWART, JANET   | FIDELITY ADVISOR GOVERNMENT INCOME  | 0.00                 | 0.36                | 0.00               | 0.36              | 60.0 | 0.22                 |
|  | ACCOUNT #: 01428888513         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/07/2018   | ***-**-43IN - ARCEO, MONICA    | FIDELITY ADVISOR GROWTH AND INCOME  | 0.00                 | 0.14                | 0.00               | 0.14              | 60.0 | 0.08                 |
|  | ACCOUNT #: 01455581775         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/07/2018   | ***-**-57IN - WHITE, SHAWN     | FIDELITY ADVISOR INTERMEDIATE BOND  | 0.00                 | 0.12                | 0.00               | 0.12              | 60.0 | 0.07                 |
|  | ACCOUNT #: 00513567420         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/07/2018   | ***-**-53IN - INMON, STEPHANIE | FIDELITY ADVISOR MID CAP STOCK CL A | 0.00                 | 0.59                | 0.00               | 0.59              | 60.0 | 0.35                 |
|  | ACCOUNT #: 01443646615         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/07/2018   | ***-**-57IN - WHITE, SHAWN     | FIDELITY ADVISOR MID CAP STOCK CL T | 0.00                 | 0.28                | 0.00               | 0.28              | 60.0 | 0.17                 |
|  | ACCOUNT #: 00513567420         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |



# COMMISSION STATEMENT

March 12, 2018

JOSEPH STURGES  
1365 No. Orchard #370  
Boise, ID 83706

BROKER #: A52  
BRANCH #01001 - LifeMark Home Office

| DATE   | CLIENT                         | INVESTMENT                          | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|--|--------------------------------|-------------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b>BROKER TRANSACTIONS (continued)</b>                       |                                |                                     |                      |                     |                    |                   |      |                      |
| <b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</b> |                                |                                     |                      |                     |                    |                   |      |                      |
| 03/07/2018   | ***-**-57IN - WHITE, SHAWN     | FIDELITY ADVISOR MORTGAGE SECURITIE | 0.00                 | 0.20                | 0.00               | 0.20              | 60.0 | 0.12                 |
|  | ACCOUNT #: 00513567420         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/07/2018   | ***-**-51IN - CARROLL, ROBERT  | FIDELITY ADVISOR MORTGAGE SECURITIE | 0.00                 | 0.22                | 0.00               | 0.22              | 60.0 | 0.13                 |
|  | ACCOUNT #: 00700567019         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/07/2018   | ***-**-223I - SPAGNOLO,        | FIDELITY ADVISOR TELECOMMUNICATIONS | 0.00                 | 0.01                | 0.00               | 0.01              | 60.0 | 0.01                 |
|  | ACCOUNT #: 01472956042         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/07/2018   | ***-**-087C - STURGES, CLIENTS | FIDELITY ADVISORS TRAILS            | 0.00                 | 0.20                | 0.00               | 0.20              | 60.0 | 0.12                 |
|  | ACCOUNT #: 00525313136         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/07/2018   | ***-**-087C - STURGES, CLIENTS | FIDELITY ADVISORS TRAILS            | 0.00                 | 0.36                | 0.00               | 0.36              | 60.0 | 0.22                 |
|  | ACCOUNT #: 00704087352         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/07/2018   | ***-**-55IN - COWLEY, LISA     | FIDELITY E                          | 0.00                 | 0.26                | 0.00               | 0.26              | 60.0 | 0.16                 |
|  | ACCOUNT #: 00512806365         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/07/2018   | ***-**-087C - STURGES, CLIENTS | FIDELITY GOVT MMKT DAILY MONEY CLAS | 0.00                 | 0.15                | 0.00               | 0.15              | 60.0 | 0.09                 |
|  | ACCOUNT #: 01425732003         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/07/2018   | ***-**-38IN - WILLIAMS, SEAN   | FIDELITY GOVT MMKT DAILY MONEY CLAS | 0.00                 | 0.72                | 0.00               | 0.72              | 60.0 | 0.43                 |
|  | ACCOUNT #: 01455581908         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/07/2018   | ***-**-15IN - MONTGOMERY,      | FIDELITY GOVT MMKT DAILY MONEY CLAS | 0.00                 | 0.39                | 0.00               | 0.39              | 60.0 | 0.23                 |
|  | ACCOUNT #: 01455582039         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/07/2018   | ***-**-223I - SPAGNOLO,        | FIDELITY GOVT MMKT DAILY MONEY CLAS | 0.00                 | 0.16                | 0.00               | 0.16              | 60.0 | 0.10                 |
|  | ACCOUNT #: 01472956042         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| <b>* MUTUAL FUND 12B1 TRAILS SUBTOTAL *</b>                  |                                |                                     | <b>\$0.00</b>        | <b>\$109.43</b>     | <b>\$0.00</b>      | <b>\$109.43</b>   |      | <b>\$65.67</b>       |
| <b>PRODUCT CATEGORY: VARIABLE ANNUITY 12B1 TRAILS</b>        |                                |                                     |                      |                     |                    |                   |      |                      |
| 03/08/2018   | ***-**-23IN - MENJIVAR,        | ING VA 380789883                    | 0.00                 | 3.21                | 0.00               | 3.21              | 60.0 | 1.93                 |
|  | ACCOUNT #: C182866-0X          | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 02/08/2018   | ***-**-64IN - GRAYBEAL, NORMAN | TRANSAMERICA VA 89354G562           | 0.00                 | 251.09              | 0.00               | 251.09            | 60.0 | 150.65               |
|  | ACCOUNT #: 113569TAL           | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 02/20/2018   | ***-**-57IN - TAYLOR, WILLIAM  | TRANSAMERICA VA 89354G562           | 0.00                 | 83.89               | 0.00               | 83.89             | 60.0 | 50.33                |
|  | ACCOUNT #: 116513TAL           | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 02/03/2018   | ***-**-553I - MENDIOLA, FBO    | TRANSAMERICA VA 89354G570           | 0.00                 | 25.98               | 0.00               | 25.98             | 60.0 | 15.59                |
|  | ACCOUNT #: 109041TAX           | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 02/03/2018   | ***-**-837I - MENDIOLA, MATT   | TRANSAMERICA VA 89354G570           | 0.00                 | 16.72               | 0.00               | 16.72             | 60.0 | 10.03                |
|  | ACCOUNT #: 109042TAX           | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |



# COMMISSION STATEMENT

March 12, 2018

JOSEPH STURGES  
1365 No. Orchard #370  
Boise, ID 83706

BROKER #: A52  
BRANCH #01001 - LifeMark Home Office

| DATE | CLIENT | INVESTMENT                                | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|------|--------|---|----------------------|---------------------|--------------------|-------------------|------|----------------------|
|      |        | * VARIABLE ANNUITY 12B1 TRAILS SUBTOTAL * | \$0.00               | \$380.89            | \$0.00             | \$380.89          |      | \$228.53             |
|      |        | *** BROKER TRANSACTIONS TOTAL ***         | \$0.00               | \$490.32            | \$0.00             | \$490.32          |      | \$294.20             |

## BROKER COMMISSION TOTALS

|                       |          |
|-----------------------|----------|
| Broker Transactions   | \$294.20 |
| Split Transactions    | \$0.00   |
| Override Transactions | \$0.00   |
| Adjustments           | \$0.00   |
| Payroll Draw          | \$0.00   |
| Base Salary           | \$0.00   |
| Prior Period Balance  | \$0.00   |
| FINRA Assessment      | \$0.00   |
| SIPC Assessment       | \$0.00   |

Please Retain for Your Records  
THERE WILL BE NO PAYMENT THIS PERIOD

|                       |        |
|-----------------------|--------|
| Balance Forward       | \$0.00 |
| Year-to-date Earnings | \$0.00 |





BROKER #: A75      Terminated 08/12/2015  
BRANCH #01001 - LifeMark Home Office

| DATE   | CLIENT | INVESTMENT | INVESTMENT<br>AMOUNT            | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION  | RATE   | BROKER<br>COMMISSION |
|--|--------|------------|---------------------------------|---------------------|--------------------|--|--------|----------------------|
| <div>ADJUSTMENTS</div>   |        |            |                                 |                     |                    |  |        |                      |
| /  | /      |            | PRIOR PERIOD BALANCE(SEE BELOW) | 0.00                | 0.00               | 0.00   | 0.00   | 0.00                 |
|  |        |            | *** ADJUSTMENTS TOTAL ***       | \$0.00              | \$0.00             | \$0.00   | \$0.00 | \$0.00               |
|  |        |            |                                 |                     |                    | <div>BROKER COMMISSION TOTALS</div>                              |        |                      |
|  |        |            |                                 |                     |                    | Broker Transactions  |        | \$0.00               |
|  |        |            |                                 |                     |                    | Split Transactions   |        | \$0.00               |
|  |        |            |                                 |                     |                    | Override Transactions  |        | \$0.00               |
|  |        |            |                                 |                     |                    | Adjustments  |        | \$0.00               |
|  |        |            |                                 |                     |                    | Payroll Draw   |        | \$0.00               |
|  |        |            |                                 |                     |                    | Base Salary  |        | \$0.00               |
|  |        |            |                                 |                     |                    | Prior Period Balance   |        | \$0.00               |
|  |        |            |                                 |                     |                    | FINRA Assessment   |        | \$0.00               |
|  |        |            |                                 |                     |                    | SIPC Assessment  |        | \$0.00               |
| Please Retain for Your Records<br>THERE WILL BE NO PAYMENT THIS PERIOD |        |            |                                 |                     |                    | <div>Balance Forward\$0.00<br/>Year-to-date Earnings\$0.00</div> |        |                      |



# COMMISSION STATEMENT

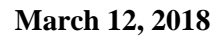
March 12, 2018

JOHN TAN  
801 East Chapman Ave  
Suite #101  
Fullerton, CA 92831

BROKER #: 712 Terminated 09/24/2008  
BRANCH #01001 - LifeMark Home Office

| DATE                                   | CLIENT | INVESTMENT                      | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION                |
|--|--------|---------------------------------|----------------------|---------------------|--------------------|-------------------|------|-------------------------------------|
| <b><u>ADJUSTMENTS</u></b>              |        |                                 |                      |                     |                    |                   |      |                                     |
| 03/07/2018                             |        | PRIOR PERIOD BALANCE(SEE BELOW) | 0.00                 | 0.00                | 0.00               | 0.00              |      | 0.00                                |
| *** ADJUSTMENTS TOTAL ***              |        |                                 | <u>\$0.00</u>        | <u>\$0.00</u>       | <u>\$0.00</u>      | <u>\$0.00</u>     |      | <u>\$0.00</u>                       |
| <b><u>BROKER COMMISSION TOTALS</u></b> |        |                                 |                      |                     |                    |                   |      |                                     |
|  |        |                                 |                      |                     |                    |                   |      | Broker Transactions \$0.00          |
|  |        |                                 |                      |                     |                    |                   |      | Split Transactions \$0.00           |
|  |        |                                 |                      |                     |                    |                   |      | Override Transactions \$0.00        |
|  |        |                                 |                      |                     |                    |                   |      | Adjustments \$0.00                  |
|  |        |                                 |                      |                     |                    |                   |      | Payroll Draw \$0.00                 |
|  |        |                                 |                      |                     |                    |                   |      | Base Salary \$0.00                  |
|  |        |                                 |                      |                     |                    |                   |      | Prior Period Balance \$0.00         |
|  |        |                                 |                      |                     |                    |                   |      | FINRA Assessment \$0.00             |
|  |        |                                 |                      |                     |                    |                   |      | SIPC Assessment \$0.00              |
|  |        |                                 |                      |                     |                    |                   |      |                                     |
|  |        |                                 |                      |                     |                    |                   |      | <b>Balance Forward \$0.00</b>       |
|  |        |                                 |                      |                     |                    |                   |      | <b>Year-to-date Earnings \$0.00</b> |

Please Retain for Your Records  
THERE WILL BE NO PAYMENT THIS PERIOD



BROKER #: 700      Terminated 06/25/2009  
BRANCH #01001 - LifeMark Home Office

| DATE   | CLIENT | INVESTMENT                      | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE  | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION         |
|--|--------|---------------------------------|----------------------|---------------------|---|-------------------|------|------------------------------|
| <div>ADJUSTMENTS</div>   |        |                                 |                      |                     |   |                   |      |                              |
| 03/07/2018   |        | PRIOR PERIOD BALANCE(SEE BELOW) | 0.00                 | 0.00                | 0.00  | 0.00              |      | 0.00                         |
|  |        | *** ADJUSTMENTS TOTAL ***       | \$0.00               | \$0.00              | \$0.00  | \$0.00            |      | \$0.00                       |
| <div>BROKER COMMISSION TOTALS</div>                                    |        |                                 |                      |                     |   |                   |      |                              |
|  |        |                                 |                      |                     |   |                   |      | Broker Transactions \$0.00   |
|  |        |                                 |                      |                     |   |                   |      | Split Transactions \$0.00    |
|  |        |                                 |                      |                     |   |                   |      | Override Transactions \$0.00 |
|  |        |                                 |                      |                     |   |                   |      | Adjustments \$0.00           |
|  |        |                                 |                      |                     |   |                   |      | Payroll Draw \$0.00          |
|  |        |                                 |                      |                     |   |                   |      | Base Salary \$0.00           |
|  |        |                                 |                      |                     |   |                   |      | Prior Period Balance \$0.00  |
|  |        |                                 |                      |                     |   |                   |      | FINRA Assessment \$0.00      |
|  |        |                                 |                      |                     |   |                   |      | SIPC Assessment \$0.00       |
| Please Retain for Your Records<br>THERE WILL BE NO PAYMENT THIS PERIOD |        |                                 |                      |                     | <div><div>Balance Forward \$0.00</div><div>Year-to-date Earnings \$0.00</div></div> |                   |      |                              |



# COMMISSION STATEMENT

March 12, 2018

JOHN TRUMAN  
1932 W Chesterfield Blvd #110  
Springfield, MO 65807

BROKER #: B02  
BRANCH #01001 - LifeMark Home Office

| DATE  | CLIENT                         | INVESTMENT                          | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|---|--------------------------------|-------------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b><u>BROKER TRANSACTIONS</u></b>                       |                                |                                     |                      |                     |                    |                   |      |                      |
| <b><u>PRODUCT CATEGORY: MUTUAL FUNDS</u></b>            |                                |                                     |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-3815 - MILLER, ASHLEY   | AMERICAN FUNDS 2040 TARGET DATE-A   | 200.00               | 10.00               | 0.00               | 10.00             | 75.0 | 7.50                 |
|   | ACCOUNT #: 00087325265         | BUY 12 Units @16.2800               |                      |                     |                    |                   |      |                      |
|   |                                | <b>* MUTUAL FUNDS SUBTOTAL *</b>    | <b>\$200.00</b>      | <b>\$10.00</b>      | <b>\$0.00</b>      | <b>\$10.00</b>    |      | <b>\$7.50</b>        |
| <b><u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u></b> |                                |                                     |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-600I - HARTER, BRADLEY  | AMCAP FUND-A                        | 0.00                 | 2.94                | 0.00               | 2.94              | 75.0 | 2.21                 |
|   | ACCOUNT #: 00085860527         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-24IO - HOPPER, GINA     | AMCAP FUND-A                        | 0.00                 | 2.13                | 0.00               | 2.13              | 75.0 | 1.60                 |
|   | ACCOUNT #: 00087626950         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-1985 - BELZER, STEVEN   | AMERICAN BALANCED FUND-A            | 0.00                 | 12.18               | 0.00               | 12.18             | 75.0 | 9.14                 |
|   | ACCOUNT #: 00086616031         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-8364 - COLLIER, CLINTON | AMERICAN FUNDS 2040 TARGET DATE-A   | 0.00                 | 12.25               | 0.00               | 12.25             | 75.0 | 9.19                 |
|   | ACCOUNT #: 00085392602         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-3815 - MILLER, ASHLEY   | AMERICAN FUNDS 2040 TARGET DATE-A   | 0.00                 | 7.80                | 0.00               | 7.80              | 75.0 | 5.85                 |
|   | ACCOUNT #: 00087325265         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-600I - HARTER, BRADLEY  | AMERICAN GLOBAL BALANCED CLASS A    | 0.00                 | 0.81                | 0.00               | 0.81              | 75.0 | 0.61                 |
|   | ACCOUNT #: 00085860527         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-3172 - PABON-RESTREPO,  | CAPITAL WORLD GROWTH AND INCOME FUN | 0.00                 | 15.66               | 0.00               | 15.66             | 75.0 | 11.75                |
|   | ACCOUNT #: 00081631019         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-3172 - PABON-RESTREPO,  | EUROPACIFIC GROWTH FUND-A           | 0.00                 | 13.98               | 0.00               | 13.98             | 75.0 | 10.49                |
|   | ACCOUNT #: 00081631019         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-600I - HARTER, BRADLEY  | FUNDAMENTAL INVESTORS-A             | 0.00                 | 1.78                | 0.00               | 1.78              | 75.0 | 1.34                 |
|   | ACCOUNT #: 00085860527         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-24IO - HOPPER, GINA     | FUNDAMENTAL INVESTORS-A             | 0.00                 | 2.30                | 0.00               | 2.30              | 75.0 | 1.73                 |
|   | ACCOUNT #: 00087626950         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/12/2018  | ***-**-6190 - GRAFFT, JODELL   | MASS INVESTORS GROWTH STOCK FUND-A  | 0.00                 | 0.49                | 0.00               | 0.49              | 75.0 | 0.37                 |
|   | ACCOUNT #: LSR012280           | BUY 1 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-600I - HARTER, BRADLEY  | THE GROWTH FUND OF AMERICA-A        | 0.00                 | 1.24                | 0.00               | 1.24              | 75.0 | 0.93                 |
|   | ACCOUNT #: 00085860527         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-8642 - LORD, BENJAMIN   | THE GROWTH FUND OF AMERICA-A        | 0.00                 | 6.48                | 0.00               | 6.48              | 75.0 | 4.86                 |
|   | ACCOUNT #: 00084039536         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-9985 - KENYON, DAVID    | THE GROWTH FUND OF AMERICA-A        | 0.00                 | 7.33                | 0.00               | 7.33              | 75.0 | 5.50                 |
|   | ACCOUNT #: 00084176414         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |



# COMMISSION STATEMENT

March 12, 2018

JOHN TRUMAN  
1932 W Chesterfield Blvd #110  
Springfield, MO 65807

BROKER #: B02  
BRANCH #01001 - LifeMark Home Office

| DATE   | CLIENT                        | INVESTMENT                          | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|--|-------------------------------|-------------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b>BROKER TRANSACTIONS (continued)</b>                       |                               |                                     |                      |                     |                    |                   |      |                      |
| <b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</b> |                               |                                     |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-600I - HARTER, BRADLEY | THE INCOME FUND OF AMERICA-A        | 0.00                 | 1.84                | 0.00               | 1.84              | 75.0 | 1.38                 |
|  | ACCOUNT #: 00085860527        | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-24IO - HOPPER, GINA    | THE INCOME FUND OF AMERICA-A        | 0.00                 | 1.80                | 0.00               | 1.80              | 75.0 | 1.35                 |
|  | ACCOUNT #: 00087626950        | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-600I - HARTER, BRADLEY | THE INVESTMENT COMPANY OF AMERICA-A | 0.00                 | 2.32                | 0.00               | 2.32              | 75.0 | 1.74                 |
|  | ACCOUNT #: 00085860527        | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-24IO - HOPPER, GINA    | WASHINGTON MUTUAL INVESTORS FUND-A  | 0.00                 | 2.08                | 0.00               | 2.08              | 75.0 | 1.56                 |
|  | ACCOUNT #: 00087626950        | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| <b>* MUTUAL FUND 12B1 TRAILS SUBTOTAL *</b>                  |                               |                                     | <b>\$0.00</b>        | <b>\$95.41</b>      | <b>\$0.00</b>      | <b>\$95.41</b>    |      | <b>\$71.60</b>       |
| <b>*** BROKER TRANSACTIONS TOTAL ***</b>                     |                               |                                     | <b>\$200.00</b>      | <b>\$105.41</b>     | <b>\$0.00</b>      | <b>\$105.41</b>   |      | <b>\$79.10</b>       |

## BROKER COMMISSION TOTALS

|                       |         |
|-----------------------|---------|
| Broker Transactions   | \$79.10 |
| Split Transactions    | \$0.00  |
| Override Transactions | \$0.00  |
| Adjustments           | \$0.00  |
| Payroll Draw          | \$0.00  |
| Base Salary           | \$0.00  |
| Prior Period Balance  | \$0.00  |
| FINRA Assessment      | \$0.00  |
| SIPC Assessment       | \$0.00  |

Please Retain for Your Records  
THERE WILL BE NO PAYMENT THIS PERIOD

|                              |               |
|------------------------------|---------------|
| <b>Balance Forward</b>       | <b>\$0.00</b> |
| <b>Year-to-date Earnings</b> | <b>\$0.00</b> |



**BROKER #:** 715      **Terminated** 06/17/2009  
**BRANCH** #01001 - LifeMark Home Office

| DATE   | CLIENT | INVESTMENT                      | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE  | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION         |
|--|--------|---------------------------------|----------------------|---------------------|---|-------------------|------|------------------------------|
| <div>ADJUSTMENTS</div>   |        |                                 |                      |                     |   |                   |      |                              |
| 03/07/2018   |        | PRIOR PERIOD BALANCE(SEE BELOW) | 0.00                 | 0.00                | 0.00  | 0.00              |      | 0.00                         |
|  |        | *** ADJUSTMENTS TOTAL ***       | \$0.00               | \$0.00              | \$0.00  | \$0.00            |      | \$0.00                       |
| <div>BROKER COMMISSION TOTALS</div>                                    |        |                                 |                      |                     |   |                   |      |                              |
|  |        |                                 |                      |                     |   |                   |      | Broker Transactions \$0.00   |
|  |        |                                 |                      |                     |   |                   |      | Split Transactions \$0.00    |
|  |        |                                 |                      |                     |   |                   |      | Override Transactions \$0.00 |
|  |        |                                 |                      |                     |   |                   |      | Adjustments \$0.00           |
|  |        |                                 |                      |                     |   |                   |      | Payroll Draw \$0.00          |
|  |        |                                 |                      |                     |   |                   |      | Base Salary \$0.00           |
|  |        |                                 |                      |                     |   |                   |      | Prior Period Balance \$0.00  |
|  |        |                                 |                      |                     |   |                   |      | FINRA Assessment \$0.00      |
|  |        |                                 |                      |                     |   |                   |      | SIPC Assessment \$0.00       |
| Please Retain for Your Records<br>THERE WILL BE NO PAYMENT THIS PERIOD |        |                                 |                      |                     | <div><div>Balance Forward \$0.00</div><div>Year-to-date Earnings \$0.00</div></div> |                   |      |                              |



# COMMISSION STATEMENT

March 12, 2018

CHRISTOPHER VEAL  
2737 Maple Tree Plaza / Rte 23  
PO Box 400  
Stockholm, NJ 07460

BROKER #: 986 Terminated 11/05/2009  
BRANCH #01001 - LifeMark Home Office

| DATE                                   | CLIENT | INVESTMENT                      | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION                |
|--|--------|---------------------------------|----------------------|---------------------|--------------------|-------------------|------|-------------------------------------|
| <b><u>ADJUSTMENTS</u></b>              |        |                                 |                      |                     |                    |                   |      |                                     |
| 03/07/2018                             |        | PRIOR PERIOD BALANCE(SEE BELOW) | 0.00                 | 0.00                | 0.00               | 0.00              |      | 0.00                                |
| *** ADJUSTMENTS TOTAL ***              |        |                                 | <u>\$0.00</u>        | <u>\$0.00</u>       | <u>\$0.00</u>      | <u>\$0.00</u>     |      | <u>\$0.00</u>                       |
| <b><u>BROKER COMMISSION TOTALS</u></b> |        |                                 |                      |                     |                    |                   |      |                                     |
|  |        |                                 |                      |                     |                    |                   |      | Broker Transactions \$0.00          |
|  |        |                                 |                      |                     |                    |                   |      | Split Transactions \$0.00           |
|  |        |                                 |                      |                     |                    |                   |      | Override Transactions \$0.00        |
|  |        |                                 |                      |                     |                    |                   |      | Adjustments \$0.00                  |
|  |        |                                 |                      |                     |                    |                   |      | Payroll Draw \$0.00                 |
|  |        |                                 |                      |                     |                    |                   |      | Base Salary \$0.00                  |
|  |        |                                 |                      |                     |                    |                   |      | Prior Period Balance \$0.00         |
|  |        |                                 |                      |                     |                    |                   |      | FINRA Assessment \$0.00             |
|  |        |                                 |                      |                     |                    |                   |      | SIPC Assessment \$0.00              |
|  |        |                                 |                      |                     |                    |                   |      |                                     |
|  |        |                                 |                      |                     |                    |                   |      | <b>Balance Forward \$0.00</b>       |
|  |        |                                 |                      |                     |                    |                   |      | <b>Year-to-date Earnings \$0.00</b> |

Please Retain for Your Records  
THERE WILL BE NO PAYMENT THIS PERIOD



# COMMISSION STATEMENT

March 12, 2018

SANDINO VERRELLI  
94 North Main Street  
Unit A  
Beacon Falls, CT 06403

BROKER #: 185  
BRANCH #01001 - LifeMark Home Office

| DATE  | CLIENT                         | INVESTMENT                                  | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|---|--------------------------------|---|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b><u>BROKER TRANSACTIONS</u></b>                       |                                |   |                      |                     |                    |                   |      |                      |
| <b><u>PRODUCT CATEGORY: MUTUAL FUNDS</u></b>            |                                |   |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-6320 - BELL, ASHLEY     | PUTNAM ASSET ALLOC CONSERV-A                | 100.00               | 5.00                | 0.00               | 5.00              | 50.0 | 2.50                 |
|   | ACCOUNT #: 00551118025         | BUY 9 Units @11.3300                        |                      |                     |                    |                   |      |                      |
|   |                                | <b>* MUTUAL FUNDS SUBTOTAL *</b>            | <b>\$100.00</b>      | <b>\$5.00</b>       | <b>\$0.00</b>      | <b>\$5.00</b>     |      | <b>\$2.50</b>        |
| <b><u>PRODUCT CATEGORY: 529 PLAN</u></b>                |                                |   |                      |                     |                    |                   |      |                      |
| 03/12/2018  | ***-**-925P - LENNON, JENNY    | CHET 529                                    | 50.00                | 1.25                | 0.00               | 1.25              | 50.0 | 0.63                 |
|   | ACCOUNT #: 68507712801         | BUY 0 Units @0.0000                         |                      |                     |                    |                   |      |                      |
|   |                                | <b>* 529 PLAN SUBTOTAL *</b>                | <b>\$50.00</b>       | <b>\$1.25</b>       | <b>\$0.00</b>      | <b>\$1.25</b>     |      | <b>\$0.63</b>        |
| <b><u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u></b> |                                |   |                      |                     |                    |                   |      |                      |
| 03/12/2018  | ***-**-725P - COLON, SAMUAL    | CHET ADVISOR 529 TRAILS                     | 0.00                 | 1.82                | 0.00               | 1.82              | 50.0 | 0.91                 |
|   | ACCOUNT #: 68161143301         | BUY 0 Units @0.0000                         |                      |                     |                    |                   |      |                      |
| 03/12/2018  | ***-**-425P - ARTMAN, RONALD   | CHET ADVISOR 529 TRAILS                     | 0.00                 | 3.98                | 0.00               | 3.98              | 50.0 | 1.99                 |
|   | ACCOUNT #: 68484446101         | BUY 0 Units @0.0000                         |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-902I - LANG, CYNTHIA    | EUROPACIFIC GROWTH FUND-A                   | 0.00                 | 0.41                | 0.00               | 0.41              | 50.0 | 0.21                 |
|   | ACCOUNT #: 00073584125         | BUY 0 Units @0.0000                         |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-663I - CATINO, MICHELLE | EUROPACIFIC GROWTH FUND-A                   | 0.00                 | 4.31                | 0.00               | 4.31              | 50.0 | 2.16                 |
|   | ACCOUNT #: 00083859535         | BUY 0 Units @0.0000                         |                      |                     |                    |                   |      |                      |
| 03/12/2018  | ***-**-53DV - ZAKJAK INC 401K  | QUALIFIED PLAN SUMMARY                      | 0.00                 | 141.97              | 0.00               | 141.97            | 50.0 | 71.00                |
|   | ACCOUNT #: 01238151191         | BUY 0 Units @0.0000                         |                      |                     |                    |                   |      |                      |
| 03/12/2018  | ***-**-61IN - BRINK, GLENN     | SAMMONS MF TRAILS                           | 0.00                 | 13.92               | 0.00               | 13.92             | 50.0 | 6.96                 |
|   | ACCOUNT #: 7200001962          | BUY 0 Units @0.0000                         |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-902I - LANG, CYNTHIA    | THE GROWTH FUND OF AMERICA-A                | 0.00                 | 0.29                | 0.00               | 0.29              | 50.0 | 0.15                 |
|   | ACCOUNT #: 00073584125         | BUY 0 Units @0.0000                         |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-663I - CATINO, MICHELLE | THE INVESTMENT COMPANY OF AMERICA-A         | 0.00                 | 6.53                | 0.00               | 6.53              | 50.0 | 3.27                 |
|   | ACCOUNT #: 00083859535         | BUY 0 Units @0.0000                         |                      |                     |                    |                   |      |                      |
|   |                                | <b>* MUTUAL FUND 12B1 TRAILS SUBTOTAL *</b> | <b>\$0.00</b>        | <b>\$173.23</b>     | <b>\$0.00</b>      | <b>\$173.23</b>   |      | <b>\$86.65</b>       |
|   |                                | <b>*** BROKER TRANSACTIONS TOTAL ***</b>    | <b>\$150.00</b>      | <b>\$179.48</b>     | <b>\$0.00</b>      | <b>\$179.48</b>   |      | <b>\$89.78</b>       |





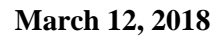
BROKER #: 185  
BRANCH #01001 - LifeMark Home Office

|                                     |        | INVESTMENT | GROSS      | CLEARING                             | NET        | BROKER |            |
|-------------------------------------|--------|------------|------------|--------------------------------------|------------|--------|------------|
| DATE                                | CLIENT | AMOUNT     | COMMISSION | CHARGE                               | COMMISSION | RATE   | COMMISSION |
| <div>BROKER COMMISSION TOTALS</div> |        |            |            |                                      |            |        |            |
|                                     |        |            |            | Broker Transactions                  |            |        | \$21.59    |
|                                     |        |            |            | Split Transactions                   |            |        | \$0.00     |
|                                     |        |            |            | Override Transactions                |            |        | \$0.00     |
|                                     |        |            |            | Adjustments                          |            |        | \$0.00     |
|                                     |        |            |            | Payroll Draw                         |            |        | \$0.00     |
|                                     |        |            |            | Base Salary                          |            |        | \$0.00     |
|                                     |        |            |            | Prior Period Balance                 |            |        | \$0.00     |
|                                     |        |            |            | FINRA Assessment                     |            |        | \$0.00     |
|                                     |        |            |            | SIPC Assessment                      |            |        | \$0.00     |
|                                     |        |            |            |                                      |            |        |            |
|                                     |        |            |            | Please Retain for Your Records       |            |        |            |
|                                     |        |            |            | THERE WILL BE NO PAYMENT THIS PERIOD |            |        |            |
|                                     |        |            |            | Balance Forward                      |            |        | \$0.00     |
|                                     |        |            |            | Year-to-date Earnings                |            |        | \$0.00     |



BROKER #: 953      Terminated 12/31/2014  
BRANCH #01001 - LifeMark Home Office

| DATE   | CLIENT | INVESTMENT                      | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE  | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION         |
|--|--------|---------------------------------|----------------------|---------------------|---|-------------------|------|------------------------------|
| <div>ADJUSTMENTS</div>   |        |                                 |                      |                     |   |                   |      |                              |
| 03/07/2018   |        | PRIOR PERIOD BALANCE(SEE BELOW) | 0.00                 | 0.00                | 0.00  | 0.00              |      | 0.00                         |
|  |        | *** ADJUSTMENTS TOTAL ***       | \$0.00               | \$0.00              | \$0.00  | \$0.00            |      | \$0.00                       |
| <div>BROKER COMMISSION TOTALS</div>                                    |        |                                 |                      |                     |   |                   |      |                              |
|  |        |                                 |                      |                     |   |                   |      | Broker Transactions \$0.00   |
|  |        |                                 |                      |                     |   |                   |      | Split Transactions \$0.00    |
|  |        |                                 |                      |                     |   |                   |      | Override Transactions \$0.00 |
|  |        |                                 |                      |                     |   |                   |      | Adjustments \$0.00           |
|  |        |                                 |                      |                     |   |                   |      | Payroll Draw \$0.00          |
|  |        |                                 |                      |                     |   |                   |      | Base Salary \$0.00           |
|  |        |                                 |                      |                     |   |                   |      | Prior Period Balance \$0.00  |
|  |        |                                 |                      |                     |   |                   |      | FINRA Assessment \$0.00      |
|  |        |                                 |                      |                     |   |                   |      | SIPC Assessment \$0.00       |
| Please Retain for Your Records<br>THERE WILL BE NO PAYMENT THIS PERIOD |        |                                 |                      |                     | <div><div>Balance Forward \$0.00</div><div>Year-to-date Earnings \$0.00</div></div> |                   |      |                              |



BROKER #: 819      Terminated 01/20/2015  
BRANCH #01001 - LifeMark Home Office

| DATE   | CLIENT | INVESTMENT                      | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE  | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION         |
|--|--------|---------------------------------|----------------------|---------------------|---|-------------------|------|------------------------------|
| <div>ADJUSTMENTS</div>   |        |                                 |                      |                     |   |                   |      |                              |
| 03/07/2018   |        | PRIOR PERIOD BALANCE(SEE BELOW) | 0.00                 | 0.00                | 0.00  | 0.00              |      | 0.00                         |
|  |        | *** ADJUSTMENTS TOTAL ***       | \$0.00               | \$0.00              | \$0.00  | \$0.00            |      | \$0.00                       |
| <div>BROKER COMMISSION TOTALS</div>                                    |        |                                 |                      |                     |   |                   |      |                              |
|  |        |                                 |                      |                     |   |                   |      | Broker Transactions \$0.00   |
|  |        |                                 |                      |                     |   |                   |      | Split Transactions \$0.00    |
|  |        |                                 |                      |                     |   |                   |      | Override Transactions \$0.00 |
|  |        |                                 |                      |                     |   |                   |      | Adjustments \$0.00           |
|  |        |                                 |                      |                     |   |                   |      | Payroll Draw \$0.00          |
|  |        |                                 |                      |                     |   |                   |      | Base Salary \$0.00           |
|  |        |                                 |                      |                     |   |                   |      | Prior Period Balance \$0.00  |
|  |        |                                 |                      |                     |   |                   |      | FINRA Assessment \$0.00      |
|  |        |                                 |                      |                     |   |                   |      | SIPC Assessment \$0.00       |
| Please Retain for Your Records<br>THERE WILL BE NO PAYMENT THIS PERIOD |        |                                 |                      |                     | <div><div>Balance Forward \$0.00</div><div>Year-to-date Earnings \$0.00</div></div> |                   |      |                              |



# COMMISSION STATEMENT

## March 12, 2018

ANNE WEIDMAN  
2642 Fisher Road  
Warsaw, NY 14569

BROKER #: 945A  
BRANCH #01001 - LifeMark Home Office

| DATE                              | CLIENT   | INVESTMENT  | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|-----------------------------------|--|---|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b><u>SPLIT TRANSACTIONS</u></b>  |  |   |                      |                     |                    |                   |      |                      |
| <b><u>BROKER: TODD JESSOP</u></b> |  |   |                      |                     |                    |                   |      |                      |
| 03/12/2018                        | ***-**-7485 - PFENDLER,<br>ACCOUNT #: LSR102555          | ALLIANCEBERNSTEIN EMERG MKT DEBT A<br>BUY 1 Units @0.0000 | 0.00                 | 0.18                | 0.00               | 0.18              | 90.0 | 0.16                 |
| 03/01/2018                        | ***-**-646I - STEELE, JOHN<br>ACCOUNT #: 00074237129     | AMCAP FUND-A<br>BUY 0 Units @0.0000                       | 0.00                 | 1.95                | 0.00               | 1.95              | 90.0 | 1.76                 |
| 03/01/2018                        | ***-**-645P - TOMIDY, MILDRED<br>ACCOUNT #: 00074740837  | AMCAP FUND-A<br>BUY 0 Units @0.0000                       | 0.00                 | 2.22                | 0.00               | 2.22              | 90.0 | 2.00                 |
| 03/01/2018                        | ***-**-98IR - WELLMAN, DAWN<br>ACCOUNT #: 00075028128    | AMCAP FUND-A<br>BUY 0 Units @0.0000                       | 0.00                 | 0.90                | 0.00               | 0.90              | 90.0 | 0.81                 |
| 03/01/2018                        | ***-**-636I - WITZEL, KENNETH<br>ACCOUNT #: 00075751436  | AMCAP FUND-A<br>BUY 0 Units @0.0000                       | 0.00                 | 4.10                | 0.00               | 4.10              | 90.0 | 3.69                 |
| 03/01/2018                        | ***-**-179I - WADSWORTH,<br>ACCOUNT #: 00082623849       | AMCAP FUND-A<br>BUY 0 Units @0.0000                       | 0.00                 | 0.31                | 0.00               | 0.31              | 90.0 | 0.28                 |
| 03/01/2018                        | ***-**-555P - WADSWORTH,<br>ACCOUNT #: 00073786372       | AMERICAN HIGH-INCOME TRUST-A<br>BUY 0 Units @0.0000       | 0.00                 | 1.69                | 0.00               | 1.69              | 90.0 | 1.52                 |
| 03/01/2018                        | ***-**-636I - WITZEL, KENNETH<br>ACCOUNT #: 00075751436  | AMERICAN HIGH-INCOME TRUST-A<br>BUY 0 Units @0.0000       | 0.00                 | 1.39                | 0.00               | 1.39              | 90.0 | 1.25                 |
| 03/01/2018                        | ***-**-10IR - PRENDERGAST,<br>ACCOUNT #: 00082644641     | AMERICAN HIGH-INCOME TRUST-A<br>BUY 0 Units @0.0000       | 0.00                 | 0.42                | 0.00               | 0.42              | 90.0 | 0.38                 |
| 03/01/2018                        | ***-**-138I - KIBLER, MARY<br>ACCOUNT #: 00082842777     | AMERICAN HIGH-INCOME TRUST-A<br>BUY 0 Units @0.0000       | 0.00                 | 0.25                | 0.00               | 0.25              | 90.0 | 0.23                 |
| 03/01/2018                        | ***-**-555P - WADSWORTH,<br>ACCOUNT #: 00073786372       | AMERICAN MUTUAL FUND-A<br>BUY 0 Units @0.0000             | 0.00                 | 1.13                | 0.00               | 1.13              | 90.0 | 1.02                 |
| 03/01/2018                        | ***-**-636I - WITZEL, KENNETH<br>ACCOUNT #: 00075751436  | AMERICAN MUTUAL FUND-A<br>BUY 0 Units @0.0000             | 0.00                 | 2.24                | 0.00               | 2.24              | 90.0 | 2.02                 |
| 03/01/2018                        | ***-**-575P - BRICKWOOD, ERINN<br>ACCOUNT #: 00073395145 | CAPITAL INCOME BUILDER-529A<br>BUY 0 Units @0.0000        | 0.00                 | 0.70                | 0.00               | 0.70              | 90.0 | 0.63                 |
| 03/01/2018                        | ***-**-59IN - MEYER, DOUGLAS<br>ACCOUNT #: 00068666611   | CAPITAL INCOME BUILDER-A<br>BUY 0 Units @0.0000           | 0.00                 | 1.83                | 0.00               | 1.83              | 90.0 | 1.65                 |
| 03/01/2018                        | ***-**-555P - WADSWORTH,<br>ACCOUNT #: 00073786372       | CAPITAL INCOME BUILDER-A<br>BUY 0 Units @0.0000           | 0.00                 | 4.31                | 0.00               | 4.31              | 90.0 | 3.88                 |
| 03/01/2018                        | ***-**-645P - TOMIDY, MILDRED<br>ACCOUNT #: 00073851274  | CAPITAL INCOME BUILDER-A<br>BUY 0 Units @0.0000           | 0.00                 | 1.15                | 0.00               | 1.15              | 90.0 | 1.04                 |



# COMMISSION STATEMENT

March 12, 2018

ANNE WEIDMAN  
2642 Fisher Road  
Warsaw, NY 14569

BROKER #: 945A  
BRANCH #01001 - LifeMark Home Office

| DATE  | CLIENT                         | INVESTMENT                          | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|---|--------------------------------|-------------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b><u>SPLIT TRANSACTIONS (continued)</u></b>  |                                |                                     |                      |                     |                    |                   |      |                      |
| <b><u>BROKER: TODD JESSOP (continued)</u></b> |                                |                                     |                      |                     |                    |                   |      |                      |
| 03/01/2018                                    | ***-**-646I - STEELE, JOHN     | CAPITAL INCOME BUILDER-A            | 0.00                 | 0.25                | 0.00               | 0.25              | 90.0 | 0.23                 |
|   | ACCOUNT #: 00074237129         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018                                    | ***-**-645P - TOMIDY, MILDRED  | CAPITAL INCOME BUILDER-A            | 0.00                 | 1.50                | 0.00               | 1.50              | 90.0 | 1.35                 |
|   | ACCOUNT #: 00074740837         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018                                    | ***-**-205P - RODGERS, TAMMIE  | CAPITAL INCOME BUILDER-A            | 0.00                 | 0.41                | 0.00               | 0.41              | 90.0 | 0.37                 |
|   | ACCOUNT #: 00074773020         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018                                    | ***-**-375P - MCELHENY, ANDREW | CAPITAL INCOME BUILDER-A            | 0.00                 | 0.09                | 0.00               | 0.09              | 90.0 | 0.08                 |
|   | ACCOUNT #: 00075437341         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018                                    | ***-**-375P - MCELHENY, ANDREW | CAPITAL INCOME BUILDER-A            | 0.00                 | 0.07                | 0.00               | 0.07              | 90.0 | 0.06                 |
|   | ACCOUNT #: 00075751478         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018                                    | ***-**-495P - BRINDUSE,        | CAPITAL INCOME BUILDER-A            | 0.00                 | 0.24                | 0.00               | 0.24              | 90.0 | 0.22                 |
|   | ACCOUNT #: 00082094339         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018                                    | ***-**-39IR - KELSEY, DONNA    | CAPITAL INCOME BUILDER-A            | 0.00                 | 0.38                | 0.00               | 0.38              | 90.0 | 0.34                 |
|   | ACCOUNT #: 00082283557         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018                                    | ***-**-68IR - PRENERGAST, JOHN | CAPITAL INCOME BUILDER-A            | 0.00                 | 0.45                | 0.00               | 0.45              | 90.0 | 0.41                 |
|   | ACCOUNT #: 00082644770         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018                                    | ***-**-96RI - HEIT, DONALD     | CAPITAL INCOME BUILDER-A            | 0.00                 | 2.71                | 0.00               | 2.71              | 90.0 | 2.44                 |
|   | ACCOUNT #: 00083808684         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018                                    | ***-**-495P - BRINDUSE,        | CAPITAL WORLD GROWTH AND INCOME FUN | 0.00                 | 0.27                | 0.00               | 0.27              | 90.0 | 0.24                 |
|   | ACCOUNT #: 00082094339         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018                                    | ***-**-575P - BRICKWOOD, ERINN | EUROPACIFIC GROWTH FUND-529A        | 0.00                 | 0.18                | 0.00               | 0.18              | 90.0 | 0.16                 |
|   | ACCOUNT #: 00075975352         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018                                    | ***-**-461I - MCBRIDE, PHIL    | EUROPACIFIC GROWTH FUND-A           | 0.00                 | 2.01                | 0.00               | 2.01              | 90.0 | 1.81                 |
|   | ACCOUNT #: 00074656810         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018                                    | ***-**-636I - WITZEL, KENNETH  | EUROPACIFIC GROWTH FUND-A           | 0.00                 | 2.99                | 0.00               | 2.99              | 90.0 | 2.69                 |
|   | ACCOUNT #: 00075751436         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018                                    | ***-**-375P - MCELHENY, ANDREW | EUROPACIFIC GROWTH FUND-A           | 0.00                 | 0.07                | 0.00               | 0.07              | 90.0 | 0.06                 |
|   | ACCOUNT #: 00075751478         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018                                    | ***-**-437I - LEVEY, LARRY     | EUROPACIFIC GROWTH FUND-A           | 0.00                 | 0.17                | 0.00               | 0.17              | 90.0 | 0.15                 |
|   | ACCOUNT #: 00082288158         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018                                    | ***-**-179I - WADSWORTH,       | EUROPACIFIC GROWTH FUND-A           | 0.00                 | 0.22                | 0.00               | 0.22              | 90.0 | 0.20                 |
|   | ACCOUNT #: 00082623849         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |



# COMMISSION STATEMENT

March 12, 2018

ANNE WEIDMAN  
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BROKER #: 945A  
BRANCH #01001 - LifeMark Home Office

| DATE  | CLIENT   | INVESTMENT   | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|---|--|--|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b><u>SPLIT TRANSACTIONS (continued)</u></b>  |  |  |                      |                     |                    |                   |      |                      |
| <b><u>BROKER: TODD JESSOP (continued)</u></b> |  |  |                      |                     |                    |                   |      |                      |
| 03/01/2018                                    | ***-**-10IR - PRENDERGAST,<br>ACCOUNT #: 00082644641     | EUROPACIFIC GROWTH FUND-A<br>BUY 0 Units @0.0000           | 0.00                 | 0.34                | 0.00               | 0.34              | 90.0 | 0.31                 |
| 03/01/2018                                    | ***-**-138I - KIBLER, MARY<br>ACCOUNT #: 00082842777     | EUROPACIFIC GROWTH FUND-A<br>BUY 0 Units @0.0000           | 0.00                 | 0.19                | 0.00               | 0.19              | 90.0 | 0.17                 |
| 03/07/2018                                    | ***-**-8846 - GERTNER, STEPHEN<br>ACCOUNT #: 00006820056 | FIDELITY ADV EQUITY GROWTH CL T<br>BUY 0 Units @0.0000     | 0.00                 | 1.26                | 0.00               | 1.26              | 90.0 | 1.13                 |
| 03/07/2018                                    | ***-**-8846 - GERTNER, STEPHEN<br>ACCOUNT #: 00006820056 | FIDELITY ADVISOR EQUITY INCOME CL T<br>BUY 0 Units @0.0000 | 0.00                 | 0.34                | 0.00               | 0.34              | 90.0 | 0.31                 |
| 03/01/2018                                    | ***-**-091I - MCBRIDE,<br>ACCOUNT #: 00074656898         | FUNDAMENTAL INVESTORS-A<br>BUY 0 Units @0.0000             | 0.00                 | 2.95                | 0.00               | 2.95              | 90.0 | 2.66                 |
| 03/01/2018                                    | ***-**-636I - WITZEL, KENNETH<br>ACCOUNT #: 00075751436  | INTERMEDIATE BOND FUND OF AMERICA-A<br>BUY 0 Units @0.0000 | 0.00                 | 1.74                | 0.00               | 1.74              | 90.0 | 1.57                 |
| 03/12/2018                                    | ***-**-7485 - PFENDLER,<br>ACCOUNT #: LSR102555          | INVESCO AMERICAN FRANCHISE FUND -CL<br>BUY 1 Units @0.0000 | 0.00                 | 0.19                | 0.00               | 0.19              | 90.0 | 0.17                 |
| 03/06/2018                                    | ***-**-3491 - STEVENS, BRIAN<br>ACCOUNT #: N101690600    | NATIONWIDE MARKET FLEX NY<br>BUY 1 Units @83.3300          | 83.33                | 0.33                | 0.00               | 0.33              | 90.0 | 0.30                 |
| 03/01/2018                                    | ***-**-555P - WADSWORTH,<br>ACCOUNT #: 00073786372       | NEW PERSPECTIVE FUND-A<br>BUY 0 Units @0.0000              | 0.00                 | 6.50                | 0.00               | 6.50              | 90.0 | 5.85                 |
| 03/01/2018                                    | ***-**-68IR - PRENERGAST, JOHN<br>ACCOUNT #: 00082644770 | NEW PERSPECTIVE FUND-A<br>BUY 0 Units @0.0000              | 0.00                 | 0.18                | 0.00               | 0.18              | 90.0 | 0.16                 |
| 03/01/2018                                    | ***-**-375P - MCELHENY, ANDREW<br>ACCOUNT #: 00075437341 | NEW WORLD FUND-A<br>BUY 0 Units @0.0000                    | 0.00                 | 0.21                | 0.00               | 0.21              | 90.0 | 0.19                 |
| 03/12/2018                                    | ***-**-275P - MEYER, JEFFREY<br>ACCOUNT #: 77757844801   | NEW YORK 529 TRAILS<br>BUY 0 Units @0.0000                 | 0.00                 | 1.73                | 0.00               | 1.73              | 90.0 | 1.56                 |
| 03/12/2018                                    | ***-**-205P - LANGEN, JOSEPH<br>ACCOUNT #: 7200005342    | SAMMONS MF TRAILS<br>BUY 0 Units @0.0000                   | 0.00                 | 0.96                | 0.00               | 0.96              | 90.0 | 0.86                 |
| 03/12/2018                                    | ***-**-205P - LANGEN, JOSEPH<br>ACCOUNT #: 7200005343    | SAMMONS MF TRAILS<br>BUY 0 Units @0.0000                   | 0.00                 | 1.74                | 0.00               | 1.74              | 90.0 | 1.57                 |
| 03/01/2018                                    | ***-**-555P - WADSWORTH,<br>ACCOUNT #: 00073786372       | SMALLCAP WORLD FUND-A<br>BUY 0 Units @0.0000               | 0.00                 | 1.33                | 0.00               | 1.33              | 90.0 | 1.20                 |
| 03/01/2018                                    | ***-**-375P - MCELHENY, ANDREW<br>ACCOUNT #: 00075437341 | SMALLCAP WORLD FUND-A<br>BUY 0 Units @0.0000               | 0.00                 | 0.13                | 0.00               | 0.13              | 90.0 | 0.12                 |



# COMMISSION STATEMENT

March 12, 2018

ANNE WEIDMAN  
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Warsaw, NY 14569

BROKER #: 945A  
BRANCH #01001 - LifeMark Home Office

| DATE  | CLIENT                         | INVESTMENT                      | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|---|--------------------------------|---------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b><u>SPLIT TRANSACTIONS (continued)</u></b>  |                                |                                 |                      |                     |                    |                   |      |                      |
| <b><u>BROKER: TODD JESSOP (continued)</u></b> |                                |                                 |                      |                     |                    |                   |      |                      |
| 03/01/2018                                    | ***-**-375P - MCELHENY, ANDREW | SMALLCAP WORLD FUND-A           | 0.00                 | 0.18                | 0.00               | 0.18              | 90.0 | 0.16                 |
|   | ACCOUNT #: 00075751478         | BUY 0 Units @0.0000             |                      |                     |                    |                   |      |                      |
| 03/01/2018                                    | ***-**-265P - POPE, GREGORY    | THE BOND FUND OF AMERICA-529A   | 0.00                 | 0.05                | 0.00               | 0.05              | 90.0 | 0.05                 |
|   | ACCOUNT #: 00068140582         | BUY 0 Units @0.0000             |                      |                     |                    |                   |      |                      |
| 03/01/2018                                    | ***-**-13IN - KIBLER, MARY     | THE BOND FUND OF AMERICA-A      | 0.00                 | 0.83                | 0.00               | 0.83              | 90.0 | 0.75                 |
|   | ACCOUNT #: 00073060131         | BUY 0 Units @0.0000             |                      |                     |                    |                   |      |                      |
| 03/01/2018                                    | ***-**-555P - WADSWORTH,       | THE BOND FUND OF AMERICA-A      | 0.00                 | 1.55                | 0.00               | 1.55              | 90.0 | 1.40                 |
|   | ACCOUNT #: 00073786372         | BUY 0 Units @0.0000             |                      |                     |                    |                   |      |                      |
| 03/01/2018                                    | ***-**-461I - MCBRIDE, PHIL    | THE BOND FUND OF AMERICA-A      | 0.00                 | 2.10                | 0.00               | 2.10              | 90.0 | 1.89                 |
|   | ACCOUNT #: 00074656810         | BUY 0 Units @0.0000             |                      |                     |                    |                   |      |                      |
| 03/01/2018                                    | ***-**-636I - WITZEL, KENNETH  | THE BOND FUND OF AMERICA-A      | 0.00                 | 1.66                | 0.00               | 1.66              | 90.0 | 1.49                 |
|   | ACCOUNT #: 00075751436         | BUY 0 Units @0.0000             |                      |                     |                    |                   |      |                      |
| 03/01/2018                                    | ***-**-755P - PRENDERGAST,     | THE GROWTH FUND OF AMERICA-529A | 0.00                 | 0.15                | 0.00               | 0.15              | 90.0 | 0.14                 |
|   | ACCOUNT #: 00068371050         | BUY 0 Units @0.0000             |                      |                     |                    |                   |      |                      |
| 03/01/2018                                    | ***-**-755P - PRENDERGAST,     | THE GROWTH FUND OF AMERICA-529A | 0.00                 | 0.10                | 0.00               | 0.10              | 90.0 | 0.09                 |
|   | ACCOUNT #: 00075352555         | BUY 0 Units @0.0000             |                      |                     |                    |                   |      |                      |
| 03/01/2018                                    | ***-**-575P - BRICKWOOD, ERINN | THE GROWTH FUND OF AMERICA-529A | 0.00                 | 0.26                | 0.00               | 0.26              | 90.0 | 0.23                 |
|   | ACCOUNT #: 00075975352         | BUY 0 Units @0.0000             |                      |                     |                    |                   |      |                      |
| 03/01/2018                                    | ***-**-175P - BISHOP, MASON    | THE GROWTH FUND OF AMERICA-529A | 0.00                 | 1.03                | 0.00               | 1.03              | 90.0 | 0.93                 |
|   | ACCOUNT #: 00082841529         | BUY 0 Units @0.0000             |                      |                     |                    |                   |      |                      |
| 03/01/2018                                    | ***-**-755P - PRENDERGAST,     | THE GROWTH FUND OF AMERICA-529A | 0.00                 | 0.07                | 0.00               | 0.07              | 90.0 | 0.06                 |
|   | ACCOUNT #: 00083820738         | BUY 0 Units @0.0000             |                      |                     |                    |                   |      |                      |
| 03/01/2018                                    | ***-**-555P - WADSWORTH,       | THE GROWTH FUND OF AMERICA-A    | 0.00                 | 7.88                | 0.00               | 7.88              | 90.0 | 7.09                 |
|   | ACCOUNT #: 00073786372         | BUY 0 Units @0.0000             |                      |                     |                    |                   |      |                      |
| 03/01/2018                                    | ***-**-646I - STEELE, JOHN     | THE GROWTH FUND OF AMERICA-A    | 0.00                 | 0.86                | 0.00               | 0.86              | 90.0 | 0.77                 |
|   | ACCOUNT #: 00074237129         | BUY 0 Units @0.0000             |                      |                     |                    |                   |      |                      |
| 03/01/2018                                    | ***-**-495P - BRINDUSE,        | THE GROWTH FUND OF AMERICA-A    | 0.00                 | 0.33                | 0.00               | 0.33              | 90.0 | 0.30                 |
|   | ACCOUNT #: 00082094339         | BUY 0 Units @0.0000             |                      |                     |                    |                   |      |                      |
| 03/01/2018                                    | ***-**-96RI - HEIT, DONALD     | THE GROWTH FUND OF AMERICA-A    | 0.00                 | 3.28                | 0.00               | 3.28              | 90.0 | 2.95                 |
|   | ACCOUNT #: 00083808684         | BUY 0 Units @0.0000             |                      |                     |                    |                   |      |                      |
| 03/01/2018                                    | ***-**-265P - POPE, GREGORY    | THE INCOME FUND OF AMERICA-529A | 0.00                 | 0.06                | 0.00               | 0.06              | 90.0 | 0.05                 |
|   | ACCOUNT #: 00068140582         | BUY 0 Units @0.0000             |                      |                     |                    |                   |      |                      |



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| DATE  | CLIENT   | INVESTMENT   | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|---|--|--|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b><u>SPLIT TRANSACTIONS (continued)</u></b>  |  |  |                      |                     |                    |                   |      |                      |
| <b><u>BROKER: TODD JESSOP (continued)</u></b> |  |  |                      |                     |                    |                   |      |                      |
| 03/01/2018                                    | ***-**-175P - BISHOP, MASON<br>ACCOUNT #: 00082886995    | THE INVESTMENT COMPANY OF AMERICA-5<br>BUY 0 Units @0.0000 | 0.00                 | 1.01                | 0.00               | 1.01              | 90.0 | 0.91                 |
| 03/01/2018                                    | ***-**-755P - PRENDERGAST,<br>ACCOUNT #: 00083820738     | THE INVESTMENT COMPANY OF AMERICA-5<br>BUY 0 Units @0.0000 | 0.00                 | 0.05                | 0.00               | 0.05              | 90.0 | 0.05                 |
| 03/01/2018                                    | ***-**-068J - PRENERGAST,<br>ACCOUNT #: 00063486287      | THE INVESTMENT COMPANY OF AMERICA-A<br>BUY 0 Units @0.0000 | 0.00                 | 0.52                | 0.00               | 0.52              | 90.0 | 0.47                 |
| 03/01/2018                                    | ***-**-13IN - KIBLER, MARY<br>ACCOUNT #: 00073060131     | THE INVESTMENT COMPANY OF AMERICA-A<br>BUY 0 Units @0.0000 | 0.00                 | 1.70                | 0.00               | 1.70              | 90.0 | 1.53                 |
| 03/01/2018                                    | ***-**-461I - MCBRIDE, PHIL<br>ACCOUNT #: 00074656810    | THE INVESTMENT COMPANY OF AMERICA-A<br>BUY 0 Units @0.0000 | 0.00                 | 2.22                | 0.00               | 2.22              | 90.0 | 2.00                 |
| 03/01/2018                                    | ***-**-636I - WITZEL, KENNETH<br>ACCOUNT #: 00075751436  | THE INVESTMENT COMPANY OF AMERICA-A<br>BUY 0 Units @0.0000 | 0.00                 | 4.43                | 0.00               | 4.43              | 90.0 | 3.99                 |
| 03/01/2018                                    | ***-**-555P - WADSWORTH,<br>ACCOUNT #: 00073786372       | U.S. GOVERNMENT SECURITIES FUND CLA<br>BUY 0 Units @0.0000 | 0.00                 | 1.15                | 0.00               | 1.15              | 90.0 | 1.04                 |
| 03/01/2018                                    | ***-**-755P - PRENDERGAST,<br>ACCOUNT #: 00068371050     | WASHINGTON MUTUAL INVESTORS FUND-52<br>BUY 0 Units @0.0000 | 0.00                 | 0.08                | 0.00               | 0.08              | 90.0 | 0.07                 |
| 03/01/2018                                    | ***-**-175P - BISHOP, MASON<br>ACCOUNT #: 00074056953    | WASHINGTON MUTUAL INVESTORS FUND-52<br>BUY 0 Units @0.0000 | 0.00                 | 1.24                | 0.00               | 1.24              | 90.0 | 1.12                 |
| 03/01/2018                                    | ***-**-755P - PRENDERGAST,<br>ACCOUNT #: 00075352555     | WASHINGTON MUTUAL INVESTORS FUND-52<br>BUY 0 Units @0.0000 | 0.00                 | 0.06                | 0.00               | 0.06              | 90.0 | 0.05                 |
| 03/01/2018                                    | ***-**-555P - WADSWORTH,<br>ACCOUNT #: 00073786372       | WASHINGTON MUTUAL INVESTORS FUND-A<br>BUY 0 Units @0.0000  | 0.00                 | 10.12               | 0.00               | 10.12             | 90.0 | 9.11                 |
| 03/01/2018                                    | ***-**-646I - STEELE, JOHN<br>ACCOUNT #: 00074237129     | WASHINGTON MUTUAL INVESTORS FUND-A<br>BUY 0 Units @0.0000  | 0.00                 | 1.79                | 0.00               | 1.79              | 90.0 | 1.61                 |
| 03/01/2018                                    | ***-**-091I - MCBRIDE,<br>ACCOUNT #: 00074656898         | WASHINGTON MUTUAL INVESTORS FUND-A<br>BUY 0 Units @0.0000  | 0.00                 | 2.46                | 0.00               | 2.46              | 90.0 | 2.21                 |
| 03/01/2018                                    | ***-**-105P - WELLMAN, LEONARD<br>ACCOUNT #: 00075028081 | WASHINGTON MUTUAL INVESTORS FUND-A<br>BUY 0 Units @0.0000  | 0.00                 | 0.83                | 0.00               | 0.83              | 90.0 | 0.75                 |
| * TODD JESSOP SUBTOTAL *                      |  |  | \$83.33              | \$104.95            | \$0.00             | \$104.95          |      | \$94.52              |
| *** SPLIT TRANSACTIONS TOTAL ***              |  |  | \$83.33              | \$104.95            | \$0.00             | \$104.95          |      | \$94.52              |





**BROKER #:** 945A  
BRANCH #01001 - LifeMark Home Office

|                                      |        | INVESTMENT | GROSS      | CLEARING              | NET        | BROKER  |            |
|--------------------------------------|--------|------------|------------|-----------------------|------------|---------|------------|
| DATE                                 | CLIENT | AMOUNT     | COMMISSION | CHARGE                | COMMISSION | RATE    | COMMISSION |
|                                      |        |            |            |                       |            |         |            |
| BROKER COMMISSION TOTALS             |        |            |            |                       |            |         |            |
|                                      |        |            |            | Broker Transactions   |            | \$0.00  |            |
|                                      |        |            |            | Split Transactions    |            | \$94.52 |            |
|                                      |        |            |            | Override Transactions |            | \$0.00  |            |
|                                      |        |            |            | Adjustments           |            | \$0.00  |            |
|                                      |        |            |            | Payroll Draw          |            | \$0.00  |            |
|                                      |        |            |            | Base Salary           |            | \$0.00  |            |
|                                      |        |            |            | Prior Period Balance  |            | \$0.00  |            |
|                                      |        |            |            | FINRA Assessment      |            | \$0.00  |            |
|                                      |        |            |            | SIPC Assessment       |            | \$0.00  |            |
|                                      |        |            |            |                       |            |         |            |
| Please Retain for Your Records       |        |            |            |                       |            |         |            |
| THERE WILL BE NO PAYMENT THIS PERIOD |        |            |            |                       |            |         |            |
|                                      |        |            |            | Balance Forward       |            | \$0.00  |            |
|                                      |        |            |            | Year-to-date Earnings |            | \$0.00  |            |



# COMMISSION STATEMENT

March 12, 2018

RONALD WEINHEIM  
28 Furnace Brook Drive  
Cortland Manor, NY 10567

BROKER #: 215 Terminated 12/14/2011  
BRANCH #01001 - LifeMark Home Office

| DATE                      | CLIENT | INVESTMENT                      | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|---------------------------|--------|---------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b><u>ADJUSTMENTS</u></b> |        |                                 |                      |                     |                    |                   |      |                      |
| 03/07/2018                |        | PRIOR PERIOD BALANCE(SEE BELOW) | 0.00                 | 0.00                | 0.00               | 0.00              |      | 0.00                 |
| *** ADJUSTMENTS TOTAL *** |        |                                 | <u>\$0.00</u>        | <u>\$0.00</u>       | <u>\$0.00</u>      | <u>\$0.00</u>     |      | <u>\$0.00</u>        |

## **BROKER COMMISSION TOTALS**

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

Please Retain for Your Records  
THERE WILL BE NO PAYMENT THIS PERIOD

|                              |               |
|------------------------------|---------------|
| <b>Balance Forward</b>       | <b>\$0.00</b> |
| <b>Year-to-date Earnings</b> | <b>\$0.00</b> |



# COMMISSION STATEMENT

March 12, 2018

BRIAN WETZEL  
3761 N. Five Mile Rd.  
Boise, ID 83713

BROKER #: A53 Terminated 08/22/2016  
BRANCH #01001 - LifeMark Home Office

| DATE   | CLIENT | INVESTMENT                      | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION                |
|--|--------|---------------------------------|----------------------|---------------------|--------------------|-------------------|------|-------------------------------------|
| <b><u>ADJUSTMENTS</u></b>  |        |                                 |                      |                     |                    |                   |      |                                     |
| / /  |        | PRIOR PERIOD BALANCE(SEE BELOW) | 0.00                 | 0.00                | 0.00               | 0.00              |      | 0.00                                |
|  |        | *** ADJUSTMENTS TOTAL ***       | <u>\$0.00</u>        | <u>\$0.00</u>       | <u>\$0.00</u>      | <u>\$0.00</u>     |      | <u>\$0.00</u>                       |
| <b><u>BROKER COMMISSION TOTALS</u></b>                                 |        |                                 |                      |                     |                    |                   |      |                                     |
|  |        |                                 |                      |                     |                    |                   |      | Broker Transactions \$0.00          |
|  |        |                                 |                      |                     |                    |                   |      | Split Transactions \$0.00           |
|  |        |                                 |                      |                     |                    |                   |      | Override Transactions \$0.00        |
|  |        |                                 |                      |                     |                    |                   |      | Adjustments \$0.00                  |
|  |        |                                 |                      |                     |                    |                   |      | Payroll Draw \$0.00                 |
|  |        |                                 |                      |                     |                    |                   |      | Base Salary \$0.00                  |
|  |        |                                 |                      |                     |                    |                   |      | Prior Period Balance \$0.00         |
|  |        |                                 |                      |                     |                    |                   |      | FINRA Assessment \$0.00             |
|  |        |                                 |                      |                     |                    |                   |      | SIPC Assessment \$0.00              |
| Please Retain for Your Records<br>THERE WILL BE NO PAYMENT THIS PERIOD |        |                                 |                      |                     |                    |                   |      |                                     |
|  |        |                                 |                      |                     |                    |                   |      | <b>Balance Forward \$0.00</b>       |
|  |        |                                 |                      |                     |                    |                   |      | <b>Year-to-date Earnings \$0.00</b> |



# COMMISSION STATEMENT

March 12, 2018

EDDIE WILLIAMS  
23125 Berg Rd  
Southfield, MI 48033

BROKER #: A25  
BRANCH #01001 - LifeMark Home Office

| DATE  | CLIENT                        | INVESTMENT                          | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|---|-------------------------------|-------------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b><u>BROKER TRANSACTIONS</u></b>                       |                               |                                     |                      |                     |                    |                   |      |                      |
| <b><u>PRODUCT CATEGORY: MUTUAL FUNDS</u></b>            |                               |                                     |                      |                     |                    |                   |      |                      |
| 02/26/2018  | ***-**-66UT - POTTS, DEVYN    | AMERICAN FUNDS GROWTH PORTFOLIO A   | 100.00               | 5.00                | 0.00               | 5.00              | 50.0 | 2.50                 |
|   | ACCOUNT #: 00087597598        | BUY 5 Units @20.2400                |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-2011 - WILLIAMS, LARRY | THE GROWTH FUND OF AMERICA-A        | 100.00               | 5.00                | 0.00               | 5.00              | 50.0 | 2.50                 |
|   | ACCOUNT #: 04000491691        | BUY 2 Units @54.6800                |                      |                     |                    |                   |      |                      |
| * MUTUAL FUNDS SUBTOTAL *                               |                               |                                     | \$200.00             | \$10.00             | \$0.00             | \$10.00           |      | \$5.00               |
| <b><u>PRODUCT CATEGORY: 529 PLAN</u></b>                |                               |                                     |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-4925 - HARRISON,       | THE GROWTH FUND OF AMERICA-529A     | 50.00                | 2.50                | 0.00               | 2.50              | 50.0 | 1.25                 |
|   | ACCOUNT #: 04000330815        | BUY 1 Units @54.1100                |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-4925 - HARRISON,       | THE GROWTH FUND OF AMERICA-529A     | 50.00                | 2.50                | 0.00               | 2.50              | 50.0 | 1.25                 |
|   | ACCOUNT #: 04000330832        | BUY 1 Units @54.1100                |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-4925 - HARRISON,       | THE GROWTH FUND OF AMERICA-529A     | 50.00                | 2.50                | 0.00               | 2.50              | 50.0 | 1.25                 |
|   | ACCOUNT #: 04000330825        | BUY 1 Units @54.1100                |                      |                     |                    |                   |      |                      |
| * 529 PLAN SUBTOTAL *                                   |                               |                                     | \$150.00             | \$7.50              | \$0.00             | \$7.50            |      | \$3.75               |
| <b><u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u></b> |                               |                                     |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-873I - POTTS, JEAN     | AMERICAN BALANCED FUND-A            | 0.00                 | 4.11                | 0.00               | 4.11              | 50.0 | 2.06                 |
|   | ACCOUNT #: 00074966692        | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-135I - HALL, TRACEY    | AMERICAN FUNDS GROWTH PORT CL C     | 0.00                 | 15.22               | 0.00               | 15.22             | 50.0 | 7.61                 |
|   | ACCOUNT #: 00089455382        | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-02UT - POTTS, JASON    | AMERICAN FUNDS GROWTH PORTFOLIO A   | 0.00                 | 4.15                | 0.00               | 4.15              | 50.0 | 2.08                 |
|   | ACCOUNT #: 00087584548        | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-66UT - POTTS, DEVYN    | AMERICAN FUNDS GROWTH PORTFOLIO A   | 0.00                 | 3.67                | 0.00               | 3.67              | 50.0 | 1.84                 |
|   | ACCOUNT #: 00087597598        | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-873I - POTTS, JEAN     | CAPITAL WORLD GROWTH AND INCOME FUN | 0.00                 | 8.02                | 0.00               | 8.02              | 50.0 | 4.01                 |
|   | ACCOUNT #: 00074966692        | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-222I - SUBER, JEFFREY  | EUROPACIFIC GROWTH FUND-A           | 0.00                 | 0.41                | 0.00               | 0.41              | 50.0 | 0.21                 |
|   | ACCOUNT #: 00087861886        | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-029I - FIELDER, CRAIG  | NEW PERSPECTIVE FUND-A              | 0.00                 | 3.78                | 0.00               | 3.78              | 50.0 | 1.89                 |
|   | ACCOUNT #: 00087211169        | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ***-**-222I - SUBER, JEFFREY  | NEW PERSPECTIVE FUND-A              | 0.00                 | 0.52                | 0.00               | 0.52              | 50.0 | 0.26                 |
|   | ACCOUNT #: 00087861886        | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |



# COMMISSION STATEMENT

March 12, 2018

EDDIE WILLIAMS  
23125 Berg Rd  
Southfield, MI 48033

BROKER #: A25  
BRANCH #01001 - LifeMark Home Office

| DATE   | CLIENT                        | INVESTMENT                          | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|--|-------------------------------|-------------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b>BROKER TRANSACTIONS (continued)</b>                       |                               |                                     |                      |                     |                    |                   |      |                      |
| <b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</b> |                               |                                     |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-873I - POTTS, JEAN     | NEW WORLD FUND-A                    | 0.00                 | 3.91                | 0.00               | 3.91              | 50.0 | 1.96                 |
|  | ACCOUNT #: 00074966692        | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-873I - POTTS, JEAN     | SMALLCAP WORLD FUND-A               | 0.00                 | 6.38                | 0.00               | 6.38              | 50.0 | 3.19                 |
|  | ACCOUNT #: 00074966692        | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-222I - SUBER, JEFFREY  | SMALLCAP WORLD FUND-A               | 0.00                 | 0.59                | 0.00               | 0.59              | 50.0 | 0.30                 |
|  | ACCOUNT #: 00087861886        | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-029I - FIELDER, CRAIG  | THE BOND FUND OF AMERICA-A          | 0.00                 | 1.56                | 0.00               | 1.56              | 50.0 | 0.78                 |
|  | ACCOUNT #: 00087211169        | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-4925 - HARRISON,       | THE GROWTH FUND OF AMERICA-529A     | 0.00                 | 0.31                | 0.00               | 0.31              | 50.0 | 0.16                 |
|  | ACCOUNT #: 04000330815        | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-4925 - HARRISON,       | THE GROWTH FUND OF AMERICA-529A     | 0.00                 | 0.31                | 0.00               | 0.31              | 50.0 | 0.16                 |
|  | ACCOUNT #: 04000330825        | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-4925 - HARRISON,       | THE GROWTH FUND OF AMERICA-529A     | 0.00                 | 0.31                | 0.00               | 0.31              | 50.0 | 0.16                 |
|  | ACCOUNT #: 04000330832        | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-873I - POTTS, JEAN     | THE GROWTH FUND OF AMERICA-A        | 0.00                 | 5.50                | 0.00               | 5.50              | 50.0 | 2.75                 |
|  | ACCOUNT #: 00074966692        | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-222I - SUBER, JEFFREY  | THE GROWTH FUND OF AMERICA-A        | 0.00                 | 0.74                | 0.00               | 0.74              | 50.0 | 0.37                 |
|  | ACCOUNT #: 00087861886        | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-2011 - WILLIAMS, LARRY | THE GROWTH FUND OF AMERICA-A        | 0.00                 | 0.57                | 0.00               | 0.57              | 50.0 | 0.29                 |
|  | ACCOUNT #: 04000491691        | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-251I - POTTS, JOHN     | THE INVESTMENT COMPANY OF AMERICA-A | 0.00                 | 11.99               | 0.00               | 11.99             | 50.0 | 6.00                 |
|  | ACCOUNT #: 00084603939        | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-029I - FIELDER, CRAIG  | THE INVESTMENT COMPANY OF AMERICA-A | 0.00                 | 4.98                | 0.00               | 4.98              | 50.0 | 2.49                 |
|  | ACCOUNT #: 00087211169        | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/01/2018   | ***-**-222I - SUBER, JEFFREY  | THE INVESTMENT COMPANY OF AMERICA-A | 0.00                 | 0.64                | 0.00               | 0.64              | 50.0 | 0.32                 |
|  | ACCOUNT #: 00087861886        | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| <b>* MUTUAL FUND 12B1 TRAILS SUBTOTAL *</b>                  |                               |                                     | <b>\$0.00</b>        | <b>\$77.67</b>      | <b>\$0.00</b>      | <b>\$77.67</b>    |      | <b>\$38.89</b>       |

## PRODUCT CATEGORY: VARIABLE ANNUITY 12B1 TRAILS

|            |                               |                     |      |        |      |        |      |       |
|------------|-------------------------------|---------------------|------|--------|------|--------|------|-------|
| 03/05/2018 | ***-**-12IN - HAIRSTON, CAROL | ING VA 380789701    | 0.00 | 45.16  | 0.00 | 45.16  | 50.0 | 22.58 |
|            | ACCOUNT #: I251528-0W         | BUY 0 Units @0.0000 |      |        |      |        |      |       |
| 03/05/2018 | ***-**-691I - GARY, GWENDOLYN | ING VA 380789883    | 0.00 | 126.26 | 0.00 | 126.26 | 50.0 | 63.13 |
|            | ACCOUNT #: I107902-0X         | BUY 0 Units @0.0000 |      |        |      |        |      |       |



# COMMISSION STATEMENT

March 12, 2018

EDDIE WILLIAMS  
23125 Berg Rd  
Southfield, MI 48033

BROKER #: A25  
BRANCH #01001 - LifeMark Home Office

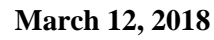
| DATE  | CLIENT  | INVESTMENT                              | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|---|---|---|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b>BROKER TRANSACTIONS (continued)</b>                            |   |   |                      |                     |                    |                   |      |                      |
| <b>PRODUCT CATEGORY: VARIABLE ANNUITY 12B1 TRAILS (continued)</b> |   |   |                      |                     |                    |                   |      |                      |
| 03/09/2018  | ***-**-092I - SINGLETON,<br>ACCOUNT #: I122294-0X | ING VA 380789883<br>BUY 0 Units @0.0000 | 0.00                 | 28.48               | 0.00               | 28.48             | 50.0 | 14.24                |
| * VARIABLE ANNUITY 12B1 TRAILS SUBTOTAL *                         |   |   | \$0.00               | \$199.90            | \$0.00             | \$199.90          |      | \$99.95              |
| *** BROKER TRANSACTIONS TOTAL ***                                 |   |   | \$350.00             | \$295.07            | \$0.00             | \$295.07          |      | \$147.59             |

## BROKER COMMISSION TOTALS

|                       |          |
|-----------------------|----------|
| Broker Transactions   | \$147.59 |
| Split Transactions    | \$0.00   |
| Override Transactions | \$0.00   |
| Adjustments           | \$0.00   |
| Payroll Draw          | \$0.00   |
| Base Salary           | \$0.00   |
| Prior Period Balance  | \$0.00   |
| FINRA Assessment      | \$0.00   |
| SIPC Assessment       | \$0.00   |

Please Retain for Your Records  
THERE WILL BE NO PAYMENT THIS PERIOD

|                              |               |
|------------------------------|---------------|
| <b>Balance Forward</b>       | <b>\$0.00</b> |
| <b>Year-to-date Earnings</b> | <b>\$0.00</b> |



BROKER #: A39      Terminated 12/31/2014  
BRANCH #01001 - LifeMark Home Office

| DATE   | CLIENT | INVESTMENT | INVESTMENT<br>AMOUNT            | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION  | RATE   | BROKER<br>COMMISSION |
|--|--------|------------|---------------------------------|---------------------|--------------------|--|--------|----------------------|
| <div>ADJUSTMENTS</div>   |        |            |                                 |                     |                    |  |        |                      |
| /  | /      |            | PRIOR PERIOD BALANCE(SEE BELOW) | 0.00                | 0.00               | 0.00   | 0.00   | 0.00                 |
|  |        |            | *** ADJUSTMENTS TOTAL ***       | \$0.00              | \$0.00             | \$0.00   | \$0.00 | \$0.00               |
|  |        |            |                                 |                     |                    | <div>BROKER COMMISSION TOTALS</div>                              |        |                      |
|  |        |            |                                 |                     |                    | Broker Transactions  |        | \$0.00               |
|  |        |            |                                 |                     |                    | Split Transactions   |        | \$0.00               |
|  |        |            |                                 |                     |                    | Override Transactions  |        | \$0.00               |
|  |        |            |                                 |                     |                    | Adjustments  |        | \$0.00               |
|  |        |            |                                 |                     |                    | Payroll Draw   |        | \$0.00               |
|  |        |            |                                 |                     |                    | Base Salary  |        | \$0.00               |
|  |        |            |                                 |                     |                    | Prior Period Balance   |        | \$0.00               |
|  |        |            |                                 |                     |                    | FINRA Assessment   |        | \$0.00               |
|  |        |            |                                 |                     |                    | SIPC Assessment  |        | \$0.00               |
| Please Retain for Your Records<br>THERE WILL BE NO PAYMENT THIS PERIOD |        |            |                                 |                     |                    | <div>Balance Forward\$0.00<br/>Year-to-date Earnings\$0.00</div> |        |                      |