



Concorde Investment Services, LLC
COMMISSION STATEMENT
March 15, 2018

03/13/2018
Page No. 1

JOHN, R119 ROSS
7261 W. Central Ave.

BROKER #: R119
BRANCH: INTEGRATED FINANCIAL

Toledo, OH 43617

| DATE | CLIENT | INVESTMENT | INVESTMENT AMOUNT | GROSS COMMISSION | CLEARING CHARGE | NET COMMISSION | RATE | BROKER COMMISSION |
|--|-------------------|-------------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <u>CLEARING TRANSACTIONS</u> | | | | | | | | |
| <u>PRODUCT CATEGORY: STOCKS</u> | | | | | | | | |
| 02/28/2018 | ROSS, JOHN | LUNDIN GOLD INC COM ISIN#CA55037110 | -385.67 | 0.00 | 22.50 | -22.50 | 92.0 | -20.70 |
| * STOCKS SUBTOTAL * | | | \$-385.67 | \$0.00 | \$22.50 | \$-22.50 | | \$-20.70 |
| *** CLEARING TRANSACTIONS TOTAL *** | | | \$-385.67 | \$0.00 | \$22.50 | \$-22.50 | | \$-20.70 |
| <u>DIRECT TRANSACTIONS</u> | | | | | | | | |
| <u>PRODUCT CATEGORY: INTERVAL FUNDS</u> | | | | | | | | |
| 01/31/2018 | LONG, PAUL | GRIFFIN INST'L ACCESS R E FUND C | 5,527.42 | 1.17 | 0.00 | 1.17 | 92.0 | 1.08 |
| 01/31/2018 | ROSS, VARIOUS | GRIFFIN INST'L ACCESS R E FUND C | 4,504.02 | 3.83 | 0.00 | 3.83 | 92.0 | 3.52 |
| * INTERVAL FUNDS SUBTOTAL * | | | \$10,031.44 | \$5.00 | \$0.00 | \$5.00 | | \$4.60 |
| <u>PRODUCT CATEGORY: 529 PLANS</u> | | | | | | | | |
| 03/01/2018 | HUNTER, DEBORAH | AM FUNDS AMERICAN MUTUAL 529A | 50.00 | 2.13 | 0.00 | 2.13 | 92.0 | 1.96 |
| 03/01/2018 | HUNTER, DEBORAH | AM FUNDS CAPITAL WORLD GRTH & INC 5 | 50.00 | 2.13 | 0.00 | 2.13 | 92.0 | 1.96 |
| * 529 PLANS SUBTOTAL * | | | \$100.00 | \$4.26 | \$0.00 | \$4.26 | | \$3.92 |
| <u>PRODUCT CATEGORY: MUTUAL FUNDS</u> | | | | | | | | |
| 02/28/2018 | LOVETTE, BRIAN | AM FUNDS 2050 TARGET DATE-A | 200.00 | 7.50 | 0.00 | 7.50 | 92.0 | 6.90 |
| 03/01/2018 | GOYER, CALLIE | AM FUNDS AMCAP A | 10.00 | 0.38 | 0.00 | 0.38 | 92.0 | 0.35 |
| 02/28/2018 | MARTIN, RACHEL | AM FUNDS AMERICAN BALANCED A | 105.00 | 3.94 | 0.00 | 3.94 | 92.0 | 3.62 |
| 03/01/2018 | KRAUS, JENNIFER | AM FUNDS AMERICAN HIGH-INCOME TRUST | 150.00 | 4.50 | 0.00 | 4.50 | 92.0 | 4.14 |
| 03/01/2018 | BRILLHART, SHARON | AM FUNDS BOND FUND OF AMERICA A | 3,000.00 | 90.00 | 0.00 | 90.00 | 92.0 | 82.80 |
| 03/02/2018 | RILEY, PATRICK | AM FUNDS BOND FUND OF AMERICA A | 2,619.31 | 41.91 | 0.00 | 41.91 | 92.0 | 38.56 |
| 03/01/2018 | GOYER, CALLIE | AM FUNDS CAPITAL WORLD GRTH & INC A | 10.00 | 0.38 | 0.00 | 0.38 | 92.0 | 0.35 |
| 02/27/2018 | KANOUS, MARK | AM FUNDS EUROPACIFIC GROWTH FUND A | 382.42 | 19.12 | 0.00 | 19.12 | 92.0 | 17.59 |
| 03/01/2018 | GOYER, CALLIE | AM FUNDS EUROPACIFIC GROWTH FUND A | 10.00 | 0.38 | 0.00 | 0.38 | 92.0 | 0.35 |
| 02/28/2018 | MARTIN, RACHEL | AM FUNDS FUNDAMENTAL INVESTORS A | 105.00 | 3.94 | 0.00 | 3.94 | 92.0 | 3.62 |

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

| DATE | CLIENT | INVESTMENT | INVESTMENT AMOUNT | GROSS COMMISSION | CLEARING CHARGE | NET COMMISSION | RATE | BROKER COMMISSION |
|--|----------------------|-------------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <u>DIRECT TRANSACTIONS</u> | | | | | | | | |
| <u>PRODUCT CATEGORY: MUTUAL FUNDS</u> | | | | | | | | |
| 03/01/2018 | GOYER, CALLIE | AM FUNDS FUNDAMENTAL INVESTORS A | 10.00 | 0.38 | 0.00 | 0.38 | 92.0 | 0.35 |
| 02/28/2018 | MARTIN, RACHEL | AM FUNDS INCOME FUND OF AMERICA A | 105.00 | 3.94 | 0.00 | 3.94 | 92.0 | 3.62 |
| 03/02/2018 | HAUSER, ROBERT | AM FUNDS INCOME FUND OF AMERICA A | 6,213.42 | 99.41 | 0.00 | 99.41 | 92.0 | 91.46 |
| 03/02/2018 | HAUSER, RONALD | AM FUNDS INCOME FUND OF AMERICA A | 9,435.91 | 150.97 | 0.00 | 150.97 | 92.0 | 138.89 |
| 03/02/2018 | STUBLESKI, DANIEL | AM FUNDS INCOME FUND OF AMERICA A | 4,103.05 | 65.65 | 0.00 | 65.65 | 92.0 | 60.40 |
| 03/02/2018 | TARRIS, CHRISTINE | AM FUNDS INCOME FUND OF AMERICA A | 3,400.71 | 54.41 | 0.00 | 54.41 | 92.0 | 50.06 |
| 03/02/2018 | FERRARI, MARK | AM FUNDS INCOME FUND OF AMERICA A | 4,695.32 | 75.13 | 0.00 | 75.13 | 92.0 | 69.12 |
| 03/02/2018 | BROWN, WESLEY | AM FUNDS INCOME FUND OF AMERICA A | 2,940.35 | 47.05 | 0.00 | 47.05 | 92.0 | 43.29 |
| 03/02/2018 | MCFARLAND, BRANDON | AM FUNDS INCOME FUND OF AMERICA A | 2,954.64 | 47.27 | 0.00 | 47.27 | 92.0 | 43.49 |
| 03/01/2018 | GOYER, CALLIE | AM FUNDS NEW ECONOMY A | 10.00 | 0.38 | 0.00 | 0.38 | 92.0 | 0.35 |
| 03/01/2018 | GOYER, CALLIE | AM FUNDS NEW WORLD A | 10.00 | 0.38 | 0.00 | 0.38 | 92.0 | 0.35 |
| 02/28/2018 | HILKENS, CHRISTOPHER | AM FUNDS SHORT TERM BND FUND OF AM | 65.00 | 1.30 | 0.00 | 1.30 | 92.0 | 1.20 |
| 02/28/2018 | JOLDRICHSEN, JUSTIN | AM FUNDS SHORT TERM BND FUND OF AM | 250.00 | 5.00 | 0.00 | 5.00 | 92.0 | 4.60 |
| 02/28/2018 | MARTIN, RACHEL | AM FUNDS SMALLCAP WORLD A | 35.00 | 1.31 | 0.00 | 1.31 | 92.0 | 1.21 |
| 03/01/2018 | GOYER, CALLIE | AM FUNDS SMALLCAP WORLD A | 10.00 | 0.38 | 0.00 | 0.38 | 92.0 | 0.35 |
| 02/26/2018 | VALADE, JOHN | AM FUNDS TAX-EXEMPT BOND FUND OF AM | 1,000.00 | 27.50 | 0.00 | 27.50 | 92.0 | 25.30 |
| 03/02/2018 | TARRIS, CHRISTINE | AM FUNDS TAX-EXEMPT BOND FUND OF AM | 3,400.71 | 54.41 | 0.00 | 54.41 | 92.0 | 50.06 |
| 03/01/2018 | GOYER, CALLIE | AM FUNDS WASHINGTON MUTUAL INVESTOR | 10.00 | 0.38 | 0.00 | 0.38 | 92.0 | 0.35 |
| 02/26/2018 | PLAN | PUTNAM MULTI CAP GROWTH A | 25.00 | 1.25 | 0.00 | 1.25 | 92.0 | 1.15 |
| 02/26/2018 | PLAN | PUTNAM MULTI CAP GROWTH A | 25.00 | 1.25 | 0.00 | 1.25 | 92.0 | 1.15 |
| * MUTUAL FUNDS SUBTOTAL * | | | \$45,290.84 | \$809.80 | \$0.00 | \$809.80 | | \$745.03 |

PRODUCT CATEGORY: VARIABLE ANNUITIES

| | | | | | | | | |
|------------|------------------|--------------------------|------------|--------|------|--------|------|--------|
| 02/28/2018 | IRWIN, JOHN | JNL ELITE ACCESS | 159,021.85 | 33.13 | 0.00 | 33.13 | 92.0 | 30.48 |
| 02/28/2018 | DEMKO, VERNA | JNL PERSPECTIVE | 50,206.34 | 10.46 | 0.00 | 10.46 | 92.0 | 9.62 |
| 02/28/2018 | LONG, PAUL | JNL PERSPECTIVE II 05/05 | 3,417.56 | 1.42 | 0.00 | 1.42 | 92.0 | 1.31 |
| 02/28/2018 | LONG, LORI | JNL PERSPECTIVE L | 14,864.78 | 12.39 | 0.00 | 12.39 | 92.0 | 11.40 |
| 02/28/2018 | BENSCH, ARLYN | JNL PERSPECTIVE L | 34,407.78 | 28.67 | 0.00 | 28.67 | 92.0 | 26.38 |
| 02/28/2018 | BENSCH, CANDACE | JNL PERSPECTIVE L | 29,282.16 | 24.40 | 0.00 | 24.40 | 92.0 | 22.45 |
| 02/28/2018 | KRALL, JERRY | JOHN HANCOCK VENTURE III | 42,052.04 | 35.04 | 0.00 | 35.04 | 92.0 | 32.24 |
| 02/28/2018 | KEEFE, GERALD | JOHN HANCOCK VENTURE III | 13,558.47 | 11.30 | 0.00 | 11.30 | 92.0 | 10.40 |
| 02/28/2018 | HEINAMAN, ROBERT | JOHN HANCOCK VENTURE III | 111,771.51 | 93.14 | 0.00 | 93.14 | 92.0 | 85.69 |
| 02/28/2018 | KRAUS, JUDITH | JOHN HANCOCK VENTURE III | 35,732.13 | 29.78 | 0.00 | 29.78 | 92.0 | 27.40 |
| 02/28/2018 | GARDNER, WM | JOHN HANCOCK VENTURE III | 131,472.91 | 109.56 | 0.00 | 109.56 | 92.0 | 100.80 |

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|--|---------------------|--------------------------|-----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <u>DIRECT TRANSACTIONS</u> | | | | | | | | |
| <u>PRODUCT CATEGORY: VARIABLE ANNUITIES</u> | | | | | | | | |
| 02/28/2018 | SILLIMAN, GRACE | JOHN HANCOCK VENTURE III | 68,880.06 | 57.40 | 0.00 | 57.40 | 92.0 | 52.81 |
| 02/28/2018 | CURSON, BEVERLY | JOHN HANCOCK VENTURE III | 57,118.98 | 47.60 | 0.00 | 47.60 | 92.0 | 43.79 |
| 02/28/2018 | JANICKI, KATHERINE | JOHN HANCOCK VENTURE III | 96,329.18 | 80.27 | 0.00 | 80.27 | 92.0 | 73.85 |
| 02/28/2018 | MOORE, GARY | JOHN HANCOCK VENTURE III | 87,693.16 | 73.08 | 0.00 | 73.08 | 92.0 | 67.23 |
| 02/28/2018 | IRWIN, JOHN | JOHN HANCOCK VENTURE III | 72,150.44 | 60.13 | 0.00 | 60.13 | 92.0 | 55.32 |
| 02/28/2018 | WAGONER JR, JOHN | JOHN HANCOCK VENTURE III | 59,641.71 | 49.70 | 0.00 | 49.70 | 92.0 | 45.72 |
| 02/28/2018 | WOODRUFF, STEPHANIE | JOHN HANCOCK VENTURE III | 59,161.78 | 49.30 | 0.00 | 49.30 | 92.0 | 45.36 |
| 02/23/2018 | CARVER, DENISE | MML ARTISTRY | 50.00 | 2.75 | 0.00 | 2.75 | 92.0 | 2.53 |
| 02/23/2018 | SHOEMAKER, DENNIS | MML ARTISTRY | 25.00 | 1.38 | 0.00 | 1.38 | 92.0 | 1.27 |
| 03/09/2018 | CARVER, DENISE | MML ARTISTRY | 50.00 | 2.75 | 0.00 | 2.75 | 92.0 | 2.53 |
| 03/09/2018 | SHOEMAKER, DENNIS | MML ARTISTRY | 25.00 | 1.38 | 0.00 | 1.38 | 92.0 | 1.27 |
| 02/14/2018 | CUMMINGS, BARBARA | TRANSAMERICA LIBERTY | 149,354.84 | 124.46 | 0.00 | 124.46 | 92.0 | 114.50 |
| 02/20/2018 | DOUGHERTY, RICO | TRANSAMERICA LIBERTY | 111,355.39 | 92.80 | 0.00 | 92.80 | 92.0 | 85.38 |
| 02/21/2018 | DEMKO, VERNA | TRANSAMERICA LIBERTY | 86,311.68 | 71.93 | 0.00 | 71.93 | 92.0 | 66.18 |
| 02/22/2018 | HOLLOWAY, LINDA | TRANSAMERICA LIBERTY | 195,687.13 | 163.07 | 0.00 | 163.07 | 92.0 | 150.02 |
| 02/27/2018 | ROSS, SUSAN | TRANSAMERICA LIBERTY | 4,598.60 | 3.83 | 0.00 | 3.83 | 92.0 | 3.52 |
| 02/28/2018 | DULINSKY, SHERRY | TRANSAMERICA LIBERTY | 28,486.91 | 23.74 | 0.00 | 23.74 | 92.0 | 21.84 |
| * VARIABLE ANNUITIES SUBTOTAL * | | | \$1,702,707.39 | \$1,294.86 | \$0.00 | \$1,294.86 | | \$1,191.29 |

PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS

| | | | | | | | | |
|------------|-----------------------|-------------------------------------|------|-------|------|-------|------|-------|
| 03/01/2018 | ZUCCARELL, MATTHEW | 529 AMCAP FUND CLASS A | 0.00 | 0.54 | 0.00 | 0.54 | 92.0 | 0.50 |
| 03/01/2018 | ROSS, MICHELLE L HUDS | 529 AMCAP FUND CLASS A | 0.00 | 2.17 | 0.00 | 2.17 | 92.0 | 2.00 |
| 03/01/2018 | ZUCCARELL, MATTHEW | 529 AMCAP FUND CLASS A | 0.00 | 0.49 | 0.00 | 0.49 | 92.0 | 0.45 |
| 03/01/2018 | ECKHARDT, MELISSA | 529 AMCAP FUND CLASS A | 0.00 | 3.20 | 0.00 | 3.20 | 92.0 | 2.94 |
| 03/01/2018 | ECKHARDT, MELISSA | 529 AMCAP FUND CLASS A | 0.00 | 3.20 | 0.00 | 3.20 | 92.0 | 2.94 |
| 03/01/2018 | SHELNICK, CATHERINE | AF CONSERVATIVE GROWTH AND INCOME-5 | 0.00 | 21.62 | 0.00 | 21.62 | 92.0 | 19.89 |
| 03/01/2018 | SHELNICK, CATHERINE | AF CONSERVATIVE GROWTH AND INCOME-5 | 0.00 | 12.13 | 0.00 | 12.13 | 92.0 | 11.16 |
| 03/01/2018 | ROSS, MICHELLE L HUDS | AF CONSERVATIVE GROWTH AND INCOME-5 | 0.00 | 4.42 | 0.00 | 4.42 | 92.0 | 4.07 |
| 03/01/2018 | ROSS, MICHELLE L HUDS | AF CONSERVATIVE GROWTH AND INCOME-5 | 0.00 | 1.90 | 0.00 | 1.90 | 92.0 | 1.75 |
| 03/01/2018 | ROSS, MICHELLE L HUDS | AF MODERATE GROWTH AND INCOME-529A | 0.00 | 3.48 | 0.00 | 3.48 | 92.0 | 3.20 |
| 03/01/2018 | ROSS, MICHELLE L HUDS | AF MODERATE GROWTH AND INCOME-529A | 0.00 | 1.50 | 0.00 | 1.50 | 92.0 | 1.38 |
| 03/01/2018 | MOLNAR, COURTNEY | AF MODERATE GROWTH AND INCOME-529A | 0.00 | 0.84 | 0.00 | 0.84 | 92.0 | 0.77 |
| 03/01/2018 | KIEFER, SUSAN | AM FUNDS 2010 TARGET DATE-A | 0.00 | 6.18 | 0.00 | 6.18 | 92.0 | 5.69 |
| 03/01/2018 | TROUT, TINA | AM FUNDS 2020 TARGET DATE-A | 0.00 | 7.76 | 0.00 | 7.76 | 92.0 | 7.14 |

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|---|-----------------------|-----------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <u>DIRECT TRANSACTIONS</u> | | | | | | | | |
| <u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u> | | | | | | | | |
| 03/01/2018 | MAWHORTER, TIMOTHY | AM FUNDS 2045 TARGET DATE-A | 0.00 | 10.03 | 0.00 | 10.03 | 92.0 | 9.23 |
| 03/01/2018 | LOVETTE, BRIAN | AM FUNDS 2050 TARGET DATE-A | 0.00 | 0.05 | 0.00 | 0.05 | 92.0 | 0.05 |
| 03/01/2018 | KIEFER, SUSAN | AM FUNDS 2055 TARGET DATE-A | 0.00 | 2.57 | 0.00 | 2.57 | 92.0 | 2.36 |
| 03/01/2018 | BLAKE, MIRIAM | AM FUNDS AMCAP A | 0.00 | 2.77 | 0.00 | 2.77 | 92.0 | 2.55 |
| 03/01/2018 | BRUMMETT, DOUGLAS | AM FUNDS AMCAP A | 0.00 | 0.51 | 0.00 | 0.51 | 92.0 | 0.47 |
| 03/01/2018 | HEINAMAN, ROBERT | AM FUNDS AMCAP A | 0.00 | 15.89 | 0.00 | 15.89 | 92.0 | 14.62 |
| 03/01/2018 | SANDERSON, CATHY | AM FUNDS AMCAP A | 0.00 | 1.64 | 0.00 | 1.64 | 92.0 | 1.51 |
| 03/01/2018 | SANDERSON, CATHY | AM FUNDS AMCAP A | 0.00 | 1.27 | 0.00 | 1.27 | 92.0 | 1.17 |
| 03/01/2018 | ROSS, SALLY | AM FUNDS AMCAP A | 0.00 | 1.79 | 0.00 | 1.79 | 92.0 | 1.65 |
| 03/01/2018 | KRALL, GARY | AM FUNDS AMCAP A | 0.00 | 1.17 | 0.00 | 1.17 | 92.0 | 1.08 |
| 03/01/2018 | SUTHERLAND, BARBARA | AM FUNDS AMCAP A | 0.00 | 2.00 | 0.00 | 2.00 | 92.0 | 1.84 |
| 03/01/2018 | RONEY, LINDA | AM FUNDS AMCAP A | 0.00 | 28.43 | 0.00 | 28.43 | 92.0 | 26.16 |
| 03/01/2018 | ZUCCARELL, MATTHEW | AM FUNDS AMCAP A | 0.00 | 4.27 | 0.00 | 4.27 | 92.0 | 3.93 |
| 03/01/2018 | DAY, CHERYL | AM FUNDS AMCAP A | 0.00 | 0.51 | 0.00 | 0.51 | 92.0 | 0.47 |
| 03/01/2018 | SUTHERLAND, JOHN | AM FUNDS AMCAP A | 0.00 | 1.02 | 0.00 | 1.02 | 92.0 | 0.94 |
| 03/01/2018 | ROSS, MICHELLE L HUDS | AM FUNDS AMCAP A | 0.00 | 1.77 | 0.00 | 1.77 | 92.0 | 1.63 |
| 03/01/2018 | GOYER, TIMOTHY | AM FUNDS AMCAP A | 0.00 | 2.13 | 0.00 | 2.13 | 92.0 | 1.96 |
| 03/01/2018 | SMOOT, C STEVEN | AM FUNDS AMCAP A | 0.00 | 21.71 | 0.00 | 21.71 | 92.0 | 19.97 |
| 03/01/2018 | BRAITHWAITE, WILLIAM | AM FUNDS AMCAP A | 0.00 | 0.71 | 0.00 | 0.71 | 92.0 | 0.65 |
| 03/01/2018 | MURPHY, JACK | AM FUNDS AMCAP A | 0.00 | 2.52 | 0.00 | 2.52 | 92.0 | 2.32 |
| 03/01/2018 | GLORE, DANIEL | AM FUNDS AMCAP A | 0.00 | 1.12 | 0.00 | 1.12 | 92.0 | 1.03 |
| 03/01/2018 | MURPHY, CAROL | AM FUNDS AMCAP A | 0.00 | 4.67 | 0.00 | 4.67 | 92.0 | 4.30 |
| 03/01/2018 | SHAFFER, DENISE | AM FUNDS AMCAP A | 0.00 | 3.78 | 0.00 | 3.78 | 92.0 | 3.48 |
| 03/01/2018 | ISAACSON, ROBERT | AM FUNDS AMCAP A | 0.00 | 2.45 | 0.00 | 2.45 | 92.0 | 2.25 |
| 03/01/2018 | IRWIN, JOHN | AM FUNDS AMCAP A | 0.00 | 20.77 | 0.00 | 20.77 | 92.0 | 19.11 |
| 03/01/2018 | DECKER, MARY BETH | AM FUNDS AMCAP A | 0.00 | 0.62 | 0.00 | 0.62 | 92.0 | 0.57 |
| 03/01/2018 | HAUSER, ROBERT | AM FUNDS AMCAP A | 0.00 | 11.73 | 0.00 | 11.73 | 92.0 | 10.79 |
| 03/01/2018 | HAUSER, RONALD | AM FUNDS AMCAP A | 0.00 | 4.87 | 0.00 | 4.87 | 92.0 | 4.48 |
| 03/01/2018 | TARRIS, CHRISTINE | AM FUNDS AMCAP A | 0.00 | 2.16 | 0.00 | 2.16 | 92.0 | 1.99 |
| 03/01/2018 | SUTHERLAND, JOHN | AM FUNDS AMCAP A | 0.00 | 2.72 | 0.00 | 2.72 | 92.0 | 2.50 |
| 03/01/2018 | MOLNAR, JOSEPH | AM FUNDS AMCAP A | 0.00 | 1.52 | 0.00 | 1.52 | 92.0 | 1.40 |
| 03/01/2018 | ROSS, DANIEL | AM FUNDS AMCAP A | 0.00 | 1.50 | 0.00 | 1.50 | 92.0 | 1.38 |
| 03/01/2018 | FAIRCHILD, DANA | AM FUNDS AMCAP A | 0.00 | 5.47 | 0.00 | 5.47 | 92.0 | 5.03 |

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|---|-----------------------|---------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <u>DIRECT TRANSACTIONS</u> | | | | | | | | |
| <u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u> | | | | | | | | |
| 03/01/2018 | HELMINIAK, CAROLYN | AM FUNDS AMCAP A | 0.00 | 1.47 | 0.00 | 1.47 | 92.0 | 1.35 |
| 03/01/2018 | CURSON, STEVE | AM FUNDS AMCAP A | 0.00 | 1.82 | 0.00 | 1.82 | 92.0 | 1.67 |
| 03/01/2018 | LECHUGA, CARRIE | AM FUNDS AMCAP A | 0.00 | 0.62 | 0.00 | 0.62 | 92.0 | 0.57 |
| 03/01/2018 | KISER, ELIZABETH | AM FUNDS AMCAP A | 0.00 | 1.58 | 0.00 | 1.58 | 92.0 | 1.45 |
| 03/01/2018 | KISER, EDWARD | AM FUNDS AMCAP A | 0.00 | 1.58 | 0.00 | 1.58 | 92.0 | 1.45 |
| 03/01/2018 | OBERT, DEBORA | AM FUNDS AMCAP A | 0.00 | 1.22 | 0.00 | 1.22 | 92.0 | 1.12 |
| 03/01/2018 | FLEMING, ANDREA | AM FUNDS AMCAP A | 0.00 | 7.36 | 0.00 | 7.36 | 92.0 | 6.77 |
| 03/01/2018 | IRWIN, JOHN | AM FUNDS AMCAP A | 0.00 | 1.18 | 0.00 | 1.18 | 92.0 | 1.09 |
| 03/01/2018 | HILES, MARC | AM FUNDS AMCAP A | 0.00 | 3.45 | 0.00 | 3.45 | 92.0 | 3.17 |
| 03/01/2018 | SMITH, SUZANNE | AM FUNDS AMCAP A | 0.00 | 7.77 | 0.00 | 7.77 | 92.0 | 7.15 |
| 03/01/2018 | DUBENDORFER, SUSAN | AM FUNDS AMCAP A | 0.00 | 1.03 | 0.00 | 1.03 | 92.0 | 0.95 |
| 03/01/2018 | KOZLOWSKI, KATHLEEN | AM FUNDS AMCAP A | 0.00 | 1.55 | 0.00 | 1.55 | 92.0 | 1.43 |
| 03/01/2018 | GOYER, CALLIE | AM FUNDS AMCAP A | 0.00 | 3.81 | 0.00 | 3.81 | 92.0 | 3.51 |
| 03/01/2018 | SMITH, MARK | AM FUNDS AMCAP A | 0.00 | 0.79 | 0.00 | 0.79 | 92.0 | 0.73 |
| 03/01/2018 | SMITH, PADRAIC | AM FUNDS AMCAP A | 0.00 | 3.14 | 0.00 | 3.14 | 92.0 | 2.89 |
| 03/01/2018 | HALSEY, WILLIAM D | AM FUNDS AMCAP A | 0.00 | 7.47 | 0.00 | 7.47 | 92.0 | 6.87 |
| 03/01/2018 | WAGONER JR, JOHN | AM FUNDS AMCAP A | 0.00 | 0.83 | 0.00 | 0.83 | 92.0 | 0.76 |
| 03/01/2018 | WAGONER JR, JOHN | AM FUNDS AMCAP A | 0.00 | 0.22 | 0.00 | 0.22 | 92.0 | 0.20 |
| 03/01/2018 | GERMAN, MARIANNE | AM FUNDS AMCAP A | 0.00 | 2.32 | 0.00 | 2.32 | 92.0 | 2.13 |
| 03/01/2018 | GODFREY, TIMOTHY | AM FUNDS AMCAP A | 0.00 | 0.81 | 0.00 | 0.81 | 92.0 | 0.75 |
| 03/01/2018 | ZINK, ROBERT | AM FUNDS AMCAP A | 0.00 | 5.07 | 0.00 | 5.07 | 92.0 | 4.66 |
| 03/01/2018 | LARSON, PENNY | AM FUNDS AMCAP A | 0.00 | 1.14 | 0.00 | 1.14 | 92.0 | 1.05 |
| 03/01/2018 | GOYER, GRACE | AM FUNDS AMCAP A | 0.00 | 0.25 | 0.00 | 0.25 | 92.0 | 0.23 |
| 03/01/2018 | DRAKE, ERIC | AM FUNDS AMCAP A | 0.00 | 0.61 | 0.00 | 0.61 | 92.0 | 0.56 |
| 03/01/2018 | GROSVENOR, JOHN | AM FUNDS AMCAP A | 0.00 | 0.83 | 0.00 | 0.83 | 92.0 | 0.76 |
| 03/01/2018 | MOON, CHARLES | AM FUNDS AMCAP A | 0.00 | 1.65 | 0.00 | 1.65 | 92.0 | 1.52 |
| 03/01/2018 | COLEMAN, PARISS | AM FUNDS AMCAP A | 0.00 | 3.40 | 0.00 | 3.40 | 92.0 | 3.13 |
| 03/01/2018 | COLEMAN, LINDA | AM FUNDS AMERICAN BALANCED 529A | 0.00 | 1.37 | 0.00 | 1.37 | 92.0 | 1.26 |
| 03/01/2018 | ROSS, MICHELLE L HUDS | AM FUNDS AMERICAN BALANCED 529A | 0.00 | 3.69 | 0.00 | 3.69 | 92.0 | 3.39 |
| 03/01/2018 | DREIER, DAVID | AM FUNDS AMERICAN BALANCED A | 0.00 | 1.42 | 0.00 | 1.42 | 92.0 | 1.31 |
| 03/01/2018 | BRUMMETT, DOUGLAS | AM FUNDS AMERICAN BALANCED A | 0.00 | 1.14 | 0.00 | 1.14 | 92.0 | 1.05 |
| 03/01/2018 | HEINAMAN, ROBERT | AM FUNDS AMERICAN BALANCED A | 0.00 | 34.37 | 0.00 | 34.37 | 92.0 | 31.62 |
| 03/01/2018 | SANDERSON, CATHY | AM FUNDS AMERICAN BALANCED A | 0.00 | 3.16 | 0.00 | 3.16 | 92.0 | 2.91 |

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

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

| DATE | CLIENT | INVESTMENT | INVESTMENT AMOUNT | GROSS COMMISSION | CLEARING CHARGE | NET COMMISSION | RATE | BROKER COMMISSION |
|---|-----------------------|------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <u>DIRECT TRANSACTIONS</u> | | | | | | | | |
| <u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u> | | | | | | | | |
| 03/01/2018 | SANDERSON, CATHY | AM FUNDS AMERICAN BALANCED A | 0.00 | 1.12 | 0.00 | 1.12 | 92.0 | 1.03 |
| 03/01/2018 | MILLER, MICHAEL | AM FUNDS AMERICAN BALANCED A | 0.00 | 1.46 | 0.00 | 1.46 | 92.0 | 1.34 |
| 03/01/2018 | SWINDLE, CYNTHIA | AM FUNDS AMERICAN BALANCED A | 0.00 | 0.70 | 0.00 | 0.70 | 92.0 | 0.64 |
| 03/01/2018 | SWINDLE, DARRYL | AM FUNDS AMERICAN BALANCED A | 0.00 | 0.83 | 0.00 | 0.83 | 92.0 | 0.76 |
| 03/01/2018 | DECKER, MARY BETH | AM FUNDS AMERICAN BALANCED A | 0.00 | 0.52 | 0.00 | 0.52 | 92.0 | 0.48 |
| 03/01/2018 | KRALL, GARY | AM FUNDS AMERICAN BALANCED A | 0.00 | 2.78 | 0.00 | 2.78 | 92.0 | 2.56 |
| 03/01/2018 | RONEY, LINDA | AM FUNDS AMERICAN BALANCED A | 0.00 | 3.46 | 0.00 | 3.46 | 92.0 | 3.18 |
| 03/01/2018 | ZUCCARELL, HEATHER | AM FUNDS AMERICAN BALANCED A | 0.00 | 0.99 | 0.00 | 0.99 | 92.0 | 0.91 |
| 03/01/2018 | SANDERSON, CATHY | AM FUNDS AMERICAN BALANCED A | 0.00 | 1.01 | 0.00 | 1.01 | 92.0 | 0.93 |
| 03/01/2018 | WOODRUFF, AUSTIN | AM FUNDS AMERICAN BALANCED A | 0.00 | 2.12 | 0.00 | 2.12 | 92.0 | 1.95 |
| 03/01/2018 | ROSS, MICHELLE L HUDS | AM FUNDS AMERICAN BALANCED A | 0.00 | 2.58 | 0.00 | 2.58 | 92.0 | 2.37 |
| 03/01/2018 | MOORE, LINDA | AM FUNDS AMERICAN BALANCED A | 0.00 | 6.69 | 0.00 | 6.69 | 92.0 | 6.15 |
| 03/01/2018 | ROSS, MICHAEL C HUDSO | AM FUNDS AMERICAN BALANCED A | 0.00 | 1.95 | 0.00 | 1.95 | 92.0 | 1.79 |
| 03/01/2018 | SWINDLE, DARRYL | AM FUNDS AMERICAN BALANCED A | 0.00 | 0.77 | 0.00 | 0.77 | 92.0 | 0.71 |
| 03/01/2018 | MARKJA, BERNADINE | AM FUNDS AMERICAN BALANCED A | 0.00 | 2.58 | 0.00 | 2.58 | 92.0 | 2.37 |
| 03/01/2018 | SANDVIG TRUST, ANNE | AM FUNDS AMERICAN BALANCED A | 0.00 | 3.06 | 0.00 | 3.06 | 92.0 | 2.82 |
| 03/01/2018 | BRILLHART, RYAN | AM FUNDS AMERICAN BALANCED A | 0.00 | 2.06 | 0.00 | 2.06 | 92.0 | 1.90 |
| 03/01/2018 | MURPHY, JACK | AM FUNDS AMERICAN BALANCED A | 0.00 | 2.33 | 0.00 | 2.33 | 92.0 | 2.14 |
| 03/01/2018 | HUDAK, NICHOLAS | AM FUNDS AMERICAN BALANCED A | 0.00 | 0.81 | 0.00 | 0.81 | 92.0 | 0.75 |
| 03/01/2018 | HUDAK, STASIA | AM FUNDS AMERICAN BALANCED A | 0.00 | 1.21 | 0.00 | 1.21 | 92.0 | 1.11 |
| 03/01/2018 | MURPHY, CAROL | AM FUNDS AMERICAN BALANCED A | 0.00 | 2.80 | 0.00 | 2.80 | 92.0 | 2.58 |
| 03/01/2018 | SHAFFER, DENISE | AM FUNDS AMERICAN BALANCED A | 0.00 | 3.78 | 0.00 | 3.78 | 92.0 | 3.48 |
| 03/01/2018 | WASSERMAN, JULIE | AM FUNDS AMERICAN BALANCED A | 0.00 | 1.44 | 0.00 | 1.44 | 92.0 | 1.32 |
| 03/01/2018 | IRWIN, JOHN | AM FUNDS AMERICAN BALANCED A | 0.00 | 24.79 | 0.00 | 24.79 | 92.0 | 22.81 |
| 03/01/2018 | DECKER, MARY BETH | AM FUNDS AMERICAN BALANCED A | 0.00 | 1.22 | 0.00 | 1.22 | 92.0 | 1.12 |
| 03/01/2018 | HAUSER, ROBERT | AM FUNDS AMERICAN BALANCED A | 0.00 | 20.25 | 0.00 | 20.25 | 92.0 | 18.63 |
| 03/01/2018 | TARRIS, CHRISTINE | AM FUNDS AMERICAN BALANCED A | 0.00 | 2.75 | 0.00 | 2.75 | 92.0 | 2.53 |
| 03/01/2018 | SILLIMAN, JEFFREY | AM FUNDS AMERICAN BALANCED A | 0.00 | 7.86 | 0.00 | 7.86 | 92.0 | 7.23 |
| 03/01/2018 | HUDAK, DARLA | AM FUNDS AMERICAN BALANCED A | 0.00 | 3.31 | 0.00 | 3.31 | 92.0 | 3.05 |
| 03/01/2018 | MOLNAR, JOSEPH | AM FUNDS AMERICAN BALANCED A | 0.00 | 3.26 | 0.00 | 3.26 | 92.0 | 3.00 |
| 03/01/2018 | KORAL, ANDREW | AM FUNDS AMERICAN BALANCED A | 0.00 | 0.17 | 0.00 | 0.17 | 92.0 | 0.16 |
| 03/01/2018 | ROSS, DANIEL | AM FUNDS AMERICAN BALANCED A | 0.00 | 2.88 | 0.00 | 2.88 | 92.0 | 2.65 |
| 03/01/2018 | FAIRCHILD, DANA | AM FUNDS AMERICAN BALANCED A | 0.00 | 2.34 | 0.00 | 2.34 | 92.0 | 2.15 |

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|---|-----------------------|------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <u>DIRECT TRANSACTIONS</u> | | | | | | | | |
| <u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u> | | | | | | | | |
| 03/01/2018 | BRILLHART, SHARON | AM FUNDS AMERICAN BALANCED A | 0.00 | 1.86 | 0.00 | 1.86 | 92.0 | 1.71 |
| 03/01/2018 | HELMINIAK, CAROLYN | AM FUNDS AMERICAN BALANCED A | 0.00 | 2.55 | 0.00 | 2.55 | 92.0 | 2.35 |
| 03/01/2018 | SILLIMAN, GRACE | AM FUNDS AMERICAN BALANCED A | 0.00 | 2.88 | 0.00 | 2.88 | 92.0 | 2.65 |
| 03/01/2018 | ROSS, KRISTINE | AM FUNDS AMERICAN BALANCED A | 0.00 | 2.15 | 0.00 | 2.15 | 92.0 | 1.98 |
| 03/01/2018 | GARDNER, SHANNON | AM FUNDS AMERICAN BALANCED A | 0.00 | 0.48 | 0.00 | 0.48 | 92.0 | 0.44 |
| 03/01/2018 | KISER, ELIZABETH | AM FUNDS AMERICAN BALANCED A | 0.00 | 2.87 | 0.00 | 2.87 | 92.0 | 2.64 |
| 03/01/2018 | KISER, EDWARD | AM FUNDS AMERICAN BALANCED A | 0.00 | 2.87 | 0.00 | 2.87 | 92.0 | 2.64 |
| 03/01/2018 | BEAUPREZ, TAMMY | AM FUNDS AMERICAN BALANCED A | 0.00 | 1.29 | 0.00 | 1.29 | 92.0 | 1.19 |
| 03/01/2018 | BRILLHART, GREGORY | AM FUNDS AMERICAN BALANCED A | 0.00 | 0.59 | 0.00 | 0.59 | 92.0 | 0.54 |
| 03/01/2018 | WALBERG, PAUL | AM FUNDS AMERICAN BALANCED A | 0.00 | 3.38 | 0.00 | 3.38 | 92.0 | 3.11 |
| 03/01/2018 | BEAUPREZ, TAMMY | AM FUNDS AMERICAN BALANCED A | 0.00 | 16.46 | 0.00 | 16.46 | 92.0 | 15.14 |
| 03/01/2018 | IRWIN, JOHN | AM FUNDS AMERICAN BALANCED A | 0.00 | 2.26 | 0.00 | 2.26 | 92.0 | 2.08 |
| 03/01/2018 | SMITH, SUZANNE | AM FUNDS AMERICAN BALANCED A | 0.00 | 7.52 | 0.00 | 7.52 | 92.0 | 6.92 |
| 03/01/2018 | KOZLOWSKI, KATHLEEN | AM FUNDS AMERICAN BALANCED A | 0.00 | 3.97 | 0.00 | 3.97 | 92.0 | 3.65 |
| 03/01/2018 | SMITH, PADRAIC | AM FUNDS AMERICAN BALANCED A | 0.00 | 3.15 | 0.00 | 3.15 | 92.0 | 2.90 |
| 03/01/2018 | NICHOLSON, JAMES | AM FUNDS AMERICAN BALANCED A | 0.00 | 6.87 | 0.00 | 6.87 | 92.0 | 6.32 |
| 03/01/2018 | WOODRUFF, STEPHANIE | AM FUNDS AMERICAN BALANCED A | 0.00 | 0.71 | 0.00 | 0.71 | 92.0 | 0.65 |
| 03/01/2018 | WASSERMAN, RICHARD | AM FUNDS AMERICAN BALANCED A | 0.00 | 0.25 | 0.00 | 0.25 | 92.0 | 0.23 |
| 03/01/2018 | ZINK, ROBERT | AM FUNDS AMERICAN BALANCED A | 0.00 | 4.71 | 0.00 | 4.71 | 92.0 | 4.33 |
| 03/01/2018 | LARSON, PENNY | AM FUNDS AMERICAN BALANCED A | 0.00 | 0.18 | 0.00 | 0.18 | 92.0 | 0.17 |
| 03/01/2018 | COUSINO, NICHOLAS | AM FUNDS AMERICAN BALANCED A | 0.00 | 1.10 | 0.00 | 1.10 | 92.0 | 1.01 |
| 03/01/2018 | BAKER-KANOUS, BARBARA | AM FUNDS AMERICAN BALANCED A | 0.00 | 5.87 | 0.00 | 5.87 | 92.0 | 5.40 |
| 03/01/2018 | MCFARLAND, BRANDON | AM FUNDS AMERICAN BALANCED A | 0.00 | 0.14 | 0.00 | 0.14 | 92.0 | 0.13 |
| 03/01/2018 | SHOEMAKER, MARY BETH | AM FUNDS AMERICAN BALANCED A | 0.00 | 0.50 | 0.00 | 0.50 | 92.0 | 0.46 |
| 03/01/2018 | GROSVENOR, JOHN | AM FUNDS AMERICAN BALANCED A | 0.00 | 1.14 | 0.00 | 1.14 | 92.0 | 1.05 |
| 03/01/2018 | STOUT, DAVID | AM FUNDS AMERICAN BALANCED A | 0.00 | 2.83 | 0.00 | 2.83 | 92.0 | 2.60 |
| 03/01/2018 | FAIRCHILD, KERRY | AM FUNDS AMERICAN BALANCED A | 0.00 | 5.01 | 0.00 | 5.01 | 92.0 | 4.61 |
| 03/01/2018 | DONNELLY, EMILY | AM FUNDS AMERICAN BALANCED A | 0.00 | 0.55 | 0.00 | 0.55 | 92.0 | 0.51 |
| 03/01/2018 | MARTIN, RACHEL | AM FUNDS AMERICAN BALANCED A | 0.00 | 2.12 | 0.00 | 2.12 | 92.0 | 1.95 |
| 03/01/2018 | WEBBER, ROBERT | AM FUNDS AMERICAN BALANCED A | 0.00 | 0.43 | 0.00 | 0.43 | 92.0 | 0.40 |
| 03/01/2018 | BIHN, JANELLE | AM FUNDS AMERICAN BALANCED A | 0.00 | 1.11 | 0.00 | 1.11 | 92.0 | 1.02 |
| 03/01/2018 | YOUNG, KEITH | AM FUNDS AMERICAN BALANCED A | 0.00 | 5.15 | 0.00 | 5.15 | 92.0 | 4.74 |
| 03/01/2018 | WHALEN, KELLY | AM FUNDS AMERICAN BALANCED A | 0.00 | 4.99 | 0.00 | 4.99 | 92.0 | 4.59 |

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|---|-----------------------|-------------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <u>DIRECT TRANSACTIONS</u> | | | | | | | | |
| <u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u> | | | | | | | | |
| 03/01/2018 | DEMKO, VERNA | AM FUNDS AMERICAN BALANCED A | 0.00 | 8.68 | 0.00 | 8.68 | 92.0 | 7.99 |
| 03/01/2018 | DONNELLY, EMILY | AM FUNDS AMERICAN BALANCED A | 0.00 | 0.37 | 0.00 | 0.37 | 92.0 | 0.34 |
| 03/01/2018 | ENGLAND, HELEN | AM FUNDS AMERICAN BALANCED A | 0.00 | 2.29 | 0.00 | 2.29 | 92.0 | 2.11 |
| 03/01/2018 | ROSS, NICOLE | AM FUNDS AMERICAN BALANCED A | 0.00 | 1.74 | 0.00 | 1.74 | 92.0 | 1.60 |
| 03/01/2018 | COLEMAN, PARISS | AM FUNDS AMERICAN BALANCED A | 0.00 | 4.93 | 0.00 | 4.93 | 92.0 | 4.54 |
| 03/01/2018 | ENGLAND, HELEN | AM FUNDS AMERICAN BALANCED A | 0.00 | 0.64 | 0.00 | 0.64 | 92.0 | 0.59 |
| 03/01/2018 | BLAKE, MIRIAM | AM FUNDS AMERICAN HIGH-INCOME TRUST | 0.00 | 3.89 | 0.00 | 3.89 | 92.0 | 3.58 |
| 03/01/2018 | DREIER, DAVID | AM FUNDS AMERICAN HIGH-INCOME TRUST | 0.00 | 0.29 | 0.00 | 0.29 | 92.0 | 0.27 |
| 03/01/2018 | KOTLARCZYK, JOSEPH | AM FUNDS AMERICAN HIGH-INCOME TRUST | 0.00 | 1.90 | 0.00 | 1.90 | 92.0 | 1.75 |
| 03/01/2018 | KRALL, GARY | AM FUNDS AMERICAN HIGH-INCOME TRUST | 0.00 | 0.61 | 0.00 | 0.61 | 92.0 | 0.56 |
| 03/01/2018 | GOYER, TIMOTHY | AM FUNDS AMERICAN HIGH-INCOME TRUST | 0.00 | 6.19 | 0.00 | 6.19 | 92.0 | 5.69 |
| 03/01/2018 | MOORE, LINDA | AM FUNDS AMERICAN HIGH-INCOME TRUST | 0.00 | 3.13 | 0.00 | 3.13 | 92.0 | 2.88 |
| 03/01/2018 | ZAENGER, KYLE | AM FUNDS AMERICAN HIGH-INCOME TRUST | 0.00 | 0.92 | 0.00 | 0.92 | 92.0 | 0.85 |
| 03/01/2018 | MARKJA, BERNADINE | AM FUNDS AMERICAN HIGH-INCOME TRUST | 0.00 | 1.44 | 0.00 | 1.44 | 92.0 | 1.32 |
| 03/01/2018 | URSITTI, MATTHEW | AM FUNDS AMERICAN HIGH-INCOME TRUST | 0.00 | 0.59 | 0.00 | 0.59 | 92.0 | 0.54 |
| 03/01/2018 | KREMPA, CLAUDE | AM FUNDS AMERICAN HIGH-INCOME TRUST | 0.00 | 2.76 | 0.00 | 2.76 | 92.0 | 2.54 |
| 03/01/2018 | SHAFFER, LOREN | AM FUNDS AMERICAN HIGH-INCOME TRUST | 0.00 | 1.09 | 0.00 | 1.09 | 92.0 | 1.00 |
| 03/01/2018 | HUNTER, MICHAEL | AM FUNDS AMERICAN HIGH-INCOME TRUST | 0.00 | 4.24 | 0.00 | 4.24 | 92.0 | 3.90 |
| 03/01/2018 | BRILLHART, RYAN | AM FUNDS AMERICAN HIGH-INCOME TRUST | 0.00 | 0.53 | 0.00 | 0.53 | 92.0 | 0.49 |
| 03/01/2018 | KOTLARCZYK, JOSEPH | AM FUNDS AMERICAN HIGH-INCOME TRUST | 0.00 | 1.22 | 0.00 | 1.22 | 92.0 | 1.12 |
| 03/01/2018 | KOTLARCZYK, JANA | AM FUNDS AMERICAN HIGH-INCOME TRUST | 0.00 | 0.79 | 0.00 | 0.79 | 92.0 | 0.73 |
| 03/01/2018 | GLORE, DANIEL | AM FUNDS AMERICAN HIGH-INCOME TRUST | 0.00 | 1.39 | 0.00 | 1.39 | 92.0 | 1.28 |
| 03/01/2018 | MURPHY, CAROL | AM FUNDS AMERICAN HIGH-INCOME TRUST | 0.00 | 4.31 | 0.00 | 4.31 | 92.0 | 3.97 |
| 03/01/2018 | BIHN, RONALD | AM FUNDS AMERICAN HIGH-INCOME TRUST | 0.00 | 0.75 | 0.00 | 0.75 | 92.0 | 0.69 |
| 03/01/2018 | MORNINGSTAR, MICHELLE | AM FUNDS AMERICAN HIGH-INCOME TRUST | 0.00 | 0.48 | 0.00 | 0.48 | 92.0 | 0.44 |
| 03/01/2018 | KRAUS, JENNIFER | AM FUNDS AMERICAN HIGH-INCOME TRUST | 0.00 | 23.43 | 0.00 | 23.43 | 92.0 | 21.56 |
| 03/01/2018 | SILLIMAN, JEFFREY | AM FUNDS AMERICAN HIGH-INCOME TRUST | 0.00 | 0.97 | 0.00 | 0.97 | 92.0 | 0.89 |
| 03/01/2018 | MOLNAR, JOSEPH | AM FUNDS AMERICAN HIGH-INCOME TRUST | 0.00 | 2.23 | 0.00 | 2.23 | 92.0 | 2.05 |
| 03/01/2018 | ROSS, DANIEL | AM FUNDS AMERICAN HIGH-INCOME TRUST | 0.00 | 3.23 | 0.00 | 3.23 | 92.0 | 2.97 |
| 03/01/2018 | CASTOR, TIMOTHY | AM FUNDS AMERICAN HIGH-INCOME TRUST | 0.00 | 0.56 | 0.00 | 0.56 | 92.0 | 0.52 |
| 03/01/2018 | HELMINIAK, CAROLYN | AM FUNDS AMERICAN HIGH-INCOME TRUST | 0.00 | 1.24 | 0.00 | 1.24 | 92.0 | 1.14 |
| 03/01/2018 | REED, RYAN | AM FUNDS AMERICAN HIGH-INCOME TRUST | 0.00 | 2.66 | 0.00 | 2.66 | 92.0 | 2.45 |
| 03/01/2018 | REED, COLLEEN | AM FUNDS AMERICAN HIGH-INCOME TRUST | 0.00 | 2.66 | 0.00 | 2.66 | 92.0 | 2.45 |

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|---|---------------------|-------------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <u>DIRECT TRANSACTIONS</u> | | | | | | | | |
| <u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u> | | | | | | | | |
| 03/01/2018 | SILLIMAN, GRACE | AM FUNDS AMERICAN HIGH-INCOME TRUST | 0.00 | 0.65 | 0.00 | 0.65 | 92.0 | 0.60 |
| 03/01/2018 | ROSS, PATRICK | AM FUNDS AMERICAN HIGH-INCOME TRUST | 0.00 | 0.88 | 0.00 | 0.88 | 92.0 | 0.81 |
| 03/01/2018 | ZARAGOZA, JULIE | AM FUNDS AMERICAN HIGH-INCOME TRUST | 0.00 | 0.51 | 0.00 | 0.51 | 92.0 | 0.47 |
| 03/01/2018 | ZARAGOZA, VICTOR | AM FUNDS AMERICAN HIGH-INCOME TRUST | 0.00 | 0.51 | 0.00 | 0.51 | 92.0 | 0.47 |
| 03/01/2018 | WHITTAKER, WILLIAM | AM FUNDS AMERICAN HIGH-INCOME TRUST | 0.00 | 5.67 | 0.00 | 5.67 | 92.0 | 5.22 |
| 03/01/2018 | CESSNA, JENI | AM FUNDS AMERICAN HIGH-INCOME TRUST | 0.00 | 0.87 | 0.00 | 0.87 | 92.0 | 0.80 |
| 03/01/2018 | WARNER, COREY | AM FUNDS AMERICAN HIGH-INCOME TRUST | 0.00 | 1.67 | 0.00 | 1.67 | 92.0 | 1.54 |
| 03/01/2018 | SCANLAN, DAVID | AM FUNDS AMERICAN HIGH-INCOME TRUST | 0.00 | 1.38 | 0.00 | 1.38 | 92.0 | 1.27 |
| 03/01/2018 | GERMAN, MARIANNE | AM FUNDS AMERICAN HIGH-INCOME TRUST | 0.00 | 1.28 | 0.00 | 1.28 | 92.0 | 1.18 |
| 03/01/2018 | CARVER, DENISE | AM FUNDS AMERICAN HIGH-INCOME TRUST | 0.00 | 0.36 | 0.00 | 0.36 | 92.0 | 0.33 |
| 03/01/2018 | FISCHER, DAVID | AM FUNDS AMERICAN HIGH-INCOME TRUST | 0.00 | 1.17 | 0.00 | 1.17 | 92.0 | 1.08 |
| 03/01/2018 | HAUETER, GREGORY | AM FUNDS AMERICAN HIGH-INCOME TRUST | 0.00 | 2.14 | 0.00 | 2.14 | 92.0 | 1.97 |
| 03/01/2018 | FLEMING, ANDREA | AM FUNDS AMERICAN HIGH-INCOME TRUST | 0.00 | 13.61 | 0.00 | 13.61 | 92.0 | 12.52 |
| 03/01/2018 | BEAUPREZ, TAMMY | AM FUNDS AMERICAN HIGH-INCOME TRUST | 0.00 | 10.16 | 0.00 | 10.16 | 92.0 | 9.35 |
| 03/01/2018 | HALSEY, DEBORAH | AM FUNDS AMERICAN HIGH-INCOME TRUST | 0.00 | 1.41 | 0.00 | 1.41 | 92.0 | 1.30 |
| 03/01/2018 | KORAKAS, SANDRA | AM FUNDS AMERICAN HIGH-INCOME TRUST | 0.00 | 1.59 | 0.00 | 1.59 | 92.0 | 1.46 |
| 03/01/2018 | HILES, MARC | AM FUNDS AMERICAN HIGH-INCOME TRUST | 0.00 | 2.19 | 0.00 | 2.19 | 92.0 | 2.01 |
| 03/01/2018 | KOZLOWSKI, KATHLEEN | AM FUNDS AMERICAN HIGH-INCOME TRUST | 0.00 | 1.49 | 0.00 | 1.49 | 92.0 | 1.37 |
| 03/01/2018 | NICHOLSON, JAMES | AM FUNDS AMERICAN HIGH-INCOME TRUST | 0.00 | 1.94 | 0.00 | 1.94 | 92.0 | 1.78 |
| 03/01/2018 | WOODRUFF, STEPHANIE | AM FUNDS AMERICAN HIGH-INCOME TRUST | 0.00 | 0.25 | 0.00 | 0.25 | 92.0 | 0.23 |
| 03/01/2018 | WOODRUFF, STEPHANIE | AM FUNDS AMERICAN HIGH-INCOME TRUST | 0.00 | 0.39 | 0.00 | 0.39 | 92.0 | 0.36 |
| 03/01/2018 | DEMKO, VERNA | AM FUNDS AMERICAN HIGH-INCOME TRUST | 0.00 | 3.07 | 0.00 | 3.07 | 92.0 | 2.82 |
| 03/01/2018 | COLEMAN, PARISS | AM FUNDS AMERICAN HIGH-INCOME TRUST | 0.00 | 1.77 | 0.00 | 1.77 | 92.0 | 1.63 |
| 03/01/2018 | HUNTER, DEBORAH | AM FUNDS AMERICAN MUTUAL 529A | 0.00 | 6.93 | 0.00 | 6.93 | 92.0 | 6.38 |
| 03/01/2018 | COLEMAN, LINDA | AM FUNDS AMERICAN MUTUAL 529A | 0.00 | 0.83 | 0.00 | 0.83 | 92.0 | 0.76 |
| 03/01/2018 | ECKHARDT, MELISSA | AM FUNDS AMERICAN MUTUAL 529A | 0.00 | 3.18 | 0.00 | 3.18 | 92.0 | 2.93 |
| 03/01/2018 | ECKHARDT, MELISSA | AM FUNDS AMERICAN MUTUAL 529A | 0.00 | 3.18 | 0.00 | 3.18 | 92.0 | 2.93 |
| 03/01/2018 | MOORE, GARY | AM FUNDS AMERICAN MUTUAL A | 0.00 | 1.28 | 0.00 | 1.28 | 92.0 | 1.18 |
| 03/01/2018 | BENSCH, CANDACE | AM FUNDS AMERICAN MUTUAL A | 0.00 | 1.73 | 0.00 | 1.73 | 92.0 | 1.59 |
| 03/01/2018 | BLAKE, MIRIAM | AM FUNDS AMERICAN MUTUAL A | 0.00 | 1.84 | 0.00 | 1.84 | 92.0 | 1.69 |
| 03/01/2018 | DREIER, DAVID | AM FUNDS AMERICAN MUTUAL A | 0.00 | 1.53 | 0.00 | 1.53 | 92.0 | 1.41 |
| 03/01/2018 | SANDERSON, CATHY | AM FUNDS AMERICAN MUTUAL A | 0.00 | 1.51 | 0.00 | 1.51 | 92.0 | 1.39 |
| 03/01/2018 | ROSS, SALLY | AM FUNDS AMERICAN MUTUAL A | 0.00 | 3.39 | 0.00 | 3.39 | 92.0 | 3.12 |

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

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

| DATE | CLIENT | INVESTMENT | INVESTMENT AMOUNT | GROSS COMMISSION | CLEARING CHARGE | NET COMMISSION | RATE | BROKER COMMISSION |
|---|-----------------------|----------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <u>DIRECT TRANSACTIONS</u> | | | | | | | | |
| <u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u> | | | | | | | | |
| 03/01/2018 | KRALL, GARY | AM FUNDS AMERICAN MUTUAL A | 0.00 | 1.81 | 0.00 | 1.81 | 92.0 | 1.67 |
| 03/01/2018 | SUTHERLAND, BARBARA | AM FUNDS AMERICAN MUTUAL A | 0.00 | 2.68 | 0.00 | 2.68 | 92.0 | 2.47 |
| 03/01/2018 | SANDERSON, CATHY | AM FUNDS AMERICAN MUTUAL A | 0.00 | 0.49 | 0.00 | 0.49 | 92.0 | 0.45 |
| 03/01/2018 | ROSS, MICHELLE L HUDS | AM FUNDS AMERICAN MUTUAL A | 0.00 | 1.25 | 0.00 | 1.25 | 92.0 | 1.15 |
| 03/01/2018 | MOORE, LINDA | AM FUNDS AMERICAN MUTUAL A | 0.00 | 5.96 | 0.00 | 5.96 | 92.0 | 5.48 |
| 03/01/2018 | ROSS, MICHAEL C HUDSO | AM FUNDS AMERICAN MUTUAL A | 0.00 | 0.85 | 0.00 | 0.85 | 92.0 | 0.78 |
| 03/01/2018 | MARKJA, BERNADINE | AM FUNDS AMERICAN MUTUAL A | 0.00 | 2.68 | 0.00 | 2.68 | 92.0 | 2.47 |
| 03/01/2018 | BRILLHART, RYAN | AM FUNDS AMERICAN MUTUAL A | 0.00 | 1.39 | 0.00 | 1.39 | 92.0 | 1.28 |
| 03/01/2018 | MURPHY, JACK | AM FUNDS AMERICAN MUTUAL A | 0.00 | 2.52 | 0.00 | 2.52 | 92.0 | 2.32 |
| 03/01/2018 | MURPHY, CAROL | AM FUNDS AMERICAN MUTUAL A | 0.00 | 3.02 | 0.00 | 3.02 | 92.0 | 2.78 |
| 03/01/2018 | SHAFFER, DENISE | AM FUNDS AMERICAN MUTUAL A | 0.00 | 5.20 | 0.00 | 5.20 | 92.0 | 4.78 |
| 03/01/2018 | ISAACSON, ROBERT | AM FUNDS AMERICAN MUTUAL A | 0.00 | 10.28 | 0.00 | 10.28 | 92.0 | 9.46 |
| 03/01/2018 | IRWIN, JOHN | AM FUNDS AMERICAN MUTUAL A | 0.00 | 20.02 | 0.00 | 20.02 | 92.0 | 18.42 |
| 03/01/2018 | HAUSER, ROBERT | AM FUNDS AMERICAN MUTUAL A | 0.00 | 16.65 | 0.00 | 16.65 | 92.0 | 15.32 |
| 03/01/2018 | TARRIS, CHRISTINE | AM FUNDS AMERICAN MUTUAL A | 0.00 | 5.70 | 0.00 | 5.70 | 92.0 | 5.24 |
| 03/01/2018 | SILLIMAN, JEFFREY | AM FUNDS AMERICAN MUTUAL A | 0.00 | 1.38 | 0.00 | 1.38 | 92.0 | 1.27 |
| 03/01/2018 | SUTHERLAND, JOHN | AM FUNDS AMERICAN MUTUAL A | 0.00 | 2.07 | 0.00 | 2.07 | 92.0 | 1.90 |
| 03/01/2018 | MOLNAR, JOSEPH | AM FUNDS AMERICAN MUTUAL A | 0.00 | 0.60 | 0.00 | 0.60 | 92.0 | 0.55 |
| 03/01/2018 | KORAL, ANDREW | AM FUNDS AMERICAN MUTUAL A | 0.00 | 1.27 | 0.00 | 1.27 | 92.0 | 1.17 |
| 03/01/2018 | ROSS, DANIEL | AM FUNDS AMERICAN MUTUAL A | 0.00 | 2.10 | 0.00 | 2.10 | 92.0 | 1.93 |
| 03/01/2018 | FAIRCHILD, DANA | AM FUNDS AMERICAN MUTUAL A | 0.00 | 3.96 | 0.00 | 3.96 | 92.0 | 3.64 |
| 03/01/2018 | BRILLHART, SHARON | AM FUNDS AMERICAN MUTUAL A | 0.00 | 0.87 | 0.00 | 0.87 | 92.0 | 0.80 |
| 03/01/2018 | HELMINIYAK, CAROLYN | AM FUNDS AMERICAN MUTUAL A | 0.00 | 4.41 | 0.00 | 4.41 | 92.0 | 4.06 |
| 03/01/2018 | CURSON, STEVE | AM FUNDS AMERICAN MUTUAL A | 0.00 | 2.08 | 0.00 | 2.08 | 92.0 | 1.91 |
| 03/01/2018 | GARDNER, SHANNON | AM FUNDS AMERICAN MUTUAL A | 0.00 | 0.48 | 0.00 | 0.48 | 92.0 | 0.44 |
| 03/01/2018 | LECHUGA, CARRIE | AM FUNDS AMERICAN MUTUAL A | 0.00 | 0.64 | 0.00 | 0.64 | 92.0 | 0.59 |
| 03/01/2018 | SCHNEE, LEO | AM FUNDS AMERICAN MUTUAL A | 0.00 | 0.41 | 0.00 | 0.41 | 92.0 | 0.38 |
| 03/01/2018 | OBERT, DEBORA | AM FUNDS AMERICAN MUTUAL A | 0.00 | 1.21 | 0.00 | 1.21 | 92.0 | 1.11 |
| 03/01/2018 | FLEMING, ANDREA | AM FUNDS AMERICAN MUTUAL A | 0.00 | 3.50 | 0.00 | 3.50 | 92.0 | 3.22 |
| 03/01/2018 | BEAUPREZ, TAMMY | AM FUNDS AMERICAN MUTUAL A | 0.00 | 8.32 | 0.00 | 8.32 | 92.0 | 7.65 |
| 03/01/2018 | HALSEY, DEBORAH | AM FUNDS AMERICAN MUTUAL A | 0.00 | 2.42 | 0.00 | 2.42 | 92.0 | 2.23 |
| 03/01/2018 | IRWIN, JOHN | AM FUNDS AMERICAN MUTUAL A | 0.00 | 1.56 | 0.00 | 1.56 | 92.0 | 1.44 |
| 03/01/2018 | HILES, MARC | AM FUNDS AMERICAN MUTUAL A | 0.00 | 5.83 | 0.00 | 5.83 | 92.0 | 5.36 |

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| DATE | CLIENT | INVESTMENT | INVESTMENT AMOUNT | GROSS COMMISSION | CLEARING CHARGE | NET COMMISSION | RATE | BROKER COMMISSION |
|---|-----------------------|----------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <u>DIRECT TRANSACTIONS</u> | | | | | | | | |
| <u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u> | | | | | | | | |
| 03/01/2018 | SMITH, SUZANNE | AM FUNDS AMERICAN MUTUAL A | 0.00 | 6.88 | 0.00 | 6.88 | 92.0 | 6.33 |
| 03/01/2018 | DUBENDORFER, SUSAN | AM FUNDS AMERICAN MUTUAL A | 0.00 | 0.83 | 0.00 | 0.83 | 92.0 | 0.76 |
| 03/01/2018 | KOZLOWSKI, KATHLEEN | AM FUNDS AMERICAN MUTUAL A | 0.00 | 2.75 | 0.00 | 2.75 | 92.0 | 2.53 |
| 03/01/2018 | NICHOLSON, JAMES | AM FUNDS AMERICAN MUTUAL A | 0.00 | 7.34 | 0.00 | 7.34 | 92.0 | 6.75 |
| 03/01/2018 | MCLAUGHLIN, JAIME | AM FUNDS AMERICAN MUTUAL A | 0.00 | 0.19 | 0.00 | 0.19 | 92.0 | 0.17 |
| 03/01/2018 | WAGONER JR, JOHN | AM FUNDS AMERICAN MUTUAL A | 0.00 | 2.04 | 0.00 | 2.04 | 92.0 | 1.88 |
| 03/01/2018 | WAGONER JR, JOHN | AM FUNDS AMERICAN MUTUAL A | 0.00 | 0.45 | 0.00 | 0.45 | 92.0 | 0.41 |
| 03/01/2018 | GODFREY, TIMOTHY | AM FUNDS AMERICAN MUTUAL A | 0.00 | 0.83 | 0.00 | 0.83 | 92.0 | 0.76 |
| 03/01/2018 | ZINK, ROBERT | AM FUNDS AMERICAN MUTUAL A | 0.00 | 4.87 | 0.00 | 4.87 | 92.0 | 4.48 |
| 03/01/2018 | LARSON, PENNY | AM FUNDS AMERICAN MUTUAL A | 0.00 | 2.59 | 0.00 | 2.59 | 92.0 | 2.38 |
| 03/01/2018 | MCFARLAND, BRANDON | AM FUNDS AMERICAN MUTUAL A | 0.00 | 0.24 | 0.00 | 0.24 | 92.0 | 0.22 |
| 03/01/2018 | DRAKE, ERIC | AM FUNDS AMERICAN MUTUAL A | 0.00 | 0.61 | 0.00 | 0.61 | 92.0 | 0.56 |
| 03/01/2018 | SHOEMAKER, MARY BETH | AM FUNDS AMERICAN MUTUAL A | 0.00 | 0.51 | 0.00 | 0.51 | 92.0 | 0.47 |
| 03/01/2018 | STOUT, DAVID | AM FUNDS AMERICAN MUTUAL A | 0.00 | 2.18 | 0.00 | 2.18 | 92.0 | 2.01 |
| 03/01/2018 | YOUNG, KEITH | AM FUNDS AMERICAN MUTUAL A | 0.00 | 5.20 | 0.00 | 5.20 | 92.0 | 4.78 |
| 03/01/2018 | DEMKO, VERNA | AM FUNDS AMERICAN MUTUAL A | 0.00 | 4.96 | 0.00 | 4.96 | 92.0 | 4.56 |
| 03/01/2018 | MOON, CHARLES | AM FUNDS AMERICAN MUTUAL A | 0.00 | 2.18 | 0.00 | 2.18 | 92.0 | 2.01 |
| 03/01/2018 | ROSS, NICOLE | AM FUNDS AMERICAN MUTUAL A | 0.00 | 0.97 | 0.00 | 0.97 | 92.0 | 0.89 |
| 03/01/2018 | ENGLAND, HELEN | AM FUNDS AMERICAN MUTUAL A | 0.00 | 0.33 | 0.00 | 0.33 | 92.0 | 0.30 |
| 03/01/2018 | SEYMOUR, DONALD | AM FUNDS AMERICAN MUTUAL C | 0.00 | 17.42 | 0.00 | 17.42 | 92.0 | 16.03 |
| 03/01/2018 | BLAKE, MIRIAM | AM FUNDS BALANCED PORT A | 0.00 | 2.43 | 0.00 | 2.43 | 92.0 | 2.24 |
| 03/01/2018 | VALADE, JOHN | AM FUNDS BALANCED PORT A | 0.00 | 39.13 | 0.00 | 39.13 | 92.0 | 36.00 |
| 03/01/2018 | SANDERSON, CATHY | AM FUNDS BALANCED PORT A | 0.00 | 1.82 | 0.00 | 1.82 | 92.0 | 1.67 |
| 03/01/2018 | ROSS, MICHELLE L HUDS | AM FUNDS BALANCED PORT A | 0.00 | 0.93 | 0.00 | 0.93 | 92.0 | 0.86 |
| 03/01/2018 | BRAITHWAITE, WILLIAM | AM FUNDS BALANCED PORT A | 0.00 | 1.95 | 0.00 | 1.95 | 92.0 | 1.79 |
| 03/01/2018 | ROSS, DANIEL | AM FUNDS BALANCED PORT A | 0.00 | 6.39 | 0.00 | 6.39 | 92.0 | 5.88 |
| 03/01/2018 | WALBERG, PAUL | AM FUNDS BALANCED PORT A | 0.00 | 46.09 | 0.00 | 46.09 | 92.0 | 42.40 |
| 03/01/2018 | ROSS, PATRICK | AM FUNDS BALANCED PORT A | 0.00 | 5.68 | 0.00 | 5.68 | 92.0 | 5.23 |
| 03/01/2018 | ZENK, DERECK | AM FUNDS BALANCED PORT A | 0.00 | 2.56 | 0.00 | 2.56 | 92.0 | 2.36 |
| 03/01/2018 | ZINK, ROBERT | AM FUNDS BALANCED PORT A | 0.00 | 6.19 | 0.00 | 6.19 | 92.0 | 5.69 |
| 03/01/2018 | ROSS, NICOLE | AM FUNDS BALANCED PORT A | 0.00 | 0.95 | 0.00 | 0.95 | 92.0 | 0.87 |
| 03/01/2018 | LETT, TRACY | AM FUNDS BALANCED PORT A | 0.00 | 16.71 | 0.00 | 16.71 | 92.0 | 15.37 |
| 03/01/2018 | ROSS, MICHELLE L HUDS | AM FUNDS BALANCED PORT A | 0.00 | 1.46 | 0.00 | 1.46 | 92.0 | 1.34 |

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|---|--------------------------|---------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <u>DIRECT TRANSACTIONS</u> | | | | | | | | |
| <u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u> | | | | | | | | |
| 03/01/2018 | YOUNG, KEITH | AM FUNDS BALANCED PORT A | 0.00 | 11.41 | 0.00 | 11.41 | 92.0 | 10.50 |
| 03/01/2018 | ECKHARDT, MELISSA | AM FUNDS BALANCED PORT A | 0.00 | 3.85 | 0.00 | 3.85 | 92.0 | 3.54 |
| 03/01/2018 | HUDSON-ROSS, MICHELLE | AM FUNDS BALANCED PORT A | 0.00 | 1.52 | 0.00 | 1.52 | 92.0 | 1.40 |
| 03/01/2018 | DRUCKENMILLER, CHRISTINA | AM FUNDS BALANCED PORT A | 0.00 | 44.14 | 0.00 | 44.14 | 92.0 | 40.61 |
| 03/01/2018 | MURPHY, CAROL | AM FUNDS BALANCED PORT A | 0.00 | 3.45 | 0.00 | 3.45 | 92.0 | 3.17 |
| 03/01/2018 | HEINAMAN, ROBERT | AM FUNDS BOND FUND OF AMERICA A | 0.00 | 0.12 | 0.00 | 0.12 | 92.0 | 0.11 |
| 03/01/2018 | BLAKE, MIRIAM | AM FUNDS BOND FUND OF AMERICA A | 0.00 | 1.37 | 0.00 | 1.37 | 92.0 | 1.26 |
| 03/01/2018 | DREIER, DAVID | AM FUNDS BOND FUND OF AMERICA A | 0.00 | 0.80 | 0.00 | 0.80 | 92.0 | 0.74 |
| 03/01/2018 | SANDERSON, CATHY | AM FUNDS BOND FUND OF AMERICA A | 0.00 | 1.24 | 0.00 | 1.24 | 92.0 | 1.14 |
| 03/01/2018 | MILLER, MICHAEL | AM FUNDS BOND FUND OF AMERICA A | 0.00 | 0.92 | 0.00 | 0.92 | 92.0 | 0.85 |
| 03/01/2018 | PEARSON, JOHN | AM FUNDS BOND FUND OF AMERICA A | 0.00 | 0.23 | 0.00 | 0.23 | 92.0 | 0.21 |
| 03/01/2018 | KRALL, GARY | AM FUNDS BOND FUND OF AMERICA A | 0.00 | 1.52 | 0.00 | 1.52 | 92.0 | 1.40 |
| 03/01/2018 | DAY, CHERYL | AM FUNDS BOND FUND OF AMERICA A | 0.00 | 0.37 | 0.00 | 0.37 | 92.0 | 0.34 |
| 03/01/2018 | MOORE, LINDA | AM FUNDS BOND FUND OF AMERICA A | 0.00 | 3.16 | 0.00 | 3.16 | 92.0 | 2.91 |
| 03/01/2018 | KREMPA, CLAUDE | AM FUNDS BOND FUND OF AMERICA A | 0.00 | 2.24 | 0.00 | 2.24 | 92.0 | 2.06 |
| 03/01/2018 | MURPHY, JACK | AM FUNDS BOND FUND OF AMERICA A | 0.00 | 1.61 | 0.00 | 1.61 | 92.0 | 1.48 |
| 03/01/2018 | IRWIN, JOHN | AM FUNDS BOND FUND OF AMERICA A | 0.00 | 3.82 | 0.00 | 3.82 | 92.0 | 3.51 |
| 03/01/2018 | HAUSER, ROBERT | AM FUNDS BOND FUND OF AMERICA A | 0.00 | 5.19 | 0.00 | 5.19 | 92.0 | 4.77 |
| 03/01/2018 | MOLNAR, JOSEPH | AM FUNDS BOND FUND OF AMERICA A | 0.00 | 0.21 | 0.00 | 0.21 | 92.0 | 0.19 |
| 03/01/2018 | CURSON, STEVE | AM FUNDS BOND FUND OF AMERICA A | 0.00 | 0.40 | 0.00 | 0.40 | 92.0 | 0.37 |
| 03/01/2018 | ROSS, PATRICK | AM FUNDS BOND FUND OF AMERICA A | 0.00 | 0.48 | 0.00 | 0.48 | 92.0 | 0.44 |
| 03/01/2018 | ROSS, JAMES | AM FUNDS BOND FUND OF AMERICA A | 0.00 | 0.06 | 0.00 | 0.06 | 92.0 | 0.06 |
| 03/01/2018 | ZARAGOZA, JULIE | AM FUNDS BOND FUND OF AMERICA A | 0.00 | 0.79 | 0.00 | 0.79 | 92.0 | 0.73 |
| 03/01/2018 | FLEMING, ANDREA | AM FUNDS BOND FUND OF AMERICA A | 0.00 | 2.16 | 0.00 | 2.16 | 92.0 | 1.99 |
| 03/01/2018 | WALBERG, PAUL | AM FUNDS BOND FUND OF AMERICA A | 0.00 | 0.64 | 0.00 | 0.64 | 92.0 | 0.59 |
| 03/01/2018 | COUSINO, NICHOLAS | AM FUNDS BOND FUND OF AMERICA A | 0.00 | 0.62 | 0.00 | 0.62 | 92.0 | 0.57 |
| 03/01/2018 | ROSS, NICOLE | AM FUNDS BOND FUND OF AMERICA A | 0.00 | 0.51 | 0.00 | 0.51 | 92.0 | 0.47 |
| 03/01/2018 | STOUT, DAVID | AM FUNDS BOND FUND OF AMERICA A | 0.00 | 1.75 | 0.00 | 1.75 | 92.0 | 1.61 |
| 03/01/2018 | DONNELLY, EMILY | AM FUNDS BOND FUND OF AMERICA A | 0.00 | 0.32 | 0.00 | 0.32 | 92.0 | 0.29 |
| 03/01/2018 | DEMKO, VERNA | AM FUNDS BOND FUND OF AMERICA A | 0.00 | 3.02 | 0.00 | 3.02 | 92.0 | 2.78 |
| 03/01/2018 | ENGLAND, HELEN | AM FUNDS BOND FUND OF AMERICA A | 0.00 | 1.19 | 0.00 | 1.19 | 92.0 | 1.09 |
| 03/01/2018 | ENGLAND, HELEN | AM FUNDS BOND FUND OF AMERICA A | 0.00 | 0.09 | 0.00 | 0.09 | 92.0 | 0.08 |
| 03/01/2018 | ECKHARDT, MELISSA | AM FUNDS BOND FUND OF AMERICA A | 0.00 | 0.48 | 0.00 | 0.48 | 92.0 | 0.44 |

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|--|-----------------------|-------------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <u>DIRECT TRANSACTIONS</u> | | | | | | | | |
| PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS | | | | | | | | |
| 03/01/2018 | HUDSON-ROSS, MICHELLE | AM FUNDS BOND FUND OF AMERICA A | 0.00 | 0.58 | 0.00 | 0.58 | 92.0 | 0.53 |
| 03/01/2018 | HUNTER, DEBORAH | AM FUNDS CAPITAL INCOME BUILDER 529 | 0.00 | 1.06 | 0.00 | 1.06 | 92.0 | 0.98 |
| 03/01/2018 | COLEMAN, LINDA | AM FUNDS CAPITAL INCOME BUILDER 529 | 0.00 | 3.24 | 0.00 | 3.24 | 92.0 | 2.98 |
| 03/01/2018 | ROSS, MICHELLE L HUDS | AM FUNDS CAPITAL INCOME BUILDER 529 | 0.00 | 1.89 | 0.00 | 1.89 | 92.0 | 1.74 |
| 03/01/2018 | HUNTER, DEBORAH | AM FUNDS CAPITAL INCOME BUILDER 529 | 0.00 | 1.06 | 0.00 | 1.06 | 92.0 | 0.98 |
| 03/01/2018 | ECKHARDT, MELISSA | AM FUNDS CAPITAL INCOME BUILDER 529 | 0.00 | 3.88 | 0.00 | 3.88 | 92.0 | 3.57 |
| 03/01/2018 | ECKHARDT, MELISSA | AM FUNDS CAPITAL INCOME BUILDER 529 | 0.00 | 3.88 | 0.00 | 3.88 | 92.0 | 3.57 |
| 03/01/2018 | WAGONER JR, JOHN | AM FUNDS CAPITAL INCOME BUILDER 529 | 0.00 | 0.33 | 0.00 | 0.33 | 92.0 | 0.30 |
| 03/01/2018 | BLAKE, MIRIAM | AM FUNDS CAPITAL INCOME BUILDER A | 0.00 | 3.45 | 0.00 | 3.45 | 92.0 | 3.17 |
| 03/01/2018 | MOORE, GARY | AM FUNDS CAPITAL INCOME BUILDER A | 0.00 | 0.57 | 0.00 | 0.57 | 92.0 | 0.52 |
| 03/01/2018 | HEINAMAN, ROBERT | AM FUNDS CAPITAL INCOME BUILDER A | 0.00 | 0.44 | 0.00 | 0.44 | 92.0 | 0.40 |
| 03/01/2018 | BENSCH, CANDACE | AM FUNDS CAPITAL INCOME BUILDER A | 0.00 | 1.69 | 0.00 | 1.69 | 92.0 | 1.55 |
| 03/01/2018 | BRUMMETT, DOUGLAS | AM FUNDS CAPITAL INCOME BUILDER A | 0.00 | 0.88 | 0.00 | 0.88 | 92.0 | 0.81 |
| 03/01/2018 | HEINAMAN, ROBERT | AM FUNDS CAPITAL INCOME BUILDER A | 0.00 | 22.57 | 0.00 | 22.57 | 92.0 | 20.76 |
| 03/01/2018 | COMBS, BRIAN | AM FUNDS CAPITAL INCOME BUILDER A | 0.00 | 2.45 | 0.00 | 2.45 | 92.0 | 2.25 |
| 03/01/2018 | MILLER, MICHAEL | AM FUNDS CAPITAL INCOME BUILDER A | 0.00 | 2.06 | 0.00 | 2.06 | 92.0 | 1.90 |
| 03/01/2018 | SWINDLE, CYNTHIA | AM FUNDS CAPITAL INCOME BUILDER A | 0.00 | 0.69 | 0.00 | 0.69 | 92.0 | 0.63 |
| 03/01/2018 | SWINDLE, DARRYL | AM FUNDS CAPITAL INCOME BUILDER A | 0.00 | 1.10 | 0.00 | 1.10 | 92.0 | 1.01 |
| 03/01/2018 | DECKER, MARY BETH | AM FUNDS CAPITAL INCOME BUILDER A | 0.00 | 0.71 | 0.00 | 0.71 | 92.0 | 0.65 |
| 03/01/2018 | ROSS, SALLY | AM FUNDS CAPITAL INCOME BUILDER A | 0.00 | 3.40 | 0.00 | 3.40 | 92.0 | 3.13 |
| 03/01/2018 | HENDERSON, BARBARA | AM FUNDS CAPITAL INCOME BUILDER A | 0.00 | 1.92 | 0.00 | 1.92 | 92.0 | 1.77 |
| 03/01/2018 | PEARSON, JOHN | AM FUNDS CAPITAL INCOME BUILDER A | 0.00 | 0.35 | 0.00 | 0.35 | 92.0 | 0.32 |
| 03/01/2018 | KRALL, GARY | AM FUNDS CAPITAL INCOME BUILDER A | 0.00 | 1.99 | 0.00 | 1.99 | 92.0 | 1.83 |
| 03/01/2018 | SUTHERLAND, BARBARA | AM FUNDS CAPITAL INCOME BUILDER A | 0.00 | 7.48 | 0.00 | 7.48 | 92.0 | 6.88 |
| 03/01/2018 | KOZIARSKI, ROSEMARY | AM FUNDS CAPITAL INCOME BUILDER A | 0.00 | 0.30 | 0.00 | 0.30 | 92.0 | 0.28 |
| 03/01/2018 | SANDERSON, CATHY | AM FUNDS CAPITAL INCOME BUILDER A | 0.00 | 0.73 | 0.00 | 0.73 | 92.0 | 0.67 |
| 03/01/2018 | DAY, CHERYL | AM FUNDS CAPITAL INCOME BUILDER A | 0.00 | 1.06 | 0.00 | 1.06 | 92.0 | 0.98 |
| 03/01/2018 | SUTHERLAND, JOHN | AM FUNDS CAPITAL INCOME BUILDER A | 0.00 | 1.84 | 0.00 | 1.84 | 92.0 | 1.69 |
| 03/01/2018 | ROSS, MICHELLE L HUDS | AM FUNDS CAPITAL INCOME BUILDER A | 0.00 | 1.40 | 0.00 | 1.40 | 92.0 | 1.29 |
| 03/01/2018 | MOORE, LINDA | AM FUNDS CAPITAL INCOME BUILDER A | 0.00 | 5.51 | 0.00 | 5.51 | 92.0 | 5.07 |
| 03/01/2018 | ROSS, MICHAEL C HUDSO | AM FUNDS CAPITAL INCOME BUILDER A | 0.00 | 1.73 | 0.00 | 1.73 | 92.0 | 1.59 |
| 03/01/2018 | SWINDLE, DARRYL | AM FUNDS CAPITAL INCOME BUILDER A | 0.00 | 0.69 | 0.00 | 0.69 | 92.0 | 0.63 |
| 03/01/2018 | GRANT, THOMAS | AM FUNDS CAPITAL INCOME BUILDER A | 0.00 | 0.93 | 0.00 | 0.93 | 92.0 | 0.86 |

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|---|---------------------|-----------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <u>DIRECT TRANSACTIONS</u> | | | | | | | | |
| <u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u> | | | | | | | | |
| 03/01/2018 | GRANT, MEGAN | AM FUNDS CAPITAL INCOME BUILDER A | 0.00 | 0.29 | 0.00 | 0.29 | 92.0 | 0.27 |
| 03/01/2018 | GRANT, AUDREY | AM FUNDS CAPITAL INCOME BUILDER A | 0.00 | 0.48 | 0.00 | 0.48 | 92.0 | 0.44 |
| 03/01/2018 | SMOOT, C STEVEN | AM FUNDS CAPITAL INCOME BUILDER A | 0.00 | 23.22 | 0.00 | 23.22 | 92.0 | 21.36 |
| 03/01/2018 | KREMPA, CLAUDE | AM FUNDS CAPITAL INCOME BUILDER A | 0.00 | 3.12 | 0.00 | 3.12 | 92.0 | 2.87 |
| 03/01/2018 | SANDVIG TRUST, ANNE | AM FUNDS CAPITAL INCOME BUILDER A | 0.00 | 3.68 | 0.00 | 3.68 | 92.0 | 3.39 |
| 03/01/2018 | MCCLOSKEY, DANIEL | AM FUNDS CAPITAL INCOME BUILDER A | 0.00 | 1.35 | 0.00 | 1.35 | 92.0 | 1.24 |
| 03/01/2018 | SHAFFER, LOREN | AM FUNDS CAPITAL INCOME BUILDER A | 0.00 | 1.43 | 0.00 | 1.43 | 92.0 | 1.32 |
| 03/01/2018 | HUNTER, MICHAEL | AM FUNDS CAPITAL INCOME BUILDER A | 0.00 | 2.91 | 0.00 | 2.91 | 92.0 | 2.68 |
| 03/01/2018 | BRILLHART, RYAN | AM FUNDS CAPITAL INCOME BUILDER A | 0.00 | 0.86 | 0.00 | 0.86 | 92.0 | 0.79 |
| 03/01/2018 | BRILLHART, RYAN | AM FUNDS CAPITAL INCOME BUILDER A | 0.00 | 2.03 | 0.00 | 2.03 | 92.0 | 1.87 |
| 03/01/2018 | ZENK, JOHN | AM FUNDS CAPITAL INCOME BUILDER A | 0.00 | 0.42 | 0.00 | 0.42 | 92.0 | 0.39 |
| 03/01/2018 | MURPHY, JACK | AM FUNDS CAPITAL INCOME BUILDER A | 0.00 | 4.27 | 0.00 | 4.27 | 92.0 | 3.93 |
| 03/01/2018 | MURPHY, CAROL | AM FUNDS CAPITAL INCOME BUILDER A | 0.00 | 5.69 | 0.00 | 5.69 | 92.0 | 5.23 |
| 03/01/2018 | BIHN, RONALD | AM FUNDS CAPITAL INCOME BUILDER A | 0.00 | 2.13 | 0.00 | 2.13 | 92.0 | 1.96 |
| 03/01/2018 | WASSERMAN, JULIE | AM FUNDS CAPITAL INCOME BUILDER A | 0.00 | 1.28 | 0.00 | 1.28 | 92.0 | 1.18 |
| 03/01/2018 | ISAACSON, ROBERT | AM FUNDS CAPITAL INCOME BUILDER A | 0.00 | 5.03 | 0.00 | 5.03 | 92.0 | 4.63 |
| 03/01/2018 | IRWIN, JOHN | AM FUNDS CAPITAL INCOME BUILDER A | 0.00 | 26.63 | 0.00 | 26.63 | 92.0 | 24.50 |
| 03/01/2018 | DECKER, MARY BETH | AM FUNDS CAPITAL INCOME BUILDER A | 0.00 | 0.46 | 0.00 | 0.46 | 92.0 | 0.42 |
| 03/01/2018 | HAUSER, ROBERT | AM FUNDS CAPITAL INCOME BUILDER A | 0.00 | 20.30 | 0.00 | 20.30 | 92.0 | 18.68 |
| 03/01/2018 | HAUSER, RONALD | AM FUNDS CAPITAL INCOME BUILDER A | 0.00 | 8.36 | 0.00 | 8.36 | 92.0 | 7.69 |
| 03/01/2018 | TARRIS, CHRISTINE | AM FUNDS CAPITAL INCOME BUILDER A | 0.00 | 5.98 | 0.00 | 5.98 | 92.0 | 5.50 |
| 03/01/2018 | SILLIMAN, JEFFREY | AM FUNDS CAPITAL INCOME BUILDER A | 0.00 | 7.22 | 0.00 | 7.22 | 92.0 | 6.64 |
| 03/01/2018 | GLORE, CHRISTINE | AM FUNDS CAPITAL INCOME BUILDER A | 0.00 | 4.66 | 0.00 | 4.66 | 92.0 | 4.29 |
| 03/01/2018 | MOLNAR, JOSEPH | AM FUNDS CAPITAL INCOME BUILDER A | 0.00 | 4.59 | 0.00 | 4.59 | 92.0 | 4.22 |
| 03/01/2018 | KORAL, ANDREW | AM FUNDS CAPITAL INCOME BUILDER A | 0.00 | 1.29 | 0.00 | 1.29 | 92.0 | 1.19 |
| 03/01/2018 | ROSS, DANIEL | AM FUNDS CAPITAL INCOME BUILDER A | 0.00 | 4.17 | 0.00 | 4.17 | 92.0 | 3.84 |
| 03/01/2018 | FAIRCHILD, DANA | AM FUNDS CAPITAL INCOME BUILDER A | 0.00 | 2.18 | 0.00 | 2.18 | 92.0 | 2.01 |
| 03/01/2018 | BRILLHART, SHARON | AM FUNDS CAPITAL INCOME BUILDER A | 0.00 | 3.09 | 0.00 | 3.09 | 92.0 | 2.84 |
| 03/01/2018 | CASTOR, TIMOTHY | AM FUNDS CAPITAL INCOME BUILDER A | 0.00 | 0.62 | 0.00 | 0.62 | 92.0 | 0.57 |
| 03/01/2018 | HELMINIAK, CAROLYN | AM FUNDS CAPITAL INCOME BUILDER A | 0.00 | 3.44 | 0.00 | 3.44 | 92.0 | 3.16 |
| 03/01/2018 | CURSON, STEVE | AM FUNDS CAPITAL INCOME BUILDER A | 0.00 | 2.69 | 0.00 | 2.69 | 92.0 | 2.47 |
| 03/01/2018 | REED, RYAN | AM FUNDS CAPITAL INCOME BUILDER A | 0.00 | 1.97 | 0.00 | 1.97 | 92.0 | 1.81 |
| 03/01/2018 | REED, COLLEEN | AM FUNDS CAPITAL INCOME BUILDER A | 0.00 | 1.97 | 0.00 | 1.97 | 92.0 | 1.81 |

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

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

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

| DATE | CLIENT | INVESTMENT | INVESTMENT AMOUNT | GROSS COMMISSION | CLEARING CHARGE | NET COMMISSION | RATE | BROKER COMMISSION |
|---|--------------------|-----------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <u>DIRECT TRANSACTIONS</u> | | | | | | | | |
| <u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u> | | | | | | | | |
| 03/01/2018 | SILLIMAN, GRACE | AM FUNDS CAPITAL INCOME BUILDER A | 0.00 | 2.66 | 0.00 | 2.66 | 92.0 | 2.45 |
| 03/01/2018 | ROSS, KRISTINE | AM FUNDS CAPITAL INCOME BUILDER A | 0.00 | 2.31 | 0.00 | 2.31 | 92.0 | 2.13 |
| 03/01/2018 | GARDNER, PATRICIA | AM FUNDS CAPITAL INCOME BUILDER A | 0.00 | 0.43 | 0.00 | 0.43 | 92.0 | 0.40 |
| 03/01/2018 | LECHUGA, CARRIE | AM FUNDS CAPITAL INCOME BUILDER A | 0.00 | 0.57 | 0.00 | 0.57 | 92.0 | 0.52 |
| 03/01/2018 | KISER, ELIZABETH | AM FUNDS CAPITAL INCOME BUILDER A | 0.00 | 1.05 | 0.00 | 1.05 | 92.0 | 0.97 |
| 03/01/2018 | KISER, EDWARD | AM FUNDS CAPITAL INCOME BUILDER A | 0.00 | 1.20 | 0.00 | 1.20 | 92.0 | 1.10 |
| 03/01/2018 | ROSS, PATRICK | AM FUNDS CAPITAL INCOME BUILDER A | 0.00 | 0.63 | 0.00 | 0.63 | 92.0 | 0.58 |
| 03/01/2018 | ZARAGOZA, JULIE | AM FUNDS CAPITAL INCOME BUILDER A | 0.00 | 1.55 | 0.00 | 1.55 | 92.0 | 1.43 |
| 03/01/2018 | ZARAGOZA, VICTOR | AM FUNDS CAPITAL INCOME BUILDER A | 0.00 | 0.30 | 0.00 | 0.30 | 92.0 | 0.28 |
| 03/01/2018 | WHITTAKER, WILLIAM | AM FUNDS CAPITAL INCOME BUILDER A | 0.00 | 14.08 | 0.00 | 14.08 | 92.0 | 12.95 |
| 03/01/2018 | BEAUPREZ, TAMMY | AM FUNDS CAPITAL INCOME BUILDER A | 0.00 | 1.61 | 0.00 | 1.61 | 92.0 | 1.48 |
| 03/01/2018 | SCHNEE, LEO | AM FUNDS CAPITAL INCOME BUILDER A | 0.00 | 0.68 | 0.00 | 0.68 | 92.0 | 0.63 |
| 03/01/2018 | WARNER, COREY | AM FUNDS CAPITAL INCOME BUILDER A | 0.00 | 11.01 | 0.00 | 11.01 | 92.0 | 10.13 |
| 03/01/2018 | SCANLAN, DAVID | AM FUNDS CAPITAL INCOME BUILDER A | 0.00 | 4.05 | 0.00 | 4.05 | 92.0 | 3.73 |
| 03/01/2018 | OBERT, DEBORA | AM FUNDS CAPITAL INCOME BUILDER A | 0.00 | 1.07 | 0.00 | 1.07 | 92.0 | 0.98 |
| 03/01/2018 | GERMAN, MARIANNE | AM FUNDS CAPITAL INCOME BUILDER A | 0.00 | 1.91 | 0.00 | 1.91 | 92.0 | 1.76 |
| 03/01/2018 | CARVER, DENISE | AM FUNDS CAPITAL INCOME BUILDER A | 0.00 | 0.43 | 0.00 | 0.43 | 92.0 | 0.40 |
| 03/01/2018 | KRALL, CHRISTOPHER | AM FUNDS CAPITAL INCOME BUILDER A | 0.00 | 0.15 | 0.00 | 0.15 | 92.0 | 0.14 |
| 03/01/2018 | BRILLHART, GREGORY | AM FUNDS CAPITAL INCOME BUILDER A | 0.00 | 0.36 | 0.00 | 0.36 | 92.0 | 0.33 |
| 03/01/2018 | MCCLOSKEY, DANIEL | AM FUNDS CAPITAL INCOME BUILDER A | 0.00 | 0.97 | 0.00 | 0.97 | 92.0 | 0.89 |
| 03/01/2018 | KONZ, ORVEL | AM FUNDS CAPITAL INCOME BUILDER A | 0.00 | 2.22 | 0.00 | 2.22 | 92.0 | 2.04 |
| 03/01/2018 | KOZLOWSKI, KENNETH | AM FUNDS CAPITAL INCOME BUILDER A | 0.00 | 0.42 | 0.00 | 0.42 | 92.0 | 0.39 |
| 03/01/2018 | HAUETER, GREGORY | AM FUNDS CAPITAL INCOME BUILDER A | 0.00 | 1.52 | 0.00 | 1.52 | 92.0 | 1.40 |
| 03/01/2018 | FLEMING, ANDREA | AM FUNDS CAPITAL INCOME BUILDER A | 0.00 | 12.86 | 0.00 | 12.86 | 92.0 | 11.83 |
| 03/01/2018 | WALBERG, PAUL | AM FUNDS CAPITAL INCOME BUILDER A | 0.00 | 1.35 | 0.00 | 1.35 | 92.0 | 1.24 |
| 03/01/2018 | BEAUPREZ, TAMMY | AM FUNDS CAPITAL INCOME BUILDER A | 0.00 | 18.72 | 0.00 | 18.72 | 92.0 | 17.22 |
| 03/01/2018 | HALSEY, DEBORAH | AM FUNDS CAPITAL INCOME BUILDER A | 0.00 | 2.12 | 0.00 | 2.12 | 92.0 | 1.95 |
| 03/01/2018 | IRWIN, JOHN | AM FUNDS CAPITAL INCOME BUILDER A | 0.00 | 3.48 | 0.00 | 3.48 | 92.0 | 3.20 |
| 03/01/2018 | IRWIN, JOYCE | AM FUNDS CAPITAL INCOME BUILDER A | 0.00 | 0.79 | 0.00 | 0.79 | 92.0 | 0.73 |
| 03/01/2018 | BENSCH, JEFFREY | AM FUNDS CAPITAL INCOME BUILDER A | 0.00 | 3.96 | 0.00 | 3.96 | 92.0 | 3.64 |
| 03/01/2018 | HILES, MARC | AM FUNDS CAPITAL INCOME BUILDER A | 0.00 | 4.52 | 0.00 | 4.52 | 92.0 | 4.16 |
| 03/01/2018 | COLEMAN, LINDA | AM FUNDS CAPITAL INCOME BUILDER A | 0.00 | 2.18 | 0.00 | 2.18 | 92.0 | 2.01 |
| 03/01/2018 | SMITH, SUZANNE | AM FUNDS CAPITAL INCOME BUILDER A | 0.00 | 4.85 | 0.00 | 4.85 | 92.0 | 4.46 |

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| DATE | CLIENT | INVESTMENT | INVESTMENT AMOUNT | GROSS COMMISSION | CLEARING CHARGE | NET COMMISSION | RATE | BROKER COMMISSION |
|---|---------------------|-----------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <u>DIRECT TRANSACTIONS</u> | | | | | | | | |
| <u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u> | | | | | | | | |
| 03/01/2018 | DUBENDORFER, SUSAN | AM FUNDS CAPITAL INCOME BUILDER A | 0.00 | 0.92 | 0.00 | 0.92 | 92.0 | 0.85 |
| 03/01/2018 | COLEMAN, PARISS | AM FUNDS CAPITAL INCOME BUILDER A | 0.00 | 2.56 | 0.00 | 2.56 | 92.0 | 2.36 |
| 03/01/2018 | KOZLOWSKI, KATHLEEN | AM FUNDS CAPITAL INCOME BUILDER A | 0.00 | 4.02 | 0.00 | 4.02 | 92.0 | 3.70 |
| 03/01/2018 | PELLIONI, PAUL | AM FUNDS CAPITAL INCOME BUILDER A | 0.00 | 6.14 | 0.00 | 6.14 | 92.0 | 5.65 |
| 03/01/2018 | HALSEY, WILLIAM D | AM FUNDS CAPITAL INCOME BUILDER A | 0.00 | 5.36 | 0.00 | 5.36 | 92.0 | 4.93 |
| 03/01/2018 | WOODRUFF, STEPHANIE | AM FUNDS CAPITAL INCOME BUILDER A | 0.00 | 3.24 | 0.00 | 3.24 | 92.0 | 2.98 |
| 03/01/2018 | WAGONER JR, JOHN | AM FUNDS CAPITAL INCOME BUILDER A | 0.00 | 3.24 | 0.00 | 3.24 | 92.0 | 2.98 |
| 03/01/2018 | WAGONER JR, JOHN | AM FUNDS CAPITAL INCOME BUILDER A | 0.00 | 0.32 | 0.00 | 0.32 | 92.0 | 0.29 |
| 03/01/2018 | WASSERMAN, RICHARD | AM FUNDS CAPITAL INCOME BUILDER A | 0.00 | 0.23 | 0.00 | 0.23 | 92.0 | 0.21 |
| 03/01/2018 | GERMAN, MARIANNE | AM FUNDS CAPITAL INCOME BUILDER A | 0.00 | 2.01 | 0.00 | 2.01 | 92.0 | 1.85 |
| 03/01/2018 | GODFREY, TIMOTHY | AM FUNDS CAPITAL INCOME BUILDER A | 0.00 | 0.74 | 0.00 | 0.74 | 92.0 | 0.68 |
| 03/01/2018 | ZINK, ROBERT | AM FUNDS CAPITAL INCOME BUILDER A | 0.00 | 5.78 | 0.00 | 5.78 | 92.0 | 5.32 |
| 03/01/2018 | LARSON, PENNY | AM FUNDS CAPITAL INCOME BUILDER A | 0.00 | 2.25 | 0.00 | 2.25 | 92.0 | 2.07 |
| 03/01/2018 | COUSINO, NICHOLAS | AM FUNDS CAPITAL INCOME BUILDER A | 0.00 | 1.65 | 0.00 | 1.65 | 92.0 | 1.52 |
| 03/01/2018 | MCFARLAND, BRANDON | AM FUNDS CAPITAL INCOME BUILDER A | 0.00 | 0.10 | 0.00 | 0.10 | 92.0 | 0.09 |
| 03/01/2018 | DRAKE, ERIC | AM FUNDS CAPITAL INCOME BUILDER A | 0.00 | 0.54 | 0.00 | 0.54 | 92.0 | 0.50 |
| 03/01/2018 | WHITTAKER, CHERYL | AM FUNDS CAPITAL INCOME BUILDER A | 0.00 | 4.41 | 0.00 | 4.41 | 92.0 | 4.06 |
| 03/01/2018 | GROSVENOR, JOHN | AM FUNDS CAPITAL INCOME BUILDER A | 0.00 | 1.08 | 0.00 | 1.08 | 92.0 | 0.99 |
| 03/01/2018 | STOUT, DAVID | AM FUNDS CAPITAL INCOME BUILDER A | 0.00 | 2.10 | 0.00 | 2.10 | 92.0 | 1.93 |
| 03/01/2018 | FAIRCHILD, KERRY | AM FUNDS CAPITAL INCOME BUILDER A | 0.00 | 7.09 | 0.00 | 7.09 | 92.0 | 6.52 |
| 03/01/2018 | BIHN, JANELLE | AM FUNDS CAPITAL INCOME BUILDER A | 0.00 | 1.07 | 0.00 | 1.07 | 92.0 | 0.98 |
| 03/01/2018 | SPINKS, MICHAEL | AM FUNDS CAPITAL INCOME BUILDER A | 0.00 | 0.31 | 0.00 | 0.31 | 92.0 | 0.29 |
| 03/01/2018 | WHALEN, KELLY | AM FUNDS CAPITAL INCOME BUILDER A | 0.00 | 4.97 | 0.00 | 4.97 | 92.0 | 4.57 |
| 03/01/2018 | DEMKO, VERNA | AM FUNDS CAPITAL INCOME BUILDER A | 0.00 | 8.31 | 0.00 | 8.31 | 92.0 | 7.65 |
| 03/01/2018 | ENGLAND, HELEN | AM FUNDS CAPITAL INCOME BUILDER A | 0.00 | 2.23 | 0.00 | 2.23 | 92.0 | 2.05 |
| 03/01/2018 | MOON, CHARLES | AM FUNDS CAPITAL INCOME BUILDER A | 0.00 | 2.30 | 0.00 | 2.30 | 92.0 | 2.12 |
| 03/01/2018 | ROSS, NICOLE | AM FUNDS CAPITAL INCOME BUILDER A | 0.00 | 1.62 | 0.00 | 1.62 | 92.0 | 1.49 |
| 03/01/2018 | COLEMAN, PARISS | AM FUNDS CAPITAL INCOME BUILDER A | 0.00 | 10.84 | 0.00 | 10.84 | 92.0 | 9.97 |
| 03/01/2018 | ENGLAND, HELEN | AM FUNDS CAPITAL INCOME BUILDER A | 0.00 | 0.31 | 0.00 | 0.31 | 92.0 | 0.29 |
| 03/01/2018 | WASSERMAN, JULIE | AM FUNDS CAPITAL INCOME BUILDER C | 0.00 | 2.12 | 0.00 | 2.12 | 92.0 | 1.95 |
| 03/01/2018 | ECKHARDT, MELISSA | AM FUNDS CAPITAL WORLD BOND 529A | 0.00 | 3.16 | 0.00 | 3.16 | 92.0 | 2.91 |
| 03/01/2018 | ECKHARDT, MELISSA | AM FUNDS CAPITAL WORLD BOND 529A | 0.00 | 3.16 | 0.00 | 3.16 | 92.0 | 2.91 |
| 03/01/2018 | BLAKE, MIRIAM | AM FUNDS CAPITAL WORLD BOND A | 0.00 | 4.16 | 0.00 | 4.16 | 92.0 | 3.83 |

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|---|---------------------|-------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <u>DIRECT TRANSACTIONS</u> | | | | | | | | |
| <u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u> | | | | | | | | |
| 03/01/2018 | MOORE, GARY | AM FUNDS CAPITAL WORLD BOND A | 0.00 | 0.74 | 0.00 | 0.74 | 92.0 | 0.68 |
| 03/01/2018 | HEINAMAN, ROBERT | AM FUNDS CAPITAL WORLD BOND A | 0.00 | 0.50 | 0.00 | 0.50 | 92.0 | 0.46 |
| 03/01/2018 | BLAKE, MIRIAM | AM FUNDS CAPITAL WORLD BOND A | 0.00 | 0.47 | 0.00 | 0.47 | 92.0 | 0.43 |
| 03/01/2018 | MILLER, MICHAEL | AM FUNDS CAPITAL WORLD BOND A | 0.00 | 0.95 | 0.00 | 0.95 | 92.0 | 0.87 |
| 03/01/2018 | KOTLARCZYK, JOSEPH | AM FUNDS CAPITAL WORLD BOND A | 0.00 | 0.07 | 0.00 | 0.07 | 92.0 | 0.06 |
| 03/01/2018 | KRALL, GARY | AM FUNDS CAPITAL WORLD BOND A | 0.00 | 0.81 | 0.00 | 0.81 | 92.0 | 0.75 |
| 03/01/2018 | SUTHERLAND, BARBARA | AM FUNDS CAPITAL WORLD BOND A | 0.00 | 1.31 | 0.00 | 1.31 | 92.0 | 1.21 |
| 03/01/2018 | IRELAN, TED | AM FUNDS CAPITAL WORLD BOND A | 0.00 | 0.94 | 0.00 | 0.94 | 92.0 | 0.86 |
| 03/01/2018 | MOORE, LINDA | AM FUNDS CAPITAL WORLD BOND A | 0.00 | 2.47 | 0.00 | 2.47 | 92.0 | 2.27 |
| 03/01/2018 | SANDVIG TRUST, ANNE | AM FUNDS CAPITAL WORLD BOND A | 0.00 | 0.72 | 0.00 | 0.72 | 92.0 | 0.66 |
| 03/01/2018 | MURPHY, JACK | AM FUNDS CAPITAL WORLD BOND A | 0.00 | 1.44 | 0.00 | 1.44 | 92.0 | 1.32 |
| 03/01/2018 | HUDAK, NICHOLAS | AM FUNDS CAPITAL WORLD BOND A | 0.00 | 0.34 | 0.00 | 0.34 | 92.0 | 0.31 |
| 03/01/2018 | HUDAK, STASIA | AM FUNDS CAPITAL WORLD BOND A | 0.00 | 0.57 | 0.00 | 0.57 | 92.0 | 0.52 |
| 03/01/2018 | MURPHY, CAROL | AM FUNDS CAPITAL WORLD BOND A | 0.00 | 2.06 | 0.00 | 2.06 | 92.0 | 1.90 |
| 03/01/2018 | ISAACSON, ROBERT | AM FUNDS CAPITAL WORLD BOND A | 0.00 | 9.93 | 0.00 | 9.93 | 92.0 | 9.14 |
| 03/01/2018 | IRWIN, JOHN | AM FUNDS CAPITAL WORLD BOND A | 0.00 | 20.31 | 0.00 | 20.31 | 92.0 | 18.69 |
| 03/01/2018 | HAUSER, ROBERT | AM FUNDS CAPITAL WORLD BOND A | 0.00 | 5.70 | 0.00 | 5.70 | 92.0 | 5.24 |
| 03/01/2018 | SUTHERLAND, JOHN | AM FUNDS CAPITAL WORLD BOND A | 0.00 | 1.07 | 0.00 | 1.07 | 92.0 | 0.98 |
| 03/01/2018 | CURSON, STEVE | AM FUNDS CAPITAL WORLD BOND A | 0.00 | 0.67 | 0.00 | 0.67 | 92.0 | 0.62 |
| 03/01/2018 | LECHUGA, CARRIE | AM FUNDS CAPITAL WORLD BOND A | 0.00 | 0.17 | 0.00 | 0.17 | 92.0 | 0.16 |
| 03/01/2018 | SCHNEE, LEO | AM FUNDS CAPITAL WORLD BOND A | 0.00 | 0.47 | 0.00 | 0.47 | 92.0 | 0.43 |
| 03/01/2018 | OBERT, DEBORA | AM FUNDS CAPITAL WORLD BOND A | 0.00 | 0.81 | 0.00 | 0.81 | 92.0 | 0.75 |
| 03/01/2018 | GERMAN, MARIANNE | AM FUNDS CAPITAL WORLD BOND A | 0.00 | 0.49 | 0.00 | 0.49 | 92.0 | 0.45 |
| 03/01/2018 | WALBERG, PAUL | AM FUNDS CAPITAL WORLD BOND A | 0.00 | 0.99 | 0.00 | 0.99 | 92.0 | 0.91 |
| 03/01/2018 | IRWIN, JOHN | AM FUNDS CAPITAL WORLD BOND A | 0.00 | 1.69 | 0.00 | 1.69 | 92.0 | 1.55 |
| 03/01/2018 | KORAKAS, SANDRA | AM FUNDS CAPITAL WORLD BOND A | 0.00 | 0.19 | 0.00 | 0.19 | 92.0 | 0.17 |
| 03/01/2018 | DUBENDORFER, SUSAN | AM FUNDS CAPITAL WORLD BOND A | 0.00 | 0.47 | 0.00 | 0.47 | 92.0 | 0.43 |
| 03/01/2018 | WAGONER JR, JOHN | AM FUNDS CAPITAL WORLD BOND A | 0.00 | 0.47 | 0.00 | 0.47 | 92.0 | 0.43 |
| 03/01/2018 | WAGONER JR, JOHN | AM FUNDS CAPITAL WORLD BOND A | 0.00 | 0.47 | 0.00 | 0.47 | 92.0 | 0.43 |
| 03/01/2018 | WOODRUFF, STEPHANIE | AM FUNDS CAPITAL WORLD BOND A | 0.00 | 0.11 | 0.00 | 0.11 | 92.0 | 0.10 |
| 03/01/2018 | GERMAN, MARIANNE | AM FUNDS CAPITAL WORLD BOND A | 0.00 | 1.25 | 0.00 | 1.25 | 92.0 | 1.15 |
| 03/01/2018 | GODFREY, TIMOTHY | AM FUNDS CAPITAL WORLD BOND A | 0.00 | 0.46 | 0.00 | 0.46 | 92.0 | 0.42 |
| 03/01/2018 | ZINK, ROBERT | AM FUNDS CAPITAL WORLD BOND A | 0.00 | 4.30 | 0.00 | 4.30 | 92.0 | 3.96 |

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| DATE | CLIENT | INVESTMENT | INVESTMENT AMOUNT | GROSS COMMISSION | CLEARING CHARGE | NET COMMISSION | RATE | BROKER COMMISSION |
|---|-----------------------|-------------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <u>DIRECT TRANSACTIONS</u> | | | | | | | | |
| <u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u> | | | | | | | | |
| 03/01/2018 | DRAKE, ERIC | AM FUNDS CAPITAL WORLD BOND A | 0.00 | 0.53 | 0.00 | 0.53 | 92.0 | 0.49 |
| 03/01/2018 | WALLS, CONNOR | AM FUNDS CAPITAL WORLD BOND A | 0.00 | 1.71 | 0.00 | 1.71 | 92.0 | 1.57 |
| 03/01/2018 | WHALEN, KELLY | AM FUNDS CAPITAL WORLD BOND A | 0.00 | 4.57 | 0.00 | 4.57 | 92.0 | 4.20 |
| 03/01/2018 | MOON, CHARLES | AM FUNDS CAPITAL WORLD BOND A | 0.00 | 1.49 | 0.00 | 1.49 | 92.0 | 1.37 |
| 03/01/2018 | ZUCCARELL, MATTHEW | AM FUNDS CAPITAL WORLD GRTH & INC 5 | 0.00 | 0.48 | 0.00 | 0.48 | 92.0 | 0.44 |
| 03/01/2018 | COLEMAN, LINDA | AM FUNDS CAPITAL WORLD GRTH & INC 5 | 0.00 | 4.09 | 0.00 | 4.09 | 92.0 | 3.76 |
| 03/01/2018 | KORAL, ANDREW | AM FUNDS CAPITAL WORLD GRTH & INC 5 | 0.00 | 0.60 | 0.00 | 0.60 | 92.0 | 0.55 |
| 03/01/2018 | ROSS, MICHELLE L HUDS | AM FUNDS CAPITAL WORLD GRTH & INC 5 | 0.00 | 1.98 | 0.00 | 1.98 | 92.0 | 1.82 |
| 03/01/2018 | HUNTER, DEBORAH | AM FUNDS CAPITAL WORLD GRTH & INC 5 | 0.00 | 8.33 | 0.00 | 8.33 | 92.0 | 7.66 |
| 03/01/2018 | ZUCCARELL, MATTHEW | AM FUNDS CAPITAL WORLD GRTH & INC 5 | 0.00 | 0.50 | 0.00 | 0.50 | 92.0 | 0.46 |
| 03/01/2018 | BLAKE, MIRIAM | AM FUNDS CAPITAL WORLD GRTH & INC A | 0.00 | 3.39 | 0.00 | 3.39 | 92.0 | 3.12 |
| 03/01/2018 | HEINAMAN, ROBERT | AM FUNDS CAPITAL WORLD GRTH & INC A | 0.00 | 1.02 | 0.00 | 1.02 | 92.0 | 0.94 |
| 03/01/2018 | DREIER, DAVID | AM FUNDS CAPITAL WORLD GRTH & INC A | 0.00 | 6.70 | 0.00 | 6.70 | 92.0 | 6.16 |
| 03/01/2018 | BRUMMETT, DOUGLAS | AM FUNDS CAPITAL WORLD GRTH & INC A | 0.00 | 0.84 | 0.00 | 0.84 | 92.0 | 0.77 |
| 03/01/2018 | HEINAMAN, ROBERT | AM FUNDS CAPITAL WORLD GRTH & INC A | 0.00 | 15.82 | 0.00 | 15.82 | 92.0 | 14.55 |
| 03/01/2018 | COMBS, BRIAN | AM FUNDS CAPITAL WORLD GRTH & INC A | 0.00 | 2.72 | 0.00 | 2.72 | 92.0 | 2.50 |
| 03/01/2018 | SANDERSON, CATHY | AM FUNDS CAPITAL WORLD GRTH & INC A | 0.00 | 1.45 | 0.00 | 1.45 | 92.0 | 1.33 |
| 03/01/2018 | MILLER, MICHAEL | AM FUNDS CAPITAL WORLD GRTH & INC A | 0.00 | 2.26 | 0.00 | 2.26 | 92.0 | 2.08 |
| 03/01/2018 | SWINDLE, CYNTHIA | AM FUNDS CAPITAL WORLD GRTH & INC A | 0.00 | 0.75 | 0.00 | 0.75 | 92.0 | 0.69 |
| 03/01/2018 | SWINDLE, DARRYL | AM FUNDS CAPITAL WORLD GRTH & INC A | 0.00 | 1.14 | 0.00 | 1.14 | 92.0 | 1.05 |
| 03/01/2018 | PEARSON, JOHN | AM FUNDS CAPITAL WORLD GRTH & INC A | 0.00 | 1.86 | 0.00 | 1.86 | 92.0 | 1.71 |
| 03/01/2018 | KOTLARCZYK, JOSEPH | AM FUNDS CAPITAL WORLD GRTH & INC A | 0.00 | 34.14 | 0.00 | 34.14 | 92.0 | 31.41 |
| 03/01/2018 | KRALL, GARY | AM FUNDS CAPITAL WORLD GRTH & INC A | 0.00 | 2.48 | 0.00 | 2.48 | 92.0 | 2.28 |
| 03/01/2018 | MOLNAR, CONNIE | AM FUNDS CAPITAL WORLD GRTH & INC A | 0.00 | 4.16 | 0.00 | 4.16 | 92.0 | 3.83 |
| 03/01/2018 | IRELAN, TED | AM FUNDS CAPITAL WORLD GRTH & INC A | 0.00 | 1.84 | 0.00 | 1.84 | 92.0 | 1.69 |
| 03/01/2018 | KOZIARSKI, ROSEMARY | AM FUNDS CAPITAL WORLD GRTH & INC A | 0.00 | 0.04 | 0.00 | 0.04 | 92.0 | 0.04 |
| 03/01/2018 | ZUCCARELL, MATTHEW | AM FUNDS CAPITAL WORLD GRTH & INC A | 0.00 | 1.14 | 0.00 | 1.14 | 92.0 | 1.05 |
| 03/01/2018 | DAY, CHERYL | AM FUNDS CAPITAL WORLD GRTH & INC A | 0.00 | 0.56 | 0.00 | 0.56 | 92.0 | 0.52 |
| 03/01/2018 | ROSS, MICHELLE L HUDS | AM FUNDS CAPITAL WORLD GRTH & INC A | 0.00 | 1.24 | 0.00 | 1.24 | 92.0 | 1.14 |
| 03/01/2018 | GOYER, TIMOTHY | AM FUNDS CAPITAL WORLD GRTH & INC A | 0.00 | 4.62 | 0.00 | 4.62 | 92.0 | 4.25 |
| 03/01/2018 | ROSS, MICHAEL C HUDSO | AM FUNDS CAPITAL WORLD GRTH & INC A | 0.00 | 0.79 | 0.00 | 0.79 | 92.0 | 0.73 |
| 03/01/2018 | SWINDLE, DARRYL | AM FUNDS CAPITAL WORLD GRTH & INC A | 0.00 | 0.69 | 0.00 | 0.69 | 92.0 | 0.63 |
| 03/01/2018 | SMOOT, C STEVEN | AM FUNDS CAPITAL WORLD GRTH & INC A | 0.00 | 27.75 | 0.00 | 27.75 | 92.0 | 25.53 |

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| DATE | CLIENT | INVESTMENT | INVESTMENT AMOUNT | GROSS COMMISSION | CLEARING CHARGE | NET COMMISSION | RATE | BROKER COMMISSION |
|---|-----------------------|-------------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <u>DIRECT TRANSACTIONS</u> | | | | | | | | |
| <u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u> | | | | | | | | |
| 03/01/2018 | BENSCH, ARLYN | AM FUNDS CAPITAL WORLD GRTH & INC A | 0.00 | 3.50 | 0.00 | 3.50 | 92.0 | 3.22 |
| 03/01/2018 | KREMPA, CLAUDE | AM FUNDS CAPITAL WORLD GRTH & INC A | 0.00 | 4.01 | 0.00 | 4.01 | 92.0 | 3.69 |
| 03/01/2018 | MCCLOSKEY, DANIEL | AM FUNDS CAPITAL WORLD GRTH & INC A | 0.00 | 5.33 | 0.00 | 5.33 | 92.0 | 4.90 |
| 03/01/2018 | SHAFFER, LOREN | AM FUNDS CAPITAL WORLD GRTH & INC A | 0.00 | 1.81 | 0.00 | 1.81 | 92.0 | 1.67 |
| 03/01/2018 | HUNTER, MICHAEL | AM FUNDS CAPITAL WORLD GRTH & INC A | 0.00 | 3.86 | 0.00 | 3.86 | 92.0 | 3.55 |
| 03/01/2018 | BRILLHART, RYAN | AM FUNDS CAPITAL WORLD GRTH & INC A | 0.00 | 3.00 | 0.00 | 3.00 | 92.0 | 2.76 |
| 03/01/2018 | BRILLHART, RYAN | AM FUNDS CAPITAL WORLD GRTH & INC A | 0.00 | 1.25 | 0.00 | 1.25 | 92.0 | 1.15 |
| 03/01/2018 | MURPHY, CAROL | AM FUNDS CAPITAL WORLD GRTH & INC A | 0.00 | 7.49 | 0.00 | 7.49 | 92.0 | 6.89 |
| 03/01/2018 | BIHN, RONALD | AM FUNDS CAPITAL WORLD GRTH & INC A | 0.00 | 3.90 | 0.00 | 3.90 | 92.0 | 3.59 |
| 03/01/2018 | SHAFFER, DENISE | AM FUNDS CAPITAL WORLD GRTH & INC A | 0.00 | 4.42 | 0.00 | 4.42 | 92.0 | 4.07 |
| 03/01/2018 | MORNINGSTAR, MICHELLE | AM FUNDS CAPITAL WORLD GRTH & INC A | 0.00 | 0.79 | 0.00 | 0.79 | 92.0 | 0.73 |
| 03/01/2018 | ISAACSON, ROBERT | AM FUNDS CAPITAL WORLD GRTH & INC A | 0.00 | 6.05 | 0.00 | 6.05 | 92.0 | 5.57 |
| 03/01/2018 | IRWIN, JOHN | AM FUNDS CAPITAL WORLD GRTH & INC A | 0.00 | 20.14 | 0.00 | 20.14 | 92.0 | 18.53 |
| 03/01/2018 | HAUSER, RONALD | AM FUNDS CAPITAL WORLD GRTH & INC A | 0.00 | 8.48 | 0.00 | 8.48 | 92.0 | 7.80 |
| 03/01/2018 | WALLS, KIMBERLY | AM FUNDS CAPITAL WORLD GRTH & INC A | 0.00 | 0.53 | 0.00 | 0.53 | 92.0 | 0.49 |
| 03/01/2018 | TARRIS, CHRISTINE | AM FUNDS CAPITAL WORLD GRTH & INC A | 0.00 | 3.96 | 0.00 | 3.96 | 92.0 | 3.64 |
| 03/01/2018 | MCLAUGHLIN, JAIME | AM FUNDS CAPITAL WORLD GRTH & INC A | 0.00 | 0.55 | 0.00 | 0.55 | 92.0 | 0.51 |
| 03/01/2018 | KRAUS, JENNIFER | AM FUNDS CAPITAL WORLD GRTH & INC A | 0.00 | 2.54 | 0.00 | 2.54 | 92.0 | 2.34 |
| 03/01/2018 | SILLIMAN, JEFFREY | AM FUNDS CAPITAL WORLD GRTH & INC A | 0.00 | 5.99 | 0.00 | 5.99 | 92.0 | 5.51 |
| 03/01/2018 | GLORE, CHRISTINE | AM FUNDS CAPITAL WORLD GRTH & INC A | 0.00 | 6.78 | 0.00 | 6.78 | 92.0 | 6.24 |
| 03/01/2018 | SUTHERLAND, JOHN | AM FUNDS CAPITAL WORLD GRTH & INC A | 0.00 | 1.69 | 0.00 | 1.69 | 92.0 | 1.55 |
| 03/01/2018 | MOLNAR, JOSEPH | AM FUNDS CAPITAL WORLD GRTH & INC A | 0.00 | 3.71 | 0.00 | 3.71 | 92.0 | 3.41 |
| 03/01/2018 | KORAL, ANDREW | AM FUNDS CAPITAL WORLD GRTH & INC A | 0.00 | 1.48 | 0.00 | 1.48 | 92.0 | 1.36 |
| 03/01/2018 | FAIRCHILD, DANA | AM FUNDS CAPITAL WORLD GRTH & INC A | 0.00 | 4.13 | 0.00 | 4.13 | 92.0 | 3.80 |
| 03/01/2018 | BRILLHART, SHARON | AM FUNDS CAPITAL WORLD GRTH & INC A | 0.00 | 1.16 | 0.00 | 1.16 | 92.0 | 1.07 |
| 03/01/2018 | CASTOR, TIMOTHY | AM FUNDS CAPITAL WORLD GRTH & INC A | 0.00 | 0.98 | 0.00 | 0.98 | 92.0 | 0.90 |
| 03/01/2018 | HELMINIAK, CAROLYN | AM FUNDS CAPITAL WORLD GRTH & INC A | 0.00 | 2.91 | 0.00 | 2.91 | 92.0 | 2.68 |
| 03/01/2018 | CURSON, STEVE | AM FUNDS CAPITAL WORLD GRTH & INC A | 0.00 | 2.37 | 0.00 | 2.37 | 92.0 | 2.18 |
| 03/01/2018 | REED, RYAN | AM FUNDS CAPITAL WORLD GRTH & INC A | 0.00 | 3.21 | 0.00 | 3.21 | 92.0 | 2.95 |
| 03/01/2018 | REED, COLLEEN | AM FUNDS CAPITAL WORLD GRTH & INC A | 0.00 | 3.21 | 0.00 | 3.21 | 92.0 | 2.95 |
| 03/01/2018 | SILLIMAN, GRACE | AM FUNDS CAPITAL WORLD GRTH & INC A | 0.00 | 2.98 | 0.00 | 2.98 | 92.0 | 2.74 |
| 03/01/2018 | MORRIS, MARIANNE | AM FUNDS CAPITAL WORLD GRTH & INC A | 0.00 | 0.11 | 0.00 | 0.11 | 92.0 | 0.10 |
| 03/01/2018 | GARDNER, SHANNON | AM FUNDS CAPITAL WORLD GRTH & INC A | 0.00 | 1.62 | 0.00 | 1.62 | 92.0 | 1.49 |

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| DATE | CLIENT | INVESTMENT | INVESTMENT AMOUNT | GROSS COMMISSION | CLEARING CHARGE | NET COMMISSION | RATE | BROKER COMMISSION |
|---|---------------------|-------------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <u>DIRECT TRANSACTIONS</u> | | | | | | | | |
| <u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u> | | | | | | | | |
| 03/01/2018 | GARDNER, PATRICIA | AM FUNDS CAPITAL WORLD GRTH & INC A | 0.00 | 1.62 | 0.00 | 1.62 | 92.0 | 1.49 |
| 03/01/2018 | ROSS, KRISTINE | AM FUNDS CAPITAL WORLD GRTH & INC A | 0.00 | 1.61 | 0.00 | 1.61 | 92.0 | 1.48 |
| 03/01/2018 | GARDNER, SHANNON | AM FUNDS CAPITAL WORLD GRTH & INC A | 0.00 | 0.49 | 0.00 | 0.49 | 92.0 | 0.45 |
| 03/01/2018 | GARDNER, PATRICIA | AM FUNDS CAPITAL WORLD GRTH & INC A | 0.00 | 0.31 | 0.00 | 0.31 | 92.0 | 0.29 |
| 03/01/2018 | KISER, ELIZABETH | AM FUNDS CAPITAL WORLD GRTH & INC A | 0.00 | 1.56 | 0.00 | 1.56 | 92.0 | 1.44 |
| 03/01/2018 | KISER, EDWARD | AM FUNDS CAPITAL WORLD GRTH & INC A | 0.00 | 1.62 | 0.00 | 1.62 | 92.0 | 1.49 |
| 03/01/2018 | ZARAGOZA, JULIE | AM FUNDS CAPITAL WORLD GRTH & INC A | 0.00 | 1.55 | 0.00 | 1.55 | 92.0 | 1.43 |
| 03/01/2018 | ZARAGOZA, VICTOR | AM FUNDS CAPITAL WORLD GRTH & INC A | 0.00 | 0.55 | 0.00 | 0.55 | 92.0 | 0.51 |
| 03/01/2018 | WHITTAKER, WILLIAM | AM FUNDS CAPITAL WORLD GRTH & INC A | 0.00 | 9.33 | 0.00 | 9.33 | 92.0 | 8.58 |
| 03/01/2018 | WHITTAKER, WILLIAM | AM FUNDS CAPITAL WORLD GRTH & INC A | 0.00 | 15.64 | 0.00 | 15.64 | 92.0 | 14.39 |
| 03/01/2018 | BEAUPREZ, TAMMY | AM FUNDS CAPITAL WORLD GRTH & INC A | 0.00 | 1.49 | 0.00 | 1.49 | 92.0 | 1.37 |
| 03/01/2018 | MURD, FRANCIS | AM FUNDS CAPITAL WORLD GRTH & INC A | 0.00 | 0.32 | 0.00 | 0.32 | 92.0 | 0.29 |
| 03/01/2018 | WARNER, COREY | AM FUNDS CAPITAL WORLD GRTH & INC A | 0.00 | 11.81 | 0.00 | 11.81 | 92.0 | 10.87 |
| 03/01/2018 | SCANLAN, DAVID | AM FUNDS CAPITAL WORLD GRTH & INC A | 0.00 | 5.64 | 0.00 | 5.64 | 92.0 | 5.19 |
| 03/01/2018 | OBERT, RONALD | AM FUNDS CAPITAL WORLD GRTH & INC A | 0.00 | 1.05 | 0.00 | 1.05 | 92.0 | 0.97 |
| 03/01/2018 | OBERT, DEBORA | AM FUNDS CAPITAL WORLD GRTH & INC A | 0.00 | 1.07 | 0.00 | 1.07 | 92.0 | 0.98 |
| 03/01/2018 | CARVER, DENISE | AM FUNDS CAPITAL WORLD GRTH & INC A | 0.00 | 0.51 | 0.00 | 0.51 | 92.0 | 0.47 |
| 03/01/2018 | FISCHER, DAVID | AM FUNDS CAPITAL WORLD GRTH & INC A | 0.00 | 4.04 | 0.00 | 4.04 | 92.0 | 3.72 |
| 03/01/2018 | MCCLOSKEY, DANIEL | AM FUNDS CAPITAL WORLD GRTH & INC A | 0.00 | 2.68 | 0.00 | 2.68 | 92.0 | 2.47 |
| 03/01/2018 | KONZ, ORVEL | AM FUNDS CAPITAL WORLD GRTH & INC A | 0.00 | 1.68 | 0.00 | 1.68 | 92.0 | 1.55 |
| 03/01/2018 | FLEMING, ANDREA | AM FUNDS CAPITAL WORLD GRTH & INC A | 0.00 | 12.48 | 0.00 | 12.48 | 92.0 | 11.48 |
| 03/01/2018 | BEAUPREZ, TAMMY | AM FUNDS CAPITAL WORLD GRTH & INC A | 0.00 | 19.78 | 0.00 | 19.78 | 92.0 | 18.20 |
| 03/01/2018 | HALSEY, DEBORAH | AM FUNDS CAPITAL WORLD GRTH & INC A | 0.00 | 2.36 | 0.00 | 2.36 | 92.0 | 2.17 |
| 03/01/2018 | KORAKAS, SANDRA | AM FUNDS CAPITAL WORLD GRTH & INC A | 0.00 | 1.26 | 0.00 | 1.26 | 92.0 | 1.16 |
| 03/01/2018 | BENSCH, JEFFREY | AM FUNDS CAPITAL WORLD GRTH & INC A | 0.00 | 2.46 | 0.00 | 2.46 | 92.0 | 2.26 |
| 03/01/2018 | HILES, MARC | AM FUNDS CAPITAL WORLD GRTH & INC A | 0.00 | 5.46 | 0.00 | 5.46 | 92.0 | 5.02 |
| 03/01/2018 | COLEMAN, LINDA | AM FUNDS CAPITAL WORLD GRTH & INC A | 0.00 | 2.41 | 0.00 | 2.41 | 92.0 | 2.22 |
| 03/01/2018 | COLEMAN, PARISS | AM FUNDS CAPITAL WORLD GRTH & INC A | 0.00 | 1.60 | 0.00 | 1.60 | 92.0 | 1.47 |
| 03/01/2018 | KOZLOWSKI, KATHLEEN | AM FUNDS CAPITAL WORLD GRTH & INC A | 0.00 | 2.56 | 0.00 | 2.56 | 92.0 | 2.36 |
| 03/01/2018 | GOYER, CALLIE | AM FUNDS CAPITAL WORLD GRTH & INC A | 0.00 | 4.06 | 0.00 | 4.06 | 92.0 | 3.74 |
| 03/01/2018 | HALSEY, WILLIAM D | AM FUNDS CAPITAL WORLD GRTH & INC A | 0.00 | 6.22 | 0.00 | 6.22 | 92.0 | 5.72 |
| 03/01/2018 | WOODRUFF, STEPHANIE | AM FUNDS CAPITAL WORLD GRTH & INC A | 0.00 | 1.83 | 0.00 | 1.83 | 92.0 | 1.68 |
| 03/01/2018 | WOODRUFF, STEPHANIE | AM FUNDS CAPITAL WORLD GRTH & INC A | 0.00 | 0.36 | 0.00 | 0.36 | 92.0 | 0.33 |

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|---|----------------------|-------------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <u>DIRECT TRANSACTIONS</u> | | | | | | | | |
| <u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u> | | | | | | | | |
| 03/01/2018 | COUSINO, NICHOLAS | AM FUNDS CAPITAL WORLD GRTH & INC A | 0.00 | 0.80 | 0.00 | 0.80 | 92.0 | 0.74 |
| 03/01/2018 | GOYER, GRACE | AM FUNDS CAPITAL WORLD GRTH & INC A | 0.00 | 3.31 | 0.00 | 3.31 | 92.0 | 3.05 |
| 03/01/2018 | FAIRCHILD, KERRY | AM FUNDS CAPITAL WORLD GRTH & INC A | 0.00 | 3.10 | 0.00 | 3.10 | 92.0 | 2.85 |
| 03/01/2018 | WHALEN, KELLY | AM FUNDS CAPITAL WORLD GRTH & INC A | 0.00 | 5.50 | 0.00 | 5.50 | 92.0 | 5.06 |
| 03/01/2018 | ROSS, NICOLE | AM FUNDS CAPITAL WORLD GRTH & INC A | 0.00 | 1.40 | 0.00 | 1.40 | 92.0 | 1.29 |
| 03/01/2018 | COLEMAN, PARISS | AM FUNDS CAPITAL WORLD GRTH & INC A | 0.00 | 5.71 | 0.00 | 5.71 | 92.0 | 5.25 |
| 03/01/2018 | BARE, HELEN | AM FUNDS COLLEGE 2030 FUND 529A | 0.00 | 0.26 | 0.00 | 0.26 | 92.0 | 0.24 |
| 03/01/2018 | COLEMAN, LINDA | AM FUNDS EUROPACIFIC GROWTH FUND 52 | 0.00 | 1.22 | 0.00 | 1.22 | 92.0 | 1.12 |
| 03/01/2018 | HUNTER, DEBORAH | AM FUNDS EUROPACIFIC GROWTH FUND 52 | 0.00 | 0.36 | 0.00 | 0.36 | 92.0 | 0.33 |
| 03/01/2018 | BLAKE, MIRIAM | AM FUNDS EUROPACIFIC GROWTH FUND A | 0.00 | 0.62 | 0.00 | 0.62 | 92.0 | 0.57 |
| 03/01/2018 | DREIER, DAVID | AM FUNDS EUROPACIFIC GROWTH FUND A | 0.00 | 1.20 | 0.00 | 1.20 | 92.0 | 1.10 |
| 03/01/2018 | COMBS, BRIAN | AM FUNDS EUROPACIFIC GROWTH FUND A | 0.00 | 1.90 | 0.00 | 1.90 | 92.0 | 1.75 |
| 03/01/2018 | SANDERSON, CATHY | AM FUNDS EUROPACIFIC GROWTH FUND A | 0.00 | 1.07 | 0.00 | 1.07 | 92.0 | 0.98 |
| 03/01/2018 | MILLER, MICHAEL | AM FUNDS EUROPACIFIC GROWTH FUND A | 0.00 | 0.47 | 0.00 | 0.47 | 92.0 | 0.43 |
| 03/01/2018 | SWINDLE, DARRYL | AM FUNDS EUROPACIFIC GROWTH FUND A | 0.00 | 1.55 | 0.00 | 1.55 | 92.0 | 1.43 |
| 03/01/2018 | KOZIARSKI, LAURA | AM FUNDS EUROPACIFIC GROWTH FUND A | 0.00 | 7.73 | 0.00 | 7.73 | 92.0 | 7.11 |
| 03/01/2018 | DECKER, MARY BETH | AM FUNDS EUROPACIFIC GROWTH FUND A | 0.00 | 0.86 | 0.00 | 0.86 | 92.0 | 0.79 |
| 03/01/2018 | HOLT, JEAN | AM FUNDS EUROPACIFIC GROWTH FUND A | 0.00 | 5.52 | 0.00 | 5.52 | 92.0 | 5.08 |
| 03/01/2018 | HENDERSON, BARBARA | AM FUNDS EUROPACIFIC GROWTH FUND A | 0.00 | 5.01 | 0.00 | 5.01 | 92.0 | 4.61 |
| 03/01/2018 | RUMSCHLAG, DOUGLAS | AM FUNDS EUROPACIFIC GROWTH FUND A | 0.00 | 0.27 | 0.00 | 0.27 | 92.0 | 0.25 |
| 03/01/2018 | KOTLARCZYK, JOSEPH | AM FUNDS EUROPACIFIC GROWTH FUND A | 0.00 | 22.51 | 0.00 | 22.51 | 92.0 | 20.71 |
| 03/01/2018 | KRALL, GARY | AM FUNDS EUROPACIFIC GROWTH FUND A | 0.00 | 0.78 | 0.00 | 0.78 | 92.0 | 0.72 |
| 03/01/2018 | SUTHERLAND, BARBARA | AM FUNDS EUROPACIFIC GROWTH FUND A | 0.00 | 1.28 | 0.00 | 1.28 | 92.0 | 1.18 |
| 03/01/2018 | MOLNAR, CONNIE | AM FUNDS EUROPACIFIC GROWTH FUND A | 0.00 | 2.99 | 0.00 | 2.99 | 92.0 | 2.75 |
| 03/01/2018 | GOYER, TIMOTHY | AM FUNDS EUROPACIFIC GROWTH FUND A | 0.00 | 2.91 | 0.00 | 2.91 | 92.0 | 2.68 |
| 03/01/2018 | SMOOT, C STEVEN | AM FUNDS EUROPACIFIC GROWTH FUND A | 0.00 | 27.42 | 0.00 | 27.42 | 92.0 | 25.23 |
| 03/01/2018 | MARKJA, BERNADINE | AM FUNDS EUROPACIFIC GROWTH FUND A | 0.00 | 2.73 | 0.00 | 2.73 | 92.0 | 2.51 |
| 03/01/2018 | URSITTI, MATTHEW | AM FUNDS EUROPACIFIC GROWTH FUND A | 0.00 | 3.06 | 0.00 | 3.06 | 92.0 | 2.82 |
| 03/01/2018 | BRAITHWAITE, WILLIAM | AM FUNDS EUROPACIFIC GROWTH FUND A | 0.00 | 0.90 | 0.00 | 0.90 | 92.0 | 0.83 |
| 03/01/2018 | SHAFFER, LOREN | AM FUNDS EUROPACIFIC GROWTH FUND A | 0.00 | 0.95 | 0.00 | 0.95 | 92.0 | 0.87 |
| 03/01/2018 | HUNTER, MICHAEL | AM FUNDS EUROPACIFIC GROWTH FUND A | 0.00 | 3.34 | 0.00 | 3.34 | 92.0 | 3.07 |
| 03/01/2018 | BRILLHART, RYAN | AM FUNDS EUROPACIFIC GROWTH FUND A | 0.00 | 0.65 | 0.00 | 0.65 | 92.0 | 0.60 |
| 03/01/2018 | BRILLHART, RYAN | AM FUNDS EUROPACIFIC GROWTH FUND A | 0.00 | 1.16 | 0.00 | 1.16 | 92.0 | 1.07 |

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|---|--------------------|------------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <u>DIRECT TRANSACTIONS</u> | | | | | | | | |
| <u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u> | | | | | | | | |
| 03/01/2018 | MURPHY, JACK | AM FUNDS EUROPACIFIC GROWTH FUND A | 0.00 | 1.55 | 0.00 | 1.55 | 92.0 | 1.43 |
| 03/01/2018 | KOTLARCYK, JOSEPH | AM FUNDS EUROPACIFIC GROWTH FUND A | 0.00 | 0.78 | 0.00 | 0.78 | 92.0 | 0.72 |
| 03/01/2018 | KOTLARCYK, JANA | AM FUNDS EUROPACIFIC GROWTH FUND A | 0.00 | 0.87 | 0.00 | 0.87 | 92.0 | 0.80 |
| 03/01/2018 | HUDAK, NICHOLAS | AM FUNDS EUROPACIFIC GROWTH FUND A | 0.00 | 0.94 | 0.00 | 0.94 | 92.0 | 0.86 |
| 03/01/2018 | HUDAK, STASIA | AM FUNDS EUROPACIFIC GROWTH FUND A | 0.00 | 0.94 | 0.00 | 0.94 | 92.0 | 0.86 |
| 03/01/2018 | HARRISON, JEFFERY | AM FUNDS EUROPACIFIC GROWTH FUND A | 0.00 | 4.14 | 0.00 | 4.14 | 92.0 | 3.81 |
| 03/01/2018 | GLORE, DANIEL | AM FUNDS EUROPACIFIC GROWTH FUND A | 0.00 | 0.96 | 0.00 | 0.96 | 92.0 | 0.88 |
| 03/01/2018 | MURPHY, CAROL | AM FUNDS EUROPACIFIC GROWTH FUND A | 0.00 | 2.19 | 0.00 | 2.19 | 92.0 | 2.01 |
| 03/01/2018 | SHAFFER, DENISE | AM FUNDS EUROPACIFIC GROWTH FUND A | 0.00 | 4.13 | 0.00 | 4.13 | 92.0 | 3.80 |
| 03/01/2018 | WALLS, KIMBERLY | AM FUNDS EUROPACIFIC GROWTH FUND A | 0.00 | 0.42 | 0.00 | 0.42 | 92.0 | 0.39 |
| 03/01/2018 | SILLIMAN, JEFFREY | AM FUNDS EUROPACIFIC GROWTH FUND A | 0.00 | 1.72 | 0.00 | 1.72 | 92.0 | 1.58 |
| 03/01/2018 | GLORE, CHRISTINE | AM FUNDS EUROPACIFIC GROWTH FUND A | 0.00 | 3.47 | 0.00 | 3.47 | 92.0 | 3.19 |
| 03/01/2018 | MOLNAR, JOSEPH | AM FUNDS EUROPACIFIC GROWTH FUND A | 0.00 | 1.81 | 0.00 | 1.81 | 92.0 | 1.67 |
| 03/01/2018 | HELMINIAK, CAROLYN | AM FUNDS EUROPACIFIC GROWTH FUND A | 0.00 | 0.72 | 0.00 | 0.72 | 92.0 | 0.66 |
| 03/01/2018 | CURSON, STEVE | AM FUNDS EUROPACIFIC GROWTH FUND A | 0.00 | 1.29 | 0.00 | 1.29 | 92.0 | 1.19 |
| 03/01/2018 | REED, RYAN | AM FUNDS EUROPACIFIC GROWTH FUND A | 0.00 | 2.17 | 0.00 | 2.17 | 92.0 | 2.00 |
| 03/01/2018 | REED, COLLEEN | AM FUNDS EUROPACIFIC GROWTH FUND A | 0.00 | 2.17 | 0.00 | 2.17 | 92.0 | 2.00 |
| 03/01/2018 | SILLIMAN, GRACE | AM FUNDS EUROPACIFIC GROWTH FUND A | 0.00 | 1.55 | 0.00 | 1.55 | 92.0 | 1.43 |
| 03/01/2018 | GARDNER, SHANNON | AM FUNDS EUROPACIFIC GROWTH FUND A | 0.00 | 1.49 | 0.00 | 1.49 | 92.0 | 1.37 |
| 03/01/2018 | GARDNER, PATRICIA | AM FUNDS EUROPACIFIC GROWTH FUND A | 0.00 | 1.49 | 0.00 | 1.49 | 92.0 | 1.37 |
| 03/01/2018 | KISER, ELIZABETH | AM FUNDS EUROPACIFIC GROWTH FUND A | 0.00 | 1.40 | 0.00 | 1.40 | 92.0 | 1.29 |
| 03/01/2018 | KISER, EDWARD | AM FUNDS EUROPACIFIC GROWTH FUND A | 0.00 | 1.46 | 0.00 | 1.46 | 92.0 | 1.34 |
| 03/01/2018 | WHITTAKER, WILLIAM | AM FUNDS EUROPACIFIC GROWTH FUND A | 0.00 | 6.63 | 0.00 | 6.63 | 92.0 | 6.10 |
| 03/01/2018 | WHITTAKER, WILLIAM | AM FUNDS EUROPACIFIC GROWTH FUND A | 0.00 | 29.52 | 0.00 | 29.52 | 92.0 | 27.16 |
| 03/01/2018 | BEAUPREZ, TAMMY | AM FUNDS EUROPACIFIC GROWTH FUND A | 0.00 | 1.45 | 0.00 | 1.45 | 92.0 | 1.33 |
| 03/01/2018 | WARNER, COREY | AM FUNDS EUROPACIFIC GROWTH FUND A | 0.00 | 7.09 | 0.00 | 7.09 | 92.0 | 6.52 |
| 03/01/2018 | SCANLAN, DAVID | AM FUNDS EUROPACIFIC GROWTH FUND A | 0.00 | 2.37 | 0.00 | 2.37 | 92.0 | 2.18 |
| 03/01/2018 | CARVER, DENISE | AM FUNDS EUROPACIFIC GROWTH FUND A | 0.00 | 0.44 | 0.00 | 0.44 | 92.0 | 0.40 |
| 03/01/2018 | FLEMING, ANDREA | AM FUNDS EUROPACIFIC GROWTH FUND A | 0.00 | 6.38 | 0.00 | 6.38 | 92.0 | 5.87 |
| 03/01/2018 | BEAUPREZ, TAMMY | AM FUNDS EUROPACIFIC GROWTH FUND A | 0.00 | 8.20 | 0.00 | 8.20 | 92.0 | 7.54 |
| 03/01/2018 | KORAKAS, SANDRA | AM FUNDS EUROPACIFIC GROWTH FUND A | 0.00 | 1.35 | 0.00 | 1.35 | 92.0 | 1.24 |
| 03/01/2018 | GOYER, CALLIE | AM FUNDS EUROPACIFIC GROWTH FUND A | 0.00 | 2.20 | 0.00 | 2.20 | 92.0 | 2.02 |
| 03/01/2018 | HALSEY, WILLIAM D | AM FUNDS EUROPACIFIC GROWTH FUND A | 0.00 | 2.85 | 0.00 | 2.85 | 92.0 | 2.62 |

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

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

| DATE | CLIENT | INVESTMENT | INVESTMENT AMOUNT | GROSS COMMISSION | CLEARING CHARGE | NET COMMISSION | RATE | BROKER COMMISSION |
|---|----------------------|-------------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <u>DIRECT TRANSACTIONS</u> | | | | | | | | |
| <u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u> | | | | | | | | |
| 03/01/2018 | DUNNE, JAMES | AM FUNDS EUROPACIFIC GROWTH FUND A | 0.00 | 11.24 | 0.00 | 11.24 | 92.0 | 10.34 |
| 03/01/2018 | WOODRUFF, STEPHANIE | AM FUNDS EUROPACIFIC GROWTH FUND A | 0.00 | 0.34 | 0.00 | 0.34 | 92.0 | 0.31 |
| 03/01/2018 | GOYER, GRACE | AM FUNDS EUROPACIFIC GROWTH FUND A | 0.00 | 1.43 | 0.00 | 1.43 | 92.0 | 1.32 |
| 03/01/2018 | WHITTAKER, CHERYL | AM FUNDS EUROPACIFIC GROWTH FUND A | 0.00 | 4.98 | 0.00 | 4.98 | 92.0 | 4.58 |
| 03/01/2018 | ROSS, NICOLE | AM FUNDS EUROPACIFIC GROWTH FUND A | 0.00 | 1.15 | 0.00 | 1.15 | 92.0 | 1.06 |
| 03/01/2018 | SEYMOUR, DONALD | AM FUNDS EUROPACIFIC GROWTH FUND C | 0.00 | 19.67 | 0.00 | 19.67 | 92.0 | 18.10 |
| 03/01/2018 | ZUCCARELL, MATTHEW | AM FUNDS FUNDAMENTAL INVESTORS 529A | 0.00 | 0.55 | 0.00 | 0.55 | 92.0 | 0.51 |
| 03/01/2018 | COLEMAN, LINDA | AM FUNDS FUNDAMENTAL INVESTORS 529A | 0.00 | 1.78 | 0.00 | 1.78 | 92.0 | 1.64 |
| 03/01/2018 | HUNTER, DEBORAH | AM FUNDS FUNDAMENTAL INVESTORS 529A | 0.00 | 0.31 | 0.00 | 0.31 | 92.0 | 0.29 |
| 03/01/2018 | ZUCCARELL, MATTHEW | AM FUNDS FUNDAMENTAL INVESTORS 529A | 0.00 | 0.52 | 0.00 | 0.52 | 92.0 | 0.48 |
| 03/01/2018 | HEINAMAN, ROBERT | AM FUNDS FUNDAMENTAL INVESTORS A | 0.00 | 0.80 | 0.00 | 0.80 | 92.0 | 0.74 |
| 03/01/2018 | DREIER, DAVID | AM FUNDS FUNDAMENTAL INVESTORS A | 0.00 | 2.07 | 0.00 | 2.07 | 92.0 | 1.90 |
| 03/01/2018 | BRUMMETT, DOUGLAS | AM FUNDS FUNDAMENTAL INVESTORS A | 0.00 | 0.49 | 0.00 | 0.49 | 92.0 | 0.45 |
| 03/01/2018 | HEINAMAN, ROBERT | AM FUNDS FUNDAMENTAL INVESTORS A | 0.00 | 9.00 | 0.00 | 9.00 | 92.0 | 8.28 |
| 03/01/2018 | MILLER, MICHAEL | AM FUNDS FUNDAMENTAL INVESTORS A | 0.00 | 3.02 | 0.00 | 3.02 | 92.0 | 2.78 |
| 03/01/2018 | SWINDLE, DARRYL | AM FUNDS FUNDAMENTAL INVESTORS A | 0.00 | 2.25 | 0.00 | 2.25 | 92.0 | 2.07 |
| 03/01/2018 | KOZIARSKI, LAURA | AM FUNDS FUNDAMENTAL INVESTORS A | 0.00 | 1.01 | 0.00 | 1.01 | 92.0 | 0.93 |
| 03/01/2018 | DECKER, MARY BETH | AM FUNDS FUNDAMENTAL INVESTORS A | 0.00 | 0.93 | 0.00 | 0.93 | 92.0 | 0.86 |
| 03/01/2018 | PEARSON, JOHN | AM FUNDS FUNDAMENTAL INVESTORS A | 0.00 | 0.38 | 0.00 | 0.38 | 92.0 | 0.35 |
| 03/01/2018 | KOTLARCYK, JOSEPH | AM FUNDS FUNDAMENTAL INVESTORS A | 0.00 | 15.09 | 0.00 | 15.09 | 92.0 | 13.88 |
| 03/01/2018 | KRALL, GARY | AM FUNDS FUNDAMENTAL INVESTORS A | 0.00 | 1.39 | 0.00 | 1.39 | 92.0 | 1.28 |
| 03/01/2018 | MOLNAR, CONNIE | AM FUNDS FUNDAMENTAL INVESTORS A | 0.00 | 4.97 | 0.00 | 4.97 | 92.0 | 4.57 |
| 03/01/2018 | ONEY, LINDA | AM FUNDS FUNDAMENTAL INVESTORS A | 0.00 | 46.19 | 0.00 | 46.19 | 92.0 | 42.49 |
| 03/01/2018 | IRELAN, TED | AM FUNDS FUNDAMENTAL INVESTORS A | 0.00 | 1.78 | 0.00 | 1.78 | 92.0 | 1.64 |
| 03/01/2018 | ZUCCARELL, HEATHER | AM FUNDS FUNDAMENTAL INVESTORS A | 0.00 | 1.14 | 0.00 | 1.14 | 92.0 | 1.05 |
| 03/01/2018 | ZUCCARELL, MATTHEW | AM FUNDS FUNDAMENTAL INVESTORS A | 0.00 | 2.82 | 0.00 | 2.82 | 92.0 | 2.59 |
| 03/01/2018 | WOODRUFF, AUSTIN | AM FUNDS FUNDAMENTAL INVESTORS A | 0.00 | 2.29 | 0.00 | 2.29 | 92.0 | 2.11 |
| 03/01/2018 | GOYER, TIMOTHY | AM FUNDS FUNDAMENTAL INVESTORS A | 0.00 | 3.19 | 0.00 | 3.19 | 92.0 | 2.93 |
| 03/01/2018 | SMOOT, C STEVEN | AM FUNDS FUNDAMENTAL INVESTORS A | 0.00 | 31.62 | 0.00 | 31.62 | 92.0 | 29.09 |
| 03/01/2018 | MARKJA, BERNADINE | AM FUNDS FUNDAMENTAL INVESTORS A | 0.00 | 4.09 | 0.00 | 4.09 | 92.0 | 3.76 |
| 03/01/2018 | BRAITHWAITE, WILLIAM | AM FUNDS FUNDAMENTAL INVESTORS A | 0.00 | 1.65 | 0.00 | 1.65 | 92.0 | 1.52 |
| 03/01/2018 | KREMPA, CLAUDE | AM FUNDS FUNDAMENTAL INVESTORS A | 0.00 | 2.39 | 0.00 | 2.39 | 92.0 | 2.20 |
| 03/01/2018 | MCCLOSKEY, DANIEL | AM FUNDS FUNDAMENTAL INVESTORS A | 0.00 | 1.35 | 0.00 | 1.35 | 92.0 | 1.24 |

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| DATE | CLIENT | INVESTMENT | INVESTMENT AMOUNT | GROSS COMMISSION | CLEARING CHARGE | NET COMMISSION | RATE | BROKER COMMISSION |
|---|---------------------|----------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <u>DIRECT TRANSACTIONS</u> | | | | | | | | |
| <u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u> | | | | | | | | |
| 03/01/2018 | SHAFFER, LOREN | AM FUNDS FUNDAMENTAL INVESTORS A | 0.00 | 2.04 | 0.00 | 2.04 | 92.0 | 1.88 |
| 03/01/2018 | HUNTER, MICHAEL | AM FUNDS FUNDAMENTAL INVESTORS A | 0.00 | 3.31 | 0.00 | 3.31 | 92.0 | 3.05 |
| 03/01/2018 | MURPHY, JACK | AM FUNDS FUNDAMENTAL INVESTORS A | 0.00 | 2.67 | 0.00 | 2.67 | 92.0 | 2.46 |
| 03/01/2018 | KOTLARCZYK, JANA | AM FUNDS FUNDAMENTAL INVESTORS A | 0.00 | 2.15 | 0.00 | 2.15 | 92.0 | 1.98 |
| 03/01/2018 | HUDAK, NICHOLAS | AM FUNDS FUNDAMENTAL INVESTORS A | 0.00 | 0.88 | 0.00 | 0.88 | 92.0 | 0.81 |
| 03/01/2018 | HUDAK, STASIA | AM FUNDS FUNDAMENTAL INVESTORS A | 0.00 | 0.88 | 0.00 | 0.88 | 92.0 | 0.81 |
| 03/01/2018 | MURPHY, CAROL | AM FUNDS FUNDAMENTAL INVESTORS A | 0.00 | 6.07 | 0.00 | 6.07 | 92.0 | 5.58 |
| 03/01/2018 | BIHN, RONALD | AM FUNDS FUNDAMENTAL INVESTORS A | 0.00 | 3.30 | 0.00 | 3.30 | 92.0 | 3.04 |
| 03/01/2018 | SHAFFER, DENISE | AM FUNDS FUNDAMENTAL INVESTORS A | 0.00 | 5.23 | 0.00 | 5.23 | 92.0 | 4.81 |
| 03/01/2018 | WASSERMAN, JULIE | AM FUNDS FUNDAMENTAL INVESTORS A | 0.00 | 0.85 | 0.00 | 0.85 | 92.0 | 0.78 |
| 03/01/2018 | IRWIN, JOHN | AM FUNDS FUNDAMENTAL INVESTORS A | 0.00 | 5.00 | 0.00 | 5.00 | 92.0 | 4.60 |
| 03/01/2018 | GLORE, CHRISTINE | AM FUNDS FUNDAMENTAL INVESTORS A | 0.00 | 5.58 | 0.00 | 5.58 | 92.0 | 5.13 |
| 03/01/2018 | MOLNAR, JOSEPH | AM FUNDS FUNDAMENTAL INVESTORS A | 0.00 | 2.60 | 0.00 | 2.60 | 92.0 | 2.39 |
| 03/01/2018 | ROSS, DANIEL | AM FUNDS FUNDAMENTAL INVESTORS A | 0.00 | 2.46 | 0.00 | 2.46 | 92.0 | 2.26 |
| 03/01/2018 | HELMINIAK, CAROLYN | AM FUNDS FUNDAMENTAL INVESTORS A | 0.00 | 2.20 | 0.00 | 2.20 | 92.0 | 2.02 |
| 03/01/2018 | CURSON, STEVE | AM FUNDS FUNDAMENTAL INVESTORS A | 0.00 | 1.08 | 0.00 | 1.08 | 92.0 | 0.99 |
| 03/01/2018 | REED, RYAN | AM FUNDS FUNDAMENTAL INVESTORS A | 0.00 | 2.58 | 0.00 | 2.58 | 92.0 | 2.37 |
| 03/01/2018 | REED, COLLEEN | AM FUNDS FUNDAMENTAL INVESTORS A | 0.00 | 2.58 | 0.00 | 2.58 | 92.0 | 2.37 |
| 03/01/2018 | GARDNER, SHANNON | AM FUNDS FUNDAMENTAL INVESTORS A | 0.00 | 1.82 | 0.00 | 1.82 | 92.0 | 1.67 |
| 03/01/2018 | GARDNER, PATRICIA | AM FUNDS FUNDAMENTAL INVESTORS A | 0.00 | 1.82 | 0.00 | 1.82 | 92.0 | 1.67 |
| 03/01/2018 | ROSS, KRISTINE | AM FUNDS FUNDAMENTAL INVESTORS A | 0.00 | 1.35 | 0.00 | 1.35 | 92.0 | 1.24 |
| 03/01/2018 | WHITTAKER, WILLIAM | AM FUNDS FUNDAMENTAL INVESTORS A | 0.00 | 11.22 | 0.00 | 11.22 | 92.0 | 10.32 |
| 03/01/2018 | BEAUPREZ, TAMMY | AM FUNDS FUNDAMENTAL INVESTORS A | 0.00 | 1.37 | 0.00 | 1.37 | 92.0 | 1.26 |
| 03/01/2018 | WARNER, COREY | AM FUNDS FUNDAMENTAL INVESTORS A | 0.00 | 11.69 | 0.00 | 11.69 | 92.0 | 10.75 |
| 03/01/2018 | SCANLAN, DAVID | AM FUNDS FUNDAMENTAL INVESTORS A | 0.00 | 6.89 | 0.00 | 6.89 | 92.0 | 6.34 |
| 03/01/2018 | MURD, FRANCIS | AM FUNDS FUNDAMENTAL INVESTORS A | 0.00 | 0.20 | 0.00 | 0.20 | 92.0 | 0.18 |
| 03/01/2018 | MCCLOSKEY, DANIEL | AM FUNDS FUNDAMENTAL INVESTORS A | 0.00 | 1.23 | 0.00 | 1.23 | 92.0 | 1.13 |
| 03/01/2018 | KONZ, ORVEL | AM FUNDS FUNDAMENTAL INVESTORS A | 0.00 | 2.07 | 0.00 | 2.07 | 92.0 | 1.90 |
| 03/01/2018 | FLEMING, ANDREA | AM FUNDS FUNDAMENTAL INVESTORS A | 0.00 | 10.66 | 0.00 | 10.66 | 92.0 | 9.81 |
| 03/01/2018 | HORN, TARA | AM FUNDS FUNDAMENTAL INVESTORS A | 0.00 | 3.93 | 0.00 | 3.93 | 92.0 | 3.62 |
| 03/01/2018 | BEAUPREZ, TAMMY | AM FUNDS FUNDAMENTAL INVESTORS A | 0.00 | 15.62 | 0.00 | 15.62 | 92.0 | 14.37 |
| 03/01/2018 | HILES, MARC | AM FUNDS FUNDAMENTAL INVESTORS A | 0.00 | 3.75 | 0.00 | 3.75 | 92.0 | 3.45 |
| 03/01/2018 | KOZLOWSKI, KATHLEEN | AM FUNDS FUNDAMENTAL INVESTORS A | 0.00 | 3.23 | 0.00 | 3.23 | 92.0 | 2.97 |

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|---|--------------------------|-------------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <u>DIRECT TRANSACTIONS</u> | | | | | | | | |
| <u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u> | | | | | | | | |
| 03/01/2018 | GOYER, CALLIE | AM FUNDS FUNDAMENTAL INVESTORS A | 0.00 | 3.47 | 0.00 | 3.47 | 92.0 | 3.19 |
| 03/01/2018 | HALSEY, WILLIAM D | AM FUNDS FUNDAMENTAL INVESTORS A | 0.00 | 4.95 | 0.00 | 4.95 | 92.0 | 4.55 |
| 03/01/2018 | WOODRUFF, STEPHANIE | AM FUNDS FUNDAMENTAL INVESTORS A | 0.00 | 0.47 | 0.00 | 0.47 | 92.0 | 0.43 |
| 03/01/2018 | GOYER, GRACE | AM FUNDS FUNDAMENTAL INVESTORS A | 0.00 | 2.73 | 0.00 | 2.73 | 92.0 | 2.51 |
| 03/01/2018 | STOUT, DAVID | AM FUNDS FUNDAMENTAL INVESTORS A | 0.00 | 3.04 | 0.00 | 3.04 | 92.0 | 2.80 |
| 03/01/2018 | MARTIN, RACHEL | AM FUNDS FUNDAMENTAL INVESTORS A | 0.00 | 2.32 | 0.00 | 2.32 | 92.0 | 2.13 |
| 03/01/2018 | WHALEN, KELLY | AM FUNDS FUNDAMENTAL INVESTORS A | 0.00 | 5.54 | 0.00 | 5.54 | 92.0 | 5.10 |
| 03/01/2018 | SCHERMBECK, CAROL | AM FUNDS FUNDAMENTAL INVESTORS A | 0.00 | 0.35 | 0.00 | 0.35 | 92.0 | 0.32 |
| 03/01/2018 | ROSS, MICHELLE L HUDS | AM FUNDS GROWTH AND INCOME 529A | 0.00 | 4.50 | 0.00 | 4.50 | 92.0 | 4.14 |
| 03/01/2018 | ROSS, MICHELLE L HUDS | AM FUNDS GROWTH AND INCOME 529A | 0.00 | 1.29 | 0.00 | 1.29 | 92.0 | 1.19 |
| 03/01/2018 | KRALL, GARY | AM FUNDS GROWTH AND INCOME A | 0.00 | 15.19 | 0.00 | 15.19 | 92.0 | 13.97 |
| 03/01/2018 | BRILLHART, RYAN | AM FUNDS GROWTH AND INCOME A | 0.00 | 0.49 | 0.00 | 0.49 | 92.0 | 0.45 |
| 03/01/2018 | ROSS, DANIEL | AM FUNDS GROWTH AND INCOME A | 0.00 | 3.43 | 0.00 | 3.43 | 92.0 | 3.16 |
| 03/01/2018 | ROSS, PATRICK | AM FUNDS GROWTH AND INCOME A | 0.00 | 8.75 | 0.00 | 8.75 | 92.0 | 8.05 |
| 03/01/2018 | ROSS, JAMES | AM FUNDS GROWTH AND INCOME A | 0.00 | 2.52 | 0.00 | 2.52 | 92.0 | 2.32 |
| 03/01/2018 | ZENK, DERECK | AM FUNDS GROWTH AND INCOME A | 0.00 | 1.14 | 0.00 | 1.14 | 92.0 | 1.05 |
| 03/01/2018 | ROSS, NICOLE | AM FUNDS GROWTH AND INCOME A | 0.00 | 0.96 | 0.00 | 0.96 | 92.0 | 0.88 |
| 03/01/2018 | DONNELLY, EMILY | AM FUNDS GROWTH AND INCOME A | 0.00 | 0.74 | 0.00 | 0.74 | 92.0 | 0.68 |
| 03/01/2018 | ROSS, MICHELLE L HUDS | AM FUNDS GROWTH AND INCOME A | 0.00 | 0.24 | 0.00 | 0.24 | 92.0 | 0.22 |
| 03/01/2018 | YOUNG, KEITH | AM FUNDS GROWTH AND INCOME A | 0.00 | 11.45 | 0.00 | 11.45 | 92.0 | 10.53 |
| 03/01/2018 | DONNELLY, EMILY | AM FUNDS GROWTH AND INCOME A | 0.00 | 1.91 | 0.00 | 1.91 | 92.0 | 1.76 |
| 03/01/2018 | ECKHARDT, MELISSA | AM FUNDS GROWTH AND INCOME A | 0.00 | 2.89 | 0.00 | 2.89 | 92.0 | 2.66 |
| 03/01/2018 | HUDSON-ROSS, MICHELLE | AM FUNDS GROWTH AND INCOME A | 0.00 | 0.96 | 0.00 | 0.96 | 92.0 | 0.88 |
| 03/01/2018 | GARDNER, WILLIAM | AM FUNDS GROWTH AND INCOME A | 0.00 | 13.44 | 0.00 | 13.44 | 92.0 | 12.36 |
| 03/01/2018 | DRUCKENMILLER, CHRISTINA | AM FUNDS GROWTH AND INCOME A | 0.00 | 44.51 | 0.00 | 44.51 | 92.0 | 40.95 |
| 03/01/2018 | GARDNER, WM | AM FUNDS GROWTH AND INCOME A | 0.00 | 199.37 | 0.00 | 199.37 | 92.0 | 183.42 |
| 03/01/2018 | KANOUS, MARK | AM FUNDS GROWTH AND INCOME A | 0.00 | 1.46 | 0.00 | 1.46 | 92.0 | 1.34 |
| 03/01/2018 | COLEMAN, LINDA | AM FUNDS GROWTH FUND OF AMERICA 529 | 0.00 | 1.45 | 0.00 | 1.45 | 92.0 | 1.33 |
| 03/01/2018 | ZUCCARELL, MATTHEW | AM FUNDS GROWTH FUND OF AMERICA 529 | 0.00 | 0.60 | 0.00 | 0.60 | 92.0 | 0.55 |
| 03/01/2018 | DREIER, DAVID | AM FUNDS GROWTH FUND OF AMERICA A | 0.00 | 1.71 | 0.00 | 1.71 | 92.0 | 1.57 |
| 03/01/2018 | HEINAMAN, ROBERT | AM FUNDS GROWTH FUND OF AMERICA A | 0.00 | 5.01 | 0.00 | 5.01 | 92.0 | 4.61 |
| 03/01/2018 | RUMSCHLAG, DOUGLAS | AM FUNDS GROWTH FUND OF AMERICA A | 0.00 | 0.28 | 0.00 | 0.28 | 92.0 | 0.26 |
| 03/01/2018 | KRALL, GARY | AM FUNDS GROWTH FUND OF AMERICA A | 0.00 | 1.14 | 0.00 | 1.14 | 92.0 | 1.05 |

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|---|----------------------|-----------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <u>DIRECT TRANSACTIONS</u> | | | | | | | | |
| <u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u> | | | | | | | | |
| 03/01/2018 | RONEY, LINDA | AM FUNDS GROWTH FUND OF AMERICA A | 0.00 | 17.46 | 0.00 | 17.46 | 92.0 | 16.06 |
| 03/01/2018 | ZUCCARELL, HEATHER | AM FUNDS GROWTH FUND OF AMERICA A | 0.00 | 1.18 | 0.00 | 1.18 | 92.0 | 1.09 |
| 03/01/2018 | ZUCCARELL, MATTHEW | AM FUNDS GROWTH FUND OF AMERICA A | 0.00 | 1.91 | 0.00 | 1.91 | 92.0 | 1.76 |
| 03/01/2018 | SANDERSON, CATHY | AM FUNDS GROWTH FUND OF AMERICA A | 0.00 | 0.88 | 0.00 | 0.88 | 92.0 | 0.81 |
| 03/01/2018 | SHAFFER, LOREN | AM FUNDS GROWTH FUND OF AMERICA A | 0.00 | 0.22 | 0.00 | 0.22 | 92.0 | 0.20 |
| 03/01/2018 | MURPHY, JACK | AM FUNDS GROWTH FUND OF AMERICA A | 0.00 | 2.04 | 0.00 | 2.04 | 92.0 | 1.88 |
| 03/01/2018 | MURPHY, CAROL | AM FUNDS GROWTH FUND OF AMERICA A | 0.00 | 2.36 | 0.00 | 2.36 | 92.0 | 2.17 |
| 03/01/2018 | WALLS, KIMBERLY | AM FUNDS GROWTH FUND OF AMERICA A | 0.00 | 0.65 | 0.00 | 0.65 | 92.0 | 0.60 |
| 03/01/2018 | MCLAUGHLIN, JAIME | AM FUNDS GROWTH FUND OF AMERICA A | 0.00 | 0.54 | 0.00 | 0.54 | 92.0 | 0.50 |
| 03/01/2018 | MOLNAR, JOSEPH | AM FUNDS GROWTH FUND OF AMERICA A | 0.00 | 1.41 | 0.00 | 1.41 | 92.0 | 1.30 |
| 03/01/2018 | KORAL, ANDREW | AM FUNDS GROWTH FUND OF AMERICA A | 0.00 | 0.78 | 0.00 | 0.78 | 92.0 | 0.72 |
| 03/01/2018 | ROSS, DANIEL | AM FUNDS GROWTH FUND OF AMERICA A | 0.00 | 1.53 | 0.00 | 1.53 | 92.0 | 1.41 |
| 03/01/2018 | KISER, EDWARD | AM FUNDS GROWTH FUND OF AMERICA A | 0.00 | 1.49 | 0.00 | 1.49 | 92.0 | 1.37 |
| 03/01/2018 | WHITTAKER, WILLIAM | AM FUNDS GROWTH FUND OF AMERICA A | 0.00 | 9.74 | 0.00 | 9.74 | 92.0 | 8.96 |
| 03/01/2018 | BEAUPREZ, TAMMY | AM FUNDS GROWTH FUND OF AMERICA A | 0.00 | 1.74 | 0.00 | 1.74 | 92.0 | 1.60 |
| 03/01/2018 | WARNER, COREY | AM FUNDS GROWTH FUND OF AMERICA A | 0.00 | 3.96 | 0.00 | 3.96 | 92.0 | 3.64 |
| 03/01/2018 | FLEMING, ANDREA | AM FUNDS GROWTH FUND OF AMERICA A | 0.00 | 4.55 | 0.00 | 4.55 | 92.0 | 4.19 |
| 03/01/2018 | HORN, TARA | AM FUNDS GROWTH FUND OF AMERICA A | 0.00 | 3.97 | 0.00 | 3.97 | 92.0 | 3.65 |
| 03/01/2018 | BEAUPREZ, TAMMY | AM FUNDS GROWTH FUND OF AMERICA A | 0.00 | 10.96 | 0.00 | 10.96 | 92.0 | 10.08 |
| 03/01/2018 | HILES, MARC | AM FUNDS GROWTH FUND OF AMERICA A | 0.00 | 3.46 | 0.00 | 3.46 | 92.0 | 3.18 |
| 03/01/2018 | KOZLOWSKI, KATHLEEN | AM FUNDS GROWTH FUND OF AMERICA A | 0.00 | 1.82 | 0.00 | 1.82 | 92.0 | 1.67 |
| 03/01/2018 | RAY, JOSEPH | AM FUNDS GROWTH FUND OF AMERICA A | 0.00 | 0.28 | 0.00 | 0.28 | 92.0 | 0.26 |
| 03/01/2018 | SHOEMAKER, MARY BETH | AM FUNDS GROWTH FUND OF AMERICA A | 0.00 | 0.66 | 0.00 | 0.66 | 92.0 | 0.61 |
| 03/01/2018 | KRALL, GARY | AM FUNDS GROWTH PORT A | 0.00 | 7.62 | 0.00 | 7.62 | 92.0 | 7.01 |
| 03/01/2018 | GARDNER, WILLIAM | AM FUNDS GROWTH PORT A | 0.00 | 10.12 | 0.00 | 10.12 | 92.0 | 9.31 |
| 03/01/2018 | KANOUS, MARK | AM FUNDS GROWTH PORT A | 0.00 | 0.23 | 0.00 | 0.23 | 92.0 | 0.21 |
| 03/01/2018 | KISER, EDWARD | AM FUNDS ICA 529A | 0.00 | 0.88 | 0.00 | 0.88 | 92.0 | 0.81 |
| 03/01/2018 | KISER, EDWARD | AM FUNDS ICA 529C | 0.00 | 8.49 | 0.00 | 8.49 | 92.0 | 7.81 |
| 03/01/2018 | HEINAMAN, ROBERT | AM FUNDS ICA A | 0.00 | 10.99 | 0.00 | 10.99 | 92.0 | 10.11 |
| 03/01/2018 | BRILLHART, RYAN | AM FUNDS ICA A | 0.00 | 2.16 | 0.00 | 2.16 | 92.0 | 1.99 |
| 03/01/2018 | BRILLHART, RYAN | AM FUNDS ICA A | 0.00 | 2.04 | 0.00 | 2.04 | 92.0 | 1.88 |
| 03/01/2018 | HAUSER, ROBERT | AM FUNDS ICA A | 0.00 | 17.80 | 0.00 | 17.80 | 92.0 | 16.38 |
| 03/01/2018 | FAIRCHILD, DANA | AM FUNDS ICA A | 0.00 | 3.96 | 0.00 | 3.96 | 92.0 | 3.64 |

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| DATE | CLIENT | INVESTMENT | INVESTMENT AMOUNT | GROSS COMMISSION | CLEARING CHARGE | NET COMMISSION | RATE | BROKER COMMISSION |
|---|-----------------------|-----------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <u>DIRECT TRANSACTIONS</u> | | | | | | | | |
| <u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u> | | | | | | | | |
| 03/01/2018 | BEAUPREZ, TAMMY | AM FUNDS ICA A | 0.00 | 12.15 | 0.00 | 12.15 | 92.0 | 11.18 |
| 03/01/2018 | HALSEY, DEBORAH | AM FUNDS ICA A | 0.00 | 2.22 | 0.00 | 2.22 | 92.0 | 2.04 |
| 03/01/2018 | ENGLAND, HELEN | AM FUNDS ICA A | 0.00 | 1.78 | 0.00 | 1.78 | 92.0 | 1.64 |
| 03/01/2018 | HEINAMAN, ROBERT | AM FUNDS INCOME FUND OF AMERICA A | 0.00 | 0.16 | 0.00 | 0.16 | 92.0 | 0.15 |
| 03/01/2018 | BENSCH, CANDACE | AM FUNDS INCOME FUND OF AMERICA A | 0.00 | 7.20 | 0.00 | 7.20 | 92.0 | 6.62 |
| 03/01/2018 | BLAKE, MIRIAM | AM FUNDS INCOME FUND OF AMERICA A | 0.00 | 5.56 | 0.00 | 5.56 | 92.0 | 5.12 |
| 03/01/2018 | HEINAMAN, ROBERT | AM FUNDS INCOME FUND OF AMERICA A | 0.00 | 20.18 | 0.00 | 20.18 | 92.0 | 18.57 |
| 03/01/2018 | HENDERSON, BARBARA | AM FUNDS INCOME FUND OF AMERICA A | 0.00 | 2.03 | 0.00 | 2.03 | 92.0 | 1.87 |
| 03/01/2018 | KRALL, GARY | AM FUNDS INCOME FUND OF AMERICA A | 0.00 | 2.32 | 0.00 | 2.32 | 92.0 | 2.13 |
| 03/01/2018 | RONEY, LINDA | AM FUNDS INCOME FUND OF AMERICA A | 0.00 | 3.40 | 0.00 | 3.40 | 92.0 | 3.13 |
| 03/01/2018 | KOZIARSKI, ROSEMARY | AM FUNDS INCOME FUND OF AMERICA A | 0.00 | 0.03 | 0.00 | 0.03 | 92.0 | 0.03 |
| 03/01/2018 | WOODRUFF, AUSTIN | AM FUNDS INCOME FUND OF AMERICA A | 0.00 | 2.08 | 0.00 | 2.08 | 92.0 | 1.91 |
| 03/01/2018 | MOORE, LINDA | AM FUNDS INCOME FUND OF AMERICA A | 0.00 | 3.41 | 0.00 | 3.41 | 92.0 | 3.14 |
| 03/01/2018 | ROSS, MICHAEL C HUDSO | AM FUNDS INCOME FUND OF AMERICA A | 0.00 | 0.66 | 0.00 | 0.66 | 92.0 | 0.61 |
| 03/01/2018 | MARKJA, BERNADINE | AM FUNDS INCOME FUND OF AMERICA A | 0.00 | 3.25 | 0.00 | 3.25 | 92.0 | 2.99 |
| 03/01/2018 | BENSCH, ARLYN | AM FUNDS INCOME FUND OF AMERICA A | 0.00 | 4.64 | 0.00 | 4.64 | 92.0 | 4.27 |
| 03/01/2018 | BRILLHART, RYAN | AM FUNDS INCOME FUND OF AMERICA A | 0.00 | 2.03 | 0.00 | 2.03 | 92.0 | 1.87 |
| 03/01/2018 | MURPHY, JACK | AM FUNDS INCOME FUND OF AMERICA A | 0.00 | 2.08 | 0.00 | 2.08 | 92.0 | 1.91 |
| 03/01/2018 | BIHN, RONALD | AM FUNDS INCOME FUND OF AMERICA A | 0.00 | 2.01 | 0.00 | 2.01 | 92.0 | 1.85 |
| 03/01/2018 | ISAACSON, ROBERT | AM FUNDS INCOME FUND OF AMERICA A | 0.00 | 6.60 | 0.00 | 6.60 | 92.0 | 6.07 |
| 03/01/2018 | IRWIN, JOHN | AM FUNDS INCOME FUND OF AMERICA A | 0.00 | 22.57 | 0.00 | 22.57 | 92.0 | 20.76 |
| 03/01/2018 | DECKER, MARY BETH | AM FUNDS INCOME FUND OF AMERICA A | 0.00 | 0.51 | 0.00 | 0.51 | 92.0 | 0.47 |
| 03/01/2018 | HAUSER, ROBERT | AM FUNDS INCOME FUND OF AMERICA A | 0.00 | 55.76 | 0.00 | 55.76 | 92.0 | 51.30 |
| 03/01/2018 | HAUSER, RONALD | AM FUNDS INCOME FUND OF AMERICA A | 0.00 | 51.23 | 0.00 | 51.23 | 92.0 | 47.13 |
| 03/01/2018 | TARRIS, CHRISTINE | AM FUNDS INCOME FUND OF AMERICA A | 0.00 | 18.96 | 0.00 | 18.96 | 92.0 | 17.44 |
| 03/01/2018 | KRAUS, JENNIFER | AM FUNDS INCOME FUND OF AMERICA A | 0.00 | 1.63 | 0.00 | 1.63 | 92.0 | 1.50 |
| 03/01/2018 | GLORE, CHRISTINE | AM FUNDS INCOME FUND OF AMERICA A | 0.00 | 4.53 | 0.00 | 4.53 | 92.0 | 4.17 |
| 03/01/2018 | MOLNAR, JOSEPH | AM FUNDS INCOME FUND OF AMERICA A | 0.00 | 5.14 | 0.00 | 5.14 | 92.0 | 4.73 |
| 03/01/2018 | ROSS, DANIEL | AM FUNDS INCOME FUND OF AMERICA A | 0.00 | 3.86 | 0.00 | 3.86 | 92.0 | 3.55 |
| 03/01/2018 | BRILLHART, SHARON | AM FUNDS INCOME FUND OF AMERICA A | 0.00 | 1.93 | 0.00 | 1.93 | 92.0 | 1.78 |
| 03/01/2018 | HELMINIAK, CAROLYN | AM FUNDS INCOME FUND OF AMERICA A | 0.00 | 4.78 | 0.00 | 4.78 | 92.0 | 4.40 |
| 03/01/2018 | CURSON, STEVE | AM FUNDS INCOME FUND OF AMERICA A | 0.00 | 2.25 | 0.00 | 2.25 | 92.0 | 2.07 |
| 03/01/2018 | SILLIMAN, GRACE | AM FUNDS INCOME FUND OF AMERICA A | 0.00 | 1.01 | 0.00 | 1.01 | 92.0 | 0.93 |

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|---|----------------------|-------------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <u>DIRECT TRANSACTIONS</u> | | | | | | | | |
| <u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u> | | | | | | | | |
| 03/01/2018 | GARDNER, PATRICIA | AM FUNDS INCOME FUND OF AMERICA A | 0.00 | 0.76 | 0.00 | 0.76 | 92.0 | 0.70 |
| 03/01/2018 | BEAUPREZ, TAMMY | AM FUNDS INCOME FUND OF AMERICA A | 0.00 | 7.06 | 0.00 | 7.06 | 92.0 | 6.50 |
| 03/01/2018 | GERMAN, MARIANNE | AM FUNDS INCOME FUND OF AMERICA A | 0.00 | 2.25 | 0.00 | 2.25 | 92.0 | 2.07 |
| 03/01/2018 | KONZ, ORVEL | AM FUNDS INCOME FUND OF AMERICA A | 0.00 | 1.57 | 0.00 | 1.57 | 92.0 | 1.44 |
| 03/01/2018 | FLEMING, ANDREA | AM FUNDS INCOME FUND OF AMERICA A | 0.00 | 2.47 | 0.00 | 2.47 | 92.0 | 2.27 |
| 03/01/2018 | BEAUPREZ, TAMMY | AM FUNDS INCOME FUND OF AMERICA A | 0.00 | 13.60 | 0.00 | 13.60 | 92.0 | 12.51 |
| 03/01/2018 | HALSEY, DEBORAH | AM FUNDS INCOME FUND OF AMERICA A | 0.00 | 3.89 | 0.00 | 3.89 | 92.0 | 3.58 |
| 03/01/2018 | HILES, MARC | AM FUNDS INCOME FUND OF AMERICA A | 0.00 | 1.52 | 0.00 | 1.52 | 92.0 | 1.40 |
| 03/01/2018 | COLEMAN, LINDA | AM FUNDS INCOME FUND OF AMERICA A | 0.00 | 2.26 | 0.00 | 2.26 | 92.0 | 2.08 |
| 03/01/2018 | SMITH, SUZANNE | AM FUNDS INCOME FUND OF AMERICA A | 0.00 | 3.73 | 0.00 | 3.73 | 92.0 | 3.43 |
| 03/01/2018 | FERRARI, MARK | AM FUNDS INCOME FUND OF AMERICA A | 0.00 | 10.73 | 0.00 | 10.73 | 92.0 | 9.87 |
| 03/01/2018 | COLEMAN, PARISS | AM FUNDS INCOME FUND OF AMERICA A | 0.00 | 2.65 | 0.00 | 2.65 | 92.0 | 2.44 |
| 03/01/2018 | PELLIONI, PAUL | AM FUNDS INCOME FUND OF AMERICA A | 0.00 | 6.48 | 0.00 | 6.48 | 92.0 | 5.96 |
| 03/01/2018 | NICHOLSON, JAMES | AM FUNDS INCOME FUND OF AMERICA A | 0.00 | 6.77 | 0.00 | 6.77 | 92.0 | 6.23 |
| 03/01/2018 | WOODRUFF, STEPHANIE | AM FUNDS INCOME FUND OF AMERICA A | 0.00 | 0.69 | 0.00 | 0.69 | 92.0 | 0.63 |
| 03/01/2018 | WOODRUFF, STEPHANIE | AM FUNDS INCOME FUND OF AMERICA A | 0.00 | 0.32 | 0.00 | 0.32 | 92.0 | 0.29 |
| 03/01/2018 | BROWN, WESLEY | AM FUNDS INCOME FUND OF AMERICA A | 0.00 | 0.19 | 0.00 | 0.19 | 92.0 | 0.17 |
| 03/01/2018 | ZINK, ROBERT | AM FUNDS INCOME FUND OF AMERICA A | 0.00 | 4.51 | 0.00 | 4.51 | 92.0 | 4.15 |
| 03/01/2018 | MCFARLAND, BRANDON | AM FUNDS INCOME FUND OF AMERICA A | 0.00 | 0.26 | 0.00 | 0.26 | 92.0 | 0.24 |
| 03/01/2018 | SHOEMAKER, MARY BETH | AM FUNDS INCOME FUND OF AMERICA A | 0.00 | 0.66 | 0.00 | 0.66 | 92.0 | 0.61 |
| 03/01/2018 | DONNELLY, EMILY | AM FUNDS INCOME FUND OF AMERICA A | 0.00 | 0.54 | 0.00 | 0.54 | 92.0 | 0.50 |
| 03/01/2018 | MARTIN, RACHEL | AM FUNDS INCOME FUND OF AMERICA A | 0.00 | 2.08 | 0.00 | 2.08 | 92.0 | 1.91 |
| 03/01/2018 | WEBBER, ROBERT | AM FUNDS INCOME FUND OF AMERICA A | 0.00 | 0.42 | 0.00 | 0.42 | 92.0 | 0.39 |
| 03/01/2018 | YOUNG, KEITH | AM FUNDS INCOME FUND OF AMERICA A | 0.00 | 5.08 | 0.00 | 5.08 | 92.0 | 4.67 |
| 03/01/2018 | DEMKO, VERNA | AM FUNDS INCOME FUND OF AMERICA A | 0.00 | 3.21 | 0.00 | 3.21 | 92.0 | 2.95 |
| 03/01/2018 | DONNELLY, EMILY | AM FUNDS INCOME FUND OF AMERICA A | 0.00 | 0.34 | 0.00 | 0.34 | 92.0 | 0.31 |
| 03/01/2018 | ENGLAND, HELEN | AM FUNDS INCOME FUND OF AMERICA A | 0.00 | 1.70 | 0.00 | 1.70 | 92.0 | 1.56 |
| 03/01/2018 | MOON, CHARLES | AM FUNDS INCOME FUND OF AMERICA A | 0.00 | 1.69 | 0.00 | 1.69 | 92.0 | 1.55 |
| 03/01/2018 | COLEMAN, PARISS | AM FUNDS INCOME FUND OF AMERICA A | 0.00 | 3.79 | 0.00 | 3.79 | 92.0 | 3.49 |
| 03/01/2018 | SEYMOUR, DONALD | AM FUNDS INCOME FUND OF AMERICA C | 0.00 | 46.44 | 0.00 | 46.44 | 92.0 | 42.72 |
| 03/01/2018 | FAIRCHILD, KERRY | AM FUNDS INCOME FUND OF AMERICA C | 0.00 | 12.13 | 0.00 | 12.13 | 92.0 | 11.16 |
| 03/01/2018 | COLEMAN, LINDA | AM FUNDS INCOME FUND OF AMERICA-529 | 0.00 | 0.74 | 0.00 | 0.74 | 92.0 | 0.68 |
| 03/01/2018 | IRWIN, JOHN | AM FUNDS INCOME PORTFOLIO A | 0.00 | 29.39 | 0.00 | 29.39 | 92.0 | 27.04 |

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|---|--------------------------|------------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <u>DIRECT TRANSACTIONS</u> | | | | | | | | |
| <u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u> | | | | | | | | |
| 03/01/2018 | BLAKE, MIRIAM | AM FUNDS INCOME PORTFOLIO A | 0.00 | 2.55 | 0.00 | 2.55 | 92.0 | 2.35 |
| 03/01/2018 | BLAKE, MIRIAM | AM FUNDS INCOME PORTFOLIO A | 0.00 | 1.14 | 0.00 | 1.14 | 92.0 | 1.05 |
| 03/01/2018 | VALADE, JOHN | AM FUNDS INCOME PORTFOLIO A | 0.00 | 98.74 | 0.00 | 98.74 | 92.0 | 90.84 |
| 03/01/2018 | BOCHI, ANDREW | AM FUNDS INCOME PORTFOLIO A | 0.00 | 67.53 | 0.00 | 67.53 | 92.0 | 62.13 |
| 03/01/2018 | REEVES, DIANE | AM FUNDS INCOME PORTFOLIO A | 0.00 | 29.79 | 0.00 | 29.79 | 92.0 | 27.41 |
| 03/01/2018 | KOZIARSKI, JOHN | AM FUNDS INCOME PORTFOLIO A | 0.00 | 25.97 | 0.00 | 25.97 | 92.0 | 23.89 |
| 03/01/2018 | COMBS, ROXANNE | AM FUNDS INCOME PORTFOLIO A | 0.00 | 20.38 | 0.00 | 20.38 | 92.0 | 18.75 |
| 03/01/2018 | RUMSCHLAG, DOUGLAS | AM FUNDS INCOME PORTFOLIO A | 0.00 | 64.90 | 0.00 | 64.90 | 92.0 | 59.71 |
| 03/01/2018 | KRALL, GARY | AM FUNDS INCOME PORTFOLIO A | 0.00 | 3.02 | 0.00 | 3.02 | 92.0 | 2.78 |
| 03/01/2018 | DURIS, JOSEPH | AM FUNDS INCOME PORTFOLIO A | 0.00 | 63.49 | 0.00 | 63.49 | 92.0 | 58.41 |
| 03/01/2018 | BLACKWOOD, DOUGLAS | AM FUNDS INCOME PORTFOLIO A | 0.00 | 36.14 | 0.00 | 36.14 | 92.0 | 33.25 |
| 03/01/2018 | MOLNAR, JOSEPH | AM FUNDS INCOME PORTFOLIO A | 0.00 | 28.32 | 0.00 | 28.32 | 92.0 | 26.05 |
| 03/01/2018 | ROSS, MICHELLE L HUDS | AM FUNDS INCOME PORTFOLIO A | 0.00 | 1.90 | 0.00 | 1.90 | 92.0 | 1.75 |
| 03/01/2018 | ZINK, KARIS | AM FUNDS INCOME PORTFOLIO A | 0.00 | 18.03 | 0.00 | 18.03 | 92.0 | 16.59 |
| 03/01/2018 | PASCHAL, MICHAEL | AM FUNDS INCOME PORTFOLIO A | 0.00 | 84.30 | 0.00 | 84.30 | 92.0 | 77.56 |
| 03/01/2018 | ROSS, PATRICK | AM FUNDS INCOME PORTFOLIO A | 0.00 | 5.81 | 0.00 | 5.81 | 92.0 | 5.35 |
| 03/01/2018 | FLEMING, ANDREA | AM FUNDS INCOME PORTFOLIO A | 0.00 | 125.32 | 0.00 | 125.32 | 92.0 | 115.29 |
| 03/01/2018 | WASSERMAN, FRANK | AM FUNDS INCOME PORTFOLIO A | 0.00 | 87.92 | 0.00 | 87.92 | 92.0 | 80.89 |
| 03/01/2018 | TROUT, TINA | AM FUNDS INCOME PORTFOLIO A | 0.00 | 6.60 | 0.00 | 6.60 | 92.0 | 6.07 |
| 03/01/2018 | ROSS, NICOLE | AM FUNDS INCOME PORTFOLIO A | 0.00 | 0.94 | 0.00 | 0.94 | 92.0 | 0.86 |
| 03/01/2018 | LETT, TRACY | AM FUNDS INCOME PORTFOLIO A | 0.00 | 16.11 | 0.00 | 16.11 | 92.0 | 14.82 |
| 03/01/2018 | ROSS, MICHELLE L HUDS | AM FUNDS INCOME PORTFOLIO A | 0.00 | 1.25 | 0.00 | 1.25 | 92.0 | 1.15 |
| 03/01/2018 | YOUNG, KEITH | AM FUNDS INCOME PORTFOLIO A | 0.00 | 15.12 | 0.00 | 15.12 | 92.0 | 13.91 |
| 03/01/2018 | KISER, EDWARD | AM FUNDS INCOME PORTFOLIO A | 0.00 | 70.63 | 0.00 | 70.63 | 92.0 | 64.98 |
| 03/01/2018 | GARDNER, WILLIAM | AM FUNDS INCOME PORTFOLIO A | 0.00 | 5.01 | 0.00 | 5.01 | 92.0 | 4.61 |
| 03/01/2018 | DRUCKENMILLER, CHRISTINA | AM FUNDS INCOME PORTFOLIO A | 0.00 | 34.88 | 0.00 | 34.88 | 92.0 | 32.09 |
| 03/01/2018 | GARDNER, WM | AM FUNDS INCOME PORTFOLIO A | 0.00 | 48.65 | 0.00 | 48.65 | 92.0 | 44.76 |
| 03/01/2018 | GARDNER, SHARYL | AM FUNDS INCOME PORTFOLIO A | 0.00 | 77.58 | 0.00 | 77.58 | 92.0 | 71.37 |
| 03/01/2018 | HENDERSON, BARBARA | AM FUNDS INTERMEDIATE BOND FUND OF | 0.00 | 1.26 | 0.00 | 1.26 | 92.0 | 1.16 |
| 03/01/2018 | SANDVIG TRUST, ANNE | AM FUNDS INTERMEDIATE BOND FUND OF | 0.00 | 2.44 | 0.00 | 2.44 | 92.0 | 2.24 |
| 03/01/2018 | KRAUS, JENNIFER | AM FUNDS INTERMEDIATE BOND FUND OF | 0.00 | 0.19 | 0.00 | 0.19 | 92.0 | 0.17 |
| 03/01/2018 | FLEMING, ANDREA | AM FUNDS INTERMEDIATE BOND FUND OF | 0.00 | 7.04 | 0.00 | 7.04 | 92.0 | 6.48 |
| 03/01/2018 | BEAUPREZ, TAMMY | AM FUNDS INTERMEDIATE BOND FUND OF | 0.00 | 5.06 | 0.00 | 5.06 | 92.0 | 4.66 |

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|---|-----------------------|-------------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <u>DIRECT TRANSACTIONS</u> | | | | | | | | |
| <u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u> | | | | | | | | |
| 03/01/2018 | FERRARI, MARK | AM FUNDS INTERMEDIATE BOND FUND OF | 0.00 | 5.50 | 0.00 | 5.50 | 92.0 | 5.06 |
| 03/01/2018 | ROSS, MICHELLE L HUDS | AM FUNDS INTERMEDIATE BOND FUND OF | 0.00 | 0.10 | 0.00 | 0.10 | 92.0 | 0.09 |
| 03/01/2018 | ROSS, MICHELLE L HUDS | AM FUNDS INTERMEDIATE BOND FUND OF | 0.00 | 0.36 | 0.00 | 0.36 | 92.0 | 0.33 |
| 03/01/2018 | ECKHARDT, MELISSA | AM FUNDS INTL GROWTH AND INCOME 529 | 0.00 | 2.46 | 0.00 | 2.46 | 92.0 | 2.26 |
| 03/01/2018 | ECKHARDT, MELISSA | AM FUNDS INTL GROWTH AND INCOME 529 | 0.00 | 2.46 | 0.00 | 2.46 | 92.0 | 2.26 |
| 03/01/2018 | BLAKE, MIRIAM | AM FUNDS INTL GROWTH AND INCOME A | 0.00 | 1.20 | 0.00 | 1.20 | 92.0 | 1.10 |
| 03/01/2018 | SUTHERLAND, BARBARA | AM FUNDS INTL GROWTH AND INCOME A | 0.00 | 2.76 | 0.00 | 2.76 | 92.0 | 2.54 |
| 03/01/2018 | MOORE, LINDA | AM FUNDS INTL GROWTH AND INCOME A | 0.00 | 1.79 | 0.00 | 1.79 | 92.0 | 1.65 |
| 03/01/2018 | HUNTER, MICHAEL | AM FUNDS INTL GROWTH AND INCOME A | 0.00 | 3.04 | 0.00 | 3.04 | 92.0 | 2.80 |
| 03/01/2018 | ISAACSON, ROBERT | AM FUNDS INTL GROWTH AND INCOME A | 0.00 | 2.65 | 0.00 | 2.65 | 92.0 | 2.44 |
| 03/01/2018 | TARRIS, CHRISTINE | AM FUNDS INTL GROWTH AND INCOME A | 0.00 | 2.20 | 0.00 | 2.20 | 92.0 | 2.02 |
| 03/01/2018 | SUTHERLAND, JOHN | AM FUNDS INTL GROWTH AND INCOME A | 0.00 | 0.92 | 0.00 | 0.92 | 92.0 | 0.85 |
| 03/01/2018 | KORAL, ANDREW | AM FUNDS INTL GROWTH AND INCOME A | 0.00 | 0.77 | 0.00 | 0.77 | 92.0 | 0.71 |
| 03/01/2018 | HELMINIAK, CAROLYN | AM FUNDS INTL GROWTH AND INCOME A | 0.00 | 1.10 | 0.00 | 1.10 | 92.0 | 1.01 |
| 03/01/2018 | LECHUGA, CARRIE | AM FUNDS INTL GROWTH AND INCOME A | 0.00 | 0.56 | 0.00 | 0.56 | 92.0 | 0.52 |
| 03/01/2018 | OBERT, RONALD | AM FUNDS INTL GROWTH AND INCOME A | 0.00 | 0.54 | 0.00 | 0.54 | 92.0 | 0.50 |
| 03/01/2018 | OBERT, DEBORA | AM FUNDS INTL GROWTH AND INCOME A | 0.00 | 0.54 | 0.00 | 0.54 | 92.0 | 0.50 |
| 03/01/2018 | GERMAN, MARIANNE | AM FUNDS INTL GROWTH AND INCOME A | 0.00 | 0.95 | 0.00 | 0.95 | 92.0 | 0.87 |
| 03/01/2018 | FISCHER, DAVID | AM FUNDS INTL GROWTH AND INCOME A | 0.00 | 3.30 | 0.00 | 3.30 | 92.0 | 3.04 |
| 03/01/2018 | FLEMING, ANDREA | AM FUNDS INTL GROWTH AND INCOME A | 0.00 | 3.35 | 0.00 | 3.35 | 92.0 | 3.08 |
| 03/01/2018 | IRWIN, JOHN | AM FUNDS INTL GROWTH AND INCOME A | 0.00 | 2.00 | 0.00 | 2.00 | 92.0 | 1.84 |
| 03/01/2018 | BENSCH, JEFFREY | AM FUNDS INTL GROWTH AND INCOME A | 0.00 | 1.87 | 0.00 | 1.87 | 92.0 | 1.72 |
| 03/01/2018 | HILES, MARC | AM FUNDS INTL GROWTH AND INCOME A | 0.00 | 2.21 | 0.00 | 2.21 | 92.0 | 2.03 |
| 03/01/2018 | SMITH, SUZANNE | AM FUNDS INTL GROWTH AND INCOME A | 0.00 | 4.48 | 0.00 | 4.48 | 92.0 | 4.12 |
| 03/01/2018 | DUBENDORFER, SUSAN | AM FUNDS INTL GROWTH AND INCOME A | 0.00 | 0.74 | 0.00 | 0.74 | 92.0 | 0.68 |
| 03/01/2018 | WAGONER JR, JOHN | AM FUNDS INTL GROWTH AND INCOME A | 0.00 | 0.99 | 0.00 | 0.99 | 92.0 | 0.91 |
| 03/01/2018 | WAGONER JR, JOHN | AM FUNDS INTL GROWTH AND INCOME A | 0.00 | 0.33 | 0.00 | 0.33 | 92.0 | 0.30 |
| 03/01/2018 | GERMAN, MARIANNE | AM FUNDS INTL GROWTH AND INCOME A | 0.00 | 1.35 | 0.00 | 1.35 | 92.0 | 1.24 |
| 03/01/2018 | GODFREY, TIMOTHY | AM FUNDS INTL GROWTH AND INCOME A | 0.00 | 0.75 | 0.00 | 0.75 | 92.0 | 0.69 |
| 03/01/2018 | ZINK, ROBERT | AM FUNDS INTL GROWTH AND INCOME A | 0.00 | 4.40 | 0.00 | 4.40 | 92.0 | 4.05 |
| 03/01/2018 | LARSON, PENNY | AM FUNDS INTL GROWTH AND INCOME A | 0.00 | 1.50 | 0.00 | 1.50 | 92.0 | 1.38 |
| 03/01/2018 | DRAKE, ERIC | AM FUNDS INTL GROWTH AND INCOME A | 0.00 | 0.54 | 0.00 | 0.54 | 92.0 | 0.50 |
| 03/01/2018 | MOON, CHARLES | AM FUNDS INTL GROWTH AND INCOME A | 0.00 | 0.77 | 0.00 | 0.77 | 92.0 | 0.71 |

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

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

| DATE | CLIENT | INVESTMENT | INVESTMENT AMOUNT | GROSS COMMISSION | CLEARING CHARGE | NET COMMISSION | RATE | BROKER COMMISSION |
|---|-----------------------|-----------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <u>DIRECT TRANSACTIONS</u> | | | | | | | | |
| <u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u> | | | | | | | | |
| 03/01/2018 | COLEMAN, PARISS | AM FUNDS INTL GROWTH AND INCOME A | 0.00 | 2.32 | 0.00 | 2.32 | 92.0 | 2.13 |
| 03/01/2018 | RONEY, LINDA | AM FUNDS MORTGAGE A | 0.00 | 45.76 | 0.00 | 45.76 | 92.0 | 42.10 |
| 03/01/2018 | ZUCCARELL, MATTHEW | AM FUNDS NEW ECONOMY 529A | 0.00 | 0.53 | 0.00 | 0.53 | 92.0 | 0.49 |
| 03/01/2018 | COLEMAN, LINDA | AM FUNDS NEW ECONOMY 529A | 0.00 | 1.25 | 0.00 | 1.25 | 92.0 | 1.15 |
| 03/01/2018 | ROSS, MICHELLE L HUDS | AM FUNDS NEW ECONOMY 529A | 0.00 | 0.06 | 0.00 | 0.06 | 92.0 | 0.06 |
| 03/01/2018 | ZUCCARELL, MATTHEW | AM FUNDS NEW ECONOMY 529A | 0.00 | 0.56 | 0.00 | 0.56 | 92.0 | 0.52 |
| 03/01/2018 | HEINAMAN, ROBERT | AM FUNDS NEW ECONOMY A | 0.00 | 0.29 | 0.00 | 0.29 | 92.0 | 0.27 |
| 03/01/2018 | DREIER, DAVID | AM FUNDS NEW ECONOMY A | 0.00 | 4.12 | 0.00 | 4.12 | 92.0 | 3.79 |
| 03/01/2018 | BRUMMETT, DOUGLAS | AM FUNDS NEW ECONOMY A | 0.00 | 0.58 | 0.00 | 0.58 | 92.0 | 0.53 |
| 03/01/2018 | DECKER, MARY BETH | AM FUNDS NEW ECONOMY A | 0.00 | 0.69 | 0.00 | 0.69 | 92.0 | 0.63 |
| 03/01/2018 | ROSS, SALLY | AM FUNDS NEW ECONOMY A | 0.00 | 1.47 | 0.00 | 1.47 | 92.0 | 1.35 |
| 03/01/2018 | HOLT, JEAN | AM FUNDS NEW ECONOMY A | 0.00 | 6.72 | 0.00 | 6.72 | 92.0 | 6.18 |
| 03/01/2018 | PEARSON, JOHN | AM FUNDS NEW ECONOMY A | 0.00 | 0.66 | 0.00 | 0.66 | 92.0 | 0.61 |
| 03/01/2018 | KOTLARCZYK, JOSEPH | AM FUNDS NEW ECONOMY A | 0.00 | 13.27 | 0.00 | 13.27 | 92.0 | 12.21 |
| 03/01/2018 | MOLNAR, CONNIE | AM FUNDS NEW ECONOMY A | 0.00 | 4.08 | 0.00 | 4.08 | 92.0 | 3.75 |
| 03/01/2018 | RONEY, LINDA | AM FUNDS NEW ECONOMY A | 0.00 | 18.51 | 0.00 | 18.51 | 92.0 | 17.03 |
| 03/01/2018 | DAY, CHERYL | AM FUNDS NEW ECONOMY A | 0.00 | 0.58 | 0.00 | 0.58 | 92.0 | 0.53 |
| 03/01/2018 | GOYER, TIMOTHY | AM FUNDS NEW ECONOMY A | 0.00 | 2.78 | 0.00 | 2.78 | 92.0 | 2.56 |
| 03/01/2018 | MARKJA, BERNADINE | AM FUNDS NEW ECONOMY A | 0.00 | 1.01 | 0.00 | 1.01 | 92.0 | 0.93 |
| 03/01/2018 | URSITTI, MATTHEW | AM FUNDS NEW ECONOMY A | 0.00 | 3.40 | 0.00 | 3.40 | 92.0 | 3.13 |
| 03/01/2018 | BRAITHWAITE, WILLIAM | AM FUNDS NEW ECONOMY A | 0.00 | 1.56 | 0.00 | 1.56 | 92.0 | 1.44 |
| 03/01/2018 | MCCLOSKEY, DANIEL | AM FUNDS NEW ECONOMY A | 0.00 | 0.60 | 0.00 | 0.60 | 92.0 | 0.55 |
| 03/01/2018 | SHAFFER, LOREN | AM FUNDS NEW ECONOMY A | 0.00 | 0.93 | 0.00 | 0.93 | 92.0 | 0.86 |
| 03/01/2018 | HUNTER, MICHAEL | AM FUNDS NEW ECONOMY A | 0.00 | 2.94 | 0.00 | 2.94 | 92.0 | 2.70 |
| 03/01/2018 | BRILLHART, RYAN | AM FUNDS NEW ECONOMY A | 0.00 | 0.83 | 0.00 | 0.83 | 92.0 | 0.76 |
| 03/01/2018 | MURPHY, JACK | AM FUNDS NEW ECONOMY A | 0.00 | 1.91 | 0.00 | 1.91 | 92.0 | 1.76 |
| 03/01/2018 | KOTLARCZYK, JANA | AM FUNDS NEW ECONOMY A | 0.00 | 1.27 | 0.00 | 1.27 | 92.0 | 1.17 |
| 03/01/2018 | HUDAK, NICHOLAS | AM FUNDS NEW ECONOMY A | 0.00 | 1.00 | 0.00 | 1.00 | 92.0 | 0.92 |
| 03/01/2018 | GLORE, DANIEL | AM FUNDS NEW ECONOMY A | 0.00 | 1.29 | 0.00 | 1.29 | 92.0 | 1.19 |
| 03/01/2018 | MURPHY, CAROL | AM FUNDS NEW ECONOMY A | 0.00 | 1.64 | 0.00 | 1.64 | 92.0 | 1.51 |
| 03/01/2018 | SHAFFER, DENISE | AM FUNDS NEW ECONOMY A | 0.00 | 3.96 | 0.00 | 3.96 | 92.0 | 3.64 |
| 03/01/2018 | IRWIN, JOHN | AM FUNDS NEW ECONOMY A | 0.00 | 7.19 | 0.00 | 7.19 | 92.0 | 6.61 |
| 03/01/2018 | WALLS, KIMBERLY | AM FUNDS NEW ECONOMY A | 0.00 | 0.68 | 0.00 | 0.68 | 92.0 | 0.63 |

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|---|-----------------------|-------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <u>DIRECT TRANSACTIONS</u> | | | | | | | | |
| <u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u> | | | | | | | | |
| 03/01/2018 | KRAUS, JENNIFER | AM FUNDS NEW ECONOMY A | 0.00 | 1.30 | 0.00 | 1.30 | 92.0 | 1.20 |
| 03/01/2018 | BEAUPREZ, TAMMY | AM FUNDS NEW ECONOMY A | 0.00 | 1.71 | 0.00 | 1.71 | 92.0 | 1.57 |
| 03/01/2018 | FLEMING, ANDREA | AM FUNDS NEW ECONOMY A | 0.00 | 5.65 | 0.00 | 5.65 | 92.0 | 5.20 |
| 03/01/2018 | DUBENDORFER, SUSAN | AM FUNDS NEW ECONOMY A | 0.00 | 0.85 | 0.00 | 0.85 | 92.0 | 0.78 |
| 03/01/2018 | GOYER, CALLIE | AM FUNDS NEW ECONOMY A | 0.00 | 3.39 | 0.00 | 3.39 | 92.0 | 3.12 |
| 03/01/2018 | GODFREY, TIMOTHY | AM FUNDS NEW ECONOMY A | 0.00 | 0.64 | 0.00 | 0.64 | 92.0 | 0.59 |
| 03/01/2018 | GOYER, GRACE | AM FUNDS NEW ECONOMY A | 0.00 | 1.72 | 0.00 | 1.72 | 92.0 | 1.58 |
| 03/01/2018 | ROSS, NICOLE | AM FUNDS NEW ECONOMY A | 0.00 | 0.81 | 0.00 | 0.81 | 92.0 | 0.75 |
| 03/01/2018 | COLEMAN, PARISS | AM FUNDS NEW ECONOMY A | 0.00 | 2.98 | 0.00 | 2.98 | 92.0 | 2.74 |
| 03/01/2018 | SEYMOUR, DONALD | AM FUNDS NEW ECONOMY C | 0.00 | 83.41 | 0.00 | 83.41 | 92.0 | 76.74 |
| 03/01/2018 | COLEMAN, LINDA | AM FUNDS NEW PERSPECTIVE 529A | 0.00 | 0.93 | 0.00 | 0.93 | 92.0 | 0.86 |
| 03/01/2018 | ZUCCARELL, MATTHEW | AM FUNDS NEW PERSPECTIVE 529A | 0.00 | 0.54 | 0.00 | 0.54 | 92.0 | 0.50 |
| 03/01/2018 | BLAKE, MIRIAM | AM FUNDS NEW PERSPECTIVE A | 0.00 | 2.14 | 0.00 | 2.14 | 92.0 | 1.97 |
| 03/01/2018 | BENSCH, CANDACE | AM FUNDS NEW PERSPECTIVE A | 0.00 | 2.09 | 0.00 | 2.09 | 92.0 | 1.92 |
| 03/01/2018 | DECKER, MARY BETH | AM FUNDS NEW PERSPECTIVE A | 0.00 | 0.90 | 0.00 | 0.90 | 92.0 | 0.83 |
| 03/01/2018 | HOLT, JEAN | AM FUNDS NEW PERSPECTIVE A | 0.00 | 6.52 | 0.00 | 6.52 | 92.0 | 6.00 |
| 03/01/2018 | PEARSON, JOHN | AM FUNDS NEW PERSPECTIVE A | 0.00 | 0.45 | 0.00 | 0.45 | 92.0 | 0.41 |
| 03/01/2018 | EDWARTOSKI, DONNA | AM FUNDS NEW PERSPECTIVE A | 0.00 | 1.52 | 0.00 | 1.52 | 92.0 | 1.40 |
| 03/01/2018 | RONEY, LINDA | AM FUNDS NEW PERSPECTIVE A | 0.00 | 10.26 | 0.00 | 10.26 | 92.0 | 9.44 |
| 03/01/2018 | ZUCCARELL, HEATHER | AM FUNDS NEW PERSPECTIVE A | 0.00 | 1.02 | 0.00 | 1.02 | 92.0 | 0.94 |
| 03/01/2018 | WOODRUFF, AUSTIN | AM FUNDS NEW PERSPECTIVE A | 0.00 | 2.95 | 0.00 | 2.95 | 92.0 | 2.71 |
| 03/01/2018 | ROSS, MICHELLE L HUDS | AM FUNDS NEW PERSPECTIVE A | 0.00 | 1.23 | 0.00 | 1.23 | 92.0 | 1.13 |
| 03/01/2018 | SWINDLE, DARRYL | AM FUNDS NEW PERSPECTIVE A | 0.00 | 1.32 | 0.00 | 1.32 | 92.0 | 1.21 |
| 03/01/2018 | KREMPA, CLAUDE | AM FUNDS NEW PERSPECTIVE A | 0.00 | 5.34 | 0.00 | 5.34 | 92.0 | 4.91 |
| 03/01/2018 | SHAFFER, LOREN | AM FUNDS NEW PERSPECTIVE A | 0.00 | 1.13 | 0.00 | 1.13 | 92.0 | 1.04 |
| 03/01/2018 | MURPHY, JACK | AM FUNDS NEW PERSPECTIVE A | 0.00 | 2.12 | 0.00 | 2.12 | 92.0 | 1.95 |
| 03/01/2018 | JAKSETIC, ZACHARY | AM FUNDS NEW PERSPECTIVE A | 0.00 | 0.45 | 0.00 | 0.45 | 92.0 | 0.41 |
| 03/01/2018 | HAUSER, ROBERT | AM FUNDS NEW PERSPECTIVE A | 0.00 | 13.45 | 0.00 | 13.45 | 92.0 | 12.37 |
| 03/01/2018 | ROSS, DANIEL | AM FUNDS NEW PERSPECTIVE A | 0.00 | 1.91 | 0.00 | 1.91 | 92.0 | 1.76 |
| 03/01/2018 | FAIRCHILD, DANA | AM FUNDS NEW PERSPECTIVE A | 0.00 | 4.51 | 0.00 | 4.51 | 92.0 | 4.15 |
| 03/01/2018 | ROSS, KRISTINE | AM FUNDS NEW PERSPECTIVE A | 0.00 | 1.23 | 0.00 | 1.23 | 92.0 | 1.13 |
| 03/01/2018 | GARDNER, SHANNON | AM FUNDS NEW PERSPECTIVE A | 0.00 | 0.48 | 0.00 | 0.48 | 92.0 | 0.44 |
| 03/01/2018 | BEAUPREZ, TAMMY | AM FUNDS NEW PERSPECTIVE A | 0.00 | 1.79 | 0.00 | 1.79 | 92.0 | 1.65 |

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|---|-----------------------|----------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <u>DIRECT TRANSACTIONS</u> | | | | | | | | |
| <u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u> | | | | | | | | |
| 03/01/2018 | FISCHER, DAVID | AM FUNDS NEW PERSPECTIVE A | 0.00 | 1.58 | 0.00 | 1.58 | 92.0 | 1.45 |
| 03/01/2018 | FLEMING, ANDREA | AM FUNDS NEW PERSPECTIVE A | 0.00 | 7.06 | 0.00 | 7.06 | 92.0 | 6.50 |
| 03/01/2018 | BEAUPREZ, TAMMY | AM FUNDS NEW PERSPECTIVE A | 0.00 | 7.85 | 0.00 | 7.85 | 92.0 | 7.22 |
| 03/01/2018 | KOZLOWSKI, KATHLEEN | AM FUNDS NEW PERSPECTIVE A | 0.00 | 2.17 | 0.00 | 2.17 | 92.0 | 2.00 |
| 03/01/2018 | DEMKO, VERNA | AM FUNDS NEW PERSPECTIVE A | 0.00 | 3.60 | 0.00 | 3.60 | 92.0 | 3.31 |
| 03/01/2018 | ENGLAND, HELEN | AM FUNDS NEW PERSPECTIVE A | 0.00 | 1.80 | 0.00 | 1.80 | 92.0 | 1.66 |
| 03/01/2018 | ROSS, NICOLE | AM FUNDS NEW PERSPECTIVE A | 0.00 | 0.64 | 0.00 | 0.64 | 92.0 | 0.59 |
| 03/01/2018 | COLEMAN, LINDA | AM FUNDS NEW WORLD 529A | 0.00 | 0.96 | 0.00 | 0.96 | 92.0 | 0.88 |
| 03/01/2018 | KORAL, ANDREW | AM FUNDS NEW WORLD 529A | 0.00 | 0.48 | 0.00 | 0.48 | 92.0 | 0.44 |
| 03/01/2018 | ROSS, MICHELLE L HUDS | AM FUNDS NEW WORLD 529A | 0.00 | 1.57 | 0.00 | 1.57 | 92.0 | 1.44 |
| 03/01/2018 | ECKHARDT, MELISSA | AM FUNDS NEW WORLD 529A | 0.00 | 1.54 | 0.00 | 1.54 | 92.0 | 1.42 |
| 03/01/2018 | ECKHARDT, MELISSA | AM FUNDS NEW WORLD 529A | 0.00 | 1.54 | 0.00 | 1.54 | 92.0 | 1.42 |
| 03/01/2018 | BLAKE, MIRIAM | AM FUNDS NEW WORLD A | 0.00 | 1.52 | 0.00 | 1.52 | 92.0 | 1.40 |
| 03/01/2018 | MOORE, GARY | AM FUNDS NEW WORLD A | 0.00 | 0.69 | 0.00 | 0.69 | 92.0 | 0.63 |
| 03/01/2018 | DREIER, DAVID | AM FUNDS NEW WORLD A | 0.00 | 1.00 | 0.00 | 1.00 | 92.0 | 0.92 |
| 03/01/2018 | COMBS, BRIAN | AM FUNDS NEW WORLD A | 0.00 | 0.96 | 0.00 | 0.96 | 92.0 | 0.88 |
| 03/01/2018 | MILLER, MICHAEL | AM FUNDS NEW WORLD A | 0.00 | 0.59 | 0.00 | 0.59 | 92.0 | 0.54 |
| 03/01/2018 | ROSS, SALLY | AM FUNDS NEW WORLD A | 0.00 | 0.93 | 0.00 | 0.93 | 92.0 | 0.86 |
| 03/01/2018 | PEARSON, JOHN | AM FUNDS NEW WORLD A | 0.00 | 0.59 | 0.00 | 0.59 | 92.0 | 0.54 |
| 03/01/2018 | KRALL, GARY | AM FUNDS NEW WORLD A | 0.00 | 0.79 | 0.00 | 0.79 | 92.0 | 0.73 |
| 03/01/2018 | SUTHERLAND, BARBARA | AM FUNDS NEW WORLD A | 0.00 | 1.57 | 0.00 | 1.57 | 92.0 | 1.44 |
| 03/01/2018 | KOZIARSKI, ROSEMARY | AM FUNDS NEW WORLD A | 0.00 | 0.34 | 0.00 | 0.34 | 92.0 | 0.31 |
| 03/01/2018 | SUTHERLAND, JOHN | AM FUNDS NEW WORLD A | 0.00 | 0.41 | 0.00 | 0.41 | 92.0 | 0.38 |
| 03/01/2018 | GOYER, TIMOTHY | AM FUNDS NEW WORLD A | 0.00 | 1.64 | 0.00 | 1.64 | 92.0 | 1.51 |
| 03/01/2018 | MOORE, LINDA | AM FUNDS NEW WORLD A | 0.00 | 0.92 | 0.00 | 0.92 | 92.0 | 0.85 |
| 03/01/2018 | GURNEY, ERICA | AM FUNDS NEW WORLD A | 0.00 | 4.23 | 0.00 | 4.23 | 92.0 | 3.89 |
| 03/01/2018 | SMOOT, C STEVEN | AM FUNDS NEW WORLD A | 0.00 | 17.69 | 0.00 | 17.69 | 92.0 | 16.27 |
| 03/01/2018 | MARKJA, BERNADINE | AM FUNDS NEW WORLD A | 0.00 | 3.49 | 0.00 | 3.49 | 92.0 | 3.21 |
| 03/01/2018 | URSITTI, MATTHEW | AM FUNDS NEW WORLD A | 0.00 | 4.54 | 0.00 | 4.54 | 92.0 | 4.18 |
| 03/01/2018 | BRAITHWAITE, WILLIAM | AM FUNDS NEW WORLD A | 0.00 | 2.91 | 0.00 | 2.91 | 92.0 | 2.68 |
| 03/01/2018 | BENSCH, ARLYN | AM FUNDS NEW WORLD A | 0.00 | 1.88 | 0.00 | 1.88 | 92.0 | 1.73 |
| 03/01/2018 | KREMPA, CLAUDE | AM FUNDS NEW WORLD A | 0.00 | 1.86 | 0.00 | 1.86 | 92.0 | 1.71 |
| 03/01/2018 | MCCLOSKEY, DANIEL | AM FUNDS NEW WORLD A | 0.00 | 2.77 | 0.00 | 2.77 | 92.0 | 2.55 |

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|---|--------------------|----------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <u>DIRECT TRANSACTIONS</u> | | | | | | | | |
| <u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u> | | | | | | | | |
| 03/01/2018 | SHAFFER, LOREN | AM FUNDS NEW WORLD A | 0.00 | 1.16 | 0.00 | 1.16 | 92.0 | 1.07 |
| 03/01/2018 | BRILLHART, RYAN | AM FUNDS NEW WORLD A | 0.00 | 0.47 | 0.00 | 0.47 | 92.0 | 0.43 |
| 03/01/2018 | BRILLHART, RYAN | AM FUNDS NEW WORLD A | 0.00 | 0.47 | 0.00 | 0.47 | 92.0 | 0.43 |
| 03/01/2018 | MURPHY, JACK | AM FUNDS NEW WORLD A | 0.00 | 1.45 | 0.00 | 1.45 | 92.0 | 1.33 |
| 03/01/2018 | KOTLARCZYK, JOSEPH | AM FUNDS NEW WORLD A | 0.00 | 2.71 | 0.00 | 2.71 | 92.0 | 2.49 |
| 03/01/2018 | KOTLARCZYK, JANA | AM FUNDS NEW WORLD A | 0.00 | 2.71 | 0.00 | 2.71 | 92.0 | 2.49 |
| 03/01/2018 | MURPHY, CAROL | AM FUNDS NEW WORLD A | 0.00 | 2.88 | 0.00 | 2.88 | 92.0 | 2.65 |
| 03/01/2018 | SHAFFER, DENISE | AM FUNDS NEW WORLD A | 0.00 | 3.35 | 0.00 | 3.35 | 92.0 | 3.08 |
| 03/01/2018 | COUSINO, SUSAN | AM FUNDS NEW WORLD A | 0.00 | 0.41 | 0.00 | 0.41 | 92.0 | 0.38 |
| 03/01/2018 | WASSERMAN, JULIE | AM FUNDS NEW WORLD A | 0.00 | 0.96 | 0.00 | 0.96 | 92.0 | 0.88 |
| 03/01/2018 | ISAACSON, ROBERT | AM FUNDS NEW WORLD A | 0.00 | 1.58 | 0.00 | 1.58 | 92.0 | 1.45 |
| 03/01/2018 | IRWIN, JOHN | AM FUNDS NEW WORLD A | 0.00 | 7.11 | 0.00 | 7.11 | 92.0 | 6.54 |
| 03/01/2018 | TARRIS, CHRISTINE | AM FUNDS NEW WORLD A | 0.00 | 1.63 | 0.00 | 1.63 | 92.0 | 1.50 |
| 03/01/2018 | MCLAUGHLIN, JAIME | AM FUNDS NEW WORLD A | 0.00 | 0.59 | 0.00 | 0.59 | 92.0 | 0.54 |
| 03/01/2018 | KRAUS, JENNIFER | AM FUNDS NEW WORLD A | 0.00 | 1.23 | 0.00 | 1.23 | 92.0 | 1.13 |
| 03/01/2018 | GLORE, CHRISTINE | AM FUNDS NEW WORLD A | 0.00 | 2.55 | 0.00 | 2.55 | 92.0 | 2.35 |
| 03/01/2018 | KORAL, ANDREW | AM FUNDS NEW WORLD A | 0.00 | 0.85 | 0.00 | 0.85 | 92.0 | 0.78 |
| 03/01/2018 | HELMINIAK, CAROLYN | AM FUNDS NEW WORLD A | 0.00 | 0.34 | 0.00 | 0.34 | 92.0 | 0.31 |
| 03/01/2018 | CURSON, STEVE | AM FUNDS NEW WORLD A | 0.00 | 1.62 | 0.00 | 1.62 | 92.0 | 1.49 |
| 03/01/2018 | GARDNER, PATRICIA | AM FUNDS NEW WORLD A | 0.00 | 1.13 | 0.00 | 1.13 | 92.0 | 1.04 |
| 03/01/2018 | LECHUGA, CARRIE | AM FUNDS NEW WORLD A | 0.00 | 0.31 | 0.00 | 0.31 | 92.0 | 0.29 |
| 03/01/2018 | KISER, ELIZABETH | AM FUNDS NEW WORLD A | 0.00 | 2.83 | 0.00 | 2.83 | 92.0 | 2.60 |
| 03/01/2018 | KISER, EDWARD | AM FUNDS NEW WORLD A | 0.00 | 1.56 | 0.00 | 1.56 | 92.0 | 1.44 |
| 03/01/2018 | WHITTAKER, WILLIAM | AM FUNDS NEW WORLD A | 0.00 | 9.28 | 0.00 | 9.28 | 92.0 | 8.54 |
| 03/01/2018 | WHITTAKER, WILLIAM | AM FUNDS NEW WORLD A | 0.00 | 18.39 | 0.00 | 18.39 | 92.0 | 16.92 |
| 03/01/2018 | KANOUS, JOSHUA | AM FUNDS NEW WORLD A | 0.00 | 0.24 | 0.00 | 0.24 | 92.0 | 0.22 |
| 03/01/2018 | WARNER, COREY | AM FUNDS NEW WORLD A | 0.00 | 3.18 | 0.00 | 3.18 | 92.0 | 2.93 |
| 03/01/2018 | SCANLAN, DAVID | AM FUNDS NEW WORLD A | 0.00 | 2.10 | 0.00 | 2.10 | 92.0 | 1.93 |
| 03/01/2018 | OBERT, RONALD | AM FUNDS NEW WORLD A | 0.00 | 0.65 | 0.00 | 0.65 | 92.0 | 0.60 |
| 03/01/2018 | OBERT, DEBORA | AM FUNDS NEW WORLD A | 0.00 | 1.04 | 0.00 | 1.04 | 92.0 | 0.96 |
| 03/01/2018 | FISCHER, DAVID | AM FUNDS NEW WORLD A | 0.00 | 1.31 | 0.00 | 1.31 | 92.0 | 1.21 |
| 03/01/2018 | MCCLOSKEY, DANIEL | AM FUNDS NEW WORLD A | 0.00 | 1.08 | 0.00 | 1.08 | 92.0 | 0.99 |
| 03/01/2018 | HAUETER, GREGORY | AM FUNDS NEW WORLD A | 0.00 | 0.89 | 0.00 | 0.89 | 92.0 | 0.82 |

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|---|---------------------|------------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <u>DIRECT TRANSACTIONS</u> | | | | | | | | |
| <u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u> | | | | | | | | |
| 03/01/2018 | FLEMING, ANDREA | AM FUNDS NEW WORLD A | 0.00 | 6.11 | 0.00 | 6.11 | 92.0 | 5.62 |
| 03/01/2018 | WALBERG, PAUL | AM FUNDS NEW WORLD A | 0.00 | 1.31 | 0.00 | 1.31 | 92.0 | 1.21 |
| 03/01/2018 | BEAUPREZ, TAMMY | AM FUNDS NEW WORLD A | 0.00 | 8.14 | 0.00 | 8.14 | 92.0 | 7.49 |
| 03/01/2018 | HALSEY, DEBORAH | AM FUNDS NEW WORLD A | 0.00 | 0.81 | 0.00 | 0.81 | 92.0 | 0.75 |
| 03/01/2018 | IRWIN, JOHN | AM FUNDS NEW WORLD A | 0.00 | 1.14 | 0.00 | 1.14 | 92.0 | 1.05 |
| 03/01/2018 | KORAKAS, SANDRA | AM FUNDS NEW WORLD A | 0.00 | 1.39 | 0.00 | 1.39 | 92.0 | 1.28 |
| 03/01/2018 | BENSCH, JEFFREY | AM FUNDS NEW WORLD A | 0.00 | 1.45 | 0.00 | 1.45 | 92.0 | 1.33 |
| 03/01/2018 | HILES, MARC | AM FUNDS NEW WORLD A | 0.00 | 3.29 | 0.00 | 3.29 | 92.0 | 3.03 |
| 03/01/2018 | SMITH, SUZANNE | AM FUNDS NEW WORLD A | 0.00 | 3.12 | 0.00 | 3.12 | 92.0 | 2.87 |
| 03/01/2018 | DUBENDORFER, SUSAN | AM FUNDS NEW WORLD A | 0.00 | 0.61 | 0.00 | 0.61 | 92.0 | 0.56 |
| 03/01/2018 | GOYER, CALLIE | AM FUNDS NEW WORLD A | 0.00 | 2.35 | 0.00 | 2.35 | 92.0 | 2.16 |
| 03/01/2018 | HALSEY, WILLIAM D | AM FUNDS NEW WORLD A | 0.00 | 2.58 | 0.00 | 2.58 | 92.0 | 2.37 |
| 03/01/2018 | ZINK, ROBERT | AM FUNDS NEW WORLD A | 0.00 | 3.18 | 0.00 | 3.18 | 92.0 | 2.93 |
| 03/01/2018 | LARSON, PENNY | AM FUNDS NEW WORLD A | 0.00 | 0.91 | 0.00 | 0.91 | 92.0 | 0.84 |
| 03/01/2018 | COUSINO, NICHOLAS | AM FUNDS NEW WORLD A | 0.00 | 0.42 | 0.00 | 0.42 | 92.0 | 0.39 |
| 03/01/2018 | GOYER, GRACE | AM FUNDS NEW WORLD A | 0.00 | 1.21 | 0.00 | 1.21 | 92.0 | 1.11 |
| 03/01/2018 | DRAKE, ERIC | AM FUNDS NEW WORLD A | 0.00 | 0.40 | 0.00 | 0.40 | 92.0 | 0.37 |
| 03/01/2018 | ROSS, NICOLE | AM FUNDS NEW WORLD A | 0.00 | 0.67 | 0.00 | 0.67 | 92.0 | 0.62 |
| 03/01/2018 | COLEMAN, PARISS | AM FUNDS NEW WORLD A | 0.00 | 0.90 | 0.00 | 0.90 | 92.0 | 0.83 |
| 03/01/2018 | ENGLAND, HELEN | AM FUNDS NEW WORLD A | 0.00 | 0.17 | 0.00 | 0.17 | 92.0 | 0.16 |
| 03/01/2018 | SEYMOUR, DONALD | AM FUNDS NEW WORLD C | 0.00 | 15.42 | 0.00 | 15.42 | 92.0 | 14.19 |
| 03/01/2018 | STUBLESKI, DANIEL | AM FUNDS PRESERVATION PORT A | 0.00 | 80.76 | 0.00 | 80.76 | 92.0 | 74.30 |
| 03/01/2018 | BLAKE, MIRIAM | AM FUNDS SHORT TERM BND FUND OF AM | 0.00 | 0.94 | 0.00 | 0.94 | 92.0 | 0.86 |
| 03/01/2018 | BRUMMETT, DOUGLAS | AM FUNDS SHORT TERM BND FUND OF AM | 0.00 | 0.64 | 0.00 | 0.64 | 92.0 | 0.59 |
| 03/01/2018 | HEINAMAN, ROBERT | AM FUNDS SHORT TERM BND FUND OF AM | 0.00 | 10.70 | 0.00 | 10.70 | 92.0 | 9.84 |
| 03/01/2018 | SWINDLE, DARRYL | AM FUNDS SHORT TERM BND FUND OF AM | 0.00 | 0.76 | 0.00 | 0.76 | 92.0 | 0.70 |
| 03/01/2018 | KRALL, GARY | AM FUNDS SHORT TERM BND FUND OF AM | 0.00 | 1.56 | 0.00 | 1.56 | 92.0 | 1.44 |
| 03/01/2018 | SWINDLE, DARRYL | AM FUNDS SHORT TERM BND FUND OF AM | 0.00 | 0.67 | 0.00 | 0.67 | 92.0 | 0.62 |
| 03/01/2018 | KREMPA, CLAUDE | AM FUNDS SHORT TERM BND FUND OF AM | 0.00 | 1.92 | 0.00 | 1.92 | 92.0 | 1.77 |
| 03/01/2018 | SANDVIG TRUST, ANNE | AM FUNDS SHORT TERM BND FUND OF AM | 0.00 | 0.98 | 0.00 | 0.98 | 92.0 | 0.90 |
| 03/01/2018 | MURPHY, JACK | AM FUNDS SHORT TERM BND FUND OF AM | 0.00 | 0.58 | 0.00 | 0.58 | 92.0 | 0.53 |
| 03/01/2018 | MURPHY, CAROL | AM FUNDS SHORT TERM BND FUND OF AM | 0.00 | 3.41 | 0.00 | 3.41 | 92.0 | 3.14 |
| 03/01/2018 | MOLNAR, JOSEPH | AM FUNDS SHORT TERM BND FUND OF AM | 0.00 | 1.54 | 0.00 | 1.54 | 92.0 | 1.42 |

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

| DATE | CLIENT | INVESTMENT | INVESTMENT AMOUNT | GROSS COMMISSION | CLEARING CHARGE | NET COMMISSION | RATE | BROKER COMMISSION |
|---|-----------------------|------------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <u>DIRECT TRANSACTIONS</u> | | | | | | | | |
| <u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u> | | | | | | | | |
| 03/01/2018 | ROSS, DANIEL | AM FUNDS SHORT TERM BND FUND OF AM | 0.00 | 6.32 | 0.00 | 6.32 | 92.0 | 5.81 |
| 03/01/2018 | ROSS, KRISTINE | AM FUNDS SHORT TERM BND FUND OF AM | 0.00 | 2.16 | 0.00 | 2.16 | 92.0 | 1.99 |
| 03/01/2018 | ZARAGOZA, JULIE | AM FUNDS SHORT TERM BND FUND OF AM | 0.00 | 1.05 | 0.00 | 1.05 | 92.0 | 0.97 |
| 03/01/2018 | ZARAGOZA, VICTOR | AM FUNDS SHORT TERM BND FUND OF AM | 0.00 | 0.60 | 0.00 | 0.60 | 92.0 | 0.55 |
| 03/01/2018 | WARNER, COREY | AM FUNDS SHORT TERM BND FUND OF AM | 0.00 | 1.05 | 0.00 | 1.05 | 92.0 | 0.97 |
| 03/01/2018 | SCANLAN, DAVID | AM FUNDS SHORT TERM BND FUND OF AM | 0.00 | 2.83 | 0.00 | 2.83 | 92.0 | 2.60 |
| 03/01/2018 | GERMAN, MARIANNE | AM FUNDS SHORT TERM BND FUND OF AM | 0.00 | 0.49 | 0.00 | 0.49 | 92.0 | 0.45 |
| 03/01/2018 | CARVER, DENISE | AM FUNDS SHORT TERM BND FUND OF AM | 0.00 | 0.20 | 0.00 | 0.20 | 92.0 | 0.18 |
| 03/01/2018 | HILKENS, CHRISTOPHER | AM FUNDS SHORT TERM BND FUND OF AM | 0.00 | 1.81 | 0.00 | 1.81 | 92.0 | 1.67 |
| 03/01/2018 | HILKENS, CHRISTOPHER | AM FUNDS SHORT TERM BND FUND OF AM | 0.00 | 0.82 | 0.00 | 0.82 | 92.0 | 0.75 |
| 03/01/2018 | FISCHER, DAVID | AM FUNDS SHORT TERM BND FUND OF AM | 0.00 | 2.08 | 0.00 | 2.08 | 92.0 | 1.91 |
| 03/01/2018 | HAUETER, GREGORY | AM FUNDS SHORT TERM BND FUND OF AM | 0.00 | 2.41 | 0.00 | 2.41 | 92.0 | 2.22 |
| 03/01/2018 | FLEMING, ANDREA | AM FUNDS SHORT TERM BND FUND OF AM | 0.00 | 12.56 | 0.00 | 12.56 | 92.0 | 11.56 |
| 03/01/2018 | HORN, TARA | AM FUNDS SHORT TERM BND FUND OF AM | 0.00 | 1.99 | 0.00 | 1.99 | 92.0 | 1.83 |
| 03/01/2018 | BENSCH, JEFFREY | AM FUNDS SHORT TERM BND FUND OF AM | 0.00 | 1.37 | 0.00 | 1.37 | 92.0 | 1.26 |
| 03/01/2018 | COLEMAN, LINDA | AM FUNDS SHORT TERM BND FUND OF AM | 0.00 | 2.35 | 0.00 | 2.35 | 92.0 | 2.16 |
| 03/01/2018 | SMITH, SUZANNE | AM FUNDS SHORT TERM BND FUND OF AM | 0.00 | 3.93 | 0.00 | 3.93 | 92.0 | 3.62 |
| 03/01/2018 | JOLDRICHSEN, JUSTIN | AM FUNDS SHORT TERM BND FUND OF AM | 0.00 | 0.88 | 0.00 | 0.88 | 92.0 | 0.81 |
| 03/01/2018 | COLEMAN, PARISS | AM FUNDS SHORT TERM BND FUND OF AM | 0.00 | 0.59 | 0.00 | 0.59 | 92.0 | 0.54 |
| 03/01/2018 | PELLIONI, PAUL | AM FUNDS SHORT TERM BND FUND OF AM | 0.00 | 9.12 | 0.00 | 9.12 | 92.0 | 8.39 |
| 03/01/2018 | ROSS, NICOLE | AM FUNDS SHORT TERM BND FUND OF AM | 0.00 | 0.29 | 0.00 | 0.29 | 92.0 | 0.27 |
| 03/01/2018 | COLEMAN, PARISS | AM FUNDS SHORT TERM BND FUND OF AM | 0.00 | 1.86 | 0.00 | 1.86 | 92.0 | 1.71 |
| 03/01/2018 | ROSS, MICHELLE L HUDS | AM FUNDS SHORT TERM BND FUND OF AM | 0.00 | 0.56 | 0.00 | 0.56 | 92.0 | 0.52 |
| 03/01/2018 | DREIER, DAVID | AM FUNDS SMALLCAP WORLD A | 0.00 | 2.16 | 0.00 | 2.16 | 92.0 | 1.99 |
| 03/01/2018 | HOLT, JEAN | AM FUNDS SMALLCAP WORLD A | 0.00 | 6.39 | 0.00 | 6.39 | 92.0 | 5.88 |
| 03/01/2018 | HENDERSON, BARBARA | AM FUNDS SMALLCAP WORLD A | 0.00 | 3.17 | 0.00 | 3.17 | 92.0 | 2.92 |
| 03/01/2018 | PEARSON, JOHN | AM FUNDS SMALLCAP WORLD A | 0.00 | 0.55 | 0.00 | 0.55 | 92.0 | 0.51 |
| 03/01/2018 | KOTLARCZYK, JOSEPH | AM FUNDS SMALLCAP WORLD A | 0.00 | 18.43 | 0.00 | 18.43 | 92.0 | 16.96 |
| 03/01/2018 | KRALL, GARY | AM FUNDS SMALLCAP WORLD A | 0.00 | 0.67 | 0.00 | 0.67 | 92.0 | 0.62 |
| 03/01/2018 | BEE, SHARON | AM FUNDS SMALLCAP WORLD A | 0.00 | 1.60 | 0.00 | 1.60 | 92.0 | 1.47 |
| 03/01/2018 | MOLNAR, CONNIE | AM FUNDS SMALLCAP WORLD A | 0.00 | 3.32 | 0.00 | 3.32 | 92.0 | 3.05 |
| 03/01/2018 | ONEY, LINDA | AM FUNDS SMALLCAP WORLD A | 0.00 | 6.81 | 0.00 | 6.81 | 92.0 | 6.27 |
| 03/01/2018 | ROSS, MICHELLE L HUDS | AM FUNDS SMALLCAP WORLD A | 0.00 | 0.88 | 0.00 | 0.88 | 92.0 | 0.81 |

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| DATE | CLIENT | INVESTMENT | INVESTMENT AMOUNT | GROSS COMMISSION | CLEARING CHARGE | NET COMMISSION | RATE | BROKER COMMISSION |
|---|----------------------|-------------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <u>DIRECT TRANSACTIONS</u> | | | | | | | | |
| <u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u> | | | | | | | | |
| 03/01/2018 | GOYER, TIMOTHY | AM FUNDS SMALLCAP WORLD A | 0.00 | 2.07 | 0.00 | 2.07 | 92.0 | 1.90 |
| 03/01/2018 | SWINDLE, DARRYL | AM FUNDS SMALLCAP WORLD A | 0.00 | 1.17 | 0.00 | 1.17 | 92.0 | 1.08 |
| 03/01/2018 | MARKJA, BERNADINE | AM FUNDS SMALLCAP WORLD A | 0.00 | 2.23 | 0.00 | 2.23 | 92.0 | 2.05 |
| 03/01/2018 | BRAITHWAITE, WILLIAM | AM FUNDS SMALLCAP WORLD A | 0.00 | 1.17 | 0.00 | 1.17 | 92.0 | 1.08 |
| 03/01/2018 | SHAFFER, LOREN | AM FUNDS SMALLCAP WORLD A | 0.00 | 0.99 | 0.00 | 0.99 | 92.0 | 0.91 |
| 03/01/2018 | BRILLHART, RYAN | AM FUNDS SMALLCAP WORLD A | 0.00 | 0.44 | 0.00 | 0.44 | 92.0 | 0.40 |
| 03/01/2018 | BRILLHART, RYAN | AM FUNDS SMALLCAP WORLD A | 0.00 | 0.44 | 0.00 | 0.44 | 92.0 | 0.40 |
| 03/01/2018 | MURPHY, JACK | AM FUNDS SMALLCAP WORLD A | 0.00 | 1.00 | 0.00 | 1.00 | 92.0 | 0.92 |
| 03/01/2018 | KOTLARCZYK, JOSEPH | AM FUNDS SMALLCAP WORLD A | 0.00 | 0.79 | 0.00 | 0.79 | 92.0 | 0.73 |
| 03/01/2018 | GLORE, DANIEL | AM FUNDS SMALLCAP WORLD A | 0.00 | 0.72 | 0.00 | 0.72 | 92.0 | 0.66 |
| 03/01/2018 | MURPHY, CAROL | AM FUNDS SMALLCAP WORLD A | 0.00 | 1.22 | 0.00 | 1.22 | 92.0 | 1.12 |
| 03/01/2018 | SHAFFER, DENISE | AM FUNDS SMALLCAP WORLD A | 0.00 | 3.02 | 0.00 | 3.02 | 92.0 | 2.78 |
| 03/01/2018 | IRWIN, JOHN | AM FUNDS SMALLCAP WORLD A | 0.00 | 6.95 | 0.00 | 6.95 | 92.0 | 6.39 |
| 03/01/2018 | WALLS, KIMBERLY | AM FUNDS SMALLCAP WORLD A | 0.00 | 0.62 | 0.00 | 0.62 | 92.0 | 0.57 |
| 03/01/2018 | GLORE, CHRISTINE | AM FUNDS SMALLCAP WORLD A | 0.00 | 2.02 | 0.00 | 2.02 | 92.0 | 1.86 |
| 03/01/2018 | WHITTAKER, WILLIAM | AM FUNDS SMALLCAP WORLD A | 0.00 | 5.85 | 0.00 | 5.85 | 92.0 | 5.38 |
| 03/01/2018 | WHITTAKER, WILLIAM | AM FUNDS SMALLCAP WORLD A | 0.00 | 16.86 | 0.00 | 16.86 | 92.0 | 15.51 |
| 03/01/2018 | FLEMING, ANDREA | AM FUNDS SMALLCAP WORLD A | 0.00 | 7.24 | 0.00 | 7.24 | 92.0 | 6.66 |
| 03/01/2018 | HORN, TARA | AM FUNDS SMALLCAP WORLD A | 0.00 | 3.49 | 0.00 | 3.49 | 92.0 | 3.21 |
| 03/01/2018 | HILES, MARC | AM FUNDS SMALLCAP WORLD A | 0.00 | 2.27 | 0.00 | 2.27 | 92.0 | 2.09 |
| 03/01/2018 | GOYER, CALLIE | AM FUNDS SMALLCAP WORLD A | 0.00 | 3.04 | 0.00 | 3.04 | 92.0 | 2.80 |
| 03/01/2018 | SMITH, PADRAIC | AM FUNDS SMALLCAP WORLD A | 0.00 | 1.14 | 0.00 | 1.14 | 92.0 | 1.05 |
| 03/01/2018 | HALSEY, WILLIAM D | AM FUNDS SMALLCAP WORLD A | 0.00 | 3.26 | 0.00 | 3.26 | 92.0 | 3.00 |
| 03/01/2018 | GOYER, GRACE | AM FUNDS SMALLCAP WORLD A | 0.00 | 0.95 | 0.00 | 0.95 | 92.0 | 0.87 |
| 03/01/2018 | MARTIN, RACHEL | AM FUNDS SMALLCAP WORLD A | 0.00 | 0.77 | 0.00 | 0.77 | 92.0 | 0.71 |
| 03/01/2018 | SEYMOUR, DONALD | AM FUNDS SMALLCAP WORLD C | 0.00 | 39.54 | 0.00 | 39.54 | 92.0 | 36.38 |
| 03/01/2018 | COLEMAN, LINDA | AM FUNDS SMALLCAP WORLD-529A | 0.00 | 0.91 | 0.00 | 0.91 | 92.0 | 0.84 |
| 03/01/2018 | HEINAMAN, ROBERT | AM FUNDS TAX-EXEMPT BOND FUND OF AM | 0.00 | 0.18 | 0.00 | 0.18 | 92.0 | 0.17 |
| 03/01/2018 | BRUMMETT, DOUGLAS | AM FUNDS TAX-EXEMPT BOND FUND OF AM | 0.00 | 1.24 | 0.00 | 1.24 | 92.0 | 1.14 |
| 03/01/2018 | VALADE, JOHN | AM FUNDS TAX-EXEMPT BOND FUND OF AM | 0.00 | 3.07 | 0.00 | 3.07 | 92.0 | 2.82 |
| 03/01/2018 | HEINAMAN, ROBERT | AM FUNDS TAX-EXEMPT BOND FUND OF AM | 0.00 | 29.85 | 0.00 | 29.85 | 92.0 | 27.46 |
| 03/01/2018 | SANDERSON, CATHY | AM FUNDS TAX-EXEMPT BOND FUND OF AM | 0.00 | 1.33 | 0.00 | 1.33 | 92.0 | 1.22 |
| 03/01/2018 | MILLER, MICHAEL | AM FUNDS TAX-EXEMPT BOND FUND OF AM | 0.00 | 1.52 | 0.00 | 1.52 | 92.0 | 1.40 |

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|---|-----------------------|-------------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <u>DIRECT TRANSACTIONS</u> | | | | | | | | |
| <u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u> | | | | | | | | |
| 03/01/2018 | DECKER, MARY BETH | AM FUNDS TAX-EXEMPT BOND FUND OF AM | 0.00 | 2.10 | 0.00 | 2.10 | 92.0 | 1.93 |
| 03/01/2018 | ROSS, SALLY | AM FUNDS TAX-EXEMPT BOND FUND OF AM | 0.00 | 1.04 | 0.00 | 1.04 | 92.0 | 0.96 |
| 03/01/2018 | SUTHERLAND, BARBARA | AM FUNDS TAX-EXEMPT BOND FUND OF AM | 0.00 | 0.23 | 0.00 | 0.23 | 92.0 | 0.21 |
| 03/01/2018 | SANDERSON, CATHY | AM FUNDS TAX-EXEMPT BOND FUND OF AM | 0.00 | 0.89 | 0.00 | 0.89 | 92.0 | 0.82 |
| 03/01/2018 | ROSS, MICHELLE L HUDS | AM FUNDS TAX-EXEMPT BOND FUND OF AM | 0.00 | 1.55 | 0.00 | 1.55 | 92.0 | 1.43 |
| 03/01/2018 | MOORE, LINDA | AM FUNDS TAX-EXEMPT BOND FUND OF AM | 0.00 | 3.93 | 0.00 | 3.93 | 92.0 | 3.62 |
| 03/01/2018 | ROSS, MICHAEL C HUDSO | AM FUNDS TAX-EXEMPT BOND FUND OF AM | 0.00 | 0.84 | 0.00 | 0.84 | 92.0 | 0.77 |
| 03/01/2018 | MARKJA, BERNADINE | AM FUNDS TAX-EXEMPT BOND FUND OF AM | 0.00 | 1.27 | 0.00 | 1.27 | 92.0 | 1.17 |
| 03/01/2018 | BRAITHWAITE, MICHAEL | AM FUNDS TAX-EXEMPT BOND FUND OF AM | 0.00 | 3.34 | 0.00 | 3.34 | 92.0 | 3.07 |
| 03/01/2018 | SANDVIG TRUST, ANNE | AM FUNDS TAX-EXEMPT BOND FUND OF AM | 0.00 | 1.87 | 0.00 | 1.87 | 92.0 | 1.72 |
| 03/01/2018 | ISAACSON, ROBERT | AM FUNDS TAX-EXEMPT BOND FUND OF AM | 0.00 | 14.76 | 0.00 | 14.76 | 92.0 | 13.58 |
| 03/01/2018 | IRWIN, JOHN | AM FUNDS TAX-EXEMPT BOND FUND OF AM | 0.00 | 31.39 | 0.00 | 31.39 | 92.0 | 28.88 |
| 03/01/2018 | DECKER, MARY BETH | AM FUNDS TAX-EXEMPT BOND FUND OF AM | 0.00 | 1.27 | 0.00 | 1.27 | 92.0 | 1.17 |
| 03/01/2018 | TARRIS, CHRISTINE | AM FUNDS TAX-EXEMPT BOND FUND OF AM | 0.00 | 5.97 | 0.00 | 5.97 | 92.0 | 5.49 |
| 03/01/2018 | SILLIMAN, JEFFREY | AM FUNDS TAX-EXEMPT BOND FUND OF AM | 0.00 | 2.36 | 0.00 | 2.36 | 92.0 | 2.17 |
| 03/01/2018 | MOLNAR, JOSEPH | AM FUNDS TAX-EXEMPT BOND FUND OF AM | 0.00 | 1.10 | 0.00 | 1.10 | 92.0 | 1.01 |
| 03/01/2018 | ROSS, DANIEL | AM FUNDS TAX-EXEMPT BOND FUND OF AM | 0.00 | 7.99 | 0.00 | 7.99 | 92.0 | 7.35 |
| 03/01/2018 | BRILLHART, SHARON | AM FUNDS TAX-EXEMPT BOND FUND OF AM | 0.00 | 2.24 | 0.00 | 2.24 | 92.0 | 2.06 |
| 03/01/2018 | BRAITHWAITE, MICHAEL | AM FUNDS TAX-EXEMPT BOND FUND OF AM | 0.00 | 0.70 | 0.00 | 0.70 | 92.0 | 0.64 |
| 03/01/2018 | RUPP, MARJORIE | AM FUNDS TAX-EXEMPT BOND FUND OF AM | 0.00 | 1.79 | 0.00 | 1.79 | 92.0 | 1.65 |
| 03/01/2018 | ROSS, KRISTINE | AM FUNDS TAX-EXEMPT BOND FUND OF AM | 0.00 | 2.15 | 0.00 | 2.15 | 92.0 | 1.98 |
| 03/01/2018 | LECHUGA, CARRIE | AM FUNDS TAX-EXEMPT BOND FUND OF AM | 0.00 | 0.24 | 0.00 | 0.24 | 92.0 | 0.22 |
| 03/01/2018 | KISER, ELIZABETH | AM FUNDS TAX-EXEMPT BOND FUND OF AM | 0.00 | 0.84 | 0.00 | 0.84 | 92.0 | 0.77 |
| 03/01/2018 | KISER, EDWARD | AM FUNDS TAX-EXEMPT BOND FUND OF AM | 0.00 | 0.78 | 0.00 | 0.78 | 92.0 | 0.72 |
| 03/01/2018 | ZARAGOZA, JULIE | AM FUNDS TAX-EXEMPT BOND FUND OF AM | 0.00 | 0.42 | 0.00 | 0.42 | 92.0 | 0.39 |
| 03/01/2018 | BEAUPREZ, TAMMY | AM FUNDS TAX-EXEMPT BOND FUND OF AM | 0.00 | 1.24 | 0.00 | 1.24 | 92.0 | 1.14 |
| 03/01/2018 | BEAUPREZ, TAMMY | AM FUNDS TAX-EXEMPT BOND FUND OF AM | 0.00 | 2.49 | 0.00 | 2.49 | 92.0 | 2.29 |
| 03/01/2018 | SCHNEE, LEO | AM FUNDS TAX-EXEMPT BOND FUND OF AM | 0.00 | 0.59 | 0.00 | 0.59 | 92.0 | 0.54 |
| 03/01/2018 | GERMAN, MARIANNE | AM FUNDS TAX-EXEMPT BOND FUND OF AM | 0.00 | 0.66 | 0.00 | 0.66 | 92.0 | 0.61 |
| 03/01/2018 | BRILLHART, GREGORY | AM FUNDS TAX-EXEMPT BOND FUND OF AM | 0.00 | 0.32 | 0.00 | 0.32 | 92.0 | 0.29 |
| 03/01/2018 | FLEMING, ANDREA | AM FUNDS TAX-EXEMPT BOND FUND OF AM | 0.00 | 3.22 | 0.00 | 3.22 | 92.0 | 2.96 |
| 03/01/2018 | WALBERG, PAUL | AM FUNDS TAX-EXEMPT BOND FUND OF AM | 0.00 | 1.23 | 0.00 | 1.23 | 92.0 | 1.13 |
| 03/01/2018 | BEAUPREZ, TAMMY | AM FUNDS TAX-EXEMPT BOND FUND OF AM | 0.00 | 10.55 | 0.00 | 10.55 | 92.0 | 9.71 |

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|---|-----------------------|-------------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <u>DIRECT TRANSACTIONS</u> | | | | | | | | |
| <u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u> | | | | | | | | |
| 03/01/2018 | IRWIN, JOHN | AM FUNDS TAX-EXEMPT BOND FUND OF AM | 0.00 | 3.64 | 0.00 | 3.64 | 92.0 | 3.35 |
| 03/01/2018 | IRWIN, JOYCE | AM FUNDS TAX-EXEMPT BOND FUND OF AM | 0.00 | 0.32 | 0.00 | 0.32 | 92.0 | 0.29 |
| 03/01/2018 | WOODRUFF, STEPHANIE | AM FUNDS TAX-EXEMPT BOND FUND OF AM | 0.00 | 0.31 | 0.00 | 0.31 | 92.0 | 0.29 |
| 03/01/2018 | WAGONER JR, JOHN | AM FUNDS TAX-EXEMPT BOND FUND OF AM | 0.00 | 0.48 | 0.00 | 0.48 | 92.0 | 0.44 |
| 03/01/2018 | WAGONER JR, JOHN | AM FUNDS TAX-EXEMPT BOND FUND OF AM | 0.00 | 0.27 | 0.00 | 0.27 | 92.0 | 0.25 |
| 03/01/2018 | LARSON, PENNY | AM FUNDS TAX-EXEMPT BOND FUND OF AM | 0.00 | 0.37 | 0.00 | 0.37 | 92.0 | 0.34 |
| 03/01/2018 | COUSINO, NICHOLAS | AM FUNDS TAX-EXEMPT BOND FUND OF AM | 0.00 | 5.56 | 0.00 | 5.56 | 92.0 | 5.12 |
| 03/01/2018 | GROSVENOR, JOHN | AM FUNDS TAX-EXEMPT BOND FUND OF AM | 0.00 | 1.74 | 0.00 | 1.74 | 92.0 | 1.60 |
| 03/01/2018 | FAIRCHILD, KERRY | AM FUNDS TAX-EXEMPT BOND FUND OF AM | 0.00 | 6.05 | 0.00 | 6.05 | 92.0 | 5.57 |
| 03/01/2018 | WEBBER, ROBERT | AM FUNDS TAX-EXEMPT BOND FUND OF AM | 0.00 | 0.32 | 0.00 | 0.32 | 92.0 | 0.29 |
| 03/01/2018 | BIHN, JANELLE | AM FUNDS TAX-EXEMPT BOND FUND OF AM | 0.00 | 2.44 | 0.00 | 2.44 | 92.0 | 2.24 |
| 03/01/2018 | ROSS, MICHELLE L HUDS | AM FUNDS TAX-EXEMPT BOND FUND OF AM | 0.00 | 0.58 | 0.00 | 0.58 | 92.0 | 0.53 |
| 03/01/2018 | YOUNG, KEITH | AM FUNDS TAX-EXEMPT BOND FUND OF AM | 0.00 | 3.80 | 0.00 | 3.80 | 92.0 | 3.50 |
| 03/01/2018 | WHALEN, KELLY | AM FUNDS TAX-EXEMPT BOND FUND OF AM | 0.00 | 4.50 | 0.00 | 4.50 | 92.0 | 4.14 |
| 03/01/2018 | DEMKO, VERA | AM FUNDS TAX-EXEMPT BOND FUND OF AM | 0.00 | 7.47 | 0.00 | 7.47 | 92.0 | 6.87 |
| 03/01/2018 | DONNELLY, EMILY | AM FUNDS TAX-EXEMPT BOND FUND OF AM | 0.00 | 0.20 | 0.00 | 0.20 | 92.0 | 0.18 |
| 03/01/2018 | MOON, CHARLES | AM FUNDS TAX-EXEMPT BOND FUND OF AM | 0.00 | 1.23 | 0.00 | 1.23 | 92.0 | 1.13 |
| 03/01/2018 | ROSS, NICOLE | AM FUNDS TAX-EXEMPT BOND FUND OF AM | 0.00 | 1.07 | 0.00 | 1.07 | 92.0 | 0.98 |
| 03/01/2018 | SEYMOUR, DONALD | AM FUNDS TAX-EXEMPT BOND FUND OF AM | 0.00 | 73.75 | 0.00 | 73.75 | 92.0 | 67.85 |
| 03/01/2018 | BENSCH, CANDACE | AM FUNDS U.S. GOVERNMENT SECURITIES | 0.00 | 1.55 | 0.00 | 1.55 | 92.0 | 1.43 |
| 03/01/2018 | HEINAMAN, ROBERT | AM FUNDS U.S. GOVERNMENT SECURITIES | 0.00 | 12.37 | 0.00 | 12.37 | 92.0 | 11.38 |
| 03/01/2018 | SANDERSON, CATHY | AM FUNDS U.S. GOVERNMENT SECURITIES | 0.00 | 1.22 | 0.00 | 1.22 | 92.0 | 1.12 |
| 03/01/2018 | MILLER, MICHAEL | AM FUNDS U.S. GOVERNMENT SECURITIES | 0.00 | 0.55 | 0.00 | 0.55 | 92.0 | 0.51 |
| 03/01/2018 | DECKER, MARY BETH | AM FUNDS U.S. GOVERNMENT SECURITIES | 0.00 | 1.17 | 0.00 | 1.17 | 92.0 | 1.08 |
| 03/01/2018 | HENDERSON, BARBARA | AM FUNDS U.S. GOVERNMENT SECURITIES | 0.00 | 1.22 | 0.00 | 1.22 | 92.0 | 1.12 |
| 03/01/2018 | RONEY, LINDA | AM FUNDS U.S. GOVERNMENT SECURITIES | 0.00 | 37.22 | 0.00 | 37.22 | 92.0 | 34.24 |
| 03/01/2018 | KREMPA, CLAUDE | AM FUNDS U.S. GOVERNMENT SECURITIES | 0.00 | 2.09 | 0.00 | 2.09 | 92.0 | 1.92 |
| 03/01/2018 | SANDVIG TRUST, ANNE | AM FUNDS U.S. GOVERNMENT SECURITIES | 0.00 | 1.41 | 0.00 | 1.41 | 92.0 | 1.30 |
| 03/01/2018 | BRILLHART, RYAN | AM FUNDS U.S. GOVERNMENT SECURITIES | 0.00 | 1.20 | 0.00 | 1.20 | 92.0 | 1.10 |
| 03/01/2018 | IRWIN, JOHN | AM FUNDS U.S. GOVERNMENT SECURITIES | 0.00 | 11.17 | 0.00 | 11.17 | 92.0 | 10.28 |
| 03/01/2018 | DECKER, MARY BETH | AM FUNDS U.S. GOVERNMENT SECURITIES | 0.00 | 0.50 | 0.00 | 0.50 | 92.0 | 0.46 |
| 03/01/2018 | SILLIMAN, JEFFREY | AM FUNDS U.S. GOVERNMENT SECURITIES | 0.00 | 1.24 | 0.00 | 1.24 | 92.0 | 1.14 |
| 03/01/2018 | ROSS, DANIEL | AM FUNDS U.S. GOVERNMENT SECURITIES | 0.00 | 3.26 | 0.00 | 3.26 | 92.0 | 3.00 |

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

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

| DATE | CLIENT | INVESTMENT | INVESTMENT AMOUNT | GROSS COMMISSION | CLEARING CHARGE | NET COMMISSION | RATE | BROKER COMMISSION |
|---|-----------------------|-------------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <u>DIRECT TRANSACTIONS</u> | | | | | | | | |
| <u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u> | | | | | | | | |
| 03/01/2018 | SILLIMAN, GRACE | AM FUNDS U.S. GOVERNMENT SECURITIES | 0.00 | 0.62 | 0.00 | 0.62 | 92.0 | 0.57 |
| 03/01/2018 | ROSS, KRISTINE | AM FUNDS U.S. GOVERNMENT SECURITIES | 0.00 | 3.00 | 0.00 | 3.00 | 92.0 | 2.76 |
| 03/01/2018 | BEAUPREZ, TAMMY | AM FUNDS U.S. GOVERNMENT SECURITIES | 0.00 | 1.67 | 0.00 | 1.67 | 92.0 | 1.54 |
| 03/01/2018 | FLEMING, ANDREA | AM FUNDS U.S. GOVERNMENT SECURITIES | 0.00 | 22.06 | 0.00 | 22.06 | 92.0 | 20.30 |
| 03/01/2018 | BEAUPREZ, TAMMY | AM FUNDS U.S. GOVERNMENT SECURITIES | 0.00 | 8.46 | 0.00 | 8.46 | 92.0 | 7.78 |
| 03/01/2018 | SMITH, SUZANNE | AM FUNDS U.S. GOVERNMENT SECURITIES | 0.00 | 1.86 | 0.00 | 1.86 | 92.0 | 1.71 |
| 03/01/2018 | SMITH, PADRAIC | AM FUNDS U.S. GOVERNMENT SECURITIES | 0.00 | 2.30 | 0.00 | 2.30 | 92.0 | 2.12 |
| 03/01/2018 | NICHOLSON, JAMES | AM FUNDS U.S. GOVERNMENT SECURITIES | 0.00 | 6.20 | 0.00 | 6.20 | 92.0 | 5.70 |
| 03/01/2018 | WOODRUFF, STEPHANIE | AM FUNDS U.S. GOVERNMENT SECURITIES | 0.00 | 0.18 | 0.00 | 0.18 | 92.0 | 0.17 |
| 03/01/2018 | DONNELLY, EMILY | AM FUNDS U.S. GOVERNMENT SECURITIES | 0.00 | 0.18 | 0.00 | 0.18 | 92.0 | 0.17 |
| 03/01/2018 | DEMKO, VERNA | AM FUNDS U.S. GOVERNMENT SECURITIES | 0.00 | 7.33 | 0.00 | 7.33 | 92.0 | 6.74 |
| 03/01/2018 | ROSS, MICHELLE L HUDS | AM FUNDS U.S. GOVERNMENT SECURITIES | 0.00 | 6.14 | 0.00 | 6.14 | 92.0 | 5.65 |
| 03/01/2018 | ROSS, MICHELLE L HUDS | AM FUNDS U.S. GOVERNMENT SECURITIES | 0.00 | 0.01 | 0.00 | 0.01 | 92.0 | 0.01 |
| 03/01/2018 | BLAKE, MIRIAM | AM FUNDS WASHINGTON MUTUAL INVESTOR | 0.00 | 1.19 | 0.00 | 1.19 | 92.0 | 1.09 |
| 03/01/2018 | BENSCH, CANDACE | AM FUNDS WASHINGTON MUTUAL INVESTOR | 0.00 | 2.01 | 0.00 | 2.01 | 92.0 | 1.85 |
| 03/01/2018 | DREIER, DAVID | AM FUNDS WASHINGTON MUTUAL INVESTOR | 0.00 | 2.24 | 0.00 | 2.24 | 92.0 | 2.06 |
| 03/01/2018 | COMBS, BRIAN | AM FUNDS WASHINGTON MUTUAL INVESTOR | 0.00 | 2.69 | 0.00 | 2.69 | 92.0 | 2.47 |
| 03/01/2018 | SWINDLE, CYNTHIA | AM FUNDS WASHINGTON MUTUAL INVESTOR | 0.00 | 1.01 | 0.00 | 1.01 | 92.0 | 0.93 |
| 03/01/2018 | ROSS, SALLY | AM FUNDS WASHINGTON MUTUAL INVESTOR | 0.00 | 2.88 | 0.00 | 2.88 | 92.0 | 2.65 |
| 03/01/2018 | KOTLARCYK, JOSEPH | AM FUNDS WASHINGTON MUTUAL INVESTOR | 0.00 | 9.64 | 0.00 | 9.64 | 92.0 | 8.87 |
| 03/01/2018 | KRALL, GARY | AM FUNDS WASHINGTON MUTUAL INVESTOR | 0.00 | 1.88 | 0.00 | 1.88 | 92.0 | 1.73 |
| 03/01/2018 | RONEY, LINDA | AM FUNDS WASHINGTON MUTUAL INVESTOR | 0.00 | 32.09 | 0.00 | 32.09 | 92.0 | 29.52 |
| 03/01/2018 | ZUCCARELL, HEATHER | AM FUNDS WASHINGTON MUTUAL INVESTOR | 0.00 | 1.22 | 0.00 | 1.22 | 92.0 | 1.12 |
| 03/01/2018 | ZUCCARELL, MATTHEW | AM FUNDS WASHINGTON MUTUAL INVESTOR | 0.00 | 2.44 | 0.00 | 2.44 | 92.0 | 2.24 |
| 03/01/2018 | WOODRUFF, AUSTIN | AM FUNDS WASHINGTON MUTUAL INVESTOR | 0.00 | 2.24 | 0.00 | 2.24 | 92.0 | 2.06 |
| 03/01/2018 | DAY, CHERYL | AM FUNDS WASHINGTON MUTUAL INVESTOR | 0.00 | 0.28 | 0.00 | 0.28 | 92.0 | 0.26 |
| 03/01/2018 | SMOOT, C STEVEN | AM FUNDS WASHINGTON MUTUAL INVESTOR | 0.00 | 19.81 | 0.00 | 19.81 | 92.0 | 18.23 |
| 03/01/2018 | HANUDEL, KAREN | AM FUNDS WASHINGTON MUTUAL INVESTOR | 0.00 | 8.47 | 0.00 | 8.47 | 92.0 | 7.79 |
| 03/01/2018 | URSITTI, MATTHEW | AM FUNDS WASHINGTON MUTUAL INVESTOR | 0.00 | 4.45 | 0.00 | 4.45 | 92.0 | 4.09 |
| 03/01/2018 | HUNTER, MICHAEL | AM FUNDS WASHINGTON MUTUAL INVESTOR | 0.00 | 2.12 | 0.00 | 2.12 | 92.0 | 1.95 |
| 03/01/2018 | BRILLHART, RYAN | AM FUNDS WASHINGTON MUTUAL INVESTOR | 0.00 | 2.15 | 0.00 | 2.15 | 92.0 | 1.98 |
| 03/01/2018 | BRILLHART, RYAN | AM FUNDS WASHINGTON MUTUAL INVESTOR | 0.00 | 0.59 | 0.00 | 0.59 | 92.0 | 0.54 |
| 03/01/2018 | BRILLHART, RYAN | AM FUNDS WASHINGTON MUTUAL INVESTOR | 0.00 | 0.71 | 0.00 | 0.71 | 92.0 | 0.65 |

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| DATE | CLIENT | INVESTMENT | INVESTMENT AMOUNT | GROSS COMMISSION | CLEARING CHARGE | NET COMMISSION | RATE | BROKER COMMISSION |
|---|-----------------------|-------------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <u>DIRECT TRANSACTIONS</u> | | | | | | | | |
| <u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u> | | | | | | | | |
| 03/01/2018 | KOTLARCZYK, JOSEPH | AM FUNDS WASHINGTON MUTUAL INVESTOR | 0.00 | 2.71 | 0.00 | 2.71 | 92.0 | 2.49 |
| 03/01/2018 | KOTLARCZYK, JANA | AM FUNDS WASHINGTON MUTUAL INVESTOR | 0.00 | 1.17 | 0.00 | 1.17 | 92.0 | 1.08 |
| 03/01/2018 | HARRISON, JEFFERY | AM FUNDS WASHINGTON MUTUAL INVESTOR | 0.00 | 4.34 | 0.00 | 4.34 | 92.0 | 3.99 |
| 03/01/2018 | MURPHY, CAROL | AM FUNDS WASHINGTON MUTUAL INVESTOR | 0.00 | 5.69 | 0.00 | 5.69 | 92.0 | 5.23 |
| 03/01/2018 | SHAFFER, DENISE | AM FUNDS WASHINGTON MUTUAL INVESTOR | 0.00 | 3.43 | 0.00 | 3.43 | 92.0 | 3.16 |
| 03/01/2018 | MORNINGSTAR, MICHELLE | AM FUNDS WASHINGTON MUTUAL INVESTOR | 0.00 | 1.51 | 0.00 | 1.51 | 92.0 | 1.39 |
| 03/01/2018 | WASSERMAN, JULIE | AM FUNDS WASHINGTON MUTUAL INVESTOR | 0.00 | 0.69 | 0.00 | 0.69 | 92.0 | 0.63 |
| 03/01/2018 | JAKSETIC, ZACHARY | AM FUNDS WASHINGTON MUTUAL INVESTOR | 0.00 | 0.41 | 0.00 | 0.41 | 92.0 | 0.38 |
| 03/01/2018 | HAUSER, ROBERT | AM FUNDS WASHINGTON MUTUAL INVESTOR | 0.00 | 13.14 | 0.00 | 13.14 | 92.0 | 12.09 |
| 03/01/2018 | HAUSER, RONALD | AM FUNDS WASHINGTON MUTUAL INVESTOR | 0.00 | 3.69 | 0.00 | 3.69 | 92.0 | 3.39 |
| 03/01/2018 | WALLS, KIMBERLY | AM FUNDS WASHINGTON MUTUAL INVESTOR | 0.00 | 0.46 | 0.00 | 0.46 | 92.0 | 0.42 |
| 03/01/2018 | KRAUS, JENNIFER | AM FUNDS WASHINGTON MUTUAL INVESTOR | 0.00 | 2.36 | 0.00 | 2.36 | 92.0 | 2.17 |
| 03/01/2018 | MOLNAR, JOSEPH | AM FUNDS WASHINGTON MUTUAL INVESTOR | 0.00 | 3.18 | 0.00 | 3.18 | 92.0 | 2.93 |
| 03/01/2018 | KORAL, ANDREW | AM FUNDS WASHINGTON MUTUAL INVESTOR | 0.00 | 0.44 | 0.00 | 0.44 | 92.0 | 0.40 |
| 03/01/2018 | ROSS, DANIEL | AM FUNDS WASHINGTON MUTUAL INVESTOR | 0.00 | 1.78 | 0.00 | 1.78 | 92.0 | 1.64 |
| 03/01/2018 | CASTOR, TIMOTHY | AM FUNDS WASHINGTON MUTUAL INVESTOR | 0.00 | 0.72 | 0.00 | 0.72 | 92.0 | 0.66 |
| 03/01/2018 | HELMINIAK, CAROLYN | AM FUNDS WASHINGTON MUTUAL INVESTOR | 0.00 | 1.71 | 0.00 | 1.71 | 92.0 | 1.57 |
| 03/01/2018 | CURSON, STEVE | AM FUNDS WASHINGTON MUTUAL INVESTOR | 0.00 | 1.81 | 0.00 | 1.81 | 92.0 | 1.67 |
| 03/01/2018 | ROSS, PATRICK | AM FUNDS WASHINGTON MUTUAL INVESTOR | 0.00 | 0.69 | 0.00 | 0.69 | 92.0 | 0.63 |
| 03/01/2018 | WHITTAKER, WILLIAM | AM FUNDS WASHINGTON MUTUAL INVESTOR | 0.00 | 13.43 | 0.00 | 13.43 | 92.0 | 12.36 |
| 03/01/2018 | BEAUPREZ, TAMMY | AM FUNDS WASHINGTON MUTUAL INVESTOR | 0.00 | 1.63 | 0.00 | 1.63 | 92.0 | 1.50 |
| 03/01/2018 | FLEMING, ANDREA | AM FUNDS WASHINGTON MUTUAL INVESTOR | 0.00 | 7.06 | 0.00 | 7.06 | 92.0 | 6.50 |
| 03/01/2018 | BEAUPREZ, TAMMY | AM FUNDS WASHINGTON MUTUAL INVESTOR | 0.00 | 13.27 | 0.00 | 13.27 | 92.0 | 12.21 |
| 03/01/2018 | HALSEY, DEBORAH | AM FUNDS WASHINGTON MUTUAL INVESTOR | 0.00 | 1.73 | 0.00 | 1.73 | 92.0 | 1.59 |
| 03/01/2018 | KORAKAS, SANDRA | AM FUNDS WASHINGTON MUTUAL INVESTOR | 0.00 | 0.68 | 0.00 | 0.68 | 92.0 | 0.63 |
| 03/01/2018 | BENSCH, JEFFREY | AM FUNDS WASHINGTON MUTUAL INVESTOR | 0.00 | 3.92 | 0.00 | 3.92 | 92.0 | 3.61 |
| 03/01/2018 | HILES, MARC | AM FUNDS WASHINGTON MUTUAL INVESTOR | 0.00 | 2.96 | 0.00 | 2.96 | 92.0 | 2.72 |
| 03/01/2018 | GOYER, CALLIE | AM FUNDS WASHINGTON MUTUAL INVESTOR | 0.00 | 3.27 | 0.00 | 3.27 | 92.0 | 3.01 |
| 03/01/2018 | WASSERMAN, RICHARD | AM FUNDS WASHINGTON MUTUAL INVESTOR | 0.00 | 0.57 | 0.00 | 0.57 | 92.0 | 0.52 |
| 03/01/2018 | GOYER, GRACE | AM FUNDS WASHINGTON MUTUAL INVESTOR | 0.00 | 1.93 | 0.00 | 1.93 | 92.0 | 1.78 |
| 03/01/2018 | STOUT, DAVID | AM FUNDS WASHINGTON MUTUAL INVESTOR | 0.00 | 2.97 | 0.00 | 2.97 | 92.0 | 2.73 |
| 03/01/2018 | FAIRCHILD, KERRY | AM FUNDS WASHINGTON MUTUAL INVESTOR | 0.00 | 2.41 | 0.00 | 2.41 | 92.0 | 2.22 |
| 03/01/2018 | WHALEN, KELLY | AM FUNDS WASHINGTON MUTUAL INVESTOR | 0.00 | 3.50 | 0.00 | 3.50 | 92.0 | 3.22 |

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|--|---------------------|-------------------------------------|-----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <u>DIRECT TRANSACTIONS</u> | | | | | | | | |
| <u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u> | | | | | | | | |
| 03/01/2018 | DEMKO, VERA | AM FUNDS WASHINGTON MUTUAL INVESTOR | 0.00 | 5.08 | 0.00 | 5.08 | 92.0 | 4.67 |
| 03/01/2018 | COLEMAN, PARISS | AM FUNDS WASHINGTON MUTUAL INVESTOR | 0.00 | 6.15 | 0.00 | 6.15 | 92.0 | 5.66 |
| 03/01/2018 | SEYMOUR, DONALD | AM FUNDS WASHINGTON MUTUAL INVESTOR | 0.00 | 162.85 | 0.00 | 162.85 | 92.0 | 149.82 |
| 03/01/2018 | ZUCCARELL, MATTHEW | AM FUNDS WASHINGTON MUTUAL INVESTOR | 0.00 | 0.53 | 0.00 | 0.53 | 92.0 | 0.49 |
| 03/01/2018 | HUNTER, DEBORAH | AM FUNDS WASHINGTON MUTUAL INVESTOR | 0.00 | 7.00 | 0.00 | 7.00 | 92.0 | 6.44 |
| 03/01/2018 | ZUCCARELL, MATTHEW | AM FUNDS WASHINGTON MUTUAL INVESTOR | 0.00 | 0.49 | 0.00 | 0.49 | 92.0 | 0.45 |
| 03/01/2018 | KRALL, GARY | AMERICAN FUND GLOBAL GROWTH PORTFOL | 0.00 | 4.57 | 0.00 | 4.57 | 92.0 | 4.20 |
| 03/01/2018 | GARDNER, WILLIAM | AMERICAN FUND GLOBAL GROWTH PORTFOL | 0.00 | 5.06 | 0.00 | 5.06 | 92.0 | 4.66 |
| 03/01/2018 | SEYMOUR, DONALD | AMERICAN FUNDS 2015 TARGET DATE-C | 0.00 | 25.51 | 0.00 | 25.51 | 92.0 | 23.47 |
| 03/01/2018 | SEYMOUR, DONALD | AMERICAN FUNDS 2020 TARGET DATE-C | 0.00 | 41.15 | 0.00 | 41.15 | 92.0 | 37.86 |
| 03/01/2018 | SEYMOUR, DONALD | AMERICAN HIGH-INCOME MUNI BOND FUND | 0.00 | 67.46 | 0.00 | 67.46 | 92.0 | 62.06 |
| / / | WAGONER JR, JOHN | DELAWARE SMID CAP GROWTH A | 0.00 | 2.31 | 0.00 | 2.31 | 92.0 | 2.13 |
| / / | SLAMAN, BRIAN | FIDELITY ADV NEW INSIGHTS C | 0.00 | 0.96 | 0.00 | 0.96 | 92.0 | 0.88 |
| / / | SLAMAN, BRIAN | FIDELITY MIDCAP II C | 0.00 | 1.13 | 0.00 | 1.13 | 92.0 | 1.04 |
| 02/16/2018 | MOORE, LINDA | GRIFFIN INSTITUTIONAL ACCESS REAL E | 0.00 | 4.98 | 0.00 | 4.98 | 92.0 | 4.58 |
| 03/01/2018 | WOODRUFF, STEPHANIE | INFLATION LINKED BOND FUND A | 0.00 | 0.70 | 0.00 | 0.70 | 92.0 | 0.64 |
| 02/20/2018 | ROSS, JEROME | PRINCIPAL FUNDS CONSERVATIVE GROWTH | 0.00 | 4.95 | 0.00 | 4.95 | 92.0 | 4.55 |
| 02/22/2018 | OBERT, RONALD | TEMPLETON GROWTH A | 0.00 | 0.16 | 0.00 | 0.16 | 92.0 | 0.15 |
| * MUTUAL FUND 12B1 TRAILS SUBTOTAL * | | | \$0.00 | \$6,406.94 | \$0.00 | \$6,406.94 | | \$5,894.37 |
| <u>PRODUCT CATEGORY: VARIABLE ANNUITY 12B1 TRAILS</u> | | | | | | | | |
| 02/28/2018 | YOSHINO, KAREN | ING PREMIUM PLUS | 26,520.04 | 49.73 | 0.00 | 49.73 | 92.0 | 45.75 |
| * VARIABLE ANNUITY 12B1 TRAILS SUBTOTAL * | | | \$26,520.04 | \$49.73 | \$0.00 | \$49.73 | | \$45.75 |
| *** DIRECT TRANSACTIONS TOTAL *** | | | \$1,784,649.71 | \$8,570.59 | \$0.00 | \$8,570.59 | | \$7,884.96 |

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|---|---------------------|-------------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <u> OVERRIDE TRANSACTIONS </u> | | | | | | | | |
| <u>BROKER: THOMAS, H121 HALSEY #10</u> | | | | | | | | |
| / / | LEROUX, LAURA | BLACKROCK 67776G469 | 0.00 | 35.00 | 0.00 | 35.00 | 85.0 | 2.45 |
| | | * THOMAS, H121 HALSEY SUBTOTAL * | \$0.00 | \$35.00 | \$0.00 | \$35.00 | | \$2.45 |
| <u>BROKER: THOMAS, H121 HALSEY #82</u> | | | | | | | | |
| 03/01/2018 | ABBE JR, GARY | AM FUNDS AMCAP A | 0.00 | 1.62 | 0.00 | 1.62 | 85.0 | 0.11 |
| 03/01/2018 | PAPIO, AARON | AM FUNDS AMCAP A | 0.00 | 0.65 | 0.00 | 0.65 | 85.0 | 0.05 |
| 03/01/2018 | PRZBYLSKI, MICHAEL | AM FUNDS AMERICAN BALANCED A | 0.00 | 6.00 | 0.00 | 6.00 | 85.0 | 0.42 |
| 03/01/2018 | NOWAK, COLETTE | AM FUNDS AMERICAN BALANCED A | 0.00 | 0.89 | 0.00 | 0.89 | 85.0 | 0.06 |
| 03/01/2018 | PRZYBYLSKI, JOSHUA | AM FUNDS AMERICAN BALANCED A | 0.00 | 3.85 | 0.00 | 3.85 | 85.0 | 0.27 |
| 03/01/2018 | FOSTER, JOHN | AM FUNDS AMERICAN BALANCED A | 0.00 | 0.50 | 0.00 | 0.50 | 85.0 | 0.04 |
| 03/01/2018 | WRAY, KIM | AM FUNDS AMERICAN BALANCED A | 0.00 | 11.26 | 0.00 | 11.26 | 85.0 | 0.79 |
| 03/01/2018 | PAPIO, JOE | AM FUNDS AMERICAN BALANCED A | 0.00 | 0.66 | 0.00 | 0.66 | 85.0 | 0.05 |
| 03/01/2018 | DENHAM, CONSTANCE | AM FUNDS AMERICAN BALANCED A | 0.00 | 3.60 | 0.00 | 3.60 | 85.0 | 0.25 |
| 03/01/2018 | ZORNOW TRUST, BETTY | AM FUNDS AMERICAN BALANCED A | 0.00 | 10.13 | 0.00 | 10.13 | 85.0 | 0.71 |
| 03/01/2018 | FRANTZ, JUDITH | AM FUNDS AMERICAN BALANCED A | 0.00 | 0.37 | 0.00 | 0.37 | 85.0 | 0.03 |
| 03/01/2018 | MEREDITH, TERESE | AM FUNDS AMERICAN BALANCED A | 0.00 | 2.44 | 0.00 | 2.44 | 85.0 | 0.17 |
| 03/01/2018 | RIEBE, MICHAEL | AM FUNDS AMERICAN BALANCED A | 0.00 | 4.68 | 0.00 | 4.68 | 85.0 | 0.33 |
| 03/01/2018 | KRAMER, DELANEY | AM FUNDS AMERICAN BALANCED A | 0.00 | 0.23 | 0.00 | 0.23 | 85.0 | 0.02 |
| 03/01/2018 | KRAMER, KARYS | AM FUNDS AMERICAN BALANCED A | 0.00 | 0.27 | 0.00 | 0.27 | 85.0 | 0.02 |
| 03/01/2018 | SAPP, ANGELAMARIE | AM FUNDS AMERICAN BALANCED A | 0.00 | 0.72 | 0.00 | 0.72 | 85.0 | 0.05 |
| 03/01/2018 | ALDRICH, SUSAN | AM FUNDS AMERICAN BALANCED A | 0.00 | 0.23 | 0.00 | 0.23 | 85.0 | 0.02 |
| 03/01/2018 | LEININGER, KENNETH | AM FUNDS AMERICAN BALANCED A | 0.00 | 3.20 | 0.00 | 3.20 | 85.0 | 0.22 |
| 03/01/2018 | PERRY, CAROL | AM FUNDS AMERICAN BALANCED A | 0.00 | 20.09 | 0.00 | 20.09 | 85.0 | 1.41 |
| 03/01/2018 | GERE, AMY | AM FUNDS AMERICAN BALANCED A | 0.00 | 3.32 | 0.00 | 3.32 | 85.0 | 0.23 |
| 03/01/2018 | ABBE, AMY | AM FUNDS AMERICAN BALANCED A | 0.00 | 0.29 | 0.00 | 0.29 | 85.0 | 0.02 |
| 03/01/2018 | DIENER, RONALD | AM FUNDS AMERICAN HIGH-INC MUNI BON | 0.00 | 9.43 | 0.00 | 9.43 | 85.0 | 0.66 |
| 03/01/2018 | RIEBE, MICHAEL | AM FUNDS AMERICAN HIGH-INC MUNI BON | 0.00 | 0.78 | 0.00 | 0.78 | 85.0 | 0.05 |
| 03/01/2018 | WRAY, KIM | AM FUNDS AMERICAN HIGH-INC MUNI BON | 0.00 | 1.29 | 0.00 | 1.29 | 85.0 | 0.09 |
| 03/01/2018 | FRANTZ, JUDITH | AM FUNDS AMERICAN HIGH-INC MUNI BON | 0.00 | 0.41 | 0.00 | 0.41 | 85.0 | 0.03 |
| 03/01/2018 | RICHARDS, STEPHEN | AM FUNDS AMERICAN HIGH-INC MUNI BON | 0.00 | 1.87 | 0.00 | 1.87 | 85.0 | 0.13 |
| 03/01/2018 | DESELMS, RAYMOND | AM FUNDS AMERICAN HIGH-INC MUNI BON | 0.00 | 0.21 | 0.00 | 0.21 | 85.0 | 0.01 |
| 03/01/2018 | HALSEY, WILLIAM | AM FUNDS AMERICAN HIGH-INC MUNI BON | 0.00 | 0.17 | 0.00 | 0.17 | 85.0 | 0.01 |
| 03/01/2018 | HARRISON, JERRY | AM FUNDS AMERICAN HIGH-INC MUNI BON | 0.00 | 2.19 | 0.00 | 2.19 | 85.0 | 0.15 |
| 03/01/2018 | PERRY, CAROL | AM FUNDS AMERICAN HIGH-INC MUNI BON | 0.00 | 12.07 | 0.00 | 12.07 | 85.0 | 0.84 |

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

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

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

| DATE | CLIENT | INVESTMENT | INVESTMENT AMOUNT | GROSS COMMISSION | CLEARING CHARGE | NET COMMISSION | RATE | BROKER COMMISSION |
|---|---------------------|-------------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <u> OVERRIDE TRANSACTIONS </u> | | | | | | | | |
| <u> BROKER: THOMAS, H121 HALSEY #82 </u> | | | | | | | | |
| 03/01/2018 | VESEY, CAROL | AM FUNDS AMERICAN HIGH-INC MUNI BON | 0.00 | 0.35 | 0.00 | 0.35 | 85.0 | 0.02 |
| 03/01/2018 | DIENER, RONALD | AM FUNDS AMERICAN HIGH-INCOME TRUST | 0.00 | 19.58 | 0.00 | 19.58 | 85.0 | 1.37 |
| 03/01/2018 | DESELMS, ROBERT | AM FUNDS AMERICAN HIGH-INCOME TRUST | 0.00 | 1.66 | 0.00 | 1.66 | 85.0 | 0.12 |
| 03/01/2018 | DESELMS, ELEVLYN | AM FUNDS AMERICAN HIGH-INCOME TRUST | 0.00 | 6.88 | 0.00 | 6.88 | 85.0 | 0.48 |
| 03/01/2018 | PRZBYLSKI, MICHAEL | AM FUNDS AMERICAN HIGH-INCOME TRUST | 0.00 | 3.84 | 0.00 | 3.84 | 85.0 | 0.27 |
| 03/01/2018 | PRZBYLSKI, JEREMIAH | AM FUNDS AMERICAN HIGH-INCOME TRUST | 0.00 | 0.43 | 0.00 | 0.43 | 85.0 | 0.03 |
| 03/01/2018 | FRANTZ, JUDITH | AM FUNDS AMERICAN HIGH-INCOME TRUST | 0.00 | 0.68 | 0.00 | 0.68 | 85.0 | 0.05 |
| 03/01/2018 | BAKER, ELAINE | AM FUNDS AMERICAN HIGH-INCOME TRUST | 0.00 | 5.29 | 0.00 | 5.29 | 85.0 | 0.37 |
| 03/01/2018 | NOWAK, COLETTE | AM FUNDS AMERICAN HIGH-INCOME TRUST | 0.00 | 0.70 | 0.00 | 0.70 | 85.0 | 0.05 |
| 03/01/2018 | BAUMGARTNER, DIANA | AM FUNDS AMERICAN HIGH-INCOME TRUST | 0.00 | 4.45 | 0.00 | 4.45 | 85.0 | 0.31 |
| 03/01/2018 | DESELMS, RAYMOND | AM FUNDS AMERICAN HIGH-INCOME TRUST | 0.00 | 1.21 | 0.00 | 1.21 | 85.0 | 0.08 |
| 03/01/2018 | RIEBE, MICHAEL | AM FUNDS AMERICAN HIGH-INCOME TRUST | 0.00 | 0.72 | 0.00 | 0.72 | 85.0 | 0.05 |
| 03/01/2018 | HAWBLITZ, PETER | AM FUNDS AMERICAN HIGH-INCOME TRUST | 0.00 | 3.41 | 0.00 | 3.41 | 85.0 | 0.24 |
| 03/01/2018 | WRAY, KIM | AM FUNDS AMERICAN HIGH-INCOME TRUST | 0.00 | 5.27 | 0.00 | 5.27 | 85.0 | 0.37 |
| 03/01/2018 | ZORNOW TRUST, BETTY | AM FUNDS AMERICAN HIGH-INCOME TRUST | 0.00 | 7.83 | 0.00 | 7.83 | 85.0 | 0.55 |
| 03/01/2018 | FRANTZ, JUDITH | AM FUNDS AMERICAN HIGH-INCOME TRUST | 0.00 | 0.26 | 0.00 | 0.26 | 85.0 | 0.02 |
| 03/01/2018 | DESELMS, RAYMOND | AM FUNDS AMERICAN HIGH-INCOME TRUST | 0.00 | 0.37 | 0.00 | 0.37 | 85.0 | 0.03 |
| 03/01/2018 | HALSEY, WILLIAM | AM FUNDS AMERICAN HIGH-INCOME TRUST | 0.00 | 0.18 | 0.00 | 0.18 | 85.0 | 0.01 |
| 03/01/2018 | ABBE JR, GARY | AM FUNDS AMERICAN HIGH-INCOME TRUST | 0.00 | 1.78 | 0.00 | 1.78 | 85.0 | 0.12 |
| 03/01/2018 | HARRISON, JERRY | AM FUNDS AMERICAN HIGH-INCOME TRUST | 0.00 | 1.42 | 0.00 | 1.42 | 85.0 | 0.10 |
| 03/01/2018 | DREEZE, MARCELINA | AM FUNDS AMERICAN HIGH-INCOME TRUST | 0.00 | 0.74 | 0.00 | 0.74 | 85.0 | 0.05 |
| 03/01/2018 | MI/TOD | AM FUNDS AMERICAN HIGH-INCOME TRUST | 0.00 | 1.36 | 0.00 | 1.36 | 85.0 | 0.10 |
| 03/01/2018 | PERRY, CAROL | AM FUNDS AMERICAN HIGH-INCOME TRUST | 0.00 | 16.77 | 0.00 | 16.77 | 85.0 | 1.17 |
| 03/01/2018 | VESEY, CAROL | AM FUNDS AMERICAN HIGH-INCOME TRUST | 0.00 | 0.74 | 0.00 | 0.74 | 85.0 | 0.05 |
| 03/01/2018 | MEREDITH, JEFFERY | AM FUNDS AMERICAN MUTUAL A | 0.00 | 2.53 | 0.00 | 2.53 | 85.0 | 0.18 |
| 03/01/2018 | BASSETT, ANTHONY | AM FUNDS AMERICAN MUTUAL A | 0.00 | 2.04 | 0.00 | 2.04 | 85.0 | 0.14 |
| 03/01/2018 | PRZBYLSKI, MICHAEL | AM FUNDS BOND FUND OF AMERICA A | 0.00 | 3.26 | 0.00 | 3.26 | 85.0 | 0.23 |
| 03/01/2018 | FOSTER, JOHN | AM FUNDS BOND FUND OF AMERICA A | 0.00 | 0.33 | 0.00 | 0.33 | 85.0 | 0.02 |
| 03/01/2018 | ZORNOW TRUST, BETTY | AM FUNDS BOND FUND OF AMERICA A | 0.00 | 4.20 | 0.00 | 4.20 | 85.0 | 0.29 |
| 03/01/2018 | RIEBE, MICHAEL | AM FUNDS BOND FUND OF AMERICA A | 0.00 | 3.30 | 0.00 | 3.30 | 85.0 | 0.23 |
| 03/01/2018 | HALSEY, WILLIAM | AM FUNDS BOND FUND OF AMERICA A | 0.00 | 0.16 | 0.00 | 0.16 | 85.0 | 0.01 |
| 03/01/2018 | DIENER, RONALD | AM FUNDS CAPITAL INCOME BUILDER A | 0.00 | 9.38 | 0.00 | 9.38 | 85.0 | 0.66 |
| 03/01/2018 | DESELMS, ELEVLYN | AM FUNDS CAPITAL INCOME BUILDER A | 0.00 | 8.96 | 0.00 | 8.96 | 85.0 | 0.63 |

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| DATE | CLIENT | INVESTMENT | INVESTMENT AMOUNT | GROSS COMMISSION | CLEARING CHARGE | NET COMMISSION | RATE | BROKER COMMISSION |
|---|-----------------------|-----------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <u> OVERRIDE TRANSACTIONS </u> | | | | | | | | |
| <u>BROKER: THOMAS, H121 HALSEY #82</u> | | | | | | | | |
| 03/01/2018 | KREMPEC, JEFFREY | AM FUNDS CAPITAL INCOME BUILDER A | 0.00 | 0.83 | 0.00 | 0.83 | 85.0 | 0.06 |
| 03/01/2018 | LEININGER, LISA | AM FUNDS CAPITAL INCOME BUILDER A | 0.00 | 1.36 | 0.00 | 1.36 | 85.0 | 0.10 |
| 03/01/2018 | FRANTZ, JUDITH | AM FUNDS CAPITAL INCOME BUILDER A | 0.00 | 0.95 | 0.00 | 0.95 | 85.0 | 0.07 |
| 03/01/2018 | BAKER, ELAINE | AM FUNDS CAPITAL INCOME BUILDER A | 0.00 | 5.91 | 0.00 | 5.91 | 85.0 | 0.41 |
| 03/01/2018 | NOWAK, COLETTE | AM FUNDS CAPITAL INCOME BUILDER A | 0.00 | 0.76 | 0.00 | 0.76 | 85.0 | 0.05 |
| 03/01/2018 | BAUMGARTNER, DIANA | AM FUNDS CAPITAL INCOME BUILDER A | 0.00 | 3.83 | 0.00 | 3.83 | 85.0 | 0.27 |
| 03/01/2018 | PRZYBYLSKI, JOSHUA | AM FUNDS CAPITAL INCOME BUILDER A | 0.00 | 2.52 | 0.00 | 2.52 | 85.0 | 0.18 |
| 03/01/2018 | FOSTER, JOHN | AM FUNDS CAPITAL INCOME BUILDER A | 0.00 | 1.39 | 0.00 | 1.39 | 85.0 | 0.10 |
| 03/01/2018 | WRAY, KIM | AM FUNDS CAPITAL INCOME BUILDER A | 0.00 | 13.36 | 0.00 | 13.36 | 85.0 | 0.94 |
| 03/01/2018 | EYLER, BARBARA | AM FUNDS CAPITAL INCOME BUILDER A | 0.00 | 6.39 | 0.00 | 6.39 | 85.0 | 0.45 |
| 03/01/2018 | JOHNSON, CHARLES | AM FUNDS CAPITAL INCOME BUILDER A | 0.00 | 0.99 | 0.00 | 0.99 | 85.0 | 0.07 |
| 03/01/2018 | ZORNOW TRUST, BETTY | AM FUNDS CAPITAL INCOME BUILDER A | 0.00 | 7.27 | 0.00 | 7.27 | 85.0 | 0.51 |
| 03/01/2018 | MEREDITH, TERESE | AM FUNDS CAPITAL INCOME BUILDER A | 0.00 | 1.85 | 0.00 | 1.85 | 85.0 | 0.13 |
| 03/01/2018 | DESELMs, RAYMOND | AM FUNDS CAPITAL INCOME BUILDER A | 0.00 | 0.29 | 0.00 | 0.29 | 85.0 | 0.02 |
| 03/01/2018 | KRIEGER, RENEE | AM FUNDS CAPITAL INCOME BUILDER A | 0.00 | 9.37 | 0.00 | 9.37 | 85.0 | 0.66 |
| 03/01/2018 | RIEBE, MICHAEL | AM FUNDS CAPITAL INCOME BUILDER A | 0.00 | 3.69 | 0.00 | 3.69 | 85.0 | 0.26 |
| 03/01/2018 | FISHER, SCOTT TW | AM FUNDS CAPITAL INCOME BUILDER A | 0.00 | 3.45 | 0.00 | 3.45 | 85.0 | 0.24 |
| 03/01/2018 | FRENCH, VICTORIA | AM FUNDS CAPITAL INCOME BUILDER A | 0.00 | 0.26 | 0.00 | 0.26 | 85.0 | 0.02 |
| 03/01/2018 | FRENCH, RICHARD | AM FUNDS CAPITAL INCOME BUILDER A | 0.00 | 0.26 | 0.00 | 0.26 | 85.0 | 0.02 |
| 03/01/2018 | BELKOFER, STACEY | AM FUNDS CAPITAL INCOME BUILDER A | 0.00 | 0.43 | 0.00 | 0.43 | 85.0 | 0.03 |
| 03/01/2018 | BELKOFER, STACEY | AM FUNDS CAPITAL INCOME BUILDER A | 0.00 | 0.51 | 0.00 | 0.51 | 85.0 | 0.04 |
| 03/01/2018 | DREEZE, MARCELINA | AM FUNDS CAPITAL INCOME BUILDER A | 0.00 | 1.46 | 0.00 | 1.46 | 85.0 | 0.10 |
| 03/01/2018 | STACY, ROSS | AM FUNDS CAPITAL INCOME BUILDER A | 0.00 | 0.28 | 0.00 | 0.28 | 85.0 | 0.02 |
| 03/01/2018 | SAPP, ANGELAMARIE | AM FUNDS CAPITAL INCOME BUILDER A | 0.00 | 0.68 | 0.00 | 0.68 | 85.0 | 0.05 |
| 03/01/2018 | LATTA, MARY | AM FUNDS CAPITAL INCOME BUILDER A | 0.00 | 1.16 | 0.00 | 1.16 | 85.0 | 0.08 |
| 03/01/2018 | AUGUSTYNIAK, ROGER | AM FUNDS CAPITAL INCOME BUILDER A | 0.00 | 6.95 | 0.00 | 6.95 | 85.0 | 0.49 |
| 03/01/2018 | MI/TOD | AM FUNDS CAPITAL INCOME BUILDER A | 0.00 | 4.09 | 0.00 | 4.09 | 85.0 | 0.29 |
| 03/01/2018 | PERRY, CAROL | AM FUNDS CAPITAL INCOME BUILDER A | 0.00 | 11.94 | 0.00 | 11.94 | 85.0 | 0.84 |
| 03/01/2018 | VESEY, CAROL | AM FUNDS CAPITAL INCOME BUILDER A | 0.00 | 0.70 | 0.00 | 0.70 | 85.0 | 0.05 |
| 03/01/2018 | ABBE, AMY | AM FUNDS CAPITAL INCOME BUILDER A | 0.00 | 0.36 | 0.00 | 0.36 | 85.0 | 0.03 |
| 03/01/2018 | DIENER, RONALD | AM FUNDS CAPITAL WORLD BOND A | 0.00 | 9.45 | 0.00 | 9.45 | 85.0 | 0.66 |
| 03/01/2018 | HAWBLITZ TRUST, AGNES | AM FUNDS CAPITAL WORLD BOND A | 0.00 | 5.73 | 0.00 | 5.73 | 85.0 | 0.40 |
| 03/01/2018 | HAWBLITZ TRUST, PETER | AM FUNDS CAPITAL WORLD BOND A | 0.00 | 5.74 | 0.00 | 5.74 | 85.0 | 0.40 |

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| DATE | CLIENT | INVESTMENT | INVESTMENT AMOUNT | GROSS COMMISSION | CLEARING CHARGE | NET COMMISSION | RATE | BROKER COMMISSION |
|---|---------------------|-------------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <u> OVERRIDE TRANSACTIONS </u> | | | | | | | | |
| <u>BROKER: THOMAS, H121 HALSEY #82</u> | | | | | | | | |
| 03/01/2018 | HALSEY, WILLIAM | AM FUNDS CAPITAL WORLD BOND A | 0.00 | 0.16 | 0.00 | 0.16 | 85.0 | 0.01 |
| 03/01/2018 | BELKOFER, STACEY | AM FUNDS CAPITAL WORLD BOND A | 0.00 | 0.27 | 0.00 | 0.27 | 85.0 | 0.02 |
| 03/01/2018 | MI/TOD | AM FUNDS CAPITAL WORLD BOND A | 0.00 | 1.48 | 0.00 | 1.48 | 85.0 | 0.10 |
| 03/01/2018 | DIENER, RONALD | AM FUNDS CAPITAL WORLD GRTH & INC A | 0.00 | 2.73 | 0.00 | 2.73 | 85.0 | 0.19 |
| 03/01/2018 | DESELMS, ROBERT | AM FUNDS CAPITAL WORLD GRTH & INC A | 0.00 | 0.53 | 0.00 | 0.53 | 85.0 | 0.04 |
| 03/01/2018 | DESELMS, ELEVLYN | AM FUNDS CAPITAL WORLD GRTH & INC A | 0.00 | 11.45 | 0.00 | 11.45 | 85.0 | 0.80 |
| 03/01/2018 | PRZBYLSKI, MICHAEL | AM FUNDS CAPITAL WORLD GRTH & INC A | 0.00 | 8.50 | 0.00 | 8.50 | 85.0 | 0.60 |
| 03/01/2018 | KREMPEC, JEFFREY | AM FUNDS CAPITAL WORLD GRTH & INC A | 0.00 | 0.78 | 0.00 | 0.78 | 85.0 | 0.05 |
| 03/01/2018 | LEININGER, LISA | AM FUNDS CAPITAL WORLD GRTH & INC A | 0.00 | 2.22 | 0.00 | 2.22 | 85.0 | 0.16 |
| 03/01/2018 | FRANTZ, JUDITH | AM FUNDS CAPITAL WORLD GRTH & INC A | 0.00 | 0.53 | 0.00 | 0.53 | 85.0 | 0.04 |
| 03/01/2018 | BAKER, ELAINE | AM FUNDS CAPITAL WORLD GRTH & INC A | 0.00 | 11.67 | 0.00 | 11.67 | 85.0 | 0.82 |
| 03/01/2018 | JOHNSON, ZACHARY | AM FUNDS CAPITAL WORLD GRTH & INC A | 0.00 | 1.04 | 0.00 | 1.04 | 85.0 | 0.07 |
| 03/01/2018 | DESELMS, RAYMOND | AM FUNDS CAPITAL WORLD GRTH & INC A | 0.00 | 2.96 | 0.00 | 2.96 | 85.0 | 0.21 |
| 03/01/2018 | DESELMS, RAYMOND | AM FUNDS CAPITAL WORLD GRTH & INC A | 0.00 | 3.05 | 0.00 | 3.05 | 85.0 | 0.21 |
| 03/01/2018 | JOHNSON, CHLOE | AM FUNDS CAPITAL WORLD GRTH & INC A | 0.00 | 1.05 | 0.00 | 1.05 | 85.0 | 0.07 |
| 03/01/2018 | RIEBE, MICHAEL | AM FUNDS CAPITAL WORLD GRTH & INC A | 0.00 | 1.22 | 0.00 | 1.22 | 85.0 | 0.09 |
| 03/01/2018 | PRZYBYLSKI, JOSHUA | AM FUNDS CAPITAL WORLD GRTH & INC A | 0.00 | 1.53 | 0.00 | 1.53 | 85.0 | 0.11 |
| 03/01/2018 | WRAY, KIM | AM FUNDS CAPITAL WORLD GRTH & INC A | 0.00 | 6.71 | 0.00 | 6.71 | 85.0 | 0.47 |
| 03/01/2018 | EYLER, BARBARA | AM FUNDS CAPITAL WORLD GRTH & INC A | 0.00 | 6.26 | 0.00 | 6.26 | 85.0 | 0.44 |
| 03/01/2018 | DESELMS, ROBERT | AM FUNDS CAPITAL WORLD GRTH & INC A | 0.00 | 0.37 | 0.00 | 0.37 | 85.0 | 0.03 |
| 03/01/2018 | PAPIO, STEPHANIE | AM FUNDS CAPITAL WORLD GRTH & INC A | 0.00 | 0.46 | 0.00 | 0.46 | 85.0 | 0.03 |
| 03/01/2018 | PAPIO, JOE | AM FUNDS CAPITAL WORLD GRTH & INC A | 0.00 | 0.47 | 0.00 | 0.47 | 85.0 | 0.03 |
| 03/01/2018 | JOHNSON, CHARLES | AM FUNDS CAPITAL WORLD GRTH & INC A | 0.00 | 1.22 | 0.00 | 1.22 | 85.0 | 0.09 |
| 03/01/2018 | ZORNOW TRUST, BETTY | AM FUNDS CAPITAL WORLD GRTH & INC A | 0.00 | 7.54 | 0.00 | 7.54 | 85.0 | 0.53 |
| 03/01/2018 | MEREDITH, JEFFERY | AM FUNDS CAPITAL WORLD GRTH & INC A | 0.00 | 3.14 | 0.00 | 3.14 | 85.0 | 0.22 |
| 03/01/2018 | KRAMER, TRISTON | AM FUNDS CAPITAL WORLD GRTH & INC A | 0.00 | 0.52 | 0.00 | 0.52 | 85.0 | 0.04 |
| 03/01/2018 | ZORNOW, JORDAN | AM FUNDS CAPITAL WORLD GRTH & INC A | 0.00 | 1.18 | 0.00 | 1.18 | 85.0 | 0.08 |
| 03/01/2018 | DESELMS, RAYMOND | AM FUNDS CAPITAL WORLD GRTH & INC A | 0.00 | 0.31 | 0.00 | 0.31 | 85.0 | 0.02 |
| 03/01/2018 | KRIEGER, RENEE | AM FUNDS CAPITAL WORLD GRTH & INC A | 0.00 | 9.60 | 0.00 | 9.60 | 85.0 | 0.67 |
| 03/01/2018 | ABBE JR, GARY | AM FUNDS CAPITAL WORLD GRTH & INC A | 0.00 | 0.53 | 0.00 | 0.53 | 85.0 | 0.04 |
| 03/01/2018 | BELKOFER, STACEY | AM FUNDS CAPITAL WORLD GRTH & INC A | 0.00 | 0.36 | 0.00 | 0.36 | 85.0 | 0.03 |
| 03/01/2018 | BELKOFER, STACEY | AM FUNDS CAPITAL WORLD GRTH & INC A | 0.00 | 0.37 | 0.00 | 0.37 | 85.0 | 0.03 |
| 03/01/2018 | HARRISON, JERRY | AM FUNDS CAPITAL WORLD GRTH & INC A | 0.00 | 1.59 | 0.00 | 1.59 | 85.0 | 0.11 |

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|---|-----------------------|-------------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <u> OVERRIDE TRANSACTIONS </u> | | | | | | | | |
| <u> BROKER: THOMAS, H121 HALSEY #82 </u> | | | | | | | | |
| 03/01/2018 | DREEZE, MARCELINA | AM FUNDS CAPITAL WORLD GRTH & INC A | 0.00 | 1.21 | 0.00 | 1.21 | 85.0 | 0.08 |
| 03/01/2018 | STACY, ROSS | AM FUNDS CAPITAL WORLD GRTH & INC A | 0.00 | 0.21 | 0.00 | 0.21 | 85.0 | 0.01 |
| 03/01/2018 | GRAHAM, DAVID | AM FUNDS CAPITAL WORLD GRTH & INC A | 0.00 | 0.22 | 0.00 | 0.22 | 85.0 | 0.02 |
| 03/01/2018 | AUGUSTYNIAK, ROGER | AM FUNDS CAPITAL WORLD GRTH & INC A | 0.00 | 9.10 | 0.00 | 9.10 | 85.0 | 0.64 |
| 03/01/2018 | MI/TOD | AM FUNDS CAPITAL WORLD GRTH & INC A | 0.00 | 6.36 | 0.00 | 6.36 | 85.0 | 0.45 |
| 03/01/2018 | LEININGER, KENNETH | AM FUNDS CAPITAL WORLD GRTH & INC A | 0.00 | 3.21 | 0.00 | 3.21 | 85.0 | 0.22 |
| 03/01/2018 | PERRY, CAROL | AM FUNDS CAPITAL WORLD GRTH & INC A | 0.00 | 24.34 | 0.00 | 24.34 | 85.0 | 1.70 |
| 03/01/2018 | VESEY, CAROL | AM FUNDS CAPITAL WORLD GRTH & INC A | 0.00 | 0.46 | 0.00 | 0.46 | 85.0 | 0.03 |
| 03/01/2018 | ABBE, AMY | AM FUNDS CAPITAL WORLD GRTH & INC A | 0.00 | 0.22 | 0.00 | 0.22 | 85.0 | 0.02 |
| 03/01/2018 | UNTIL AGE 21, OH/UTMA | AM FUNDS CAPITAL WORLD GRTH & INC A | 0.00 | 0.70 | 0.00 | 0.70 | 85.0 | 0.05 |
| 03/01/2018 | FRANTZ, JUDITH | AM FUNDS EUROPACIFIC GROWTH FUND A | 0.00 | 0.33 | 0.00 | 0.33 | 85.0 | 0.02 |
| 03/01/2018 | WRAY, KIM | AM FUNDS EUROPACIFIC GROWTH FUND A | 0.00 | 5.81 | 0.00 | 5.81 | 85.0 | 0.41 |
| 03/01/2018 | ZORNOW, JORDAN | AM FUNDS EUROPACIFIC GROWTH FUND A | 0.00 | 1.57 | 0.00 | 1.57 | 85.0 | 0.11 |
| 03/01/2018 | FISHER, SCOTT TW | AM FUNDS EUROPACIFIC GROWTH FUND A | 0.00 | 3.72 | 0.00 | 3.72 | 85.0 | 0.26 |
| 03/01/2018 | LEININGER, KENNETH | AM FUNDS EUROPACIFIC GROWTH FUND A | 0.00 | 1.60 | 0.00 | 1.60 | 85.0 | 0.11 |
| 03/01/2018 | DIENER, RONALD | AM FUNDS FUNDAMENTAL INVESTORS A | 0.00 | 8.16 | 0.00 | 8.16 | 85.0 | 0.57 |
| 03/01/2018 | DESELMS, ROBERT | AM FUNDS FUNDAMENTAL INVESTORS A | 0.00 | 1.35 | 0.00 | 1.35 | 85.0 | 0.09 |
| 03/01/2018 | DESELMS, ELEVLYN | AM FUNDS FUNDAMENTAL INVESTORS A | 0.00 | 12.73 | 0.00 | 12.73 | 85.0 | 0.89 |
| 03/01/2018 | PRZBYLSKI, MICHAEL | AM FUNDS FUNDAMENTAL INVESTORS A | 0.00 | 16.83 | 0.00 | 16.83 | 85.0 | 1.18 |
| 03/01/2018 | KREMPEC, JEFFREY | AM FUNDS FUNDAMENTAL INVESTORS A | 0.00 | 1.23 | 0.00 | 1.23 | 85.0 | 0.09 |
| 03/01/2018 | LEININGER, LISA | AM FUNDS FUNDAMENTAL INVESTORS A | 0.00 | 2.91 | 0.00 | 2.91 | 85.0 | 0.20 |
| 03/01/2018 | FOSTER, JOHN | AM FUNDS FUNDAMENTAL INVESTORS A | 0.00 | 0.85 | 0.00 | 0.85 | 85.0 | 0.06 |
| 03/01/2018 | FRANTZ, JUDITH | AM FUNDS FUNDAMENTAL INVESTORS A | 0.00 | 0.90 | 0.00 | 0.90 | 85.0 | 0.06 |
| 03/01/2018 | BAKER, ELAINE | AM FUNDS FUNDAMENTAL INVESTORS A | 0.00 | 8.25 | 0.00 | 8.25 | 85.0 | 0.58 |
| 03/01/2018 | DESELMS, RAYMOND | AM FUNDS FUNDAMENTAL INVESTORS A | 0.00 | 2.60 | 0.00 | 2.60 | 85.0 | 0.18 |
| 03/01/2018 | DESELMS, RAYMOND | AM FUNDS FUNDAMENTAL INVESTORS A | 0.00 | 2.37 | 0.00 | 2.37 | 85.0 | 0.17 |
| 03/01/2018 | WRAY, KIM | AM FUNDS FUNDAMENTAL INVESTORS A | 0.00 | 6.48 | 0.00 | 6.48 | 85.0 | 0.45 |
| 03/01/2018 | EYLER, BARBARA | AM FUNDS FUNDAMENTAL INVESTORS A | 0.00 | 14.87 | 0.00 | 14.87 | 85.0 | 1.04 |
| 03/01/2018 | DESELMS, ROBERT | AM FUNDS FUNDAMENTAL INVESTORS A | 0.00 | 2.62 | 0.00 | 2.62 | 85.0 | 0.18 |
| 03/01/2018 | DENHAM, CONSTANCE | AM FUNDS FUNDAMENTAL INVESTORS A | 0.00 | 2.73 | 0.00 | 2.73 | 85.0 | 0.19 |
| 03/01/2018 | JOHNSON, CHARLES | AM FUNDS FUNDAMENTAL INVESTORS A | 0.00 | 1.68 | 0.00 | 1.68 | 85.0 | 0.12 |
| 03/01/2018 | ZORNOW TRUST, BETTY | AM FUNDS FUNDAMENTAL INVESTORS A | 0.00 | 12.95 | 0.00 | 12.95 | 85.0 | 0.91 |
| 03/01/2018 | FRANTZ, JUDITH | AM FUNDS FUNDAMENTAL INVESTORS A | 0.00 | 0.45 | 0.00 | 0.45 | 85.0 | 0.03 |

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

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

| DATE | CLIENT | INVESTMENT | INVESTMENT AMOUNT | GROSS COMMISSION | CLEARING CHARGE | NET COMMISSION | RATE | BROKER COMMISSION |
|---|-----------------------|-----------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <u> OVERRIDE TRANSACTIONS </u> | | | | | | | | |
| <u>BROKER: THOMAS, H121 HALSEY #82</u> | | | | | | | | |
| 03/01/2018 | MEREDITH, TERESE | AM FUNDS FUNDAMENTAL INVESTORS A | 0.00 | 3.36 | 0.00 | 3.36 | 85.0 | 0.24 |
| 03/01/2018 | MEREDITH, JEFFERY | AM FUNDS FUNDAMENTAL INVESTORS A | 0.00 | 2.69 | 0.00 | 2.69 | 85.0 | 0.19 |
| 03/01/2018 | KRAMER, TRISTON | AM FUNDS FUNDAMENTAL INVESTORS A | 0.00 | 0.93 | 0.00 | 0.93 | 85.0 | 0.07 |
| 03/01/2018 | ZORNOW, JORDAN | AM FUNDS FUNDAMENTAL INVESTORS A | 0.00 | 2.99 | 0.00 | 2.99 | 85.0 | 0.21 |
| 03/01/2018 | DESELMS, RAYMOND | AM FUNDS FUNDAMENTAL INVESTORS A | 0.00 | 0.48 | 0.00 | 0.48 | 85.0 | 0.03 |
| 03/01/2018 | FISHER, SCOTT TW | AM FUNDS FUNDAMENTAL INVESTORS A | 0.00 | 5.60 | 0.00 | 5.60 | 85.0 | 0.39 |
| 03/01/2018 | HALSEY, WILLIAM | AM FUNDS FUNDAMENTAL INVESTORS A | 0.00 | 0.22 | 0.00 | 0.22 | 85.0 | 0.02 |
| 03/01/2018 | LEININGER, ELI | AM FUNDS FUNDAMENTAL INVESTORS A | 0.00 | 0.32 | 0.00 | 0.32 | 85.0 | 0.02 |
| 03/01/2018 | FRENCH, VICTORIA | AM FUNDS FUNDAMENTAL INVESTORS A | 0.00 | 0.56 | 0.00 | 0.56 | 85.0 | 0.04 |
| 03/01/2018 | FRENCH, RICHARD | AM FUNDS FUNDAMENTAL INVESTORS A | 0.00 | 0.56 | 0.00 | 0.56 | 85.0 | 0.04 |
| 03/01/2018 | KRAMER, DELANEY | AM FUNDS FUNDAMENTAL INVESTORS A | 0.00 | 0.28 | 0.00 | 0.28 | 85.0 | 0.02 |
| 03/01/2018 | ABBE JR, GARY | AM FUNDS FUNDAMENTAL INVESTORS A | 0.00 | 2.99 | 0.00 | 2.99 | 85.0 | 0.21 |
| 03/01/2018 | BELKOFER, STACEY | AM FUNDS FUNDAMENTAL INVESTORS A | 0.00 | 0.28 | 0.00 | 0.28 | 85.0 | 0.02 |
| 03/01/2018 | BELKOFER, STACEY | AM FUNDS FUNDAMENTAL INVESTORS A | 0.00 | 0.18 | 0.00 | 0.18 | 85.0 | 0.01 |
| 03/01/2018 | KRAMER, KARYS | AM FUNDS FUNDAMENTAL INVESTORS A | 0.00 | 0.34 | 0.00 | 0.34 | 85.0 | 0.02 |
| 03/01/2018 | HARRISON, JERRY | AM FUNDS FUNDAMENTAL INVESTORS A | 0.00 | 2.69 | 0.00 | 2.69 | 85.0 | 0.19 |
| 03/01/2018 | DREEZE, MARCELINA | AM FUNDS FUNDAMENTAL INVESTORS A | 0.00 | 1.87 | 0.00 | 1.87 | 85.0 | 0.13 |
| 03/01/2018 | CANNON, BARBARA | AM FUNDS FUNDAMENTAL INVESTORS A | 0.00 | 0.25 | 0.00 | 0.25 | 85.0 | 0.02 |
| 03/01/2018 | SAPP, ANGELAMARIE | AM FUNDS FUNDAMENTAL INVESTORS A | 0.00 | 1.05 | 0.00 | 1.05 | 85.0 | 0.07 |
| 03/01/2018 | LATTA, MARY | AM FUNDS FUNDAMENTAL INVESTORS A | 0.00 | 1.53 | 0.00 | 1.53 | 85.0 | 0.11 |
| 03/01/2018 | ALDRICH, SUSAN | AM FUNDS FUNDAMENTAL INVESTORS A | 0.00 | 0.27 | 0.00 | 0.27 | 85.0 | 0.02 |
| 03/01/2018 | AUGUSTYNIAK, ROGER | AM FUNDS FUNDAMENTAL INVESTORS A | 0.00 | 12.70 | 0.00 | 12.70 | 85.0 | 0.89 |
| 03/01/2018 | MI/TOD | AM FUNDS FUNDAMENTAL INVESTORS A | 0.00 | 8.07 | 0.00 | 8.07 | 85.0 | 0.56 |
| 03/01/2018 | PAPIO, AARON | AM FUNDS FUNDAMENTAL INVESTORS A | 0.00 | 0.39 | 0.00 | 0.39 | 85.0 | 0.03 |
| 03/01/2018 | LEININGER, KENNETH | AM FUNDS FUNDAMENTAL INVESTORS A | 0.00 | 3.36 | 0.00 | 3.36 | 85.0 | 0.24 |
| 03/01/2018 | PERRY, CAROL | AM FUNDS FUNDAMENTAL INVESTORS A | 0.00 | 20.70 | 0.00 | 20.70 | 85.0 | 1.45 |
| 03/01/2018 | GERE, AMY | AM FUNDS FUNDAMENTAL INVESTORS A | 0.00 | 3.60 | 0.00 | 3.60 | 85.0 | 0.25 |
| 03/01/2018 | ABBE, AMY | AM FUNDS FUNDAMENTAL INVESTORS A | 0.00 | 0.36 | 0.00 | 0.36 | 85.0 | 0.03 |
| 03/01/2018 | UNTIL AGE 21, OH/UTMA | AM FUNDS FUNDAMENTAL INVESTORS A | 0.00 | 0.32 | 0.00 | 0.32 | 85.0 | 0.02 |
| 03/01/2018 | UNTIL AGE 21, OH/UTMA | AM FUNDS FUNDAMENTAL INVESTORS A | 0.00 | 0.64 | 0.00 | 0.64 | 85.0 | 0.04 |
| 03/01/2018 | DENHAM, CONSTANCE | AM FUNDS GLOBAL BALANCED A | 0.00 | 1.95 | 0.00 | 1.95 | 85.0 | 0.14 |
| 03/01/2018 | GERE, AMY | AM FUNDS GLOBAL BALANCED A | 0.00 | 2.06 | 0.00 | 2.06 | 85.0 | 0.14 |
| 03/01/2018 | DIENER, RONALD | AM FUNDS GROWTH FUND OF AMERICA A | 0.00 | 2.81 | 0.00 | 2.81 | 85.0 | 0.20 |

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|---|-----------------------|-----------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <u> OVERRIDE TRANSACTIONS </u> | | | | | | | | |
| <u> BROKER: THOMAS, H121 HALSEY #82 </u> | | | | | | | | |
| 03/01/2018 | PRZBYLSKI, MICHAEL | AM FUNDS GROWTH FUND OF AMERICA A | 0.00 | 2.38 | 0.00 | 2.38 | 85.0 | 0.17 |
| 03/01/2018 | BAKER, ELAINE | AM FUNDS GROWTH FUND OF AMERICA A | 0.00 | 7.21 | 0.00 | 7.21 | 85.0 | 0.50 |
| 03/01/2018 | NOWAK, COLETTE | AM FUNDS GROWTH FUND OF AMERICA A | 0.00 | 0.57 | 0.00 | 0.57 | 85.0 | 0.04 |
| 03/01/2018 | BAUMGARTNER, DIANA | AM FUNDS GROWTH FUND OF AMERICA A | 0.00 | 2.22 | 0.00 | 2.22 | 85.0 | 0.16 |
| 03/01/2018 | PRZYBYLSKI, JOSHUA | AM FUNDS GROWTH FUND OF AMERICA A | 0.00 | 3.06 | 0.00 | 3.06 | 85.0 | 0.21 |
| 03/01/2018 | FOSTER, JOHN | AM FUNDS GROWTH FUND OF AMERICA A | 0.00 | 1.28 | 0.00 | 1.28 | 85.0 | 0.09 |
| 03/01/2018 | WRAY, KIM | AM FUNDS GROWTH FUND OF AMERICA A | 0.00 | 4.00 | 0.00 | 4.00 | 85.0 | 0.28 |
| 03/01/2018 | DESELMS, RAYMOND | AM FUNDS GROWTH FUND OF AMERICA A | 0.00 | 0.48 | 0.00 | 0.48 | 85.0 | 0.03 |
| 03/01/2018 | KRAMER, DELANEY | AM FUNDS GROWTH FUND OF AMERICA A | 0.00 | 0.29 | 0.00 | 0.29 | 85.0 | 0.02 |
| 03/01/2018 | BELKOFER, STACEY | AM FUNDS GROWTH FUND OF AMERICA A | 0.00 | 0.54 | 0.00 | 0.54 | 85.0 | 0.04 |
| 03/01/2018 | KRAMER, KARYS | AM FUNDS GROWTH FUND OF AMERICA A | 0.00 | 0.36 | 0.00 | 0.36 | 85.0 | 0.03 |
| 03/01/2018 | SAPP, ANGELAMARIE | AM FUNDS GROWTH FUND OF AMERICA A | 0.00 | 0.18 | 0.00 | 0.18 | 85.0 | 0.01 |
| 03/01/2018 | AUGUSTYNIAK, ROGER | AM FUNDS GROWTH FUND OF AMERICA A | 0.00 | 4.23 | 0.00 | 4.23 | 85.0 | 0.30 |
| 03/01/2018 | LEININGER, KENNETH | AM FUNDS GROWTH FUND OF AMERICA A | 0.00 | 1.68 | 0.00 | 1.68 | 85.0 | 0.12 |
| 03/01/2018 | GERE, AMY | AM FUNDS GROWTH FUND OF AMERICA A | 0.00 | 3.47 | 0.00 | 3.47 | 85.0 | 0.24 |
| 03/01/2018 | DIENER, RONALD | AM FUNDS ICA A | 0.00 | 7.30 | 0.00 | 7.30 | 85.0 | 0.51 |
| 03/01/2018 | MEREDITH, TERESE | AM FUNDS ICA A | 0.00 | 2.48 | 0.00 | 2.48 | 85.0 | 0.17 |
| 03/01/2018 | ZORNOW, JORDAN | AM FUNDS ICA A | 0.00 | 2.68 | 0.00 | 2.68 | 85.0 | 0.19 |
| 03/01/2018 | HAWBLITZ TRUST, AGNES | AM FUNDS ICA A | 0.00 | 8.70 | 0.00 | 8.70 | 85.0 | 0.61 |
| 03/01/2018 | HAWBLITZ TRUST, PETER | AM FUNDS ICA A | 0.00 | 8.74 | 0.00 | 8.74 | 85.0 | 0.61 |
| 03/01/2018 | KRIEGER, RENEE | AM FUNDS ICA A | 0.00 | 11.79 | 0.00 | 11.79 | 85.0 | 0.83 |
| 03/01/2018 | BELKOFER, STACEY | AM FUNDS ICA A | 0.00 | 0.60 | 0.00 | 0.60 | 85.0 | 0.04 |
| 03/01/2018 | GRAHAM, DAVID | AM FUNDS ICA A | 0.00 | 0.32 | 0.00 | 0.32 | 85.0 | 0.02 |
| 03/01/2018 | DIENER, RONALD | AM FUNDS INCOME FUND OF AMERICA A | 0.00 | 23.12 | 0.00 | 23.12 | 85.0 | 1.62 |
| 03/01/2018 | PRZYBYLSKI, JEREMIAH | AM FUNDS INCOME FUND OF AMERICA A | 0.00 | 0.62 | 0.00 | 0.62 | 85.0 | 0.04 |
| 03/01/2018 | FOSTER, JOHN | AM FUNDS INCOME FUND OF AMERICA A | 0.00 | 0.80 | 0.00 | 0.80 | 85.0 | 0.06 |
| 03/01/2018 | BAKER, ELAINE | AM FUNDS INCOME FUND OF AMERICA A | 0.00 | 4.77 | 0.00 | 4.77 | 85.0 | 0.33 |
| 03/01/2018 | HAWBLITZ, PETER | AM FUNDS INCOME FUND OF AMERICA A | 0.00 | 4.23 | 0.00 | 4.23 | 85.0 | 0.30 |
| 03/01/2018 | PAPIO, STEPHANIE | AM FUNDS INCOME FUND OF AMERICA A | 0.00 | 0.39 | 0.00 | 0.39 | 85.0 | 0.03 |
| 03/01/2018 | PAPIO, JOE | AM FUNDS INCOME FUND OF AMERICA A | 0.00 | 0.42 | 0.00 | 0.42 | 85.0 | 0.03 |
| 03/01/2018 | DENHAM, CONSTANCE | AM FUNDS INCOME FUND OF AMERICA A | 0.00 | 2.80 | 0.00 | 2.80 | 85.0 | 0.20 |
| 03/01/2018 | ZORNOW TRUST, BETTY | AM FUNDS INCOME FUND OF AMERICA A | 0.00 | 14.27 | 0.00 | 14.27 | 85.0 | 1.00 |
| 03/01/2018 | FRANTZ, JUDITH | AM FUNDS INCOME FUND OF AMERICA A | 0.00 | 0.37 | 0.00 | 0.37 | 85.0 | 0.03 |

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|---|-----------------------|------------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <u> OVERRIDE TRANSACTIONS </u> | | | | | | | | |
| <u> BROKER: THOMAS, H121 HALSEY #82 </u> | | | | | | | | |
| 03/01/2018 | HAWBLITZ TRUST, AGNES | AM FUNDS INCOME FUND OF AMERICA A | 0.00 | 16.38 | 0.00 | 16.38 | 85.0 | 1.15 |
| 03/01/2018 | HAWBLITZ TRUST, PETER | AM FUNDS INCOME FUND OF AMERICA A | 0.00 | 16.66 | 0.00 | 16.66 | 85.0 | 1.17 |
| 03/01/2018 | SAPP, ANGELAMARIE | AM FUNDS INCOME FUND OF AMERICA A | 0.00 | 0.61 | 0.00 | 0.61 | 85.0 | 0.04 |
| 03/01/2018 | ALDRICH, SUSAN | AM FUNDS INCOME FUND OF AMERICA A | 0.00 | 0.29 | 0.00 | 0.29 | 85.0 | 0.02 |
| 03/01/2018 | LEININGER, KENNETH | AM FUNDS INCOME FUND OF AMERICA A | 0.00 | 3.69 | 0.00 | 3.69 | 85.0 | 0.26 |
| 03/01/2018 | GERE, AMY | AM FUNDS INCOME FUND OF AMERICA A | 0.00 | 3.06 | 0.00 | 3.06 | 85.0 | 0.21 |
| 03/01/2018 | DESELMS, ROBERT | AM FUNDS INTERMEDIATE BOND FUND OF | 0.00 | 0.53 | 0.00 | 0.53 | 85.0 | 0.04 |
| 03/01/2018 | DESELMS, ROBERT | AM FUNDS INTERMEDIATE BOND FUND OF | 0.00 | 0.68 | 0.00 | 0.68 | 85.0 | 0.05 |
| 03/01/2018 | DIENER, RONALD | AM FUNDS INTL GROWTH AND INCOME A | 0.00 | 10.36 | 0.00 | 10.36 | 85.0 | 0.73 |
| 03/01/2018 | RIEBE, MICHAEL | AM FUNDS INTL GROWTH AND INCOME A | 0.00 | 3.80 | 0.00 | 3.80 | 85.0 | 0.27 |
| 03/01/2018 | LATTA, MARY | AM FUNDS INTL GROWTH AND INCOME A | 0.00 | 0.87 | 0.00 | 0.87 | 85.0 | 0.06 |
| 03/01/2018 | ALDRICH, SUSAN | AM FUNDS INTL GROWTH AND INCOME A | 0.00 | 0.21 | 0.00 | 0.21 | 85.0 | 0.01 |
| 03/01/2018 | LEININGER, KENNETH | AM FUNDS INTL GROWTH AND INCOME A | 0.00 | 3.13 | 0.00 | 3.13 | 85.0 | 0.22 |
| 03/01/2018 | DESELMS, ELEVLYN | AM FUNDS NEW ECONOMY A | 0.00 | 13.63 | 0.00 | 13.63 | 85.0 | 0.95 |
| 03/01/2018 | KRIEGER, RENEE | AM FUNDS NEW ECONOMY A | 0.00 | 11.79 | 0.00 | 11.79 | 85.0 | 0.83 |
| 03/01/2018 | FISHER, SCOTT TW | AM FUNDS NEW ECONOMY A | 0.00 | 5.77 | 0.00 | 5.77 | 85.0 | 0.40 |
| 03/01/2018 | LEININGER, ELI | AM FUNDS NEW ECONOMY A | 0.00 | 0.35 | 0.00 | 0.35 | 85.0 | 0.02 |
| 03/01/2018 | UNTIL AGE 21, OH/UTMA | AM FUNDS NEW ECONOMY A | 0.00 | 0.35 | 0.00 | 0.35 | 85.0 | 0.02 |
| 03/01/2018 | PRZBYLSKI, MICHAEL | AM FUNDS NEW PERSPECTIVE A | 0.00 | 2.16 | 0.00 | 2.16 | 85.0 | 0.15 |
| 03/01/2018 | FOSTER, JOHN | AM FUNDS NEW PERSPECTIVE A | 0.00 | 0.54 | 0.00 | 0.54 | 85.0 | 0.04 |
| 03/01/2018 | BAKER, ELAINE | AM FUNDS NEW PERSPECTIVE A | 0.00 | 7.05 | 0.00 | 7.05 | 85.0 | 0.49 |
| 03/01/2018 | FOSTER, JOHN | AM FUNDS NEW PERSPECTIVE A | 0.00 | 0.64 | 0.00 | 0.64 | 85.0 | 0.04 |
| 03/01/2018 | WRAY, KIM | AM FUNDS NEW PERSPECTIVE A | 0.00 | 3.31 | 0.00 | 3.31 | 85.0 | 0.23 |
| 03/01/2018 | KRIEGER, RENEE | AM FUNDS NEW PERSPECTIVE A | 0.00 | 9.09 | 0.00 | 9.09 | 85.0 | 0.64 |
| 03/01/2018 | ABBE JR, GARY | AM FUNDS NEW PERSPECTIVE A | 0.00 | 0.91 | 0.00 | 0.91 | 85.0 | 0.06 |
| 03/01/2018 | PAPIO, AARON | AM FUNDS NEW PERSPECTIVE A | 0.00 | 0.38 | 0.00 | 0.38 | 85.0 | 0.03 |
| 03/01/2018 | PRZBYLSKI, MICHAEL | AM FUNDS NEW WORLD A | 0.00 | 1.96 | 0.00 | 1.96 | 85.0 | 0.14 |
| 03/01/2018 | LEININGER, LISA | AM FUNDS NEW WORLD A | 0.00 | 0.65 | 0.00 | 0.65 | 85.0 | 0.05 |
| 03/01/2018 | WRAY, KIM | AM FUNDS NEW WORLD A | 0.00 | 4.94 | 0.00 | 4.94 | 85.0 | 0.35 |
| 03/01/2018 | EYLER, BARBARA | AM FUNDS NEW WORLD A | 0.00 | 3.57 | 0.00 | 3.57 | 85.0 | 0.25 |
| 03/01/2018 | PRZBYLSKI, MICHAEL | AM FUNDS SMALLCAP WORLD A | 0.00 | 7.65 | 0.00 | 7.65 | 85.0 | 0.54 |
| 03/01/2018 | LEININGER, LISA | AM FUNDS SMALLCAP WORLD A | 0.00 | 1.14 | 0.00 | 1.14 | 85.0 | 0.08 |
| 03/01/2018 | BAKER, ELAINE | AM FUNDS SMALLCAP WORLD A | 0.00 | 6.01 | 0.00 | 6.01 | 85.0 | 0.42 |

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| <u> OVERRIDE TRANSACTIONS </u> | | | | | | | | |
| <u>BROKER: THOMAS, H121 HALSEY #82</u> | | | | | | | | |
| 03/01/2018 | WRAY, KIM | AM FUNDS SMALLCAP WORLD A | 0.00 | 6.79 | 0.00 | 6.79 | 85.0 | 0.48 |
| 03/01/2018 | EYLER, BARBARA | AM FUNDS SMALLCAP WORLD A | 0.00 | 4.00 | 0.00 | 4.00 | 85.0 | 0.28 |
| 03/01/2018 | MEREDITH, TERESE | AM FUNDS SMALLCAP WORLD A | 0.00 | 2.28 | 0.00 | 2.28 | 85.0 | 0.16 |
| 03/01/2018 | MEREDITH, JEFFERY | AM FUNDS SMALLCAP WORLD A | 0.00 | 1.71 | 0.00 | 1.71 | 85.0 | 0.12 |
| 03/01/2018 | ZORNOW, JORDAN | AM FUNDS SMALLCAP WORLD A | 0.00 | 2.62 | 0.00 | 2.62 | 85.0 | 0.18 |
| 03/01/2018 | LEININGER, ELI | AM FUNDS SMALLCAP WORLD A | 0.00 | 0.26 | 0.00 | 0.26 | 85.0 | 0.02 |
| 03/01/2018 | FRENCH, VICTORIA | AM FUNDS SMALLCAP WORLD A | 0.00 | 0.22 | 0.00 | 0.22 | 85.0 | 0.02 |
| 03/01/2018 | FRENCH, RICHARD | AM FUNDS SMALLCAP WORLD A | 0.00 | 0.22 | 0.00 | 0.22 | 85.0 | 0.02 |
| 03/01/2018 | ABBE JR, GARY | AM FUNDS SMALLCAP WORLD A | 0.00 | 1.72 | 0.00 | 1.72 | 85.0 | 0.12 |
| 03/01/2018 | BELKOFER, STACEY | AM FUNDS SMALLCAP WORLD A | 0.00 | 0.38 | 0.00 | 0.38 | 85.0 | 0.03 |
| 03/01/2018 | DREEZE, MARCELINA | AM FUNDS SMALLCAP WORLD A | 0.00 | 1.10 | 0.00 | 1.10 | 85.0 | 0.08 |
| 03/01/2018 | CANNON, BARBARA | AM FUNDS SMALLCAP WORLD A | 0.00 | 0.17 | 0.00 | 0.17 | 85.0 | 0.01 |
| 03/01/2018 | SAPP, ANGELAMARIE | AM FUNDS SMALLCAP WORLD A | 0.00 | 0.26 | 0.00 | 0.26 | 85.0 | 0.02 |
| 03/01/2018 | LATTA, MARY | AM FUNDS SMALLCAP WORLD A | 0.00 | 1.31 | 0.00 | 1.31 | 85.0 | 0.09 |
| 03/01/2018 | ALDRICH, SUSAN | AM FUNDS SMALLCAP WORLD A | 0.00 | 0.23 | 0.00 | 0.23 | 85.0 | 0.02 |
| 03/01/2018 | AUGUSTYNIAK, ROGER | AM FUNDS SMALLCAP WORLD A | 0.00 | 11.93 | 0.00 | 11.93 | 85.0 | 0.84 |
| 03/01/2018 | MI/TOD | AM FUNDS SMALLCAP WORLD A | 0.00 | 10.17 | 0.00 | 10.17 | 85.0 | 0.71 |
| 03/01/2018 | PAPIO, AARON | AM FUNDS SMALLCAP WORLD A | 0.00 | 0.35 | 0.00 | 0.35 | 85.0 | 0.02 |
| 03/01/2018 | LEININGER, KENNETH | AM FUNDS SMALLCAP WORLD A | 0.00 | 1.63 | 0.00 | 1.63 | 85.0 | 0.11 |
| 03/01/2018 | GERE, AMY | AM FUNDS SMALLCAP WORLD A | 0.00 | 2.97 | 0.00 | 2.97 | 85.0 | 0.21 |
| 03/01/2018 | ABBE, AMY | AM FUNDS SMALLCAP WORLD A | 0.00 | 0.29 | 0.00 | 0.29 | 85.0 | 0.02 |
| 03/01/2018 | UNTIL AGE 21, OH/UTMA | AM FUNDS SMALLCAP WORLD A | 0.00 | 0.26 | 0.00 | 0.26 | 85.0 | 0.02 |
| 02/28/2018 | CANNON, BARBARA | AM FUNDS WASHINGTON MUTUAL INVESTOR | 50.00 | 2.50 | 0.00 | 2.50 | 85.0 | 0.18 |
| 03/01/2018 | DENHAM, CONSTANCE | AM FUNDS WASHINGTON MUTUAL INVESTOR | 400.00 | 15.00 | 0.00 | 15.00 | 85.0 | 1.05 |
| 03/01/2018 | DIENER, RONALD | AM FUNDS WASHINGTON MUTUAL INVESTOR | 0.00 | 6.01 | 0.00 | 6.01 | 85.0 | 0.42 |
| 03/01/2018 | DIENER, RONALD | AM FUNDS WASHINGTON MUTUAL INVESTOR | 0.00 | 4.53 | 0.00 | 4.53 | 85.0 | 0.32 |
| 03/01/2018 | DESELMS, ROBERT | AM FUNDS WASHINGTON MUTUAL INVESTOR | 0.00 | 1.02 | 0.00 | 1.02 | 85.0 | 0.07 |
| 03/01/2018 | TANGEMAN, JEANETTE | AM FUNDS WASHINGTON MUTUAL INVESTOR | 0.00 | 31.76 | 0.00 | 31.76 | 85.0 | 2.22 |
| 03/01/2018 | DESELMS, ELEVLYN | AM FUNDS WASHINGTON MUTUAL INVESTOR | 0.00 | 10.61 | 0.00 | 10.61 | 85.0 | 0.74 |
| 03/01/2018 | PRZBYLSKI, MICHAEL | AM FUNDS WASHINGTON MUTUAL INVESTOR | 0.00 | 14.37 | 0.00 | 14.37 | 85.0 | 1.01 |
| 03/01/2018 | FILIPEK, BETHANY | AM FUNDS WASHINGTON MUTUAL INVESTOR | 0.00 | 0.24 | 0.00 | 0.24 | 85.0 | 0.02 |
| 03/01/2018 | DESELMS, SCOTT | AM FUNDS WASHINGTON MUTUAL INVESTOR | 0.00 | 4.69 | 0.00 | 4.69 | 85.0 | 0.33 |
| 03/01/2018 | BASSETT, HANNAH | AM FUNDS WASHINGTON MUTUAL INVESTOR | 0.00 | 1.26 | 0.00 | 1.26 | 85.0 | 0.09 |

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|---|----------------------|-------------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <u> OVERRIDE TRANSACTIONS </u> | | | | | | | | |
| <u> BROKER: THOMAS, H121 HALSEY #82 </u> | | | | | | | | |
| 03/01/2018 | PRZYBYLSKI, JEREMIAH | AM FUNDS WASHINGTON MUTUAL INVESTOR | 0.00 | 1.28 | 0.00 | 1.28 | 85.0 | 0.09 |
| 03/01/2018 | PRZYBYLSKI, JOSHUA | AM FUNDS WASHINGTON MUTUAL INVESTOR | 0.00 | 4.78 | 0.00 | 4.78 | 85.0 | 0.33 |
| 03/01/2018 | BEISWENGER, RANDALL | AM FUNDS WASHINGTON MUTUAL INVESTOR | 0.00 | 7.23 | 0.00 | 7.23 | 85.0 | 0.51 |
| 03/01/2018 | COUSINO, WILLIAM | AM FUNDS WASHINGTON MUTUAL INVESTOR | 0.00 | 36.56 | 0.00 | 36.56 | 85.0 | 2.56 |
| 03/01/2018 | TAYLOR, GERALD | AM FUNDS WASHINGTON MUTUAL INVESTOR | 0.00 | 7.92 | 0.00 | 7.92 | 85.0 | 0.55 |
| 03/01/2018 | KREMPEC, JEFFREY | AM FUNDS WASHINGTON MUTUAL INVESTOR | 0.00 | 0.26 | 0.00 | 0.26 | 85.0 | 0.02 |
| 03/01/2018 | LEININGER, LISA | AM FUNDS WASHINGTON MUTUAL INVESTOR | 0.00 | 2.44 | 0.00 | 2.44 | 85.0 | 0.17 |
| 03/01/2018 | FILIPEK, JESSICA | AM FUNDS WASHINGTON MUTUAL INVESTOR | 0.00 | 14.20 | 0.00 | 14.20 | 85.0 | 0.99 |
| 03/01/2018 | AUGUSTYNIAK, SETH | AM FUNDS WASHINGTON MUTUAL INVESTOR | 0.00 | 0.47 | 0.00 | 0.47 | 85.0 | 0.03 |
| 03/01/2018 | FOSTER, JOHN | AM FUNDS WASHINGTON MUTUAL INVESTOR | 0.00 | 0.80 | 0.00 | 0.80 | 85.0 | 0.06 |
| 03/01/2018 | FRANTZ, JUDITH | AM FUNDS WASHINGTON MUTUAL INVESTOR | 0.00 | 1.02 | 0.00 | 1.02 | 85.0 | 0.07 |
| 03/01/2018 | BAKER, ELAINE | AM FUNDS WASHINGTON MUTUAL INVESTOR | 0.00 | 7.58 | 0.00 | 7.58 | 85.0 | 0.53 |
| 03/01/2018 | DIERKSHEIDE, TRACI | AM FUNDS WASHINGTON MUTUAL INVESTOR | 0.00 | 1.98 | 0.00 | 1.98 | 85.0 | 0.14 |
| 03/01/2018 | JOHNSON, ZACHARY | AM FUNDS WASHINGTON MUTUAL INVESTOR | 0.00 | 0.70 | 0.00 | 0.70 | 85.0 | 0.05 |
| 03/01/2018 | FRANTZ, KAYLYNN | AM FUNDS WASHINGTON MUTUAL INVESTOR | 0.00 | 0.92 | 0.00 | 0.92 | 85.0 | 0.06 |
| 03/01/2018 | FRANTZ, CASSANDRA | AM FUNDS WASHINGTON MUTUAL INVESTOR | 0.00 | 0.24 | 0.00 | 0.24 | 85.0 | 0.02 |
| 03/01/2018 | NOWAK, COLETTE | AM FUNDS WASHINGTON MUTUAL INVESTOR | 0.00 | 0.95 | 0.00 | 0.95 | 85.0 | 0.07 |
| 03/01/2018 | BAUMGARTNER, DIANA | AM FUNDS WASHINGTON MUTUAL INVESTOR | 0.00 | 6.22 | 0.00 | 6.22 | 85.0 | 0.44 |
| 03/01/2018 | DESELMS, RAYMOND | AM FUNDS WASHINGTON MUTUAL INVESTOR | 0.00 | 2.31 | 0.00 | 2.31 | 85.0 | 0.16 |
| 03/01/2018 | DESELMS, RAYMOND | AM FUNDS WASHINGTON MUTUAL INVESTOR | 0.00 | 2.30 | 0.00 | 2.30 | 85.0 | 0.16 |
| 03/01/2018 | DENHAM, CONSTANCE | AM FUNDS WASHINGTON MUTUAL INVESTOR | 0.00 | 16.10 | 0.00 | 16.10 | 85.0 | 1.13 |
| 03/01/2018 | JACKSON, MARNETTE | AM FUNDS WASHINGTON MUTUAL INVESTOR | 0.00 | 14.79 | 0.00 | 14.79 | 85.0 | 1.04 |
| 03/01/2018 | JOHNSON, CHLOE | AM FUNDS WASHINGTON MUTUAL INVESTOR | 0.00 | 0.91 | 0.00 | 0.91 | 85.0 | 0.06 |
| 03/01/2018 | BASSETT, JACK | AM FUNDS WASHINGTON MUTUAL INVESTOR | 0.00 | 0.57 | 0.00 | 0.57 | 85.0 | 0.04 |
| 03/01/2018 | COOK, KEVIN | AM FUNDS WASHINGTON MUTUAL INVESTOR | 0.00 | 0.71 | 0.00 | 0.71 | 85.0 | 0.05 |
| 03/01/2018 | KRIEGER, RACHEL | AM FUNDS WASHINGTON MUTUAL INVESTOR | 0.00 | 3.80 | 0.00 | 3.80 | 85.0 | 0.27 |
| 03/01/2018 | FRANTZ, KARA | AM FUNDS WASHINGTON MUTUAL INVESTOR | 0.00 | 0.75 | 0.00 | 0.75 | 85.0 | 0.05 |
| 03/01/2018 | RIEBE, MICHAEL | AM FUNDS WASHINGTON MUTUAL INVESTOR | 0.00 | 1.55 | 0.00 | 1.55 | 85.0 | 0.11 |
| 03/01/2018 | HAWBLITZ, PETER | AM FUNDS WASHINGTON MUTUAL INVESTOR | 0.00 | 6.81 | 0.00 | 6.81 | 85.0 | 0.48 |
| 03/01/2018 | PRZYBYLSKI, JOSHUA | AM FUNDS WASHINGTON MUTUAL INVESTOR | 0.00 | 4.89 | 0.00 | 4.89 | 85.0 | 0.34 |
| 03/01/2018 | FOSTER, JOHN | AM FUNDS WASHINGTON MUTUAL INVESTOR | 0.00 | 1.98 | 0.00 | 1.98 | 85.0 | 0.14 |
| 03/01/2018 | WRAY, KIM | AM FUNDS WASHINGTON MUTUAL INVESTOR | 0.00 | 16.17 | 0.00 | 16.17 | 85.0 | 1.13 |
| 03/01/2018 | CANNON, BARBARA | AM FUNDS WASHINGTON MUTUAL INVESTOR | 0.00 | 0.64 | 0.00 | 0.64 | 85.0 | 0.04 |

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|---|-----------------------|-------------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <u> OVERRIDE TRANSACTIONS </u> | | | | | | | | |
| <u> BROKER: THOMAS, H121 HALSEY #82 </u> | | | | | | | | |
| 03/01/2018 | DESELMS, ROBERT | AM FUNDS WASHINGTON MUTUAL INVESTOR | 0.00 | 3.16 | 0.00 | 3.16 | 85.0 | 0.22 |
| 03/01/2018 | THANASIU, ROBERT | AM FUNDS WASHINGTON MUTUAL INVESTOR | 0.00 | 1.63 | 0.00 | 1.63 | 85.0 | 0.11 |
| 03/01/2018 | PAPIO, STEPHANIE | AM FUNDS WASHINGTON MUTUAL INVESTOR | 0.00 | 0.68 | 0.00 | 0.68 | 85.0 | 0.05 |
| 03/01/2018 | PAPIO, JOE | AM FUNDS WASHINGTON MUTUAL INVESTOR | 0.00 | 0.56 | 0.00 | 0.56 | 85.0 | 0.04 |
| 03/01/2018 | DENHAM, CONSTANCE | AM FUNDS WASHINGTON MUTUAL INVESTOR | 0.00 | 3.28 | 0.00 | 3.28 | 85.0 | 0.23 |
| 03/01/2018 | ZORNOW TRUST, BETTY | AM FUNDS WASHINGTON MUTUAL INVESTOR | 0.00 | 14.93 | 0.00 | 14.93 | 85.0 | 1.05 |
| 03/01/2018 | FRANTZ, JUDITH | AM FUNDS WASHINGTON MUTUAL INVESTOR | 0.00 | 0.52 | 0.00 | 0.52 | 85.0 | 0.04 |
| 03/01/2018 | MEREDITH, TERESE | AM FUNDS WASHINGTON MUTUAL INVESTOR | 0.00 | 1.29 | 0.00 | 1.29 | 85.0 | 0.09 |
| 03/01/2018 | RICHARDS, STEPHEN | AM FUNDS WASHINGTON MUTUAL INVESTOR | 0.00 | 6.67 | 0.00 | 6.67 | 85.0 | 0.47 |
| 03/01/2018 | KRAMER, TRISTON | AM FUNDS WASHINGTON MUTUAL INVESTOR | 0.00 | 0.74 | 0.00 | 0.74 | 85.0 | 0.05 |
| 03/01/2018 | HAWBLITZ TRUST, AGNES | AM FUNDS WASHINGTON MUTUAL INVESTOR | 0.00 | 9.50 | 0.00 | 9.50 | 85.0 | 0.67 |
| 03/01/2018 | HAWBLITZ TRUST, PETER | AM FUNDS WASHINGTON MUTUAL INVESTOR | 0.00 | 9.57 | 0.00 | 9.57 | 85.0 | 0.67 |
| 03/01/2018 | KRIEGER, RENEE | AM FUNDS WASHINGTON MUTUAL INVESTOR | 0.00 | 10.03 | 0.00 | 10.03 | 85.0 | 0.70 |
| 03/01/2018 | FISHER, SCOTT TW | AM FUNDS WASHINGTON MUTUAL INVESTOR | 0.00 | 4.72 | 0.00 | 4.72 | 85.0 | 0.33 |
| 03/01/2018 | LEININGER, ELI | AM FUNDS WASHINGTON MUTUAL INVESTOR | 0.00 | 0.32 | 0.00 | 0.32 | 85.0 | 0.02 |
| 03/01/2018 | FRENCH, VICTORIA | AM FUNDS WASHINGTON MUTUAL INVESTOR | 0.00 | 0.29 | 0.00 | 0.29 | 85.0 | 0.02 |
| 03/01/2018 | FRENCH, RICHARD | AM FUNDS WASHINGTON MUTUAL INVESTOR | 0.00 | 0.29 | 0.00 | 0.29 | 85.0 | 0.02 |
| 03/01/2018 | KRAMER, DELANEY | AM FUNDS WASHINGTON MUTUAL INVESTOR | 0.00 | 0.26 | 0.00 | 0.26 | 85.0 | 0.02 |
| 03/01/2018 | ABBE JR, GARY | AM FUNDS WASHINGTON MUTUAL INVESTOR | 0.00 | 2.98 | 0.00 | 2.98 | 85.0 | 0.21 |
| 03/01/2018 | BELKOFER, STACEY | AM FUNDS WASHINGTON MUTUAL INVESTOR | 0.00 | 0.42 | 0.00 | 0.42 | 85.0 | 0.03 |
| 03/01/2018 | KRAMER, KARYS | AM FUNDS WASHINGTON MUTUAL INVESTOR | 0.00 | 0.32 | 0.00 | 0.32 | 85.0 | 0.02 |
| 03/01/2018 | DREEZE, MARCELINA | AM FUNDS WASHINGTON MUTUAL INVESTOR | 0.00 | 2.12 | 0.00 | 2.12 | 85.0 | 0.15 |
| 03/01/2018 | STACY, ROSS | AM FUNDS WASHINGTON MUTUAL INVESTOR | 0.00 | 0.21 | 0.00 | 0.21 | 85.0 | 0.01 |
| 03/01/2018 | CANNON, BARBARA | AM FUNDS WASHINGTON MUTUAL INVESTOR | 0.00 | 0.17 | 0.00 | 0.17 | 85.0 | 0.01 |
| 03/01/2018 | SAPP, ANGELAMARIE | AM FUNDS WASHINGTON MUTUAL INVESTOR | 0.00 | 1.35 | 0.00 | 1.35 | 85.0 | 0.09 |
| 03/01/2018 | LATTA, MARY | AM FUNDS WASHINGTON MUTUAL INVESTOR | 0.00 | 1.78 | 0.00 | 1.78 | 85.0 | 0.12 |
| 03/01/2018 | GRAHAM, DAVID | AM FUNDS WASHINGTON MUTUAL INVESTOR | 0.00 | 0.17 | 0.00 | 0.17 | 85.0 | 0.01 |
| 03/01/2018 | AUGUSTYNIAK, ROGER | AM FUNDS WASHINGTON MUTUAL INVESTOR | 0.00 | 13.63 | 0.00 | 13.63 | 85.0 | 0.95 |
| 03/01/2018 | MI/TOD | AM FUNDS WASHINGTON MUTUAL INVESTOR | 0.00 | 9.22 | 0.00 | 9.22 | 85.0 | 0.65 |
| 03/01/2018 | PAPIO, AARON | AM FUNDS WASHINGTON MUTUAL INVESTOR | 0.00 | 0.56 | 0.00 | 0.56 | 85.0 | 0.04 |
| 03/01/2018 | LEININGER, KENNETH | AM FUNDS WASHINGTON MUTUAL INVESTOR | 0.00 | 4.90 | 0.00 | 4.90 | 85.0 | 0.34 |
| 03/01/2018 | PERRY, CAROL | AM FUNDS WASHINGTON MUTUAL INVESTOR | 0.00 | 22.03 | 0.00 | 22.03 | 85.0 | 1.54 |
| 03/01/2018 | GERE, AMY | AM FUNDS WASHINGTON MUTUAL INVESTOR | 0.00 | 3.27 | 0.00 | 3.27 | 85.0 | 0.23 |

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| <u> OVERRIDE TRANSACTIONS </u> | | | | | | | | |
| <u> BROKER: THOMAS, H121 HALSEY #82 </u> | | | | | | | | |
| 03/01/2018 | AUGUSTYNIAK, VALERIE | AM FUNDS WASHINGTON MUTUAL INVESTOR | 0.00 | 0.18 | 0.00 | 0.18 | 85.0 | 0.01 |
| 03/01/2018 | AUGUSTYNIAK, HEATHER | AM FUNDS WASHINGTON MUTUAL INVESTOR | 0.00 | 1.38 | 0.00 | 1.38 | 85.0 | 0.10 |
| 03/01/2018 | VESEY, CAROL | AM FUNDS WASHINGTON MUTUAL INVESTOR | 0.00 | 1.24 | 0.00 | 1.24 | 85.0 | 0.09 |
| 03/01/2018 | ABBE, AMY | AM FUNDS WASHINGTON MUTUAL INVESTOR | 0.00 | 0.32 | 0.00 | 0.32 | 85.0 | 0.02 |
| 03/01/2018 | UNTIL AGE 21, OH/UTMA | AM FUNDS WASHINGTON MUTUAL INVESTOR | 0.00 | 0.32 | 0.00 | 0.32 | 85.0 | 0.02 |
| 03/01/2018 | FRANTZ, CASSANDRA | AM FUNDS WASHINGTON MUTUAL INVESTOR | 0.00 | 0.62 | 0.00 | 0.62 | 85.0 | 0.04 |
| 01/31/2018 | LEROUX, LAURA | BLACKROCK 67776G469 | 0.00 | 8.17 | 0.00 | 8.17 | 85.0 | 0.57 |
| 01/31/2018 | LEROUX, LAURA | BLACKROCK 67776G519 | 0.00 | 9.06 | 0.00 | 9.06 | 85.0 | 0.63 |
| 01/31/2018 | BUEHRER, SARAH | BLACKROCK 67776G519 | 0.00 | 1.61 | 0.00 | 1.61 | 85.0 | 0.11 |
| 01/31/2018 | LEININGER, LISA | BLACKROCK 67776G535 | 0.00 | 0.52 | 0.00 | 0.52 | 85.0 | 0.04 |
| 01/31/2018 | LEININGER, LISA | BLACKROCK 67776G535 | 0.00 | 0.52 | 0.00 | 0.52 | 85.0 | 0.04 |
| / / | BAKER, ELAINE | FIDELITY ADV GROWTH & INCOME C | 0.00 | 7.36 | 0.00 | 7.36 | 85.0 | 0.52 |
| / / | EYLER, BARBARA | FIDELITY ADV GROWTH OPP A | 0.00 | 3.57 | 0.00 | 3.57 | 85.0 | 0.25 |
| / / | BAKER, ELAINE | FIDELITY ADV GROWTH OPP C | 0.00 | 4.97 | 0.00 | 4.97 | 85.0 | 0.35 |
| / / | FRANTZ, CRAIG | FIDELITY ADV INTL CAP APP C | 0.00 | 6.28 | 0.00 | 6.28 | 85.0 | 0.44 |
| / / | BAKER, ELAINE | FIDELITY ADV INTL SMALL CAP OPP C | 0.00 | 4.38 | 0.00 | 4.38 | 85.0 | 0.31 |
| / / | BAKER, ELAINE | FIDELITY ADV OVERSEAS C | 0.00 | 4.13 | 0.00 | 4.13 | 85.0 | 0.29 |
| / / | BAKER, ELAINE | FIDELITY ADV UTILITIES C | 0.00 | 5.55 | 0.00 | 5.55 | 85.0 | 0.39 |
| / / | BAKER, ELAINE | FIDELITY EQUITY GROWTH C | 0.00 | 6.87 | 0.00 | 6.87 | 85.0 | 0.48 |
| / / | FRANTZ, CRAIG | FIDELITY EQUITY GROWTH C | 0.00 | 9.10 | 0.00 | 9.10 | 85.0 | 0.64 |
| / / | MARKLEY, JUSTIN | FIDELITY EQUITY GROWTH T | 0.00 | 3.45 | 0.00 | 3.45 | 85.0 | 0.24 |
| / / | MARKLEY, JUSTIN | FIDELITY EQUITY INCOME | 0.00 | 5.02 | 0.00 | 5.02 | 85.0 | 0.35 |
| / / | EYLER, BARBARA | FIDELITY EQUITY INCOME A | 0.00 | 5.98 | 0.00 | 5.98 | 85.0 | 0.42 |
| / / | BAKER, ELAINE | FIDELITY EQUITY INCOME C | 0.00 | 5.86 | 0.00 | 5.86 | 85.0 | 0.41 |
| / / | FRANTZ, CRAIG | FIDELITY SMALL CAP C | 0.00 | 13.96 | 0.00 | 13.96 | 85.0 | 0.98 |
| / / | BAKER, ELAINE | FIDELITY SMALL CAP VALUE C | 0.00 | 6.45 | 0.00 | 6.45 | 85.0 | 0.45 |
| / / | FRANTZ, CRAIG | FIDELITY TECHNOLOGY C | 0.00 | 6.98 | 0.00 | 6.98 | 85.0 | 0.49 |
| 01/31/2018 | BUEHRER, SARAH | GLOBAL ALLOCATION FUND | 0.00 | 1.56 | 0.00 | 1.56 | 85.0 | 0.11 |
| 02/28/2018 | BUEHRER, DANIEL | JNL PERSPECTIVE L | 29,339.32 | 24.45 | 0.00 | 24.45 | 85.0 | 1.71 |
| 02/28/2018 | BUEHRER, DANIEL | JNL PERSPECTIVE L | 163,650.51 | 177.29 | 0.00 | 177.29 | 85.0 | 12.41 |
| 02/28/2018 | NOWAK, DAVID | JOHN HANCOCK VENTURE III | 19,301.43 | 16.08 | 0.00 | 16.08 | 85.0 | 1.13 |
| 02/28/2018 | TANGERMAN, JEANETTE | JOHN HANCOCK VENTURE III | 54,440.21 | 45.37 | 0.00 | 45.37 | 85.0 | 3.18 |
| 02/28/2018 | DESELMS, EVELYN | JOHN HANCOCK VENTURE III | 43,050.90 | 35.88 | 0.00 | 35.88 | 85.0 | 2.51 |

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| <u> OVERRIDE TRANSACTIONS </u> | | | | | | | | |
| <u> BROKER: THOMAS, H121 HALSEY #82 </u> | | | | | | | | |
| 03/01/2018 | DESELMS, ROBERT | LTD TERM TAX-EX BOND FUND OF AMERIC | 0.00 | 0.66 | 0.00 | 0.66 | 85.0 | 0.05 |
| 02/02/2018 | PRZBYLSKI, MICHAEL | TRANSAMERICA LIBERTY | 140,508.36 | 117.09 | 0.00 | 117.09 | 85.0 | 8.20 |
| 02/05/2018 | BAUMGARTNER, DIANA | TRANSAMERICA LIBERTY | 114,741.24 | 95.62 | 0.00 | 95.62 | 85.0 | 6.69 |
| 02/05/2018 | FRANTZ, JUDITH | TRANSAMERICA LIBERTY | 85,560.80 | 71.30 | 0.00 | 71.30 | 85.0 | 4.99 |
| 02/06/2018 | BEISWENGER, RANDALL | TRANSAMERICA LIBERTY | 246,691.54 | 205.58 | 0.00 | 205.58 | 85.0 | 14.39 |
| 02/07/2018 | EYLER, BARBARA | TRANSAMERICA LIBERTY | 106,110.20 | 88.43 | 0.00 | 88.43 | 85.0 | 6.19 |
| 02/07/2018 | BUEHRER, SARAH | TRANSAMERICA LIBERTY | 148,681.02 | 123.90 | 0.00 | 123.90 | 85.0 | 8.67 |
| 02/07/2018 | BUEHRER, DANIEL | TRANSAMERICA LIBERTY | 152,939.66 | 127.45 | 0.00 | 127.45 | 85.0 | 8.92 |
| 02/07/2018 | LUCARELLI JR, VICTOR | TRANSAMERICA LIBERTY | 199,027.43 | 165.86 | 0.00 | 165.86 | 85.0 | 11.61 |
| 02/08/2018 | FERGUSON, MARK | TRANSAMERICA LIBERTY | 253,197.47 | 211.00 | 0.00 | 211.00 | 85.0 | 14.77 |
| 02/08/2018 | DE SELMS, KAREN | TRANSAMERICA LIBERTY | 137,051.23 | 114.21 | 0.00 | 114.21 | 85.0 | 7.99 |
| 02/09/2018 | KREMPEC, JEFFREY | TRANSAMERICA LIBERTY | 181,537.56 | 151.28 | 0.00 | 151.28 | 85.0 | 10.59 |
| 02/10/2018 | THANASIU, THOMAS | TRANSAMERICA LIBERTY | 113,936.39 | 94.95 | 0.00 | 94.95 | 85.0 | 6.65 |
| 02/10/2018 | HALSEY, WILLIAM | TRANSAMERICA LIBERTY | 98,677.97 | 82.23 | 0.00 | 82.23 | 85.0 | 5.76 |
| 02/10/2018 | RIEBE, MICHAEL | TRANSAMERICA LIBERTY | 91,475.34 | 76.23 | 0.00 | 76.23 | 85.0 | 5.34 |
| 02/12/2018 | DIENER, JUDITH | TRANSAMERICA LIBERTY | 145,507.99 | 121.26 | 0.00 | 121.26 | 85.0 | 8.49 |
| 02/12/2018 | RUCH, RONALD | TRANSAMERICA LIBERTY | 66,631.68 | 55.53 | 0.00 | 55.53 | 85.0 | 3.89 |
| 02/13/2018 | ZOLNER, MERIBETH | TRANSAMERICA LIBERTY | 30,703.48 | 25.59 | 0.00 | 25.59 | 85.0 | 1.79 |
| 02/16/2018 | BAKER, ELAINE | TRANSAMERICA LIBERTY | 236,336.14 | 196.95 | 0.00 | 196.95 | 85.0 | 13.79 |
| 02/19/2018 | KREMPEC, KAY | TRANSAMERICA LIBERTY | 72,592.86 | 60.49 | 0.00 | 60.49 | 85.0 | 4.23 |
| 02/19/2018 | KREMPEC, KAY | TRANSAMERICA LIBERTY | 72,592.86 | 60.49 | 0.00 | 60.49 | 85.0 | 4.23 |
| 02/19/2018 | KREMPEC, KAY | TRANSAMERICA LIBERTY | 72,592.86 | 60.49 | 0.00 | 60.49 | 85.0 | 4.23 |
| 02/20/2018 | RICHARDS, STEPHEN | TRANSAMERICA LIBERTY | 109,159.89 | 90.97 | 0.00 | 90.97 | 85.0 | 6.37 |
| 02/21/2018 | DENHAM, CONSTANCE | TRANSAMERICA LIBERTY | 214,901.66 | 179.08 | 0.00 | 179.08 | 85.0 | 12.54 |
| 02/22/2018 | FERGUSON, MARK | TRANSAMERICA LIBERTY | 6,500.00 | 260.00 | 0.00 | 260.00 | 85.0 | 18.20 |
| 02/22/2018 | AUGUSTYNIAK JR, ROGER | TRANSAMERICA LIBERTY | 446,741.88 | 372.28 | 0.00 | 372.28 | 85.0 | 26.06 |
| 02/22/2018 | NOWAK JR, ROBERT | TRANSAMERICA LIBERTY | 96,918.76 | 80.77 | 0.00 | 80.77 | 85.0 | 5.65 |
| 02/25/2018 | PERRY, ALAN | TRANSAMERICA LIBERTY | 424,129.37 | 353.44 | 0.00 | 353.44 | 85.0 | 24.74 |
| 02/25/2018 | TAYLOR, LILY | TRANSAMERICA LIBERTY | 40,231.05 | 33.53 | 0.00 | 33.53 | 85.0 | 2.35 |
| 02/26/2018 | ANNESSE, CAROL | TRANSAMERICA LIBERTY | 114,308.05 | 95.26 | 0.00 | 95.26 | 85.0 | 6.67 |
| 02/27/2018 | DESELMS, KAREN | TRANSAMERICA LIBERTY | 130,701.53 | 108.92 | 0.00 | 108.92 | 85.0 | 7.62 |
| 02/27/2018 | WRAY, JOCELYN | TRANSAMERICA LIBERTY | 30,078.59 | 25.07 | 0.00 | 25.07 | 85.0 | 1.75 |
| 02/27/2018 | WRAY, KIM | TRANSAMERICA LIBERTY | 70,126.63 | 58.44 | 0.00 | 58.44 | 85.0 | 4.09 |

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| <u> OVERRIDE TRANSACTIONS </u> | | | | | | | | |
| <u> BROKER: THOMAS, H121 HALSEY #82 </u> | | | | | | | | |
| 02/27/2018 | KREMPEC, KAY | TRANSAMERICA LIBERTY | 37,604.38 | 31.34 | 0.00 | 31.34 | 85.0 | 2.19 |
| 02/28/2018 | LUCARELLI, KRISTY | TRANSAMERICA LIBERTY | 50,097.37 | 41.75 | 0.00 | 41.75 | 85.0 | 2.92 |
| * THOMAS, H121 HALSEY SUBTOTAL * | | | \$4,848,825.61 | \$5,849.62 | \$0.00 | \$5,849.62 | | \$409.59 |
| <u> BROKER: ROBERT, T118 THOMPSON #83 </u> | | | | | | | | |
| 03/01/2018 | RINGGER, MARK | AM FUNDS BOND FUND OF AMERICA A | 0.00 | 29.01 | 0.00 | 29.01 | 90.0 | 0.58 |
| 03/01/2018 | MOORE, EILEEN | AM FUNDS BOND FUND OF AMERICA A | 0.00 | 5.99 | 0.00 | 5.99 | 90.0 | 0.12 |
| 03/01/2018 | SCHUMACHER, ROSEMARY | AM FUNDS BOND FUND OF AMERICA A | 0.00 | 3.72 | 0.00 | 3.72 | 90.0 | 0.07 |
| 03/01/2018 | MAXFIELD, RICHARD | AM FUNDS BOND FUND OF AMERICA A | 0.00 | 18.30 | 0.00 | 18.30 | 90.0 | 0.37 |
| 03/01/2018 | PENNINGTON, STEVE | AM FUNDS BOND FUND OF AMERICA A | 0.00 | 12.23 | 0.00 | 12.23 | 90.0 | 0.24 |
| 03/01/2018 | SHAFFER TRUST, EMILY | AM FUNDS BOND FUND OF AMERICA A | 0.00 | 14.33 | 0.00 | 14.33 | 90.0 | 0.29 |
| 03/01/2018 | GRAHAM, JUDY | AM FUNDS BOND FUND OF AMERICA A | 0.00 | 6.98 | 0.00 | 6.98 | 90.0 | 0.14 |
| 03/01/2018 | DAVIS, HOWARD | AM FUNDS BOND FUND OF AMERICA A | 0.00 | 6.51 | 0.00 | 6.51 | 90.0 | 0.13 |
| 03/01/2018 | MICHALSKI, PAIGE | AM FUNDS BOND FUND OF AMERICA A | 0.00 | 7.67 | 0.00 | 7.67 | 90.0 | 0.15 |
| 03/01/2018 | HILEMAN, RONALD | AM FUNDS BOND FUND OF AMERICA A | 0.00 | 30.83 | 0.00 | 30.83 | 90.0 | 0.62 |
| 03/01/2018 | MOORE CHARIT TRUST, EILEEN | AM FUNDS BOND FUND OF AMERICA A | 0.00 | 15.78 | 0.00 | 15.78 | 90.0 | 0.32 |
| 03/01/2018 | BLADEL, JACQUELYN | AM FUNDS BOND FUND OF AMERICA A | 0.00 | 34.55 | 0.00 | 34.55 | 90.0 | 0.69 |
| 03/01/2018 | FURNEY, DANNY | AM FUNDS BOND FUND OF AMERICA A | 0.00 | 7.45 | 0.00 | 7.45 | 90.0 | 0.15 |
| 03/01/2018 | RICE, GREGG | AM FUNDS BOND FUND OF AMERICA A | 0.00 | 56.62 | 0.00 | 56.62 | 90.0 | 1.13 |
| 03/01/2018 | MITTEN, ETTA | AM FUNDS BOND FUND OF AMERICA A | 0.00 | 39.78 | 0.00 | 39.78 | 90.0 | 0.80 |
| 03/01/2018 | GRUBB, BEVERLY | AM FUNDS BOND FUND OF AMERICA A | 0.00 | 22.64 | 0.00 | 22.64 | 90.0 | 0.45 |
| 03/01/2018 | MUIR, JOHN | AM FUNDS BOND FUND OF AMERICA A | 0.00 | 8.90 | 0.00 | 8.90 | 90.0 | 0.18 |
| 03/01/2018 | BESTOR, SALLY | AM FUNDS BOND FUND OF AMERICA A | 0.00 | 3.29 | 0.00 | 3.29 | 90.0 | 0.07 |
| 03/01/2018 | JACOB TRUST, MARILYN | AM FUNDS BOND FUND OF AMERICA A | 0.00 | 32.67 | 0.00 | 32.67 | 90.0 | 0.65 |
| 03/01/2018 | RICE, PAMELA | AM FUNDS BOND FUND OF AMERICA A | 0.00 | 11.21 | 0.00 | 11.21 | 90.0 | 0.22 |
| 03/01/2018 | ROSSWURM, ELAINE | AM FUNDS BOND FUND OF AMERICA A | 0.00 | 14.75 | 0.00 | 14.75 | 90.0 | 0.30 |
| 03/01/2018 | MOORE, EILEEN | AM FUNDS BOND FUND OF AMERICA A | 0.00 | 7.67 | 0.00 | 7.67 | 90.0 | 0.15 |
| 03/01/2018 | WALTER, LAURA | AM FUNDS BOND FUND OF AMERICA A | 0.00 | 12.53 | 0.00 | 12.53 | 90.0 | 0.25 |
| 03/01/2018 | WALTER, LAURA | AM FUNDS BOND FUND OF AMERICA A | 0.00 | 1.07 | 0.00 | 1.07 | 90.0 | 0.02 |
| 03/01/2018 | LABERDEE, JOYCE | AM FUNDS BOND FUND OF AMERICA A | 0.00 | 3.95 | 0.00 | 3.95 | 90.0 | 0.08 |
| 03/01/2018 | SHAFFER, CLARK | AM FUNDS CAPITAL INCOME BUILDER A | 0.00 | 4.19 | 0.00 | 4.19 | 90.0 | 0.08 |
| 03/01/2018 | JACOB TRUST, MARILYN | AM FUNDS CAPITAL INCOME BUILDER A | 0.00 | 4.71 | 0.00 | 4.71 | 90.0 | 0.09 |
| 03/01/2018 | MOORE, EILEEN | AM FUNDS CAPITAL WORLD BOND A | 0.00 | 6.83 | 0.00 | 6.83 | 90.0 | 0.14 |
| 03/01/2018 | JEFFERS, DAVID | AM FUNDS CAPITAL WORLD BOND A | 0.00 | 4.97 | 0.00 | 4.97 | 90.0 | 0.10 |

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

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

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

| DATE | CLIENT | INVESTMENT | INVESTMENT AMOUNT | GROSS COMMISSION | CLEARING CHARGE | NET COMMISSION | RATE | BROKER COMMISSION |
|---|----------------------|-------------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <u> OVERRIDE TRANSACTIONS </u> | | | | | | | | |
| <u> BROKER: ROBERT, T118 THOMPSON #83 </u> | | | | | | | | |
| 03/01/2018 | GAJEWSKI, DAVID | AM FUNDS CAPITAL WORLD BOND A | 0.00 | 3.26 | 0.00 | 3.26 | 90.0 | 0.07 |
| 03/01/2018 | JACOB, MARILYN | AM FUNDS CAPITAL WORLD BOND A | 0.00 | 19.04 | 0.00 | 19.04 | 90.0 | 0.38 |
| 03/01/2018 | BUEHLER, ARNOLD | AM FUNDS CAPITAL WORLD GRTH & INC A | 0.00 | 20.64 | 0.00 | 20.64 | 90.0 | 0.41 |
| 03/01/2018 | SCHWEINHAGEN, RUPERT | AM FUNDS CAPITAL WORLD GRTH & INC A | 0.00 | 37.44 | 0.00 | 37.44 | 90.0 | 0.75 |
| 03/01/2018 | NEITZ, DONALD | AM FUNDS CAPITAL WORLD GRTH & INC A | 0.00 | 14.44 | 0.00 | 14.44 | 90.0 | 0.29 |
| 03/01/2018 | PENNINGTON, SANDRA | AM FUNDS CAPITAL WORLD GRTH & INC A | 0.00 | 28.13 | 0.00 | 28.13 | 90.0 | 0.56 |
| 03/01/2018 | MAXFIELD, RICHARD | AM FUNDS CAPITAL WORLD GRTH & INC A | 0.00 | 34.59 | 0.00 | 34.59 | 90.0 | 0.69 |
| 03/01/2018 | BESTOR, DONALD | AM FUNDS CAPITAL WORLD GRTH & INC A | 0.00 | 18.62 | 0.00 | 18.62 | 90.0 | 0.37 |
| 03/01/2018 | MOORE, EILEEN | AM FUNDS CAPITAL WORLD GRTH & INC A | 0.00 | 63.70 | 0.00 | 63.70 | 90.0 | 1.27 |
| 03/01/2018 | SCHUMACHER, EDWARD | AM FUNDS CAPITAL WORLD GRTH & INC A | 0.00 | 32.96 | 0.00 | 32.96 | 90.0 | 0.66 |
| 03/01/2018 | GRIM, SUSAN | AM FUNDS CAPITAL WORLD GRTH & INC A | 0.00 | 1.12 | 0.00 | 1.12 | 90.0 | 0.02 |
| 03/01/2018 | ROSSWURM, ELAINE | AM FUNDS CAPITAL WORLD GRTH & INC A | 0.00 | 15.34 | 0.00 | 15.34 | 90.0 | 0.31 |
| 03/01/2018 | RECKNER, GARTH | AM FUNDS CAPITAL WORLD GRTH & INC A | 0.00 | 1.95 | 0.00 | 1.95 | 90.0 | 0.04 |
| 03/01/2018 | SHAFFER, CLARK | AM FUNDS CAPITAL WORLD GRTH & INC A | 0.00 | 52.59 | 0.00 | 52.59 | 90.0 | 1.05 |
| 03/01/2018 | SHAFFER, MARK | AM FUNDS CAPITAL WORLD GRTH & INC A | 0.00 | 0.53 | 0.00 | 0.53 | 90.0 | 0.01 |
| 03/01/2018 | RICE, PAMELA | AM FUNDS CAPITAL WORLD GRTH & INC A | 0.00 | 3.42 | 0.00 | 3.42 | 90.0 | 0.07 |
| 03/01/2018 | RICE JR, RUSSELL | AM FUNDS CAPITAL WORLD GRTH & INC A | 0.00 | 5.50 | 0.00 | 5.50 | 90.0 | 0.11 |
| 03/01/2018 | SHAFFER, SCOTT | AM FUNDS CAPITAL WORLD GRTH & INC A | 0.00 | 43.73 | 0.00 | 43.73 | 90.0 | 0.87 |
| 03/01/2018 | WALTER, LAURA | AM FUNDS CAPITAL WORLD GRTH & INC A | 0.00 | 12.76 | 0.00 | 12.76 | 90.0 | 0.26 |
| 03/01/2018 | SWEARINGEN, ERIC | AM FUNDS CAPITAL WORLD GRTH & INC C | 0.00 | 33.79 | 0.00 | 33.79 | 90.0 | 0.68 |
| 03/01/2018 | RINGGER, MARK | AM FUNDS EUROPACIFIC GROWTH FUND A | 0.00 | 15.05 | 0.00 | 15.05 | 90.0 | 0.30 |
| 03/01/2018 | JEFFERS, DAVID | AM FUNDS EUROPACIFIC GROWTH FUND A | 0.00 | 10.90 | 0.00 | 10.90 | 90.0 | 0.22 |
| 03/01/2018 | FLECK, GERALD | AM FUNDS EUROPACIFIC GROWTH FUND A | 0.00 | 15.21 | 0.00 | 15.21 | 90.0 | 0.30 |
| 03/01/2018 | SHAFFER, JAN | AM FUNDS EUROPACIFIC GROWTH FUND A | 0.00 | 21.94 | 0.00 | 21.94 | 90.0 | 0.44 |
| 03/01/2018 | RICE JR, RUSSELL | AM FUNDS EUROPACIFIC GROWTH FUND A | 0.00 | 0.28 | 0.00 | 0.28 | 90.0 | 0.01 |
| 03/01/2018 | RICE, GREGG | AM FUNDS EUROPACIFIC GROWTH FUND A | 0.00 | 3.02 | 0.00 | 3.02 | 90.0 | 0.06 |
| 03/01/2018 | PENNINGTON, STEVE | AM FUNDS FUNDAMENTAL INVESTORS A | 0.00 | 30.84 | 0.00 | 30.84 | 90.0 | 0.62 |
| 03/01/2018 | RICE, PAMELA | AM FUNDS FUNDAMENTAL INVESTORS A | 0.00 | 4.65 | 0.00 | 4.65 | 90.0 | 0.09 |
| 03/01/2018 | GRIM, SUSAN | AM FUNDS GROWTH FUND OF AMERICA A | 0.00 | 0.42 | 0.00 | 0.42 | 90.0 | 0.01 |
| 03/01/2018 | RICE JR, RUSSELL | AM FUNDS GROWTH FUND OF AMERICA A | 0.00 | 0.84 | 0.00 | 0.84 | 90.0 | 0.02 |
| 03/01/2018 | WALTER, LAURA | AM FUNDS GROWTH FUND OF AMERICA A | 0.00 | 13.01 | 0.00 | 13.01 | 90.0 | 0.26 |
| 03/01/2018 | SEITZINGER, MARK | AM FUNDS ICA A | 0.00 | 28.22 | 0.00 | 28.22 | 90.0 | 0.56 |
| 03/01/2018 | WALTER, LAURA | AM FUNDS ICA A | 0.00 | 12.60 | 0.00 | 12.60 | 90.0 | 0.25 |

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

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

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

| DATE | CLIENT | INVESTMENT | INVESTMENT AMOUNT | GROSS COMMISSION | CLEARING CHARGE | NET COMMISSION | RATE | BROKER COMMISSION |
|---|------------------------|-------------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <u> OVERRIDE TRANSACTIONS </u> | | | | | | | | |
| <u> BROKER: ROBERT, T118 THOMPSON #83 </u> | | | | | | | | |
| 03/01/2018 | MOORE, EILEEN | AM FUNDS INTERMEDIATE BOND FUND OF | 0.00 | 54.82 | 0.00 | 54.82 | 90.0 | 1.10 |
| 03/01/2018 | SEXTON TRUST, MARY LOU | AM FUNDS INTERMEDIATE BOND FUND OF | 0.00 | 12.93 | 0.00 | 12.93 | 90.0 | 0.26 |
| 03/01/2018 | DAVIS, HOWARD | AM FUNDS INTERMEDIATE BOND FUND OF | 0.00 | 11.77 | 0.00 | 11.77 | 90.0 | 0.24 |
| 03/01/2018 | SWEARINGEN, ERIC | AM FUNDS INTL GROWTH AND INCOME A | 0.00 | 2.42 | 0.00 | 2.42 | 90.0 | 0.05 |
| 03/01/2018 | NEITZ, CHRISTINA | AM FUNDS NEW WORLD A | 0.00 | 5.29 | 0.00 | 5.29 | 90.0 | 0.11 |
| 03/01/2018 | GRIM, SUSAN | AM FUNDS NEW WORLD A | 0.00 | 0.34 | 0.00 | 0.34 | 90.0 | 0.01 |
| 03/01/2018 | PENNINGTON, SANDRA | AM FUNDS SHORT TERM BND FUND OF AM | 0.00 | 36.43 | 0.00 | 36.43 | 90.0 | 0.73 |
| 03/01/2018 | MAXFIELD, RICHARD | AM FUNDS SHORT TERM BND FUND OF AM | 0.00 | 17.25 | 0.00 | 17.25 | 90.0 | 0.35 |
| 03/01/2018 | PENNINGTON, STEVE | AM FUNDS SHORT TERM BND FUND OF AM | 0.00 | 10.79 | 0.00 | 10.79 | 90.0 | 0.22 |
| 03/01/2018 | WODA, HELENE | AM FUNDS SHORT TERM BND FUND OF AM | 0.00 | 6.01 | 0.00 | 6.01 | 90.0 | 0.12 |
| 03/01/2018 | MOORE, EILEEN | AM FUNDS SHORT TERM BND FUND OF AM | 0.00 | 21.99 | 0.00 | 21.99 | 90.0 | 0.44 |
| 03/01/2018 | JACOB, MARILYN | AM FUNDS SHORT TERM BND FUND OF AM | 0.00 | 1.49 | 0.00 | 1.49 | 90.0 | 0.03 |
| 03/01/2018 | SEXTON TRUST, MARY LOU | AM FUNDS SHORT TERM BND FUND OF AM | 0.00 | 6.98 | 0.00 | 6.98 | 90.0 | 0.14 |
| 03/01/2018 | SHAFFER, JAN | AM FUNDS SHORT TERM BND FUND OF AM | 0.00 | 27.00 | 0.00 | 27.00 | 90.0 | 0.54 |
| 03/01/2018 | JEFFERS, DAVID | AM FUNDS SMALLCAP WORLD A | 0.00 | 8.01 | 0.00 | 8.01 | 90.0 | 0.16 |
| 03/01/2018 | FLECK, GERALD | AM FUNDS U.S. GOVERNMENT SECURITIES | 0.00 | 8.82 | 0.00 | 8.82 | 90.0 | 0.18 |
| 03/01/2018 | GRIM, SUSAN | AM FUNDS WASHINGTON MUTUAL INVESTOR | 0.00 | 0.35 | 0.00 | 0.35 | 90.0 | 0.01 |
| 01/31/2018 | SHAFFER, CLARK | ICON FUND C | 20,395.78 | 17.32 | 0.00 | 17.32 | 90.0 | 0.35 |
| 01/31/2018 | RICE, CHERYL | ICON FUND C | 3,105.83 | 2.64 | 0.00 | 2.64 | 90.0 | 0.05 |
| 01/31/2018 | GECIK, STANLEY | ICON FUND C | 6,340.38 | 5.38 | 0.00 | 5.38 | 90.0 | 0.11 |
| 01/31/2018 | RECKNER, GARTH | ICON FUND C | 1,594.16 | 1.35 | 0.00 | 1.35 | 90.0 | 0.03 |
| 02/20/2018 | MICHALSKI, PAIGE | JNL PERSPECTIVE | 150.00 | 10.13 | 0.00 | 10.13 | 90.0 | 0.20 |
| 02/28/2018 | RICHARDS, MILDRED | JNL PERSPECTIVE | 34,746.91 | 7.24 | 0.00 | 7.24 | 90.0 | 0.14 |
| 02/28/2018 | FLECK, GERALD | JNL PERSPECTIVE II 05/05 | 2,119.20 | 1.32 | 0.00 | 1.32 | 90.0 | 0.03 |
| 02/28/2018 | WENZ, PATRICIA | JOHN HANCOCK VENTURE III | 38,244.21 | 31.87 | 0.00 | 31.87 | 90.0 | 0.64 |
| 02/28/2018 | MURANYI, MARILYN | JOHN HANCOCK VENTURE III | 25,092.50 | 20.91 | 0.00 | 20.91 | 90.0 | 0.42 |
| 02/28/2018 | SCHUMACHER, EDWARD | JOHN HANCOCK VENTURE III | 35,594.89 | 29.66 | 0.00 | 29.66 | 90.0 | 0.59 |
| 02/28/2018 | MAXFIELD, DARALEE | JOHN HANCOCK VENTURE III | 125,743.27 | 104.79 | 0.00 | 104.79 | 90.0 | 2.10 |
| 02/28/2018 | GRUBB, BEVERLY | JOHN HANCOCK VENTURE III | 132,508.86 | 110.42 | 0.00 | 110.42 | 90.0 | 2.21 |
| 02/28/2018 | GRAHAM, JUDY | JOHN HANCOCK VENTURE III | 165,703.07 | 138.09 | 0.00 | 138.09 | 90.0 | 2.76 |
| 02/28/2018 | HUBAY, BERNICE | JOHN HANCOCK VENTURE III | 26,225.85 | 21.85 | 0.00 | 21.85 | 90.0 | 0.44 |
| 02/28/2018 | LABERDEE, PAUL | JOHN HANCOCK VENTURE III | 42,545.90 | 35.45 | 0.00 | 35.45 | 90.0 | 0.71 |
| 02/28/2018 | SZAFAROWICZ, JOSEPH | JOHN HANCOCK VENTURE III | 19,729.01 | 16.44 | 0.00 | 16.44 | 90.0 | 0.33 |

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| DATE | CLIENT | INVESTMENT | INVESTMENT AMOUNT | GROSS COMMISSION | CLEARING CHARGE | NET COMMISSION | RATE | BROKER COMMISSION |
|---|--------------------------|---------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <u> OVERRIDE TRANSACTIONS </u> | | | | | | | | |
| <u> BROKER: ROBERT, T118 THOMPSON #83 </u> | | | | | | | | |
| 02/28/2018 | MUIR TRUST, JOHN & JOANN | JOHN HANCOCK VENTURE III | 22,473.74 | 18.73 | 0.00 | 18.73 | 90.0 | 0.37 |
| 02/28/2018 | HILEMAN, RONALD | JOHN HANCOCK VENTURE III | 162,119.04 | 135.10 | 0.00 | 135.10 | 90.0 | 2.70 |
| 02/28/2018 | ELWING, LOUISE | JOHN HANCOCK VENTURE III | 150,401.07 | 125.33 | 0.00 | 125.33 | 90.0 | 2.51 |
| 02/28/2018 | DOUGHERTY, ELNORA | JOHN HANCOCK VENTURE III | 147,276.28 | 122.73 | 0.00 | 122.73 | 90.0 | 2.45 |
| 02/28/2018 | MAXFIELD, RICHARD | JOHN HANCOCK VENTURE III | 219,124.88 | 182.60 | 0.00 | 182.60 | 90.0 | 3.65 |
| 02/28/2018 | GAJEWSKI, WILLADEANE | JOHN HANCOCK VENTURE III | 40,524.75 | 33.77 | 0.00 | 33.77 | 90.0 | 0.68 |
| 02/28/2018 | BUEHLER, ARNOLD | JOHN HANCOCK VENTURE III | 119,492.89 | 99.58 | 0.00 | 99.58 | 90.0 | 1.99 |
| 02/28/2018 | RICE, PAMELA | JOHN HANCOCK VENTURE III | 111,729.30 | 93.11 | 0.00 | 93.11 | 90.0 | 1.86 |
| 02/28/2018 | RINGGER, LINDA | JOHN HANCOCK VENTURE III | 121,338.49 | 101.12 | 0.00 | 101.12 | 90.0 | 2.02 |
| 02/28/2018 | SEITZINGER, MARK | JOHN HANCOCK VENTURE III | 24,111.20 | 20.09 | 0.00 | 20.09 | 90.0 | 0.40 |
| 02/28/2018 | WODA, HELENE | JOHN HANCOCK VENTURE III | 26,309.16 | 21.92 | 0.00 | 21.92 | 90.0 | 0.44 |
| 02/28/2018 | FLECK, GERALD | TRANSAMERICA FREEDOM 2008 | 59,704.92 | 62.19 | 0.00 | 62.19 | 90.0 | 1.24 |
| 02/02/2018 | RINGGER, MARK | TRANSAMERICA LIBERTY | 141,182.21 | 117.65 | 0.00 | 117.65 | 90.0 | 2.35 |
| 02/04/2018 | SCHMIDBAUER, JOSEPH | TRANSAMERICA LIBERTY | 4,750.26 | 3.96 | 0.00 | 3.96 | 90.0 | 0.08 |
| 02/05/2018 | MOORE, EILEEN | TRANSAMERICA LIBERTY | 265,988.98 | 221.66 | 0.00 | 221.66 | 90.0 | 4.43 |
| 02/05/2018 | MERZ, JOYCE | TRANSAMERICA LIBERTY | 24,696.51 | 20.58 | 0.00 | 20.58 | 90.0 | 0.41 |
| 02/07/2018 | RECKNER, COURTNEY | TRANSAMERICA LIBERTY | 6,008.59 | 5.01 | 0.00 | 5.01 | 90.0 | 0.10 |
| 02/07/2018 | FRAZIER, JULIE | TRANSAMERICA LIBERTY | 57,803.27 | 48.17 | 0.00 | 48.17 | 90.0 | 0.96 |
| 02/08/2018 | ROSSWURM, ELAINE | TRANSAMERICA LIBERTY | 92,806.68 | 77.34 | 0.00 | 77.34 | 90.0 | 1.55 |
| 02/09/2018 | MUIR TRUST, JOHN & JOANN | TRANSAMERICA LIBERTY | 47,965.49 | 39.97 | 0.00 | 39.97 | 90.0 | 0.80 |
| 02/12/2018 | LABERDEE, LARRY | TRANSAMERICA LIBERTY | 34,185.28 | 28.49 | 0.00 | 28.49 | 90.0 | 0.57 |
| 02/13/2018 | WODA, HELENE | TRANSAMERICA LIBERTY | 39,265.18 | 32.72 | 0.00 | 32.72 | 90.0 | 0.65 |
| 02/13/2018 | FURNEY, DANNY | TRANSAMERICA LIBERTY | 255,835.55 | 213.20 | 0.00 | 213.20 | 90.0 | 4.26 |
| 02/13/2018 | MERZ, EDWIN | TRANSAMERICA LIBERTY | 157,816.90 | 131.51 | 0.00 | 131.51 | 90.0 | 2.63 |
| 02/13/2018 | BLADEL, JACQUELYN | TRANSAMERICA LIBERTY | 81,136.85 | 67.61 | 0.00 | 67.61 | 90.0 | 1.35 |
| 02/15/2018 | RICE, CHERYL | TRANSAMERICA LIBERTY | 2,687.56 | 2.24 | 0.00 | 2.24 | 90.0 | 0.04 |
| 02/15/2018 | JACOB, MARILYN | TRANSAMERICA LIBERTY | 250,299.81 | 208.58 | 0.00 | 208.58 | 90.0 | 4.17 |
| 02/16/2018 | LABERDEE, JOYCE | TRANSAMERICA LIBERTY | 114,632.98 | 95.53 | 0.00 | 95.53 | 90.0 | 1.91 |
| 02/16/2018 | RICE SR, RUSSELL | TRANSAMERICA LIBERTY | 2,729.62 | 2.27 | 0.00 | 2.27 | 90.0 | 0.05 |
| 02/16/2018 | RICE, SUSAN | TRANSAMERICA LIBERTY | 123,064.39 | 102.55 | 0.00 | 102.55 | 90.0 | 2.05 |
| 02/17/2018 | OSTER, JENNIFER | TRANSAMERICA LIBERTY | 27,022.30 | 22.52 | 0.00 | 22.52 | 90.0 | 0.45 |
| 02/21/2018 | MERZ, JOYCE | TRANSAMERICA LIBERTY | 101,465.78 | 84.55 | 0.00 | 84.55 | 90.0 | 1.69 |
| 02/22/2018 | SEXTON TRUST, MARY LOU | TRANSAMERICA LIBERTY | 81,496.89 | 67.91 | 0.00 | 67.91 | 90.0 | 1.36 |

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| DATE | CLIENT | INVESTMENT | INVESTMENT AMOUNT | GROSS COMMISSION | CLEARING CHARGE | NET COMMISSION | RATE | BROKER COMMISSION |
|--|--------------------|----------------------|-----------------------|---------------------|--------------------|--------------------|------|----------------------|
| <u> OVERRIDE TRANSACTIONS </u> | | | | | | | | |
| BROKER: ROBERT, T118 THOMPSON #83 | | | | | | | | |
| 02/22/2018 | SCHWEINHAGEN, RITA | TRANSAMERICA LIBERTY | 41,308.17 | 34.42 | 0.00 | 34.42 | 90.0 | 0.69 |
| 02/22/2018 | JEFFERS, DAVID | TRANSAMERICA LIBERTY | 114,130.53 | 95.11 | 0.00 | 95.11 | 90.0 | 1.90 |
| 02/23/2018 | SEITZINGER, MARK | TRANSAMERICA LIBERTY | 73,914.12 | 61.60 | 0.00 | 61.60 | 90.0 | 1.23 |
| 02/23/2018 | MERZ, JOYCE | TRANSAMERICA LIBERTY | 100,709.24 | 83.92 | 0.00 | 83.92 | 90.0 | 1.68 |
| 02/24/2018 | HALL, WAYNE | TRANSAMERICA LIBERTY | 170,805.47 | 142.34 | 0.00 | 142.34 | 90.0 | 2.85 |
| 02/24/2018 | RUTLEDGE, JOANNE | TRANSAMERICA LIBERTY | 215,368.87 | 179.47 | 0.00 | 179.47 | 90.0 | 3.59 |
| 02/26/2018 | WENZ, JAMES | TRANSAMERICA LIBERTY | 26,600.82 | 22.17 | 0.00 | 22.17 | 90.0 | 0.44 |
| 02/26/2018 | FISH, SANDRA | TRANSAMERICA LIBERTY | 77,921.96 | 64.93 | 0.00 | 64.93 | 90.0 | 1.30 |
| 02/26/2018 | RICE, PAMELA | TRANSAMERICA LIBERTY | 64,243.48 | 53.54 | 0.00 | 53.54 | 90.0 | 1.07 |
| 02/26/2018 | ZAWODNI, CAROL | TRANSAMERICA LIBERTY | 51,482.76 | 42.90 | 0.00 | 42.90 | 90.0 | 0.86 |
| 02/27/2018 | DAVIS, HOWARD | TRANSAMERICA LIBERTY | 30,735.65 | 25.61 | 0.00 | 25.61 | 90.0 | 0.51 |
| 02/28/2018 | SHAFFER, EMILY | TRANSAMERICA LIBERTY | 169,028.84 | 140.86 | 0.00 | 140.86 | 90.0 | 2.82 |
| 02/28/2018 | COOPER, MARK | TRANSAMERICA LIBERTY | 118,025.69 | 98.35 | 0.00 | 98.35 | 90.0 | 1.97 |
| * ROBERT, T118 THOMPSON SUBTOTAL * | | | \$5,051,562.22 | \$5,472.72 | \$0.00 | \$5,472.72 | | \$109.47 |
| *** OVERRIDE TRANSACTIONS TOTAL *** | | | \$9,900,387.83 | \$11,357.34 | \$0.00 | \$11,357.34 | | \$521.51 |

ADJUSTMENTS

| | | | | | | | | |
|----------------------------------|-------------------------------------|------|---------------|---------------|---------------|---------------|--|------------------|
| 03/15/2018 | *ALBRIDGE: FULL USER | 0.00 | | | | | | -176.00 |
| 03/15/2018 | *E & O INSURANCE: CURRENT MONTH INS | 0.00 | | | | | | -300.00 |
| 03/15/2018 | *PERSHING: BOOKS & RECORDS | 0.00 | | | | | | -31.68 |
| 03/15/2018 | *TECHNOLOGY: ADMIN - DEB RYAN 1/3R | 0.00 | | | | | | -43.34 |
| 03/15/2018 | *TECHNOLOGY: ADMIN - J BOYERS 1/3RD | 0.00 | | | | | | -43.34 |
| 03/15/2018 | *TECHNOLOGY: CURRENT MONTH BASIC | 0.00 | | | | | | -180.00 |
| *** ADJUSTMENTS TOTAL *** | | | \$0.00 | \$0.00 | \$0.00 | \$0.00 | | \$-774.36 |

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

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

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

BROKER COMMISSION TOTALS

| | |
|-----------------------|------------|
| Broker Transactions | \$7,864.26 |
| Split Transactions | \$0.00 |
| Override Transactions | \$521.51 |
| Adjustments | \$-774.36 |
| Payroll Draw | \$0.00 |
| Base Salary | \$0.00 |
| Prior Period Balance | \$0.00 |
| FINRA Assessment | \$0.00 |
| SIPC Assessment | \$0.00 |

| | |
|-----------------------|-------------|
| Check Amount | \$7,611.41 |
| Year-to-date Gross | \$35,223.05 |
| Year-to-date Earnings | \$34,366.77 |