



Concorde Investment Services, LLC

09/28/2017

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COMMISSION STATEMENT

September 30, 2017

JOHN 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>BROKER TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
09/01/2017	KIEFER, SUSAN	AM FUNDS 2010 TARGET DATE-A	0.00	6.06	0.00	6.06	92.0	5.58
09/01/2017	TROUT, TINA	AM FUNDS 2020 TARGET DATE-A	0.00	7.51	0.00	7.51	92.0	6.91
09/01/2017	MAWHORTER, TIMOTHY	AM FUNDS 2045 TARGET DATE-A	0.00	9.27	0.00	9.27	92.0	8.53
09/01/2017	ZABORSKI, PAUL	AM FUNDS 2050 TARGET DATE-A	0.00	0.32	0.00	0.32	92.0	0.29
09/01/2017	KIEFER, SUSAN	AM FUNDS 2055 TARGET DATE-A	0.00	2.37	0.00	2.37	92.0	2.18
09/01/2017	ZUCCARELL, MATTHEW	AM FUNDS AMCAP 529A	0.00	0.48	0.00	0.48	92.0	0.44
09/01/2017	ROSS, MICHELLE L HUDS	AM FUNDS AMCAP 529A	0.00	1.95	0.00	1.95	92.0	1.79
09/01/2017	ZUCCARELL, MATTHEW	AM FUNDS AMCAP 529A	0.00	0.44	0.00	0.44	92.0	0.40
09/01/2017	ECKHARDT, MELISSA	AM FUNDS AMCAP 529A	0.00	2.87	0.00	2.87	92.0	2.64
09/01/2017	ECKHARDT, MELISSA	AM FUNDS AMCAP 529A	0.00	2.87	0.00	2.87	92.0	2.64
09/01/2017	BLAKE, MIRIAM	AM FUNDS AMCAP A	0.00	2.48	0.00	2.48	92.0	2.28
09/01/2017	BRUMMETT, DOUGLAS	AM FUNDS AMCAP A	0.00	0.45	0.00	0.45	92.0	0.41
09/01/2017	SCHOONOVER, ROBERT	AM FUNDS AMCAP A	0.00	1.78	0.00	1.78	92.0	1.64
09/01/2017	HEINAMAN, ROBERT	AM FUNDS AMCAP A	0.00	14.26	0.00	14.26	92.0	13.12
09/01/2017	SANDERSON, CATHY	AM FUNDS AMCAP A	0.00	1.47	0.00	1.47	92.0	1.35
09/01/2017	SANDERSON, CATHY	AM FUNDS AMCAP A	0.00	1.14	0.00	1.14	92.0	1.05
09/01/2017	ROSS, SALLY	AM FUNDS AMCAP A	0.00	1.61	0.00	1.61	92.0	1.48
09/01/2017	KRALL, GARY	AM FUNDS AMCAP A	0.00	2.38	0.00	2.38	92.0	2.19
09/01/2017	SUTHERLAND, BARBARA	AM FUNDS AMCAP A	0.00	1.89	0.00	1.89	92.0	1.74
09/01/2017	RONEY, LINDA	AM FUNDS AMCAP A	0.00	28.76	0.00	28.76	92.0	26.46
09/01/2017	ZUCCARELL, MATTHEW	AM FUNDS AMCAP A	0.00	3.84	0.00	3.84	92.0	3.53
09/01/2017	DAY, CHERYL	AM FUNDS AMCAP A	0.00	0.46	0.00	0.46	92.0	0.42
09/01/2017	SUTHERLAND, JOHN	AM FUNDS AMCAP A	0.00	0.92	0.00	0.92	92.0	0.85
09/01/2017	ROSS, MICHELLE L HUDS	AM FUNDS AMCAP A	0.00	1.59	0.00	1.59	92.0	1.46
09/01/2017	GOYER, TIMOTHY	AM FUNDS AMCAP A	0.00	1.91	0.00	1.91	92.0	1.76
09/01/2017	SMOOT, C STEVEN	AM FUNDS AMCAP A	0.00	19.48	0.00	19.48	92.0	17.92

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

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

DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>BROKER TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
09/01/2017	BRAITHWAITE, WILLIAM	AM FUNDS AMCAP A	0.00	0.64	0.00	0.64	92.0	0.59
09/01/2017	MURPHY, JACK	AM FUNDS AMCAP A	0.00	2.27	0.00	2.27	92.0	2.09
09/01/2017	GLORE, DANIEL	AM FUNDS AMCAP A	0.00	1.00	0.00	1.00	92.0	0.92
09/01/2017	MURPHY, CAROL	AM FUNDS AMCAP A	0.00	4.19	0.00	4.19	92.0	3.85
09/01/2017	SHAFFER, DENISE	AM FUNDS AMCAP A	0.00	3.39	0.00	3.39	92.0	3.12
09/01/2017	ISAACSON, ROBERT	AM FUNDS AMCAP A	0.00	2.20	0.00	2.20	92.0	2.02
09/01/2017	IRWIN, JOHN	AM FUNDS AMCAP A	0.00	18.64	0.00	18.64	92.0	17.15
09/01/2017	DECKER, MARY BETH	AM FUNDS AMCAP A	0.00	0.56	0.00	0.56	92.0	0.52
09/01/2017	HAUSER, ROBERT	AM FUNDS AMCAP A	0.00	10.52	0.00	10.52	92.0	9.68
09/01/2017	HAUSER, RONALD	AM FUNDS AMCAP A	0.00	4.37	0.00	4.37	92.0	4.02
09/01/2017	TARRIS, CHRISTINE	AM FUNDS AMCAP A	0.00	1.94	0.00	1.94	92.0	1.78
09/01/2017	SUTHERLAND, JOHN	AM FUNDS AMCAP A	0.00	2.69	0.00	2.69	92.0	2.47
09/01/2017	MOLNAR, JOSEPH	AM FUNDS AMCAP A	0.00	1.36	0.00	1.36	92.0	1.25
09/01/2017	ROSS, DANIEL	AM FUNDS AMCAP A	0.00	1.35	0.00	1.35	92.0	1.24
09/01/2017	FAIRCHILD, DANA	AM FUNDS AMCAP A	0.00	4.92	0.00	4.92	92.0	4.53
09/01/2017	HELMINIAK, CAROLYN	AM FUNDS AMCAP A	0.00	1.32	0.00	1.32	92.0	1.21
09/01/2017	CURSON, STEVE	AM FUNDS AMCAP A	0.00	1.63	0.00	1.63	92.0	1.50
09/01/2017	LECHUGA, CARRIE	AM FUNDS AMCAP A	0.00	0.56	0.00	0.56	92.0	0.52
09/01/2017	KISER, ELIZABETH	AM FUNDS AMCAP A	0.00	1.43	0.00	1.43	92.0	1.32
09/01/2017	KISER, EDWARD	AM FUNDS AMCAP A	0.00	1.43	0.00	1.43	92.0	1.32
09/01/2017	OBERT, DEBORA	AM FUNDS AMCAP A	0.00	1.09	0.00	1.09	92.0	1.00
09/01/2017	FLEMING, ANDREA	AM FUNDS AMCAP A	0.00	6.61	0.00	6.61	92.0	6.08
09/01/2017	IRWIN, JOHN	AM FUNDS AMCAP A	0.00	1.07	0.00	1.07	92.0	0.98
09/01/2017	HILES, MARC	AM FUNDS AMCAP A	0.00	3.10	0.00	3.10	92.0	2.85
09/01/2017	SMITH, SUZANNE	AM FUNDS AMCAP A	0.00	6.98	0.00	6.98	92.0	6.42
09/01/2017	DUBENDORFER, SUSAN	AM FUNDS AMCAP A	0.00	0.93	0.00	0.93	92.0	0.86
09/01/2017	KOZLOWSKI, KATHLEEN	AM FUNDS AMCAP A	0.00	1.39	0.00	1.39	92.0	1.28
09/01/2017	GOYER, CALLIE	AM FUNDS AMCAP A	0.00	3.42	0.00	3.42	92.0	3.15
09/01/2017	SMITH, MARK	AM FUNDS AMCAP A	0.00	0.71	0.00	0.71	92.0	0.65
09/01/2017	SMITH, PADRAIC	AM FUNDS AMCAP A	0.00	2.83	0.00	2.83	92.0	2.60
09/01/2017	HALSEY, WILLIAM D	AM FUNDS AMCAP A	0.00	11.12	0.00	11.12	92.0	10.23
09/01/2017	WAGONER JR, JOHN	AM FUNDS AMCAP A	0.00	0.74	0.00	0.74	92.0	0.68
09/01/2017	WAGONER JR, JOHN	AM FUNDS AMCAP A	0.00	0.21	0.00	0.21	92.0	0.19

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>BROKER TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
09/01/2017	GERMAN, MARIANNE	AM FUNDS AMCAP A	0.00	2.08	0.00	2.08	92.0	1.91
09/01/2017	GODFREY, TIMOTHY	AM FUNDS AMCAP A	0.00	0.73	0.00	0.73	92.0	0.67
09/01/2017	ZINK, ROBERT	AM FUNDS AMCAP A	0.00	4.55	0.00	4.55	92.0	4.19
09/01/2017	LARSON, PENNY	AM FUNDS AMCAP A	0.00	1.22	0.00	1.22	92.0	1.12
09/01/2017	GOYER, GRACE	AM FUNDS AMCAP A	0.00	1.67	0.00	1.67	92.0	1.54
09/01/2017	MCFARLAND, BRANDON	AM FUNDS AMCAP A	0.00	0.31	0.00	0.31	92.0	0.29
09/01/2017	DRAKE, ERIC	AM FUNDS AMCAP A	0.00	0.55	0.00	0.55	92.0	0.51
09/01/2017	GROSVENOR, JOHN	AM FUNDS AMCAP A	0.00	0.75	0.00	0.75	92.0	0.69
09/01/2017	MOON, CHARLES	AM FUNDS AMCAP A	0.00	1.48	0.00	1.48	92.0	1.36
09/01/2017	COLEMAN, PARISS	AM FUNDS AMCAP A	0.00	3.05	0.00	3.05	92.0	2.81
09/01/2017	COLEMAN, LINDA	AM FUNDS AMERICAN BALANCED 529A	0.00	1.30	0.00	1.30	92.0	1.20
09/01/2017	ROSS, MICHELLE L HUDS	AM FUNDS AMERICAN BALANCED 529A	0.00	4.42	0.00	4.42	92.0	4.07
09/01/2017	ROSS, MICHELLE L HUDS	AM FUNDS AMERICAN BALANCED 529A	0.00	0.75	0.00	0.75	92.0	0.69
09/01/2017	DREIER, DAVID	AM FUNDS AMERICAN BALANCED A	0.00	1.34	0.00	1.34	92.0	1.23
09/01/2017	BRUMMETT, DOUGLAS	AM FUNDS AMERICAN BALANCED A	0.00	1.08	0.00	1.08	92.0	0.99
09/01/2017	HEINAMAN, ROBERT	AM FUNDS AMERICAN BALANCED A	0.00	32.61	0.00	32.61	92.0	30.00
09/01/2017	SANDERSON, CATHY	AM FUNDS AMERICAN BALANCED A	0.00	3.00	0.00	3.00	92.0	2.76
09/01/2017	SANDERSON, CATHY	AM FUNDS AMERICAN BALANCED A	0.00	1.07	0.00	1.07	92.0	0.98
09/01/2017	MILLER, MICHAEL	AM FUNDS AMERICAN BALANCED A	0.00	1.38	0.00	1.38	92.0	1.27
09/01/2017	SWINDLE, CYNTHIA	AM FUNDS AMERICAN BALANCED A	0.00	0.66	0.00	0.66	92.0	0.61
09/01/2017	SWINDLE, DARRYL	AM FUNDS AMERICAN BALANCED A	0.00	0.79	0.00	0.79	92.0	0.73
09/01/2017	DECKER, MARY BETH	AM FUNDS AMERICAN BALANCED A	0.00	0.50	0.00	0.50	92.0	0.46
09/01/2017	KRALL, GARY	AM FUNDS AMERICAN BALANCED A	0.00	5.83	0.00	5.83	92.0	5.36
09/01/2017	RONEY, LINDA	AM FUNDS AMERICAN BALANCED A	0.00	3.28	0.00	3.28	92.0	3.02
09/01/2017	ZUCCARELL, HEATHER	AM FUNDS AMERICAN BALANCED A	0.00	0.94	0.00	0.94	92.0	0.86
09/01/2017	SANDERSON, CATHY	AM FUNDS AMERICAN BALANCED A	0.00	0.96	0.00	0.96	92.0	0.88
09/01/2017	WOODRUFF, AUSTIN	AM FUNDS AMERICAN BALANCED A	0.00	2.02	0.00	2.02	92.0	1.86
09/01/2017	ROSS, MICHELLE L HUDS	AM FUNDS AMERICAN BALANCED A	0.00	2.44	0.00	2.44	92.0	2.24
09/01/2017	MOORE, LINDA	AM FUNDS AMERICAN BALANCED A	0.00	6.35	0.00	6.35	92.0	5.84
09/01/2017	ROSS, MICHAEL C HUDSO	AM FUNDS AMERICAN BALANCED A	0.00	1.85	0.00	1.85	92.0	1.70
09/01/2017	SWINDLE, DARRYL	AM FUNDS AMERICAN BALANCED A	0.00	0.73	0.00	0.73	92.0	0.67
09/01/2017	MARKJA, BERNADINE	AM FUNDS AMERICAN BALANCED A	0.00	2.44	0.00	2.44	92.0	2.24
09/01/2017	SANDVIG TRUST, ANNE	AM FUNDS AMERICAN BALANCED A	0.00	2.90	0.00	2.90	92.0	2.67

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<u>BROKER TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
09/01/2017	BRILLHART, RYAN	AM FUNDS AMERICAN BALANCED A	0.00	1.95	0.00	1.95	92.0	1.79
09/01/2017	MURPHY, JACK	AM FUNDS AMERICAN BALANCED A	0.00	2.21	0.00	2.21	92.0	2.03
09/01/2017	HUDAK, NICHOLAS	AM FUNDS AMERICAN BALANCED A	0.00	0.77	0.00	0.77	92.0	0.71
09/01/2017	HUDAK, STASIA	AM FUNDS AMERICAN BALANCED A	0.00	1.15	0.00	1.15	92.0	1.06
09/01/2017	MURPHY, CAROL	AM FUNDS AMERICAN BALANCED A	0.00	2.65	0.00	2.65	92.0	2.44
09/01/2017	SHAFFER, DENISE	AM FUNDS AMERICAN BALANCED A	0.00	3.58	0.00	3.58	92.0	3.29
09/01/2017	WASSERMAN, JULIE	AM FUNDS AMERICAN BALANCED A	0.00	1.37	0.00	1.37	92.0	1.26
09/01/2017	IRWIN, JOHN	AM FUNDS AMERICAN BALANCED A	0.00	23.51	0.00	23.51	92.0	21.63
09/01/2017	DECKER, MARY BETH	AM FUNDS AMERICAN BALANCED A	0.00	1.16	0.00	1.16	92.0	1.07
09/01/2017	HAUSER, ROBERT	AM FUNDS AMERICAN BALANCED A	0.00	18.32	0.00	18.32	92.0	16.85
09/01/2017	TARRIS, CHRISTINE	AM FUNDS AMERICAN BALANCED A	0.00	2.60	0.00	2.60	92.0	2.39
09/01/2017	SILLIMAN, JEFFREY	AM FUNDS AMERICAN BALANCED A	0.00	7.45	0.00	7.45	92.0	6.85
09/01/2017	HUDAK, DARLA	AM FUNDS AMERICAN BALANCED A	0.00	3.14	0.00	3.14	92.0	2.89
09/01/2017	ROSS, DANIEL	AM FUNDS AMERICAN BALANCED A	0.00	2.73	0.00	2.73	92.0	2.51
09/01/2017	FAIRCHILD, DANA	AM FUNDS AMERICAN BALANCED A	0.00	2.22	0.00	2.22	92.0	2.04
09/01/2017	BRILLHART, SHARON	AM FUNDS AMERICAN BALANCED A	0.00	1.76	0.00	1.76	92.0	1.62
09/01/2017	HELMINIAK, CAROLYN	AM FUNDS AMERICAN BALANCED A	0.00	2.42	0.00	2.42	92.0	2.23
09/01/2017	SILLIMAN, GRACE	AM FUNDS AMERICAN BALANCED A	0.00	2.73	0.00	2.73	92.0	2.51
09/01/2017	ROSS, KRISTINE	AM FUNDS AMERICAN BALANCED A	0.00	2.04	0.00	2.04	92.0	1.88
09/01/2017	KISER, ELIZABETH	AM FUNDS AMERICAN BALANCED A	0.00	2.72	0.00	2.72	92.0	2.50
09/01/2017	KISER, EDWARD	AM FUNDS AMERICAN BALANCED A	0.00	2.72	0.00	2.72	92.0	2.50
09/01/2017	BEAUPREZ, TAMMY	AM FUNDS AMERICAN BALANCED A	0.00	1.23	0.00	1.23	92.0	1.13
09/01/2017	BRILLHART, GREGORY	AM FUNDS AMERICAN BALANCED A	0.00	0.56	0.00	0.56	92.0	0.52
09/01/2017	WALBERG, PAUL	AM FUNDS AMERICAN BALANCED A	0.00	3.21	0.00	3.21	92.0	2.95
09/01/2017	BEAUPREZ, TAMMY	AM FUNDS AMERICAN BALANCED A	0.00	15.61	0.00	15.61	92.0	14.36
09/01/2017	IRWIN, JOHN	AM FUNDS AMERICAN BALANCED A	0.00	2.14	0.00	2.14	92.0	1.97
09/01/2017	SMITH, SUZANNE	AM FUNDS AMERICAN BALANCED A	0.00	7.13	0.00	7.13	92.0	6.56
09/01/2017	KOZLOWSKI, KATHLEEN	AM FUNDS AMERICAN BALANCED A	0.00	3.77	0.00	3.77	92.0	3.47
09/01/2017	SMITH, PADRAIC	AM FUNDS AMERICAN BALANCED A	0.00	2.99	0.00	2.99	92.0	2.75
09/01/2017	NICHOLSON, JAMES	AM FUNDS AMERICAN BALANCED A	0.00	6.52	0.00	6.52	92.0	6.00
09/01/2017	WOODRUFF, STEPHANIE	AM FUNDS AMERICAN BALANCED A	0.00	0.67	0.00	0.67	92.0	0.62
09/01/2017	WASSERMAN, RICHARD	AM FUNDS AMERICAN BALANCED A	0.00	0.25	0.00	0.25	92.0	0.23
09/01/2017	ZINK, ROBERT	AM FUNDS AMERICAN BALANCED A	0.00	4.47	0.00	4.47	92.0	4.11

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<u>BROKER TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
09/01/2017	LARSON, PENNY	AM FUNDS AMERICAN BALANCED A	0.00	2.04	0.00	2.04	92.0	1.88
09/01/2017	COUSINO, NICHOLAS	AM FUNDS AMERICAN BALANCED A	0.00	1.04	0.00	1.04	92.0	0.96
09/01/2017	BAKER-KANOUS, BARBARA	AM FUNDS AMERICAN BALANCED A	0.00	5.57	0.00	5.57	92.0	5.12
09/01/2017	MCFARLAND, BRANDON	AM FUNDS AMERICAN BALANCED A	0.00	0.44	0.00	0.44	92.0	0.40
09/01/2017	SHOEMAKER, MARY BETH	AM FUNDS AMERICAN BALANCED A	0.00	0.34	0.00	0.34	92.0	0.31
09/01/2017	GROSVENOR, JOHN	AM FUNDS AMERICAN BALANCED A	0.00	1.08	0.00	1.08	92.0	0.99
09/01/2017	STOUT, DAVID	AM FUNDS AMERICAN BALANCED A	0.00	2.69	0.00	2.69	92.0	2.47
09/01/2017	FAIRCHILD, KERRY	AM FUNDS AMERICAN BALANCED A	0.00	4.75	0.00	4.75	92.0	4.37
09/01/2017	DONNELLY, EMILY	AM FUNDS AMERICAN BALANCED A	0.00	0.17	0.00	0.17	92.0	0.16
09/01/2017	MARTIN, RACHEL	AM FUNDS AMERICAN BALANCED A	0.00	0.96	0.00	0.96	92.0	0.88
09/01/2017	BIHN, JANELLE	AM FUNDS AMERICAN BALANCED A	0.00	1.06	0.00	1.06	92.0	0.98
09/01/2017	YOUNG, KEITH	AM FUNDS AMERICAN BALANCED A	0.00	0.16	0.00	0.16	92.0	0.15
09/01/2017	WHALEN, KELLY	AM FUNDS AMERICAN BALANCED A	0.00	0.16	0.00	0.16	92.0	0.15
09/01/2017	OH/TOD	AM FUNDS AMERICAN BALANCED A	0.00	3.42	0.00	3.42	92.0	3.15
09/01/2017	ROSS, NICOLE	AM FUNDS AMERICAN BALANCED A	0.00	1.65	0.00	1.65	92.0	1.52
09/01/2017	COLEMAN, PARISS	AM FUNDS AMERICAN BALANCED A	0.00	4.68	0.00	4.68	92.0	4.31
09/21/2017	MARTIN, RACHEL	AM FUNDS AMERICAN BALANCED A	105.00	4.46	0.00	4.46	92.0	4.10
09/01/2017	DONNELLY, EMILY	AM FUNDS AMERICAN HIGH-INC MUNI BON	0.00	0.32	0.00	0.32	92.0	0.29
09/01/2017	BLAKE, MIRIAM	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	3.89	0.00	3.89	92.0	3.58
09/01/2017	DREIER, DAVID	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	0.29	0.00	0.29	92.0	0.27
09/01/2017	SCHOONOVER, ROBERT	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	5.38	0.00	5.38	92.0	4.95
09/01/2017	KOTLARCZYK, JOSEPH	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	1.90	0.00	1.90	92.0	1.75
09/01/2017	KRALL, GARY	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	1.35	0.00	1.35	92.0	1.24
09/01/2017	GOYER, TIMOTHY	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	6.20	0.00	6.20	92.0	5.70
09/01/2017	MOORE, LINDA	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	3.13	0.00	3.13	92.0	2.88
09/01/2017	ZAENGER, KYLE	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	0.92	0.00	0.92	92.0	0.85
09/01/2017	MARKJA, BERNADINE	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	2.06	0.00	2.06	92.0	1.90
09/01/2017	URSITTI, MATTHEW	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	0.59	0.00	0.59	92.0	0.54
09/01/2017	KREMPA, CLAUDE	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	2.77	0.00	2.77	92.0	2.55
09/01/2017	SHAFFER, LOREN	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	1.09	0.00	1.09	92.0	1.00
09/01/2017	HUNTER, MICHAEL	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	4.25	0.00	4.25	92.0	3.91
09/01/2017	BRILLHART, RYAN	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	0.54	0.00	0.54	92.0	0.50
09/01/2017	KOTLARCZYK, JOSEPH	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	1.22	0.00	1.22	92.0	1.12

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>BROKER TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
09/01/2017	KOTLARCZYK, JANA	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	0.79	0.00	0.79	92.0	0.73
09/01/2017	GLORE, DANIEL	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	1.39	0.00	1.39	92.0	1.28
09/01/2017	MURPHY, CAROL	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	4.32	0.00	4.32	92.0	3.97
09/01/2017	BIHN, RONALD	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	0.75	0.00	0.75	92.0	0.69
09/01/2017	MORNINGSTAR, MICHELLE	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	0.48	0.00	0.48	92.0	0.44
09/01/2017	KRAUS, JENNIFER	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	22.46	0.00	22.46	92.0	20.66
09/01/2017	SILLIMAN, JEFFREY	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	0.97	0.00	0.97	92.0	0.89
09/01/2017	MOLNAR, JOSEPH	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	2.24	0.00	2.24	92.0	2.06
09/01/2017	ROSS, DANIEL	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	3.24	0.00	3.24	92.0	2.98
09/01/2017	CASTOR, TIMOTHY	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	0.56	0.00	0.56	92.0	0.52
09/01/2017	HELMINIAK, CAROLYN	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	1.25	0.00	1.25	92.0	1.15
09/01/2017	REED, RYAN	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	2.67	0.00	2.67	92.0	2.46
09/01/2017	REED, COLLEEN	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	2.67	0.00	2.67	92.0	2.46
09/01/2017	SILLIMAN, GRACE	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	0.65	0.00	0.65	92.0	0.60
09/01/2017	ROSS, PATRICK	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	0.89	0.00	0.89	92.0	0.82
09/01/2017	ZARAGOZA, JULIE	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	0.51	0.00	0.51	92.0	0.47
09/01/2017	ZARAGOZA, VICTOR	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	0.51	0.00	0.51	92.0	0.47
09/01/2017	WHITTAKER, WILLIAM	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	5.68	0.00	5.68	92.0	5.23
09/01/2017	CESSNA, JENI	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	0.87	0.00	0.87	92.0	0.80
09/01/2017	WARNER, COREY	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	3.87	0.00	3.87	92.0	3.56
09/01/2017	SCANLAN, DAVID	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	1.38	0.00	1.38	92.0	1.27
09/01/2017	GERMAN, MARIANNE	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	1.28	0.00	1.28	92.0	1.18
09/01/2017	CARVER, DENISE	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	0.36	0.00	0.36	92.0	0.33
09/01/2017	FISCHER, DAVID	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	1.17	0.00	1.17	92.0	1.08
09/01/2017	HAUETER, GREGORY	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	2.15	0.00	2.15	92.0	1.98
09/01/2017	FLEMING, ANDREA	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	13.63	0.00	13.63	92.0	12.54
09/01/2017	BEAUPREZ, TAMMY	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	10.18	0.00	10.18	92.0	9.37
09/01/2017	HALSEY, DEBORAH	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	2.32	0.00	2.32	92.0	2.13
09/01/2017	KORAKAS, SANDRA	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	1.59	0.00	1.59	92.0	1.46
09/01/2017	HILES, MARC	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	2.19	0.00	2.19	92.0	2.01
09/01/2017	KOZLOWSKI, KATHLEEN	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	1.50	0.00	1.50	92.0	1.38
09/01/2017	NICHOLSON, JAMES	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	1.94	0.00	1.94	92.0	1.78
09/01/2017	WOODRUFF, STEPHANIE	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	0.25	0.00	0.25	92.0	0.23

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>BROKER TRANSACTIONS</u>								
PRODUCT CATEGORY: MUTUAL FUNDS								
09/01/2017	WOODRUFF, STEPHANIE	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	0.39	0.00	0.39	92.0	0.36
09/01/2017	OH/TOD	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	1.28	0.00	1.28	92.0	1.18
09/01/2017	COLEMAN, PARISS	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	1.77	0.00	1.77	92.0	1.63
09/01/2017	HUNTER, DEBORAH	AM FUNDS AMERICAN MUTUAL 529A	0.00	6.23	0.00	6.23	92.0	5.73
09/01/2017	COLEMAN, LINDA	AM FUNDS AMERICAN MUTUAL 529A	0.00	0.77	0.00	0.77	92.0	0.71
09/01/2017	ECKHARDT, MELISSA	AM FUNDS AMERICAN MUTUAL 529A	0.00	2.94	0.00	2.94	92.0	2.70
09/01/2017	ECKHARDT, MELISSA	AM FUNDS AMERICAN MUTUAL 529A	0.00	2.94	0.00	2.94	92.0	2.70
09/01/2017	MOORE, GARY	AM FUNDS AMERICAN MUTUAL A	0.00	1.18	0.00	1.18	92.0	1.09
09/01/2017	BENSCH, CANDACE	AM FUNDS AMERICAN MUTUAL A	0.00	1.60	0.00	1.60	92.0	1.47
09/01/2017	BLAKE, MIRIAM	AM FUNDS AMERICAN MUTUAL A	0.00	1.70	0.00	1.70	92.0	1.56
09/01/2017	DREIER, DAVID	AM FUNDS AMERICAN MUTUAL A	0.00	1.42	0.00	1.42	92.0	1.31
09/01/2017	SCHOONOVER, ROBERT	AM FUNDS AMERICAN MUTUAL A	0.00	1.77	0.00	1.77	92.0	1.63
09/01/2017	SANDERSON, CATHY	AM FUNDS AMERICAN MUTUAL A	0.00	1.40	0.00	1.40	92.0	1.29
09/01/2017	ROSS, SALLY	AM FUNDS AMERICAN MUTUAL A	0.00	3.13	0.00	3.13	92.0	2.88
09/01/2017	KRALL, GARY	AM FUNDS AMERICAN MUTUAL A	0.00	3.72	0.00	3.72	92.0	3.42
09/01/2017	SUTHERLAND, BARBARA	AM FUNDS AMERICAN MUTUAL A	0.00	2.57	0.00	2.57	92.0	2.36
09/01/2017	SANDERSON, CATHY	AM FUNDS AMERICAN MUTUAL A	0.00	0.46	0.00	0.46	92.0	0.42
09/01/2017	MOORE, LINDA	AM FUNDS AMERICAN MUTUAL A	0.00	5.51	0.00	5.51	92.0	5.07
09/01/2017	ROSS, MICHAEL C HUDSO	AM FUNDS AMERICAN MUTUAL A	0.00	0.78	0.00	0.78	92.0	0.72
09/01/2017	MARKJA, BERNADINE	AM FUNDS AMERICAN MUTUAL A	0.00	2.48	0.00	2.48	92.0	2.28
09/01/2017	BRILLHART, RYAN	AM FUNDS AMERICAN MUTUAL A	0.00	1.28	0.00	1.28	92.0	1.18
09/01/2017	MURPHY, JACK	AM FUNDS AMERICAN MUTUAL A	0.00	2.33	0.00	2.33	92.0	2.14
09/01/2017	MURPHY, CAROL	AM FUNDS AMERICAN MUTUAL A	0.00	2.79	0.00	2.79	92.0	2.57
09/01/2017	SHAFFER, DENISE	AM FUNDS AMERICAN MUTUAL A	0.00	4.81	0.00	4.81	92.0	4.43
09/01/2017	ISAACSON, ROBERT	AM FUNDS AMERICAN MUTUAL A	0.00	9.51	0.00	9.51	92.0	8.75
09/01/2017	IRWIN, JOHN	AM FUNDS AMERICAN MUTUAL A	0.00	18.52	0.00	18.52	92.0	17.04
09/01/2017	HAUSER, ROBERT	AM FUNDS AMERICAN MUTUAL A	0.00	15.40	0.00	15.40	92.0	14.17
09/01/2017	TARRIS, CHRISTINE	AM FUNDS AMERICAN MUTUAL A	0.00	5.27	0.00	5.27	92.0	4.85
09/01/2017	SILLIMAN, JEFFREY	AM FUNDS AMERICAN MUTUAL A	0.00	1.28	0.00	1.28	92.0	1.18
09/01/2017	SUTHERLAND, JOHN	AM FUNDS AMERICAN MUTUAL A	0.00	1.91	0.00	1.91	92.0	1.76
09/01/2017	KORAL, ANDREW	AM FUNDS AMERICAN MUTUAL A	0.00	1.18	0.00	1.18	92.0	1.09
09/01/2017	ROSS, DANIEL	AM FUNDS AMERICAN MUTUAL A	0.00	1.94	0.00	1.94	92.0	1.78
09/01/2017	FAIRCHILD, DANA	AM FUNDS AMERICAN MUTUAL A	0.00	3.67	0.00	3.67	92.0	3.38

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<u>BROKER TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
09/01/2017	BRILLHART, SHARON	AM FUNDS AMERICAN MUTUAL A	0.00	0.80	0.00	0.80	92.0	0.74
09/01/2017	HELMINIAK, CAROLYN	AM FUNDS AMERICAN MUTUAL A	0.00	4.08	0.00	4.08	92.0	3.75
09/01/2017	CURSON, STEVE	AM FUNDS AMERICAN MUTUAL A	0.00	1.92	0.00	1.92	92.0	1.77
09/01/2017	LECHUGA, CARRIE	AM FUNDS AMERICAN MUTUAL A	0.00	0.59	0.00	0.59	92.0	0.54
09/01/2017	SCHNEE, LEO	AM FUNDS AMERICAN MUTUAL A	0.00	0.38	0.00	0.38	92.0	0.35
09/01/2017	OBERT, DEBORA	AM FUNDS AMERICAN MUTUAL A	0.00	1.12	0.00	1.12	92.0	1.03
09/01/2017	FLEMING, ANDREA	AM FUNDS AMERICAN MUTUAL A	0.00	3.23	0.00	3.23	92.0	2.97
09/01/2017	BEAUPREZ, TAMMY	AM FUNDS AMERICAN MUTUAL A	0.00	7.70	0.00	7.70	92.0	7.08
09/01/2017	HALSEY, DEBORAH	AM FUNDS AMERICAN MUTUAL A	0.00	3.67	0.00	3.67	92.0	3.38
09/01/2017	IRWIN, JOHN	AM FUNDS AMERICAN MUTUAL A	0.00	1.44	0.00	1.44	92.0	1.32
09/01/2017	HILES, MARC	AM FUNDS AMERICAN MUTUAL A	0.00	5.39	0.00	5.39	92.0	4.96
09/01/2017	SMITH, SUZANNE	AM FUNDS AMERICAN MUTUAL A	0.00	6.36	0.00	6.36	92.0	5.85
09/01/2017	DUBENDORFER, SUSAN	AM FUNDS AMERICAN MUTUAL A	0.00	0.76	0.00	0.76	92.0	0.70
09/01/2017	KOZLOWSKI, KATHLEEN	AM FUNDS AMERICAN MUTUAL A	0.00	2.55	0.00	2.55	92.0	2.35
09/01/2017	NICHOLSON, JAMES	AM FUNDS AMERICAN MUTUAL A	0.00	6.79	0.00	6.79	92.0	6.25
09/01/2017	MCLAUGHLIN, JAIME	AM FUNDS AMERICAN MUTUAL A	0.00	0.18	0.00	0.18	92.0	0.17
09/01/2017	WAGONER JR, JOHN	AM FUNDS AMERICAN MUTUAL A	0.00	1.88	0.00	1.88	92.0	1.73
09/01/2017	WAGONER JR, JOHN	AM FUNDS AMERICAN MUTUAL A	0.00	0.41	0.00	0.41	92.0	0.38
09/01/2017	GODFREY, TIMOTHY	AM FUNDS AMERICAN MUTUAL A	0.00	0.76	0.00	0.76	92.0	0.70
09/01/2017	ZINK, ROBERT	AM FUNDS AMERICAN MUTUAL A	0.00	4.51	0.00	4.51	92.0	4.15
09/01/2017	LARSON, PENNY	AM FUNDS AMERICAN MUTUAL A	0.00	3.41	0.00	3.41	92.0	3.14
09/01/2017	MCFARLAND, BRANDON	AM FUNDS AMERICAN MUTUAL A	0.00	0.44	0.00	0.44	92.0	0.40
09/01/2017	DRAKE, ERIC	AM FUNDS AMERICAN MUTUAL A	0.00	0.57	0.00	0.57	92.0	0.52
09/01/2017	SHOEMAKER, MARY BETH	AM FUNDS AMERICAN MUTUAL A	0.00	0.34	0.00	0.34	92.0	0.31
09/01/2017	STOUT, DAVID	AM FUNDS AMERICAN MUTUAL A	0.00	2.01	0.00	2.01	92.0	1.85
09/01/2017	YOUNG, KEITH	AM FUNDS AMERICAN MUTUAL A	0.00	0.16	0.00	0.16	92.0	0.15
09/01/2017	OH/TOD	AM FUNDS AMERICAN MUTUAL A	0.00	1.91	0.00	1.91	92.0	1.76
09/01/2017	MOON, CHARLES	AM FUNDS AMERICAN MUTUAL A	0.00	2.02	0.00	2.02	92.0	1.86
09/01/2017	SEYMOUR, DONALD	AM FUNDS AMERICAN MUTUAL C	0.00	15.98	0.00	15.98	92.0	14.70
09/01/2017	VALADE, JOHN	AM FUNDS BALANCED PORT A	0.00	37.29	0.00	37.29	92.0	34.31
09/01/2017	WALBERG, PAUL	AM FUNDS BALANCED PORT A	0.00	43.92	0.00	43.92	92.0	40.41
09/01/2017	LETT, TRACY	AM FUNDS BALANCED PORT A	0.00	17.93	0.00	17.93	92.0	16.50
09/01/2017	HEINAMAN, ROBERT	AM FUNDS BOND FUND OF AMERICA A	0.00	0.18	0.00	0.18	92.0	0.17

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<u>BROKER TRANSACTIONS</u>								
PRODUCT CATEGORY: MUTUAL FUNDS								
09/01/2017	BLAKE, MIRIAM	AM FUNDS BOND FUND OF AMERICA A	0.00	1.40	0.00	1.40	92.0	1.29
09/01/2017	DREIER, DAVID	AM FUNDS BOND FUND OF AMERICA A	0.00	0.82	0.00	0.82	92.0	0.75
09/01/2017	SCHOONOVER, ROBERT	AM FUNDS BOND FUND OF AMERICA A	0.00	1.26	0.00	1.26	92.0	1.16
09/01/2017	SANDERSON, CATHY	AM FUNDS BOND FUND OF AMERICA A	0.00	1.30	0.00	1.30	92.0	1.20
09/01/2017	MILLER, MICHAEL	AM FUNDS BOND FUND OF AMERICA A	0.00	0.95	0.00	0.95	92.0	0.87
09/01/2017	PEARSON, JOHN	AM FUNDS BOND FUND OF AMERICA A	0.00	0.24	0.00	0.24	92.0	0.22
09/01/2017	KRALL, GARY	AM FUNDS BOND FUND OF AMERICA A	0.00	3.40	0.00	3.40	92.0	3.13
09/01/2017	DAY, CHERYL	AM FUNDS BOND FUND OF AMERICA A	0.00	0.38	0.00	0.38	92.0	0.35
09/01/2017	MOORE, LINDA	AM FUNDS BOND FUND OF AMERICA A	0.00	3.25	0.00	3.25	92.0	2.99
09/01/2017	KREMPA, CLAUDE	AM FUNDS BOND FUND OF AMERICA A	0.00	2.30	0.00	2.30	92.0	2.12
09/01/2017	MURPHY, JACK	AM FUNDS BOND FUND OF AMERICA A	0.00	1.65	0.00	1.65	92.0	1.52
09/01/2017	IRWIN, JOHN	AM FUNDS BOND FUND OF AMERICA A	0.00	3.92	0.00	3.92	92.0	3.61
09/01/2017	HAUSER, ROBERT	AM FUNDS BOND FUND OF AMERICA A	0.00	5.33	0.00	5.33	92.0	4.90
09/01/2017	CURSON, STEVE	AM FUNDS BOND FUND OF AMERICA A	0.00	0.41	0.00	0.41	92.0	0.38
09/01/2017	ZARAGOZA, JULIE	AM FUNDS BOND FUND OF AMERICA A	0.00	0.60	0.00	0.60	92.0	0.55
09/01/2017	FLEMING, ANDREA	AM FUNDS BOND FUND OF AMERICA A	0.00	2.22	0.00	2.22	92.0	2.04
09/01/2017	WALBERG, PAUL	AM FUNDS BOND FUND OF AMERICA A	0.00	0.65	0.00	0.65	92.0	0.60
09/01/2017	COUSINO, NICHOLAS	AM FUNDS BOND FUND OF AMERICA A	0.00	0.63	0.00	0.63	92.0	0.58
09/01/2017	SHOEMAKER, MARY BETH	AM FUNDS BOND FUND OF AMERICA A	0.00	0.14	0.00	0.14	92.0	0.13
09/01/2017	STOUT, DAVID	AM FUNDS BOND FUND OF AMERICA A	0.00	1.80	0.00	1.80	92.0	1.66
09/01/2017	DONNELLY, EMILY	AM FUNDS BOND FUND OF AMERICA A	0.00	0.32	0.00	0.32	92.0	0.29
09/01/2017	OH/TOD	AM FUNDS BOND FUND OF AMERICA A	0.00	1.29	0.00	1.29	92.0	1.19
09/01/2017	HUNTER, DEBORAH	AM FUNDS CAPITAL INCOME BUILDER 529	0.00	1.03	0.00	1.03	92.0	0.95
09/01/2017	COLEMAN, LINDA	AM FUNDS CAPITAL INCOME BUILDER 529	0.00	3.15	0.00	3.15	92.0	2.90
09/01/2017	KALE, DENNIS	AM FUNDS CAPITAL INCOME BUILDER 529	0.00	0.58	0.00	0.58	92.0	0.53
09/01/2017	ROSS, MICHELLE L HUDS	AM FUNDS CAPITAL INCOME BUILDER 529	0.00	1.84	0.00	1.84	92.0	1.69
09/01/2017	ROSS, MICHELLE L HUDS	AM FUNDS CAPITAL INCOME BUILDER 529	0.00	0.79	0.00	0.79	92.0	0.73
09/01/2017	HUNTER, DEBORAH	AM FUNDS CAPITAL INCOME BUILDER 529	0.00	1.03	0.00	1.03	92.0	0.95
09/01/2017	ECKHARDT, MELISSA	AM FUNDS CAPITAL INCOME BUILDER 529	0.00	3.78	0.00	3.78	92.0	3.48
09/01/2017	ECKHARDT, MELISSA	AM FUNDS CAPITAL INCOME BUILDER 529	0.00	3.78	0.00	3.78	92.0	3.48
09/12/2017	WAGONER JR, JOHN	AM FUNDS CAPITAL INCOME BUILDER 529	100.00	5.00	0.00	5.00	92.0	4.60
09/01/2017	BLAKE, MIRIAM	AM FUNDS CAPITAL INCOME BUILDER A	0.00	3.36	0.00	3.36	92.0	3.09
09/01/2017	MOORE, GARY	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.55	0.00	0.55	92.0	0.51

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<u>BROKER TRANSACTIONS</u>								
PRODUCT CATEGORY: MUTUAL FUNDS								
09/01/2017	HEINAMAN, ROBERT	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.43	0.00	0.43	92.0	0.40
09/01/2017	BENSCH, CANDACE	AM FUNDS CAPITAL INCOME BUILDER A	0.00	1.65	0.00	1.65	92.0	1.52
09/01/2017	BRUMMETT, DOUGLAS	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.86	0.00	0.86	92.0	0.79
09/01/2017	SCHOONOVER, ROBERT	AM FUNDS CAPITAL INCOME BUILDER A	0.00	2.08	0.00	2.08	92.0	1.91
09/01/2017	HEINAMAN, ROBERT	AM FUNDS CAPITAL INCOME BUILDER A	0.00	21.97	0.00	21.97	92.0	20.21
09/01/2017	COMBS, BRIAN	AM FUNDS CAPITAL INCOME BUILDER A	0.00	2.38	0.00	2.38	92.0	2.19
09/01/2017	MILLER, MICHAEL	AM FUNDS CAPITAL INCOME BUILDER A	0.00	2.00	0.00	2.00	92.0	1.84
09/01/2017	SWINDLE, CYNTHIA	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.67	0.00	0.67	92.0	0.62
09/01/2017	SWINDLE, DARRYL	AM FUNDS CAPITAL INCOME BUILDER A	0.00	1.07	0.00	1.07	92.0	0.98
09/01/2017	DECKER, MARY BETH	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.69	0.00	0.69	92.0	0.63
09/01/2017	ROSS, SALLY	AM FUNDS CAPITAL INCOME BUILDER A	0.00	3.31	0.00	3.31	92.0	3.05
09/01/2017	HENDERSON, BARBARA	AM FUNDS CAPITAL INCOME BUILDER A	0.00	1.87	0.00	1.87	92.0	1.72
09/01/2017	PEARSON, JOHN	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.34	0.00	0.34	92.0	0.31
09/01/2017	KRALL, GARY	AM FUNDS CAPITAL INCOME BUILDER A	0.00	4.28	0.00	4.28	92.0	3.94
09/01/2017	SUTHERLAND, BARBARA	AM FUNDS CAPITAL INCOME BUILDER A	0.00	7.37	0.00	7.37	92.0	6.78
09/01/2017	KOZIARSKI, ROSEMARY	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.29	0.00	0.29	92.0	0.27
09/01/2017	SANDERSON, CATHY	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.71	0.00	0.71	92.0	0.65
09/01/2017	DAY, CHERYL	AM FUNDS CAPITAL INCOME BUILDER A	0.00	1.03	0.00	1.03	92.0	0.95
09/01/2017	SUTHERLAND, JOHN	AM FUNDS CAPITAL INCOME BUILDER A	0.00	1.79	0.00	1.79	92.0	1.65
09/01/2017	ROSS, MICHELLE L HUDS	AM FUNDS CAPITAL INCOME BUILDER A	0.00	1.36	0.00	1.36	92.0	1.25
09/01/2017	MOORE, LINDA	AM FUNDS CAPITAL INCOME BUILDER A	0.00	5.36	0.00	5.36	92.0	4.93
09/01/2017	ROSS, MICHAEL C HUDSO	AM FUNDS CAPITAL INCOME BUILDER A	0.00	1.68	0.00	1.68	92.0	1.55
09/01/2017	SWINDLE, DARRYL	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.67	0.00	0.67	92.0	0.62
09/01/2017	GRANT, THOMAS	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.91	0.00	0.91	92.0	0.84
09/01/2017	GRANT, MEGAN	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.86	0.00	0.86	92.0	0.79
09/01/2017	GRANT, AUDREY	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.68	0.00	0.68	92.0	0.63
09/01/2017	SMOOT, C STEVEN	AM FUNDS CAPITAL INCOME BUILDER A	0.00	22.60	0.00	22.60	92.0	20.79
09/01/2017	KREMPA, CLAUDE	AM FUNDS CAPITAL INCOME BUILDER A	0.00	3.03	0.00	3.03	92.0	2.79
09/01/2017	SANDVIG TRUST, ANNE	AM FUNDS CAPITAL INCOME BUILDER A	0.00	3.58	0.00	3.58	92.0	3.29
09/01/2017	MCCLOSKEY, DANIEL	AM FUNDS CAPITAL INCOME BUILDER A	0.00	1.32	0.00	1.32	92.0	1.21
09/01/2017	SHAFFER, LOREN	AM FUNDS CAPITAL INCOME BUILDER A	0.00	1.39	0.00	1.39	92.0	1.28
09/01/2017	HUNTER, MICHAEL	AM FUNDS CAPITAL INCOME BUILDER A	0.00	2.83	0.00	2.83	92.0	2.60
09/01/2017	BRILLHART, RYAN	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.84	0.00	0.84	92.0	0.77

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>BROKER TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
09/01/2017	BRILLHART, RYAN	AM FUNDS CAPITAL INCOME BUILDER A	0.00	1.98	0.00	1.98	92.0	1.82
09/01/2017	ZENK, JOHN	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.41	0.00	0.41	92.0	0.38
09/01/2017	MURPHY, JACK	AM FUNDS CAPITAL INCOME BUILDER A	0.00	4.15	0.00	4.15	92.0	3.82
09/01/2017	MURPHY, CAROL	AM FUNDS CAPITAL INCOME BUILDER A	0.00	5.54	0.00	5.54	92.0	5.10
09/01/2017	BIHN, RONALD	AM FUNDS CAPITAL INCOME BUILDER A	0.00	2.08	0.00	2.08	92.0	1.91
09/01/2017	WASSERMAN, JULIE	AM FUNDS CAPITAL INCOME BUILDER A	0.00	1.23	0.00	1.23	92.0	1.13
09/01/2017	ISAACSON, ROBERT	AM FUNDS CAPITAL INCOME BUILDER A	0.00	4.90	0.00	4.90	92.0	4.51
09/01/2017	IRWIN, JOHN	AM FUNDS CAPITAL INCOME BUILDER A	0.00	25.92	0.00	25.92	92.0	23.85
09/01/2017	DECKER, MARY BETH	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.45	0.00	0.45	92.0	0.41
09/01/2017	HAUSER, ROBERT	AM FUNDS CAPITAL INCOME BUILDER A	0.00	19.75	0.00	19.75	92.0	18.17
09/01/2017	HAUSER, RONALD	AM FUNDS CAPITAL INCOME BUILDER A	0.00	8.14	0.00	8.14	92.0	7.49
09/01/2017	TARRIS, CHRISTINE	AM FUNDS CAPITAL INCOME BUILDER A	0.00	5.82	0.00	5.82	92.0	5.35
09/01/2017	SILLIMAN, JEFFREY	AM FUNDS CAPITAL INCOME BUILDER A	0.00	7.03	0.00	7.03	92.0	6.47
09/01/2017	GLORE, CHRISTINE	AM FUNDS CAPITAL INCOME BUILDER A	0.00	4.53	0.00	4.53	92.0	4.17
09/01/2017	MOLNAR, JOSEPH	AM FUNDS CAPITAL INCOME BUILDER A	0.00	4.47	0.00	4.47	92.0	4.11
09/01/2017	KORAL, ANDREW	AM FUNDS CAPITAL INCOME BUILDER A	0.00	1.25	0.00	1.25	92.0	1.15
09/01/2017	WRIGHT, BECKY	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.24	0.00	0.24	92.0	0.22
09/01/2017	ROSS, DANIEL	AM FUNDS CAPITAL INCOME BUILDER A	0.00	4.05	0.00	4.05	92.0	3.73
09/01/2017	FAIRCHILD, DANA	AM FUNDS CAPITAL INCOME BUILDER A	0.00	2.12	0.00	2.12	92.0	1.95
09/01/2017	BRILLHART, SHARON	AM FUNDS CAPITAL INCOME BUILDER A	0.00	3.01	0.00	3.01	92.0	2.77
09/01/2017	CASTOR, TIMOTHY	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.60	0.00	0.60	92.0	0.55
09/01/2017	HELMINIAK, CAROLYN	AM FUNDS CAPITAL INCOME BUILDER A	0.00	3.35	0.00	3.35	92.0	3.08
09/01/2017	CURSON, STEVE	AM FUNDS CAPITAL INCOME BUILDER A	0.00	2.62	0.00	2.62	92.0	2.41
09/01/2017	REED, RYAN	AM FUNDS CAPITAL INCOME BUILDER A	0.00	1.92	0.00	1.92	92.0	1.77
09/01/2017	REED, COLLEEN	AM FUNDS CAPITAL INCOME BUILDER A	0.00	1.92	0.00	1.92	92.0	1.77
09/01/2017	SILLIMAN, GRACE	AM FUNDS CAPITAL INCOME BUILDER A	0.00	2.59	0.00	2.59	92.0	2.38
09/01/2017	ROSS, KRISTINE	AM FUNDS CAPITAL INCOME BUILDER A	0.00	2.25	0.00	2.25	92.0	2.07
09/01/2017	GARDNER, PATRICIA	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.42	0.00	0.42	92.0	0.39
09/01/2017	LECHUGA, CARRIE	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.55	0.00	0.55	92.0	0.51
09/01/2017	KISER, ELIZABETH	AM FUNDS CAPITAL INCOME BUILDER A	0.00	1.02	0.00	1.02	92.0	0.94
09/01/2017	KISER, EDWARD	AM FUNDS CAPITAL INCOME BUILDER A	0.00	1.17	0.00	1.17	92.0	1.08
09/01/2017	ROSS, PATRICK	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.61	0.00	0.61	92.0	0.56
09/01/2017	ZARAGOZA, JULIE	AM FUNDS CAPITAL INCOME BUILDER A	0.00	1.51	0.00	1.51	92.0	1.39

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<u>BROKER TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
09/01/2017	ZARAGOZA, VICTOR	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.29	0.00	0.29	92.0	0.27
09/01/2017	WHITTAKER, WILLIAM	AM FUNDS CAPITAL INCOME BUILDER A	0.00	13.70	0.00	13.70	92.0	12.60
09/01/2017	BEAUPREZ, TAMMY	AM FUNDS CAPITAL INCOME BUILDER A	0.00	1.57	0.00	1.57	92.0	1.44
09/01/2017	SCHNEE, LEO	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.66	0.00	0.66	92.0	0.61
09/01/2017	WARNER, COREY	AM FUNDS CAPITAL INCOME BUILDER A	0.00	10.71	0.00	10.71	92.0	9.85
09/01/2017	SCANLAN, DAVID	AM FUNDS CAPITAL INCOME BUILDER A	0.00	3.94	0.00	3.94	92.0	3.62
09/01/2017	OBERT, DEBORA	AM FUNDS CAPITAL INCOME BUILDER A	0.00	1.04	0.00	1.04	92.0	0.96
09/01/2017	GERMAN, MARIANNE	AM FUNDS CAPITAL INCOME BUILDER A	0.00	1.86	0.00	1.86	92.0	1.71
09/01/2017	CARVER, DENISE	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.43	0.00	0.43	92.0	0.40
09/01/2017	KRALL, CHRISTOPHER	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.15	0.00	0.15	92.0	0.14
09/01/2017	BRILLHART, GREGORY	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.35	0.00	0.35	92.0	0.32
09/01/2017	MCCLOSKEY, DANIEL	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.94	0.00	0.94	92.0	0.86
09/01/2017	KONZ, ORVEL	AM FUNDS CAPITAL INCOME BUILDER A	0.00	3.68	0.00	3.68	92.0	3.39
09/01/2017	KOZLOWSKI, KENNETH	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.42	0.00	0.42	92.0	0.39
09/01/2017	HAUETER, GREGORY	AM FUNDS CAPITAL INCOME BUILDER A	0.00	1.48	0.00	1.48	92.0	1.36
09/01/2017	FLEMING, ANDREA	AM FUNDS CAPITAL INCOME BUILDER A	0.00	12.52	0.00	12.52	92.0	11.52
09/01/2017	WALBERG, PAUL	AM FUNDS CAPITAL INCOME BUILDER A	0.00	1.31	0.00	1.31	92.0	1.21
09/01/2017	BEAUPREZ, TAMMY	AM FUNDS CAPITAL INCOME BUILDER A	0.00	18.22	0.00	18.22	92.0	16.76
09/01/2017	HALSEY, DEBORAH	AM FUNDS CAPITAL INCOME BUILDER A	0.00	3.38	0.00	3.38	92.0	3.11
09/01/2017	IRWIN, JOHN	AM FUNDS CAPITAL INCOME BUILDER A	0.00	3.38	0.00	3.38	92.0	3.11
09/01/2017	IRWIN, JOYCE	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.77	0.00	0.77	92.0	0.71
09/01/2017	BENSCH, JEFFREY	AM FUNDS CAPITAL INCOME BUILDER A	0.00	3.85	0.00	3.85	92.0	3.54
09/01/2017	HILES, MARC	AM FUNDS CAPITAL INCOME BUILDER A	0.00	4.40	0.00	4.40	92.0	4.05
09/01/2017	COLEMAN, LINDA	AM FUNDS CAPITAL INCOME BUILDER A	0.00	2.13	0.00	2.13	92.0	1.96
09/01/2017	SMITH, SUZANNE	AM FUNDS CAPITAL INCOME BUILDER A	0.00	4.72	0.00	4.72	92.0	4.34
09/01/2017	DUBENDORFER, SUSAN	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.89	0.00	0.89	92.0	0.82
09/01/2017	COLEMAN, PARISS	AM FUNDS CAPITAL INCOME BUILDER A	0.00	2.49	0.00	2.49	92.0	2.29
09/01/2017	KOZLOWSKI, KATHLEEN	AM FUNDS CAPITAL INCOME BUILDER A	0.00	3.91	0.00	3.91	92.0	3.60
09/01/2017	PELLIONI, PAUL	AM FUNDS CAPITAL INCOME BUILDER A	0.00	5.98	0.00	5.98	92.0	5.50
09/01/2017	HALSEY, WILLIAM D	AM FUNDS CAPITAL INCOME BUILDER A	0.00	8.53	0.00	8.53	92.0	7.85
09/01/2017	WOODRUFF, STEPHANIE	AM FUNDS CAPITAL INCOME BUILDER A	0.00	3.15	0.00	3.15	92.0	2.90
09/01/2017	WAGONER JR, JOHN	AM FUNDS CAPITAL INCOME BUILDER A	0.00	3.15	0.00	3.15	92.0	2.90
09/01/2017	WAGONER JR, JOHN	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.32	0.00	0.32	92.0	0.29

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<u>BROKER TRANSACTIONS</u>								
PRODUCT CATEGORY: MUTUAL FUNDS								
09/01/2017	WASSERMAN, RICHARD	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.23	0.00	0.23	92.0	0.21
09/01/2017	GERMAN, MARIANNE	AM FUNDS CAPITAL INCOME BUILDER A	0.00	1.96	0.00	1.96	92.0	1.80
09/01/2017	GODFREY, TIMOTHY	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.72	0.00	0.72	92.0	0.66
09/01/2017	ZINK, ROBERT	AM FUNDS CAPITAL INCOME BUILDER A	0.00	5.62	0.00	5.62	92.0	5.17
09/01/2017	LARSON, PENNY	AM FUNDS CAPITAL INCOME BUILDER A	0.00	3.20	0.00	3.20	92.0	2.94
09/01/2017	COUSINO, NICHOLAS	AM FUNDS CAPITAL INCOME BUILDER A	0.00	1.61	0.00	1.61	92.0	1.48
09/01/2017	MCFARLAND, BRANDON	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.60	0.00	0.60	92.0	0.55
09/01/2017	DRAKE, ERIC	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.53	0.00	0.53	92.0	0.49
09/01/2017	WHITTAKER, CHERYL	AM FUNDS CAPITAL INCOME BUILDER A	0.00	4.30	0.00	4.30	92.0	3.96
09/01/2017	GROSVENOR, JOHN	AM FUNDS CAPITAL INCOME BUILDER A	0.00	1.05	0.00	1.05	92.0	0.97
09/01/2017	STOUT, DAVID	AM FUNDS CAPITAL INCOME BUILDER A	0.00	2.04	0.00	2.04	92.0	1.88
09/01/2017	FAIRCHILD, KERRY	AM FUNDS CAPITAL INCOME BUILDER A	0.00	6.90	0.00	6.90	92.0	6.35
09/01/2017	BIHN, JANELLE	AM FUNDS CAPITAL INCOME BUILDER A	0.00	1.04	0.00	1.04	92.0	0.96
09/01/2017	SPINKS, MICHAEL	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.31	0.00	0.31	92.0	0.29
09/01/2017	WHALEN, KELLY	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.16	0.00	0.16	92.0	0.15
09/01/2017	OH/TOD	AM FUNDS CAPITAL INCOME BUILDER A	0.00	3.35	0.00	3.35	92.0	3.08
09/01/2017	MOON, CHARLES	AM FUNDS CAPITAL INCOME BUILDER A	0.00	2.24	0.00	2.24	92.0	2.06
09/01/2017	ROSS, NICOLE	AM FUNDS CAPITAL INCOME BUILDER A	0.00	1.57	0.00	1.57	92.0	1.44
09/01/2017	COLEMAN, PARISS	AM FUNDS CAPITAL INCOME BUILDER A	0.00	10.56	0.00	10.56	92.0	9.72
09/01/2017	WASSERMAN, JULIE	AM FUNDS CAPITAL INCOME BUILDER C	0.00	2.07	0.00	2.07	92.0	1.90
09/01/2017	ECKHARDT, MELISSA	AM FUNDS CAPITAL WORLD BOND 529A	0.00	3.18	0.00	3.18	92.0	2.93
09/01/2017	ECKHARDT, MELISSA	AM FUNDS CAPITAL WORLD BOND 529A	0.00	3.18	0.00	3.18	92.0	2.93
09/01/2017	BLAKE, MIRIAM	AM FUNDS CAPITAL WORLD BOND A	0.00	4.19	0.00	4.19	92.0	3.85
09/01/2017	MOORE, GARY	AM FUNDS CAPITAL WORLD BOND A	0.00	0.75	0.00	0.75	92.0	0.69
09/01/2017	HEINAMAN, ROBERT	AM FUNDS CAPITAL WORLD BOND A	0.00	0.50	0.00	0.50	92.0	0.46
09/01/2017	BLAKE, MIRIAM	AM FUNDS CAPITAL WORLD BOND A	0.00	0.48	0.00	0.48	92.0	0.44
09/01/2017	MILLER, MICHAEL	AM FUNDS CAPITAL WORLD BOND A	0.00	0.96	0.00	0.96	92.0	0.88
09/01/2017	KOTLARCZYK, JOSEPH	AM FUNDS CAPITAL WORLD BOND A	0.00	0.08	0.00	0.08	92.0	0.07
09/01/2017	KRALL, GARY	AM FUNDS CAPITAL WORLD BOND A	0.00	1.81	0.00	1.81	92.0	1.67
09/01/2017	SUTHERLAND, BARBARA	AM FUNDS CAPITAL WORLD BOND A	0.00	1.32	0.00	1.32	92.0	1.21
09/01/2017	IRELAN, TED	AM FUNDS CAPITAL WORLD BOND A	0.00	0.94	0.00	0.94	92.0	0.86
09/01/2017	MOORE, LINDA	AM FUNDS CAPITAL WORLD BOND A	0.00	2.48	0.00	2.48	92.0	2.28
09/01/2017	SANDVIG TRUST, ANNE	AM FUNDS CAPITAL WORLD BOND A	0.00	0.73	0.00	0.73	92.0	0.67

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<u>BROKER TRANSACTIONS</u>								
PRODUCT CATEGORY: MUTUAL FUNDS								
09/01/2017	MURPHY, JACK	AM FUNDS CAPITAL WORLD BOND A	0.00	1.45	0.00	1.45	92.0	1.33
09/01/2017	HUDAK, NICHOLAS	AM FUNDS CAPITAL WORLD BOND A	0.00	0.34	0.00	0.34	92.0	0.31
09/01/2017	HUDAK, STASIA	AM FUNDS CAPITAL WORLD BOND A	0.00	0.57	0.00	0.57	92.0	0.52
09/01/2017	MURPHY, CAROL	AM FUNDS CAPITAL WORLD BOND A	0.00	2.07	0.00	2.07	92.0	1.90
09/01/2017	ISAACSON, ROBERT	AM FUNDS CAPITAL WORLD BOND A	0.00	9.99	0.00	9.99	92.0	9.19
09/01/2017	IRWIN, JOHN	AM FUNDS CAPITAL WORLD BOND A	0.00	20.43	0.00	20.43	92.0	18.80
09/01/2017	HAUSER, ROBERT	AM FUNDS CAPITAL WORLD BOND A	0.00	5.73	0.00	5.73	92.0	5.27
09/01/2017	SUTHERLAND, JOHN	AM FUNDS CAPITAL WORLD BOND A	0.00	1.34	0.00	1.34	92.0	1.23
09/01/2017	CURSON, STEVE	AM FUNDS CAPITAL WORLD BOND A	0.00	0.67	0.00	0.67	92.0	0.62
09/01/2017	LECHUGA, CARRIE	AM FUNDS CAPITAL WORLD BOND A	0.00	0.17	0.00	0.17	92.0	0.16
09/01/2017	SCHNEE, LEO	AM FUNDS CAPITAL WORLD BOND A	0.00	0.47	0.00	0.47	92.0	0.43
09/01/2017	OBERT, DEBORA	AM FUNDS CAPITAL WORLD BOND A	0.00	0.82	0.00	0.82	92.0	0.75
09/01/2017	GERMAN, MARIANNE	AM FUNDS CAPITAL WORLD BOND A	0.00	0.49	0.00	0.49	92.0	0.45
09/01/2017	WALBERG, PAUL	AM FUNDS CAPITAL WORLD BOND A	0.00	0.99	0.00	0.99	92.0	0.91
09/01/2017	IRWIN, JOHN	AM FUNDS CAPITAL WORLD BOND A	0.00	1.70	0.00	1.70	92.0	1.56
09/01/2017	KORAKAS, SANDRA	AM FUNDS CAPITAL WORLD BOND A	0.00	0.19	0.00	0.19	92.0	0.17
09/01/2017	DUBENDORFER, SUSAN	AM FUNDS CAPITAL WORLD BOND A	0.00	0.47	0.00	0.47	92.0	0.43
09/01/2017	WAGONER JR, JOHN	AM FUNDS CAPITAL WORLD BOND A	0.00	0.48	0.00	0.48	92.0	0.44
09/01/2017	WAGONER JR, JOHN	AM FUNDS CAPITAL WORLD BOND A	0.00	0.47	0.00	0.47	92.0	0.43
09/01/2017	WOODRUFF, STEPHANIE	AM FUNDS CAPITAL WORLD BOND A	0.00	0.11	0.00	0.11	92.0	0.10
09/01/2017	GERMAN, MARIANNE	AM FUNDS CAPITAL WORLD BOND A	0.00	1.26	0.00	1.26	92.0	1.16
09/01/2017	GODFREY, TIMOTHY	AM FUNDS CAPITAL WORLD BOND A	0.00	0.46	0.00	0.46	92.0	0.42
09/01/2017	ZINK, ROBERT	AM FUNDS CAPITAL WORLD BOND A	0.00	4.32	0.00	4.32	92.0	3.97
09/01/2017	LARSON, PENNY	AM FUNDS CAPITAL WORLD BOND A	0.00	0.07	0.00	0.07	92.0	0.06
09/01/2017	MCFARLAND, BRANDON	AM FUNDS CAPITAL WORLD BOND A	0.00	0.15	0.00	0.15	92.0	0.14
09/01/2017	DRAKE, ERIC	AM FUNDS CAPITAL WORLD BOND A	0.00	0.53	0.00	0.53	92.0	0.49
09/01/2017	WALLS, CONNOR	AM FUNDS CAPITAL WORLD BOND A	0.00	1.50	0.00	1.50	92.0	1.38
09/01/2017	WHALEN, KELLY	AM FUNDS CAPITAL WORLD BOND A	0.00	0.45	0.00	0.45	92.0	0.41
09/01/2017	MOON, CHARLES	AM FUNDS CAPITAL WORLD BOND A	0.00	1.50	0.00	1.50	92.0	1.38
09/01/2017	ZUCCARELL, MATTHEW	AM FUNDS CAPITAL WORLD GRTH & INC 5	0.00	0.44	0.00	0.44	92.0	0.40
09/01/2017	COLEMAN, LINDA	AM FUNDS CAPITAL WORLD GRTH & INC 5	0.00	3.77	0.00	3.77	92.0	3.47
09/01/2017	KALE, DENNIS	AM FUNDS CAPITAL WORLD GRTH & INC 5	0.00	0.65	0.00	0.65	92.0	0.60
09/01/2017	KORAL, ANDREW	AM FUNDS CAPITAL WORLD GRTH & INC 5	0.00	0.55	0.00	0.55	92.0	0.51

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>BROKER TRANSACTIONS</u>								
PRODUCT CATEGORY: MUTUAL FUNDS								
09/01/2017	ROSS, MICHELLE L HUDS	AM FUNDS CAPITAL WORLD GRTH & INC 5	0.00	1.82	0.00	1.82	92.0	1.67
09/01/2017	HUNTER, DEBORAH	AM FUNDS CAPITAL WORLD GRTH & INC 5	0.00	7.33	0.00	7.33	92.0	6.74
09/01/2017	ZUCCARELL, MATTHEW	AM FUNDS CAPITAL WORLD GRTH & INC 5	0.00	0.46	0.00	0.46	92.0	0.42
09/01/2017	BLAKE, MIRIAM	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	3.13	0.00	3.13	92.0	2.88
09/01/2017	HEINAMAN, ROBERT	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.94	0.00	0.94	92.0	0.86
09/01/2017	DREIER, DAVID	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	6.17	0.00	6.17	92.0	5.68
09/01/2017	BRUMMETT, DOUGLAS	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.77	0.00	0.77	92.0	0.71
09/01/2017	HEINAMAN, ROBERT	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	14.58	0.00	14.58	92.0	13.41
09/01/2017	COMBS, BRIAN	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	2.50	0.00	2.50	92.0	2.30
09/01/2017	SANDERSON, CATHY	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	1.34	0.00	1.34	92.0	1.23
09/01/2017	MILLER, MICHAEL	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	2.08	0.00	2.08	92.0	1.91
09/01/2017	SWINDLE, CYNTHIA	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.69	0.00	0.69	92.0	0.63
09/01/2017	SWINDLE, DARRYL	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	1.05	0.00	1.05	92.0	0.97
09/01/2017	PEARSON, JOHN	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	1.71	0.00	1.71	92.0	1.57
09/01/2017	KOTLARCZYK, JOSEPH	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	31.46	0.00	31.46	92.0	28.94
09/01/2017	KRALL, GARY	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	5.12	0.00	5.12	92.0	4.71
09/01/2017	MOLNAR, CONNIE	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	3.83	0.00	3.83	92.0	3.52
09/01/2017	IRELAN, TED	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	1.70	0.00	1.70	92.0	1.56
09/01/2017	KOZIARSKI, ROSEMARY	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.04	0.00	0.04	92.0	0.04
09/01/2017	ZUCCARELL, MATTHEW	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	1.05	0.00	1.05	92.0	0.97
09/01/2017	DAY, CHERYL	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.52	0.00	0.52	92.0	0.48
09/01/2017	GOYER, TIMOTHY	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	4.26	0.00	4.26	92.0	3.92
09/01/2017	ROSS, MICHAEL C HUDSO	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.73	0.00	0.73	92.0	0.67
09/01/2017	SWINDLE, DARRYL	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.63	0.00	0.63	92.0	0.58
09/01/2017	SMOOT, C STEVEN	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	25.57	0.00	25.57	92.0	23.52
09/01/2017	BENSCH, ARLYN	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	3.22	0.00	3.22	92.0	2.96
09/01/2017	KREMPA, CLAUDE	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	3.69	0.00	3.69	92.0	3.39
09/01/2017	MCCLOSKEY, DANIEL	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	4.91	0.00	4.91	92.0	4.52
09/01/2017	SHAFFER, LOREN	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	1.67	0.00	1.67	92.0	1.54
09/01/2017	HUNTER, MICHAEL	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	3.56	0.00	3.56	92.0	3.28
09/01/2017	BRILLHART, RYAN	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	2.76	0.00	2.76	92.0	2.54
09/01/2017	BRILLHART, RYAN	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	1.15	0.00	1.15	92.0	1.06
09/01/2017	MURPHY, CAROL	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	7.55	0.00	7.55	92.0	6.95

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<u>BROKER TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
09/01/2017	BIHN, RONALD	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	3.59	0.00	3.59	92.0	3.30
09/01/2017	SHAFFER, DENISE	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	4.07	0.00	4.07	92.0	3.74
09/01/2017	MORNINGSTAR, MICHELLE	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.73	0.00	0.73	92.0	0.67
09/01/2017	ISAACSON, ROBERT	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	5.58	0.00	5.58	92.0	5.13
09/01/2017	IRWIN, JOHN	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	18.56	0.00	18.56	92.0	17.08
09/01/2017	HAUSER, RONALD	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	7.81	0.00	7.81	92.0	7.19
09/01/2017	WALLS, KIMBERLY	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.49	0.00	0.49	92.0	0.45
09/01/2017	TARRIS, CHRISTINE	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	3.65	0.00	3.65	92.0	3.36
09/01/2017	MCLAUGHLIN, JAIME	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.51	0.00	0.51	92.0	0.47
09/01/2017	KRAUS, JENNIFER	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	2.34	0.00	2.34	92.0	2.15
09/01/2017	SILLIMAN, JEFFREY	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	5.52	0.00	5.52	92.0	5.08
09/01/2017	GLORE, CHRISTINE	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	6.25	0.00	6.25	92.0	5.75
09/01/2017	SUTHERLAND, JOHN	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	1.56	0.00	1.56	92.0	1.44
09/01/2017	MOLNAR, JOSEPH	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	3.42	0.00	3.42	92.0	3.15
09/01/2017	KORAL, ANDREW	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	1.36	0.00	1.36	92.0	1.25
09/01/2017	WRIGHT, BECKY	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.29	0.00	0.29	92.0	0.27
09/01/2017	FAIRCHILD, DANA	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	3.81	0.00	3.81	92.0	3.51
09/01/2017	BRILLHART, SHARON	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	1.07	0.00	1.07	92.0	0.98
09/01/2017	CASTOR, TIMOTHY	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.91	0.00	0.91	92.0	0.84
09/01/2017	HELMINIAC, CAROLYN	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	2.68	0.00	2.68	92.0	2.47
09/01/2017	CURSON, STEVE	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	2.19	0.00	2.19	92.0	2.01
09/01/2017	REED, RYAN	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	2.96	0.00	2.96	92.0	2.72
09/01/2017	REED, COLLEEN	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	2.96	0.00	2.96	92.0	2.72
09/01/2017	SILLIMAN, GRACE	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	3.17	0.00	3.17	92.0	2.92
09/01/2017	MORRIS, MARIANNE	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.12	0.00	0.12	92.0	0.11
09/01/2017	GARDNER, SHANNON	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	1.49	0.00	1.49	92.0	1.37
09/01/2017	GARDNER, PATRICIA	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	1.49	0.00	1.49	92.0	1.37
09/01/2017	GARDNER, PATRICIA	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.29	0.00	0.29	92.0	0.27
09/01/2017	KISER, ELIZABETH	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	1.43	0.00	1.43	92.0	1.32
09/01/2017	KISER, EDWARD	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	1.49	0.00	1.49	92.0	1.37
09/01/2017	ZARAGOZA, JULIE	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	1.43	0.00	1.43	92.0	1.32
09/01/2017	ZARAGOZA, VICTOR	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.50	0.00	0.50	92.0	0.46
09/01/2017	WHITTAKER, WILLIAM	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	8.60	0.00	8.60	92.0	7.91

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<u>BROKER TRANSACTIONS</u>								
PRODUCT CATEGORY: MUTUAL FUNDS								
09/01/2017	WHITTAKER, WILLIAM	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	14.41	0.00	14.41	92.0	13.26
09/01/2017	BEAUPREZ, TAMMY	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	1.37	0.00	1.37	92.0	1.26
09/01/2017	MURD, FRANCIS	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.31	0.00	0.31	92.0	0.29
09/01/2017	WARNER, COREY	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	10.88	0.00	10.88	92.0	10.01
09/01/2017	SCANLAN, DAVID	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	5.19	0.00	5.19	92.0	4.77
09/01/2017	OBERT, RONALD	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.97	0.00	0.97	92.0	0.89
09/01/2017	OBERT, DEBORA	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.99	0.00	0.99	92.0	0.91
09/01/2017	CARVER, DENISE	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.47	0.00	0.47	92.0	0.43
09/01/2017	FISCHER, DAVID	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	3.72	0.00	3.72	92.0	3.42
09/01/2017	MCCLOSKEY, DANIEL	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	2.47	0.00	2.47	92.0	2.27
09/01/2017	KONZ, ORVEL	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	2.13	0.00	2.13	92.0	1.96
09/01/2017	FLEMING, ANDREA	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	11.50	0.00	11.50	92.0	10.58
09/01/2017	BEAUPREZ, TAMMY	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	18.23	0.00	18.23	92.0	16.77
09/01/2017	HALSEY, DEBORAH	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	3.59	0.00	3.59	92.0	3.30
09/01/2017	KORAKAS, SANDRA	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	1.16	0.00	1.16	92.0	1.07
09/01/2017	BENSCH, JEFFREY	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	2.26	0.00	2.26	92.0	2.08
09/01/2017	HILES, MARC	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	5.03	0.00	5.03	92.0	4.63
09/01/2017	COLEMAN, LINDA	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	2.22	0.00	2.22	92.0	2.04
09/01/2017	COLEMAN, PARISS	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	1.47	0.00	1.47	92.0	1.35
09/01/2017	KOZLOWSKI, KATHLEEN	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	2.36	0.00	2.36	92.0	2.17
09/01/2017	GOYER, CALLIE	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	3.77	0.00	3.77	92.0	3.47
09/01/2017	HALSEY, WILLIAM D	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	9.47	0.00	9.47	92.0	8.71
09/01/2017	WOODRUFF, STEPHANIE	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	1.69	0.00	1.69	92.0	1.55
09/01/2017	WOODRUFF, STEPHANIE	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.33	0.00	0.33	92.0	0.30
09/01/2017	COUSINO, NICHOLAS	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.74	0.00	0.74	92.0	0.68
09/01/2017	GOYER, GRACE	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	3.05	0.00	3.05	92.0	2.81
09/01/2017	FAIRCHILD, KERRY	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	2.86	0.00	2.86	92.0	2.63
09/01/2017	WHALEN, KELLY	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.17	0.00	0.17	92.0	0.16
09/01/2017	ROSS, NICOLE	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	1.29	0.00	1.29	92.0	1.19
09/01/2017	COLEMAN, PARISS	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	5.26	0.00	5.26	92.0	4.84
09/01/2017	BARE III, HARRY	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.84	0.00	0.84	92.0	0.77
09/01/2017	BARE, HELEN	AM FUNDS COLLEGE 2030 FUND 529A	0.00	2.09	0.00	2.09	92.0	1.92
09/01/2017	COLEMAN, LINDA	AM FUNDS EUROPACIFIC GROWTH FUND 52	0.00	1.12	0.00	1.12	92.0	1.03

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<u>BROKER TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
09/01/2017	HUNTER, DEBORAH	AM FUNDS EUROPACIFIC GROWTH FUND 52	0.00	0.34	0.00	0.34	92.0	0.31
09/01/2017	BLAKE, MIRIAM	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	0.58	0.00	0.58	92.0	0.53
09/01/2017	DREIER, DAVID	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	1.10	0.00	1.10	92.0	1.01
09/01/2017	COMBS, BRIAN	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	1.76	0.00	1.76	92.0	1.62
09/01/2017	SANDERSON, CATHY	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	0.99	0.00	0.99	92.0	0.91
09/01/2017	MILLER, MICHAEL	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	0.43	0.00	0.43	92.0	0.40
09/01/2017	SWINDLE, DARRYL	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	1.43	0.00	1.43	92.0	1.32
09/01/2017	KOZIARSKI, LAURA	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	7.14	0.00	7.14	92.0	6.57
09/01/2017	DECKER, MARY BETH	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	0.79	0.00	0.79	92.0	0.73
09/01/2017	HOLT, JEAN	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	5.09	0.00	5.09	92.0	4.68
09/01/2017	HENDERSON, BARBARA	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	3.95	0.00	3.95	92.0	3.63
09/01/2017	RUMSCHLAG, DOUGLAS	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	0.01	0.00	0.01	92.0	0.01
09/01/2017	KOTLARCZYK, JOSEPH	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	20.77	0.00	20.77	92.0	19.11
09/01/2017	KRALL, GARY	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	1.60	0.00	1.60	92.0	1.47
09/01/2017	SUTHERLAND, BARBARA	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	1.95	0.00	1.95	92.0	1.79
09/01/2017	MOLNAR, CONNIE	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	2.76	0.00	2.76	92.0	2.54
09/01/2017	GOYER, TIMOTHY	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	2.69	0.00	2.69	92.0	2.47
09/01/2017	SMOOT, C STEVEN	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	25.30	0.00	25.30	92.0	23.28
09/01/2017	MARKJA, BERNADINE	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	2.52	0.00	2.52	92.0	2.32
09/01/2017	URSITTI, MATTHEW	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	2.83	0.00	2.83	92.0	2.60
09/01/2017	BRAITHWAITE, WILLIAM	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	0.83	0.00	0.83	92.0	0.76
09/01/2017	SHAFFER, LOREN	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	0.88	0.00	0.88	92.0	0.81
09/01/2017	HUNTER, MICHAEL	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	3.08	0.00	3.08	92.0	2.83
09/01/2017	BRILLHART, RYAN	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	0.60	0.00	0.60	92.0	0.55
09/01/2017	BRILLHART, RYAN	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	1.07	0.00	1.07	92.0	0.98
09/01/2017	MURPHY, JACK	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	1.43	0.00	1.43	92.0	1.32
09/01/2017	KOTLARCZYK, JOSEPH	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	0.72	0.00	0.72	92.0	0.66
09/01/2017	KOTLARCZYK, JANA	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	0.80	0.00	0.80	92.0	0.74
09/01/2017	HUDAK, NICHOLAS	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	0.87	0.00	0.87	92.0	0.80
09/01/2017	HUDAK, STASIA	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	0.87	0.00	0.87	92.0	0.80
09/01/2017	HARRISON, JEFFERY	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	3.82	0.00	3.82	92.0	3.51
09/01/2017	GLORE, DANIEL	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	0.88	0.00	0.88	92.0	0.81
09/01/2017	MURPHY, CAROL	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	2.02	0.00	2.02	92.0	1.86

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<u>BROKER TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
09/01/2017	SHAFFER, DENISE	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	3.81	0.00	3.81	92.0	3.51
09/01/2017	WALLS, KIMBERLY	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	0.38	0.00	0.38	92.0	0.35
09/01/2017	SILLIMAN, JEFFREY	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	1.59	0.00	1.59	92.0	1.46
09/01/2017	GLORE, CHRISTINE	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	3.20	0.00	3.20	92.0	2.94
09/01/2017	MOLNAR, JOSEPH	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	1.67	0.00	1.67	92.0	1.54
09/01/2017	WRIGHT, BECKY	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	0.25	0.00	0.25	92.0	0.23
09/01/2017	HELMINIAK, CAROLYN	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	1.01	0.00	1.01	92.0	0.93
09/01/2017	CURSON, STEVE	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	1.19	0.00	1.19	92.0	1.09
09/01/2017	REED, RYAN	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	2.01	0.00	2.01	92.0	1.85
09/01/2017	REED, COLLEEN	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	2.01	0.00	2.01	92.0	1.85
09/01/2017	SILLIMAN, GRACE	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	1.43	0.00	1.43	92.0	1.32
09/01/2017	GARDNER, SHANNON	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	1.38	0.00	1.38	92.0	1.27
09/01/2017	GARDNER, PATRICIA	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	1.38	0.00	1.38	92.0	1.27
09/01/2017	KISER, ELIZABETH	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	1.29	0.00	1.29	92.0	1.19
09/01/2017	KISER, EDWARD	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	1.35	0.00	1.35	92.0	1.24
09/01/2017	WHITTAKER, WILLIAM	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	6.12	0.00	6.12	92.0	5.63
09/01/2017	WHITTAKER, WILLIAM	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	27.25	0.00	27.25	92.0	25.07
09/01/2017	BEAUPREZ, TAMMY	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	1.34	0.00	1.34	92.0	1.23
09/01/2017	WARNER, COREY	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	6.54	0.00	6.54	92.0	6.02
09/01/2017	SCANLAN, DAVID	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	2.18	0.00	2.18	92.0	2.01
09/01/2017	CARVER, DENISE	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	0.40	0.00	0.40	92.0	0.37
09/01/2017	FLEMING, ANDREA	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	5.89	0.00	5.89	92.0	5.42
09/01/2017	BEAUPREZ, TAMMY	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	7.57	0.00	7.57	92.0	6.96
09/01/2017	KORAKAS, SANDRA	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	1.25	0.00	1.25	92.0	1.15
09/01/2017	GOYER, CALLIE	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	2.03	0.00	2.03	92.0	1.87
09/01/2017	HALSEY, WILLIAM D	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	4.34	0.00	4.34	92.0	3.99
09/01/2017	DUNNE, JAMES	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	10.37	0.00	10.37	92.0	9.54
09/01/2017	WOODRUFF, STEPHANIE	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	0.31	0.00	0.31	92.0	0.29
09/01/2017	GOYER, GRACE	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	1.32	0.00	1.32	92.0	1.21
09/01/2017	WHITTAKER, CHERYL	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	4.60	0.00	4.60	92.0	4.23
09/01/2017	ROSS, NICOLE	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	1.06	0.00	1.06	92.0	0.98
09/11/2017	HENDERSON, BARBARA	AM FUNDS EUROPACIFIC GROWTH FUND A	100.00	4.25	0.00	4.25	92.0	3.91
09/01/2017	SEYMOUR, DONALD	AM FUNDS EUROPACIFIC GROWTH FUND C	0.00	17.64	0.00	17.64	92.0	16.23

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>BROKER TRANSACTIONS</u>								
PRODUCT CATEGORY: MUTUAL FUNDS								
09/01/2017	ZUCCARELL, MATTHEW	AM FUNDS FUNDAMENTAL INVESTORS 529A	0.00	0.50	0.00	0.50	92.0	0.46
09/01/2017	COLEMAN, LINDA	AM FUNDS FUNDAMENTAL INVESTORS 529A	0.00	1.62	0.00	1.62	92.0	1.49
09/01/2017	HUNTER, DEBORAH	AM FUNDS FUNDAMENTAL INVESTORS 529A	0.00	0.28	0.00	0.28	92.0	0.26
09/01/2017	ZUCCARELL, MATTHEW	AM FUNDS FUNDAMENTAL INVESTORS 529A	0.00	0.48	0.00	0.48	92.0	0.44
09/01/2017	HEINAMAN, ROBERT	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	0.73	0.00	0.73	92.0	0.67
09/01/2017	DREIER, DAVID	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	1.88	0.00	1.88	92.0	1.73
09/01/2017	BRUMMETT, DOUGLAS	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	0.44	0.00	0.44	92.0	0.40
09/01/2017	HEINAMAN, ROBERT	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	8.18	0.00	8.18	92.0	7.53
09/01/2017	MILLER, MICHAEL	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	2.74	0.00	2.74	92.0	2.52
09/01/2017	SWINDLE, DARRYL	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	2.04	0.00	2.04	92.0	1.88
09/01/2017	KOZIARSKI, LAURA	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	0.92	0.00	0.92	92.0	0.85
09/01/2017	DECKER, MARY BETH	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	0.85	0.00	0.85	92.0	0.78
09/01/2017	PEARSON, JOHN	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	0.35	0.00	0.35	92.0	0.32
09/01/2017	KOTLARCZYK, JOSEPH	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	13.71	0.00	13.71	92.0	12.61
09/01/2017	KRALL, GARY	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	2.83	0.00	2.83	92.0	2.60
09/01/2017	MOLNAR, CONNIE	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	4.52	0.00	4.52	92.0	4.16
09/01/2017	ONEY, LINDA	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	44.36	0.00	44.36	92.0	40.81
09/01/2017	IRELAN, TED	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	1.62	0.00	1.62	92.0	1.49
09/01/2017	ZUCCARELL, HEATHER	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	1.04	0.00	1.04	92.0	0.96
09/01/2017	ZUCCARELL, MATTHEW	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	2.56	0.00	2.56	92.0	2.36
09/01/2017	WOODRUFF, AUSTIN	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	2.08	0.00	2.08	92.0	1.91
09/01/2017	GOYER, TIMOTHY	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	2.90	0.00	2.90	92.0	2.67
09/01/2017	SMOOT, C STEVEN	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	28.73	0.00	28.73	92.0	26.43
09/01/2017	MARKJA, BERNADINE	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	4.91	0.00	4.91	92.0	4.52
09/01/2017	BRAITHWAITE, WILLIAM	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	1.50	0.00	1.50	92.0	1.38
09/01/2017	KREMPA, CLAUDE	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	2.17	0.00	2.17	92.0	2.00
09/01/2017	MCCLOSKEY, DANIEL	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	1.23	0.00	1.23	92.0	1.13
09/01/2017	SHAFFER, LOREN	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	1.85	0.00	1.85	92.0	1.70
09/01/2017	HUNTER, MICHAEL	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	3.00	0.00	3.00	92.0	2.76
09/01/2017	MURPHY, JACK	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	2.43	0.00	2.43	92.0	2.24
09/01/2017	KOTLARCZYK, JANA	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	1.95	0.00	1.95	92.0	1.79
09/01/2017	HUDAK, NICHOLAS	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	0.81	0.00	0.81	92.0	0.75
09/01/2017	HUDAK, STASIA	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	0.81	0.00	0.81	92.0	0.75

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<u>BROKER TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
09/01/2017	MURPHY, CAROL	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	5.51	0.00	5.51	92.0	5.07
09/01/2017	BIHN, RONALD	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	3.00	0.00	3.00	92.0	2.76
09/01/2017	SHAFFER, DENISE	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	4.75	0.00	4.75	92.0	4.37
09/01/2017	WASSERMAN, JULIE	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	0.77	0.00	0.77	92.0	0.71
09/01/2017	IRWIN, JOHN	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	4.54	0.00	4.54	92.0	4.18
09/01/2017	GLORE, CHRISTINE	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	5.07	0.00	5.07	92.0	4.66
09/01/2017	MOLNAR, JOSEPH	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	2.36	0.00	2.36	92.0	2.17
09/01/2017	WRIGHT, BECKY	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	0.33	0.00	0.33	92.0	0.30
09/01/2017	ROSS, DANIEL	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	2.24	0.00	2.24	92.0	2.06
09/01/2017	HELMINIAK, CAROLYN	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	2.00	0.00	2.00	92.0	1.84
09/01/2017	CURSON, STEVE	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	0.98	0.00	0.98	92.0	0.90
09/01/2017	REED, RYAN	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	2.35	0.00	2.35	92.0	2.16
09/01/2017	REED, COLLEEN	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	2.35	0.00	2.35	92.0	2.16
09/01/2017	GARDNER, SHANNON	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	1.66	0.00	1.66	92.0	1.53
09/01/2017	GARDNER, PATRICIA	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	1.66	0.00	1.66	92.0	1.53
09/01/2017	ROSS, KRISTINE	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	1.22	0.00	1.22	92.0	1.12
09/01/2017	WHITTAKER, WILLIAM	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	10.20	0.00	10.20	92.0	9.38
09/01/2017	BEAUPREZ, TAMMY	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	1.25	0.00	1.25	92.0	1.15
09/01/2017	WARNER, COREY	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	10.62	0.00	10.62	92.0	9.77
09/01/2017	SCANLAN, DAVID	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	6.26	0.00	6.26	92.0	5.76
09/01/2017	MURD, FRANCIS	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	0.19	0.00	0.19	92.0	0.17
09/01/2017	MCCLOSKEY, DANIEL	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	1.13	0.00	1.13	92.0	1.04
09/01/2017	KONZ, ORVEL	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	2.53	0.00	2.53	92.0	2.33
09/01/2017	FLEMING, ANDREA	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	9.68	0.00	9.68	92.0	8.91
09/01/2017	HORN, TARA	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	3.57	0.00	3.57	92.0	3.28
09/01/2017	BEAUPREZ, TAMMY	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	14.19	0.00	14.19	92.0	13.05
09/01/2017	HILES, MARC	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	3.41	0.00	3.41	92.0	3.14
09/01/2017	KOZLOWSKI, KATHLEEN	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	2.94	0.00	2.94	92.0	2.70
09/01/2017	GOYER, CALLIE	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	3.18	0.00	3.18	92.0	2.93
09/01/2017	HALSEY, WILLIAM D	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	7.40	0.00	7.40	92.0	6.81
09/01/2017	WOODRUFF, STEPHANIE	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	0.43	0.00	0.43	92.0	0.40
09/01/2017	GOYER, GRACE	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	2.48	0.00	2.48	92.0	2.28
09/01/2017	STOUT, DAVID	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	2.76	0.00	2.76	92.0	2.54

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<u>BROKER TRANSACTIONS</u>								
PRODUCT CATEGORY: MUTUAL FUNDS								
09/01/2017	MARTIN, RACHEL	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	1.04	0.00	1.04	92.0	0.96
09/01/2017	WHALEN, KELLY	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	0.95	0.00	0.95	92.0	0.87
09/01/2017	SCHERMBECK, CAROL	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	0.32	0.00	0.32	92.0	0.29
09/21/2017	MARTIN, RACHEL	AM FUNDS FUNDAMENTAL INVESTORS A	105.00	4.46	0.00	4.46	92.0	4.10
09/01/2017	COLEMAN, LINDA	AM FUNDS GROWTH FUND OF AMERICA 529	0.00	1.30	0.00	1.30	92.0	1.20
09/01/2017	ZUCCARELL, MATTHEW	AM FUNDS GROWTH FUND OF AMERICA 529	0.00	0.54	0.00	0.54	92.0	0.50
09/01/2017	DREIER, DAVID	AM FUNDS GROWTH FUND OF AMERICA A	0.00	1.54	0.00	1.54	92.0	1.42
09/01/2017	HEINAMAN, ROBERT	AM FUNDS GROWTH FUND OF AMERICA A	0.00	4.50	0.00	4.50	92.0	4.14
09/01/2017	RUMSCHLAG, DOUGLAS	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.01	0.00	0.01	92.0	0.01
09/01/2017	KRALL, GARY	AM FUNDS GROWTH FUND OF AMERICA A	0.00	2.31	0.00	2.31	92.0	2.13
09/01/2017	RONEY, LINDA	AM FUNDS GROWTH FUND OF AMERICA A	0.00	15.69	0.00	15.69	92.0	14.43
09/01/2017	ZUCCARELL, HEATHER	AM FUNDS GROWTH FUND OF AMERICA A	0.00	1.06	0.00	1.06	92.0	0.98
09/01/2017	ZUCCARELL, MATTHEW	AM FUNDS GROWTH FUND OF AMERICA A	0.00	1.72	0.00	1.72	92.0	1.58
09/01/2017	SANDERSON, CATHY	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.79	0.00	0.79	92.0	0.73
09/01/2017	SHAFFER, LOREN	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.20	0.00	0.20	92.0	0.18
09/01/2017	MURPHY, JACK	AM FUNDS GROWTH FUND OF AMERICA A	0.00	2.41	0.00	2.41	92.0	2.22
09/01/2017	MURPHY, CAROL	AM FUNDS GROWTH FUND OF AMERICA A	0.00	2.70	0.00	2.70	92.0	2.48
09/01/2017	WALLS, KIMBERLY	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.59	0.00	0.59	92.0	0.54
09/01/2017	MCLAUGHLIN, JAIME	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.48	0.00	0.48	92.0	0.44
09/01/2017	MOLNAR, JOSEPH	AM FUNDS GROWTH FUND OF AMERICA A	0.00	1.27	0.00	1.27	92.0	1.17
09/01/2017	KORAL, ANDREW	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.70	0.00	0.70	92.0	0.64
09/01/2017	ROSS, DANIEL	AM FUNDS GROWTH FUND OF AMERICA A	0.00	1.38	0.00	1.38	92.0	1.27
09/01/2017	KISER, EDWARD	AM FUNDS GROWTH FUND OF AMERICA A	0.00	1.34	0.00	1.34	92.0	1.23
09/01/2017	WHITTAKER, WILLIAM	AM FUNDS GROWTH FUND OF AMERICA A	0.00	8.75	0.00	8.75	92.0	8.05
09/01/2017	BEAUPREZ, TAMMY	AM FUNDS GROWTH FUND OF AMERICA A	0.00	1.56	0.00	1.56	92.0	1.44
09/01/2017	WARNER, COREY	AM FUNDS GROWTH FUND OF AMERICA A	0.00	3.56	0.00	3.56	92.0	3.28
09/01/2017	FLEMING, ANDREA	AM FUNDS GROWTH FUND OF AMERICA A	0.00	4.09	0.00	4.09	92.0	3.76
09/01/2017	HORN, TARA	AM FUNDS GROWTH FUND OF AMERICA A	0.00	3.57	0.00	3.57	92.0	3.28
09/01/2017	BEAUPREZ, TAMMY	AM FUNDS GROWTH FUND OF AMERICA A	0.00	9.85	0.00	9.85	92.0	9.06
09/01/2017	HILES, MARC	AM FUNDS GROWTH FUND OF AMERICA A	0.00	3.11	0.00	3.11	92.0	2.86
09/01/2017	KOZLOWSKI, KATHLEEN	AM FUNDS GROWTH FUND OF AMERICA A	0.00	1.63	0.00	1.63	92.0	1.50
09/01/2017	RAY, JOSEPH	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.26	0.00	0.26	92.0	0.24
09/01/2017	ZABORSKI, PAUL	AM FUNDS GROWTH FUND OF AMERICA A	0.00	1.21	0.00	1.21	92.0	1.11

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<u>BROKER TRANSACTIONS</u>								
PRODUCT CATEGORY: MUTUAL FUNDS								
09/01/2017	SHOEMAKER, MARY BETH	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.42	0.00	0.42	92.0	0.39
09/01/2017	KISER, EDWARD	AM FUNDS ICA 529C	0.00	11.02	0.00	11.02	92.0	10.14
09/01/2017	HEINAMAN, ROBERT	AM FUNDS ICA A	0.00	10.04	0.00	10.04	92.0	9.24
09/01/2017	BRILLHART, RYAN	AM FUNDS ICA A	0.00	1.97	0.00	1.97	92.0	1.81
09/01/2017	BRILLHART, RYAN	AM FUNDS ICA A	0.00	1.86	0.00	1.86	92.0	1.71
09/01/2017	HAUSER, ROBERT	AM FUNDS ICA A	0.00	16.26	0.00	16.26	92.0	14.96
09/01/2017	FAIRCHILD, DANA	AM FUNDS ICA A	0.00	3.61	0.00	3.61	92.0	3.32
09/01/2017	BEAUPREZ, TAMMY	AM FUNDS ICA A	0.00	11.10	0.00	11.10	92.0	10.21
09/01/2017	HALSEY, DEBORAH	AM FUNDS ICA A	0.00	3.35	0.00	3.35	92.0	3.08
09/01/2017	ZABORSKI, PAUL	AM FUNDS ICA A	0.00	2.90	0.00	2.90	92.0	2.67
09/01/2017	HEINAMAN, ROBERT	AM FUNDS INCOME FUND OF AMERICA A	0.00	0.22	0.00	0.22	92.0	0.20
09/01/2017	BENSCH, CANDACE	AM FUNDS INCOME FUND OF AMERICA A	0.00	6.88	0.00	6.88	92.0	6.33
09/01/2017	BLAKE, MIRIAM	AM FUNDS INCOME FUND OF AMERICA A	0.00	5.32	0.00	5.32	92.0	4.89
09/01/2017	SCHOONOVER, ROBERT	AM FUNDS INCOME FUND OF AMERICA A	0.00	2.79	0.00	2.79	92.0	2.57
09/01/2017	HEINAMAN, ROBERT	AM FUNDS INCOME FUND OF AMERICA A	0.00	19.29	0.00	19.29	92.0	17.75
09/01/2017	HENDERSON, BARBARA	AM FUNDS INCOME FUND OF AMERICA A	0.00	1.94	0.00	1.94	92.0	1.78
09/01/2017	KRALL, GARY	AM FUNDS INCOME FUND OF AMERICA A	0.00	4.90	0.00	4.90	92.0	4.51
09/01/2017	RONEY, LINDA	AM FUNDS INCOME FUND OF AMERICA A	0.00	3.25	0.00	3.25	92.0	2.99
09/01/2017	KOZIARSKI, ROSEMARY	AM FUNDS INCOME FUND OF AMERICA A	0.00	0.04	0.00	0.04	92.0	0.04
09/01/2017	WOODRUFF, AUSTIN	AM FUNDS INCOME FUND OF AMERICA A	0.00	1.99	0.00	1.99	92.0	1.83
09/01/2017	MOORE, LINDA	AM FUNDS INCOME FUND OF AMERICA A	0.00	3.26	0.00	3.26	92.0	3.00
09/01/2017	ROSS, MICHAEL C HUDSO	AM FUNDS INCOME FUND OF AMERICA A	0.00	0.63	0.00	0.63	92.0	0.58
09/01/2017	MARKJA, BERNADINE	AM FUNDS INCOME FUND OF AMERICA A	0.00	3.11	0.00	3.11	92.0	2.86
09/01/2017	BENSCH, ARLYN	AM FUNDS INCOME FUND OF AMERICA A	0.00	4.44	0.00	4.44	92.0	4.08
09/01/2017	BRILLHART, RYAN	AM FUNDS INCOME FUND OF AMERICA A	0.00	1.94	0.00	1.94	92.0	1.78
09/01/2017	MURPHY, JACK	AM FUNDS INCOME FUND OF AMERICA A	0.00	1.99	0.00	1.99	92.0	1.83
09/01/2017	BIHN, RONALD	AM FUNDS INCOME FUND OF AMERICA A	0.00	1.92	0.00	1.92	92.0	1.77
09/01/2017	ISAACSON, ROBERT	AM FUNDS INCOME FUND OF AMERICA A	0.00	6.31	0.00	6.31	92.0	5.81
09/01/2017	IRWIN, JOHN	AM FUNDS INCOME FUND OF AMERICA A	0.00	21.58	0.00	21.58	92.0	19.85
09/01/2017	DECKER, MARY BETH	AM FUNDS INCOME FUND OF AMERICA A	0.00	0.49	0.00	0.49	92.0	0.45
09/01/2017	HAUSER, ROBERT	AM FUNDS INCOME FUND OF AMERICA A	0.00	52.67	0.00	52.67	92.0	48.46
09/01/2017	HAUSER, RONALD	AM FUNDS INCOME FUND OF AMERICA A	0.00	48.83	0.00	48.83	92.0	44.92
09/01/2017	TARRIS, CHRISTINE	AM FUNDS INCOME FUND OF AMERICA A	0.00	16.59	0.00	16.59	92.0	15.26

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>BROKER TRANSACTIONS</u>								
PRODUCT CATEGORY: MUTUAL FUNDS								
09/01/2017	KRAUS, JENNIFER	AM FUNDS INCOME FUND OF AMERICA A	0.00	1.55	0.00	1.55	92.0	1.43
09/01/2017	GLORE, CHRISTINE	AM FUNDS INCOME FUND OF AMERICA A	0.00	4.33	0.00	4.33	92.0	3.98
09/01/2017	MOLNAR, JOSEPH	AM FUNDS INCOME FUND OF AMERICA A	0.00	4.92	0.00	4.92	92.0	4.53
09/01/2017	ROSS, DANIEL	AM FUNDS INCOME FUND OF AMERICA A	0.00	3.69	0.00	3.69	92.0	3.39
09/01/2017	BRILLHART, SHARON	AM FUNDS INCOME FUND OF AMERICA A	0.00	1.85	0.00	1.85	92.0	1.70
09/01/2017	HELMINIAK, CAROLYN	AM FUNDS INCOME FUND OF AMERICA A	0.00	4.57	0.00	4.57	92.0	4.20
09/01/2017	CURSON, STEVE	AM FUNDS INCOME FUND OF AMERICA A	0.00	2.15	0.00	2.15	92.0	1.98
09/01/2017	SILLIMAN, GRACE	AM FUNDS INCOME FUND OF AMERICA A	0.00	0.97	0.00	0.97	92.0	0.89
09/01/2017	GARDNER, PATRICIA	AM FUNDS INCOME FUND OF AMERICA A	0.00	0.73	0.00	0.73	92.0	0.67
09/01/2017	BEAUPREZ, TAMMY	AM FUNDS INCOME FUND OF AMERICA A	0.00	6.75	0.00	6.75	92.0	6.21
09/01/2017	GERMAN, MARIANNE	AM FUNDS INCOME FUND OF AMERICA A	0.00	2.15	0.00	2.15	92.0	1.98
09/01/2017	KONZ, ORVEL	AM FUNDS INCOME FUND OF AMERICA A	0.00	1.50	0.00	1.50	92.0	1.38
09/01/2017	FLEMING, ANDREA	AM FUNDS INCOME FUND OF AMERICA A	0.00	2.36	0.00	2.36	92.0	2.17
09/01/2017	BEAUPREZ, TAMMY	AM FUNDS INCOME FUND OF AMERICA A	0.00	13.00	0.00	13.00	92.0	11.96
09/01/2017	HALSEY, DEBORAH	AM FUNDS INCOME FUND OF AMERICA A	0.00	6.08	0.00	6.08	92.0	5.59
09/01/2017	HILES, MARC	AM FUNDS INCOME FUND OF AMERICA A	0.00	1.45	0.00	1.45	92.0	1.33
09/01/2017	COLEMAN, LINDA	AM FUNDS INCOME FUND OF AMERICA A	0.00	2.17	0.00	2.17	92.0	2.00
09/01/2017	SMITH, SUZANNE	AM FUNDS INCOME FUND OF AMERICA A	0.00	3.56	0.00	3.56	92.0	3.28
09/01/2017	FERRARI, MARK	AM FUNDS INCOME FUND OF AMERICA A	0.00	10.26	0.00	10.26	92.0	9.44
09/01/2017	COLEMAN, PARISS	AM FUNDS INCOME FUND OF AMERICA A	0.00	2.54	0.00	2.54	92.0	2.34
09/01/2017	PELLIONI, PAUL	AM FUNDS INCOME FUND OF AMERICA A	0.00	6.20	0.00	6.20	92.0	5.70
09/01/2017	NICHOLSON, JAMES	AM FUNDS INCOME FUND OF AMERICA A	0.00	6.47	0.00	6.47	92.0	5.95
09/01/2017	WOODRUFF, STEPHANIE	AM FUNDS INCOME FUND OF AMERICA A	0.00	0.66	0.00	0.66	92.0	0.61
09/01/2017	WOODRUFF, STEPHANIE	AM FUNDS INCOME FUND OF AMERICA A	0.00	0.31	0.00	0.31	92.0	0.29
09/01/2017	BROWN, WESLEY	AM FUNDS INCOME FUND OF AMERICA A	0.00	0.18	0.00	0.18	92.0	0.17
09/01/2017	ZINK, ROBERT	AM FUNDS INCOME FUND OF AMERICA A	0.00	4.31	0.00	4.31	92.0	3.97
09/01/2017	MCFARLAND, BRANDON	AM FUNDS INCOME FUND OF AMERICA A	0.00	0.32	0.00	0.32	92.0	0.29
09/01/2017	SHOEMAKER, MARY BETH	AM FUNDS INCOME FUND OF AMERICA A	0.00	0.45	0.00	0.45	92.0	0.41
09/01/2017	DONNELLY, EMILY	AM FUNDS INCOME FUND OF AMERICA A	0.00	0.17	0.00	0.17	92.0	0.16
09/01/2017	MARTIN, RACHEL	AM FUNDS INCOME FUND OF AMERICA A	0.00	0.95	0.00	0.95	92.0	0.87
09/01/2017	WEBBER, ROBERT	AM FUNDS INCOME FUND OF AMERICA A	0.00	0.25	0.00	0.25	92.0	0.23
09/01/2017	YOUNG, KEITH	AM FUNDS INCOME FUND OF AMERICA A	0.00	0.16	0.00	0.16	92.0	0.15
09/01/2017	OH/TOD	AM FUNDS INCOME FUND OF AMERICA A	0.00	1.27	0.00	1.27	92.0	1.17

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>BROKER TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
09/01/2017	MOON, CHARLES	AM FUNDS INCOME FUND OF AMERICA A	0.00	1.62	0.00	1.62	92.0	1.49
09/01/2017	COLEMAN, PARISS	AM FUNDS INCOME FUND OF AMERICA A	0.00	3.63	0.00	3.63	92.0	3.34
09/21/2017	MARTIN, RACHEL	AM FUNDS INCOME FUND OF AMERICA A	105.00	4.46	0.00	4.46	92.0	4.10
09/01/2017	SEYMOUR, DONALD	AM FUNDS INCOME FUND OF AMERICA C	0.00	44.17	0.00	44.17	92.0	40.64
09/01/2017	FAIRCHILD, KERRY	AM FUNDS INCOME FUND OF AMERICA C	0.00	11.64	0.00	11.64	92.0	10.71
09/01/2017	COLEMAN, LINDA	AM FUNDS INCOME FUND OF AMERICA-529	0.00	0.71	0.00	0.71	92.0	0.65
09/01/2017	IRWIN, JOHN	AM FUNDS INCOME PORTFOLIO A	0.00	28.58	0.00	28.58	92.0	26.29
09/01/2017	GARDNER, MIKE (WILLIAM)	AM FUNDS INCOME PORTFOLIO A	0.00	76.30	0.00	76.30	92.0	70.20
09/01/2017	VALADE, JOHN	AM FUNDS INCOME PORTFOLIO A	0.00	93.44	0.00	93.44	92.0	85.96
09/01/2017	BOCHI, ANDREW	AM FUNDS INCOME PORTFOLIO A	0.00	65.66	0.00	65.66	92.0	60.41
09/01/2017	REEVES, DIANE	AM FUNDS INCOME PORTFOLIO A	0.00	29.28	0.00	29.28	92.0	26.94
09/01/2017	KOZIARSKI, JOHN	AM FUNDS INCOME PORTFOLIO A	0.00	38.42	0.00	38.42	92.0	35.35
09/01/2017	COMBS, ROXANNE	AM FUNDS INCOME PORTFOLIO A	0.00	19.82	0.00	19.82	92.0	18.23
09/01/2017	RUMSCHLAG, DOUGLAS	AM FUNDS INCOME PORTFOLIO A	0.00	62.46	0.00	62.46	92.0	57.46
09/01/2017	GARDNER, SHARYL	AM FUNDS INCOME PORTFOLIO A	0.00	249.22	0.00	249.22	92.0	229.28
09/01/2017	DURIS, JOSEPH	AM FUNDS INCOME PORTFOLIO A	0.00	61.73	0.00	61.73	92.0	56.79
09/01/2017	BARE, HELEN	AM FUNDS INCOME PORTFOLIO A	0.00	19.15	0.00	19.15	92.0	17.62
09/01/2017	BLACKWOOD, DOUGLAS	AM FUNDS INCOME PORTFOLIO A	0.00	35.14	0.00	35.14	92.0	32.33
09/01/2017	MOLNAR, JOSEPH	AM FUNDS INCOME PORTFOLIO A	0.00	31.39	0.00	31.39	92.0	28.88
09/01/2017	BARE III, HARRY	AM FUNDS INCOME PORTFOLIO A	0.00	30.54	0.00	30.54	92.0	28.10
09/01/2017	ZINK, KARIS	AM FUNDS INCOME PORTFOLIO A	0.00	17.54	0.00	17.54	92.0	16.14
09/01/2017	STUBLESKI, DANIEL	AM FUNDS INCOME PORTFOLIO A	0.00	74.98	0.00	74.98	92.0	68.98
09/01/2017	PASCHAL, MICHAEL	AM FUNDS INCOME PORTFOLIO A	0.00	81.96	0.00	81.96	92.0	75.40
09/01/2017	FLEMING, ANDREA	AM FUNDS INCOME PORTFOLIO A	0.00	123.00	0.00	123.00	92.0	113.16
09/01/2017	WASSERMAN, FRANK	AM FUNDS INCOME PORTFOLIO A	0.00	85.49	0.00	85.49	92.0	78.65
09/01/2017	TROUT, TINA	AM FUNDS INCOME PORTFOLIO A	0.00	6.43	0.00	6.43	92.0	5.92
09/01/2017	LETT, TRACY	AM FUNDS INCOME PORTFOLIO A	0.00	17.83	0.00	17.83	92.0	16.40
09/01/2017	KISER, EDWARD	AM FUNDS INCOME PORTFOLIO A	0.00	68.67	0.00	68.67	92.0	63.18
09/01/2017	HENDERSON, BARBARA	AM FUNDS INTERMEDIATE BOND FUND OF	0.00	1.30	0.00	1.30	92.0	1.20
09/01/2017	SANDVIG TRUST, ANNE	AM FUNDS INTERMEDIATE BOND FUND OF	0.00	2.51	0.00	2.51	92.0	2.31
09/01/2017	KRAUS, JENNIFER	AM FUNDS INTERMEDIATE BOND FUND OF	0.00	0.20	0.00	0.20	92.0	0.18
09/01/2017	FLEMING, ANDREA	AM FUNDS INTERMEDIATE BOND FUND OF	0.00	7.25	0.00	7.25	92.0	6.67
09/01/2017	BEAUPREZ, TAMMY	AM FUNDS INTERMEDIATE BOND FUND OF	0.00	5.21	0.00	5.21	92.0	4.79

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<u>BROKER TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
09/01/2017	FERRARI, MARK	AM FUNDS INTERMEDIATE BOND FUND OF	0.00	5.66	0.00	5.66	92.0	5.21
09/01/2017	ROSS, MICHELLE L HUDS	AM FUNDS INTERMEDIATE BOND FUND OF	0.00	6.38	0.00	6.38	92.0	5.87
09/01/2017	ECKHARDT, MELISSA	AM FUNDS INTL GROWTH AND INCOME 529	0.00	2.28	0.00	2.28	92.0	2.10
09/01/2017	ECKHARDT, MELISSA	AM FUNDS INTL GROWTH AND INCOME 529	0.00	2.28	0.00	2.28	92.0	2.10
09/01/2017	BLAKE, MIRIAM	AM FUNDS INTL GROWTH AND INCOME A	0.00	1.11	0.00	1.11	92.0	1.02
09/01/2017	SUTHERLAND, BARBARA	AM FUNDS INTL GROWTH AND INCOME A	0.00	2.64	0.00	2.64	92.0	2.43
09/01/2017	MOORE, LINDA	AM FUNDS INTL GROWTH AND INCOME A	0.00	1.66	0.00	1.66	92.0	1.53
09/01/2017	HUNTER, MICHAEL	AM FUNDS INTL GROWTH AND INCOME A	0.00	2.82	0.00	2.82	92.0	2.59
09/01/2017	ISAACSON, ROBERT	AM FUNDS INTL GROWTH AND INCOME A	0.00	2.45	0.00	2.45	92.0	2.25
09/01/2017	TARRIS, CHRISTINE	AM FUNDS INTL GROWTH AND INCOME A	0.00	2.04	0.00	2.04	92.0	1.88
09/01/2017	SUTHERLAND, JOHN	AM FUNDS INTL GROWTH AND INCOME A	0.00	0.86	0.00	0.86	92.0	0.79
09/01/2017	KORAL, ANDREW	AM FUNDS INTL GROWTH AND INCOME A	0.00	0.71	0.00	0.71	92.0	0.65
09/01/2017	HELMINIAK, CAROLYN	AM FUNDS INTL GROWTH AND INCOME A	0.00	1.02	0.00	1.02	92.0	0.94
09/01/2017	LECHUGA, CARRIE	AM FUNDS INTL GROWTH AND INCOME A	0.00	0.52	0.00	0.52	92.0	0.48
09/01/2017	OBERT, RONALD	AM FUNDS INTL GROWTH AND INCOME A	0.00	0.50	0.00	0.50	92.0	0.46
09/01/2017	OBERT, DEBORA	AM FUNDS INTL GROWTH AND INCOME A	0.00	0.50	0.00	0.50	92.0	0.46
09/01/2017	GERMAN, MARIANNE	AM FUNDS INTL GROWTH AND INCOME A	0.00	0.88	0.00	0.88	92.0	0.81
09/01/2017	FISCHER, DAVID	AM FUNDS INTL GROWTH AND INCOME A	0.00	3.06	0.00	3.06	92.0	2.82
09/01/2017	FLEMING, ANDREA	AM FUNDS INTL GROWTH AND INCOME A	0.00	3.11	0.00	3.11	92.0	2.86
09/01/2017	IRWIN, JOHN	AM FUNDS INTL GROWTH AND INCOME A	0.00	1.86	0.00	1.86	92.0	1.71
09/01/2017	BENSCH, JEFFREY	AM FUNDS INTL GROWTH AND INCOME A	0.00	1.73	0.00	1.73	92.0	1.59
09/01/2017	HILES, MARC	AM FUNDS INTL GROWTH AND INCOME A	0.00	2.05	0.00	2.05	92.0	1.89
09/01/2017	SMITH, SUZANNE	AM FUNDS INTL GROWTH AND INCOME A	0.00	4.15	0.00	4.15	92.0	3.82
09/01/2017	DUBENDORFER, SUSAN	AM FUNDS INTL GROWTH AND INCOME A	0.00	0.68	0.00	0.68	92.0	0.63
09/01/2017	WAGONER JR, JOHN	AM FUNDS INTL GROWTH AND INCOME A	0.00	0.91	0.00	0.91	92.0	0.84
09/01/2017	WAGONER JR, JOHN	AM FUNDS INTL GROWTH AND INCOME A	0.00	0.31	0.00	0.31	92.0	0.29
09/01/2017	GERMAN, MARIANNE	AM FUNDS INTL GROWTH AND INCOME A	0.00	1.25	0.00	1.25	92.0	1.15
09/01/2017	GODFREY, TIMOTHY	AM FUNDS INTL GROWTH AND INCOME A	0.00	0.70	0.00	0.70	92.0	0.64
09/01/2017	ZINK, ROBERT	AM FUNDS INTL GROWTH AND INCOME A	0.00	4.08	0.00	4.08	92.0	3.75
09/01/2017	LARSON, PENNY	AM FUNDS INTL GROWTH AND INCOME A	0.00	1.59	0.00	1.59	92.0	1.46
09/01/2017	DRAKE, ERIC	AM FUNDS INTL GROWTH AND INCOME A	0.00	0.50	0.00	0.50	92.0	0.46
09/01/2017	MOON, CHARLES	AM FUNDS INTL GROWTH AND INCOME A	0.00	0.71	0.00	0.71	92.0	0.65
09/01/2017	COLEMAN, PARISS	AM FUNDS INTL GROWTH AND INCOME A	0.00	2.15	0.00	2.15	92.0	1.98

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>BROKER TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
09/01/2017	RONEY, LINDA	AM FUNDS MORTGAGE A	0.00	52.51	0.00	52.51	92.0	48.31
09/01/2017	ZUCCARELL, MATTHEW	AM FUNDS NEW ECONOMY 529A	0.00	0.47	0.00	0.47	92.0	0.43
09/01/2017	COLEMAN, LINDA	AM FUNDS NEW ECONOMY 529A	0.00	1.10	0.00	1.10	92.0	1.01
09/01/2017	ROSS, MICHELLE L HUDS	AM FUNDS NEW ECONOMY 529A	0.00	0.17	0.00	0.17	92.0	0.16
09/01/2017	ZUCCARELL, MATTHEW	AM FUNDS NEW ECONOMY 529A	0.00	0.49	0.00	0.49	92.0	0.45
09/01/2017	HEINAMAN, ROBERT	AM FUNDS NEW ECONOMY A	0.00	0.31	0.00	0.31	92.0	0.29
09/01/2017	DREIER, DAVID	AM FUNDS NEW ECONOMY A	0.00	3.62	0.00	3.62	92.0	3.33
09/01/2017	BRUMMETT, DOUGLAS	AM FUNDS NEW ECONOMY A	0.00	0.51	0.00	0.51	92.0	0.47
09/01/2017	DECKER, MARY BETH	AM FUNDS NEW ECONOMY A	0.00	0.61	0.00	0.61	92.0	0.56
09/01/2017	ROSS, SALLY	AM FUNDS NEW ECONOMY A	0.00	1.29	0.00	1.29	92.0	1.19
09/01/2017	HOLT, JEAN	AM FUNDS NEW ECONOMY A	0.00	5.90	0.00	5.90	92.0	5.43
09/01/2017	PEARSON, JOHN	AM FUNDS NEW ECONOMY A	0.00	0.58	0.00	0.58	92.0	0.53
09/01/2017	KOTLARCZYK, JOSEPH	AM FUNDS NEW ECONOMY A	0.00	11.65	0.00	11.65	92.0	10.72
09/01/2017	MOLNAR, CONNIE	AM FUNDS NEW ECONOMY A	0.00	3.58	0.00	3.58	92.0	3.29
09/01/2017	RONEY, LINDA	AM FUNDS NEW ECONOMY A	0.00	16.25	0.00	16.25	92.0	14.95
09/01/2017	DAY, CHERYL	AM FUNDS NEW ECONOMY A	0.00	0.51	0.00	0.51	92.0	0.47
09/01/2017	GOYER, TIMOTHY	AM FUNDS NEW ECONOMY A	0.00	2.44	0.00	2.44	92.0	2.24
09/01/2017	MARKJA, BERNADINE	AM FUNDS NEW ECONOMY A	0.00	0.89	0.00	0.89	92.0	0.82
09/01/2017	URSITTI, MATTHEW	AM FUNDS NEW ECONOMY A	0.00	2.99	0.00	2.99	92.0	2.75
09/01/2017	BRAITHWAITE, WILLIAM	AM FUNDS NEW ECONOMY A	0.00	1.37	0.00	1.37	92.0	1.26
09/01/2017	MCCLOSKEY, DANIEL	AM FUNDS NEW ECONOMY A	0.00	0.52	0.00	0.52	92.0	0.48
09/01/2017	SHAFFER, LOREN	AM FUNDS NEW ECONOMY A	0.00	0.82	0.00	0.82	92.0	0.75
09/01/2017	HUNTER, MICHAEL	AM FUNDS NEW ECONOMY A	0.00	2.58	0.00	2.58	92.0	2.37
09/01/2017	BRILLHART, RYAN	AM FUNDS NEW ECONOMY A	0.00	0.73	0.00	0.73	92.0	0.67
09/01/2017	MURPHY, JACK	AM FUNDS NEW ECONOMY A	0.00	2.24	0.00	2.24	92.0	2.06
09/01/2017	KOTLARCZYK, JANA	AM FUNDS NEW ECONOMY A	0.00	1.11	0.00	1.11	92.0	1.02
09/01/2017	HUDAK, NICHOLAS	AM FUNDS NEW ECONOMY A	0.00	0.88	0.00	0.88	92.0	0.81
09/01/2017	GLORE, DANIEL	AM FUNDS NEW ECONOMY A	0.00	1.13	0.00	1.13	92.0	1.04
09/01/2017	MURPHY, CAROL	AM FUNDS NEW ECONOMY A	0.00	2.01	0.00	2.01	92.0	1.85
09/01/2017	SHAFFER, DENISE	AM FUNDS NEW ECONOMY A	0.00	3.48	0.00	3.48	92.0	3.20
09/01/2017	IRWIN, JOHN	AM FUNDS NEW ECONOMY A	0.00	6.31	0.00	6.31	92.0	5.81
09/01/2017	WALLS, KIMBERLY	AM FUNDS NEW ECONOMY A	0.00	0.60	0.00	0.60	92.0	0.55
09/01/2017	KRAUS, JENNIFER	AM FUNDS NEW ECONOMY A	0.00	1.14	0.00	1.14	92.0	1.05

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>BROKER TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
09/01/2017	BEAUPREZ, TAMMY	AM FUNDS NEW ECONOMY A	0.00	1.50	0.00	1.50	92.0	1.38
09/01/2017	FLEMING, ANDREA	AM FUNDS NEW ECONOMY A	0.00	4.96	0.00	4.96	92.0	4.56
09/01/2017	DUBENDORFER, SUSAN	AM FUNDS NEW ECONOMY A	0.00	0.74	0.00	0.74	92.0	0.68
09/01/2017	GOYER, CALLIE	AM FUNDS NEW ECONOMY A	0.00	2.97	0.00	2.97	92.0	2.73
09/01/2017	GODFREY, TIMOTHY	AM FUNDS NEW ECONOMY A	0.00	0.56	0.00	0.56	92.0	0.52
09/01/2017	GOYER, GRACE	AM FUNDS NEW ECONOMY A	0.00	1.51	0.00	1.51	92.0	1.39
09/01/2017	ROSS, NICOLE	AM FUNDS NEW ECONOMY A	0.00	0.71	0.00	0.71	92.0	0.65
09/01/2017	COLEMAN, PARISS	AM FUNDS NEW ECONOMY A	0.00	2.61	0.00	2.61	92.0	2.40
09/01/2017	SEYMOUR, DONALD	AM FUNDS NEW ECONOMY C	0.00	66.14	0.00	66.14	92.0	60.85
09/01/2017	COLEMAN, LINDA	AM FUNDS NEW PERSPECTIVE 529A	0.00	0.85	0.00	0.85	92.0	0.78
09/01/2017	ZUCCARELL, MATTHEW	AM FUNDS NEW PERSPECTIVE 529A	0.00	0.49	0.00	0.49	92.0	0.45
09/01/2017	BLAKE, MIRIAM	AM FUNDS NEW PERSPECTIVE A	0.00	1.97	0.00	1.97	92.0	1.81
09/01/2017	BENSCH, CANDACE	AM FUNDS NEW PERSPECTIVE A	0.00	1.93	0.00	1.93	92.0	1.78
09/01/2017	DECKER, MARY BETH	AM FUNDS NEW PERSPECTIVE A	0.00	0.83	0.00	0.83	92.0	0.76
09/01/2017	HOLT, JEAN	AM FUNDS NEW PERSPECTIVE A	0.00	6.01	0.00	6.01	92.0	5.53
09/01/2017	PEARSON, JOHN	AM FUNDS NEW PERSPECTIVE A	0.00	0.42	0.00	0.42	92.0	0.39
09/01/2017	EDWARTOSKI, DONNA	AM FUNDS NEW PERSPECTIVE A	0.00	1.41	0.00	1.41	92.0	1.30
09/01/2017	RONEY, LINDA	AM FUNDS NEW PERSPECTIVE A	0.00	9.45	0.00	9.45	92.0	8.69
09/01/2017	ZUCCARELL, HEATHER	AM FUNDS NEW PERSPECTIVE A	0.00	0.94	0.00	0.94	92.0	0.86
09/01/2017	WOODRUFF, AUSTIN	AM FUNDS NEW PERSPECTIVE A	0.00	2.71	0.00	2.71	92.0	2.49
09/01/2017	SWINDLE, DARRYL	AM FUNDS NEW PERSPECTIVE A	0.00	1.22	0.00	1.22	92.0	1.12
09/01/2017	KREMPA, CLAUDE	AM FUNDS NEW PERSPECTIVE A	0.00	4.92	0.00	4.92	92.0	4.53
09/01/2017	SHAFFER, LOREN	AM FUNDS NEW PERSPECTIVE A	0.00	1.04	0.00	1.04	92.0	0.96
09/01/2017	MURPHY, JACK	AM FUNDS NEW PERSPECTIVE A	0.00	1.95	0.00	1.95	92.0	1.79
09/01/2017	JAKSETIC, ZACHARY	AM FUNDS NEW PERSPECTIVE A	0.00	0.41	0.00	0.41	92.0	0.38
09/01/2017	HAUSER, ROBERT	AM FUNDS NEW PERSPECTIVE A	0.00	12.38	0.00	12.38	92.0	11.39
09/01/2017	FAIRCHILD, DANA	AM FUNDS NEW PERSPECTIVE A	0.00	4.16	0.00	4.16	92.0	3.83
09/01/2017	BEAUPREZ, TAMMY	AM FUNDS NEW PERSPECTIVE A	0.00	1.65	0.00	1.65	92.0	1.52
09/01/2017	FISCHER, DAVID	AM FUNDS NEW PERSPECTIVE A	0.00	1.46	0.00	1.46	92.0	1.34
09/01/2017	FLEMING, ANDREA	AM FUNDS NEW PERSPECTIVE A	0.00	6.50	0.00	6.50	92.0	5.98
09/01/2017	BEAUPREZ, TAMMY	AM FUNDS NEW PERSPECTIVE A	0.00	7.22	0.00	7.22	92.0	6.64
09/01/2017	KOZLOWSKI, KATHLEEN	AM FUNDS NEW PERSPECTIVE A	0.00	2.00	0.00	2.00	92.0	1.84
09/01/2017	OH/TOD	AM FUNDS NEW PERSPECTIVE A	0.00	1.38	0.00	1.38	92.0	1.27

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>BROKER TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
09/01/2017	COLEMAN, LINDA	AM FUNDS NEW WORLD 529A	0.00	0.88	0.00	0.88	92.0	0.81
09/01/2017	KORAL, ANDREW	AM FUNDS NEW WORLD 529A	0.00	0.44	0.00	0.44	92.0	0.40
09/01/2017	ROSS, MICHELLE L HUDS	AM FUNDS NEW WORLD 529A	0.00	1.89	0.00	1.89	92.0	1.74
09/01/2017	ROSS, MICHELLE L HUDS	AM FUNDS NEW WORLD 529A	0.00	0.65	0.00	0.65	92.0	0.60
09/01/2017	ECKHARDT, MELISSA	AM FUNDS NEW WORLD 529A	0.00	1.40	0.00	1.40	92.0	1.29
09/01/2017	ECKHARDT, MELISSA	AM FUNDS NEW WORLD 529A	0.00	1.40	0.00	1.40	92.0	1.29
09/01/2017	BLAKE, MIRIAM	AM FUNDS NEW WORLD A	0.00	1.38	0.00	1.38	92.0	1.27
09/01/2017	MOORE, GARY	AM FUNDS NEW WORLD A	0.00	0.63	0.00	0.63	92.0	0.58
09/01/2017	DREIER, DAVID	AM FUNDS NEW WORLD A	0.00	0.91	0.00	0.91	92.0	0.84
09/01/2017	COMBS, BRIAN	AM FUNDS NEW WORLD A	0.00	0.87	0.00	0.87	92.0	0.80
09/01/2017	MILLER, MICHAEL	AM FUNDS NEW WORLD A	0.00	0.54	0.00	0.54	92.0	0.50
09/01/2017	ROSS, SALLY	AM FUNDS NEW WORLD A	0.00	0.85	0.00	0.85	92.0	0.78
09/01/2017	PEARSON, JOHN	AM FUNDS NEW WORLD A	0.00	0.54	0.00	0.54	92.0	0.50
09/01/2017	KRALL, GARY	AM FUNDS NEW WORLD A	0.00	1.60	0.00	1.60	92.0	1.47
09/01/2017	SUTHERLAND, BARBARA	AM FUNDS NEW WORLD A	0.00	1.51	0.00	1.51	92.0	1.39
09/01/2017	KOZIARSKI, ROSEMARY	AM FUNDS NEW WORLD A	0.00	0.30	0.00	0.30	92.0	0.28
09/01/2017	SUTHERLAND, JOHN	AM FUNDS NEW WORLD A	0.00	0.37	0.00	0.37	92.0	0.34
09/01/2017	GOYER, TIMOTHY	AM FUNDS NEW WORLD A	0.00	1.49	0.00	1.49	92.0	1.37
09/01/2017	MOORE, LINDA	AM FUNDS NEW WORLD A	0.00	0.83	0.00	0.83	92.0	0.76
09/01/2017	GURNEY, ERICA	AM FUNDS NEW WORLD A	0.00	3.67	0.00	3.67	92.0	3.38
09/01/2017	SMOOT, C STEVEN	AM FUNDS NEW WORLD A	0.00	16.07	0.00	16.07	92.0	14.78
09/01/2017	MARKJA, BERNADINE	AM FUNDS NEW WORLD A	0.00	3.75	0.00	3.75	92.0	3.45
09/01/2017	URSITTI, MATTHEW	AM FUNDS NEW WORLD A	0.00	4.13	0.00	4.13	92.0	3.80
09/01/2017	BRAITHWAITE, WILLIAM	AM FUNDS NEW WORLD A	0.00	4.41	0.00	4.41	92.0	4.06
09/01/2017	BENSCH, ARLYN	AM FUNDS NEW WORLD A	0.00	1.71	0.00	1.71	92.0	1.57
09/01/2017	KREMPA, CLAUDE	AM FUNDS NEW WORLD A	0.00	1.69	0.00	1.69	92.0	1.55
09/01/2017	MCCLOSKEY, DANIEL	AM FUNDS NEW WORLD A	0.00	2.51	0.00	2.51	92.0	2.31
09/01/2017	SHAFFER, LOREN	AM FUNDS NEW WORLD A	0.00	1.06	0.00	1.06	92.0	0.98
09/01/2017	BRILLHART, RYAN	AM FUNDS NEW WORLD A	0.00	0.42	0.00	0.42	92.0	0.39
09/01/2017	BRILLHART, RYAN	AM FUNDS NEW WORLD A	0.00	0.42	0.00	0.42	92.0	0.39
09/01/2017	MURPHY, JACK	AM FUNDS NEW WORLD A	0.00	1.31	0.00	1.31	92.0	1.21
09/01/2017	KOTLARCZYK, JOSEPH	AM FUNDS NEW WORLD A	0.00	2.46	0.00	2.46	92.0	2.26
09/01/2017	KOTLARCZYK, JANA	AM FUNDS NEW WORLD A	0.00	2.46	0.00	2.46	92.0	2.26

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<u>BROKER TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
09/01/2017	MURPHY, CAROL	AM FUNDS NEW WORLD A	0.00	3.20	0.00	3.20	92.0	2.94
09/01/2017	SHAFFER, DENISE	AM FUNDS NEW WORLD A	0.00	3.04	0.00	3.04	92.0	2.80
09/01/2017	COUSINO, SUSAN	AM FUNDS NEW WORLD A	0.00	0.37	0.00	0.37	92.0	0.34
09/01/2017	WASSERMAN, JULIE	AM FUNDS NEW WORLD A	0.00	0.87	0.00	0.87	92.0	0.80
09/01/2017	ISAACSON, ROBERT	AM FUNDS NEW WORLD A	0.00	1.43	0.00	1.43	92.0	1.32
09/01/2017	IRWIN, JOHN	AM FUNDS NEW WORLD A	0.00	6.45	0.00	6.45	92.0	5.93
09/01/2017	TARRIS, CHRISTINE	AM FUNDS NEW WORLD A	0.00	1.48	0.00	1.48	92.0	1.36
09/01/2017	MCLAUGHLIN, JAIME	AM FUNDS NEW WORLD A	0.00	0.53	0.00	0.53	92.0	0.49
09/01/2017	KRAUS, JENNIFER	AM FUNDS NEW WORLD A	0.00	1.11	0.00	1.11	92.0	1.02
09/01/2017	GLORE, CHRISTINE	AM FUNDS NEW WORLD A	0.00	2.32	0.00	2.32	92.0	2.13
09/01/2017	KORAL, ANDREW	AM FUNDS NEW WORLD A	0.00	0.78	0.00	0.78	92.0	0.72
09/01/2017	HELMINIAK, CAROLYN	AM FUNDS NEW WORLD A	0.00	0.31	0.00	0.31	92.0	0.29
09/01/2017	CURSON, STEVE	AM FUNDS NEW WORLD A	0.00	1.47	0.00	1.47	92.0	1.35
09/01/2017	GARDNER, PATRICIA	AM FUNDS NEW WORLD A	0.00	1.02	0.00	1.02	92.0	0.94
09/01/2017	LECHUGA, CARRIE	AM FUNDS NEW WORLD A	0.00	0.28	0.00	0.28	92.0	0.26
09/01/2017	KISER, ELIZABETH	AM FUNDS NEW WORLD A	0.00	2.57	0.00	2.57	92.0	2.36
09/01/2017	KISER, EDWARD	AM FUNDS NEW WORLD A	0.00	1.41	0.00	1.41	92.0	1.30
09/01/2017	WHITTAKER, WILLIAM	AM FUNDS NEW WORLD A	0.00	8.43	0.00	8.43	92.0	7.76
09/01/2017	WHITTAKER, WILLIAM	AM FUNDS NEW WORLD A	0.00	16.70	0.00	16.70	92.0	15.36
09/01/2017	KANOUS, JOSHUA	AM FUNDS NEW WORLD A	0.00	0.22	0.00	0.22	92.0	0.20
09/01/2017	WARNER, COREY	AM FUNDS NEW WORLD A	0.00	2.89	0.00	2.89	92.0	2.66
09/01/2017	SCANLAN, DAVID	AM FUNDS NEW WORLD A	0.00	1.91	0.00	1.91	92.0	1.76
09/01/2017	OBERT, RONALD	AM FUNDS NEW WORLD A	0.00	0.59	0.00	0.59	92.0	0.54
09/01/2017	OBERT, DEBORA	AM FUNDS NEW WORLD A	0.00	0.94	0.00	0.94	92.0	0.86
09/01/2017	FISCHER, DAVID	AM FUNDS NEW WORLD A	0.00	1.19	0.00	1.19	92.0	1.09
09/01/2017	MCCLOSKEY, DANIEL	AM FUNDS NEW WORLD A	0.00	0.98	0.00	0.98	92.0	0.90
09/01/2017	HAUETER, GREGORY	AM FUNDS NEW WORLD A	0.00	0.81	0.00	0.81	92.0	0.75
09/01/2017	FLEMING, ANDREA	AM FUNDS NEW WORLD A	0.00	5.55	0.00	5.55	92.0	5.11
09/01/2017	WALBERG, PAUL	AM FUNDS NEW WORLD A	0.00	1.19	0.00	1.19	92.0	1.09
09/01/2017	BEAUPREZ, TAMMY	AM FUNDS NEW WORLD A	0.00	7.40	0.00	7.40	92.0	6.81
09/01/2017	HALSEY, DEBORAH	AM FUNDS NEW WORLD A	0.00	1.22	0.00	1.22	92.0	1.12
09/01/2017	IRWIN, JOHN	AM FUNDS NEW WORLD A	0.00	1.04	0.00	1.04	92.0	0.96
09/01/2017	KORAKAS, SANDRA	AM FUNDS NEW WORLD A	0.00	1.26	0.00	1.26	92.0	1.16

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<u>BROKER TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
09/01/2017	BENSCH, JEFFREY	AM FUNDS NEW WORLD A	0.00	1.32	0.00	1.32	92.0	1.21
09/01/2017	HILES, MARC	AM FUNDS NEW WORLD A	0.00	2.99	0.00	2.99	92.0	2.75
09/01/2017	SMITH, SUZANNE	AM FUNDS NEW WORLD A	0.00	2.83	0.00	2.83	92.0	2.60
09/01/2017	DUBENDORFER, SUSAN	AM FUNDS NEW WORLD A	0.00	0.55	0.00	0.55	92.0	0.51
09/01/2017	GOYER, CALLIE	AM FUNDS NEW WORLD A	0.00	2.13	0.00	2.13	92.0	1.96
09/01/2017	HALSEY, WILLIAM D	AM FUNDS NEW WORLD A	0.00	3.86	0.00	3.86	92.0	3.55
09/01/2017	ZINK, ROBERT	AM FUNDS NEW WORLD A	0.00	2.89	0.00	2.89	92.0	2.66
09/01/2017	LARSON, PENNY	AM FUNDS NEW WORLD A	0.00	1.37	0.00	1.37	92.0	1.26
09/01/2017	COUSINO, NICHOLAS	AM FUNDS NEW WORLD A	0.00	0.38	0.00	0.38	92.0	0.35
09/01/2017	GOYER, GRACE	AM FUNDS NEW WORLD A	0.00	1.10	0.00	1.10	92.0	1.01
09/01/2017	DRAKE, ERIC	AM FUNDS NEW WORLD A	0.00	0.36	0.00	0.36	92.0	0.33
09/01/2017	ROSS, NICOLE	AM FUNDS NEW WORLD A	0.00	0.61	0.00	0.61	92.0	0.56
09/01/2017	COLEMAN, PARISS	AM FUNDS NEW WORLD A	0.00	0.82	0.00	0.82	92.0	0.75
09/18/2017	GURNEY, ERICA	AM FUNDS NEW WORLD A	25.00	1.25	0.00	1.25	92.0	1.15
09/01/2017	SEYMOUR, DONALD	AM FUNDS NEW WORLD C	0.00	12.63	0.00	12.63	92.0	11.62
09/01/2017	STUBLESKI, DANIEL	AM FUNDS PRESERVATION PORT A	0.00	8.15	0.00	8.15	92.0	7.50
09/01/2017	BLAKE, MIRIAM	AM FUNDS SHORT TERM BND FUND OF AM	0.00	0.96	0.00	0.96	92.0	0.88
09/01/2017	BRUMMETT, DOUGLAS	AM FUNDS SHORT TERM BND FUND OF AM	0.00	0.66	0.00	0.66	92.0	0.61
09/01/2017	SCHOONOVER, ROBERT	AM FUNDS SHORT TERM BND FUND OF AM	0.00	0.66	0.00	0.66	92.0	0.61
09/01/2017	HEINAMAN, ROBERT	AM FUNDS SHORT TERM BND FUND OF AM	0.00	10.97	0.00	10.97	92.0	10.09
09/01/2017	SWINDLE, DARRYL	AM FUNDS SHORT TERM BND FUND OF AM	0.00	0.78	0.00	0.78	92.0	0.72
09/01/2017	KRALL, GARY	AM FUNDS SHORT TERM BND FUND OF AM	0.00	3.51	0.00	3.51	92.0	3.23
09/01/2017	SWINDLE, DARRYL	AM FUNDS SHORT TERM BND FUND OF AM	0.00	0.69	0.00	0.69	92.0	0.63
09/01/2017	KREMPA, CLAUDE	AM FUNDS SHORT TERM BND FUND OF AM	0.00	1.96	0.00	1.96	92.0	1.80
09/01/2017	SANDVIG TRUST, ANNE	AM FUNDS SHORT TERM BND FUND OF AM	0.00	1.00	0.00	1.00	92.0	0.92
09/01/2017	MURPHY, JACK	AM FUNDS SHORT TERM BND FUND OF AM	0.00	0.59	0.00	0.59	92.0	0.54
09/01/2017	MURPHY, CAROL	AM FUNDS SHORT TERM BND FUND OF AM	0.00	3.50	0.00	3.50	92.0	3.22
09/01/2017	MOLNAR, JOSEPH	AM FUNDS SHORT TERM BND FUND OF AM	0.00	1.58	0.00	1.58	92.0	1.45
09/01/2017	ROSS, DANIEL	AM FUNDS SHORT TERM BND FUND OF AM	0.00	10.08	0.00	10.08	92.0	9.27
09/01/2017	ROSS, KRISTINE	AM FUNDS SHORT TERM BND FUND OF AM	0.00	2.84	0.00	2.84	92.0	2.61
09/01/2017	ZARAGOZA, JULIE	AM FUNDS SHORT TERM BND FUND OF AM	0.00	1.00	0.00	1.00	92.0	0.92
09/01/2017	ZARAGOZA, VICTOR	AM FUNDS SHORT TERM BND FUND OF AM	0.00	0.61	0.00	0.61	92.0	0.56
09/01/2017	WARNER, COREY	AM FUNDS SHORT TERM BND FUND OF AM	0.00	2.47	0.00	2.47	92.0	2.27

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<u>BROKER TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
09/01/2017	SCANLAN, DAVID	AM FUNDS SHORT TERM BND FUND OF AM	0.00	2.91	0.00	2.91	92.0	2.68
09/01/2017	GERMAN, MARIANNE	AM FUNDS SHORT TERM BND FUND OF AM	0.00	0.50	0.00	0.50	92.0	0.46
09/01/2017	CARVER, DENISE	AM FUNDS SHORT TERM BND FUND OF AM	0.00	0.20	0.00	0.20	92.0	0.18
09/01/2017	HILKENS, CHRISTOPHER	AM FUNDS SHORT TERM BND FUND OF AM	0.00	1.86	0.00	1.86	92.0	1.71
09/01/2017	HILKENS, CHRISTOPHER	AM FUNDS SHORT TERM BND FUND OF AM	0.00	0.48	0.00	0.48	92.0	0.44
09/01/2017	FISCHER, DAVID	AM FUNDS SHORT TERM BND FUND OF AM	0.00	2.13	0.00	2.13	92.0	1.96
09/01/2017	HAUETER, GREGORY	AM FUNDS SHORT TERM BND FUND OF AM	0.00	2.47	0.00	2.47	92.0	2.27
09/01/2017	FLEMING, ANDREA	AM FUNDS SHORT TERM BND FUND OF AM	0.00	12.88	0.00	12.88	92.0	11.85
09/01/2017	HORN, TARA	AM FUNDS SHORT TERM BND FUND OF AM	0.00	2.03	0.00	2.03	92.0	1.87
09/01/2017	BENSCH, JEFFREY	AM FUNDS SHORT TERM BND FUND OF AM	0.00	1.40	0.00	1.40	92.0	1.29
09/01/2017	COLEMAN, LINDA	AM FUNDS SHORT TERM BND FUND OF AM	0.00	2.45	0.00	2.45	92.0	2.25
09/01/2017	SMITH, SUZANNE	AM FUNDS SHORT TERM BND FUND OF AM	0.00	4.03	0.00	4.03	92.0	3.71
09/01/2017	JOLDRICHSEN, JUSTIN	AM FUNDS SHORT TERM BND FUND OF AM	0.00	0.90	0.00	0.90	92.0	0.83
09/01/2017	COLEMAN, PARISS	AM FUNDS SHORT TERM BND FUND OF AM	0.00	1.63	0.00	1.63	92.0	1.50
09/01/2017	PELLIONI, PAUL	AM FUNDS SHORT TERM BND FUND OF AM	0.00	9.35	0.00	9.35	92.0	8.60
09/01/2017	ROSS, NICOLE	AM FUNDS SHORT TERM BND FUND OF AM	0.00	0.30	0.00	0.30	92.0	0.28
09/01/2017	COLEMAN, PARISS	AM FUNDS SHORT TERM BND FUND OF AM	0.00	1.90	0.00	1.90	92.0	1.75
09/01/2017	KALE, DENNIS	AM FUNDS SHORT TERM BND FUND OF AM	0.00	0.32	0.00	0.32	92.0	0.29
09/01/2017	ROSS, MICHELLE L HUDS	AM FUNDS SHORT TERM BND FUND OF AM	0.00	7.41	0.00	7.41	92.0	6.82
09/01/2017	MOLNAR, COURTNEY	AM FUNDS SHORT TERM BND FUND OF AM	0.00	0.76	0.00	0.76	92.0	0.70
09/01/2017	LARSON, PENNY	AM FUNDS SHORT TERM TAXEXEMPT BND A	0.00	0.01	0.00	0.01	92.0	0.01
09/01/2017	DREIER, DAVID	AM FUNDS SMALLCAP WORLD A	0.00	1.98	0.00	1.98	92.0	1.82
09/01/2017	HOLT, JEAN	AM FUNDS SMALLCAP WORLD A	0.00	5.85	0.00	5.85	92.0	5.38
09/01/2017	HENDERSON, BARBARA	AM FUNDS SMALLCAP WORLD A	0.00	2.57	0.00	2.57	92.0	2.36
09/01/2017	PEARSON, JOHN	AM FUNDS SMALLCAP WORLD A	0.00	0.51	0.00	0.51	92.0	0.47
09/01/2017	KOTLARCZYK, JOSEPH	AM FUNDS SMALLCAP WORLD A	0.00	16.89	0.00	16.89	92.0	15.54
09/01/2017	KRALL, GARY	AM FUNDS SMALLCAP WORLD A	0.00	1.38	0.00	1.38	92.0	1.27
09/01/2017	BEE, SHARON	AM FUNDS SMALLCAP WORLD A	0.00	1.47	0.00	1.47	92.0	1.35
09/01/2017	MOLNAR, CONNIE	AM FUNDS SMALLCAP WORLD A	0.00	3.05	0.00	3.05	92.0	2.81
09/01/2017	RONEY, LINDA	AM FUNDS SMALLCAP WORLD A	0.00	6.25	0.00	6.25	92.0	5.75
09/01/2017	ROSS, MICHELLE L HUDS	AM FUNDS SMALLCAP WORLD A	0.00	0.81	0.00	0.81	92.0	0.75
09/01/2017	GOYER, TIMOTHY	AM FUNDS SMALLCAP WORLD A	0.00	1.90	0.00	1.90	92.0	1.75
09/01/2017	SWINDLE, DARRYL	AM FUNDS SMALLCAP WORLD A	0.00	1.07	0.00	1.07	92.0	0.98

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>BROKER TRANSACTIONS</u>								
PRODUCT CATEGORY: MUTUAL FUNDS								
09/01/2017	MARKJA, BERNADINE	AM FUNDS SMALLCAP WORLD A	0.00	2.04	0.00	2.04	92.0	1.88
09/01/2017	BRAITHWAITE, WILLIAM	AM FUNDS SMALLCAP WORLD A	0.00	1.07	0.00	1.07	92.0	0.98
09/01/2017	SHAFFER, LOREN	AM FUNDS SMALLCAP WORLD A	0.00	0.91	0.00	0.91	92.0	0.84
09/01/2017	BRILLHART, RYAN	AM FUNDS SMALLCAP WORLD A	0.00	0.41	0.00	0.41	92.0	0.38
09/01/2017	BRILLHART, RYAN	AM FUNDS SMALLCAP WORLD A	0.00	0.41	0.00	0.41	92.0	0.38
09/01/2017	MURPHY, JACK	AM FUNDS SMALLCAP WORLD A	0.00	1.44	0.00	1.44	92.0	1.32
09/01/2017	KOTLARCYK, JOSEPH	AM FUNDS SMALLCAP WORLD A	0.00	0.72	0.00	0.72	92.0	0.66
09/01/2017	GLORE, DANIEL	AM FUNDS SMALLCAP WORLD A	0.00	0.66	0.00	0.66	92.0	0.61
09/01/2017	MURPHY, CAROL	AM FUNDS SMALLCAP WORLD A	0.00	1.70	0.00	1.70	92.0	1.56
09/01/2017	SHAFFER, DENISE	AM FUNDS SMALLCAP WORLD A	0.00	2.76	0.00	2.76	92.0	2.54
09/01/2017	IRWIN, JOHN	AM FUNDS SMALLCAP WORLD A	0.00	6.37	0.00	6.37	92.0	5.86
09/01/2017	WALLS, KIMBERLY	AM FUNDS SMALLCAP WORLD A	0.00	0.57	0.00	0.57	92.0	0.52
09/01/2017	GLORE, CHRISTINE	AM FUNDS SMALLCAP WORLD A	0.00	1.85	0.00	1.85	92.0	1.70
09/01/2017	WHITTAKER, WILLIAM	AM FUNDS SMALLCAP WORLD A	0.00	5.36	0.00	5.36	92.0	4.93
09/01/2017	WHITTAKER, WILLIAM	AM FUNDS SMALLCAP WORLD A	0.00	15.46	0.00	15.46	92.0	14.22
09/01/2017	FLEMING, ANDREA	AM FUNDS SMALLCAP WORLD A	0.00	6.64	0.00	6.64	92.0	6.11
09/01/2017	HORN, TARA	AM FUNDS SMALLCAP WORLD A	0.00	3.19	0.00	3.19	92.0	2.93
09/01/2017	HILES, MARC	AM FUNDS SMALLCAP WORLD A	0.00	2.08	0.00	2.08	92.0	1.91
09/01/2017	GOYER, CALLIE	AM FUNDS SMALLCAP WORLD A	0.00	2.78	0.00	2.78	92.0	2.56
09/01/2017	SMITH, PADRAIC	AM FUNDS SMALLCAP WORLD A	0.00	1.04	0.00	1.04	92.0	0.96
09/01/2017	HALSEY, WILLIAM D	AM FUNDS SMALLCAP WORLD A	0.00	4.92	0.00	4.92	92.0	4.53
09/01/2017	GOYER, GRACE	AM FUNDS SMALLCAP WORLD A	0.00	0.87	0.00	0.87	92.0	0.80
09/01/2017	ZABORSKI, PAUL	AM FUNDS SMALLCAP WORLD A	0.00	1.80	0.00	1.80	92.0	1.66
09/01/2017	MARTIN, RACHEL	AM FUNDS SMALLCAP WORLD A	0.00	0.34	0.00	0.34	92.0	0.31
09/11/2017	HENDERSON, BARBARA	AM FUNDS SMALLCAP WORLD A	50.00	2.13	0.00	2.13	92.0	1.96
09/21/2017	MARTIN, RACHEL	AM FUNDS SMALLCAP WORLD A	35.00	1.49	0.00	1.49	92.0	1.37
09/01/2017	SEYMOUR, DONALD	AM FUNDS SMALLCAP WORLD C	0.00	34.14	0.00	34.14	92.0	31.41
09/01/2017	COLEMAN, LINDA	AM FUNDS SMALLCAP WORLD-529A	0.00	0.84	0.00	0.84	92.0	0.77
09/01/2017	HEINAMAN, ROBERT	AM FUNDS TAX-EXEMPT BOND FUND OF AM	0.00	0.27	0.00	0.27	92.0	0.25
09/01/2017	BRUMMETT, DOUGLAS	AM FUNDS TAX-EXEMPT BOND FUND OF AM	0.00	1.25	0.00	1.25	92.0	1.15
09/01/2017	VALADE, JOHN	AM FUNDS TAX-EXEMPT BOND FUND OF AM	0.00	0.05	0.00	0.05	92.0	0.05
09/01/2017	HEINAMAN, ROBERT	AM FUNDS TAX-EXEMPT BOND FUND OF AM	0.00	31.24	0.00	31.24	92.0	28.74
09/01/2017	SANDERSON, CATHY	AM FUNDS TAX-EXEMPT BOND FUND OF AM	0.00	1.34	0.00	1.34	92.0	1.23

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<u>BROKER TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
09/01/2017	MILLER, MICHAEL	AM FUNDS TAX-EXEMPT BOND FUND OF AM	0.00	1.54	0.00	1.54	92.0	1.42
09/01/2017	DECKER, MARY BETH	AM FUNDS TAX-EXEMPT BOND FUND OF AM	0.00	2.12	0.00	2.12	92.0	1.95
09/01/2017	ROSS, SALLY	AM FUNDS TAX-EXEMPT BOND FUND OF AM	0.00	1.05	0.00	1.05	92.0	0.97
09/01/2017	SUTHERLAND, BARBARA	AM FUNDS TAX-EXEMPT BOND FUND OF AM	0.00	0.83	0.00	0.83	92.0	0.76
09/01/2017	SANDERSON, CATHY	AM FUNDS TAX-EXEMPT BOND FUND OF AM	0.00	0.90	0.00	0.90	92.0	0.83
09/01/2017	ROSS, MICHELLE L HUDS	AM FUNDS TAX-EXEMPT BOND FUND OF AM	0.00	3.43	0.00	3.43	92.0	3.16
09/01/2017	MOORE, LINDA	AM FUNDS TAX-EXEMPT BOND FUND OF AM	0.00	3.97	0.00	3.97	92.0	3.65
09/01/2017	ROSS, MICHAEL C HUDSO	AM FUNDS TAX-EXEMPT BOND FUND OF AM	0.00	0.85	0.00	0.85	92.0	0.78
09/01/2017	MARKJA, BERNADINE	AM FUNDS TAX-EXEMPT BOND FUND OF AM	0.00	1.91	0.00	1.91	92.0	1.76
09/01/2017	BRAITHWAITE, MICHAEL	AM FUNDS TAX-EXEMPT BOND FUND OF AM	0.00	3.37	0.00	3.37	92.0	3.10
09/01/2017	SANDVIG TRUST, ANNE	AM FUNDS TAX-EXEMPT BOND FUND OF AM	0.00	1.89	0.00	1.89	92.0	1.74
09/01/2017	WASSERMAN, JULIE	AM FUNDS TAX-EXEMPT BOND FUND OF AM	0.00	0.05	0.00	0.05	92.0	0.05
09/01/2017	ISAACSON, ROBERT	AM FUNDS TAX-EXEMPT BOND FUND OF AM	0.00	15.69	0.00	15.69	92.0	14.43
09/01/2017	IRWIN, JOHN	AM FUNDS TAX-EXEMPT BOND FUND OF AM	0.00	31.74	0.00	31.74	92.0	29.20
09/01/2017	DECKER, MARY BETH	AM FUNDS TAX-EXEMPT BOND FUND OF AM	0.00	1.28	0.00	1.28	92.0	1.18
09/01/2017	TARRIS, CHRISTINE	AM FUNDS TAX-EXEMPT BOND FUND OF AM	0.00	6.04	0.00	6.04	92.0	5.56
09/01/2017	SILLIMAN, JEFFREY	AM FUNDS TAX-EXEMPT BOND FUND OF AM	0.00	3.52	0.00	3.52	92.0	3.24
09/01/2017	MOLNAR, JOSEPH	AM FUNDS TAX-EXEMPT BOND FUND OF AM	0.00	1.11	0.00	1.11	92.0	1.02
09/01/2017	ROSS, DANIEL	AM FUNDS TAX-EXEMPT BOND FUND OF AM	0.00	12.24	0.00	12.24	92.0	11.26
09/01/2017	BRILLHART, SHARON	AM FUNDS TAX-EXEMPT BOND FUND OF AM	0.00	2.27	0.00	2.27	92.0	2.09
09/01/2017	BRAITHWAITE, MICHAEL	AM FUNDS TAX-EXEMPT BOND FUND OF AM	0.00	0.71	0.00	0.71	92.0	0.65
09/01/2017	RUPP, MARJORIE	AM FUNDS TAX-EXEMPT BOND FUND OF AM	0.00	1.81	0.00	1.81	92.0	1.67
09/01/2017	ROSS, KRISTINE	AM FUNDS TAX-EXEMPT BOND FUND OF AM	0.00	3.10	0.00	3.10	92.0	2.85
09/01/2017	LECHUGA, CARRIE	AM FUNDS TAX-EXEMPT BOND FUND OF AM	0.00	0.24	0.00	0.24	92.0	0.22
09/01/2017	KISER, ELIZABETH	AM FUNDS TAX-EXEMPT BOND FUND OF AM	0.00	0.85	0.00	0.85	92.0	0.78
09/01/2017	KISER, EDWARD	AM FUNDS TAX-EXEMPT BOND FUND OF AM	0.00	0.79	0.00	0.79	92.0	0.73
09/01/2017	ZARAGOZA, JULIE	AM FUNDS TAX-EXEMPT BOND FUND OF AM	0.00	0.43	0.00	0.43	92.0	0.40
09/01/2017	BEAUPREZ, TAMMY	AM FUNDS TAX-EXEMPT BOND FUND OF AM	0.00	1.26	0.00	1.26	92.0	1.16
09/01/2017	BEAUPREZ, TAMMY	AM FUNDS TAX-EXEMPT BOND FUND OF AM	0.00	2.51	0.00	2.51	92.0	2.31
09/01/2017	SCHNEE, LEO	AM FUNDS TAX-EXEMPT BOND FUND OF AM	0.00	0.60	0.00	0.60	92.0	0.55
09/01/2017	GERMAN, MARIANNE	AM FUNDS TAX-EXEMPT BOND FUND OF AM	0.00	0.67	0.00	0.67	92.0	0.62
09/01/2017	BRILLHART, GREGORY	AM FUNDS TAX-EXEMPT BOND FUND OF AM	0.00	0.32	0.00	0.32	92.0	0.29
09/01/2017	FLEMING, ANDREA	AM FUNDS TAX-EXEMPT BOND FUND OF AM	0.00	3.25	0.00	3.25	92.0	2.99

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<u>BROKER TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
09/01/2017	WALBERG, PAUL	AM FUNDS TAX-EXEMPT BOND FUND OF AM	0.00	1.25	0.00	1.25	92.0	1.15
09/01/2017	BEAUPREZ, TAMMY	AM FUNDS TAX-EXEMPT BOND FUND OF AM	0.00	10.67	0.00	10.67	92.0	9.82
09/01/2017	IRWIN, JOHN	AM FUNDS TAX-EXEMPT BOND FUND OF AM	0.00	3.69	0.00	3.69	92.0	3.39
09/01/2017	IRWIN, JOYCE	AM FUNDS TAX-EXEMPT BOND FUND OF AM	0.00	0.32	0.00	0.32	92.0	0.29
09/01/2017	WOODRUFF, STEPHANIE	AM FUNDS TAX-EXEMPT BOND FUND OF AM	0.00	0.31	0.00	0.31	92.0	0.29
09/01/2017	WAGONER JR, JOHN	AM FUNDS TAX-EXEMPT BOND FUND OF AM	0.00	0.49	0.00	0.49	92.0	0.45
09/01/2017	WAGONER JR, JOHN	AM FUNDS TAX-EXEMPT BOND FUND OF AM	0.00	0.27	0.00	0.27	92.0	0.25
09/01/2017	WASSERMAN, RICHARD	AM FUNDS TAX-EXEMPT BOND FUND OF AM	0.00	0.04	0.00	0.04	92.0	0.04
09/01/2017	LARSON, PENNY	AM FUNDS TAX-EXEMPT BOND FUND OF AM	0.00	0.66	0.00	0.66	92.0	0.61
09/01/2017	COUSINO, NICHOLAS	AM FUNDS TAX-EXEMPT BOND FUND OF AM	0.00	5.63	0.00	5.63	92.0	5.18
09/01/2017	GROSVENOR, JOHN	AM FUNDS TAX-EXEMPT BOND FUND OF AM	0.00	1.76	0.00	1.76	92.0	1.62
09/01/2017	FAIRCHILD, KERRY	AM FUNDS TAX-EXEMPT BOND FUND OF AM	0.00	6.12	0.00	6.12	92.0	5.63
09/01/2017	WEBBER, ROBERT	AM FUNDS TAX-EXEMPT BOND FUND OF AM	0.00	0.33	0.00	0.33	92.0	0.30
09/01/2017	BIHN, JANELLE	AM FUNDS TAX-EXEMPT BOND FUND OF AM	0.00	2.47	0.00	2.47	92.0	2.27
09/01/2017	ROSS, MICHELLE L HUDS	AM FUNDS TAX-EXEMPT BOND FUND OF AM	0.00	0.88	0.00	0.88	92.0	0.81
09/01/2017	YOUNG, KEITH	AM FUNDS TAX-EXEMPT BOND FUND OF AM	0.00	0.13	0.00	0.13	92.0	0.12
09/01/2017	WHALEN, KELLY	AM FUNDS TAX-EXEMPT BOND FUND OF AM	0.00	0.15	0.00	0.15	92.0	0.14
09/01/2017	OH/TOD	AM FUNDS TAX-EXEMPT BOND FUND OF AM	0.00	3.13	0.00	3.13	92.0	2.88
09/01/2017	MOON, CHARLES	AM FUNDS TAX-EXEMPT BOND FUND OF AM	0.00	1.25	0.00	1.25	92.0	1.15
09/01/2017	ROSS, NICOLE	AM FUNDS TAX-EXEMPT BOND FUND OF AM	0.00	2.63	0.00	2.63	92.0	2.42
09/01/2017	SEYMOUR, DONALD	AM FUNDS TAX-EXEMPT BOND FUND OF AM	0.00	73.27	0.00	73.27	92.0	67.41
09/15/2017	ROSS, MICHELLE L HUDS	AM FUNDS TAX-EXEMPT BOND FUND OF AM	200.00	6.00	0.00	6.00	92.0	5.52
09/18/2017	ROSS, MICHELLE L HUDS	AM FUNDS TAX-EXEMPT BOND FUND OF AM	200.00	6.00	0.00	6.00	92.0	5.52
09/01/2017	BENSCH, CANDACE	AM FUNDS U.S. GOVERNMENT SECURITIES	0.00	1.60	0.00	1.60	92.0	1.47
09/01/2017	HEINAMAN, ROBERT	AM FUNDS U.S. GOVERNMENT SECURITIES	0.00	12.82	0.00	12.82	92.0	11.79
09/01/2017	SANDERSON, CATHY	AM FUNDS U.S. GOVERNMENT SECURITIES	0.00	1.27	0.00	1.27	92.0	1.17
09/01/2017	MILLER, MICHAEL	AM FUNDS U.S. GOVERNMENT SECURITIES	0.00	0.56	0.00	0.56	92.0	0.52
09/01/2017	DECKER, MARY BETH	AM FUNDS U.S. GOVERNMENT SECURITIES	0.00	1.21	0.00	1.21	92.0	1.11
09/01/2017	HENDERSON, BARBARA	AM FUNDS U.S. GOVERNMENT SECURITIES	0.00	1.26	0.00	1.26	92.0	1.16
09/01/2017	RONEY, LINDA	AM FUNDS U.S. GOVERNMENT SECURITIES	0.00	48.95	0.00	48.95	92.0	45.03
09/01/2017	KREMPA, CLAUDE	AM FUNDS U.S. GOVERNMENT SECURITIES	0.00	2.17	0.00	2.17	92.0	2.00
09/01/2017	SANDVIG TRUST, ANNE	AM FUNDS U.S. GOVERNMENT SECURITIES	0.00	1.47	0.00	1.47	92.0	1.35
09/01/2017	BRILLHART, RYAN	AM FUNDS U.S. GOVERNMENT SECURITIES	0.00	1.25	0.00	1.25	92.0	1.15

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<u>BROKER TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
09/01/2017	IRWIN, JOHN	AM FUNDS U.S. GOVERNMENT SECURITIES	0.00	11.57	0.00	11.57	92.0	10.64
09/01/2017	DECKER, MARY BETH	AM FUNDS U.S. GOVERNMENT SECURITIES	0.00	0.52	0.00	0.52	92.0	0.48
09/01/2017	SILLIMAN, JEFFREY	AM FUNDS U.S. GOVERNMENT SECURITIES	0.00	1.28	0.00	1.28	92.0	1.18
09/01/2017	ROSS, DANIEL	AM FUNDS U.S. GOVERNMENT SECURITIES	0.00	3.38	0.00	3.38	92.0	3.11
09/01/2017	SILLIMAN, GRACE	AM FUNDS U.S. GOVERNMENT SECURITIES	0.00	0.64	0.00	0.64	92.0	0.59
09/01/2017	ROSS, KRISTINE	AM FUNDS U.S. GOVERNMENT SECURITIES	0.00	3.10	0.00	3.10	92.0	2.85
09/01/2017	BEAUPREZ, TAMMY	AM FUNDS U.S. GOVERNMENT SECURITIES	0.00	1.73	0.00	1.73	92.0	1.59
09/01/2017	FLEMING, ANDREA	AM FUNDS U.S. GOVERNMENT SECURITIES	0.00	22.85	0.00	22.85	92.0	21.02
09/01/2017	BEAUPREZ, TAMMY	AM FUNDS U.S. GOVERNMENT SECURITIES	0.00	8.77	0.00	8.77	92.0	8.07
09/01/2017	SMITH, SUZANNE	AM FUNDS U.S. GOVERNMENT SECURITIES	0.00	1.92	0.00	1.92	92.0	1.77
09/01/2017	SMITH, PADRAIC	AM FUNDS U.S. GOVERNMENT SECURITIES	0.00	2.39	0.00	2.39	92.0	2.20
09/01/2017	NICHOLSON, JAMES	AM FUNDS U.S. GOVERNMENT SECURITIES	0.00	6.42	0.00	6.42	92.0	5.91
09/01/2017	WOODRUFF, STEPHANIE	AM FUNDS U.S. GOVERNMENT SECURITIES	0.00	0.18	0.00	0.18	92.0	0.17
09/01/2017	DONNELLY, EMILY	AM FUNDS U.S. GOVERNMENT SECURITIES	0.00	0.31	0.00	0.31	92.0	0.29
09/01/2017	OH/TOD	AM FUNDS U.S. GOVERNMENT SECURITIES	0.00	3.14	0.00	3.14	92.0	2.89
09/01/2017	ROSS, MICHELLE L HUDS	AM FUNDS U.S. GOVERNMENT SECURITIES	0.00	6.36	0.00	6.36	92.0	5.85
09/01/2017	ROSS, MICHELLE L HUDS	AM FUNDS U.S. GOVERNMENT SECURITIES	0.00	0.92	0.00	0.92	92.0	0.85
09/01/2017	BLAKE, MIRIAM	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	1.08	0.00	1.08	92.0	0.99
09/01/2017	BENSCH, CANDACE	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	1.83	0.00	1.83	92.0	1.68
09/01/2017	DREIER, DAVID	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	2.03	0.00	2.03	92.0	1.87
09/01/2017	COMBS, BRIAN	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	2.44	0.00	2.44	92.0	2.24
09/01/2017	SWINDLE, CYNTHIA	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.92	0.00	0.92	92.0	0.85
09/01/2017	ROSS, SALLY	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	2.62	0.00	2.62	92.0	2.41
09/01/2017	KOTLARCZYK, JOSEPH	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	8.74	0.00	8.74	92.0	8.04
09/01/2017	KRALL, GARY	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	3.80	0.00	3.80	92.0	3.50
09/01/2017	RONEY, LINDA	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	30.59	0.00	30.59	92.0	28.14
09/01/2017	ZUCCARELL, HEATHER	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	1.11	0.00	1.11	92.0	1.02
09/01/2017	ZUCCARELL, MATTHEW	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	2.22	0.00	2.22	92.0	2.04
09/01/2017	WOODRUFF, AUSTIN	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	2.03	0.00	2.03	92.0	1.87
09/01/2017	DAY, CHERYL	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.26	0.00	0.26	92.0	0.24
09/01/2017	SMOOT, C STEVEN	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	17.98	0.00	17.98	92.0	16.54
09/01/2017	HANUDEL, KAREN	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	7.69	0.00	7.69	92.0	7.07
09/01/2017	URSITTI, MATTHEW	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	4.04	0.00	4.04	92.0	3.72

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>BROKER TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
09/01/2017	HUNTER, MICHAEL	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	1.92	0.00	1.92	92.0	1.77
09/01/2017	BRILLHART, RYAN	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	1.95	0.00	1.95	92.0	1.79
09/01/2017	BRILLHART, RYAN	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.54	0.00	0.54	92.0	0.50
09/01/2017	BRILLHART, RYAN	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.65	0.00	0.65	92.0	0.60
09/01/2017	KOTLARCZYK, JOSEPH	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	2.46	0.00	2.46	92.0	2.26
09/01/2017	KOTLARCZYK, JANA	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	1.06	0.00	1.06	92.0	0.98
09/01/2017	HARRISON, JEFFERY	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	3.94	0.00	3.94	92.0	3.62
09/01/2017	MURPHY, CAROL	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	5.17	0.00	5.17	92.0	4.76
09/01/2017	SHAFFER, DENISE	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	3.11	0.00	3.11	92.0	2.86
09/01/2017	MORNINGSTAR, MICHELLE	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	1.38	0.00	1.38	92.0	1.27
09/01/2017	WASSERMAN, JULIE	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.60	0.00	0.60	92.0	0.55
09/01/2017	JAKSETIC, ZACHARY	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.38	0.00	0.38	92.0	0.35
09/01/2017	HAUSER, ROBERT	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	11.93	0.00	11.93	92.0	10.98
09/01/2017	HAUSER, RONALD	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	3.36	0.00	3.36	92.0	3.09
09/01/2017	WALLS, KIMBERLY	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.42	0.00	0.42	92.0	0.39
09/01/2017	KRAUS, JENNIFER	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	2.14	0.00	2.14	92.0	1.97
09/01/2017	MOLNAR, JOSEPH	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	2.88	0.00	2.88	92.0	2.65
09/01/2017	KORAL, ANDREW	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.40	0.00	0.40	92.0	0.37
09/01/2017	ROSS, DANIEL	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	1.62	0.00	1.62	92.0	1.49
09/01/2017	CASTOR, TIMOTHY	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.66	0.00	0.66	92.0	0.61
09/01/2017	HELMINIAK, CAROLYN	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	1.56	0.00	1.56	92.0	1.44
09/01/2017	CURSON, STEVE	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	1.64	0.00	1.64	92.0	1.51
09/01/2017	ROSS, PATRICK	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.63	0.00	0.63	92.0	0.58
09/01/2017	WHITTAKER, WILLIAM	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	12.19	0.00	12.19	92.0	11.21
09/01/2017	BEAUPREZ, TAMMY	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	1.49	0.00	1.49	92.0	1.37
09/01/2017	FLEMING, ANDREA	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	6.40	0.00	6.40	92.0	5.89
09/01/2017	BEAUPREZ, TAMMY	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	12.05	0.00	12.05	92.0	11.09
09/01/2017	HALSEY, DEBORAH	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	2.58	0.00	2.58	92.0	2.37
09/01/2017	KORAKAS, SANDRA	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.62	0.00	0.62	92.0	0.57
09/01/2017	BENSCH, JEFFREY	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	3.55	0.00	3.55	92.0	3.27
09/01/2017	HILES, MARC	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	2.69	0.00	2.69	92.0	2.47
09/01/2017	GOYER, CALLIE	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	2.97	0.00	2.97	92.0	2.73
09/01/2017	WASSERMAN, RICHARD	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.76	0.00	0.76	92.0	0.70

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<u>BROKER TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
09/01/2017	GOYER, GRACE	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	1.86	0.00	1.86	92.0	1.71
09/01/2017	STOUT, DAVID	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	2.70	0.00	2.70	92.0	2.48
09/01/2017	FAIRCHILD, KERRY	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	2.19	0.00	2.19	92.0	2.01
09/01/2017	WHALEN, KELLY	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.60	0.00	0.60	92.0	0.55
09/01/2017	OH/TOD	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	1.92	0.00	1.92	92.0	1.77
09/01/2017	COLEMAN, PARISS	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	5.58	0.00	5.58	92.0	5.13
09/01/2017	SEYMOUR, DONALD	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	139.27	0.00	139.27	92.0	128.13
09/01/2017	ZUCCARELL, MATTHEW	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.48	0.00	0.48	92.0	0.44
09/01/2017	HUNTER, DEBORAH	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	6.20	0.00	6.20	92.0	5.70
09/01/2017	ZUCCARELL, MATTHEW	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.44	0.00	0.44	92.0	0.40
09/01/2017	SEYMOUR, DONALD	AMERICAN FUNDS 2015 TARGET DATE-C	0.00	22.53	0.00	22.53	92.0	20.73
09/01/2017	SEYMOUR, DONALD	AMERICAN FUNDS 2020 TARGET DATE-C	0.00	38.75	0.00	38.75	92.0	35.65
09/01/2017	SHELNICK, CATHERINE	AMERICAN FUNDS INCOME PF -529A	0.00	20.72	0.00	20.72	92.0	19.06
09/01/2017	SHELNICK, CATHERINE	AMERICAN FUNDS INCOME PF -529A	0.00	18.84	0.00	18.84	92.0	17.33
09/01/2017	SEYMOUR, DONALD	AMERICAN HIGH-INCOME MUNI BOND FUND	0.00	65.46	0.00	65.46	92.0	60.22
09/01/2017	WOODRUFF, STEPHANIE	INFLATION LINKED BOND FUND A	0.00	0.71	0.00	0.71	92.0	0.65
* MUTUAL FUNDS SUBTOTAL *			\$1,025.00	\$5,917.44	\$0.00	\$5,917.44		\$5,443.99
<u>PRODUCT CATEGORY: VARIABLE ANNUITIES</u>								
09/18/2017	REEVES, TERRENCE	MML ARTISTRY	140.00	7.70	0.00	7.70	92.0	7.08
* VARIABLE ANNUITIES SUBTOTAL *			\$140.00	\$7.70	\$0.00	\$7.70		\$7.08
*** BROKER TRANSACTIONS TOTAL ***			\$1,165.00	\$5,925.14	\$0.00	\$5,925.14		\$5,451.07

OVERRIDE TRANSACTIONS**BROKER: THOMAS HALSEY #82**

09/01/2017	ABBE JR, GARY	AM FUNDS AMCAP A	0.00	1.75	0.00	1.75	85.0	0.12
09/01/2017	PAPIO, AARON	AM FUNDS AMCAP A	0.00	0.59	0.00	0.59	85.0	0.04
09/01/2017	PRZBYLSKI, MICHAEL	AM FUNDS AMERICAN BALANCED A	0.00	5.69	0.00	5.69	85.0	0.40
09/01/2017	NOWAK, COLETTE	AM FUNDS AMERICAN BALANCED A	0.00	0.85	0.00	0.85	85.0	0.06
09/01/2017	PRZYBYLSKI, JOSHUA	AM FUNDS AMERICAN BALANCED A	0.00	3.65	0.00	3.65	85.0	0.26
09/01/2017	FOSTER, JOHN	AM FUNDS AMERICAN BALANCED A	0.00	0.47	0.00	0.47	85.0	0.03
09/01/2017	WRAY, KIM	AM FUNDS AMERICAN BALANCED A	0.00	10.69	0.00	10.69	85.0	0.75
09/01/2017	PAPIO, JOE	AM FUNDS AMERICAN BALANCED A	0.00	0.63	0.00	0.63	85.0	0.04

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<u> OVERRIDE TRANSACTIONS </u>								
<u> BROKER: THOMAS HALSEY #82 </u>								
09/01/2017	DENHAM, CONSTANCE	AM FUNDS AMERICAN BALANCED A	0.00	1.27	0.00	1.27	85.0	0.09
09/01/2017	ZORNOW TRUST, BETTY	AM FUNDS AMERICAN BALANCED A	0.00	9.61	0.00	9.61	85.0	0.67
09/01/2017	FRANTZ, JUDITH	AM FUNDS AMERICAN BALANCED A	0.00	0.35	0.00	0.35	85.0	0.02
09/01/2017	MEREDITH, TERESE	AM FUNDS AMERICAN BALANCED A	0.00	2.31	0.00	2.31	85.0	0.16
09/01/2017	RIEBE, MICHAEL	AM FUNDS AMERICAN BALANCED A	0.00	4.44	0.00	4.44	85.0	0.31
09/01/2017	KRAMER, DELANEY	AM FUNDS AMERICAN BALANCED A	0.00	0.22	0.00	0.22	85.0	0.02
09/01/2017	KRAMER, KARYS	AM FUNDS AMERICAN BALANCED A	0.00	0.26	0.00	0.26	85.0	0.02
09/01/2017	SAPP, ANGELAMARIE	AM FUNDS AMERICAN BALANCED A	0.00	0.68	0.00	0.68	85.0	0.05
09/01/2017	ALDRICH, SUSAN	AM FUNDS AMERICAN BALANCED A	0.00	0.22	0.00	0.22	85.0	0.02
09/01/2017	LEININGER, KENNETH	AM FUNDS AMERICAN BALANCED A	0.00	3.04	0.00	3.04	85.0	0.21
09/01/2017	PERRY, CAROL	AM FUNDS AMERICAN BALANCED A	0.00	7.06	0.00	7.06	85.0	0.49
09/01/2017	DIENER, RONALD	AM FUNDS AMERICAN HIGH-INC MUNI BON	0.00	9.41	0.00	9.41	85.0	0.66
09/01/2017	RIEBE, MICHAEL	AM FUNDS AMERICAN HIGH-INC MUNI BON	0.00	1.04	0.00	1.04	85.0	0.07
09/01/2017	WRAY, KIM	AM FUNDS AMERICAN HIGH-INC MUNI BON	0.00	1.29	0.00	1.29	85.0	0.09
09/01/2017	FRANTZ, JUDITH	AM FUNDS AMERICAN HIGH-INC MUNI BON	0.00	0.41	0.00	0.41	85.0	0.03
09/01/2017	RICHARDS, STEPHEN	AM FUNDS AMERICAN HIGH-INC MUNI BON	0.00	1.86	0.00	1.86	85.0	0.13
09/01/2017	DESELMS, RAYMOND	AM FUNDS AMERICAN HIGH-INC MUNI BON	0.00	0.20	0.00	0.20	85.0	0.01
09/01/2017	HALSEY, WILLIAM	AM FUNDS AMERICAN HIGH-INC MUNI BON	0.00	0.17	0.00	0.17	85.0	0.01
09/01/2017	HARRISON, JERRY	AM FUNDS AMERICAN HIGH-INC MUNI BON	0.00	2.18	0.00	2.18	85.0	0.15
09/01/2017	PERRY, CAROL	AM FUNDS AMERICAN HIGH-INC MUNI BON	0.00	6.07	0.00	6.07	85.0	0.42
09/01/2017	VESEY, CAROL	AM FUNDS AMERICAN HIGH-INC MUNI BON	0.00	0.35	0.00	0.35	85.0	0.02
09/01/2017	DIENER, RONALD	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	19.61	0.00	19.61	85.0	1.37
09/01/2017	DESELMS, ROBERT	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	1.67	0.00	1.67	85.0	0.12
09/01/2017	DESELMS, ELEVLYN	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	6.90	0.00	6.90	85.0	0.48
09/01/2017	PRZBYLSKI, MICHAEL	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	3.85	0.00	3.85	85.0	0.27
09/01/2017	PRZYBYLSKI, JEREMIAH	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	0.43	0.00	0.43	85.0	0.03
09/01/2017	FRANTZ, JUDITH	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	0.68	0.00	0.68	85.0	0.05
09/01/2017	BAKER, ELAINE	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	5.30	0.00	5.30	85.0	0.37
09/01/2017	NOWAK, COLETTE	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	0.70	0.00	0.70	85.0	0.05
09/01/2017	BAUMGARTNER, DIANA	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	5.70	0.00	5.70	85.0	0.40
09/01/2017	DESELMS, RAYMOND	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	1.21	0.00	1.21	85.0	0.08
09/01/2017	RIEBE, MICHAEL	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	0.72	0.00	0.72	85.0	0.05
09/01/2017	HAWBLITZ, PETER	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	3.41	0.00	3.41	85.0	0.24

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<u> OVERRIDE TRANSACTIONS </u>								
<u> BROKER: THOMAS HALSEY #82 </u>								
09/01/2017	WRAY, KIM	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	5.28	0.00	5.28	85.0	0.37
09/01/2017	ZORNOW TRUST, BETTY	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	7.84	0.00	7.84	85.0	0.55
09/01/2017	FRANTZ, JUDITH	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	0.26	0.00	0.26	85.0	0.02
09/01/2017	DESELMS, RAYMOND	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	0.37	0.00	0.37	85.0	0.03
09/01/2017	HALSEY, WILLIAM	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	0.18	0.00	0.18	85.0	0.01
09/01/2017	ABBE JR, GARY	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	1.78	0.00	1.78	85.0	0.12
09/01/2017	HARRISON, JERRY	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	1.42	0.00	1.42	85.0	0.10
09/01/2017	DREEZE, MARCELINA	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	0.74	0.00	0.74	85.0	0.05
09/01/2017	MI/TOD	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	1.40	0.00	1.40	85.0	0.10
09/01/2017	PERRY, CAROL	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	10.78	0.00	10.78	85.0	0.75
09/01/2017	VESEY, CAROL	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	0.74	0.00	0.74	85.0	0.05
09/01/2017	MEREDITH, JEFFERY	AM FUNDS AMERICAN MUTUAL A	0.00	2.34	0.00	2.34	85.0	0.16
09/01/2017	PRZBYLSKI, MICHAEL	AM FUNDS BOND FUND OF AMERICA A	0.00	3.35	0.00	3.35	85.0	0.23
09/01/2017	FOSTER, JOHN	AM FUNDS BOND FUND OF AMERICA A	0.00	0.34	0.00	0.34	85.0	0.02
09/01/2017	ZORNOW TRUST, BETTY	AM FUNDS BOND FUND OF AMERICA A	0.00	4.32	0.00	4.32	85.0	0.30
09/01/2017	RIEBE, MICHAEL	AM FUNDS BOND FUND OF AMERICA A	0.00	3.40	0.00	3.40	85.0	0.24
09/01/2017	HALSEY, WILLIAM	AM FUNDS BOND FUND OF AMERICA A	0.00	0.17	0.00	0.17	85.0	0.01
09/01/2017	DIENER, RONALD	AM FUNDS CAPITAL INCOME BUILDER A	0.00	9.13	0.00	9.13	85.0	0.64
09/01/2017	DESELMS, ELEVLYN	AM FUNDS CAPITAL INCOME BUILDER A	0.00	8.72	0.00	8.72	85.0	0.61
09/01/2017	KREMPEC, JEFFREY	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.81	0.00	0.81	85.0	0.06
09/01/2017	LEININGER, LISA	AM FUNDS CAPITAL INCOME BUILDER A	0.00	1.32	0.00	1.32	85.0	0.09
09/01/2017	FRANTZ, JUDITH	AM FUNDS CAPITAL INCOME BUILDER A	0.00	1.29	0.00	1.29	85.0	0.09
09/01/2017	BAKER, ELAINE	AM FUNDS CAPITAL INCOME BUILDER A	0.00	5.75	0.00	5.75	85.0	0.40
09/01/2017	NOWAK, COLETTE	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.74	0.00	0.74	85.0	0.05
09/01/2017	BAUMGARTNER, DIANA	AM FUNDS CAPITAL INCOME BUILDER A	0.00	4.65	0.00	4.65	85.0	0.33
09/01/2017	PRZYBYLSKI, JOSHUA	AM FUNDS CAPITAL INCOME BUILDER A	0.00	2.45	0.00	2.45	85.0	0.17
09/01/2017	FOSTER, JOHN	AM FUNDS CAPITAL INCOME BUILDER A	0.00	1.62	0.00	1.62	85.0	0.11
09/01/2017	WRAY, KIM	AM FUNDS CAPITAL INCOME BUILDER A	0.00	13.00	0.00	13.00	85.0	0.91
09/01/2017	EYLER, BARBARA	AM FUNDS CAPITAL INCOME BUILDER A	0.00	6.22	0.00	6.22	85.0	0.44
09/01/2017	JOHNSON, CHARLES	AM FUNDS CAPITAL INCOME BUILDER A	0.00	1.00	0.00	1.00	85.0	0.07
09/01/2017	ZORNOW TRUST, BETTY	AM FUNDS CAPITAL INCOME BUILDER A	0.00	9.30	0.00	9.30	85.0	0.65
09/01/2017	MEREDITH, TERESE	AM FUNDS CAPITAL INCOME BUILDER A	0.00	1.80	0.00	1.80	85.0	0.13
09/01/2017	DESELMS, RAYMOND	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.28	0.00	0.28	85.0	0.02

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<u> OVERRIDE TRANSACTIONS </u>								
<u> BROKER: THOMAS HALSEY #82 </u>								
09/01/2017	KRIEGER, RENEE	AM FUNDS CAPITAL INCOME BUILDER A	0.00	9.12	0.00	9.12	85.0	0.64
09/01/2017	RIEBE, MICHAEL	AM FUNDS CAPITAL INCOME BUILDER A	0.00	3.85	0.00	3.85	85.0	0.27
09/01/2017	FISHER, SCOTT TW	AM FUNDS CAPITAL INCOME BUILDER A	0.00	3.36	0.00	3.36	85.0	0.24
09/01/2017	FRENCH, VICTORIA	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.25	0.00	0.25	85.0	0.02
09/01/2017	FRENCH, RICHARD	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.25	0.00	0.25	85.0	0.02
09/01/2017	BELKOFER, STACEY	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.49	0.00	0.49	85.0	0.03
09/01/2017	BELKOFER, STACEY	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.57	0.00	0.57	85.0	0.04
09/01/2017	KRAL, ADAM	AM FUNDS CAPITAL INCOME BUILDER A	0.00	2.45	0.00	2.45	85.0	0.17
09/01/2017	DREEZE, MARCELINA	AM FUNDS CAPITAL INCOME BUILDER A	0.00	1.43	0.00	1.43	85.0	0.10
09/01/2017	STACY, ROSS	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.27	0.00	0.27	85.0	0.02
09/01/2017	CANNON, BARBARA	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.49	0.00	0.49	85.0	0.03
09/01/2017	SAPP, ANGELAMARIE	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.66	0.00	0.66	85.0	0.05
09/01/2017	LATTA, MARY	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.93	0.00	0.93	85.0	0.07
09/01/2017	AUGUSTYNIAK, ROGER	AM FUNDS CAPITAL INCOME BUILDER A	0.00	6.76	0.00	6.76	85.0	0.47
09/01/2017	MI/TOD	AM FUNDS CAPITAL INCOME BUILDER A	0.00	4.15	0.00	4.15	85.0	0.29
09/01/2017	PERRY, CAROL	AM FUNDS CAPITAL INCOME BUILDER A	0.00	5.59	0.00	5.59	85.0	0.39
09/01/2017	VESEY, CAROL	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.68	0.00	0.68	85.0	0.05
09/01/2017	DIENER, RONALD	AM FUNDS CAPITAL WORLD BOND A	0.00	9.50	0.00	9.50	85.0	0.67
09/01/2017	HAWBLITZ TRUST, AGNES	AM FUNDS CAPITAL WORLD BOND A	0.00	5.82	0.00	5.82	85.0	0.41
09/01/2017	HAWBLITZ TRUST, PETER	AM FUNDS CAPITAL WORLD BOND A	0.00	5.82	0.00	5.82	85.0	0.41
09/01/2017	HALSEY, WILLIAM	AM FUNDS CAPITAL WORLD BOND A	0.00	0.16	0.00	0.16	85.0	0.01
09/01/2017	BELKOFER, STACEY	AM FUNDS CAPITAL WORLD BOND A	0.00	0.32	0.00	0.32	85.0	0.02
09/01/2017	MI/TOD	AM FUNDS CAPITAL WORLD BOND A	0.00	1.53	0.00	1.53	85.0	0.11
09/01/2017	DIENER, RONALD	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	2.52	0.00	2.52	85.0	0.18
09/01/2017	DESELMS, ROBERT	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.49	0.00	0.49	85.0	0.03
09/01/2017	DESELMS, ELEVLYN	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	10.55	0.00	10.55	85.0	0.74
09/01/2017	PRZBYLSKI, MICHAEL	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	7.83	0.00	7.83	85.0	0.55
09/01/2017	KREMPEC, JEFFREY	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.72	0.00	0.72	85.0	0.05
09/01/2017	LEININGER, LISA	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	2.05	0.00	2.05	85.0	0.14
09/01/2017	FRANTZ, JUDITH	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.48	0.00	0.48	85.0	0.03
09/01/2017	BAKER, ELAINE	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	10.75	0.00	10.75	85.0	0.75
09/01/2017	JOHNSON, ZACHARY	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.95	0.00	0.95	85.0	0.07
09/01/2017	DESELMS, RAYMOND	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	2.73	0.00	2.73	85.0	0.19

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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 HALSEY #82</u>								
09/01/2017	DESELMS, RAYMOND	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	2.81	0.00	2.81	85.0	0.20
09/01/2017	JOHNSON, CHLOE	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.97	0.00	0.97	85.0	0.07
09/01/2017	RIEBE, MICHAEL	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	1.52	0.00	1.52	85.0	0.11
09/01/2017	PRZYBYLSKI, JOSHUA	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	1.41	0.00	1.41	85.0	0.10
09/01/2017	WRAY, KIM	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	6.18	0.00	6.18	85.0	0.43
09/01/2017	EYLER, BARBARA	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	5.77	0.00	5.77	85.0	0.40
09/01/2017	DESELMS, ROBERT	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.48	0.00	0.48	85.0	0.03
09/01/2017	PAPIO, STEPHANIE	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.42	0.00	0.42	85.0	0.03
09/01/2017	PAPIO, JOE	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.44	0.00	0.44	85.0	0.03
09/01/2017	JOHNSON, CHARLES	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	1.17	0.00	1.17	85.0	0.08
09/01/2017	ZORNOW TRUST, BETTY	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	8.61	0.00	8.61	85.0	0.60
09/01/2017	MEREDITH, JEFFERY	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	2.90	0.00	2.90	85.0	0.20
09/01/2017	KRAMER, TRISTON	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.48	0.00	0.48	85.0	0.03
09/01/2017	ZORNOW, JORDAN	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	1.09	0.00	1.09	85.0	0.08
09/01/2017	DESELMS, RAYMOND	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.28	0.00	0.28	85.0	0.02
09/01/2017	KRIEGER, RENEE	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	8.85	0.00	8.85	85.0	0.62
09/01/2017	LEININGER, CHRISTAH	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.64	0.00	0.64	85.0	0.04
09/01/2017	ABBE JR, GARY	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.49	0.00	0.49	85.0	0.03
09/01/2017	BELKOFER, STACEY	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.39	0.00	0.39	85.0	0.03
09/01/2017	BELKOFER, STACEY	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.40	0.00	0.40	85.0	0.03
09/01/2017	HARRISON, JERRY	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	1.46	0.00	1.46	85.0	0.10
09/01/2017	DREEZE, MARCELINA	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	1.11	0.00	1.11	85.0	0.08
09/01/2017	STACY, ROSS	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.19	0.00	0.19	85.0	0.01
09/01/2017	CANNON, BARBARA	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.47	0.00	0.47	85.0	0.03
09/01/2017	GRAHAM, DAVID	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.20	0.00	0.20	85.0	0.01
09/01/2017	AUGUSTYNIAK, ROGER	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	8.38	0.00	8.38	85.0	0.59
09/01/2017	MI/TOD	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	5.86	0.00	5.86	85.0	0.41
09/01/2017	LEININGER, KENNETH	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	2.96	0.00	2.96	85.0	0.21
09/01/2017	PERRY, CAROL	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	10.39	0.00	10.39	85.0	0.73
09/01/2017	VESEY, CAROL	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.43	0.00	0.43	85.0	0.03
09/01/2017	FRANTZ, JUDITH	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	0.31	0.00	0.31	85.0	0.02
09/01/2017	WRAY, KIM	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	5.37	0.00	5.37	85.0	0.38
09/01/2017	ZORNOW, JORDAN	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	1.45	0.00	1.45	85.0	0.10

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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 HALSEY #82 </u>								
09/01/2017	FISHER, SCOTT TW	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	3.44	0.00	3.44	85.0	0.24
09/01/2017	LEININGER, KENNETH	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	1.47	0.00	1.47	85.0	0.10
09/01/2017	DIENER, RONALD	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	7.42	0.00	7.42	85.0	0.52
09/01/2017	DESELMS, ROBERT	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	1.23	0.00	1.23	85.0	0.09
09/01/2017	DESELMS, ELEVLYN	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	11.57	0.00	11.57	85.0	0.81
09/01/2017	PRZBYLSKI, MICHAEL	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	17.70	0.00	17.70	85.0	1.24
09/01/2017	KREMPEC, JEFFREY	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	1.12	0.00	1.12	85.0	0.08
09/01/2017	LEININGER, LISA	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	2.65	0.00	2.65	85.0	0.19
09/01/2017	FOSTER, JOHN	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	0.77	0.00	0.77	85.0	0.05
09/01/2017	FRANTZ, JUDITH	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	1.05	0.00	1.05	85.0	0.07
09/01/2017	BAKER, ELAINE	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	7.50	0.00	7.50	85.0	0.53
09/01/2017	DESELMS, RAYMOND	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	2.37	0.00	2.37	85.0	0.17
09/01/2017	DESELMS, RAYMOND	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	2.15	0.00	2.15	85.0	0.15
09/01/2017	WRAY, KIM	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	5.89	0.00	5.89	85.0	0.41
09/01/2017	EYLER, BARBARA	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	13.51	0.00	13.51	85.0	0.95
09/01/2017	DESELMS, ROBERT	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	2.53	0.00	2.53	85.0	0.18
09/01/2017	DENHAM, CONSTANCE	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	1.11	0.00	1.11	85.0	0.08
09/01/2017	JOHNSON, CHARLES	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	1.58	0.00	1.58	85.0	0.11
09/01/2017	ZORNOW TRUST, BETTY	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	13.99	0.00	13.99	85.0	0.98
09/01/2017	FRANTZ, JUDITH	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	0.41	0.00	0.41	85.0	0.03
09/01/2017	MEREDITH, TERESE	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	3.05	0.00	3.05	85.0	0.21
09/01/2017	MEREDITH, JEFFERY	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	2.44	0.00	2.44	85.0	0.17
09/01/2017	KRAMER, TRISTON	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	0.84	0.00	0.84	85.0	0.06
09/01/2017	ZORNOW, JORDAN	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	2.71	0.00	2.71	85.0	0.19
09/01/2017	DESELMS, RAYMOND	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	0.43	0.00	0.43	85.0	0.03
09/01/2017	LEININGER, CHRISTAH	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	0.58	0.00	0.58	85.0	0.04
09/01/2017	FISHER, SCOTT TW	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	5.09	0.00	5.09	85.0	0.36
09/01/2017	HALSEY, WILLIAM	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	0.20	0.00	0.20	85.0	0.01
09/01/2017	LEININGER, ZACHARY	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	0.29	0.00	0.29	85.0	0.02
09/01/2017	LEININGER, ELI	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	0.29	0.00	0.29	85.0	0.02
09/01/2017	FRENCH, VICTORIA	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	0.51	0.00	0.51	85.0	0.04
09/01/2017	FRENCH, RICHARD	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	0.51	0.00	0.51	85.0	0.04
09/01/2017	KRAMER, DELANEY	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	0.25	0.00	0.25	85.0	0.02

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<u> OVERRIDE TRANSACTIONS </u>								
<u> BROKER: THOMAS HALSEY #82 </u>								
09/01/2017	ABBE JR, GARY	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	4.08	0.00	4.08	85.0	0.29
09/01/2017	BELKOFER, STACEY	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	0.30	0.00	0.30	85.0	0.02
09/01/2017	BELKOFER, STACEY	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	0.19	0.00	0.19	85.0	0.01
09/01/2017	KRAMER, KARYS	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	0.31	0.00	0.31	85.0	0.02
09/01/2017	HARRISON, JERRY	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	2.44	0.00	2.44	85.0	0.17
09/01/2017	DREEZE, MARCELINA	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	1.70	0.00	1.70	85.0	0.12
09/01/2017	STACY, ROSS	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	0.72	0.00	0.72	85.0	0.05
09/01/2017	CANNON, BARBARA	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	0.67	0.00	0.67	85.0	0.05
09/01/2017	SAPP, ANGELAMARIE	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	0.95	0.00	0.95	85.0	0.07
09/01/2017	LATTA, MARY	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	1.20	0.00	1.20	85.0	0.08
09/01/2017	ALDRICH, SUSAN	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	0.24	0.00	0.24	85.0	0.02
09/01/2017	AUGUSTYNIAK, ROGER	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	11.54	0.00	11.54	85.0	0.81
09/01/2017	MI/TOD	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	7.46	0.00	7.46	85.0	0.52
09/01/2017	PAPPIO, AARON	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	0.36	0.00	0.36	85.0	0.03
09/01/2017	LEININGER, KENNETH	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	3.05	0.00	3.05	85.0	0.21
09/01/2017	PERRY, CAROL	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	9.80	0.00	9.80	85.0	0.69
09/01/2017	DENHAM, CONSTANCE	AM FUNDS GLOBAL BALANCED A	0.00	0.42	0.00	0.42	85.0	0.03
09/01/2017	DIENER, RONALD	AM FUNDS GROWTH FUND OF AMERICA A	0.00	2.53	0.00	2.53	85.0	0.18
09/01/2017	PRZBYLSKI, MICHAEL	AM FUNDS GROWTH FUND OF AMERICA A	0.00	3.37	0.00	3.37	85.0	0.24
09/01/2017	BAKER, ELAINE	AM FUNDS GROWTH FUND OF AMERICA A	0.00	6.48	0.00	6.48	85.0	0.45
09/01/2017	NOWAK, COLETTE	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.51	0.00	0.51	85.0	0.04
09/01/2017	BAUMGARTNER, DIANA	AM FUNDS GROWTH FUND OF AMERICA A	0.00	2.87	0.00	2.87	85.0	0.20
09/01/2017	PRZYBYLSKI, JOSHUA	AM FUNDS GROWTH FUND OF AMERICA A	0.00	2.75	0.00	2.75	85.0	0.19
09/01/2017	FOSTER, JOHN	AM FUNDS GROWTH FUND OF AMERICA A	0.00	1.15	0.00	1.15	85.0	0.08
09/01/2017	WRAY, KIM	AM FUNDS GROWTH FUND OF AMERICA A	0.00	3.59	0.00	3.59	85.0	0.25
09/01/2017	DESELMS, RAYMOND	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.43	0.00	0.43	85.0	0.03
09/01/2017	KRAMER, DELANEY	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.26	0.00	0.26	85.0	0.02
09/01/2017	BELKOFER, STACEY	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.57	0.00	0.57	85.0	0.04
09/01/2017	KRAMER, KARYS	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.32	0.00	0.32	85.0	0.02
09/01/2017	SAPP, ANGELAMARIE	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.17	0.00	0.17	85.0	0.01
09/01/2017	AUGUSTYNIAK, ROGER	AM FUNDS GROWTH FUND OF AMERICA A	0.00	3.80	0.00	3.80	85.0	0.27
09/01/2017	LEININGER, KENNETH	AM FUNDS GROWTH FUND OF AMERICA A	0.00	1.51	0.00	1.51	85.0	0.11
09/01/2017	DIENER, RONALD	AM FUNDS ICA A	0.00	6.67	0.00	6.67	85.0	0.47

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<u> OVERRIDE TRANSACTIONS </u>								
<u> BROKER: THOMAS HALSEY #82 </u>								
09/01/2017	MEREDITH, TERESE	AM FUNDS ICA A	0.00	2.27	0.00	2.27	85.0	0.16
09/01/2017	ZORNOW, JORDAN	AM FUNDS ICA A	0.00	2.45	0.00	2.45	85.0	0.17
09/01/2017	HAWBLITZ TRUST, AGNES	AM FUNDS ICA A	0.00	8.38	0.00	8.38	85.0	0.59
09/01/2017	HAWBLITZ TRUST, PETER	AM FUNDS ICA A	0.00	8.42	0.00	8.42	85.0	0.59
09/01/2017	KRIEGER, RENEE	AM FUNDS ICA A	0.00	10.77	0.00	10.77	85.0	0.75
09/01/2017	BELKOFER, STACEY	AM FUNDS ICA A	0.00	0.64	0.00	0.64	85.0	0.04
09/01/2017	GRAHAM, DAVID	AM FUNDS ICA A	0.00	0.29	0.00	0.29	85.0	0.02
09/01/2017	DIENER, RONALD	AM FUNDS INCOME FUND OF AMERICA A	0.00	22.10	0.00	22.10	85.0	1.55
09/01/2017	PRZYBYLSKI, JEREMIAH	AM FUNDS INCOME FUND OF AMERICA A	0.00	0.60	0.00	0.60	85.0	0.04
09/01/2017	FOSTER, JOHN	AM FUNDS INCOME FUND OF AMERICA A	0.00	0.76	0.00	0.76	85.0	0.05
09/01/2017	BAKER, ELAINE	AM FUNDS INCOME FUND OF AMERICA A	0.00	4.56	0.00	4.56	85.0	0.32
09/01/2017	HAWBLITZ, PETER	AM FUNDS INCOME FUND OF AMERICA A	0.00	4.04	0.00	4.04	85.0	0.28
09/01/2017	PAPIO, STEPHANIE	AM FUNDS INCOME FUND OF AMERICA A	0.00	0.37	0.00	0.37	85.0	0.03
09/01/2017	PAPIO, JOE	AM FUNDS INCOME FUND OF AMERICA A	0.00	0.40	0.00	0.40	85.0	0.03
09/01/2017	DENHAM, CONSTANCE	AM FUNDS INCOME FUND OF AMERICA A	0.00	0.40	0.00	0.40	85.0	0.03
09/01/2017	ZORNOW TRUST, BETTY	AM FUNDS INCOME FUND OF AMERICA A	0.00	13.64	0.00	13.64	85.0	0.95
09/01/2017	FRANTZ, JUDITH	AM FUNDS INCOME FUND OF AMERICA A	0.00	0.36	0.00	0.36	85.0	0.03
09/01/2017	HAWBLITZ TRUST, AGNES	AM FUNDS INCOME FUND OF AMERICA A	0.00	16.15	0.00	16.15	85.0	1.13
09/01/2017	HAWBLITZ TRUST, PETER	AM FUNDS INCOME FUND OF AMERICA A	0.00	16.42	0.00	16.42	85.0	1.15
09/01/2017	SAPP, ANGELAMARIE	AM FUNDS INCOME FUND OF AMERICA A	0.00	0.58	0.00	0.58	85.0	0.04
09/01/2017	ALDRICH, SUSAN	AM FUNDS INCOME FUND OF AMERICA A	0.00	0.29	0.00	0.29	85.0	0.02
09/01/2017	LEININGER, KENNETH	AM FUNDS INCOME FUND OF AMERICA A	0.00	3.52	0.00	3.52	85.0	0.25
09/01/2017	DESELMS, ROBERT	AM FUNDS INTERMEDIATE BOND FUND OF	0.00	0.54	0.00	0.54	85.0	0.04
09/01/2017	DESELMS, ROBERT	AM FUNDS INTERMEDIATE BOND FUND OF	0.00	0.70	0.00	0.70	85.0	0.05
09/01/2017	DIENER, RONALD	AM FUNDS INTL GROWTH AND INCOME A	0.00	9.61	0.00	9.61	85.0	0.67
09/01/2017	RIEBE, MICHAEL	AM FUNDS INTL GROWTH AND INCOME A	0.00	3.76	0.00	3.76	85.0	0.26
09/01/2017	KRAL, ADAM	AM FUNDS INTL GROWTH AND INCOME A	0.00	1.47	0.00	1.47	85.0	0.10
09/01/2017	LATTA, MARY	AM FUNDS INTL GROWTH AND INCOME A	0.00	0.60	0.00	0.60	85.0	0.04
09/01/2017	ALDRICH, SUSAN	AM FUNDS INTL GROWTH AND INCOME A	0.00	0.19	0.00	0.19	85.0	0.01
09/01/2017	LEININGER, KENNETH	AM FUNDS INTL GROWTH AND INCOME A	0.00	2.90	0.00	2.90	85.0	0.20
09/01/2017	DESELMS, ELEVLYN	AM FUNDS NEW ECONOMY A	0.00	11.96	0.00	11.96	85.0	0.84
09/01/2017	KRIEGER, RENEE	AM FUNDS NEW ECONOMY A	0.00	10.35	0.00	10.35	85.0	0.72
09/01/2017	FISHER, SCOTT TW	AM FUNDS NEW ECONOMY A	0.00	5.06	0.00	5.06	85.0	0.35

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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 HALSEY #82</u>								
09/01/2017	LEININGER, ZACHARY	AM FUNDS NEW ECONOMY A	0.00	0.31	0.00	0.31	85.0	0.02
09/01/2017	LEININGER, ELI	AM FUNDS NEW ECONOMY A	0.00	0.31	0.00	0.31	85.0	0.02
09/01/2017	PRZBYLSKI, MICHAEL	AM FUNDS NEW PERSPECTIVE A	0.00	2.88	0.00	2.88	85.0	0.20
09/01/2017	FOSTER, JOHN	AM FUNDS NEW PERSPECTIVE A	0.00	0.49	0.00	0.49	85.0	0.03
09/01/2017	BAKER, ELAINE	AM FUNDS NEW PERSPECTIVE A	0.00	6.49	0.00	6.49	85.0	0.45
09/01/2017	FOSTER, JOHN	AM FUNDS NEW PERSPECTIVE A	0.00	0.59	0.00	0.59	85.0	0.04
09/01/2017	WRAY, KIM	AM FUNDS NEW PERSPECTIVE A	0.00	3.04	0.00	3.04	85.0	0.21
09/01/2017	KRIEGER, RENEE	AM FUNDS NEW PERSPECTIVE A	0.00	8.37	0.00	8.37	85.0	0.59
09/01/2017	ABBE JR, GARY	AM FUNDS NEW PERSPECTIVE A	0.00	0.84	0.00	0.84	85.0	0.06
09/01/2017	PAPIO, AARON	AM FUNDS NEW PERSPECTIVE A	0.00	0.35	0.00	0.35	85.0	0.02
09/01/2017	PRZBYLSKI, MICHAEL	AM FUNDS NEW WORLD A	0.00	2.65	0.00	2.65	85.0	0.19
09/01/2017	LEININGER, LISA	AM FUNDS NEW WORLD A	0.00	0.59	0.00	0.59	85.0	0.04
09/01/2017	WRAY, KIM	AM FUNDS NEW WORLD A	0.00	4.49	0.00	4.49	85.0	0.31
09/01/2017	EYLER, BARBARA	AM FUNDS NEW WORLD A	0.00	3.25	0.00	3.25	85.0	0.23
09/01/2017	PRZBYLSKI, MICHAEL	AM FUNDS SMALLCAP WORLD A	0.00	8.51	0.00	8.51	85.0	0.60
09/01/2017	LEININGER, LISA	AM FUNDS SMALLCAP WORLD A	0.00	1.05	0.00	1.05	85.0	0.07
09/01/2017	BAKER, ELAINE	AM FUNDS SMALLCAP WORLD A	0.00	5.51	0.00	5.51	85.0	0.39
09/01/2017	WRAY, KIM	AM FUNDS SMALLCAP WORLD A	0.00	6.22	0.00	6.22	85.0	0.44
09/01/2017	EYLER, BARBARA	AM FUNDS SMALLCAP WORLD A	0.00	3.67	0.00	3.67	85.0	0.26
09/01/2017	MEREDITH, TERESE	AM FUNDS SMALLCAP WORLD A	0.00	2.09	0.00	2.09	85.0	0.15
09/01/2017	MEREDITH, JEFFERY	AM FUNDS SMALLCAP WORLD A	0.00	1.57	0.00	1.57	85.0	0.11
09/01/2017	ZORNOW, JORDAN	AM FUNDS SMALLCAP WORLD A	0.00	2.40	0.00	2.40	85.0	0.17
09/01/2017	LEININGER, ZACHARY	AM FUNDS SMALLCAP WORLD A	0.00	0.24	0.00	0.24	85.0	0.02
09/01/2017	LEININGER, ELI	AM FUNDS SMALLCAP WORLD A	0.00	0.24	0.00	0.24	85.0	0.02
09/01/2017	FRENCH, VICTORIA	AM FUNDS SMALLCAP WORLD A	0.00	0.20	0.00	0.20	85.0	0.01
09/01/2017	FRENCH, RICHARD	AM FUNDS SMALLCAP WORLD A	0.00	0.20	0.00	0.20	85.0	0.01
09/01/2017	ABBE JR, GARY	AM FUNDS SMALLCAP WORLD A	0.00	2.81	0.00	2.81	85.0	0.20
09/01/2017	BELKOFER, STACEY	AM FUNDS SMALLCAP WORLD A	0.00	0.41	0.00	0.41	85.0	0.03
09/01/2017	KRAL, ADAM	AM FUNDS SMALLCAP WORLD A	0.00	1.94	0.00	1.94	85.0	0.14
09/01/2017	DREEZE, MARCELINA	AM FUNDS SMALLCAP WORLD A	0.00	1.01	0.00	1.01	85.0	0.07
09/01/2017	CANNON, BARBARA	AM FUNDS SMALLCAP WORLD A	0.00	0.57	0.00	0.57	85.0	0.04
09/01/2017	SAPP, ANGELAMARIE	AM FUNDS SMALLCAP WORLD A	0.00	0.24	0.00	0.24	85.0	0.02
09/01/2017	LATTA, MARY	AM FUNDS SMALLCAP WORLD A	0.00	0.96	0.00	0.96	85.0	0.07

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<u> OVERRIDE TRANSACTIONS </u>								
<u>BROKER: THOMAS HALSEY #82</u>								
09/01/2017	ALDRICH, SUSAN	AM FUNDS SMALLCAP WORLD A	0.00	0.21	0.00	0.21	85.0	0.01
09/01/2017	AUGUSTYNIAK, ROGER	AM FUNDS SMALLCAP WORLD A	0.00	10.94	0.00	10.94	85.0	0.77
09/01/2017	MI/TOD	AM FUNDS SMALLCAP WORLD A	0.00	9.32	0.00	9.32	85.0	0.65
09/01/2017	PAPIO, AARON	AM FUNDS SMALLCAP WORLD A	0.00	0.32	0.00	0.32	85.0	0.02
09/01/2017	LEININGER, KENNETH	AM FUNDS SMALLCAP WORLD A	0.00	1.49	0.00	1.49	85.0	0.10
09/01/2017	DIENER, RONALD	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	5.46	0.00	5.46	85.0	0.38
09/01/2017	DIENER, RONALD	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	4.11	0.00	4.11	85.0	0.29
09/01/2017	DESELMS, ROBERT	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	1.13	0.00	1.13	85.0	0.08
09/01/2017	TANGEMAN, JEANETTE	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	29.81	0.00	29.81	85.0	2.09
09/01/2017	DESELMS, ELEVLYN	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	9.63	0.00	9.63	85.0	0.67
09/01/2017	PRZBYLSKI, MICHAEL	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	13.04	0.00	13.04	85.0	0.91
09/01/2017	FILIPEK, BETHANY	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	1.62	0.00	1.62	85.0	0.11
09/01/2017	DESELMS, SCOTT	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	4.26	0.00	4.26	85.0	0.30
09/01/2017	BASSETT, HANNAH	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	1.15	0.00	1.15	85.0	0.08
09/01/2017	PRZYBYLSKI, JEREMIAH	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	1.16	0.00	1.16	85.0	0.08
09/01/2017	PRZYBYLSKI, JOSHUA	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	4.34	0.00	4.34	85.0	0.30
09/01/2017	BEISWENGER, RANDALL	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	6.57	0.00	6.57	85.0	0.46
09/01/2017	COUSINO, WILLIAM	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	33.18	0.00	33.18	85.0	2.32
09/01/2017	TAYLOR, GERALD	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	10.78	0.00	10.78	85.0	0.75
09/01/2017	KREMPEC, JEFFREY	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.24	0.00	0.24	85.0	0.02
09/01/2017	LEININGER, LISA	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	2.22	0.00	2.22	85.0	0.16
09/01/2017	FILIPEK, JESSICA	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	14.16	0.00	14.16	85.0	0.99
09/01/2017	AUGUSTYNIAK, SETH	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.43	0.00	0.43	85.0	0.03
09/01/2017	FOSTER, JOHN	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.73	0.00	0.73	85.0	0.05
09/01/2017	FRANTZ, JUDITH	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.93	0.00	0.93	85.0	0.07
09/01/2017	BAKER, ELAINE	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	6.88	0.00	6.88	85.0	0.48
09/01/2017	DIERKSHEIDE, TRACI	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	1.80	0.00	1.80	85.0	0.13
09/01/2017	JOHNSON, ZACHARY	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.63	0.00	0.63	85.0	0.04
09/01/2017	FRANTZ, KAYLYNN	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.83	0.00	0.83	85.0	0.06
09/01/2017	FRANTZ, CASSANDRA	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.73	0.00	0.73	85.0	0.05
09/01/2017	NOWAK, COLETTE	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.87	0.00	0.87	85.0	0.06
09/01/2017	BAUMGARTNER, DIANA	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	7.43	0.00	7.43	85.0	0.52
09/01/2017	DESELMS, RAYMOND	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	2.09	0.00	2.09	85.0	0.15

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<u> OVERRIDE TRANSACTIONS </u>								
<u> BROKER: THOMAS HALSEY #82 </u>								
09/01/2017	DESELMS, RAYMOND	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	2.08	0.00	2.08	85.0	0.15
09/01/2017	DENHAM, CONSTANCE	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	11.13	0.00	11.13	85.0	0.78
09/01/2017	JACKSON, MARNETTE	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	13.42	0.00	13.42	85.0	0.94
09/01/2017	JOHNSON, CHLOE	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.82	0.00	0.82	85.0	0.06
09/01/2017	BASSETT, JACK	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.52	0.00	0.52	85.0	0.04
09/01/2017	COOK, KEVIN	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.64	0.00	0.64	85.0	0.04
09/01/2017	KRIEGER, RACHEL	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	3.45	0.00	3.45	85.0	0.24
09/01/2017	FRANTZ, KARA	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.68	0.00	0.68	85.0	0.05
09/01/2017	RIEBE, MICHAEL	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	2.04	0.00	2.04	85.0	0.14
09/01/2017	HAWBLITZ, PETER	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	6.18	0.00	6.18	85.0	0.43
09/01/2017	PRZYBYLSKI, JOSHUA	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	4.44	0.00	4.44	85.0	0.31
09/01/2017	FOSTER, JOHN	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	1.80	0.00	1.80	85.0	0.13
09/01/2017	WRAY, KIM	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	14.67	0.00	14.67	85.0	1.03
09/01/2017	CANNON, BARBARA	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.48	0.00	0.48	85.0	0.03
09/01/2017	DESELMS, ROBERT	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	2.87	0.00	2.87	85.0	0.20
09/01/2017	THANASIU, ROBERT	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	1.49	0.00	1.49	85.0	0.10
09/01/2017	PAPIO, STEPHANIE	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.62	0.00	0.62	85.0	0.04
09/01/2017	PAPIO, JOE	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.51	0.00	0.51	85.0	0.04
09/01/2017	DENHAM, CONSTANCE	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.76	0.00	0.76	85.0	0.05
09/01/2017	ZORNOW TRUST, BETTY	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	15.77	0.00	15.77	85.0	1.10
09/01/2017	FRANTZ, JUDITH	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.47	0.00	0.47	85.0	0.03
09/01/2017	MEREDITH, TERESE	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	1.17	0.00	1.17	85.0	0.08
09/01/2017	RICHARDS, STEPHEN	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	4.66	0.00	4.66	85.0	0.33
09/01/2017	KRAMER, TRISTON	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.67	0.00	0.67	85.0	0.05
09/01/2017	HAWBLITZ TRUST, AGNES	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	8.97	0.00	8.97	85.0	0.63
09/01/2017	HAWBLITZ TRUST, PETER	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	9.04	0.00	9.04	85.0	0.63
09/01/2017	KRIEGER, RENEE	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	9.10	0.00	9.10	85.0	0.64
09/01/2017	FISHER, SCOTT TW	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	4.28	0.00	4.28	85.0	0.30
09/01/2017	LEININGER, ZACHARY	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.29	0.00	0.29	85.0	0.02
09/01/2017	LEININGER, ELI	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.29	0.00	0.29	85.0	0.02
09/01/2017	FRENCH, VICTORIA	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.26	0.00	0.26	85.0	0.02
09/01/2017	FRENCH, RICHARD	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.26	0.00	0.26	85.0	0.02
09/01/2017	KRAMER, DELANEY	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.24	0.00	0.24	85.0	0.02

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<u> OVERRIDE TRANSACTIONS </u>								
<u> BROKER: THOMAS HALSEY #82 </u>								
09/01/2017	ABBE JR, GARY	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	3.59	0.00	3.59	85.0	0.25
09/01/2017	BELKOFER, STACEY	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.45	0.00	0.45	85.0	0.03
09/01/2017	KRAMER, KARYS	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.29	0.00	0.29	85.0	0.02
09/01/2017	KRAL, ADAM	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	3.13	0.00	3.13	85.0	0.22
09/01/2017	DREEZE, MARCELINA	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	1.93	0.00	1.93	85.0	0.14
09/01/2017	STACY, ROSS	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.37	0.00	0.37	85.0	0.03
09/01/2017	CANNON, BARBARA	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.51	0.00	0.51	85.0	0.04
09/01/2017	SAPP, ANGELAMARIE	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	1.23	0.00	1.23	85.0	0.09
09/01/2017	LATTA, MARY	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	1.30	0.00	1.30	85.0	0.09
09/01/2017	GRAHAM, DAVID	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.16	0.00	0.16	85.0	0.01
09/01/2017	AUGUSTYNIAK, ROGER	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	12.37	0.00	12.37	85.0	0.87
09/01/2017	MI/TOD	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	8.52	0.00	8.52	85.0	0.60
09/01/2017	PAPIO, AARON	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.51	0.00	0.51	85.0	0.04
09/01/2017	LEININGER, KENNETH	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	4.45	0.00	4.45	85.0	0.31
09/01/2017	PERRY, CAROL	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	15.74	0.00	15.74	85.0	1.10
09/01/2017	AUGUSTYNIAK, VALERIE	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.17	0.00	0.17	85.0	0.01
09/01/2017	AUGUSTYNIAK, HEATHER	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	4.02	0.00	4.02	85.0	0.28
09/01/2017	VESEY, CAROL	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	1.13	0.00	1.13	85.0	0.08
09/15/2017	LEININGER, LISA	BLACKROCK FUND 19452P677	25.00	1.25	0.00	1.25	85.0	0.09
09/15/2017	LEININGER, LISA	BLACKROCK FUND 19452P677	25.00	1.25	0.00	1.25	85.0	0.09
09/15/2017	LEROUX, LAURA	BLK MOD 10-12 AGE BASED A	300.00	11.25	0.00	11.25	85.0	0.79
09/01/2017	DESELMS, ROBERT	LTD TERM TAX-EX BOND FUND OF AMERIC	0.00	0.67	0.00	0.67	85.0	0.05
09/18/2017	FRANTZ, KIMBERLY	MML ARTISTRY	50.00	2.75	0.00	2.75	85.0	0.19
 * THOMAS HALSEY SUBTOTAL * 			\$400.00	\$1,254.83	\$0.00	\$1,254.83		\$87.86
<u> BROKER: ROBERT THOMPSON #83 </u>								
09/01/2017	RINGGER, MARK	AM FUNDS BOND FUND OF AMERICA A	0.00	18.38	0.00	18.38	90.0	0.37
09/01/2017	MOORE, EILEEN	AM FUNDS BOND FUND OF AMERICA A	0.00	11.56	0.00	11.56	90.0	0.23
09/01/2017	SCHUMACHER, ROSEMARY	AM FUNDS BOND FUND OF AMERICA A	0.00	4.79	0.00	4.79	90.0	0.10
09/01/2017	MAXFIELD, RICHARD	AM FUNDS BOND FUND OF AMERICA A	0.00	18.80	0.00	18.80	90.0	0.38
09/01/2017	PENNINGTON, STEVE	AM FUNDS BOND FUND OF AMERICA A	0.00	12.57	0.00	12.57	90.0	0.25
09/01/2017	SHAFFER TRUST, EMILY	AM FUNDS BOND FUND OF AMERICA A	0.00	14.73	0.00	14.73	90.0	0.29
09/01/2017	GRAHAM, JUDY	AM FUNDS BOND FUND OF AMERICA A	0.00	7.17	0.00	7.17	90.0	0.14
09/01/2017	DAVIS, HOWARD	AM FUNDS BOND FUND OF AMERICA A	0.00	6.69	0.00	6.69	90.0	0.13

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<u>VERRIDE TRANSACTIONS</u>								
<u>BROKER: ROBERT THOMPSON #83</u>								
09/01/2017	MICHALSKI, PAIGE	AM FUNDS BOND FUND OF AMERICA A	0.00	7.88	0.00	7.88	90.0	0.16
09/01/2017	HILEMAN, RONALD	AM FUNDS BOND FUND OF AMERICA A	0.00	30.14	0.00	30.14	90.0	0.60
09/01/2017	MOORE CHARIT TRUST, EILEEN	AM FUNDS BOND FUND OF AMERICA A	0.00	16.71	0.00	16.71	90.0	0.33
09/01/2017	BLADEL, JACQUELYN	AM FUNDS BOND FUND OF AMERICA A	0.00	35.50	0.00	35.50	90.0	0.71
09/01/2017	FURNEY, DANNY	AM FUNDS BOND FUND OF AMERICA A	0.00	4.60	0.00	4.60	90.0	0.09
09/01/2017	RICE, GREGG	AM FUNDS BOND FUND OF AMERICA A	0.00	64.01	0.00	64.01	90.0	1.28
09/01/2017	MITTEN, ETTA	AM FUNDS BOND FUND OF AMERICA A	0.00	40.87	0.00	40.87	90.0	0.82
09/01/2017	GRUBB, BEVERLY	AM FUNDS BOND FUND OF AMERICA A	0.00	29.38	0.00	29.38	90.0	0.59
09/01/2017	MICHALSKI, GERALDINE	AM FUNDS BOND FUND OF AMERICA A	0.00	6.46	0.00	6.46	90.0	0.13
09/01/2017	WALTER, JEFFREY	AM FUNDS BOND FUND OF AMERICA A	0.00	3.03	0.00	3.03	90.0	0.06
09/01/2017	MUIR, JOHN	AM FUNDS BOND FUND OF AMERICA A	0.00	4.78	0.00	4.78	90.0	0.10
09/01/2017	JACOB TRUST, MARILYN	AM FUNDS BOND FUND OF AMERICA A	0.00	33.56	0.00	33.56	90.0	0.67
09/01/2017	RICE, PAMELA	AM FUNDS BOND FUND OF AMERICA A	0.00	11.52	0.00	11.52	90.0	0.23
09/01/2017	ROSSWURM, ELAINE	AM FUNDS BOND FUND OF AMERICA A	0.00	15.16	0.00	15.16	90.0	0.30
09/01/2017	SHAFFER, CLARK	AM FUNDS CAPITAL INCOME BUILDER A	0.00	4.08	0.00	4.08	90.0	0.08
09/01/2017	JACOB TRUST, MARILYN	AM FUNDS CAPITAL INCOME BUILDER A	0.00	4.59	0.00	4.59	90.0	0.09
09/01/2017	MOORE, EILEEN	AM FUNDS CAPITAL WORLD BOND A	0.00	6.87	0.00	6.87	90.0	0.14
09/01/2017	JEFFERS, DAVID	AM FUNDS CAPITAL WORLD BOND A	0.00	5.00	0.00	5.00	90.0	0.10
09/01/2017	GAJEWSKI, DAVID	AM FUNDS CAPITAL WORLD BOND A	0.00	3.36	0.00	3.36	90.0	0.07
09/01/2017	JACOB, MARILYN	AM FUNDS CAPITAL WORLD BOND A	0.00	19.16	0.00	19.16	90.0	0.38
09/01/2017	BUEHLER, ARNOLD	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	19.02	0.00	19.02	90.0	0.38
09/01/2017	SCHWEINHAGEN, RUPERT	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	34.63	0.00	34.63	90.0	0.69
09/01/2017	NEITZ, DONALD	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	13.31	0.00	13.31	90.0	0.27
09/01/2017	PENNINGTON, SANDRA	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	25.92	0.00	25.92	90.0	0.52
09/01/2017	MAXFIELD, RICHARD	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	38.34	0.00	38.34	90.0	0.77
09/01/2017	BESTOR, DONALD	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	17.16	0.00	17.16	90.0	0.34
09/01/2017	MOORE, EILEEN	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	58.69	0.00	58.69	90.0	1.17
09/01/2017	SCHUMACHER, EDWARD	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	30.37	0.00	30.37	90.0	0.61
09/01/2017	GRIM, SUSAN	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	1.04	0.00	1.04	90.0	0.02
09/01/2017	ROSSWURM, ELAINE	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	23.54	0.00	23.54	90.0	0.47
09/01/2017	RECKNER, GARTH	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	1.80	0.00	1.80	90.0	0.04
09/01/2017	PITCHFORD ESTATE, DIANE	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	15.18	0.00	15.18	90.0	0.30
09/01/2017	SHAFFER, CLARK	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	48.46	0.00	48.46	90.0	0.97

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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 THOMPSON #83 </u>								
09/01/2017	SHAFFER, MARK	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.49	0.00	0.49	90.0	0.01
09/01/2017	SHAFFER, SCOTT	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	40.30	0.00	40.30	90.0	0.81
09/01/2017	RICE, PAMELA	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	3.64	0.00	3.64	90.0	0.07
09/01/2017	RICE JR, RUSSELL	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	5.14	0.00	5.14	90.0	0.10
09/01/2017	SWEARINGEN, ERIC	AM FUNDS CAPITAL WORLD GRTH & INC C	0.00	31.26	0.00	31.26	90.0	0.63
09/01/2017	RINGGER, MARK	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	14.09	0.00	14.09	90.0	0.28
09/01/2017	JEFFERS, DAVID	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	10.05	0.00	10.05	90.0	0.20
09/01/2017	FLECK, GERALD	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	14.04	0.00	14.04	90.0	0.28
09/01/2017	SHAFFER, JAN	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	20.75	0.00	20.75	90.0	0.42
09/01/2017	RICE JR, RUSSELL	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	0.26	0.00	0.26	90.0	0.01
09/01/2017	RICE, GREGG	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	3.39	0.00	3.39	90.0	0.07
09/01/2017	PENNINGTON, STEVE	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	28.02	0.00	28.02	90.0	0.56
09/01/2017	RICE, PAMELA	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	4.23	0.00	4.23	90.0	0.08
09/01/2017	GRIM, SUSAN	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.38	0.00	0.38	90.0	0.01
09/01/2017	RICE JR, RUSSELL	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.76	0.00	0.76	90.0	0.02
09/01/2017	SEITZINGER, MARK	AM FUNDS ICA A	0.00	26.48	0.00	26.48	90.0	0.53
09/01/2017	MOORE, EILEEN	AM FUNDS INTERMEDIATE BOND FUND OF	0.00	56.50	0.00	56.50	90.0	1.13
09/01/2017	SEXTON TRUST, MARY LOU	AM FUNDS INTERMEDIATE BOND FUND OF	0.00	13.95	0.00	13.95	90.0	0.28
09/01/2017	PITCHFORD ESTATE, DIANE	AM FUNDS INTERMEDIATE BOND FUND OF	0.00	9.63	0.00	9.63	90.0	0.19
09/01/2017	DAVIS, HOWARD	AM FUNDS INTERMEDIATE BOND FUND OF	0.00	12.13	0.00	12.13	90.0	0.24
09/01/2017	SWEARINGEN, ERIC	AM FUNDS INTL GROWTH AND INCOME A	0.00	2.25	0.00	2.25	90.0	0.05
09/01/2017	LYKES, EMMANUEL	AM FUNDS NEW PERSPECTIVE A	0.00	1.68	0.00	1.68	90.0	0.03
09/01/2017	NEITZ, CHRISTINA	AM FUNDS NEW WORLD A	0.00	4.81	0.00	4.81	90.0	0.10
09/01/2017	GRIM, SUSAN	AM FUNDS NEW WORLD A	0.00	0.31	0.00	0.31	90.0	0.01
09/01/2017	PENNINGTON, SANDRA	AM FUNDS SHORT TERM BND FUND OF AM	0.00	37.35	0.00	37.35	90.0	0.75
09/01/2017	MAXFIELD, RICHARD	AM FUNDS SHORT TERM BND FUND OF AM	0.00	17.69	0.00	17.69	90.0	0.35
09/01/2017	PENNINGTON, STEVE	AM FUNDS SHORT TERM BND FUND OF AM	0.00	11.07	0.00	11.07	90.0	0.22
09/01/2017	WODA, HELENE	AM FUNDS SHORT TERM BND FUND OF AM	0.00	7.48	0.00	7.48	90.0	0.15
09/01/2017	MOORE, EILEEN	AM FUNDS SHORT TERM BND FUND OF AM	0.00	22.54	0.00	22.54	90.0	0.45
09/01/2017	JACOB, MARILYN	AM FUNDS SHORT TERM BND FUND OF AM	0.00	8.77	0.00	8.77	90.0	0.18
09/01/2017	SEXTON TRUST, MARY LOU	AM FUNDS SHORT TERM BND FUND OF AM	0.00	9.62	0.00	9.62	90.0	0.19
09/01/2017	SHAFFER, JAN	AM FUNDS SHORT TERM BND FUND OF AM	0.00	27.82	0.00	27.82	90.0	0.56
09/01/2017	JEFFERS, DAVID	AM FUNDS SMALLCAP WORLD A	0.00	7.64	0.00	7.64	90.0	0.15

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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 THOMPSON #83</u>								
09/01/2017	FLECK, GERALD	AM FUNDS U.S. GOVERNMENT SECURITIES	0.00	9.13	0.00	9.13	90.0	0.18
09/01/2017	GRIM, SUSAN	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.32	0.00	0.32	90.0	0.01
09/07/2017	MICHALSKI, PAIGE	JNL PERSPECTIVE	150.00	10.13	0.00	10.13	90.0	0.20
* ROBERT THOMPSON SUBTOTAL *			\$150.00	\$1,242.91	\$0.00	\$1,242.91		\$24.87
*** OVERRIDE TRANSACTIONS TOTAL ***			\$550.00	\$2,497.74	\$0.00	\$2,497.74		\$112.73

BROKER COMMISSION TOTALS

Broker Transactions	\$5,451.07
Split Transactions	\$0.00
Override Transactions	\$112.73
Adjustments	\$0.00
Payroll Draw	\$0.00
Base Salary	\$0.00
Prior Period Balance	\$0.00
FINRA Assessment	\$0.00
SIPC Assessment	\$0.00

Check Amount	\$5,563.80
Year-to-date Gross	\$84,833.63
Year-to-date Earnings	\$82,459.85

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