



Concorde Investment Services, LLC

03/14/2017
Page No. 1

COMMISSION STATEMENT **March 15, 2017**

STAN WEBB
300 N. Main Street
Suite 309
Wichita, KS 67202

BROKER #: W121
BRANCH: STAN WEBB

DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>BROKER TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
03/01/2017	SCHMITT, SUSAN	AGGRESSIVE PORTFOLIO A	50.00	2.50	0.00	2.50	92.0	2.30
03/01/2017	SCHMITT, SUSAN	AGGRESSIVE PORTFOLIO A	50.00	2.50	0.00	2.50	92.0	2.30
03/01/2017	MILLER, WARREN	AM FUNDS AMCAP A	0.00	19.52	0.00	19.52	92.0	17.96
03/01/2017	SCHMIDT, SYLVIA	AM FUNDS AMCAP A	0.00	41.84	0.00	41.84	92.0	38.49
03/01/2017	PRACHT, CHRISTOPHER	AM FUNDS AMCAP A	0.00	7.59	0.00	7.59	92.0	6.98
03/01/2017	BOWMAN, DANIEL	AM FUNDS AMCAP A	0.00	0.73	0.00	0.73	92.0	0.67
03/01/2017	WALLACE, QUENTIN	AM FUNDS AMCAP A	0.00	4.32	0.00	4.32	92.0	3.97
03/01/2017	JENKINS, MARTY	AM FUNDS AMCAP A	0.00	9.57	0.00	9.57	92.0	8.80
03/01/2017	REED, MARK	AM FUNDS AMCAP A	0.00	116.64	0.00	116.64	92.0	107.31
03/01/2017	BOWMAN, JAMES	AM FUNDS AMCAP A	0.00	0.70	0.00	0.70	92.0	0.64
03/01/2017	BOWMAN, ROBIN	AM FUNDS AMCAP A	0.00	0.62	0.00	0.62	92.0	0.57
03/01/2017	HEIMERMAN, DOYLE	AM FUNDS AMCAP A	0.00	4.44	0.00	4.44	92.0	4.08
03/01/2017	STROOT, SANDRA	AM FUNDS AMCAP A	0.00	4.26	0.00	4.26	92.0	3.92
03/01/2017	WILLIAMS, WILLIAM	AM FUNDS AMCAP A	0.00	6.62	0.00	6.62	92.0	6.09
03/01/2017	HAMPTON, ANNDRE	AM FUNDS AMCAP A	0.00	2.44	0.00	2.44	92.0	2.24
03/01/2017	GALLARDO, KAREN	AM FUNDS AMCAP A	0.00	7.99	0.00	7.99	92.0	7.35
02/21/2017	HILGER, PAMELA	AM FUNDS AMERICAN BALANCED A	150.00	6.38	0.00	6.38	92.0	5.87
02/28/2017	LANDGREN, PAMELA	AM FUNDS AMERICAN BALANCED A	150.00	4.13	0.00	4.13	92.0	3.80
02/28/2017	DUSH, THERESA	AM FUNDS AMERICAN BALANCED A	50.00	1.88	0.00	1.88	92.0	1.73
02/28/2017	KS/TOD	AM FUNDS AMERICAN BALANCED A	450.00	12.38	0.00	12.38	92.0	11.39
03/01/2017	RACER, WILLIAM	AM FUNDS AMERICAN BALANCED A	0.00	4.05	0.00	4.05	92.0	3.73
03/01/2017	RHEA, JONNIE	AM FUNDS AMERICAN BALANCED A	0.00	154.05	0.00	154.05	92.0	141.73
03/01/2017	SCHMIDT, ALAN	AM FUNDS AMERICAN BALANCED A	0.00	50.63	0.00	50.63	92.0	46.58
03/01/2017	MILLER, ELAINE	AM FUNDS AMERICAN BALANCED A	0.00	26.36	0.00	26.36	92.0	24.25
03/01/2017	WERNER TRUST, WANDA	AM FUNDS AMERICAN BALANCED A	0.00	30.99	0.00	30.99	92.0	28.51
03/01/2017	BOWMAN, KELLY	AM FUNDS AMERICAN BALANCED A	0.00	0.76	0.00	0.76	92.0	0.70

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

DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>BROKER TRANSACTIONS</u>								
PRODUCT CATEGORY: MUTUAL FUNDS								
03/01/2017	DANDURAND, BEVERLY	AM FUNDS AMERICAN BALANCED A	0.00	32.62	0.00	32.62	92.0	30.01
03/01/2017	PETERSEN, RAYMOND	AM FUNDS AMERICAN BALANCED A	0.00	13.04	0.00	13.04	92.0	12.00
03/01/2017	SPRAGUE, ARTHUR	AM FUNDS AMERICAN BALANCED A	0.00	66.90	0.00	66.90	92.0	61.55
03/01/2017	PRACHT, CHRISTOPHER	AM FUNDS AMERICAN BALANCED A	0.00	10.59	0.00	10.59	92.0	9.74
03/01/2017	PRACHT, BRIAN	AM FUNDS AMERICAN BALANCED A	0.00	2.82	0.00	2.82	92.0	2.59
03/01/2017	SPRAGUE, KRISTY	AM FUNDS AMERICAN BALANCED A	0.00	79.86	0.00	79.86	92.0	73.47
03/01/2017	BELL, CONNOR	AM FUNDS AMERICAN BALANCED A	0.00	3.14	0.00	3.14	92.0	2.89
03/01/2017	SPRAGUE, ARTHUR	AM FUNDS AMERICAN BALANCED A	0.00	7.49	0.00	7.49	92.0	6.89
03/01/2017	LAWSON, SYLVIA	AM FUNDS AMERICAN BALANCED A	0.00	10.56	0.00	10.56	92.0	9.72
03/01/2017	DELPH TRUST, NORMA	AM FUNDS AMERICAN BALANCED A	0.00	120.71	0.00	120.71	92.0	111.05
03/01/2017	SPRAGUE, ARTHUR	AM FUNDS AMERICAN BALANCED A	0.00	0.20	0.00	0.20	92.0	0.18
03/01/2017	CLEMENS, SUSAN	AM FUNDS AMERICAN BALANCED A	0.00	6.69	0.00	6.69	92.0	6.15
03/01/2017	STOCKHAM, THOMAS	AM FUNDS AMERICAN BALANCED A	0.00	1.45	0.00	1.45	92.0	1.33
03/01/2017	STOCKHAM, JOYCE	AM FUNDS AMERICAN BALANCED A	0.00	3.54	0.00	3.54	92.0	3.26
03/01/2017	STOCKHAM, THOMAS	AM FUNDS AMERICAN BALANCED A	0.00	0.57	0.00	0.57	92.0	0.52
03/01/2017	SNELLENBERGER, ELFRIEDA	AM FUNDS AMERICAN BALANCED A	0.00	22.62	0.00	22.62	92.0	20.81
03/01/2017	STOCKHAM, JOYCE	AM FUNDS AMERICAN BALANCED A	0.00	0.98	0.00	0.98	92.0	0.90
03/01/2017	SPRAGUE, KRISTY	AM FUNDS AMERICAN BALANCED A	0.00	70.21	0.00	70.21	92.0	64.59
03/01/2017	HIEGER REV TRUST, STEVEN & KIMAM	FUNDS AMERICAN BALANCED A	0.00	14.44	0.00	14.44	92.0	13.28
03/01/2017	WALLACE, QUENTIN	AM FUNDS AMERICAN BALANCED A	0.00	5.12	0.00	5.12	92.0	4.71
03/01/2017	WALLACE, JOZELLE	AM FUNDS AMERICAN BALANCED A	0.00	8.61	0.00	8.61	92.0	7.92
03/01/2017	HESSE KS/TOD, RICHARD	AM FUNDS AMERICAN BALANCED A	0.00	115.59	0.00	115.59	92.0	106.34
03/01/2017	HIEGER, KIM	AM FUNDS AMERICAN BALANCED A	0.00	4.24	0.00	4.24	92.0	3.90
03/01/2017	DUSH, THERESA	AM FUNDS AMERICAN BALANCED A	0.00	3.84	0.00	3.84	92.0	3.53
03/01/2017	WIRTH, MARJORIE	AM FUNDS AMERICAN BALANCED A	0.00	5.78	0.00	5.78	92.0	5.32
03/01/2017	SMITH, SHARRILYN	AM FUNDS AMERICAN BALANCED A	0.00	9.40	0.00	9.40	92.0	8.65
03/01/2017	LANDGREN, PAMELA	AM FUNDS AMERICAN BALANCED A	0.00	1.10	0.00	1.10	92.0	1.01
03/01/2017	LANDGREN, RICHARD	AM FUNDS AMERICAN BALANCED A	0.00	1.43	0.00	1.43	92.0	1.32
03/01/2017	LANDGREN, RICHARD	AM FUNDS AMERICAN BALANCED A	0.00	1.11	0.00	1.11	92.0	1.02
03/01/2017	GOODMAN, CHRISTINE	AM FUNDS AMERICAN BALANCED A	0.00	19.35	0.00	19.35	92.0	17.80
03/01/2017	DUSH, THERESA	AM FUNDS AMERICAN BALANCED A	0.00	1.53	0.00	1.53	92.0	1.41
03/01/2017	JENKINS, MARTY	AM FUNDS AMERICAN BALANCED A	0.00	2.02	0.00	2.02	92.0	1.86
03/01/2017	HIEGER, STEVEN	AM FUNDS AMERICAN BALANCED A	0.00	10.46	0.00	10.46	92.0	9.62

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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>								
03/01/2017	HEIMERMAN, JANET	AM FUNDS AMERICAN BALANCED A	0.00	4.38	0.00	4.38	92.0	4.03
03/01/2017	BROWN, MERRI	AM FUNDS AMERICAN BALANCED A	0.00	8.64	0.00	8.64	92.0	7.95
03/01/2017	KELLEY, RUTH	AM FUNDS AMERICAN BALANCED A	0.00	5.25	0.00	5.25	92.0	4.83
03/01/2017	HILGER, PAMELA	AM FUNDS AMERICAN BALANCED A	0.00	3.79	0.00	3.79	92.0	3.49
03/01/2017	KELLEY, JAMES	AM FUNDS AMERICAN BALANCED A	0.00	54.80	0.00	54.80	92.0	50.42
03/01/2017	CARPENTER, REBECCA	AM FUNDS AMERICAN BALANCED A	0.00	2.74	0.00	2.74	92.0	2.52
03/01/2017	CARPENTER, REBECCA	AM FUNDS AMERICAN BALANCED A	0.00	1.64	0.00	1.64	92.0	1.51
03/01/2017	CARPENTER, REBECCA	AM FUNDS AMERICAN BALANCED A	0.00	10.94	0.00	10.94	92.0	10.06
03/01/2017	NORTHROP, PATRICIA	AM FUNDS AMERICAN BALANCED A	0.00	63.94	0.00	63.94	92.0	58.82
03/01/2017	ROTHS, GLEN	AM FUNDS AMERICAN BALANCED A	0.00	1.44	0.00	1.44	92.0	1.32
03/01/2017	ROTHS, GLEN	AM FUNDS AMERICAN BALANCED A	0.00	3.69	0.00	3.69	92.0	3.39
03/01/2017	IORIO, NATASHA AUSDERA	AM FUNDS AMERICAN BALANCED A	0.00	6.34	0.00	6.34	92.0	5.83
03/01/2017	BOHANNON, RONALD	AM FUNDS AMERICAN BALANCED A	0.00	5.58	0.00	5.58	92.0	5.13
03/01/2017	CRANE, BEVERLY	AM FUNDS AMERICAN BALANCED A	0.00	31.83	0.00	31.83	92.0	29.28
03/01/2017	THOMAS, ERIN	AM FUNDS AMERICAN BALANCED A	0.00	0.06	0.00	0.06	92.0	0.06
03/01/2017	THOMAS, IAN	AM FUNDS AMERICAN BALANCED A	0.00	0.06	0.00	0.06	92.0	0.06
03/01/2017	MCADAM, DANIEL	AM FUNDS AMERICAN BALANCED A	0.00	4.65	0.00	4.65	92.0	4.28
03/01/2017	MCADAM, JEANNETTE	AM FUNDS AMERICAN BALANCED A	0.00	3.32	0.00	3.32	92.0	3.05
03/01/2017	MCADAM, JEANNETTE	AM FUNDS AMERICAN BALANCED A	0.00	25.92	0.00	25.92	92.0	23.85
03/01/2017	MULLINIX, JANICE	AM FUNDS AMERICAN BALANCED A	0.00	19.47	0.00	19.47	92.0	17.91
03/01/2017	HEIMERMAN, DOYLE	AM FUNDS AMERICAN BALANCED A	0.00	5.20	0.00	5.20	92.0	4.78
03/01/2017	HAVERFIELD, KARLA	AM FUNDS AMERICAN BALANCED A	0.00	3.05	0.00	3.05	92.0	2.81
03/01/2017	STROOT, SANDRA	AM FUNDS AMERICAN BALANCED A	0.00	5.08	0.00	5.08	92.0	4.67
03/01/2017	GOULD, HILARY	AM FUNDS AMERICAN BALANCED A	0.00	1.76	0.00	1.76	92.0	1.62
03/01/2017	MCLAIN, MICHAEL	AM FUNDS AMERICAN BALANCED A	0.00	2.66	0.00	2.66	92.0	2.45
03/01/2017	THOMAS, DAVID	AM FUNDS AMERICAN BALANCED A	0.00	0.31	0.00	0.31	92.0	0.29
03/01/2017	NORTHROP, PATRICIA	AM FUNDS AMERICAN BALANCED A	0.00	13.70	0.00	13.70	92.0	12.60
03/01/2017	HENDERSON, SUSAN	AM FUNDS AMERICAN BALANCED A	0.00	0.54	0.00	0.54	92.0	0.50
03/01/2017	HENDERSON, SUSAN	AM FUNDS AMERICAN BALANCED A	0.00	0.54	0.00	0.54	92.0	0.50
03/01/2017	WILLIAMS, WILLIAM	AM FUNDS AMERICAN BALANCED A	0.00	4.46	0.00	4.46	92.0	4.10
03/01/2017	SMITH, PHILLIP	AM FUNDS AMERICAN BALANCED A	0.00	8.73	0.00	8.73	92.0	8.03
03/01/2017	FLATTERY, VICKI	AM FUNDS AMERICAN BALANCED A	0.00	28.53	0.00	28.53	92.0	26.25
03/01/2017	OTTAWAY, SANDRA	AM FUNDS AMERICAN BALANCED A	0.00	32.07	0.00	32.07	92.0	29.50

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<u>BROKER TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
03/01/2017	OTTAWAY, DANNY	AM FUNDS AMERICAN BALANCED A	0.00	27.69	0.00	27.69	92.0	25.47
03/01/2017	SANDERS, SUSAN	AM FUNDS AMERICAN BALANCED A	0.00	0.11	0.00	0.11	92.0	0.10
03/01/2017	MCSPADDEN STREIB, GLORIA	AM FUNDS AMERICAN BALANCED A	0.00	4.81	0.00	4.81	92.0	4.43
03/01/2017	HAMPTON, ANNDRE	AM FUNDS AMERICAN BALANCED A	0.00	9.90	0.00	9.90	92.0	9.11
03/01/2017	SPONSEL, VICKY	AM FUNDS AMERICAN BALANCED A	0.00	0.52	0.00	0.52	92.0	0.48
03/01/2017	GALLARDO, KAREN	AM FUNDS AMERICAN BALANCED A	0.00	15.92	0.00	15.92	92.0	14.65
03/01/2017	SCHMITT, SUSAN	AM FUNDS AMERICAN BALANCED A	0.00	0.02	0.00	0.02	92.0	0.02
03/01/2017	WILLIAMS, JAIME	AM FUNDS AMERICAN BALANCED C	0.00	17.07	0.00	17.07	92.0	15.70
02/21/2017	REED, MARK	AM FUNDS AMERICAN HIGH-INCOME TRUST	100.00	1.20	0.00	1.20	92.0	1.10
03/01/2017	GERSTENKORN, CAROLYN	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	12.99	0.00	12.99	92.0	11.95
03/01/2017	SCHMIDT, ALAN	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	16.22	0.00	16.22	92.0	14.92
03/01/2017	WERNER TRUST, WANDA	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	23.79	0.00	23.79	92.0	21.89
03/01/2017	WIRTH, MARJORIE	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	34.58	0.00	34.58	92.0	31.81
03/01/2017	REED, MARK	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	47.53	0.00	47.53	92.0	43.73
03/01/2017	MULLINIX, JANICE	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	7.26	0.00	7.26	92.0	6.68
03/01/2017	FLATTERY, VICKI	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	21.87	0.00	21.87	92.0	20.12
03/01/2017	OTTAWAY, SANDRA	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	21.26	0.00	21.26	92.0	19.56
03/01/2017	OTTAWAY, DANNY	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	21.26	0.00	21.26	92.0	19.56
03/01/2017	SCHMITT, SUSAN	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	0.01	0.00	0.01	92.0	0.01
03/01/2017	GERSTENKORN, CAROLYN	AM FUNDS AMERICAN MUTUAL A	0.00	125.25	0.00	125.25	92.0	115.23
03/01/2017	THOMPSON, JESSICA	AM FUNDS AMERICAN MUTUAL A	0.00	2.63	0.00	2.63	92.0	2.42
03/01/2017	KELLEY, RUTH	AM FUNDS AMERICAN MUTUAL A	0.00	41.86	0.00	41.86	92.0	38.51
03/01/2017	BAZIL, RALPH	AM FUNDS AMERICAN MUTUAL A	0.00	6.72	0.00	6.72	92.0	6.18
03/01/2017	BAZIL, REBECCA	AM FUNDS AMERICAN MUTUAL A	0.00	8.35	0.00	8.35	92.0	7.68
03/01/2017	SCHMIDT, MARSHALL	AM FUNDS AMERICAN MUTUAL A	0.00	0.72	0.00	0.72	92.0	0.66
03/01/2017	HOUSTON, GARRETT	AM FUNDS BALANCED PORT A	0.00	0.72	0.00	0.72	92.0	0.66
03/01/2017	GERSTENKORN, CAROLYN	AM FUNDS BOND FUND OF AMERICA A	0.00	9.12	0.00	9.12	92.0	8.39
03/01/2017	SPRAGUE, ARTHUR	AM FUNDS BOND FUND OF AMERICA A	0.00	6.79	0.00	6.79	92.0	6.25
03/01/2017	KELLEY, RUTH	AM FUNDS BOND FUND OF AMERICA A	0.00	20.19	0.00	20.19	92.0	18.57
03/01/2017	HART, WALLACE	AM FUNDS BOND FUND OF AMERICA A	0.00	2.29	0.00	2.29	92.0	2.11
03/01/2017	BELL, BRAYDEN	AM FUNDS CAPITAL INCOME BUILDER 529	0.00	1.78	0.00	1.78	92.0	1.64
03/01/2017	BELL, BRAYDEN	AM FUNDS CAPITAL INCOME BUILDER 529	0.00	1.78	0.00	1.78	92.0	1.64
02/21/2017	REED, MARK	AM FUNDS CAPITAL INCOME BUILDER A	100.00	1.20	0.00	1.20	92.0	1.10

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<u>BROKER TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
02/21/2017	HILGER, PAMELA	AM FUNDS CAPITAL INCOME BUILDER A	150.00	6.38	0.00	6.38	92.0	5.87
02/21/2017	HENDERSON, SUSAN	AM FUNDS CAPITAL INCOME BUILDER A	25.00	1.06	0.00	1.06	92.0	0.98
02/21/2017	HENDERSON, SUSAN	AM FUNDS CAPITAL INCOME BUILDER A	25.00	1.06	0.00	1.06	92.0	0.98
02/27/2017	ROTHS, GLEN	AM FUNDS CAPITAL INCOME BUILDER A	100.00	3.75	0.00	3.75	92.0	3.45
02/28/2017	KS/TOD	AM FUNDS CAPITAL INCOME BUILDER A	300.00	8.25	0.00	8.25	92.0	7.59
03/01/2017	SCHMIDT, ALAN	AM FUNDS CAPITAL INCOME BUILDER A	0.00	8.69	0.00	8.69	92.0	7.99
03/01/2017	WERNER TRUST, WANDA	AM FUNDS CAPITAL INCOME BUILDER A	0.00	16.86	0.00	16.86	92.0	15.51
03/01/2017	DANDURAND, BEVERLY	AM FUNDS CAPITAL INCOME BUILDER A	0.00	10.06	0.00	10.06	92.0	9.26
03/01/2017	PRACHT, CHRISTOPHER	AM FUNDS CAPITAL INCOME BUILDER A	0.00	8.90	0.00	8.90	92.0	8.19
03/01/2017	PRACHT, BRIAN	AM FUNDS CAPITAL INCOME BUILDER A	0.00	4.58	0.00	4.58	92.0	4.21
03/01/2017	LAWSON, SYLVIA	AM FUNDS CAPITAL INCOME BUILDER A	0.00	2.49	0.00	2.49	92.0	2.29
03/01/2017	IORIO, RICHARD	AM FUNDS CAPITAL INCOME BUILDER A	0.00	1.76	0.00	1.76	92.0	1.62
03/01/2017	JONES, RITA	AM FUNDS CAPITAL INCOME BUILDER A	0.00	1.15	0.00	1.15	92.0	1.06
03/01/2017	IORIO, NICHOLAS	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.71	0.00	0.71	92.0	0.65
03/01/2017	CLEMENS, SUSAN	AM FUNDS CAPITAL INCOME BUILDER A	0.00	10.93	0.00	10.93	92.0	10.06
03/01/2017	STOCKHAM, JOYCE	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.52	0.00	0.52	92.0	0.48
03/01/2017	SPRAGUE, KRISTY	AM FUNDS CAPITAL INCOME BUILDER A	0.00	74.02	0.00	74.02	92.0	68.10
03/01/2017	HESSE KS/TOD, RICHARD	AM FUNDS CAPITAL INCOME BUILDER A	0.00	22.14	0.00	22.14	92.0	20.37
03/01/2017	BELL, BRAYDEN	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.61	0.00	0.61	92.0	0.56
03/01/2017	BELL, GRIFFIN	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.51	0.00	0.51	92.0	0.47
03/01/2017	DUSH, THERESA	AM FUNDS CAPITAL INCOME BUILDER A	0.00	8.55	0.00	8.55	92.0	7.87
03/01/2017	HOFFMAN, FRANCIS	AM FUNDS CAPITAL INCOME BUILDER A	0.00	18.94	0.00	18.94	92.0	17.42
03/01/2017	HOFFMAN, VERLA	AM FUNDS CAPITAL INCOME BUILDER A	0.00	36.67	0.00	36.67	92.0	33.74
03/01/2017	WIRTH, MARJORIE	AM FUNDS CAPITAL INCOME BUILDER A	0.00	13.45	0.00	13.45	92.0	12.37
03/01/2017	SMITH, SHARRILYN	AM FUNDS CAPITAL INCOME BUILDER A	0.00	20.21	0.00	20.21	92.0	18.59
03/01/2017	LANDGREN, RICHARD	AM FUNDS CAPITAL INCOME BUILDER A	0.00	1.35	0.00	1.35	92.0	1.24
03/01/2017	GOODMAN, KEITH	AM FUNDS CAPITAL INCOME BUILDER A	0.00	17.65	0.00	17.65	92.0	16.24
03/01/2017	GOODMAN, CHRISTINE	AM FUNDS CAPITAL INCOME BUILDER A	0.00	10.45	0.00	10.45	92.0	9.61
03/01/2017	JENKINS, MARTY	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.82	0.00	0.82	92.0	0.75
03/01/2017	JENKINS, MARTY	AM FUNDS CAPITAL INCOME BUILDER A	0.00	4.43	0.00	4.43	92.0	4.08
03/01/2017	HIEGER, STEVEN	AM FUNDS CAPITAL INCOME BUILDER A	0.00	18.75	0.00	18.75	92.0	17.25
03/01/2017	HEIMERMAN, JANET	AM FUNDS CAPITAL INCOME BUILDER A	0.00	4.26	0.00	4.26	92.0	3.92
03/01/2017	IORIO, ISABELLA	AM FUNDS CAPITAL INCOME BUILDER A	0.00	1.20	0.00	1.20	92.0	1.10

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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>								
03/01/2017	REED, MARK	AM FUNDS CAPITAL INCOME BUILDER A	0.00	40.00	0.00	40.00	92.0	36.80
03/01/2017	BROWN, MERRI	AM FUNDS CAPITAL INCOME BUILDER A	0.00	4.90	0.00	4.90	92.0	4.51
03/01/2017	KELLEY, RUTH	AM FUNDS CAPITAL INCOME BUILDER A	0.00	32.67	0.00	32.67	92.0	30.06
03/01/2017	HILGER, PAMELA	AM FUNDS CAPITAL INCOME BUILDER A	0.00	9.34	0.00	9.34	92.0	8.59
03/01/2017	KELLEY, JAMES	AM FUNDS CAPITAL INCOME BUILDER A	0.00	15.57	0.00	15.57	92.0	14.32
03/01/2017	DAVIS, ELISE	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.59	0.00	0.59	92.0	0.54
03/01/2017	WALLACE, QUENTIN	AM FUNDS CAPITAL INCOME BUILDER A	0.00	2.31	0.00	2.31	92.0	2.13
03/01/2017	CARPENTER, REBECCA	AM FUNDS CAPITAL INCOME BUILDER A	0.00	1.76	0.00	1.76	92.0	1.62
03/01/2017	CARPENTER, REBECCA	AM FUNDS CAPITAL INCOME BUILDER A	0.00	1.85	0.00	1.85	92.0	1.70
03/01/2017	ROTHS, GLEN	AM FUNDS CAPITAL INCOME BUILDER A	0.00	1.21	0.00	1.21	92.0	1.11
03/01/2017	ROTHS, GLEN	AM FUNDS CAPITAL INCOME BUILDER A	0.00	8.42	0.00	8.42	92.0	7.75
03/01/2017	GAUNA, DOMINIC	AM FUNDS CAPITAL INCOME BUILDER A	0.00	7.62	0.00	7.62	92.0	7.01
03/01/2017	LANDGREN, PAMELA	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.41	0.00	0.41	92.0	0.38
03/01/2017	GALLARDO, KAREN	AM FUNDS CAPITAL INCOME BUILDER A	0.00	19.13	0.00	19.13	92.0	17.60
03/01/2017	SCHMIDT, MARSHALL	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.43	0.00	0.43	92.0	0.40
03/01/2017	BOHANNON, RONALD	AM FUNDS CAPITAL INCOME BUILDER A	0.00	5.27	0.00	5.27	92.0	4.85
03/01/2017	CRANE, BEVERLY	AM FUNDS CAPITAL INCOME BUILDER A	0.00	13.27	0.00	13.27	92.0	12.21
03/01/2017	LOTT TRUST, EDITH	AM FUNDS CAPITAL INCOME BUILDER A	0.00	7.20	0.00	7.20	92.0	6.62
03/01/2017	HOUSTON, CAMMY	AM FUNDS CAPITAL INCOME BUILDER A	0.00	11.56	0.00	11.56	92.0	10.64
03/01/2017	THOMAS, IAN	AM FUNDS CAPITAL INCOME BUILDER A	0.00	6.95	0.00	6.95	92.0	6.39
03/01/2017	MCADAM, DANIEL	AM FUNDS CAPITAL INCOME BUILDER A	0.00	2.78	0.00	2.78	92.0	2.56
03/01/2017	MCADAM, JEANNETTE	AM FUNDS CAPITAL INCOME BUILDER A	0.00	1.11	0.00	1.11	92.0	1.02
03/01/2017	MCADAM, JEANNETTE	AM FUNDS CAPITAL INCOME BUILDER A	0.00	17.32	0.00	17.32	92.0	15.93
03/01/2017	BURSON TRUST, MAX & GEORGIA	AM FUNDS CAPITAL INCOME BUILDER A	0.00	11.57	0.00	11.57	92.0	10.64
03/01/2017	MULLINIX, JANICE	AM FUNDS CAPITAL INCOME BUILDER A	0.00	19.88	0.00	19.88	92.0	18.29
03/01/2017	CROSBY, AMANDA	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.41	0.00	0.41	92.0	0.38
03/01/2017	LAWSON, THOMAS	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.64	0.00	0.64	92.0	0.59
03/01/2017	GOULD, HILARY	AM FUNDS CAPITAL INCOME BUILDER A	0.00	1.48	0.00	1.48	92.0	1.36
03/01/2017	MCLAIN, MICHAEL	AM FUNDS CAPITAL INCOME BUILDER A	0.00	2.30	0.00	2.30	92.0	2.12
03/01/2017	HOUSTON, JACOB	AM FUNDS CAPITAL INCOME BUILDER A	0.00	1.01	0.00	1.01	92.0	0.93
03/01/2017	HENDERSON, SUSAN	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.49	0.00	0.49	92.0	0.45
03/01/2017	HENDERSON, SUSAN	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.49	0.00	0.49	92.0	0.45
03/01/2017	WILLIAMS, WILLIAM	AM FUNDS CAPITAL INCOME BUILDER A	0.00	2.98	0.00	2.98	92.0	2.74

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<u>BROKER TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
03/01/2017	SMITH, PHILLIP	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.83	0.00	0.83	92.0	0.76
03/01/2017	FLATTERY, VICKI	AM FUNDS CAPITAL INCOME BUILDER A	0.00	14.38	0.00	14.38	92.0	13.23
03/01/2017	OTTAWAY, SANDRA	AM FUNDS CAPITAL INCOME BUILDER A	0.00	8.04	0.00	8.04	92.0	7.40
03/01/2017	OTTAWAY, DANNY	AM FUNDS CAPITAL INCOME BUILDER A	0.00	7.42	0.00	7.42	92.0	6.83
03/01/2017	SANDERS, SUSAN	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.13	0.00	0.13	92.0	0.12
03/01/2017	MCSPADDEN STREIB, GLORIA	AM FUNDS CAPITAL INCOME BUILDER A	0.00	4.43	0.00	4.43	92.0	4.08
03/01/2017	HEARD, STEPHANIE	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.23	0.00	0.23	92.0	0.21
03/01/2017	HAMPTON, ANNDRE	AM FUNDS CAPITAL INCOME BUILDER A	0.00	4.50	0.00	4.50	92.0	4.14
03/01/2017	SPONSEL, ERNEST	AM FUNDS CAPITAL INCOME BUILDER A	0.00	1.31	0.00	1.31	92.0	1.21
03/01/2017	SPONSEL, VICKY	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.56	0.00	0.56	92.0	0.52
03/01/2017	SPONSEL, BRETT	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.24	0.00	0.24	92.0	0.22
03/01/2017	KERSTING, LINDA	AM FUNDS CAPITAL INCOME BUILDER A	0.00	2.99	0.00	2.99	92.0	2.75
03/01/2017	GALLARDO, KAREN	AM FUNDS CAPITAL INCOME BUILDER A	0.00	7.34	0.00	7.34	92.0	6.75
03/01/2017	JONES, RITA	AM FUNDS CAPITAL INCOME BUILDER C	0.00	2.93	0.00	2.93	92.0	2.70
03/01/2017	PYRON, KAREN	AM FUNDS CAPITAL INCOME BUILDER C	0.00	71.76	0.00	71.76	92.0	66.02
03/01/2017	WILLIAMS, JAIME	AM FUNDS CAPITAL INCOME BUILDER C	0.00	14.43	0.00	14.43	92.0	13.28
03/01/2017	JONES, RITA	AM FUNDS CAPITAL INCOME BUILDER F1	0.00	0.40	0.00	0.40	92.0	0.37
03/01/2017	NORTHROP, PATRICIA	AM FUNDS CAPITAL WORLD BOND A	0.00	5.75	0.00	5.75	92.0	5.29
03/01/2017	MULLINIX, JANICE	AM FUNDS CAPITAL WORLD BOND A	0.00	8.34	0.00	8.34	92.0	7.67
03/01/2017	NORTHROP, PATRICIA	AM FUNDS CAPITAL WORLD BOND A	0.00	2.03	0.00	2.03	92.0	1.87
02/21/2017	REED, MARK	AM FUNDS CAPITAL WORLD GRTH & INC A	100.00	1.20	0.00	1.20	92.0	1.10
03/01/2017	DANDURAND, BEVERLY	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	2.12	0.00	2.12	92.0	1.95
03/01/2017	SPRAGUE, ARTHUR	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	23.96	0.00	23.96	92.0	22.04
03/01/2017	PRACHT, CHRISTOPHER	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.86	0.00	0.86	92.0	0.79
03/01/2017	ROGERS, DEBRA	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	5.47	0.00	5.47	92.0	5.03
03/01/2017	CLEMENS, SUSAN	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	8.58	0.00	8.58	92.0	7.89
03/01/2017	SPRAGUE, KRISTY	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	49.61	0.00	49.61	92.0	45.64
03/01/2017	WALLACE, QUENTIN	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	2.24	0.00	2.24	92.0	2.06
03/01/2017	HESSE KS/TOD, RICHARD	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	24.70	0.00	24.70	92.0	22.72
03/01/2017	DUSH, THERESA	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	6.85	0.00	6.85	92.0	6.30
03/01/2017	HOFFMAN, FRANCIS	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	9.95	0.00	9.95	92.0	9.15
03/01/2017	HOFFMAN, VERLA	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	11.96	0.00	11.96	92.0	11.00
03/01/2017	HOFFMAN, VERLA	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	18.47	0.00	18.47	92.0	16.99

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<u>BROKER TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
03/01/2017	WIRTH, MARJORIE	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	32.80	0.00	32.80	92.0	30.18
03/01/2017	SMITH, SHARRILYN	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	15.07	0.00	15.07	92.0	13.86
03/01/2017	LANDGREN, PAMELA	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.91	0.00	0.91	92.0	0.84
03/01/2017	LANDGREN, RICHARD	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.74	0.00	0.74	92.0	0.68
03/01/2017	LANDGREN, RICHARD	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.93	0.00	0.93	92.0	0.86
03/01/2017	GOODMAN, CHRISTINE	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	9.23	0.00	9.23	92.0	8.49
03/01/2017	JENKINS, MARTY	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.85	0.00	0.85	92.0	0.78
03/01/2017	JENKINS, MARTY	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	3.44	0.00	3.44	92.0	3.16
03/01/2017	HIEGER, STEVEN	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	5.37	0.00	5.37	92.0	4.94
03/01/2017	HEIMERMAN, JANET	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	1.75	0.00	1.75	92.0	1.61
03/01/2017	REED, MARK	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	28.97	0.00	28.97	92.0	26.65
03/01/2017	BROWN, MERRI	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	2.29	0.00	2.29	92.0	2.11
03/01/2017	DAVIS, ELISE	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.22	0.00	0.22	92.0	0.20
03/01/2017	CARPENTER JR, ROBERT	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	1.26	0.00	1.26	92.0	1.16
03/01/2017	ROTHS, GLEN	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	1.37	0.00	1.37	92.0	1.26
03/01/2017	GAUNA, DOMINIC	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	1.50	0.00	1.50	92.0	1.38
03/01/2017	LANDGREN, PAMELA	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	1.38	0.00	1.38	92.0	1.27
03/01/2017	JENDEL, TERESA	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.80	0.00	0.80	92.0	0.74
03/01/2017	BAZIL, RALPH	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	2.76	0.00	2.76	92.0	2.54
03/01/2017	BAZIL, REBECCA	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	1.86	0.00	1.86	92.0	1.71
03/01/2017	IORIO, NATASHA AUSDERA	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	5.32	0.00	5.32	92.0	4.89
03/01/2017	BOHANNON, RONALD	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	2.29	0.00	2.29	92.0	2.11
03/01/2017	LOTT TRUST, EDITH	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	4.94	0.00	4.94	92.0	4.54
03/01/2017	HOUSTON, CAMMY	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	2.94	0.00	2.94	92.0	2.70
03/01/2017	MCADAM, DANIEL	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	1.14	0.00	1.14	92.0	1.05
03/01/2017	MCADAM, JEANNETTE	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.57	0.00	0.57	92.0	0.52
03/01/2017	MCADAM, JEANNETTE	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	2.00	0.00	2.00	92.0	1.84
03/01/2017	MULLINIX, JANICE	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	8.37	0.00	8.37	92.0	7.70
03/01/2017	CROSBY, AMANDA	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.28	0.00	0.28	92.0	0.26
03/01/2017	LAWSON, THOMAS	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.29	0.00	0.29	92.0	0.27
03/01/2017	HOUSTON, GARRETT	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	1.89	0.00	1.89	92.0	1.74
03/01/2017	THOMAS, DAVID	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.22	0.00	0.22	92.0	0.20
03/01/2017	MCSPADDEN STREIB, GLORIA	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	2.64	0.00	2.64	92.0	2.43

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<u>BROKER TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
03/01/2017	HEARD, STEPHANIE	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.26	0.00	0.26	92.0	0.24
03/01/2017	HAMPTON, ANNDRE	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	2.25	0.00	2.25	92.0	2.07
03/01/2017	SPONSEL, ERNEST	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.37	0.00	0.37	92.0	0.34
03/01/2017	SPONSEL, VICKY	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.28	0.00	0.28	92.0	0.26
03/01/2017	KERSTING, LINDA	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	1.22	0.00	1.22	92.0	1.12
03/01/2017	RACER, WILLIAM	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	1.70	0.00	1.70	92.0	1.56
03/01/2017	SPRAGUE, ARTHUR	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	30.06	0.00	30.06	92.0	27.66
03/01/2017	CLEMENS, SUSAN	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	2.96	0.00	2.96	92.0	2.72
03/01/2017	DUSH, THERESA	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	9.25	0.00	9.25	92.0	8.51
03/01/2017	HOFFMAN, FRANCIS	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	7.19	0.00	7.19	92.0	6.61
03/01/2017	LANDGREN, PAMELA	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	0.77	0.00	0.77	92.0	0.71
03/01/2017	LANDGREN, RICHARD	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	0.63	0.00	0.63	92.0	0.58
03/01/2017	LANDGREN, RICHARD	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	0.78	0.00	0.78	92.0	0.72
03/01/2017	RAYMER, DEBRA	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	2.11	0.00	2.11	92.0	1.94
03/01/2017	KOSANKE, MARK	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	0.14	0.00	0.14	92.0	0.13
03/01/2017	HIEGER, STEVEN	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	6.77	0.00	6.77	92.0	6.23
03/01/2017	CARPENTER, REBECCA	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	0.70	0.00	0.70	92.0	0.64
03/01/2017	BAZIL, RALPH	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	1.21	0.00	1.21	92.0	1.11
03/01/2017	BAZIL, REBECCA	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	1.09	0.00	1.09	92.0	1.00
03/01/2017	CRANE, BEVERLY	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	2.96	0.00	2.96	92.0	2.72
02/21/2017	REED, MARK	AM FUNDS FUNDAMENTAL INVESTORS A	100.00	1.20	0.00	1.20	92.0	1.10
02/27/2017	ROTHS, GLEN	AM FUNDS FUNDAMENTAL INVESTORS A	100.00	3.75	0.00	3.75	92.0	3.45
02/28/2017	LANDGREN, PAMELA	AM FUNDS FUNDAMENTAL INVESTORS A	200.00	5.50	0.00	5.50	92.0	5.06
02/28/2017	KS/TOD	AM FUNDS FUNDAMENTAL INVESTORS A	600.00	16.50	0.00	16.50	92.0	15.18
03/01/2017	SCHMIDT, ALAN	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	11.04	0.00	11.04	92.0	10.16
03/01/2017	SCHMIDT, SYLVIA	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	38.80	0.00	38.80	92.0	35.70
03/01/2017	DANDURAND, BEVERLY	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	3.94	0.00	3.94	92.0	3.62
03/01/2017	LAWSON, SYLVIA	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	3.15	0.00	3.15	92.0	2.90
03/01/2017	ROGERS, DEBRA	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	3.38	0.00	3.38	92.0	3.11
03/01/2017	STOCKHAM, JOYCE	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	0.49	0.00	0.49	92.0	0.45
03/01/2017	SPRAGUE, KRISTY	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	23.06	0.00	23.06	92.0	21.22
03/01/2017	DUSH, THERESA	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	5.29	0.00	5.29	92.0	4.87
03/01/2017	SMITH, SHARRILYN	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	12.69	0.00	12.69	92.0	11.67

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<u>BROKER TRANSACTIONS</u>								
PRODUCT CATEGORY: MUTUAL FUNDS								
03/01/2017	LANDGREN, RICHARD	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	1.21	0.00	1.21	92.0	1.11
03/01/2017	GOODMAN, CHRISTINE	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	3.20	0.00	3.20	92.0	2.94
03/01/2017	REED, MARK	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	46.59	0.00	46.59	92.0	42.86
03/01/2017	BROWN, MERRI	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	4.92	0.00	4.92	92.0	4.53
03/01/2017	KELLEY, LUCIA	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	6.05	0.00	6.05	92.0	5.57
03/01/2017	DAVIS, ELISE	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	0.40	0.00	0.40	92.0	0.37
03/01/2017	CARPENTER JR, ROBERT	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	4.29	0.00	4.29	92.0	3.95
03/01/2017	CARPENTER, REBECCA	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	2.57	0.00	2.57	92.0	2.36
03/01/2017	NORTHROP, PATRICIA	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	32.32	0.00	32.32	92.0	29.73
03/01/2017	ROTHS, GLEN	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	11.75	0.00	11.75	92.0	10.81
03/01/2017	GAUNA, DOMINIC	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	6.07	0.00	6.07	92.0	5.58
03/01/2017	LANDGREN, PAMELA	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	0.50	0.00	0.50	92.0	0.46
03/01/2017	JENDEL, TERESA	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	1.05	0.00	1.05	92.0	0.97
03/01/2017	GALLARDO, KAREN	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	32.93	0.00	32.93	92.0	30.30
03/01/2017	IORIO, NATASHA AUSDERA	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	11.70	0.00	11.70	92.0	10.76
03/01/2017	RACER, WILLIAM	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	3.72	0.00	3.72	92.0	3.42
03/01/2017	CRANE, BEVERLY	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	12.92	0.00	12.92	92.0	11.89
03/01/2017	LOTT TRUST, EDITH	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	7.66	0.00	7.66	92.0	7.05
03/01/2017	HOUSTON, CAMMY	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	16.24	0.00	16.24	92.0	14.94
03/01/2017	MCADAM, JEANNETTE	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	1.41	0.00	1.41	92.0	1.30
03/01/2017	MCADAM, JEANNETTE	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	6.87	0.00	6.87	92.0	6.32
03/01/2017	BURSON TRUST, MAX & GEORGIA	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	13.92	0.00	13.92	92.0	12.81
03/01/2017	HEIMERMAN, DOYLE	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	6.42	0.00	6.42	92.0	5.91
03/01/2017	HAVERFIELD, KARLA	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	6.37	0.00	6.37	92.0	5.86
03/01/2017	STROOT, SANDRA	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	6.42	0.00	6.42	92.0	5.91
03/01/2017	GOULD, HILARY	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	1.28	0.00	1.28	92.0	1.18
03/01/2017	MCLAIN, MICHAEL	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	3.82	0.00	3.82	92.0	3.51
03/01/2017	NORTHROP, PATRICIA	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	4.74	0.00	4.74	92.0	4.36
03/01/2017	WILLIAMS, WILLIAM	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	6.81	0.00	6.81	92.0	6.27
03/01/2017	OTTAWAY, DANNY	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	8.62	0.00	8.62	92.0	7.93
03/01/2017	MCSPADDEN STREIB, GLORIA	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	3.10	0.00	3.10	92.0	2.85
03/01/2017	HAMPTON, ANNDRE	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	5.22	0.00	5.22	92.0	4.80
03/01/2017	SPONSEL, ERNEST	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	1.10	0.00	1.10	92.0	1.01

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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>								
03/01/2017	SPONSEL, BRETT	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	0.28	0.00	0.28	92.0	0.26
03/01/2017	KERSTING, LINDA	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	12.06	0.00	12.06	92.0	11.10
03/01/2017	GALLARDO, KAREN	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	8.48	0.00	8.48	92.0	7.80
03/01/2017	SCHMITT, SUSAN	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	0.02	0.00	0.02	92.0	0.02
03/01/2017	WILLIAMS, JAIMIE	AM FUNDS FUNDAMENTAL INVESTORS C	0.00	14.26	0.00	14.26	92.0	13.12
03/01/2017	STOCKHAM, JOYCE	AM FUNDS GROWTH AND INCOME A	0.00	3.35	0.00	3.35	92.0	3.08
03/01/2017	BELL, BRAYDEN	AM FUNDS GROWTH FUND OF AMERICA 529	0.00	0.28	0.00	0.28	92.0	0.26
02/21/2017	HILGER, GERALD	AM FUNDS GROWTH FUND OF AMERICA A	50.00	2.13	0.00	2.13	92.0	1.96
03/01/2017	RACER, WILLIAM	AM FUNDS GROWTH FUND OF AMERICA A	0.00	4.45	0.00	4.45	92.0	4.09
03/01/2017	MILLER, WARREN	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.16	0.00	0.16	92.0	0.15
03/01/2017	SCHMIDT, SYLVIA	AM FUNDS GROWTH FUND OF AMERICA A	0.00	45.95	0.00	45.95	92.0	42.27
03/01/2017	BOWMAN, KELLY	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.79	0.00	0.79	92.0	0.73
03/01/2017	REED, MARK	AM FUNDS GROWTH FUND OF AMERICA A	0.00	15.06	0.00	15.06	92.0	13.86
03/01/2017	PRACHT, CHRISTOPHER	AM FUNDS GROWTH FUND OF AMERICA A	0.00	5.91	0.00	5.91	92.0	5.44
03/01/2017	PRACHT, BRIAN	AM FUNDS GROWTH FUND OF AMERICA A	0.00	7.75	0.00	7.75	92.0	7.13
03/01/2017	THOMPSON, JESSICA	AM FUNDS GROWTH FUND OF AMERICA A	0.00	3.20	0.00	3.20	92.0	2.94
03/01/2017	SMITH, OLIVIA	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.91	0.00	0.91	92.0	0.84
03/01/2017	IORIO, RICHARD	AM FUNDS GROWTH FUND OF AMERICA A	0.00	4.38	0.00	4.38	92.0	4.03
03/01/2017	THOMAS, MATTHEW	AM FUNDS GROWTH FUND OF AMERICA A	0.00	1.67	0.00	1.67	92.0	1.54
03/01/2017	CLEMENS, SUSAN	AM FUNDS GROWTH FUND OF AMERICA A	0.00	8.91	0.00	8.91	92.0	8.20
03/01/2017	STOCKHAM, THOMAS	AM FUNDS GROWTH FUND OF AMERICA A	0.00	1.75	0.00	1.75	92.0	1.61
03/01/2017	STOCKHAM, JOYCE	AM FUNDS GROWTH FUND OF AMERICA A	0.00	4.29	0.00	4.29	92.0	3.95
03/01/2017	STOCKHAM, THOMAS	AM FUNDS GROWTH FUND OF AMERICA A	0.00	1.36	0.00	1.36	92.0	1.25
03/01/2017	HIEGER REV TRUST, STEVEN & KIMAM	FUNDS GROWTH FUND OF AMERICA A	0.00	12.10	0.00	12.10	92.0	11.13
03/01/2017	SMITH, BAILEY	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.76	0.00	0.76	92.0	0.70
03/01/2017	SMITH, SARAH	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.76	0.00	0.76	92.0	0.70
03/01/2017	HIEGER, KIM	AM FUNDS GROWTH FUND OF AMERICA A	0.00	4.66	0.00	4.66	92.0	4.29
03/01/2017	BELL, BRAYDEN	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.58	0.00	0.58	92.0	0.53
03/01/2017	BELL, GRIFFIN	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.53	0.00	0.53	92.0	0.49
03/01/2017	DUSH, THERESA	AM FUNDS GROWTH FUND OF AMERICA A	0.00	4.06	0.00	4.06	92.0	3.74
03/01/2017	HOFFMAN, FRANCIS	AM FUNDS GROWTH FUND OF AMERICA A	0.00	12.55	0.00	12.55	92.0	11.55
03/01/2017	HOFFMAN, VERLA	AM FUNDS GROWTH FUND OF AMERICA A	0.00	10.49	0.00	10.49	92.0	9.65
03/01/2017	HOFFMAN, VERLA	AM FUNDS GROWTH FUND OF AMERICA A	0.00	21.56	0.00	21.56	92.0	19.84

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<u>BROKER TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
03/01/2017	WIRTH, MARJORIE	AM FUNDS GROWTH FUND OF AMERICA A	0.00	41.08	0.00	41.08	92.0	37.79
03/01/2017	SMITH, SHARRILYN	AM FUNDS GROWTH FUND OF AMERICA A	0.00	13.25	0.00	13.25	92.0	12.19
03/01/2017	LANDGREN, PAMELA	AM FUNDS GROWTH FUND OF AMERICA A	0.00	1.17	0.00	1.17	92.0	1.08
03/01/2017	LANDGREN, RICHARD	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.94	0.00	0.94	92.0	0.86
03/01/2017	LANDGREN, RICHARD	AM FUNDS GROWTH FUND OF AMERICA A	0.00	1.18	0.00	1.18	92.0	1.09
03/01/2017	GOODMAN, CHRISTINE	AM FUNDS GROWTH FUND OF AMERICA A	0.00	5.33	0.00	5.33	92.0	4.90
03/01/2017	JENKINS, MARTY	AM FUNDS GROWTH FUND OF AMERICA A	0.00	4.51	0.00	4.51	92.0	4.15
03/01/2017	HIEGER, STEVEN	AM FUNDS GROWTH FUND OF AMERICA A	0.00	7.09	0.00	7.09	92.0	6.52
03/01/2017	HEIMERMAN, JANET	AM FUNDS GROWTH FUND OF AMERICA A	0.00	1.60	0.00	1.60	92.0	1.47
03/01/2017	KELLEY, LUCIA	AM FUNDS GROWTH FUND OF AMERICA A	0.00	2.80	0.00	2.80	92.0	2.58
03/01/2017	DAVIS, ELISE	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.40	0.00	0.40	92.0	0.37
03/01/2017	CARPENTER JR, ROBERT	AM FUNDS GROWTH FUND OF AMERICA A	0.00	1.66	0.00	1.66	92.0	1.53
03/01/2017	CARPENTER, REBECCA	AM FUNDS GROWTH FUND OF AMERICA A	0.00	1.58	0.00	1.58	92.0	1.45
03/01/2017	ROTHS, GLEN	AM FUNDS GROWTH FUND OF AMERICA A	0.00	4.19	0.00	4.19	92.0	3.85
03/01/2017	GAUNA, DOMINIC	AM FUNDS GROWTH FUND OF AMERICA A	0.00	1.94	0.00	1.94	92.0	1.78
03/01/2017	LANDGREN, PAMELA	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.90	0.00	0.90	92.0	0.83
03/01/2017	BAZIL, RALPH	AM FUNDS GROWTH FUND OF AMERICA A	0.00	5.48	0.00	5.48	92.0	5.04
03/01/2017	BAZIL, REBECCA	AM FUNDS GROWTH FUND OF AMERICA A	0.00	3.29	0.00	3.29	92.0	3.03
03/01/2017	IORIO, NATASHA AUSDERA	AM FUNDS GROWTH FUND OF AMERICA A	0.00	5.31	0.00	5.31	92.0	4.89
03/01/2017	SCHMIDT, MARSHALL	AM FUNDS GROWTH FUND OF AMERICA A	0.00	4.44	0.00	4.44	92.0	4.08
03/01/2017	CRANE, BEVERLY	AM FUNDS GROWTH FUND OF AMERICA A	0.00	11.14	0.00	11.14	92.0	10.25
03/01/2017	HOUSTON, CAMMY	AM FUNDS GROWTH FUND OF AMERICA A	0.00	3.95	0.00	3.95	92.0	3.63
03/01/2017	MCADAM, JEANNETTE	AM FUNDS GROWTH FUND OF AMERICA A	0.00	5.19	0.00	5.19	92.0	4.77
03/01/2017	CROSBY, AMANDA	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.37	0.00	0.37	92.0	0.34
03/01/2017	HILGER, GERALD	AM FUNDS GROWTH FUND OF AMERICA A	0.00	2.57	0.00	2.57	92.0	2.36
03/01/2017	MCLAIN, MICHAEL	AM FUNDS GROWTH FUND OF AMERICA A	0.00	1.56	0.00	1.56	92.0	1.44
03/01/2017	HOUSTON, JACOB	AM FUNDS GROWTH FUND OF AMERICA A	0.00	3.82	0.00	3.82	92.0	3.51
03/01/2017	HENDERSON, SUSAN	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.62	0.00	0.62	92.0	0.57
03/01/2017	HENDERSON, SUSAN	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.62	0.00	0.62	92.0	0.57
03/01/2017	WILLIAMS, WILLIAM	AM FUNDS GROWTH FUND OF AMERICA A	0.00	5.62	0.00	5.62	92.0	5.17
03/01/2017	WILLIAMS, JAIMIE	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.34	0.00	0.34	92.0	0.31
03/01/2017	KERSTING, LINDA	AM FUNDS GROWTH FUND OF AMERICA A	0.00	1.36	0.00	1.36	92.0	1.25
03/01/2017	SCHMITT, SUSAN	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.02	0.00	0.02	92.0	0.02

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<u>BROKER TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
03/01/2017	DUSH, THERESA	AM FUNDS GROWTH PORT A	0.00	8.12	0.00	8.12	92.0	7.47
03/01/2017	HEIMERMAN, DOYLE	AM FUNDS GROWTH PORT A	0.00	4.24	0.00	4.24	92.0	3.90
03/01/2017	HAVERFIELD, KARLA	AM FUNDS GROWTH PORT A	0.00	4.21	0.00	4.21	92.0	3.87
03/01/2017	STROOT, SANDRA	AM FUNDS GROWTH PORT A	0.00	4.17	0.00	4.17	92.0	3.84
02/21/2017	REED, MARK	AM FUNDS ICA A	100.00	1.20	0.00	1.20	92.0	1.10
02/21/2017	HILGER, GERALD	AM FUNDS ICA A	100.00	4.25	0.00	4.25	92.0	3.91
03/01/2017	RACER, WILLIAM	AM FUNDS ICA A	0.00	11.38	0.00	11.38	92.0	10.47
03/01/2017	GERSTENKORN, CAROLYN	AM FUNDS ICA A	0.00	134.25	0.00	134.25	92.0	123.51
03/01/2017	SCHMIDT, ALAN	AM FUNDS ICA A	0.00	5.75	0.00	5.75	92.0	5.29
03/01/2017	CLEMENS, SUSAN	AM FUNDS ICA A	0.00	13.89	0.00	13.89	92.0	12.78
03/01/2017	HESSE KS/TOD, RICHARD	AM FUNDS ICA A	0.00	26.96	0.00	26.96	92.0	24.80
03/01/2017	HOFFMAN, VERLA	AM FUNDS ICA A	0.00	22.21	0.00	22.21	92.0	20.43
03/01/2017	HOFFMAN, VERLA	AM FUNDS ICA A	0.00	26.98	0.00	26.98	92.0	24.82
03/01/2017	WIRTH, MARJORIE	AM FUNDS ICA A	0.00	77.09	0.00	77.09	92.0	70.92
03/01/2017	SMITH, SHARRILYN	AM FUNDS ICA A	0.00	10.81	0.00	10.81	92.0	9.95
03/01/2017	HIEGER, STEVEN	AM FUNDS ICA A	0.00	10.04	0.00	10.04	92.0	9.24
03/01/2017	HEIMERMAN, JANET	AM FUNDS ICA A	0.00	7.48	0.00	7.48	92.0	6.88
03/01/2017	IORIO, ISABELLA	AM FUNDS ICA A	0.00	1.53	0.00	1.53	92.0	1.41
03/01/2017	REED, MARK	AM FUNDS ICA A	0.00	9.67	0.00	9.67	92.0	8.90
03/01/2017	BROWN, MERRI	AM FUNDS ICA A	0.00	6.20	0.00	6.20	92.0	5.70
03/01/2017	KELLEY, RUTH	AM FUNDS ICA A	0.00	67.86	0.00	67.86	92.0	62.43
03/01/2017	GALLARDO, KAREN	AM FUNDS ICA A	0.00	7.56	0.00	7.56	92.0	6.96
03/01/2017	BOHANNON, RONALD	AM FUNDS ICA A	0.00	3.41	0.00	3.41	92.0	3.14
03/01/2017	MCADAM, DANIEL	AM FUNDS ICA A	0.00	4.26	0.00	4.26	92.0	3.92
03/01/2017	MCADAM, JEANNETTE	AM FUNDS ICA A	0.00	10.11	0.00	10.11	92.0	9.30
03/01/2017	KOSANKE, MARK	AM FUNDS ICA A	0.00	2.15	0.00	2.15	92.0	1.98
03/01/2017	HEIMERMAN, DOYLE	AM FUNDS ICA A	0.00	7.18	0.00	7.18	92.0	6.61
03/01/2017	HAVERFIELD, KARLA	AM FUNDS ICA A	0.00	3.36	0.00	3.36	92.0	3.09
03/01/2017	STROOT, SANDRA	AM FUNDS ICA A	0.00	6.99	0.00	6.99	92.0	6.43
03/01/2017	LAWSON, THOMAS	AM FUNDS ICA A	0.00	0.59	0.00	0.59	92.0	0.54
03/01/2017	HILGER, GERALD	AM FUNDS ICA A	0.00	3.94	0.00	3.94	92.0	3.62
03/01/2017	MCLAIN, MICHAEL	AM FUNDS ICA A	0.00	3.76	0.00	3.76	92.0	3.46
03/01/2017	SMITH, PHILLIP	AM FUNDS ICA A	0.00	8.43	0.00	8.43	92.0	7.76

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<u>BROKER TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
02/21/2017	HILGER, GERALD	AM FUNDS INCOME FUND OF AMERICA A	50.00	2.13	0.00	2.13	92.0	1.96
03/01/2017	RAYMER, GARY	AM FUNDS INCOME FUND OF AMERICA A	0.00	44.22	0.00	44.22	92.0	40.68
03/01/2017	SALISBURY, CLEOTA	AM FUNDS INCOME FUND OF AMERICA A	0.00	0.02	0.00	0.02	92.0	0.02
03/01/2017	GERSTENKORN, CAROLYN	AM FUNDS INCOME FUND OF AMERICA A	0.00	37.08	0.00	37.08	92.0	34.11
03/01/2017	WERNER TRUST, WANDA	AM FUNDS INCOME FUND OF AMERICA A	0.00	23.10	0.00	23.10	92.0	21.25
03/01/2017	HAYES, BEN	AM FUNDS INCOME FUND OF AMERICA A	0.00	13.68	0.00	13.68	92.0	12.59
03/01/2017	SPRAGUE, KRISTY	AM FUNDS INCOME FUND OF AMERICA A	0.00	82.22	0.00	82.22	92.0	75.64
03/01/2017	HIEGER, KIM	AM FUNDS INCOME FUND OF AMERICA A	0.00	3.29	0.00	3.29	92.0	3.03
03/01/2017	THOMAS, ERIN	AM FUNDS INCOME FUND OF AMERICA A	0.00	0.81	0.00	0.81	92.0	0.75
03/01/2017	THOMAS, IAN	AM FUNDS INCOME FUND OF AMERICA A	0.00	6.72	0.00	6.72	92.0	6.18
03/01/2017	MCADAM, JEANNETTE	AM FUNDS INCOME FUND OF AMERICA A	0.00	9.29	0.00	9.29	92.0	8.55
03/01/2017	MULLINIX, JANICE	AM FUNDS INCOME FUND OF AMERICA A	0.00	18.25	0.00	18.25	92.0	16.79
03/01/2017	HILGER, GERALD	AM FUNDS INCOME FUND OF AMERICA A	0.00	2.31	0.00	2.31	92.0	2.13
03/01/2017	HOUSTON, GARRETT	AM FUNDS INCOME FUND OF AMERICA A	0.00	1.14	0.00	1.14	92.0	1.05
02/21/2017	REED, MARK	AM FUNDS INTERMEDIATE BOND FUND OF	100.00	1.20	0.00	1.20	92.0	1.10
03/01/2017	REED, MARK	AM FUNDS INTERMEDIATE BOND FUND OF	0.00	24.02	0.00	24.02	92.0	22.10
03/01/2017	SPRAGUE, ARTHUR	AM FUNDS NEW ECONOMY A	0.00	33.96	0.00	33.96	92.0	31.24
03/01/2017	GOODMAN, KEITH	AM FUNDS NEW ECONOMY A	0.00	7.75	0.00	7.75	92.0	7.13
03/01/2017	SCHMIDT, SYLVIA	AM FUNDS NEW PERSPECTIVE A	0.00	34.45	0.00	34.45	92.0	31.69
03/01/2017	SPRAGUE, ARTHUR	AM FUNDS NEW PERSPECTIVE A	0.00	35.12	0.00	35.12	92.0	32.31
03/01/2017	PRACHT, BRIAN	AM FUNDS NEW PERSPECTIVE A	0.00	1.60	0.00	1.60	92.0	1.47
03/01/2017	HIEGER REV TRUST, STEVEN & KIMAM	FUNDS NEW PERSPECTIVE A	0.00	15.68	0.00	15.68	92.0	14.43
03/01/2017	HIEGER, KIM	AM FUNDS NEW PERSPECTIVE A	0.00	1.80	0.00	1.80	92.0	1.66
03/01/2017	HOFFMAN, VERLA	AM FUNDS NEW PERSPECTIVE A	0.00	10.72	0.00	10.72	92.0	9.86
03/01/2017	SMITH, SHARRILYN	AM FUNDS NEW PERSPECTIVE A	0.00	8.15	0.00	8.15	92.0	7.50
03/01/2017	LANDGREN, RICHARD	AM FUNDS NEW PERSPECTIVE A	0.00	0.50	0.00	0.50	92.0	0.46
03/01/2017	BUCKO, ALEXANDER	AM FUNDS NEW PERSPECTIVE A	0.00	5.17	0.00	5.17	92.0	4.76
03/01/2017	REED, MARK	AM FUNDS NEW PERSPECTIVE A	0.00	108.67	0.00	108.67	92.0	99.98
03/01/2017	BUCKO, ETHAN	AM FUNDS NEW PERSPECTIVE A	0.00	2.02	0.00	2.02	92.0	1.86
02/21/2017	SCHMIDT, MARSHALL	AM FUNDS NEW WORLD A	30.00	1.50	0.00	1.50	92.0	1.38
03/01/2017	THOMAS, MATTHEW	AM FUNDS NEW WORLD A	0.00	0.51	0.00	0.51	92.0	0.47
03/01/2017	CLEMENS, SUSAN	AM FUNDS NEW WORLD A	0.00	3.67	0.00	3.67	92.0	3.38
03/01/2017	BELL, BRAYDEN	AM FUNDS NEW WORLD A	0.00	0.42	0.00	0.42	92.0	0.39

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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>								
03/01/2017	BELL, GRIFFIN	AM FUNDS NEW WORLD A	0.00	0.39	0.00	0.39	92.0	0.36
03/01/2017	DUSH, THERESA	AM FUNDS NEW WORLD A	0.00	3.12	0.00	3.12	92.0	2.87
03/01/2017	GOODMAN, KEITH	AM FUNDS NEW WORLD A	0.00	4.76	0.00	4.76	92.0	4.38
03/01/2017	NORTHROP, PATRICIA	AM FUNDS NEW WORLD A	0.00	4.01	0.00	4.01	92.0	3.69
03/01/2017	SCHMIDT, MARSHALL	AM FUNDS NEW WORLD A	0.00	0.65	0.00	0.65	92.0	0.60
03/01/2017	LOTT TRUST, EDITH	AM FUNDS NEW WORLD A	0.00	3.10	0.00	3.10	92.0	2.85
03/01/2017	MULLINIX, JANICE	AM FUNDS NEW WORLD A	0.00	3.04	0.00	3.04	92.0	2.80
03/01/2017	NORTHROP, PATRICIA	AM FUNDS NEW WORLD A	0.00	1.96	0.00	1.96	92.0	1.80
03/01/2017	WILLIAMS, WILLIAM	AM FUNDS NEW WORLD A	0.00	2.40	0.00	2.40	92.0	2.21
03/01/2017	RACER, WILLIAM	AM FUNDS TAX-EXEMPT BOND FUND OF AM	0.00	6.84	0.00	6.84	92.0	6.29
02/21/2017	REED, MARK	AM FUNDS WASHINGTON MUTUAL INVESTOR	100.00	1.20	0.00	1.20	92.0	1.10
02/27/2017	ROTHS, GLEN	AM FUNDS WASHINGTON MUTUAL INVESTOR	100.00	3.75	0.00	3.75	92.0	3.45
02/28/2017	LANDGREN, PAMELA	AM FUNDS WASHINGTON MUTUAL INVESTOR	150.00	4.13	0.00	4.13	92.0	3.80
03/01/2017	GERSTENKORN, CAROLYN	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	66.22	0.00	66.22	92.0	60.92
03/01/2017	GERSTENKORN, CAROLYN	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	149.77	0.00	149.77	92.0	137.79
03/01/2017	SCHMIDT, ALAN	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	50.17	0.00	50.17	92.0	46.16
03/01/2017	REED, MARY	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	92.34	0.00	92.34	92.0	84.95
03/01/2017	BOWMAN, KELLY	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.79	0.00	0.79	92.0	0.73
03/01/2017	DANDURAND, BEVERLY	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	15.39	0.00	15.39	92.0	14.16
03/01/2017	REED, MARK	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	19.38	0.00	19.38	92.0	17.83
03/01/2017	SPRAGUE, ARTHUR	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	50.62	0.00	50.62	92.0	46.57
03/01/2017	PRACHT, CHRISTOPHER	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	11.64	0.00	11.64	92.0	10.71
03/01/2017	PRACHT, BRIAN	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	5.68	0.00	5.68	92.0	5.23
03/01/2017	THOMPSON, JESSICA	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	2.78	0.00	2.78	92.0	2.56
03/01/2017	BELL, CONNOR	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	12.03	0.00	12.03	92.0	11.07
03/01/2017	SMITH, KATELYN	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.93	0.00	0.93	92.0	0.86
03/01/2017	IORIO, RICHARD	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	3.77	0.00	3.77	92.0	3.47
03/01/2017	IORIO, NICHOLAS	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	2.82	0.00	2.82	92.0	2.59
03/01/2017	ROGERS, DEBRA	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	24.05	0.00	24.05	92.0	22.13
03/01/2017	CLEMENS, SUSAN	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	17.87	0.00	17.87	92.0	16.44
03/01/2017	STOCKHAM, THOMAS	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	1.89	0.00	1.89	92.0	1.74
03/01/2017	STOCKHAM, JOYCE	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	4.87	0.00	4.87	92.0	4.48
03/01/2017	STOCKHAM, THOMAS	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	1.04	0.00	1.04	92.0	0.96

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<u>BROKER TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
03/01/2017	MCGUIRE, PAMELA	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	9.82	0.00	9.82	92.0	9.03
03/01/2017	MCGUIRE, RICKY	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	7.68	0.00	7.68	92.0	7.07
03/01/2017	HIEGER REV TRUST, STEVEN & KIM	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	16.89	0.00	16.89	92.0	15.54
03/01/2017	HIEGER, KIM	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	3.46	0.00	3.46	92.0	3.18
03/01/2017	MCLEAN, CAROLINE	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.32	0.00	0.32	92.0	0.29
03/01/2017	MCLEAN, GAVIN	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	1.35	0.00	1.35	92.0	1.24
03/01/2017	DUSH, THERESA	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	7.35	0.00	7.35	92.0	6.76
03/01/2017	SMITH, SHARRILYN	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	4.63	0.00	4.63	92.0	4.26
03/01/2017	LANDGREN, PAMELA	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	1.00	0.00	1.00	92.0	0.92
03/01/2017	LANDGREN, RICHARD	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	1.34	0.00	1.34	92.0	1.23
03/01/2017	LANDGREN, RICHARD	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	1.00	0.00	1.00	92.0	0.92
03/01/2017	JENKINS, MARTY	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	5.54	0.00	5.54	92.0	5.10
03/01/2017	REED, MARK	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	33.03	0.00	33.03	92.0	30.39
03/01/2017	ROTHS, GLEN	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	10.59	0.00	10.59	92.0	9.74
03/01/2017	LANDGREN, PAMELA	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.88	0.00	0.88	92.0	0.81
03/01/2017	GALLARDO, KAREN	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	10.41	0.00	10.41	92.0	9.58
03/01/2017	CROSBY, AMANDA	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.50	0.00	0.50	92.0	0.46
03/01/2017	GOULD, HILARY	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	1.28	0.00	1.28	92.0	1.18
03/01/2017	WILLIAMS, WILLIAM	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	3.53	0.00	3.53	92.0	3.25
03/01/2017	SMITH, PHILLIP	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	8.39	0.00	8.39	92.0	7.72
03/01/2017	FLATTERY, VICKI	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	14.16	0.00	14.16	92.0	13.03
03/01/2017	OTTAWAY, SANDRA	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	16.89	0.00	16.89	92.0	15.54
03/01/2017	OTTAWAY, DANNY	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	10.38	0.00	10.38	92.0	9.55
03/01/2017	MCSPADDEN STREIB, GLORIA	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	4.02	0.00	4.02	92.0	3.70
03/01/2017	SPONSEL, ERNEST	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	1.26	0.00	1.26	92.0	1.16
03/01/2017	SPONSEL, VICKY	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.62	0.00	0.62	92.0	0.57
/ /	RAYMER, CHRISTOPHER	FIDELITY ADV HEALTH CARE T	0.00	1.23	0.00	1.23	92.0	1.13
/ /	CHRISTIAN TOD, ROBERT	FIDELITY ADV HEALTH CARE T	0.00	8.25	0.00	8.25	92.0	7.59
/ /	EVERETT, TRAVIS	FIDELITY ADV NEW INSIGHTS-CL A	0.00	1.53	0.00	1.53	92.0	1.41
/ /	LAGPACAN, RAYMUND	FIDELITY ADV OVERSEAS	0.00	2.28	0.00	2.28	92.0	2.10
/ /	LAGPACAN, RAYMUND	FIDELITY ADV OVERSEAS	0.00	1.42	0.00	1.42	92.0	1.31
/ /	LOTT TRUST, EDITH	FIDELITY ADV OVERSEAS	0.00	2.03	0.00	2.03	92.0	1.87
/ /	EVERETT, TRAVIS	FIDELITY ADV REAL ESTATE A	50.00	2.75	0.00	2.75	92.0	2.53

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<u>BROKER TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
/ /	EVERETT, TRAVIS	FIDELITY ADV STOCK SELECTOR ALLCAP	0.00	1.57	0.00	1.57	92.0	1.44
/ /	CHRISTIAN TOD, ROBERT	FIDELITY ADV STRATEGIC INCOME	0.00	8.24	0.00	8.24	92.0	7.58
/ /	KENNEDY, ROBERT	FIDELITY ADV VALUE STRATEGIES A	0.00	7.25	0.00	7.25	92.0	6.67
/ /	RIEMANN TRUST, ARVELLA	FIDELITY ADVISOR VALUE	0.00	8.15	0.00	8.15	92.0	7.50
/ /	RIEMANN TRUST, ARVELLA	FIDELITY BALANCED T	0.00	8.06	0.00	8.06	92.0	7.42
/ /	CROSS TRUST, ALLEN & CHARLA	FIDELITY BALANCED T	0.00	8.69	0.00	8.69	92.0	7.99
/ /	RIEMANN TRUST, ARVELLA	FIDELITY DIV GROWTH T	0.00	11.83	0.00	11.83	92.0	10.88
/ /	CHRISTIAN TOD, ROBERT	FIDELITY DIV GROWTH T	0.00	8.43	0.00	8.43	92.0	7.76
/ /	EVERETT, TRAVIS	FIDELITY DIVERSIFIED INTL A	0.00	0.45	0.00	0.45	92.0	0.41
/ /	EVERETT, TRAVIS	FIDELITY DIVERSIFIED STOCK A	0.00	1.40	0.00	1.40	92.0	1.29
/ /	EVERETT, TRAVIS	FIDELITY DIVIDEND GROWTH A	125.00	2.75	0.00	2.75	92.0	2.53
03/01/2017	EVERETT, TRAVIS	FIDELITY DIVIDEND GROWTH A	0.00	3.31	0.00	3.31	92.0	3.05
/ /	KENNEDY, ROBERT	FIDELITY EMERGING MARKET A	0.00	0.61	0.00	0.61	92.0	0.56
/ /	EVERETT, TRAVIS	FIDELITY EMERGING MARKETS A	100.00	2.75	0.00	2.75	92.0	2.53
03/01/2017	EVERETT, TRAVIS	FIDELITY EMERGING MARKETS A	0.00	2.42	0.00	2.42	92.0	2.23
/ /	RANCILIO, KENNETH	FIDELITY EQUITY GROWTH A	0.00	0.66	0.00	0.66	92.0	0.61
/ /	LAGPACAN, RAYMUND	FIDELITY EQUITY GROWTH T	0.00	6.64	0.00	6.64	92.0	6.11
/ /	LAGPACAN, RAYMUND	FIDELITY EQUITY GROWTH T	0.00	4.46	0.00	4.46	92.0	4.10
/ /	RIEMANN TRUST, ARVELLA	FIDELITY EQUITY GROWTH T	0.00	21.25	0.00	21.25	92.0	19.55
/ /	HAYES, BEN	FIDELITY EQUITY GROWTH T	0.00	23.84	0.00	23.84	92.0	21.93
/ /	HEARD, DAVID	FIDELITY EQUITY GROWTH T	0.00	0.79	0.00	0.79	92.0	0.73
/ /	LOTT TRUST, EDITH	FIDELITY EQUITY GROWTH T	0.00	18.07	0.00	18.07	92.0	16.62
/ /	LAGPACAN, RAYMUND	FIDELITY EQUITY INCOME	0.00	7.26	0.00	7.26	92.0	6.68
/ /	LAGPACAN, RAYMUND	FIDELITY EQUITY INCOME	0.00	7.29	0.00	7.29	92.0	6.71
/ /	RIEMANN TRUST, ARVELLA	FIDELITY EQUITY INCOME	0.00	27.68	0.00	27.68	92.0	25.47
/ /	LOTT TRUST, EDITH	FIDELITY EQUITY INCOME	0.00	31.94	0.00	31.94	92.0	29.38
/ /	HAYES, MARTHA	FIDELITY EQUITY INCOME A	0.00	0.46	0.00	0.46	92.0	0.42
/ /	HAYES, BEN	FIDELITY EQUITY INCOME A	0.00	0.47	0.00	0.47	92.0	0.43
/ /	EVERETT, TRAVIS	FIDELITY FINANCIAL SERVICES A	0.00	0.60	0.00	0.60	92.0	0.55
/ /	EVERETT, TRAVIS	FIDELITY FINANCIAL SERVICES A	0.00	2.80	0.00	2.80	92.0	2.58
/ /	EVERETT, TRAVIS	FIDELITY GOV'T MMKT DAILY MONEY C	0.00	1.80	0.00	1.80	92.0	1.66
/ /	LOTT TRUST, EDITH	FIDELITY GOV'T MMKT DAILY MONEY C	0.00	0.46	0.00	0.46	92.0	0.42
/ /	EVERETT, TRAVIS	FIDELITY GOV'T MMKT DAILY MONEY C	0.00	1.85	0.00	1.85	92.0	1.70

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<u>BROKER TRANSACTIONS</u>								
PRODUCT CATEGORY: MUTUAL FUNDS								
/ /	CHRISTIAN TOD, ROBERT	FIDELITY GOV'T MMKT DAILY MONEY C	0.00	0.01	0.00	0.01	92.0	0.01
/ /	KENNEDY, ROBERT	FIDELITY GROWTH & INCOME A	0.00	3.20	0.00	3.20	92.0	2.94
/ /	EVERETT, TRAVIS	FIDELITY GROWTH & INCOME A	0.00	1.41	0.00	1.41	92.0	1.30
/ /	EVERETT, TRAVIS	FIDELITY HIGH INCOME A	0.00	0.46	0.00	0.46	92.0	0.42
/ /	KENNEDY, ROBERT	FIDELITY HIGH INCOME ADVANTAGE A	0.00	0.87	0.00	0.87	92.0	0.80
/ /	EVERETT, TRAVIS	FIDELITY HIGH INCOME ADVANTAGE A	0.00	1.64	0.00	1.64	92.0	1.51
/ /	RIEMANN TRUST, ARVELLA	FIDELITY HIGH INCOME T	0.00	3.11	0.00	3.11	92.0	2.86
/ /	LOTT TRUST, EDITH	FIDELITY HIGH INCOME T	0.00	2.65	0.00	2.65	92.0	2.44
/ /	RIEMANN TRUST, ARVELLA	FIDELITY MIDCAP T	0.00	4.26	0.00	4.26	92.0	3.92
/ /	RAYMER, CHRISTOPHER	FIDELITY MIDCAP T	0.00	1.06	0.00	1.06	92.0	0.98
/ /	EVERETT, TRAVIS	FIDELITY TECHNOLOGY A	0.00	0.43	0.00	0.43	92.0	0.40
/ /	HAYES, BEN	FIDELITY TECHNOLOGY T	0.00	1.17	0.00	1.17	92.0	1.08
/ /	CHRISTIAN TOD, ROBERT	FIDELITY TECHNOLOGY T	0.00	4.36	0.00	4.36	92.0	4.01
02/21/2017	THOMAS, DAVID	FT FOUNDING FUNDS ALLOC A	150.00	7.50	0.00	7.50	92.0	6.90
/ /	RANCILIO, KENNETH	GUGGENHEIM DOW 2X STRATEGY A	0.00	3.72	0.00	3.72	92.0	3.42
/ /	FAIRLEY, MIKE	GUGGENHEIM TOTAL RETURN BOND - A	0.00	3.55	0.00	3.55	92.0	3.27
/ /	WALMANN, JEFFREY	GUGGENHEIM US LONG SHORT MOMENTUM A	0.00	0.46	0.00	0.46	92.0	0.42
02/21/2017	NELSON, JIM	INVESCO AMERICAN FRANCHISE A	100.00	3.00	0.00	3.00	92.0	2.76
02/21/2017	NELSON, DENE	INVESCO CHARTER FUND A	200.00	6.00	0.00	6.00	92.0	5.52
02/21/2017	NELSON, JIM	INVESCO CHARTER FUND A	250.00	7.50	0.00	7.50	92.0	6.90
02/21/2017	NELSON, JIM	INVESCO DEVELOPING MARKETS A	50.00	1.50	0.00	1.50	92.0	1.38
02/21/2017	NELSON, DENE	INVESCO GROWTH ALLOCATION A	100.00	3.00	0.00	3.00	92.0	2.76
02/21/2017	NELSON, JIM	INVESCO GROWTH ALLOCATION A	100.00	3.00	0.00	3.00	92.0	2.76
02/21/2017	NELSON, DENE	INVESCO MODERATE ALLOCATION A	200.00	6.00	0.00	6.00	92.0	5.52
02/28/2017	NELSON, ARIKA	INVESCO VALUE OPP A	200.00	6.00	0.00	6.00	92.0	5.52
/ /	FRANZ, PJ	RYDEX ALPHA OPPORTUNITY A	0.00	0.47	0.00	0.47	92.0	0.43
/ /	THOMAS, MARY	RYDEX GUGG COMMODITIES STRATEGY A	0.00	0.20	0.00	0.20	92.0	0.18
/ /	LAWRENCE POLICE	RYDEX GUGG INVESTMENT GRADE BOND A	0.00	4.87	0.00	4.87	92.0	4.48
/ /	RANCILIO, KENNETH	RYDEX GUGG MANAGED FUTURES STRATEGY	0.00	1.10	0.00	1.10	92.0	1.01
/ /	THOMAS, MARY	RYDEX GUGG MANAGED FUTURES STRATEGY	0.00	0.10	0.00	0.10	92.0	0.09
/ /	RANCILIO, KENNETH	RYDEX GUGG S&P 500 PURE GROWTH A	0.00	2.39	0.00	2.39	92.0	2.20
/ /	LAWRENCE POLICE	RYDEX GUGG STYLEPLUS LARGE CORE A	0.00	7.53	0.00	7.53	92.0	6.93
/ /	ROGERS, D	RYDEX GUGG U.S. LONG SHORT MOMENTUM	0.00	20.55	0.00	20.55	92.0	18.91

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<u>BROKER TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
/ /	WALMANN, JEFFREY	RYDEX MULTI HEDGE STRATEGIES A	0.00	0.39	0.00	0.39	92.0	0.36
03/09/2017	ERKER REV TRUST, LAWRENCE &	SUNAMERICA SENIOR FLOATING RATE CL	0.00	36.89	0.00	36.89	92.0	33.94
03/03/2017	CHRISTIAN, ROBERT	TRANSAMERICA DIVERSIFIED EQUITY A	1,000.00	47.50	0.00	47.50	92.0	43.70
* MUTUAL FUNDS SUBTOTAL *			\$6,205.00	\$6,231.84	\$0.00	\$6,231.84		\$5,733.29
<u>PRODUCT CATEGORY: STOCKS</u>								
03/03/2017	WEBB, STAN	LOWES COS INC COM	-3,496.76	0.00	22.50	-22.50	92.0	-20.70
* STOCKS SUBTOTAL *			\$-3,496.76	\$0.00	\$22.50	\$-22.50		\$-20.70
<u>PRODUCT CATEGORY: VARIABLE ANNUITIES</u>								
03/03/2017	SCHMIDT, SYLVIA	ING RELIASTAR	300.00	12.00	0.00	12.00	92.0	11.04
03/03/2017	SCHMITT, SUSAN	ING RELIASTAR	200.00	8.00	0.00	8.00	92.0	7.36
03/02/2017	ERKER, LAWRENCE	AM GEN POLARIS FLEX PYMT DEF ANNUIT	62,732.92	62.73	0.00	62.73	92.0	57.71
02/25/2017	BAZIL, RALPH	AM GEN POLARIS PLATINUM III	109,995.18	68.75	0.00	68.75	92.0	63.25
02/28/2017	SPRAGUE, KRISTY	JNL ELITE ACCESS	29,006.72	6.04	0.00	6.04	92.0	5.56
02/28/2017	BAZIL, RALPH	JNL ELITE ACCESS	54,139.64	11.28	0.00	11.28	92.0	10.38
02/28/2017	CLEARY, MICHAEL	JNL ELITE ACCESS	59,538.20	12.40	0.00	12.40	92.0	11.41
02/28/2017	ARVANITIS, MICHELLE	JNL PERSPECTIVE II 05/05	25,019.33	20.85	0.00	20.85	92.0	19.18
02/28/2017	STOCKHAM, THOMAS	JNL PERSPECTIVE II 05/05	26,283.29	10.95	0.00	10.95	92.0	10.07
02/28/2017	KELLEY, JAMES	JNL PERSPECTIVE II 05/05	209,062.36	87.11	0.00	87.11	92.0	80.14
02/28/2017	CARPENTER JR, ROBERT	JNL PERSPECTIVE II 05/05	38,449.90	16.02	0.00	16.02	92.0	14.74
02/28/2017	HOFFMAN, FRANCIS	JNL PERSPECTIVE II 05/05	123,944.36	51.64	0.00	51.64	92.0	47.51
02/28/2017	EVERETT, TRAVIS	JNL PERSPECTIVE II 05/05	99,011.39	41.25	0.00	41.25	92.0	37.95
02/28/2017	BRIMER JR, ALBERT	JNL PERSPECTIVE II 05/05	71,261.42	29.69	0.00	29.69	92.0	27.31
02/28/2017	GREENING, CHRISTOPHER	JNL PERSPECTIVE II 05/05	52,122.29	21.72	0.00	21.72	92.0	19.98
02/28/2017	RHEA, JONNIE	JNL PERSPECTIVE II 05/05	77,787.55	32.41	0.00	32.41	92.0	29.82
02/28/2017	PRACHT, MARK	JNL PERSPECTIVE II 05/05	115,683.28	48.20	0.00	48.20	92.0	44.34
02/28/2017	ENGEL, CALVIN	JNL PERSPECTIVE II 05/05	154,521.78	64.38	0.00	64.38	92.0	59.23
02/28/2017	HESSE, RICHARD	JNL PERSPECTIVE II 05/05	45,280.84	18.87	0.00	18.87	92.0	17.36
02/28/2017	BROWN, MARY	JNL PERSPECTIVE L	17,852.49	19.34	0.00	19.34	92.0	17.79
02/28/2017	CRANE, BEVERLY	JNL PERSPECTIVE L	151,617.09	164.25	0.00	164.25	92.0	151.11
02/28/2017	DANDURAND, BEVERLY	JNL PERSPECTIVE L	152,449.97	165.15	0.00	165.15	92.0	151.94
02/28/2017	ROBINSON, DENNIS	JOHN HANCOCK VANTAGE	69,259.24	14.43	0.00	14.43	92.0	13.28
02/28/2017	KENNEDY, ROBERT	JOHN HANCOCK VENTURE	32,394.39	20.25	0.00	20.25	92.0	18.63

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>BROKER TRANSACTIONS</u>								
PRODUCT CATEGORY: VARIABLE ANNUITIES								
02/28/2017	HEARD, DAVID	JOHN HANCOCK VENTURE	13,385.71	8.37	0.00	8.37	92.0	7.70
02/28/2017	HEIMERMAN, JANET	JOHN HANCOCK VENTURE 2006	38,086.10	7.93	0.00	7.93	92.0	7.30
02/28/2017	ROBINSON, DENNIS	JOHN HANCOCK VENTURE III	113,599.68	94.67	0.00	94.67	92.0	87.10
02/27/2017	ROBINSON, VIRGINIA	SBL ADVISOR PROGRAM	60,284.11	12.55	0.00	12.55	92.0	11.55
02/27/2017	CRANE, JEANNE	SBL ADVISOR PROGRAM	251.60	0.17	0.00	0.17	92.0	0.16
02/27/2017	BROWN, MARSHALL	SBL ADVISOR PROGRAM	5,341.00	3.56	0.00	3.56	92.0	3.28
02/27/2017	BLUMENTHAL, JAY	SBL ADVISOR PROGRAM	42,283.64	28.19	0.00	28.19	92.0	25.93
02/27/2017	PERICA, NICK	SBL ADVISOR PROGRAM	20,374.00	13.58	0.00	13.58	92.0	12.49
02/27/2017	PERICA, NICK	SBL ADVISOR PROGRAM	20,640.00	4.30	0.00	4.30	92.0	3.96
02/27/2017	PRATT, DAN	SBL ADVISOR PROGRAM	72,105.11	48.08	0.00	48.08	92.0	44.23
02/27/2017	PRATT, DAN	SBL ADVISOR PROGRAM	9,655.84	6.44	0.00	6.44	92.0	5.92
02/27/2017	WILSON, MICHAEL	SBL ADVISOR PROGRAM	14,655.00	3.05	0.00	3.05	92.0	2.81
02/27/2017	SCOTT, MELANIE	SBL ADVISOR PROGRAM	36,663.38	24.44	0.00	24.44	92.0	22.48
02/27/2017	KIMBROUGH, MICHAEL	SBL ADVISOR PROGRAM	25,376.94	16.92	0.00	16.92	92.0	15.57
02/27/2017	GAMMON, RICHARD	SBL ADVISOR PROGRAM	7,296.00	4.86	0.00	4.86	92.0	4.47
02/27/2017	SPARTAN, STEPHEN	SBL ADVISOR PROGRAM	17,166.00	11.44	0.00	11.44	92.0	10.52
02/27/2017	HUGGINS, LINDA	SBL ADVISOR PROGRAM	6,282.00	4.19	0.00	4.19	92.0	3.85
02/27/2017	GREENFIELD, CHARLES	SBL ADVISOR PROGRAM	77.00	0.05	0.00	0.05	92.0	0.05
02/27/2017	CHENNAULT, WILLIAM	SBL ADVISOR PROGRAM	11,663.83	7.78	0.00	7.78	92.0	7.16
02/27/2017	ALEXANDER, DEBORAH	SBL ADVISOR PROGRAM	3,815.00	2.54	0.00	2.54	92.0	2.34
02/27/2017	SCHILLING, BARBARA	SBL ADVISOR PROGRAM	12,618.00	8.41	0.00	8.41	92.0	7.74
02/27/2017	ROBINSON, ROSALEE	SBL ADVISOR PROGRAM	5,136.00	3.42	0.00	3.42	92.0	3.15
02/27/2017	SMITH, MAURICE	SBL ADVISOR PROGRAM	64.37	0.04	0.00	0.04	92.0	0.04
02/27/2017	HAYNES, VICKIE	SBL ADVISOR PROGRAM	10,994.00	7.33	0.00	7.33	92.0	6.74
02/27/2017	SANCHEZ, RICHARD	SBL ADVISOR PROGRAM	34,810.29	23.21	0.00	23.21	92.0	21.35
02/27/2017	SANCHEZ, RICHARD	SBL ADVISOR PROGRAM	7,926.04	5.29	0.00	5.29	92.0	4.87
02/27/2017	LEIGHTON, CAROL	SBL ADVISOR PROGRAM	12,874.51	8.58	0.00	8.58	92.0	7.89
02/27/2017	NOVAK, JAY	SBL ADVISOR PROGRAM	42,100.56	28.07	0.00	28.07	92.0	25.82
02/27/2017	LAHMANN, CYNTHIA	SBL ADVISOR PROGRAM	51,893.45	34.60	0.00	34.60	92.0	31.83
02/27/2017	WOLF, LORRAINE	SBL ADVISOR PROGRAM	5,424.00	3.62	0.00	3.62	92.0	3.33
02/27/2017	HILL, MICHAEL	SBL ADVISOR PROGRAM	14,125.86	9.42	0.00	9.42	92.0	8.67
02/27/2017	MOREHOUSE, MARIA	SBL ADVISOR PROGRAM	5,247.64	3.50	0.00	3.50	92.0	3.22
02/27/2017	LAHMANN, JAMES	SBL ADVISOR PROGRAM	40,397.00	33.66	0.00	33.66	92.0	30.97

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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: VARIABLE ANNUITIES</u>								
02/27/2017	WYATT, LINDA	SBL ADVISOR PROGRAM	6,708.00	4.47	0.00	4.47	92.0	4.11
02/27/2017	NEFF, SHERRILL	SBL ADVISOR PROGRAM	35,744.12	23.83	0.00	23.83	92.0	21.92
02/27/2017	NEFF, SHERRILL	SBL ADVISOR PROGRAM	23,965.00	15.98	0.00	15.98	92.0	14.70
02/27/2017	CHASTAIN, ANDREA	SBL ADVISOR PROGRAM	53,811.95	35.87	0.00	35.87	92.0	33.00
02/27/2017	JOHNSON, JUDY	SBL ADVISOR PROGRAM	56,287.85	37.53	0.00	37.53	92.0	34.53
02/27/2017	LEONARD, ROBERT	SBL ADVISOR PROGRAM	6,168.00	4.11	0.00	4.11	92.0	3.78
02/27/2017	DARR, YVONNE	SBL ADVISOR PROGRAM	24,514.94	16.34	0.00	16.34	92.0	15.03
02/27/2017	TUNG, CHAN	SBL ADVISOR PROGRAM	15,805.00	10.54	0.00	10.54	92.0	9.70
02/27/2017	COOPER, KATHERINE	SBL ADVISOR PROGRAM	7,357.00	4.90	0.00	4.90	92.0	4.51
02/27/2017	DAVIS, JOANNE	SBL ADVISOR PROGRAM	8,290.00	5.53	0.00	5.53	92.0	5.09
02/27/2017	YEAZEL, JOHN	SBL ADVISOR PROGRAM	63,032.04	42.02	0.00	42.02	92.0	38.66
02/27/2017	SAUNDERS, TONI	SBL ADVISOR PROGRAM	4,180.00	2.79	0.00	2.79	92.0	2.57
02/27/2017	POWELL, MATTHEW	SBL ADVISOR PROGRAM	30,552.43	20.37	0.00	20.37	92.0	18.74
02/27/2017	MCDOWELL, DENISE	SBL ADVISOR PROGRAM	47,232.46	31.49	0.00	31.49	92.0	28.97
02/27/2017	SUTTON, LINDA	SBL ADVISOR PROGRAM	52,432.68	34.96	0.00	34.96	92.0	32.16
02/27/2017	MCADAM, DANIEL	SBL SECUREDESIGNS VA	92,217.60	19.18	0.00	19.18	92.0	17.65
02/27/2017	RHEA, JONNIE	SBL SECUREDESIGNS VA	95,285.27	19.82	0.00	19.82	92.0	18.23
02/27/2017	WAGGONER, JOAN	SBL SECUREDESIGNS VA	136,765.48	74.09	0.00	74.09	92.0	68.16
02/27/2017	BENNETT, CARA	SBL SECUREDESIGNS VA	10,812.28	2.25	0.00	2.25	92.0	2.07
02/27/2017	DUFFENDACK, PAULA	SBL SECUREDESIGNS VA	22,981.01	8.62	0.00	8.62	92.0	7.93
02/23/2017	WINN, VALDENIA	SBL VARIFLEX VA	150.00	7.50	0.00	7.50	92.0	6.90
02/23/2017	BENNETT, TERESA	SBL VARIFLEX VA	40.00	2.00	0.00	2.00	92.0	1.84
03/02/2017	WINN, VALDENIA	SBL VARIFLEX VA	150.00	7.50	0.00	7.50	92.0	6.90
03/02/2017	BENNETT, TERESA	SBL VARIFLEX VA	40.00	2.00	0.00	2.00	92.0	1.84
* VARIABLE ANNUITIES SUBTOTAL *			\$3,335,050.40	\$1,913.66	\$0.00	\$1,913.66		\$1,760.57
<u>PRODUCT CATEGORY: VARIABLE ANNUITY 12B1 TRAILS</u>								
03/03/2017	SCHMIDT, ALAN	ING RELIASTAR	0.00	7.25	0.00	7.25	92.0	6.67
03/03/2017	SCHMIDT, SYLVIA	ING RELIASTAR	0.00	7.64	0.00	7.64	92.0	7.03
03/03/2017	SCHMITT, SUSAN	ING RELIASTAR	0.00	5.05	0.00	5.05	92.0	4.65
* VARIABLE ANNUITY 12B1 TRAILS SUBTOTAL *			\$0.00	\$19.94	\$0.00	\$19.94		\$18.35
*** BROKER TRANSACTIONS TOTAL ***			\$3,337,758.64	\$8,165.44	\$22.50	\$8,142.94		\$7,491.51

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>ADJUSTMENTS</u>								
03/15/2017		*E & O INSURANCE: CURRENT MONTH INS	0.00					-300.00
03/15/2017		*MARKETING LIBRARY: MARKETING LIBRA	0.00					-20.00
03/15/2017		*TECHNOLOGY: CURRENT MONTH TECH	0.00					-275.00
*** ADJUSTMENTS TOTAL ***			\$0.00	\$0.00	\$0.00	\$0.00		\$-595.00

BROKER COMMISSION TOTALS

Broker Transactions	\$7,491.51
Split Transactions	\$0.00
Override Transactions	\$0.00
Adjustments	\$-595.00
Payroll Draw	\$0.00
Base Salary	\$0.00
Prior Period Balance	\$0.00
FINRA Assessment	\$0.00
SIPC Assessment	\$0.00

Check Amount	\$6,896.51
Year-to-date Gross	\$18,245.52
Year-to-date Earnings	\$16,765.11

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