

**COMMISSION STATEMENT****December 15, 2017**

**DELMAR (BO)-M143 MCKINNEY**  
5 Red Bud Trail

**BROKER #: M143**

BRANCH: EAGLE WEALTH MANAGEM

Round Rock, TX 78655-

DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<b><u>CLEARING TRANSACTIONS</u></b>								
<b><u>PRODUCT CATEGORY: MUTUAL FUNDS</u></b>								
12/05/2017	ASPRA, TRISSA	AM FUNDS AMCAP A	75.00	3.19	12.00	-8.81	90.0	-7.93
12/05/2017	FUESSEL, NORMAN	AM FUNDS AMERICAN HIGH-INCOME TRUST	-16,061.49	22.00	22.00	0.00	90.0	0.00
12/05/2017	ASPRA, TRISSA	AM FUNDS GROWTH FUND OF AMERICA A	75.00	3.19	12.00	-8.81	90.0	-7.93
12/05/2017	FUESSEL, NORMAN	AM FUNDS INCOME FUND OF AMERICA A	-8,000.00	22.00	22.00	0.00	90.0	0.00
12/04/2017	LAWHON, JACKIE	AM FUNDS WASHINGTON MUTUAL INVESTOR	-500.00	0.00	12.00	-12.00	90.0	-10.80
12/05/2017	WILSON, MARY	AM FUNDS WASHINGTON MUTUAL INVESTOR	-19,250.00	22.00	22.00	0.00	90.0	0.00
12/05/2017	PEMBERTON, PATRICIA	CLEARBRIDGE SMALL CAP GROWTH FUND C	-1,250.00	0.00	0.00	0.00	90.0	0.00
12/05/2017	KETTLE, MARVIN	FRANKLIN INCOME FUND ADVISOR CLASS	-3,570.00	0.00	0.00	0.00	90.0	0.00
12/05/2017	COOPER, ADAM	FRANKLIN MUTUAL QUEST A	-2,500.00	0.00	0.00	0.00	90.0	0.00
12/05/2017	FLEMING, JERRY	HARTFORD MIDCAP A	-4,900.00	0.00	0.00	0.00	90.0	0.00
<b>* MUTUAL FUNDS SUBTOTAL *</b>			<b>\$-55,881.49</b>	<b>\$72.38</b>	<b>\$102.00</b>	<b>\$-29.62</b>		<b>\$-26.66</b>
<b><u>PRODUCT CATEGORY: UNIT INVESTMENT TRUSTS</u></b>								
12/01/2017	MILLER, SHARON	FT UNIT 6379 MLP CLOSED END ENERGY	-20,438.35	0.00	44.00	-44.00	90.0	-39.60
12/01/2017	MILLER, MICHAEL	FT UNIT 6379 MLP CLOSED-END FD & EN	-19,646.97	0.00	44.00	-44.00	90.0	-39.60
12/01/2017	ROSIPAL, HERBERT	FT UNIT 6812 CLOUD COMPUTING PORTFO	58,005.98	1,160.39	0.00	1,160.39	90.0	1,044.35
12/01/2017	ROSIPAL, HERBERT	FT UNIT 6887 DIVERSIFIED EQUITY STR	58,001.08	725.06	0.00	725.06	90.0	652.55
<b>* UNIT INVESTMENT TRUSTS SUBTOTAL *</b>			<b>\$75,921.74</b>	<b>\$1,885.45</b>	<b>\$88.00</b>	<b>\$1,797.45</b>		<b>\$1,617.70</b>
<b>*** CLEARING TRANSACTIONS TOTAL ***</b>			<b>\$20,040.25</b>	<b>\$1,957.83</b>	<b>\$190.00</b>	<b>\$1,767.83</b>		<b>\$1,591.04</b>

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

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

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

DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<b><u>DIRECT TRANSACTIONS</u></b>								
<b><u>PRODUCT CATEGORY: 529 PLANS</u></b>								
11/20/2017	BRUECKNER, MICHAEL	AM FUNDS GROWTH FUND OF AMERICA 529	100.00	1.20	0.00	1.20	90.0	1.08
11/24/2017	OHE, EUGENIA	AM FUNDS GROWTH FUND OF AMERICA 529	100.00	2.75	0.00	2.75	90.0	2.48
11/24/2017	OHE, EUGENIA	AM FUNDS GROWTH FUND OF AMERICA 529	100.00	2.75	0.00	2.75	90.0	2.48
11/20/2017	BRUECKNER, MICHAEL	AM FUNDS WASHINGTON MUTUAL INVESTOR	100.00	1.20	0.00	1.20	90.0	1.08
<b>* 529 PLANS SUBTOTAL *</b>			<b>\$400.00</b>	<b>\$7.90</b>	<b>\$0.00</b>	<b>\$7.90</b>		<b>\$7.12</b>
<b><u>PRODUCT CATEGORY: VARIABLE ANNUITIES</u></b>								
11/30/2017	MCKINNEY II, DELMAR	LFG TRAILS	0.00	84.13	0.00	84.13	90.0	75.72
11/30/2017	MASON, JOHN	JNL PERSPECTIVE ADV II 5/05	459,329.71	382.77	0.00	382.77	90.0	344.49
11/30/2017	MASON, JOHN	JNL PERSPECTIVE L	456,904.38	380.75	0.00	380.75	90.0	342.68
11/30/2017	PEMBERTON, PATRICIA	JOHN HANCOCK VENTURE	19,558.08	4.07	0.00	4.07	90.0	3.66
<b>* VARIABLE ANNUITIES SUBTOTAL *</b>			<b>\$935,792.17</b>	<b>\$851.72</b>	<b>\$0.00</b>	<b>\$851.72</b>		<b>\$766.55</b>
<b><u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u></b>								
11/09/2017	BUROW, PAUL	ALLIANCEBERNSTEIN INTL VALUE A	0.00	0.96	0.00	0.96	90.0	0.86
11/17/2017	WIESNER, BETTY	AM CENT EQUITY INCOME	0.00	3.14	0.00	3.14	90.0	2.83
12/01/2017	NAIZER, ROSANNE	AM FUNDS AMCAP 529A	0.00	2.70	0.00	2.70	90.0	2.43
12/01/2017	NAIZER, JOHNNIE	AM FUNDS AMCAP 529A	0.00	1.88	0.00	1.88	90.0	1.69
11/20/2017	ROSENTHAL, LUCILLE	AM FUNDS AMCAP A	0.00	12.65	0.00	12.65	90.0	11.39
11/20/2017	LUEDTKE, LOIS	AM FUNDS AMCAP A	0.00	12.74	0.00	12.74	90.0	11.47
11/20/2017	ASPRA, TRISSA	AM FUNDS AMCAP A	0.00	2.77	0.00	2.77	90.0	2.49
11/20/2017	NMN & NJN MGMT TRUST	AM FUNDS AMCAP A	0.00	1.67	0.00	1.67	90.0	1.50
11/20/2017	MICHNA, RHYS	AM FUNDS AMCAP A	0.00	1.40	0.00	1.40	90.0	1.26
11/20/2017	SCOTT, MONYUAN	AM FUNDS AMCAP A	0.00	28.99	0.00	28.99	90.0	26.09
11/20/2017	GREER, GREGORY	AM FUNDS AMCAP A	0.00	2.53	0.00	2.53	90.0	2.28
11/20/2017	GREER, GREGORY	AM FUNDS AMCAP A	0.00	1.36	0.00	1.36	90.0	1.22
12/01/2017	PRAESEL, ARTHUR	AM FUNDS AMCAP A	0.00	218.26	0.00	218.26	90.0	196.43
11/20/2017	SPECKELS, MELBA	AM FUNDS AMERICAN BALANCED A	0.00	1.29	0.00	1.29	90.0	1.16
11/20/2017	GREER, GREGORY	AM FUNDS AMERICAN BALANCED A	0.00	0.74	0.00	0.74	90.0	0.67
11/20/2017	GREER, GREGORY	AM FUNDS AMERICAN BALANCED A	0.00	0.46	0.00	0.46	90.0	0.41
11/20/2017	FUESSEL, NORMAN	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	3.40	0.00	3.40	90.0	3.06
11/20/2017	FUESSEL NE & NA TR, NORMAN	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	35.60	0.00	35.60	90.0	32.04
11/20/2017	SPECKELS, MELBA	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	1.66	0.00	1.66	90.0	1.49
12/01/2017	NAIZER, ROSANNE	AM FUNDS AMERICAN MUTUAL 529A	0.00	1.59	0.00	1.59	90.0	1.43

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<b><u>DIRECT TRANSACTIONS</u></b>								
<b><u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u></b>								
12/01/2017	NAIZER, JOHNNIE	AM FUNDS AMERICAN MUTUAL 529A	0.00	1.21	0.00	1.21	90.0	1.09
11/20/2017	ROSENTHAL, LUCILLE	AM FUNDS AMERICAN MUTUAL A	0.00	19.19	0.00	19.19	90.0	17.27
11/20/2017	FUESSEL IRREV TR, NORMAN	AM FUNDS AMERICAN MUTUAL A	0.00	8.82	0.00	8.82	90.0	7.94
11/20/2017	NMN & NJN MGMT TRUST	AM FUNDS AMERICAN MUTUAL A	0.00	1.02	0.00	1.02	90.0	0.92
11/20/2017	SCOTT, MONYAN	AM FUNDS AMERICAN MUTUAL A	0.00	24.77	0.00	24.77	90.0	22.29
11/20/2017	IVICIC, MARY	AM FUNDS AMERICAN MUTUAL A	0.00	2.92	0.00	2.92	90.0	2.63
12/01/2017	MCKINNON, BROOKE	AM FUNDS CAPITAL INCOME BUILDER 529	0.00	0.96	0.00	0.96	90.0	0.86
11/20/2017	CHEATHAM, JIMMY	AM FUNDS CAPITAL INCOME BUILDER A	0.00	11.54	0.00	11.54	90.0	10.39
11/20/2017	PRAESEL, ARTHUR	AM FUNDS CAPITAL INCOME BUILDER A	0.00	22.26	0.00	22.26	90.0	20.03
11/20/2017	ROSENTHAL, LUCILLE	AM FUNDS CAPITAL INCOME BUILDER A	0.00	34.42	0.00	34.42	90.0	30.98
11/20/2017	FUESSEL, NORMAN	AM FUNDS CAPITAL INCOME BUILDER A	0.00	21.21	0.00	21.21	90.0	19.09
11/20/2017	FUESSEL NE & NA TR, NORMAN	AM FUNDS CAPITAL INCOME BUILDER A	0.00	19.39	0.00	19.39	90.0	17.45
11/20/2017	BRUECKNER, KIMBERLY	AM FUNDS CAPITAL INCOME BUILDER A	0.00	5.55	0.00	5.55	90.0	5.00
11/20/2017	KELLEY, DOLORES	AM FUNDS CAPITAL INCOME BUILDER A	0.00	6.43	0.00	6.43	90.0	5.79
11/20/2017	LOGHRY, DORIS	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.07	0.00	0.07	90.0	0.06
11/20/2017	PEKAR, DAVID	AM FUNDS CAPITAL INCOME BUILDER A	0.00	7.96	0.00	7.96	90.0	7.16
11/20/2017	SPECKELS, WARREN	AM FUNDS CAPITAL INCOME BUILDER A	0.00	1.42	0.00	1.42	90.0	1.28
11/20/2017	SPECKELS, MELBA	AM FUNDS CAPITAL INCOME BUILDER A	0.00	2.11	0.00	2.11	90.0	1.90
11/20/2017	BRANSON, BARBARA	AM FUNDS CAPITAL INCOME BUILDER A	0.00	3.35	0.00	3.35	90.0	3.02
11/20/2017	MORRIS, JANINE	AM FUNDS CAPITAL INCOME BUILDER A	0.00	9.46	0.00	9.46	90.0	8.51
11/20/2017	SCOTT, MONYAN	AM FUNDS CAPITAL INCOME BUILDER A	0.00	22.00	0.00	22.00	90.0	19.80
11/20/2017	URBAN, LONNIE	AM FUNDS CAPITAL INCOME BUILDER A	0.00	1.57	0.00	1.57	90.0	1.41
11/20/2017	GREER, GREGORY	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.60	0.00	0.60	90.0	0.54
11/20/2017	GREER, GREGORY	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.38	0.00	0.38	90.0	0.34
12/01/2017	OHE, EUGENIA	AM FUNDS CAPITAL INCOME BUILDER A	0.00	6.64	0.00	6.64	90.0	5.98
12/01/2017	PEKAR, DAVID	AM FUNDS CAPITAL INCOME BUILDER A	0.00	24.60	0.00	24.60	90.0	22.14
12/01/2017	PRAESEL, ARTHUR	AM FUNDS CAPITAL INCOME BUILDER A	0.00	59.01	0.00	59.01	90.0	53.11
11/20/2017	MOORE, TERRY	AM FUNDS CAPITAL INCOME BUILDER C	0.00	34.15	0.00	34.15	90.0	30.74
12/01/2017	NAIZER, ROSANNE	AM FUNDS CAPITAL WORLD GRTH & INC 5	0.00	1.86	0.00	1.86	90.0	1.67
12/01/2017	NAIZER, JOHNNIE	AM FUNDS CAPITAL WORLD GRTH & INC 5	0.00	0.08	0.00	0.08	90.0	0.07
11/20/2017	ROSENTHAL, LUCILLE	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	32.42	0.00	32.42	90.0	29.18
11/20/2017	FUESSEL IRREV TR, NORMAN	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	9.01	0.00	9.01	90.0	8.11
11/20/2017	BRUECKNER, KIMBERLY	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	15.85	0.00	15.85	90.0	14.27

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<b><u>DIRECT TRANSACTIONS</u></b>								
<b><u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u></b>								
11/20/2017	KELLEY, DOLORES	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	5.30	0.00	5.30	90.0	4.77
11/20/2017	NMN & NJN MGMT TRUST	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	1.20	0.00	1.20	90.0	1.08
11/20/2017	SCOTT, MONYUAN	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	32.44	0.00	32.44	90.0	29.20
11/20/2017	HOHMAN, JEROME	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	9.45	0.00	9.45	90.0	8.51
11/20/2017	DROMGOOLE, NONA	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	6.50	0.00	6.50	90.0	5.85
11/20/2017	URBAN, LONNIE	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	1.77	0.00	1.77	90.0	1.59
11/20/2017	IVICIC, MARY	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	1.36	0.00	1.36	90.0	1.22
11/20/2017	GREER, GREGORY	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	1.95	0.00	1.95	90.0	1.76
11/20/2017	GREER, GREGORY	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	1.05	0.00	1.05	90.0	0.95
11/20/2017	FUESSEL NE & NA TR, NORMAN	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	19.49	0.00	19.49	90.0	17.54
11/20/2017	LUEDTKE, LOIS	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	18.37	0.00	18.37	90.0	16.53
11/20/2017	KELLEY, DOLORES	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	4.72	0.00	4.72	90.0	4.25
11/20/2017	GREER, GREGORY	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	0.57	0.00	0.57	90.0	0.51
11/20/2017	GREER, GREGORY	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	0.36	0.00	0.36	90.0	0.32
12/01/2017	KORNEGAY, ALISA	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	16.40	0.00	16.40	90.0	14.76
12/01/2017	ENOCHS, DONNA	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	14.90	0.00	14.90	90.0	13.41
12/01/2017	ENOCHS, LELAND	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	40.50	0.00	40.50	90.0	36.45
12/01/2017	OHE, EUGENIA	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	7.23	0.00	7.23	90.0	6.51
12/01/2017	ENOCHS, DONNA	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	6.32	0.00	6.32	90.0	5.69
12/01/2017	NAIZER, ROSANNE	AM FUNDS FUNDAMENTAL INVESTORS 529A	0.00	2.71	0.00	2.71	90.0	2.44
12/01/2017	NAIZER, JOHNNIE	AM FUNDS FUNDAMENTAL INVESTORS 529A	0.00	0.18	0.00	0.18	90.0	0.16
11/20/2017	ROSENTHAL, LUCILLE	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	40.47	0.00	40.47	90.0	36.42
11/20/2017	BRUECKNER, KIMBERLY	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	20.22	0.00	20.22	90.0	18.20
11/20/2017	NMN & NJN MGMT TRUST	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	1.63	0.00	1.63	90.0	1.47
11/20/2017	SCOTT, MONYUAN	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	40.96	0.00	40.96	90.0	36.86
11/20/2017	DROMGOOLE, NONA	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	7.70	0.00	7.70	90.0	6.93
11/20/2017	EWING LIVING TRUST, JACK &	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	7.35	0.00	7.35	90.0	6.62
11/20/2017	IVICIC, MARY	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	3.67	0.00	3.67	90.0	3.30
11/20/2017	GREER, GREGORY	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	1.61	0.00	1.61	90.0	1.45
11/20/2017	GREER, GREGORY	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	0.91	0.00	0.91	90.0	0.82
12/01/2017	ENOCHS, LELAND	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	55.61	0.00	55.61	90.0	50.05
12/01/2017	ENOCHS, DONNA	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	6.74	0.00	6.74	90.0	6.07
12/01/2017	BRUECKNER, MICHAEL	AM FUNDS GROWTH FUND OF AMERICA 529	0.00	17.04	0.00	17.04	90.0	15.34

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<b><u>DIRECT TRANSACTIONS</u></b>								
<b><u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u></b>								
12/01/2017	NAIZER, ROSANNE	AM FUNDS GROWTH FUND OF AMERICA 529	0.00	3.27	0.00	3.27	90.0	2.94
12/01/2017	NAIZER, JOHNNIE	AM FUNDS GROWTH FUND OF AMERICA 529	0.00	1.72	0.00	1.72	90.0	1.55
12/01/2017	OHE, EUGENIA	AM FUNDS GROWTH FUND OF AMERICA 529	0.00	9.98	0.00	9.98	90.0	8.98
12/01/2017	OHE, EUGENIA	AM FUNDS GROWTH FUND OF AMERICA 529	0.00	9.98	0.00	9.98	90.0	8.98
11/20/2017	ROSENTHAL, LUCILLE	AM FUNDS GROWTH FUND OF AMERICA A	0.00	13.45	0.00	13.45	90.0	12.11
11/20/2017	FUESSEL IRREV TR, NORMAN	AM FUNDS GROWTH FUND OF AMERICA A	0.00	53.70	0.00	53.70	90.0	48.33
11/20/2017	LUEDTKE, LOIS	AM FUNDS GROWTH FUND OF AMERICA A	0.00	39.41	0.00	39.41	90.0	35.47
11/20/2017	ASPRA, TRISSA	AM FUNDS GROWTH FUND OF AMERICA A	0.00	3.00	0.00	3.00	90.0	2.70
11/20/2017	BRUECKNER, KIMBERLY	AM FUNDS GROWTH FUND OF AMERICA A	0.00	20.60	0.00	20.60	90.0	18.54
11/20/2017	ROSIPAL, HERBERT	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.13	0.00	0.13	90.0	0.12
11/20/2017	KELLEY, DOLORES	AM FUNDS GROWTH FUND OF AMERICA A	0.00	6.06	0.00	6.06	90.0	5.45
11/20/2017	LAWHON, JACKIE	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.40	0.00	0.40	90.0	0.36
11/20/2017	NMN & NJN MGMT TRUST	AM FUNDS GROWTH FUND OF AMERICA A	0.00	1.64	0.00	1.64	90.0	1.48
11/20/2017	BORGNE JR, ROBERT	AM FUNDS GROWTH FUND OF AMERICA A	0.00	7.05	0.00	7.05	90.0	6.35
11/20/2017	LAWHON, STEVEN	AM FUNDS GROWTH FUND OF AMERICA A	0.00	7.15	0.00	7.15	90.0	6.44
11/20/2017	SPECKELS, WARREN	AM FUNDS GROWTH FUND OF AMERICA A	0.00	2.15	0.00	2.15	90.0	1.94
11/20/2017	MICHNA, RHYS	AM FUNDS GROWTH FUND OF AMERICA A	0.00	1.37	0.00	1.37	90.0	1.23
11/20/2017	MORRIS, JANINE	AM FUNDS GROWTH FUND OF AMERICA A	0.00	19.63	0.00	19.63	90.0	17.67
11/20/2017	SCOTT, MONYEAN	AM FUNDS GROWTH FUND OF AMERICA A	0.00	42.19	0.00	42.19	90.0	37.97
11/20/2017	LAWHON, BRAEDEN	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.90	0.00	0.90	90.0	0.81
11/20/2017	DROMGOOLE, NONA	AM FUNDS GROWTH FUND OF AMERICA A	0.00	7.88	0.00	7.88	90.0	7.09
11/20/2017	MOORE, TERRY	AM FUNDS GROWTH FUND OF AMERICA A	0.00	2.36	0.00	2.36	90.0	2.12
11/20/2017	OHE, DRAKE	AM FUNDS GROWTH FUND OF AMERICA A	0.00	1.26	0.00	1.26	90.0	1.13
11/20/2017	OHE, EUGENIA	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.84	0.00	0.84	90.0	0.76
11/20/2017	URBAN, LONNIE	AM FUNDS GROWTH FUND OF AMERICA A	0.00	2.23	0.00	2.23	90.0	2.01
11/20/2017	LAWHON, MAISEN	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.62	0.00	0.62	90.0	0.56
11/20/2017	IVICIC, MARY	AM FUNDS GROWTH FUND OF AMERICA A	0.00	3.30	0.00	3.30	90.0	2.97
11/20/2017	GREER, GREGORY	AM FUNDS GROWTH FUND OF AMERICA A	0.00	3.20	0.00	3.20	90.0	2.88
11/20/2017	GREER, GREGORY	AM FUNDS GROWTH FUND OF AMERICA A	0.00	1.69	0.00	1.69	90.0	1.52
12/01/2017	PRAESEL, ARTHUR	AM FUNDS GROWTH FUND OF AMERICA A	0.00	277.13	0.00	277.13	90.0	249.42
12/01/2017	KORNEGAY, ALISA	AM FUNDS GROWTH FUND OF AMERICA A	0.00	23.70	0.00	23.70	90.0	21.33
12/01/2017	ENOCHS, LELAND	AM FUNDS GROWTH FUND OF AMERICA A	0.00	53.69	0.00	53.69	90.0	48.32
12/01/2017	OHE, EUGENIA	AM FUNDS GROWTH FUND OF AMERICA A	0.00	19.84	0.00	19.84	90.0	17.86

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<b><u>DIRECT TRANSACTIONS</u></b>								
<b><u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u></b>								
12/01/2017	BRUECKNER, MICHAEL	AM FUNDS GROWTH FUND OF AMERICA A	0.00	36.85	0.00	36.85	90.0	33.17
12/01/2017	BRUECKNER, KIMBERLY	AM FUNDS GROWTH FUND OF AMERICA A	0.00	32.94	0.00	32.94	90.0	29.65
12/01/2017	ENOCHS, DONNA	AM FUNDS GROWTH FUND OF AMERICA A	0.00	6.76	0.00	6.76	90.0	6.08
12/01/2017	GILLEY, BEVERLY	AM FUNDS GROWTH FUND OF AMERICA A	0.00	181.31	0.00	181.31	90.0	163.18
11/20/2017	DROMGOOLE, NONA	AM FUNDS ICA A	0.00	6.38	0.00	6.38	90.0	5.74
11/20/2017	EWING JR, JACK	AM FUNDS ICA A	0.00	9.27	0.00	9.27	90.0	8.34
12/01/2017	KORNEGAY, ALISA	AM FUNDS ICA A	0.00	21.70	0.00	21.70	90.0	19.53
11/20/2017	CHEATHAM, JIMMY	AM FUNDS INCOME FUND OF AMERICA A	0.00	11.18	0.00	11.18	90.0	10.06
11/20/2017	PRAESEL, ARTHUR	AM FUNDS INCOME FUND OF AMERICA A	0.00	26.95	0.00	26.95	90.0	24.26
11/20/2017	ROSENTHAL, LUCILLE	AM FUNDS INCOME FUND OF AMERICA A	0.00	40.33	0.00	40.33	90.0	36.30
11/20/2017	FUESSEL, NORMAN	AM FUNDS INCOME FUND OF AMERICA A	0.00	20.55	0.00	20.55	90.0	18.50
11/20/2017	FUESSEL NE & NA TR, NORMAN	AM FUNDS INCOME FUND OF AMERICA A	0.00	18.31	0.00	18.31	90.0	16.48
11/20/2017	BRUECKNER, KIMBERLY	AM FUNDS INCOME FUND OF AMERICA A	0.00	10.87	0.00	10.87	90.0	9.78
11/20/2017	KELLEY, DOLORES	AM FUNDS INCOME FUND OF AMERICA A	0.00	5.19	0.00	5.19	90.0	4.67
11/20/2017	SPECKELS, MELBA	AM FUNDS INCOME FUND OF AMERICA A	0.00	2.07	0.00	2.07	90.0	1.86
11/20/2017	FISCHER, HAROLD	AM FUNDS INCOME FUND OF AMERICA A	0.00	1.67	0.00	1.67	90.0	1.50
11/20/2017	HAMITER, DONNIE	AM FUNDS INCOME FUND OF AMERICA A	0.00	10.52	0.00	10.52	90.0	9.47
11/20/2017	MORRIS, JANINE	AM FUNDS INCOME FUND OF AMERICA A	0.00	14.13	0.00	14.13	90.0	12.72
11/20/2017	SCOTT, MONYEAN	AM FUNDS INCOME FUND OF AMERICA A	0.00	29.20	0.00	29.20	90.0	26.28
11/20/2017	KLEMT, RUTH	AM FUNDS INCOME FUND OF AMERICA A	0.00	1.87	0.00	1.87	90.0	1.68
11/20/2017	WILSON, MARY	AM FUNDS INCOME FUND OF AMERICA A	0.00	5.21	0.00	5.21	90.0	4.69
11/20/2017	EWING LIVING TRUST, JACK &	AM FUNDS INCOME FUND OF AMERICA A	0.00	16.87	0.00	16.87	90.0	15.18
11/20/2017	KETTLE, MARVIN	AM FUNDS INCOME FUND OF AMERICA A	0.00	3.81	0.00	3.81	90.0	3.43
11/20/2017	GREER, GREGORY	AM FUNDS INCOME FUND OF AMERICA A	0.00	0.68	0.00	0.68	90.0	0.61
11/20/2017	GREER, GREGORY	AM FUNDS INCOME FUND OF AMERICA A	0.00	0.43	0.00	0.43	90.0	0.39
12/01/2017	PRAESEL, ARTHUR	AM FUNDS INCOME FUND OF AMERICA A	0.00	69.41	0.00	69.41	90.0	62.47
12/01/2017	NAIZER, ROSANNE	AM FUNDS INTL GROWTH AND INCOME 529	0.00	0.95	0.00	0.95	90.0	0.86
12/01/2017	NAIZER, JOHNNIE	AM FUNDS INTL GROWTH AND INCOME 529	0.00	1.25	0.00	1.25	90.0	1.13
11/20/2017	NMN & NJN MGMT TRUST	AM FUNDS INTL GROWTH AND INCOME A	0.00	0.65	0.00	0.65	90.0	0.59
11/20/2017	DROMGOOLE, NONA	AM FUNDS INTL GROWTH AND INCOME A	0.00	5.04	0.00	5.04	90.0	4.54
11/20/2017	BRUECKNER, KIMBERLY	AM FUNDS NEW ECONOMY A	0.00	15.07	0.00	15.07	90.0	13.56
11/20/2017	WILSON, MARY	AM FUNDS NEW ECONOMY A	0.00	12.39	0.00	12.39	90.0	11.15
12/01/2017	ENOCHS, DONNA	AM FUNDS NEW ECONOMY A	0.00	20.10	0.00	20.10	90.0	18.09

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<b><u>DIRECT TRANSACTIONS</u></b>								
<b><u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u></b>								
12/01/2017	OHE, EUGENIA	AM FUNDS NEW ECONOMY A	0.00	8.67	0.00	8.67	90.0	7.80
11/20/2017	BRUECKNER, KIMBERLY	AM FUNDS NEW PERSPECTIVE A	0.00	12.73	0.00	12.73	90.0	11.46
11/20/2017	MORRIS, JANINE	AM FUNDS NEW PERSPECTIVE A	0.00	21.56	0.00	21.56	90.0	19.40
11/20/2017	SCOTT, MONYEAN	AM FUNDS NEW PERSPECTIVE A	0.00	38.35	0.00	38.35	90.0	34.52
12/01/2017	PRAESEL, ARTHUR	AM FUNDS NEW PERSPECTIVE A	0.00	234.14	0.00	234.14	90.0	210.73
12/01/2017	OHE, EUGENIA	AM FUNDS NEW PERSPECTIVE A	0.00	8.51	0.00	8.51	90.0	7.66
12/01/2017	NAIZER, ROSANNE	AM FUNDS NEW WORLD 529A	0.00	0.07	0.00	0.07	90.0	0.06
12/01/2017	NAIZER, JOHNNIE	AM FUNDS NEW WORLD 529A	0.00	0.13	0.00	0.13	90.0	0.12
11/20/2017	NMN & NJN MGMT TRUST	AM FUNDS NEW WORLD A	0.00	0.33	0.00	0.33	90.0	0.30
11/20/2017	DROMGOOLE, NONA	AM FUNDS NEW WORLD A	0.00	4.94	0.00	4.94	90.0	4.45
11/20/2017	BRUECKNER, KIMBERLY	AM FUNDS SMALLCAP WORLD A	0.00	11.23	0.00	11.23	90.0	10.11
11/20/2017	NMN & NJN MGMT TRUST	AM FUNDS SMALLCAP WORLD A	0.00	1.45	0.00	1.45	90.0	1.31
11/20/2017	DROMGOOLE, NONA	AM FUNDS SMALLCAP WORLD A	0.00	1.83	0.00	1.83	90.0	1.65
11/20/2017	GREER, GREGORY	AM FUNDS SMALLCAP WORLD A	0.00	0.70	0.00	0.70	90.0	0.63
11/20/2017	GREER, GREGORY	AM FUNDS SMALLCAP WORLD A	0.00	0.45	0.00	0.45	90.0	0.41
12/01/2017	OHE, EUGENIA	AM FUNDS SMALLCAP WORLD A	0.00	9.06	0.00	9.06	90.0	8.15
12/01/2017	NAIZER, ROSANNE	AM FUNDS SMALLCAP WORLD-529A	0.00	2.47	0.00	2.47	90.0	2.22
12/01/2017	NAIZER, JOHNNIE	AM FUNDS SMALLCAP WORLD-529A	0.00	1.57	0.00	1.57	90.0	1.41
11/20/2017	FUESSEL, NORMAN	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	16.14	0.00	16.14	90.0	14.53
11/20/2017	FUESSEL IRREV TR, NORMAN	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	8.74	0.00	8.74	90.0	7.87
11/20/2017	FUESSEL NE & NA TR, NORMAN	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	68.86	0.00	68.86	90.0	61.97
11/20/2017	BRUECKNER, KIMBERLY	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	12.76	0.00	12.76	90.0	11.48
11/20/2017	KORNEGAY, ALISA	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.32	0.00	0.32	90.0	0.29
11/20/2017	KELLEY, DOLORES	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	8.67	0.00	8.67	90.0	7.80
11/20/2017	LAWHON, JACKIE	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	49.50	0.00	49.50	90.0	44.55
11/20/2017	SPECKELS, WARREN	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	2.74	0.00	2.74	90.0	2.47
11/20/2017	SPECKELS, MELBA	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	1.85	0.00	1.85	90.0	1.67
11/20/2017	SPECKELS, MELBA	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	1.68	0.00	1.68	90.0	1.51
11/20/2017	GILLIGAN, DOROTHY	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	7.66	0.00	7.66	90.0	6.89
11/20/2017	STOLTE, VERNALINE	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.62	0.00	0.62	90.0	0.56
11/20/2017	MORRIS, JANINE	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	20.65	0.00	20.65	90.0	18.59
11/20/2017	SMITH, MICHAEL	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	1.51	0.00	1.51	90.0	1.36
11/20/2017	BUROW, PAUL	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	1.49	0.00	1.49	90.0	1.34

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<b><u>DIRECT TRANSACTIONS</u></b>								
<b><u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u></b>								
11/20/2017	DALJO LTD PT	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	32.61	0.00	32.61	90.0	29.35
11/20/2017	HOHMAN, JEROME	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	5.89	0.00	5.89	90.0	5.30
11/20/2017	WILSON, MARY	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	18.25	0.00	18.25	90.0	16.43
11/20/2017	WIESNER, BETTY	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	3.76	0.00	3.76	90.0	3.38
11/20/2017	EWING LIVING TRUST, JACK &	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	25.22	0.00	25.22	90.0	22.70
11/20/2017	URBAN, LONNIE	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	2.05	0.00	2.05	90.0	1.85
11/20/2017	IVICIC, MARY	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	3.71	0.00	3.71	90.0	3.34
11/20/2017	GREER, GREGORY	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	2.33	0.00	2.33	90.0	2.10
11/20/2017	GREER, GREGORY	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	1.25	0.00	1.25	90.0	1.13
12/01/2017	FISCHER, DOROTHY	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	16.30	0.00	16.30	90.0	14.67
12/01/2017	HAMITER, DONNIE	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	14.93	0.00	14.93	90.0	13.44
12/01/2017	LOGHRY, DORIS	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	28.91	0.00	28.91	90.0	26.02
12/01/2017	JAMES, JERRI	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	5.50	0.00	5.50	90.0	4.95
12/01/2017	ENOCHS, LELAND	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	47.11	0.00	47.11	90.0	42.40
12/01/2017	JAMES, JERRI	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	5.60	0.00	5.60	90.0	5.04
12/01/2017	OHE, EUGENIA	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	17.40	0.00	17.40	90.0	15.66
12/01/2017	ENOCHS, DONNA	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	6.50	0.00	6.50	90.0	5.85
12/01/2017	MEYER, KATHY	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	1.80	0.00	1.80	90.0	1.62
12/01/2017	SPECKELS, WARREN	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	2.19	0.00	2.19	90.0	1.97
12/01/2017	MICHNA, DENISE	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	3.05	0.00	3.05	90.0	2.75
12/01/2017	KRIEGEL, ROBERT	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	4.46	0.00	4.46	90.0	4.01
12/01/2017	LAWHON, STEVEN	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	36.82	0.00	36.82	90.0	33.14
12/01/2017	GILLEY, BEVERLY	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	137.75	0.00	137.75	90.0	123.98
12/01/2017	BRUECKNER, MICHAEL	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	15.48	0.00	15.48	90.0	13.93
11/22/2017	EWING JR, JACK	BLK GLOBAL ALLOCATION C	0.00	16.57	0.00	16.57	90.0	14.91
11/22/2017	EWING LIVING TRUST, JACK &	BLK GLOBAL ALLOCATION C	0.00	59.41	0.00	59.41	90.0	53.47
11/17/2017	SMITH, JUDY	CALAMOS GROWTH C	0.00	37.05	0.00	37.05	90.0	33.35
11/13/2017	KETTLE, MARVIN	CLEARBRIDGE AGGRESSIVE	0.00	3.75	0.00	3.75	90.0	3.38
11/13/2017	KETTLE, MARVIN	CLEARBRIDGE APPRECIATION FUND CLASS	0.00	2.08	0.00	2.08	90.0	1.87
11/13/2017	PEMBERTON, PATRICIA	CLEARBRIDGE SMALL CAP GROWTH FUND C	0.00	4.34	0.00	4.34	90.0	3.91
11/22/2017	WIESNER, BETTY	COLUMBIA ACORN A	0.00	1.74	0.00	1.74	90.0	1.57
11/22/2017	MCELROY, BENNETT	COLUMBIA MARSICO FOCUSED EQUITIES F	0.00	9.57	0.00	9.57	90.0	8.61
11/16/2017	CHEATHAM, JIMMY	FEDERATED CLOVER VALUE A	0.00	1.93	0.00	1.93	90.0	1.74

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<b><u>DIRECT TRANSACTIONS</u></b>								
<b><u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u></b>								
11/16/2017	CHEATHAM, JIMMY	FEDERATED EQUITY INCOME A	0.00	10.27	0.00	10.27	90.0	9.24
11/16/2017	CHEATHAM, JIMMY	FEDERATED KAUFMANN FUND A	0.00	2.68	0.00	2.68	90.0	2.41
11/16/2017	CHEATHAM, JIMMY	FEDERATED MDT MID CAP GROWTH STRATE	0.00	3.28	0.00	3.28	90.0	2.95
11/20/2017	ESCHBERGER TRUST, JACK & AGNES	FIDELITY ADV NEW INSIGHTS-CL A	0.00	0.68	0.00	0.68	90.0	0.61
11/20/2017	NMN & NUN MGMT TRUST	FIDELITY ADV NEW INSIGHTS-CL A	0.00	1.59	0.00	1.59	90.0	1.43
11/20/2017	NAIZER TRUST, NOLAN	FIDELITY ADV NEW INSIGHTS-CL A	0.00	0.36	0.00	0.36	90.0	0.32
11/20/2017	NAIZER TRUST, NOEL	FIDELITY ADV NEW INSIGHTS-CL A	0.00	0.23	0.00	0.23	90.0	0.21
11/20/2017	WIESNER, BETTY	FIDELITY ADV NEW INSIGHTS-CL A	0.00	3.72	0.00	3.72	90.0	3.35
11/20/2017	MCELROY, BENNETT	FIDELITY ADV STRATEGIC INCOME A	0.00	4.14	0.00	4.14	90.0	3.73
11/13/2017	COOPER, ADAM	FRANKLIN MUTUAL GLOBAL DISCOVERY A	0.00	4.02	0.00	4.02	90.0	3.62
11/13/2017	COOPER, ADAM	FRANKLIN MUTUAL GLOBAL DISCOVERY A	0.00	5.84	0.00	5.84	90.0	5.26
11/13/2017	COOPER, ADAM	FRANKLIN MUTUAL QUEST A	0.00	5.65	0.00	5.65	90.0	5.09
11/13/2017	COOPER, ADAM	FRANKLIN RISING DIVIDENDS A	0.00	5.49	0.00	5.49	90.0	4.94
11/22/2017	ENOCHS, LELAND	GOLDMAN SACHS CAPITAL GROWTH FUND C	0.00	10.09	0.00	10.09	90.0	9.08
11/22/2017	ENOCHS, LELAND	GOLDMAN SACHS FOCUSED INTL EQUITY F	0.00	2.89	0.00	2.89	90.0	2.60
11/22/2017	HAMITER, DONNIE	GOLDMAN SACHS SMALL CAP VALUE FUND-	0.00	0.67	0.00	0.67	90.0	0.60
11/22/2017	STOLTE, VERNALINE	GOLDMAN SACHS U.S. EQUITY INSIGHTS	0.00	0.33	0.00	0.33	90.0	0.30
11/22/2017	BURKHART, KRISTI	GOLDMAN SACHS U.S. EQUITY INSIGHTS	0.00	1.72	0.00	1.72	90.0	1.55
11/16/2017	FUESSEL IRREV TR, NORMAN	GRIFFIN INSTITUTIONAL ACCESS REAL E	0.00	14.16	0.00	14.16	90.0	12.74
11/16/2017	MCRIGHT, WILLIAM	GRIFFIN INSTITUTIONAL ACCESS REAL E	0.00	1.59	0.00	1.59	90.0	1.43
11/16/2017	MCRIGHT, BETTY	GRIFFIN INSTITUTIONAL ACCESS REAL E	0.00	0.59	0.00	0.59	90.0	0.53
11/16/2017	BELL, EDDY	GRIFFIN INSTITUTIONAL ACCESS REAL E	0.00	3.08	0.00	3.08	90.0	2.77
11/16/2017	BELL, EDDY	GRIFFIN INSTITUTIONAL ACCESS REAL E	0.00	3.12	0.00	3.12	90.0	2.81
11/16/2017	BELL, PATTI	GRIFFIN INSTITUTIONAL ACCESS REAL E	0.00	1.41	0.00	1.41	90.0	1.27
11/16/2017	STAGNER TRUST, JAMES	GRIFFIN INSTITUTIONAL ACCESS REAL E	0.00	6.97	0.00	6.97	90.0	6.27
11/16/2017	PAULSEN, ROGER	GRIFFIN INSTITUTIONAL ACCESS REAL E	0.00	7.57	0.00	7.57	90.0	6.81
11/16/2017	BAGGETT, PETE	GRIFFIN INSTITUTIONAL ACCESS REAL E	0.00	7.37	0.00	7.37	90.0	6.63
11/16/2017	BAGGETT, JARROD	GRIFFIN INSTITUTIONAL ACCESS REAL E	0.00	3.18	0.00	3.18	90.0	2.86
11/16/2017	LUERSEN, JENNIFER	GRIFFIN INSTITUTIONAL ACCESS REAL E	0.00	10.56	0.00	10.56	90.0	9.50
11/20/2017	CHEATHAM, JIMMY	HARTFORD BALANCED A	0.00	0.94	0.00	0.94	90.0	0.85
11/20/2017	FLEMING, JERRY	HARTFORD BALANCED A	0.00	1.58	0.00	1.58	90.0	1.42
11/20/2017	RAESZ TTEE, BARBARA	HARTFORD BALANCED ALLOCATION A	0.00	4.10	0.00	4.10	90.0	3.69
11/20/2017	RAESZ TTEE, BARBARA	HARTFORD BALANCED ALLOCATION A	0.00	2.15	0.00	2.15	90.0	1.94

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<b><u>DIRECT TRANSACTIONS</u></b>								
<b><u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u></b>								
11/20/2017	TAISLER, JESSE	HARTFORD CAPITAL APP II A	0.00	1.77	0.00	1.77	90.0	1.59
11/20/2017	MASON, ELEANOR	HARTFORD CAPITAL APP II A	0.00	1.21	0.00	1.21	90.0	1.09
11/20/2017	SCOTT, MONYUAN	HARTFORD CAPITAL APP II A	0.00	16.71	0.00	16.71	90.0	15.04
/ /	MICHNA JT TEN WROS, JIMMY	HARTFORD CAPITAL APPRECIATION A	0.00	2.95	0.00	2.95	90.0	2.66
11/20/2017	CHEATHAM, JIMMY	HARTFORD CAPITAL APPRECIATION A	0.00	10.16	0.00	10.16	90.0	9.14
11/20/2017	ROSENTHAL, LUCILLE	HARTFORD CAPITAL APPRECIATION A	0.00	11.90	0.00	11.90	90.0	10.71
11/20/2017	BRUECKNER, KIMBERLY	HARTFORD CAPITAL APPRECIATION A	0.00	13.52	0.00	13.52	90.0	12.17
11/20/2017	HAMANN, LARRY	HARTFORD CAPITAL APPRECIATION A	0.00	9.91	0.00	9.91	90.0	8.92
11/20/2017	FLEMING, JERRY	HARTFORD CAPITAL APPRECIATION A	0.00	6.06	0.00	6.06	90.0	5.45
11/20/2017	TAISLER, JESSE	HARTFORD CAPITAL APPRECIATION A	0.00	1.31	0.00	1.31	90.0	1.18
11/20/2017	MOORE, TERRY	HARTFORD CAPITAL APPRECIATION C	0.00	25.52	0.00	25.52	90.0	22.97
11/20/2017	CHEATHAM, JIMMY	HARTFORD DIVIDEND & GROWTH A	0.00	4.99	0.00	4.99	90.0	4.49
11/20/2017	BRUECKNER, KIMBERLY	HARTFORD DIVIDEND & GROWTH A	0.00	5.75	0.00	5.75	90.0	5.18
11/20/2017	HAMANN, LARRY	HARTFORD DIVIDEND & GROWTH A	0.00	4.36	0.00	4.36	90.0	3.92
11/20/2017	FLEMING, JERRY	HARTFORD DIVIDEND & GROWTH A	0.00	5.31	0.00	5.31	90.0	4.78
11/20/2017	TAISLER, JESSE	HARTFORD DIVIDEND & GROWTH A	0.00	2.00	0.00	2.00	90.0	1.80
/ /	EWING, JOHN	HARTFORD GROWTH ALLOCATION A	0.00	0.60	0.00	0.60	90.0	0.54
/ /	SMITH, MARLO	HARTFORD GROWTH ALLOCATION A	0.00	1.41	0.00	1.41	90.0	1.27
11/20/2017	RAESZ TTEE, BARBARA	HARTFORD GROWTH ALLOCATION A	0.00	4.01	0.00	4.01	90.0	3.61
11/20/2017	RAESZ TTEE, BARBARA	HARTFORD GROWTH ALLOCATION A	0.00	2.22	0.00	2.22	90.0	2.00
11/20/2017	EWING, JOHN	HARTFORD GROWTH ALLOCATION A	0.00	0.89	0.00	0.89	90.0	0.80
11/20/2017	ROSENTHAL, LUCILLE	HARTFORD GROWTH OPP A	0.00	11.58	0.00	11.58	90.0	10.42
11/20/2017	SCOTT, MONYUAN	HARTFORD GROWTH OPP A	0.00	20.17	0.00	20.17	90.0	18.15
11/20/2017	ROSENTHAL, LUCILLE	HARTFORD INT'L GROWTH A	0.00	7.55	0.00	7.55	90.0	6.80
/ /	MICHNA JT TEN WROS, JIMMY	HARTFORD MIDCAP A	0.00	0.45	0.00	0.45	90.0	0.41
11/20/2017	CHEATHAM, JIMMY	HARTFORD MIDCAP A	0.00	7.41	0.00	7.41	90.0	6.67
11/20/2017	FLEMING, JERRY	HARTFORD MIDCAP A	0.00	6.51	0.00	6.51	90.0	5.86
11/20/2017	ROSENTHAL, LUCILLE	HARTFORD MIDCAP VALUE A	0.00	13.23	0.00	13.23	90.0	11.91
11/20/2017	MASON, ELEANOR	HARTFORD MIDCAP VALUE A	0.00	0.80	0.00	0.80	90.0	0.72
11/20/2017	BRUECKNER, KIMBERLY	HARTFORD SMALL-COMPANY FUND CLASS A	0.00	5.83	0.00	5.83	90.0	5.25
11/20/2017	TAISLER, JESSE	HARTFORD VALUE OPPORTUNITY FUND CLA	0.00	1.96	0.00	1.96	90.0	1.76
11/20/2017	MASON, ELEANOR	HARTFUND EQUITY INCIME FUND A	0.00	0.69	0.00	0.69	90.0	0.62
11/30/2017	BEEMAN, MICHAEL	HIGHLAND FLOATING RATE OPPORTUNITIE	0.00	0.64	0.00	0.64	90.0	0.58

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<b><u>DIRECT TRANSACTIONS</u></b>								
<b><u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u></b>								
11/17/2017	ESCHBERGER TRUST, JACK & AGNES	JH DISCIPLINED VALUE A	0.00	1.29	0.00	1.29	90.0	1.16
11/17/2017	ROSENTHAL, LUCILLE	JH DISCIPLINED VALUE A	0.00	0.65	0.00	0.65	90.0	0.59
11/17/2017	SCARBOROUGH, ROBERT	JH DISCIPLINED VALUE A	0.00	1.02	0.00	1.02	90.0	0.92
11/17/2017	NMN & NUN MGMT TRUST	JH DISCIPLINED VALUE A	0.00	3.14	0.00	3.14	90.0	2.83
11/17/2017	NAIZER TRUST, NOLAN	JH DISCIPLINED VALUE A	0.00	0.59	0.00	0.59	90.0	0.53
11/17/2017	NAIZER TRUST, NOEL	JH DISCIPLINED VALUE A	0.00	0.43	0.00	0.43	90.0	0.39
11/17/2017	OLSON, DALE	JH DISCIPLINED VALUE A	0.00	2.52	0.00	2.52	90.0	2.27
11/17/2017	KETTLE, MARVIN	JH DISCIPLINED VALUE A	0.00	1.11	0.00	1.11	90.0	1.00
11/17/2017	MCELROY, BENNETT	JH STRATEGIC INCOME A	0.00	4.13	0.00	4.13	90.0	3.72
11/17/2017	SCARBOROUGH, ROBERT	JOHN HANCOCK GLOBAL ABSOLUTE RETURN	0.00	0.73	0.00	0.73	90.0	0.66
11/17/2017	NMN & NUN MGMT TRUST	JOHN HANCOCK GLOBAL ABSOLUTE RETURN	0.00	1.78	0.00	1.78	90.0	1.60
11/17/2017	NAIZER TRUST, NOLAN	JOHN HANCOCK GLOBAL ABSOLUTE RETURN	0.00	0.10	0.00	0.10	90.0	0.09
11/17/2017	NAIZER TRUST, NOEL	JOHN HANCOCK GLOBAL ABSOLUTE RETURN	0.00	0.18	0.00	0.18	90.0	0.16
11/17/2017	OLSON, DALE	JOHN HANCOCK GLOBAL ABSOLUTE RETURN	0.00	0.55	0.00	0.55	90.0	0.50
11/17/2017	MASON, JOHN	JOHN HANCOCK GLOBAL ABSOLUTE RETURN	0.00	6.12	0.00	6.12	90.0	5.51
11/17/2017	KETTLE, MARVIN	JOHN HANCOCK GLOBAL ABSOLUTE RETURN	0.00	0.36	0.00	0.36	90.0	0.32
11/13/2017	KETTLE, MARVIN	LEGG MASON CLEARBRIDGE FUNDAMENTAL	0.00	3.31	0.00	3.31	90.0	2.98
11/14/2017	LINDELL, HOWARD	LORD ABBETT & CO 543916530	0.00	166.94	0.00	166.94	90.0	150.25
11/14/2017	EVANS, DAVID	LORD ABBETT & CO 543916530	0.00	1.54	0.00	1.54	90.0	1.39
11/14/2017	BUTLER, SHELLY	LORD ABBETT & CO 543916589	0.00	0.01	0.00	0.01	90.0	0.01
11/14/2017	LINDELL, HOWARD	LORD ABBETT & CO 543916589	0.00	110.64	0.00	110.64	90.0	99.58
11/14/2017	EVANS, DAVID	LORD ABBETT & CO 543916589	0.00	1.56	0.00	1.56	90.0	1.40
11/14/2017	MEYER, KATHY	LORD ABBETT & CO 543916605	0.00	73.97	0.00	73.97	90.0	66.57
11/14/2017	BUTLER, SHELLY	LORD ABBETT & CO 543916605	0.00	0.01	0.00	0.01	90.0	0.01
11/14/2017	LINDELL, HOWARD	LORD ABBETT & CO 543916605	0.00	105.26	0.00	105.26	90.0	94.73
11/14/2017	EVANS, DAVID	LORD ABBETT & CO 543916605	0.00	1.49	0.00	1.49	90.0	1.34
11/21/2017	CHEATHAM, JIMMY	LORD ABBETT AFFILIATED A	0.00	1.87	0.00	1.87	90.0	1.68
11/21/2017	SPECKELS, MELBA	LORD ABBETT AFFILIATED A	0.00	0.80	0.00	0.80	90.0	0.72
11/21/2017	CHEATHAM, JIMMY	LORD ABBETT ALPHA STRATEGY A	0.00	4.05	0.00	4.05	90.0	3.65
11/14/2017	LINDELL, HOWARD	LORD ABBETT ALPHA STRATEGY C	0.00	175.89	0.00	175.89	90.0	158.30
11/14/2017	EVANS, DAVID	LORD ABBETT ALPHA STRATEGY C	0.00	1.56	0.00	1.56	90.0	1.40
11/21/2017	FUESSEL NE & NA TR, NORMAN	LORD ABBETT BOND DEBENTURE A	0.00	6.29	0.00	6.29	90.0	5.66
11/21/2017	CHEATHAM, JIMMY	LORD ABBETT CALIBRATED DIVIDEND GRO	0.00	2.32	0.00	2.32	90.0	2.09

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<b><u>DIRECT TRANSACTIONS</u></b>								
<b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</b>								
11/21/2017	FUESSEL IRREV TR, NORMAN	LORD ABBETT CALIBRATED DIVIDEND GRO	0.00	12.40	0.00	12.40	90.0	11.16
11/21/2017	BRUECKNER, KIMBERLY	LORD ABBETT CALIBRATED DIVIDEND GRO	0.00	8.17	0.00	8.17	90.0	7.35
11/21/2017	SPECKELS, MELBA	LORD ABBETT CALIBRATED DIVIDEND GRO	0.00	0.98	0.00	0.98	90.0	0.88
11/21/2017	CHEATHAM, JIMMY	LORD ABBETT DEVELOPING GROWTH A	0.00	3.98	0.00	3.98	90.0	3.58
11/21/2017	FUESSEL IRREV TR, NORMAN	LORD ABBETT DEVELOPING GROWTH A	0.00	14.52	0.00	14.52	90.0	13.07
11/21/2017	BRUECKNER, KIMBERLY	LORD ABBETT FUNDAMENTAL EQUITY A	0.00	10.68	0.00	10.68	90.0	9.61
11/21/2017	SPECKELS, MELBA	LORD ABBETT FUNDAMENTAL EQUITY A	0.00	0.80	0.00	0.80	90.0	0.72
11/21/2017	SPECKELS, MELBA	LORD ABBETT GROWTH OPPORTUNITIES FU	0.00	0.62	0.00	0.62	90.0	0.56
11/21/2017	STAGNER TRUST, JAMES	LORD ABBETT INVT TR FLTG RATE A	0.00	6.77	0.00	6.77	90.0	6.09
11/21/2017	CHEATHAM, JIMMY	LORD ABBETT MID CAP STOCK A	0.00	7.42	0.00	7.42	90.0	6.68
11/21/2017	FUESSEL IRREV TR, NORMAN	LORD ABBETT MID CAP STOCK A	0.00	17.61	0.00	17.61	90.0	15.85
11/21/2017	BRUECKNER, KIMBERLY	LORD ABBETT MID CAP STOCK A	0.00	10.50	0.00	10.50	90.0	9.45
11/20/2017	ROSENTHAL, LUCILLE	LTD TERM TAX-EX BOND FUND OF AMERIC	0.00	4.88	0.00	4.88	90.0	4.39
11/14/2017	PEARSON, GRANT	MFS LIFETIME RETIREMENT INCOME FUND	0.00	43.90	0.00	43.90	90.0	39.51
11/14/2017	MCELROY, BENNETT	MFS VALUE A	0.00	10.04	0.00	10.04	90.0	9.04
11/17/2017	MASON, JOHN	NEUBERGER BERMAN LONG SHORT FUND CL	0.00	5.09	0.00	5.09	90.0	4.58
11/16/2017	WIESNER, BETTY	OPPENHEIMER GLOBAL STRATEGIC INC A	0.00	1.62	0.00	1.62	90.0	1.46
11/16/2017	FUESSEL IRREV TR, NORMAN	PUTNAM ASSET ALLOC GROWTH A	0.00	17.83	0.00	17.83	90.0	16.05
11/13/2017	KETTLE, MARVIN	QS GROWTH FUND CLASS A	0.00	0.63	0.00	0.63	90.0	0.57
11/22/2017	FUESSEL IRREV TR, NORMAN	RESOURCE R E DIVERSIFIED INC FUND A	0.00	14.02	0.00	14.02	90.0	12.62
11/22/2017	BELL, EDDY	RESOURCE R E DIVERSIFIED INC FUND A	0.00	10.92	0.00	10.92	90.0	9.83
11/22/2017	STAGNER TRUST, JAMES	RESOURCE R E DIVERSIFIED INC FUND A	0.00	6.86	0.00	6.86	90.0	6.17
11/22/2017	LUERSEN, JENNIFER	RESOURCE R E DIVERSIFIED INC FUND A	0.00	9.81	0.00	9.81	90.0	8.83
11/16/2017	KURTH, KARIANNE	TRANSAMERICA AA GROWTH C	0.00	40.63	0.00	40.63	90.0	36.57
11/16/2017	KURTH, DEREK	TRANSAMERICA AA GROWTH C	0.00	48.65	0.00	48.65	90.0	43.79
11/16/2017	KURTH, DEREK	TRANSAMERICA AA GROWTH C	0.00	29.87	0.00	29.87	90.0	26.88
11/16/2017	KURTH, DEREK	TRANSAMERICA AA GROWTH C	0.00	2.06	0.00	2.06	90.0	1.85
11/16/2017	KURTH, DEREK	TRANSAMERICA AA GROWTH C	0.00	2.06	0.00	2.06	90.0	1.85
11/16/2017	HERNANDEZ-GAGE, VIRGINIA	TRANSAMERICA AA MOD GROWTH C	0.00	4.47	0.00	4.47	90.0	4.02
11/16/2017	KURTH, DEREK	TRANSAMERICA AA MOD GROWTH C	0.00	6.75	0.00	6.75	90.0	6.08
<b>* MUTUAL FUND 12B1 TRAILS SUBTOTAL *</b>			<b>\$0.00</b>	<b>\$4,940.97</b>	<b>\$0.00</b>	<b>\$4,940.97</b>		<b>\$4,447.04</b>

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<b><u>DIRECT TRANSACTIONS</u></b>								
<b>PRODUCT CATEGORY: VARIABLE ANNUITY 12B1 TRAILS</b>								
11/24/2017	MCRIGHT, BETTY	PAC LIFE VALUE	0.00	19.17	0.00	19.17	90.0	17.25
11/25/2017	MCKINNEY II, DELMAR	TRANSAMERICA TRAILS	0.00	23.80	0.00	23.80	90.0	21.42
<b>* VARIABLE ANNUITY 12B1 TRAILS SUBTOTAL *</b>			<b>\$0.00</b>	<b>\$42.97</b>	<b>\$0.00</b>	<b>\$42.97</b>		<b>\$38.67</b>
<b>*** DIRECT TRANSACTIONS TOTAL ***</b>			<b>\$936,192.17</b>	<b>\$5,843.56</b>	<b>\$0.00</b>	<b>\$5,843.56</b>		<b>\$5,259.38</b>

**ADJUSTMENTS**

12/15/2017		*: PERSHING BOOKS & RECORDS	0.00					-1.50
12/15/2017		*: PERSHING: UIT PROSPECTUS MAILING	0.00					-9.88
12/15/2017		*: PERSHING:BOND REDEMPTION HOHMAN	0.00					-10.00
12/15/2017		*: PERSHING:REORG FEE J MASON	0.00					-10.00
12/15/2017		*: PERSHING:REORG FEE M BEEMAN	0.00					-10.00
12/15/2017		*: PERSHING:REORG FEE SMITH	0.00					-10.00
12/15/2017		*AI INSIGHT: CURRENT MONTH	0.00					-7.00
12/15/2017		*ALBRIDGE: LIGHT USER	0.00					-76.00
12/15/2017		*DOCUSIGN: CURRENT MONTH	0.00					-18.00
12/15/2017		*EO INS: CURRENT MONTH INS	0.00					-300.00
12/15/2017		*GLOBAL RELAY: FACEBOOK	0.00					-5.00
12/15/2017		*GLOBAL RELAY: WEBSITE	0.00					-15.00
12/15/2017		*LASER APP: CURRENT MONTH	0.00					-18.00
12/15/2017		*TECHNOLOGY: CURRENT MONTH BASIC	0.00					-180.00
<b>*** ADJUSTMENTS TOTAL ***</b>			<b>\$0.00</b>	<b>\$0.00</b>	<b>\$0.00</b>	<b>\$0.00</b>		<b>\$-670.38</b>

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**BROKER COMMISSION TOTALS**

Broker Transactions	\$6,850.42
Split Transactions	\$0.00
Override Transactions	\$0.00
Adjustments	\$-670.38
Payroll Draw	\$0.00
Base Salary	\$0.00
Prior Period Balance	\$0.00
FINRA Assessment	\$0.00
SIPC Assessment	\$0.00

Check Amount	\$6,180.04
Year-to-date Gross	\$274,525.10
Year-to-date Earnings	\$243,716.64